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**META-ETHNOGRAPHIC DEVELOPMENT OF A DIALOGUE
METHODOLOGY APPLIED TO ORGANIZATION DISCOURSE**

by

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Old Dominion University in Partial Fulfillment of the
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August 1998

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ABSTRACT

META-ETHNOGRAPHIC DEVELOPMENT OF A DIALOGUE METHODOLOGY APPLIED TO ORGANIZATION DISCOURSE.

Shelley P. Gallup
Old Dominion University, 1998
Director: Dr. Charles B. Keating

A gap exists between theoretical stances that acknowledge the importance of dialogue as a dynamic within socially constructed structures, and “steersmanship” of those constructs—e.g., directing, intervening or transforming organizations. A “mechanism” which links theory with practice is missing, leaving practitioners with an acknowledgment of dialogue’s central position, but without tools to enact this centrality in practice or research. This research constructs a conceptual model of dialogue, derived from the literature. Using this model as a base, the research seeks to generate a dialogue methodology bridging theory and practice with respect to organizational dialogue. The model, methodology, and research results are intended to further organizational research in organization change interventions.

Notions of dialogue are explored through classical perspectives to construct a foundation model of dialogic complexity. The model’s purpose is to make explicit dialogue perspectives from a wide range of literature and to develop an initial research point of view which includes use of dialogue as a research methodology.

A qualitative multi-level ethnographic approach is used in which ethnography of discourse events of a university undertaking a Total Quality Leadership change initiative is the basis for meta-ethnography. This meta-ethnography captures development of a

methodology which centralizes dialogic concepts within notions of co-genetic logic and dynamics of distinction (Herbst, 1993; Braten, 1983) making which become the basis of participant dialogue at one level, and at a higher level articulates understanding of a notion of organizational dialogue.

Implications of this research involve the use of dialogue analysis as a learning tool for second order learning and organization transformation, as well as extending understanding of dialogue dynamics in complex organization change.

This work is dedicated to my wife, Cassandra (Kaiyonni) Christina Gallup Bridge.
Big heart, small feet, and very large boots accompanied by love, faith and support of this
project.

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Dr. Chuck Keating provided the guidance and enthusiasm that made this work possible. His contribution at a critical time, and in the face of many obstacles is gratefully acknowledged.

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Finally, in the darkest hours of this effort, against all good reason and common sense, Cassandra Gallup Bridge showed me that this was possible.

My heartfelt thanks to you all.

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CHAPTER I

INTRODUCTION

This chapter provides an overview of the research, grounding of research concerns and the dissertation document structure. An overview of the research thesis and statement of the research question provides the context for further theoretical development described in the course of the study. This is followed by a description of the research setting, epistemological perspectives and assumptions. An explanation of initial considerations for an appropriate research methodology is discussed to provide some understanding of the basis from which the research was conducted. A section presenting a statement of research goals is followed by a general description of the dissertation document organization.

Thesis

Organizations are complex, dynamically rich and interrelated non-linear systems. History, self-preferences, external environment, internal environment and communications are a few of the many elements constituting an organization. These elements act and react in concert within a web of an ongoing discourse to known and unknown multitudes of external and internal influences. The dynamic and complex sets of relationships occur within a web of ongoing discourse. Participants bring individual theories, constructed in self-reflective monologue with personal and deeply structured paradigms, to the cognitive

The *Engineering Management Journal* was used as the model for reference format, placement of figure titles, and placement of table titles.

surface for their use in discourse with others. In discourse, individual “models,” or theories are brought forth in interactions with similar constructions from other participants. This research will develop further the notion of distinctions constructed in discourse, between participants, as a principle of dialogue. Distinctions, constructed from discourse interactions between participants during the course of a discourse, form the basis of a set of theoretical distinctions of an organizational dialogue. This dialogue is at the heart of co-constructing ontological and dynamic organizational boundaries. A methodology necessary to explore the nature of phenomena associated with organizational dialogue does not exist.

Western management understands organizations in linear, hierarchical terms. Although useful as one means of theory-building to support notions of causality, this linear perspective is strained as organizational complexity is considered. Change results, at least in part, from outcomes of individual and organizational dynamics, couplings between non-linear dynamical internal processes and further interactions with external environments that are likewise part of other non-linear systems. Explanations of organization transformation using alternative paradigms, e.g., cybernetics, complexity and non-linear relationships requires the use of alternative research methods, theory building and language. Put simply, there are very complex webs of interactions that cannot be understood from a purely causal (quantitative and empirical) perspective.

Organizations have recently begun to pursue methodologies and strategies for self-transformations. These transformation initiatives are responses to a variety of needs, including intentional transformation mandated by a parent organization. Organization

transformation strategies such as Total Quality Management (TQM), Total Quality Leadership (TQL), Reinventing Government, Re-engineering and CANI (Constant and Never Ending Improvement) have been widely reported and discussed in journal literature. Participation in a change strategy requires that an organization metaphorically “moves” from its present state to another (assumed different) state. Participation is both a collective and individual activity implying individual and organizational transformation, or framing of present paradigms, which are re-framed through discourse (Morgan 1986, Bolman and Deal 1991), into co-constructed organizational boundaries. This perspective assumes that a process of participant distinction making must inevitably take place that is then made part of the transformation discourse.

There is a need for research into the dynamics of organization transformation that steps back from detailed positivist, scientific-reductive quantitative inquiry. A holistic, qualitative method focuses not on specific processes, but includes larger principles of how change occurs, revealing alternative understandings of the non-linear and non-stochastic nature of social processes. These alternative perspectives for understanding invite the use of non-linear systems and chaos theory terminology (Loye and Eisler 1987).

Members of the organization observed in the course of this research were engaged in a process of transformation at many levels, and with varying degrees of interaction. In particular, the organization’s leadership engaged in co-constructing meanings of the transformation organization, the transformation initiative, and relationships to subordinate organizations. Language, and the web of interactions in which language occurs, is the medium through which distinctions are made and boundaries are constructed. Intentional

organization transformation is also a discourse between what is given to meanings of the transformation, the organization's leadership and the subordinate organizations and individuals among whom these meanings are communicated. An adequate methodology which surfaces complex interactions and provides a framework for sense-making about the nature of phenomena associated with organizational dialogue is one goal of this research.

This research is also an exploration of communication complexity resulting from intricate and dynamic webs of interrelations in an organization. Observing involves the observer in a methodological paradox as observation and explanation becomes as intricately varied as the complex interactions observed. By necessity observation includes the observer. Discourse, as "the core of the change process through which our basic assumptions about organizing are created, sustained and transformed" (Barrett 1995, 352) is the means by which organizing is constructed and hence the primary means by which this transformation dynamic is understood. However, the immense variety of meaning and linguistic forms in discourse, and relationships between the observer and participants engaged in discourse poses methodological challenges. In addition, within discourse the additional challenge is define distinctions which set dialogue apart from the discourse in which it is embedded.

Research Problem

Two questions which this research explored formed the conceptual basis for this dissertation:

1. How does a researcher explore and make explicit the nature of an organizational dialogue?

2. Given that question number 1 may be answered, is it possible to state a relationship between an organizational dialogue and an organization transformation?

As will be further developed in Chapter II, reliance on dialogue as a research tool or unit of analysis is problematic. Although widely recognized in its importance to organizational transformation and dynamics within organizations, tools which provide theory building by researchers and participants in concert with principles of dialogue are not revealed in the literature. A central issue in this research is therefore concerned with constructing a methodology which permits sense-making and theory development from discourse observed in the course of an organizational transformation. An additional outcome of this research is to deepen notions for what constitutes “dialogue,” “monologue,” and “organization dialogue” in such a way as to be meaningful in a description of an organization’s transformation within qualitative, ethnographic research. A methodological use of dialogue which bridges the critical gap between theory and practice would also be an important step in validating a qualitative approach to research, in response to criticisms levied at such approaches (Hammersley 1992).

Ethnographic Context: The Organization and Transformation Initiative

Data for this research was collected at a Department of Defense graduate school undergoing a mandated organization transformation. A set of guiding principles for this transformation was given through official publications and administrative communications disseminated downward from the Chief of Naval Operations. It was the responsibility of the leadership at School to understand official guidance while co-constructing meanings of

the transformation for themselves and the institution that could then be implemented throughout the entire organization.

Basis for the Transformation Initiative

In 1987 the civilian Secretary of the Department of Defense service responsible for manning, funding and supporting the School formed an Executive Steering Group. This group was to lead the Armed Service in a transformation, implementing the management philosophy of W. Edwards Deming. An official management plan and training document was provided to senior level management of the entire Armed Service as part of a seminar series at the School. The intervention was defined within the management paradigm of Total Quality Management (TQM) and bounded by the intervention philosophy, “based upon managing organizations from a systems perspective using employee knowledge, process measurement, and scientific methods to optimize the quality dimension of organizational performance. Quality in such an organization is defined by its customers.” (Dockstader 1992, 5)

The military chief of the Armed Service changed “Management” of Total Quality Management to “Leadership,” reflecting a need within the service to maintain traditional notions of leadership versus management, creating the acronym “TQL.” The philosophy was stated as: “Leadership is essential to the practice of TQL. There must be a change in our priorities and the way that we operate our organizations. Only top leaders can effect these fundamental changes. The changes required are many and have implications for leadership style as well as management practices. The (Armed Service) has adopted a top-down approach. We, the top management, must serve as role models for the middle

managers- - as well as the rest of the organization. That is our challenge.” (Chief of Service message, 1990).

Four steps were outlined to transition all organizations within the Armed Service from their present organizational culture in 1989 to a future TQL organization: (1) Identify customers, (2) clarify their quality requirements, (3) determine the processes leading to the stated requirements and (4) continuously improve those processes. TQL was further defined as a set of “system principles” in which customers are an “input” into the system, which has an effect on internal functions and processes of the organization and suppliers. Embedded in this is a requirement for a formalized and systematic feedback system. The purpose of the idealized system is to manage processes to optimize performance. Collaboration and teamwork were likewise identified as part of the transformation process and TQL system; “In a quality-focused organization, managers from all of the functional areas in the organization work together to optimize the quality goals of the organization as a whole. To achieve this, the entire system, from suppliers, to customers, must be viewed as an extended process- - and managed as a whole” (Dockstader 1992, 33).

Transformation to this culture is described in official guidance as a “moral imperative,” using the language of the military, e.g., that the end user receive “weapons, materials and leadership that will maximize survival within the context of the mission” (Dockstader 1992, 24). Government interest in cost cutting and improved productivity (e.g., Executive Order 12637) of the late 1980's and early 1990's was re-emphasized within foundations of TQL guidance as another reason to engage in the transformation.

Implementation of a systems approach to organization and performance design standards was addressed by redefining service missions as processes.

Nine principles of TQL were established by the Armed Service Chief and formal boundaries to the “TQL system.” As an end state to the intervention process, TQL would be accepted as “the right thing to do” by all participants. The system would be “top down” with system resources available as needed and “customers” would have the best of all materials to pursue the mission. Cost savings would result from less rework. System changes would be decided based on data, “not guesswork.” The TQL culture would “provide constancy of purpose through strategic planning processes. Long range vision makes day to day decision making to support that vision easier” (Dockstader 1992, 44). Workplace teamwork is enhanced while “process owners” are brought together to improve it. Using business terminology, the guidance states that “All employees are involved in process improvement. Greater efficiency results....(and) total involvement and commitment.” The seminal statement is that “Fear is driven out and people take joy in their work.” Implementation of the above principles would therefore result in “Workforce reduction through attrition....because of the value placed on employees and on retraining people who become redundant.” (Dockstader 1992, 47).

Achieving the transformed state was to occur through a dynamic of “process improvement,” and the use of “scientific methods and statistical techniques.” Process improvement would involve “innovation” and “establishing ownership” of processes relating to organization mission. A transformation team’s first task would be to define process boundaries, using flowcharts to identify wasteful or overly complex portions of

services or production. By identifying specific processes important to the customer, key improvements could theoretically produce systemic system efficiency. Organizational measurement using prescribed data collection (survey) techniques would provide baseline process performance information used for further test and evaluation within an “Improvement Cycle.” From these key process areas organizational transformation was envisioned to expand and continue recursively.

Senior leadership of all Armed Service organizations, including the School were directed to “develop a TQL Implementation Plan and understand and adopt the new philosophy.” (CNO 1991). Prior to disseminating downward throughout the organization it was acknowledged that, there must be a “common understanding of TQL.” Which includes a personal “profound knowledge” which “runs deeper than most people think when the are first exposed to it” (Dockstader 1992, 41).

Within the lexicon of TQL terminology is designed to construct the foundation philosophical boundaries about itself; *critical mass* (“those of us having the formal authority to change organization processes”); *management teams* also termed *Quality Management Boards*; *Process Action Teams* as those employees commissioned to study specific processes related to an organization’s production or service. *Visioning* provides the organization with a central locus about which further strategic planning is performed. The task for all organizations within the Armed Service, as given by the Secretary of the Service was to “develop a vision and guiding principle statements that are in line with the Service. This may require that we examine our personal values as well as those that underlie the mission of our organization” (Dockstader 1992, 45).

Groups Leading the Transformation

Two groups were established at School to carry out transformation directives established by the Chief of the Service. In the course of this research, an Executive Steering Committee (ESC), and an Academic Quality Management Board (AQMB) were observed, and provided a source for data gathered. Specifics of data collection are included in Chapter III.

Both organizations were in leadership roles responsible for transforming the School to a TQL culture. Official guidance specified a responsibility for the School's TQL transformation initiative leadership to create "profound knowledge" amongst all organizational members, meaning civilian and military administrative personnel, students, faculty and contract employees. At the head of the formal military and civilian organizations which managed every aspect of the school, two leaders shared the overall responsibility of the college and its academic and administrative functions. These functions were divided between a senior "flag-rank" officer (given a title of "Superintendent") and a civilian academic Provost. Although the Provost was responsible for all academic functions of the school, funding and support was maintained through the Armed Service in charge of the school. This made the Superintendent ultimately responsible for enacting policy and institutionalizing TQL within the school. As an additional task, the School was designated a "flagship" institution responsible for producing seminars and guidance literature on TQL transformation for high level government employees and high ranking military officers.

Constructing an organization with which to manage the change process was defined in the formal Armed Service guidance. In this structure, the change organization would be composed of an Executive Steering Committee (ESC), Quality Management Boards (QMBs), and Process Action Teams (PATs). A TQL Coordinator was contracted by the school to manage the implementation organization, working one level down from the Superintendent. The TQL Coordinator acted as the principal consultant to the ESC, providing guidance on TQL structure and role definition within formal boundaries of Total Quality. This responsibility also included a secretarial role for processing information relevant to the ESC and QMBs while also managing an organization of TQL Advisors acting in a mirror-image temporary consultant role to QMBs.

Specific requirements of the TQL organization were laid out within Armed Service guidance within the construct of military language, e.g., the ESC was to “develop and deploy an implementation plan, and deploy TQL philosophy.” Functional assignments were also made to the ESC, to provide ESC members as “linking pins’ to QMBs and to “develop and deploy” a strategic plan.

Subordinate to the ESC, QMBs were chartered in relation to organizational functions that crossed multiple functional areas. For example, Quality of Life QMB or Personnel QMB, or as was the subject of this research, the Academic QMB. The function and division of QMBs specified that each would be composed of teams of middle managers, to plan quality improvements consistent with the organization’s strategic goals and objectives. Middle level managers responsible for a line function within the university would typically chair QMBs which were further “designed to reflect the chain of

command, so there can be as many levels of QMBs as there are levels of middle management” (Dockstader 1992, 53). Based upon strategic plans of the ESC, the QMB’s purpose would be to define processes within their chartered domain, referring each process to a Process Action Team (PAT) for further definition. Obtaining in-depth analysis of processes related to a functional area would then allow the QMB to “translate their charters into “process improvement plans.” Interpretations of “improvement” relative to “quality” required each QMB to construct their own definitions of quality and notions of “movement” towards its improvement. A QMB evaluative function thus became a requirement, with numerous assessment tools created within the language of TQL being responsible for constant data-gathering, assessment and correction in the direction of “quality” goals supporting the overall “mission and guiding principles” established by the ESC.

A notion of “ownership” provides a semantic continuum with respect to empowerment issues within formal boundaries of TQL. “A strength of the QMB is that it is composed of the managers who own the process. Thus, changes in the process, which are designed by them, are also implemented by them. This avoids one of the main shortcomings of other kinds of problems; solving team’s lack of acceptance of changes by outsiders (Dockstader 1992, 54). Organizational resistance is therefore assumed to be overcome by co-opting the leadership and middle management within structural boundaries of the TQL system.

Process Action Teams “collect data for QMBs, act on “special causes” and make recommendations concerning “impediments.” Generally, line-employees and their first-

level supervisor were appointed to PATs. These participants were given less indoctrination into the theory, practice and language of TQL. Although not directly charged with making specific changes to the operations of the organization, within the boundaries of TQL terminology “special causes” are perturbations within processes resulting in loss of efficiency or productivity which PATs were theoretically empowered to fix these areas without further direction from the empowering QMB or ESC. Only in the case of “impediments,” represented by processes in which downstream effects might interfere with larger processes would PAT actions be required to be brought to the attention of the chartering QMB.

Formal leadership and line structure at this educational institution were divided by both cultural and functional differences. As a military base responsible for graduate education of middle grade officers, the military portion of the administrative hierarchy was specifically concerned with welfare and maintenance of the college’s physical site and supporting structures, and for the well-being of military students and their dependents. As an academic institution, accredited by numerous professional and academic accrediting boards, the college maintained a parallel structure dedicated to the long term maintenance of academic programs, faculty development and tenure, and academic standards for graduation. Congressional funding of the college through a line item to the Armed Service’s budget required that a military officer be “Superintendent” to the academic hierarchy’s “Provost.” The Superintendent post was at the top of both the civilian and military hierarchy, although civilian and military personnel reported within their respective

chain of command. As the senior officer at the school, the Superintendent was by definition co-chairman with the Provost for the ESC.

The Organization Being Transformed

External environmental influence, resulting from political concerns, affected both military and academic portions of the college's hierarchy. Congressional pressure on each of the Armed Services to close military bases and demonstrate relevance of remaining facilities within the context of each service's mission put constant pressure on the School to provide a similar justification for funding. A congressional Base Closure Committee routinely assessed the institution by requesting information from both the military and academic management of the college. Within the school's academic community of nearly three hundred tenured Professors and Assistant Professors, non-tenured Assistant Professors and contracted civilian Lecturers, the external environment posed a continual source for framing discourse concerning the future of their positions. TQL provided an additional framework for discourse, often combining the state of external influences with a perceived need to display the school's relevance through the TQL initiative at the school and throughout the Armed Service. TQL, as a management initiative directed from the Service Chief, provided one "relevance function" for this academic institution responsible for developing the strategies for transformation at other service sites.

The second tier of the civilian faculty and employee "chain of command" was composed of Deans, who were automatically directed to serve as members to the ESC. The Dean of Faculty was responsible for the various levels of faculty across academic departments and for administration of the tenure system. Academics and standards were

the responsibility of a Dean of Instruction who was also responsible for the various course development initiatives being undertaken within the academic departments. The Dean of Information Systems oversaw implementation and upkeep of the extensive Management Information System in use campus-wide, and for the placement of student-use computer systems arranged throughout the campus. Last, a Dean of Research was responsible for tracking research initiatives and investigating potential large scale research projects for funding possibilities external to the college.

An additional post, Dean of Students, was maintained as a military post filled by the next senior non-academic military officer attached to the school. This officer was also responsible to the Superintendent as a deputy in his absence. A Comptroller and Human Resources Director filled posts which transcended both academic and military organizations by encompassing functions necessary to both “halves” of the institution. These individuals were also included in ESC membership.

Within the academic organization of the school, military officers shared responsibility for administration of individual curricula with a counterpart civilian academic advisor. Although students were (nearly) all military officers from all branches of the Armed Services, uniforms were not worn except on specific days or once a month. Therefore, on a daily basis the campus maintained an academic persona. Student and faculty interactions were consistent with those of any college so that administrative information disseminated through the military portion of the organization held a lower priority on a daily basis than information related to academics.

The Nature of Total Quality Leadership

A definition of TQL within the boundaries of the college organization was given in a memorandum of April, 1992 . In this draft form the basis of TQL presented senior leadership with an expectation for an end state of the transformation:

Total Quality Leadership (TQL) is the prime means for continuous improvement of our performance. We use its processes to systematically evaluate our operations and identify root causes of problems. Because of management's commitment to the principles of TQL, each employee's contribution is valued and the entire school operates as a cohesive team. Every individual has been educated in the principles of TQL and works continuously to improve the level of service provided. Problems and challenges that cross departmental lines are met by a team of the appropriate people, regardless of their level or jobs at (School). Total Quality Leadership (TQL) is the foundation for our interactions among ourselves and with our customers and suppliers.

(School) is the (Armed Service) leader in TQL leadership and application thinking and the repository for all (Armed Service) TQL/DoD (Department of Defense) TQM related research. Our faculty is sought to provide guidance and assistance to high level DoD officials on all aspects of TQL/M. The wide range of TQL/M subject matter being offered ensures each student receives solid education in TQL principles (Internal School Policy memorandum, 04/02/93).

In handwritten remarks inscribed on this memorandum, the Dean of Faculty remarked that "clearly a great deal remains to be done before the average employee is 'committed' to TQL," demonstrating the real and semantic distance between the idealized TQL organization, cognitive models of TQL and the perceived state of both.

Based on the condition "what affects the most people," the ESC voted to establish Quality Management Boards (QMBs). Of those established, second in priority was the Academic Quality Management Board (AQMB). On July 20, 1993, the AQMB was officially chartered by the ESC, to:

manage and continuously improve the following system and its associated processes using Total Quality Leadership (TQL) techniques and methodology.

The Academic Quality Management Board is responsible for the graduate education system from student admission to graduation and post-graduation career tracking. This includes curriculum/program developments, academic policies, classroom instruction, faculty and student research, laboratory/library/computer support, student/faculty awards, graduate continuing education and other related processes dealing with value-added learning (ESC Minutes 07/20/93).

Membership to the AQMB was defined in an internal discussion between the TQL Coordinator and ESC members. Voluntary participation in QMBs was assumed after members were assigned by the ESC in consultation with the departments concerned. Cross functional middle managers from departments of student administration, faculty, student services, and military personnel services were recommended to serve, and were thus “assigned” to participate as an additional duty. Three members assigned to the AQMB were military officers. One of the military members was responsible for a graduate curriculum, another was an instructor and a military officer in charge of the administrative office responsible for military student’s administrative needs was also included. Of the civilian members four were academic teaching faculty and one faculty occupied the position of librarian. The AQMB leader was a full professor, an academic faculty member within the Administrative Sciences Department.

Many of the AQMB members had some degree of TQL training. Military members had received TQL introduction orientation at prior duty stations, one claiming to have been “Deming trained” during a large scale organization transformation of a similar scale as proposed at the school. Several of the faculty had received some training through a “Senior Leader Seminar” hosted by the school for senior Civil Service employees and

flag officers of all services. At least one military faculty proudly boasted to have had “zero TQL knowledge.”

A “Linking Pin” was assigned to the AQMB from the membership of the ESC. Roles and responsibilities for this individual were formalized in the AQMB charter: “The linking Pin will be available to assist the QMB in removing barriers encountered while managing and improving the graduate education system. He will also be the point of contact for clarification of QMB responsibilities and authority and for communication with the ESC” (AQMB Charter in ESC Minutes of 07/20/93).

Three facilitators were also assigned to the AQMB, in consultant roles. Of these three, one was a Professor with no “formal” TQL training, another was a military faculty member who had received a standardized orientation being given to all military members, and the third worked directly for the TQL Coordinator and had received extensive TQL training through a variety of TQL correspondence courses.

The ESC remained the final reviewing authority for the AQMB, with reports to be made by the Linking Pin to the ESC on a “regular basis.” Direct authority of the QMB, as granted by the ESC: “In the execution of this assignment, the AQMB is authorized to charter one or more Process Action Teams (PATs) to collect data and assist in analysis. The QMB is also authorized to make identified improvements that do not violate external directives, do not require funding greater than its annual budget of \$1,000.00, or do not require a change in personnel across line managers” (ESC Minutes of 07/20/93).

Terminology

Methodological paradigms and perceptual lenses focus observation and analysis, providing a framework for theory construction. Terminology in this research includes language from disciplines of cybernetics, non-linear and chaos systems theory, co-genetics, complexity and discourse analysis. Definitions for paradigmatic application of terminology applied to this research will be provided *in-situ* with explanation for its use. Terminology specific to notions of discourse, dialogue, monologue and their dynamics is presented in Chapter II.

Foundations of the Research Perspective

This research is qualitative in nature. At its most elemental level, a qualitative approach, in a distinction between quantitative and qualitative, was necessary given the requirements for naturalistic inquiry and the research questions asked. From the question as to the nature of dialogue, experimental (quantitative) research methods operationalize variables which are known *a-priori* to the research. Surfacing elements of complex social interactions of interest to the researcher is a recursive process of observing, structuring, theory making and observing. In this research it is dialogue itself that is being appreciated, observing its structure as part of ethnographic inquiry to yield methodological approaches to further theory making which becomes part of an ongoing recursive cycle of appreciating, observing, theory construction and methodological refinement.

Assumptions of the Research

Methodologies, whether quantitative or qualitative requires an understanding of those assumptions underlying the conduct of the research. These assumptions are both

global, in the sense that methodology has systemic implications for the research which are generally found in the conduct of all such research, and local, with specific implications for the unique research being conducted

Global assumptions of qualitative research include:

1. Qualitative data is observation based.
2. Investigations grounded in qualitative methodologies are appropriate for natural, versus artificial settings.
3. Observer-researcher focus is on meaning construction rather than a descriptions of behaviors.
4. An inductive approach is followed in which theory building and methodology occur together in the course of the research.
5. Identification of complex organizational patterns is sought, vice seeking scientific laws (Hammersley 1992, 160).

Local assumptions of this qualitative research are expressed below, and represent the researcher's axiological and epistemological concerns at the beginning of the research. Tacit assumptions surfaced in the course of research and theory building are considered as they were made explicit, in the course of the research:

1. Total Quality management, and other organization intervention philosophies are complex, systemic and interrelated dynamic process.
2. Organizational transformation is a non-linear system dynamic.
3. Discourse is constructed in participant interactions.
4. Complexity in interactions is subject to principles of uncertainty.

5. Individuals have a history and are culture-defined in ways which are largely unknowable except in what is stated, in a context, or as distinctions formed in discourse and dialogue with other participants. These historical and unknowable factors are collectively referred to as “deep structure.” Also, as a system of individual cognitive states, these factors are assumed to be important in shaping individual perceptions and paradigms. Deep structure in this research is unknowable to an observer except as interpreted through analysis of discourse.
6. Distinctions are co-constructed in a discursive dynamic in which perspectives are crossed or added together (Herbst 1993, Braten 1981).
7. Discourse is a reflection of many participant notions e.g., organization boundaries, power (role of self), empowerment, and others that are revealed in the discourse.
8. Modeling complex interactions to define dialogue is possible from observation.
9. Knowledge of the observer’s role affects observed discourse, however this relationship does not invalidate observations.
10. The research site, transformation initiative, participants, observer, internal and external environment, organizational history, present organizational culture and perturbations are normative to a social system in which discourse is observed.

As an “instrument” of the research, the researcher’s ontological and epistemological frame of reference is included in those basic assumptions with which research is designed and conducted. In this research, the assumptions outlined above were also an outcome of a reflexive dynamic between surfaced assumptions, observation, and reflection to surface assumptions around observation. This process continued throughout the research and highlights a necessity to include the observer as part of the research system in qualitative research.

Role of the Observer

This researcher-observer was simultaneously a member of the university organization under study, but external to the organization organization’s Executive Steering Committee (ESC) and Academic Quality Management Board (AQMB). Entry into the transformation organizations for observation and data gathering required that the participatory nature of the ethnography be acknowledged within the methodological stance. There was a necessary relationship between an insider perspective, observation and theory construction in the conduct of this research, as is further developed in Chapter III.

Defining Dialogue and Dialogue Methods

The complex variety of notions of dialogue present a special challenge to researchers. Although they serve well as explanation, creating *a priori* categories into which specifics of discourse may be fit requires that the researcher be placed in the position of understanding the complexity of the language in use, its context and dynamics *before* such categories may be created. Such *a-priori* knowledge is not possible in this research. For this reason a theory of communication and intervention is not presented

prior to the act of observation and data gathering. Indeed, a characteristic of inductive and phenomenological qualitative research is that patterns of events emanating from what might otherwise be viewed as “routine” and researcher-data dialogue lead to ongoing theory construction, vice testing of theory presented *a priori* to observation (Patton 1990, Fetterman 1989, Werner and Schoepfle 1987).

This research includes several unique aspects of qualitative research. First, this study is focused on an ethnography of two groups involved in a systemic, mandated organizational intervention and the analysis of specific intervention discourse events. This ethnographic study provides a secondary level of ethnographic analysis (between the researcher and discourse events) from which an auto-ethnography of the process of methodology development and theory construction is obtained.

A methodological lens assumed in this research focuses on dialogue as an artifact of organizational change dynamics. Defining dialogue within the methodology is an implied necessity. However, simple definitions of this notion are elusive. Exploration of the literature (Chapter II) yields multiple layers of increasingly complex concepts of dialogue. Classical philosophical perspectives of dialogue are developed, but add little to define an appropriate research methodology. Although recent explanations of what constitutes dialogue restores it to a more substantial analytical role, it remained a goal of this research to provide for itself a robust perspective of dialogue which is then applicable within a methodology. In the short term this required some focus on formulating a conceptual schema for dialogue. What then is a dialogue methodology? This question

provides a path for exploration throughout the research, becoming a meta-dialogue between the researcher and observed discourse.

Interpretation and Analyses

A concern in the research is the role of participant-change model dialogue and interpretation. Mandated change is not likely to be interpretation free within the community undergoing the transformation. The discourse between participants and a model of a transformation philosophy, coupled with to acquisition of a specific language, adds another dimension to the complexity of analysis. However, this research is not concerned with making a value judgement about a particular transformation model. Although Total Quality Management was the transformation initiative in this research setting, the goals of the research transcend the form of the specific initiative and instead concerns itself with characterizing discourse of change apart from the transformation system advocated. It is, however, impossible to completely separate the discourse observed and following analysis from the transformation model with which the observed groups and participants were engaged.

Generalization of Results

This research is specific to a particular site and the interactions which occurred there. Localized outcomes of the research are very much site-specific, making generalizations problematical. However, development of approaches to organization research based in discourse and dialogue is expected to be generalizable and suggest a much needed bridge between theory and practice, by adding *mechanism* between *both*. Therefore, what is of greater use as a generalization is a progressive methodology which

supports the use of discourse analysis for theory construction and further definition of group dynamics to be used constructively by practitioners in the conduct of complex organization interventions.

Research Goals

The primary purpose of this research sought initially to answer two questions. First, “why is organizational transformation so difficult?” And secondly, “how is dialogue different from communication in a transforming organization?” In executing this project, observing groups closely and conducting analysis of the essence of meanings constructed between participants and cognitive models, the question became instead “what methodology would permit a researcher to discern and report abstractions co-constructed through language by participants in organizational change directed at transformation?”

In the evolution of the research development of an appropriate methodology it was necessary to borrow language and concepts from other disciplines. Incorporating these concepts and language into a coherent framework added depth to the explanation of dialogue, a secondary goal of this research.

Finally, tools, coupled with a robust methodology that deepen understanding of all participants, provided fertile ground from research. Consultants and organizational researchers using additional tools for analysis of ongoing organizational discourse may find this methodology useful as feedback, making transformation that much less difficult.

As will be discussed further in this dissertation, organizational transformation has many interlocking relationships. It is a dynamic, complex and evolutionary process conducted by actors engaged in a common construction. To be effective, this process

must be accomplished in a learning environment accommodating and providing space in which individual models interact in language to construct a shared model.

I believe that the process of surfacing individual mental models and making them explicit can accelerate individual learning. As mental models are made explicit and actively shared, the base of shared meaning in an organization expands, and the organization's capacity for effective coordinated action increases. Little work has been done on the construct of organizational memory and shared mental models (Kim 1993, 49).

This research extends a methodology for organization transformation inquiry using qualitative methods and theory formulation founded in notions of dialogue.

Dissertation Organization

This research was not conducted in a linear fashion. Presenting it in a linear format is therefore a different philosophical type, but in some regards necessary. A compromise was necessary in writing this report, providing a point of entry, yet maintaining at least some of its recursive, reflexive research process. In as much as is possible, this dissertation attempts to present the context and dialogue within an intervention initiative and between this researcher and the observed data. Organization of this report is also a presentation of a discovery process which brings together portions of seemingly unrelated disciplines in an effort to further notions of dialogue for the organization researcher, and a methodology for its use in research. A literature review of classic treatments of the nature of dialogue and dialogue methods is presented in Chapter II, which also includes a model of the dynamic nature of dialogue based on a synthesis of the literature. This model is a "sensitizing" mechanism from which a framework for defining theoretical elements of dialogue, which is included in a discussion of methodology in Chapter III. The architecture

of an organization dialogue methodology forms the basis of an analytic methodology which is developed inductively through the intervention ethnography and an auto-ethnography of local discourse events.

Chapter IV provides the central focus of this dissertation. It presents organization context in which to ground transcripts of two transformation groups. Ethnographic format with contextual comments begin to tell the “story” of this initiative. An auto-ethnography between the researcher and the observed data adds additional components of the dialogue methodology and use of a software ethnographic database (Ethnograph V 4.0) tool is introduced. Extensive use of transcripts is relied upon in this chapter to demonstrate the methodology while developing the ethnography. Examples of full transcripts are provided in Appendix A.

A discussion of localized conclusions and implications for theory, practice and further research are found in Chapter V. Further development of organizational dialogue and a formulation of *dialogue competence* derived through the research process are also outcomes of this research and described in this chapter.

Interrelationships between the research approach and dissertation are depicted in Figure 1.

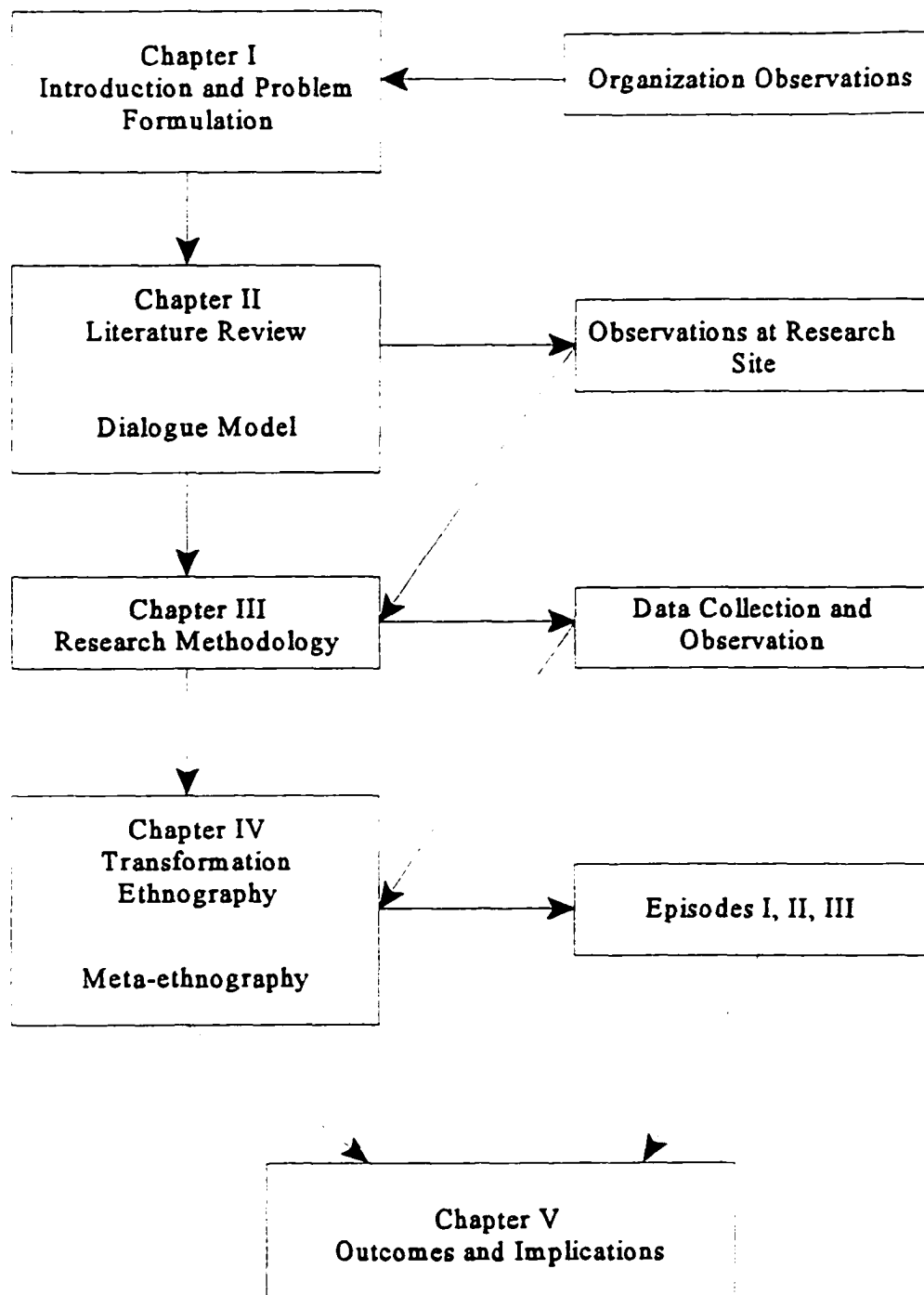


Figure 1. Dissertation Organization and Research Flow

CHAPTER II

LITERATURE REVIEW

Returning to the research questions being investigated, considering a dialogue methodology and the nature of dialogue in a Total Quality Management organization transformation requires a review of numerous literature “threads” which must be brought together in a logical form. Because dialogue interacts at every level of organization dynamics, consideration of the nature of these dynamics is a focus of the literature review.

Organization interventions may use many prescriptive approaches, however at this research site TQM was the mandated initiative. Some development of the TQM literature was therefore necessary, especially with regard to academic institutions. Dialogue, as language and artifact of discourse is also embedded in cultural and cognitive domains in which participants interact in the process of transformation. Some consideration is therefore also given to TQM and culture to substantiate the view that transformation is value-free, e.g., that interventions cannot stand apart from cultural dynamics of which language plays an important role.

Organizational transformation, taken as a system dynamic involving processes of organizational learning, is also developed from the literature. Meanings are co-constructed in organizations and involve cycles of dialogue, meaning construction and second order discourse around the process of meaning construction. Implementing an organization structure which values and enhances discourse in an organizational learning

system requires that notions of what it means to engage in dialogue are understood by participants.

Dialogue is considered here from a number of perspectives. It is necessary to understand the complex nature of dialogue as interaction, as a component to an individual's deep structure, and as an abstract construction between individuals. An appreciation for the complexity of dialogue is obtained through construction of a model of its dynamic features, taken from the literature of classical notions of dialogue. Literature reviewed in constructing this model revealed that a gap exists between practitioner and researcher concerning dialogue. This gap is characterized by understanding that dialogue is inimical in organization dynamics, but that methodologies which define and surface characteristics of dialogue as independent events, or as a collection within 'organization dialogue,' have not been developed.

Terminology

Interdisciplinary approaches bring with them an assortment of terminologies. In using terminology from multiple disciplines, an effort is made to maintain original meanings. However, it is also possible that terminology being extended from one discipline to another may likewise be extended in meaning. Terminology is therefore evolutionary within this research, and meanings given to terminology are the result of an ongoing researcher-research discourse that will be encountered throughout this dissertation. In an effort to provide clarity, these meanings will be made explicit in the course of the report.

Total Quality Management

Intentionally transforming a human organization system is a complex endeavor which involves dynamics at many cultural and structural levels. Integrating varied and deeply interrelated components of transformation into one unifying theory or change paradigm seems unlikely. Unknown and tacit dynamics within organizations furthers complexity making it difficult to understand specific elements researchers may wish to surface. Organization development consultants, researchers and organization participants may therefore place heavy reliance on traditional quantitative reductionist approaches to organization analysis in order to design prescriptive actions. Such approaches are certainly appropriate to evaluating specific variables. However, surfacing key indicators by scientific reduction is problematic in a densely interrelated and complex system of high variety, especially considering the need to perform validating experiments. Developing qualitative tools for analysis, theory construction and feedback may provide an alternate research perspective, deepening understanding necessary to enhance the quality of transformation actions.

Evolution of the research began with a seemingly simple question, "what is quality?". Notions of a "cognitive model" or "schema" within which organization participants construct meanings, shared meanings are difficult to articulate (Gallup et al.....Defining the Meanings of Quality). Management philosophies such as TQM attempt to provide frameworks within which organization members may begin to formulate meanings of change. With given frameworks in which to work, why is transformation so difficult?

Perhaps organizations are continually in a process of being constructed, recursively through an internal dialog that includes some portion of the organization's membership and their individual cognitive processes that shape individual notions of the transformation paradigm. For change to occur, interveners must adopt shifts in thinking. Paradigms such as Total Quality Management (TQM) must intrude upon these complex and dynamic cognitive constructions. This research focuses on participants within an academic organization in the process of constructing an internal notion of their organization's transformation.

Of the large volumes of literature dedicated to TQM the seminal works remain those by W. Edwards Deming (1982), further elaborated on by Scherkenbach (1988) and Walton (1986). All outline fourteen points necessary to create a quality "system." According to these authors, TQM is the means by which technically advanced industrial societies will adapt to changing circumstances in a global marketplace. This marketplace is characterized by shifting resource constraints and availability of products being outweighed by innovation and quality. Quality is viewed as a result of systems processes that are interrelated and systemic and depend upon deep understanding of internal organizational processes and data collection to provide continuous feedback throughout the organization. A cultural component of TQM is defined with respect to internal acceptance of TQM concepts, and on a larger national level with respect to societal implications:

Quality must become the new religion. Japan has introduced a new economic age of reliability and smooth operation. There are new standards. We can no longer afford to live with mistakes, defects, poor workmanship, bad materials, handling damage, fearful and uninformed

workers, poor training or non at all, executive job-hopping and inattentive and sullen service. Defects are not free (Walton 1986, 58).

TQM may be narrowly defined within “fourteen points” (Walton 1986), or in experiential case study reviews where “in many cases (TQM) covers techniques as diverse as customer-driven management, bench-marking, continuous improvement, employee involvement, self-directed work teams, statistical process control, quality function deployment, KANBAN-based production, just-in-time management, cycle-time reduction and process innovation” (Hiam 1993, 5). It is clear from this study that experiential definitions of TQM vary widely. Therefore research based upon one notion of what TQM is would be inadequate. Instead, this study is concerned with meanings of TQM only as a systems process in which an organization constructs its own meanings for a transformation.

In keeping with notions of organizational transformation, TQM requires change across a spectrum of organization processes. It has a cognitive and cultural dimension, and a ‘systems’ philosophy. As an intervention technique TQM requires both systematic and systemic change in an organization, encompassing all aspects of that organization and its relationships, both internal and external, as well as change at the individual cognitive level. This degree of change requires shifts involving all dimensions of an organization ranging from “surface level” to the “deep structure” level. These features make TQM intervention particularly well suited to a study of the complex and dynamic nature of organizational transformation.

As a process through which organizations are transformed, notions of what TQM represents must be formed (constructed) within the larger, formal rules of what

constitutes the quality movement philosophy. Leadership takes the role of boundary construction, defining for the organization what it is that the quality construct represents. Language and discourse are a medium in which members of the organization are engaged in this complex and dynamic activity. Dialogue, as a distinct from discourse, “seeks to have people learn how to think together—not just in the sense of analyzing a shared problem, but in the sense of surfacing fundamental assumptions, gaining insight into why they arise. Dialogue can thus produce an environment where people are consciously participating in the creation of shared meaning. Through this they begin to discern their relationship to a larger pattern of collective experience. Only then can the shared meaning lead to new and aligned action” (Isaacs 1994, 42). Therefore, it may be concluded that dialogue is central in any initiative, including TQM, directed at organizational transformation.

There are numerous reports describing TQM failures and successes. Lannon-Kim (1992) theorizes that lack of progress causes US companies to lose interest in TQM implementation programs. Lack of progress results not from inactivity, but from overemphasis of feedback loops by transformation managers. Termed a “limits to success” archetype, this is a system in which a growing action drives another activity. When growth in the activity is slowed due to a counterbalancing force there is a tendency to push even harder on the first dynamic, leading to diminishing returns from the reinforcing loops and increasing resistance from the balancing loops. For example, creating a Process Action Team (PAT) which begins to uncover specific difficulties in an organization function and engage in them. Instead of empowering the PAT, emphasis placed on linking PAT actions with transformation leadership leads to a decrease in PAT

actions. "An implicit assumption is the expectation that if one does all the things identified in the model (Typical TQM Implementation Model) to drive the reinforcing loops, the implementation process will be self-sustaining and growing. Evidence suggests otherwise" (Lannon-Kim 1992, 2)

In this systems view, discourse and dialogue are not included as elements to the transformation process, in spite of Kim's proposal that understanding such systems archetypes may make the dynamics visible.

Without an understanding of the underlying dynamics shaping any TQM program, failures can too often be attributed to individual actors or specific circumstances. Systems archetypes can help make sense of other companies' experience as well as one's own by identifying common structures at work (Lannon-Kim 1992, 3).

Although promoted as an enlightened intervention technique by many corporations, Ross (1993) in his study of "mini-cases" involving corporate TQM interventions and Baldrige Award winners has found that acceptance of TQM is not universal. Troy (1992) reports that the wave of TQM development may be over in many of the companies with the longest running TQM programs. She cites as possible reasons, that: (1) corporations may have seen the quality movement as a means to make "quick fixes" to problems that are somewhat simplistic, and (2) they are now moving on to more complex and ambiguous problems in which the principles of TQM are not perceived as distinctly relevant. In addition, firms still focused primarily on bottom line profitability where profits have not risen appreciably under TQM guidance, are questioning their commitment to TQM (Troy 1992, 57). One journal recently reported that "there is mounting evidence that the quality programs of many western companies are failing dismally", citing a survey of five hundred American companies in which only a third

reported any impact on their competitiveness (*The Economist*, April 18, 1992: 67-68). In addition, TQM initiatives have centered around those elements important in competing for the Baldrige award, substituting short term approaches to long term organization transformation.

In an examination of twenty TQM surveys from corporations (Hiam 1993), practices associated with successful TQM implementation are given as “Common Change Dimensions in Successful TQM Efforts.” These include such vague notions as, vision, systems thinking, participation, and leadership to name a few. “Successful firms are much more likely to use specialized communication campaigns, management review meetings, and focus groups than are respondents who profess dissatisfaction with their firms' progress.” None of the elements of a successful program reviewed in this study were specifically concerned with interrelationships and dynamics of a co-constructed implementation initiative.

From a human resource management perspective, motivation is the central issue concerning TQM failures. “Companies all over the United States have initiated quality programs in order to meet the demands of international competition. However well intentioned, many of these initiatives have by and large met with failure. United States corporate leaders seem confused as to the causes of those failures” (Steininger 1994, 601).

For transformation to be successful,

certain philosophical and psychological assumptions about people must be understood if a company is to transformed into one that continually manages for quality. Unfortunately, these assumptions cut directly against the prevailing management thinking and go against the deepest, ingrained paradigms held by the majority of our business leaders. It is lack of understanding of those assumptions that is dooming the quality movement in the United States to failure” (Steininger 1994, 602).

In this view, a key to transforming an organization is a recognition by all in the organization that employees of the organization are a foremost constituency, or customers of the organization's leadership. A central issue and relevant transformation factor then becomes worker, as "it is here that most quality programs are doomed to failure" (Steinenger 1992, 603). Evidence that motivation has failed is exhibited in use of extrinsic motivators (reward and punishment systems). Of the intrinsic motivators, defined as factors central to employee happiness and successful transformation, self-fulfillment is necessary and may only be achieved in an environment in which the transformation leadership has committed to the role of self-fulfillment. In such an environment there would be evidence of organization dialogue around issues of self-motivation and self-fulfillment.

Clemson and Lowe state that Total Quality Management by itself is not adequate as a means to organization excellence, proposing a set of systems tools to complement TQM transformation. An important distinction in this article summarizes elements of Argyris and Schon's (1978) "espoused theory" versus "theory in use." "The espoused theory represents the individual's own value system, but most individuals are unable to change their behavior to the espoused theory even after recognizing the gap between belief and behavior," and "Individual coaching can enable the individual to change from the theory in action to the espoused theory" (Clemson and Lowe 1993, 7). Although these authors are concerned with applying these notions to changes in executive behavior and overcoming differences between TQM transformation ideals (e.g., slogans) and observed practice, theory formation is a foundation of individual mental models and very much a part of the larger transformation dynamic. As will be discussed later in this chapter,

these perspectives have important implications to a notion of *deep structure* and *local theory* as part of dialogue dynamics.

TQM and Organization Learning

Change in large and complex organizations is defined as lasting change in the character of an organization that significantly alters its performance (Mohrman, et al. 1989). It requires change in organizational character defined by a fundamental change in key aspects of the organizational system, such as changes in patterns by which the organization relates to its environment, creates goods from raw materials, integrates organization resources, changes in human resources practices of the organization, and change in measurement of organizational performance. Shifts in beliefs and values of organization members must occur for long lasting change to actually take place, implying an individual cognitive shift apart from mere compliance with management expectations in a context of rewards systems. Creating this shift is the function of a learning organization and is implied within functional approaches to organization change such as TQM:

Building learning organizations, we are discovering, requires basic shifts in how we think and interact. The changes go beyond individual corporate cultures, or even beyond the culture of Western management; they penetrate to the bedrock assumptions and habits of our culture as a whole. We are discovering that moving forward is an exercise in personal commitment and community building. As Dr. W. Edwards Deming says, nothing happens without “personal transformation.” And the only safe space to allow for this transformation is the learning community (Kofman and Senge 1994, 7).

Creating the community in which change occurs for the individual, transforming the organization is theorized to occur within “appreciative cultures,” which nurture the positive images and dialogue necessary to constructing effective dialogue (Barrett and Srivastva 1991), and “collaborative competence.” (Barrett 1995)

To develop a learning organization, Morgan (1986, 92) specifies the principles of (1) "encouraging openness and reflectivity that accepts error and uncertainty as an inevitable feature of life in complex and changing environments"; (2) "encourage an approach to the analysis and solution of complex problems that recognizes the importance of exploring different viewpoints"; and, (3) "avoid imposing structures of action upon organized settings...the effect of which is to define an evolving space of possible actions that satisfy critical limits" (related to the concept in cybernetics of "minimum critical specifications").

Boundary formation around notions of TQM intervention requires that continuous interpretation be performed by members engaged in the transformation process. Feedback with the larger social culture and organization culture in which the organization is embedded would also seem to be part of an external and internal dialogue. This dialogue suggests identification of cultural and semantic distance between an espoused theory of TQM and the construction of TQM in the intervention would be noted within the transformation group. These distinctions would be necessary if the group were to be successful in bringing the organization to the formal state of TQM. Differences between these espoused formal notions and constructed realities are learned as part of the ongoing discourse between intervention participants with each other and what each of them understands as the constructed notion of TQM.

Construction of shared notions of TQM is a learning process. That is, participants in the intervention, in constructing individual theories about the nature of the intervention are doing so as part of individual learning. Construction of shared notions is likewise a learning process between members, a discourse of shared meanings and tested individual

theories. Kim (1993) presents one model in which learning is both operational and conceptual, increasing one's capacity to take effective action. His OADI model (Observe-Assess-Design-Implement) provides a framework for describing (intervention participant) individual learning, which will be referred to here as an internal monologue. In this model conceptual and operational notions are tested against individually held mental models of routines and frameworks. Feedback from outcomes to this process become part of individual learning.

Extending Kim's (1993) definition of individual learning to organizations, organizational learning is the process of increasing the organization's capacity to take effective action, e.g., to engage in intentional organizational transformation. Furthering this definition however is incomplete without considering the increased complexity arising from participant interactions. In Kim's (1993) view, organizational learning follows from Argyris and Schon's notion of shared models; "organizational learning takes place through individual actors whose actions are based on a set of shared models." Kim however also notes that this view and others (citing H.A. Simon's hypothesis of "Organizations as Behavioral Systems;" March and Olsen's distinction between individual and organizational learning; and Daft and Weick's (1984) model of "Organizations as Interpretation Systems") run the risk that

if a distinction between organization and individual is not made explicit, a model of organizational learning will either obscure the actual learning process by ignoring the role of the individual (and anthropomorphizing organizations) or become simplistic extensions of individual learning by glossing over organizational complexities" (Kim 1993, 42).

"Any form of *organizational* learning, therefore, will require the evolution of shared mental models that cut across the subcultures of the organization" (Schein 1994,

57). Understanding the dynamic dimension to the process of organization learning must therefore, in this view, and as elaborated on by Kim (1993) and Isaacs (1994) include the paradoxical situation mentioned above- two logical types (individual and organization models) are combined in the same model. Kim (1993) proposes to overcome this difficulty by including into one (OADI-Shared Mental Model) model individual mental models, modes of incomplete learning, and his previously mentioned OADI model.

