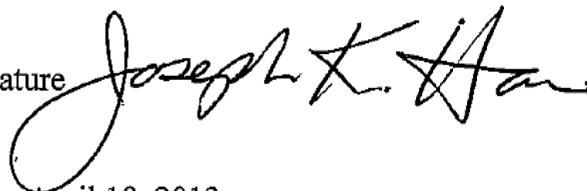


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Signature

A handwritten signature in black ink, appearing to read "Joseph K. Han". The signature is written in a cursive style with a large, looping initial "J".

Date: April 18, 2013

Pursuit of excellence: A phenomenological study
of Winning the Award for Excellence
Issued by APPA – Leadership in Educational Facilities

By
Joseph Han

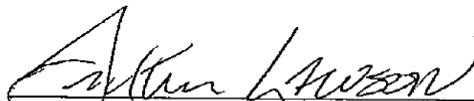
Submitted in partial fulfillment
of the requirements for the degree of
Doctor of Education in Educational Leadership,
Higher Education Administration
in the College of Education
Idaho State University
Spring 2013

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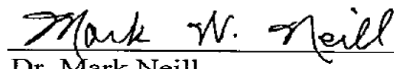
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To the Graduate Faculty:

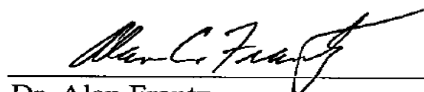
The members of the committee appointed to examine the dissertation of
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RE: Your application dated regarding study number 3690: Pursuit of Excellence: A Phenomenological study of the winners of the Award for Excellence issued by APPA -Leadership in Educational Facilities

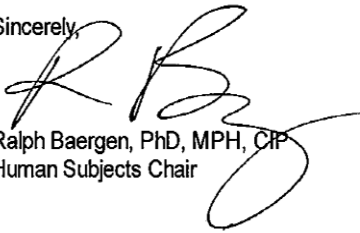
Dear Mr. Han:

I have reviewed your application for revision of the study listed above. The requested revision involves changes to the protocol by revising the second interview.

You are granted permission to conduct your study as revised effective immediately. Notify the HSC of any adverse events. Serious, unexpected adverse events must be reported in writing within 10 business days.

Please note that any further changes to the study must be promptly reported and approved. Contact Patricia Hunter (208-282-2179; fax 208-282-4529; email: humsbj@isu.edu) if you have any questions or require further information.

Sincerely,



Ralph Baergen, PhD, MPH, CIP
Human Subjects Chair

DEDICATION

This conversion point of my formal education is dedicated to my parents who gave up the life they knew so that their children would have a chance at a better life. This project is also dedicated to my wife Rhonda and our four children Joshua, Rebecca, Rachel and Sarah for their gracious support on this very long journey.

ACKNOWLEDGMENTS

With grateful heart, I extend my profound gratitude to Dr. Jonathan Lawson for guidance in and out of the classroom. Our conversations over the past four years have reinforced my academic, professional, and personal confidence. Your philosophy of leadership, pedagogic style, and overall modeling of wisdom will continue to positively impact the lives of departments I lead, colleagues I interact with, and students I teach. I extend a special thanks to all the professors of the Educational Leadership program with extra special thanks to Dr. Alan Frantz and Dr. Jonathan Lawson for the many hours of stimulating conversations in and out of the classroom.

I also express my gratitude to the members of my committee for their support and time. I am grateful to Dr. Jonathan Lawson, Dr. Alan Frantz, Dr. Mark Neill, Dr. Karen Appleby and Dr. John Gribas for their guidance on this dissertation. Your thoughtful comments and advice, attention to detail, and willingness to take the time to work with me have helped me to grow as an academic, university administrator, and aspiring scholar. A hearty thanks is owed to Dr. Lawson and Dr. Neill. Your eyes for details have improved the quality of this dissertation in immeasurable ways.

And finally, deepest gratitude is reserved for my wife and children for their sacrifice of quality time, support by doing extra duties, and display of a great attitude during this long and difficult journey.

TABLE OF CONTENTS

List of Tables.....	x
CHAPTER 1: INTRODUCTION.....	3
National Context of Excellence.....	3
Award for Excellence.....	5
Statement of Purpose.....	5
Definitions, Assumptions, Limitations, Delimitations.....	6
Significance of the Study	9
Summary.....	12
CHAPTER 2: LITERATURE REVIEW.....	14
Driving Forces for Excellence.....	15
Summary of Driving Forces for Excellence.....	33
Change Theories and Models.....	35
Summary of change models.....	42
Leadership Theories and Models.....	44
Summary of Leadership.....	51
Summary of Literature Review.....	51
CHAPTER 3: METHODOLOGY.....	53
Participant and Sampling.....	54
Instrumentation.....	56
Procedure	58

Design and Analysis.....	60
CHAPTER 4: RESULTS.....	63
Significant Themes.....	64
Textural Descriptions.....	82
Structural Description.....	93
Composite Description.....	96
CHAPTER 5: DISCUSSION, CONCLUSION, AND RECOMMENDATIONS.....	99
Driving Force.....	100
Change Model.....	102
Leadership Theories & Approaches.....	109
Culture of Excellence.....	112
Conclusion.....	114
Recommendations for Further Research.....	115
References.....	117
Appendix A.....	129
Appendix B.....	131
Appendix C.....	133
Appendix D.....	135
Appendix E.....	138
Appendix F.....	144
Appendix G.....	146

List of Tables

Table 1: Reasons for Pursuing the Award for Excellence.....	65
Table 2: Pre-AFE Culture.....	66
Table 3: Leadership Practices and Styles.....	69
Table 4: Culture of Excellence	75
Table 5: Outcomes of the AFE	79
Table 6: Kotter’s Eight-step Change Model.....	104

Abstract

The purpose of this study was to identify the key factors and conditions needed to initiate and sustain a culture of excellence on university campuses. The Award for Excellence is a Baldrige-based peer-review program for excellence in educational facilities management awarded by APPA – Leadership in Educational Facilities (APPA) (formally known as the Association for Physical Plant Administrators). Utilizing the Award for Excellence as the criterion for inclusion in the study, the researcher attempted to gain insights related to the process and mechanisms associated with pursuing excellence in an organization and generate a deeper understanding of the process associated with a pursuit of excellence, namely the forces that drive this pursuit and the mechanisms by which excellence is achieved.

Using a phenomenological research design, the researcher conducted structured interviews with fifteen participants from seven different universities who have achieved the Award for Excellence in order to identify the driving forces that led campus personnel to pursue the Award for Excellence in facilities management; examine the change model or theory most relevant for the pursuit of an excellence award; identify the leadership theory or approach utilized on that campus during the pursuit of the Excellence Award; and discover the factors that supported or impeded the continuation of a culture of excellence.

CHAPTER 1

Introduction

National Context of Excellence

In a speech to a Japanese management team, Edward Deming (1950) introduced the model of Total Quality Management, which became a quality improvement drive that propelled the Japanese to the position as the leading manufacturer of quality products (Gabor, 1990). In the 1960s and 70s, products once considered as cheap and of low quality from Japan, Korea, China, and other developing countries gained a growing reputation for quality and value. In markets once dominated by the U.S., across several industry sectors, U.S. companies began to feel the economic pressure to provide better quality services and products. In the 1980's, U.S. industry found itself less competitive in the global market. The term Total Quality Management filled the boardrooms and became common in workplace conversations (Imai, 1986). *In Search of Excellence*, Peters and Waterman (1988) introduced and defined the word excellence as applied to the business world. Americans were ready to embrace ideas of excellence. A new industry of “management gurus and cultural consultants invading the workplace with formulas for total quality control, going from good to great, breaking all the rules, getting things done, busting e-myths and moving cheese” emerged (Daley, 2010, ¶1.).

For the United States government, excellence is defined by the Baldrige Criteria for Performance Excellence Framework. Initiated as an Act of Congress, the Malcolm

Baldrige National Quality Improvement Act of 1987 is administered by the U.S. Department of Commerce (National Institute of Standards and Technology, 2011). This national award is the only formal performance excellence award presented by the President of the United States. As of 2010, ninety-one organizations had received the award (National Institute of Standards and Technology, 2011). The Baldrige Criteria includes seven measurement points: (1) *Leadership*, (2) *Strategic Planning*, (3) *Customer Focus*, (4) *Measurement, Analysis, and Knowledge Management*, (5) *Workforce Focus*, (6) *Operations Focus*, and (7) *Results*. Each criterion has detailed questions to guide the application. Interestingly, at its inception, criteria #1 through #6 were used to establish the context of the organization, and only criteria #7: *Results*, was used by the reviewers to score the applying organizations.

In the late 20th century and early 21st century, the facilities management industry received increased attention at both the governmental (South Carolina Commission on Higher Education, 2007) and institutional levels (Arizona State University, 2007; Oregon University System, 2007; Simmons & Duce, 2005). Earnest Boyer (1987) was the first to clearly establish a link between the quality of an institution's facilities and its relationship to the quality of education, recruitment, and retention. In a follow-up study, Cain and Reynolds (2006a) further established a direct link between the perception of a quality educational experience and the condition of an institution's facilities. Moreover, Cain and Reynolds (2006b) reaffirmed the link between the quality of facilities and the recruitment and retention of students. According to Doug Christensen, an APPA Fellow and legend in the educational facilities management industry, the quality of facilities depends on many

factors, but all the factors can be boiled down to adequacy in funding and a culture of excellence (personal communication, October 19, 2011).

Award for Excellence

In 1988, APPA became an early adopter of the quality improvement movement. In 2007, Association of Physical Plant Administrators (APPA) was renamed APPA-Leadership in Educational Facilities (APPA) to better reflect the increased scope of the organization (APPA, 2011a) (See Appendix A for a brief history of APPA). For four years, from 1988 to 1991, these awards were issued based on various campus types, resulting in a total of forty awards being bestowed. From 1992 to 2004, a span of 13 years, only twenty-six awards were issued based the required Baldrige standards, regardless of institutional type. Another significant shift took place in 2005 when the emphasis shifted from Baldrige's outcomes-based criteria, an award based on *Results* only (criterion #7), to one in which all criteria were factored into the award. During the following seven years from 2005 to 2011, thirteen awards were issued.

Statement of Purpose

The purpose of this study was to identify, based on the perceptions of Award for Excellence winners, the key factors and conditions needed on a higher education campus, to initiate and sustain a culture of excellence in facilities management.

Research Questions

The study addressed the following four research questions:

1. What forces, if any, were identified by participants as driving forces that led the campus to pursue the Award for Excellence in facilities management?

2. What change model or theory was most relevant for the pursuit of the Award for Excellence?
3. Which leadership theory and approach were utilized in the campuses that pursued the Award for Excellence?
4. What were the major factors that have supported or undermined the continuation of a culture of excellence?

Definitions, Assumptions, Limitations, Delimitations

Definitions.

A *force* is defined as strength or energy exerted or brought to bear that cause motion or change (Merriam-Webster, 2011). For the purpose of this study, a force can be internal and external to the academy. Internal forces can include, but are not limited to concerns or interest of the academy (Burke & Associates, 2004). External forces can refer to the pressures on higher education from changes in technology, global dynamics, and economy (Friedman, 2005), the pace of change itself (Conner, 2006), or the needs of the market and political interests (Burke & Associates, 2004).

The *Award for Excellence* is comprised of the seven Baldrige criteria as interpreted by APPA (2011b).

A *culture of excellence* is defined as the institution's ability to initiate the journey to seek the Award for Excellence and sustain the standards defined in the Award for Excellence. Also relevant to a culture of excellence is the practice of self-evaluation and actively seeking feedback (Kuh, Kinzie, Schuh, & Whitt, 2005).

Excellence, for the purpose of this study, is defined as having met the seven Baldrige criteria.

Facilities Management is a term used to represent the facilities care industry within higher education and can including the architect's office, engineers, planners, and facilities services. Depending on the campus, facilities management can be referred to as physical plant, plant operations, facilities operations, planning department, facilities services, and engineer services.

Key factors and conditions are the ingredients perceived by the study participants as required elements to initiate and sustain the pursuit of the Award for Excellence.

Higher education campus, for the purpose of this study, is a traditional brick and mortar, regionally accredited college or university in the U.S.

Senior Facilities Officer (SFO) is the highest-ranking administrator directly responsible for the buildings and grounds, and capital planning of a college or university. Depending on the scope of responsibility, the SFO can hold the title of director, senior director, executive director, assistant or associate vice president, and vice president.

Senior facilities leaders are generally made up of directors, assistant director, or managers who are direct reports to the SFO. Collectively, the group of direct reports is referred to as the senior facilities leadership team.

Relevant assumptions, limitations, and delimitations. The degree to which validity and reliability of this study is threatened is affected by the assumptions, limitations, and delimitations made by the researcher. These threats to the study are identified below and ways to add rigor are addressed in the Methodology section.

Assumptions. Assumptions are a normal part of qualitative research. Patton (2002) assumes that the perspective of the participants' experience with the phenomenon of interest was meaningful. It is further assumed that the participants selected provided

open and honest responses to the questions asked of them which accurately reflected their perceptions and experiences with the Award for Excellence program. Ary, Jacob, and Sorensen (2010) agree that it is reasonable and acceptable to assume that (a) the participants will provide honest and accurate responses to questions; and (b) the participants will understand the questions and are capable of providing information in an understandable manner. This study further assumes that (a) the corporate knowledge regarding the Award for Excellence is retained in the organization; (b) the people directly involved in the Award for Excellence journey are available and willing to engage in the study; and (c) the responses of the interviewees will be objective and not overly predisposed to subjectivity. Finally, it is assumed that since the phenomenological design requires the researcher to serve as the instrument for conducting and analyzing the study, the researcher will disclose and lay aside personal biases related to first-hand knowledge or understandings of a phenomenon. The method of bracketing the researcher's bias is described in the Methodology section of this paper.

Limitations. Limitations are factors that the researcher cannot control (Bogdan & Biklen, 2007). Six limitations were identified in this project.

1. Participant availability may adversely impact the scheduled interviews. The researcher will not be able to control the participant/sample pool, or the campus activities that may interfere with the planned interviews. Factors such as vacations, workload, and personal circumstances may affect availability or willingness to participate.
2. The participants are self-selected; therefore, the data collected may be subject to personal bias/agenda and social perception bias (Creswell, 2007).

3. Some of the participating campuses will have received the award nearly seven years ago; therefore, the accuracy of the memory may be imprecise.
4. While efforts will be made to interview knowledgeable participants, knowledge and awareness of the topic will vary.
5. Loss of corporate knowledge from attrition of key or knowledgeable personnel is possible.
6. Availability or willingness to participate may affect the validity and reliability of the data.

Delimitations. Delimitations are restrictions placed on study by the researcher (Bogdan & Biklen, 2007). Four delimitations were employed in this study:

1. Sample size was delimited to campuses that have won the Award for Excellence.
2. Sample size was delimited to campuses within the past seven years because: (a) standards of the award changed seven years ago from results-oriented to process-orientated, and (b) higher education has changed and social, economic, and other related factors are significantly different.
3. Interviews were limited to three key knowledgeable campus personnel.
4. While efforts were made, access to all willing participants was not always possible. In such situations, the next available participant was interviewed.

Significance of the Study

Identifying the key factors and conditions necessary to initiate and sustain a culture of excellence has many benefits. First, this study will contribute knowledge and understanding to the field of leadership and change. Second, this study will benefit

colleges and universities in assessing their culture of excellence. Third, a tool can be developed to support the educational facilities management industry.

First, this study will contribute to the knowledge base and enhance the level of understanding in the field of leadership and change. The topic of leadership and change management has drawn notable interest in the past four decades, and the accompanying proliferation of information in both research and self-help books on leadership and change is extensive. A brief scan of leadership material can categorize the relevant findings into leader-focused theories, follower-leader interaction-based theories, and follower and context-based theories (Northouse, 2007). However, little has been written in terms of evaluating the *quality of programs* with respect to which leadership approach was most effective. This study examined leadership style(s) to determine which styles were effective at initiating and sustaining efforts to create a culture of excellence.

Currently available change approaches can be categorized in three groups. The *behavioral-based* approach to change espouses that deeply anchored behaviors affect how change must be orchestrated for effectiveness. The *social-based approach* to change emphasizes the importance of the people factor as willing participants of the change process. The *mixed-based* approach views change as one requiring a blended approach. This study will contribute to a greater understanding of how an institution changes by identifying which model(s) is utilized for initiating and sustaining a culture of excellence.

Second, this study will benefit colleges and universities in assessing their culture of excellence. American institutions of higher education are expected to provide quality, affordable, accessible, and accountable education (U.S. Department of Education, 2006). It can no longer be assumed that the stakeholders, both internal and external, see value in

higher education without evidence of good stewardship (Zemsky, 2009). Understanding the factors or conditions that contribute to developing a culture of excellence will support the credibility of well-run institutions. Since stakeholder perceptions positively contribute to or negatively impact the culture of excellence, the identified factors can be used by the campus community (faculty, faculty senate, academic leaders, and administrators) to initiate a dialogue for developing shared meaning (Fullan, 2007) and for building a shared vision (Kouzes & Posner, 2003; Senge, 1994) towards a culture of excellence. The resulting strategies or working plans, when developed collaboratively (Ferren & Stanton, 2004), can serve to empower broad-based action (Kotter, 1996) as well as lead to a highly cohesive campus climate that better supports the students, faculty, staff, administrators, and alumni.

Third, the APPA- Leadership in Educational Facilities organization is the premier industry leader supporting the educational facilities management professional. The Award for Excellence is an impressive recognition for campuses that have attained it. The educational facilities management industry can use the study results to provide institutions a quick way to assess their readiness for embarking on the journey to a culture of excellence.

However, of the approximately five thousand higher educational institutions in the U.S., only seventy-nine have attained this award since the program's inception in 1988. In the past seven years, only thirteen campuses have received this award. The question emerges as to why more campuses are not involved in the Award for Excellence program. One possibility is that the campus personnel may not be aware of the program. Another is that the campus personnel do not know where to begin and what the journey

will entail. Kevin Hanson, a senior facilities officer, declared, “I would like to go for the award, but I am not sure what it takes” (personal communication November 15, 2010).

Some campuses begin with a Facilities Management Evaluation Program (FMEP). According to APPA representative Holly Judd (personal communication, Jan 5, 2012), this \$24,000 – \$45,000 pre-award assessment program provides detailed feedback on the campus’ current level of excellence. APPA Fellow and Consultant Jack Hug, suggested that campus personnel fine-tune their strategy to pursue the Award for Excellence by using the FMEP, but not many take that route because of the associated costs (personal communication, January 21, 2010).

This study may provide an additional assessment tool for campus personnel to quickly self-assess their culture in terms of the key factors and conditions needed for initiating and sustaining the culture of excellence. Based on this information, campus personnel can identify their own readiness level and identify the unique challenges they face. Then, working with and utilizing APPA resources, the campus facilities professionals can tailor a development plan to overcome those challenges.

Summary

In this section, the Award for Excellence was briefly reviewed in terms of its history, its purpose, and its benefits to the higher education sector. Although the Award for Excellence program is considered valuable, not many campuses take advantage of the program. This study explored the experiences of the Award for Excellence recipients to identify emergent themes including (a) the key factors and conditions shared among the campuses that initiate the pursuit of the Award for Excellence; (b) the key factors and conditions shared among the campuses that sustain the pursuit of the Award for

Excellence; and (c) the major factors that have supported or limited the continuation of an excellence culture. This study follows a phenomenological research approach to explore the experiences shared by the winners the Award for Excellence in Facilities Management, the highest institutional level award issued by APPA- Leadership in Educational Facilities.

CHAPTER 2

Literature Review

The purpose of the study was to identify, based on the perceptions of Award for Excellence (AFE) winners, the key factors and conditions needed to initiate and sustain a culture of excellence. The pursuit of excellence has been a hallmark of human society since time immemorial. Many have attempted to capture the essence of excellence (Collins, 2002; Peters & Waterman, 1988), apply it (Maxwell, 1993), and inspire others to achieve it (Covey, 2004). This study addressed the following four research questions:

- a) What forces, if any, were identified by participants as driving forces that led the campus to pursue the Award for Excellence in facilities management?
- b) What change model or theory was most relevant for the pursuit of the Award for Excellence?
- c) Which leadership theory and approach were utilized in the campuses that pursued the Award for Excellence?
- d) What were the major factors that have supported or undermined the continuation of a culture of excellence?

In this literature review, the factors and conditions needed to initiate and sustain a culture of excellence are explored in the context of (a) the forces that drive institutions to initiate the pursuit of excellence in higher education, (b) the theories and models that

guide the change process, and (c) the leadership needed to initiate and sustain the pursuit of excellence in terms of theories and models of leadership.

Driving Forces for Excellence in Higher Education

The point that change is inevitable is rarely questioned and most current literature accepts that premise as fact. The key driver for change is the need to improve performance, whether the improvement is in product, process, or services. As simple as this may sound, the topic of performance in higher education is riddled with complexities. Performance is discussed in terms of:

1. Performance expectation
2. Performance measurement
3. Performance improvement

Performance expectation. The participating campuses must pursue and achieve the AFE in context of higher education culture. Burke and Associates (2004) identified higher education culture as having three major stakeholder groups: the *state's priority*, the *market force*, and the *academic concern*. The three groups make up the Accountability Triangle of higher education. Each stakeholder group is discussed in greater detail as a potential influential force in the pursuit of the AFE.

State's priority. The state's priority is made of politicians and governmental agencies that have performance expectations (U.S. Department of Education, 2006) of the higher education institutions. First, this group represents the public interests and has the *de jure* authority to affect higher education through standards, statute, and funding. With \$78 billion in federal funding earmarked for student grants from the American Recovery and Reinvestment Act of 2009 (Recovery.gov, 2012), the state's priority wield a

considerable higher education performance expectation. As long as accreditation is a requirement for federal funding, higher education institutions will be subjected to increased scrutiny by the U.S. Department of Education and its many watchdogs, lobbyists, and legislators. As presented to Congress in 2002, decoupling accreditation and federal student aid funding is a possible solution from this quagmire (Leef & Burris, 2002). The decoupling concept is supported by many higher education watchdog organizations, but more dialogue is needed to determine the benefits as well as hidden dangers.

Second, lobbyists and lawmakers use public disenchantment with higher education to demand changes in the performance expectations (Dickeson, 2006; Schray 2006, Zemsky, 2009). On the other hand, those in the education sector vehemently argue the point that the educational system and its current strategies and methods are in the best interest of the public (Boyer, 1987; National Forum on Higher Education for the Public Good, 2003), and some go further to add for global democracy (Giroux, 2009 in Olson & Presley, 2009).

The political sector is a source of continuing challenges for higher education as a result of constantly shifting priorities and the complex web of forces that drive this sector (Zemsky, 2009). Businesses, unions, organizations, and other special interest groups constantly bombard the political sector with their pet projects, each insisting on their needs being met. Lobbyists, representing a range of constituencies, labor to influence the decision of the political sector on behalf of their clients. Whether good, bad, or indifferent, O'Brien (2009) beseeches higher education leaders to act to defend its need for autonomy. Zemsky points out, solutions to the issues of quality, affordability,

accessibility, and accountability must come from within the academy. O'Brien agrees stating that it is better for higher education to take proactive measures to voluntarily meet the changing expectation, rather than risk exposure to federal governance.

The state's priority has the potential to significantly leverage the culture of higher education. Given the state's prominence in funding and public image, is it reasonable to suggest that the state's priority is a factor in compelling institutions to pursue an AFE. If this is so, identification of the specific factors that are important in influencing campuses to pursue the AFE is yet to be determined.

Market force. The market force represents the individual interests of those people with the ability to control the product or service based on how their needs are best met. The market sector is comprised of the people, organizations, and industries that need the skilled personnel and/or services offered by higher education. Simply stated, market force demands that academe perform to meet the needs of the market or face the loss of market share. For example, technical colleges and professional programs often partner with the market sector to provide tangible skills and services. These measurable skills meet the practical and immediate needs of the market sector. Consequently, the support for such programs is more easily secured.

Effective partnership with this sector requires gaining the trust and respect of students, alumni, parents, and businesses by providing the needed education and appropriate experience. Having formed a strong partnership, leveraging this market force further influences the market and the political sectors. There is little debate that the performance expectations related to workforce development of technical skills are driven by the market needs. Hamilton (2007) argues "boards and academic leaders must

respond to changes in society's needs or put their institutions at risk" (p. 36). The technical colleges and workforce development programs within higher education are designed to meet market needs.

Similarly, globalization is a form of market force that is performance based. Influenced by advances in technology, social media, and the conditions that created the "flat world" concept (Friedman, 2005), higher education must respond to two major globalization forces. The first is the international demand for technically and culturally competent people (Chun & Evans, 2009) and the technological advances that allow universities to engage in a global economy (Spring, 2009). The second is the change of delivery systems that affect the curriculum, both with regard to on-line and distance learning approaches and non-traditional brick and mortar institutions (Rao, 2009 in Olson & Presley, 2009). Whether international students participate in programs in America, in person or online, or Americans go abroad, the global need for higher levels of education and the advancements of technology drive globalization of higher education. Universities around the world will continue to attempt to boost their revenue through expansion of the student body. In this way, higher education is responding to Hamilton's (2007) point that as markets change, higher education must adapt.

The market demands that its needs be met or institutions will suffer the loss of patronage. Consequently, it is conceivable that market force is a factor in compelling institutions to pursue an Award for Excellence. However, it is not known which specific market forces are important in influencing campuses to pursue the AFE.

Academic concern. The academic concern represents all of academe, which has a strong position about how education should be delivered. Within the academy, two

groups are typically held responsible for the performance of the institution, the faculty and the administrators. Both groups desire autonomy from the external forces (the state's priority and the market force) to set performance expectations within the academy.

Therefore, the academic concern can be summarized as (a) the academy's right to self-govern – the freedom to decide its future without undue demands from the political and market forces; (b) the academic freedom of the faculty – the freedom to teach, think, and research without bias; and (c) faculty right to shared governance (AAUP, 2001;Thelin, 2004).

The faculty wants maximum freedom in carrying out their duties as propositioned by the concepts of *Lernfreiheit*, the freedom to learn what one wants to learn, *Lehrfreiheit*, the freedom to teach what one wants to teach, (Gaff, Ratcliff, & Associates, 1997), and *Wertfreiheit*, the freedom to research without judgement or bias, which are the foundational principles in higher education and without which, higher education cannot thrive (Frantz, personal communication, 2010). Administrators typically have the same concerns, but often draw a line that is in favor of greater administrative control.

Faculty has historically fought for autonomy, first from external constituencies, and later from forces within the academy (Thelin, 2004). Setting the performance expectation from within the academy has its challenges even if the academy has the right or duty to define performance expectations. Fullan (2007) argues that shared meaning is vital for progress. The challenge within higher education is reflected in the difficulty of developing shared meaning or agreement on what is important. Zemsky (2009) points out that there is not a consensus within the academy regarding performance expectations.

The services provided by the facilities departments must be put into the context of the culture of the academe. Facilities management departments provide facilities that are directly linked to the quality of student experience and academic programs (Cain & Reynolds, 2006a).

Summary of performance expectations. It is clear that the expectation of the key stakeholders exists, though there may be little agreement regarding these expectations. Regardless of the lack of agreement, Burke and Associates (2004) note that the three forces must be in balance; with no one force dominating another.

Performance standards. The facilities management departments play a vital role in the support of the academy (Boyer, 1987; Cain & Reynolds, 2006a). The standards that are established to guide the academy should inform the service organizations that support them (AAUP, 2001). To achieve excellence, the level of performance must be defined and measured according to established standards.

The current system for determining the quality of the delivery of higher education is through the accreditation process. However, there are diverging interpretations on how higher education performance should be determined. For example, Dickeson (2006) advocates for quantifiable data based accountability in a federalized accreditation system to ensure that higher education is delivering what the public is said to demand. Greenberg (2008) promotes a sector-based accreditation system that compares institutions based on likeness of mission and structure. O'Brien (2009) declares that the regional accreditation system of gauging effectiveness of higher education works well and should continue.

According to the Spellings' Commission's Report (U.S. Department of Education, 2006), U.S. colleges and universities experienced a drop in ranking within the

international community. The ranking was partially based on graduation rates and test scores (Dickeson, 2006; Schray, 2006). Pointing to the drop in the United States' international ranking, the Spellings' Commission recommended increasing the federal role in the regional accreditation process. In essence, the report called for developing national standards for performance outcomes, including completion rates, student learning outcomes, and other performance measures that can be compared with other industrialized nation's institutions of higher education. These findings would be required to be made easily accessible to the public (Miller & Malandra, 2006; Schray, 2006).

While it is understandable that the U.S. Department of Education must protect the nearly \$2 billion annual investment in their agency, Brittingham (2008) reports that U.S. Department of Education's efforts have been widely viewed as unacceptable by the higher education community. Caruso (2007) adds that imposing heavier emphasis on test scores and graduation rates was received with immediate pushback on two fronts. On one front, the accreditors and institutional representatives responded with demands of its own (Hartle, 2003) pointing out that the academic community resisted these efforts as being intrusive and stifling innovation (Eaton, Fryshman, Hope, Scanlon, & Crow, 2005), and in extreme cases, have claimed infringement on academic freedom (Eaton, 2010). According to Eaton, (2007), quantitative measures stifle innovations and the autonomy that have made American colleges and universities the great institutions that other nations aspire to emulate.

O'Brien (2009) warns of the dangers of a system dependent on extensive federal standards and high-level government inference. O'Brien argues that a program based on federal program standards will stifle the innovation needed to maintain state of the art

technology and scholarly gains. Similarly, Mori (2009) point outs that the Spellings' Commission recommendations lack the understanding of the social and political framework of higher education institutions in other nations. According to Mori, other countries have a less open higher education system, and in countries like Japan and Germany, only the brightest and most likely to succeed have access to college. Additionally, these students are full-time students, fully supported by the state. Mori suggests that using graduation rates as a measure is simply inappropriate. Finally, O'Brien notes that government involvement will mean an increase in bureaucracy, a well-established impediment to progress.

Eaton (2001) pointed out, "institutions around the world are coming to understand the value of the U.S. regional accreditors' seal of approval, and more and more are approaching them for review" (p. 42). From Eaton's perspective, quality comes from innovation, and innovation flows in an environment that nurtures autonomy and experimentation. O'Brien (2009) supports this position and adds that because the current system of accreditation is mission-based and respects the diversity among institutional missions, qualitative and quantitative understanding of the current needs of higher education is promoted. The resulting program allows institutions to be candid, collegial, and improvement orientated.

Summary of performance standards. Since the responsible agencies have established performance standard that are used to gauge performances of higher education institutions, it is conceivable that these performance standards should have some influence in the manner in which facilities management provides support to the

academic enterprise and therefore play some role in the pursuit of the Award for Excellence.

Improving performance. As previously noted, higher education has a variety of constituencies with differing performance expectations and performance standards. Facilities management departments must initiate and sustain excellence in the midst of differing expectations and standards. To put the performance improvement in the context of higher education, three questions are further explored: can excellence be achieved, sustained, and improved?

William Bowen, President Emeritus of Harvard University and the Andrew W. Mellon Foundation, pronounced that American higher education has achieved excellence. In a speech delivered during the Thomas Jefferson Foundation Distinguished Lecture Series at the University of Virginia, Bowen (2004) declared, “US higher education enjoys an outstanding reputation worldwide for both its scale and its quality” (p. 7). Bowen declared that three factors played a key role in achieving excellence: (a) the amount of money invested in higher education by the U.S. in terms of a percent of the Gross Domestic Product, (b) the variety in the type of universities and the diversity of funding sources for them, and (c) the quality of elementary and secondary education. O’Brien (2009) adds that American higher education is still the envy of the world. The evidence is based on two facts: (a) more international communities are looking to model their higher education systems after the American system, and (b) there are increasing requests from foreign colleges and universities seeking regional accreditation.

Excellence in higher education is sustained by addressing the challenges raised by those internal and external to the institutions. Having declared higher education a success,

Bowen (2004) then warns that higher education faces both internal and external challenges in sustaining excellence. Internal challenges include (1) maintaining higher education's independence and resisting being for sale to the highest bidder, (2) grade inflation, which encourages mediocrity and can lead to a question of credibility of the faculty, and (3) alcohol and socializing, which can compromise student ability to handle academic rigor (Bowen, 2004).

Bowen (2004) notes that external challenges include (1) paying for excellence, especially in public universities; and (2) the level of pre-college preparation that produce poor quality candidates for higher education. Rita Bornstien (as cited in Olson & Presley, 2009) defined the challenges as financing, governance, and technology. James Fisher (as cited in Olson & Presley, 2009) added the quality academic programs, enrollment, and outsourcing as additional external challenges facing the goal of excellence in higher education.

Roy Saigo, president of two universities before retiring, identified the challenges as (1) strategic planning, (2) budget cutting that is transparent and inclusive, (3) fund raising and advancement, (4) facilities planning, (5) building a team, and (6) excellent communication skills (personal communication, March 7, 2011). The Association of Governing Boards (AGB) noted that the key challenges facing higher education were performance based (Schwartz, Skinner, & Bowen, 2009). The U.S. Department of Education (2006) agrees with the need to improve performance, but wants to improve performance by establishing and regulating standards to increase quality, accessibility, affordability, and accountability. The Department of Education propose a federalized accreditation system to replace the existing regional accreditation system in order to (a)

improve quality control through federal standards and quantitative data, (b) create federal standards to ease credit transfer among institutions, (c) improve cost control, and (d) increase transparency and disclosure.

Three topics are explored in addressing the goal of improving excellence in higher education: the federal perspective, the role of continuous improvement, and the concepts of inclusion and collaboration. As an integral part of higher education, facilities management departments may influence and be influenced by the issues that face the whole of higher education institutions.

Federal perspective. In the past decade, the increasing demand for greater accountability in higher education has resulted in the Department of Education escalating the call for accreditation reform in the United States (Dickeson, 2006). Specifically, mounting criticisms of the accreditation system used in the United States climaxed at the 2005 Commission on the Future of Higher Education meeting; also known as the Spellings' Commission. Some persons argued that the regional accreditation system has failed (Dickeson, 2006; Schray, 2006), while others argue that the regional accreditation system is working because it provides a quality education and will continue to meet the changing needs of higher education (O'Brien, 2009). While nationalization (i.e. federalization) of accreditation of higher education in the U.S. failed to gain a foothold (Thelin, 2004), the U.S. Department of Education's efforts to nationalize accreditation processes continues to rage on (O'Brien). Several areas are targeted for improvement by the U.S. Department of Education.

Ease of credit transfer. In the past decade, the U.S. Department of Education was confronted with pressure from for-profit institutions complaining of difficulty gaining

transfer credit acceptance from regionally accredited institutions (Miller & Malandra, 2006). Bollag (2005) confirmed the ongoing debate about credit discrimination by regional accreditors against nationally accredited programs.