Incomplete learning cycles are those that interrupt organizational learning, defined by Kim (1993) as situational (the individual forgets or does not codify learning from a present situation into learning for later use), fragmented (individuals learn but the organization may not due to decentralization or other fragmenting situations), and opportunistic (a standard operating procedure or in this case TQL procedure or process is bypassed in favor of process norms implicitly in place because the other is seen as an impediment to the task at hand). In Kim's view "crisis management is an example of situational learning. Quality management is a counterexample; it focuses on minimizing situational learning through systematic data gathering, analysis and standardization." He cites universities as "a classic example of fragmented learning. Professors within each department may be the world's leading experts on management, finance, operations, and marketing, but the university as an institution cannot apply that expertise in the running of its own affairs" (Kim 1993, 46). This view is supported by an outcome of a research project to establish meanings of quality in a university (Zhao, Steier, Gallup and Woodhams 1992) in which meanings were fragmented in the absence of communications between various departments of the university.

A methodological approach to organizational learning in a transformation initiative, not specific to TQM, is described by Keating, Robinson and Clemson (1994) in their Organizational Learning Process (OLP) design. Participant issues concerning transformation are co-constructed between researchers and focus group participants into a “local theory of organization.” Interviews with participants allows them to surface tacit knowledge outside of the group construct, which are arranged to “tell the story” of the organization. Subsequent reflection by the same participants on grouped data obtained from the interviews allows participants to reach understandings of other’s mental models and further understandings of their own. This ultimately forces into the open deep seated barriers to change. The connection with this research is that mental models are shown to exist in this methodology and that a communication framework providing the requirement for crossing of individual perspectives ultimately creates a learning dynamic.

As organizations react to an increasing rate of environmental impact, information exchange and specialization they will “show a greater tendency to break down into subunits of various sorts...and are likely to develop their own subcultures of sorts.” Organizational learning, transforming the organization in response to rapid change will require more and more “the evolution of shared mental models that cut across the subcultures of the organization.” (Schein 1994, 56)

TQM As A Systems Paradigm

As described above, a close connection may be described between organization transformation such as TQM and organizational learning. Similarly, there is an association between transformation and a systems perspective. And, although TQM is described

within a recursive and systematic model, the system's perspective necessary for transformation may not be an essential element to the paradigm.

Clemson and Lowe (1993) describe the dynamical approach to a systems perspective as "the interdependency of all aspects of the organization and attempts to ensure that they all work in harmony. One of the key insights for researchers in the area of system dynamics is that the behavior of the parts of the organization are largely determined by circular causal feedback loops that are generally unrecognized." While TQM itself emphasizes a continuous process of self-reflection in terms of data collection and redesign of processes to maintain tolerances, in these author's view TQM also lacks tools and a framework to understand the significance of causal loops. As mentioned above (Kim 1993) organizations are often unable to understand the relationship of an apparently systematic management system to its own causal loop formation and subsequent self-induced slowing of the intervention initiative.

In addition to causal loops, the systems perspective includes self-referential elements of Argyris and Schon's single loop and double loop learning. TQM as a systems paradigm is used to surface and manage "processes", but is not used in terms of double loop, or second order learning, to create itself. Simple, single-loop learning systems compare state variables to a known standard and create the potential for correction towards stability through information in negative feedback. Double-loop learning systems, a characteristic of learning organizations, promote challenges to standard norms, changing them and creating feedback based on this new system state. One of the dynamical consequences of the inability to create double-loop learning is that organizations are unable to deal with the truly complex nature of intervention. Double-loop learning

requires that, in addition to detecting and correcting an error in relation to a given set of operating norms, the relevance of those operating norms also be in question. Morgan (1986, 89) points out that double-loop learning is most difficult in bureaucratic organizations “which impose fragmented structures of thought on their members and do not really encourage them to think for themselves....The bounded rationality inherent in organizational design thus actually creates boundaries!” Lacking this point of view, organizations reinforce the dynamics of single-loop learning, maintaining systems devoted to maintaining stability and not transformation.

Isaacs (1994, 46) adds a dimension of triple-loop learning. “Triple-loop learning is the learning that opens inquiry into underlying ‘why’s.’ It is the learning that permits insight into the nature of paradigm itself, not merely an assessment of which paradigm is superior.” This perspective suggests a direct connection between systems perspective of organization transformation and notions of organizational dialogue.

Furthering the systems perspective in another direction, Gersick (1991) compares organization transformation models from six domains. In this article the traditional (Darwinian) model of incremental, cumulative change, is challenged by the concept of “punctuated equilibrium” in which organizational dynamics are not represented by smooth (linear) trajectories. Instead, transformation is discontinuous-with fits and starts, existing in and coupled to environments in which underlying structures which define the system are themselves subject to change:

Research on how organizational systems develop and change is shaped, at every level of analysis, by traditional assumptions about how change works. New theories in several fields are challenging some of the most pervasive of these assumptions, by conceptualizing change as a punctuated equilibrium: an alternation

between long periods when stable infrastructure permit only incremental adaptation, and brief periods of revolutionary upheaval (Gersick 1991, 10).

Notions of *deep structure* are also embedded in a holistic systems perspective of organizational transformation. "The activity patterns of a system's deep structure reinforce the system as a whole, through mutual feedback loops" (Gersick 1991, 16). TQM, in Gersick's framework, constitutes change to deep structures that results in reorientation of members in the organization. This change is equivalent to dismantling the organization from the epistemological and cultural foundations upon which deep structure rests, to the individual awareness of the concept of the organization and the meaning they give to and derive from it. In essence, it is "wholesale upheaval."

During equilibrium periods, systems maintain and carry out the choices of their deep structure. Systems make adjustments that preserve the deep structure against internal and external perturbations, and move incrementally along paths built into the deep structure. "Pursuit of stable deep structure choices may result in behavior that is turbulent on the surface" (Gersick 1991, 17) In a connection to chaos theory this surface turbulence may mask underlying stability and predictability of deep structures, exhibited in limit cycles, the resistance to change and feedback, and intermittence, a property of underlying order within disorder (Briggs and Peat 1989).

Other equilibrium dynamics within this systems perspective are formulated as barriers to change, including elements of cognition, motivation and obligation (Tushman and Romanelli 1985), and limits to human awareness, (not seeing the possibility for change) (Ouspensky, 1974).

As the External environment becomes more and more unstable relative to the deep structure within the organization, the possibility for revolutionary change, bifurcation, or chaos in favor of a new attractor takes place. "Revolutions are relatively brief periods when a system's deep structure comes apart, leaving it in disarray until the period ends, with the "choices" around which a new deep structure forms. Revolutionary outcomes, based on interactions of systems' historical resources with current events, are not predictable; they may or may not leave a system better off. Revolutions vary in magnitude" (Gersick 1991, 20).

Goldstein (1988) presents yet another perspective, considering the consequences of environmental perturbations to forming of far-from-equilibrium systems. In this systems approach, TQM transformation would create a far-from-equilibrium state relative to current organization deep structure, induced by an energy exchange between the organization and the environment. In this model, "a fluctuation or change in the environment is taken in and amplified until it invades the whole system" (Goldstein 1988, 21). This explanation of non-linear dynamics theory of sensitive dependence on initial conditions is also a characteristic of chaos theory and dissipative structures (a structure which dissipates energy to the environment without decomposing in the process). While the internal and external environments may provide the need for change, the actual revolutionary period occurs only after resistance to change is overcome by energy input to the system. "Revolutions themselves seem to require decisive breaks in systems' inertia" (Gersick 1991, 22).

Total Quality and Culture

As indicated above, individual mental models are part of the larger organizational model recursively constructed as organization transformation proceeds. Separating elements of organization transformation into functional units is not the objective of this dissertation. Indeed, this mode would seem to be supportive of traditional mechanistic approaches to research. However, it is useful to consider complex activity by dissociation of dynamics into these functional units.

A constructivist and highly recursive point of view within this dissertation is maintained in coupling to a central set of ideals, that organizations constitute themselves through language and languaging in which individuals participate. Understanding change therefore requires understanding the various interrelations between organization, individual and language. Within each of these notions lies another entire layer of constructions. One which must be considered when introducing individuals into the organization construction proposed here is the impact on culture and deep structure on discourse patterns. This cultural dimension has an enormous tradition of literature, much of which is far outside of the scope of this research. What is presented here is therefore specifically pointed towards fixing this researcher's epistemological and methodological concerns, allowing a researcher-data-analysis discourse to proceed.

Once again framing this discussion within TQM change initiatives a report of German TQM initiatives which concludes that, "German companies are concluding that a narrow definition of product quality is no longer sufficient to ensure success (and that) intentional transformation to broader concepts of total quality management are required to maintain customer loyalty" (Koster 1993, 6). The report specifies, amongst other

considerations that the spreading of a cooperative process is essential to success or failure of TQM. Missing from the list of themes that emerge in the report's analysis of the characteristics of the winners of the European Quality Award is any mention of the cognitive changes that must take place within the organizations embarked in change and the cultural differences that might be encountered. "TQM only has a real chance of being successfully implemented if top management exemplifies these philosophies and each employee stands behind this same idea with conviction" (Koster 1993, 12). Co-creating the mental models of cooperative process and conviction is very much tied to the use of language and metaphor, the organizational and larger environmental cultures in which this process is embedded. This view is again supported by Schein's (1994) proposal that organizational change takes place across cultures and subcultures. To understand the nature of a cultural examination of TQM, some consideration is given to TQM within the culture in which it was first employed for large scale change, Japan.

Cultural Variances in TQM Intervention

The conceptual structure of TQM has been successfully adapted in Japan (Deming 1982; Walton 1986). Western countries have cultures and value systems to which they are closely coupled and which may be at some cognitive distance from TQM philosophical perspectives found there. For example, in a study of Japanese personal, business, educational and governmental relationships that make TQM culture possible, fourteen characteristics differ from Western perspectives (Ishikawa and Lu, 1985).

Hofstede and Bond (1988) explored the relationship between the Confucian culture and economic growth experienced by Singapore, Taiwan, South Korea and Japan. They postulate a similar culture and economic dynamic for the People's Republic of China.

Data obtained from an attitude survey of 116,000 employees from 72 countries (Hofstede, 1980) was grouped into four cultural dimensions: *Power distance* (the extent to which the less powerful members of organizations and institutions accept and expect that power is distributed unequally), *individualism* (versus its opposite - collectivism), *masculinity* (versus its opposite - femininity) and *uncertainty avoidance* (refers to cultural need to "search for truth", and is a dimension of the degree to which the members of a culture are comfortable or uncomfortable in unstructured or ambiguous circumstances). Comparing American and Japanese cultural dimensions in this study reveals that Japanese culture ranks first in *masculinity* (which is very much different from rankings of the other Neo-Confucian cultures) compared to fifteenth for American culture. Japan was seventh in *uncertainty avoidance* compared to American 43rd. Japan and American workers compared nearly equally in *power distance* (Japan 22 to American 23) and *individualism* (Japan 33 to American 38).

A fifth cultural dimension *Confucian Dynamism* tests cultural bias towards a cognitive stance that is dynamic, future-oriented (positive pole), or static and tradition-oriented (negative pole). Positive and negative orientation analyzes specific cultural values within Asian constructs of Confucianism. "In discussing the IBM studies, we showed that none of the four IBM dimensions was associated with economic growth across all countries; however, we were stunned to discover that our new dimension, Confucian Dynamism, is strongly associated with economic growth over the period between 1965 and 1985 across all 22 countries, rich or poor, that were covered" (Hofstede and Bond 1988, 16). In this dimension, Japan ranked third behind Hong Kong and Taiwan, with America ranked 14th (of 22 countries).

The Hofstede and Bond study points out a cultural difference between those that display both a high tolerance for ambiguity (uncertainty acceptance) and a high positive Confucian Dynamism score. American culture, by comparison demonstrated low tolerance for ambiguity (high uncertainty avoidance) and (as expected) a relatively low Confucian Dynamism score. Yoshida (1991) elaborates on this theme by identifying relationships between Eastern cultural Neo-Confucian norms (adapting Hofstede and Bond's data) and "norms" of TQM. According to this thesis, a relationship between TQM and deeper cultural dimensions is fundamental.

Certainly culture is an important dimension and has much to do with the dynamics of interactions between people within and outside that culture. That is not to say however, that the cultural dimension is the predominant dimension, nor are norms within a given culture exclusive to it and no other. Hofstede and Bond (1988) point out that Confucian notions of filial piety are equally important in non-Confucian cultures found in India and Brazil. Nor is there necessarily agreement about the consequences of the influence of one culture on another. Fallows (1989) claims in the book's introduction that "In America, the Confucian idea that society should be more orderly is an unhealthy, alien influence." And, while cultural factors may be heavily interrelated to other processes, they themselves may be the product of seemingly unrelated circumstances such as geography. For example, Japan is a small and mountainous racially homogenous nation dependent upon the stability derived from cooperation and consensus for common good. From this discussion it becomes obvious that although an understanding that culture is integrated into processes of organization transformation. For the researcher some level

must be determined at which these interactions are understood as part of a group construction, apart from but embedded in notions of culture.

As further examples, Krone (1990) proposes two cultural values generic to America impede “buying in” by participants of TQM transformations; lack of patience to continue something that may at first fail, and the ethic of competition instead of teamwork. Maital (1992) discusses language difficulties implied in cultural differences when trying to communicate quality and TQM meanings. A Japanese business professor proposes in this discussion that “TQM demands we refine the language of affectation into the language of reports (facts)” (Maital 1992, 50). Notions of “language of affectation” and relationship to “facts” are understood differently, informed by and constructed in culture.

TQM In Transformation of Academic Organizations

Surveys of university TQM transformations report that by 1992 initiatives were underway at 220 institutions (Henderson 1992, Axland 1992). In at least half of these schools implementation was in response to perceptions of lower funding and decreased enrollments. The need to immediately create quick fixes to universities' finances focused TQM efforts on eliminating waste, which implies university support and administrative processes as the targets. There is also a perception that education in the US is not providing the requisites for international competition. In an article published as an “open letter” to academia, the presidents of some of the largest corporations in the US stated that “We believe business and academia have a shared responsibility to learn, to teach, and to practice Total Quality Management. If the United States expects to improve its global competitive performance, business and academic leaders must close ranks behind an agenda that stresses the importance of TQM” (Harvard Business Review 1991, 94). The

formation of a "Leadership Steering Committee" was announced that would seek to "Identify the core knowledge generic to Total Quality, develop a Total Quality academic research agenda, and develop faculty understanding and commitment to TQM" (Harvard Business Review 1991, 94).

In spite of the publicized need for change, there is a great deal of skepticism within academia, for the development of TQM in the academic setting. It is apparently not inconsistent for a university to be a leader in the implementation of TQM within its administrative domain, only to experience resistance in the academic domain. "If I could overstate the way various sectors of University society are embracing TQM, I'd say that the academic world doesn't think there's much to TQM. It's yet to be proven" (Krone 1990, 36).

Bateman (1992, 5), describing difficulties with TQM implementation at the University of Chicago states "Our working hypothesis is that difficulties in TQM implementation can be traced to failures to stress all or at least most of the eight components. When TQM implementation appears slow and disappointing, the TQM effort should be compared against all eight components to see where it is lacking." The "eight components" are essentially this institution's edited version of Deming's fourteen points. Coate (1992), on the other hand, has attempted to move beyond the objectification of processes, discussing barriers to TQM implementation at the University of Oregon as language, middle management, university governance, deeply dysfunctional work groups (change only drives them to further turbulence), and attitude (looking for the big "fix," institutional arrogance, suspicion of industrial origins of TQM, and basic individual unwillingness to change). Both approaches do not acknowledge the dynamic quality of

resistance to change, instead conceptualizing change as a linear process seeking to specify "the reason" for failure.

Universities attempting transformation within a TQM construct have encountered difficulty defining notions such as quality and customer. In one study at a university contemplating TQM transformation, notions of quality were found to have a rich set of meanings communicated in departmental metaphors linked to respondent positions within the university. Semantic distances attributed locally to "misunderstandings" disclosed for each group a different set of quality definitions perceived by one group to be those in action by other groups (Zhao et al, 1992). This study demonstrated a university rich with multiple perspectives in which a singular organizational espoused theory or definition of basic university processes did not exist, nor did Garvin's (1988) categorical definitions appear (quality as being transcendent, manufacturing-based, product-based, value based, or user-based).

Academic institutions have had difficulty with organization transformation terminology, outside the business and administrative processes that support them. Within TQM, the difficulty rests in defining pedagogical activities of professors and students in a service and customer metaphor that also includes such terms as "raw materials," and "product." Rhinehart (1993, 2) disputes "This definition of quality (that quality reflects what quality is), as applied to education certainly reflects what is meant by quality. Though education deals with issues and ideas that are more ephemeral than quality of products or services, this does not mean the concept is not applicable. The outcomes may be harder to measure and the principles harder to visualize, but they are no less valid".

Coate (1992) describes other barriers to change at Oklahoma State University, where TQM intervention was considered to be successful. Barriers included skepticism (it's only a fad), time (time resource devoted to meetings), language (use of industrial philosophy aimed at customers at a university), resistance by middle managers to give up power, governance of universities (run as committees, with little hierarchical structure--those in hierarchical positions can't mandate compliance. Also, faculty have a high degree of expected autonomy), barriers in dysfunctional units (interpersonal dynamics and political issues can be heightened as part of the dynamics of the transformation), and attitude (looking for the big fix, arrogance--using TQM mantle to complain about others performance, and suspicion that TQM is "lightweight stuff" in an academic environment), and unwillingness to change. Cornesky (1993) compliments this perspective with five possible directions from which TQM transformation at universities may be "sabotaged" These include "impatience", "failure of top leaders to "walk the talk", "unwillingness of top administrators to relinquish authority", "failure to adapt business principles to an academic setting", and "absence of a commonly understood, widely accepted, institutional mission."

Kim's (1993) OADI-SMM model of organizational learning defines fragmented learning as one of three "incomplete learning cycles." He states further that: "Universities are a classic example of fragmented learning. Professors within each department may be the world's leading experts on management, finance, operations, and marketing, but the university as an institution cannot apply that expertise to the running of its own affairs" (Kim 1993, 46). Morgan (1986, 89) points out that double-loop learning is most difficult in bureaucratic organizations "which impose fragmented structures of thought on their members and do not really encourage them to think for themselves...The bounded

rationality inherent in organizational design thus actually creates boundaries!" A second major barrier to double-loop learning is the requirement to maintain bureaucratic accountability in a system of rewards and incentives, and a third described as the gap between Argyris and Schon's (1978) espoused theory and theory in use. In this third barrier, groups develop espoused theories that prevent them from knowing the "real" nature of their problem, making it difficult for the group to test operating norms, as they don't know what they are (Morgan 1986, Clemson and Lowe 1993).

In another approach proposed by Seymour (1992) quality in universities is defined as *strategic*, acknowledging domains of interrelations. These domains include: *Definitional*, in which quality extends beyond the interaction between the professor and the student in the classroom or the meeting of accreditation standards: strategic quality management is a set of multi-dimensional principles that embrace this broadened definition; *Organizational*, in which a college or university seeks to advance learning. Here strategic quality management is a structural system that creates a learning organization; *Operational*, where a college or university operates as a collection of isolated individual parts and strategic quality management is a unifying force that advances an integrated, purposeful whole.

Deep structure

Systems models of organization transformation, if holistic, ultimately include the individual participant as well as the organization itself. "The dominant tradition of inquiry into human nature has increasingly sought the human essence in the characteristics of self, mind and personality said to be found within what I have called the self-contained individual and what (may also be referred to as) the *moi*; the deep , sometimes mysterious but knowable psychological entity who forms the living core around which society is built"

(Sampson 1993, 17). In extending this perspective to participants' cognitive schemes, interacting with dynamics of organizing and change brings with it what are conscious and unconscious—patterns of epistemology, morphology, culture and values, combined into mental models. “The problem with mental models lie not in whether they are right or wrong—by definition, all models are simplifications. The problem with mental models arise when the models are tacit—when they exist below the level of awareness” (Senge 1990, 176). This tacit level is the level of *deep structure*.

From a macro-philosophical viewpoint: “Every society throughout history has guided itself by some tacit answers to the great questions, Who are we? What kind of universe are we in? What is ultimately important? The accepted answers to these questions amount to an assumed set of underlying metaphysical assumptions. Whatever this prevailing picture of reality is, it affects all of our thinking about such topics as human development, organizations, and the values guiding organizations” (Harman 1990, 10). Thus, organization dynamics are a consequence of the deeply embedded cultural factors. Gersick (1991) suggests a more cybernetic explanation in which deep structure is one of three components which constitute a *punctuated equilibrium* paradigm of change in revolutionary periods:

Systems with deep structure share two characteristics: (1) they have differentiated parts and (2) the units that comprise them “work”: they exchange resources with the environment in ways that maintain-and are controlled by-this differentiation. Deep structure is the set of fundamental “choices” a system has made of (1) the basic parts into which its units will be organized and (2) the basic activity patterns that will maintain its existence. Deep structures are highly stable for two reasons. First, like a decision tree, the trail of choices made by a system rules many options out, at the same time as it rules mutually contingent options in. Second, the activity patterns of a deep structure reinforce the system as a whole, through mutual feedback loops (Gersick 1991, 13).

Whether described as mental models or Bartunek and Moch's (1987) cognitive schemata the act of making distinctions about the world involves some framework to guide and give meaning from observations of the world. Further, Bartunek and Mock echo Gersick (1991) that "Schemata, once established, tend to endure," (Bartunek and Moch 1987, 485) a consequence of deeply embedded structure.

Working outward from the individual deep structure perspective, Stewart and Bennett (1991, 7) define a notion of *deep culture* based on differences between *gemeinschaft* and *gesellschaft* societies. *Gemeinschaft* societies are tradition oriented: "Social fiber of *gemeinshaft* communities creates for its members an interpersonal reality." In *gesellschaft* communities, "social ties based on rational agreement and self-interest are regulated by law. Identity separate from belonging and the status of the individual takes precedence over membership in a group." Together these produce a *weltanschauung* or world view as reflected in culture, deep rooted assumptions, artifacts and overt behavior rules (Kim 1993, 45)

The reflexive and recursive nature of the junction between individual deep structure and transformation is described by Kim (1993, 38): "...a person continually cycles through a process of having a concrete experience, making observations and reflections on that experience, forming abstract concepts and generalizations based on those reflections, and testing those ideas in a new situation, which leads to another concrete experience." This notion is then linked in a structuralist model with mental models: "Mental models represent a person's view of the world, including explicit and implicit understandings. Mental models provide the context in which to view and interpret new material, and they determine how stored information is relevant to a given situation....They are like the source code of a

computer's operating system" (Kim 1993, 39). Pagels (1988, 23) continues this structuralist argument, mirroring Chomsky's (1966) structural theory of linguistics; "It would appear that spoken language is subordinate to a nonverbal format, a deeper logical structure that is independent of any specific language."

In counterpoint to a structural view of mental models, Searle (1992) argues that schemata and mental models are not "things" which one has readily available in the unconscious that then informs the conscious, much like a peripheral computer program. Such a paradigm would require dividing the unconscious from consciousness mind, a clean separation that has not been demonstrated. The implication for the researcher is that whether termed deep structure, mental models or cognitive schema, interaction between actors and organization in transformation must acknowledge all levels.

Organizational Discourse and Dialogue

Language is ultimately very complex. The act of *linguaging* is an individual act, but in organization transformation this becomes part of a social dynamic constructing distinctions in participation with others which give meaning to action and theory. As a system of interrelations, language is:

a system of recursive consensual coordinations of actions in which every consensual coordination of actions becomes an object through a recursion in the consensual coordinations of actions, in a process that becomes the operation of distinction that distinguishes it and constitutes the observer. Further, 'For a living system in its operation as a closed system, there is no inside or outside; it has no way of making the distinction. Yet, in language such a distinction arises as a particular consensual coordination of actions in which the participants are recursively brought forth as the distinctions of systems distinctions. When this happens, self-consciousness arises as a domain of the distinctions in which the observers participate in the consensual distinctions of their participations in language through linguaging. It follows from this that the individual exists only in language, and that self-consciousness as a phenomenon of self-distinction takes place

only in language. Furthermore, it also follows that since language as a domain of consensual coordinations of actions is a social phenomenon, self-consciousness is a social phenomenon, and as such it does not take place within the anatomical confines of the bodyhood of the living systems that generate it; on the contrary, it is external to them and pertains to their domain of interactions as a manner of coexistence (Maturana, 1991).

Discourse through language is the dynamical element which makes possible the formulation and generation of distinctions amongst participants about meanings of change. A separate, but central, issue is distinguishing dialogue from discourse as a methodological tool.

Barrett (1995, 352) contends discourse “is the core of the change process.” Dialogue, on the other hand is the co-creation of meaning in discourse. Other understandings of dialogue begin with Greek roots *dia* and *logos*, or “meaning flowing through,” and Plato’s Dialogues in which the concept of inner dialogue is considered in the formation of insight. Buber (1965) furthers the relationship between “I and thou,” in which there is an act of appreciating an “other” in a practice of hearing and understanding. Isaacs (1994) cites as another formative position Bohm’s (1980) use of dialogue to surface tacit understandings in conversation.

In another view of dialogue “(we) are essential aspects of each other’s very being. Our selves, our minds - and indeed, the society in which we live - are all co-created projects, never solo performances in which we have star billing and others are mere background. We celebrate the other, for without the other there is no existence for us either.” (Sampson 1993, 109). Sampson brings us to a point of departure between Buber’s (1965) notion of dialogue between “brothers” who are co-equal, Habermas (1975) notion of ideal speech, and dialogue in a reality of unequal power relationships. In

considering dynamics of racism and sexism, as obvious power relationships, co-constructed dialog is one in which dominant actors perpetuate a dialogically constructed “serviceable other” with which to maintain an ongoing separate monologue that supports the ongoing power relationship. McIntosh (1988) illustrates the role of interlocking dominance modes supporting male dominance which become part of deep structure and are therefore included in the structure of dialogue as it is co-constructed between a man and woman. This asymmetry in dialogue complicates the discourse dynamic immanent in transformation, such that, “Discourse, as George Orwell depicted in *1984*, like any resource, is a potential tool to be used by the powerful to control and maintain the status quo” Barrett (1995, 368).

The implications for this study are that participants engaged in a discourse about change are not merely co-constructing the means for change, but are also in the process of creating Sampson’s “serviceable other,” with consequences for the transformation leadership’s ability to engage in dialog with other groups in the organization. From Sampson’s point of view, only an asymmetric dialog about quality in academe is possible as long as quality is being defined from the dominant standpoint. Surrendering dominance, although necessary to egalitarian dialogue, is not likely within power dynamics of the group and is a distinction not possible within dominant group’s need to maintain status; “that is precisely the point of the dominant group’s control. Their advantage is lost when true dialogs occur” (Sampson 1993, 158). Eisenberg and Goodall (1993) define three levels of dialogue; as equitable transaction, as empathic conversation, and as meeting. In dialogue as *meeting*, “ we must learn to interpret communicative action as a dialogic process that occurs between and among individuals, rather than as something we do *to* one another.

Both parties are responsible for the dialogue as well as the risks taken. Only together do we make progress” (Eisenberg and Goodall 1993, 43).

Senge (1990) calls dialogue a process for creating “pools of meaning” in which participants may together form understandings, taking them beyond any individual understanding. The purpose of dialogue in Bohm’s view (in Senge, 1990) is to “reveal incoherence in our thought.” Three types of incoherence are discussed in detail by Senge (1990, 241); “thought that denies that it is participative;” “thought stops tracking and “just goes like a program;” and “thought establishes its own standard of reference for fixing problems, problems which it contributed to creating in the first place.” Sensitization of each participant to incoherence allows collective understanding to move forward.

Senge (1990, 243)) points out three prerequisite conditions for dialogue to take place. First, each participant must suspend their assumptions by becoming aware of them. Holding to a favored position is a symptom of organizational resistance and blocks dialogue. Second, participants in dialogue must recognize each other as colleagues. Bohm (In Senge 1990, 245), as echoed also by Sampson’s (1993) notion of asymmetric dynamics in dialogue, asks, “can those in authority really ‘level’ with those in subordinate positions?” Willingness to view each participant as a colleague also requires distancing oneself from being inside of a hierarchical relationship with another person, which in forming the dialogical “other” is very difficult. It is also very complex, encompassing power and hierarchy notions embedded within formal structural domains (Blankenship 1977, Crozier 1977) and charisma (Weber 1968). As another explanation for resistance based on hierarchical distinctions, holding oneself apart from power structures to meet other participants in the same state is difficult if meanings given to assumed common terminology

are different (Schein 1994). An example drawn from the observations made in this research demonstrated that defining “customer” in dialogue was very closely coupled to each participant’s hierarchical view to meanings of “customer,” and often differed. Defining this term (Chapter IV) became the objective of recursive dialogue dynamics.

Third, Senge (1990, 243) proposes that a facilitator is necessary to “hold the context” of dialogue. As groups develop dialogue expertise, facilitation plays less of a role, ultimately leading to a “leaderless” group, similar, in Senge’s view to some “American Indian tribes (which) cultivated dialogue to a high art without formal facilitators.” In Bohm’s view discussion (conversation or discourse) has a different meaning than dialogue. He compares the dynamics of discussion to a ping pong game in which the ball is constantly being hit back to an opponent, with an objective to “win.” Winning is an overt act that one participant engages in to maintain a cognitive model over another, and therefore is not compatible with dialogue. In Bohm’s thermodynamic metaphor, electrons, likened to discourse, move faster in an energized environment, moving toward chaotic and ultimately unstable activity. On the other hand, cooling the electronic or discourse environment permits coherence to develop (Isaacs 1994).

Testing definitions of dialogue, Evered and Tannebaum (1992) engage in a discourse about discourse, surfacing elements of a dialogic principle. Bakhtin’s *dialogical principle* (Todorov 1984) is at first textual, focusing on the monological and dialogical relationship between reader and printed text, then semantical with the “theory of utterance.” “All true understanding is active and already represents the embryo of an answer. Only active understanding can apprehend the theme (the meaning of the utterance); it is only by means of becoming that becoming can be apprehended. All

understanding is dialogical. Understanding is opposed to utterance like one reply is opposed to another within a dialogue. Understanding is in search of a counter-discourse to the discourse of the utterer" (Todorov 1984, 22).

While the majority of dialogue literature reviewed proposed that dialogue is elemental to constructing human knowing and agree to its reflexive and recursive nature, little agreement is found in methodological use of dialogue. "Little empirical work has been done on the construct of organizational memory and shared mental models." (Kim 1993, 49). Barrett (1995, 369) proposes that "researchers should take a historical and longitudinal perspective in studying how linguistic forms are inherited, how these forms constrain and facilitate thought and action, and how they change through time." Isaacs (1994) extends Lewin's force field analysis to creating "fields of inquiry" in which the "practice of dialogue" is used to surface what had been tacit in individuals, made conscious so that different choices for action emerge. Similarly, Keating and Robinson's Organization Learning Process (OLP) facilitates organization learning by recursively surfacing tacit assumptions and meanings for reflection and dialogue by group members.

A different perspective is provided by Rommetveit (1988), Herbst and Rasmussen (1986) and Braten (1984). A co-genetic, or contextual logic is proposed, based on Spencer-Brown's (1969) *Laws of Form*. "It's point of departure is 'the primary distinction' or basic initial step in an individuation of the world into meaningful entities and aspects, i.e., the cognitive act of organizing an entirely unstructured domain into a region bounded by an otherwise entirely unknown 'outside of' (Rommetveit 1988, 5). It is this feature of dialogue, creation of a distinction which provides a methodological link to the researcher.

Constructing Dialogue

What is a dialog? What is the essence of an exchange that in its presentation carries itself forward and unfolds further possibilities? This is an important question to consider if, “discourse is the core of the change process” (Barrett; Hovevar and Thomas, 1995), and “Dialogue (as a vehicle for understanding cultures and subcultures) thus becomes a central element of any model of organization transformation.” (Schein 1994, 56). From the Greek *dia* and *logos*, or “meaning flowing through,” dialogue’s central purpose is to:

establish a field of genuine meeting and inquiry (which we call a container)—a setting in which people can allow a free flow of meaning and vigorous exploration of the collective background of their thought, their personal predispositions, the nature of their shared attention, and the rigid features of their individual and collective assumptions. Dialogue can be initially defined as *a sustained collective inquiry into the processes, assumptions, and certainties that compose everyday experience*. Yet this is experience of a special kind—the experience of the meaning embodied in a community of people. All organizations, even dysfunctional organizations, are full of a rich store of meaning—it is what produces the commonality of behaviors across any complex organization, and what gives communities the power to torment and stifle their members. Yet, often that meaning is incoherent, full of fragmented interpretations that guide behavior, yet go untested and unexplored. (Isaacs 1994, 41)

This section considers a gap between theoretical stances that acknowledge the importance of dialogue as a dynamic within socially constructed structures, and *steersmanship* of those constructs—e.g., directing, intervening or transforming organizations. A “mechanism” which links theory with practice is missing, leaving practitioners with an acknowledgment of dialogue’s central position, but without tools to enact this centrality in practice or research. A review of research methods and calls for further research that place dialogue at the center are considered here, followed by a conceptual model of dialogue, derived from multiple classical sources. Construction of this

model sensitized this researcher to a foundational understanding of elements of the essence of dialogue.

Centrality of Dialogue In Theory to Practice Gap

Kofman and Senge (1994, 17), referring to language as *generative practice*, ask the question central to discourse-inquiry paradox: “What if observation itself is the beginning of the fragmentation?” Inseparability separating language as both method and focus of research has been at the root of methodological paradox. Instead of separating, methodologies must include themselves within the language dynamic under study.

Isaacs (1994, 46) provides a description of dialogue through description of its evolution from “invitation” to “metalogue,” acknowledging that “dialogue is an advance on double-loop learning processes,” representing triple-loop learning. Within notions of organization learning, second-order and triple-order learning are key elements, yet understanding a definition and flow of dynamics of dialogue, proposed by Isaacs, does little to provide a mechanism by which dialogue may be apprehended by the practitioner for inclusion in these intervention techniques.

(Schein 1994, 60) describes dialogue as “a central element of any model of organizational transformation,” and provides an explanation of the essential differences between dialogue and other “sensitizing” communication enhancers. At the practitioner level, communication can become conversation which develops to organizational metalogue through dialogic processes, or debate which is characterized as a “beating down process.” At the level of “mechanism,” however, the elements of a distinction between when one is engaged in either process are not provided.

Ford and Ford (1995) “invert” perspectives which propose that communication occurs in the context of change to one in which “communication is the context in which change occurs and that the change process unfolds in a dynamic of four different types of conversations.” In their constructivist view, “Producing intentional change, then, is a matter of deliberately bringing into existence, through communication, a new reality or set of social structures” (Ford and Ford 1995, 542). In their view change occurs through a combination of speech acts and a sensitized change agent’s effective application of conversation steering into productive conversations. A dynamic view of conversation and conversation types was used to construct a model of dynamics of conversation in change. Breakdowns in conversation are presented as causes for breakdown in change (Ford and Ford 1995, 556) , a view explored separately by Braten in more dialogic terms. These authors propose that research which examines language in organizations which “draws on the culture literature and considers how associated conversations support or hinder a change effort would make a valuable contribution to the understanding of change as a phenomenon in communication” (Ford and Ford 1995, 557). In the end however, these authors, although acknowledging language dynamics as a central feature of organization change, offer as an implication for practice that change effectiveness may be improved by training managers to recognized a typology of conversation types.

Markova and Foppa (1990) provide a collection of proposed dialogic dynamic perspectives, extending notions of difference between dialogue and monologue and calling for re-framing of these definitions within postmodern epistemological philosophy. Within such an epistemological shift new dialogic-based methodologies become possible: “Co-genetic logic is concerned with language change and with intentionality.....as a guiding

principle for the study of such a dynamic phenomenon as a *dialogue*, then the challenge is to state precisely what the *units* of analysis of dialogue are” (Markova and Foppa 1990, 14).

Defining units of analysis is one important element in creating a dialogic methodology, however any methodology must also be sensitive to the embedded nature of the units of analysis. Luckmann (1990) proposes a “three-step model” of analysis that includes notions of dialogue asymmetry, the difference in power relations that are tacit and immanent in all human interactions, as also explored in Sampson (1994).

Ellinor and Gerard (1998, 13) suggest to “...think of dialogue as a communications practice that actually bridges communication, leadership, and culture. It is a powerful form of conversation that helps us meet the dilemmas we face by transforming the consciousness of those who engage in it.” Dialogue is a “practice” which may be enhanced through second order “metacognition” in which practitioners learn to “think about thinking,” and cultivate competencies associated with elements of dialogue such as suspension of assumptions, listening, inquiry and reflection. Together these components of dialogue may be synthesized into a definition and practice of dialogue. Elemental units of analysis, the essence of what is researchable is not surfaced in this practical description.

Markova and Foppa (1990) acknowledge that at best what so far exists is “the basis for an epistemology of dialogism,” to be further extended by definitive methodology into practice. This is the gap between theory and practice which this research proposes to contribute.

A Multilevel Dialogue Model

The purpose of this model is to make sense of a wide range of literature and to develop an initial research point of view which includes use of dialog as a research methodology.

Buber (1965) stands apart from more distant classical Socratic philosophy and pre-dates Wittgenstein's ordinary language philosophy and more recent views of dialog as a communication conduit for information (Axley 1984) by asking "what is the difference between dialog and conversation?" "(Or) when is interaction between people dialog and when is it "Do you want a cup of coffee?" Here, Buber (1965) represents the activity of dialog as a complex interaction with many characteristics and an essence which is difficult to capture. In a range of human interaction, at the opposite end of spoken and empathic language, dialog would be unspoken. "Speech can renounce all the media sense and still it is speech." In the following quote Buber gives a contextual account of empathic and tacit understanding in transforming perspective.

Imagine two men sitting beside one another in any kind of solitude of the world. They do not speak with one another, they do not look at one another, not once have they turned to one another. They are not in one another's confidence, the one knows nothing of the other's career, early that morning they got to know each other in the course of their travels. In this moment neither is thinking of the other; we do not need to know what their thoughts are. The one is sitting on the common seat obviously after his usual manner, calm, hospitably disposed to everything that may come. His being seems to say it is too little to be ready, one must also be really there. The other, whose attitude does not betray him, is a man who holds himself in reserve, withholds himself. But if we know about him, that his withholding of himself is something other than an attitude, behind all attitude is entrenched the impenetrable inability to communicate himself. And now-let us imagine that this is one of the hours which succeed in bursting asunder the seven iron bands about our heart-imperceptibly the spell is lifted. But, even now the man does not speak a word, does not stir a finger. Yet he does something. The lifting of the spell has happened to him-no matter from where-without his doing. But this is what he does now: he releases in himself a reserve over which only he himself has power.

Unreservedly communication streams from him, and silence bears it to his neighbor. Indeed it was intended for him, and he receives it unreservedly as he receives all genuine destiny that meets him. He will be able to tell no one, not even himself, what he has experienced. What does he now "know" of the other? No more knowing is needed. For where unreserve has ruled, even wordlessly, between men, the word of dialogue has happened sacramentally (Buber 1965, 3).

In Buber's theory of dialog, participants are assumed co-equal partners so that a symmetric relationship is understood. Co-construction of an outside, inside and boundary to the dialog are ambiguous. Instead, dialog is dependent on deep shared common understanding of contexts and empathy between participants which is independent of "distinctive life in the sign, that is in sound and gesture." Although a form of dialogue may exist in this realm, it is difficult to objectify it in some comprehensible form. "On the other hand an element of communication, however inward, seems to belong to its essence. But in its highest moments dialogue reaches out even beyond these boundaries. It is completed outside contents, even the most personal, which are or can be communicated. Moreover it is completed not in some "mystical" event, but in one that is in the precise sense factual, thoroughly dovetailed into the common human world and the concrete time-sequence."

Illustrating a co-constructed event in dialog, Buber describes an interaction that took place with a theological colleague in which a shift in perspective occurs as a result of mutual understanding in the dialog.

The date is Easter 1914. Some men from different European peoples had met in an undefined presentiment of the catastrophe, in order to make preparations for an attempt to establish a supra-national authority. The conversations were marked by that unreserve, whose substance and fruitfulness I have scarcely ever experienced so strongly. It had such an effect on all who took part that the fictitious fell away and every word was an actuality. Then....one of us, a man of passionate concentration and judicial power of love, raised the consideration that too many Jews had been nominated, so that several countries would be represented in unseemly proportion to their Jews. Though similar reflections were not foreign to my own mind, since I hold that Jewry can gain an effective and more than merely

stimulating share in the building of a steadfast world of peace only in its own community and not in scattered members, they seemed to me, expressed in this way to be tainted in their justice. Obstinate Jew that I am, I protested against the protest. I no longer know how from that I came to speak of Jesus and say that we Jews knew him from within, in the impulses and stirring of his Jewish being, in a way that remains inaccessible to the peoples submissive to him. "In a way that remains inaccessible to you"-so I addressed the former clergyman. He stood up, I too stood, we looked into the heart of one another's eyes. "It is gone", he said, and before everyone we gave one another the kiss of brotherhood (Buber 1965, 5).

The discussion of the situation between Jews and Christians had been transformed into a human bond transcending religion. In this transformation dialogue occurred, and as Buber describes the transformation, "Opinions were gone, in a bodily way the factual took place" (Buber 1965, 6).

As Buber presents one concept of dialog, that which in its truest form requires the fulfillment of an "I-Thou" relationship where participants are able to recognize each other as interpreters without objectifying each other within constraints such as power and intent, Evered and Tannenbaum (1992) present a complementary set of dialogue distinctions. Where Buber's conceptual dialog is a first step towards a model of dialog, Evered and Tannenbaum (1992) present in a meta-dialogue what may be a second step in forming a model, capturing the dynamic nature of a symmetric dialog in which interrelated definitions are surfaced, but still constructed within the context of assumed participant co-equality.

In this dynamic view of dialog what is objectified is the unfolding of the interaction between participants and is therefore also a possible unit of analysis. Other definitions specify discourse within the smallest element of speech, embodied in speech acts (Searle, 1969). This view is less concerned with social implications in languaging and contends that all utterance is rule-based and specific. That is, what one can mean, one can say.

Utterance, meaning and rules are together a speech act. While this may provide a useful

linguistic unit of analysis it de-contextualizes a deeper cognitive role of schema and depends more on an autonomous participant.

In dialog as a dynamic interchange, a “three step process” is the triadic unit of analysis in a minimum interchange that also includes internal relations of the participants, based on co-genetic logic. “The basic assumption of this approach is that every message is embedded in its linguistic and social contexts and is both past- and future-oriented, i.e. it is both retro-active and pro-active” (Markova 1990, 131).

While the three-step process view of dialog incorporates the necessity for a dynamic dialog, it still yields little towards defining, as a practical approach, units of analysis in the context of a meeting. The dynamics of dialog may be surfaced in the triadic unit, but defining the triadic unit itself is difficult. That is, what in a long organization dialog, separates one triadic unit from another? Eisenberg and Goodall (1993) bridge this gap with their three level definitions of dialog which includes “Dialog as Equitable transaction”, Dialog as Empathic Conversation”, and “Dialog as Meeting”. “To establish dialog as authentic meeting, we must learn to interpret communicative action as a dialogic process that occurs between and among individuals, rather than as something we do to one another. Both parties are responsible for the dialogue as well as for the risks taken. Only together do we make progress” (Eisenberg and Goodall 1993, 43).

Meetings can serve as sense-making or nonsense-making tools for an organization, a consequence linked to intention of participants brought together for the purpose of bringing about a mandated intervention. In Schwartzman and Berman’s (1994) view, meetings are microcosms of organizational context--speech acts within a meeting setting are referenced to other issues such as intention and power relations. Ambiguity, cultural

deep structure, intention and interpretation conspire to create the “murky” world as seen through a meeting discourse. Intentionality closely coupled to group action should produce anticipated results from such discourse. However this is often not the case, as change does not come about from intended consequences but more often as a by-product (Ortner, 1984 in Schwartzman and Berman.). This is a polar opposite point of view to Eisenberg and Goodall (1993), and Evered and Tannenbaum’s (1992) more idyllic concept of meetings as an opportunity for mutual openness. Creating this ideal may be a function of the effective intervention organization.

Isaacs (1994) proposes that meetings are “containers” or environments composed of collective assumptions, shared intentions and beliefs of a group. In his theory, dialogue is an evolutionary process proceeding from an invitation to participate, through conversation (discourse) and deliberation. Conversation raises participant awareness of the multiple points of view. The energy required to bring any single coherence into these multiple views is likely to be frustrating, creating a crisis. Facing crisis leads to a group bifurcation in which enhanced modes of discourse may be embraced, leading ultimately to a dialogic state, or modes of interaction (such as debate) which reinforce enactment of status quo defense mechanisms.

A First Order Dynamic Dialogue Model

A *first order* model (Figure 1) of dialogue is constructed beginning with Buber’s notions as a starting point. Models provide an opportunity to bring into focus multiple perspectives, and are one tool by which the researcher may sensitize oneself to issues within the variety of perspectives that produce another kind of dialogue, one between ideas and researcher.

In this first order model, participant intentionality (tacit intent for which the discourse is being conducted) is unknown or at best ambiguous. Because all utterance comes from someone immersed in their own contextual reality, their intent in making that utterance is a part of the dynamic occurring in dialog. Intent in speech acts (Searle, 1969) can be in the form of states of intent, as in a propositional act in which the speaker simply wants to pass information, or as an illocutionary act in which the speaker wishes to convince another, or in order to create in the intended receiver of a speech act, any desired state. Complete knowledge of intention by an observer or another participant in the discourse is not possible. Indeed, it is possible that the person responsible for a speech act may not know fully, at all levels of mindfulness, the intent in making a speech act within the engagement of discourse with another.

Knowledge of intention is the difficulty for both an observer and a participant. What any of the triadic unit are left with are indirect means of establishing intent such as inferences drawn from topic progression or analysis of strategic intentions (Foppa, 1990).

As part of what it means “to dialog”, Evered and Tannenbaum (1992) point out that there is a difference between dialog and information, debate and conversation which emerges from the ambiguity of intentionality of the participants entering the conceptual space in which the exchange takes place, and which may change as interaction progresses. Intent is one deeply interrelated element to the co-construction of dialog taking place, yet it remains a tacit feature of what participants in dialog bring internal to themselves. Intent as an influence to the dynamic within participants’ frame of reference is coupled to the *history* of the interaction and to other contextual factors within each participant's domain, as part of an ongoing dynamical process. Intentionality as a contextual feature is coupled to

environments as perceived by each participant and in terms of self-reference to their respective *deep structure*. The concern here is with participant interactions coupled together, including each participants' deeply rooted epistemological system. Such structures are assumed out of reach to normal awareness and yet are closely coupled with language and means of constructing ideas that are surfaced as dialog unfolds. This point of view reflects a phenomenological and interactionist philosophy (Markova 1990, 2) The environment of each participant is necessarily part of the perspective and ontology that each constructs for themselves, and is included in the dialogue model.

In Figure 1 dialogue is presented as a single loop structure. In this state it is not necessary for participants to understand themselves as “being in” the process of dialog to engage in it, nor does second order learning occur. Instead, participants create new understandings and co-create meanings without awareness of the process. Here, dialog is brought forth from each participant as an immanent event. That is, what is communicated is brought forth from the internal organization of each person, immersed in, through coupling, with other environments and participants, and is done in such a way as to maintain each as an autonomous (autopoietic) being (Maturana and Varela 1992).

A Second order Dynamic Dialog Model

Figure 2 reflexively includes Figure 1 and elements of a second order system constructed from Evered and Tannenbaum's purposeful (second order) dialog and is the second step towards a dynamical model of dialog. Second order here refers to awareness, or reflexive self-reference of participants that they are engaged in a dialog about dialog. Learning then takes place about the nature of the process within a frame of reference unique to each participant, yet shared between them in dialog. As a second step, this

discourse reveals the dynamical nature of the dialog. In Figure 2 arrows and direction of linkages only represent that there are different levels of dynamics taking place at once, within the same individual, and which may be described in this particular way.

As intent was deeply interrelated within Figure 1, so too is the notion of *risk* and participant assumption of risk within Figure 2. As a dynamic, assumption of risk in dialog may be linked with each participant's ego needs. Knowledge of this must also influence risk taken in dialog, thereby establishing a self-referential loop between the need to risk a present state of knowing and the expectation of a transcendental shift to another state. Sorting out this self-reference; the internal dialog of self-disclosure-is one definition of awareness. And awareness, as is pointed out by Evered and Tannenbaum, (1992) is accomplished through the act of listening and making distinctions through multiple channels. With this awareness included in the participant's frame of reference, a decision to suspend one state, a cognitive schema or deeply held belief influenced by what is carried forth as deep structure, in the expectation of another can take place. It is in this act of suspension that the individual makes a "trustful decision" for the process of dialog, and the intentions of the other.

A dialogical state does not exclude the monological. Instead, what is necessary at this juncture is to provide some notion which adopts both monologue and dialogue as a means of understanding what is happening between participants engaged in co-creating a new state. Sampson (1993) forwards a notion that an inner (individual) monologue has too often taken precedence over dialog as an explanation for social action. Instead, Sampson proposes the construction of "serviceable others" which an assumed monologue becomes essentially dialogic. It is here that notions of asymmetry in discourse arise. "Symmetry

would exist if the parties were equal contributors to each other's emerging identity.

Asymmetry occurs whenever one of the parties has more power to determine the nature of the other's identity, and thus their own identity reflected through the other" (Sampson 1993, 107). Asymmetric discourse is likely to exist wherever power differential or class differential exists. Class differential may also include male-female or race related distinctions of class. An important implication in this notion is that social construction follows from the multiple dialogues within it.

Mind and all its attributes as well as personality and personal identity (i.e. self), are emergents of a dialogic, conversational process and remain socially rooted as an ongoing accomplishment of that process. The third element in this analysis argues that social reality itself is likewise an emergent and ongoing accomplishment of the same social process: that the very categories by which we know, apprehend and experience the world in which we live are derivatives of a dialogic process occurring within that very world (Sampson 1993, 107).

Therefore, what is implied in Sampson's epistemological viewpoint is that all dialogue is complicated by a continual reflection on and co-creation of a dialogical other, which remains hidden from view in interactions at an explicit dialogical state with other participants. This higher order of complexity focuses attention on another component to a definition of dialogue; that what is co-created in dialogue is not found within any participant, but instead is what is formed between participants and then within each in constructing a dialogical other. "A celebration of the other lies at the heart of human life and experience. The other is a vital co-creator of our mind, our self, and our experience. Without the other, we are mindless, selfless and societyless" (Sampson 1993, 109).

Adapting non-linear concepts to social dynamics, including figure 1 as internal to the frame of reference in Figure 2, proposes a fractal nature of dialog. This includes the "internal monologue", the purpose for which the participant is engaged (which is itself

changing with the process of dialog, constantly shifting in order to serve whatever the needs of the individual are at that moment). Purpose emerges continuously in dialog, and although not disclosed, acts as a constraint or modifier to continuation of dialogue.

What results from dialog in this double-loop or second order diagram is a dissolution of frames of reference, reframing them and allowing a transcendental shift internal to each participant. What is also shared between them is a cognitive bridge of understanding. In a second order dialog this also brings forth a language of dialog itself, a meta-dialog or metalogue. Such a metalogue would also serve as further constraint to the future of the dialog that would follow-that is, learning to dialog could constrain it to a purpose, or possibly open it to further possibilities. "People begin to know consciously that they are participating in a pool of common meaning because they have sufficiently explored each other's views...metalogue reveals a conscious, intimate and subtle relationship between the structure and content of an exchange and its meaning" (Isaacs 1994, 54).

Certainly Evered and Tannebaum's notions of *teamness* and *synergy* would be possibilities for the outcome of dialog, as well as clarity, "human richness" and community. Other possibilities might include further self-reference leading to increased personal awareness, and uncovering of cognitive blind spots that are revealed as challenges to deep structure.

Already mentioned briefly, constraint is another element to this dynamical model. For example, agreement to suspend one's internal cognitive state is necessary in order that ego states not compel the dynamic towards debate or argument. Further, this leads us to consider how it is possible that such an agreement is tacit. That is, how is it possible that participants engaged in this complex process come to new understandings that would not

be possible without a prior agreement to "suspend", an agreement that takes place even without a clear consensus that this is what each is doing. This is what Kim (1993) proposes as the function of "microworlds" or "learning laboratories", in which Isaacs initial guideline for dialogue, suspension of assumptions and certainties, can take place.

Learning to dialogue, a third step in the dialogical dynamic is postulated. Sampson proposes a relationship between dialogic skill and power. That is, dialogic skill is a negative feedback to power in the course of dialogue, acting as one form of constraint. It is then necessary for each participant to construct a *dialogical other* from which interactions then proceed. Where previously the model assumed some notion of equality (symmetry) in participant relations, asymmetry must be considered here. Co-constructing a dialogical other is the principal concern for those participants maintaining status-quo.

Dialogical Complexity

Concepts from Figure 1 and Figure 2 are combined in Figure 3. The model now begins to become very complex, yet in this complexity there is again revealed a fractal nature to dialog, considering the first order dialog within the second order and the self-reference that occurs within both.

Referring back to the excerpt from Buber (above), note that this is an observation about a dialog, with the observer observing himself in the dynamic process of dialoguing with another. Something of the observer's intent is revealed, and the inferred purpose of his associate. Also, having just been part of a process "marked by unreserve, whose substance and fruitfulness I have scarcely ever experienced so strongly," Buber at least, in learning about the process of dialog within the space of this meeting, gained some understanding of a metalogue.

The meeting and its subject provide an immediate environment, the context within the larger one that was Europe of 1914. The time was Easter, coupling an association each participant makes with a context and environment that is then rooted in a more unconscious deep structure. Buber states his frame of reference and his intent ("Though similar reflections were not foreign....I protested against the protest"). In this statement Buber announces the phatic and cathartic nature of the single loop (first order) dialog that was to proceed. "In a way that remains inaccessible to you," is both a challenge, and an invitation for the second participant to suspend his ego state so that it would be possible for him to understand what it is that would otherwise be inaccessible. Buber took a risk in this statement. That is, by inviting his associate to suspend his present state of knowing, to come close to a realization of what Buber was proposing, Buber similarly was inviting a response from the second participant that, in order to carry forward with the dialog would have necessitated his own suspension of the present state. A silent transformation took place, one in which a decision was reached by both participants, frames of reference were dissolved and reformed, with the comment "It is gone." The dialogue existed between the participants, not as part of either of them. Reference to "it" objectifies the formerly unstated proposition that what was different between them was so rooted in their respective deep culture so as to not be realized in any way without the process of dialog taking place, and the bridge that was now constructed. Acknowledging this bridge is a second order understanding that has taken place between both participants.

Buber considered his dialog within a symmetric point of view. Continuing at this point with the third step of a dynamical model, one can apply Sampson's notions of serviceable other, and asymmetry. That is, the notion of dialog as necessarily co-equal is

not only overly constraining, but in practice nearly impossible to achieve. An understanding of the possible ways in which participants interacting in a discourse are un-equal provides insight into the dynamics of what constitutes the dialog that is then co-constructed. Sampson mentions race and gender as two principle empowerment roles.

Of course relationships within organizational hierarchies is another role questioning the equal nature of dialogue. At this research site unequal power relations between military and academic participants existed. Also, within each of those categories, the position that each member held with respect to rank or seniority relative to others within the meeting setting may also have added to asymmetric discourse.

Construction of Local Theory

In terms of the model presented here, this is the point at which complexity can overwhelm the capabilities of the researcher. The place of this third step within the dynamical model would have it meta to everything, yet also related to everything. To bridge this abstract idea to a more definite and observable position, two other ideas are used to create a fourth step in the dynamic model of dialogue. These are the act of making distinctions by participants and the observer, and formation of local, participant theories. Both of these concepts are explored further in Chapter III and Chapter IV.

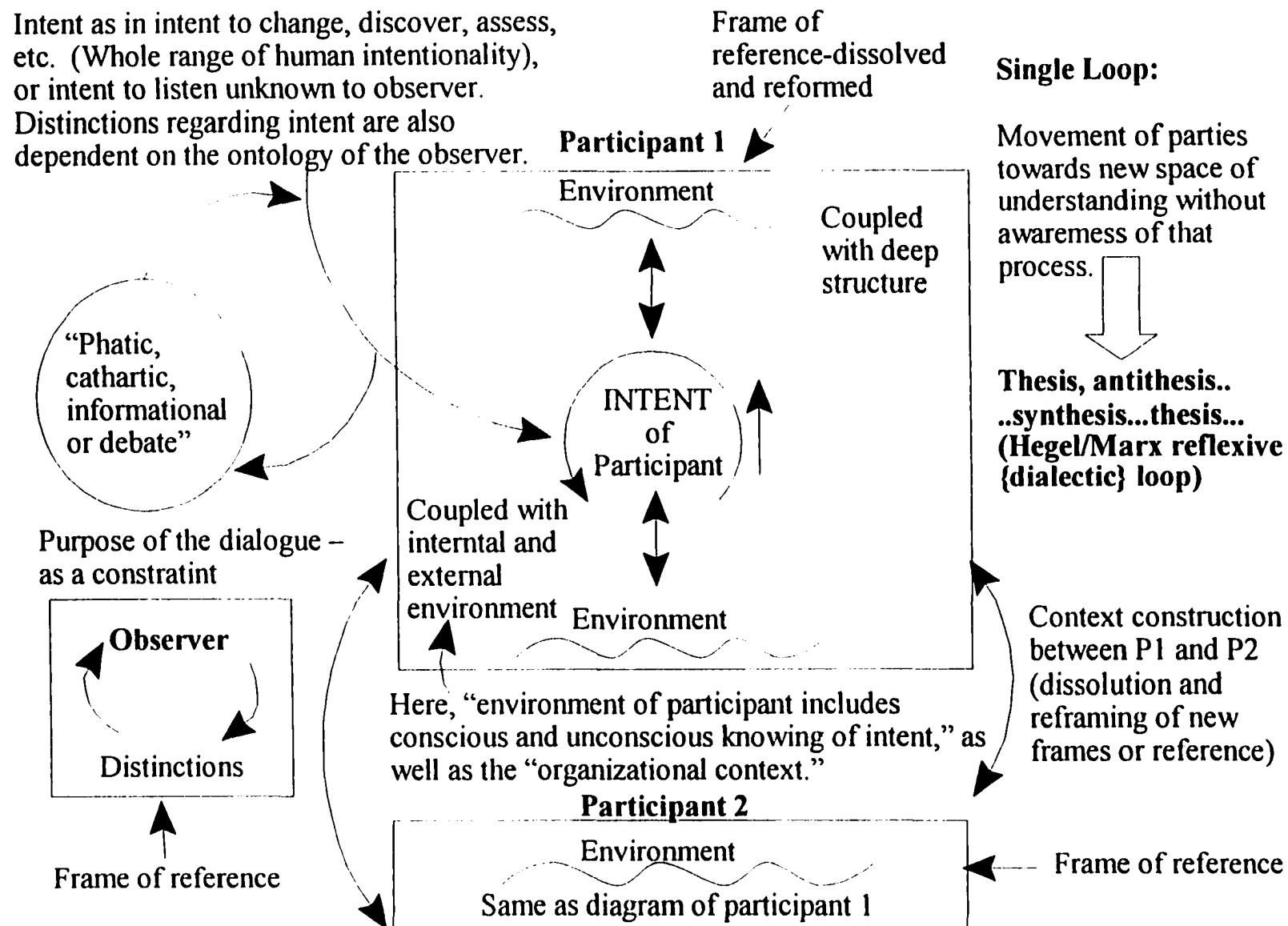


Figure 2. First Order Dialogue.

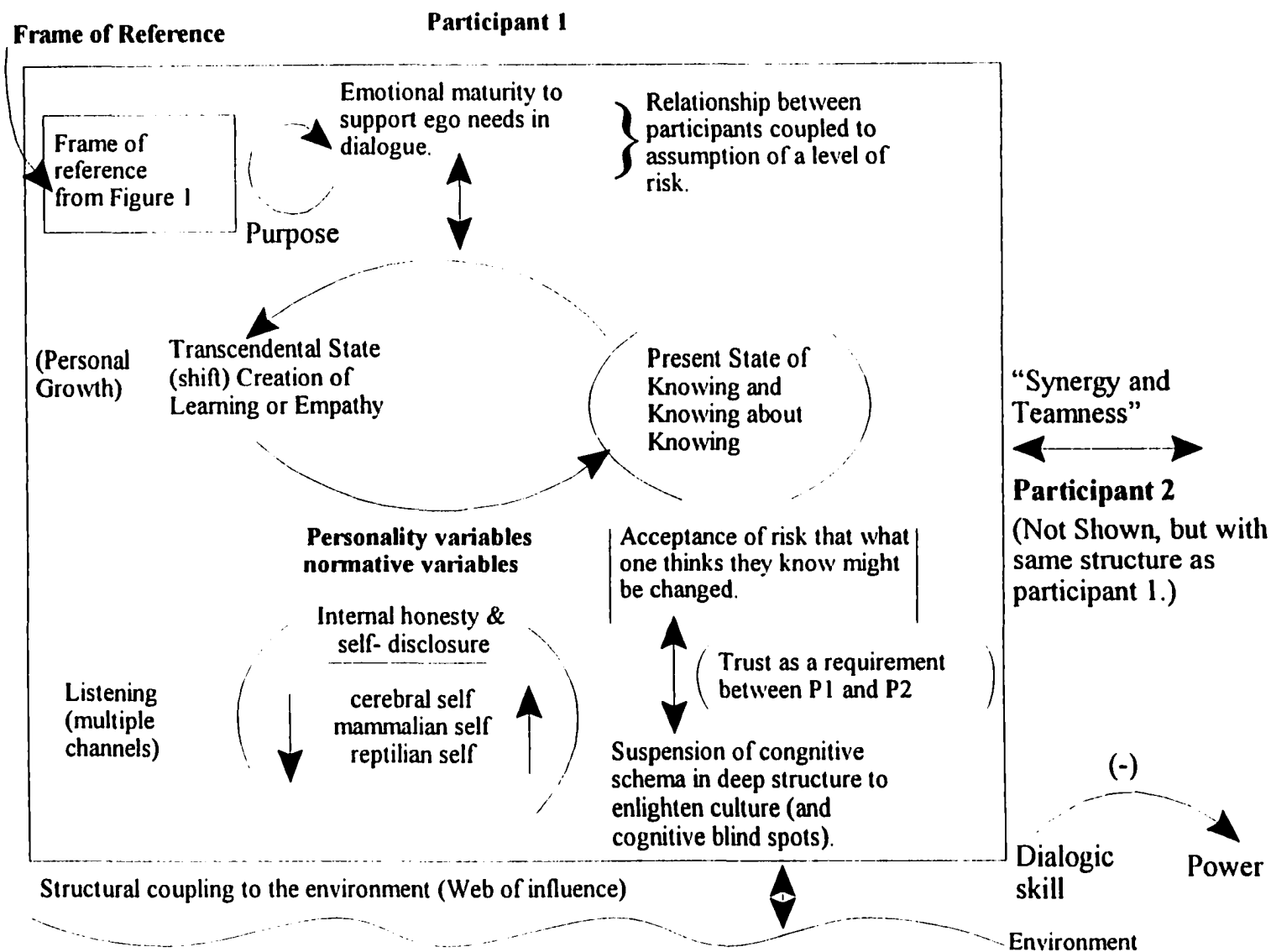


Figure 3. Second Order Dialogue. Dialogue which includes the process of creating a language of dialogue.

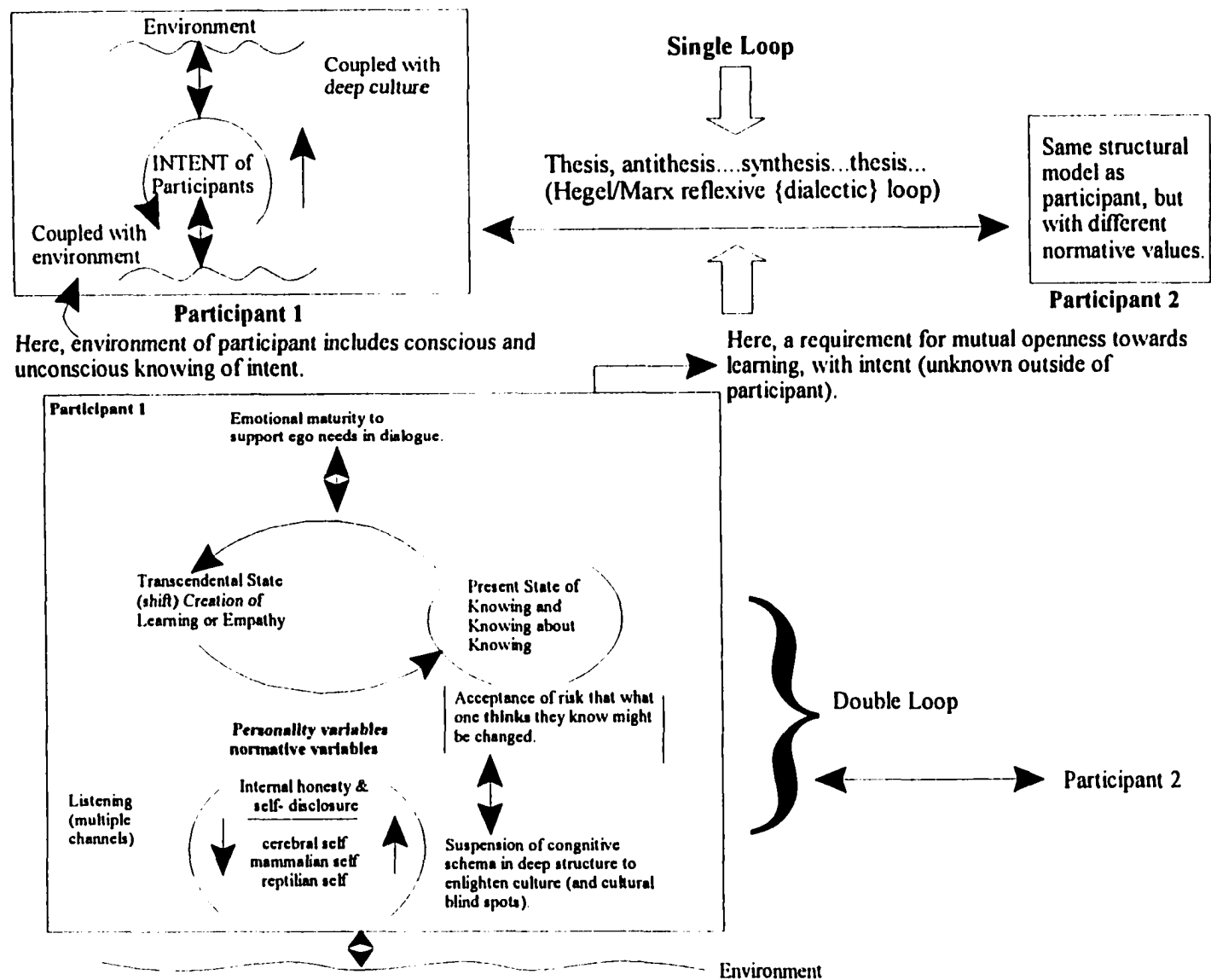


Figure 4. Dialogical Complexity. Elements of dialogue combined into single and double-loop dynamics.

CHAPTER III

METHODS

Dialogue, as "a central element of any model of organizational transformation" (Schein 1994, 56) presents a methodological opportunity with which to better understand dynamics in an organizational transformation. However, the immense variety in dialogue itself, and relationships between the observer and dialogue represents methodological challenges. Specifically, traditional analytic perspectives preserves a cognitive blind spot in a "primacy of the whole" (Kofman and Senge 1994, 8) perspective. In these methodologies a system is broken into its respective parts, each part analyzed apart from the others and the entire system is reassembled within the research frame formed through interaction with the parts. Interrelationships and close coupling is not assumed. Instead each system component would be considered as closed, or weakly coupled to other components.

Organizational transformation, on the other hand, is assumed to be closely coupled in a system of participants, what is said and with multiple contexts. Methodologies with dialogue as a unit of analysis must therefore themselves not be "closed systems" with respect to close coupling within the immense complexity of human socially constructed organization systems.

With this principle as a guide, methodology evolved in the course of this research. Beginning with the over-arching question of how a complex organization transforms itself, a dialogue continued between the researcher, observations, data, advisors, and participants. Questions emerged concerning the dynamics of intentional social co-

construction of a “paradigm,” “schema,” or “cognitive model” shift in an organization in which the proposed transformation culture was contradictory to the core culture of the organization. In addition, this social construction of the transformation would have to learn new meanings for transformation terminology and categories, using the language of the organization already in place. Language and learning, an inimical component of the transformation are therefore deeply interrelated in the dynamics of co-constructing meaning. In searching for the essence of what it means to transform any social construction the researcher must look to what is created not within participants, but between them, i.e., in the discourse between participants engaged in that effort. This leads the researcher to consider again what in the discourse is shared that is catalytic or indicative of transformation.

Ultimately the researcher is led once again to reflect upon observer-observation discourse in a recursive and never ending dynamic that is meta to the research question asked. It is within this discourse that a resolution mode for the researcher is attained: to define a method for defining a dialogue method.

Research Design Sequence

This research is qualitative, highly recursive and reflexive in nature. Ultimately what is being considered in this research is dialog from transcripts of meeting discourse in the course of an ethnographic study of organizational transformation. Ambiguous observer roles resulted from caveats to observer group interaction imposed by the Executive Steering Committee. It was however the researcher’s inclusion within the context of the larger organization that makes observing distinctions possible within the discourse. This inclusion/exclusion permitted the observer a point of view as to the

“inside/outside and boundaries” of what was being constructed. “There are a whole set of things that are unsaid that you know as background because you are a member of the organization that allows you to interpret things the way you do...that someone else may offer another explanation, that’s not the problem, but the whole organizational background is something you have to include” (Steier, 1995). A formative framework for this research relied upon the “insider-outsider” approach described by Bartunek, Lacy and Wood (1992) in which insider-outsider teams permit cross perspectives to emerge.

This research sequence is not intended as a specific linear arrangement of a methodology but a generalized collection of steps taken by the researcher to answer the research questions posed in Chapter I. These steps support a research design in which the researchable questions are at the heart of another discourse between researcher and research project composed of the research project, a conceptual context, acceptable methods and validity.

In a linear representation the research sequence appeared to follow: (1) Entry; (2) Data collection (field note observations and audio tape of meetings); (3) Transcription of meeting discourse; (4) Initial definition of themes based on the researcher’s perspective and context; (5) Construction of a coding instrument based on themes; (6) Initial coding of discourse and re-structuring of coding instrument; (7) Defining distinctions in observed groups; (8) Defining participant theory surfaced in meetings, and researcher theories surfaced in researcher-data dialogue; (9) Analysis of dialogue in local context; and (10) Local implications and generalized conclusions.

The Qualitative Perspective

The epistemological stance of methodologies used in this research lie somewhere between ethnography and phenomenology. That is, the research relies on contextual features of the organization in its construction of meanings of change, but also includes a phenomenological focus that in collecting the essence of experience a new world view, e.g., an organizational transformation arising from group interactions, is created.

Discourse within TQL transformation organizations is part of a larger organizational dynamic that cannot be separated from the content of meanings immanent in what has taken place as organizational history, and in what takes place within these groups as they construct notions of quality and change (Barrett and Srivastva, 1991). The dilemma of having knowledge of content and context is that the researcher, if "outside" the organization can have only limited understanding, albeit not referenced to or influenced by subtleties. On the other hand, being "inside" to the organization includes being entwined by those influences that are also acting within the organization at large.

This concept of "inside" and "outside" is important, however, to complete understanding of what is occurring. In Bartunek and Lacey's (1992) exploration, an insider-outsider approach is used to understand cognitive dynamics associated with the implementation of a new empowerment scheme. Although their concern is not discourse, but rather understanding cognitive dynamics in organizational change, "inquiries from the outside are usually not effective at uncovering the implicit schemata of organizational members; insider-outsider teams are more effective for this purpose" (Bartunek and Lacey 1992, 205). In this research the observer was part of the organization being observed, thus creating a dimension of self-observation and inclusion. This dimension of auto-

ethnography was not total because the role of the observer could shift from being predominantly "outside" to being "inside" under special circumstances.

Making observations (distinctions) from the perspective of being "inside" or "outside" of the ESC and AQMB was necessary to the process of evaluating the nature of their dialogue, and is subjective. This subjectivity in research requires a purposely qualitative approach as the context sensitivity is observer-based. That is, findings "are placed in a social, historical and temporal context; dubious of the possibility or meaningfulness of generalizations across time and space. A concern with dynamic aspects of change as co-constructed by participants within a mandated change intervention, as they decide what change is, is the "story" which unfolds itself in a "human cosmogony" (Barrett and Srivastva, 1991). It is a nonlinear dynamical construct, subject to the effects of historicity, time irreversibility and discontinuity (Contractor, in printing). Ethnography is essential to understanding that story. (Whyte, 1984 ; Patton, 1990; Fetterman, 1989; Tesch, 1990; Werner and Schoepfle, 1987).

Ethnography is interdisciplinary, and by itself is not the methodological "ends" in this research. However, describing a research position within ethnomethodologies is useful for further grounding. Historical dimensions to ethnomethods are especially well treated by Tesch (1990) and Patton (1990). This research is inter-dimensional within the boundaries of different meanings given to ethnomethodology. Specifically, this research is framed within ethnomethodology, i.e., it is language-oriented and employs mechanical means to record meeting discourse. Discourse analysis, within ethnomethods refers to use of meeting discourse to investigate "the many dimensions of text, talk and their social and cultural contexts" (van Dijk, in Tesch 1990, 23). Some elements of symbolic

interactionism are also relevant here, to the extent that this research is concerned with the processes by which participants in organizational transformation are constantly interpreting contexts and definitions in their construction of meanings of change. In defining theoretical frames, phenomenological concerns for developing theory in concert with phenomenon applies, and is the basis for a foundation perspective in this research.

Beginning with the fourth element to the methodology sequence mentioned in the previous section (initial definition of themes based on the researcher's perspective and context) an observer-data dialogue creates a set of initial distinctions, as a first step in analysis. Identification of themes provides the researcher with a context for code development, and a means with which to segment discourse. A segment of discourse is regarded as one unit of an "idea, episode or piece of information" (Tesch 1990, 117). Segments may then be organized into relevant groups, defined by the researcher as the reflective process continues. This coding process is reflexive, ultimately including the researcher in a closely coupled data discourse. Sense making of coded segments is obtained in a de-contextualizing process in which similar segments may be organized in a way that then permits re-contextualizing of the data into local theory making. The methodology sequence described in the previous section is contained within this process, which continues recursively through the data set. In this research the process of theme development is intrinsic to observation. Coding is achieved as the data unfolds, and local theory is cumulatively developed. A software system, The Ethnograph (v4.0, 1996) was used as an assistant to coding, de-contextualization and re-contextualization.

Entry

As a member of the administrative staff who had taught courses in one of the school's technical curriculums, been involved in academic curriculum planning, and conducted a baseline Total Quality Assessment Survey of students and faculty, entry to this research site as an observer of the transformation initiative within the organization at large was not an issue. Previous positions within the school brought the researcher into close contact with all divisions and curricula. Relationships were formed with the TQL implementation staff and other faculty interested in this research. A particularly sensitive concern in this project was that the relationship between the researcher, participants and TQL implementation leadership, and further feedback from the researcher should not contribute to participant resistance towards TQL implementation. An assumption on the part of TQL implementation managers was that the participants in the Executive Steering Committee and Academic Quality Management Board, and participants of the school at large were already resistant to TQL initiatives, which had implications for the conduct of participative inquiry.

Entry to the Executive Steering Committee responsible for implementing the initiative required this researcher to engage a formal approval process. The implementation consultant to the ESC (TQL Coordinator) was wary of impacts which participation methods might have had on ESC dynamics. In order to gain entry to the ESC, it was necessary that the TQL Coordinator be an advocate of this research. An understanding that the researcher would "observe and record, but stay out of the process," was negotiated and became the predominant environment for data gathering.

Entry to the Executive Steering Committee ESC was sponsored by the TQL Coordinator. A research proposal was briefed to the ESC by the researcher. In the week which followed the briefing the TQL Coordinator mediated individual ESC members concerns resulting in a collective request for further explanation of the research which was accomplished in an amplifying letter from the researcher to the ESC. On numerous occasions during this process the TQL Coordinator related commentary to the researcher about the "battle" undertaken in support of this research entry request.

Formal approval to conduct the research and entry to the ESC as an observer was granted by an ESC memorandum and was caveated with a condition that ESC entry would not to be used to gain subsequent entry to other TQL groups. Entry to the Academic Quality Management Board (AQMB) was obtained by an informal personal visit to the faculty member assigned as the AQMB Team Leader. An explanation and review of the research was given and a request made for entry, which was approved unconditionally.

Although numerous individual requests for feedback were made by members of the ESC and AQMB, a collective request for feedback was never generated through the course of observation and data. A tacit expectation was held by members of the TQL office that in conducting research the researcher was automatically in a consultant role with regard to AQMB group dynamics and events. This condition surfaced two research concerns; first that feedback could become part of the intervention process at some level, and secondly that feedback to the TQL office might be viewed as threatening by participants who have agreed to be observed, but without specifically agreeing to conditions of disclosure back to the "manager." This dilemma did create moments of tension, discussed further in Chapter IV.

Data Collection

Initial meetings of the ESC and AQMB were observed and detailed field notes of meeting events were taken. However, as the relevance of discourse to intervention management became increasingly clear, another technology was required to capture the discourse. A request was made to the leaders of both TQL management groups, to record meeting discourse using audio tape limited to a high sensitivity hand held audio tape recorder. Later this request was also made of the AQMB appointed Bookstore Process Action Team. The request for permission to tape the ESC was made to the TQL Coordinator, and was given with the stipulation that the ESC not be directly consulted. Instead the strategy was to simply begin taping openly, without inviting comment. Taping ESC discourse was therefore done overtly, with no comment made by any participant.

In addition to audio tape, detailed notes of discourse contexts and events were recorded in field notes, which aided in identifying utterances made by specific participants. Transcripts made from taped discourse provided raw data for analysis. In this process decisions were made in a researcher-data recursive and reflexive dynamic assigning meanings to what was or was not relevant data. Also, theoretical positions guiding this research (Chapter I) were not completely developed, leading to a concern for capturing minute detail from the data for later use. For example, the level of discourse analysis could include such things as the length of pauses, means of pausing, physical gestures and other contextual data that would become part of a micro-level analysis. These were included as part of the collection of data, but were modified as the theoretical foundation the research question continued evolving as part of the ethnography.

As observation progressed, meanings given to what constitutes a meeting became ambiguous. In addition to the dialogue collected from what might be considered inside a state of "meeting," there were interactions and commentary immediately preceding or following these events. Side-talk, pre and post meeting, play a significant role by offering participants the opportunity to interpret or discount events, dismiss a meeting as irrelevant, create meanings for other participant 'agendas,' or provide context for reflective discourse (Schwartzman and Berman 1994). In this way pre and post engagements are part of the state of "meeting" and relevant as dialogue in themselves. Relevant contextual material from printed documents and distributed materials were also collected for analysis, and meeting minutes were used to construct a history of the two groups prior to the beginning of formal data collection. Meeting minutes are generally interpretations of a single member of the meeting, constitute an "official" version of the meeting which is rarely questioned or reinterpreted (Schwartzman and Berman 1994). In this way, although presenting some historical contextual grounding, they are of little value in gathering discourse data.

Data from student surveys and group self-surveys were gathered where relevant. For example, a student "TQL Climate Assessment" was conducted by a management class. This researcher was a member of the student research team and authored its report and conclusions. Such data is contextually relevant and included as part of the ethnography in Chapter IV.

Role of the Observer

In the course of this research the observer was at times inside to or outside of the system being observed. However, only through the process of observing and interaction

could context be understood and further analysis of discourse be possible.

Methodological and analytic tools were within the domain of the researcher/observer, their use establishes one's "outsidedness" with respect to the "insidedness" of participants being observed.

For this observer, the essence of what constitutes organizational change could be found in the discourse within the leadership at the School. Yet, as the collection of discourse data increased, it became obvious that traditional discourse analyses, such as linguistic approaches to "communication" would not contribute much to an ethnographic understanding of dynamical organizational dialogue in some global way.

Artifacts of observed participant interactions are, "what they say," in a contextual domain that enlarges the domain of meaning beyond just "what is said". In a constructivist sense what is said is very much a co-constructed dialogue existing not "in" but between participants, and between participants and researcher.

As auto-ethnography, distinctions between "participant" and "observer" have ambiguous meanings, and roles are perceived related to being inside or outside of the organization being observed. For this research, this observer was considered inside to the AQMB, and references to the observer's role and presence took on a different meaning than in the ESC, where the observer was relegated to "fly on the wall status." Occasional inside frame of reference was perceived when the observer was asked to perform some particular functions such as making copies of notes, answering phone calls, or closing doors or windows. This was in keeping with perceptions of power status within the group. That is, a similar expectation would have been made of most any other instructor and curriculum officer who may have been attending this meeting. There was also a tacit

expectation that performing some secretarial functions was as a “payback” for entry. No attempts were made by the ESC to include the observer within the inside frame of group dialogue, although pre and post meeting dialogue often included the observer at participant's. As an assumed caveat in observing, what the researcher understands as one's position within the context of research is not necessarily what is constructed by others within the same observed system, which has implications for what is being observed.

ESC and AQMB meetings were attended beginning in August 1993, with continuous attendance during the course of the following academic year. As a result of the observer's formal association with (School), this researcher's role began as semi-overt (Whyte 1984). The precise nature of the research was not raised as an issue amongst participants, ESC members did occasionally ask "how is it going?" Similarly, within the AQMB, which was comprised primarily of professors and other students, a semi-overt role was begun. Although at first facilitators and other members of the AQMB made several invitations to the observer to join in discussions, with occasional requests for feedback from other TQL activities, this interaction was usually declined to maintain as non-participatory stance as possible, maintaining as close a resemblance to ESC participation and avoiding dual roles as much as possible. At one point the AQMB became engaged in a group dynamic with the potential for an expectation that the researcher would assume some consulting responsibilities an event covered in greater detail in Chapter IV.

Researcher-data interaction represents an additional component of participation, one in which the researcher makes initial decisions about the display of audio data in a

visual format. Organizing what is said into a visualized format is related to what is considered important within the content of what is said, bounded by the research question which the researcher is constantly asking of the recorded data in the act of transcription (Gee 1992, 239). In this research elaborate care was maintained to place what was uttered into a formatted which would match the software (Ethnograph) being used, limiting punctuation and invented language idiosyncracies. As a culturally sensitized insider-participant decisions concerning what is or is not part of a transcript was bounded by a primary consideration that the transcript of an utterance would reveal themes, local theory and distinctions drawn in the language used by the utterer. Cohesion of utterances with regard to the features being surfaced was emphasized over realism in syntax and morphology. Contextualization cues, prosody and features which added to understanding relevant research data were noted in corresponding field notes indexed to tape recordings.

Dialogue Methodology

We each have strongly held fixed notions, about both ourselves and the world, that form the background of the way we interact with the world, that we've been leaning on for a long time. There's the possibility of having some of those beliefs shift or dissolve away. In a sense, all of it is about yourself, since your beliefs are yours, and your interpretive structure is yours. But, you've got to risk having some of that dissolve away. And that is, I guess, the exciting opportunity, and the potential risk of real dialogue." "What goes on in the dialogue can be fabulously rich in terms of learning and research....that is where life is, not in the thing, but in the interaction of things, not in people, but in the interaction between people (Evered and Tannenbaum 1992, 45).

A dilemma for the observer is that in attempting to uncover the richness of data embedded in dialogue, the macro level of interaction must somehow be considered. Also what is important as data is not what is said individually by participants, but what comes from between the interaction, co-constructed by them. Generalized distinctions between

different forms of interaction, i.e., "dialogue", "conversation", "discussion" and "debate" can be taken individually as part of some linear notion of how they are interrelated (Schein 1994). However, unless there is some deeper sense that can be made of the interaction, little is revealed from the more ambiguous state of being "from between". The dialogue model proposed in Chapter II is therefore necessary as a means to sensitize the researcher of the boundary of a distinction in relation to dialogue, by opening the boundary between what "is" or "is not" within the state of dialoguing.

In organizational transformation participants have some assumed or constructed notion of what that change is, even if that understanding stems from a mandate for change, as in the case of the School. Collectively participants construct strategies to incorporate the change they're trying to manage, which emerge from a dialogic process, and may be observable.

Theme Construction and Coding

An outcome of researcher-data dialogue in the activity of transcribing audio tapes to written format is the disclosure of what discourse is about. A collection of discourse about a topic of interest, and which provides context for further discourse, are themes of the discourse. This fits with qualitative analysis advocated by Patton (1990). Surfacing these notions is a first step in constructing, in the language of the researcher, an interpretive code for de-contextualizing transcript data into a re-contextualized interpretation which directs the analysis of the large body of data. This is the first step in the *meta-ethnography* (ethnography of an ethnography) of the dialogue methodology formed in the course of this research. Explicit description of theme construction and coding structures are considered in Chapter IV.

Co-genetic Logic Description of "Distinction"

Surfacing themes, producing coding structures and re-contextualizing discourse provide a deeper understanding of what is said, but do not in themselves provide the means for developing the relationship between what is dialogic in discourse and transformation actions. A practical bridge between what is an abstract notion of dialogue and interaction between researcher and data is needed. Elemental concepts which may be applied to dialogue are revealed in the construction of the meta-ethnography, with the concepts of distinction-making and co-genetic logic described here.

Triadic components forming a whole are not only a possible unit of analysis, but also the basis of co-genetic systems logic. By stating that the relationship between an "atomic part" and its counterpart to form the whole is the result of a mutual co-development of mutual interdependent differentiation and transformation, one is assuming a co-genetic point of view. "Co-genetic logic is concerned with language change and with intentionality" (Markova 1990, 14).

In making a distinction an outside, inside and boundary to what constitutes the distinction is made. This triad, based on Spencer Brown's (1969) logic, is also the basis of Herbst's (1993) co-genetic logic, a relationship explained in the form of a question followed by explanation:

How is it possible to determine's one's own boundary without recognizing the existence of that which is outside the boundary? This logical problem of the autopoietic notion becomes apparent when it is confronted with a basic assumption of Spencer-Brown (1969). The calculus of indication is centered on the theme that a universe comes into being when a space is being severed, when an outside is cut out from the inside. He demonstrates that any indication, and thus any reference, involves a crossing operation and a consequent cross, and creates the minimal triad of the inside, the outside and the common boundary between the inside and the outside (Braten 1981, 2).

Rommetveit (1990) points out the logic's similarity with “figure” and “ground” of Gestalt theory, and with Markova's (1990, 14) “dialogical presupposition(s) within this realm in the general claim that ‘the organism and its environment emerge together’.”

Rasmussen (1993), commenting on Herbst's (1993) co-genetic language;

He thought that the principle behind the functional organizing was a creative one, like an organism adapting to its environment by the process of perceiving it and changing its behaviour blended into one. This creative act of adaptation he called “making a distinction”. The consequences of this creative act proved to be far-reaching. The thought that this ability to distinguish was a primary process that could be used as a datum in fields as diverse as psychology, management philosophy and mathematics, was a new one (Rasmussen 1993, 27).

Herbst (1993) provides a system of ten “process networks” which form the basis of the dynamics involved in making a primary distinction. As such, process networks are useful as interpretive tools in analysis of dialogue dynamics. As mentioned above, a triadic unit is composed of the inside, outside and boundary of a distinction made by a participant in dialogue, and by the observer to that dialogue. Four properties are embedded in the notion of a triadic unit: One, it is co-genetic, in that the three elements are generated as they come into being together. Second, the components cannot be taken individually apart, hence are not “modular”. Third, there cannot be less than three components. Taking away any one element makes all of the elements disappear. Fourth, none of the elements are individually definable (Herbst 1993, 30).

Because it can only be described in terms of relationship between component pairs, a triadic unit is indivisible. Two states, *n* and *m*, are used to create a set of *process networks*. None of the elements of the triadic unit are separable or reducible by themselves. Defining one unit can only be accomplished in terms of the other two. Time,

although not a factor in this analysis, is introduced here as a boundary "before" and "after" making a distinction. In dialogue the act of making a distinction is also a reflexive and self-referential action, and includes "the capacity of each of the participants to take the viewpoint of the other. This requires in my terms the capacity of the individual participant to simulate the other, and thus of housing at least two distinct perspectives. This makes it possible to carry out an internal conversation or dialogue" (Braten 1981, 3). This, Braten proposes, requires a dual time scheme in which reflexive action takes place in "arrested time," or an expanded "now." The implication is that the act of making a distinction is bounded in both action and time, and therefore discernible as a closed and distinct (autopoietic) event.

For this methodology some connection between these concepts and their relevance to discourse is required. From Herbst (1993), three elements [n, m, p] forming a triad, a primary distinction is created when an inside [n] is made distinct from the outside [m] by a crossing operator [p] (see Figure 5). Four implications are stated:

1. What is generated is a functioning unit.
2. At least one of the components functions as an operation and the other two as dual possible states.
3. The two possible states [n] and [m] are not yet at this stage distinguishable in terms of their characteristics.
4. Since each component is definable in terms of the others, it is sufficient to retain no more than two, which we denote by [n] and [m].

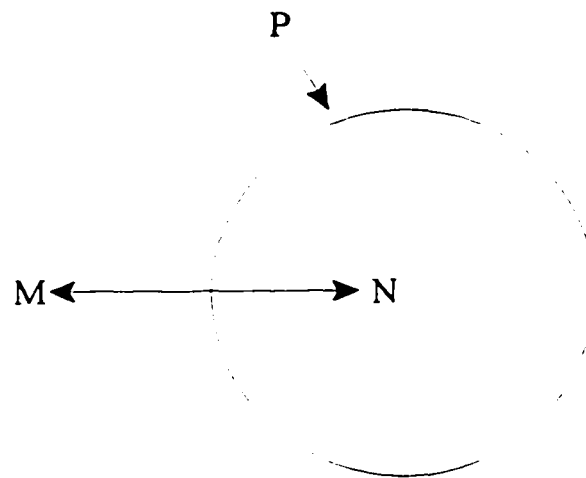


Figure 5. The form of the Primary Distinction. When a distinction is made, a boundary (P) comes into being together with the inside (N) and outside (M) of the form. M and N are “crossing” in the act of making a distinction (Herbst 1993).

In discourse, dialogic events and the process of making a distinction occur together. Methodologically this occurs when participant A ([n]) crosses perspectives with participant B ([m]), creating a boundary across which an operator ([p]) acts. For this research an operator is an initiating act, constituted by discourse concerning a cognitive state or position already within the observable discourse horizon by one participant crossing perspectives with another. What is created between them, the dialogic event, is irreducible and closed but observable and in relation to other dialogic events.

Monologue Resolution Modes

With regard to equivocality, Weick (1979, 142) describes means by which impasses may be resolved: “The crucial collective act in organizations may consist of members trying to negotiate a consensus in which portions of an enacted display are figure and which are ground. More specifically, members collectively try to reach some workable agreement as to which portions of elapsed streams should be designated variables and which connections among which variables are reasonable.”

Braten (1984, 159) notes that “under break-down conditions, participants may shift from an insider’s mode of participation to an almost outsider’s mode of reflection.” One reason postulated for this action is that participants may try to establish “model monopolies” as a complexity reducing device, creating a map for participants that is much simpler, yet within the domain of a “model strong” actor. A second order asymmetric possibility is given in a condition defined by a sociocultural system in which:

a meaning-processing system of interacting participants who maintain and transform the identity of themselves and of their network through a more or less shared understanding of both themselves and the world....Under certain conditions this shared understanding or world view may become monolithical and closed to

such a degree that it rules out any rival view, and thereby prevents dialogue in a symmetric sense (Braten 1984, 157).

Braten defines this state as a "model monopoly," with attributes of a "model power thesis of interaction," similar to Sampson's (1993) view that asymmetric dialogue is the result of organization and cultural authority maintenance through constructing and perpetuating the necessary dialogical "other" with which they recursively create conditions for asymmetry. Linell (1990) likewise examines power as a defining role in dialogue dynamics, responsible for patterns of asymmetry (dominance) versus symmetry.

Model monopoly, and notions of model strong and model weak modes of interaction provides another dimension to the analysis of dialogue. In conjunction with Herbst's co-genetic logic a more complete picture of the dynamic nature of organizational dialogue may be obtained. The dynamics of dialogue allow for the model strong participant to "swallow" the model weak participant's perspective (see Figure 6). Model strong and model weak are defined as a proposition that:

If all the elements and relations in E which are describable in terms of B's perspective are also describable in terms of A's perspective and there are elements in E that are describable only in A's but not in B's perspective, then A is the model strong actor and B the model weak one with respect to E (Braten 1984, 160).

A further consequence of this idea is that the model weak participant will try to adopt the models offered by the model strong participant. To the extent that the model weak participant successfully adopts the model strong position, the more the model weak participant comes under model strong's control. Ultimate and total asymmetry occurs when [model weak's] adoption not only gives [model strong] the power to simulate [model weak's] behavior, but of even simulating [model weak] simulations which are now carried out in terms of the models or simulation devices developed on [model strong]

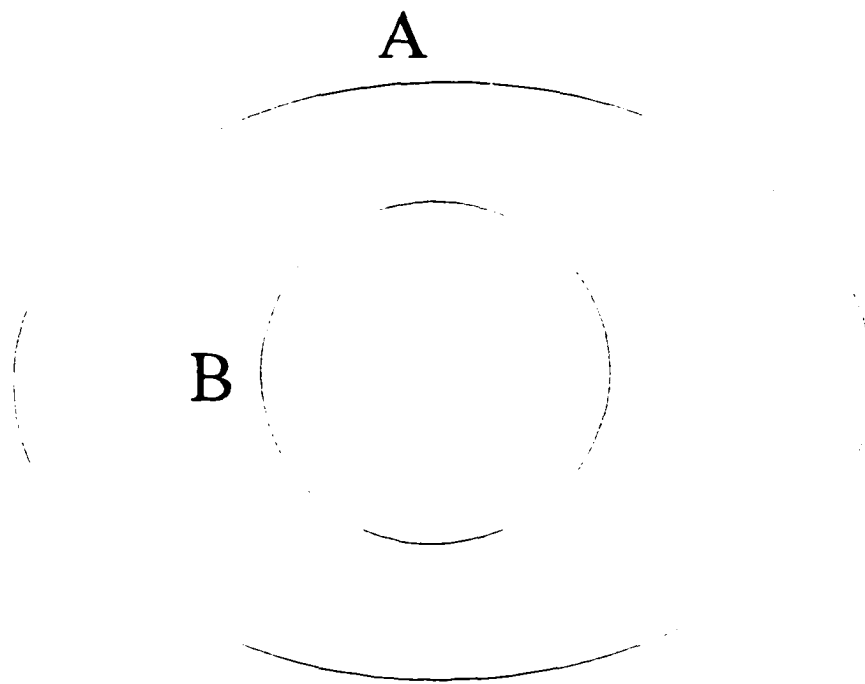


Figure 6. The Model Monopoly. In this monological state perspective A includes, by “swallowing” any other perspective, i.e., B. Construction of perspectives is therefore credited to A without including B’s contribution to perspective (Braten 1984, 160).

premises. This ultimate reflexive behavior on the part of the model strong actor produces extreme asymmetry and a monologue dynamic in which [model weak] has been construed as a “dialogical other,” a situation in which dialogue is impossible.

Resolution modes transcend [model strong] monological dynamics, dissipate asymmetry and permit dialogue. These as *delta modes*, “open the way for a dialogical, symmetric crossing of two non-empty perspectives” (Braten 1984, 161). In these conditions the mono-perspective is dissolved, permitting a crossing of perspectives and the reforming of distinctions to occur.

Braten makes a distinction between dialogue in preparatory and post-implementation (dialogic) versus implementation (monologic) phase of intervention. At the research site described here, boundaries between phases are not clearly defined. It is assumed that from the initial mandate the observed organization was in a condition of strategy determination, thus requiring dialogic discourse. This dialogical dynamic is central to participant ability to adopt a transformation language congruent to the change initiative within a language-action reflexive system and a typology of resolution modes characterizes a mode of organizational discourse. Resolution modes include (Braten 1984, 161):

- Attempts to redefine the universe of discourse. That is, by redefining what the boundaries of the dialogue are about, asymmetry may be leveled between participants so that crossing of perspectives may occur.
- Allow for emergence of rival maps of the same territory. This occurs by admitting rival models sources, or by taking time to develop new models based on participant’s premises.

On the condition that the participant cannot step outside of the boundary, crossing of perspectives is not possible, so that:

- attempts are made at breaking socio-cultural closure by withdrawal, “fence sitting”, or taking a meta-position; for example, when participants engage in discourse about model power mechanisms in their organizational dialogue.

Overview of Methodology Sequence

Challenges for the researcher in the course of this study resulted from a methodological paradox. In order to explore the research questions stated in Chapter I, a methodology to surface dialogue within discourse obtained in the course of an ethnography was required, and as discussed in Chapter II, not available. However, to develop a suitable methodology required a researcher-data discourse, or an auto-ethnography within an ethnography. Development of the methodology was both an outcome of the analysis and an input, producing a recursive dilemma for the researcher in which each addition to the notion of a methodology would have to be reapplied to those data already considered in the creation of the method. As a result, there are two levels of ethnography. First, a contextual explanation of an organization transformation understood from collected discourse, and secondly, an explanation of methodology construction. Recursive application of method to data is not attempted, but rather three meetings are treated as “discourse episodes” within the larger frame of the transformation ethnography. Outcomes of the research are therefore the set of distinctions defining dialogue presented in Chapter II and V, the ethnography of an organization transformation, an auto-ethnography of a qualitative methodological approach with dialogue as its foundation, and generalized features of a dialogue methodology.

Software Tools

A software tool, The Ethnograph (Seidel, 1995), is a set of interactive, menu driven computer programs designed to assist the ethnographic/qualitative researcher in some of the mechanical aspects of data analysis. In this research the software became both a constraint and also a dynamical part of the researcher-data dialogue. Coding discourse for example, required that the observer code discourse according to themes in order to surface attractors within the data from which codes could be developed. In addition, the theoretical propositions discussed above and in Chapter I could now be built into the coding process so that the act of coding itself became a dialogue in which further distinctions could be made. These distinctions became the foundation for local theory development, in concert with further code development, application of codes, further distinctions and further local theory building. This recursive activity continued until conclusions could be made and final local theory stated.

Methodology Synthesis

This research had two major goals. First, to describe the nature of organizational dialogue, and secondly to surface the elements with which to describe the nature of organizational dialogue by a methodology developed in concert with a theory of dialogue in which the researcher participates. What is given above (Braten 1984, Herbst 1993, Rassmussen 1993) forms the basis of the theoretical perspectives given in Chapter I, developed in a researcher-data dialogue described in Chapter IV. Methodology, data, theory and dialogue together form an extremely reflexive and recursive system. A full explanation of the evolution of a dialogue methodology is given in conjunction with the

data in Chapter IV. However, a generalized methodology may be presented as a synthesis of the working theoretical perspectives.

Working from what has already been given, and from theoretical perspectives in Chapter I, codes were developed from themes that would surface “local theories” with which transformation participants were working. Local theories were described in coded transcripts by a researcher-data dialogue. An ethnography of the research site and the transformation is provided in which to ground the development of the dialogue. Three meetings were coded, from dozens of meetings attended. These were chosen for the depth of discourse based on the next consideration of this synthesis, that of perspective crossing. As detailed above, the act of forming a distinction occurs as a triadic event. Instances in which perspectives were crossed were coded, with distinctions made as to the temporal grounding of that crossing in a larger discourse (i.e., the discourse horizon in place at the time). Crossing of individual perspectives were also related to conditions of model strength and the formation of a “dialogical other.” The act of forming a distinction therefore involves numerous levels of interaction, and with the possibility of a further local theory being produced. It is at the level of this crossing of local theory by participants embedded within the larger constraints of asymmetry that a higher level of local theory is produced, and model strength is transformed (as in Braten’s Resolution modes) to allow further dialogue to take place. This is the level of “organizational dialogue” in which the concept of *dialogical competence* developed in Chapter V as an outcome of this research is grounded.

The four meetings which are fully coded with respect to local theory, crossing perspectives and organizational dialogue are considered in a process that is evolutionary.

The research dialogue that results from this researcher-data dialogue is at the same level as the organizational dialogue which is under study.

Reliability and Validity

This research follows a form of naturalistic inquiry (Patton 1990, 41; Hammersley 1983, 3). The choice of methodology in this case was not between philosophies of positivism and naturalism, but for the means by which the research questions might be answered. Coding discourse is a subjective inductive activity. While this observer/researcher was engaged in this process learning occurred. In addition to the deeper insights gained into the dynamics of the intervention through the ethnography of the interactions, meta-ethnography yielded methodology rooted in the concreted discourse data.

Establishing research rigor from the naturalistic (qualitative) perspective one also attempts to achieve trustworthiness in relation to established scientific canons (Erlandson et al 1993; Guba 1985). A table of relationships resolving naturalistic inquiry within notions of accepted scientific canons is given below in Table 1 adapted and extended to present research from Erlandson (1993, 133). Grouped together as elements to the scientific canon are truth value, applicability, consistency and neutrality of research. In traditional (positivist) research these elements are usually supported methodologically by the internal validity of the research, generalizability of results (producing an external validity), reliability of data and objectivity of the researcher in conduct of the research. Qualitative, or naturalistic research, likewise supports scientific canons. Truth value in the scientific canon is supported in naturalistic research by the credibility developed in the course of the research, through a design strategy which includes prolonged engagement

between the researcher and the research site, persistent observation of complex human dynamics which requires immersion of the researcher in the culture being observed and a rigorous means by which data is captured. Applicability in the scientific canon is understood in naturalistic terms as the transferability of results to other research sites, developed from *thick description*, capturing contextual details and producing a methodology specific to the site and research question being considered. Reliability of traditional research results is included in notions of dependability in naturalistic research; that data is the record of contextual and complex interactions captured by means such as audio or video tape. Theory construction occurs in an inductive analysis the researcher makes as data is recorded, reflected upon and described for further analysis. Finally, naturalistic research, while not describing itself in any way as “objective,” does include a dimension of confirmability in which data is available for interpretation by multiple analysts.

Ethnographic methods are highly interpretive, but within a community of sensitized observers evaluation of baseline data, in this case transcribed discourse contextual description, would yield observations and explanations within a range of what may be termed accountable and defensible results. Two researchers may not reinterpret the data in exactly the same way, however on the whole, re-analysis and re-contextualization of results will be within a locus of understandable explanation.

Interviews, meeting transcripts, and contextual data constitute one form of analysis which may be triangulated with discourse data. Together these data provide the source of data in which the researcher develops theory. Generalizations of this research to organizational transformation and dialogue study are given at the end of Chapter V.

Scientific Canon	Traditional Research	Naturalistic (Qualitative Research)	Present Research Design Strategy Employed
Truth Value	Internal Validity	Credibility	*Prolonged Engagement *Persistent Observation *Theoretical Immersion *Reflexive Record Capture
Applicability	External Validity (generalizability)	Transferability	*Thick Description *Context Capture In Detail * <u>Methodology</u> Production
Consistency	Reliability	Dependability	*Explicit Data Capture (audio recording, transcription, contextual field notes) *Ethnographic software tracking of inductive analysis
Neutrality	Objectivity	Confirmability	*Auditability of data, construction of interpretation, methodology development *Ethnographic capture of events and methodology generation

Table 1. Relationship of Natural Inquiry to Scientific Canons

CHAPTER IV

ETHNOGRAPHY DATA AND DIALOGUE METHODOLOGY CONSTRUCTION IN META-ETHNOGRAPHY

This ethnography presents a context for transformation discourse at the research site in the course of a Total Quality Leadership (TQL) transformation initiative.

Ethnography is simply one social research method, albeit a somewhat unusual one, drawing as it does on a wide range of sources of information. The ethnographer participates, overtly or covertly, in people's daily lives for an extended period of time, watching what happens, listening to what is said, asking questions; in fact collecting whatever data are available to throw light on the issues with which he or she is concerned.....it bears a close resemblance to the routine ways in which people make sense of the world in everyday life (Hammersley 1983, 2).

As such, ethnography is a means through which a group or culture may be described (Fetterman 1989). There are multiple levels of ethnography, some of which are included below. As discussed in previous chapters, an ethnography of the events, context and discourse is a data foundation in which a meta-ethnography of the development of a dialogue methodology is presented. For ease of reference, meta-ethnography is labeled and presented separately from the reference ethnography.

An underlying implicit theoretical position of this ethnography is that organizational change involves a process of acquiring one organizational paradigm in place of another. Transformation is assumed to be a constructivist process occurring through dynamics of interrelations through language.

Two groups, the Executive Steering Committee (ESC), and the Academic Quality Management Board (AQMB) were observed during meetings and their discourse events gathered. Discussions of dialogue models are presented elsewhere in this research and will

not be reiterated here. Models of notions with complex variety (e.g., dialogue) present a special challenge to researchers attempting to use them in gathering data. Although they serve well as explanation, creating *a priori* categories into which specifics of discourse may be fit requires that the researcher be placed in the position of understanding the complexity of the language in use, its context and dynamics *before* such categories may be created. Therefore, in this sense the analysis of discourse attempting to understand dialogue must be inductive in nature.

The following intervention ethnography is presented as the appropriate methodology by which qualitative data may be surfaced. A discourse between the researcher and data, evolving over the course of analysis and the resulting theory construction, provided iterative feedback to produce final theory formation and the resulting methodology construction.

This ethnography begins with context construction of the research site and participants. It quickly becomes increasingly recursive as context sensitivity, methodology and observation became closely coupled. What begins as an ethnography of an organization undergoing change became a meta-ethnography of a methodology which was applied to the discourse which provided the data from which to develop the methodology. Methodology was then used as a means to facilitate a researcher-data dialogue in which theory making about the nature of dialogue in organization change in general, and with respect to this specific research site in particular was surfaced.

Terminology

Terminology from non-linear systems (e.g., human or other systems in which small perturbations produce non-linear and often chaotic results) is used to some degree as an

explanation for discourse dynamics. For example, *attractors* are those areas of a phase space diagram (a diagram of the trajectory of changes in state) in which any curve selected tends to move towards a definite cycle regardless of its initial condition. Any point beginning outside of these regions is attracted towards this cycle. In observing discourse, attractors are those language events which are transcendent, which become cyclic and pull discourse towards them, regardless of “where” on the metaphorical “phase space” diagram of dialogue they began. As such these attractors are themes and are part of constructed boundaries within which further discourse occurs.

As group discourse and dynamics were observed, relationships between participants, committees, environments and constructed ideals and actions became increasingly complex. Metaphorically this phenomenon created a “coastline” effect for the observer, and for participants. The results, noted at the end of this chapter, reveal a necessity for theory building by participants and the observer, providing a means to understand the “coastline.”