Eaton (2010) suggests that accreditation reflects three core values of higher education that are essential to academic quality: institutional autonomy, academic freedom, and peer and professional review. Consequently, institutions are typically free to accept or reject requests for transfer credits. Eaton further argues that what happens to accreditation will likely happen to institutions. So, if the trends continue, the U.S. Department of Education may also demand to run important functions of the institution including dictating curriculum, programs, and other topics generally considered purview of the faculty. Furthermore, Eaton projects that what happens to the institutions will happen to the faculty. Therefore, Eaton argues, higher education institutions must make sure the U.S. Department of Education does not intrude on these matters.

The second response is related, but more specific. According to the ASHE-ERIC Higher Education Report (2001), institutions of higher education have unique characteristics, which vary by institutional type. Research universities, for example, function best when the faculty enjoys significant autonomy. The liberal arts institutions function best with strong shared governance. The community college relies on the power of collective bargaining. Therefore, requiring institutions to accept transfer credits without due considerations of the institutional uniqueness and caliber of program, may be inequitable and tyrannical.

Cost control. The cost control challenge is two pronged. The cost of higher education, Burke and Associates (2004) argued, has outpaced the cost increase of most

private and public sectors, the inflation rate, and student's ability to pay. In response, Fish (2010) points to a recently published book by two economists Robert Archibald and David Feldman, who argue that higher education is not overpriced. The actual price increase has more to do with the student and market driven need for high cost technology, the high cost of research (Fish), and costs associated with complying with government mandates (Archibald & Feldman, 2008; Burke & Associates).

The second cost related challenge finds accreditation commissions accused of being self-serving because they depend on revenues from colleges and universities to be self-sustaining (Neal, 2008). Additionally, the regional accreditation commissions are accused of being ineffective. According to Neal, the accreditation system serves as the gatekeeper to \$78 billion federal dollars, but has not done a good job of ensuring quality in higher education. In response, Brittingham (2008) argues that the regional accreditation system is very cost effective and much cheaper than if federally ran. For example, in 2005, regional commissions accredited 3,000 institutions using 3500 volunteers in a system overseen by 105 full-time staff. Quality Assurance Authority in the United Kingdom, on the other hand, employees 130 people to oversee the quality of only 165 institutions. Brittingham (2008) suggests that if the U.S. adopts a federal system of accreditation, the costs for the U.S. will be comparable to those of United Kingdom.

Increased transparency and disclosure. The Spellings' Commission advocated accountability for funds the taxpayers have entrusted to the U.S. Department of Education and desired quantifiable data that were transparent and readily available. Despite the extensive literature opposing federal mandates as presented by the Spellings' Commission, Kuh and Ewell (2010) point out that nearly 75% of the institutions in the

U.S. have established learning outcomes for all their students. The shift to outcomes based measurement is near completion. According to Eaton (in Eaton, et al., 2005), success in other areas of criticism will take longer since the faculty boils the issue down to academic freedom. Eaton argues, "... increasing governmental oversight of academic quality raises questions about whether higher education is truly self-regulating, potentially impinges on the role of institutional governing board, and has implication for academic freedom" (Eaton, et al., p. 43).

Gaining momentum for two decades, the call for transparency and disclosure was articulated in the Spellings' Commission report in 2005 (Miller & Malandra, 2006). In the report, higher education and the accreditors are accused of secretive reviews and processes that have not disclosed adequate data for peer comparison. These accusations come in light of the recent ethical violation of major public and federal sector organizations, like Enron, Arthur Anderson, and the collapse of the housing market that have added increased scrutiny on autonomous operations (Hartle, 2003). Fryshman (in Eaton et al., 2005) supports the call for more disclosure, but suggests that disclosure is not automatically in the public's best interest. Fryshman argues, first that there is no proof that supports the claim that there is a large-scale public demand for transparency and disclosure. Rather, those demanding information are employees of the U.S. Department of Education and legislators seeking to self-promote. Fryshman clarifies further stating, "The power to decide what must be disclosed can easily become the power to decide what must be done" (in Eaton et al., p. 46).

Another critical problem Fryshman suggests is that disclosure will dampen experimentation and innovation, and that without a comprehensive cost-and-risk

assessment, providing more information will add unnecessary burden. Fryshman confesses that giving in to the disclosure demands may lead to “total accountability, which is a key feature of totalitarian societies and this one way disclosure replaces the benefits of peer accountability” (in Eaton et al., 2005, p. 46).

A review of the literature seems to support the notion that there is room for improving performance in higher education. Additionally, there are indications that all stakeholders recognize the need for public confidence, from students, parents, businesses, and legislators, to garnish the continued support critical to secure America’s role as a leader in higher education. Both the regional accreditation system and the Spellings’ Commission’s proposed changes attempts to address the issue of performance to define and gain confidence in higher education by ensuring accountability, quality, and effective outcome. What is unclear is whether the forces that drive performance improvement will actually lead to campuses to pursue excellence. Some groups are not waiting for mandates from accrediting agencies or the federal government. Some groups have attempted to define and improve performance by creating a culture of continuous improvement, and developing a culture of inclusion and collaboration.

A culture of continuous improvement. *Continuous improvement* is “a time-honored approach to improving effectiveness to learn what high-performing organizations within a given industry do and then to determine which of their practices are replicable in other settings” (Kuh, Kinzie, Schuh, & Whitt, 2005, p. 44). Using this concept, Kuh et al. suggest implementing an intentionally planned annual review of curriculum that is conducted continually and on a regular basis. The Japanese use a phrase *kaizen* to describe the discipline of examining and improving continually (Imai,

1986). Applying the practice of *kaizen* in higher education would mean that the faculty and staff continually examine what is done, how it is done, and why it is done, to improve the teaching, research, and services the university provides.

Whether a college or university engages in internal review depends on the campus culture. The odds are that the campus that has the culture of continuous improvement will more frequently engage in review than those that do not have such a culture. To no one's surprise, Shirvani (2009) warns, "Resistance to change in academe has helped create inflexible, unsustainable organizations..." (p. 1). Contrast that with the twenty colleges and universities that shared one common factor in a recent study, each of the twenty campuses had initiated and sustained an improvement-oriented ethos on campus (Kuh et al., 2005). On these campuses, institutional leaders championed and supported innovations that were consistent with the school's mission and values, which in turn ensured continuous and annual curricular review. The challenge is in creating a culture of continuous improvement.

Lack of funding and resources are often cited as barriers to change. In particular, the (1) heavy work load (Kuh et al., 2005); (2) institution's shift from teaching to research (Kezar & Lester, 2009); (3) faculty's disengagement (Doring, 2002); and (4) faculty's active protest (Kuh et al., 2005) inhibit change. Alstete (1995) identifies another difficulty stating that making substantial and sustainable changes in higher education requires full institutional change. Gaff, Ratcliff, and Associates (1997) agree saying "Curriculum transformation must go in tandem with institutional transformation" (p. 454).

Others claim that operationalizing continuous improvement can be challenging but definitely possible. Smith, Herbert, Robinson, and Watt (2001) describe the Continuous Curriculum Review (CCR) process utilized by University of Queensland. To support the CCR, the university regularly collected comprehensive data to gain snapshot views of the whole curricula. Once analyzed, the data helped the campus to make informed decisions about what to change. Further, change priorities could be supported with empirically defensible data. Lutzker (1995) agrees that continuous improvement is possible when suggesting that “small changes can be effective and that a multitude of such small changes across an entire syllabus or college curriculum can make a significant difference” (p. viii).

Inclusion and collaboration. A collaborative environment exists when the process of striving for mutual understanding is based on dialogue and engagement (Ferren & Stanton, 2004). In the academy, such an environment encourages open dialogue among the faculty (Doring, 2002; Kezar & Lester, 2009) in a free exchange of thoughts without fear of retaliation or retribution (AAUP, 2010). In higher education, this means employing faculty who are viewed as key stakeholders and with the understanding that their commitment is vital for the university to fulfill its mission (Gappa, Austin, & Trice, 2007). Key stakeholder groups are vital to include in any change effort (Ferren & Stanton, 2004; Gaff, Ratcliff, & Associates, 1997; Kuh et al., 2005). For effectiveness, stakeholders must include students, employers, policymakers, faculty, and the general public (Cleary & Raimon, 2009). Joined in a mutually accountable partnership, these key stakeholder groups representing academic concerns, state (political) priorities, and market

forces, must work collaboratively, but never fully submit to any one of the three forces (Burke & Associates, 2004).

The importance of inclusion and collaboration to initiate and sustain significant change is well noted in literature (Ferren & Stanton, 2004; Gappa, Austin, & Trice, 2007). The Association of American Colleges and Universities (AAC&U, 2002) agrees and suggests bringing together the various expectations of students, employers, policymakers, faculty, and the general public. Kuh et al. (2005) also advocate bringing stakeholder groups together, but more specifically, suggest: (1) maintaining a holistic perspective on student development and institutional responsibilities for student success while promoting partnership among senior academics and student affairs officers; (2) putting someone in charge, but make the position collaborative to create synergy at all levels of the organization; (3) getting and keeping the right people who make time to emphasize the institution's central focus on student learning and other values to newcomers and frequently reinforce the same with others; (4) converting challenges into opportunities by reframing through open forums; and (5) cultivating a campus culture that makes space for differences.

The challenge in creating a culture of inclusion and collaboration is one of balancing market priority, political demands, and academic needs. Gaff, Ratcliff, and Associates (1997) favor collaboration among stakeholder groups. Johnson (1999) suggests working with diverse constituencies “to achieve the best balance of needs, desires, appropriate assessment, and instruction” (p. 1). Burke and Associates (2004) agree suggesting that a balance must be struck among the needs of each identified group. AAC&U (2002) also promotes the idea of being market-smart and mission centered by

bringing together the differing stakeholders in higher education. Cleary and Raimon (2009) strongly disagree noting that the ideology of the market poses the single greatest threat to the future of general education in America. Instead, Cleary and Raimon promote challenging “the status quo and questioning the moral legitimacy of certain business practices” (p. 32).

Bardach (2000) notes recommended solutions sometimes present new problems, which need to be solved through further analysis. Therefore, the university must build collaboration by understanding the importance of dialogue (Hill, Soo La, & Lagueux, 2007) and engagement in initiating and sustaining change (Ferren & Stanton, 2004). Ferren and Stanton note that creating a culture of inclusion and collaboration requires an understanding that “redirecting the university is often less about what to do than it is about how to get it done” (p. 31).

Summary of driving forces for excellence. In this section, three key stakeholder groups that fight to define performance expectation were described. These key stakeholder groups include (a) state and federal legislative needs represented by the political agenda and public demands, (b) academic concerns of the institutions and their faculty, and (c) the market demands and needs (Burke & Associates, 2004). Simplicity ends there since the ongoing debate over the *right balance* of key stakeholders’ needs and performance expectations lacks shared meaning. Developing the shared meaning will need more time and continued dialogue (Fullan, 2007).

Performance standards were also explored as potential drivers for excellence. The accepted performance standards for higher education are governed by accrediting agencies. However, as Jackson, Davis, and Jackson (2010) point out, accreditation as a

way of measuring performance, is still in its relatively early days and as accreditation associations continue to evolve, they will continue finding ways to address the challenges posed by its critics. Current issues, such as student needs, transparency, accountability, and student learning will be addressed as the regional accreditors work to support institutions to ensure higher education quality.

The current regional accreditation system has survived for two reasons. One, the system has served the needs of the institutions and to a certain degree, the needs of those it serves. Second and the more salient explanation is that there are no other systems currently acceptable to all stakeholders. It appears that the U.S. Congress agrees having reaffirmed the Higher Education Opportunity Act of 2008 that specifically prevents the U.S. Department of Education from setting evaluation standards for colleges (Zemsky, 2009). Big changes take time, but for now, O'Brien (2009) declares, "accreditation in the United States today is the worst form of higher education quality assurance – except for all the others!" (p. 3). Meanwhile, pressure from the state's priority and market forces will continue to challenge the manner in which higher education is delivered. Finally, the efforts to improve performance were examined as a potential force that drives excellence. For higher education, there is no single clear cut and agreed upon way to improve overall performance. While there are efforts being made by the three key stakeholder groups (state, market, and academy), no clear and broadly accepted strategy or program has been adopted or is being consistently employed. In the following section, the theories and models of change are explored.

Change Theories and Models

Having explored the forces that drive campuses to the pursuit of excellence, an examination of change theories and models that can be used to pursue excellence is explored. Kotter (1996) declares that forces beyond our control are driving the need for major changes in organizations. Some of these forces include technological changes, economic globalization, market maturity in first world countries (Friedman, 2005), and the changes in the socio-political dynamics around the world (Kouzes & Posner, 2003). An organization's ability to successfully orchestrate change is vital to its survival (Conner, 2006), and the focus must be on how to change and not what to change (Ferren & Stanton, 2004). The literature provides a wide array of change theories and models, which can be summarized in three broad categories: behavior-based approach, socially-based approach, and the mixed approach to change.

Behavioral based approach. In 1951, Kurt Lewin introduced the classic behavior based three-step change model (as cited in Robbins & Judge, 2008). The first step in this process was to unfreeze the existing behavior or status quo. The second step was to create movement or momentum in the desired direction. The final step was to refreeze the behavior to anchor the new patterns. For Lewin, the successful change takes place when enough force existed to overcome the resistance. Other change models build on Lewin's foundational work. Three are noted here.

Lippitt, Watson, and Westley introduced their Phases of Change Theory (Robbins, 2003). In this seven-phase model, Lippitt, et al. addressed the fact that information is continually being exchanged by focusing on the role and responsibility of the change agent. Of the seven phases, three involve assessment – diagnosing the problem,

assessing the motivation and capacity for change, and assessing the resources and motivation of the change agent by examining commitment to change, power, and stamina. The next two steps involve planning, developing action plans and strategies for implementation, and clearly defining the roles of the change agents and others involved. The final two steps involve implementation – maintaining the change through communication, feedback, group coordination, and concluding the change process with the change agent gradually withdrawing from the change initiative. Lippitt, Watson, and Wesley highlight the importance for awareness and inclusion of interrelated systems to create the more stable change initiative. Senge (1994), emphasized the importance of systems thinking and agreed, since his concept of interconnectedness of systems was behaviorism based.

Recently, another reframing of Lewin's work was introduced by Flamholtz and Randle (2008). Called the Management Systems' Phases of Change, the process involves four steps: planning, getting started, letting go, and completion. This four-step process is similar to Bruce Tuckman's stages of group development presented in 1965 (Johnson & Johnson, 2006). In this model, Tuckman asserted that groups go through four phases - forming, storming, norming, and performing. These phases are necessary and inevitable in order for the team to grow, learn to deal with challenges, plan work, and solve problems. Later models added the adjourning phase.

The eight-step change model introduced by Kotter (1996) expanded on Lewin's model. Reviewing the previous decade of failed change efforts, Kotter identified eight key errors in change management which he listed as: (1) allowing too much complacency, (2) failing to create a sufficiently powerful guiding coalition, (3)

underestimating the power of vision, (4) under communicating the vision, (5) permitting obstacles to block the new vision, (6) failing to create short-term wins, (7) declaring victory too soon, and (8) neglecting to anchor changes. In the culture of the organization, Kotter asserted that excellent management is not enough and the change effort required great leadership to drive the change. Leveraging lessons learned from failed change efforts, Kotter described the eight steps great leaders need follow – in a recipe-like manner – to avoid the previous ten years of “waste and anguish” (p. 4):

1. Establish a sense of urgency by facing current realities and identifying threats;
2. Create the guiding coalition by assembling an adequate power base that can work well together;
3. Develop a vision and strategy that will direct the change effort;
4. Communicate the change vision – by using every vehicle and model;
5. Empower broad based action – by removing obstacles, changing systems that undermine change, and encourage risk-taking;
6. Generate short-term wins – plan for visible improvements, create the wins, recognize the wins;
7. Consolidate gains and produce more change – use the momentum to make more positive changes; hire, promote people with change vision; and
8. Anchor new approaches in the culture – link improved performance to change efforts, develop regenerative leadership.

Social approach to change. Social Cognitive Theory is based on the idea that individuals learn by direct experiences, human dialogue and interaction, and observation (Robbins, 2003). The key to this theory is self-efficacy and the importance of people

believing that they can perform the behavior required and that it's worth doing. Fullan (2007) also saw the change process as a social event that involved a three-stage process of initiate, implement, and institutionalize. Four factors were important in each stage of change. First, it must be assumed that capacity building is needed. Second, since change is a social process, the approach must be based on relationships and mutual respect. Third, effective change projects must have broad based participation. Fourth, the change must be initiated and implemented based on shared meaning.

Kouzes and Posner (2007) express their agreement that change is a social event. Based on twenty-five years of qualitative research, Kouzes and Posner identified five core practices and ten commitments leaders need to implement to develop extraordinary organizations:

1. *Model the way* – means finding your voice by clarifying your personal values; and setting the example by aligning actions with shared values.
2. *Inspire a shared vision* – involves envisioning the future by imagining exciting and ennobling possibilities; and enlisting other in a common vision by appealing to shared aspirations.
3. *Challenge the process* – requires searching for opportunities by seeking innovative ways to change, grow, and improve; and creating an environment of supportive of experiments and risks taking by constantly generating small wins and learning from mistakes.
4. *Enable others to act* – involves fostering collaboration by promoting cooperative goals and building trust; and strengthening others by sharing power and discretion.

5. *Encourage the heart* – recognize contributions by showing appreciation for individual excellence; and celebrates the values and victories by creating a spirit of community. (2007, p.26)

Kouzes and Posner declared that followers want their leaders to be honest, forward thinking, competent, and inspiring. For Kouzes and Posner, taking on the leadership challenge meant taking personal responsibility to live the five practices and ten commitments.

Nadler's Five Stages of Discontinuous Change also has roots in social construct (Leban & Stone, 2008). In context of the organization as a social system, Nadler contended that the change effort was a social event; therefore, the process must demonstrate congruencies among its components. Diagnosis, the first stage, sets up the change process through assessment and analysis of internal capacity for the change. For example, the surrounding environment including those beyond the organizations boundaries were considered for potential impact. The preparation stage involved extensive planning and valued frequent and consistent communication. The next step implemented the change. Success of the change project was based on congruency among all people and the interrelated functions involved. Therefore, inclusion and buy-in were perceived as critical for building the new strategy for implementation. The final two stages, consolidating and sustaining the change involved the use of monitoring and measurement as assessment tools to refine the change effort. In these steps, the change agenda used the assessed information to leverage successes and minimize failures. The change product was then stabilized and the new process anchored in the organizational culture through policies, reward systems, and cultural behaviors.

The appreciative inquiry model, as presented by Watkins & Mohr (2001) parallels the social cognitive theory. Watkins and Mohr focused on what was working well and built upon it using the 5 –D Model. A stakeholder group meets and the change project starts by defining the process of interaction. The discovery phase began by identifying what was working or going well in the organization. In the dream phase, participants envisioned the possibilities of their preferred future. In the design phase, the plan of action was developed, and in the final stage, the delivery step, the plan was implemented.

Blended approach to change. The mixed approach to change is not a formal school of thought; rather it is an attempt by the researcher to find a home for approaches to change that do not neatly fit into the two previous categories. For example, Will McWhinney is a humanistic physiologist who argued that the change process is a problem solving exercise achievable by blending the leadership styles and the worldview of the followers together within the context of the existing culture (Sharpe, 2009). The basic process involved identifying the criteria for what is right and to find what is wrong. Then, based on the criteria for outcome, problem solvers used one of six basic modes for change, which McWhinney (1992) defined as:

1. Analytic mode – achieves change by imposing data-based policies deemed rational action by management.
2. Participative mode – a more democratic approach, achieves change by developing a shared value, based on data.
3. Imperative mode – purely autocratic, achieves change based on the authority of leadership acting on behalf of an institution.

4. Emergent mode – achieves change through ideas developed through social interactions. Similar to Watkins and Mohr's, appreciative inquiry model.
5. Inventive mode – achieves change by making something useful.
6. Influential mode – achieves change by acceptance of new values. (p. 83-109)

McWhinney (1992) suggested that problems could be solved with the two paths to resolution. Revitalization is a top down approach in which a charismatic leader begins with a vision of a desired future. Next, the leader gains commitment and implements the change through a pluralistic effort. The renaissance approach uses an open system to initiate a “rebirth” based on a new criteria for choosing an outcome. This approach is highly participative and is claimed to create group ownership.

Another mixed method is presented by Senge (1994) who offers five key disciplines needed for successful change:

1. Systems thinking is the discipline of seeing in wholes by observing patterns and interrelationships.
2. Self-mastery is needed and is vital for developing the discipline needed for systems thinking.
3. Shared vision is essential for moving forward.
4. Mental models are assumed structures or processes that must be reviewed and challenged.
5. Team learning through dialogue builds the capacity needed to become a learning organization.

For Senge, the sum is greater than its parts, which can be manifested in a learning organization. Building a learning organization starts by destroying the illusion that the

world is created of separate, unrelated forces. Organizations must master all five disciplines, the most important of which is the fifth discipline, the discipline of systems thinking.

Bolman and Deal (2008) offer another perspective to this discussion. Reframing requires the leaders to think about organizational situations from multiple perspectives.

The four frames include the:

- 1) Structural frame - which considered the efficiency achieved through the design of units and subunits, rules, roles, goals, and policies.
- 2) Human resource frame - which focused on harmony and accomplishes its goal by understanding people and forming mutually beneficial practices.
- 3) Political frame - which was designed around the concept of power and uses coalitions, compromise, and negotiations to accomplish its goal of power and advantage.
- 4) Symbolic frame – which considered meaning and faith and uses rituals, ceremony, story, and play to define and solidify the desired culture.

The four frames are mental models from which the people in organizations operate. The change agents' ability to reframe a given situation will help ensure the effectiveness of the change agent.

Sharpe (2009), a public relations professional, adds additional depth to Bolman and Deals' four frames. Sharpe's *Six Factors Critical to Change Accomplishment* explores ways to ensure the change process avoided internal and external sabotage. The six factors can be summarized as:

- 1) Use the communication methods, including language and symbols, preferred by the group targeted for change.
- 2) Gain credibility by having the right people support the change.
- 3) Connect the change initiative to the existing culture, its practices, behavior, and beliefs.
- 4) Accurately understand the felt-need of the targeted audience.
- 5) Identify the strongest motivators and use it to leverage change acceptance.
- 6) Involve the target group's leaders in the planning and implementation of the change. (p. 3-5)

Sharpe's approach has roots in social cognitive theory, but takes a slight turn by using the information learned about the target group to behaviorally and emotionally cause the change to occur.

Summary of change models. Change was reviewed in terms of theories and models. The vast array of information on change was succinctly categorized into three classifications: behavioral-based approach, social approach to change, and blended approach to change. Important lessons can be gleaned from each category. The behavioral-based approach to change suggests that the deeply anchored behaviors will require undoing before reshaping it. The social approach to change suggests that change is a social event and requires willing participants. The blended approach reinforces the complexity of change. Considering each perspective will broaden the understanding and serve as a stern warning to approach a change project with intention and determination, keeping in mind the human factor. This examination of change theories and models has not definitively identified the ideal path for pursuing excellence.

Leadership Theories and Models

No study of change can be considered comprehensive without exploring the role of change leaders and how they interact with the people in their organization. The third research question for this study asked, “Which leadership theory and approach were utilized in the campuses that pursued the Award for Excellence?” With this question in mind, leadership theories and models are examined.

The topic of leadership has drawn huge interest in the past 40 plus years, and the accompanying explosion of information in both research and self-help books on leadership can be overwhelming. Bennis and Nanus (as cited in Hickman, 1998) stated that managers do things right and leaders do the right things. Vince Lombardi (in Hackman & Johnson, 2004) is credited with saying, “Leaders are made, they are not born. They are made by hard effort, which is the price which all of us must pay to achieve any goal that is worthwhile” (p. 65). Goleman, Boyatzis, and McKee (2002) declared that leadership was learned and leadership is for everyone. This scan of leadership material groups the relevant findings into three categories: leader-focused theories, follower-leader interaction based theories, and follower and context-based theories. Following the review of the three categories, the role of leadership will be explored.

Leader-focused theories. Trait theory or the “great man theory” attempted to identify the qualities that made good leaders. While researchers do not agree on the exact list of traits, there is an agreement that leaders are distinguishable from followers (Northouse, 2007). During the early 20th century, researchers studied people considered great historical figures to distill the traits that distinguished truly great leaders from followers. In 1948, Ralph Stogdill challenged the universal trait theory and introduced the

idea that leadership is also influenced by social situations (Northouse, 2007). Stodgill's follow-up study released in 1974, reestablished the importance of traits related to leadership such as: Achievement, Persistence, Insight, Initiative, Self-confidence, Responsibility, Cooperativeness, Tolerance, Influence, and Sociability (Northouse, 2004). Northouse (2007) chronicled the trait journey further. In 1959, Richard Mann's study declared that leaders exhibit traits of intelligence, masculinity, dominance, adjustment, extroversion, and conservatism. In 1986, Robert Lord revisited Mann's theory and concluded that intelligence, masculinity, and dominance traits can be used to distinguish between leaders and non-leaders. In 1991, Kirkpatrick and Locke affirmed the traits that make leaders stand out as: drive, the desire to lead, honesty and integrity, self-confidence, cognitive ability, and knowledge of the business. However, the concept that leadership skills could be learned emerged from this study.

Emotional intelligence gained attention in the early 1990s, and has been linked to trait theory (Northouse, 2007). Although not formally classified as trait theory, Kouzes and Posner (1993) described common leadership traits as: Achievement, Persistence, Insight, Initiative, Self-confidence, Responsibility, Cooperativeness, Tolerance, Influence, and Sociability. A decade later, Kouzes and Posner (2003) defined exemplary leadership traits as including honesty, forward looking, competence, and inspiring.

Skills Approach examined the skills needed to be a good leader. Earlier models of the skills approach stated that three types of skills – technical, human, and conceptual – were needed and vary depending on the level in the organization (Northouse, 2007). For example, top management has a low need for technical skills and greater need for human relations and conceptual skills. On the other hand, line level managers will need higher

levels of technical and human relations skills and less need for conceptual skills. Later refined models define the three skills approach competencies as problem-solving skills, social judgment skills, and knowledge.

Styles Approach looked at the leader's tendencies to focus on the people or the goal. The extent to which the leaders focused on concerns for people (measured along y-axis) was plotted against the leader's concern for meeting established goals (measured along x-axis) to determine the type of leader or leadership style.

Kotter's leadership philosophy in its entirety does not fit here, however his core principles do. For example, Kotter (1996) believes that overcoming the natural resistance to change requires great leaders who can drive change by creating power and motivation to overcome the opposing inertia. Additionally, each of his eight steps takes a leadership focus to effect change. Kotter's leadership model relies on skills of the leader as well as on a heavy emphasis on the concern for achieving goals denoted in the styles approach.

William Bridges (2003), the author of *Managing Transitions*, also uses the leader-focused approach. Bridges concluded that organizational change required managing transitions, a process of helping people move from the old paradigm to the new paradigm. During the three stages of the change process – ending, the neutral zone, and new beginning – people experienced anger, fear, uncertainty, and doubt. A leader's job is to understand what to do in each stage and help people transition through organizational changes with minimal disruption.

Sample's (2002) list of contrarian leadership principles is another example of a leader-focused theory. Samples provides a practical list of leadership actions based on his life experiences as a university president, practices that he called the contrarian's guide to

leadership. Each item in this approach, including delegation, was leader driven. There is little sense of follower-leader interaction, and no sign of follower and context-based leadership.

Follower and context-based theory. Contingency theory is concerned with matching the leader with the appropriate situation. Thus determining the caliber of leadership is dependent on the context of the situation and the issues at hand (Northouse, 2007). The situational approach is similar to contingency theory, but looks at the follower rather than the circumstances. Built on the work of Reddin's 3-D management style theory and made popular by Hersey and Banchard in the 1980's, situational leadership style matched the leadership style to the situational need. For example, if the follower is a novice and requires a high level of direction, then the leader should use a directing style. If on the other hand, the follower requires less support and a low level of direction, a delegating approach is more appropriate (Northouse, 2004).

Path-Goal theory is focused on how leaders motivate people and accomplish assigned goals. Having roots in the construct of self-efficacy, the theory states that subordinates will be motivated if they believe a) they can do the work, b) achieve a given outcome, and c) there is a worthwhile payoff. The goal of the leader, from this perspective, is to find what will motivate the members of the team.

Although not a perfect fit, the six leadership styles introduced by Goleman, Boyatzis and McKee (2002) could be a follower and context-based theory. The six leadership styles are visionary, coaching, affiliative, democratic, pace-setting, and commanding. The authors encourage the leader to become fluent in all leadership styles, applying the appropriate leadership style as the situation demands. The first four styles

are seen to generate positive emotions and could be used as often as needed. However, they suggest that the pace-setting and commanding styles produce negative emotions and therefore should be used minimally and only if necessary.

Bolman and Deal's (2008) four frames model could also be linked to follower and context-based theory. While likely unintended, the four frames model provides the varying lenses to adjust to organizational needs. Contingency theory says to match the leader with the appropriate situation. Depending on the circumstances, the leader can reframe to think about organizational situations from multiple perspectives. Additionally, the Path-Goal theory says that leaders motivate people and accomplish assigned goals. The four frames can be used to help others see the bigger organizational goal or can be used to effectively communicate with the followers in their dominant frame language.

Sharpe's (2009) *Six Factors Critical to Change Accomplishment* is another example of follower and context-based theory. Sharp relies heavily on follower interaction to determine which leadership role to apply. In fact, the six factors model ensures that the change process will take place only if the group being affected will engage.

Final examples come from McWhinney (1992) who promoted blending the leadership styles and the worldview of the follower together within the context of the existing culture. Depending on the leader's style and the circumstances of the organization, the leader can choose from one of six models for change. For example, if the leader's style is commanding (Goleman, Boyatzis & McKee, 2002), the leader can use the imperative model by claiming the authority to do so, or the leader could choose the analytic mode by imposing a data-based policy that seems rational.

Follower-leader interaction-based theory. Leader-member exchange theory is a 30-year-old construct, first emerging as *vertical dyad linkage theory*. The theory stated that to the extent the interaction between the follower and leader is positive, the greater the likelihood is that there are of multiple possible positive outcomes including retention, commitment, and productivity. This model suggested that leaders should build relationships with all employees to positively affect the organization.

Transformational leadership is a new paradigm in leadership that emerged in the 1980's. James MacGregor Burns made the first distinction between a transactional and a transformational leader (Northouse, 2007). As the name suggests, transformational leadership is intent on changing or transforming people by inspiring the follower to achieve more than what is typically expected. The resulting interaction is said to increase the level of motivation and morality of the both the leader and the follower (Northouse, 2007). Hackman and Johnson (2004) agree that transformational leaders are creative, interactive, visionary, empowering, and passionate.

Team leadership, while not truly fitting the follower-leader interaction theory, results when team members interact to accomplish a given task (DiSanza & Legge, 2009). This form of leadership has been around since the 1920's, but gained prominence in the 1970's. The current model of team leadership has been developed, but is undergoing testing (Northouse, 2007).

Much contemporary and popular literature fits nicely into the follower-leader interaction theory. For example, leader-member exchange involves leaders building relationships to produce positive results. Kouzes and Posner's (2007) five practices and ten commitments rely on extensive follower-leader interactions. Each of Kouzes and

Posner's five practices fit, but challenge the process, enable others to act, and encourage the heart especially fit the description well. Kouzes and Posner's model also fits nicely within the boundaries of transformational paradigm. Their five practices and ten commitments exist to inspire others to greatness. More specifically, the practice of modeling the way by clarifying personal values, aligning them with the group's shared values, and inspiring a shared vision are transformational.

Others have applied the transformational leadership construct. Parker Palmer (1988) declared that the journey of a leader/teacher must begin with self-knowledge. Palmer said, "When I do not know myself, I cannot know who my students are" (p. 2). Once the self is known, the first challenge for the leader is to work from identity and integrity. Discussions in the field of leadership agree with Palmer's conclusion about identity. For many theorists, knowing one's self is more important than knowing who one is leading or where one is leading them (Bolman & Deal, 2001; Cashman, 2000; Quinn, 1996). Leading with integrity means how one leads must come from who one is as a person. Palmer pointed out, "what I find is not always a proud and shining thing" (p. 29). Leading with integrity means one must lead from one's ethical system (Ciulla, 2001; Wilkens, 1995) as well as with the understanding of the shadow sides of who one is (McIntosh & Rima, 1997).

Goleman, Boyatzis and McKee (2002) described organizations as emotionally charged. In fact, emotions are noted as driving forces in organizations. Therefore, the key to effective leadership is emotional intelligence. The key to emotional intelligence is empathetic listening. Four domains make up emotional intelligence: self-awareness, self-management, social awareness, and social management (Goleman et al., 2002). Gaining

mastery in these areas will create resonance that is important for organizational effectiveness.

Boyatzis and McKee (2005) promote being a leader of resonance. Resonant leaders exhibit three important attributes: mindfulness, compassion, and hope. Mindful leaders are in touch with themselves. They understand and address the self-sacrifice syndrome that haunts all leaders. They are also mindful of those they lead, making sure that they do not create unhealthy demands that their team cannot deliver (Covey, 2004). Resonant leaders are compassionate. Compassion includes empathetic listening and much more. The compassionate leader goes beyond listening, but cares enough to take action. Finally, the resonant leaders have hope and are hope for others. Their source of strength comes from within and provides confidence without arrogance (Cashman, 2000).

Summary of leadership. The vast array of literature on the topic of leadership was distilled and presented in three categories: leader-focused theories, follower and context-based theory, and follower-leader interaction-based theories. Contemporary works in leadership were presented within the framework of the three categories. A theme emerging from the literature review was that leadership theories are in a state of transition and are ever evolving. What makes sense today may be obsolete thinking in the future. Given the fluid nature of leadership and the unique environments in which leadership must take place, this literature review has not identified any particular leadership theory or approach that definitively outperformed another.

Summary of Literature Review

Since this study attempted to identify the key factors and conditions needed to initiate and sustain a culture of excellence, the researcher considered three topics for

exploration in the literature. First, the forces that drive higher education personnel to pursue excellence was identified as three key stakeholder groups in higher education as described by Burke's accountability triangle: the state's priority (or political force), market (or market force), and academic concern (members of the university community). This report demonstrated that the lack of shared meaning on performance expectations and performance standards required additional conversations to more clearly define excellence in higher education. A second part of this literature review was conducted to better understand the conditions necessary to initiate and sustain a culture of excellence and included an examination of relevant change theories and models. Finally, since leadership is vital for a successful change initiative (Kotter, 1996), theories and approaches to leadership were examined.

CHAPTER 3

Methodology

The purpose of this study was to identify, based on the perceptions of Award for Excellence winners, the key factors and conditions needed to initiate and sustain a culture of excellence. This study employed a qualitative research design using a phenomenological approach to identify the key factors and conditions needed, on a higher education campus, to initiate and sustain a culture of excellence as defined by the Award for Excellence.

Maxwell (2005) asserted that qualitative methodology is preferred when conducting exploratory studies, as it allows for the identification of unanticipated phenomena and influences. By calling into question what is taken for granted (Crotty, 2003), phenomenological research design is appropriate to explore the “lived experiences” of the participants under study to gain an understanding of the phenomena under study (Creswell, 2007).

According to Moustakas (1994), a phenomenological research design reduces individual experiences with a phenomenon to a description of the universal essences in order to develop a composite description of the essence of the experience for all of the individuals. The focus, according to Creswell (2007), is on describing what all participants have in common as they experience a phenomenon. Moustakas (1994) added that the description consists of “what” they experienced and “how” they experienced

them. Similarly, Ary, Jacobs, and Sorensen (2010) declared, “a phenomenological study is designed to describe and interpret an experience by determining the meaning of the experience as perceived by the people who have participated in it” (p. 471).

A phenomenological study describes the meaning for several individuals of their lived experience of a concept or a phenomenon. The focus of this type of study is on describing what all participants have in common as they experienced a phenomenon (Creswell, 2007). In this study, the researcher explored the shared experiences of those individuals from campuses that have received the Award for Excellence in order to identify the key factors that drove the phenomenon under study. Phenomenological design allows the researcher to explore the phenomenon in context of its “wholeness, with examining entities from many sides, angles, and perspectives until a unified vision of the essences of a phenomenon or experience is achieved” (Moustakas 1994, p. 58). Additionally, since the researcher desired to gain an understanding of the perspective of the participants’ experience of pursuing the Award for Excellence, the participants were best suited to answer the guiding research questions (Ary, Jacobs, & Sorensen, 2010). Through the thick and rich descriptions provided by the participants (Patton, 2002), the meaning of the experience can serve as the foundation for analysis and meaning making.

Participant and Sampling

There are over 4,500 university and college campuses in the United States. Participation in the Award for Excellence program is limited to the 1500 institutions that are members of the APPA organization. Seventy-nine institutions have received the award since the program's inception in 1988. This study delimited participation to university or college campuses that have received the award within the past seven years

because of the significant shift in the program seven years ago from an outcomes-based recognition to process-based metrics.

Fifteen participants from seven campuses were interviewed. The participants consisted of three female and twelve male facilities professionals ranging from line managers to Senior Facilities Officers. Their experience within the institution ranged from 5 years to 25 years. The campuses ranged from small private universities to very large public universities: three campuses were represented by collective bargaining organizations.

This study utilized non-probability sampling techniques, common in qualitative studies (Ary, Jacobs, & Sorenson, 2010). The sample size in qualitative studies depends on the scope of the study, the nature of the topic, the quality of the data, and the study design (Morse, 2000). In a phenomenological study, a sample size of 5 to 25 is appropriate (Creswell, 2007). Onwuegbuzie and Daniel (2003) recommended using purposive sampling when one or just a few cases are involved. Since the participants were drawn from the campuses that have received the Award for Excellence, this study used purposive sampling (Creswell, 2007). This research also used a quota-based strategy (Bogdan & Biklen, 2007), by interviewing two to three participants from each of the seven campuses. Since participants were selected based on availability and willingness to participate, a convenience sampling was also used (Bogdan & Biklen, 2007).

The investigation began with a knowledgeable participant, a person who played an active role in the application for the Award for Excellence. In purposive sampling strategy (Creswell, 2007), the active role may mean the person most knowledgeable about why and how the campus pursued the program or the person responsible for

coordinating the gathering of information pertinent for the application for the Award of Excellence. The expert or active role person was identified by the APPA organization. Additionally, using the stratified snowball sampling technique (Bogdan & Biklen, 2007; Castillo, 2009), the first participant of each campus was asked to provide two names for further interviews; one person at an executive level position and the second at a line supervisor level position.

Instrumentation

This study utilized three key instruments: (a) the interview method, (b) the interview questions, and (c) the researcher. In-depth interviews (Creswell, 2007), were conducted via a voice-to-voice phone conversation. All sessions were recorded and transcribed. The interviews were conducted using two types of questions: structured and unstructured. The structured questions gathered the participant's information: name, position, length of service, and role in the Award for Excellence process (Appendix B). The unstructured question served as the basis for gathering information regarding the study phenomenon (Appendix B). Unstructured interviews were conversational and the questions arose from the situation (Ary, Jacobs, & Sorensen, 2010). According to Moustakas (1994), only two questions are necessary: (a) what have you experienced in terms of the phenomenon? and (b) what context or situations have typically influenced or affected your experience of the phenomenon?

In a phenomenological study, the researcher is the primary instrument of inquiry (Creswell, 2007). Since the researcher can affect the inquiry and data analysis, it is important for the researcher to bracket or make known his knowledge, experience, assumptions, and biases (Morrow, Rakhsha, & Castaneda, 2001). In agreement, Ary,

Jacobs, and Sorensen (2010) advised phenomenological researchers to explore their own experiences related to the topic of interest prior to conducting interviews in order to examine their own biases and assumptions.

Researcher bias.

Merriam (2002) warned that potential researcher bias can influence the interview as well as the analysis and interpretation of data, and the final conclusions. To identify and document researcher bias, bracketing was conducted by the researcher to explore the researcher's own experiences related to the phenomena. In this study, the researcher applied the immersion and reflection technique described by Moustakas (1994) as a way to minimize researcher bias and better understand the essence of the shared experiences.

Experience with the Award for Excellence. The researcher has 23 years of experience in the facilities and safety departments within institutions of higher education. During this period, the researcher initiated efforts to improve the efficiency and effectiveness of facilities management and safety teams of five universities. The primary tool utilized for Baldrige criteria-based improvements is called the Facilities Management Evaluation Program (FMEP), which contain the exact standards used by APPA evaluators for the Award for Excellence during site visits to an applicant campus.

Experience with change management. As the senior facilities officer for three campuses over the past decade, the researcher has attempted to mobilize the campus executive leadership and the facilities staff to formally pursue the Award for Excellence. The primary motivation to pursue the award was two-fold. First, the journey to prepare to apply for the Award for Excellence requires facilities services departments to know and consistently implement industries' best practices. In other words, preparing to apply for

the award requires the facilities service departments to focus, streamline, and improve how they provide services to the campus community. The pursuit of the AFE then becomes a change management tool to move a department toward excellence. The second driver for pursuing the AFE was to secure a third party verification of excellence. Higher education is familiar with regional, national, and specialty accreditations. Receiving recognition as a world-class service department from the industry's premier international organization provides credibility that far exceeds any self-proclaimed assertion of excellence.

Procedure

This section provides a detailed, step-by-step, plan on how the study were conducted. An expedited Human Subjects Form (HSF) was submitted to the Idaho State University Institutional Review Board (IRB) and approval received (Appendix C). Request for support from APPA was made by email and phone conversations. The researcher asked for a list of key players and contact information for each campus that had received the award in the past seven years.

Pre-interview. The study was approved for research by the Human Subjects Committee. Potential participants were contacted by phone and invited to participate in the study. Selection of the campuses required the Senior Facilities Officer to commit the participation of at least two participants from the campus. These participants were senior facilities officers, facilities leadership team members, or line level facilities professionals. Participants were asked to commit to a 60-minute uninterrupted time for the interview. Interview arrangements were made by phone. The participants were provided with a study information sheet describing the study via an email attachment (Appendix D).

The interviews. The researcher contacted the participants according to the agreed upon date, time, and format, following the interview protocol outlined in Appendix B. The interview started by assuring confidentiality. The information sheet was read out loud and the participants gave verbal consent before the interviews began. The researcher described the purpose of the study and the format of the interview. The researcher asked structured and unstructured questions according to the interview questions in Appendix B. Since unstructured interviews are conversational and the questions arise from the situation (Ary, Jacobs, & Sorensen, 2010), the interview was not planned in detail ahead of time. Instead, the researcher asked questions as the opportunity arose and listened closely and used the subject's response to guide the next question. The intention of the researcher was to make the interview feel like a conversation so that the participants "might not *even* realize they are being interviewed" (Patton, 2002, p. 181). Using the questions of who, what, when, where, why, and how to guide the interview helped to ensure data are rich and descriptive through prolonged engagement (Creswell, 2007). When the participants demonstrated hesitation sharing information about their direct supervisors, the researcher reassured the participants of the confidentiality of the interview.

After the interviews. The interview data were transcribed verbatim and coded for themes (Creswell, 2007). Moustakas (1994) calls the process of identifying and clustering of significant statements *individual horizontalizing*. The next step, called *individual textural description*, requires the researcher to put the statements into a description of what the participant experienced (Creswell, 2007). The researcher's field notes were used to note the context or setting that may have influenced the participants' experience of the

phenomenon. During this step, called the *structural description or imaginative variation*, participants' experience provided the context or setting that may have influenced the participants' experience of the phenomenon. A *composite textural description* was developed by merging the *textural-structural descriptions*, including the comments and changes made after the member checking.

Follow-up to the interview. The follow-up to the interview had three purposes. The researcher reviewed the *textural description* and *structural description* with each participant to confirm accuracy and completeness. The participants were encouraged to refine, add, or otherwise edit their responses (Appendix E). Information gathered from the follow-up was used to develop the final *composite textural-structural description*. This composite centered on those aspects of the experience that described the experience in general and was organized into a thematic structure describing the essence of the phenomenon. Peer review was conducted and documented as Appendix F. Two doctoral candidates in the Idaho State University's Educational Leadership in Higher Education Administration program were provided the purpose of the study, the research questions, and the verbatim transcription of the interviews. These candidates have successfully passed their comprehensive exam and are knowledgeable of phenomenological research design.

Design and Analysis

Design. This phenomenological study explored the lived experiences among the winners of the Award for Excellence in Facilities Management, the highest institutional level award issued by the International APPA- Leadership in Educational Facilities. In a qualitative study, several factors can threaten the validity and reliability and were

disclosed in Chapter One. These threats were partially or fully mitigated by acknowledging the assumptions, limitations, and delimitations of the study and adding rigor to the study. In a phenomenological study, validity is dependent on collecting data that are rich and descriptive (Creswell, 2007) in terms of how the phenomenon has been experienced by others (Hatch, 2002). To add rigor, the researcher assured reasonable certainty of thoroughness (Bogdan & Biklen, 2007). The following steps were taken to enhance validity:

1. The researcher bias was explicitly disclosed;
2. To ensure data saturation, prolonged interviews with participant were conducted, multiple participants were interviewed at various levels of the institution; and multiple campuses were interviewed;
3. Member checking of the comprehensive patterns and themes added control to extreme and unique experiences biases; and
4. Data triangulation, juxtaposing lived experiences in the context of other lived experiences controlled for extreme and unique experience biases. The resulting data allowed for unbiased rich and thick data (Creswell, 2007) that led to new understanding or confirmation of existing constructs that can arise from the experiences and meaning shared among the participants (Crotty, 2003).

Reliability means that the data are credible and consistent (Bogdan & Biklen, 2007). To ensure reliability of the data, the following actions were taken:

1. The interviews were audio taped and transcribed verbatim;

2. The transcript data were compared to field notes for accuracy to confirm source triangulation;
3. The data were read and re-read to ensure persistent observation (Creswell, 2007);
4. Member checking was conducted to ensure that the summary and the coded data (Thomas, 2006) accurately represented the intentionality of the respondents (Bogdan & Biklen, 2007) (Appendix E);
5. Peer review was conducted for inter-rater reliability (Appendix F).

The resulting comparisons of variations of perspectives contribute to a range of data related to the essence of the phenomenon and increase its universality (Moustakas, 1994).

Analysis. Data analysis followed the specific steps of analysis described by Moustakas (as cited in Creswell, 2007). This method of organizing and analyzing data was applied to the transcribed data. Analysis was performed by the researcher following the steps of this analysis noted in the ensuing sections.

In the horizontalizing process, the verbatim transcripts were refined into distinct thoughts or ideas concerning the phenomenon, with the statements, sentences, or phrases that articulate the experience. The statements were then clustered into core themes or categories of the experience. The themes were then organized to construct a textural description of the experience for each participant. In this way, the participant's experience –awareness and reflection – of the phenomenon was described in his or her own words. Then, through the use of imaginative variation, the textural description was converted to the composite structural description. According to Polkinghorne (1989),

imaginative variation allows the researcher to suggest how the elements of the textural descriptions were connected while making sure the data were not compromised.

Member checking ensured data integrity; completeness and accuracy.

Constructing a textural-structural description of the experience for each participant integrates the conscious experiences of the participants with structural interpretations of the researcher (Moustakas, 1994). This method integrated the composite textural and composite structural descriptions to develop a synthesis of the meanings and essences of the phenomenon or experience. The resulting documents were sent out to the participants for member verification, and the returned comments incorporated. The final composite textural-structural description merges textural-structural descriptions, including the comments and changes made after the member checking. This composite centered on those aspects of the experience that described the experience in general and were organized into a thematic structure describing the essence of the phenomenon.

CHAPTER 4

Results

The purpose of this study was to identify, based on the perceptions of winners of the Award for Excellence (AFE), the key factors and conditions needed, on a higher education campus, to initiate and sustain a culture of excellence in facilities management. The study addressed the following four research questions:

- e) What forces, if any, are identified by participants as driving forces that led the campus to pursue the Award for Excellence in facilities management?
- f) What change model or theory was most relevant for the pursuit of the Award for Excellence?
- g) Which leadership theory and approach were utilized in the campuses that pursued the Award for Excellence?
- h) What were the major factors that have supported or undermined the continuation of a culture of excellence?

This chapter is organized according to the analysis described by Moustakas (as cited in Creswell, 2007). First, the major themes revealed in the analysis are presented, supported with verbatim examples from the interview transcripts. Second, a textural description of participants' experience provides "a description of 'what' the participants in the study experienced in the phenomenon" (Creswell, 2007, p. 159). Third, a structural description of participants' experience provides the context or setting that may have influenced the participants' experience of the phenomenon. In the final section, a composite textural-structural description is presented.

Significant Themes

Interview recordings and transcripts of the participants were thoroughly studied by the researcher. The transcribed data were read and re-read to ensure thorough understanding of the experience from the participants' perspectives. The verbatim transcript was refined into distinct thoughts or ideas concerning the phenomenon, with the statements, sentences, or phrases that articulate the experience. The statements were then clustered into core themes or categories of the experience. The repeated review of the data revealed several themes related to the Award for Excellence. Participants' experience of their campus pursuing the AFE can be organized in five broad themes:

1. Reasons for pursuing the Award for Excellence,
2. Pre-AFE culture,
3. Leadership practices and styles,
4. Culture of excellence, and
5. Outcomes of the AFE.

Sub-themes were identified and listed accordingly for each major theme. Verbatim statements from the participants' interviews are cited to describe the themes and sub-themes. For ease of reading and referencing of the participants, these statements are identified by participant number (i.e. P1 to indicate participant number one). The full interviews transcriptions are included as Appendix G.

Reasons for pursuing the Award for Excellence. Participants' descriptions of their experience of reasons for pursuing the AFE can be put into two sub-categories, recognition and desire to improve. Participants' experiences of the driving force are described in the verbatim quotations listed in Table 1 below.

Table 1

Reasons for Pursuing the Award for Excellence

RECOGNITION
P1: The management, we felt like we were an institution that were active in APPA and nationally, regionally, we can win that because we felt we were capable in that by telling our story. Because we had that confidence.
P3: We wanted to help recognize what we done and how we had improved. We wanted to promote the university. I looked at it as, the way to market yourself, more credible with an external organization.
P4: The positive recognition that facility services would get. We [facilities leaders] felt that we should be recognized in that way. We wanted to be reviewed and be put out there to be recognized in a great way.
P7: We were operating on a daily basis with the idea of excellence and he [Senior Facilities Officer] felt we deserved the recognition from the college community. He wanted the college community to understand the professional role facilities played.
P9: Other than the national recognition that came with it. The recognition and putting it all in one folder, one book. Where before it may have been scattered around a bit in things we didn't realize. Um, so yeah, the national recognition among our peers was a big driver I think.
P11: Getting recognition I thought was important. The main driver for me was to have a reward to give recognition to the people in the department from their peers.
P14: Well, I think we had made a lot of improvements over the last ten or fifteen years. I think he was pretty proud of those accomplishments and he wanted us to showcase that. And I think we all were, he certainly installed that pride in the rest of us and I think as a group we were motivated.
P15: He had seen that we were as good as any other institution. He felt that we were somewhat leading the pack. We weren't going to reinvent the wheel. We wanted to validate things we were doing and possibly seek other opportunities.
P10: [director] had the vision. He wanted an award winning team recognition all around. I believe that is part of what he looked at. He saw this as a part of the piece of the puzzle to get in place.
DESIRE TO IMPROVE
P2: The VP of Finance set the original visions, the desire to change.
P2: One that they as a team [of senior leaders] had espoused this goal very specifically and committed themselves to changing and putting it into place all these things.
P2: Um, I think there was this desire to uplift this organization from the old fix it plan. Campus wide there was a great; there was negative perception of facilities as being an empire overcharging people on campus. That was resolved to the culture.
P8: Working in facilities, they are second rate citizens, looked down upon, like we aren't as good. I thought, boy, I am changing how you are perceived by getting this award to show people are we are providing excellent services.
P9: It wasn't to improve ourselves or to find out where we're lacking or anything. That could have been a side effect. It wasn't why we were doing it. That would have been fine if we'd found some things.

P10: I'd only add that it gave the people upstairs of [director]. Or above the executive directors level a third party perspective of how our program was working. I think that had a lot of value.
P11: The real drivers were the strategic plan and the need to overall improve the performance. We needed to be more customer oriented. That was the main driver to get us started.
P13: That made me worried about outsourcing. They were saying we can do this better through outsourcing. People would talk about that. Some of the boys more than others. There was a year that we were feeling pressure about something like that happening. I think we are hard pressed to have a company come in here and beat us out of that.

Pre-AFE culture. For the purpose of this study, the situation or condition of the environment before achieving the Award for Excellence, AFE, is identified as pre-AFE culture. Participants' experiences of the pre-AFE culture can be categorized as resistive and supportive of the AFE journey. Participants' experiences of the pre-AFE culture are described in the quotations listed in Table 2 below.

Table 2

Pre-AFE Culture

RESISTIVE
P1: There was skepticism within the ranks that we did it to put a feather in our hat and make ourselves look good to senior management.
P1: Whatever seems easiest. I want to stress...it seems easy because that's what you do. But it may not be what you need to have done.
P1: When we first did the survey, I recall people saying, we are really going to show these folks how messed up we are. And folks we are expecting to see employee satisfaction indicators. And the opposite was presented. Then what I saw was, there were folks upset and said those numbers were false. That the survey was falsified to show we were positive. That was a small few. There is a small vocal minority not happy. It gave the impression everybody wasn't happy.
P1: Very small group. Some of these were departments where there were several people not happy because of leadership in that area or whatever reason. So that's why the survey couldn't quantify in some cases, what was the reason for the dissatisfaction. We could in some areas, that is why they are dissatisfied. They didn't have confidence.
P2: Campus wide there was a great, there was negative perception of facilities as being an empire overcharging people on campus. That was resolved to the culture.
P5: We had a very strong assistant VP over campus facilities, and the management facilities and grounds. So ...we started really looking at you know ... how are we going to do better? How do we start focusing every day? You know, we are starting to grow

as a university and at that time, growing quickly. And we could tell we were not maturing as the right rate. And we had a lot of good people and knowledgeable people but our processes weren't in place and everything. We didn't have that, we got called to the table to you know, we didn't feel we were there yet. So we started looking at ways to do that. And you know. We found there were companies that came under and forced issues for us. So eventually we got kicked in the tushy and you know ... it taught us to make sure our data was clean and clear.
P7: He met resistance from the supervisors at first. Before [director] came here, we had an adversarial relationship with the directors. We had no input into our budget, we just didn't know and unfortunately the gentleman before would punish people for things like, you don't have money for that in your budget. But we were not allowed to look at the budget or decide what to spend it on. So head games.
P12: You get busy and focus more on the smaller tasks at hand. "We have to get through this month." Etc.
P11: I didn't feel it was a customer focused orientation with the practice and policy that was in place. I felt that we needed to take a step back and do some procedure planning. Over the next 2-3 years we worked on that idea. We did a lot of analyzing, categorizing, putting in the writing the processes and procedures that we had. We also did strategic planning of what kind of organization we wanted to come over the next 5 years.
P1: Because American culture builds fences and stays in our yards. But we have a tendency when we start holding each other accountable, it's like, "who are you."
P2: My predecessor was an engineer. And he again was all about continuous improvement and building self-esteem and empowering supervisors and employees and seeing management role as being a facilitator to make sure the employees have the resources to get the job done. You can empower all you want, but if the empowerment wasn't accepted, it won't work.
P7: ... when we started out, before [director], the [old] director was secretive. He wanted to control everything.
P8: Early on, I heard some negative things...Like every Monday morning, I bring in at least three dozen doughnuts for staff to thank them and show my appreciation. Well, when I started doing it, there were comments that you are trying to buy us. I don't like to eat alone. If I go to lunch, I invite somebody to go with me. I don't do it to buy anybody. I try to get to know them as a person.
P1: Some of the folks are charismatic and excited about change and opportunities for change. There is also, here is why I don't like it and what I would change. So it effects change. And there is always this perception that it's unfair. So the change agents, you go through it over and over again and usually it's the leadership group that comes from all areas and pay grades. Generally speaking, it's agreed upon by the committee and it's where it needs to be. How it's sustained? That is tough because whatever changes, is something not wildly accepted, it reverts back to the normal bent or path of least resistance.
P2: They were doing it by cloak and dagger. Took me a while to figure out. That was part of the trust element.

P2: And one of the things we had to overcome was success among some employees early on. The goal was to achieve this award, not management getting recognition.
P2: Um, I think one of the biggest challenges was getting by everybody that this was ... getting credibility that this was an effort to change and improve their work situations and processes and outcomes of the department. And it really actually...each year I could see more credibility in people's comments, responses, and I thought for a while that there was a perception that I was responding to the need that they were expressing. But that my direct reports in middle management were not on board. Eventually that was overcome too.
SUPPORTIVE
P2: I hadn't been here long and I heard a couple saying, I don't know why these people think we're afraid of change. Things change all the time. Two years before he wouldn't have said that. [Avp1] did a great job of forcing change and prepping people for further change on the other hand. When I got here, this whole organization, it was the unique thing. They were shell shocked from change and it had been so drilled into them that change was what it is all about. They were ready. They wanted positive change. They were ready to change.
P2: One thing we did with that, we selected one of our senior managements. One of the directors that is to be, he was to be the watchdog and keep us on task. This was his mission. To keep the rest of us on task. Make sure we come together and keep moving forward.
P3: When we decided to apply for the award, we initiated by a draft by only the AD in 2005. The 2007 submittal used a team approach. We had regular meetings to do this. Didn't really have problem getting involvement. Staff bought into it.
P4: I found that I personally enjoy challenge in coordinating. The end result was positive for us. Getting there was a challenge as far as coordinating the data and getting it as accurate as possible.
P4: I felt that we had a deadline and timeline to make it. Just doing the process! I did as much as I could and tried to coordinate with others for outstanding information that I still needed. I think we had the information but the core group was [director], me and [assistant director] to get it all coordinated for more information. It was a good team effort.
P7: All of us supervisors got involved in several different capacities.
P9: In one of our team meetings we decided to go forthWe assigned an administrator to be a coordinator. So it was a little work to pull all that together, but not huge. So I didn't see it as an overwhelming application process. I thought it was smoothly done and the coordinator packaged it all up and go through the same binders. So we spent several weeks, a couple people pulling this information together. When we saw it, everybody pulled together.
P10: I think that employees, especially the administrative support staff. There is no way they'd not get involved in this. There is a lot of Admin and staff time that went into the forming of that. The admin and support staff is kind of the bridge between the workforce and I think that was positive.

P13: The driving force to push the deadlines and getting the correct information together. We'd get our orders from him and he put the whole thing together making sure it was clean. Being sure we followed the standards. He was the main contact with getting this all together in a timely fashion.

P14: Well, we met as a team and each of the directors and we had one administrative assistant that was, you know, helping us and our HR person. We committed to meeting as a group for an hour and a half a week. So it was a fair amount of work as I remember. He [AVP] certainly took a strong role in this, he led the meetings, he pushed us along to make sure we was making good progress. He was pretty driven toward this and you know, I think we were all motivated to get that together and so I would say; ... that is one...that has to be one correlation to the study. Having someone that champions this effort to go after the award. It is pretty daunting to get through the process and submit the application.

P14: The review team, they came and spent you know, first quite a while with our application document and you know, they inspected campus and visited the campus administrators and I thought that process was quite comprehensive as well.

Note. AVP = assistant or associate vice president; AVP1 = the first AVP.

Role of leadership in achieving the AFE. Participants experienced the role of leadership in achieving the AFE in terms of leadership practices and leadership styles.

Participants' experiences are described in the quotations listed in Table 4.3 below.

Table 3

Leadership Practices and Styles

LEADERSHIP PRACTICES
P1: He [AVP1] was really the one the wheels started moving, where we need to aspire to a level we can get the award and be recognized.
P1: So when [AVP2] came on, he recognized some weaknesses. The biggest thing [avp2] saw, we had a very top down leadership. Top paradigm. He wanted to install the ability for folks to be confident in making decisions in the front line level.
P1: There were things we needed to do, we couldn't find the focus and dedication until the leadership, we made it a priority.
P2: I remember I had told a senior management staff and they told me about this goal. I looked at him and said, ... I think it will take us three to five years to get that award for excellence, and then we'll sit back, we'll step aside and find a vision for the future. Right now, our vision is that award.
P2: ... differentiating the pursuit of the award from continuous improvement journey. You say the award is a benchmark on that journey. I think just by pure persistence by making sure we followed through on executing many of the things we talked about. And by virtue of discharging some management members, even direct reports that did not live up to the cultured principles we had espoused. I think both of those helped build

credibility. What finally clicked in most people's mind was when we showed them, pulled off the webpage, the videos from three other universities that had won this award. And showed our folks these videos and it was like ... clarified.
P2: One, that they as a team [of senior leaders] had espoused this goal very specifically. And committed themselves to changing and putting it into place all these things. You know, organizing the employee task forces that had started before I got here. To engage employees and putting procedures together, defining our process. They already had a vision of inclusive process. A vision of customer service that banded new levels of excellence.
P2: I think the ... there had to be trust built. Trust comes with open communication and response. It needs to be stated and acknowledged. And building individual self-esteem – we can talk about empowerment all we want. It needs to be received. It needs to be reinforced constantly by supporting staff and letting them know over and over that they are appreciated and their ideas are right. They are capable of ... they don't need to be treated like schoolchildren. I think without an open style in demonstrating personal respect to each person, I don't think you can make that kind of transformation.
P3: I was the primary person for starting the process. Team is really important. And leadership has to make sure that it works. I am a hands on person. I like to get into the weeds w/o getting to far. I walk around the shop every day. I like for them to see me walking about. Lead by example. I try not to let one area suffer, so I try to give the same attention. I like to have people to work together, across union boundary. Work hard, play hard, that's what I like.
P4: I think that [Director] made it clear to do the best we could to obtain the award. I think that the leadership was good as far as [Director and Associate Director] to get others involved. It helped with the reaction to get a positive thing that we were applying for.
P5: We spend a lot of time with our employees, we provide information and you know, not from me and the supervisors, but the vice president and engaged and has these sessions. It continues every day. And that is how we continue it to make sure it will stay. So I think it's their nature and they want to do good and get recognized and it's also reminding everybody why we're here every day and keeping that in the forefront. We have daily and monthly meetings, everybody is talking the same talk, if you will, throughout the organizations and campus facility.
P6: [AVP1] was notorious for having meetings with direct reports. He was an excellent communicator of issues going on. He communicated that through emails and through 1on1 meetings and staff meetings. Secondly, he set the parameters of needing information. He was not a hands on leader. He was one that gave you the instructions and gave you the target goals. He gave you when those goals had to be completed and you had to figure it out. From a leadership standpoint a great communicator, empowering, required documentation and was a great coach.
P6: The apple in the pond was leadership. That is what got it going, but the waves start to spread out throughout the pond and it can get contagious. It was originally the leadership from [AVP1]. And as we set this process in terms of how we would move it forward. By meeting and talking with one another that opened up the logic communication from departmental leaders which was beneficial. You had 3 main leaders within the department. If they had inconsistencies then we have to get on the

same page. It was the leadership and the process itself that was beneficial to the department as a whole that gave the buy in.
P7: [director] being single minded when it comes to a project or a process, he will do whatever it takes to get that done. He's the gate keeper of the data. He'll go through what he needs to get him what he needs to pull everything together.
P7: He [director] said, I want you to think of your shop as your business. And I want you to be empowered to run it yourself and know everything. Know everything about your budget, where you are constantly. I want you to know the computer systems, banner, get in there, keep track. To get people invested in their own departments.
P9: Um ...Essentially he was asking, he was going after this guy, wanted to have consensus in participating in this. He talked about schools that got the award, what we can do with it. And what our chances are and those kinds of things. And also explained what work might be involved in it. And you know, then we were stuck as a lead team, and pretty much, you know, didn't necessarily take a vote it was unanimous. So bought in that way. We were all on board and took it to our staff and make sure it happened. We made the decision at the director level.
P10: Everyone likes working for [director]. He's very trusting and hands off. I don't think we'd have done the process if it hadn't been for [the executive director]. Without his vision or leadership style [transparent] it would have been different.
P10: It was part of our goals, but the executive director was driving the interest of having that for our group. I think that any of our facility institutions or universities out there have a lot of mutual challenges.
P11: I [executive director] led the process for us in making the decision to seek it out and working with my direct reports to put together a good packing that represented what we were doing accurately well. Made sure we would have all the information we would need on site to demonstrate to the evaluators that what we had on the write-up was in fact accurate. I didn't feel it was a customer focused orientation with the practice and policy that was in place. I felt that we needed to take a step back and do some procedure planning. Over the next 2-3 years we worked on that idea. We did a lot of analyzing, categorizing, putting in the writing the processes and procedures that we had. We also did strategic planning of what kind of organization we wanted to come over the next 5 years.
P12: Yes I think that [AVP] was the driving force ...I just remember that it was something he wanted to pursue as the AVP and wanted the team support for getting the information collected.
P13: He has a high level of expectations and where his vision was. He can see the big picture and where the school and this department should be and go. It pushes outside our department. He keeps inventory and sweeps the campus. He is involved and has this vision. Know that there is a lot of hard work as the best practice. He provides the best physical plant as we can. He believes in that and pushes us to go to the trainings and help the department provide this relevance.
P13: Well, obviously starting at the top [AVP] was the driving force and his style of micromanaging the project and every facet of it. To pulling information and putting it together within the timeline. That is always difficult. The operation to get it all done was a lot involved. You have to have driving force to get things done. He led that effectively.

P14: [AVP] had brought it up first, and we probably talked about it for a couple years before we went after it. It was certainly [AVP's] idea to go after it.
P15: He [AVP] was supportive of pursuing this. He was a little less than saying commitment until we had finalized the process. He took some time to get into it. It wasn't about self-serving award. He did not insist on getting it in and awarded the first time. It started on just going and an approach to say if we don't get it then wait another year. He didn't want the application process to get in the way of serving the campus.
P15: He would allocate the resources.
P1: The vice chancellor of finance was very supportive of [avp2] leadership. Their style is more hands off as far as what happens in the direct role. Unless there is something that needs to happen, then they get very involved as far as leadership. Such as mandating type things.
P2: The VP of Finance set the original visions, the desire to change.
P7: I would say it got started with one vice president wanted to have an FMEP done. We had some organizational problems in organization. We had been without a director for almost a year and all us supervisors were keeping things going before they hired [director]. And we just had lost a lot of our cohesiveness. There were some things not being addressed at all. The VP decided to have an FMEP done. So he came in and talked with us. He came in and talked to us and gave us a list of things to improve.
P8: Once we started a journey, he [VP] supported me sending my supervisors to the institute. And all but one has completed the institute now. All but two have completed the institute and at the other campuses, basically all of the facility directors have attended several sessions. So he supported people going to the four course sessions of APPA's institute. Other than that, it's up to the business managers.
P8: my boss who was VP of finance and college resources, he said he attended one session of APPA's institute and he said I should go there. I really was extremely active, supported by him. And then, he also said, I also want APPA to evaluate our campuses for the FMEP. It turned out to be a great experience.
P10: Yeah. [Executive director] would keep them [vice presidents] informed that this was happening but this wasn't being driven by them. His supervisor [VP] would have been acceptive and helped with that as well.
P11: He is a dollars and sense. Very smart and he really gets to the heart of the issues and asks difficult questions. When he is sold on something then he's a strong supporter. He blessed the whole concept. He does stay in the picture, you would think someone in that level would back out, but he reads the quarterly report and asks questions about how things are going and what is happening here and there. When we were at the first year of implementation we were meeting with him once a month with an update on what was going on. We got his input and what ideas he might have. He was very engaged.
LEADERSHIP STYLES
P2: The VP was pretty empowering on the one hand. The department is your budget, you do what you think is best. Very hands off. Not micromanaging. Almost to a fault.
P1: My leadership style is probably, I am very...I like to be hands off. I don't like to micromanage. I like people to feel they are empowered to be professionals. I give them the tools to do their job, removing if you can, and get out of their way. So my leadership style, I want to be an encourager.

P1: The primary leader was [AVP2]. [AVP2] is more of a blend between authoritative when he needs to be and making decisions, this is how it needs to happen and somebody who listens and wants input and will be more pro in decision making than pro in process procedure in senior leadership. I think he's sensitive to needs to employees and compassionate. I think it can create some challenges. There are times when somebody comes and needs that compassion strong. Decisions we've made that has ripple effects that are not all positive. Maybe positive for the one person, but negative to the organization as a whole.
P2: I think without an open style in demonstrating personal respect to each person, I don't think you can make that kind of transformation.
P5: In my mindset, our leadership around here, and I think we are all on the same page. That wasn't the case years ago and you see that at other schools. It's just, when you go into it and see what happens. We may not agree on everything, and when all is said and done, 9/10 of the decisions are made by the group. And that's what important.
P2: Uh ... me...I really try to function around the team service with leadership—that I am here to facilitate everyone in the organization being their own leader and filing their own destiny. And very open communication. I encourage people to come see me directly if they weren't getting the satisfaction they needed from supervisors.
P5: Well, he [AVP] and I are totally opposites in the way we manage, okay? And so we're totally different too. It takes freedom to do your job and he was demanding. You had to have your ducks in a row. He knew the organization we had to deal with and so ... he liked to force issues and so we had great knowledge of what was expected. And that is kind of the way to think of it.
P6: I think in one word to describe [AVP1's] leadership is empowering. I think that at listening to some of the things that I brought to the table. He was interested in establishing leadership metrics to the point where we instituted monthly reports and weekly to-do lists. These weren't always well received, but if you don't do those things then you don't realize what you accomplish. I think from the two key words in [avp1's] defense was that he was empowering. He let you go in and do things, but he also wanted documentation of what you did. He never directed what he wanted especially with this APPA award. We were all kind of in new territory. We weren't sure what to expect, but we'd have weekly meetings to go in and learn.
P13: Well, obviously starting at the top [AVP] was the driving force and his style of micromanaging the project and every facet of it. To pulling information and putting it together within the timeline. That is always difficult. The operation to get it all done was a lot involved. You have to have. Driving force to get things done. He led that effectively.
P11: It's not a one style fits all. I think you have to find the right people for the right spots. Then you build your organization around them. You got what you got and had to make the best of that crew.
P9: Yeah. It wasn't just, Hey, we were doing this award and here's what to do. He doesn't just - he will make a decision. Sometimes he'll say, you know, he will ask an opinion and you'll give it to him. And he says we'll do it anyway. But most of the time he'll listen. He wants a cooperative group decision. The autocrat type dictator. I appreciate that. Gives us a chance to express concerns or anything we may have.