Memoranda and similar information events are treated as *monologues*. Verbal interactions in which components of the transformation initiative being constructed are brought forth as a set of distinctions are discourse events. Dialogue in this ethnography is a value judgement on the part of the observer that crossing distinctions results in an ontological distance traveled. Therefore, not all discourse events are dialogues. Making distinctions within these categories in analysis is context dependent. The axiological assumption of this research is that the contextual and verbal interactions are value-laden. These interactions also include the observer and involve informal and formal rhetoric that evolves as a dynamic entity over the course of the interaction and observation.

Crossing perspectives thus forming distinctions is the basis of Herbst's (1993) *co-genetic logic* and *process networks* discussed earlier (Chapter III). This, and Braten's (1984) notions of *resolution modes* and *model power thesis* form an important part of the dialogue methodology which is an outcome of this research. A discussion of *model-strong*, and *model-monopoly* are given in Chapter II. Development of this analysis is embedded within the ethnography as the ESC, the AQMB and the researcher-data discourse evolved. For this reason, the production of the methodology was concurrent with its application. Therefore, instead, the methodology was an outcome of observation, data gathering, analysis and theory formation.

Participants In the Ethnography

Participants in the ethnography included members of the Executive Steering Committee (ESC), members of the Academic Quality Management Board (AQMB), members of the Bookstore Process Action Team (PAT) and the researcher. The specific membership of these and their organizational roles is given in Table 2.

Context: TQL in the U.S. Navy

A transformation generally requires a set of guiding principles, which at this research site were formed from official guidance disseminated downward from the head of the service. Leadership responsibility at this Department of Defense (DoD) graduate university, was to understand the guidance for themselves and the institution that could then be implemented throughout the entire organization. Because these meanings were given within guidelines of the change philosophy, there was a low organizational tolerance for co-construction of meanings by the transformation organization. A discussion of these meanings and relationships between the School and the external formal hierarchy is given

ESC	AQMB	PAT
Superintendent (senior military officer)	AQMB Leader (senior faculty member from management department)	Military Supply Officer (officer in charge of all sales operations at the School)
Provost (senior civilian)	AQMB Facilitator (member of TQL office staff)	Military Faculty Member (from AQMB)
TQL Coordinator (junior faculty, manager of TQL programs and TQL office)	Faculty Member 1 (junior faculty member in Operations Analysis department)	Student 1 (officer student)
AQMB Linking Pin (dual role as Dean of Research)	Faculty Member 2 (junior faculty member from Physics department)	Student 2 (officer student)
Dean of Students (military officer)	Faculty Member 3 (School Librarian)	Faculty Member (junior faculty from Engineering department).
Dean of Students (senior civilian faculty)	Faculty Member 4 (senior faculty from Oceanography department)	
Dean of Information Systems (Operations Research faculty)	Military Faculty Member (military officer instructor from National Affairs department)	
Dean of Instruction (senior faculty member from Systems Management department)	Military Member 1 (military officer, Assistant Dean of Students)	
Comptroller (military officer)	Military Member 2 (military officer, Assistant Programs officer)	
	AQMB Linking Pin (from ESC)	
	Student Member 1 (officer student, from Systems Management)	
	Student Member 2 (student officer, from Oceanography)	

Table 2. Ethnography Participants and Participant Organization Roles

in Chapter I. What is presented here are descriptions of the research site which are data within the context of ethnography and provide foundation for further discussion.

Research Site and Development

A Department of Defense (DoD) sponsored technical graduate school sponsored by one branch of the armed services, providing education to a student body of about two thousand middle grade officers from all U.S. Armed Forces, selected DoD employees and International students. It is supported by a staff of approximately three hundred administrative and support personnel, and 280 faculty. This site is referred to throughout this report as School, or the School.

Functionally, the School is composed of eleven highly diverse academic curriculums, from particle physics to financial management. It is particularly well regarded as a technical and engineering school, with a number of alumni having walked on the moon, or become astronauts in the space shuttle program. Typically students are told that the graduate programs they are entering are the best in the country and that this education is necessary for their further promotion potential.

As a general statement concerning attributes of the School's environment, taken from interviews and observing participant discourse, there was some explicit awareness that attending the school could have a detrimental impact on a student's future military career by taking them away from the mainstream of their military specialties, resulting in "dead time" in their service records. This awareness existed as background environment to the transformation discourse constructed by the ESC and AQMB. Another contextual factor was that the university was also designated a flagship Total Quality Leadership(TQL) organization, having responsibility for devising TQL education for one

branch of the armed services. A parallel transformation was also in progress at the School, having been designated a "reinvention laboratory" by Vice President Gore as part of the "reinventing government" initiative being undertaken across the United States government.

Although development of TQL as a management tool had been of interest to some faculty in the Management Department, actual site implementation of TQL began with the addition of a TQL Coordinator to the faculty in 1992. The TQL Coordinator was to act as intervention guide and Total Quality Leadership (Management) professor.

The military and academic cultures of the School offered a unique environment in which to study a change initiative in an academic setting. In many respects the site is a closed system with respect to society at large. For example, there are many residents of the small town in which it is located who have little knowledge of the School. In addition, differences between service culture and TQM were assumed to be highlighted more clearly than in civilian businesses, to be exhibited through language use. This was noted in comments regarding a service-wide instruction which commanded that "we will accomplish the mission" in which "the instruction illustrates how the language is embedded within a mechanistic discourse community" (Barrett, Thomas and Hocevar 1995, 360). Their comment illustrates the use of familiar mechanistic assumptions, language, and behaviors to introduce the new (TQL) paradigm.

A 1993 TQL Climate Assessment of the administration, faculty and students at the site of this academic system was conducted to begin to understand the culture of the research site, using an instrument devised by the Navy Personnel Research Data Center. The results of this initial survey were summarized in a report (Gallup et al 1993) and

presented as feedback to the TQL leadership in the form of a summary and briefing. Briefing the results of this survey to the ESC provided baseline data indicating the attributes of a collective cognitive schema of the leadership involved in the change process. That this data was not subsequently used as a learning tool by the leadership is symptomatic of the single loop learning dynamic within the ESC. This condition helped surface the research questions undertaken, and also raised a dilemma for this research as to the depth of involvement TQL management groups would accept from an “outsider” to the change process.

Executive Steering Committee: Creating the Mission and Vision

In an inaugural Executive Steering Committee meeting the nine member committee was chaired by the School’s civilian Provost and the TQL Coordinator (who was not listed as principle or as a consultant to the committee). Training plans and TQL courses for training filled the agenda for this meeting, and questions concerning the administration of the training plan were surfaced. A “Procurement QMB” was established, and although discussed, a Vision statement was not reviewed.

This first meeting produced a discourse mode evident within the ESC throughout the course of this study. Administrative details and actions were considered outside of the context in which details were meaningful. For example the training plan consisted of numerous and very specific TQL related courses to educate all members of the organization on formal TQL meanings, yet none of the ESC had taken these courses or been indoctrinated into the nature of the organizational transformation they were tasked to manage. ESC members were included in the training matrix, yet no discussion of ESC

member attendance to training was noted, thereby distancing themselves from participation in what was viewed as necessary for other School personnel.

ESC meetings initially took place once per month, with varying degrees of participation by the core membership. For example, the August 1992 meeting was attended by only three of the members in addition to the Provost, who acted as Chairman. The TQL Coordinator was cited as a supporting staff member. A revised vision statement from three of the major department managers (all members of the ESC as well), Navy's Executive Steering Group, and an example from Carnegie Mellon were handed out to the members present, but were never reviewed in depth during the meeting. A note following the meeting, from the Superintendent (who was not at this meeting) asked "Wasn't there a discussion about vision statements? What was decided? What should I review?" A copy of meeting minutes was distributed, with an attached ESC version of the school's vision:

The mission of the School is to provide fully accredited graduate education and advanced technical instruction for military officers and defense officials from all Services and other nations. Our focus is to increase the combat effectiveness of our Nation's armed services by providing a learning environment which supports the needs and interests of those dedicated to the defense of our country (ESC minutes of 08/06/92).

This version became the model for subsequent vision statements, which underwent extensive modification over the time-span of this study.

The next meeting of the ESC dealt primarily with the establishment of a TQL training plan. A training matrix was proposed by the TQL Coordinator that included all levels of management and employees, including academic faculty. Students were not included in this matrix, under an assumption voiced by ESC members that students represented the school's "product" and were not really part of the organization. Other

outcomes from this meeting included funding for two full time and five part time TQL “team advisors,” to create a new functional code for the TQL Coordinator, and to provide a training budget of \$60,000 to the TQL Training and Education budget. The TQL Coordinator’s new code was designated as “00Q,” the Superintendent’s being “00,” which indicates the relative positioning of this member within the formal hierarchy of the college. Motivation for assigning this code may have been partly due to a necessity to display the college’s willingness to meet the Service Chief’s commitment to total quality, and partly to disseminate the same commitment downward through the college’s organization without actually having to press very far into the boundaries of TQL, or actually enact its principals.

An important decision made at this meeting was to have much impact on the course of the intervention as it developed over the next year. That is, the decision to not include faculty “during the initial stages of TQL implementation,” illustrating the perceived distinction between faculty (academic) and administrative functions within the School.

A budgetary commitment of resources was evident however, as the ESC increased the TQL budget to 110 thousand dollars per year, including a 35 thousand dollar travel and consumables budget. This particular budget item was unique in the year as it represented a dollar figure that few other departments in the college could have successfully requested. Travel and other functions were heavily constrained during this period to maintain costs within the college’s target budget in a period of austerity. Operating costs were considered important to the overall impression of efficiency the college desired to present to the Base Closure Committee and other Service Chiefs

desirous of obtaining the school's operating budget for their own similar graduate institutions. The mission statement was also amended to read:

To provide fully accredited graduate education and advanced professional studies for military officers and defense officials from all services and other nations. Our focus is to increase the combat effectiveness of our nation's armed services by providing quality education which supports the unique needs and interests of the Defense establishment (ESC minutes of 08/28/92).

"Uniqueness" and "relevance" were labels used by the Superintendent and Provost in a strategy to defend against the school's closure. Establishing relevance and uniqueness would therefore become a constant litmus test against which most proposals, reforms and operations could be considered. Hence, this strategy's inclusion in the school's mission statement served to bring TQL transformation into constructed notions of the school's strategic positioning.

At this same meeting the Dean of Students presented a draft vision statement. To this draft the Provost commented "the vision seemed static and lacked goal structure" (ESC minutes of 08/28/92). To provide further structure, the ESC decided to conduct internal and external assessments of the college. Academics were deemed "within the college," while "strategy" was placed "outside." In this way, boundary distinctions with regard to the "inside" and "outside" of the college were further defined by the ESC, while the TQL Coordinator defined TQL for the ESC:

TQL is managing an organization from a system's perspective, using quantitative methods and people to assess and improve the incoming materials and services and all the significant processes in order to meet the needs of the organization's customers, now and in the future (ESC minutes of 09/10/92).

Although originally the Provost had been Chairman for the ESC, by the next ESC meeting on 09/25/92 the TQL Coordinator began to take on more of the processing

functions of this role, assigning an agenda and deciding what would or would not be presented. These meetings were typically held in the Superintendent's sparsely furnished and private conference room, at a very long and heavy table. Members of the ESC normally sat at this table in a rank order in which the Superintendent was given the head of the table, closest to the door to the room. The Provost would typically sit to the Superintendent's right, with the various military department Deans and faculty then arranged across from each other. The Dean of Instruction or the Dean of Faculty would then normally occupy the end opposite the Superintendent. The TQL Coordinator would normally sit somewhere near the middle of the table. From here, the occupant would have the most commanding view of all the participants at the table. Because neither the Superintendent nor the Provost had formal training in TQL, focus was normally on the TQL Coordinator, who from the mid-table position would seem to be disconnected from the college heads at the end of the table, thus reinforcing a consultant-expert role. As meetings progressed, the TQL Coordinator became increasingly responsible for the organization, schedule and dynamics of the meeting. Leading a discussion to determine "subject areas to be examined in order to define the school's role in future support to the (service) and DoD," illustrates the degree of autonomy which the TQL Coordinator was afforded by the ESC.

Feedback from a "TQM in Universities" seminar attended by several members of the ESC was that "there has been extensive work on initiating the administrative process, but little on weaving TQL into the educational process." In spite of this feedback, the actions of the ESC from this point were to immediately include a change to the school's standard operating procedures that:

The School recognizes that fulfilling the demands of our mission is a very challenging undertaking. It not only requires the utmost teamwork and cooperation on the part of every employee, but, in order to be successful, will need a structure and philosophy that leads to continuous improvement. The philosophy and structure that has been chosen is Total Quality Leadership (TQL). TQL is the foundation for our interactions among ourselves and with our customers and suppliers. We use its processes to systematically evaluate our operations and identify root causes of problems. We recognize the value of every employee's contribution and solicit teamwork and cooperation. TQL is an integral part of our Strategic Plan and the prime means for continuous improvement of our performance (ESC minutes of 09/25/92).

In addition, positions within the TQL organization were defined, formalizing the organization as a parallel organization to the formal hierarchical organization already in place.

A series of orientation briefings were planned to provide TQL indoctrination to employees from the middle to lower levels of the school's administrative organization. Briefings were constructed around definitions of TQL already established within the ESC. Construction of these same principles at the employee level would require not only defining the vocabulary of TQL, but also a discussion of the semantic distance between employee's cognitive models of the transformation, those held by the ESC members doing the briefings, and an end state to the transformation. Members of the ESC were not yet well trained beyond basic vocabulary and could not yet deal with an evaluation of individual cognitive models and how these would have to be changed to complete an organizational transformation. Instead, it was decided to "personalize" the briefings by speaking of individual roles within the school. Each of the department heads (or Deans) were assigned to brief their individual departments while bringing to employee's attention the role each currently filled in relation to how that role would change within a TQL organization.

At the orientation briefing observed, participants quickly became confused by TQL terminology, and the relationship of definition meanings to their own environment. While many participants were respectful and listened to their department head, many participants were observed placing their briefing materials aside, losing attention on the orientation's objective. The presenter was unable to adequately define how TQL transformation would manifest a difference in employees current working environment. Definitions of quality, for example, were problematic. Transformation at the employee level towards a "quality" organization implied to many employees that quality was therefore a feature of their work that was either left out of their environment, or that they were not providing to their "customers." Comments recorded at the end of these orientations often characterized the briefings as "a waste of time," or "this sounds like more 'touchy-feely' junk to me" (referring to a previous organization transformation initiative attempted service-wide, and which encountered tremendous organizational resistance).

Concurrent with the orientation effort the ESC began a discussion over the next several meetings to determine what processes Quality Management Boards should manage. Discussions included further definitions of those processes which made up the larger functional area for which the QMB would be responsible. Due to the exposure of several ESC members to the non-academic role of TQM in universities (discussed as part of the TQM in Universities seminar several members had attended), the ESC considered chartering an Academic Quality Management Board (AQMB). Group discussion by ESC members defined thirty three possible processes to the general function of academics at the college. The majority of these were related to administration of academic programs, however six processes were defined specifically for their association with the act of

teaching. Other proposed QMBs included “External Relationships,” Quality of Life,” “Personnel,” “Information Systems Support,” “Management, governance and Leadership,” and “Facilities Maintenance.” The nomination of each area for inclusion as its own QMB followed the functional area of the person proposing it, i.e, Personnel as a QMB was proposed by the Personnel Officer for the school, and Management, Government and Leadership proposed by the Provost. Discussion of any particular area did little to create it or remove it from the list. In effect, each member brought forward their own definitions of TQL relative to the functional area for which they were responsible.

Six months after the ESC was inaugurated, a memorandum written by the Dean of Instruction focused further attention on the issue of the school’s survival. The memorandum was made public within the ESC and the schools academic and curricular middle management and consisted of a cost comparison of educating a student at the School and at numerous comparable civilian universities. This comparison was influenced by an impending Base Relocation and Closure Committee evaluation of the school (along with other possible military bases) for closure. Intense crisis response to this external influence took the form of a series of justifications for the school’s continuance based on the School’s uniqueness and relevance strategy and by comparing government’s cost to place military officers at civilian schools. Cost considerations were considered the primary response tactic in meeting the external “threat,” vice quality of academic programs. Indeed, in the final memorandum on the issue, sent to the next higher level of authority for the school, the issue of academic quality was not considered.

The issue of quality did arise, however, with the civilian academic Dean of Instruction. In a periodical review of each curriculum the question of thesis quality was

often asked. That theses are required of all graduates at the school had long been an issue with many faculty who believed that the quality of student theses suffered because they were becoming a pro-forma requirement instead of being taken seriously for academic quality. This issue was not discussed by deans and faculty within the boundaries of TQL. A memorandum from the Dean of Instruction was forwarded to the other members of the ESC for comment. Only the Dean of Management Information Systems responded, with a suggestion that a measure of thesis quality could be obtained by determining the number of times that a thesis had been referenced by another student. The notion of thesis quality was not considered within the meanings co-constructed by the ESC as part of the TQL intervention, and no direct link to the ESC, or any of the TQL organization was created at this time.

Instead of focusing on the issue of academic quality, further effort was expended in response to the environmental influence represented in the BRAC hearings. The Superintendent produced a memorandum to the academic Deans that a “warfare oriented curricula” should be created in response. This curriculum would demonstrate the “uniqueness and relevance” of the school. Although the curriculum would include mostly military applications of the curricula already in place, such a curricula would require a very interdisciplinary approach, which had previously not been accepted by the more traditional military leadership of the school. For this reason, the Dean of Students responded to the initiative with another memorandum to the military managers of the school, that : “I have not boarded this train and am personally concerned with this memo. Please provide your candid, frank inputs which will not be forwarded and are for my eyes only” (Dean of Students memorandum of 12/07/92).

Graduate courses at the school were all sponsored by an interested organization in the military within the same functional area. For example, the Logistics curricula would be sponsored by a similar area of the military, with the military leader of that area having some oversight and funding responsibility for the curriculum. To manage each curriculum a set of Educational Skill Requirements (ESR) were devised and reviewed on a bi-annual schedule to permit changes in the curriculum to keep up with real-world and research advances. A memorandum from the Dean of Instruction to the academic deans instructed each to define ways in which each curriculum could be shortened. Rather than meeting academic guidelines with the ESRs as a foundation, deans were instructed to meet the ESRs literally, vastly reducing the amount of time spent on any one course, thereby decreasing term lengths, and permitting a greater students throughput while decreasing the cost per student in each program. While the obvious implication for satisfying the conditions of the BRAC with increased efficiency and decreased costs were discussed, consequences for academics and academic quality was not considered an issue.

ESC Retreat

A one day retreat formal retreat was conducted by the ESC in December 1992. This was the first formal retreat conducted by the ESC. Planning and logistics were coordinated by the TQL Coordinator, with agenda items contributed by ESC members from the horizon of environmental influences. During the retreat the TQL Coordinator acted as consultant and mediator, and formulated outcomes. These included establishment of a variety of “futures” the school might experience based on the current move to downsize the military. The range of possibilities included establishing the school as “the sole source for DoD high tech graduate level short courses,” by becoming “the DoD

coordinator and principal campus for graduate education,” establishing itself as a “DoD sponsored institution serving the needs of all the services by developing unique curricula,” and becoming “the manager or landlord of a series of research institutes related to other national laboratories” (from transcripts). Proposals to directly meet the challenge of possible base closure by demonstrating “uniqueness and relevance” included dropping average degree completion length from approximately 24 months to 18 months.

Curriculum completion length for each curriculum could vary widely, but each curriculum generally required that military officers returning to school for advanced degrees attend a one to two quarter transition “refresher” of mathematics and technical basics depending on their chosen field of study. Without these refresher courses, a large portion of the students accepted to the school would face serious difficulties obtaining proficiency in core subjects which they may not have taken as an undergraduate. It was not unusual for a military officer with an undergraduate liberal arts degree to be placed in a graduate engineering curriculum. Retaining the reputation as an engineering and technical graduate school was necessary to maintaining its role as “relevant” to military needs, although civilian education was being considered in Congress as an alternative.

The School’s argument to this was however, that most of the students arriving at its doors would not have been accepted to civilian graduate education programs in engineering or technical fields based on their undergraduate education, and services had not been entirely successful at recruiting and retaining undergraduate engineers. These considerations formed the boundary of a survival problem for the school, its leadership and the members of the ESC. It was therefore not surprising that the topics for discussion were much less about transforming the school within the boundaries of a TQL

organization, than about the survival of the organization. A discussion of meeting the challenge of possible closure within the boundaries of TQL also did not take place. Instead, environmental influences were incorporated into a process of creating a distinction about meanings of TQL, which after this retreat included notions of futures based on environments, but not on quality issues within the organization itself or its primary process, education. In fact, the final statement of outcomes from the retreat was that, with respect to (service) austerity, concerning academics, "The School intends to make enormous progress over the next six years by; aggregating curricula, shortening curricula, decreasing ESRs, revise refresher and transition phases to meet new needs and to repackage courses to require less credit hours" (joint statement constructed by ESC members, from ESC Retreat 12/92 transcript).

In the two ESC meetings following the retreat additional distinctions were made, referring to the necessity of providing education based in response to perceived environmental threat of possible School closure resulting from a potentially negative Base Relocation and Closure (BRAC) commission report. The vision statement was again made an issue and revisions were considered to include the notions of the school's mission and the ESCs role in creating transitional changes necessary to save the school. Some difficulty was encountered amongst participants of the ESC in coming to an agreement about definitions of actions to be considered. From a memorandum attached to the distribution notice for ESC member's use prior to the ESC meeting: "Please find attached another version of the mission statement. Please provide comments on the format, and content. As you can see we are looking at a different approach as we could not find an

acceptable way of expressing the mission to everyone's satisfaction" (ESC minutes and handout materials from ESC meeting of 12/14/92).

The draft mission statement for review included the outcomes of the retreat and the need to transition "junior officers who have been selected based on their professional performance to disciplines required by the defense establishment." Academics were included in this draft, so that the mission to "provide graduate level education tailored to the unique background and requirements of military officers (is met) by: (in addition to other program characteristics) emphasizing development of analytical problem solving skills, having students perform thesis research in military related topics and by conducting a program of research with military emphases that supports quality graduate education" (ESC meeting minutes of 12/14/92).

In December, the Dean of Students forwarded a proposed vision statement to curricular officers in charge of the curricula and students with a memorandum, "More good TQL stuff to read. Please provide your comments on this vision statement. This should show you the direction the School will go in the next 5-6 years" (Dean of Students memorandum of 12/15/92). The memorandum acknowledged the previous ESC retreat as the foundation for the proposed vision statement, and provided a statement concerning linking quality as an element of the vision statement and TQL; "The quality of our education process as measured by key quality indicators obtained from these customers and our students has improved by XXX%" (TQL Coordinator E-mail to deans; 12/15/92). This statement defines academic quality in terms of a quantitative measure of improvement, justifying the elements of the mission statement from which it was modeled. Ultimately the vision statement proposed at this time would be regarded not as

incorporating academe within the boundaries of notions constructing TQL, but as use of the only “production” in the school, graduating students, to justify a mission statement to the BRAC.

A change in Superintendent occurred in January of 1993, a normal occurrence, taking place normally between 18 and 24 months. The Provost’s term of office had generally been adjusted to maintain continuity during the transition phase and was the case during this leadership move. At the first meeting of the ESC in the new year, the new Superintendent began the meeting by concretizing his commitment to the TQL process, and stating that he had been briefed in Washington concerning the TQL effort at the school. The TQL Coordinator proposed at this meeting that a Command Climate Assessment of TQL be made, to which the new Superintendent gave immediate concurrence and support. A proposed date for final review of findings was established as March 11, 1993.

In addition to another review of the mission and vision statements, a secondary notion of a vision of quality in academe and education resulted from this meeting:

Instruction in all courses at the School is of the highest quality. The content of advanced courses is at the forefront of knowledge. Courses supporting educational skill Requirements (ESRs) are up-to-date and taught by expert faculty members. Courses covering refresher and transition material are offered to all students who need them. The School has a faculty of excellent teachers and researchers. Accreditation groups, curricula principal sponsors and external reviews consistently conclude that the School provides the highest quality education (ESC meeting minutes of 01/14/93).

Once again, a holistic review of the vision and mission statements together echo the familiar themes of relevance, uniqueness and attendant high quality already immanent in academic processes. As such, these statements reveal themselves as statements of present state for consideration by external reviewers rather than as a guide for internal transformation to this state. That is TQL is envisioned within these quotes as a process

already having been incorporated rather than as one to be embraced for the process of transition to follow. In this cognitive state TQL would become a supporting edifice to conditions already in place that meet the goals stated without having actually gone through the transforming process. In spite of this, the ESC prepared to go on with the series of lectures to the middle management and lower level employees called “Orientation to TQL.” A portion of the orientation lecture was presented before the ESC called the “TQL Policy:”

(our mission) not only requires the utmost teamwork and cooperation on the part of every School employee, but, in order to be successful, will need a structure and a philosophy that leads to continuous improvement.....TQL is the foundation for our interactions among ourselves and with our customers and suppliers. We use its processes to systematically evaluate our operations and identify root causes of our problems. We recognize the value of every employee’s contribution and solicit teamwork and cooperation. TQL is an integral part of our Strategic Plan and the prime means for continuous improvement of our performance (ESC meeting minutes of 01/28/93).

This statement is nearly word for word the same as that provided in the Chief of Naval Operations’ guidance to the school and the rest of the service concerning a set of definitions constructing the boundaries of TQL for the rest of the organization.

Semantically similar statements by the ESC provided evidence that the school was indeed complying with directives, and also provided the language of TQL to employees. What was not considered however was any semantic distance between meanings formed by employees for terminologies such as “customer,” “teamwork,” “Strategic Plan,” or “continuous improvement.” Presenters of the orientation briefings therefore had the task of closing the cognitive distance between these meanings and those held within the boundaries of TQL, in such a way that employees could embrace these notions and bring models of these concepts with them while also being within constructed meanings of TQL.

Similarly, a memorandum passed to the ESC by the head of Support Services stated that the school “is widely recognized as a superior institution for faculty employment to which superior young prospective faculty are directed and from which other institutions strive to steal...” thus establishing further the unique (high quality) with which the school must be renowned, but in fact this statement as well as those presented earlier were being passed between members of the ESC and its member’s departments for “spin” in presentation to external resources for support in upcoming political and budgetary warfare. This is however, the constructed meanings of TQL and the transformation which was being presented to the faculty and employees.

Student Research: TQL Climate Assessment

Until January of 1993 what little TQL training had been conducted was for the benefit of the ESC. Subsequently, the ESC made the decision to conduct a baseline survey to assess the school’s “readiness for change” towards a TQL organizational culture. An “assessment of TQL Climate” was conducted by students in a management course. Non-supervisory staff, supervisors, faculty and members of the ESC were surveyed using an instrument provided by the Navy Personnel Research Data Center. A group of thirty employees were picked at random and interviewed using a student constructed interview instrument. Although the TQL climate survey was not considered a “customer oriented assessment,” focus groups composed of graduate students were also conducted. Data obtained in the survey were forwarded to the Personnel Research Data Center for collation and statistical analysis. Interview data was subjected to an affinity diagram process by the student assessment team and commentary from focus groups were grouped into relevant categories.

The survey and interviews together indicated that as a generality employees of the school had positive attitudes for their roles within the organization (termed high role clarity), for their relationships with their work centers (indicating positive attitudes towards teamwork), exhibited high motivation with a focus on internal customers (students) and had little fear of implementing TQL. These results were contrasted with employee perceptions of high work pressure, an environment of ineffective decision making (decisions not being made at the lowest appropriate level), lack of support for procurement, and bureaucratic binding “exacerbated by inadequate information flows.”

The results of the Climate Assessment Survey were briefed to the ESC in March, and presented an organization of paradoxical behaviors. Employees perceived themselves as having a high degree of role clarity, but also held typically low organizational clarity for the school. This was further defined in data which indicated that employees were highly committed to their jobs, but had very little understanding of the school’s plan to meet further institutional goals. In addition employee data revealed that although there were good working relationships within work teams, employees felt that there were bureaucratic barriers to these teams working together. The last slide of the presentation showed the full page comment that “High Commitment + Low Influence + Low Appreciation = High Pressure, leading to Low Productivity” (transcript of 03/11/93 ESC meeting).

An immediate reaction was elicited from the Dean of Students and Provost. Both questioned the validity of the report, with the Provost remarking that “the assessment team should be very careful about what is or what is not perception.” One finding in the report focused on instances of “ineffective leadership,” which both of these ESC members

wanted changed to “perceived lack of leadership.” The day after the briefing two other ESC members commented to this observer that these comments had been “right on.” Other comments from the ESC within the confines of the meeting were that “just a few quotes can’t describe everything at the School;” and “TQM will be really hard to implement if we have to continually train people (employees at lower level)” (transcript of 03/11/93 ESC meeting). As discussion continued the Dean of Students placed his head in his hands, rolling his eyes in disagreement with the team’s findings. The Provost continued to question the validity of the report, asking how thirty interviews could possibly be an adequate cross section. In another reaction, the Provost observed “you (this researcher, presenting the data) say that people at the School like to work in teams, and know who their internal customers are, yet you also say that TQL knowledge is low—therefore I submit that what they perceive as their customers is really different from who their customers really are” (transcript of 03/11/93 ESC meeting). This deliberate attempt to double-bind the presenter and student assessment team went unanswered and was the most obvious example of a model-strong position in not only this meeting but in the course the ESC had charted to date. Questioning leadership of the school and the organizational dynamics of the foundation support to the transformation process was unacceptable to the ESC at this meeting, as constructed by the discourse of the Provost and Dean of Students in presenting model strong positions to which no clear answer could be given by the student researchers presenting the data. Other constructions by participants in the meeting, with observations that the data was actually supported by interview data, surveys and focus groups that totaled 400+ participants went unanswered

by those ESC members whose own models of the present organization and data were subsumed by the Provost, Dean of Students and Superintendent's model-strong position.

Attempting resolution at this point in the meeting, the TQL Coordinator asked ESC members what should be done with the survey. Discourse elicited follows:

Superintendent: (the report) confirms that people don't know much about TQL but are ready to learn. There are probably some areas of your report that are going to be surprises. We should follow up on the energy created by the assessment.

Provost: I note that the highs were in areas that the school is supposed to be doing as opposed to the lows which are in areas we are not particularly good in. We can't do TQM in the classroom. How do we do it in a straightforward way in the class—that is a way that really makes students learn better? Gets us to the idea again between learning and teaching. We can make ourselves better teachers but not make students better learners (from transcript of 03/11/93 ESC meeting).

These two comments demonstrate a high degree of ambiguity in the actions to be taken as a result of the study. Although the study showed that there was a link between leadership and employees perception that organizational roadblocks existed which would be likely to make transformation difficult, these data were not interpreted by the leadership of the ESC as a distinction about their part in the construction of this transformation state. Following up on "energy created by the assessment" did not include internal reflection on the part of the ESC, and it also was not followed up by any member by concrete strategies to capitalize upon this energy. The Provost's comments were an echo of previous assertions that TQL was not adaptable to the classroom, and that therefore student comments gathered in focus groups or in interviews held little meaning in terms of TQL intervention, apart from administrative and health and welfare issues. Further comments made by the Dean of Students further obfuscated the content of the data and prevented further theory formulation by the ESC; "How do the results compare to the rest of the (service)," and "What about the single racial comment?" (transcript of 03/11/93 ESC

meeting). A previous comment by the Superintendent had theorized that the school should be held apart from TQL results being obtained in other (service) organizations precisely due to the differences between the school's organization and standard military organizations. The issue of a racial comment elicited in an interview was observed by the student group as a direct attempt by the Dean of Students, who had earlier been observed listening to the data with discomfort, as an attempt to redirect the data in highly contentious and possibly suspect contexts. No response was made by student researchers or ESC members to this inquiry. Exit interviews of the student researchers indicated a general belief that the assessment would be used to create further generalizations of the state of organizational culture embarking on a transformation process and that the preeminent leadership group responsible for the transformation was resistant to those principles upon which the transformation was to be grounded.

Academic Quality Management Board Inaugural

An inaugural meeting of the Academic Quality Management Board (AQMB) chartered by the ESC was scheduled for July, 1993 by memorandum from the Linking Pin (Dean of Research, also an ESC member), who in the same memorandum acknowledged the difficulty expected in future scheduling so that the first agenda item for the inaugural meeting would be to work through all members schedules to find suitable times for future meetings. "I look forward to working with each of you on this most important assignment" (Dean of Research memorandum of 07/93) concluded the memorandum. Thus a perceptual notion that meetings would be held during the workday and that participation as part of the AQMB would be highly visible to the school's leadership.

Motives for participation were not immediately known to the researcher, but were brought forth in the discourse between participants in future meetings.

The first AQMB meeting was scheduled for 3 P.M. 07/20/93 during a workday that typically ended at 4:30. As the time for the opening of the meeting came and went, only half of the assigned participants had arrived. An introduction of each member was made by the Team Leader, a professor within the Management department, including this observer and a statement about the research. Opening comments by the AQMB Linking Pin characterized the AQMB “as the most important QMB” (AQMB meeting notes of 07/30/93). Initial constructions of the boundaries of TQL were established in distinctions made by the Team Leader, Linking Pin and by the principal facilitator. That is, terms such as “mission,” “vision,” “team,” and “process” were defined within the context of TQL. The AQMB’s purpose was given as transforming the culture of the school to become systematic in defining “ownership of processes,” “removing barriers to quality improvement,” and to “find and fix a simple problem then advertise that success,” which became the oft repeated strategy for AQMB actions in following meetings. Roles and relationships between the AQMB and the ESC were also defined and reinforced by reading the charter. A more abstract notion of “critical mass,” a TQL term defining the point at which transformation is self-perpetuating, was defined for the school as “450.” The Linking Pin’s perspective of the AQMB’s role, as a distinction apart from the ESC was to “empower PATs.” The ESC also held a collective notion, as voiced by the AQMB Linking Pin, that (TQL) “will involve many people across the campus very quickly....I see us (ESC and AQMB) as fully committed to providing resources where needed” (AQMB meeting notes of 07/20/93).

As the meeting ended the Linking Pin called for two students volunteers to serve as part of the AQMB. A memorandum was later sent from the Dean of Students' office specifying that the students should indeed be volunteers, one from a technical and the other from a non-technical curriculum. Two students volunteered and were added to the AQMB roster prior to the following meeting.

AQMB Linking Pin Feedback

In a verbal report given to the next ESC meeting, the AQMB Linking Pin reported that the "AQMB had a good first meeting." In a contrasting remark, the immediate comment from the Dean of Faculty was not about the conduct of the AQMB meeting, but in general, "QMB's should have people on them who can change things," implying that this was not the case for the AQMB. The TQL Coordinator replied, "QMBs are composed of people who can take action." It was not clear to all of the members of the ESC that indeed participants of QMB's in general, and the AQMB in particular, could actualize the basic TQM concept of empowering employees to take action at the lowest possible level of responsibility. The TQL Coordinator followed with "If I don't understand this, maybe my philosophy is all wrong.....the Linking Pin is a member of the QMB and is to be trusted to set the boundaries of authority on the QMB." As the principal consultant to the ESC of TQL philosophy it would be unlikely that any member of the ESC would challenge the TQL Coordinator's model-strong position concerning the formal "rules" of TQL. Challenging the TQL Coordinator's knowledge of the TQL system would therefore have been unlikely, however it would be possible to question the constituency of the AQMB on the basis that these members did not possess the political

authority empowered to their positions, and that in fact, the Linking Pin could not grant them any further authority to make changes at their level.

Context for Theme Development

At the same meeting in which the AQMB inaugural was briefed, the TQL Coordinator distributed an instrument to determine characteristics of the ESC acting as a team in an “ESC Team Development Questionnaire.” Likert Measures of Goal Clarity, Cooperation, Support and Cohesiveness, Role Clarity, Role conflict, Participation, Meeting Effectiveness, Conflict Management and Energy were obtained. Results were compiled and feedback given to participants. The data suggest the ESC was operating with considerable ambiguity in Goal clarity, with both the mean and median being distributed across the function. Role clarity was split between members being clear about their responsibilities (which are openly discussed with questions being clarified) and those who are in doubt about their responsibility (and who feel discussions are never held about how to best work together to do the best job). Half of the members responded that they felt “ESC responsibilities and expectations (are) in conflict with one another, with people making demands on each other. People have too many irons in the fire with too little time to accomplish anything well.” All ESC participants felt free to express themselves openly in discussions, and also felt open to address differences or conflicts directly, however another statistic indicates meeting effectiveness was considered low by most members. The mode of responses to “what is your general feeling of work accomplishment and satisfaction,” landed squarely in the lowest category, “I often feel as though a lot of my energy has been wasted....”

These data suggest a high degree of qualitative correlation with findings of the Student Climate Assessment e.g., an organization with metaphorically low “vitality” being similar to an ESC of low “role clarity” or low overall effectiveness.

Organizational commitment of the ESC to the principles of TQL as a means to form the core structure around which future strategic actions would take place can be put into context by considering the parallel structure of a planning Board composed of most of the same members of the ESC, but without the transformational or semi-formal rules of TQL. Planning Board meetings were generally held immediately following or preceding ESC meetings. Occasionally ESC meetings would be cut short and Planning Board meetings held in its place, or discourse within frames of reference would continue into ESC meetings. For members of the ESC who were also members of the Planning Board, this situation could be confusing. Linking Pins could potentially be members of the ESC, a QMB and a “Strategic Action” committee. Formal rules for engaging in individual and committee action could become further blurred in the construction of what activity existed within one framework to another. For example, a Cost Cutting QMB had been planned as a means to promote efficiencies within the context of BRAC scrutiny. Instead, the ESC determined that the *process* of cost cutting would take place at the Planning Board instead of within a QMB. The Planning Board, as a directed and hierarchical organization, had little interest in determining processes relevant to cost efficiency, which was seen as a TQM function.

Instead, roles within the Planning Board were more structured, following familiar hierarchical and military patterns with which members were immersed in day to day business of the school. A particular example of this organizational schizophrenia can be

found in the Strategic Planning initiative being conducted by the Planning Board at the same time the QMBs were being established by the ESC.

It is our contention that insuring the structure is in place that insures that this work will be done, and that the campus is aware of and participating in the action, is the underpinning of a major part of pf our strategic plan.....Actions are grouped into three categories: external/political, program/organization, and mandated actions. (A) Coordinator for that particular effort will be roughly equivalent to the Linking Pin concept for Total Quality Management Boards, but we have no intention to form Boards around these groupings, just want to have a way to guide the work and to insure it gets done. You will note that almost all of what relates to the programs of the school and to preserving the school in a hostile environment.

The structure established placed a senior faculty or military officer in charge, noting this as a "Linking Pin" position, with individual actions to be carried out by subordinate members of the group.

Amongst the strategic action group labeled "Programs," were found those portions of the school's academic functions overlapping those included on the charter written by the ESC for the Academic QMB. These included specific degree programs, and more general administrative academic processes of establishing curricula length, creating short courses, devising a (student) quota plan and determining military faculty requirements. Strategic action groups were determined by the Superintendent directly, in keeping with the military hierarchical function of this position.

Membership to QMB's continued to be a topic of discourse between members of the ESC. Shortly after establishing parallel strategic action programs, the Superintendent complained in the next meeting that the QMBs did not have the "right" membership; "QMB membership is not high enough, we need people with connections." This comment was made in reference to an "External Relations QMB" and referred to members not being

sufficiently empowered to make sufficiently robust external connections for the school's sake in the present environment.

As this discourse continued within the ESC, the AQMB continued a social construction within the self-assumed understanding of boundaries for TQL. Meetings at this first stage of construction included facilitator attempts at unifying the group around ideals such as "personal commitment" to TQL. Due to the large difference in TQL knowledge among the participants, dialog centered upon constructed meanings for "customer," "internal customer," and "external customer." A central question asked at the second meeting of the AQMB was "what is the boundary to the QMB?" (transcript of AQMB meeting 08/17/93). This question would prove to be a catalyst for extensive discourse over the next year, as the self-reflexive distinctions defining this boundary were continually modified through the dynamics of dialog.

Linking Pin reports were made to the ESC at each meeting. A report on the status of the AQMB in August was made following a by now familiar review of the vision statement in which the question was asked "will this motivate people to go where we want them to go?" Shaking heads, "no" by some members and silence by others signified participant's belief the vision statement would have little impact (transcript of ESC meeting 08/17/93). A statement made in this version of the vision, that the school was a necessary step in an officer's career progression had been contradicted by data showing that the school had negligible to detrimental impact on career success. To this observation the Provost commented "it (vision) doesn't say anything about the quality of learning," (transcript of ESC meeting 08/17/93) which initiated further discourse to construct a group meaning for boundaries to "the graduate system." Notions to boundaries of the

graduate system were not resolved in this dialog, although it was established that further service education (a command and staff course) were not included within this system.

Group construction of TQM processes and organizational transformation continued with the next AQMB meeting. A group exercise was attempted in which each participant was asked to produce a drawing of the “process management by which work gets done by your organization and the school” (transcript of AQMB meeting 08/31/93). Standard hierarchical organization charts dominated most of these drawings, with little distinction made for processes. A distinction was made however, concerning the definition of “graduate system” given by the ESC at the previous meeting. The AQMB redefined this system as all education extending from commissioning and forward, through an officer’s career. The extension of boundaries to match this definition were not addressed, however. Instead, discourse concerning elements of a reward system for faculty was shared without substantial distinctions as outcomes.

As discourse within the AQMB evolved, notions of group education within the dynamic were revealed. Short remarks made in previous meetings by the TQL group facilitator had established that some education of TQL principles would take place as a group exercise for the AQMB, in the form of a “General Knowledge of TQM” test. This instrument was handed out to all participants at the next meeting (September 21) and immediately precipitated a decision by the AQMB Leader that participants would not have to “take” the test, but only look it over. A subsequent interview of the AQMB Facilitator revealed that this act was in keeping with a perceived pattern of resistance by AQMB members to acquiring an espoused mental model of TQL considered to be within boundaries of formal understanding of TQL. That the resistance was perceived to have

been initiated by the AQMB leader, a full professor of high standing, further distanced formal notions of the TQL process, the formal role of the TQL facilitator assigned, and the actions of the entire AQMB from the formal TQL model. First order learning of these formal rules of TQL was not engaged in, precluding a possibility that a further second order learning process could take place. It would have been in discourse of a second order learning process that the AQMB might have constructed strategies to acquire the basics of formal TQL. Instead, the committee turned again to dialog defining the notion of “customer.”

Dynamical patterns began to emerge from these early meetings of the AQMB. Cognitive models of TQL processes and formal rules were held apart from notions of the group’s purpose and processes chartered by the ESC. This was most obvious in AQMB discourse around meanings given to notions of “customer.” Customer was defined and redefined, for example, as “conference attendees” at the school versus “students only.” For one AQMB member, “who I spend my time responding to makes them a customer,” (transcript of AQMB meeting 09/21/93) while for another the customer was defined as an analog to a “black box” in a systems diagram. References to boundary definition around “customer” created a whole new set of distinctions and a need to reconstruct notions of what a customer is. As boundary construction around these notions was taking place, some members became increasingly agitated at the group’s inability to quickly and solidly define boundaries around this principle TQL notion.

An affinity diagram process proposed by some of the participants was a further perturbation to the group’s dynamic. Model strong individuals were not able to produce a consistent and all-encompassing definition without increasing complexity of the definition

and organization and perceptual boundaries. A comment in discourse by one AQMB member pushed the group into a self-reflective discourse around “external customer” environment; “We aren’t using the definitions (of TQM)....we need a new round rule to not beat a dead horse. Once we look at processes, the other questions will wash away” (transcript of AQMB meeting 09/21/93). This comment was met with general approval by the AQMB members, and effectively moved the group to the next matter, those processes about which each AQMB member would have control.

Self-referential discourse concerning its empowerment by the ESC became a focal point of further discussions, and another “attractor” for the theories, models and comments made by members of the AQMB for the rest of this meeting. The dynamic of the discourse followed that previously engaged in around customer definition. That is, as the distinctions of notions concerning ownership of individual processes were formed, boundaries to these notions became increasingly complex with greatly enlarged variety. An attempt to simplify boundary formation was made by the group participating in forming a “process flow chart.” However, this further complicated the discourse and mental models by producing a shift from linear concepts of customer-processes-service requirements-military mission to a nonlinear and heavily interrelated model in which neither customer nor process could be set aside as a distinct entity. The discourse therefore attracted around notions of which comes first, “customers” or “processes.” Participants could not find any way out of this conceptual bind, producing a cognitive blind spot for the intent of the discourse, which was to produce an initial point from which the AQMB would begin to test for variances that could be successfully enhanced using TQL procedures. The meeting ended without group understanding of the distinctions

which had been made, so that neither first order nor second order learning had taken place.

As observation continued with both groups the observer was more and more often referred to as a participant. Participation took the form of note-taking and reporting of minutes for the AQMB, as formal recognition within the ESC by being recorded in the minutes as an observer, and as a confidant to some participants of the ESC. Occasionally members of the ESC and AQMB attempted to incorporate the observer into their cognitive model through reports directly to the observer, or in discussions made within the observer's view or hearing in such a way as to ensure a "message" had been delivered.

Training for executive level administrators (heads of departments and academic curricula) was scheduled around a satellite feed in real time with a popular TQM lecturer. The presentation was to have been delivered to the school in the Engineering Department which maintained satellite access for the school. Information concerning this event was publicized through the TQL office, but was not mentioned in either the ESC or AQMB meetings. Attendance was limited to those administrators who were not members of the ESC or a QMB. Participation was voluntary, with a list maintained by the TQL office. Its purpose was to engage participants through a real time dialog with other mid-level executives undergoing training at the consultant's video studio in another state. At the scheduled time, and with approximately thirty administrators present, the TQL Coordinator switched on the video monitor and tested the telephone feed line that would provide access for the school's participants to comment on the program or ask questions of the consultant at the other site. The picture wavered and then disappeared, although sound was available for a short time. The TQL Coordinator made a quick call to the

department responsible for the satellite link and found that none of its personnel were available to troubleshoot or re-point the antenna. Participants already seated began to make comments about the ability of local TQL to implement the quality necessary to provide training about itself. The TQL Coordinator, although embarrassed, did not refer to this incident in the TQL forums observed. The opportunity for organizational self-reflection on its ability to construct and implement the structure necessary transform itself passed without comment. Commentary from participants revealed that there was a consequent lowering of credibility for the ability of TQL to implement itself.

In a meeting of the ESC 09/29/93 a "Credit Card Process Action Team" (CCPAT) from the Procurement QMB presented their report. The charter of the CCPAT, "to assist the Procurement QMB in evaluating the success of the credit card program and to make recommendations for improvements to that program" was contained in the hard copy report (*meeting minutes of ESC 09/29/93*). During the presentation a copy of the report was passed from the Dean of Students to the observer. A handwritten note "BS" was made across the page containing the charter of the CCPAT. This particular PAT had produced a very detailed report using TQM data collection methods the results of which were very clearly and concisely tabulated. The report was highly effective in surfacing details of processes it had been chartered to highlight. In addition, group response to the presentation as a whole seemed positive and appreciative towards the CCPAT's efforts. "The data represented a complete package, not a sampling....Morale was up. The end user (to the credit card procurement process) felt better served" (*transcript of ESC meeting 09/29/93*).

The Dean of Students commentary therefore seemed out of place with characteristics of the presentation and responses, except as a commentary to the larger TQL process being engaged in. As a principle member to this group and as part of the empowered hierarchy with the mission to create an organization transformation it would have been difficult to comment directly on the efficacy of TQL or the transformation process in which the ESC was engaged, leading to formation of QMBs and their PATs. It was, however, acceptable to make this single comment to an observer of the transformation. Two points of significance may be associated with this action; first that the observer was recognized by the Dean of Students as a relevant point of contact outside of the domain of ESC discourse, and secondly that this particular individual, in spite of the theory espoused did not personally incorporate the TQL model into a transformation view expected of TQL participants. Some cognitive distance was therefore being maintained, which was not in evidence in the participant's first order discourse.

Another significant comment in response to the CCPAT presentation, was made by the Superintendent; "It is important at this time to pluck low hanging fruit" (transcript of ESC meeting 09/29/93). This particular metaphor would be used to frame future discussions of the use of data input to the ESC from various TQL committees. In particular, this metaphor referred to immediate actions the ESC should be taking based on those pieces of information being provided as data. Like "low hanging fruit," the theory being espoused was that minimal effort would expended in implementing change based on these data. Not specifically espoused, yet implied in this theory is the notion that feeding from "low hanging fruit," requires little use for developing processes and tools for "climbing trees to get at hidden fruit."

Commentary from the TQL Coordinator revisiting the roles of the ESC in transforming the school from its present state to a TQL organization further highlighted possible cognitive distance between this ideal and possible mental states of the ESC members, and indicated a perceived need on the part of the TQL Coordinator to reestablish the group's focus. These roles included: "providing active leadership for the transformation to a completely TQL environment; champion cross-functional communications and problem solving; communicate TQL to subordinates; identify system barriers to TQ and remove them; (and) focus TQL effort on our long range strategy" (TQL Coordinator memorandum to ESC of 09/93). A "State of TQL" handout produced for the ESC also included as ESC roles "As a team, come to consensus, publish the aims and purposes of the organization and enlist employees; Identify system barriers to TQL and remove them; (and) Focus TQL efforts on our long range strategy" (ESC meeting notes of 09/29/93).

A "State of TQL" presentation (ESC meeting of 09/29/93) provided by the TQL Coordinator presented self-referential data of the ESC's perception of TQL transformation to this date. Very little discourse was noted concerning the accomplishments noted in this presentation, in spite of possibly conflicting authenticity of the data presented. One notation, for example, read "Completed TQL Orientation." Orientation of employees had in fact taken place, yet no discussion of feedback from these orientations was made during the TQL Coordinator's presentation. This was in spite of the dialogs which took place in observed orientation meetings and in discussions between employees and members of the ESC subsequent to the schedule of orientation briefings being held. The impact of the document was therefore to present a report concerning

adherence to a transformation schedule, and not the present state of transformation. The report also noted a newly revised mission and vision statement. Consensus had not yet been reached on the set of distinctions raised within either of the statements, and therefore public distribution of the school's mission and vision could not be given.

A second student evaluation of the TQL transformation reported to the ESC was based on a survey and interviews of students and faculty within the Administrative Sciences Department (A Survey of Attitudes Concerning TQL at the Naval Postgraduate School, MN3105, September 1993). Respondents were asked to mark a survey instrument of twenty-seven questions quantified on a response scale of 0 (strongly disagree) to 5 (strongly agree). From the 243 returned questionnaires and interviews with TQL leadership, the research indicated high levels of TQL support (3.77 SD 1.019) and belief that TQL implementation would "require an extensive change of leadership style than has been previously emphasized" (3.5 SD 1.362). To the question "I am familiar with TQL issues and problems being addressed at the School" mean responses were quite low (1.695 SD 1.282). Conclusions of the report stated:

the School is making progress in implementing TQL. The progress is not moving rapidly. When it takes the ESC over a year to agree upon the organization's mission, it is easy to appreciate the concerns of those that feel progress is not occurring at all....A significant finding of our research was the lack of public knowledge concerning the TQL efforts at the School. We recommend that the school's leadership and quality committees communicate their roles, missions, and objectives by establishing formal and informal channels of communication throughout the school (results of Attitude Survey presented to ESC meeting 09/29/93).

ESC reaction by discourse to the data was negligible, with the exception of a comment by the Superintendent that there was a "lack of unified aim and purpose communicated to them" (transcript of ESC meeting 09/29/93). No dialog followed this

statement, and it cannot be determined if the reference was the ESC communicating aim and purpose to the research group, the student researcher's not communicating the aim of the survey to the survey population or if the reference was connecting research conclusions to ESC actions; i.e., that the ESC had not effectively communicated a unified transformation framework of TQL to the school's students and faculty. No further reference was made to this report, the data or conclusions. Instead, the Superintendent stated a need for an upcoming strategy retreat: "We really need this retreat and to get the strategic plan on the street" (transcript of ESC meeting 09/29/93).

Formal leadership structure of the school and the ESC had to this point not been an attractor in ESC discourse. This was noted as a principle factor for lack of transformation progress and employee resistance in the research report made by the students and presented to the ESC.

Resistance to TQL was the second common trend in our interviews. Each person interviewed discussed resistance to TQL in one form or another. Part of the difficulty arises from the organizational structure at the School. Although the Superintendent is technically the man in charge, he has limited ability to influence the TQL efforts. Various committees participate in the higher level decision making process. In this environment, consensus building is the key to success. The differences between the traditional military decision making process and the traditional faculty decision making process is a source of conflict. The frequent turnover of military personnel exacerbates the conflict. An analogy used by three of the people interviewed compared leading the faculty to herding cats (Survey of Attitudes reported to ESC 09/29/93).

The report also surfaced distinctions between faculty and military perceptions of TQL's purpose within the organization. Faculty reward structures were a separate systems dynamic from the military administration structure of the school. Within faculty processes key components included a tenure process for non-tenured faculty and funding (and pay) allocation for tenured faculty. Distinctions about these processes emerged as

attractors in the student research report, and in subsequent AQMB meetings. However, these distinctions were not attractors to the dialogs observed within the ESC at this time, remaining outside of the cognitive horizon established by the theory-rich models of the Superintendent, TQL Coordinator and the Provost. A third attractor brought forth as a theme within the report indicated “a conflict between the need to study the process and the need to something about it.” Future AQMB and ESC meetings would form discourse patterns around this attractor.