P11: I try to be visionary about things and look for where the department should be. I am very collaborative and strive to get as many people engaged as I can. I like to push the decision making down as much as I can. I like autonomy and want people to have some ability to change or redirect the way we do a procedure. I have something in place to reevaluate or continuously improve. I like data driven discussions not policy.
P12: I think [AVP] has a clear strict direct defined roll and likes to look at things in a hierarchy and that is how our department is set up. I look at them and try to bring them in as a partner. I think I have more of a lax style until we run into a problem. Then I remind them that I am the boss and this portion of responsibility falls on me, but I look for input in any way I can get it.
P12: Um. I think our director at the time was probably more along the lines of casual. He liked to see the overall stuff. He wanted the trust in his staff that smaller details were getting done. Our assistant director was along the lines, but more strict in wanting to see the specific details. Not as trusting but the message he put forward made him go out and check on things that might not have been understood by the people. Maybe they didn't understand his expectations.
P13: [AVP] micromanages a lot. He is involved in our daily activities to be sure we're doing the right thing. He dictates down to all of us. Including our guys. That falls under the director and assistant director. He's very hands on in every aspect. What he says goes. Our director at the time was [name]. He was more laid back. A guy that enjoys his job and wants to help others come into work. I called it good cop, bad cop.
P13: He [director] was more laissez faire. When he needed to crack the whip, he did. [director] was a very personable guy. You had more of a relationship with him about how to get a job done. He was more democratic in a way. You were more than just a person to do the work. The way we were staffed is that everyone had different styles. Well, obviously starting at the top [AVP] was the driving force and his style of micromanaging the project and every facet of it. To pulling information and putting it together within the timeline. That is always difficult. The operation to get it all done was a lot involved. You have to have. Driving force to get things done. He led that effectively.
P14: He [AVP] certainly took a strong role in this, he led the meetings, he pushed us along to make sure we was making good progress. He was pretty driven toward this and you know, I think we were all motivated to get that together and so I would say; ... that is one... that has to be one correlation to the study. Having someone that champions this effort to go after the award. It is pretty daunting to get through the process and submit the application.

Culture of excellence. For the purpose of this study, the culture of excellence is defined as significantly exhibiting the attributes described in the standards required to achieve the AFE recognition. Participants' experiences of the culture of excellence are presented in three subcategories: (1) culture of assessment and inclusion, (2) new

expectations, and (3) improved processes. Participant's verbatim descriptions of their experiences are listed in Table 4 below.

Table 4

Culture of Excellence

CULTURE OF ASSESSMENT & INCLUSION
P1: We started looking at what other universities had submitted and the criteria for that. We started looking at our own operations, strengths, weaknesses, opportunities. Kind of categorizing that those areas specifically and what we can do to change processes or do specific actions to address those.
P1: Um...we get input from different task force if there were major changes, and that developed into facilities management operating procedures and policy.
P2: So we had to overcome that by creating this process that involved everybody and we kept telling people, you know, it's what we do. And I kept asking them to tell us, what are we not doing that we say we are doing? Or that we say we'll do. So it went on for a total of five years, until we got to where we felt confident in submitting for the award. And getting people to look at that document and ask what we are not doing yet.
P2: And there is an external component to. We instituted the professional survey incident. A lot of departments do this. The worker gets an automatic email linked to a monkey survey, how did we do. For external we relied on the survey instruments. And any anecdotal comments.
P2: Um...initially I brought in a work team, a custodial team. And I would just have them all sit around the table in the conference room and we'd go through pure brainstorming session, where I'd tell them I want you to give me any idea you have as to .. if you had one or two things that was on your mind that we could do to improve what we're doing. Or how we're doing it. Or the work environment, what would those be? And tell them that these are not for discussion. It was for the most part, pure brainstorming. Then I would take those, I would distribute back to them everything they said.
P4: We took a look at where we were compared to where we had been. We made some revisions and shared it with the other people [the director, associate directors, managers, office managers].
P5: Then we started our surveys internally. We looked for a different type of survey. We'd do an annual one. Then we started tagging them with the work services. So we do real time and the work orders. And we have a great number of them coming back and sometimes with the people courteous and to communicate well. So you know, and we see something ...so we had something that was real time to us.
P10: We have a fairly robust employee survey program. Then a robust customer satisfaction survey. Those are all items that they look for in a healthy organization.

P11: We did it around a balance score card approach. We looked at people, customers, financial and internal business processes. We did a SWOT analysis. We interviewed our customers. We put together surveys of our own in-house people. We did a grass-roots operation to get consensus on mission, vision, values, that kind of thing. Like I said it was trying to survey our internal groups, the shops, regions and zones to get an input from the workers of what the mission statement should be. What kind of organization they wanted to work in. ... it was a written survey that we used across the board. It was an evaluation of our internal organization.

P2: I think the senior management team that was here. They wanted ... they saw problems that were here. They wanted to reach a new level of excellence. They had a real strong desire to do that.

P10: What helps us that we have an open dialogue with our field staff. This was going to be done at the experience of some field staff.

P11: We did a lot of analyzing, categorizing, putting in the writing the processes and procedures that we had. We also did strategic planning of what kind of organization we wanted to come over the next 5 years.

P6: By going through the process of sitting down and responding to these things on a weekly basis and on the off weeks. What we couldn't answer we integrated through the department. There was a genuine consensus within the department leaders that this was helping us improve. It forced our hand in identifying processes and then documentation of the processes through standard operating procedures. It showed signs that it was improving the organization and how things were done in their areas.

NEW EXPECTATIONS

P1: Personally I have an open door policy. I say, you hold me accountable. And continue to say that, and people need to be honest and say, I'm not perfect. And if you see something I need to do better, tell me. And if enough people in management roles say that over and over again, and they critique you and you listen and say you are right, that gives yourself credibility and leads by example. You can't expect people to have a culture of accountability if you don't let them hold you accountable.

P2: We established early on, an objective -about as objective as you can make it. The fact-finding process for progressive discipline. We applied that to everybody. I think that way again important to the credibility. In terms of my style, it's very open protocol. A belief every person is here to serve, and serve and only... thinking and serving leaders. We don't want robots, supervisors that see themselves out of bosses or managers. The concept that leadership is truly for everyone. My mantra continues to be that. The other big piece, I tend to be very much a people person.

P7: We hired, a few [deleted] workers from [deleted]. They had a different attitude. It's a learning experience for them, but they seem to enjoy working here and we have become a much more cohesive unit...So it was interesting because we never had any kind of a [deleted] influence before, and it is amazing.

P11: We'll train the hell out of them if that's what it takes. We want our people to really know their job. We get journeyman, people that went through apprenticeships. We have our own apprenticeship here.

P2: He restructured skilled trades from the old silos from the first response group, a PM group, a scheduled repair maintenance group and a construction group. And started mixing up what everybody did. For a while you had a locksmith doing painting.

P7: Well, that is something again that [director] has stressed, continual improvement. He made all of that available to us and had us learn it and we continued to add.
P7: Of course, a lot of it has to do with people's personalities. We did the Myers Briggs, we learned about that at the APPA institute. We Myers-Brigged all our employees. The Myers Briggs was a huge help. We learned to respect the way that all of us process things and to learn to step back when it was time to step back and to ask you know, thoughtful questions when we did need to hear what our colleagues were thinking. I think that really had a big part of getting everybody excited about the process too.
P7: So [director] sort of threw all this out, like okay, I want you to know everything about your department. I want you to know how much it costs. I want you to tell me the square foot of maintaining this campus. It's like, "what?" Up until now I knew nothing.
P8: The fourth one in there, would be the upgrading the staff when we had a vacancy.
P8: I am a believer in empowering people and turning control over to them and let them run their own sections as if they owned their own business. That was not easy. People say they want control, but once you give them control, they have to accept responsibility and it was a learning process with them.
P11: When we put it into people's performance plan and measured it against others performance measures we felt that we had good implementation. We would routinely revisit this throughout the five years. We'd have updates or mid-course corrections if we needed them. This helped us stay aware and keep track of how we were advancing through the plan.
P2: He restructured skilled trades from the old silos from the first response group, a PM group, a scheduled repair maintenance group and a construction group. And started mixing up what everybody did.
IMPROVED PROCESSES
P1: Then [AVP2] recognized we were weak on some processes and procedures. What we called our facilities management operating procedures. He went through a very intense effort to give some critical operational procedures put out there. They are documented and those are things we can go back to. How do we say we do this? That was an important first step.
P2: And what we do is started drafting, started identifying those things to put in place, employ task forces to outline procedures. And we had three years in a row, brainstorming sessions, all the different operational teams, and separated by levels, departments, and then bring it all back together again. So it was all a very inclusive process, and a lot of my personal time was devoted to conducting those brainstorming sessions. And then keeping the management team on task was implementing various elements.
P8: I take the maintenance guy around or our grounds person around and we'll go to the golf cart and drive around the campus. We look through the eyes of an outsider. Sometimes you know, we get so used to seeing things that we don't see them. We take eyes of an outsiders and find things we miss. And that has been a culture that we have developed and that is probably the one big thing we have done.
P8: I mean, the bottom line, you have to get people involved, get their input. Make them feel they are part of the team. So I try to share information and I believe our supervisors basically do the same thing. They involve people. Everybody feels they are part of the process. They have a say.
P8: Then empowering people and turning the control over to them and me being a

<p>supporter for them and asking what you need from me in the way of equipment or direction. It was the empowerment, the support. People go going to APPA and seeing what I had seen.</p>
<p>P11: We pushed forward with it and kept people engaged and kept talking to them we kept them informed on what was going on. We gave them feedback on their performance and what they were talking about with the changeover. There was lots of communication and lots of training. Lots of back patting, and atta boying. Sometimes Ah shitting, what did you do there? We have to fix that. Let's go forward again.</p>
<p>P11: We tried to give the recognition that needed to be done when people did the right things. Then when people did the wrong things, talk to them about not supporting the vision.</p>
<p>P11: We tried to reach into the organizations to get the ideas in place and give feedback. We tried to enhance communications at all levels of what we're trying to achieve.</p>
<p>P5: And you know, they do the BPR and we are about to present it to close up the year. It'll be done by the supervisors. And so it gets us engaged and making sure it is an important plan. So then we have the involved and development. Everybody has a say in that and that's what it takes to make everybody feel part of it.</p>
<p>P12: With me changing rolls within the organization to sustain this comes up in the same way. We meet with our crew every morning to talk about events of the day and remind them of what our expectations are. It is true verbal communication to try and keep those things going.</p>
<p>P11: We found the management organization that had a nice product that we could work as a consultant with to implement.</p>
<p>P15: Yes. But in addition we visit a representative in each building. Usually a dean. We visit with them to see if there are any issues they have forgotten to let us know. That gives the occupants a face and a name on a personal level.</p>
<p>P11: Yes, we changed a few things with our plan to focus very heavily on proactive reliability centered type maintenance.</p>
<p>P5: Process redesign. So that is the continuous improvement model and the shops and all the directors and the supervisors have been engaged in doing them in the facilities. And you know ... so we get everybody involved that we can.</p>
<p>P2: And then we started drafting paragraphs that would briefly describe not only what we were doing, but kind of projecting forward out three to five years. Then we started circulating that among the employee groups. And we had three years in a row, brainstorming sessions, all the different operational teams, and separated by levels, departments, and then bring it all back together again. So it was all a very inclusive process, and a lot of my personal time was devoted to conducting those brainstorming sessions.</p>
<p>P9: Um ... we have something called the business leadership team BLT, in an individual business office needs managers. Looking at plant policies as a group and then bring changes or recommendations to the associate directors.</p>
<p>P2: We use the criteria as our strategic plan. We entitled that the "journey to Excellence."</p>
<p>P2: One more thing that is important in this process. The leadership and human relations training we started making available. This came at the tail end and has been part of our journey since we got the award. The leadership academy.</p>

Award for excellence achieved. Participants experienced the journey toward excellence as a destination and as an ongoing journey. Participants' experiences in the period after achieving the AFE can be organized into three subcategories: celebration and outcomes, sustaining excellence, and succession planning. These experiences are noted in Table 5.

Table 5

Outcomes of the AFE

CELEBRATIONS & OUTCOMES
P14: You know, you think they were proud of it too. You know, the video that you put together to show at the conference, really turned out well and we had an annual awards meeting with our people and we showed that video and made a big deal of it and the award.
P15: I felt like we hit a Homerun. We were surprised that we received the award the first time around. I think that everyone is pleased with the national recognition.
P14: Certainly something to be proud of. It was more than a year old process to put the stuff together and certainly it makes you feel pretty proud about the organization and the work you do.
P2: Customer satisfaction. Employee satisfaction levels. One thing to me is measuring turnover rate. It was so high when I got here, 30%. It has dropped while I've been here, now it's under 11%. I think the environment we were creating is a big part of that. It was an environment change that made the difference.
P3: It's been a great marketing tool for our organization. Our president mentions the award a lot. It's good for improved recruitment & retention. It's good for the team too. We have improved morale when the team is celebrated, we were allowed to celebrate, president hosted events, awards, other staff recognized the team, the entire university was proud. My team was pretty excited about the recognition.
P4: We got nothing but positive feedback. It was mentioned by the president over the next 5 years in his speeches. I think it was something he was proud of. Like when you do good on a test.
P9: It was nice timing, we did some appreciation stuff with our staff, ice cream social, T shirts that had the award on it. Award of excellence on the sleeve. Did some nice term around it and our scores improved on that side of things. So actually it was a pretty positive experience and a nice kudos for the staff and department. ... we put it in front of them as nationally recognized for best practices, for being... [long pause]...they do have loyalty to the university as a whole. It helped us tie that, you know, be proud of working for the university and for the good work. Not only are we an outstanding university, but

an outstanding department. We are being recognized by other universities.
P14: Um...it was very worthwhile. It was very rewarding to receive the award. We all went to the [city] meeting, our whole team, and it's something that I think we are all pretty proud of.
P12: I think that the outlook is still with us. To know that we're on the track and high still. We had a special dinner to celebrate. Our staff does wear shirts with a sewn on patch showing the APPA and award for excellence.
P1: We had a weeklong celebration. Ice cream socials, dinners, different events where we celebrated, as a group, the facilities department, for this award. This isn't something that the management got a retreat. None of them got raises. The only award was the self-affirmation and recognition from our parent organization. From peer investigators who said we deserved this award.
P10: Everyone in the groups got T-shirts. We had a celebration luncheon and we had maybe 3 different events to recognize everyone on the shifts and staff. They give you 1 or 2 of these plaques. We asked for additional ones to go to each department that contributed. Then they can have that in their main office area. That recognition didn't stay in the executive director's office. It made it out to all of the sub departments within plant operations.
P12: I think it's great. It is a team building exercise and makes you come together.
P12: We just had our commencement weekend. We talk about APPA and the award for excellence. It's other people, not just my boss, but other departments recognized what it took to pull this off.
SUSTAINING EXCELLENCE
P2: Journey to excellence. That's our process. We still refer to it that way; we are still in the journey.
P1: And post affirmation that it's not the end of it. You have a leader struggling, so if we don't continue to do stuff that is pertinent, then and he had an issue come up, personal issue with a director that really shattered his trust in this person. The trust was broken. If we can't aspire to be better than now are today, next week, we can't do that. Then we should send the plaque back. He's serious about that.
P1: That was the post effect. We worked really hard to get this award. Some people think we're done with that. But we have that in the back of our mind. We are living up to it and walking the walk instead of talking the talk. So it's a focus and paradigm we need to continue to bring honor to the award. Not just get it and say we got it and check it off on the list and move on. So it's critical, that [AVP2] will retire in 2-5 years, so whatever folks here post [AVP2] need to carry on the torch. So whatever they hire in, hopefully they understand what the award for excellence means.
P3: We are refining our metrics. Metrics are very important. They are pretty good already, but now we are trying to get into more details and have data that can be used more frequently. We are now trying to measure monthly. We've got a ways to go, but now, we are almost forced to do it. We have to prove everything by data. If supervisor wants to fill the position, they have to prove why they need the staff based on metrics.
P7: For one thing, it made us examine every single facet of our department. Applying for the award for excellence really brought all the points into sharp focus and we had to provide accountability for those things that we had worked with and on. It was great. It

really to me, takes facilities to a focused and professional level. And because we have set the standard of having things done right and having that expectation I think it has raised the level of quality of work we do
P12: I think a quarterly reminder with our crew that we want to pursue this and still be that example afterwards for the next 10-15 and continue to grow. We don't want to level off and say "now what."
P13: I think it was a good experience. It is an award we have on our steps. When people come in they can see it. This was kind of a benchmark for us to continue the best we can. We want to maintain that level. It is a good feeling to know that you're doing something right. Then to try and continue to be there and improve where you can. I think it is good that we did that and it pushes us in that direction.
P13: Right. At the end of the process we all got our shirts and uniforms had an APPA logo and the plaque on the wall. There is pride in that for the management team and [AVP]. The guys who were involved knew what that was. It is something that they can look at as our driving force now to continue.
P13: I don't know about getting the award again. But a lot of the things we do have been streamlined or come out of that process. We're always looking to get better. We're working on our work order system and I'm on that. Not as exciting. We're trying to streamline some of our customer surveys so we need to get information out of that. We continue our training with everyone in the office.
P3: He (VP) wants the entire campus to do it [Baldrige]. We are a really a head of the curve since we've already done the AFE. We already have our process documented and have data from the metrics we set up. Other departments are just starting. Purchasing, pay role, HR and the rest of the departments have to document their process. We're glad that we already did all that stuff.
P3: Our levels may drop if the funding is lowered. We were in over budget situation and the APPA award process made us look at the facts. We may have been over staffed. Massive changes in the department was needed.
P11: The year that we won the award for excellence, the job satisfaction among our workers peaked. Since that time we have dropped off somewhat.
P10: I don't think you get a lot of budget relief from something like this. Someone could come back and say I don't need a platinum working program. We just need a gold level. We've won the award and now we can come off of it.
P9: The only thing I might say, once we went through that, we didn't really capitalize on anything beyond that. We got the awards; we celebrated it, and then went back to business as usual. And we haven't done anything with it that I know of. We have since gotten other certification and some banks outside of APPA that with that particular thing. I don't know we've done anything beyond that.
SUCCESSION PLANNING
P1: And so it's an important core value to this organization and we want to continue that. Not just let it retire with [avp2].
P2: And succession planning. Because it's creating supervisors for the future. We have had promotions that would not have happened had those people not availed themselves of this training.
P1: If somebody within the organization is groomed or appropriate can take [avp2's]

leadership role and teach the job successful, then will continue. But I think the reality is, it's very possible and likely somebody external will actually fulfill [avp's] role. If that happens, it's important they understand where we came from and where we'd like to go.

P7: I am hoping that nobody will try to stuff the genie back in the bottle and make us go back to having one or two people in charge. That they will continue to let us do this. The only thing we can do is be as professional as possible, keep up with all of our statistics for example our work order analysis we do, that we supervisors do. I hope that the next person coming in will see the value in that and respect what we have learned. I hope we get an APPA advocate. I hope we do. Because I think without APPA, APPA sets the benchmark for professionalism in utilities. They are the gold standard. Unless you have somebody keyed into the role APPA can play in a facilities department, it can fall apart.

P12: We have had a lot of change over on our staffing and that is an issue. If you have a good documented process then as people move around in the organization it is clear with what needs to be done. Then it flows. People around you don't notice and they might say there are new people but the plants are still running. But you don't get paralyzed because if the one person moves on who was believing in the vision and everyone can say "what now?"

Textural descriptions

Textural description provides “a description of ‘what’ the participants in the study experienced with the phenomenon” (Creswell, 2007, p. 159). Participants in this study experienced the pursuit of the AFE in several ways.

Driving forces. First, the participants described two main forces that drove their campus to pursue the Award for Excellence. One was the desire for “the positive recognition that facility services would get (P4) nationally (P9), regionally (P1), and “[F]rom the college community” (P7). The participants identified the desire to improve as a second major force. According to P11, “[T]he real drivers were the strategic plan and the need to overall improve the performance.” Additionally, the participants identified vision and goal (P2, P10), the “[D]esire to uplift this organization” (P2), change the perception of the team (P8), and as a way to alleviate being “[W]orried about outsourcing” (P13) as reasons for pursuing the AFE.

Pre-AFE culture. Second, participants described the culture before and during the early stages of the AFE journey in two ways: resistive and supportive. The resistive culture was described as one of mistrust (P2). The staff members were “skeptical” and “didn’t have confidence” in the leadership (P1) because “the survey was falsified to show we were positive” (P1). One participant noted, “Early on, I heard some negative things...there were comments that you are trying to buy us” (P8). There were concerns about “the director [who] was secretive...wanted to control everything...we had an adversarial relationship with the directors” (P7). The leadership saw their teams as doing “Whatever seems easiest,” often reverting “Back to the normal bent or path of least resistance” (P1). One leader said, “And, we could tell we were not maturing at the right rate (...) we had a lot of good people and knowledgeable people but our processes weren't in place ...” (P5). Participants also noted “[M]y direct reports in middle management were not on board” and “they were doing it by cloak and dagger” (P2), there was “resistance from the supervisors at first” (P7), “my supervisors didn't know, (...) they didn't know what it meant to supervise” (P8), and “I didn't feel it was a customer-focused orientation with the practice and policy that was in place” (P11). “You can empower all you want, but if the empowerment wasn't accepted, it won't work” (P2).

Participants described the supportive culture as one of change readiness: “They were ready (...) they wanted positive change (...) they were ready to change” (P2); “Didn’t really have problem getting involvement” (P3). Participants also described the use of a team approach: “[U]sed a team approach” with “regular meetings” (P3); “All of us supervisors got involved in several different capacities” (P7); “[E]verybody pulled together” (P9); “It was a good team effort” (P4). “I think that employees, especially the

administrative support staff. There is a lot of Admin and staff time that went into the forming of that” (P10). Participants described the use of a coordinator. “We assigned an administrator to be a coordinator” (P9). “(...) we selected (...) one of the directors that is to be, he was to be the watchdog and keep us on task. Make sure we come together and keep moving forward” (P2). “We committed to meeting as a group for an hour and a half a week” (P14).

Participants perceived two cultures and recalled the various ways of getting the job done: “I felt that we had a deadline and timeline to make it (P4). “The driving force to push the deadlines and getting the correct information together (P13). “[AVP] certainly took a strong role in this, he led the meetings, he pushed us along to make sure we was (sic) making good progress. He was pretty driven toward this and you know, I think we were all motivated to get that together” (P14). “So each director felt accountable to do the materials for going into the application. We had peer reviews by staff. They gave input that was valuable. We wanted to present to the best of our abilities” (P15). Finally, the participants recalled their experiences as “pretty daunting [and] comprehensive,” but “painless” (P9) and “clearly laid out” (P15). Participants described it as a positive experience (P9, P10, P12) and an enjoyable challenge (P4).

Leadership practices and styles. Third, the participants identified two facets of leadership that can be categorized as leadership practices and leadership styles.

Participants experienced leadership practices in several ways. Participants describe the facilities leadership team as the primary initiators (P4, P3, P12): “He [AVP1] was really the one the wheels started moving, where we need to aspire to a level we can get the

award and be recognized” (P1); “Um (...) we made the decision at the director level” (P9).

Participants described leaders as setting expectations: “He wanted to install the ability for folks to be confident in making decisions in the front line level (P1); “To engage employees and putting procedures together, defining our process. A vision of customer service that banded new levels of excellence” (P2); “He [AVP] was one that gave you the instructions and gave you the target goals. He gave you when those goals had to be completed and you had to figure it out” (P6); “He [director] said, I want you to think of your shop as your business. And I want you to be empowered to run it yourself and know everything” (P7); “He has a high level of expectations...” (P13); “And by virtue of discharging some management members, even direct reports, that did not live up to the cultured principles we had espoused” (P2).

Participants attributed setting priority for and focus on the AFE journey to facilities leaders. The participants experienced the following: “There were things we needed to do, we couldn't find the focus and dedication until the leadership, we made it a priority” (P1); “Right now, our vision is that award” (P2); “It was part of our goals,...the executive director was driving the interest of having that for our group” (P10); “You get them on board by having the leader of the organization set the tone. This is what I want in your goals. This is what I want you to work on” (P6).

Participants identified leaders as key to maintaining progress stating, “We spend a lot of time with our employees, we provide information...It continues every day. And that is how we continue it to make sure it will stay” (P5). Participants recall their [senior leaders] espoused this goal very specifically and committed themselves to changing and

putting it into place all these things” (P2), and that their “[director] being single minded when it comes to a project or a process, he will do whatever it takes to get that done” (P7).

Participants described leaders as “It's not a one style fits all” (P11) with a large range of leadership styles:

1. Laissez faire/Consensus/Democratic – “He [director] was more laissez faire. You had more of a relationship with him about how to get a job done. He was more democratic in a way.” (P13); “We may not agree on everything, and when all is said and done, 9/10 of the decisions are made by the group” (P5).
2. Compassionate – “I think he [AVP] is sensitive to...employees and compassionate (P1).
3. Empowering – “The VP was pretty empowering...Very hands off. Not micromanaging” (P2); “I think in one word to describe [AVP1’s] leadership is empowering...He let you go in and do things, but he also wanted documentation of what you did” (P6).
4. Authoritative – “[AVP2] is authoritative when he needs to be and making decisions...” (P1); “Sometimes he'll say, you know, he will ask an opinion and you'll give it to him. And he says we'll do it anyway” (P9).
5. Hierarchical – I think [AVP] has a clear strict direct defined roll and likes to look at things in a hierarchy and that is how our department is set up” (P12).
6. Micromanaging/Demanding – “It takes freedom to do your job and he was demanding. You had to have your ducks in a row” (P5); “He is involved in

our daily activities to be sure we're doing the right thing. He dictates down to all of us. Including our guys” (P13).

7. Pace setter – “He [AVP] certainly took a strong role in this, he led the meetings, he pushed us along to make sure we was making good progress” (P14).
8. Visionary – “I try to be visionary about things and look for where the department should be” (P11).

Culture of excellence. Fourth, the participants identified experiences associated with culture of excellence. For this study, the culture of excellence was defined as significantly exhibiting the attributes described in the standards required to achieve the AFE recognition. Participants’ experiences of the culture of excellence are presented in three subcategories: (1) culture of assessment and inclusion, (2) new expectations, and (3) improved processes.

Participants identified experiences related to assessment and inclusion. Participants described their experiences in the following ways: “We started looking at what other universities... We started looking at our own operations, strengths, weaknesses, opportunities; kind of categorizing that those areas specifically and what we can do to change processes or do specific actions to address those” (P1); “We took a look at where we were compared to; where we had been. We made some revisions and shared it with the other people” (P4); “[A]lso did strategic planning of what kind of organization we wanted to come over the next 5 years” (P11).

More specifically, participants described the use of survey as a tool for assessment and inclusion: “We instituted the professional survey incident. The worker

gets an automatic email linked to a monkey survey, how did we do?” (P2); “Then we started our surveys internally. We looked for a different type of survey. We'd do an annual one. Then we started tagging them with the work services. So we do real time and the work orders” (P5); “We have a fairly robust employee survey program; then, a robust customer satisfaction survey. Those are all items that they look for in a healthy organization” (P10).

The participants also noted the use of taskforces: “Um... we get input from different task force if there were major changes, and that developed into facilities management operating procedures and policy” (P1); “The goal was to achieve this award, not management getting recognition. So we had to overcome that by creating this process that involved everybody and we kept telling people, you know, it's what we do.” (P2); “What helps us that we have an open dialogue with our field staff” (P10); “By going through the process of sitting down and responding to these things on a weekly basis... There was a genuine consensus within the department leaders that this was helping us improve” (P6); “I mean, the bottom line, you have to get people involved, get their input. Make them feel they are part of the team” (P8); “We Myers-Brigged all our employees. The Myers Briggs was a huge help. I think that really had a big part of getting everybody excited about the process too” (P7).

Participants identified new expectation related to the culture of excellence. They described their experiences related to personnel standards in the following way: “I say, you hold me accountable. You can't expect people to have a culture of accountability if you don't let them hold you accountable” (P1); “We established early on, an objective... fact finding process for progressive discipline” (P2); “...[E]very person is here to

serve,... We don't want robots..." (P2); "We hired a few [name deleted] workers from [company deleted]. They had a different attitude" (P7); "We want our people to really know their job. We get journeyman, people that went through apprenticeships" (P11); "a commitment would be the upgrading the staff when we had a vacancy" (P8); "...[W]e put it into people's performance plan and measured it against others performance measures..." (P11); "Well, that is something...[director] has stressed, continual improvement... I want you to know everything about your department" (P7); "People say they want control, but once you give them control, they have to accept responsibility and it was a learning process with them" (P8).

Participants described three areas of improvement in the culture of excellence: improved process, improved leadership, and improved operations. "[AVP2] recognized we were weak on some processes and procedures. He went through a very intense effort to give some critical operational procedures put out there. That was an important first step" (P1); "...[W]e...started drafting, started identifying those things to put in place, employ task forces to outline procedures" (P2); "...[T]hey do the BPR [business process reviews] ... It'll be done by the supervisors" (P5); "Um ... we have something called the business leadership team, BLT... Looking at plant policies as a group and then bring changes or recommendations to the associate directors; " ... [W]e started drafting paragraphs that would briefly describe not only what we were doing, but kind of projecting forward out three to five years. Then we started circulating that among the employee groups...brainstorming sessions..." (P2).

Participants described improved leadership practices to include: giving "recognition that needed to be done when people did the right things. Then when people

did the wrong things, talk to them about not supporting the vision” (P11); “... empowering people and turning the control over to them and me being a supporter for them...” (P8); Providing “leadership and human relations training...” (P2); keeping “people engaged and...informed on what was going on” by giving “them feedback on their performance...” and “Lots of back patting, and atta -boying. Sometimes Ah shitting, what did you do there? We have to fix that. Let’s go forward again” (P11).

Participants’ verbatim description of their experiences of improved operations included, “Process redesign. So that is the continuous improvement model and the shops and all the directors and the supervisors have been engaged in doing them in the facilities. And you know...so we get everybody involved that we can” (P5); “I take the maintenance guy around or our grounds person around and we’ll go to the golf cart and drive around the campus. We look through the eyes of an outsider” (P8); “... [I]n addition we visit a representative in each building. We visit with them to see if there are any issues they have forgotten to let us know” (P15); “We meet with our crew every morning to talk about events of the day and remind them of what our expectations are. It is true verbal communication to try and keep those things going” (P12); “...[W]e changed a few things with our plan to focus very heavily on proactive reliability centered type maintenance” (P11).

Post-AFE. Fifth, the participants’ experiences associated the post-AFE, having achieved the AFE, can be summarized into two categories: Celebrations and beyond AFE.

Participants described their experience of achieving the AFE as a celebration, “certainly it makes you feel pretty proud about the organization and the work you do”

(P14); “I felt like we hit a homerun” (P15); “So actually it was a pretty positive experience and a nice kudos for the staff and department ...” (P9); “My team was pretty excited about the recognition...” (P3); “We had a weeklong celebration. Ice cream socials, dinners, different events where we celebrated, as a group, the facilities department, for this award” (P1).

Participants also described other outcomes related to achieving the AFE: “It’s good for improved recruitment & retention. It’s good for the team too. We have improved morale...” (P3); “[P]ositive environment that decreased staff turnover rate from 30 % to 11%” (P2). “I think that the outlook is still with us. Our staff does wear shirts with a sewn on patch showing the APPA and award for excellence” (P12); “They give you 1 or 2 of these plaques. We asked for additional ones... It made it out to all of the sub-departments within plant operations” (P10); “It is a team building exercise and makes you come together” (P12).

Having experienced celebrations and received recognitions for achieving the AFE, the participants described their thoughts about sustaining the level of excellence. “We are still in the journey” (P2); “And, post affirmation that it’s not the end of it... Some people think we’re done with that. But we have that in the back of our mind. We are living up to it and walking the walk, instead of talking the talk. So it’s a focus and paradigm we need to continue to bring honor to the award. Not just get it and say we got it and check it off on the list and move on” (P1). “The pursuit of excellence continues with metrics being refined” (P3) and functions as “kind of a benchmark for us to continue the best we can. We want to maintain that level” (P12). Participants continued to “examine every single facet of our department...and because we have set the standard of

having things done right and having that expectation I think it has raised the level of quality of work we do” (P7), being mindful that “[w]e don’t want to level off and say ‘now what?’” (P12). More specifically, the participants described the role of succession planning in sustaining excellence: “So, it’s critical, that [AVP2] will retire in 2-5 years, so whatever folks here post [AVP2] need to carry on the torch. So whatever they hire in, hopefully they understand what the award for excellence means” (P1); “And succession planning; because it’s creating supervisors for the future. We have had promotions that would not have happened had those people not availed themselves of this training” (P2); “I am hoping that nobody will try to stuff the genie back in the bottle and make us go back to having one or two people in charge. That they will continue to let us do this. I hope that the next person coming in will see the value in that and respect what we have learned” (P7); “We have had a lot of change over on our staffing and that is an issue. If you have a good documented process, then as people move around in the organization it is clear with what needs to be done...[Y]ou don’t get paralyzed because if the one person moves on who was believing in the vision and everyone can say “what now?” (P12).

However, participants also expressed their concerns related to not maintaining excellence. Participants’ described the process as follows: “Our levels may drop if the funding is lowered. We were in over budget situation and the APPA award process made us look at the facts.” (P3); “We got the award, we celebrated it, and then went back to business as usual. And we haven’t done anything with it that I know of” (P9); “I don’t think you get a lot of budget relief from something like this. Someone could come back and say I don’t need a platinum working program. We just need a gold level. We’ve won the award and now we can come off of it” (P10); “The year that we won the award for

excellence, the job satisfaction among our workers peaked. Since that time we have dropped off somewhat” (P11).

Structural Description

Creswell (2007) defines the structural description as “a description of ‘how’ the experience happened” reflecting on “the setting and context in which the phenomenon was experienced” (p. 159). Participants described their experience with the pursuit of the Award for Excellence in ways that vary with each theme.

Driving force. Participants described three reasons for pursuing the Award for Excellence: recognition, need for improvement, and accomplishing strategic goals. These experiences were guided by the vision, goals, and instructions established by the senior facility officer and vice presidents who promoted the AFE as important for recognition or as a way to improve performance. Participants described their perceptions that they were as good as any other institutions and were confident they could achieve it.

Pre-AFE culture. Participants described the culture before and during the early stages of the AFE journey in two ways: resistive and supportive. The resistive culture was described as one of mistrust of leadership by the staff. The leadership was also perceived as having an adversarial relationship with the staff and among the leadership itself. Participants also described a culture that was supportive as demonstrated by readiness to accept change, openness to a team approach, and the demonstration of a unified effort toward achieving the AFE.

Leadership. Participants experienced leadership in many ways during the AFE journey. Senior facilities officers and vice presidents were seen as primary initiators of action required to begin the journey either by setting a vision or establishing a goal to do

so. Senior facilities officers and vice presidents are also seen as key agents for setting the expectations necessary drive the change effort. Senior facilities officers, with support from facilities leaders, were identified as key agents in establishing a priority for and the focus necessary to achieve the AFE recognition. Finally, the senior facilities officer was seen as the person to ensure progress was maintained.

Participants described their experiences with the leaders along a large range of leadership styles: laissez faire/consensus/democratic, companionate, empowering, authoritative, hierarchical, micromanaging/demanding, pace setter, and visionary. While these leadership styles are palpable and central to the activities related to each of the themes in this study, no one style was predominantly present across all participants.

Culture of excellence. For this study, the culture of excellence was defined as significantly exhibiting the attributes described in the standards required to achieve the AFE recognition. The participants' experience of the culture of excellence was framed in the context of a large range of leadership styles. Participants identified the culture of excellence in several ways. First, participants perceived assessment and inclusion as part of the new culture. The culture of assessment included such activities as exploring the processes of other universities and examining a department's internal processes. More specifically, assessment and inclusion expanded to include seeking feedback from their staff and customers through surveys and taskforces.

Second, participants experienced new expectations related to the culture of excellence, including mutual accountability, progressive discipline, leaders committed to serve, upgrading personnel when replacing or hiring employees, continually improving,

and empowering others with an associated expectation to accept responsibility were some of the emerging experiences the participants identified.

Third, participants described three areas of improvement in the culture of excellence: improved processes, improved leadership practices, and improved operations. A partial list of improved processes and procedures includes documenting new policies and procedures, implementing business process review, and instituting business leadership teams that review department policies on an on-going basis. Improved leadership practices include such activities as giving recognition for a job well done, as well as holding the team accountable when they do not support the vision, empowering the staff, providing leadership and human relations training, and keeping people engaged through regular communication. Improved operations included a culture of continuous improvement, routine inspections with an outsider's eye, making house calls to the customers, and connecting daily with the team.

Post-AFE. The post AFE experience consisted of two categories: celebrations and beyond AFE. Achieving the AFE was perceived as a positive experience for the participants and their work colleagues. Participants used descriptors such as “pride,” “excitement,” and “positive” to describe their experience of achieving the AFE. The experience was elevated further by formal celebrations that were recognized campus-wide with prominence given in presidential speeches.

Beyond the celebration, participants identified two clear post-AFE tracks: a move toward sustained excellence and a move away from sustained excellence. A move toward sustained excellence involved maintaining the culture of excellence through strategies

noted earlier. In addition, the participants identified a theme of succession planning as crucial to long-term continuation of a culture of excellence.

The second track, a move away from sustained excellence called attention to decreased funding, and a mindset that achievement of the AFE was a goal to be checked-off rather than a commitment to sustained excellence. A key concern of continuation of excellence was whether or not the new department leadership was willing to continue to support a culture of excellence. Leadership style, however, was not a factor participants expressed as critical to continued excellence.

Composite Description

Composite description incorporates both the textural and structural descriptions to articulate the essence of the experience of the participants of a phenomenological study (Creswell, 2007). Participants' experiences in this study encompassed a broad range of leadership styles and change related issues during their journey toward achieving the Award for Excellence. The reasons cited by the participant for pursuing the Award for Excellence were (1) recognition, (2) a desire to improve, and (3) to meet the institution's established strategic goals. The two key leaders identified by the participants having most influence were the vice presidents in charge of facilities and the senior facilities officer.

Participants identified the existence of a pre-AFE culture, a culture that existed before the AFE process began on their campus. The culture had two general overtones, supportive or resistive. The supportive culture was ready to embrace change with team members that were generally prepared to take action. Participants described the supportive group as having the perception that the AFE process was a positive and relatively enjoyable process. The resistive culture was characterized by having an air of

skepticism and generally lacked trust between the staff and the leaders and within members of the facilities leadership team.

Participants recognized the role of leadership to be foundational in the AFE journey. The vice president and the senior facilities officer were perceived to be vital primary initiators of the actions required to initiate the journey, either by setting the vision or establishing a goal. Further, senior facilities officers and vice presidents were seen as key agents for setting the expectations necessary to change drive the change effort. This includes working to convert the resistant pre-AFE culture to a supportive culture. In this process, the senior facilities officers, with support from facilities leaders, were key agents in prioritizing resources and bringing the focus necessary to achieve the AFE recognition. Finally, the senior facilities officer was identified as the person responsible to ensure that progress was maintained. According to participant perception, achieving the culture change did not depend on a particular style of leadership. However, participants identified a slightly larger number of authoritative, hierarchical, and micromanaging leadership styles present among the campuses represented in this study.

Participants recognized that the difference between the pre-AFE culture and the culture of excellence as the latter having achieved the AFE. Participants identified three facets of a culture of excellence. First, assessment and inclusion were significant principles and practices in a culture of excellence. Assessment and inclusion included seeking feedback from the staff and customers through survey and taskforces. Second, new expectations for mutual accountability, progressive discipline, engaged leadership, effective hiring, continual improvement, and employee empowerment were identified as important components of creating and sustaining a culture of excellence. Third, the

creation and maintenance of a culture of excellence requires exercising improved procedures, improved leadership practices, and improved operations.

Finally, participants perceived the recognition of achieving the AFE as a celebration. However, participants pointed out that to continue the track of sustained excellence, consideration must be given to addressing continuity issues related to funding, to maintaining a continuous improvement mindset, and to succession planning.

CHAPTER 5

Discussion, Conclusions, and Recommendations

The purpose of this study was to identify, based on the perceptions of winners of the Award for Excellence, the key factors and conditions needed, on a higher education campus, to initiate and sustain a culture of excellence in facilities management. This study addressed the following four research questions:

- i) What forces, if any, are identified by participants as driving forces that led the campus to pursue the Award for Excellence?
- b) What change model or theory was most relevant for the pursuit the Award for Excellence?
- c) Which leadership theory and approach were utilized in the campuses that pursued the Award for Excellence?
- d) What were the major factors that have supported or undermined the continuation of a culture of excellence?

This chapter is organized to share conclusions to the four research questions that guided this study. The first section will address the driving forces that initiated the pursuit the Award for Excellence. The second section will discuss the change model or theory most relevant for the pursuit of an excellence award. The third section will respond to leadership theories and approaches utilized in the campus that pursued the Award for Excellence. The fourth section will discuss the major factors that have supported or

undermined the continuation of a culture of excellence. The final section of this chapter will offer recommendations for further research on this topic.

Driving Forces

Burke & Associates (2004) identified three key stakeholder groups that define excellence and serve to drive institutions to pursue excellence: (1) the state priority that represents the public interests, (2) the market force that represents the individual interests of the people that have the ability to control the products or services to be utilized based on how their needs are best met, and (3) the academic concern that represents academe, which has strong thoughts about how education should be delivered. National discussions have highlighted the need for American institutions of higher education to ensure the provision of quality, affordable, accessible, and accountable education (U.S. Department of Education, 2006). There have been claims that legislators respond primarily to the market force, namely the outcry of the public sector demanding greater accountability and educational reform (Dickeson, 2006).

From the perspectives of the participants in this study there were indications that two of the three forces defined by Burke & Associates were in play. The force most directly experienced by the participants was the internal academic concern. This experience, however, was narrowly focused at the department levels, as indicated by their desire for “the positive recognition that facility services would get” (P4), nationally (P9), regionally (P1), and “from the college community” (P7). The participants identified “the need to overall improve the performance” (P11), to accomplish the vision and goal (P2, P10), the “desire to uplift this organization” (P2), and to change the perception of the team (P8).

There was also an awareness of the influence of the market forces. Participants recognized the AFE as “the way to market yourself, more credible with an external organization” (P3), and “It’s been a great marketing tool for our organization. Our president mentions the award a lot. It’s good for improved recruitment and retention” (P3). There was also mention of pursuing excellence as a way to alleviate being “worried about outsourcing” (P13). The concern for outsourcing appears to be market force related. Similar to the academic concern, this awareness was localized to the facilities department level.

Participants in this study did not identify a pressing need to address the state priority as a force driving the pursuit of excellence. For example, there was no mention of the pressures on American institutions of higher education to ensure the provision of quality, affordable, accessible, and accountable education as it related to the state’s priority. There was also no mention of regional or specialty accreditation as a driver for quality and accountability.

In summary, the impetus for pursuing the Award for Excellence had more to do with the role of leadership associated with facilities departments than with pressures experienced at the institutional level. In other words, the driving force appeared to be at the instruction or direction of the vice president, the senior facilities officer, and facilities leaders with whom the participants engaged in order to complete the AFE journey.

Change Model

To discuss change, one must ask, change from what to what? Participants recognized that there were differences between the pre-AFE culture, a culture that existed before the AFE process began and the culture of excellence, as defined by achieving the

AFE. Participants identified the existence of a pre-AFE culture as having two general overtones, resistive and supportive. In the following section, the change experienced is explained in context of existing change theories.

Behavioral-based change theories. For the campuses with resistive pre-AFE cultures, the participants reported skepticism and a general lack of trust between the staff and leaders and among leadership team members. For the resistive pre-AFE culture, the change model that best fit the participants' experience appeared to be Lewin's behavior modification based change model, which has three steps: unfreeze the existing status quo, create movement in the desired direction, and finally, refreeze the behavior to anchor the new behavior (as described in Robbins & Judge, 2008). Using Lewin's model, the resistive pre-AFE culture represented the existing status quo experienced by the participants. Participants described that a significant role of the leadership was to unfreeze the existing status quo. For example, the unfreezing was initiated by the vice presidents and senior facilities officers who set a vision and direction for change, namely to set an expectation of excellence and to pursue the AFE.

Lewin's second step (as described in Robbins & Judge, 2008) is to create movement in the desired direction. Once again, participants experienced leadership as initiating the change momentum. Vice presidents, senior facilities officers, and facilities leaders were identified as the primary initiators to begin the excellence journey by (1) setting the expectations necessary to drive the change effort, (2) establishing a priority for and the focus necessary to achieve the AFE recognition, and (3) ensuring that progress was maintained.

Lewin's third step (as described in Robbins & Judge, 2008) is to refreeze the behavior in order to anchor the new behavior. Participants identified three facets of a culture of excellence. Again, leadership was identified as a driving force in creating the AFE culture ensuring that (1) the assessment and inclusion were significant principles and related practices were ongoing, (2) new expectations for continual improvement were upheld, and (3) improved processes, improved leadership practices, and improved operations were put into practice. In order to change a resistive pre-AFE culture, this study recognized the application and utility of Lewin's behavioral-based approach to change. That is, the deeply anchored behaviors embedded in the resistive pre-AFE culture required unfreezing before these behaviors could be reshaped into a culture of excellence.

Other behavior-based models can be applied to the resistive pre-AFE culture. For example, the participants also experienced Flamholtz and Randle's (2008) Management Systems' phases of change: planning for the AFE, starting with leadership setting the direction, letting go of past practices, and completion of the goal of achieving the AFE. This model, however did not directly acknowledge the resistance that participants noted in the pre-AFE culture.

Another model needs to be briefly mentioned. Kotter's (2006) eight-step change model describes a way to expand upon and implement Lewin's three-step model. Participants described components of the eight steps in the model (see Table 6). For example, developing a vision and communicating the change vision were experienced by participants on all seven campuses included in this study. However, participants did not identify any campus that utilized all eight steps. Additionally, the sequencing of the steps did not follow Kotter's recipe-like formula required for a successful change effort.

Table 6

Participant Campuses Use of Kotter's Eight-Step Change Model

	Campus 1	Campus 2	Campus 3	Campus 4	Campus 5	Campus 6	Campus 7
1. Establish a sense of urgency by facing current realities and identifying threats			√	√		√	
2. Create the guiding coalition by assembling an adequate power base that can work well together	√	√	√		√		
3. Develop a vision and strategy that will direct the change effort	√	√	√	√	√	√	√
4. Communicate the change vision – by using every vehicle and model	√	√	√	√	√	√	√
5. Empower broad based action – by removing obstacles, changing systems that undermine change, and encourage risk-taking	√		√	√	√		
6. Generate short-term wins – plan for visible improvements, create the wins, recognize the wins	√						
7. Consolidate gains and produce more change – use the momentum to make more positive changes: hire, promote people with change vision					√		
8. Anchor new approaches in the culture – link improved performance to change efforts, develop regenerative leadership	√	√			√		

Social-based change theory. The social approach to change suggests that change is a social event and requires willing participants. Fullan (2007) described the change process as a social event that involved a three-stage process of initiate, implement, and institutionalize. Fullan's three stage process appears similar to Lewin's three-steps; however, the difference between the models is confirmed in the manner in which the change takes place. For Fullan, the approach must be initiated through relationships and mutual respect with broad participation based on shared meaning. For the supportive pre-AFE cultures, the participants' experiences aligned with Fullan's idea that change is a social event. Supportive pre-AFE cultures were described as having a "team approach" (P3) and well established leadership engagement (P3, P7, P9, P10, & P14). The participants described the supportive culture as change ready: "They were ready...they wanted positive change...they were ready to change" (P2); "Didn't really have problem getting involvement" (P3). Participants described the use of the language of cooperation as: "[U]sed a team approach" with "regular meetings" (P3); "All of us supervisors got involved in several different capacities" (P7); "[E]verybody pulled together" (P9); "It was a good team effort" (P4); "We committed to meeting as a group for an hour and a half a week" (P14). For these campuses, the AFE was a way to document the improvement journey they had initiated some years prior (P3, P4, P6, P11, & P14). For the supportive pre-AFE cultures, this study supports Fullan's view that recognizes change as a social event.

Two groups (campuses 1 and campus 5) took a social approach to change and used a process similar to the 5 -D Model reported by Watkins and Mohr (2001). Each group looked at staff at all levels of the department to help define excellence, discover

what they did well, as well as what they needed to do better, envision their future, develop goals and strategies, and implement their plans to achieve the AFE (P2, P11). The approach, however, lacked Watkins and Mohr's key argument to focus and build on what is working well in the organization.

One other model that regards change as a social event and worth noting here is Kouzes and Posner's (2007) five core practices and ten commitments of leaders. While participants provided glimpses of the five core practices and the ten commitments of exemplary leaders, the model in its entirety was not prescribed by the participants.

Blended approach to change. The blended approach reinforced the complexity of change. Participants experienced both the behavior-based model and the change as a social event approach. Given that neither approach, behavior-based and social-based, by itself can explain what the participants experienced collectively, a blended approach, such as suggested by McWhinney (1992) offers a meaningful alternate explanation. McWhinney argued that the change process is a problem-solving exercise achievable by blending the leadership styles and the worldview of the followers together within the context of the existing culture. For McWhinney, problems could be solved with the two paths to resolution. Revitalization is a top down approach in which a charismatic leader begins with a vision of a desired future, gains commitment from the followers, and implements the change through a pluralistic effort. Renaissance approach uses an open system to initiate a "rebirth" based on new criteria for choosing an outcome. This approach is highly participative and is claimed to create group ownership. The basic process involves identifying the criteria, which in this study was attaining the AFE. Then, based on the outcome criteria, the problem solvers use one of six basic modes for change.

In this section, each mode will be linked with participants' experiences relevant to the mode.

The analytic mode achieves change by imposing data-based policies deemed rational action by management. The AFE is a data-based recognition system and all seven campuses were required be data-based. Participants were "data driven" (P11) being responsible for "coordinating the data and getting it as accurate as possible" (P4) and being the "gate keeper of the data" (P7). Ultimately, for every AFE campus, "Metrics are very important" (P3), but for campuses 2 and 3, the analytic mode was the core approach as "We have to prove everything by data" (P3).

The participative mode applies a more democratic approach that achieves change by developing a shared value, based on data. Campuses 1 and 5 used this approach. Participants described the senior facilities officer who "essentially...wanted to have consensus in participating in this" (P9). The senior facilities officer of the same campus declared, "We did a grass-roots operation to get consensus on mission, vision, values, that kind of thing" (P11).

The imperative mode is purely autocratic and achieves change based on the authority of leadership acting on behalf of an institution. Campuses 3, 4 and 6 primarily used this approach. Participants of these campuses described a top down approach. P12 noted:

Yes I think that [AVP] was the driving force ...I just remember that it was something he wanted to pursue as the AVP and wanted the team support for getting the information collected....[AVP] has a clear strict, direct, defined roll and likes to look at things in a hierarchy and that is how our department is set up.

Another participant said, “The VP decided to have an FMEP done. He came in and talked to us and gave us a list of things to improve” (P7).

The emergent mode achieves change through ideas developed through social interactions. Campuses 1 and 5 utilized this approach. P2 explained:

And what we do is started drafting, started identifying those things to put in place, employ task forces to outline procedures. And, we had three years in a row, brainstorming sessions, all the different operational teams, and separated by levels, departments, and then bring it all back together again. So, it was all a very inclusive process, and a lot of my personal time was devoted to conducting those brainstorming sessions.

The inventive mode achieves change by making something, like a cherished vision, real. Campus 7 utilized this approach. P14 described his experience this way:

Well, I think we had made a lot of improvements over the last ten or fifteen years. I think he was pretty proud of those accomplishments and he wanted us to showcase that. And I think we all were, he certainly installed that pride in the rest of us and I think as a group we were motivated.

The influential mode achieves change by acceptance of new values. Campuses 1 and 5 used this mode to get buy-in of the vision. P11 observed that efforts were made to get “our internal groups, the shops, regions and zones to get an input from the workers of what the mission statement should be. What kind of organization they wanted to work in.” P2 described his perception that “what finally clicked in most people's mind was when we showed them...the videos from three other universities

that had won this award. And showed our folks these videos and it was like ... clarified.”

Summary of change models. The change models that are broad in nature, such as Lewin’s three-step change model (as described in Robbins & Judge, 2008) and Fullan’s (2007) three stage process, describe experiences shared by the participants of this study. However, due to their broad nature of describing the “what” and not the “how,” the models are useful for categorizing the stages of change, and less useful for initiating and guiding the change process. A more detailed step-by-step change process as prescribed in Kotter’s (1996) 8-steps or Kouzes and Posner’s (2003) five practices and ten commitments may be helpful in leading change. However, this study did not provide conclusive evidence to support or dismiss such change strategies. One approach supported by this study was McWhinney’s (1992) path to resolution since one or more modes can explain the experiences described by the participants of this study.

Leadership Theories & Approaches

In the literature review, three categories of leadership theory and approach were presented as (1) leader-focused theories, (2) follower-leader interaction-based theories, and (3) follower and context-based theory. The third research question was, “which leadership theory and approach were utilized in the campuses that pursued the Award for Excellence?”

Leader-focused theory. Examples of leaders-focused theories include trait theory, skills approach, and styles approach. While the details of each theory vary among researchers, the theories share the focus on the leader as a commonality. Participants identified the leadership in two ways. First, participants described their leaders in terms

of what they did. Leaders (1) initiated action required to begin the AFE journey, (2) set the expectations necessary to drive the change effort, (3) established a priority for and focus, and (4) ensured the change progress was maintained. These findings are consistent with Bridges (2003) who believes that the leaders' job is to understand what to do in each stage and help people transition through organizational changes with minimal disruption.

The findings are also consistent with Kotter's (1996) belief that overcoming the natural resistance to change requires great leaders who can drive change by creating power and motivation to overcome the opposing inertia. Kotter believes that it takes a leadership focus to initiate change. This study has identified five traits and skills the leaders exhibited during the AFE journey: leaders initiate, set expectations, set priority and focus, assign resources, and maintain progress.

Second, the participants described their leaders in terms of how the leaders accomplish these tasks as related to the AFE journey. Participants described their experiences with leaders along a large range of leadership styles: laissez faire/consensus/democratic, companionate, empowering, authoritative, hierarchical, micromanaging/demanding, pace setter, and visionary. The experiences of the participants closely resemble the list of leadership styles presented by Goleman, Boyatzis, and McKee (2002). Goleman et al. encouraged the leader to become fluent in all leadership styles, applying the appropriate style as the situation demanded. In this study, the participants attributed multiple styles to many of the leaders. General observations related to leadership styles are listed below:

1. Awareness and importance of leadership styles were central to the AFE journey.

2. While no one style was dominantly present across all campuses, five of the seven campuses predominantly utilized a top-down approach which included authoritative, hierarchical, demanding, and pace-setting styles.
3. One campus noted a compassionate and empowering environment.
4. One leader utilized a visionary/consensus approach.
5. Each campus utilized numerous leadership styles at various levels of the organization.

Follower-leader interaction-based theories. Theories in this category share the idea that to the extent the interaction between the follower and leader is positive, the greater the likelihood of multiple positive outcomes (Northouse, 2007). This model suggests that leaders should build relationships with all employees to positively affect the organization. Participants on three campuses (1, 3 and 4) identified situations where the leaders engaged their line staff on a regular basis. It must be pointed out, however, that on two of the campuses (3 and 4), the interaction was initially negatively interpreted.

Follower and context-based theory. Contingency theory is concerned with matching the leader with the appropriate situation (Northouse, 2007). Situational approach suggests leaders adjust their style to fit the follower (Northouse 2004). Path-goal theory, for example, is focused on how leaders motivate people and accomplish assigned goals. These theories suggest that leaders must adjust their leadership styles to fit their circumstance of followers and situation. There was no indication from the participants that any of these theories were present in the AFE journey.

Summary of leadership theory. According to this study, two leadership theories and approaches were utilized on the campuses that pursued the Award for Excellence.

The study's findings strongly support the presences of leader-focused theories both in terms of what leaders do and how they lead. To a lesser extent, follower-leader interaction based theory was observed. However, participants did not indicate experiencing follower and context-based theory.

The results of this study hint at a link between leadership styles and the change method utilized by the leader. Using McWhinney's (1992) six modes of change as the backdrop, this study provided some indication that the leader's style determined the change mode used. For example, the hierarchical/autocratic/micro managing leader tended to use the imperative mode, a purely autocratic way of leading change. On the other hand, participative and emergent modes were used by leaders who were more collaborative and democratically inclined.

Culture of Excellence

The fourth research question asked, "What are the major factors that have supported or undermined the continuation of a culture of excellence?" For this study, culture of excellence was defined as the institution's ability to initiate the journey to seek the Award for Excellence and sustain the standards defined in the Award for Excellence.

Participants identified three facets of a culture of excellence: (1) a culture of assessment and inclusion; (2) a culture of new expectations, including mutual accountability, progressive discipline, engaged leadership, hiring right, continual improvement, and empowerment; and (3) a culture of improved processes, which include improved leadership practices, and improved operations.

Participants identified recognition through celebrations and presidential speeches as a positive factor in supporting the continuation of a culture of excellence. Such

recognitions generated pride, excitement, and positivity. For the participants, continued excellence involved maintaining the established culture. Participants also declared that succession planning was crucial for long-term continuation of a culture of excellence.

The factors that were anticipated to undermine the continuation of a culture of excellence were decreased funding and a mindset that the pursuit of AFE was regarded as a check-off goal rather than as a commitment to sustained excellence. Another key concern was whether or not the new department leadership would support the continued excellence.

Imai (1986) insisted on the discipline of examining and improving continually. Lipscomb, Martin, and Peay (2009) suggested developing a robust mentoring program because “the need to attract and develop future leadership continues unabated” (p. 865). Kuh, Kinzie, Schuh, and Whitt (2005) add the importance of being intentional with review on a regular and continuous basis.

Conclusion

The purpose of this study was to identify the key factors and conditions needed to initiate and sustain a culture of excellence. The results of this study indicated that the forces that drove the pursuit of the Award for Excellence occurred essentially at the department level with major themes being the desire to be recognized and, to a lesser extent, the efforts to secure their jobs through increased performance. The real driver for change was leadership setting goals and leading change. It was generally concluded by the participants involved in this study that achieving the AFE was a good thing. However, the study did not affirm the AFE was necessarily good for the entire institution.

The results of this study also suggest that a change took place from the pre-AFE culture to the culture of excellence. The difference between the pre- and post-AFE culture depended on the conditions and circumstances that existed before the AFE journey. Those campuses with a supportive culture tended to be those seeking to document the change work already done. The resistive cultures existed among the campuses that were new to the change journey.

The changes experienced by the participants can be partially explained using the behavior-based model and social-based model. The model that most comprehensively describes the participants' experience is McWhinney's (1992) path to resolution model, since all six modes were experienced by the participants of this study.

Another key factor needed to initiate and sustain change is leadership. Leaders are needed to initiate and sustain the change effort. The findings of this study strongly support the presences of leader-focused theories both in terms of what leaders do and how they lead. To a lesser extent, follower-leader interaction based theory was observed. Participants did not indicate experiencing follower and context-based theory.

Finally, the results of the study suggest that what is important to continue the culture of excellence is positive recognition and a commitment to maintaining the established culture of excellence. Commitment must come from the current and future leaders within the facilities department, as well as from members of the institution. Participants also declared that succession planning was crucial for long-term continuation of a culture of excellence.

Recommendations for Further Research

The results of this study suggest several areas for further study. First, there was a lack of awareness among the participants in the study of the larger issues faced by the

institution –what Zemski (2009) identified as the four horsemen of educational reform: affordability, accessibility, accountability, and quality. Consequently, it is possible that this study may demonstrate the lack of shared meaning and congruency among the functions within the higher education sector. For example, is pursuing the AFE good for the institution? Or, are there negative impacts on the campus in terms of reduced services because of the time, energy, and resources need to achieve the AFE? A lack of congruence may question the value of the AFE in context of the institution and the academic community. A study that can link the value of the AFE as a tangible benefit to the institution’s overarching goals would be beneficial to stakeholders beyond the facilities departments.

Second, change models that are broad in nature, such as Lewin’s three-step change model (as described in Robbins & Judge, 2008) and Fullan’s (2007) three-stage process, appear to neatly package experiences reported by the participants of this study. However, due to the broad nature of this experience that described the “what” and not the “how,” the models are useful for categorizing the stages of change, and less useful for guiding the change process. In this study, participants experienced both behavior-based and change as a social event. An interesting and useful study might entail the testing of models that provide a step-by-step guide of how to initiate and sustain change. Kotter’s (1996) eight-step change model and Kouzes and Posner’s (2003) five practices and ten commitments of leadership are two examples approaches to change that can be further examined as a follow-up to this study.

Third, it was observed that the participants who expressed concern about the continuation of the culture of excellence worked for supervisors who were more top-

down and more controlling in their leadership style. On the other hand, participants who reported to empowering and consensus type leaders did not express concerns about the sustainability of the culture of excellence. Further exploration of this observation may reveal ideas helpful to creating a sustainable change effort.

Finally, McWhinney (1992) has postulated that the change process is a problem solving exercise achievable by blending the leadership styles and the worldview of the followers together within the context of the existing culture. The results of this study support a link between leadership styles and the change method utilized by the leader. A further study testing McWhinney's six modes of change would be helpful to better understand the link among the variables of leadership style, the follower's world view, and the context in which they interact.

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Appendix A

History of APPA

History of APPA

Founded in 1914, as the Association of Superintendents of Buildings and Grounds, fourteen Midwest institutions began as a meeting in Chicago, IL. The association was renamed the Association of Physical Plant Administrators of Universities and Colleges. In 1969, two-year institutions were admitted to membership and by 1970 membership reached 100. In 1991, the name APPA: The Association of Higher Education Facilities Officers was adopted to reflect increased higher education-based campus responsibilities. In 1993, APPA expanded its reach by including international institutions. In 2005, the Association began to identify itself simply as APPA, to pay homage to its long history, but to be inclusive of all types of educational institutions. Finally, in 2007, the Association introduced the current logo and the current name APPA – Leadership in Educational Facilities. Today, over 5,200 members represent 1,500 learning institutions throughout the United States, Canada, and abroad.

Additional Information can be found at:

<http://appa.org/>

Appendix B

Interview Protocol

Interview protocol – detailed step-by-step guideline

- a. A statement ensuring confidentiality
- b. Describe the research and the purpose of the study
- c. Structured questions – participant information
 1. What is your first-hand knowledge of the Award for Excellence process?
 2. What was your role in the Award for Excellence process?
 3. How many years have you been with your institution?
- d. Unstructured questions –
 4. Describe your experience with your institution's pursuit of the Award for Excellence.
 5. Describe any context or situations that may have influence or affected your experience.
- e. Listen, validate, and probe as needed:
 1. You mentioned _____tell me more about that.
 2. What do you mean by_____?
- f. What else would you like to add?
- g. Thank the participant and remind them there will likely be a) a follow-up to interview b) member checking.

Appendix C

Human Subjects Committee Documentation & Communication

On Wed, Feb 1, 2012 at 4:59 PM, <humsbj@isu.edu> wrote:

February 1, 2012

Joseph Han
MS 8059
Educational Leadership
Pocatello, ID 83209

RE: Your application dated regarding study number 3690: Pursuit of Excellence: A
Phenomenological study of the winners of the Award for Excellence issued by APPA -Leadership
in Educational Facilities

Dear Mr. Han:

I agree that this study qualifies as exempt from review under the following guideline: 2.
Anonymous surveys or interviews. This letter is your approval, please, keep this document in a
safe place.

Notify the HSC of any adverse events. Serious, unexpected adverse events must be reported in
writing within 10 business days.

You are granted permission to conduct your study effective immediately. The study is not
subject to renewal.

Please note that any changes to the study as approved must be promptly reported and
approved. Some changes may be approved by expedited review; others require full board
review. Contact Patricia Hunter (208-282-2179; fax 208-282-4529; email: humsbj@isu.edu) if
you have any questions or require further information.

Sincerely,

Ralph Baergen, PhD, MPH, CIP
Human Subjects Chair

Appendix D

Study Information Sheet and Verbal Consent Form

Study Information Sheet and Verbal Consent Form

This study is conducted as a part of a doctoral program in College of Education at Idaho State University. The researcher can be contacted by email: hanjose@isu.edu, or by phone at 208-221-1890. This study information sheet is provided to potential participants before the interview. The interview will be conducted only with verbal content from the participant.

This study focuses on the Award for Excellence issued by the APPA- Leadership in Educational Facilities to gain insights related to the process and mechanism associated with pursuing excellence. In other words, this study is not about Award for Excellence or facilities department serving higher education. Rather, this study seeks to understand the process associated with a pursuit of excellence. The purpose of this study is to identify key factors and conditions needed to initiate and sustain a culture of excellence.

The interview: This study will use a phenomenological design, which means that you will be asked to describe your role and experience in the process that leading to the award. The researcher will be interviews 3 participants from 2-3 campuses that have received an Award for Excellence from APPA. The 30 -60 minute interviews will be conducted by phone conferencing and the audio recorded.

As a participant, you may choose a code or a false name remain anonymous. Your true identity and your institution will remain anonymous. Once the data is transcribed in written form, the audio recordings will be deleted. Effort will be made to delete reference to campus structures or individuals that can be identified with the participant.

The transcribed interview will be subjected to member checking. The information collected from the interviews will be compiled and coded to identify the key factors and conditions needed to initiate and sustain a culture of excellence. A follow up interview or email conversation will confirm the accuracy of the transcribed data. The results of the interviews will be made available to participants upon written request.

Do you give your permission as a willing, voluntary participant?

Appendix E

Member Checking – Participant Responses

On Sun, Jan 13, 2013 at 5:31 PM, [REDACTED] > wrote:

Joseph,

I have reviewed and all appears accurate.

Best wishes in your new job and CFAR.

[REDACTED]
Director of Planning, Design and Construction
[REDACTED]

On Jan 12, 2013, at 10:03 AM, Joseph Han wrote:

Hello [REDACTED], hope you are well. I started a new job and now getting back to my APPA CFAR project. I've attached the summary of the interview transcription. There a lot there and you may not have time to review all of it. So, to save you time, I am providing you the major themes that emerged from the interview. Please quickly review and let me know if I got it right. If you want to make change, please do so. If you think I have the major point, just reply back and let me know. Would you get your response back to me by Friday, 1/18/13.

Joseph Han

On Mon, Feb 4, 2013 at 10:14 AM, [REDACTED] > wrote:

Joseph,

I'm sorry I failed to reply sooner. I think you got the essence—well transcribed.
I'd love to see your final report when completed.

I hope your new position is going well. We are in the midst of major change here with almost new executive leadership across Divisions of the university except Student Affairs. My new boss has set a whole new set of expectations and has a style of leadership very different from his predecessor.

We are making the adjustment, however, and I think the end results will be good.

Take care,

[REDACTED]

[REDACTED]

Assistant Vice Chancellor for Facilities

[REDACTED]

Office: [REDACTED]

Cell: [REDACTED]

Shipping Delivery Address: [REDACTED]

From: Joseph Han [mailto:hanjose@isu.edu]

Sent: Saturday, January 12, 2013 10:44 AM

To: [REDACTED]

Subject: APPA CFAR project- Award for excellence (Campus 1, Participant 2)

Hello [REDACTED], hope you are well. I started a new job and now getting back to my APPA CFAR project. I've attached the summary of the interview transcription. There a lot there and you may not have time to review all of it. So, to save you time, I am providing you the major themes that emerged from the interview. Please quickly review and let me know if I got it right. If you want to make change, please do so. If you think I have the major point, just reply back and let me know. Oh, what happened as a result of getting the AFE? Would you get your response back to me by Friday, 1/18/13.

Joseph - 216-906-5348

On Mon, Jan 14, 2013 at 12:24 PM, [REDACTED] > wrote:
Joseph,

Please see some slight corrections in red. Let me know if you have any questions.

Thank you

[REDACTED] EFP

Assistant Director for Planning,
[REDACTED]

Office : [REDACTED]

Fax : [REDACTED]

From: Joseph Han [mailto:hanjose@isu.edu]

Sent: Sunday, January 13, 2013 1:56 PM

To: [REDACTED]

Subject: APPA CFAR project- Award for excellence (Campus 6, Participant 2)

Hello [REDACTED], I hope you are well. I started a new job and now getting back to my APPA CFAR project. I've attached the summary of the interview transcription. There a lot there and you may not have time to review all of it. So, to save you time, I am providing you the major themes that emerged from the interview. **Please quickly review and let me know if I got it right.** If you want to make change, please do so. If you think I have the major point, just reply back and let me know. Would you get your response back to me by Friday, 1/18/13. Or, if you prefer talking by phone, 5-10 minutes should do it.