The following AQMB meeting began with feedback of the previous meeting from the ten assembled participants. Respondents feedback indicated the group felt is was “beating a dead horse” (transcript of AQMB meeting 10/01/93). A “whinneying” horse sound from one of the student members to the AQMB elicited further reaction that this sound should be made anytime anyone felt that the group was engaged similar discourse around a single attractor of implied limited significance or group movement. That is, for the idea to become a metaphorical “dead horse,” had a collective significance that it was “useless as a dead horse,” and that as a group “we are getting nowhere.” A further, unstated implication was that the group would therefore have to decide what issues would not be classified as “dead horses,” so that useful discourse and group movement could occur.

Defining customers was still necessary as a distinction for organizing further AQMB actions. Although previously described as a “dead horse,” the AQMB quickly agreed that there should be two categories of customers, those internal to the school, and those external to the school. Internal customers were described in terms of students and those employees serving the needs and education of students. External customers were

defined as the military organizations who would gain student graduates into their specialized programs at some point in the students future careers. Bringing forth this distinction enabled the AQMB to move forward to begin defining the products and services of the school supporting these notions of customers, creating distinctions from one process to another and boundaries around each. The “brainstorming” discourse yielded thirty-five separate processes associating student’s to being the school’s “product.” Not all of the processes were considered to be directly linked to academics, which required a second brainstorming session to create a criteria for ranking processes. The priority criteria began with customer satisfaction and descended in order through importance to: the curriculum sponsor, students, faculty administration, users, taxpayers and “our ability to deal with processes.” A second dialog ranked the surfaced processes by voting for “top 20 favorites.” A determination of the highest priority processes would be made by tabulating members votes for each process listed. Dialog for this process was not entirely consensual, resulting in meta-discussions about processes for engaging the prioritization process. “We’re screwed up if we don’t just make customer satisfaction the principal criteria,” (transcript of AQMB meeting 10/01/93) was one member’s comment to deciding what criteria should be used to make a priority ranking of processes.

Discourse continued once again around the notion of customer until the previous definitions of customer were again brought within the boundaries of the dialog. The AQMB Leader characterized this process as a “paint by number exercise.” Other board members appeared comfortable with a structured approach to defining process boundaries, and plans were made for the next meeting to analyze the priorities and bring the AQMB into a functional mode in which specific processes could then be studied and progress

demonstrated. Weekly meetings were now scheduled and times were arranged so that as few conflicts as possible with the academic schedule could be maintained. This usually required meeting on Friday afternoons, an unpopular time with most of the committee as this time had traditionally been used as class preparation and student consultation time. The next meeting was canceled for lack of attendance (only three members arrived for the meeting).

Environments in which the school was immersed was consistently a factor in the discourse dynamic as it unfolded, even if not generally a specific attractor. Often this component of discourse was inferred or implied by references to ongoing political or funding considerations with which the TQL effort might become involved. The ESC meeting of 10/14/93 highlighted constructed boundaries of the environments considered problematical to the school's future, and as consideration to the present TQL transformation. "Emerging crises, such as BRAC 93 (Base Relocation and Closure Committee) and other threats to the immediate future of (the school) have consumed valuable executive resources and hindered progress to the 1992 Strategic Planning Plan implementation" (ESC meeting minutes of 10/14/93). A second, more political environmental consideration involved the recently publicized speech by Vice President Gore, implementing a "Reinventing Government" philosophy (National Performance Review, in 10/27/93 minutes of 10/14/93 ESC meeting). This philosophy was promoted to all sectors of the U.S. government, including the military, with an instruction that services were to create "Reinvention Laboratories" in which cost cutting and efficiency measures would be demonstrated. Politically, the inclusion of Reinvention Laboratory served to support one of the school's internal transformation objectives, to demonstrate

“uniqueness” to the BRAC. A secondary outcome was the establishment of a parallel transformation organization which would become a component of the ongoing TQL transformation environment and which would view the TQL initiative as part of its environment. The mirroring dynamic of these two transformation initiatives was not considered in a second-order perspective, but was rather referred to with respect to each initiative’s component relationship to each other. For example, ESC meeting discourse of 10/14/93 as the TQL Coordinator passed out copies of the “Reinventing Government” handbook; “ (Superintendent) Is there anything unique in these principles?” (TQL Coordinator) “Not particularly—they’re not required to be unique” (ESC meeting minutes of 10/14/93).

A continued written discourse on the variations within a commonly agreed upon vision statement was reviewed by the ESC in the 10/14/93 meeting. This version of the vision statement was provided to the members of the ESC as the “final” version, and again demonstrates the importance to some ESC members, of a single key environmental factor (uniqueness) in constructing the supporting vision on which the TQL transformation was to be defined. “Our students will find the school academically challenging and their curricula *unique*.” Model strength of this specific environmental factor, as held by the Provost, was tested in a discourse (as a model monopoly) with the school’s commander of military personnel; “Change the focus (in the proposed vision statement) to quality of teaching, so that it reads ‘Instruction will be a major emphasis of our faculty and will (member’s emphasis) be of the highest quality’.” To this comment the Provost replied, “I like to emphasize the quality of learning vice the quality of instruction. The critical thing is ‘value added’ to the student” (transcript of ESC meeting 10/14/93). The Provost did

not add that this emphasis should be added to the proposed vision statement. The discourse between these two ESC members was effectively ended, with the Provost maintaining a model monopoly within the discourse by proposing an ambiguous restatement of his own constructed model of a vision statement, one in which two under-constructed notions “quality of learning” and “quality of instruction” were to be compared for acceptance by the ESC for proper “emphasis.” Because these notions had not been constructed within the group, no shared cognitive models were possible for comparison with a resultant cognitive blind spot to the necessity to include some statement relating TQL and notions of quality to primary processes within the school.

One of the principles of the draft vision statement held that “the School will be a nationally recognized leader in applying TQL to the university environment” (draft vision statement 10/14/93). Articulation of this notion within the vision statement did not produce dialog amongst members of the ESC. Either this espoused theory of TQL transformation was indeed the theory in use, or it diverged so far from what ESC member’s understood as the local reality of the change initiative that it did not bear mentioning without appearing critical of a politically mandated program. Rather than pursuing this dilemma in discourse, the group was moved by the TQL Coordinator to consider suggestions for cutting costs within the school and to reviewing a draft of the Strategic Plan. Another document, the schools “Guiding Principles,” were also handed to each member, but were not discussed. Two of the articles in particular were relevant to inculcating TQL within academe, but again elicited no discourse within the ESC. The first, with respect to quality stated that; “Quality comes first. As our products and services are viewed, so are we viewed. We will achieve quality through daily emphasis on continuous

improvement of our products, services and processes.” A second article is a statement *about* customers, but *not a definition of boundaries* to the notion of customer; “Our customers are the focus of all we do. We treat our external and internal customers with courtesy, compassion and respect. Our reputation for superior customer service is well known with DoD and the Academic community” (guiding principles draft of 10/14/93).

Strategic issues had been constructed by a “strategic issues subgroup,” and were displayed on flip charts in an adjoining hallway to the conference room. The issues had been collected within three groups labeled “Ownership of (service)/DoD Graduate Education,” “marketing and filling the schoolhouse,” and “organization and motivation.” A strategy for discourse provided by the TQL Coordinator was that these categories would form the basis of group discussion in the upcoming ESC retreat.

The next AQMB meeting (10/15/93) was attended by the TQL Coordinator, who asked the question of the assembled members, “so you all have a common understanding of what it (TQL) means?” Observation of member’s physical reactions indicated that they did not share a common understanding. Beginning with this invitation to describe shared notions of the TQL process, discourse attractors focused distinctions important to member’s understandings of the group’s relation to their notions of the TQL process and the AQMB’s relationship to the ESC. This discourse helped define boundaries to elements of the academic system, and also resulted in a request made to the ESC to define the boundaries of the AQMB in the absence of perceived lack of empowerment by the ESC. “The AQMB needs to go back to the ESC and get a head nod about our charter” (transcript of AQMB meeting 10/15/93). Dialog then oscillated between the two themes of AQMB empowerment by the ESC and definitions of customers (especially with respect

to making the distinction of internal or external customers) and their needs. A dilemma surfaced by the AQMB concerning the role of students in the TQL process: “We can’t get what we need from students—they don’t know what they need” (transcript of AQMB meeting 10/15/93). This theme often became an attractor through the dialog initiated by model strong faculty members on the AQMB. The notion involved the customer (students) not being included in TQL data-gathering because “students don’t know what is good for them until they are educated, so they can’t be part of the process of deciding what is needed to educate them” (transcript of AQMB meeting 10/15/93). At this particular bifurcation (point at which the internal “energy” of the group required a change in direction of subsequent group actions) however, a decision was necessary in order to proceed with any direction. A vote was taken and the decision was made to obtain data from both student and faculty groups.

Dynamics of the AQMB were kept intact from one meeting of the AQMB to the next through the use of written feedback examined at the beginning of each meeting. The second order learning potential of these feedback statements were often a cognitive stepping stone to what were quickly becoming the dominant attractors for group dialog. For example, the 10/22/93 meeting of the AQMB began with commentary (feedback) of the previous meeting as; “laborious –perhaps this is the way its (TQL process is inferred) supposed to be—the group is afraid to leave the nest” (transcript of AQMB meeting 10/22/93). The metaphorical “nest” in this comment referred to staying within a comfortable position in which an inevitable confrontation with the ESC over empowerment of the AQMB to effect change, would not have to occur. To bring the group forward from self-prophetic descriptions of its inability, the TQL Advisor asked the

group to conduct a group decision making exercise. For the second time since their first meeting, the group decided to not actually perform the exercise, but to talk about what would have occurred had the exercise actually been conducted, indicating once again the group's high resistance to training and inability to bring discourse and consensus making together in one dynamic.

Consensus as a TQL principle was proposed by the AQMB Leader, with the caveat that "consensus takes time." After presenting an extensive argument relating the dynamics of consensus making to the group, and that "the role of consensus is to give each participant the opportunity to say their piece and sign on to whatever is being proposed," (transcript of AQMB 10/15/93 meeting) AQMB participants agreed to vote on which processes the AQMB should consider. Rather than determine what data should be obtained and by whom, the group vote was taken to continue an AQMB process of determining what data had already been taken by other initiatives and deciding later whether such data were relevant. As this activity was taking place a student participant to the group passed out another listing of academic processes and services. Considering the need to find relevant data and the academic process list which had just presented, the AQMB became confused and chaotic, with numerous references by participants with regard to having a student "top five" list and others (mostly faculty) proposing a "faculty top five" list of relevant academic processes. The meeting quickly divided itself into two groups, one proposing a faculty list, the other a student list. The two groups reconvened as separate meetings within the single meeting to determine what should be included in both lists. At the end of the meeting a student participant observed in a question: "so who is making the recommendations about change? This QMB won't have the power to

change anything unless that is nailed down,” (transcript of AQMB 10/15/93 meeting) referring to the attractor (ESC empowerment of AQMB) with which the meeting began.

A draft “Final Vision” was distributed to members of the ESC by E-mail from the TQL Coordinator just prior to their 10/27/93 meeting. The subject line of the E-mail indicated the finality of this version, and the frustration with which it had been produced; “This is it!....the VISION!” Prior to the meeting the TQL Coordinator shared frustrations with lack of progress and commitment by the ESC, made apparent by the late arrival of participants who had been in another meeting in which a strategic plan was being developed with a political emissary of the school to Congress. “Until they have strategic issues nailed down this is going to keep happening to us (remaining as a second priority to other interests). The ESC needs to meet two more times before we go to the retreat, but there just isn’t time” (observer field notes of 10/27/93). Strategic issues and strategic planning had become central issues for the military and civilian leadership of the school, outside of the TQL intervention. However, commentary following the cyclical structure of comments such as: “until the strategic issues and strategic plan are complete, (this or that project) can’t be finished,” (transcript of ESC 10/27/93 meeting) was observed as part of discourse by the TQL Coordinator and other ESC members. A retreat for the ESC was planned so that ESC members could engage in concerted dialog, theoretically bringing forth a set of distinctions and boundaries around strategies to incorporate TQL processes into the school’s internal structure and to meet external base closure threats.

Thirty minutes after the scheduled meeting time, the Superintendent and the other members of the ESC arrived from another meeting. On being asked to review the “vision” document passed to everyone by the TQL Coordinator the Superintendent remarked “Oh

yes, our weekly vision test” (transcript of ESC 10/27/93 meeting). Having just arrived from the strategic issues meeting (this meeting was conducted as a “Planning Board” meeting, a tradition within formal military meetings) in which traditional processes could be resumed in lieu of TQL process perspectives, this comment may also have been construed as belittling to the TQL activity enacted as participants arrived to this meeting. Although made in a joking tone, the remark elicited shaking of heads and a general mood of disbelief that the document should not be taken seriously. Rather than reviewing the document, the group turned to hearing reports by QMB Linking Pins.

The Procurement QMB Linking Pin presented the ESC with a decision. The process action team (PAT) which had made progress on the procurement credit card process reported earlier to the ESC was now being asked to determine how paperwork to support changes it had formulated would be supported. The PAT, believing its work would now be extended into other processes, was asking for compensatory time off as a reward for time already invested. Discourse within the ESC highlighted dynamics related to rewards formulation, which was to become a central attractor for all TQL groups.

Comptroller: We need to look at this to see if we can justify doing this.

Superintendent: This will have to be closely monitored.

Provost: Sounds great but what if you want to reward the team and someone on the team didn't do any of the work? It should be up to the team to decide who deserves to get time off.

Superintendent: We'll have to come back to this later....

Provost: As part of the 'reinvention lab' we need to look at rules, regulations etc, that affect us.

Superintendent: The credit card PAT, did they really do dedicated work that deserves an award? I don't want to start a precedent.

TQL Coordinator: We can say in the TQL Newsletter, something about the award..

Provost: If the PAT team actually made savings in time for the school, then we should reward them. Otherwise not. In keeping with a hard nosed point of view, that TQL needs to save us something, or we shouldn't be doing TQL.

Dean of MIS: What about the QMB? They did good work too, didn't they?

Provost: "Maybe, maybe not.

TQL Coordinator: Return on investment has to be considered. The PAT team's job is to study something then make recommendations.

Superintendent: Anyone against the 2 days off for the credit card PAT team? (No dissent is noted).

Dean of Faculty: Compare time off and the rewards matrix.

Provost: We've spent enough time on this (Transcript of ESC 10/27/93 meeting).

This exchange within the discourse illustrates relativity between model relationships within the ESC and the dynamic of boundary formation around core issues. Reward systems were not in place to support TQL transformation at the time of this exchange. The Superintendent and Provost demonstrated model-strength, contributing to a model monopoly (monologue), by bringing the notion of rewards for TQL service into their traditional understanding of the way in which rewards are used in an organization. Together they defined the movement of the discourse, from its beginning to its end.

Approval of the reward was granted by the Superintendent, but only in the case of this specific work group, not as part of a larger system of rewards. The TQL Coordinator was not able to provide a distinct model against which to test either the Provost or Superintendent's model of a reward system. The above discourse also demonstrated that

the TQL transformation was being constructed within boundaries of the school's traditional structure. That is, rewards were only to be meted out for specific and quantified successes, or unless specified by the military or civilian leaders of the school.

The dynamic of interrelationship between participant's model strength was again demonstrated with reactions to the proposed vision statement and accompanying "guiding principles." The Superintendent, on reading these over remarked, "Let's just make this 'job one' and be done with it" (transcript of ESC 10/27/93 meeting). The Provost did not directly reply to this comment, but added a separate comment that "there is an article in the journal of Education about guiding principles of faculty that we should look at. Faculty looks like a volunteer organization, like the Red Cross, etc. They don't take responsibility and aren't accountable (exclaims this point by throwing up hands and rolling eyes, indicating his concurrence with the observation). Maybe we should rewrite our guiding principles! (Stated with a humorous tone)" (transcript of ESC 10/27/93 meeting).

A briefing by the Linking Pin briefing, who had been present at the previous AQMB meeting characterized the AQMB to the ESC as a "very dynamic group," and that "thanks to (the TQL Coordinator) they've begun to move forward." The TQL Coordinator responded with "They're moving right along. They won't just be talking to students and faculty, but will also be interviewing other customers" (transcript of ESC 10/27/93 meeting). This comment was in contrast to observations of the previous AQMB meeting, inferring a consensus among the AQMB for continuity of purpose (interviewing customers) and boundaries to notions of "customer."

Boundary formation with regard to group empowerment to enact change was questioned within all levels of the TQL organization, including the ESC. For example, in the same meeting discussed above, the following discourse was observed:

Comptroller: We're always tabling the cost cutting suggestions. Four or five of these issues are on everyone's (strategic issues) sheet. Those issues were apparently interesting to everyone. Are we going to do something with these, give it to someone else, form another committee, or wait for it to just come up again?

TQL Coordinator: Some of these are just management decisions.

Comptroller: Right, so some of these we can just decide to do.

Provost: Like the ones 'cleaning the boards twice a week' we can decide to clean just once a week and save x dollars. We could implement these now. Of course the faculty could just erase the board after class.

Superintendent: Some of these things are easy, some can be assigned to a QMB etcetera (transcript of ESC 10/27/93 meeting).

Meta-Ethnography (Distinctions and Themes)

In the discourse above sequential distinctions are co-constructed by participants. These distinctions are not stated as such by participants. Following Herbst's (1993) co-genetic logic that distinctions are created in such a way that the elements of this dynamic may not exist independently of each other, co-construction is observed as an independent event in which a participant interacts with what is stated or developed within the discourse. Researcher interaction with these distinctions is therefore a distinction about distinctions, or meta-distinctions. Themes are the researcher's labels, developed within an appreciation of the meanings given in discourse, for what it is that the discourse is about in the course of distinction generating discourse events. This is a necessary first step in the development of an ethnographic coding instrument through which the ethnographer develops meanings and theories about the group being observed. Objectifying discourse

distinctions is also a reference point which the observer may discern as “boundary construction,” and maintenance of “model strength.” Themes are therefore related to these notions.

Following each participant’s contribution (referring to the passage above) restated as distinctions by the observer (sequentially as made by participants): 1) as a group the ESC is ambiguous in its treatment of financial concerns that are of interest to others as well as the Comptroller, and keeps passing over these issues without defining actions; 2) Some of the decisions may be passed to the lowest level of authority, but this activity is within the espoused formal notion of TQL, not necessarily applicable to the model in force; 3) The ESC *can* simply make a decision to act based on data; 4) The decisions which may be made at the ESC or lower level are those lower level decisions such as deciding to limit janitorial services and just make faculty clean up after themselves; 5) It is easy to make a decision about some actions at a lower level, but some are to be made at the QMB level or higher. The difference between these decision levels is ambiguous and can’t be adequately determined at this time.

In addition to distinctions and themes, model-strength and boundary formation are another dimension to the discourse. That is, the impact of this dialog, taken without reference to the individual participants is that the boundaries considered in relation to the distinction brought forth in the first comment will remain indistinct, ambiguous and status quo. The dynamics of the dialog and the participant’s model strength associated with a position prevented co-constructed distinctions from becoming established boundaries. That is, the discourse progressed from department leader with ownership of the processes in question, to the TQL Coordinator, each proposing a theory of action to the ESC as a

test of model strength. The Provost and Superintendent, each propose a response within the boundaries of their own model-strong positions, which is successful at incorporating weaker models and continuing the same level of ambiguity with regard to the central question of authority as had been brought forth in the first place. This discourse illustrates the relative model strength of the participants involved and is an archetype of future discourse dynamics within the ESC.

AQMB Decision to Form a Bookstore Process Action Team

The next AQMB meeting (10/29/93) provided further insight into participants' theories of action. A video of group dynamics was shown (Abilene Paradox) by the AQMB Facilitator. The principal theme illustrated in the video was that groups are often compelled by inner dynamics to pursue courses of action on which participants have not agreed. Immediately one response to the viewing was that "We're not set up to do what we need to do" (transcript of AQMB 10/29/93). General assent with this statement by the rest of the committee was observed, followed by a request to once again define boundaries of the ESC's commitment supporting organizational requirements for TQL committee participation; "I (faculty member 4) wrote a memo to get release time for faculty to do TQL full time.....went to the ESC. Any feedback?" (Question is posed to the TQL Facilitator).

No response was given to this question, eliciting instead the following exchange of statements concerning empowerment of the AQMB and its ability to pursue courses of action:

Student member 1: QMB's aren't empowered to do anything.....we're moving at a snail's pace.

Faculty member 1: The AQMB is too large, therefore the complex is made too complex.

AQMB Facilitator 1: Maybe we should break up the group into two pieces and meet in a month to share reports?

Faculty member 1: How about just disbanding and tell the ESC we need more focus.

Military faculty member: Are there views here that are personal agendas?

Student: We need to take a hard look at learning here.

Faculty member 1: But risks are tied to the reward system. It is question number 12 on the SOFs (student opinion forms completed by students as feedback on the course and instructor) that is the culprit. Teaching is done to raise the 'Jersey number' (cumulative score attained by an instructor at the time of consideration for tenure). Feedback with respect to question 12 creates a whole set of dynamics.

Faculty member 3: What I hear is that there is a 6 year tenure process at this school.

Faculty member 2: How important is teaching at the School?

Faculty member 3: Just cancel the faculty group.....we already know what is important. We don't need to poll the faculty.

Faculty member 4: We were that close (brings forefinger and thumb close together) to mass resignation (of faculty) before today.

Military faculty member: Instead of SOF's (student opinion forms) which is too difficult, let's look at direct funded research and why it doesn't go to the faculty.

Student member 1: let's just look at something that we can do.

Faculty member 4: The equation is all wrong. Ten months is (what faculty are) contracted to teach, but really this works out to about five, which sends the wrong signal to faculty and the importance of teaching.

Student member 1: Bookstore services are a big issue to the students.

Military faculty member: There's a 90 dollar cap on the amount a professor can expect students to buy per course. There's an impact on quality in this regard. Also, books are more expensive at the bookstore than the same book out in town.

Faculty member 1: SOF's are the real issue...but I'll go along with whatever the group wants to do (transcript of AQMB 10/29/93).

Courses of action referred to in this discourse exchange were either stated directly or inferred from observation of participant's personal theory. Boundaries constructed around these different courses of action were created in distinctions brought forth in the following sequence:

(Empowerment from ESC to allow quicker action)—>
 (Decreasing membership of the AQMB to relieve complexity)—>
 (Increase AQMB variety by creating two groups)—>
 (Disbanding the AQMB to force the ESC into creating a new committee with increased focus)—>
 (AQMB difficulties are the result of personal agendas)—>
 (The AQMB should focus on learning as the key process)—>
 (Faculty tenure is tied to student opinion forms, question 12)—>
 (Faculty processes don't need to be surfaced because they are already well understood by the faculty)—>
 (The AQMB is close to disintegration due to a lack of focus)—>
 (Faculty tenure and student feedback processes are too complex for study, but research funding is not)—>
 (The AQMB needs a verifiable, quick and easy success)—>
 (Bookstore prices are too high and impact students as well as faculty)—>
 (Previously stated models hold a weaker position than the bookstore action theory and incorporated or relinquished in favor of group action)

Although members of the AQMB members present at this meeting had just viewed a training video which had discussed the nature of group decision making for action (the very dynamic which they had undergone) very little post-viewing dialog was observed. Also there was no second order discussion regarding the impact of this theory on AQMB participant's own theories of action. Dynamics of discourse in this meeting moved individual theories for group action a far cognitive distance from individual theories, arriving at a decision to investigate the school bookstore processes resulting in higher bookstore prices.

A model strong position inferred from this discourse is that the AQMB constructed a notion of action consistent with group notions of acceptable progress. Resulting decisions were bounded by ambiguous notions of empowerment limits given by the ESC for AQMB empowerment, and assumptions held by each participant about those limits. The model strong position also rejected actions that engaged tenure, student feedback or teaching processes.

Meta-Ethnography (Application of Theme Construction)

Themes obtained from early observations of ESC and AQMB meetings defined boundaries within “discourse horizons,” providing one level of a possible discourse analysis and definition of dialogue. In order for such a definition to be made, some code would be necessary in order to catalogue the observer-discourse dialogue in a meta-dialogue. Conceptually, this required the observer to objectify that which was observed to be tacit or constructed between participants, a “thing” about which discourse was made. This act includes the observer making distinctions about what is inside or outside to a particular theme and who is included in its construction. The context of the discourse, participant relationships and relationship of the observer to the dynamic in progress are all elements to defining and naming the theme objectified as data.

Although useful as a means to reduce large amounts of discourse data, themes in themselves do not reveal what is at the essence of dialogue, as they do not make a distinction about what is dialogical in discourse. Still, themes are relevant to the creation of a useful coding instrument so that the “investigator generates a series of interpretations of a given range of ‘phenomena’” (Gergen and Gergen 1991, 88). It is in this reflexive elaboration of the event that the researcher constructs another dialogue, one between

observed data and theory making. In this research theme development was the first of many researcher-data reflexive dialogues.

Outcomes of the researcher-context and observation discourse are re-stated as group discourse themes and shown in Table 3 below. It is from this first analysis of discourse data that a coding instrument was derived.

Meta-Ethnography (Research Dialogue)

Researcher to data discourse (researcher→data interaction) at this point in the research produced distinctions about the performance of the research and analysis of data. Discourse presented to this point is highly contextual with limited methodological support. Observations are the result of direct observation or inferred from the discourse. This is appropriate for much of ethnographic research, to discourse events observed outside of meetings and for interviews.

However, as in the AQMB meeting described above, discourse provides context and data with which this researcher may, in the absence of a methodology, pursue a researcher-data dialogue that does little to surface the integral dynamics relevant to this research. The courses of action uncovered and reported above are at a lower level of analysis than that required to fully understand the relationship between discourse, dialogue and organizational transformation within the paradigms being considered. This realization required the researcher to acquire a different set of tools and a more direct method of analysis.

	ESC	AQMB	School
1	Definition of boundaries between an external and internal environment. For example, discourse within the ESC concerning what environmental elements are important.	Establishment of boundaries, for example "who the heck is the customer around here?" Many hours discussing the definition of "customer" in the School's education process.	Resistance to TQL implementation. Numerous commentaries made concerning being "outside" of the process. Data gathered from individuals lower in the hierarchy indicated cynicism to TQ intervention: perception that leaders lack commitment TQ or that these concepts are selectively used.
2	Creation of a "vision" statement, "guiding principles" and a "strategic plan."	Definitions of quality in education	Distrust of Academic administration and military leadership. Metaphorical language used to describe "Deanery;" "Mezzanites."
3	Defining measures of quality in the organization in general (distinctions made by the observer concern these measures as they relate to academe).	Methodological means to assess and measure educational quality.	TQL is not understood as intervention strategy or as a "management philosophy." Relevance to individual's epistemology is not defined.
4	Establishment of process action teams (PAT's) and Quality Management Boards. Discourse events in which organizational power is used to enact organizational change.	Distinctions (boundaries between) Faculty and student quality (as separate issues).	

Table 3. Themes Derived From Context Observations and Discourse

5	School closure and crisis events related to Base Relocation and Closure Committee (BRAC) report. Quality effort is strategized as a means to challenge the BRAC by defining the School as a unique and necessary institution. A separate "War Room" is established (apart from the ESC) to manage this campaign.	Quality of education is inappropriately defined from student perception. For example, students don't know what quality is -- and cannot know until they are educated.	
6	Validity of data and statistics, and data collection in general, where the focus is on means to validate information and methodological considerations, vice a larger view.	Distinction of systems boundaries within the university. For example curriculum sponsors, research sponsors, faculty, students and organizations that receive the "finished product" after they graduate are all distinct, yet related.	
7	Behavior of group and individual relative to notions of commitment to the change philosophy.	Relationship to the ESC and TQL intervention.	
8	Motivating and guiding change within the institution. Example: use of simplistic management tools such as "re-engineering government" through application of a "silly rules" program in order to take advantage of "low hanging fruit" were a major part of the dialogue.	Authority to enact change. Scope of charter from the ESC is perceived as ambiguous.	

Table 3. Themes Derived From Context Observations and Discourse

9	Distinctions made by members of the ESC indicate resistance to TQL initiative. Discourse includes references to resistance among ESC participants for different aspects of the TQL effort.	Pay, promotion and tenure in their relationship to quality and the education process.	
10	Coordination of TQL with other management initiatives, e.g., "re-invention" as a parallel change initiative aimed at deleting non-systemic "silly rules." Coordinating the two efforts is not evidenced in discourse.	Separating Quality of Life (QOL) issues from education quality issues.	
11	Reward systems. Discourse concerning establishment of special recognition or perquisites associated with exceptional TQL performance.	Resistance to TQL and change management "training." Confusion concerning TQL as a methodology, cognitive shift, or "profound knowledge" and construction of their meanings.	
12	TQL successes or failures	Release time, or other compensations and rewards for participation in the AQMB.	
13	ESC TQL training	Dissatisfaction with the slow rate at which change occurs.	
14		Feedback from the ESC and ESC-AQMB communications through a linking Pin are problematical; e.g., ambiguity of AQMB charter is related to lack of AQMB-ESC discourse.	

Table 3. Themes Derived From Context Observations and Discourse

Categorization of dialogue types evident within the discourse was a first attempt to create a “forest from the trees.” This was an inappropriate methodological approach as a systematic approach to mapping large volumes of data was not available, and a theory of dialogue types relevant to this research could not be established without first doing the research, creating a paradox.

A software tool, Ethnograph V4.0 was researched and found to provide effective data manipulation and tracking of a wide range of qualitative data. Specifics to this software and the methodological regime imposed in its use is presented in the Methods chapter. What should be noted here is that the interaction between this software, this researcher and the data provided opportunity for theory making appropriate to the analysis, which supported further theory construction, an iterative process.

The interview which follows provides additional context for the transformation environment and presents a perspective of one ESC member. Inference by a participant-observer is appropriate without further data reduction using this software. However, the following AQMB meeting is analyzed using a methodology in progress and is followed by initial theory construction.

Exit Interview With an ESC Participant

An exit interview was conducted with the school's Comptroller (a military officer position), providing triangulation of discourse data and themes surfaced to this point. During ESC meetings the Comptroller provided data on the school's internal and external financial operations and seemed to be regarded as an expert by more senior members. Several discourse events had taken place in which the Comptroller presented a model of TQL transformation and ESC performance that differed from that of the other members.

An informal conversational interview is partially excerpted below, followed by commentary (Q; question, R; response).

Q: What did you view as your role on the ESC?

R: To be a team member, not in an adversarial role, trying to forward the movement of the concept of TQL throughout the school...(and) to participate in those things the ESC must do to create a valid program. I think that as an ESC we failed at a lot of those things, or have up to now.

Q: What sort of things did the ESC fail at?

R: Well, let's be specific....the ESC doesn't have a strategic plan. We do not have a...although at the last meeting we started to have, guiding principles. Our mission statement has not been in existence for very long, maybe six months, and we've been working for two years.

Q: It seems like there has been a lot of give and take to get where the ESC is now?

R: Well, there was a lot of bantering back and forth. There were many times when we talked a lot, but there was really no movement. I think that was probably the biggest failure from a personal and group point of view of the ESC-- that we can't please all of the people all of the time....Sometimes we would spend two hours on a particular word. I don't know how many mission statements we did, quite frankly, I think any of them would have done....So I think that is the primary failure of the ESC--we didn't move very quickly.

Q: So, what is TQL to you?

R: Two things. In a true TQL environment you are telling the employees more, and the things that matter to you but don't really matter in the global sense, just ignore--giving them more authority to handle their own things. The other is a TQ environment, which we don't have yet. The statistical basis is different. All the rest (of the ESC) talked about touchy-feely things and not the hard data or the statistical base that TQ has under-riding it.

Q: Where do you think the school is in its TQ effort?

R: Well, if this were a graduate school (of TQ) we're in kindergarten, or may be the first grade (transcript of Comptroller interview).

In this interview the Comptroller characterized employee commitment to TQL as somewhat enthusiastic, at least to the point that "the employees have some enthusiasm and

some desire to do this, and I think that's good in building momentum." Concerning the work of the AQMB, "(they) are going to have a difficult time finding that first early success, just because of the nature of the things that they look at."

The culture and commitment of the ESC to TQL transformation, from the Comptroller's perspective:

R: All of the members of the ESC are very committed to providing better quality in whatever services they put out. Some of the members are certainly more skeptical that this isn't any different from the ones (management initiatives) that came before it. Others are skeptical because in their areas of expertise and management they can't see how TQ applies. A big chunk of this is in the academic side—not production oriented. I mean, what is the measure of effectiveness? A very difficult task to come up with (measures).....Some folks just have a hard time seeing how this will apply in their area. And that's true. A QMB, with senior level folks—that's a time sink that needs to have results.

Q: What does the ESC define as the end product, for example, quality of education?

R: I think the ESC recognizes lots of customers, but our mission is education, so that is the principle measure of how we are doing.

Q: You mentioned customers. Who is the customer to the ESC?

R: We haven't decided that. We had a list of something like 220 customers. Two are always talked about...one is the sponsors (of each curriculum). In my own mind, the sponsors are very hard to get a finger on and whether we are doing a good, bad or indifferent job...very fuzzy. We would like to build our quality based on sponsors. They would be our advocate based on the quality of the people we give them (graduating students). This is what the ESC would like—we aren't even close. Instead, we are dealing with the internal customer. For example, the Procurement QMB. But, the squeakiest wheel gets the grease, and that is the faculty, so the ESC has been spending most of its time with the faculty.

Q: So, where do the students fit in?

R: Students are thought of as customers at various time. We've looked at them as the primary customer, about a year ago. Has shifted towards students as our product. Part of it is that if we are providing what the sponsors want, then we are also probably providing what the student wants.

Q: What is the energy level of the ESC now?

R: On a sine wave, we are on the upswing now. They like what is happening with the QMB's, we aren't getting hit with the BRAC now, so we spend more time on ESC matters. When BRAC comes up again, more energy will be channeled towards it. Besides, if we really get TQ going, we might be able to solve a lot of our problems with BRAC, and people (other ESC members) realize that. We also get frustrated with ourselves, but we don't seem to be able to correct it. For example, when it takes so long to get something—like six months or a year to get out a mission or a vision statement—enthusiasm wanes.

Q: Is there sufficient feedback to in the TQ intervention organization to get things done?

R: Feedback is terrible. But, then it is a microcosm of the overall situation in the school, but it may be better in the rest of the school at large—the ESC has Linking Pins to the QMBs etc. (transcript of Comptroller interview).

In his departure letter to the ESC, the Comptroller provided this insight and perspective into the role of quality in academics as defined by department chairmen:

R: Department Chairmen are overworked, underpaid and not appreciated. Too many chairmen seem to take the approach that their job is to have enough faculty to teach the courses and the money to pay them. They do not take an active role in the teaching quality, research quality, or evaluating/insuring that their departments are serving their internal and external customers. I feel this should be a primary concern of the AQMB (transcript of Comptroller interview).

Having been a charter member of the ESC, the Comptroller's perspective of TQL transition movement from inception provides evidence of the constructed boundaries around distinctions of TQL definitions, resistance, incorporation by the rest of the school and the ESC's performance to date. These interview data support earlier data presented in student research findings. Distinctions around "customer" continued to be ambiguous and the interview reported a shift from students as customer to student as product. Internally the discourse dynamic had not resulted in strategic plans or in an incorporated definition of the school's mission and vision. From the dialog presented above, the Comptroller's theory of ESC low performance was characterized by an organization of

low energy, ineffective consensus discourse, poor feedback with the external environment, and reactive to external political environment (crisis modes).

Forming the Bookstore Process Action Team (II)

The next AQMB meeting (11/05/93) was recorded and observations made in the course of the meeting. Transcript of the discourse and field note observations provided the initial data set numbered in Ethnograph and saved as a file for further coding.

Initial coding of the file was conducted with an intention to surface issues relevant to construction of meanings within further constructed boundaries of the transformation, thus highlighting the constructivist nature of the dynamic. It was quickly revealed that coding by simple identifier words would be inadequate. This type of coding procedure creates a coding instrument with nearly as much variety as the discourse being analyzed. Instead, a coding instrument was created in a conceptual dialogue between the researcher and the discourse. Contextual awareness created by previous association with the observed group and participation in the organization under study provided additional perspective. Table 4 presents this initial coding instrument, which was then applied to an AQMB meeting transcript.

Code Word	Definition
+PERSPECTV	Addition of one perspective to another. May move a distinction from one cognitive point to another, adding to an already model strong perspective.
ACTION	Statement defining specification of a specific individual or group action.
AXIOLOGIC	Discourse concerning value distinctions or in the construction of value distinctions.
COMMITMENT	Can be negative or positive attitude to performing TQL tasks, attending meetings or participating with the AQMB group under definitions that group constructs for TQL.
CONSENSUS	Processes or discourse related to bringing the AQMB to consensus, including first or second order dynamics.
CUSTOMER	Discourse constructing notions of “customer” or related to defining group perspective of “customer.”
EMPOWERMENT	Boundary construction from distinctions about AQMB empowerment.
ENERGY (+)	Positive energy is additive to the discourse in a way that increases participation of other members to cross perspectives or add to perspectives presented. Does not indicate agreement consensus.
ENERGY (-)	Negative energy, applied through discourse which tends to decrease participation by other members.
ESC	Relationship or action construction concerning the Executive Steering Committee.
EXT BOUND	Formation of cognitive external boundaries through discourse which adds to or crosses perspectives of other boundary models held by other participants.

Table 4. Ethnograph Code Table. Codes constructed from themes, and their meanings, as applied to transcript data.

Code Word	Definition
FEEDBACK	Input provided to AQMB meeting which brings information or previous context forward to the present for the purpose of providing data to the group and framework for continuing discourse.
GRP BOUND	Boundary formation constructed in the course of AQMB discourse bringing forth notions of AQMB empowerment and responsibility.
GRP FOCUS	Specifying from single participant perspective any notion of group action.
MEMBERS	Determination of those present at a meeting. Discourse related to membership of a TQL group.
METALEARN	Events of second order learning created as a distinction in discourse.
NEEDS	Requirements brought forth as a “need” applied to a subject in the discourse, e.g., “customer needs.”
ONTOGENY	Distinctions about a specific reality brought forth in the discourse. May be applied to construction of some notion of boundary and structure.
PAT	Post PATCHOICE, discourse concerning boundary definitions of the Bookstore Process Action Team.
PATCHOICE	Discourse related to decision to make choices about creating a Process Action Team.
PROBLEM	Stating specific notion characterized as an obstacle to be considered, or to be added to a previously constructed notion.
REFLECTION	Participant discourse to bring forward previously constructed notions for inclusion into present construction or with which to cross perspectives.

Table 4. Ethnograph Code Table. Codes constructed from themes, and their meanings, as applied to transcript data.

Code Word	Definition
REFLEXIVE	Commentary in the discourse which is applied to oneself, or reflecting perspectives back into the group. May be first or second order.
REINVENT'N	Discourse concerning inclusion of Reinvention initiative within constructed notions of AQMB or TQL boundaries, or distinctions constructed about actions related to Reinvention.
REWARD SYS	Discourse concerning use of or construction of reward systems as part of the TQL process.
RHETORIC	Discourse or dynamic concerning use of language.
SOF	Discourse concerning relation of Student Activity Forms to proposed actions by the AQMB.
STRUCTURE	Discourse related to organizational form as an element of organizational performance.
SURVEY	Discourse concerning construction or conduct of a survey as part of AQMB options for actions.
THEORY	Occurrences in which participants bring forth models to support perspectives, account for behaviors, group dynamics or performance of the AQMB and related TQL organizations. Also may refer to external/internal environment and boundary formation.
TIME	Description of time as a resource.
TQL BOUND	Construction of notions of "boundedness" around TQL.
TRAINING	Conduct of AQMB (TQL) training or actions taken to acquire experience. May be the "issue" of or the "conduct" of AQMB TQL or self-learning.
X PERSPCTV	Crossing perspectives in the course of discourse, creating distinctions as part of model strong or model weak positions.

Table 4. Ethnograph Code Table. Codes constructed from themes, and their meanings, as applied to transcript data.

Numbered and Coded Ethnograph file for Episode I (Nov 5 AQMB Meeting)

The transcript from this AQMB meeting was processed through the Ethnograph software, which numbers each line and labels the speaker. Associated codes from the code instrument developed from themes was used to code the entire transcript line by line, with associated lines of discourse being annotated by an Ethnograph derived code symbol. A portion of this coding and relevant observation are provided for below for discussion. Commentary, similar to theme construction is an outcome of a researcher-discourse data meta-dialogue. This observer held a position within the same organization as the participants of the ESC and AQMB, which provided access as a “sensitized observer” which allowed the meta-dialogue to take place.

In the course of daily organization observation discourse events were observed and noted, as in the following exchange between two members of the AQMB just prior to that group’s next meeting (coded in Ethnograph; complete coded transcript is found in Appendix A as AQMB Coded Meeting I):

+: One hour prior to this meeting a	1	
discourse event was observed between	2	
Military members one and two.	3	
Military member 2: "who is going to the	5	
AQMB today?	6	
#-COMMITMENT #-ENERGY(-)		
Military member 1: Neither one of us	8	-#
wants to go to this shit-you go.	9	-#
#-TIME		
#-RESOURCE		
Military member 2: No, you go to that	11	-#
one, and I'll go to the GERB/GERG	12	
meeting. You know, the	13	
Superintendent pointed out that if	14	
you count up all of the time we spend	15	
in meetings and boards, we don't have	16	
any time left to do work. He's	17	

thinking about putting a memo on the	18	
street asking for everyone to stop	19	
inviting dignitaries to the	20	
school--no time for them.	21	-#

Commentary; (coded lines 23-29) This conversation was held within hearing of this observer, whom the members knew as an observer. The tone of the conversation was heavily ironic and sarcastic about their role in the various boards in general, and the AQMB in particular.

In this AQMB meeting a review of the previous meeting (October 29) was presented as group feedback and informed those members who had not been present of the decision to create a Bookstore Process Action Team (Bookstore PAT). The review was given within a frame of reference that included the viewing of "Abilene paradox," which was used in such a way that those present at the earlier meeting could state that they had come close to the same paradox presented in the video, but that it had been avoided because participants had agreed to form the Bookstore PAT. To bring the other members of the AQMB into the decision, the alternatives were presented for reconsideration; do an evaluation of the school's textbook store (head shaking by nearly everyone indicated they believed this to be a good idea), evaluate the process of classroom instruction by examining the Student Opinion Forms as a means of feedback, and distribution of funds to professors, to which one faculty member added, "this is a hot one--there is no consensus out there."

Reviewing proposed options at this meeting was intended to permit consensus building and consequent buy-in by all participants. Instead of following this course, opening the discussion permitted a review of personal theories of action and AQMB performance.

#-FEEDBACK	%-THEORY			
(10/29/93). Faculty member 2 stood		40	-#	-%
up and provided feedback from the		41		
meeting; that those present had		42		
watched the movie "Abilene Paradox"		43		
and that at the end of this		44		
presentation those present felt that		45		
the group was now at its own "Abilene		46		
\$-PATCHOICE	*-THEORY			
Paradox". Felt that the faculty		47	-\$-%	*
group had decided to move to a		48		
project that could be successfully		49		
done immediately (vice doing a survey		50		
of faculty as customers needs). Those		51		
areas considered for action by the		52		
%-ENERGY(+)				
AQMB or a PAT included:1) bookstore		53		
(head shaking of nearly everyone in		54		
the group, that this would be a good		55		
idea, or possibly that the bookstore		56		
is a known problem to all) 2)		57		
evaluating the process of classroom		58		
instruction. Primarily this would		59		
involve examining the SOF as a		60		
feedback mechanism. 3) Distribution		61		
of funds to professors (how faculty		62		
are paid process). Faculty research		63		
quarters are an issue.		64	-#-\$	
#-EXTR BOUND	#-CONSENSUS	#-THEORY		
Faculty member 1: This is a 'hot			66	-#
one'--there is no consensus out there			67	
concerning this process.			68	-#
#-GRP BOUND	\$-X	PERSPECTV		
AQMB Facilitator 1: Should we stay as a			70	-#-\$
large group, or should we split up?			71	-#
#-STRUCTURE				
Student member 1: I see this as a			73	-#
structure question.			74	-#-\$

Commentary; (82-100) Student member 1 delivered a lengthy, emotional comment that the group is not structured properly to get anything done. Without defining meanings for 'getting things done', Student member 1 believes that this movement cannot occur in

this group. He continues in his commentary that the AQMB should study itself first, restructure and then decide what problems to address. He states a belief that structure is what gets things done, without clarifying what this would mean in terms of restructuring this group to successfully complete a TQL task, or how restructuring will create a more favorable atmosphere for deciding what must be done.

Group structure and discourse on the type of Process Action Team were the attractors within the discourse (Coding removed from this section for clarity is found in Appendix A):

Not sure what exactly we decided. The	125
bookstore seems like an easy thing to	126
do, but is probably a PAT team issue.	127
Student member 1: I started this	129
meeting on my soapbox about the	130
structure of the group. We are not	131
properly set up to do a PAT team	132
effort.	

To this discourse event the AQMB leader added another set of perspectives, which seemed to also state a theory of meanings for what the AQMB's role in TQL was meant to be, and supported the perspective already stated by the student:

AQMB Leader: Student member 1's point	151
is right on. Let me ramble for a few	152
minutes.	153
The point is that what we are	167
here to do is to determine what our	168
customers need. It would be easier	169
to just fix the bookstore, but that	170
isn't what we are here to do. It	171
doesn't surprise me that the group	172
wants to 'get something done',	173
because of the nature of the people	174
in the group. If we take on the	175
bookstore, that's okay, but we should	176
do it with the understanding that we	177
want to do it to see what this is	178
like, to learn from it, not as an	179
initial foray into managing processes	180

by ourselves--that is not what we are 181
 here to do. Not part of our charter. 182
 Major point is 'what do our customers 183
 need?' It would be far easier to do 184
 the bookstore, but we need that data 185
 base. 186

AQMB members continued to trade perspectives and construct individual and group theory around notions of customer, group size and identity and empowerment. A high degree of recursion seemed to take place within the discourse, and energy, as defined in the coding, seemed to dwindle as it was negatively applied throughout the meeting.

Discourse events concerning the role of power as given to the AQMB from the ESC, and meanings of the AQMBs role in the TQL initiative were noted. Also group commitment, and the power to make decisions became attractors in the discourse.

Moving the focus of the meeting to establishing a Bookstore PAT, the AQMB Facilitator passed out copies of the Procurement QMB credit card PAT charter to AQMB members. One of the members read the charter aloud, interpreting the implications for a Bookstore PAT. Immediately the group began to have difficulty doing this. The language of the charter was specific to credit card PAT tasks, but the AQMB did not yet understand specifically what it is that the ESC would have the Bookstore PAT do. Finally, members of the group exploded with frustration:

Faculty member 1: (with evident 400
 frustration) Screw Deming! 401
 AQMB Leader: We have to buy into the 403
 TQL process; that is what we were 404
 brought together to do. We could 405
 have been chartered for some other 406
 reason, but looking at academics 407
 through this process of TQL is what 408
 we are about. 409

Meta-Ethnography (Participant Theory)

From the numbered and coded AQMB Coded Meeting I, a map of observations may be created, as was done for the previous AQMB meeting. Although this map presents a view of the broad dynamics, showing which discourse topics followed linearly, it does little to increase understanding or focus theory construction. An alternative to this is coding by participants' theory construction. That is by surfacing ongoing theory construction a different discourse analysis is possible.

Theory Construction

Analysis of the coded discourse allows the observation that organizational dialogue includes the perspectives and theories of the participants. Individual discourse between participants may include crossing or adding perspectives to produce distinctions which are added to individual and group models. Together these theories, or models, construct boundaries around notions such as "TQL," "AQMB," "customer," etc.

At a second level individuals cross or add to perspectives in the form of theory. That is theory is stated as a perspective that may be crossed by another, or added to it. A transformation of theory takes place, moving the organizational model. This is the dynamic of an organizational dialogue.

A notion of organizational dialogue may be extended to organizational learning. For example, Kim's (1993) *Incomplete Learning Cycles*, as part of his OADI-SMM model, and *triple loop learning* in which "learning permits insight into the nature of paradigm itself, not merely an assessment of which paradigm is superior." The data may be evaluated for occurrences in which this has occurred (Isaacs 1994, 46).

An element of dialogue to be considered in the next modification to the methodology is the triadic role of the observer in formulating theory from the data. Participant crossing and adding of perspective and formation of theory, both individually and as the result of perspective crossing includes the intertextual component of the observer in dialogue with the transcript data, which becomes a third constituent in Herbst's co-genetic logic applied to discourse and a dialogue methodology.

Analysis of participant theories in discourse is presented in Table 5 below: Sequence number refers to position within this meeting discourse, followed by the participant producing the theory, an explanation of the theory expressed (within the context observed by the researcher), the line number associated with the numbered file, the context in which it was provided (same as the AQMB codes provided in the previous table), indications of crossing perspectives (and participants involved), and further comments which to this point reflect energy (defined above) added into or taken away from the discourse.

Sequence Number	Participant	Theory Expressed	Start Line	Context	(+) (X) Perspective Participant	Other
1	Faculty Member 2	AQMB Exhibits an "Abilene Paradox"	40	FEEDBACK		
2	Faculty Member 2	Faculty of AQB seek immediate success	47	PATCHOICE		
3	Faculty Member 1	Research funding is an energizing issue for the AQMB because no external consensus concerning this issue exists at the school	66	EXT BOUND; CONSENSUS		
4	Student Member 1	Restructuring of the AQMB is necessary to determine courses of action for the group.	98	STRUCTURE	(+) AQMB Leader	(-) Energy
5	Student Member 1	AQMB not properly structured to manage the bookstore PAT.	131	PAT; STRUCTURE	(X) Military Member 1	
6	AQMB Leader	TQL is defined by notions of assessing customer needs.	167	ONTOGENY	(X) Military Member 3 (X) Student Member 1 (+) AQMB Leader	Boundary Formation
7	Faculty Member 3	AQMB is structured incorrectly to manage itself or a PAT.	188		(X) AQMB Leader (X) AQMB Leader	

Table 5. Outcomes of Episode 1. Discourse analysis of Episode 1 transcript based on dialogue methodology.

Sequence Number	Participant	Theory Expressed	Start Line	Context	(+) (X) Perspective Participant	Other
8	Faculty Member 3	AQMB is too large which undermines its ability to manage.	190		(X) AQMB Leader	
9	Faculty Member	AQMB lacks commitment to plan and supervise a PAT.	190		(X) AQMB Leader	
10	Faculty Member 3	AQMB is linked to low sense of self purpose.	192		(X) AQMB Leader	
11	Faculty Member 1	The school "system" is broken.	211	PROBLEM		
12	Military Member 1	The AQMB is "broken."	215	PROBLEM; CUSTOMER; STRUCTURE; REFLECTION		
13	Military Member 1	Students are a product, vice customer of the school.	216	PROBLEM; CUSTOMER; STRUCTURE; REFLECTION		
14	Military Member 1	The AQMB is not properly structured to do the bookstore PAT.	218	PROBLEM		
15	Military Member 1	The university's customers are external to the school, vice internal.	223	CUSTOMER		

Table 5. Outcomes of Episode I. Discourse analysis of Episode I transcript based on dialogue methodology.

Sequence Number	Participant	Theory Expressed	Start Line	Context	(+) (X) Perspective Participant	Other
16	Military Member 1	The ESC is unable to structure itself to manage the TQL process and has the same problems as the ESC.	230	PROBLEM	(X) Faculty Member 1	(-) Energy
17	Student Member 1	The AQMB is not structured correctly which is responsible for a cynical attitude of members to the process.	245	PROBLEM; STRUCTURE	(X) AQMB Leader (X) Military Member 1	(-) Energy
18	Faculty Member 3	The AQMB lack of commitment prevents it from being energized and moving forward.	255	COMMITMENT	(X) AQMB Leader	
19	Student 1	Absence of ESC Linking Pin indicates the ESC is uncommitted to AQMB difficulties.	260	COMMITMENT	(X) AQMB Leader	
20	AQMB Leader	Lack of group consensus prevents the AQMB from negotiating with the ESC.	266	CONSENSUS; ESC		
21	Faculty Member 1	Delays in AQMB action is creating internal group anxiety about the TQL process.	270	PROBLEM; METALEARN; CONSENSUS		

Table 5. Outcomes of Episode I. Discourse analysis of Episode I transcript based on dialogue methodology.

Sequence Number	Participant	Theory Expressed	Start Line	Context	(+) (X) Perspective Participant	Other
22	AQMB Leader	The TQL process requires consensus.	292		(X) Faculty Member 1 (X) Faculty Member 1	Boundary Formation (-) Energy
23	Faculty Member 2	The requirement to attain consensus results in group paralysis.	306	CONSENSUS	(+) Faculty Member 1	(+) Energy
24	Student Member 1	ESC retains the authority to determine AQMB structure, e.g., size.	318	ESC		
25	Student Member 1	Consensus is not possible in the AQMB due to its large size.	320	CONSENSUS		
26	AQMB Leader	Members of the AQMB need to spend time together to form understanding of enabling work processes within the AQMB.	326	STRUCTURE; CONSENSUS; ONTOGENY	(X) Faculty Member 1	
27	Student Member 1	Voting is not a process within notions of TQL and therefore should not be used to determine AQMB actions.	344	ONTOGENY		
28	Student Member 1	Only the ESC is authorized to determine AQMB size.	360	STRUCTURE; ESC		

Table 5. Outcomes of Episode I. Discourse analysis of Episode I transcript based on dialogue methodology.