Joseph - 216-906-5348

On Wed, Jan 16, 2013 at 2:19 PM, [REDACTED] > wrote:

Joe: Congratulations on your new job..... I have read the entire attachment and edited quite a bit for accuracy regarding the sequence of events....my hiring, the FMEP, attending the Institute and the AFE's.....I believe when you interviewed me I probably rambled all over the place. You certainly captured everything (just the way I said it).

Thanks for a great write-up and for including us in your research project.....See my edited Word attachment (you can probably just cut and paste).

As for what has happened since receiving the award.... Our president had the Campus Facility Director's recognized at a Board of Trustee meeting and he mentioned the award in two or three sentences in his July newsletter. And we are still all still employed in spite of a massive reduction of forces based on our economic status.

[REDACTED]
Sr. Director, Harrisburg Campus Facilities Mgt. Dept.

Telephone: [REDACTED]

Cell Phone: [REDACTED]

Fax: [REDACTED]

From: Joseph Han [mailto:hanjose@isu.edu]

Sent: Sunday, January 13, 2013 11:10 AM

To: [REDACTED]

Subject: Re: APPA CFAR project- Award for excellence (Campus 4, Participant 2)

On Sat, Jan 12, 2013 at 5:29 PM, Joseph Han

Hello Joe, I hope you are well. I started a new job and now getting back to my APPA CFAR project. I've attached the summary of the interview transcription. There a lot there and you may not have time to review all of it. So, to save you time, I am providing you the major themes that emerged from the interview. **Please quickly review and let me know if I got it right.** If you want to make change, please do so. If you think I have the major point, just reply back and let me know. Oh, what happened as a result of getting the AFE? Would you get your response back to me by Friday, 1/18/13. Or, if you prefer talking by phone, 5-10 minutes should do it.

Joseph - 216-906-5348

On Mon, Jan 14, 2013 at 5:07 PM, [REDACTED] > wrote:

Joseph – I'm sorry for the delay.

Based on what I have reviewed – you got it right!

1. Due to the economy tanking the year that we received the award, the AVP was the only one that was allowed to travel to Vancouver to accept it. When he returned with the plaque, we had a group picture made of the entire organization and had poster-size pictures placed in each of the working areas so that everyone could share in the recognition. The poster not only showed the employees but also a picture of the plaque as well as the award letter.

- a. Organizational meetings were held to underscore the significance of the award.

- b. That same picture appeared in the [REDACTED] edition of APPA's *Facilities Manager Magazine* - "APPA Award For Excellence"

2. The preview link to our 2012 Organizational Trust survey is as follows: [REDACTED]

From: Joseph Han [mailto:hanjose@isu.edu]

Sent: Saturday, January 12, 2013 2:19 PM

To: [REDACTED]

Subject: APPA CFAR project- Award for excellence (Campus 3, Participant 2)

Hello [REDACTED], hope you are well. I started a new job and now getting back to my APPA CFAR project. I've attached the summary of the interview transcription. There a lot there and you may not have time to review all of it. So, to save you time, I am providing you the major themes that emerged from the interview. **Please quickly review and let me know if I got it right.** If you want to make change, please do so. If you think I have the major point, just reply back and let me know. Oh, what happened as a result of getting the AFE? Would you get your response back to me by Friday, 1/18/13. Or, if you prefer talking by phone, 5-10 minutes should do it.

Two follow up questions:

(1) After the award was earned, what took place-- recognitions? celebrations?

(2) Can you forward your survey based on "the trusted leader"?

Joseph - 216-906-5348

Appendix F

Peer Review Notes

On Fri, Nov 16, 2012 at 5:42 PM, [REDACTED] wrote:

Joseph,

I have finished the coding. I used the research questions to guide my coding effort. One theme I saw that really does not add to your research was the recognition ceremony, patches for shirts, balloons and t-shirts that made the staff happy they did it, not really why they did it, just a side effect.

Hope it is helpful. Ryan and I did discuss how we should go about coding so this is what we came up with.

[REDACTED]
[REDACTED] The topics jumped around and without promptings as to what the hell they were talking about. At this point I believe I could lead a facilities group to getting the award.

[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]

Appendix G

Interview Transcripts

Campus 1, Participant 1

This participant will be identified as P1

Interviewer: Thank you for verbal consent to do this interview. Let's start with the Structured questions. How many years have you been with your institution?

P1: About 11 years.

Interviewer: What was your role in the Award for Excellence in Facilities Management process?

P1: Me and the directors wrote the information for the award.

Interviewer: What is your first-hand knowledge of the Award for Excellence in Facilities Management process?

P1: What you would like to hear from me or are interested in. So if there is something you want to hear from me...

Interviewer: What I would like to know is your description of your experience related to your campus pursuing the Award for Excellence.

P1: So how we started in our journey to excellence, that's our process for the excellence. We called it journey to excellence. So how we started the process and how it affected our culture and what is our take away from that?

Interviewer: Sure, that's part of your experience. As I said, it's really a free form. The main thing I want you to feel comfortable. Our conversation is confidential, your name will not be mentioned, your campus won't be mentioned. If you give me a building name or something like that, I'll take that out. So nothing should identify your campus. This is the unstructured questions part I mentioned earlier.

P1: I keep a physical record of facilities management. We are a part of group of directors that was part of executing the processes for the award for excellence. I was also involved with developing the document that told our story.

Interviewer: Okay.

P1: All of the direct reports, prior to [avp2], we had [avp1]. He was really the one the wheels started moving, where we need to aspire to a level we can get the award and be recognized. We started looking at what other universities had submitted and the criteria for that. We started looking at our own operations, strengths, weaknesses, opportunities. Kind of categorizing that those areas specifically and what we can do to change processes or do specific actions to address those.

Interviewer: Right on.

P1: So about that time we started, [avp1] decided to retire. So the process went in a hold pattern. We were trying to continue to do things to improve ourselves, we all recognized that there were areas we had issues and we had issues created and changing

the make up in the typical whole. It created cultural problems, personal problems. So when [avp2] came on, he recognized some weaknesses. So he saw thing that were good when [avp2] came on and some things not as good. We reorganized our facilities department to play on those strengths we knew would be better from an organizational standpoint. Then [avp2] recognized we were weak on some processes and procedures. What we called our facilities management operating procedures. He went thorough a very intense effort to give some critical operational procedures put out their. Like how do we do purchasing, and today we have probably over three dozen SMLP's out there. Everything from how we drive our vehicles across campus to our uniform policy to hiring and promotion procedures. Check out of keys, There are several out there. They are documented and those are things we can go back to. How do we say we do this. That was an important first step. Then as directors, it came up saying, you know, ... we were working on this journey to excellence to apply for the award for excellence, and one time it got shelved and they started focusing on that. From the time we put it on the shelf, we put it back on the front burner, we had gone through changes and we were stronger I think but we had weakness. Those became self-evident because of the processes in place of operating procedures. It shows where certain external departments have issues that must be effective or beneficial. So we started looking at and doing the cognizant self-awareness of where we are weak and started talking about those and making corrective actions. The biggest thing [avp2] saw, we had a very top down leadership. Top paradigm. He wanted to install the ability for folks to be confident in making decisions in the front line level.

Interviewer: Interesting.

P1: We are still working on that.

Interviewer: Yeah. You said you are still working on that. Say more.

P1: There is a chance for folks to feel empowered and making decisions. There is awards for doing that. I think it's where we are at. We are still .. that is not normal when doing business. So usually businesses are organized and structured top down. And because of that, from [avp1's] view, he has a natural tendency to reinforce the top down. It's important to find the balance when do you let people make those empowered decisions. When is it appropriate for upper management to step in and we need to follow those, even though they are exceptions to rule. Sometimes they make decisions without getting input from peers or management, you may not make the best decision. And then we have to redo that. So that's where we're at. It may be over simplified where we are at. The natural tendency is folks want to have the measurement. They want the ability to guide their own destiny, make their own decisions. But there is the fear of being held responsible. People are not comfortable with the accountability portion.

Interviewer: Say more about how the leadership team decide the timing of a decision?

P1: Uh ... that is where we struggle. I think we evolve to what is easiest, and making the management decisions. That is the norm in all sectors of business. Everything is top

down, so the reason I said that, it's not comfortable or natural with our way of thinking. So yes, I don't know if I answered your question.

Interviewer: You did perfect. So you started a good conversation about your experience. Before you continue on, you are the AD and helped collect some of the documentation and processes.

P1: If I go further down into the weeds, my specific role, the technical support from an engineering function for the campus. One way to look at things, in a linear binary type of engraining logic.

Interviewer: Engineer, you say?

P1: I work hard and take pride in my capabilities. When things are abstract, I struggle with it. I can accept abstract thoughts, I am OK with abstract concepts. When we get into things that are processes, there needs to be structure and order. That's where I felt in my role I spoke to that as much as I could.

Interviewer: Am I hearing that you helped to sort of make linear or more straight forward some conceptual processes?

P1: I think I brought that to the team. I felt like it's important to my own personal values. And I felt like that is an important thing as far as values to be perpetuated with an organization as well. So some things we had to agree to disagree, and accept the groups decisions. It's a group decision. If I'm in minority, I accept that. I am comfortable speaking my position and if I'm the minority, that's fine. I am an advocate for what the group decides. Not for what David handwork wanted.

Interviewer: You've shared a lot, which is great. Say more about your experience.

P1: What I liked about it was the challenges. And everybody felt we tried to step up the challenge. There were things we needed to do, we couldn't find the focus and dedication until the leadership, we made it a priority.

Interviewer: So you say there were things the team members or leaders knew had to be done. But you say there was no movement because it wasn't laid out?

P1: Maybe, some things aren't set as a priority. It's our human nature side of it. There was the things we do in the day to day business that keep us busy, and there are some best practices we should be doing better, or doing period. But because of the business of our day to day task of the way we are doing it, it may not be the best practices. It's easier to keep things rolling like they are instead of make anything changes. It takes more work to get the shift turned a little bit, a degree shift takes work. But the benefits will be there. It's just ... making it a definite priority to make those changes that we all were concurrent. But we didn't do it.

Interviewer: Wow. That's fantastic. That's tremendous insight. So if I heard you

correctly, it seems you really like the challenge component of it, and that what was interesting about the challenge too, is that you and others knew what needed to be done, but you weren't doing it. And part of it because you are busy. The other part because you don't have the interest. It's harder to make an improvement. So it doesn't get done until leadership establishes the priorities. People have a tendency to go towards, how did you define it. People are people. They sort of resort to whatever.

P1: Whatever seems easiest. I want to stress, seems, it seems easy because that's what you do. But it may not be what you need to have done. In full disclosure, we still struggle. There are things we should be doing that is best practices. But because of all the new construction projects, everything going on, we personally extend all my effort, my time, and resources, to managing what is coming at me instead of enacting what may be the best practice to help me manage these better.

Interviewer: Interesting. What else would you like to say?

P1: It definitely needs an affirmation that we are, I don't know if I understand this because I don't get to go at the meetings, our regional or state meetings and talk to people with the peer universities. They don't recognize we have fewer challenges. We have the same issues. How we deal with those issues, we do maybe not better, but we get resolution and can manage those challenges where other universities may have similar challenges. But the folks who, like myself, who have that opportunity to compare, it's just an affirmation we are trying the best we can to get better. And post affirmation that it's not the end of it. You have a leader struggling, so if we don't continue to do stuff that is pertinent, then and he had an issue come up, personal issue with a director that really shattered his trust in this person. The trust was broken. He thought we had some issues of a serious nature that were wide spread. But he was like, if we can't get this corrected, I'd take this off the wall and send it to APPA. People realized he was serious. Having that plaque on the wall shows to the folks who work under [avp2], that's he's serious. If we can't aspire to be better than now are today, next week, we can't do that. Then we should send the plaque back. He's serious about that.

Interviewer: And, so...

P1: That was the post effect. We worked really hard to get this award. Some people think we're done with that. But we have that in the back of our mind. We are living up to it and walking the walk instead of talking the talk. So it's a focus and paradigm we need to continue to bring honor to the award. Not just get it and say we got it and check it off on the list and move on. So it's critical, that [avp2] will retire in 2-5 years, so whatever folks here post [avp2] need to carry on the torch. So whatever they hire in, hopefully they understand what the award for excellence means.

And so it's an important core value to this organization and we want to continue that. Not just let it retire with [avp2].

Interviewer: Wow.

P1: That is important to whoever is here.

Interviewer: That is fantastic, what you are saying.

P1: If somebody within the organization is groomed or appropriate can take [avp2's] leadership role and teach the job successful, then will continue. But I think the reality is, it's very possible and likely somebody external will actually fulfill [avp2's] role. If that happens, it's important they understand where we came from and where we'd like to go.

Interviewer: Say more about that last statement you shared.

P1: Depends on person's passion I guess. I think I have a drive and a passion we always need to improve. There are varying degrees in that. I'm not ready to think there is not. There will be some apathy. If you look at this as a whole, the likelihood is high.

Interviewer: Good. The culture is firmly established.

P1: Um .. yeah. There is good culture, and some bad things. So three organizations, so three in my last time working as a family business. Human nature is the same anywhere. Some people are happy with a job, and people that are just punching the time clock to earn their pay. And folks that don't want to be there. That is everywhere.

Interviewer: Tell me more about how [your institution] was able to overcome those human tendencies?

P1: We have to be accountable. Don't get me wrong, we struggle with that. Because American culture builds fences and stays in our yards. But we have a tendency when we start holding each other accountable, it's like, "who are you." But we have a ways to go in this accountability. You can only hold other people as accountable as you hold yourself. If you can't hold yourself accountable, you have no credibility for holding others accountable. We try to have a team of staff members with good values across the board. We do have that, and like I said, everywhere I worked, we have varying degrees of that. We have a good understanding of each other, a good family style, I guess almost family oriented pockets within our core groups. People who really are close to each other. I think that's how you get the accountability. But it's still tough. When you go to a coworker and have to say, we aren't doing this right.

Interviewer: Say more about accountability?

P1: Well; I can talk about how I look at it personally. This is something our culture does have here. Personally I have an open door policy. I say, you hold me accountable. And continue to say that, and people need to be honest and say, I'm not perfect. And if you see something I need to do better, tell me. And if enough people in management roles say that over and over again, and they critique you and you listen and say you are right, that gives yourself credibility and leads by example. One thing [avp2] wants to talk about is target leadership. You can't expect people to have a culture of accountability if you don't let them hold you accountable. That's a personal philosophy. But I know

[avp2] has the same philosophy

Researcher: Earlier you said the leadership team decided to do this thing. Say more about that.

P1: The management, we felt like we were an institution that were active in APPA and nationally regionally, that we saw other institutions that won it, and thought, we can win that because we felt we were capable in that by telling our story. Because we had that confidence. Even though we had struggles, we can overcome those and achieve the award for excellence. There was skepticism within the ranks that we did it to put a feather in our hat and make ourselves look good to senior management. When we won this award, I reached out to some folks in, I can't remember the department. We had a weeklong celebration. Ice cream socials, dinners, different events where we celebrated, as a group, the facilities department, for this award. This isn't something that the management got a retreat. None of them got raises. The only award was the self-affirmation and recognition from our parent organization. From peer investigators who said we deserved this award. And I don't know if I started rambling.

Researcher: You indicated some people thought management did it for themselves. Say more about that.

P1: I think so. We do employee satisfaction surveys internally. We have been doing that for at least five years. I don't think we've been doing it longer than five years. Maybe six. When we first did the survey, I recall people saying, we are really going to show these folks how messed up we are. And folks we are expecting to see, employee satisfaction indicators. And the opposite was presented. These were done in anonymously. So people I felt were honest. I expected it to be more scathing myself. It turns out that people were happy to work here. And the folks that were in the lowest pay tier, were generally speaking, as satisfied as anybody in the organization. Then what I saw was, there were folks upset and said those numbers were false. That the survey was falsified to show we were positive. That was a small few. I don't guess those people still work here. The next year the numbers were better. The following year there were comments that this had positive effects on the jobs. It's interesting that it's true the squeaky wheel gets the grease. There is a small vocal minority not happy. It gave the impression everybody wasn't happy.

Researcher: You did a count and know the responses you got?

P1: Very small group. Some of these were departments where there were several people not happy because of leadership in that area or whatever reason. So that's why the survey couldn't quantify in some cases, what was the reason for the dissatisfaction. We could in some areas, that is why they are dissatisfied. They didn't have confidence. So you can look at how the leadership was doing, the team leader level, and you are like .. yeah, I can do that. We basically, it was a pseudo mandatory. They offer free coffee and breakfast and asked I people did the survey. So it wasn't a true mandatory. You don't want to force people to do it. But we had somewhere under 200 employees and we were getting 160 to

170 responses.

Researcher: Earlier you mentioned about the culture and getting things done.

P1: Um, we get input from different task force if there were major changes and that developed into facilities management operating procedures and policy. It seems that our uniforms selected, I can't find anybody that likes the uniforms. But the taskforce was a broad group. They selected it from all the folks in the facilities. But I don't know why we picked something. It is what it is.

Researcher: Right.

P1: Including myself. I didn't voice my opinion until somebody asked me. That's one situation. Sometimes you get decisions by committee and get paralyzed.

Researcher: So say more about getting input.

P1: Some of the folks are charismatic and excited about change and opportunities for change. There is also, here is why I don't like it and what I would change. So it effects change. So then there are the folks that are higher respected, like EF Hutton, people listen when they speak. So people think, that is a great idea. Those are change agents. The change comes from different areas. Controversial ideas are the ones that are tough. How do we do hiring and promotion. Nobody knows how that should be in a public institution, so we have some latitude and how we manage that. And there is always this perception that it's unfair. So the change agents, you go through it over and over again and usually it's the leadership group that comes from all areas and pay grades. Generally speaking, it's agreed upon by the committee and it's where it needs to be. How it's sustained? That is tough because whatever changes, is something not wildly accepted, it reverts back to the normal bent or path of least resistance. Or we put a slow moving vehicle policy on the interior of campus and have to reinforce that. We don't want vehicles going through and we see a lack of continuity of that. We are good for a while then have to come back with disciplinary action because it just depends on the Topic. People like to drive to a destination and walk ten steps from their vehicle to their point of service or in the building. In our department, we get almost a free pass to do that. Our students faculty and staff have to park in designated spaces. So that's a hard one maintaining.

Researcher: That makes sense. So you mentioned leadership. Say more about that in context of the Award for Excellence.

P1: The primary leader was [the avp2]. [Avp2] is more of a blend between authoritative when he needs to be and making decisions, this is how it needs to happen. And somebody who listens and wants input and will be more pro in decision making than pro in process procedure in senior leadership.

Researcher: OK.

P1: I think he's sensitive to needs to employees and compassionate. I think it can create some challenges.

Researcher: How's that?

P1: There are times when somebody comes and needs that compassion strong. Decisions we've made that has ripple effects that are not all positive. Maybe positive for the one person, but negative to the organization as a whole. Then other times, when somebody needs to ...trying to think of examples... there is a special need for somebody that we had oversight. Because of it's compassion, it comes out that we shouldn't be doing it this way. I think of the ice storm we had. Folks who had to come in and work extra hours and they didn't get much compensation for it. And so we wanted to get them the day off with pay. And we had that latitude, some people didn't understand it. But when it come that they got the day off with pay, they were appreciative of it. We had to pull strings to do that, but we did.

Researcher: Those things make a huge difference.

P1: That is an example. We didn't break rules, nobody got in trouble. But it was one of those things to make something happen.

Researcher: You mentioned, did you mention the vice chancellor?

P1: The vice chancellor of finance was very supportive of [avp2] leadership. Their style is more hands off as far as what happens in the direct role. Unless there is something that needs to happen, then they get very involved as far as leadership. Such as mandating type things. We have a pretty good, we are getting a new vice chancellor of finance in the next two weeks. That person, there is this stress that they will be more hands on in and day to day instead of being more trusting of [avp2] leadership. [Avp2] hasn't expressed that, but we feel that. And the leadership style for [avp2], we have a lot of good people that want to serve the university, create a great learning environment, a great teaching and work environment, and we understand our mission is the students. And we don't exist if it wasn't for them. Generally speaking, our middle management and above understands that

Researcher: That's fantastic. Good stuff. Say more about leadership style?

P1: My leadership style is probably, I am very ... I like to be hands off. I don't like to micromanage. Sometimes I think I should get more involved and get involved too late. I recognize that. I like people to feel they are empowered to be professionals. I inherit people, but I am blessed that those around me are competent people in their professional roles and I like to give them direction as they need direction. Set out what we want to do for our mission. I want to get more involved in what is my role here. And I want to put that in black and white. I want to be more specific. The other thing I like to do, I was a college student working as an intern at a factory, and I got the best advice I can take with me as a manager, my sole purpose is to help people understand their role or duties. I give

them the tools to do their job, removing if you can, and get out of their way. And check back in from time to time and make sure they are in their roles. So my leadership style, I want to be an encourager. If they can go to the next level, help them get there. If they are happy where they are at, reward them. Some people like to dance, definitely and it's not my job to keep them where they are at. It's to help them get where they are going

Researcher: Fantastic. Good stuff P1.

P1: We really helped each other out. I think they helped us more than we helped them. They may say otherwise. Cross pollination is very important. But we recently visited them and I learned a lot of things on how they do their construction management now. It's like, if they can do that, we can do more. So it's those type of things that are helpful. You see other people doing things different than you do. Not better, but different. If you try different, it can help you get better. I guess that's about it.

Researcher: Okay then. Well, that about wraps it up. I will respect our time agreement and say thank you for your time. I hope to write up something as a way of summary and will follow up with the participants as a way to ensure I capture the salient points from the discussions. It's been a pleasure.

P1: Thank you, I'll be watching for it.

[End]

Campus 1, Participants 2

This participant will be identified as P2

Researcher: So I have a few specific questions that are sort of background kind of stuff. Then I will ask you to talk about your experience of the Award for Excellence. So, how many years have you been with your institution?

P2: about 7 years.

Researcher: What was your role in the Award for Excellence in Facilities Management process?

P2: It was in process when I got here. I just made sure it happened. The vp wanted it done too.

Researcher: Okay. What is your firsthand knowledge of the award for excellence in facilities management process?

P2: Well, we delved into that pretty specifically because we set a goal to pursue that award and fairly extensive was seven priority areas and about sixty seven individual criteria that won needs to self-assess. And the deal from customer service to patience operating process and measurement.

Researcher: Right. So you said it was fairly extensive in terms of priority of the campus? The seven measuring points?

P2: The seven strategic measuring points that we broke down into 67 individual criteria. When I arrived here the senior management team had adopted the goal. My role was to lead the process.

Researcher: Who is senior management?

P2: The director that reports to my position.

Researcher: So, your direct reports were already engaged.

P2: Yes. We use the criteria as our strategic plan. We entitled that the "journey to Excellence."

Researcher: You just adopted the APPA standards as your strategic plan. Interesting, so describe your experience with your institutions pursuit of the award. Take it anywhere you want to go. I don't need a description of the award, but your personal experience from where you sit. You can take it any direction.

P2: Let me give you the background. I arrived here seven years ago. They had already gone through two early phases of the transformational process, and they hired a new

systems director for facilities that did reorganization in the trades area and lost change process to meet some of the recommendations from the FMEP and did a interim assessment by a group of peers he invited in about five years in, how they were progressing and accomplishing.

Researcher: That would put it about 2004?

P2: 2004. That document had been completed just a few months before I arrived. So our next phase, when I got here it was ready to engage all the departments of facilities management into a process of understanding what the criteria were for receiving this award. The goal had been set, and taking the organization through a process. The process we used was start out with a spreadsheet of ... my immediate predecessor retired. We kept him on for six months to get this spreadsheet together that listed the award criteria, and identified what we had in place at that point. So that gave us a launching document. Then we saw we had a long way to go.

Researcher: So then, what?

P2: I had to process the first year that I was here, was just in the senior management team. It was just the direct reports. And that was problematic. And what we do is started drafting, started identifying those things to put in place, employ task forces to outline procedures. Because there were no written procedures prior to that. And then we started drafting paragraphs that would briefly describe not only what we were doing, but kind of projecting forward out three to five years. When we have met this criteria, we will be doing this. Then we started circulating that among the employee groups. And we had three years in a row, brainstorming sessions, all the different operational teams, and separated by levels, departments, and then bring it all back together again. So it was all a very inclusive process, and a lot of my personal time was devoted to conducting those brainstorming sessions. And then keeping the management team on task was implementing various elements.

Researcher: OK. That was interesting. You led, from what I hear, these brainstorming sessions made up of line staff groups? That was a three year journey.

P2: Yes.

Researcher: That's fantastic. And then what?

P2: As we had more things in place, we flushed out the journey to excellence document. All these criteria, these sixty seven criteria. Each would be a paragraph or two or three. Each would describe things that we were doing or that we were forecasting we were going to do. Then we continued to meet with employee groups. We put that document, which was thirty five pages.

Researcher: What was that called again?

P2: Journey to excellence. That's our process. We still refer to it that way, we are still

in the journey. And one of the things we had to overcome was success among some employees early on. The goal was to achieve this award, not management getting recognition. So we had to overcome that by creating this process that involved everybody and we kept telling people, you know, it's what we do. And I kept asking them to tell us, what are we not doing that we say we are doing. Or that we say we'll do. So it went on for a total of five years, until we got to where we felt confident in submitting for the award. By that time we had gone through numerous versions of the document and three reviews of the document by all line management staff. Again, we had sessions and divided them up and at one point, we had discussion groups facilitated by various management. And getting people to look at that document and ask what we are not doing yet.

Researcher: That is intense process.

P2: It was. And it took ... when we started, I remember I had told a senior management staff and they told me about this goal. The director1, [name and comment deleted], asked me in the interview. He said, so once we have the award, what is the vision beyond that? [Laughing] and I looked at him and said, ... I think it will take us three to five years to get that award for excellence, and then we'll sit back, we'll step aside and find a vision for the future. Right now, our vision is that award. It took us a full five years. Even then, it's a benchmark in the journey. We remind ourselves that we can't rest our laurels. The award was a benchmark.

Researcher: OK, well that was very interesting.

P2: There has been a changeover in senior management team since then. I have changed senior management, we have consolidated. I only have four now, I had eight. There are a couple people here I had directly reporting to me, now I have them under [director1], and manager. Put them under [director1]. But then we consolidated a couple other positions. Only one of the directors was here through the whole process. We brought new managers and new employees in. We used the journey to excellence video we put together with a student group as part of our orientation with every new employee.

Researcher: So orientate the new staff. So talk to me more. Please continue. You said here that you led the brainstorming session, what do you mean by that?

P2: Um, ... initially I brought in a work team, a custodial team. And I would just have them all sit around the table in the conference room and we'd go through pure brainstorming session, where I'd tell them I want you to give me any idea you have as to .. if you had one or two things that was on your mind that we could do to improve what we're doing. Or how we're doing it. Or the work environment, what would those be? And tell them that these are not for discussion. Each person will say something. You can pass if you want, if you don't have an idea or thought. Just keep going around 'til nobody has anything. And I was just the facilitator writing down, making notes.

Researcher: And so you brought in different groups to feed off each other?

P2: My work teams.

Researcher: By craft?

P2: You could say that. Well, not really. No. Custodial was always .. had already been divided into a team cleaning approach. So we brought them in as teams.

Researcher: So there were five or six people?

P2: Typically, although some of the groups, initially they were small. The second year round I started bringing them together to larger groups. I'd have like in the custodial work, I might bring them in by shifts. Then landscape, I may have brought them all together. It varied from year to year how I organized it groupings. Then I would have the management groups. And a team leader group separate from everybody else. So kind of .. we had a mix of the different approaches over the course of the first three years.

Researcher: OK. So sounds like you used more of a ... um ... more of a discussion based brainstorming approach that didn't dive into the details of what was said.

P2: Not at those meetings. We did some, I mean the goal was to do pure brainstorming. Get as many ideas as we could. Then for me to respond to those as to if there were some things we couldn't do because of legal restrictions.

Researcher: Did you respond or was it in stride?

P2: We'd list everything. But I would give some commentary at times. You know, it's difficult in those sessions. It was for the most part, pure brainstorming. Then I would take those, I would distribute back to them everything they said. In the second and third year, I typed it on the big screen in a word document so they could see it. Then I could see what I was typing it was what they meant.

Researcher: Anybody make fun of your typing?

P2: We did alright. My commitment to them, we would follow up on every item with a response. Either, we can't do this for these reasons, or we'll put it on the goals going forward, or implement and we were pretty structured with that. It was a continuing process.

Researcher: Interesting.

P2: To go along with it, we started doing an annual employee satisfaction survey. And we would bring everybody in the break room, provide doughnuts and get 95% participation.

Researcher: With doughnuts?

P2: That was valuable to us. That's on a broader basis. Very detailed, very specific on things that people were dealing with.

Researcher: That was after the satisfaction survey?

P2: They were side by side. We'd do the brainstorming and satisfaction survey each year.

Researcher: Doughnut event after the information was collected?

P2: That was getting everybody to get in to fill out the survey.

Researcher: Then what did you do after you got the survey?

P2: Then we analyzed that in a spreadsheet format. We created charts we posted in the break room for everybody to see that showed the ratings and what were the issues that had the least satisfactory response on. And we broke it up by department, which became an indirect 360 evaluation on the supervisors.

Researcher: Were the staff asked to comment on their own department?

Participant: Um, yes. Yes.

Researcher: They wrote down their own department?

P2: Yes. But we didn't report it based on who was inputting it. But based on... We would have ... no. I'm sorry. Got that backwards. We did report based, we kept track of what department they were in, what level are you. A team leader? Manager? Worker?

Researcher: You analyze by department, kept track and reported back. It was like a 360.

P2: Yes.

Researcher: OK. That's fantastic. So what else do you want to say about your experience of this journey?

P2: Um, I think one of the biggest challenges was getting by everybody that this was ... getting credibility that this was an effort to change and improve their work situations and processes and outcomes of the department. And understanding you know .. differentiating the pursuit of the award from continuous improvement journey. You say the award is a benchmark on that journey. And it really actually .. each year I could see more credibility in people's comments, responses, and I thought for a while that there was a perception that I was responding to the need that they were expressing. But that my direct reports in middle management were not on board. Eventually that was overcome to. I think just by pure persistence by making sure we followed through on executing many of the things we talked about. And by virtue of discharging some management

members, even direct reports that did not live up to the cultured principles we had espoused. I think both of those helped build credibility. What finally clicked in most people's mind was when we showed them, pulled off the webpage, the videos from three other universities that had won this award. And showed our folks these videos and it was like ... clarified. Because they saw other people like themselves doing these things. And they realized we were as good as they were. This was real. And it's a lot bigger than they realize. And I think when that soaked in; they realized that we were going to highlight them and what they are doing, not senior management. I think that made a big difference. Ever since then, I felt like we had all around support. There is always a percentage that just won't get on board I guess. It's human nature. But I felt like we had very strong across the levels.

Researcher: At what point did you show the video?

P2: At about the ... well into the third year.

Researcher: OK.

P2: We were honing in to having all these in place. Getting close. And we knew we would have to do that eventually [the video] and we were looking at those to see what it would take. I found them inspiring and thought it would be inspiring for everybody else. And it was.

Researcher: OK. So part of the motivation was you know you had a video, you looked at it, and it was cool when you showed it to your team.

P2: It was a point of inspiration. You see a lot of what you deal with when you do a cultural transformation like this, is low self-esteem.

Researcher: They won't admit it huh.

P2: No. They don't even recognize it. But I think seeing these videos of other campus departments that highlighted people doing what they do, and the recognition those people gave, rank and file, so to speak. It inspired them that this was a credible thing and they were already doing it. It was a matter of attitude. If you don't get that ... it will collapse on you. It's critical to get that [inspiration].

Researcher: Uh huh. That's fantastic.

P2: That is when we had the heart it in. We had the intellect. We were doing what we had to do. We had that sense of their own vision and inspiration. So they had their hearts in it.

Researcher: That's great.

P2: I was surprised at the impact. But it was noticeable.

Researcher: It's interesting. You mention mostly your own team. Let me recap what I heard you. One major point, there was challenges at the beginning getting buy in from your own team that this process was valuable. Then another challenge to try to differentiate the difference between the award and the journey itself. Then you had to fight the perception you are the only one doing this thing. That the management team wasn't in it. Over time, by showing commitment, and dealing with the managers through attrition and direct intervention, ie fire them, that started gaining more credibility and then of course, you are trying to prepare the video piece, you got inspired, showed it to your team, and that was the final credibility piece that it wasn't about you, the management team, but that they saw it as they can do it work other people are being recognized for. And why not them? That is when the heart, you say, they bought it with their heart. It was already in their mind before - the process, the documentation. They didn't own it. Once they had their own inspiration and vision, you felt like they had the heart in it.

P2: Yes.

Researcher: Fantastic.

P2: One more thing that is important in this process. The leadership and human relations training we started making available. This came at the tail end and has been part of our journey since we got the award. The leadership academy.

Researcher: Your human leadership resources training didn't take place until towards the end?

P2: We were working at it sporadically but didn't get it gelled. I think that will be key to its viability in the long term. Is that there are three programs. Leadership academy and Dale Carnegie leadership courses. That helps at all levels. We take front lines as well as management and allow them to go to these programs. And there is the credibility plus, more importantly, it's giving them tools to work with to be leaders.

Researcher: Yeah.

P2: They have confidence they can do that.

Researcher: Um, ... yeah.

P2: And succession planning. Because it's creating supervisors for the future. We have had promotions that would not have happened had those people not availed themselves of this training.

Researcher: Fantastic. It's interesting. If I heard you correctly, you are saying the training may have been one of the key points that puts you over the threshold in terms of continuing.

P2: Yes. I think so.

Researcher: Wow. Fantastic. So if I can recap briefly again. You looked at it as you came in, you took over the process that has been going on since 99, and you did about three years of brainstorming to generate this massive report. 32 pager? Then over the period of a few more years, you met in different groups, larger groups, and then you had to overcome the impression it wasn't for the managers. It took a total of five years to where you felt comfortable. The last component, plus the one I mentioned earlier, I recapped, this is very interesting, the idea that the leadership and HR training. That played a key role. So I see several components. It's very interesting. Huh. OK. So you know, boy. Time flies huh?

P2: I'm OK on this end.

Researcher: If you want to add, feel free.

P2: OK.

Researcher: So you mentioned before that the your department had set the goal of winning the Award. Say more about that.

P2: Um, I think there was this desire to uplift this organization from the old fix it plan. Low self esteem and negative perceptions from campus to really create an organization. It was world class excellence. And it really started before I got here. I asked administration who came in and partly recruited a change agent, that's the position I'm in. Then that gentleman, [avp2] was here five years.

Researcher: Do you know why he left?

P2: He retired. He retired in good standing. And [avp1] had been leader in KAPPA and the visual. He was just wore out. He faced really tremendous challenges. There was corruption that was ...

Researcher: He paved the way for you?

P2: Yeah. He was the explorer pioneer. I was the settler.

Researcher: That's good.

P2: He really had some serious theft and just disruption and just a lot of low self-esteem issues. There were no written procedures on anything. He restructured the skills trade group. I'm digressing.

Researcher: You're not. This is part of that dialogue. You're doing good.

P2: He restructured skilled trades from the old silos from the first response group, a PM group, a scheduled repair maintenance group and a construction group. And started

mixing up what everybody did. For a while you had a locksmith doing painting.

Researcher: Did you say, it was a VP who wanted a change agent and was the driver to go for this excellence?

P2: I think the senior management team that was here. They wanted ... they saw problems that were here. They wanted to reach a new level of excellence. They had a real strong desire to do that.

Researcher: How did they demonstrate that?

P2: One, that they as a team [of senior leaders] had espoused this goal very specifically. And committed themselves to changing and putting it into place all these things. You know, organizing the employee task forces, that had started before I got here. To engage employees and putting procedures together, defining our process. They already had a vision of inclusive process.

Researcher: Yeah.

P2: A vision of customer service that banded new levels of excellence.

Researcher: Already had a vision.

Participant: I didn't come in with this being a new idea. As far as they were concerned, it was a done deal. Somebody just had to lead them through the process.

Researcher: That's fantastic. So say more about the notable reasons the campus pursued this award.

P2: Campus wide there was a great, there was negative perception of facilities as being an empire overcharging people on campus. That was resolved to the culture. The person here before, had been here thirty years. I mean, if you saw the plan, you'd understand where this is coming from. We have one of the largest operations plant to work out of.

Researcher: They set themselves up nice.

P2: Very nice. That was the perception. Everybody else was being taken to the cleaners to fund the empire.

Researcher: If you could recap?

P2: I think through a very inclusive process of meetings and discussion with employees at all levels.

Researcher: Within facilities.

P2: And there is an external component to. We instituted the professional survey incident. A lot of departments do this. The worker gets an automatic email linked to a monkey survey, how did we do.

Researcher: A monkey survey?

P2: Yes, half a dozen questions. They go there, click and they can add a comment. We don't get many comments on that, and most of positive. But they help us see things there too.

Researcher: So inclusive process within the department, and I think you mentioned before, using feedback instruments. The forums you have, the focus groups.

P2: That was internal. We did do a couple rounds of meetings with customer feedback meetings with the deans on campus.

Researcher: Fantastic.

P2: For external we relied on the survey instruments. And any anecdotal comments.

Researcher: What else?

P2: The VP of finance, and for facilities, my predecessor, did the early dirty work. Then the senior management team of the facilities.

Researcher: OK. Now, ..

P2: One thing we did with that, we selected one of our senior managements. One of the directors that is to be .. he was to be the watchdog and keep us on task. This was his mission. To keep the rest of us on task. Make sure we come together and keep moving forward. It's the narrative.

Researcher: That was your assistant director.

P2: He was the director of building maintenance.

Researcher: So you assigned that task to be the watchdog and coordinator.

P2: Yes.

Researcher: Um, now if you were to .. again...

P2: The VP of Finance set the original visions, the desire to change. And one of the other things I mentioned that was done by the VP of finance, the whole division, was they went thorough focus groups before I got here that was referred to as division operating strategy. That set out for guiding principles of fairness, honesty, respect and

accountability that were posted all over the department here and we took that as something that we integrated into job descriptions.

Researcher: What were they again?

P2: Division & operating strategies: fairness, honesty, respect, and accountability. Then there was a dozen more verbs that express how we would conduct ourselves. Those four guiding principles were the elements we rally around. I think him setting that vision and guidelines, part of that, it works like empowering employees. Innovation etc. And so he also, let us have the resources to what we have done. I doubt there are many departments out there that have been out of money for training. But they are high dollar training programs.

Researcher: He provided resources for training and gave you the comfort level to approve travels.

P2: We gave us the freedom to do that. The senior management team, was embracing the goal. And making the commitment to persevere.

Researcher: You make it sound like a journey. It didn't just come together.

P2: You take side roads and you have stops and starts and detours. That was the value of the varied excellence. The criteria of the award for excellence. That gave us a clear road map. We just kept coming back to those things. What have we done to meet this criteria. What do we need to do. And it gradually kept working.

Researcher: That is fantastic. Good stuff. OK. Now say more about the leadership team you mentioned earlier.

P2: Um ... other than myself?

Researcher: Whoever you want to talk about. You have mentioned a few groups.

P2: The VP was pretty empowering on the one hand. The department is your budget, you do what you think is best. Very hands off. Not micromanaging. Almost to a fault.

Researcher: OK.

P2: The other thing about it, He was a very proactive change agent person. And um ... other key folks, like [Director1], he was the engineer here. And [his] style is very much of a servant leader and empowering of employees and open to looking for continuous improvement. He continues to be a strong leader through this process. He was one of the management team that gave it credibility. And I think down in the ranks, there were people from time to time who would need to step forward. One person is not with us anymore, manager who had experience elsewhere. You know, with management and we actually, for a period of years, a carved out a separate energy management operating unit.

Our heating and air conditioning guys pulled them out of the maintenance group. [Director1, Director2] and the managers, and so with the idea they would create a model for how we wanted teams to work.

Researcher: Wow.

P2: And I think that was good. I think that did help.

Researcher: Interesting. So what about others?

P2: My predecessor was an engineer. And he again was all about continuous improvement and building self-esteem and empowering supervisors and employees and seeing management role as being a facilitator to make sure the employees have the resources to get the job done.

Researcher: Wow.

P2: The biggest challenge for him, was at the time, there just wasn't much identification or knowledge of those kind of principles. That was all foreign to people here.

Researcher: He was clearing the trees.

P2: You can empower all you want, but if the empowerment wasn't accepted, it won't work. I think that was part of wearing him down, between restraints of human resources and fighting the trench battles. Getting people to look at things differently. He made, one of the things he did, the who moved my cheese.

Researcher: [Laughing] I used that too.

P2: He used that extensively. I thought it was funny. I hadn't been here long and I heard a couple saying, I don't know why these people think we're afraid of change. Things change all the time. Two years before he wouldn't have said that. [Avp1] did a great job of forcing change and prepping people for further change on the other hand. When I got here, this whole organization, it was the unique thing. They were shell shocked from change and it had been so drilled into them that change was what it is all about. They were ready. They wanted positive change. They were ready to change.

Researcher: Fascinating man. Others?

P2: Uh ... me...I really try to function around the team service with leadership—that I am here to facilitate everyone in the organization being their own leader and filing their own destiny. And very open communication. Structured in the sense that I want to see on paper what the structure is. So you have accountability for processes that have to take place. But open communication protocol. That is not constrained by those structures. I encourage people to come see me directly if they weren't getting the satisfaction they needed from supervisors. That was a hard build for some supervisors to work with.

Researcher: Interesting.

P2: Many times people come to me and what I would tell supervisors, is I understand it's my position and things beyond your control. But part of it is that you aren't creating an environment. You aren't reaching out in a way they feel comfortable coming to you. Work on that.

Researcher: How do they take it?

Participant: Uh, they adapted. The department directors who left here, left under ... I dismissed them because they blatantly violated the trust in those principles and operating strategies in ways that were visible to people.

Researcher: They fought you. They would undermine the process.

P2: They were doing it by cloak and dagger. Took me a while to figure out. That was part of the trust element. People had to get to the point they trusted me enough to come to me with these things that were happening. We established early on an objective .. about as objective as you can make it. The fact finding process for progressive discipline. We applied that to everybody. I think that way again important to the credibility. In terms of my style, it's very open protocol. A belief every person is here to serve, and serve and only, ... thinking and serving leaders. We don't want robots, supervisors that see themselves out of bosses or managers. The concept that leadership is truly for everyone. My mantra continues to be that.

Researcher: Yeah. That is fantastic. I define leadership as adulthood and how many people I work with are adults – every single one of them.

P2: The other big piece, I tend to be very much a people person. I am big on numbers and so the idea of indicators is another big push. That is part of the criteria. And frankly before I came here and delved into that, it helps with the CMS systems and the data management. We do a lot more tracking than we used to. But it really came, going through the process here, opened my eyes to how, even though we are a service organization, a public sector, we can measure what we do. We used to think what do is too difficult to measure. We aren't manufacturing widgets. But we're limited only by our imagination.

Researcher: What do you measure?

P2: Customer satisfaction. Employee satisfaction levels. One thing to me is measuring turnover rate. It was so high when I got here, 30%. It has dropped while I've been here, now it's under 11%. Of course, the economy has helped that situation the last couple years. Most of that trend was accomplished in the first three years before the economic downturn really made them smart. So I think the environment we were creating is a big part of that. They were not as significant. It was an environment change that made the

difference.

Researcher: How did leadership styles affect the process?

P2: I think it was absolutely critical. I think the ... there had to be trust built. There was no trust here. Trust comes with open communication and response. It need to be stated and acknowledged. And building individual self-esteem – we can talk about empowerment all we want. It needs to be received. Not just given. If the receiver doesn't believe it in or thinks you are just putting a lot the bike, it will fail. It needs to be reinforced constantly by supporting staff and letting them know over and over that they are appreciated and their ideas are right. They are capable of ... they don't need to be treated like schoolchildren. I think without an open style in demonstrating personal respect to each person, I don't think you can make that kind of transformation.

Researcher: Fantastic. Good stuff.

P2: Hope it's what you are looking for.

Researcher: I was after your experience, and you gave me exactly that. That's perfect. I hope to write up something as a way of summary and will follow up with the participants as a way to ensure I capture the salient points from the discussions.

P2: Okay, I look forward to it. Good luck.

[End recording]

Campus 2, Participant 1

This participant will be identified as P3

Researcher: Thank you for verbal consent to do this interview. I have some preliminary questions that are sort of background kind of stuff. Then I ask you to talk about your experience of the Award for Excellence. I may have follow up questions to clarify what you said, or to probe more deeply. So, how many years have you been with your institution?

P3: 12 years.

Researcher: What is your first-hand knowledge of the Award for Excellence in Facilities Management process?

P3: I was the primary person for starting the process.

Researcher: What was your role in the Award for Excellence in Facilities Management process?

P3: My main role was to put the team together. Review all the work done by the staff, with the AD [assistant director] who went through the details and work with the team.

Researcher: Describe your experience in the pursuit and the attainment of the AFE.

P3: I [Director] was involved in the process but it was my associate director that really did a lot of work. He submitted the application in 2005. We did not hear back from APPA at all. We reapplied in 2007. We used what we did in 2005, and incorporated some new processes we've been doing and got the award. This time APPA said they were sending out a reviewer to look at the supporting documents. We had most of the information documented, but needed to do some more work. The work gets you to look at your areas in more details. You may find deficiencies that you may not be aware of. You can work on those if you are aware of them to make improvements. Documenting really helps to see how much process you are making. The review committee saw the paperwork. We set up a room for the binders and kept adding to them. We had a binder for each shop and group. Everything we did was documented to show how we did things. They said it looked good.

Researcher: You mentioned making improvements; can you say more about that?

P3: We continue to improve. We have to. Documenting helps to give you data that can be used to find ways to improve. We are not the only ones doing it now. My boss wants us to do the excellence in higher education. He is part of the business officer group.

Researcher: You mean NACUBO? I remember the program, it's a Baldrige based program. I went through the program when it was first introduced in 2008.

P3: Yeah, that's right. He wants the entire campus to do it. We are a really a head of the curve since we've already done the AFE. We already have our process documented and have data from the metrics we set up. Other departments are just starting. Purchasing, pay role, HR and the rest of the departments have to document their process. We're glad that we already did all that stuff.

Researcher: So, say more about your department's journey with AFE.

P3: We are refining our metrics. Metrics are very important. They are pretty good already, but now we are trying to get into more details and have data that can be used more frequently. We are now trying to measure monthly. My boss gave me a campus to look at and said that they do their metrics and you know how you are doing a lot quicker? They know stuff like how many \$ per square foot, or per staff per square foot and that sort of thing because they tract it and report on it monthly. I looked them up. They have a full department that does just data tracking. There's like 4 or 5 people. I have no additional staffing. We are not likely to get any more help, so we are trying to automate the reports by using our work order system. We've got a ways to go. But now, we are almost forced to do it. We have to prove everything by data. If supervisor wants to fill the position, they have to prove why they need the staff based on metrics. It's not good enough now to say we lost a person, through retirement, quit, or whatever, and just refill the position. It's definitely getting tougher and data is king.

Researcher: I see. Say more about the AFE.

P3: It's been a great marketing tool or our organization. Our president mentions the award a lot. It's good for improved recruitment & retention. It's good for the team too. We have improved morale when the team is celebrated, we were allowed to celebrate, president hosted events, awards, other staff recognized the team, the entire university was proud. My team was pretty excited about the recognition. So, back to data collecting. we are using metrics. Our levels may drop if the funding is lowered. We were in over budget situation and the APPA award process made us look at the facts. We may have been over staffed. Massive changes in the department was needed. It was really bad before. That's about it.

Researcher: You say things were really bad, say more about tat as it relates to pursuing the Award for Excellence?

P3: We wanted to help recognize what we done and how we had improved. We wanted to promote the university. Getting the award does that, puts you on the map. People have expressed interest. I looked at it as, the way to market yourself, more credible with an external organization.

Researcher: You said people, say more about that.

P3: Everybody was in support of it. The staff were all supportive of it. They found it to be a lot of hard work. I included them in the presentation, in receiving the award. This all

came from our level. VPs and presidents knew about it. They didn't have direct role, but they let us do it. People on the campus were supportive too. They have to be. They have to help document the stuff we say we are doing.

Researcher: So what was it like getting the people involved?

P3: When we decided to apply for the award, we initiated by a draft by only the AD in 2005. The 2007 submittal used a team approach. We had regular meetings to do this. Didn't really have problem getting involvement. Staff bought into it. They knew what a challenge it was but knew had a nice end to it. My staff have always liked a good challenge. So, culture supported the change and challenges. Former culture was terrible, siloed. New people coming in fit the new model. Employee climate survey, we were the first to do it university wide to staff. It was a long survey, but I needed a base line. How we treat our employee, how they feel we are treated, they were more university wide. The survey revealed helpful information. We will now do it every two years. We do customer survey – we were doing it as a system, but no longer. we send out survey. for all areas of the campus. It helps.

Researcher: I see. You mentioned changing approach from only the AD doing the report to a team approach. Say more about that.

P3: Team is really important. And leadership has to make sure that it works. I am a hands on person. I like to get into the weeds w/o getting to far. I walk around the shop every day. I like for them to see me walking about. Lead by example. I try not to let one area suffer, so I try to give the same attention. I like to have people to work together, across union boundary. Work hard, play hard, that's what I like.

Researcher: say more about work hard, play hard.

P3: we need to work together and help each other. Well you've worked union before. They don't like to cross boundaries. My guys work together and they help each other. When there is a flood, everybody helps. When we have big storm, all the maintenance guys, even custodians help the grounds guys. That's the way it should be. We work hard to support each other. We do lots of things for fun. We have breakfast quarterly, raffles, gifts, prizes. The whole of the group comes together, the president come. I give extended lunch break for unions. We have bowling leagues that lot of guys do. I am an enthusiastic person; some may have followed the example. It's catching on. WE have a great people. We need to appreciate them. I buy them shirts, give them electrolytes. We recognizing them.

Researcher: Great. Is there anything else you would like to add to our discussion about the AFE and your experience with it.

P3: No not really. It's a great program and I am glad we did it. I have a great team and they deserve the recognition. The campus had a big recognition event. The university leaders really let us know we did a good job. It was nice, very nice.

Researcher: thank you for your time. I hope to write up something as a way of summary and will follow up with the participants as a way to ensure I capture the salient points from the discussions.

P3: Okay Joe, good luck.

[End recording]

Campus 2, Participants 2

This participant will be identified as P4

Researcher: Thank you for verbal consent to do this interview. I have some preliminary questions that are sort of background kind of stuff. Then I ask you to talk about your experience of the Award for Excellence. I may have follow up questions to clarify what you said, or to probe more deeply. So, how many years have you been with your institution?

P4: 10 years.

Researcher: What is your first-hand knowledge of the Award for Excellence in Facilities Management process?

P4: My firsthand knowledge of it?

Researcher: Yes, another way to ask it might be what was your role in the award process?

P4: For our award process I did quite a bit of the input for filling out the areas. I tried to help coordinate that. It was partially done before and partly submitted, but the form had changed over the years. We had to basically start from square one. We took a look at where we were compared to where we had been. We made some revisions and shared it with the other people [the director, associate directors, managers, office managers]. They helped coordinate the information together.

Researcher: Here is the part that is freeform. The basic statement is describe your experience with the award for APPA process. This is wide open so you can take it any direction. Based on what you say I might prompt you for more information. You talk and I write.

P4: Okay. The APPA experience. That is a wide territory. I found that I personally enjoy challenge in coordinating. The end result was positive for us. Getting there was a challenge as far as coordinating the data and getting it as accurate as possible. Then when we submitted the data and the audit of reviewing our data. We organized our whole APPA application where it can be researched and handled easily was just as big a process as putting the application together.

Researcher: Okay.

P4: It was a rewarding experience for me personally.

Researcher: Okay. That is great! Can you talk a little more about the challenge of getting the data together?

P4: I think just doing the research and making sure we were accurate or have covered all

the territory as much as we can. Sometimes we have the tendency of just doing our job and not reflecting on what we have done or how we got there. That was part of the challenge. How did we get to this point, what were some of the challenges that we did to get to this point. I think that was a challenge for me. It was self-reflective I think.

Researcher: That makes sense. You said it was difficult making time for the self-reflection.

P4: Yes. I think we all get busy with just doing the job and getting it done. Realizing what it takes to get there was a great experience. It tells you a lot about your organization and where you want to go and how you got there. It will help you get to where you want to go.

Researcher: That is quotable. Okay. That is fantastic. Related to that was you saying getting the details, can you say more about that?

P4: I can't think of any specific instance. I just have a vision of some of the areas that were my expertise at the time. I had to determine where that information would be for their best resource. I was new in facility services. I had been on the campus for 20 years, but only in facility services for a year or so. Trying to uncover where I can get the data and the information.

Researcher: Related to get the details you needed, the big challenge was where to get the data?

P4: And make sure that the data is defensible and accurate.

Researcher: Very important. You said that you had to organize the data in a way that is easily reviewed. Can you say more about that?

P4: I remember keeping the original document so we can see what changes were made and who made them. Then I could say that so-and-so put this in and another person put this in. It was also about coordinating input. Only about 4 of us had access and control of it. If someone asked me why something was put in then I could say where it came from.

Researcher: You had to define the source too?

P4: I did at some extent. It was a big application and I knew I couldn't remember everything. I wanted to be able to answer when someone came to me.

Researcher: From your perspective, how was gathering the information in relation to other people participating?

P4: It was rewarding. I like doing that kind of research and thinking. So to me it was rewarding.

Researcher: Would you say something about the responses of the people that you interacted with?

P4: As far as completing the application?

Researcher: As far as digging for information.

P4: Good and positive. We wanted to get on the same page and do a good job.

Researcher: Okay. You mention that people want to do this. How do you think your university got there? To a point where people wanted to help out and get this done?

P4: The application?

Researcher: The application or award process.

P4: The application is specific with facility services. It was a great team effort. We reached out to other areas of campus to get positive remarks so that people could recognize the facility services role in keeping the campus maintained.

Researcher: So, say more about the campus involvement in the process.

P4: The senior manager wanted it. That was the catalyst. Our previous predecessor who passed away had been trying for it. I'm not sure if he submitted it, but he had the vision. [director] took that and walked around with it too. We completed it upon his direction.

Researcher: Other than [the director], say more about the reasons cited for going for the award?

P4: The positive recognition that facility services would get. We felt that we should be recognized in that way.

Researcher: Recognition, from where?

P4: APPA. We wanted to be reviewed and be put out there to be recognized in a great way.

Researcher: I see. Say more...

P4: We got nothing but positive feedback. It was mentioned by the president over the next 5 years in his speeches.

Researcher: The president?

P4: I think it was something he was proud of. Like when you do good on a test.

Researcher: Can you talk a little bit about how the process for this award got going?

P4: I think that I probably played a critical role in that. I felt that we had a deadline and timeline to make it. Just doing the process! I did as much as I could and tried to coordinate with others for outstanding information that I still needed. I think we had the information but the core group was [director], me and [AD] to get it all coordinated for more information. It was a good team effort.

Researcher: So it sounded like you were the coordinating driver to keep track of getting the information you needed?

P4: I think so because I got the survey and it came to me because I was familiar with the word APPA and so I was the one who completed a lot of the portions of the survey with other's help.

Researcher: The APPA survey, is that the FCI?

P4: The FCI. I have been doing that since I was here.

Researcher: You were creating data for that anyway. That is fantastic. It sounded like you were more deadline driven.

P4: Yes.

Researcher: That is a great tool. How long did it take you?

P4: I don't remember. I can't tell you. It was a process. I honestly don't remember.

Researcher: No problem. Say more about the leadership.

P4: As respect to filling out the application?

Researcher: As far as pursuing the award? In making sure that it actually happened?

P4: I think they coordinated that with the other managers. Automotive and the whole team. We all went through the direction we wanted. I think that [Director] made it clear to do the best we could to obtain the award. I think that the leadership was good as far as [Director and Associate Director] to get others involved. It helped with the reaction to get a positive thing that we were applying for.

Researcher: What do you mean? Vision sharing, communicating of the vision, getting others involved, using a positive message about the award?

P4: Yes that is accurate.

Researcher: How did they want to sustain it when someone said that there was too much

to do or anything like that?

P4: We didn't think that way. We just wanted to get it done. It was a lot of work. We saw the end result as something positive.

Researcher: Okay. Hope. These are all very good stuff. I was amazed and I thought your leadership team did a fantastic job.

P4: Yes. Thank you.

Researcher: So, listen, that about wraps up our time so I will say thank you for your time. I hope to write up something as a way of summary and will follow up with the participants as a way to ensure I capture the salient points from the discussions. It's been a pleasure.

P4: Thank you let me know how I can help.

[End recording.]

Campus 3, Participant1 Transcript
This participant is identified as P5

Researcher: I have some preliminary questions that are sort of background kind of stuff. Then I ask you to talk about your experience of the Award for Excellence. I may have follow up questions if certain concepts were not covered earlier. So, how many years have you been with your institution?

P5: 25 years

Researcher: What is your first-hand knowledge of the Award for Excellence in Facilities Management process?

P5: In the award, my job was to first of all, to build and make sure the data we accumulated in the process we had and put together were concise and basically they read well and we could actually be working. So we spent time on SMP's. My job was to make sure I covered my side of the house, if you will, was accurate and we had backup to show that.

Researcher: So documentation was a big part.

P5: Yes.

Researcher: You said your job was multifold. To mill the data and to make sure you had backup like the standard operating procedures.

P5: The data is the key to proving there is working or not working. So you know, the measuring is there, and that type of data support. We had to be there. And put it out into the program, we got beat up a few times by having data we didn't have great metrics to support, and we went back so we got kicked in the gut and learned to be clean and clear with our metrics and data we collected. So it's a learning and a discovery process to get to the APPA award application and everything.

Researcher: So that's the big push, not only in facilities, but I think every facet of higher ed now.

P5: And you know, the need seems to be more than I remember in the early years, for others all the way up to the president needing this information. So we relied too much on the president for decision making. Now it's a common thing to have to have that data and understand it.

Researcher: Yeah. Absolutely. I think it's good to give us credibility.

P5: Right.

Researcher: Would you spend time describing your experience with what we are calling

a phenomenon? This award for excellence. You can take it any direction then I'll ask clarifying questions

P5: We had a very strong assistant VP over campus facilities, and the management facilities and grounds. So going back into the late nineties, we started really looking at you know .. how are we going to do better. How do we start focusing every day? You know, we are starting to grow as a university and at that time, growing quickly. And we could tell we were not maturing as the right rate. And we had a lot of good people and knowledgeable people but our processes weren't in place and everything. We didn't have that, we got called to the table to you know, we didn't feel we were there yet. So we started looking at ways to do that. And you know. We found there were companies that came under and forced issues for us. We thought we were gonna run with that. So eventually we got kicked in the tushy and you know ... it taught us to make sure our data was clean and clear. We had buyin from the university community, our own employees. It was a hard model because it was a business model not an educational model. So we had to go through the components and we worked, that was one reason we couldn't do anything. It was, how do we get out of this? What shortcomings do we find? So there was another course of time before we did the APPA application and it was .. it was . . . we had the EPA audit at the same time

Researcher: I see.

P5: And that was you know, we were all at that point, we had to be prepared for these people. Give them what they want. And what they are going to see and we actually started meeting once a week as a group and putting together processes if we would. And see how we handle certain processes and makes sure it's accurate and we went through and bought.

So we found some strong personalities in our organization. You talked to one already today. And then it was our environmental health and safety person. Just wonderful. These were the key people to keep this single task and the data that we use and the processes to get through this EPA audit was critical. And you know, it took us seven months, we didn't get to pick and chose what they wanted to look at, when they wanted to. Then when we got the opportunity later, that mindset served us well. And I think the components that come together was we are very different people in our organizational directors. We all brought different things to the table. When we brought different things together, he does politicking better than we do. Then [director?] does this and the process orientation and like to reason with us. We have the mileage on this end. So everybody played a role and everybody was excited about doing this and it was a key moment in the process here. We started seeing things better as a group. Then it was just .. you know. All this was back to back to back. Then we started our surveys internally. We looked for a different type of survey. We'd do an annual one. Then we started tagging them with the work services. So we do real time and the work orders. And we have a great number of them coming back and some time with the people courteous and to communicate well. So you know, and we see something .. so we had something that was real time to us. So we refined things ourselves to get better information from the

community. And just going through management, going through AFE and that really refined what our mindset was when we got time to go to APPA and make the application.

So there was one person to really work on this and the main focus was to get the information and brought in documentation. So we took hold and get we were like OK ... so we were doing something. And I think we learned through all this, it's about being service oriented as a group. It's about the kids, not our individual shots. It's the cumulative effort. So it was good here for the kid down the street. It was important stuff we were doing. And I think that mindset came out of the whole process. I think it came out over the whole organization. It's kind of the nutshell and we started it off, our own surveys and enhancing and helped as we get through this step and the EPA and EPD. I can't underestimate how important that was to get the information for people to look at and read. And the information was at our fingertips, and that helped us tremendously to get there.

Researcher: That is fantastic. It seems the major drivers were need to improve and be prepared for the changing organization because upon self-reflection you realized it could be trouble. So Baldrige criteria that was another reality, gut check. You realized what needed to take place. Add the audits to that.

P5: We were actually like, bring it on. We're ready. We can do this. And you know, I was looking forward to them, but not together. It was a matter of answering questions, being prepared, and doing the study and by doing that, you know ... communication works in the files and you figure it out yourself.

Researcher: Right.

P5: So that was key in my mind.

Researcher: Right. It seems those were drivers. The key success factor seems that there was this leadership beginning on the same page in terms of a goal and recognizing strength each person has to be a stronger group.

P5: Yeah. That definitely when that started coming together and we were all on the same page. So look at the records, if you will. They were on their own and you start realizing we are stronger as a group. And we have more effect and I think that's where we started maturing. So you know who has your back and you know, the group.

Researcher: That is really exciting to hear.

P5: In my mindset, our leadership around here, and I think we are all on the same page. That wasn't the case years ago and you see that at other schools. It's just, when you go into it and see what happens. We may not agree on everything, and when all is said and done, 9/10 of the decisions are made by the group. And that's what important.

Researcher: So let me ask you, if I may, about "like mindset" and the leadership. What

were some of the key factors. You mentioned recognizing the strengths.

P5: Understanding where each other's strengths were. And you know so to sit back and do the cutting. And you know, basically once you got to that point .. you could see what others schools could accomplish and could do.

Researcher: Can you talk about the process to discover each other's strengths?

P5: We starting having this process and redesigning, and we took that time, and the best practice mode. And so we would meet once a week and we were all doing fine. So we starting seeing strengths and working with the data. So we could meet once a week maybe. And it was hard sometimes. Then those meetings with the APPA and the constant thing, once a week we were having to get engaged with each other and helping each other work out processes. And we had one person write one over, and making sure we were updated and keeping things going. And you don't mind when we have differing view. So it was a process on our end. So it was for all the right reasons.

Researcher: Sure.

P5: And we get together and ... we couldn't let things go because we were pushing because that was the mindset.

Researcher: Tell me more about the mindset.

P5: I got maybe 4.5 years or so and my mindset now is to make sure, cause I have some good people, they are chomping at the bit for me to be out of the way. I wouldn't have it any other way. They need to be challenged, they need that opportunity. You know? They need the freedom to go out there and make the decisions. So I need to make sure the succession continues and improves. I'm excited about that.

Researcher: I have had many mentors I keep in contact with because they have opened doors I couldn't have opened myself.

P5: It's one thing, I mean we all, the administrators, if you will, and the different backgrounds, we have country, city, military and we have ex hippies. So the mindset consists of the work for the university. It's nice to have a difference in opinion as we go throughout the day. So every day we do what we can to make it better. And I think the flaw in the process continues to do that. So learning that, ... it was learning what we do. It was about the continues improvement. Know as about the ... doing better today for the future. And we see that work coming down. And the reality was ... what we learn from that and how to keep it going. Because of the bare minimum. And that is what I think we get out of it. Then we spend two minutes talking about the work and where we're going. [Laughing] So it's some variable stuff and our facilities and organization. And it was just a bad morning, reminding you .. why you are here and what you are doing. So to me, it worked out well.

Researcher: Sure. You are talking about a culture that continues to improve and putting

the question out there about why we are here and that on sort of thing. How is that translated to down to the line level staff? What are you doing to make that happen?

P5: It's different by shop here. We have 140 people but we break it down and have meetings to respond to them. And so we are in the morning. So we are initiating this campus wide. The finances were the first group to go through, we were part of that. Then we put that into the action. So have done that internally. We have communications programs, so we have what are the standards. What do we expect? What you should expect. We try to be open with the information we have, starting with the step by step and the budget development. So some might pick it up, some might not. So that's what we do and can't do. So the ideas about customer service and you have to take care of these kids. And it's continuous every day and you know, the cards and our mission statement. And we are about to change mission statements again this year. So we will wait and see how that works out. We continuously do this. We spend a lot of time with our employees, we provide information and you know, not from me and the supervisors, but the vice president and engaged and has these sessions. It continues every day. And that is who we continue it to make sure it will stay. We did reorganization and a lot of good stuff about cycle time since we did the reorganization. The key is what we can do better. It's about improving this process. And you know, it's a contest when these people get in. See where we stand, it's like oh my God! So I think it's their nature and they want to do good and get recognized and it's also reminding everybody why we're here every day and keeping that in the forefront. So that's how we do it. We're casual but effective. We have daily and monthly meetings, everybody is talking the same talk, if you will, throughout the organizations and campus facility.

Researcher: Sounds like your line supervisors are involved in this.

P5: They are. And you know, they do the BPR and we are about to present it to close up the year. It'll be done by the supervisors. He deserves to be. He wanted this to happen. It was their baby. And so we say, what just happened. And so it gets us engaged and making sure it is an important plan. So then we have the involved and development. And that type of thing. Very engaged and getting involved in the construction. Everybody has a say in that and that's what it takes to make everybody feel part of it. We are very lucky we have the system here. And you know, it's important they feel engaged or we would be losing people right and left. So morale is good. And it's better than I'd expect. But we have people that are great.

Researcher: That's fantastic. You mentioned BPR. What does that stand for?

P5: Process redesign. So it's how many widgets can you produce without losing efficiency. It's taking big bites at a time and trying to take small things, each individual process and redesigning it. And we do five a year, and that was overwhelming. Now we have two this year. So that is the continuous improvement model and the shops and all the directors and the supervisors have been engaged in doing them in the facilities. The risk management. And you know ... so we get everybody involved that we can.

Researcher: Sounds like it. A while back, you mentioned a small VP over three areas.

Can you talk more about what that means?

P5: Well, he and I are totally opposites in the way we manage, okay? And so we're totally different too. It takes freedom to do your job and he was demanding. You had to have your ducks in a row. But he believed in this. He was one of these that would work for this and he has for many years. 35 years in the system, maybe more. He knew the system and the dynamics of the board of regents. So he came from that side. So he had been in private business, for 20 years before he got here. He knew the organization we had to deal with and so ... he liked to force issues and so we had great knowledge of what was expected. So I made a comment when he was hired, I knew him before he got here. I told the vice president, all this had to happen. I said, are you ready for them? Because we knew, it wasn't necessarily the grounds. And he is going to want to change your life and everybody else's life on the campus. And sure enough, that's what he did. He wanted to go effect everybody else's and see how they worked. He got very good with working with the vice presidents on campus and so he had a lot of freedom because he trusted me to go out and politic. And the customer service and what was going on. So you do not know where their heads are at. So I spent a lot of time in the community, if you will, making sure we had a good feel. I trust my people to do that too and to spend time. So we would build these relationships and do our jobs right, it's easier to say no. So he had the latitude to expect us to do that. And he was very careful and I remember he would call me for multiple reports. So you pitch that at him. So he'd say, tell me what you want to see. I have 53 pages, take what you want. What do you want to see? Whatever you want. He had thought about this. And he says if I have to choose, I don't need you. And you'd walk out of there going, what a nerd! And that is kind of the way to think of it. He would, I think, one thing is we didn't mix all the time. He would even in groups; I learned to deal with it.

Researcher: I experience it.

P5: He would do this in front of others and he puts me down all the time and I was like, he should apologize. I think he was making a point. And he knew what he was doing.

Researcher: Absolutely.

P5: And I do care about the work, and [Inaudible] and it was just, he knew that it didn't bother me. He knew I would approach him if I were concerned. He treated everybody the same way like that. I guess ... you know, how would you go make an example of somebody. He knew it didn't bother me. There were worse things in my life than him.

Researcher: Okay then. Anything else you want to say about your experience with AFE?

P5: No, that's about it.

Researcher: I hope to write up something as a way of summary and will follow up with the participants as a way to ensure I capture the salient points from the discussions. It's been a pleasure.

P5: Okay, glad to help.

Campus 3, Participant 2 Transcript
This participant is identified as P6

Researcher: Thank you for verbal consent to do this interview. Let's start with the structured questions. How many years have you been with your institution?

P6: About 10 years.

Researcher: What is your knowledge of the award?

P6: Well my knowledge of the award is having worked in campus planning and facilities since 2003. I became aware of it probably in 2007 I think. What intrigued me about it at that point and time was that we'd put the organization through two consecutive years of criteria using a state agency called [program name] that was comprised of private sponsorships. They implemented the amount of criteria.