Sequence Number	Participant	Theory Expressed	Start Line	Context	(+) (X) Perspective Participant	Other
29	AQMB Facilitator	The AQMB is already limited to a manageable size.	377	MEMBERS; STRUCTURE		
30	AQMB Leader	To participate in TQL process members of the AQMB must "buy in" to ontological understandings of a set of TQL meanings.	404	AXIOLOGIC; TQL BOUND	(X) Faculty Member 1	Boundary Formation

Table 5. Outcomes of Episode I. Discourse analysis of Episode I transcript based on dialogue methodology.

Methodology evolution

Analysis of the previous meeting using the Ethnograph can now be discussed in terms of a methodology in evolution. For the next AQMB meeting analysis will take place from what has been learned by the researcher-observer in conducting the analysis above. Transcription of the next AQMB meeting (11/19/93) occurred in a recursive methodology which includes:

1. Preparation of transcription into a numbered Ethnograph file.
2. Coding, using codes obtained from previous AQMB meeting.
3. Participant constructed theory set.
4. Cross coding with previous AQMB analysis.
5. Next iteration to AQMB code and constructed theory sets for use in analysis of the next meeting.
6. Observer-data theory construction.

Reinvention Laboratory Initiative

The November 18, 1993 issue of the School newspaper headline read “the (School) Becomes Reinvention Laboratory.” A Superintendent memorandum sent the previous week informed all employees that the school had been designated a “reinvention laboratory” and that “all members of the School team, military or civilian, are being asked to “blow the whistle” on two silly rules, regulations or procedures you feel need to be eliminated or changed within the school or the Federal Government. We are committed to giving reinvention our best try. I can promise that we will be doing many things that are radically different from what we have done in the past; everyone at the school will be involved.”

A half-page advertisement published in the school's TQL office bi-monthly newsletter showed a drawing of a carnivorous dinosaur with the heading "Join the Raging Inexorable Thunder Lizard Evangelists for Reinvention.....and REINVENT the School!!"

Organization of this transformation initiative included three "reinvention agents" chosen by the Superintendent. Their purpose was "to propose a mission, vision, and values for the reinvention effort to the Superintendent and Provost. The set of values, or guiding principles, should drive the vision. There is a big gap between what we teach here, what we have learned from our research, and how this place works." According to another of the agents, "We want to find changes we can make immediately, things that individuals here have control over. That will give immediacy and credibility to the effort." (The Quarterdeck, Vol. II, Issue 45) One of those assigned to the task of "reinvention agent" was also the AQMB Leader.

No mention was made in any of the initial publications outlining the school's role as a reinvention laboratory and a parallel relationship to TQL. The advertisement in the TQL newsletter suggests that TQL and reinvention were politically aligned, with reinvention's role being subsumed under the larger role of TQL. Language used by members of the reinvention initiative used similar terminology to describe a process of pushing authority down to the lowest level. The two initiatives differed greatly in their theory of action. Formalized rules of TQL (i.e. Deming's 14 points) required cyclic use data gathering procedure and analysis to determine courses of action. Reinvention seemed, according to positions stated by the school's leadership, to require only that an employee deem a rule or procedure as "silly," then report this finding to an "agent" for inclusion into a larger list to be considered by the Planning Board.

seemed, according to positions stated by the school's leadership, to require only that an employee deem a rule or procedure as "silly," then report this finding to an "agent" for inclusion into a larger list to be considered by the Planning Board.

Number and Coded Ethnograph File of Episode II (AQMB Meeting)

A second AQMB meeting was fully transcribed and coded using the coding instrument in the methodology as it existed at this time. An additional code was added to the previous instrument; "MODESTRONG" as coded for instances of "Model Strong." A theory generation table for this meeting is presented in Table 6 below, and an example of the full and coded transcript is provided in Appendix B. After the coding and further observation, observer-theory construction and modifications of the methodology occurred. In addition, movement of conceptual boundaries could begin to be considered as the organizational dialogue brought forth from one AQMB meeting could now be compared to this second meeting episode.

Sequence Number	Participant	Theory Expressed	Start Line	Context	(+) (X) Perspective Participant	Other
1	Military Faculty	Lack of school vision statement reflects ESC inability to get things done. Also that this must be true of other organizations at the school.	60	AXIOLOGIC ONTOGENY METALEARN REFLEXIVE	X AQMB Leader	
2	Military Member 1	PAT charter was previously agreed upon by AQMB and included all processes related to textbook procurement and sales.	101	PAT		
3	Military Faculty	Structure of the bookstore PAT charter will not provide correct direction for the PAT to uncover the most important processes that need to be improved.	118	PAT	X Military Member 1	Military Faculty Model-Strong
4	Military Member 1	Bookstore prices are related to greater funding issues.	163		X Military Faculty	(-) Energy
5	Military Faculty	Need for textbooks is curriculum related.	173	PAT	X Military Member 1	
6	Military Member 1	Entire bookstore process is too large for the PAT to consider and provide a quick success.	248			

Table 6. Outcomes of Episode II. Discourse analysis of Episode II transcript based on evolution of dialogue methodology.

Sequence Number	Participant	Theory Expressed	Start Line	Context	(+) (X) Perspective Participant	Other
7	Military Faculty	All bookstore processes are interrelated so that constraining issues for the PAT is not possible, even for the sake of a quick success.	256		X Military Member 1	(+) Energy Military Faculty Model-strong
8	Military Faculty	Over specification of PAT through use of its charter will slow its progress.	278	GROUP BOUNDARY		
9	Military Member 1	PAT charter must be limited in order for it to achieve a quick success.	289	TIME, PAT	+ Military Faculty	
10	AQMB leader	Consulting with ESC concerning empowerment and structure of the PAT will impede progress.	292			
11	Military Faculty	School's bookstore has greater sales volume than commercial bookstores and should therefore be competitive in setting prices.	325			(+) Energy
12	AQMB Leader	The purpose of the PAT is to improve bookstore processes, not solve the 90 dollar book price per student per course problem.	337	PAT		(+) Energy

Table 6. Outcomes of Episode II. Discourse analysis of Episode II transcript based on evolution of dialogue methodology.

Sequence Number	Participant	Theory Expressed	Start Line	Context	(+) (X) Perspective Participant	Other
13	Military Faculty	Current bookstore processes are very slow and inefficient.	370	PROCESS		(+) Energy
14	AQMB Leader	PAT membership lacks departmental variety.	402	MEMBERS	+ Military Faculty	
15	Military Faculty	Engineering curriculums at the school do not use as many textbooks as other curriculums.	409		X AQMB Leader	
16	Military Faculty	Membership to the bookstore PAT doesn't include owners of processes.	426			
17	AQMB Leader	Having effective team members on the PAT is a higher priority than high departmental variety.	455		X Military Faculty	
18	Military Member 1	The owner of bookstore business processes must be a member of the PAT as highest priority.	460		AQMB Leader	
19	Military Faculty	Students are not part of the bookstore ordering and sales process.	464	ONTOGENY, PROCESS		

Table 6. Outcomes of Episode II. Discourse analysis of Episode II transcript based on evolution of dialogue methodology.

Sequence Number	Participant	Theory Expressed	Start Line	Context	(+) (X) Perspective Participant	Other
20	Military Faculty	Competitiveness of the bookstore is a separate issue from process related to textbook availability.	469	ONTOGENY, PROCESS		
21	Faculty 1	Students are not concerned with bookstore processes until they are requested to fill out feedback forms at the end of a course, at which time bookstore problems reflect badly on instructors.	482	SOF, REFLECTION	X AQMB Leader	(+) Energy
22	Military Faculty	Students are unaware of and unappreciative of the difficulties faculty endure in order to provide them textbooks.	490			(+) Energy
23	Faculty Member 1	Proposed PAT membership will be ineffective at making changes because they represent status quo concerns and politics.	532	PATCHOICE, MEMBERS	x AQMB Facilitator 1	
24	AQMB Facilitator 1	Providing a member of the AQMB to the PAT will help constrain PAT actions to AQMB concerns: trust in their actions is therefore not an issue.	546	AXIOLOGIC	+Military Member 1	(-) Energy

Table 6. Outcomes of Episode II. Discourse analysis of Episode II transcript based on evolution of dialogue methodology.

Sequence Number	Participant	Theory Expressed	Start Line	Context	(+) (X) Perspective Participant	Other
25	AQMB Leader	PAT's motivation should come from the AQMB—to focus on a specific process having to do with textbooks and deal with it quickly.	553	PAT		
26	AQMB Leader	The AQMB has been hindered by the enormity of their charter—a situation to be avoided in writing the bookstore PAT charter.	563	MEMBERS, PAT, METALEARN, PATCHOICE		
27	Faculty 1	The AQMB could have re-written their charter and gotten more done in the last six months.	570	REFLEXIVE	AQMB Leader	
28	Military Faculty	Technical curricula are not customers of the bookstore process—they do not use many textbooks.	588			(+) Energy
29	Faculty Member 1	AQMB definition of PAT membership does not support the TQL notions of process owners being empowered to make change.	615	PAT, TQL BOUND	AQMB Facilitator 1	

Table 6. Outcomes of Episode II. Discourse analysis of Episode II transcript based on evolution of dialogue methodology.

Sequence Number	Participant	Theory Expressed	Start Line	Context	(+) (X) Perspective Participant	Other
30	Faculty Member 1	In spite of TQL requirement to have process owners on the PAT, there are levels of owners, e.g., the sales officer, who owns the process under base operations.	626	STRUCTURE, TQL BOUND	AQMB Leader	
31	AQMB Leader	A priori knowledge of bookstore processes is not a requirement for PAT membership.	653	TIME, MEMBERS	X Military Faculty	
32	AQMB Leader	PAT members with a priori knowledge of bookstore processes will impede desired outcomes as they bring with them inherent biases and assumptions.	659	STRUCTURE		
33	AQMB Leader	"Caring" should be used as the principal criteria for PAT membership selection.	662	AXIOLOGIC, COMMITMENT		
34	AQMB Leader	Military Faculty Member needs to be on the PAT as a representative of a book intensive curriculum perspective.	734		+ Military Faculty	AQMB Leader Model-strong

Table 6. Outcomes of Episode II. Discourse analysis of Episode II transcript based on evolution of dialogue methodology.

Sequence Number	Participant	Theory Expressed	Start Line	Context	(+) (X) Perspective Participant	Other
35	AQMB Leader	Discussions at this meeting were external to the "important" agenda items for which the larger AQMB membership should discuss at the next meeting.	760	ACTION, CONSENSUS		

Table 6. Outcomes of Episode II. Discourse analysis of Episode II transcript based on evolution of dialogue methodology.

Meta-Ethnography (Perspective vs. Distinction)

From the previous researcher-data interaction a more rigorous definition of perspective versus distinction may be understood. Distinction is the primary act. That is, distinction exists at the elemental level of discourse and dialogue. In co-genetic logic this includes the triadic nature of the act of making a distinction-it must occur indivisibly with another. Perspective on the other hand encompasses the notion of context and observer appreciation of the interrelations of participant to the construction of further distinctions. Distinctions are the consequence of the primary act, while perspective is that which is understood and perhaps stated as theory in response to sets of distinctions.

Ethnographic Numbered and Coded Episode III (Executive Steering Committee Meeting)

Concurrent with the AQMB meetings already detailed, the ESC continued to meet. In its twenty-second meeting since inception, ESC themes were a continuation of themes constructed in earlier meetings. In addition to these, the “silly rules” campaign was included as a distinction within the ESC. “How may (ESC members) have submitted “silly rules?” was the question asked by the TQL Coordinator at the beginning of this meeting.

QMB reports were normally presented by Linking Pins, who were also members of the ESC. In this meeting the Linking Pin to the AQMB presented theories for AQMB performance and dynamics, resulting from the distinctions brought forth in the previous meetings. Inclusion of these theories in the ESC was therefore a component of the organizational dialogue ongoing with respect to the AQMB, which is furthered in the dialogue constructed between the Linking Pin and other members of the ESC in this meeting.

Training had previously been an issue raised by the TQL Coordinator, and as a general observation training had been avoided by members of the ESC. In this meeting the issue of ESC training is again raised. Concerns for training value and participation are raised by ESC members to the TQL Coordinator. The TQL Coordinator offers a theory about the relationship between training and movement of the ESC toward TQL thinking; “This (training) is trying to get at the very core of who we are. Without it, we don’t got it.”

Strategic planning, although considered in numerous meetings to this point, had yet to be sufficiently defined in order to structure actions. This meeting brings forth additional dialogue about strategic planning in the context of a scheduled upcoming retreat, an outcome of which was to be definition of the strategic plan. Between the Superintendent, Provost and TQL Coordinator dialogue becomes circular, with multiple definitions of expectations offered.

Communications to the school’s employees and students about TQL activity and state of the intervention was considered, and became an attractor within discourse concerning issues of organizational measurement, marketing and rewards. Energy in this discourse was lost to the point that the TQL Coordinator became frustrated with the group, finally ending the meeting with “Well, lets wrap it up. You guys need to take a walk—go smell the roses.”

The following portions of the coded transcript of this meeting provides further details of emergent discourse, participant and organizational dialogue. Relevant portions are given below, with commentary, to describe the observer-data dialogue and provide

insight to the dialogue methodology with respect to distinction making, theory building and perspectives dynamic. A sample of the coded transcript is found in Appendix A.

The ESC members attending this meeting were the Superintendent, Provost, Dean of Instruction, Dean of Computer Information Services, Human Resources Management QMB Linking Pin, TQL Coordinator, Dean of Research (who was also the AQMB Linking Pin), Dean of Faculty, Dean of Students , Director of Military Operations and the Superintendent Assistant.

Prior to the formal beginning of the meeting the Superintendent Assistant displayed frustration with the Superintendent not being at the ESC meeting on time. Observation began with (numbered lines correspond to full transcript in Appendix A. Sentence format is maintained in this section to match the full transcript. A (+) sign denotes a specific observer contextual comment. Coding is removed in this section, summarized in the table following this discourse and provided in the sample in Appendix A :

Superintendent Assistant:	
(In frustrated voice) Well, we	15
might as well get ready without him	16
(referring to the Superintendent).	17

The TQL Coordinator notes that a direct television and satellite link between a management training organization and several schools, including this one will be present , “Understanding the Learning Organization” in a couple of weeks. Another training note is made, that the “team leader course is off and running.” These reports indicate to the ESC members present that training, and therefore TQL has some inner momentum and provides a notion of “depth” to TQL activities within which this present meeting is embedded.

In lines 33-37 the TQL Coordinator makes a distinction that Reinvention (the initiative which includes “Silly Rules”) is included within boundaries of ESC activities by asking how many ESC members have submitted “Silly Rules,” as part of the Reinvention initiative. The Provost acknowledges that only three members of the ESC raise their hands, making a value comment in the form of a joke. The axiologic dimension of lines 39-44 is that ESC member response to the TQL Coordinator question is consistent with a theory of response by participants to questionnaires. In making the distinction that the ESC members are not energized to commit fully to principles of Reinvention, the Provost has crossed perspectives with the TQL Coordinator’s previously presented perspective.

TQL Coordinator: How many (ESC	33
participants) have submitted "silly	34
rules?"	35
+: 3 people raise their hands.	37
Provost: (jokes) Those statistics are	39
right on target.	

No response is made to the Provost’s comments and the TQL Coordinator moves on to ask for reports to be given from QMB Linking Pins. The Human Resources Management QMB is called on, expressed as “harem for HRM,” which provides the Provost with another point of reference from within which to exhibit modes of power by devaluing the HRM QMB to the rest of the ESC, and establishing a potential for maintaining a group monologue through a model-strong position within the immediate dynamics of the ESC.

+: QMB reports are given, first by the	46
HRMS QMB (Human Resources Management	47
System).	
Provost: (jokes) Harem?	51
+: Provost comment elicits group	53
chuckling except from (female) QMB	54
reporter (linking pin--HRMS QMB Link)	55
who does not look amused.	56

The TQL Coordinator resolves this potential monologue by opening the discourse to include the remaining Linking Pins ready to make reports, of which the AQMB Lining Pin (Dean of Research) is one:

Dean of Research (AQMB Link):
 The AQMB is having its
 problems. 65

AQMB Link states a theory that AQMB problems are the result of the group's composition, which is linked in this theory to member impatience with the slow pace of AQMB success. Related to this theory is another, that group size is a factor:

This is a pretty 68
 large group to get anything done. 69

As this distinction of AQMB problems is constructed in local theory, the AQMB Link goes on to tell the ESC that the AQMB will be chartering a Bookstore Process Action Team (Bookstore PAT) and that customer needs will be defined. This utterance contradicts the previous statement specifying the theory of AQMB constraints, which is amplified in the next discourse event which adds the lack of AQMB commitment to the previous stated theory:

Dean of Research (AQMB Link): You can 76
 expect a change in membership of The 77
 AQMB, primarily due to a lack of 78
 commitment on the part of some of the 79
 members. 80

Here the AQMB Linking Pin further constructs the local theory of AQMB problems by making the distinction that the AQMB suffers from a lack of commitment. At this point in the discourse the theory stated in distinctions is that the AQMB is composed of members who are impatient with slow group pace, by its large size, and by a lack of commitment by some of its members.

The making of distinctions, constructing the local theory of AQMB problems is not directly challenged, but an attempt is made by the Provost to alter the previous perspective constructed in these distinctions given by the AQMB Linking Pin. This is done by an attempt to redefine the prior discourse into a discourse about the means for constituting the Bookstore PAT. In doing so the Provost is again making a power distinction, by standing outside of the boundaries for what constitutes Bookstore PAT management by the AQMB and then moving those distinctions to another in which new boundaries are drawn around the Process Action Team effort.

Provost: I'd like to go back to the	90
bookstore PAT. Seems to me that this	91
is nearly the same thing that we did	92
with the library. Couldn't we combine	93
this with what we are doing at the	94
library?	95

Other members of the ESC do not cross or add to the perspective offered in this discourse event, but remain outside and silent, which has the impact of decreasing energy within the discourse. Energy is added back into the discourse by the TQL Coordinator, who crosses the previous distinction with another, creating a different local theory that the Library and the Bookstore Process Action Teams have a different focus. This challenge to the model strong discourse participant, the Provost, by the TQL Coordinator has the effect of once again de-energizing the discourse. A resolution mode is offered by the Dean of Faculty by expanding options (links to Reinvention) which enable the discourse to move beyond the present crossed and de-energized perspectives:

TQL Coordinator: (Disagrees with the	99
Provost) They have a different focus.	100
+: Energy in this context is negative.	102
Dean of Faculty: Maybe we should look	104
at external bookstores in this time	105
of re-invention?	106

The Provost, trying to maintain a model-strong position within the discourse modifies this comment (104-106), extending the existing set of distinctions about what the boundaries of the bookstore should encompass which are far beyond system ownership of any of ESC member, resulting once again in a diminished discourse energy.

Provost: Create a consortium of	108
bookstores for the Bay area?	109
+: This gets a lot of head nods and	111
smiles. Doesn't seem that this is a	112
serious comment.	113

The TQL Coordinator breaks from the previous set of distinctions and begins constructing a new set within the boundaries of this meeting, concerning TQL training for the ESC and senior management of the school. The Provost and Superintendent begin to question the training, which would consist of management consultants providing training at the school on a specified schedule.

Provost: Is it just for us?	127
Superintendent: We should try to do	129
this where we aren't going to be	130
interrupted. Is the focus on the	131
school?	132
TQL Coordinator: Yes.	134

With the boundaries of prospective training defined in discourse distinctions made above, the Dean of Instruction adds a perspective; that something should be gained in terms of "product" to participants of training:

Dean of Instruction: (To the TQL	136
Coordinator)What are the products?	137

Observations from field notes reveals that there are different levels of appreciation for the TQL Coordinator's proposal:

+: TQL Coordinator reads from the	139
-----------------------------------	-----

Pacific Institute brochure. Dean of	140
Research (AQMB Link) is going to	141
sleep, Dean of Instruction is rolling	142
his eyes back into his	143
head--obviously doesn't agree with	144
what he is hearing.	145
Provost: Don't we have some important	147
visitors that day?	148

The Provost's question crosses TQL Coordinator constructed distinction placing a priority on training with another distinction in which school visitors are made the same logical type as TQL training. However, what is understood in this context by the rest of the ESC members is the local theory that TQL training is wasteful of time and effort, as school visitors (due to a very large number of dignitaries visiting the school, and Congressional fact finding which takes a similar effort) are also viewed to be. A follow up comment distances the Provost from this statement (the formal policy of the school is to value all visitors), yet adds to the perspective already given of valuing the training and opening boundaries of who might be required to attend the training, while also providing senior membership an opportunity to decline attendance.

Provost: Should we include people we	156
would like to develop into leaders	157
for the school? Instead of this	158
group? (the ESC). We should reach	159
deeper into the organization.	160

Both the Dean of Research and Dean of Faculty immediately add perspectives to the

Provost's:

Dean of Research (AQMB Link): Have the	162
department chairs sit in on it.	163
Dean of Faculty: Bring some who don't	165
normally talk to each other.	166

By claiming, as “devil’s advocate” to stand apart from the ongoing discourse and be value neutral to a set of distinctions already created, the Dean of Instruction crosses perspectives already surfaced by the TQL Coordinator. The distinction here is in reference to the “products” that the ESC will reap by taking place in the training, from the discourse between the TQL Coordinator and members of the ESC. The Dean of Instruction perspective does not cross or add to the distinctions of the Provost, Dean of Faculty and Dean of Research. A theory is stated in this discourse event, that the proposed training is based not in deep learning, but on surface jargon, which is distasteful to the Dean of Instruction:

Dean of Instruction: I'm playing	168
devils' advocate--what is it we'll	169
get out of this? I've heard a lot of	170
jargon (nodding towards the	171
brochure), which makes the hair stand	172
up on my neck.	173

The Superintendent crosses this perspective with another, that organizational training and strategic planning should take place across a wider spectrum of participants at the school. This is expressed as local theory about conduct and membership of strategic planning, including those trained to conduct strategic planning.

Superintendent: We need to go	180
horizontal and vertical. We need	181
time to review where we are. In	182
doing strategic planning it would be	183
helpful to have others besides this	184
inner sanctum attend. Is this The	185
same group that did The Naval	186
Academy?	187
TQL Coordinator: Yes.	189

The TQL Coordinator originally expressed notions about the need for TQL training for ESC members is being altered through the discourse about the training and

redefining both the need for training and participants to the training. The result is frustration exhibited by the TQL Coordinator in an axiologic statement which seeks to preserve previously constructed notions of training and the model-strong consultant role. By crossing the perspective constructed in (180-187) the TQL Coordinator states another local theory, that the proposed training is essential to the understanding of the “real” meanings of TQL in relation to the ongoing intervention at the school. By stating the theory that acceptance and conduct of training is a core issue, and stating that the rest of the ESC agrees with this perspective, is a means to maintain model-strength in the discourse:

TQL Coordinator: (with intensity) This	191
is trying to get at the very core of	192
who we are. Without it, 'we don't	193
got it' (meaning TQL). What I'm	194
hearing is that it's good, but that	195
we need to have a cross section of	196
people. Myself and a few people	197
should sit down and make out a list.	198

At this point the Provost shifts the discourse by crossing the TQL Coordinator's perspective by questioning the worth of a “core” issue, and in doing so attempts to regain model-strength of the discourse. The Dean of Faculty immediately adds to the Provost perspective, that the cost is not in dollars, but in time and man-hours associated.

Provost: (To TQL Coordinator) And The	200
500 dollars per person comes out of	201
everyone's budget? Is it worth 500	202
dollars?	203
Dean of Faculty: (Interrupts) And	205
follow-up, is that included in The	206
cost? What the real cost is, is time	207
away from what they (attendees)	208
normally do. I would agree with four	209
levels of people doing this at the	210
same time.	211

With the distinction that the resources are not necessarily worth the “core” function of TQL training for the ESC, the TQL Coordinator tries again to establish a

model-strong position, crossing the most immediate set of perspectives with a re-framing of the ESC's intent, which is reflexively stated back to the ESC:

TQL Coordinator: So what I'm hearing is 218
to go for it and sit down and figure 219
out who should be there. 220

In another kind of discourse, rare in this research, the Dean of Instruction indicated to the researcher by subtle kinesthetic cues that the previous statement by the TQL Coordinator is not true:

+: Dean of Instruction looks at me at 222
this point and shakes his head "no." 223
Nothing is said and this is not 224
observed by any of the other board 225
members. 226

Discourse continues in the meeting, centered around procurement processes and possible formation of a QMB which just looks at accounting processes. The TQL Coordinator defines boundaries to what is or is not appropriate for QMB chartering, which has the effect of stating a model monopoly with regard to ownership of meanings for TQM group establishment.

Dean of Instruction: (commenting on the 233
briefing) I think we should form 234
another QMB about improving 235
accounting procedures. 236
TQL Coordinator: It is a systems 238
integration issue. That issue alone 239
is not its own QMB(negative energy). 240

As Energy in the discourse diminishes, the TQL Coordinator directs the meeting by asking the Dean of Faculty to provide a description of the activities around the Strategic Issues group. The response to the ESC is that monthly meetings held with departments have not been very fruitful and it may require several months to make progress (254-258). The

defining issue is complexity and interrelatedness of numerous initiatives being pursued by every department:

Dean of Faculty: We are in the process	260
of going through issues--many cross	261
threads with issues that keep coming	262
up, such as JPME	263

Here Dean of Faculty is referring to Joint Professional Military Education, which the school is already partially involved in. As part of 'relevance and uniqueness' the school is considering becoming primary provider. At least part of this motivation is positioning in preparation for an expected round of Base Relocation and Closure Committee inspections set to begin soon. A theory of action is proposed, to create a "value matrix." Although this issue is central to defining ESC actions within the boundaries of TQL, no response is made to this proposal, with consequent low discourse energy requiring that a new distinction be provided. This is accomplished by the TQL Coordinator, who raises as a distinction a group "need" to define outcomes for an upcoming ESC retreat:

Dean of Faculty: (Continues) We need	277
some sort of "value matrix." We	278
haven't sorted out how to show the	279
issues, or the cross-threads.	280
TQL Coordinator: We need to decide what	286
we want to get out of the 9th	287
(referring to upcoming ESC retreat)	288

In the following discourse events control of model monopoly is at stake. Although the TQL Coordinator has just indicated that the ESC needs to define acceptable outcomes of the retreat, the Superintendent crosses the set of distinctions and TQL Coordinator perspective of a local theory (that defining outcomes of the retreat is a group decision)

with a question that redirects the need for action back to the TQL Coordinator and emphasizes the power relationship between them (Superintendent empowered).

Superintendent: What is the agenda? 291

The TQL Coordinator adds perspective to the Superintendent's question:

TQL Coordinator: (Responding to 293
Superintendent) what are the 294
expectations? Do we need to have a 295
polished plan? 296

Although the TQL Coordinator's response was directed to the Superintendent, the Provost initiates a response, making distinctions about the conduct of the retreat, crossing those distinctions and perspective constructed between the TQL Coordinator and the Superintendent, and also attempting to define a model-strong position in defense of a model monopoly.

Provost: Well, you won't get a 298
polished plan. We have a vision, 299
mission etc. We need to get to 300
strategic issues and plans next, 301
right? (asking the question to TQL 302
Coordinator and The group) We need to 303
look at short term and long term 304
things (seems confused at this 305
point). Find things that we can go to 306
work on. 307

In response to the Provost's model monopoly (314-318) Superintendent engages in a resolution mode in which the discourse is enlarged to include the Reinvention initiative and possible ESC action in picking "low hanging fruit" (a metaphor referring to taking actions which are easiest first). In this perspective the Superintendent is also stating a theory of action for the ESC, that there is an intersection of action between plucking

“low hanging fruit” (a TQL metaphor) and cutting out “silly rules” (a re-invention metaphor).

Superintendent: So, we should get a	314
definite list out of this, based on	315
what other committees do before hand.	316
Is there some connection between 'low	317
hanging fruit' and 'silly rules'?	318

The model-strong position and model monopoly in (298-318), to which is added the (+) perspective of the Dean of Students (324-326), are redirected by the TQL Coordinator, who redefines the issue in a problem statement and local theory (sequence number 16 in Figure__ below) which is an attempt to maintain a model-strong position, although made in the form of a question (339-340). The purpose of the question is to open the discourse to those distinctions being constructed here by the TQL Coordinator, away from the previous distinction set constructed around the issue of the ESC retreat.

TQL Coordinator: I'm concerned with	334
getting the word out, that is,	335
getting the commitment of the ESC to	336
vision, mission, and so forth, out	337
there (to the rest of the school and	338
the rest of The TQL effort). Is this	339
a good outcome to have?	340

Heads nod yes, but there is no obvious general enthusiasm for these statements, decreasing discourse energy and revealing the limits to the TQL Coordinator's ability to maintain a model-monopoly in this discourse event. The Dean of Faculty adds energy to the discourse (addition of perspective, 346-347) as a means to add sufficient perspective back to the previous discourse event (334-340) to permit continuing discourse, and distinction and perspective construction. Distinctions are made, crossed and theory formed around communication issues:

Dean of Faculty: But we need something	346
to communicate.	347

Superintendent crosses perspective and constructs local theory (sequence number 17 in Table 7) (349-351).

Superintendent: How about a feature	349
article in the Quarterdeck (school	350
newspaper) about TQL?	351

Organization measurement, vice communication is the distinction constructed and local theory proposed by the TQL Coordinator (353-356, sequence number 18 in Table 7), which are crossed in order by the Dean of Research (358-359), Provost (369-371), Superintendent (376-380) and again the Provost (390-394).

TQL Coordinator: (jumps to this	353
different perspective) Get into the	354
concept about organization	355
measurement?	356
Dean of Research (AQMB Link): What do	358
you mean?	359

TQL Coordinator responds by constructing local theory (sequence number 19 in Table 7).

TQL Coordinator: An indication that the	361
organization is moving towards its	362
vision, such as health of the	363
organization, internal organization	364
and so on.	365

To which the Provost responds, crossing TQL Coordinator perspective (361-365) with local theory (sequence number 20, Table 7). Discourse energy is lost in this discourse event, which is added to by the Superintendent, providing a new distinction set (376-380), around defining members who should attend the upcoming retreat (382-388).

Provost: Are there measurables	369
associated with these things? I'm not	370
sure that there are.	371

Superintendent: (attempting to energize	376
discourse) So, 9 Dec is this group.	377
We don't need to expand it (referring	378
to maintaining retreat attendance to	379
just ESC members).	380
Dean of Faculty: Bring associate deans?	382
Dean of Students: (in response) Bring	384
(Dean of Instruction) and (another	385
senior faculty) in (are members of	386
The Strategic Issues group). Don't	387
need to bring in the associate deans.	388

Local theory is expressed by Provost (sequence number 23, Table 7), which also redefines the distinction set by adding perspective to TQL Coordinator initiated discourse (334-340) in use during the following discourse events:

Provost: (returning to a previous	390
discussion) A comment about getting	391
the word out. Part of this is	392
letting everyone know who is getting	393
The work done.	394

Local theory constructed in crossing perspectives (with distinctions constructed in 390-394; sequence number 22 Table 7).

Dean of Faculty: There are probably	402
some things we can't communicate,	403
such as faculty or BRAC.	404

Provost does not directly cross or add perspective to (402-404), but instead adds perspective to the previously constructed theory (sequence number 21, Table 7) in a model monopoly to which other members add perspective (412-418). Beginning at (419) Director of Military Operations surfaces distinctions concerning the conduct of a school-wide presentation to be given by the Superintendent, a crossing of perspective with distinctions about rewards and recognition constructed by Provost:

Provost: I mean. Like gold stars for	406
Sunday school attendance that I got	407
when I was a youngster--a gold star	408
for TQL work (joking, but also	409

serious).	410
Dean of Faculty: The cookie award.	412
Dean of CIS: Or free dinner at the	413
club.	414
Director Military Operations: Anything	416
to make money! (responsible for	417
operating the club). (seriously) How	418
far down do we take this	419
communication business? Maybe we	420
should have an SGL (Superintendent's	421
Guest Lecture-lecture series students	422
and faculty are required to attend)	423
as a 'health of the organization'	424
brief?	425

Provost's response is to maintain model-strength in the form of model-monopoly by again making a distinction about the need to "market the organization," referring to the TQL organization, or the ESC.

Provost: Need to address the idea of	430
marketing the organization to	431
everyone else.	432

Director of Military Operations crosses this perspective, challenging Provost model-monopoly, while making a new distinction and constructing a local theory (sequence number 23, Table 7):

Director Military Operations: I mean,	434
get the word down to the bulk of mid	435
level people for whom this place is	436
their livelihood--they don't get	437
this. The Quarterdeck is limited.	438
The line managers presentation of TQL	439
was fantastic, but that was because	440
of personal feedback vice impersonal	441
Quarterdeck.	442

Provost crosses this perspective with distinction about marketing by communicating to individual communities, constructing local theory (sequence number

24, Table 7). The TQL Coordinator crosses this perspective and local theory (450-453) with a "belief" in the general interest in a large briefing forum including everyone in the school.

Provost: Is this better done in	444
separate communities? That is,	445
horizontal versus vertical	446
distribution. Low attendance is	447
usually a problem.	448

+: TQL Coordinator and HRMS QMB Link	450
respond that they believe there is	451
significant interest in a 'health of	452
(School)' brief.	453

Dean of Students crosses this perspective and adds a local theory (sequence

number 25, Table 7):

Dean of Students: The students really	455
don't care.	456

Other perspectives are generated in distinctions which attempt to move the discourse to a new topic, however Provost returns to the set of distinctions made around the notion of student participation with a large briefing format. This is done in a humorous, yet mocking tone implying a value statement about the relevance to students about this proposed briefing. No response is made to this perspective, making this a monologic event:

Provost: Have one or two Christmas	467
meetings with students-- 'here's your	468
cookies', prior to Christmas.	469

Other distinctions are constructed to move the discourse forward, but energy is not added into the discourse events and perspectives are neither crossed or added (481-505).

TQL Coordinator: On to cost-cutting.	481
Provost: Maybe that is OBE (overtaken	483
by events) with the reinventing	484
government group, or include this	485
with them?	486

+: No comment by the group, no energy 488
 in this suggestion at all. 489

Provost continues in a monologic discourse event, in which distinctions are constructed about possible ESC actions, however what is being proposed is far outside of process ownership by anyone in the ESC, effectively reforming Provost model-monopoly and model-strength, which further decreases discourse energy. No response, either as crossing or adding perspective is made by any ESC member:

Provost: (continues to pursue the 491
 topic, speaking to Director Military 492
 Operations, who is in charge of 493
 Public works dept) I'd like to add to 494
 your list (of cost-cutting measures) 495
 the co-production of energy. It 496
 requires MILCON (military 497
 construction) to do it, but it could 498
 have tremendous payback potential. 499
 (and further) Typical PWC (Public 500
 Works Center) task requires 3 people 501
 to do a job (a criticism of the 502
 people in PWC). 503

TQL Coordinator, frustrated by lack of discourse energy, and faced with Provost model monopoly, regains control of the meeting and ends it with a comment on group energy.

TQL Coordinator: Well, let's wrap it 507
 up. You guys need to take a walk--go 508
 smell the roses. 509

Sequence Number	Participant Discourse Event	Local Theory	Start Line	Context	(+) (X) Perspective Participant	Other
1	Provost	X Perspective generated theory that members of the ESC, like the rest of the school are no more motivated than any other group, in spite of organizational change intervention.	39	Axiologic-Value of surveys is diminished due to low participation	Provost (X) TQL Coordinator	Attempt at Model-Monopoly
2	AQMB Linking Pin	Theory generated in discourse that lack of performance by the AQMB results from the large size of the group, and its composition.	63	AQMB report to the ESC		
3	AQMB Linking Pin	Theory generated in discourse that pressure for the AQMB to undergo membership changes results from lack of AQMB members' commitment.	76	AQMB report to the ESC		
4	Provost	X Perspective generated theory that the PAT proposed by the AQMB, to look at school bookstore processes, is the same logical type as the present library PAT.	90	Bookstore PAT	Provost (X) TQL Coordinator	Energy (-) when Provost theory is ignored. Model-Strong

Table 7. Outcomes of Episode III. Discourse analysis of Episode III transcript based on evolution of dialogue methodology.

Sequence Number	Participant Discourse Event	Local Theory	Start Line	Context	(+) (X) Perspective Participant	Other
5	TQL Coordinator	X Perspective generated theory that the AQMB PAT and Library PAT are not of the same logical type.	99	Bookstore PAT	TQL Coordinator (X) Provost	Energy (-) Attempt at Model-Monopoly
6	Provost	X Perspective theory that training proposed by the TQL Coordinator is unimportant, and bothersome (as are visitors to the school).	147	Axiologic-Training compared in value to mundane school activities.	Provost (X) TQL Coordinator	Energy (-)
7	Dean of Instruction	X Perspective theory that external training consultants and techniques are ineffective and distasteful.	168	Training	Dean of Instruction (X) TQL Coordinator	
8	Superintendent	It is necessary to include participants from vertical and horizontal strata of the organization in order to do strategic planning.	180	Strategic Planning		
9	TQL Coordinator	X Perspective theory that the training proposed is essential to ESC understanding of meaning of TQL in school's organization.	191	Axiologic-training as a means to value the organization.	TQL Coordinator (X) Provost	Model Strong

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Sequence Number	Participant Discourse Event	Local Theory	Start Line	Context	(+) (X) Perspective Participant	Other
10	TQL Coordinator	Reiteration of training participants and permission to pursue outside consultants for ESC training.	218	Training		Energy (-) Model-Monopoly Resolution Mode (fence- sitting)
11	Dean of Faculty	Theory expressed is that the features which make the school 'relevant and unique' are highly interrelated and that some means needs to be created to display how these interconnections affect strategic issues.	277	Complexity of competing strategic issues		
12	TQL Coordinator	The ESC does not yet have any desired outcomes for their upcoming strategic planning retreat, and this is a necessary component to the meeting.	286	Action-Outcomes of Strategic Planning.		

Table 7. Outcomes of Episode III. Discourse analysis of Episode III transcript based on evolution of dialogue methodology.

Sequence Number	Participant Discourse Event	Local Theory	Start Line	Context	(+) (X) Perspective Participant	Other
13	Provost	X Perspective theory that the school does have a vision and mission and that strategic plans follows linearly from these, but first work at those issues that ensure quick success.	298	Action-Need for vision, mission, short and long term goals.	Provost (X) TQL Coordinator	Model-Monopoly
14	Super-intendent	+ Perspective theory that an intersection of strategic issues created by other school groups and to be produced in the ESC retreat, and 'silly rules' from re-invention initiative exists.	314	Outcomes for Reinvention and TQL	Super-intendent (+) Provost	Resolution Mode (opening discourse to other models)
15	Dean of Students	+ Perspective theory that re-invention is a parallel initiative to TQL.	324	Reinvention	Dean of Students (+) Super-intendent	
16	TQL Coordinator	Establishing a venue for ESC to promote its TQL work is important to get to the employees, faculty and students of the school.	334	Problem-Communicating ESC actions to rest of the school.		Model Strong Energy (-)

Table 7. Outcomes of Episode III. Discourse analysis of Episode III transcript based on evolution of dialogue methodology.

Sequence Number	Participant Discourse Event	Local Theory	Start Line	Context	(+) (X) Perspective Participant	Other
17	Super-intendent	Change intervention is a level of action supported by information, e.g., articles in the newspaper defining general notions of the formal TQL organization. Theory embedded in +PERSPECTIVE between Superintendent and Dean of Faculty.	349	Communication	Super-intendent (X) Dean of Faculty	
18	TQL Coordinator	A cross perspective generated theory between the TQL Coordinator and the Superintendent that information to employees, faculty and students would be about (include) organization measurements.	353	Organization measures of mission and vision.	TQL Coordinator (X) Super-intendent	
19	TQL Coordinator	TQL Coordinator adding to previous distinction that organization measures would be used to demonstrate an organization moving towards positive intervention objectives. +Perspective	361	Organization measures		Energy (-)

Table 7. Outcomes of Episode III. Discourse analysis of Episode III transcript based on evolution of dialogue methodology.

Sequence Number	Participant Discourse Event	Local Theory	Start Line	Context	(+) (X) Perspective Participant	Other
20	Provost	X Perspective derived theory that organization factors expressed by TQL Coordinator may not be realized in terms of quantitative measures and are therefore not relevant.	369	Measures	Provost (X) TQL Coordinator	Energy (-)
21	Provost	+Perspective theory as part of model strong mode that acknowledging the TQL participants is important to the use of media to promote the intervention process.	390	Rewards-communication		
22	Dean of Faculty	+Perspective derived theory that the ESC cannot communicate complex organizational factors to school members, and therefore explanations of TQL actions would have to remain at low level of abstraction.	402	Rewards-recognition devices	Dean of Faculty (+) Provost	Model-Monopoly No resolution

Table 7. Outcomes of Episode III. Discourse analysis of Episode III transcript based on evolution of dialogue methodology.

Sequence Number	Participant Discourse Event	Local Theory	Start Line	Context	(+) (X) Perspective Participant	Other
23	Director of Military Operations	X Perspective derived theory that using the school's newspaper is ineffective at producing individual interest in school's change initiative because it is an impersonal means by which to communicate.	434		Dean of Military Operations (X) Provost	Energy (-)
24	Provost	X Perspective derived theory that large lecture delivery format of TQL initiatives would not work because of low attendance in any specific "vertical" portion of the school organization, e.g., students or faculty.	444	Communications-ESC TQL initiatives to rest of the school.	Provost (X) Director of Military Operations	
25	Dean of Students	X Perspective theory that students do not care about having a "health of the school" briefing.	455		Dean of Students (X) TQL Coordinator	

Table 7. Outcomes of Episode III. Discourse analysis of Episode III transcript based on evolution of dialogue methodology.

Sequence Number	Participant Discourse Event	Local Theory	Start Line	Context	(+) (X) Perspective Participant	Other
26	Provost	That addition of perspective that Public Works takes numerous personnel to do jobs indicates that this is an area in which the ESC should participate to improve performance.	494			Energy (-)

Table 7. Outcomes of Episode III. Discourse analysis of Episode III transcript based on evolution of dialogue methodology.

Modification of Research Design

What has been developed to this point is an ethnography of a particular site, the Executive Steering Committee and the Academic Quality Management Board. Within this ethnography a methodology has been developed in which what is essential to “dialogue,” apart from meeting discourse, has been surfaced and applied to episodes of transformation meetings. Development of the methodology has constituted an ethnography about the search for method as qualitative research has moved forward. Explanation of this “ethnography about ethnography” has been given in the form of meta-ethnography in sequence with episode analysis. Recursive application of each development of the methodology has not been attempted in this research, which has required a change in focus of the research from full thick description of the research site in question and application of the method to a full transcript data set, to further definition of the research methodology. Modification of dialogue methodology developed in this research is open ended and recursive. As further learning takes place in the performance of analysis on meeting episodes, modifications to the analytic technique will inevitably occur.

Site Ethnography Closure

A description of events in the transformation initiative is provided as a “story” deepening understanding of change initiative events and the relationship between modes of dialogue uncovered in the detailed episodic analysis with the performance of the transformation organization while conducting change activities. For simplicity, the ESC and AQMB are described separately, although points of intra-group interaction are pointed out. Detailed dialogue analysis has matured researcher-data discourse and further sensitized the researcher to those factors relevant in performing descriptions. This

performance dimension of ethnography, meta-ethnography and dialogue analysis is a dialectic which deepens the final methodological synthesis provided in Chapter V, a summary and conclusion to this research.

Ethnography Closure Executive Steering Committee

Seven months after the Executive Steering Committee was formally chartered and began to meet, a retreat was held to discuss and come to terms with the many complex elements of a strategic plan. Pains were taken to remove the obvious signs of authority from within the group by requiring that participants attend in informal civilian clothes. “Ice breaking” exercises were conducted and the group seemed at ease with the format of the meeting and its agenda. Energy within the group was high as members of the Procurement Process Action Team, which had previously been discussed with regard to time off as a reward for work accomplished, were presented with “authorization certificates” for time off. The presentation was made by the Superintendent, fulfilling an authority function within the organization that was understood to be within the range of normal functions, not within TQL. In spite of the change in formal clothing for the group, and ice breaking exercises, performance of roles continued, consistent with those outside the boundaries of this retreat.

Themes established in the discourse quickly centered around attractors of employee empowerment, ESC focus, academic and budgetary environments within the military, and defining “the root problem” in creating a strategic plan. The TQL Coordinator, moderating the initial discourse and meeting direction made a distinction with regard to ESC performance that “the process may not be working the way it is supposed to,” (transcript of ESC retreat, 12/09/93) referring to a tacit understanding that

ESC actions and discourse were not being performed within what for the TQL Coordinator would be formal TQL boundaries. In a prescriptive directive to the retreat participants, the TQL Coordinator stated that the ESC needed to “change focus to empowerment of the workers, so that the ESC can manage by exception” (transcript of ESC retreat, 12/09/93). Some participants added to this perspective, that “this is the key,” and that “If we are to empower the lower echelons they need to do training” (transcript of ESC retreat, 12/09/93).

Notions of training caused some reflection to occur amongst some of the members, as training had been avoided by the ESC. Training of employees would probably also necessitate participation by ESC members. Reflecting on this, the Provost asked; “How did we arrive at the conclusion that the process (ESC performance of transformation within notions of TQL) is broken? The real difficulty is that we’re tied up in too many meetings that lower echelons could do—which causes the big issues to slide by” (transcript of ESC retreat, 12/09/93). This perspective, a distinction about root causes, is a researcher-coded-theory of resource allocation related to larger issues in the School’s administration, formed in a crossing of perspectives formed in the construction of distinctions stated by the TQL Coordinator. The Provost crossed this perspective with another, which also crossed perspectives with the TQL Coordinator, that “I disagree with the philosophical stance, there are lots of constraints that make it so that top managers can’t do anything else (have to let big issues slide by). There’s more to it than just pushing discussions to a lower level” (transcript of ESC retreat, 12/09/93). Adding to the Provost’s perspective, and further distancing administrative power exercised in the Superintendent’s and Provost’s office from the TQL Coordinator’s re-framing of group

objectives from a discussion of strategic plans to one of ESC TQL conduct, the Superintendent stated, “I don’t agree with the change in focus (crossed perspective with TQL Coordinator, added to Provost), or that there is a need. In my view the real problem is getting the flow of paperwork done. There aren’t too many meetings” (transcript of ESC retreat, 12/09/93). The Provost immediately added to this perspective, and researcher-coded-theory expressed by the Superintendent that the root problem is getting the paperwork done; “We’re not spending too much time in meetings” (transcript of ESC retreat, 12/09/93).

As discourse continued in this meeting, polarization of perspectives occurred, exhibited in the researcher-observed model monopolies of two groups within the ESC. The first, formed between addition of perspectives between the TQL Coordinator and Dean of Students, called for a change of ESC focus to defining means in which employee empowerment and training within formal meanings of TQL could be instituted. In the second, the Provost and Superintendent, adding perspectives which acknowledged their role as empowered leaders, maintained perspectives and surfaced further distinctions that a change in focus would not be necessary, that control should remain within the status-quo hierarchy and a strategic plan centered around notions of traditional roles should be defined. Resolution modes were not enacted by either group, leading to monologue behaviors, and a decrease in group energy, culminating in an expression of frustration made by the TQL Coordinator to the researcher at the end of the meeting, as an aside, that:

You know, before this meeting I had a meeting with the Superintendent and he said he agreed with the strategic initiatives and the strategic plan, and now he’s completely reversed himself. This group is in the weeds...the Superintendent is far

too deep in the weeds to do strategic planning (observer field notes of ESC retreat, 12/09/93).

Issues regarding employee empowerment, faculty ownership of academic processes, strategic planning and ESC were not moved forward in this multiple-monologue organization discourse, and were thematic attractors in ESC discourse for duration of the observation period. which set up a defining dynamic evident throughout the meeting history of this group for the next six months.

Feedback from the TQL Coordinator to ESC retreat participants was made available at the next ESC meeting, and characterized the retreat as “not bad for a day’s work,” (transcript of ESC meeting, 01/13/94) contradicting frustration exhibited at the end of the meeting. As an explanation for this contradiction, a monologue resolution mode allowed an alternative model of retreat results to be offered as an explanation for what was produced in the meeting, avoiding an exchange of model monopolies with model-strong Superintendent and Provost over meanings of a realistic assessment of outcomes.

In the months that followed, to the close of observations, meetings of the ESC continued without significant events which would mark one period of discourse as substantially different from others. Instead, discourse continued to center around attractors which were revealed in prior meeting discourse and which formed the coding instrument used in episode coding. Some description of the discourse relevant to these attractors is provided here as an explanation of ESC activity.

“Re-invention,” the parallel change initiative described earlier in this chapter, continued to be referred to and incorporated into meanings of TQL. A “silly rules” program was initiated by a Re-invention Committee, with the intention that each

department would identify a number of rules that appeared to have little relevance within the local work-site environment. For some members of the ESC, re-invention became the focus of an initiative in which organization change could be quantified in terms of numbers of “silly rules” identified, and attempted to incorporate management of “silly-rules” identification within meanings of TQL. Merging meanings of TQL and re-invention together into one consistent set of meanings elicited model-strong participant’s discourse from different perspectives of the relationship between the two initiatives. For some model-strong participants re-invention became a way of re-framing TQL within a prescriptive model of organizational change:

Superintendent: I don’t know if I’ve already wasted a bunch of time (in constructing organizational change with observable results). Bottom line, what are we? Are we making any progress? What have the QMB’s accomplished? Don’t know that folks in the hinterlands (employees) can see any changes (pause).. We’re picking low hanging fruit. I don’t know that anyone would see anything for them in this (TQL) yet. This, and then re-invention. We can see things happening there and can tell people about it (transcript of ESC meeting 01/26/94).

TQL Coordinator: (in response to the Superintendent, and a “silly-rules” memorandum which contrasts quickness with which re-invention proceeds compared to sluggishness of TQL) Those are things (“silly rules”) that just get in the way (of organization effectiveness), whereas TQL is about improving our core. I see “silly rules” as complimentary to TQL. It makes change easier when the QMB’s see a need (transcript of ESC meeting 01/26/94).

Discourse concerning the re-invention initiative and TQL was also related to the larger issue stated by the TQL Coordinator as “guiding and motivating change.” In general, this discourse was initiated by the TQL Coordinator, and elicited perspective dynamics (crossing or adding) and theory expression at a very low energy level. ESC members exhibited discomfort with ambiguity in notions of organizational change, and often allowed the TQL Coordinator to maintain a model monopoly with regard to meaning definition, unless ESC training was included in the monologue. In these instances

ESC members generally engaged in separate monological discourse which offered little chance for employment of resolution modes and maintained model monopolies which distanced participant from specific organization change training decisions: TQL Coordinator begins a discourse to resolve whether to employ organization change consultants for training senior ESC members, sensitizing them to “guiding and motivating change.”

Comptroller: This may sound like a dumb question, but, do we want to do this?

Provost: (No hesitation, and with emphasis) No, not a dumb question. I’m not going to go.”

Superintendent: I thought we were committed to the ESC going. If it’s just a cross section of the organization (to attend training) then what good is it for us? If it’s just more senior level stuff, like the senior level executive training, then we’ve had this” (transcript of ESC meeting, 01/13/94).

As the discourse continued in this meeting, distinctions about meanings of training were maintained within individual model-monopolies of each participant. The TQL Coordinator attempted to resolve the monologue by resorting to a resolution mode in which a “fence-sitting” position is taken, allowing others to open up individual perspectives:

TQL Coordinator: In addition (to other issues), regarding motivating and guiding change, one we keep avoiding—where do we go from here?

Superintendent: We need to set aside a half day or block of several hours to deal with this (Superintendent immediately rises to leave the meeting) (transcript of ESC meeting 01/13/94).

Planning for and executing a strategy for *motivating and guiding organizational change* became an attractor over the next two months of ESC discourse, and was never resolved out of monological dynamics into a dialogue. A month after first bringing up the possibility of contractor training, the TQL Coordinator again surfaced the set of

distinctions which had by now become an attractor, or pattern of such distinctions forming a perspective about training, to which the Superintendent and others responded:

Superintendent: What is it that we are going to get out of this?

TQL Coordinator: Fundamental premise is that change can't happen until it is personalized. The leaders of the ESC and departments can't really create change until they have themselves changed. This training then is all towards the agenda item of guiding and motivating change" (transcript of ESC meeting, 01/26/94).

Discourse following this exchange continued to establish monologues on two perspectives; that of the TQL Coordinator and the previously expressed local theory of meanings of change, and multiple distinctions that together formed a perspective that the ESC should manage change, but not necessarily be involved in self-change. The TQL Coordinator attempted a resolution mode by showing a videotape entitled "The Learning Organization." Afterwards, another attempt to move the discourse to dialogue was attempted:

TQL Coordinator: So, do we want to become a Learning Organization?

Comptroller: I don't understand what it is.

Dean of Faculty: I believe things are what they are, as a result of what is ingrained in human behavior. (Besides) If you have an organization that is screwed up, fix everything and then all is O.K.? Not so. You will have other problems (transcript of ESC meeting 01/26/94).

Near the end of the research another, similar monologic discourse took place which suggests that organizational "movement" of the ESC had not occurred. The context for this set of discourse events was a group decision to conduct a large scale briefing of TQL to students, faculty and employees:

TQL Coordinator: I think we need to get the message out there like guiding principles, business plan and internal change, and that what we've got to start knuckling down and working on, is how to motivate and guide change. We need to make a concerted effort to address all of the aspects of the system that as we

move towards the vision we have and as we work at trying to become more like our values, or our guiding principles, what needs to change on the inside?

Dean of Faculty: I have the feeling that with the things we are talking about, do we need 'change management' as an effort in itself? I have a sneaky feeling that what we're talking about is more than a group effort that could go on for a long time.

TQL Coordinator: Yes, that's the jargon. I'm sure there are people on campus who are more expert at this than I am.

Dean of Faculty: But I've read some of their stuff and I don't understand it.

TQL Coordinator: If this group needs more information on change agents, I'll get it.

Dean of Faculty: What I'm saying is that I've read stuff and when I get done reading it, I don't know what to do.

TQL Coordinator: So you need more practical applications for it?

Dean of Faculty: Yes. We have a big project ahead of us.

Provost: Well, its easy to change—it's hard to be sure that change is in the right direction. I think change is just a matter of calculus.

TQL Coordinator: Anyway, motivating and guiding change remains an issue, we're doing it and we've got to get better at it (transcript of ESC meeting, 02/22/94).

Co-construction of meanings for TQL and boundaries to what constituted TQL within the School became an attractor that was also a point of intersection with the Academic Quality Management Board and an attractor within the discourse of both groups, especially with regard to issues of empowerment. For the ESC empowerment as an attractor within the discourse arose from distinction and perspective dynamics in defining a means by which employees could become empowered without threatening the status-quo power and authority of the School. In part this was the result of other ongoing attractors within the discourse, concerning administration-faculty relationships and the role of students as customers or products. Valuing of faculty within the school was indicated

in discourse events such as this (context is discourse about making faculty attendance to a TQL lecture mandatory):

Superintendent: How many faculty were really at graduation? A very small number. You know how many people were at that faculty meeting? A lot more than we normally expect because, again, they felt in jeopardy and had to show up. But, it got half the faculty out, but then again, maybe it didn't.

Provost: Well Admiral, as you know, a tough issue....getting the faculty to buy in to this (TQL)

Superintendent: Not just a job, but a profession. But, it's very much a job for many people, and they do a good job I think, with their customers, the students, and their research...but that's where their hearts (are)-just doing that (transcript of ESC meeting 03/24/94).

Ethnography Closure with Academic Quality Management Board

Attractors within AQMB discourse were surfaced with regard to issues of group structure, meanings of TQL in relation to their charter, definition of AQMB projects which would provide the group with a 'quick success,' and empowerment to enact change on administrative and academic processes which were not under the authority of any member of the AQMB.

Several events occurred during the months of observation which marked changes in direction of the AQMB. Enormous energy and activity was included in the discourse to find a significant problem with which the AQMB could interact by forming a Process Action Team (PAT). A Bookstore PAT was created and in an extreme monologic event this organization met only once and was disbanded. In a second event, the AQMB engaged in weeks of discourse around determining the target population for and the correct survey instrument in which to assess the factors most relevant to students and

faculty that could then be used to form more focused process action teams. This survey was conducted, however discourse stalled in monologic modes, without resolution around issues of data organization and feedback.

Linking Pin communication between the ESC and AQMB was limited. Although reports were often given to the ESC about AQMB activities, actions by the ESC to resolve AQMB issues were not forthcoming. As the AQMB continued to be monologically bound so that dialogue to provide breakthrough on specific issues could not move forward, a second attractor appeared in the discourse, that the AQMB was structurally doomed to fail because it could not enact change in processes which were not owned by the AQMB. A redefinition of AQMB roles was requested of the ESC, and in the final meeting observed in this study the Leader of the AQMB appeared before the ESC. The discourse which developed in this meeting reveals AQMB local theories, created over months of discourse, and group discourse dynamics at the organizational level, between the ESC and AQMB. This meeting was particularly relevant as closure to nearly a year of internal discourse in both groups:

AQMB Leader: I'll first take about 5 minutes to tell you about where we've come from. We were chartered back in July last year, by this group....you're probably all familiar with the charter. In a nutshell, it was to take a look at the graduate education system, and to determine the customers, and products and services relevant to that system, and ways to improve that system. A very broad charter, and one focused on the "business" of this school. Included in the charter were both student and faculty research, which therefore takes in the whole academic arena. The original membership of the QMB was 15 members plus three facilitators with an AQMB Linking Pin from this group as the linking pin. We had several faculty (names them), and student members (names them), also the Librarian. Those that I named off continue to be active in the process. A number of members that were originally there resigned....(names an associate Dean), and another associate Dean (names), and a curriculum officer (names)...and this has some implications that I want to address later on. But we still have a very active set of members who make up the QMB. We went through the process that (TQL Facilitator 1) our original TQL facilitator suggested, some training...we had a wide

range of experience with TQL already, as you could probably see from the list (of members), we spent several sessions, two to three hours a week in training on TQL philosophy, approach methodology if you will. We decided after two or three (meetings) that we wanted to roll our sleeves up because the tasks seemed pretty large for us to undertake as the core business. We spent a number of sessions brainstorming in our group, who our customers might be, in total, and what our products and services were...filling up the walls of the room there with our lists. After a fair amount of discussion we determined that there are four broad areas of customers that we needed to look at. One was students, a second was faculty, the third has to do with our curricular sponsors, and the fourth has to do with users...I'm sorry....curricular...the third was sponsors, curricular and research, and we appreciate the difference between them, and the fourth had to do with what we labeled the 'end users' of our products...our graduates. These have very different sets of needs and expectations, and therefore we would have to address a different way of collecting information, measuring their needs to their satisfaction. So we undertook ...we decided that was a set of tasks we would have to address. We then wanted to get a feel for, 'what do you want to look at'...so we brain-stormed over the products and services and filled up another set of walls with those possibilities, and quickly we decided the best way to do that is by customer, because they weren't all the same for the same group. We got a bunch of sheets of paper that we're going back to address now. We then decided to tackle the students as customer first. And as a whole group, we worked on the survey instrument for students. It was a long, sort of painful process in many ways, but we learned a lot from it. In some sense it was purposeful, I think we knew it was going to be painful and hard, but we wanted to experience that..the plan was we would do the first one all together, and then get organized to do the rest of those in a more efficient, systematic way (constructing the survey instruments for the other customer groups). Our survey for the students is in the mail, I think, as we speak. While the survey was being finalized in form, procedure and the like, we began work on two of the other surveys, one for faculty and one for sponsors, and we broke into subgroups to generate the initial first drafts. We're very close to a draft for the sponsor survey to be looked at the whole QMB and probably a few weeks away from looking at the faculty survey which is in process. Our plan was that when we have our data back from the students, to kind of drop the other efforts to review, and analyze the data for the issues and processes that need more attention, then start making decisions about which PAT teams are needed to address which ones. Now, I want to back up in time, about to the late fall--we had a schism in our QMB in terms of..this looked like a lot of work, we had a big group that was sometimes unruly, it felt like for size all different points of view, which is understandable looking at the list of faculty and deans from all across the campus in one room focusing on such a large area. And then, most importantly, we had everyone in there wanting to be part of the TQL effort, in different ways. We had some folks that wanted to roll up their sleeves and solve a problem, alright? Then on the other extreme there were those who were sort of signed up and committed to the process of TQL, as a QMB, which is not 'get down and solve the problem', but to manage the processes in the area that we're chartered, to

develop the data and the measurement system, to define where attention is needed, charter the PAT teams, to review and guide them, much as the role this group has for the QMB's. In order to.... appeasemight be one way to put it, those with the energy to attack a problem, and at the same time provide our QMB with some learning and feedback for 'what does it mean to have a PAT team and supervise one?', we decided to form one early on. We targeted the bookstore, because that was where the energy was around two or three of our members. We recruited a few faculty members, a few students, and the student representative from the Officers Student Advisory Committee, and the bookstore (manager). We learned a lesson (laughter by the ESC). The lesson was that the advocates for the bookstore, the manager and the OSAC rep became adversary. There was not an agenda that one could look at with the possibility of doing things...that were brought by our advocates with some biases too. That the bookstore was broke, probably a bit of an overstatement..and we needed to look at some alternatives to the bookstore. To make along story short, after about three or four meetings the decision was made to disband the bookstore PAT team..at least for now. Until we had more data, because this is one that went in with no data systematically collected from the customers, at least by our group, we hadn't done our survey yet to find out...and going in there, there was what the members brought, and the PAT team members brought to the process (transcript of ESC meeting 04/07/94).

After outlining the history of AQMB group action, the AQMB Leader then describes the AQMB group constructed theories of ESC and AQMB interactions, especially concerning issues of release time and empowerment to make change, as understood within the context of meanings of TQL:

that we felt that we haven't made as	217
much progress as one should have...	218
the difficulties that this group has	220
is that all of the members have to	221
basically do this out of hide.	222
..... For the students,	226
participating in this does not	227
relieve them of any of the course	228
work, or other responsibility. For	229
the faculty they haven't been	230
relieved of any teaching or advising	231
or any other service or management	232
function. So, we polled	233
ourselves...how many hours could you	234
do this on a regular basis. Almost	235
everyone was at the limit at two	236
hours.....	237
..... two hours a week,	238
we're moving at a reasonable pace	239

given the amount of time we have. 240
 So, one issue is about 245
 time, and how we get more time...more 246
 time on this task. The second item 247
 has to do with membership..... 248
 As we saw it, a 254
 QMB should be made up of the process 255
 owners of the processes that are 256
 going to be examined...I mean that's 257
 almost a definition..a premise. So, 258
 when issues came up, things were 259
 found that the people who were part 260
 of the process could legitimately 261
 make the decision, with the authority 262
 to include those processes. When we 263
 looked around the room, we had no 264
 process owners on the QMB. The 265
 process owners for the academic QMB 266
 are sitting around this table (the 267
 ESC, those at the meeting being 268
 addressed). 269
 And so, we raised the question 279
 'suppose we come up with something, 280
 we don't have the sense of authority 281
 or action that a QMB should have. 282
 Almost anything would have to be 283
 kicked back to the ESC for us to take 284
 action or to give direction on. And 285
 so we had a discussion with(AQMB 286
 Linking Pin), and he suggested that 287
 issue be brought up to the ESC as 288
 part of this brief. 289
 So, it was 298
 sensed that we needed more clout, as 299
 it were, to feel empowered. Is that 300
 fair (addressed to the rest of the 301
 QMB members who have attended the 302
 ESC)? So, that's where we are. 303
 (transcript of 04/07/94 ESC meeting).

Results from this meeting included a new perspective of AQMB difficulties which
 had not previously been voiced by the AQMB Linking Pin in the course of reports to the
 ESC. AQMB Leader perspectives constructed in the making of distinctions in the
 monologue at the beginning of the meeting provided opportunity for perspective dynamics
 with ESC members who had previously exhibited model-strong positions to support model

monopolies. Multiple monological discourse events resulted from this interaction, with the themes which had been surfaced in earlier meetings continuing to predominate in this one. In particular, the issue forwarded by the AQMB Leader of lack of empowerment due to academic process owners not being part of the AQMB, was answered by the Provost:

..... Well, I fully realize that 1345
 they really aren't the line managers, 1346
 but, on the other hand, I suspect 1347
 that they among other things they 1348
 will find they are empowered and when 1349
 they talk to someone (an ESC member, 1350
 or Dean, for example) will get 1351
 change...and in that sense they are 1352
 empowered. Its not having to go 1353
 anywhere else..it will get done. 1354

(transcript of ESC 04/07/94)

In this model-strong statement of a local theory of empowerment, the Provost is stating a status-quo position that if members of the ESC want change, they will need to ask the ESC process owners to enact it, exactly the same perspective given by the AQMB Leader, with the exception that when stated by the Provost the point of view is stated asymmetrically and as a model monopoly. No resolution mode is attempted in this discourse, instead, the Provost continues to solidify a model-monopoly by offering to enlarge the role of the AQMB Linking Pin to become the decision maker within the AQMB to decide whether or not a specific problem will be studied by the QMB-a notion that if enacted would have further solidified ESC power within the TQL organization as process owners and managers of action. Members of the ESC agreed with this, and the TQL Coordinator redefined the function of the QMBs to be:

TQL Coordinator: The QMBs are looking 1693
 at big cross-functional things. 1694
 There's two focuses to this thing. 1695
 One is the large cross-functional 1696
 systems like procurement that goes 1697

across everything...processes and	1698
systems are measurable...same for	1699
Quality of Life...large	1700
cross-functional systems. There are	1701
also stuff in the functional areas	1702
that are important and are wholly	1703
owned by you (the members of the	1704
ESC)...that you can measure and	1705
encompass. That's where I'm trying	1706
to drive the Quality (program) down	1707
to.....	1708

(transcript of ESC 04/07/94 meeting).

This discourse event emerged from the AQMB Leader's question of empowerment and a distinction made by the Provost in a perspective dynamic that the purpose of line managers (generally members of QMBs) is to collect data, for further action by the ESC.

The result of the monologic discourse was that no immediate direct action was taken by the ESC to resolve any of the AQMB Leader's issues. Instead, what is offered is a perspective and model monopoly that change in the organization would not occur through direct control of processes and that the role of QMBs could be re-framed as data gatherers for the ESC. Within a month of this meeting with the ESC, the Academic Quality Management Board was disbanded in its present form and re-formed as two groups with charters to devise data gathering methods to develop faculty, student and external customer TQL data. The ESC continued as before, without resolving release-time or empowerment issues, maintaining status-quo power and authority relationships and re-defining foundation TQL principles within this construct.

CHAPTER V

OUTCOMES AND IMPLICATIONS

There were a number of distinct outcomes from this research. On one level this research was a means to answer the research questions. However, in order to answer these questions a qualitative methodology using notions of discourse and dialogue had to be developed. Ethnography became both a means of constructing what was meaningful from the data, and to construct, through a meta-ethnography, a theory and method of what is dialogical in discourse. On another level outcomes of this research are extensions of notions of dialogue, a model of dialogue derived from cross-discipline literature and a frame in which to discuss discourse in organizations. On a local level, the research is also a description of discourse and dialogue dynamics in an organization undergoing a change initiative. A diagram of the relationships between methodology, ethnography and analysis to produce dialogue methodology, extensions to theory and research conclusions is presented in Figure 7. As a first outcome of this research, qualitative research is a means to design a qualitative research method where none existed.

Ethnography as Reflexive Methodological Tool

“Ethnographic research begins with the selection of a problem or topic of interest” (Fetterman 1989, 13). In this research site observations surfaced a range of research questions which were further defined as observations continued. A concept of research emerged from this interaction, which, informed by a review of dialogue literature and model construction, yielded two fundamental research questions (Chapter I). Performing research to answer the two questions required discovering dialogue methods through a

review of methodology, or by constructing methods from within the research. A gap in dialogue literature was revealed when methods which would bridge the theory-practice gap through methodology were not found.

“Rather than importing methods from the physical sciences, naturalism (ethnography) argues, we must adopt an approach that respects the nature of the social world, which allows it to reveal its nature to us” (Hammersley 1983, 12). Because the nature of dialogue was the central phenomenon within the research questions, identifying the construction of dialogue was a necessary step to defining a method in which dialogue could be discerned from observing discourse. One possibility existed, to use the natural setting as a means to examine what might be essential to dialogue, using a literature based perspective of dialogue to explore dialogue through an ethnography.

Meta-ethnography became a means by which appreciating the data could surface methodology theory, which in its use for a next iteration of method provided the stimulation of further methodological development. The outcome of this process was the evolution of methodology in a meta-ethnographic episodes linked to ethnography of the research site.

Theory Formulation

Construction of a working theory occurred through the research process. A set of working assumptions formed the basis of a qualitative approach and an overarching proposition guided the research to define what would later become a working theory for analysis. The proposition stated below and theory defined in the course of the research are also outcomes of the reflexive-inductive research process.

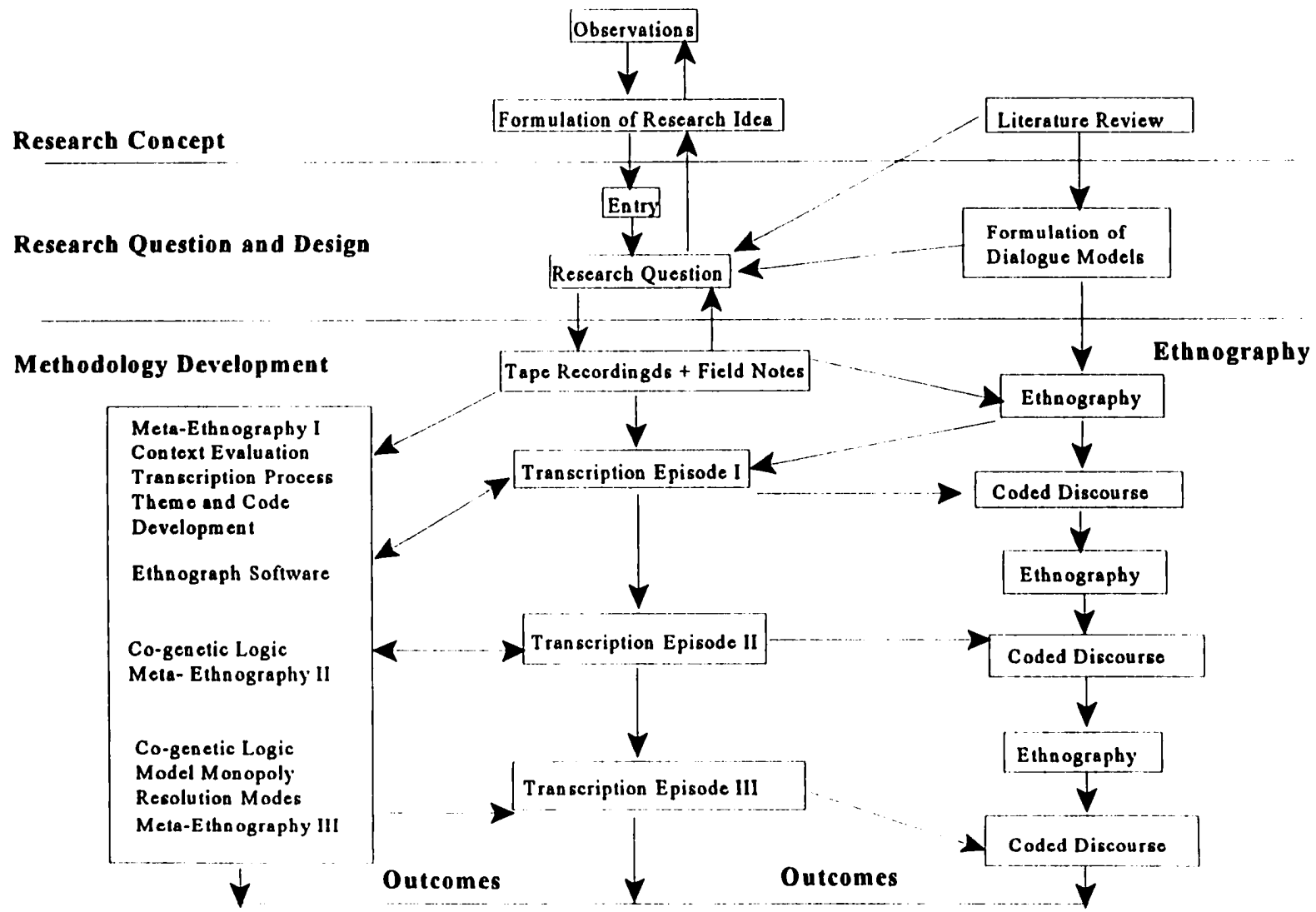


Figure 7. Interrelation of methodology, ethnography and analytic process to produce dialogue methodology, theory and conclusions.

Proposition: Organization transformation is a complex process in which a special form of discourse-- dialogue, constructed between participants, may be gathered and analyzed within a qualitative methodology to construct theories of transformation dynamics.

Theoretical Perspectives: These form the basis of a qualitative methodology and initial research design.

1. Organizational transformation is a cognitive process involving comparison of individual and group constructed schema to a construed change paradigm (Bartunek, Lacey and Wood 1992).
2. The process of making distinctions is a creative process in which each participant is engaged at different levels; with oneself (created in monologue) and a constructed other emanating from individual cognitive models and deep structure; with other participants (potential dialogues in discourse); with other contexts (environments). The process of making a distinction is defined in a co-genetic logic (Herbst and Rasmussen, 1993; Braten 1984).
3. Creating a distinction is a triadic event, bounded in the present. Each distinction event is closed, but may be crossed or added to in forming another distinction, or grouped to form a perspective.
4. Dialogue requires crossing or adding together perspectives such that new sets of distinctions and perspectives are constructed, supporting or crossing local theory expressed by participants.
5. Local theory is constructed in meta-dialogue between participant

distinctions and observer-data dialogue. Local theories may be surfaced by a “sensitized” or “appreciative” observer in a meta-discourse between the researcher and observed discourse. Elements of this domain may be grouped for description and analysis of organizational dialogue.

Methodological Synthesis

Methodology formulated in this research is an outcome of the research process itself and proposes to bridge theory and practice of organizational research. What is provided here is an outcome of one iteration of a process combining observation, theory formulation, research design, methodological approaches, data gathering, data analysis and recursive reflection on the process. In short, this research and formulation of dialogue methodology is open ended. What is provided as an outcome is therefore the state of understanding gained in the conduct of this research, and awaits further definition.

Distinction as an act in discourse is a central principle. Appreciating the act of distinction must be revealed to the researcher in reflection on the discourse, and understood as a co-genetic event, having the properties of a primary distinction proposed by Herbst (1993, 30). Actual performance by the researcher as “instrument” in surfacing distinctions within discourse requires the deep understanding of an embedded observer who brings together what is contextual, with meanings given as part of the organizational culture being observed. Analysis of discourse provided in Chapter IV provides some examples of this researcher’s distinctions about making distinctions within the discourse. Distinctions were also understood within a context of *themes* obtained in observation, precursors to a coding instrument which was applied to an ethnographic software program.

Perspectives, in a meaning which emerged from this research, are in general terms, collections of distinctions within one logical type, or “themes” in the discourse.

Differences between distinctions and perspectives was often one of relativity for the observer, that is whether the discourse was being observed from beginning to end in order to understand whether what was being constructed was a primary distinction or a collection of distinctions continued in the discourse. Whether judged a single distinction or group under the notion of perspective made little difference to analysis in this iteration of the research and methodology. What was more important in terms of meanings constructed in the discourse was the calculus in which these elements were then combined.

Crossing or *adding* distinctions or perspectives involves the construction of a new state of meaning from combining distinctions or perspectives between two participants. In crossing, one participant makes a distinction that is then challenged with another of a different logical type by another participant. Logical type refers to the similarity of or congruity of what is essential in two ideas (Bateson, 1988, 11). For example, in discussing dogs, one participant states that their dog is big and another that theirs is black. Discourse here is within one logical type insofar as being about dogs, but not congruent in what it is about dogs that the discourse is about. This action provides an opportunity in which a new distinction may be formed, moving the discourse from one state of being (within the state of logical type A to logical type B). Understanding this dynamic requires that the observer be deeply immersed in the contextual nuances of what is said within the discourse as well as an understanding of the perspective dynamic of adding or crossing distinctions or perspectives.

A *discourse event* is an instance in the discourse that is understood by the analyst

to be a distinct and bounded event noted as a perspective dynamic (crossing or adding perspectives may be noted), or in which local theory is stated.

Local Theory is uttered by participants in discourse and may be the result of a perspective dynamic. Local theories are the theories which arise in spontaneous discourse, and bounded in time. They are similar to Schein's "theory in use," except that there is no attempt at surfacing assumptions which support theory. Instead, what is understood by the analyst is what is stated, in the context in which it is stated.

Attractors are sets of distinctions and perspectives which are related by logical type and exist over time as patterns in discourse that are "time-less" (Braten 198, 1340). As illustrated in Figure 8, *attractors* are related as discourse events in linear time. In the depiction of this idea, a discourse event (da) is related in logical type to another discourse event (da+n), and (da+n+1). Another discourse event (da+n+x) is related to (da) but only through (da+n+x). This concept is rooted in the work of non-linear and chaos systems theory in which an attractor represents a point on a phase-space diagram which is pulled into the attractor if within a specified proximity of the attractor. This is a mathematical concept, which here is only meant to help visualize that similarly, attractors exist in discourse as sets of distinctions, perspectives and local theory which continue within the discourse over linear time. Expressing a definition of a particular attractor in the discourse becomes difficult in terms of distinctions and perspectives, instead being encompassed as themes. In this research themes identified in observation and analysis of discourse were developed into a coding instrument used to code discourse using an ethnographic software package.

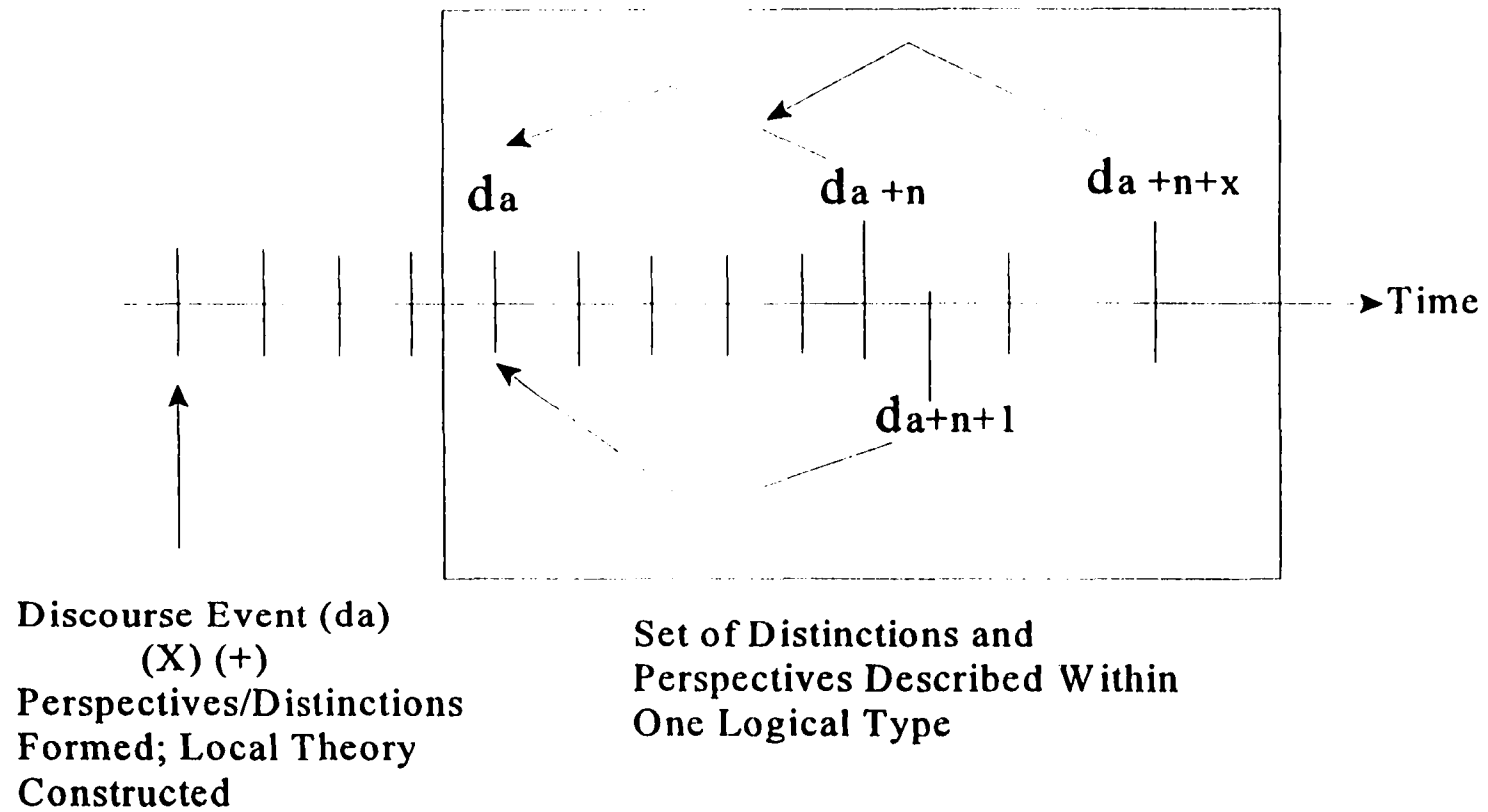


Figure 8. Representation of Discourse Attractor. Discourse events in linear time are reflexive about distinctions of similar logical type.

A more complete description discourse dynamics became evident in coding the discourse episodes. Two levels of discourse emerged. First, the discourse was “about” something, as developed in themes, coding and possibly discourse attractors. Secondly the discourse had a dynamical level in which distinctions were made, grouped as perspectives in the context of what the discourse was “about.” In this dynamic dialogical states have a theoretical range from “monological” to “dialogical.” In the monological state distinctions are constructed in such a way as to maintain a *model monopoly* such that “the state of one perspective, excluding or swallowing up any other perspective (Braten 1984, 160). Maintenance of model monopoly occurs in asymmetric power relationships such as exist in hierarchical organizations, as a means, through *model strength*, of sustaining status quo power relationships. Under these conditions of asymmetric discourse in which one perspective is subsumed in a monological monopoly of the discourse, dialogue cannot take place. Resolution modes which allow the dissolution of these discourse modes and dialogue to continue are resolution modes. Discourse model-monopoly (Also termed mono-perspective by Braten) resolution modes include: (1) redefining the universe of discourse, (2) allow for the emergence of “rival maps” of the same “territory,” by admitting rival sources or developing new models based on one’s own premises, and (3) by taking a meta-position which includes dynamics such as “fence sitting” or withdrawal from the model (Braten, 1984, 161). A group of participants engaged in discourse in which model monopoly is a principle dynamic, but which moves, through resolution modes to dialogue may be characterized as having a degree of *dialogical competence*.

Energy, is a subjective distinction, placing value on the force of interactions which

moves discourse forward and allows further distinction making, perspective crossing or adding, local theory formation, model-monopoly formation and resolution modes to occur. What is being valued here are those indications in the discourse which promote instability in discourse such as to create the necessity to move forward with perspective dynamics and resolution modes. This is similar to the notion of “creating instability in the container” in which to move forward from conversation to dialogue and metalogue (Isaacs 1994, 50), and the punctuated equilibrium model of transformation (Gersick, 1991).

Together the structural notions of themes and attractors, what the discourse is “about,” and the dynamic quality of the discourse may be an articulation of *organizational dialogue* (Figure 9). Patterns of distinction making, perspective crossing and themes emerging from the discourse, coupled to the dynamic ability of the organization to sustain what is dialogic in the performance of the discourse is one means by which the discourse may be described in dialogic terms and the analyst provide second order learning to the group engaged in the discourse.

What discourse is “about”

+

Performance of Discourse
“Dialogical Competence”

=

‘Organizational Dialogue’

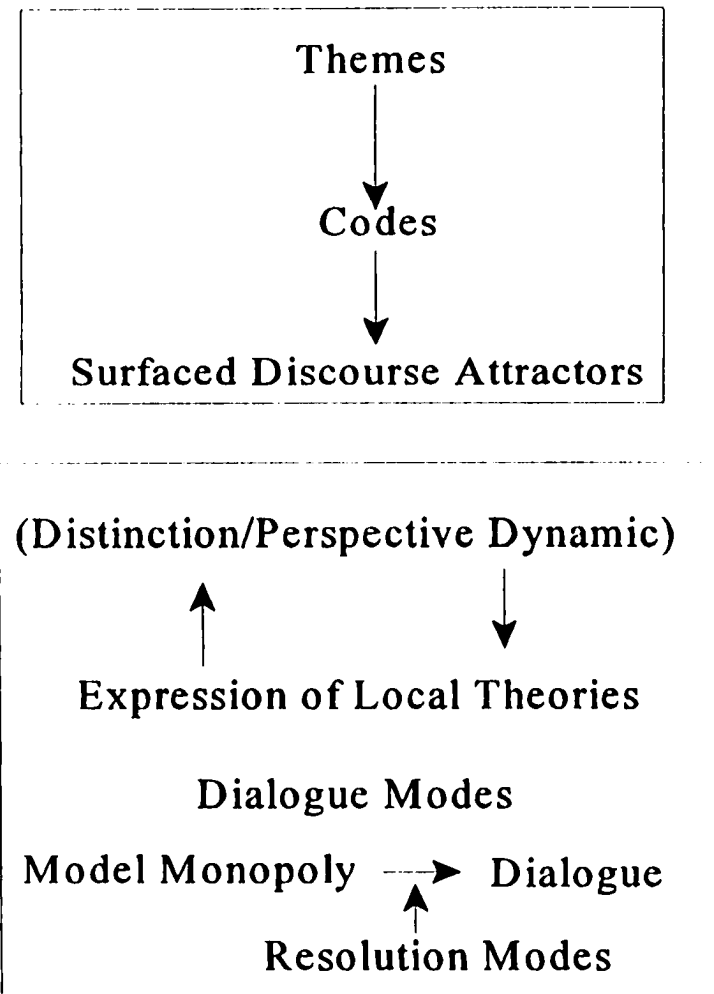


Figure 9. Organizational dialogue is composed of discourse objects (themes and attractors) and dynamic expressed in “competence.”

Synthesis of Ethnographic Episodes

Ethnographic episodes included in the construction of methodology through meta-ethnography described in Chapter IV may now be reviewed in terms of outcomes from the discovery process. Methodology applied to episodes two and three was an outcome of meta-ethnography in which themes were identified and a coding instrument created for use in conjunction with ethnographic software. Table 5 (Chapter IV), AQMB discourse data from Episode I and Table 6 (Chapter IV), AQMB discourse data from Episode II were constructed from outcomes of the researcher-data discourse in which methodology was constructed and then turned inward to analysis of the discourse in both of these episodes. As part of the inductive process of qualitative research, researcher-data discourse was applied to further refinement of discourse analysis, the data presented in Table 7 (ESC discourse data from Episode III).

Another analysis is possible, one defined in the process of forming a final methodological outcome of the research at this point. Local theory from episodes I and II are tabulated in Table 8 (below), grouped according to *logical type*. That is, local theories expressed in spontaneous discourse may be similar in content to the degree that they are within one logical type (logical type as defined in Bateson 1988), and therefore be a statement of theory that is possible to grouped within another representation that includes all of the local theories within that group. This is another level of representation of the original discourse data, the first being the naming of themes and application of a coding instrument. For example, in the first category, "AQMB Actions Due to _____" includes those local theories expressed in discourse which are related to actions the AQMB might take as a result of some action or influence which would make sense if the blank following

the statement were filled in. Similarly local theories were grouped from both episodes, and the local theories are numbered from the associated discourse events and presented in Table 8. By the same process, ESC local theories were grouped by logical types and are presented in Table 9.

Discourse is a linear process in that it occurs over linear time. Data from these groupings may then be arranged linearly by occurrence of local theory in the discourse, e.g., local theory number one uttered prior to number two on a linear representation of time. Groupings by logical type arranged linearly surface patterns of local theory construction and attractors within the discourse that are not readily apparent in tabulated data. For example, in Figures 10 and 11, Episode I and Episode II data are displayed so that interactions and patterns of perspectives within one logical type are revealed. For example, within perspectives that construct meanings for the structure of the AQMB are attractors of constructing meanings for boundaries of TQL and relationships with the ESC. These perspectives reach into and become part of the perspective dynamic in Episode II, all of which are embedded within perspectives that define AQMB actions.

Local theories in this logical Category are about _____	Local Theory # From Episode I	Local Theory # From Episode II
AQMB actions are due to _____	1, 2, 3, 9, 10, 18, 20, 21, 23, 26, 27	33
AQMB structure is _____	4, 5, 7, 8, 12, 14, 16, 17, 25, 29	24, 25
TQL is _____	6, 13, 15, 22, 30	27, 28
ESC- AQMB relations define _____	16, 19, 24, 28	1, 10
PAT structure _____		2, 3, 6, 7, 8, 9, 14, 16, 17, 18, 22, 23, 27, 28, 29, 30, 31, 32
PAT activities to do _____		4, 5, 11, 12, 13, 15, 19, 20, 21, 26

Table 8. AQMB Local Theories Grouped in Logical Types (Episodes I, II)

Local theories in this logical Category are about _____	Local Theory # From Episode III
The ESC is _____	1
The AQMB is _____	2, 3
The PAT is _____	4, 5
ESC training _____	6, 7, 9, 10
Strategic Planning _____	8, 11, 12, 13
TQL and re-invention _____	14, 15
ESC guiding and motivating change _____	16, 17, 18, 19, 21, 22, 23, 26
Organization measurements _____	19, 20
Organization commitment _____	24, 25

Table 9. ESC Local Theories Grouped in Logical Types (Episode III)

Episode (I)

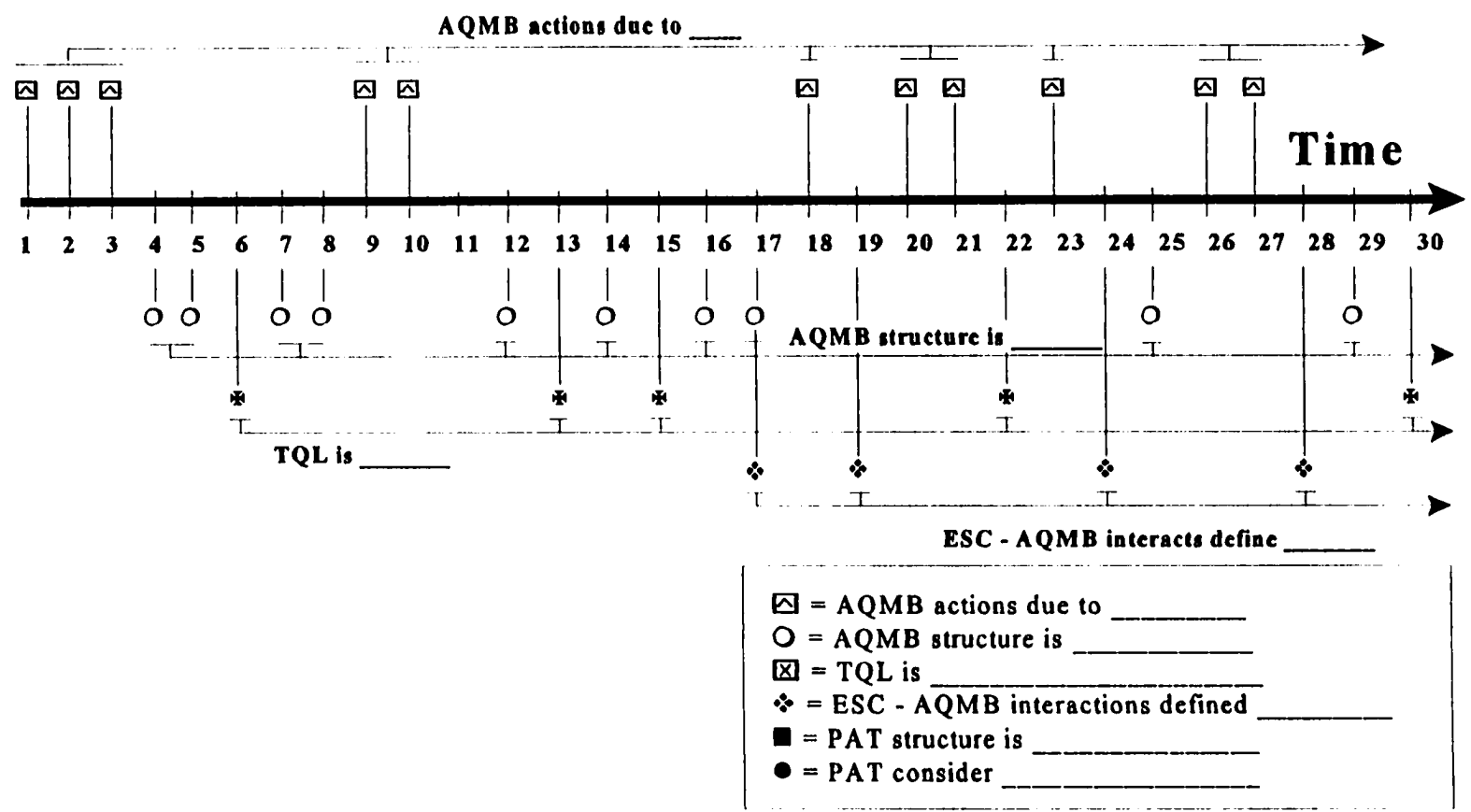


Figure 10. Local Theory (Episode I) Displayed Linearly by Logical Type.

Episode (II)

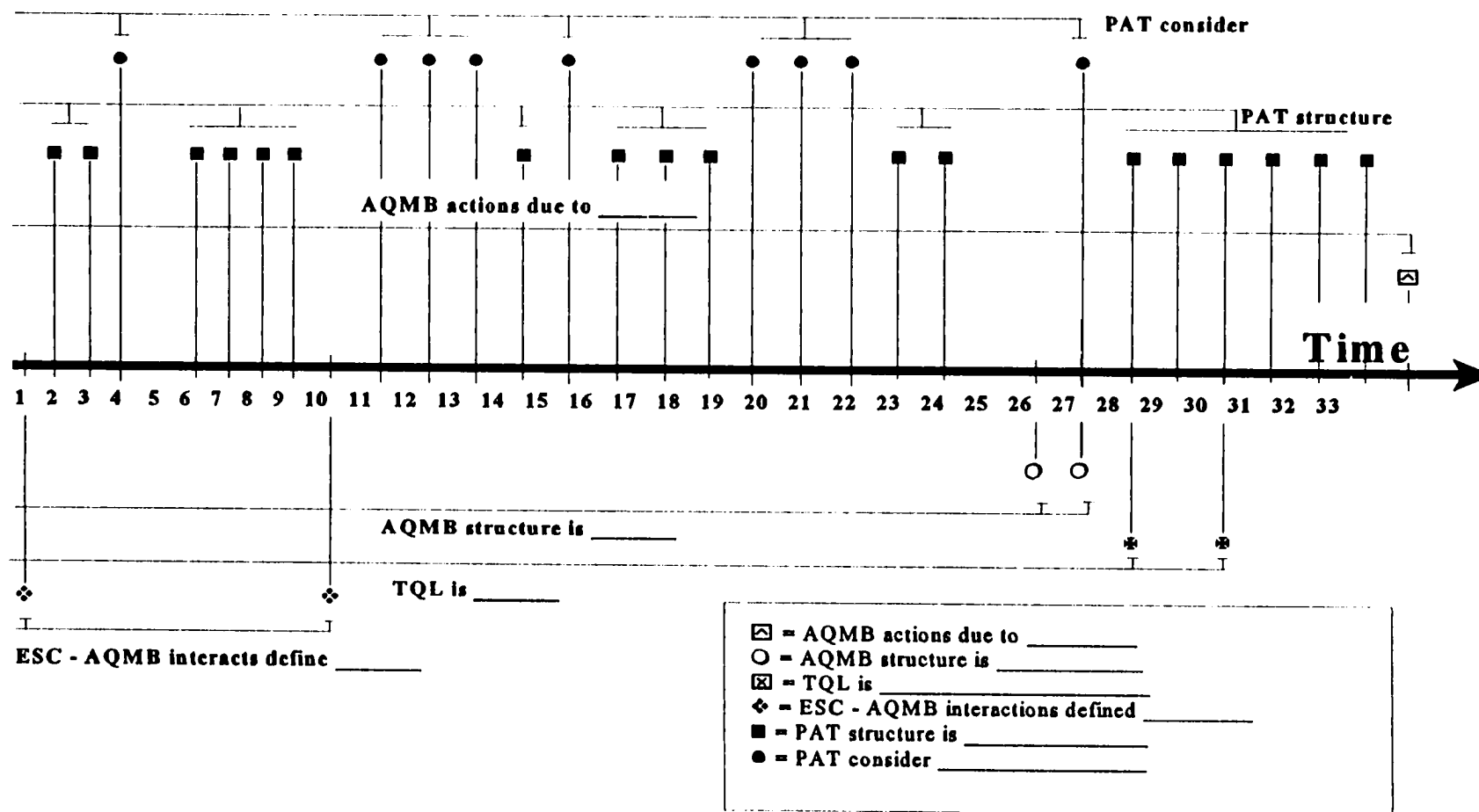


Figure 11. Local Theory (Episode II) Displayed Linearly by Logical Type.

Episode III (ESC) was analyzed from the meta-ethnography conducted with respect to Episodes I and II. Additional concepts were included in the analysis of Episode III that enhances understanding of the methodological process expressed as an outcome above. In addition to logical types, model-monopoly, discourse energy, perception dynamic and resolution modes are included. Table 9 displays the Local Theories grouped in logical types for Episode III of discourse gathered from the ESC.

From this display of the local theories, an analyst-consultant may observe that the perspective dynamic for this meaning was primarily in crossing perspectives (X), with attempts to maintain model-monopolies in discourse surrounding ESC training and guiding and motivating change. Lower discourse energy was noted in the ethnography with regard to group participation in both of these discourse attractors, and the ethnography supports the data display that the ESC was resistant to both ESC training and constructing meanings of ESC roles in guiding and motivating change. Several model-monopolies were observed in the ethnography and surface here in the display. Of particular note, within the discourse dynamic of ESC development of strategic planning the ESC was able to dissolve an attempt at maintaining model-monopoly, through a resolution mode in which the discourse was opened to include other models. Focusing on the discourse concerning ESC roles in guiding and motivating organizational (TQL) change, model monopoly was established, and not resolved, effectively blocking further dialogue.

The role of researcher-analyst as a sensitized “instrument” of research is especially important in providing depth to explanation for ESC dynamics surrounding guiding and motivating change. From the ethnography it was determined that the TQL Coordinator

proposed a set of perspectives around notions of motivating and guiding change. What was being sought was for this consultant to find a way to include the leadership of the school into sharing of perspectives to move the group forward into defining for themselves what it would mean for the ESC to take an active role in managing TQL change. From the data, the Provost and Superintendent made distinctions, formed perspectives and offered local theories that supported maintenance of power relationships in an asymmetric discourse. Maintenance of power relationships and status quo required that these participants allow the TQL Coordinator to maintain model-monopoly around perspectives of guiding and motivating change. In this way their individual perspectives would not be subject to crossing with the TQL Coordinator's, effectively halting further discourse in relation to this set of perspectives. What is relevant from this example is that model-monopoly may be used to maintain asymmetry and power relationships from a variety of perspectives.

Episode (III)

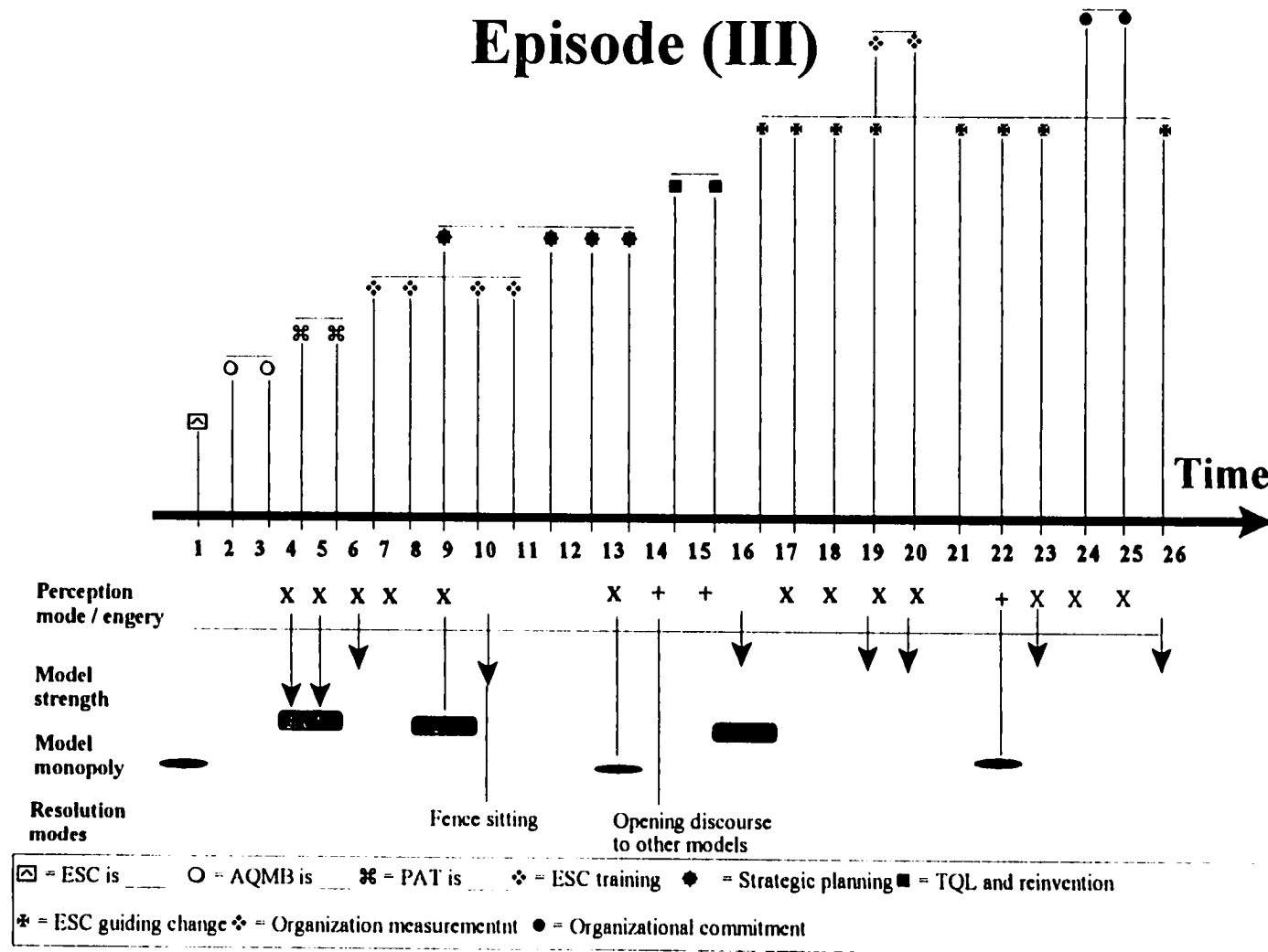


Figure 12. Local Theory (Episode III) Displayed Linearly by Logical Type.

Implications for Practice

This research had several levels. First, it was an exploration in the articulation of a theory of dialogue. Second, the research developed a possible means by which dialogue may become accessible to researchers of organizations and change. The third level is one in which “deployment” of methodology is postulated, and what is developed here is further applied to other research sites.

The literature gap discussed in Chapter II is one in which theory of dialogue is proposed, but not made accessible within the theory. The implication of this research for practice is that an additional analytic tool may be employed to define dialogical competency for the organization undergoing transformation. In doing this, the researcher is engaging in a second-loop learning dynamic with the organization, which may greatly decrease time spent in developing strategies for change.

In addition to the practical level of performance by a sensitized observer, the implication of this research is fundamental to notions of the researcher as an instrument of the research. That is, within this qualitative research the embedded and sensitized observer added a necessary dynamic to the research, which enabled patterns within discourse to be brought forth. Also within notions of qualitative research, this research adds rigor to ethnography as a structured methodology in which dynamic patterns of complex interactions may be determined.

Direction For Future Research

In this research it was observed that organizational culture is deeply integrated in the organization, with consequences for the language, asymmetry in discourse and dialogical competence. One possible direction for future research would be to conduct a

similar study, using dialogue techniques described here, within a culturally different organization. Results from such a study may help further define concepts presented here and provide a foundation for research in organization culture through dialogue study.

In a larger view, organization culture exists within a larger social culture. Dialogue based studies of organizations in different social cultures would be useful in describing cultural differences in discourse and dialogue dynamics which would help to deepen dialogue theory.

With regard to the theory developed in this research, an additional element provided by this study would be useful in conducting research of organization learning, or double-loop learning in organizations. Feedback and therapeutic use of dialogue analysis would be useful in surfacing dynamics of second order or double loop learning techniques proposed in organizations.

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APPENDIX I
ETHNOGRAPH NUMBERED AND CODED EPISODE I

A portion of an Ethnograph numbered and coded transcript of AQMB meeting 11/05/93 with observer commentary is provided in this appendix. The observer held a position within the same organization as the participants of the ESC and AQMB. In the course of daily intercourse commentary was observed and noted, as in the following exchange between two members of the AQMB just prior to that group's next meeting.

+: One hour prior to this meeting a	1	
discourse event was observed between	2	
Military members one and two.	3	
 Military member 2: "who is going to the	5	
AQMB today?	6	
 #-COMMITMENT #-ENERGY(-)		
Military member 1: Neither one of us	8	-#
wants to go to this shit you go.	9	-#
 #-TIME #-RESOURCE		
Military member 2: No, you go to that	11	-#
one, and I'll go to the GERB/GERG	12	
meeting. You know, the	13	
Superintendent pointed out that if	14	
you count up all of the time we spend	15	
in meetings and boards, we don't have	16	
any time left to do work. He's	17	
thinking about putting a memo on the	18	
street asking for everyone to stop	19	
inviting dignitaries to the	20	
school--no time for them.	21	-#
 +: This conversation was held within	23	
hearing of this observer, whom the	24	
members knew as an observer. The tone	25	
of the conversation was heavily	26	
ironic and sarcastic about their role	27	
in the various boards in general, and	28	
the AQMB in particular.	29	

In this AQMB meeting a review of the previous meeting (10/29/93) was presented as group feedback and informed those members who had not been present of the decision to create a Bookstore Process Action Team (Bookstore PAT). The review was given

within a frame of reference that included the viewing of “Abilene paradox,” which was used in such a way that those present at the earlier meeting could state that they had come close to the same paradox presented in the video, but that it had been avoided because participants had agreed to form the Bookstore PAT. To bring the other members of the AQMB into the decision, the alternatives were presented for reconsideration; do an evaluation of the school’s textbook store (head shaking by nearly everyone indicated they believed this to be a good idea), evaluate the process of classroom instruction by examining the Student Opinion Forms as a means of feedback, and distribution of funds to professors, to which one faculty member added, “this is a hot one—there is no consensus out there.”

Reviewing proposed options at this meeting was intended to permit consensus building and consequent buy-in by all participants. Instead of following this course, opening the discussion permitted a review of personal theories of action and AQMB performance. The dialog was opened by the AQMB Facilitator, and followed immediately by the following transcript of meeting discourse:

#-MEMBERS			
+: Present at this meeting were	31	-#	
Military member 1, Faculty member	32		
2, Faculty member 3, AQMB Leader,	33		
Student member 1, AQMB Facilitator 1,	34		
Faculty member 1, and the observer.	35	-#	
+: AQMB Facilitator 1 asked Faculty	37		
member 2 to present what had happened	38		
at the last Friday meeting	39		
#-FEEDBACK %-THEORY			
(10/29/93). Faculty member 2 stood	40	-#	-%
up and provided feedback from the	41		
meeting; that those present had	42		
watched the movie "Abilene Paradox"	43		

and that at the end of this	44		
presentation those present felt that	45		
the group was now at its own "Abilene	46		
\$-PATCHOICE *-THEORY			
Paradox". Felt that the faculty	47		-\$-§-*
group had decided to move to a	48		
project that could be successfully	49		
done immediately (vice doing a survey	50		-*
of faculty as customers needs). Those	51		
areas considered for action by the	52		
%-ENERGY(+)			
or a PAT included:1) bookstore	53		-§
(head shaking of nearly everyone in	54		
the group, that this would be a good	55		
idea, or possibly that the bookstore	56		
is a known problem to all) 2)	57		-§
evaluating the process of classroom	58		
instruction. Primarily this would	59		
involve examining the SOF as a	60		
feedback mechanism. 3) Distribution	61		
of funds to professors (how faculty	62		
are paid process). Faculty research	63		
quarters are an issue.	64	-#	-\$
#-EXTR BOUND #-CONSENSUS #-THEORY			
Faculty member 1: This is a 'hot	66	-#	
one'--there is no consensus out there	67		
concerning this process.	68	-#	
#-GRP BOUND \$-X PERSPCTV			
AQMB Facilitator 1: Should we stay as a	70	-#	-\$
large group, or should we split up?	71	-#	
#-STRUCTURE			
Student member 1: I see this as a	73	-#	
structure question.	74	-#	-\$
#-ENERGY(+) @-+ PERSPCTV			
+: No time between AQMB Facilitator 1	76	-#	-@
question and Student member 1	77		
response an immediate concern to	78		
Student member 1, who jumped on this	79		
occasion to bring it up.	80	-#	
#-ENERGY(-)			
+: Student member 1 delivered a	82	-#	
lengthy, emotional comment that the	83		
group is not structured properly to	84	-#	
#-STRUCTURE			
get anything done. Without defining	85	-#	
meanings for 'getting things done',	86		
Student member 1 believes that this	87		

movement cannot occur in this group.	88			
\$-REFLEXIVE				
He continues in his commentary that	89		-\$	
the AQMB should study itself first,	90			
restructure and then decide what	91			
%-STRUCTURE				
problems to address. He states a	92		-\$-%	
belief that structure is what gets	93			
things done, without clarifying what	94			
this would mean in terms of	95			
restructuring this group to	96			
successfully complete a TQL task, or	97			
\$-THEORY				
how restructuring will create a more	98		-\$	
favorable atmosphere for deciding	99			
what must be done.	100	-#	-\$-%	
#-SOF				
+: After Student member 1's comments,	102	-#		
AQMB Facilitator 1 hands out a memo	103			
from the Dean of Instruction	104			
concerning the role of	105			
SOFs/evaluations. Not immediately	106	-#		
clear from this feedback what the	107			
memo's impact will be on the AQMB's	108			
perception that something needs to be	109			
done about SOFs as part of the	110			
academic process. May come up again	111			
in future meetings.	112			
#-FEEDBACK				
+: AQMB Facilitator 1 asked Military	114	-#		
member 1 (who earlier had made a	115			
statement about not wanting to be in	116			
this meeting) to present what had	117			
happened in the student as customers	118			
meeting the previous Monday	119			
(11/01/93).	120			
Military member 1: Shelley (this	122			
observer) gave us a wrap-up of the	123			
meeting on Friday (10/29/93). Not	124			
\$-PAT FORM %-X PERSPECTV				
sure what exactly we decided. The	125		-\$-%	
bookstore seems like an easy thing to	126			
do, but is probably a PAT team issue.	127	-#	-\$	
#-PAT FORM \$-STRUCTURE *-- PERSPECTV				
Student member 1: I started this	129	-#	-\$ -*	
meeting on my soapbox about the	130			

^-THEORY					
structure of the group. We are not	131	-\$			-^
properly set up to do a PAT team	132				
effort.	133	-#	-%		-^
#-ENERGY(+)					
+: Student member 1 statement made with	135	-#			
considerable emotion.	136	-#			
#-SURVEY					
Student member 1: So, don't do a survey	138	-#			
-Shelley explain what you might be	139				
doing in the way of a survey next	140				
quarter	141				
+: Observer participant presents an	143				
idea of doing a survey that might	144				
include aspects important to the	145				
AQMB. Doesn't seem to be much energy	146				
in the group for this right now--no	147				
comment after presenting	148				
possibilities.	149	-#			
#-X PERSPECTV					
AQMB Leader: Student member 1's point	151	-#			
is right on. Let me ramble for a few	152				
minutes.	153	-#	-*		
#-TRAINING					
+: AQMB Leader then explains that when	155	-#			
the ESC was originally formed (he was	156				
an initial member of the ESC for the	157				
purpose of getting the TQ effort	158				
started at (School)) they went on a	159				
retreat for the purpose of doing an	160				
exercise in forming a PAT team. This	161				
was done as a group learning	162				
experience. Military member 1 was	163				
part of the PAT team.	164	-#			
#-ONTOGENY %-X PERSPECTV *-X PERSPECTV					
AQMB Leader: It really opened the ESC's	166	-#	-%-*		
\$-THEORY					
eyes. The point is that what we are	167	-\$			
here to do is to determine what our	168				
customers need. It would be easier	169	-#-\$			
to just fix the bookstore, but that	170				
isn't what we are here to do. It	171				
doesn't surprise me that the group	172				
wants to 'get something done',	173				

because of the nature of the people	174				
in the group. If we take on the	175				
bookstore, that's okay, but we should	176				
#-METALEARN \$-TQL BOUND					
do it with the understanding that we	177	-#-\$			
want to do it to see what this is	178				
like, to learn from it, not as an	179				
initial foray into managing processes	180				
by ourselves--that is not what we are	181	-#			
here to do. Not part of our charter.	182	-\$			
#-CUSTOMER #-NEEDS #-DEFINE					
Major point is 'what do our customers	183	-#			
need?' It would be far easier to do	184				
the bookstore, but we need that data	185				
base.	186	-#			-@
#-THEORY					
Faculty member 3: (Response to AQMB	188	-#			
Leader) Our structure doesn't allow	189				
\$-THEORY \$-THEORY					
us to do either management or PAT.	190	-#-\$			
The group is too large and too	191				
#-THEORY					
uncommitted. There is no real sense	192	-#-\$			
of this group as a body of people.	193	-#	-%		
#-X PERSPECTV \$-REWARD SYS					
Student member 1: (also in response) We	195	-#-\$			
can't do it well. Haven't got the	196				
reward system in the right place.	197				
Should have the same reward system in	198				
the AQMB or we get mediocre results	199				
in the end.	200	-	-\$	-*	
\$-GRP FOCUS					
Faculty member 1: (response to Student	202	-	-\$		
ember 1) I don't understand what you	203				
aid at all. Pick something so we	204				
Can go vertical for a bit.	205	-#-\$			
#-SOF \$-REFLEXIVE					
+: Faculty member 1 mentions again	207	-#-\$			
wanting to take a look at the SOF	208				
question 12 issue.	209	-#			
#-PROBLEM #-SCHOOL #-SYSTEM #-THEORY					
Faculty member 1: Pieces of the system	211	-#			
are obviously broke and the bookstore	212				
is part of this.	213	-#-\$			

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#-PROBLEM      #-CUSTOMER      #-STUDENT      $-STRUCTURE
%-REFLECTION *-THEORY
Military member 1: I think we've broken 215  -#-$-%-*
@-THEORY
    down here. I still say the students 216  | | | -*-@
    are a product, not a customer.      217  -# | | -@
#-PROBLEM ID *-PROBLEM ID *-THEORY
    Picking small potatoes. We don't    218  -# | | -*
    have the right people to tackle the 219  -# | | |
#-PROBLEM ID #-ACADEMICS
    bookstore. We are down in the mud    220  -#-$ | -*
    with these issues. Don't see how    221  | | |
    these things will have any impact on 222  | | |
$-CUSTOMER      $-THEORY
    academics. I think our customers are 223  -#-$ |
    the people that get our products.    224  -$ |
                                         |

#-X PERSPECTV $-ENERGY(-)
Faculty member 1: (response Military    226  -#-$ |
member 1) Well, don't be pissed at      227  | | |
us! (Stated as joking).                 228  |-$-%-
                                         |

$-PROBLEM      $-THEORY      %-X PERSPECTV %-ENERGY(-)
Military member 1: What I see here are 230  |-$-%-
the same things that I saw in the      231  | | |
ESC.                                    232  -#-$ |
                                         |

*--+ PERSPECTV
Faculty member 1: So tell us what to    234  | -*
do, instead of chastising us.           235  -% |
                                         |

#-SURVEY      #-EMPOWERMNT
Military member 1: We should find out    237  -# |
what the students and faculty think".    238  | |
(e.g., survey) We shouldn't be afraid    239  | |
of exercising our authority.             240  -# |
                                         |

#-REINVENT'N
AQMB Facilitator 1: Might be using the 242  -# |
'reinventing Government' also.          243  -# -*

#-PROBLEM      #-STRUCTURE      #-THEORY      $-X PRSPECTV %-X
PRSPECTV
Student member 1: We are heading for    245  -#-$-%-
cynicism--we aren't structured right.  246  -# | |
                                         | |

#-ENERGY(-)
Military member 1: Well, no one is      248  -# | |

```

ramming this down your throat.	249	-#	- 3	
#-X PERSPECTV				
AQMB Leader: Look, this can't be the	251	-#		
most important thing in your life.	252	- \$		
The above exchange exhibits turbulence around a similar set of attractors from previous meetings. In this meeting the significant discourse attractors may be identified as adequacy of group structure, Student Opinion Forms as a key dynamical variable, PAT formation as group learning activity, reward system dynamics, students as customer or product?, AQMB as a "broken system," and bookstore PAT formation to satisfy group model of learning and action.				
Faculty member 3: (response to AQMB	254			
\$-COMMITMENT \$-ENERGY \$-THEORY				
Leader) I don't agree with that. Other	255	- \$		
groups are energized to move forward	256			
with commitment, and we don't have	257			
that here in this group.	258	-# - \$		
#-COMMITMENT #-THEORY @-X PERSPECTV				
Student member 1: Notice that no one	260	-#	-@	
from the ESC is here.	261	-#		
#-REFLEXIVE				
AQMB Leader: We've only made one	263	-#		
\$-PROBLEM				
decision in the group. We're running	264	- \$		
%-CONSENSUS *-ESC *-THEORY *-THEORY				
away from decisions. If we could	265	- \$ - % - *		
agree on what it is we want from the	266	- %		
ESC, then maybe we would go and get	267			
it.	268	-#	- * - @	
#-PROBLEM #-THEORY				
Faculty member 1: (speaking directly to	270	-#		
Military member 1), the time delay is	271			
\$-METALEARN %-CONSENSUS				
driving us wild. We should go ahead	272	- \$ - %		
and get some PAT experience with the	273			
bookstore question.	274	-# - \$		

Military member 1: I'm for it.	276		
#-ENERGY			
Faculty member 1: Lets take a vote and	278	-#	
get something done.	279	-#	-%
+: Discussion now moves to AQMB	281		
Facilitator 1, who suggests using the	282		
charter from the Procurement QMB for	283		
the credit card PAT as a framework	284		
for the Bookstore PAT.	285		
#-CONSENSUS \$-ENERGY(+) %-+ PERSPCTV			
Faculty member 1: Lets make a motion	287	-#-\$-%	
and vote.	288	-\$	
Military member 1: Second.	290		-%
\$-X PERSPCTV %-X PERSPCTV *-ENERGY(-) *-THEORY			
AQMB Leader: We're supposed to going	292	-\$-%-*	
for consensus here--which is not	293		
about votes and seconds. This is	294		
different from voting.	295	-# -*	
#-ENERGY(+)			
Faculty member 1: Okay, is there any	297	-#	
dissent on this issue?	298	-#	
+: None noted	300	-\$	
#-ENERGY(+)			
Faculty member 1: So, let's decide that	302	-#	
we move towards doing this PAT team	303		
now.	304	-# -%	
#-CONSENSUS #-ENERGY(+) #-THEORY \$--+ PERSPCTV			
Faculty member 2: (stands up and faces	306	-#-\$	
the group) I want to propose one	307		
change to the way we do things here.	308		
That is change us from a consensus	309		
organization to one in which we	310		
decide to act based on a majority	311		
vote.	312	-#	
Faculty member 1: that is something	314		
different.	315	-\$	
#-STRUCTURE %-PROBLEM ID %-THEORY			
Student member 1: Problem is our number	317	-# -%	

\$-ESC	\$-THEORY			
is too big. Need to go back to the		318		-\$-%
ESC and tell them to cut us down.		319		-\$
\$-CONSENSUS	\$-THEORY			
Number of people in a group that can		320		-\$
reach a consensus is probably a lot		321		
smaller than the size of this group.		322		
We can't get consensus in a group		323		
this big.		324	-#	-\$
#-STRUCTURE	#-CONSENSUS	#-ONTOGENY	\$-X	PERSPCTV %-THEORY
AQMB Leader: We haven't actually spent			326	-#-\$-%
much time together so we don't really			327	
understand yet how we work together.			328	-%
Majority rule doesn't include the			329	
minority view--you lose people this			330	
way.			331	-#
#-X PERSPCTV %-PROBLEM ID				
Faculty member 1: We seem to spend a			333	-# -%
lot of time agreeing with each other,			334	
with out getting down the road.			335	-\$-%
Military member 1: (shakes head) I			337	
don't agree.			338	-#
#-ONTOGENY	\$-X PERSPCTV	%-X PERSPCTV		
Faculty member 1: Can we have a process			340	-#-\$-%
by which we can call a question, but			341	
those opposed can get their air time?			342	-#
#-THEORY				
Student member 1: Calling for votes is			344	-#
not what Deming is about.			345	-#-\$
#-ONTOGENY				
Faculty member 3: Maybe we can			347	-#
compromise on this. I propose that			348	
we follow a voting procedure.			349	
Acknowledge it isn't the best way to			350	
do this and maybe we should agree to			351	
do it for a while and revisit it			352	
later. Can't manage the academic			353	
process until we have some trust in			354	
this group.			355	-# -%

APPENDIX 2
ETHNOGRAPH NUMBERED AND CODED EPISODE II

The following transcript portion was made of an AQMB meeting on 11/19/93 and provides an example of the product of transcription and coding. After transcription, the data was formatted and coded using Ethnograph, becoming data for discourse and dialogue analysis.

```
#-ENERGY(+)  
+: Meeting began with AQMB Leader and          2  -#  
  AQMB Facilitator 1 comparing notes           3  |  
  about who would or would not be at           4  |  
  the meeting. This is done in a               5  |  
  humorous tone, with AQMB Leader             6  |  
  giving details into the set of               7  |  
  circumstances concerning one of the          8  |  
  faculty members.                             9  -#  
  
+: Military member 1 explained that            11  
  Military member 2 would not be               12  
  present because of a retirement              13  
  ceremony.                                    14  
AQMB Leader: (to Military member 1) But       16  
  you're not going.                           17  
!-ENERGY(-)  
Military member 1: well, I'm here.            19  !  
+: obvious this is where Military             21  
  member 1 would rather not be.               22  
  
+: Before the meeting was brought to          24  
  order, Military faculty member began        25  
  to make fun of my recording and             26  
  writing in my journal.                       27  
  
#-ENERGY(-)  #-X PERSPECTV #-GRP FOCUS  
Military faculty member: Shelley,             29  -#  
  that's not true; is anyone checking        30  |  
  these notes?                               31  |  
+: Group laughs but it isn't clear that      33  |  
  Military faculty member is joking.         34  |  
Military faculty member: We gotta start      36  |  
  proofing this stuff.                       37  -#  
  
#-ENERGY(-)  
+: AQMB Facilitator 1 hands out the          39  -#
```

Bookstore PAT charter, and begins	40	
reading it to the rest of the board.	41	
While reading aloud the rest of the	42	
members seem slightly bored. AQMB	43	
Facilitator 1 indicates with body	44	
language and inflection also being	45	
somewhat bored and seems to just want	46	
to get the reading done. There is no	47	
immediate discussion to the charter	48	
\$-TIME \$-X PERSPECTV		
read by AQMB Facilitator 1. AQMB	49	-#-\$
Facilitator 1 then points to the flip	50	
chart on which membership of the PAT	51	
has been listed. AQMB Facilitator 1	52	
then begins to go over the time-line	53	
for the PAT, noting an interim report	54	
to the QMB is due Jan 94. Military	55	
member 1 chuckles at this. AQMB	56	-\$
Facilitator 1 continues to read	57	
through the schedule.	58	
#-AXIOLOGIC #-ONTOGENY #-METALEARN #-REFLEXIVE \$-THEORY		
Military faculty member: Does the	60	-#-\$
bookstore have a vision statement?	61	
+: Laughter elicited by this question	63	
from all participants.	64	
AQMB Leader: Does NPS have a Vision	66	
statement?	67	-#
+: Sarcasm in answer to Military	69	
faculty member. Although a final	70	
vision statement was approved by the	71	
ESC in their previous meeting, this	72	
is unknown to anyone in the AQMB. As	73	
indicated by the sarcasm in this	74	
comment and the reaction of the AQMB	75	
members, a theory of ESC inability to	76	
get things done is still in place.	77	-\$
AQMB Leader: Reactions?	79	
#-PAT		
+: Military faculty member wants to	81	-#
consider what services the bookstore	82	
should be doing, independent of the	83	
military resale system (e.g., go out	84	
and look at B Dalton bookstore).	85	-#

#-REFLECTION #-+PERSPCTVE

+: AQMB Leader explains to Military	87	-#	
faculty member history behind the PAT	88		
charter. Military faculty member was	89		
present for some of the initial	90		
meetings (Nov 5/15/93) which he	91		
characterizes:	92		
Military faculty member: yes, the	94		
discussions on this were really good.	95	-#	

#-PAT %-X PERSPCTV

Military member 1: As part of the	97	-#	-%
purpose statement--things brought up	98		
before, were things like customer	99		
base, whether everyone should be able	100		

\$-THEORY *-PAT

to use it. Thing that I wanted to	101	-	\$	-*
dwelt on I thought was the process	102			
that people were going to have to	103			
pay, the time to get the book in	104			
after ordering, and we have so many	105			
lists that everyone gets; people are	106			
to be reimbursed for anything over 90	107			
dollars. The PAT can look at all	108	-	\$	
these things if they want, but they	109			
don't have to--it's written very	110			
general.	111	-#		-*

*-X PERSPCTV @-MODESTRONG

Military faculty member: I was	113		-*	-@
concerned about that--that's one of	114			
the two things I wanted to make sure	115			
were looked at, and when I read the	116			
charter....under what part of it (the	117			

#-THEORY

charter) would they do that? It	118	-#			
looks to me like this is looking at	119				
the bookstore as an exchange entity	120				
that sells things. The policy that	121				
the departments have to pay for	122				
anything over 90 dollars is an 03 or	123				
school policy, independent of	124				

\$-PAT

anything the exchange does, so maybe	125	-#	-	\$			
we need to make this focus on the	126						
process of providing books and book	127						
type things and not just focus on the	128						
bookstore. Maybe the alternative is	129						

that we want the PAT team to	130	
investigate B Dalton.	131	-\$-% -@
#-X PERSPECTV		
Military member 1: That's why its	133	-#
written vague to allow the PAT team	134	
to search out all the different areas	135	
and not be limited or structured to	136	
answering particular questions.	137	-*
Military faculty member: (To)Military	139	
member 1, I must be slow--I don't see	140	
that in it (the charter). I see it	141	
(charter) limiting it to the	142	
bookstore.	143	-#
#-PAT		
Military faculty member: Maybe we	145	-#
should say "evaluate the procurement	146	
and sale of textbooks and academic	147	
materials for NPS users" and leave	148	
out the bookstore.	149	-#
#-X PERSPECTV		
Military member 1: But then we would be	151	-#
looking at many more processes.	152	
\$-X PERSPECTV		
Military faculty member: I think the	154	- \$
PAT should look at the 90 dollar	155	
thing..they should address this.	156	
There are two issues from the	157	
academic side-the 90 dollar limit	158	
and....	159	-#
#-ENERGY(-)		
+: Interrupted by Military member 1	161	-#
%-THEORY *-X PERSPECTV		
Military member 1: The reason it is	163	-% -*
there is because of.....	164	
+: Military member 1 goes into analysis	166	
of the funding that relates to this,	167	
which goes on for some time without	168	
interruption.	169	-# - \$ - %
\$-X PERSPECTV		
+: Military faculty member takes issue	171	- \$
with the explanation given by	172	

#-THEORY

Military member 1. Theory advocated	173	-#		
is that some curriculums depend more	174			
on books for teaching than others;	175			
e.g., that engineering disciplines	176			
don't use as many books as National	177			
Security Affairs and Intelligence	178			
curriculums.	179	-#		-*

#-OBSERVER

AQMB Leader: Maybe Shelley can help on	181	-#		
this from his notes, as to what it	182			
was the group went through in the	183			
last meeting.	184			
+: I pointed out that I had given the	186			
minutes to AQMB Facilitator 1 (I did	187			
not want to read from my journal or	188			
field notes).	189	-#		

#-REFLECTION

AQMB Leader: (To Military faculty	191	-#		
member)But you are right, originally	192			
we decided to look at the entire	193			
bookstore, but before the end of the	194			
meeting it was pointed out that the	195			
entire bookstore is not related to	196			
the business of academics, so maybe	197			
we should tell the PAT team to look	198			
specifically at those processes in	199			
the bookstore that are related to	200			
materials and so on in academics. The	201			
group then agreed to let AQMB	202			
Facilitator 1 and Military member 1	203			
create the charter.	204	-#-\$		

#-REFLECTION %-X PERSPECTV

Military faculty member: What happened	206	-#	-3	
was really prior to that when we	207			
split the group into two	208			
parts--faculty and students	209			
processes, and Faculty member 2 and I	210			
talked about the 90 dollar thing, in	211			
addition to whether or not books in	212			
the school's bookstore are	213			
competitively priced with a bookstore	214			
outside. Really half of our concern	215			
\$-PAT				
was that 90 dollar limit. But If	216	-\$		

that is too broad for a (bookstore)	217			
PAT, then create another PAT. If you	218			
aren't going to look at this, then	219			
what are you going to look at?	220	-#	-	\$
#-TQL BOUND \$-ONTOGENY				
AQMB Leader: This is part of what TQL	222	-#	-	\$
deals with, we could fix that 90	223			
dollar policy, document the process	224			
of and finish the sentence. That is	225			
what TQL does. We weren't clear	226	-#		
about what the process was that we	227			
were going to charter the PAT (to	228			
do). So, do we fix places	229			
(bookstore), or the process? So, is	230			
it everything they do, or part of it?	231	-	\$	-
+: AQMB Leader is holding the attention	233			
of the group in this discourse event	234			
and reiterates a possible sequence of	235			
events that leads to the 90 dollar	236			
charge....Military member 1	237			
interrupts:	238			
#-ENERGY(-)				
Military member 1: The way it really	240	-#		
was.	241	-#		
#-ENERGY(-)				
Military faculty member: Alright, what	243	-#		
do we do? (low energy in group). We	244			
need to change the charter of the PAT	245			
team, or keep it the way it is?	246	-#		
#-PAT \$-THEORY \$-X PERSPECTV %-REFLEXIVE				
Military member 1: We probably need	248	-#	-	\$
another PAT team--we were looking for	249			
a quick success, that we probably	250			
would not get if we tried to take on	251			-
the entire process of selecting texts	252			
through processes a through d etc and	253			
getting them in student's hands.	254	-#		
#-ENERGY(+) #-THEORY #-MODESTRONG %-+ PERSPECTV @-X				
PERSPECTV				
Military faculty member: (Jumps in) the	256	-#		-
three things the PAT would stumble on	257			
is, when you order things, they	258			
aren't there, and there is no	259			
tracking of why they aren't there,	260			

and two, the 90 dollar limit does not	261				
encourage or maybe it blocks	262				
academics here, and three, is there a	263				
more competitive way that the	264				
bookstore could do business? Example	265				
I gave (reiterates his experience	266				
with going to an outside bookstore	267				
and finding the same book cheaper).	268	-#-\$			
+: Military member 1 chimes in with	270				
similar experience and reiterates the	271				
bookstore process for putting books	272				
on the shelves.	273		-%		
#-GRP BOUND					
Military faculty member: Our role here	275	-#			
is to improve things and it sure	276				
seems like that is a process that	277				
%-THEORY					
could be improved. Maybe at the end	278	-#	-%		
the PAT team will say that it can't	279				
\$-X PERSPECTV					
(be improved). (To Military member	280	-\$			
#-TIME #-PAT *--+ PERSPECTV					
1) Military member 1, my concern is	281	-#			-*
that you see how much time the QMB	282				
spent looking at our charter--I don't	283				
want the PAT to get bogged down doing	284				
the same thing. So lets make it a	285	-#			
process instead of a place like AQMB	286				
Leader said.	287	-\$-%			
#-THEORY					
Military member 1: If we want a quick	289	-#			
success we have to limit it.	290	-#		-*	
#-THEORY					
AQMB Leader: If you start to look at	292	-#			
the 90 dollar limit then start to	293				
involve the mezzanine, and all of the	294				
politics that went with that..	295	-#		-@	
+: General laughter by the group at	297				
this. Anything having to do with The	298				
"mezzanine" represents the Provost	299				
and Superintendent level of decision	300				
making and politics which seems	301				
confused and erratic to those at the	302				
QMB level, although Military member 1	303				
is part of that level and a	304				

participant in that bureaucracy.	305		
#-ONTOGENY §--+ PERSPCTV			
AQMB Leader: (continues) There is a	307	-#	-§
(service)policy that students get	308		
reimbursed for books.	309	-#	
#--+ PERSPCTV			
Military faculty member: Can we get in	311	-#	
trouble for that--for not enforcing a	312		
(service)policy?	313		
AQMB Leader: There is a difference	315		
there versus lets look at how books	316		
get purchased and sold --what happens	317		
inside the bookstore and their	318		
interaction with their customers.	319	-#	
#--+ PERSPCTV			
Military member 1: Reimbursement is	321	-#	
supposed to be 150 dollars per	322		
quarter per student.	323		-§
\$-ENERGY(+) \$-THEORY			
Military faculty member: That's a	325		-\$
million a year! We should command the	326		
market place--we're bigger than a lot	327		
of bookstores in the city!	328	-#	-\$
#-ENERGY(+)			
AQMB Leader: When I got here I offered	330	-#	
to run the bookstore for 5 years--I	331		
know I could make a profit and make	332		
enough to retire on!	333		
+: General laughter at this remark.	335	-#	
#-THEORY #-PAT			
AQMB Leader: But that is what we	337	-#	
organized the PAT team for--not to	338		
look at the 90 dollar problem, but to	339		
look at the process that gets them	340		
(books)to students, and how to	341		
improve this.	342	-#	
#-REFLEXIVE			
AQMB Facilitator 1: So what I'm hearing	344	-#	
now is.....	345		
+: AQMB Facilitator 1 rewords the PAT	347		

charter to include a look at the	348		
process of ordering books and	349		
\$-PROCESS			
academic materials). This is now a	350	-\$	
discussion about particular words	351		
that reflect the previous discourse.	352		
There are several points of view	353		
about words that place boundaries	354		
around what is or isn't academic	355		
materials sold by the bookstore.	356	-\$	
 #-MEMBERS \$-358			
+: Points out that two of the names on	358	-\$	
the prospective PAT list are NSA	359		
members.	360	-\$	
 #-X PERSPECTV			
+: AQMB Leader brings up a "set" of	362	-\$	
possible members vice names.	363	-\$	
 +: Military faculty member points out	365		
that the people not on the list are	366		
supply department staff, or faculty	367		
who actually order books.	368	-\$	
 #-ENERGY(+) #-THEORY #-PROCESS \$-+ PERSPECTV			
+: Military faculty member now goes	370	-\$	
into long discussion about the	371		
ordering process, and who can or not	372		
pay for books. There is considerable	373		
joking in the group about this	374		
process. Theories are given (as	375		
assumptions) that it is a very slow	376		
and inefficient process, which is	377		
generally agreed on by all members of	378		
the group.	379	-\$	
 #-+ PERSPECTV			
AQMB Leader: So you are suggesting that	381	-\$	
we need a supply person on the PAT?	382	-\$	
 \$-+ PERSPECTV			
H: Or a research person that does lots	384	-\$	
of book orders.	385	-\$	
 #-MEMBERS *-X PERSPECTV			
AQMB Leader: My suggestion would be a	387	-\$	-\$
couple of faculty members from	388		
different departments. They may say	389		
in order to map this process, we need	390		

to understand it; we can go talk to	391			
the supply person who does the	392			
ordering. Textbook salesmen show up	393			
here every quarter, that's how books	394			
really get ordered. In other	395			
departments faculty are getting books	396			
on their research accounts then	397			
deciding later to get them for their	398			
class. Maybe we need someone to deal	399			
with the sales people...point is that	400			
it (the process of ordering books) is	401			
%-THEORY				
different for every department. My	402			-%
sense is that we don't have enough	403			
variation in this list (proposed	404			
membership of Bookstore PAT). I	405			
would like to see someone from the	406			
engineering side (included).	407	-#	-\$	-%
#-THEORY \$-+ PERSPCTV %-X PERSPCTV				
Military faculty member: I went through	409	-#	-\$	-%
an engineering program here;	410			
(it)wasn't book intensive--had lots	411			
of handouts. We need someone from a	412			
book intensive curriculum. Someone	413			
from Electrical Engineering isn't	414			
going to be helpful.	415	-#		-*
Military member 1: Yeah they are--they	417			
have harder time finding books they	418			
can use.	419	-\$		
AQMB Leader: But that's not a bookstore	421			
problem.	422		-%	

APPENDIX 3
ETHNOGRAPH NUMBERED AND CODED EPISODE III

Ethnograph coded transcript of ESC meeting 11/23/93.

+: Present- Dean of Instruction, Dean	2	
of CIS, HRMS QMB Link, TQL	3	
Coordinator, Dean of Research (AQMB	4	
Link), Dean of Faculty, Provost, Dean	5	
of Students, Director Military	6	
Operations.	7	
+: Handouts; ESC agenda, "Status of TQL	9	
activities" (19 Nov 93) and a flyer	10	
for executive Training from the	11	
Pacific Institute	12	
#-ENERGY (-)		
Superintendent Assistant: (comes in and	14	-#
drops notebook on the table) Well, we	15	
might as well get ready without him	16	
(referring to the Superintendent).	17	-#
+: Some discussion about changes to	19	
minutes in last meeting. TQL	20	
Coordinator also mentions that the	21	
ESC's retreat is still scheduled for	22	
9 Dec 93. TQL Coordinator had	23	
previously invited me to attend.	24	
#-TRAINING		
TQL Coordinator: Notes on 10 Dec that	26	-#
the Senge television transmission of	27	
"Understanding Learning Organization"	28	
will be offered. Reports to the group	29	
that the "Team Leader" Course is "off	30	
and running."	31	-#
#-REINVENT'N \$-XPERSPECTV		
TQL Coordinator: How many (ESC	33	-#-\$
participants) have submitted "silly	34	
rules?"	35	
+: 3 people raise their hands.	37	-#
#-AXIOLOGIC #-THEORY		
Provost: (jokes) Those statistics are	39	-#
right on target. (That is, only about	40	
1/3 ever respond to questionnaires,	41	
etc. Is a comment also about	42	
participation by members of the	43	
organization).	44	-#-\$
#-ENERGY (+) #-AXIOLOGIC #-MODELSTRON		
+: QMB reports are given, first by the	46	-#

HRMS QMB (Human resources Management System). There is some joking about the acronym.	47			
	48			
	49			
Provost: (jokes) Harem?	51			
+: Provost comment elicits group chuckling except from (female)QMB reporter (linking pin--HRMS QMB Link) who does not look amused.	53			
	54			
	55			
	56	-#		
+: HRMS Linking pin reports that the QMB will be interviewing customers and focus groups by the first of the year.	58			
	59			
	60			
	61			
#-AQMB \$-THEORY				
Dean of Research (AQMB Link): (Gives his report on the status of the AQMB). The AQMB is having its problems. (He cites the composition of the QMB, the impatience of the members, and that this) "is a pretty large group to get anything done."	63	-#-\$		
	64			
	65			
	66			
	67			
	68			
	69	- \$		
\$-PAT *-XPERSPECTV				
(Tells the ESC that the AQMB is chartering a (School)Bookstore PAT, that a charter will be drafted and customer needs defined).	70	- \$	- *	
	71			
	72			
	73	- \$		
\$-THEORY				
Dean of Research (AQMB Link): You can expect a change in membership of The AQMB, primarily due to a lack of commitment on the part of some of the members.	76	- \$		
	77			
	78			
	79			
	80	- \$		
+: Dean of Research (AQMB Link) is referring to a belief that the list of customers for the AQMB is too large. The board doesn't have The expertise to deal with things like dealing with the design of a tool to look at customer needs.	82			
	83			
	84			
	85			
	86			
	87			
	88	-#		
#-PAT #-THEORY \$-XPERSPECTV %-ENERGY (-)				
Provost: I'd like to go back to the bookstore PAT. Seems to me that this is nearly the same thing that we did	90	-#-\$-%		
	91			
	92			

with the library. Couldn't we combine	93				
this with what we are doing at the	94				
library?	95	-#			-*
+: The group ignores this question.	97				
#-THEORY					
TQL Coordinator: (Disagrees with the	99	-#			
Provost) They have a different focus.	100	-#-\$			
+: Energy in this context is negative.	102		-%		
#-REINVENT'N					
Dean of Faculty: Maybe we should look	104	-#			
at external bookstores in this time	105				
of reinvention?	106	-#			
#-MODELSTRON					
Provost: Create a consortium of	108	-#			
bookstores for the Bay area?	109				
+: This gets a lot of head nods and	111				
smiles. Doesn't seem that this is a	112				
serious comment.	113	-#			
Dean of Students: (Regarding the	115				
Quality of Life 'QOL' QMB, as the	116				
Linking Pin) We're identifying	117				
customers, products and services, and	118				
getting ready to go talk to	119				
customers.	120				
#-TRAINING *-XPERSPCTV					
+: TQL Coordinator then begins a	122	-#			-*
discussion concerning whether to	123				
bring Pacific Institute onboard for	124				
an executive training session.	125				
!-GRP BOUND					
Provost: Is it just for us?	127	!			
\$-+PERSPCTV					
Superintendent: We should try to do	129	-\$			
this where we aren't going to be	130				
interrupted. Is the focus on the	131				
school?	132				
%-+PERSPCTV					
TQL Coordinator: Yes.	134	-\$-%			

Dean of Instruction: (To the TQL	136			
Coordinator)What are the products?	137		-%	
\$-ENERGY (-)				
+: TQL Coordinator reads from the	139		-\$	
Pacific Institute brochure. Dean of	140			
Research (AQMB Link) is going to	141			
sleep, Dean of Instruction is rolling	142			
his eyes back into his	143			
head--obviously doesn't agree with	144			
what he is hearing.	145		-\$	
\$-ENERGY (-) \$-THEORY %-AXIOLOGIC				
Provost: Don't we have some important	147		-\$-%	
visitors that day?	148		-%-*	
+: (School) always has visitors-Likely	150			
that this comment is value judgement	151			
about training usefulness compared to	152			
rather mundane duties e.g. taking	153			
care of visitors	154		-\$	
\$-XPERSPECTV %--+PERSPECTV *--+PERSPECTV				
Provost: Should we include people we	156		-\$-%-*	
would like to develop into leaders	157			
for the school? Instead of this	158			
group? (the ESC). We should reach	159			
deeper into the organization.	160		-\$	
Dean of Research (AQMB Link): Have the	162			
department chairs sit in on it.	163		-%	
Dean of Faculty: Bring some who don't	165			
normally talk to each other.	166			-*
\$-THEORY @-XPERSPECTV				
Dean of Instruction: I'm playing	168		-\$	-@
devils' advocate--what is it we'll	169			
%-AXIOLOGIC				
get out of this? I've heard a lot of	170		-%	
jargon (nodding towards the	171			
brochure), which makes the hair stand	172			
up on my neck.	173		-\$-%	
Dean of Faculty: (To Dean of	175			
Instruction) Define what it is we	176			
need to be effective, and let this	177			
group help us to do that.	178			-@
\$-THEORY *-XPERSPECTV				

Superintendent: We need to go	180		-\$	-*
horizontal and vertical. We need	181			
time to review where we are. In	182			
doing strategic planning it would be	183			
helpful to have others besides this	184			
inner sanctum attend. Is this The	185		-\$	
same group that did The Naval	186			
Academy?	187			
QL Coordinator: Yes.	189			
\$-THEORY \$-AXIOLOGIC %-MODELSTRON %-XPERSPCTV				
TQL Coordinator: (with intensity) This	191		-\$-%	
is trying to get at the very core of	192			
who we are. Without it, 'we don't	193			
got it' (meaning TQL). What I'm	194			
hearing is that it's good, but that	195			
we need to have a cross section of	196			
people. Myself and a few people	197			
should sit down and make out a list.	198		-\$	-*
\$-MODELSTRON *--PERSPCTV				
Provost: (To TQL Coordinator) And The	200		-\$	-*
500 dollars per person comes out of	201			
everyone's budget? Is it worth 500	202			
dollars?	203		-\$-%	
Dean of Faculty: (Interrupts) And	205			
follow-up, is that included in The	206			
cost? What the real cost is, is time	207			
away from what they (attendees)	208			
normally do. I would agree with four	209			
levels of people doing this at the	210			
same time.	211			-*
\$-ENERGY (-)				
Superintendent: Scheduled when?	213		-\$	
+: No answer or response to	215			
Superintendent's question.	216		-\$	
\$-ENERGY (-) \$-XPERSPCTV %-THEORY %-ACTION				
TQL Coordinator: So what I'm hearing is	218		-\$-%	
to go for it and sit down and figure	219			
out who should be there.	220		-%	
+: Dean of Instruction looks at me at	222			
this point and shakes his head "no."	223			
Nothing is said and this is not	224			
observed by any of the other board	225			

members.	226	-#-\$
+: Leader of the Procurement QMB is	228	
acknowledged and briefs the ESC about	229	
improvement of(School) procurement	230	
processes.	231	
 #-QMB \$-XPERSPECTV		
Dean of Instruction: (commenting on the	233	-#-\$
briefing) I think we should form	234	
another QMB about improving	235	
accounting procedures.	236	-#
 #-ENERGY (-)		
TQL Coordinator: It is a systems	238	-#
integration issue. That issue alone	239	
is not its own QMB(negative energy).	240	-#-\$
 #-ENERGY (-)		
+: At this point there is a long	242	-#
discussion concerning a purchase of	243	
accounting software. This results in	244	
a very circular discussion with	245	
resultant negative energy.	246	-#
 +: As energy from last discussion	248	
dwindles, TQL Coordinator asks Dean	249	
of Faculty to give a description of	250	
what is happening with 'Strategic	251	
Issues'.	252	
 #-AXIOLOGIC		
+: Dean of Faculty reports that his	254	-#
monthly meetings with departments	255	
have not been very fruitful and that	256	
maybe he will have some information	257	
by the end of January.	258	-#
 #-PROBLEM #-REFLEXIVE		
Dean of Faculty: We are in the process	260	-#
of going through issues--many cross	261	
threads with issues that keep coming	262	
up, such as JPME	263	-#
 +: Dean of Faculty is referring to	265	
Joint Professional Military	266	
Education, which (School) is already	267	
partially involved in. As part of	268	
'relevance and uniqueness' (School)is	269	
considering becoming primary	270	

provider. At least part of this	271		
motivation is positioning in	272		
preparation for an expected round of	273		
Base Relocation and Closure Committee	274		
inspections set to begin soon.	275		
#-ACTION #-THEORY			
Dean of Faculty: (Continues) We need	277	-#	
some sort of "value matrix." We	278		
haven't sorted out how to show the	279		
issues, or the cross-threads.	280	-#	
+: This is the end of the discussion	282		
on this topic, no crossing of	283		
perspectives.	284		
#-ACTION \$-+PERSPECTV \$-THEORY			
TQL Coordinator: We need to decide what	286	-#-\$	
we want to get out of the 9th	287		
(referring to The ESC retreat planned	288		
for 9 Dec).	289	-#	
#-MODELSTRON			
Superintendent: What is the agenda?	291	-#-\$	
\$-+PERSPECTV			
TQL Coordinator: (Responding to	293	-\$	
Superintendent) what are the	294		
expectations? Do we need to have a	295		
polished plan?	296	-#	
#-MODELSTRON #-ACTION #-THEORY %-+PERSPECTV			
Provost: Well, you won't get a	298	-# -\$	
polished plan. We have a vision,	299		
mission etc. We need to get to	300		
strategic issues and plans next,	301		
right? (asking the question to TQL	302		
Coordinator and The group) We need to	303		
look at short term and long term	304		
things (seems confused at this	305		
point). Find things that we can go to	306		
work on.	307	-#-\$	
Dean of Research (AQMB Link):	309		
Prioritize strategic goals and	310		
actions (is restating what the	311		
Provost said).	312		
\$-THEORY *-+PERSPECTV			

Superintendent: So, we should get a	314	-\$		-*	
definite list out of this, based on	315				
what other committees do before hand.	316				
#-REINVENT'N					
Is there some connection between 'low	317	-#			
hanging fruit' and 'silly rules'?	318	-#-\$-%			
+: Superintendent uses this metaphor a	320				
good deal--picking of low hanging	321				
fruit, or do the easy things first.	322				
#-THEORY					
Dean of Students: I see it as, in terms	324	-#			
of reinventing government, how to get	325				
there.	326	-#		-*	
+: Dean of Students is referring to	328				
(School) having been designated one	329				
of several 'reinventing government	330				
labs' as briefed by Vice President	331				
Gore.	332				
#-PROBLEM #-THEORY ^-+PERSPCTV ^-+PERSPCTV					
^-MODELSTRON					
TQL Coordinator: I'm concerned with	334	-#			-^
getting the word out, that is,	335				
getting the commitment of the ESC to	336				
vision, mission, and so forth, out	337				
there (to the rest of the school and	338				
the rest of The TQL effort). Is this	339				
a good outcome to have?	340	-#			
#-ENERGY (-)					
+: Heads nod yes, but there is no	342	-#			
obvious general enthusiasm for these	343				
statements.	344	-#			
#-+PERSPCTV *-THEORY					
Dean of Faculty: But we need something	346	-#		-*	
to communicate.	347				
\$-XPERSPCTV %-THEORY					
Superintendent: How about a feature	349		-\$	-%	-*
article in the Quarterdeck (school	350				
newspaper) about TQL?	351			-%	
%-THEORY *-+PERSPCTV @-XPERSPCTV					
TQL Coordinator: (jumps to this	353			-%	-*-@
different perspective) Get into the	354				
concept about organization	355				

measurement?	356	-#-\$-%			
Dean of Research (AQMB Link): What do	358				
you mean?	359				
#-THEORY					
TQL Coordinator: An indication that the	361	-#			
organization is moving towards its	362				
vision, such as health of the	363				
organization, internal organization	364				
and so on.	365	-#	-*		
!-ENERGY (-)					
+: There is no energy for this.	367	!			
#-THEORY					
Provost: Are there measurables	369	-#			
associated with these things? I'm not	370				
sure that there are.	371	-#	-@		
#-ENERGY (-)					
+: Discussion dead ends concerning this	373	-#			
point.	374	-#			
#-GRP BOUND \$-+PERSPCTV					
Superintendent: (attempting to energize	376	-#-\$			
discourse) So, 9 Dec is this group.	377				
We don't need to expand it (referring	378				
to maintaining retreat attendance to	379				
just ESC members).	380	-#			
#-XPERSPCTV					
Dean of Faculty: Bring associate deans?	382	-#-\$			
Dean of Students: (in response) Bring	384				
(Dean of Instruction) and (another	385				
senior faculty) in (are members of	386				
The Strategic Issues group). Don't	387				
need to bring in the associate deans.	388	-#			
#-REWARD SYS					
Provost: (returning to a previous	390	-#			
\$-+PERSPCTV %-THEORY					
discussion) A comment about getting	391	-\$-%			
the word out. Part of this is	392				
letting everyone know who is getting	393				
The work done.	394	-#	-%	-^	
+: It is not clear who Provost is	396				
speaking about--could be ESC members	397				

for example, or could be members of	398		
the TQL organization at different	399		
levels who deserve recognition.	400		
#-+PERSPCTV %-THEORY			
Dean of Faculty: There are probably	402	-#	-%
some things we can't communicate,	403		
such as faculty or BRAC.	404		-\$-%
%-+PERSPCTV			
Provost: I mean. Like gold stars for	406		-%
Sunday school attendance that I got	407		
when I was a youngster--a gold star	408		
for TQL work (joking, but also	409		
serious).	410	-#	
Dean of Faculty: The cookie award.	412		
Dean of CIS: Or free dinner at the	413		
club.	414		-%
Director Military Operations: Anything	416		
to make money! (responsible for	417		
operating the club). (seriously) How	418		
far down do we take this	419		
#-ACTION \$-XPERSPCTV			
communication business? Maybe we	420	-#	-\$
should have an SGL (Superintendent's	421		
Guest Lecture-lecture series students	422		
and faculty are required to attend)	423		
as a 'health of the organization'	424		
brief?	425	-#	
Superintendent: Maybe, but then maybe	427		
there are plenty of other avenues.	428		
#-+PERSPCTV			
Provost: Need to address the idea of	430	-#	
marketing the organization to	431		
everyone else.	432		-\$
\$-XPERSPCTV			
Director Military Operations: I mean,	434		-\$
get the word down to the bulk of mid	435		
level people for whom this place is	436		
their livelihood--they don't get	437		
this. The Quarterdeck is limited.	438		
The line managers presentation of TQL	439		
was fantastic, but that was because	440		
of personal feedback vice impersonal	441		
Quarterdeck.	442	-#	

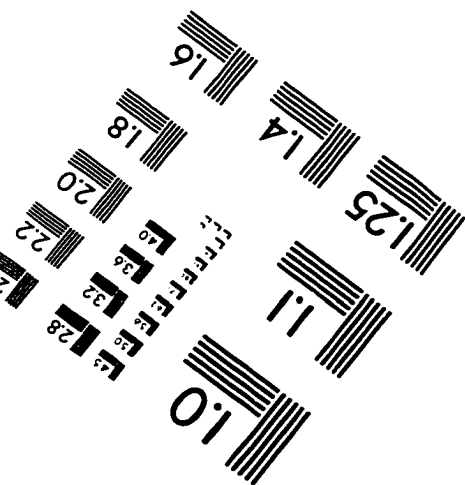
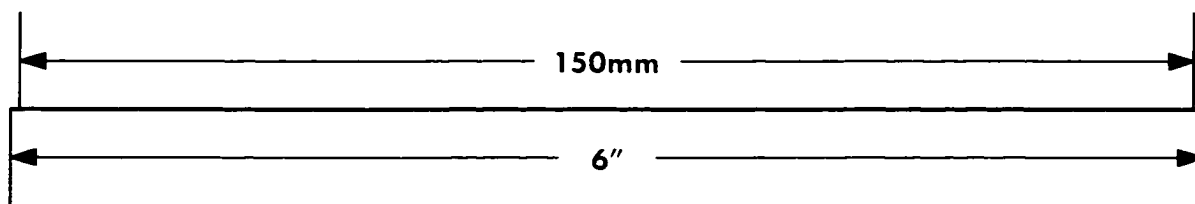
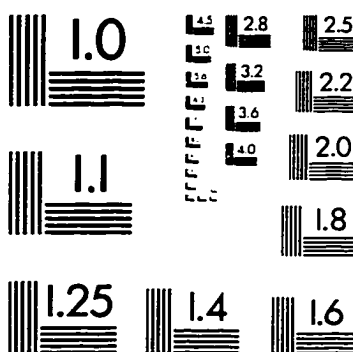
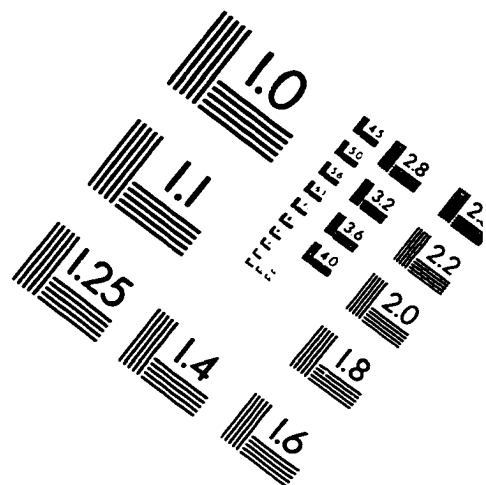
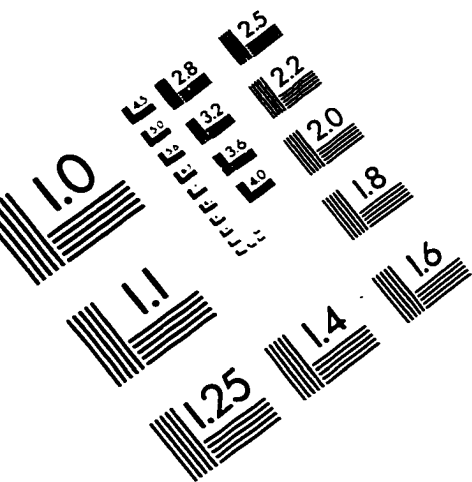
#-XPERSPECTV	%-THEORY				
Provost: Is this better done in		444	-#		-%
separate communities? That is,		445			
horizontal versus vertical		446			
distribution. Low attendance is		447			
usually a problem.		448		-\$	-%
\$-XPERSPECTV					
+: TQL Coordinator and HRMS QMB Link		450		-\$	
respond that they believe there is		451			
significant interest in a 'health of		452			
(School)' brief.		453	-#		
#-XPERSPECTV					
Dean of Students: The students really		455	-#		
don't care.		456		-\$	
\$-+PERSPECTV					
Dean of Faculty: I think we should get		458		-\$	
a copy of what happened at the		459			
GERG/GERB out.		460	-#		
#-ENERGY (-)					
+: Above is referring to providing		462	-#		
feedback of the "Graduate Education		463			
Requirements Board" to the student		464			
body.		465			
Provost: Have one or two Christmas		467			
meetings with students-- 'here's your		468			
cookies', prior to Christmas.		469		-\$	
+: Provost remark in keeping with		471			
personal discourse theme regarding		472			
reward systems.		473			
+: No response to Provost comment. TQL		475	-#		
Coordinator hands out an article		476			
("Superior Command"), also an article		477			
about graduate education in the		478			
service.		479			
!-ONTOGENY	!-COSTS	%-+PERSPECTV			
TQL Coordinator: On to cost-cutting.		481	!		-%
#-REINVENT'N	\$-ENERGY (-)				
Provost: Maybe that is OBE (overtaken		483	-#	-\$	
by events) with the reinventing		484			
government group, or include this		485			

with them?	486	-#		
+: No comment by the group, no energy	488			
in this suggestion at all.	489	-\$		
Provost: (continues to pursue the	491			
topic, speaking to Director Military	492			
Operations, who is in charge of	493			
#-COSTS #-THEORY \$-ENERGY (-)				
Public works dept) I'd like to add to	494	-#-\$		
your list (of cost-cutting measures)	495			
the co-production of energy. It	496			
requires MILCON (military	497			
construction) to do it, but it could	498			
have tremendous payback potential.	499			
(and further) Typical PWC (Public	500			
Works Center) task requires 3 people	501			
to do a job (a criticism of the	502			
people in PWC).	503	-#		-\$
#-ENERGY (-)				
+: no response.	505	-#-\$		
TQL Coordinator: "Well, let's wrap it	507			
up. You guys need to take a walk--go	508			
smell the roses.	509	-#		

VITA

Shelley P. Gallup was born in Kansas City, Missouri in 1952. The son of a career Navy pilot, he traveled with his family to duty stations around the U.S., graduating from high school in Georgia in 1970. He attended Kansas University on a Navy scholarship, and after graduating in 1974 with a B.A. (Microbiology), was commissioned in the U.S. Navy. In his naval career, he served aboard numerous ships and attended the Naval Postgraduate School, graduating in 1986 with an M.S. degree in Systems Technology, Space Systems Operations. Shortly thereafter, he was again sent to graduate school at the U.S. Navy War college where he took a double M.A. program in National Security Affairs and International Relations, graduating in 1990. After a final tour of duty as an administrator of academic programs at the Naval Postgraduate School, he retired from the Navy, married and began an education consulting firm in Sasebo, Japan where he now resides with his wife, Cassandra C. Gallup Bridge.

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