Researcher: That is fantastic because it is basically the same thing.

P6: Yes.

Researcher: What was your role in the process?

P6: To coordinate the efforts and terms of the application. I came from the private sector. I'd worked 23 years with [ABC] corporation. We had a manufacturing facility there. Everything from the [xyz to 123]. My function during that period of time and my life of manufacturing was quality control manufacture. I'd had experience with this criteria. When they closed our facility in 2001 after working 1 particular job in town. I was fortunate to get on with the university. At that time I reported to the assistant vice president. His name was [avp1]. [avp1] wanted me to work on metrics. Those included the strategic aspects model and our work information center. Trying to improve with the type of metrics we were doing. We put together through the computer maintenance management system we have. Then later we started evolving on the Baldrige template. Between [avp1's] leadership which is the foundation. You have to have leadership backing the effort. And the Baldrige criteria were two key factors in us pursuing the APPA award for excellence.

Researcher: You're touching on good topic. You said the VP had expressed interest and the leadership role is critical. Can you say more about that?

P6: Absolutely. If your leader of the organization is not behind it, then everything else falls like dominoes. He actually attended a Kiwanis club at the state agency that put us through the inspection at the time. At that time he and I looked at what a great template it was from the standpoint of investing the time and effort for getting feedback from your customers and employees. We were weak in terms of documenting those two areas. We did customer surveys, but we didn't have the metrics to back it up. Going back to your question, the leadership is the real fundamental point. It is the starting point in the whole

effort.

Researcher: That is great. Going back to leadership. I don't want to give you too much direction. Describe the leadership that was important. Not only in terms of the role, but the how.

P6: I think in one word to describe [avp1's] leadership is empowering. He is retired since this time, but he has overseen campus planning, development, facilities and grounds, risk management and environmental health and safety. He had to preside over a lot of moving parts. From the standpoint of his leadership style he is very empowering. I think that at listening to some of the things that I brought to the table. He was interested in establishing leadership metrics to the point where we instituted monthly reports and weekly to-do lists. These weren't always well received, but if you don't do those things then you don't realize what you accomplish. I think from the two key words in [avp1's] defense was that he was empowering. He let you go in and do things, but he also wanted documentation of what you did.

Researcher: Yes. Documentation sounds like a critical factor.

P6: Absolutely. I don't know if all the leadership under his command were pleased with a weekly to-do list, but by doing those it made the monthly report easier to put together. You took those lists and they didn't have to be in paragraphs. You could do bullet points and you'd capture an excel spreadsheet or a word format.

Researcher: Okay. If I can recap you had weekly to-do lists that were more like a check off list and you'd report on that.

P6: In a monthly format of what was accomplished. He was very empowering. He never directed what he wanted especially with this APPA award. We were all kind of in new territory. We weren't sure what to expect, but we'd have weekly meetings to go in and learn. Not so much to re-ask the question but what Baldrige stressed more was the "how." That forced our hand in ensuring that we had standard operating procedures in place. When we got the APPA award we had a pretty good baptism in what was required.

Researcher: That is fantastic. Can you say a little more about leadership again? You said empowering. But can you talk a little more about empowering? How [avp1] was able to initiate the process and who was involved in that?

P6: [avp1] was notorious for having meetings with direct reports. In those meetings you had 1 on 1 and that was every week. A 1 on 1 meeting could last from 1 to 1.5 hours. [avp1] was also a great communicator. His weekly staff meetings and if they were on a Tuesday with the vice president for the division. Then [avp1] would meet with us that afternoon or the next day to be sure that any issues were communicated that involved our department. The staff meeting was communicated in his direct reports. He was an excellent communicator of issues going on. Not just within the institution but also within

the division. He communicated that through emails and through 1on1 meetings and staff meetings. I'm trying to remember the question on the leadership. He was a great communicator. Secondly, he set the parameters of needing information. He would tell you when it was needed, but not how to get it. We were left with what we were paid to do. We had to figure it out. He was not a hands on leader. He was one that gave you the instructions and gave you the target goals. He gave you when those goals had to be completed and you had to figure it out. I hope I'm answering your question.

Researcher: Everything you say is all good. It is your experience of it. You are hitting all the points I was hoping for. It is fantastic.

P6: As far as documentation of how you did it was in the weekly todo list or on the monthly reports. He'd understand what was done in terms of accomplishing it. He'd let you dictate that. He'd let you explain your story at the end of the week, or at the end of the month when the report was due. He presided over a lot of money or a lot of projects. So something like the APPA award was important to him, but he had a lot of other items on his plate to be concerned about. Especially with the public and private partnerships. Seeing buildings come up on time. Athletic halls and all those things to not get tied down with things like the APPA. That was pretty much my job. I coordinated that within the division. From a leadership standpoint a great communicator, empowering, required documentation and was a great coach. The 1 on 1's provided an opportunity for him to weave his philosophies in. With 1 hour meetings you can cover the business in 15 minutes. It was a great time to be coached. He was an extraordinary leader. He loved reading books such as who moved my cheese. The cooking point and those kinds of times in the 1 on 1s where he could get into being a true leader and coach.

Researcher: You are very fortunate.

P6: I've been blessed in thirty five years that I've been working to have some great people to work for. [avp1] is right up there. The fact that [avp1] had won the award at another institution. I think he still holds that record of having led two institutions to getting this award was another feather in his cap. His credibility gave us confidence that it could be done.

Researcher: That is great! You mentioned that your job was to coordinate the APPA. I call that the Award for Excellence. How did you go about doing that?

P6: Again I was brought in at a time where there was a little extra funding. He could explore some parts of the organization. He brought me to tell folks that we're only 1 person deep in the management rank. It never hurts to get a strong bench. That was kind of my role. To work with the directors such as risk management and environmental health and safety. Director of campus planning and development. To help push some of these items through. I was in a very unique role where I had a lot of room to expand the role I had. I was just very fortunate. You know that from the period of October of 2003 to when we put together this APPA award for excellence we branched out into the Baldrige criteria of working with facilities and grounds. We continued to improve these

and worked with the division of business and finance to explore another base of process improvement called "business process redesign." When I came on board I was working with some of the departments within the division like campus police, human resources, budget office and trying to take a look and do process flow charts on their different business functions. Documenting it and seeing where we can improve it. We did an initial project with all those departments and then other things took place. [avp1] utilized my services within campus planning and facilities. I was doing business project redesign efforts within campus and that included risk management and public safety. You start identifying the different processes and sub processes we had over 150 process that needed a look at and defined. Most importantly documented into an ISO format. That is another experience I had with manufacturing where you had a scope and a purpose with actual job requirements itself. Where do you find the documentation for all of this was important. That is what I was doing. Continuous improvement within the division, continuous improvement within the business process redesign within campus facilities and then into the Baldrige criteria which is a great foundation. We did that twice I think. In 2005 and 2006. Then we did one try with the APPA award for excellence I think in 2007 and we were told that we needed a little bit of polish in some areas. We did it again I think 1.5 years later and were successful.

Researcher: Fantastic!

P6: Since that time because of the work I did within campus planning and facilities I have promoted to where I now have my own department. We call it the center for business excellence. I'm doing business process redesign and doing sigma where it can be applied within the BPR efforts throughout the business of finance. Now I have over 21 processes that I'm guiding the position through. In one of those I'm applying for a lean 6 sigma process in our publication and printing area. The APPA was a wonderful experience for me and benefited me and the division in the long run.

Researcher: That is great. I hear you saying leadership communication and documentation were the critical pieces. What would you say is important in terms of how this process is followed? You could put structure in there, but more of the human relations component. What do you think works?

P6: Since I've only taken 1 organization through it. I can tell you what worked for us. That was taking a look at your leadership team on board. You get them on board by having the leader of the organization set the tone. This is what I want in your goals. This is what I want you to work on. We did it by having biweekly meetings. When we were doing the Baldrige we'd take a look at all the different questions in the first section of leadership. The leadership staff would get together and work on those. Then we were fortunate to get our hands on some templates from other organizations that had gone through it to get a gage of what they did. We met biweekly for really close to three years Joseph working on this criteria. Going back to the Baldrige it forced us to explain how. When Baldrige was telling me examples of what they did to meet the criteria. They couldn't explain how. That was frustrating for my standpoint. I can put the stuff down, but we're not answering the question. The Baldrige is asking for the how. I might be

deviating a bit. Going back to your question. From the human resource part of it. What got us going was our leadership saying that this is what I want us to work on. I think it can benefit the organization as a whole. I'm going to put it in your goals and we're going to meet on a biweekly basis. That means the assistant vice-president and his staff to work through the criteria. This was new territory for everyone. It was just beneficial and worked for us to do it that way.

Researcher: That is great! You sort of touched on this before, but what would you say was the driving force? The reason? Not the who, but what was the publicly declared reason for pursuing the award.

P6: What? I think the driving force was leadership. [avp1]thought we had a good organization. I think as you got involved in the leadership and answering the criteria, there was more of a buy in. From the standpoint of recognizing the explanation of how and what we did we were strong in certain areas and weak in others. By going through the process of sitting down and responding to these things on a weekly basis and on the off weeks. What we couldn't answer we integrated through the department. There was a genuine consensus within the department leaders that this was helping us improve. It forced our hand in identifying processes and then documentation of the processes through standard operating procedures. It showed signs that it was improving the organization and how things were done in their areas. The apple in the pond was leadership. That is what got it going, but the waves start to spread out throughout the pond and it can get contagious. It was originally the leadership from [avp1]. And as we set this process in terms of how we would move it forward. By meeting and talking with one another that opened up the logic communication from departmental leaders which was beneficial. You had 3 main leaders within the department. If they had inconsistencies then we have to get on the same page. It was the leadership and the process itself that was beneficial to the department as a whole that gave the buy in.

Researcher: This is textbook stuff.

P6: That is what worked for us. Having biweekly meetings. Sometimes weekly, it was teamwork. When you started to put it down on paper then you saw it was good. When we were doing the environmental group they went through EPA laws. They helped us prepare for when we had an audit on campus from APPA. We came up with a webpage where they could go to with hyperlinks that took you to the information instead of putting together volumes of books. There were things that we were learning from other resources. But in terms of this effort it goes back to leadership and communication amongst leaders. The buy in and seeing the fruits of our labors. Coming up with things every two weeks. This was the question and this was our response. What do you think? This is where I came into play. I'd take those notes and transpose it into paragraphs to respond to the questions. Then I'd let the management team review it. If there were questions on it then we'd get them corrected. It was a team effort.

Researcher: Shoot! There is a lot here for me to digest. I sure appreciate your responses on this [p6]. I wish I had another two hours with you. I need to wrap up here. But is

there any last information you want to throw in or a topic I should consider. And can I give you a call back if I have loose ends?

P6: You're always good to call me back. A pivotal piece that we've not captured prior to this effort and was required not only for APPA but also the Baldrige award was the format to capture the employee feedback and employee matrix. That was another item in the course of my career with campus planning facilities. I was going into uncharted waters. I was trying to come up with a way to capture this and come up with solid matrix we could track. I came up with an annual survey we call employee trust. If you look at our report it is in there. But the employee trust survey we came up with it. I came up with questions. We discussed it amongst department leaders and discussed when to implement it and we started doing it. I think we did it as early as 2004 or 2005. In the process of going through the Baldrige criteria we needed a matrix to fit one of the categories. That trust survey continues to be issued on an annual basis. If you are an organization looking to do this. That metric you have, you need to start getting information on. I used a couple resources. One was called "the trusted leader." There were some other books I used to come up with the questions. I'd be glad to send you a copy of that survey electronically.

Researcher: I was going to ask you for it.

P6: We have used it from facilities since December of 2010. They continue to use that survey. There were two things. One thing was to come up with questions on the areas to document. The second thing was to sell it to the organization and let them know about it. I was the perfect person to do it. I didn't have anyone reporting to me at the time. It was my job to go and sell it to the mechanics and the people landscaping and the custodians. Nobody was going to look at these questions other than me. You can't have a device like this and have retribution and repercussions if you can't say what you feel. Later you find out the responses are going to supervisors. We came up with the questions and we pay 300 a year to put the survey out. Hundreds in ranks. It was selling the organization on the fact that this is what I want to do and this is why we're doing it. It wasn't metric because of APPA but we wanted to know about training needs and where we as an organization can help improve their lives and working days. We sell them on the fact that I'm the only one looking at it. I would always say that you can answer the survey but you don't have to. You can do it anonymously. I kind of pride myself on the point where I'm answering your trust in me if you sign the surveys. The 5 years that I've been doing it is that we went up by about 20% in the people that did the surveys. They know what they are saying isn't going back to the supervisor. Just the issues were. That was a key metric that was required and I can't remember what section it was. It might have been under the human resource section of the Baldrige criteria. We were also able to incorporate that into the APPA. I'd be glad to send you an electronic copy of that survey.

Researcher: HANJOSE@ISU.EDU. It has been a pleasure [participant]. Thank you for your time [participant]. I hope to write up something as a way of summary and will follow up with the participants as a way to ensure I capture the salient points from the discussions.

P6: It is nice to be able to tell a good story.

Researcher: It is a fantastic story. I hope to hear more of it. Good bye.

P6: It's nice talking to you.

[end of recording.]

Campus 4, Participants 1

This participant is identified as P7

Researcher: Thank you for verbal consent to do this interview. I have some preliminary questions that are sort of background kind of stuff. Then I ask you to talk about your experience of the Award for Excellence. A couple initial questions then I'll get in more specific if I need to. How many years at [university]?

P7: Over twenty years, 26.

Researcher: What is your firsthand knowledge of the award?

P7: We won the award five years ago. So I helped out wherever I could where won the first time. My knowledge is thorough. There is data compiled, and they went through reams and reams of paperwork. Everything from our employee newsletter to financial statements. They really look at everything.

Researcher: OK, how would you describe your role?

P7: All of us supervisors got involved in several different capacities. So I have written newsletters, worked on employee of the month, helped pull statistics together. I have statistics on my department, how many trees we have, how much grass we mow, what it takes to maintain the entire campus. I helped with the statistic end and the creative things too. Gathering pictures and wherever we needed help.

Researcher: OK. Fantastic. That is basically the background question. The next part may feel a little ... uh ... broad. It's intentionally left general so you can take it the direction you want. I may ask prompting questions if you mention something that can be expanded on. Would you describe your experience with the award for excellence process?

P7: I thought it was excellent and still beneficial. For one thing, it made us examine every single facet of our department. We had an FMEP done by APPA a few years before we applied for the award. We'd been working on those things. Applying for the award for excellence really brought all the points into sharp focus and we had to provide accountability for those things that we had worked with and on. It was great. It really to me, takes facilities to a focused and professional level.

Researcher: OK. Wow. That's great. You mentioned examining every facet of the department.

P7: It was a lot of detail. Things like why do we purchase what we purchase. Why do we do what we do. Looking at our processes, looking at the things we sort of take for granted on a daily basis. When you are in a job long term, it's easy to bind into a routine and not question why are you doing something the way you are. When we looked at all the things that APPA wanted to see how we were doing, I don't know, it sort of ... brings

it all into a different focus and a different perspective. It renews your interest in every facet of the department. Just a different system we use on the computer, planning, record keeping. Those things.

It was neat to see. These are things that [director] really wanted us to learn. But it was neat to see this was a universal kind of thing a professional organization does across the line. And because most of the facilities have come from a hands on background. We have gone to college or technical school, but not from the financial end. To make us stewards of our departments and their different ins and outs, that's the best thing APPA has done. And during the awards, process showed us how far we'd come.

Researcher: Would you say more about this idea of how far you've come?

P7: Well, when we got started with APPA, I have APPA and [director] intertwined.

Researcher: He is APPA. He is the poster child.

P7: He made it possible for all of the supervisors and our second line to go through the APPA institute. We have six or seven of us graduated from that, and it just, .. when we started out, before [director], the director was secretive. He wanted to control everything. He had one right hand person. We didn't have access to any of our information, any of our work order statistics. We weren't allowed to touch the work order program. Everything went thorough this one person. When [director] came, that all changed. He said, I want you to think of your shop as your business. And I want you to be empowered to run it yourself and know everything. Know everything about your budget, where you are constantly. I want you to know the computer systems, banner, get in there, keep track. It was a completely different. Whereas before we did our work, and reported our statistics to this one person who held all the information. And when [director] came, that completely changed, and it was much more in keeping with what we discovered when we started going to the APPA institute.

That is the best way you can possibly do things. To get people invested in their own departments.

Researcher: That is refreshing. Would you say more about the best possible way to do things?

P7: Well, that is something again that [director] has stressed, continual improvement. Not only in our practices like for my department, things that we do in the grounds department, [director] has advocated to get us a lot of equipment. Expensive things that cut the time and improved the quality of it. He has the same sort of attitude about knowing how our department ran and how we fit into the college with the financials and human resources. He made all of that available to us and had us learn it and we continued to add. We had more banner training last week for the system. Now we can look at the individual invoices and do this amazing stuff that is really great. So it's just always been continual improvement over the last ten years.

Researcher: Right. That's really great. What do you think your staff perspective is of this journey?

P7: I think they are very much behind it. When it first started, it took a lot of my time away from the hands on work. There are only four of us. They stepped up to the plate and gave me the time I needed to learn all these things that [budget manager] wanted us to learn and take control of the budget and the work order system. There was a lot to learn. They are a good bunch and they have just stepped in wherever needed.

Researcher: That's great. Expanding outside of your department, what do you think the staff perspective was?

P7: I think by and large, the department is proud of everything that we've accomplished. And because we have set the standard of having things done right and having that expectation I think it has raised the level of quality of work we do. It's interesting, we are the only [deleted] community college in [state name deleted]. We hope we stay that way. We hired, I don't know how many years ago, a few union workers from steel mill. They were good at their crafts that had worked for [director] when he was director of facilities at [xyz]. They had a different attitude. We were a small department, we would work cross departments when needed. If they needed help with a set up, grounds would set up chairs. For them it was a learning experience that you know, sometimes you do things without a work order. You may be asked to do something outside your job. It's a learning experience for them, but they seem to enjoy working here and we have become a much more cohesive unit with their steels. So it was interesting because we never had any kind of a union influence before, and it is amazing. It's different way of looking at work assignment and who assigns what is what you are responsible for.

Researcher: It is a different world.

P7: Your job is singular, well defined, borders and boundaries. Here, it's grab as many people as you can and we need all hands on deck. It's different for them

Researcher: Sure. So now can you talk a little about how this concept was introduced?

P7: The concept of the award for excellence? I would say it got started with one vice president wanted to have an FMEP done. This was .. oh my goodness. Almost ten years ago after [director] got here. We had some organizational problems in organization. We had been without a director for almost a year and all us supervisors were keeping things going before they hired [director]. And we just had lost a lot of our cohesiveness. There were some things not being addressed at all. They had taken the IT person out and put him in IT. And that got things all messed up. Things weren't running smoothly. The VP decided to have an FMEP done. So he came in and talked with us. He came in and talked to us and gave us a list of things to improve. [director] took that list and ran with it. He was the one that told us there was this facilities award for excellence after we started checking things off and getting things running smoothly. Once [director] gets an

idea rolling, he gets everybody enthused about it and so it became, through doing the FMEP, we fell in line with the same sort of things the award was looking at. It wasn't too hard of a stretch to marry the two together with the idea we'd apply for the award after looking at the FMEP results.

Researcher: Can you talk about [director]. About the idea he gets things rolling?

P7: [director] is extremely single minded. An amazing multitasker. He is extremely focused with something he wants to accomplish. We have our weekly staff meeting. Most of us go in on a daily basis and talk with him. He has an open door policy. So we're always all in there talking about things with our department or purchases we will make, problems we're having. [Director] has an amazing mind for details. He can tell the same thing to every single person and not leave anything out. He has the most amazing recall. He was keeping track of all these, he was like the record keeper of the details and everything we were collecting for APPA. Of course, a lot of it has to do with people's personalities. We did the Myers Briggs, we learned about that at the APPA institute. He and I were very excited about that. Even our HVAC supervisor, our electrical supervisor, with his enthusiasm, he got everybody interested.

We MyersBrigged all our employees. We found a lot of us were internal processors and [director] and I were external. So we started working with people's personality types. Trying for us extroverts not to run over top of the introverts. Giving them time to think and process and not throwing options at them so they'd say forget it. As an extrovert, you have to hold back. Because it's just not fair to .. you can lose so many good ideas and so many really great directions if you don't give the introverts time to process. The Myers Briggs was a huge help.

The guy I call my cohort. My other half here at work. We've worked together for 26 years. I am an extrovert. He is an introvert and I drive him crazy with details. So we could do this, we could do this, this is a nice plan, how is this? He doesn't want to hear that. And we learn that through Myers Briggs. We learned to respect the way that all of us process things and to learn to step back when it was time to step back and to ask you know, thoughtful questions when we did need to hear what our colleagues were thinking. I think that really had a big part of getting everybody excited about the process too.

Researcher: [Laughing] we do Myers Briggs too.

P7: It's fascinating. We have the new employees over the last couple years we need to get them typed. We did have a person here at the college who was a certified Myers Briggs coordinator. She's no longer with the college; we need the rest of our workers typed out. It's amazing. I find it to be a tremendous work tool. As the supervisor, just for example when I sit down to talk with my employees about their evaluations. About situations that come up. It's so helpful to know how that person is processing what I say. So it's a help not a hindrance.

Researcher: That's fantastic. Can you go back to [director] again and focus this part now on his approach?

P7: [director] being single minded when it comes to a project or a process, he will do whatever it takes to get that done. However, he has to work with somebody or talk them through a process or help them establish steps. Really whatever we need, or if we feel we will take it and run with it, that's good with him too. He always keeps his eyes on the prize. Then he's collecting the data all the time for the award as we collect it we give it to him. He puts it together. He does the pie charts, the graphics. He's the gate keeper of the data. He'll go through what he needs to get him what he needs to pull everything together.

Researcher: Can you talk about what you wrote on the application in alignment with the backups?

P7: Well, [sigh] let's see. I don't really quite know.

Researcher: I guess the question is more, you have the policies and procedures written out, how do you insure its adequate staff feedback and those things are being done?

P7: One thing that we have done is used the APPA guidelines for examples with custodial level two cleaning. Our custodial supervisor has all of those guidelines. Well now she has them committed to memory. We worked thorough the guidelines for the grounds. I divided the campus on a map into segments. Then asked each employee to rate with the APPA scale for grounds maintenance operations where they thought our level of maintenance was falling.

For from that, we came up with a guideline. For example, we have about 75 large, that is 30 inches are longer, container gardens. It's one of the things we're known for. We looked at the containers and decided these are sort of out in the outskirts, not near main doorways. There for seasonal color. So we'll do one flower, plant in may, out in October, and they are not impacting. Other areas, we'd start with tools, pull those out, do the summer flowers, pull those out, and for fall and winter fill the containers with twigs and berries and evergreens so they look beautiful year round.

We use that sort of, the APPA guidelines to break it down. Level one, level two, level three. What is acceptable in what levels and we talked why we rated something a certain way. So it was a pretty long evolved process. I know Angela went through the same thing with custodians, how often to clean, what level of cleaning, what cleaning products. What is the end result we're going for. The impact of aging surfaces, talking about the perception of clean.

So I would say we use the APPA guidelines as a springboard to give us some structure and then you know, we have tailored them to our organization since then. But that was a good starting point. I don't know if that's what you were looking for.

Researcher: Whatever you wanted to say. That's very insightful. Nice use of the material out there.

P7: That really helped us. Because with grounds, it can be very subjective. Everybody knows what a clean sink looks like. But not everybody knows what a well maintained garden looks like. So yeah, I am wracking my brain here. That for me was a very good starting place. The other thing I did was we went out and compelled statistics on everything we did. How many hours it took us to do the annual leaf cleanup. How many hours it takes to mow all our grass if we can use the optimal size mower. Which we can't always do because of students.

We have a mower with a 12 foot deck and the hydraulic wings. With that, it takes us 26 hours a week to mow everything once. We have 22,000 linear feet of curve. Everybody went out and took a segment. So we knew what we had to work with. With 22,000 linear feet of curb to keep weed free, we need to either contract that out for spring, and from there we can figure out how much spray, man hours it would take. We have over 150 square feet of beds that aren't flower bed. There are 500 tree range that need to be mowed.

This helps us with qualifying when we ask for something. We ask for a piece of equipment. We need it, that doesn't help the number crunchers. If we say we have 225 thousand square feet of beds, we were edging by hands, I could get the statistics for that. So instead of two people, edging by hand, we could zip through and all of, ... this is sounding tangled.

Just from the one starting point of the APPA guidelines it leads to more statistics. So we have over 900 trees here, how many hours do we suck up leaves. What if we get powerful leaf blowers? Clear tubes so we could see what is going on with the machine. If we've developed a clog, which is down time.

So it's just amazing, once you get into the mindset of collecting statistics and using them, it makes such a difference in your workday. You aren't going out there and say, I guess I'm working. You have a reason you're doing something.

And [director] is huge on keeping statistics. And knowing what we're working with and why we're doing it the way we are.

Researcher: [director] is good on statistics. How did he introduce that?

P7: Well, he introduced it, I'm trying to think if it's a little at a time. He met resistance from the supervisors at first. Before [director] came here, we had an adversarial relationship with the directors. One reason was that he kept everything direct. And we complained about that because we didn't know what was going on. We had no input into our budget, we just didn't know and unfortunately the gentleman before would punish people for things like, you don't have money for that in your budget. But we were not allowed to look at the budget or decide what to spend it on. So head games. So [director] sort of threw all this out, like Ok, I want you to know everything about your department. I want you to know how much it costs. I want you to tell me the square foot

of maintaining this campus. It's like, "what?" Up until now I knew nothing. And at first he met resistance because of the amount of time it was going to take to get to that place. We were used to working with our hands every day and spending maybe three hours a week on paperwork because all we were allowed to do was funnel stuff up. So then when [director] came and wanted us to know completely everything about how our department is ran, we were spending 25 or thirty a week in the office. For people who are used to going out and working with their hands, it's hard to sit still. It's hard to train yourself to sit in a chair and look at a computer screen and enter data. So he got some pushback at first. I would say because it was ... he had such a different approach and we were all so set in our ways, he had a fairly uphill battle. We started seeing results, and once the HVAC guy knew how many filter changes, what they were costing, did an analysis, and [name] from the electric shop knew how many light bulbs are on campus. And I learned how many trees and linear feet of this, it got real interesting. But it was tough at first. He had his work cut out for him convincing us we did want to be in control of our departments. Now we can't imagine doing it any other way. If we had to go backwards it would be really hard.

Researcher: I hope when you select a replacement for [director], that the senior executive team is smart enough to have your team select that leader.

P7: I hope so.

Researcher: If they don't, you could lose everything you have worked so hard to develop.

P7: We could lose it, and we have had, I have lived through four presidents now at the college. I know how quickly things can change from good to awful. I am hoping that what [director] has established, what I want is for [director] to stay for the rest of my 8 years here.

Researcher: Nice try.

P7: I am hoping that nobody will try to stuff the genie back in the bottle and make us go back to having one or two people in charge. That they will continue to let us do this. The only thing we can do is be as professional as possible, keep up with all of our statistics for example our work order analysis we do, that we supervisors do. We take our work orders that our staff has reported. We break it down into horticultural, non horticulture expected, unexpected, various categories. So I know that 82% of the time is spent doing expected horticultural work. And 12% is unexpected non horticultural work. That includes things like snow removal, all kinds of things. I try to make notes in the columns so I remember what the heck we did that was non horticultural. But we have all those statistics. I hope that the next person coming in will see the value in that and respect what we have learned. I hope we get an APPA advocate. I hope we do. Because I think without APPA, APPA sets the benchmark for professionalism in utilities. They are the gold standard. Unless you have somebody keyed into the role APPA can play in a facilities department, it can fall apart.

Researcher: You said [director] wanted to go for the award, say more.

P7: I would say that he felt that we had all worked very hard to meet the requirements of the FMEP. We had gone above and beyond. We were operating on a daily basis with the idea of excellence and he felt we deserved the recognition from the college community. You know the facilities often, there is a perception problem that we sit around a table eating doughnuts, drinking coffee and waiting for somebody to need something. He wanted the college community to understand the professional role facilities played. One statistic we used over and over again with the Carnegie study, 62% of all freshman chose school based on appearance. That's a driving force, we wanted the reason to have enrollment increases, have a happy student body. All those things work together with the award for excellence. We wanted that recognition. We had worked our butts off. The arboretum was started here in 1985, the president then, [name], believed the appearance of the college was his tool for fundraising. He trusted the students would get the education because he knew we had good professors. He wanted the outside of the institution to reflect what was going on in the classrooms. He was an amazing fundraiser. We were one or two most well-endowed community colleges. I think we were one and we went to [name] in [state] and they were number one. The man could sell a front of the bench to one family and the back to the other. He poured money in the grounds department. It was a wild and crazy time. I have had some wonderful people to work with. It's a dream job, a dream comes true.

Researcher: So good to hear. Hey [Participant], I appreciate your time.

P7: It's been a pleasure.

Researcher: And if we don't talk again in the near future, I certainly wish you the best.

P7: Thank you.

Researcher: In the remaining eight years.

P7: Yeah. If they go as fast as the last 23, it'll be over in a heartbeat.

Researcher: I was telling my wife, things go as it does. But the 18 years we've been married has flown by.

P7: Time piles up when you're having a good time.

Researcher: Thank you so much and I look forward to seeing you. If I see you at a national conference hopefully we'll connect.

P7: Thanks for considering us for your research. If you have any questions, feel free to give me a call or send me an email. I'm glad to help.

Researcher: I am planning to jot down some major themes and send it out to all the participants. What is your thought?

P7: It's possible. When you're talking as you're thinking, it's easy to leave things out.

Researcher: I may put things in like why you pursued the award. Thanks again for your time. Have a wonderful weekend.

P7: Best of luck.

Researcher: Bye bye.

[End recording]

Campus 4, Participant 2
This Participant is identified as P8

Researcher: Thank you for verbal consent to do this interview. I have some preliminary questions that are sort of background kind of stuff. Then I ask you to talk about your experience of the Award for Excellence. A couple initial questions then I'll get in more specific if I need to. So what is your firsthand knowledge of the award process?

P8: Well, as far as the process, the first thing obviously we sent in a thirty five page narrative to address the seven sections, with supporting documents. And once APPA, the professional committee looked at the submission, they said we warranted a site visit. Then we got the site visit. What was different this time, the first time we got the award, when the two person team came in, I had the documents laid out. They started going through documents. They sat there for two hours and looked through everything. Finally I said, are you almost finished? I would like to show you the campuses, they said we are wrapping up. We went to the five campuses. Each is forty miles so it was almost a 200 mile trip, but they looked at every campus, said each was unique, but it was consistent as far as quality and appearance and cleanliness. They couldn't tell me officially but they let me read between the lines so we knew we got the award. Then we got the official notification may 21st 2007, we were pretty happy. Then in July, the annual conference was in Baltimore, my hometown. I took half a dozen people down and were on the stage to receive the award. Pretty special moment. This time around, it was different. Everything went the same with the written submission. I was not aware, and I ask [the APPA evaluator], was he the only one that read the submission or did each of the professional affairs committee get pieces and he said no, each person read the entire submission and rated it and decided that we warranted the site visit. But before the site visit, I don't know how many they had, they never tell you. Apparently they had enough that one person came for the visit. He said, since I'm the only one, can you send your supporting documentation electronically. I didn't have it electronically, at my fingertips. I started scrambling to get the supporting documentation. I had people from all angles sending that stuff. Finally he said, that's enough. I am satisfied with the submission and I will see you April .. sixteenth or thereabouts. We went to dinner with the five directors, myself and the other four and our college president and the next morning after that informal supper, we went and did the same thing. Hit all five campuses and started out at seven thirty in the morning. Finished at seven fifteen PM. Then we went to supper, he said, see you in Denver. So we knew we got it again. One thing I asked him, is when you scored it, was any section weaker. He said, let me look at notes. He said, there was one point in section four dash four or whatever he said, he said, you lost six points. The other sections you got the full score So I thought, I forget how many points each section is. But it's almost a thousand points. Six out of a thousand I said I'll do better next time we submit. He laughed at me. Apparently we did well with the written part and pretty well with the site visit. And I feel proud of what we are all about at this college, and I guess that's enough.

Researcher: It's a lot to be said.

P8: It took work obviously. The first time, I guess I spent, I can't even guess. Months

and months working after working putting things together. Then when we submitted, we didn't get it in 2006. They said the section on strategic planning, section two, was weak. It didn't show how we supported the college strategic plan. I forget who it was. Alan giver suggested beefing that up. I did that in 2007, and we got it. It was a lot of work but it was worth it.

Researcher: So that sounds pretty good. What was your specific role?

P8: Writing it. One of the things I did do, because I didn't want it to be a ??? start campus submission, so I contacted each campus and asked them to give me information about square footages and things they were proud of. Like at [Campus A] they got a 250,000 grant for greening the campus. So any major renovations they did they were proud of, I wanted to make sure they picked up what was important. They gave me bits and pieces; I had an IT person working for me. Unfortunately he got cut last week. He put together one hell of a section in what we call the urban meadow and nature trail. We have a thousand foot long nature trail with blue bird boxes where people can go through. We talked about the monarch butterflies and birds and plants. He did one hell of a write up for me. I pulled together the input so everybody felt proud and did the writing and I sent the number of people for editing to make sure everything was spelled correctly. My wife could have been English major. She's always looking at my grammar.

Researcher: Thank God for people like that.

P8: There was a lot of people that played a role in it. Our college president wrote the 200 word submission. I asked her to put it together and she gave me 400 and I had to pare it down. She even had a contribution to the whole package. We were pretty proud of it. It was something everybody contributed to.

Researcher: Fantastic, you were there how many years?

P8: Ten years.

Researcher: OK, now here is the real big part of the study. I am not going to say a lot because I am interested in your experience as a participant of this process. So describe your experience with your institutions pursuit of the award.

P8: I am going to start by saying, I came here after spending a forty year career in the [specific] industry. Not only did I spend the career there, I was superintendent of maintenance and had to deal with the union. That was where I came from. When I got to the college, the former director and the former person in IT had been control freaks. And when I got here, my supervisors didn't know, I hate to say this, they didn't know what it meant to supervise. They had no control of their budget or assigning work. I am a believer in empowering people and turning control over to them and let them run their own sections As if they owned their own business. That was not easy. People say they want control, but once you give them control, they have to accept responsibility and it was a learning process with them. Since I started turning over the budget to them, here

is your work order backlog, closing the work orders, time and material, you will do your own hiring and firing. Run your business like it's your own. That includes having statistics that you can rattle off about your shop. And that was neat. It took time, but people started putting information together. Our grounds person would say, we have 900 mature trees, and I'd say, what is a mature tree. Anything over 12 feet. 140,000 area we mulch. Text number of mulch rings. Acres of grass we mow with a machine and so many acres hand mow with a regular hand mower. She started collecting information like that. Our HVAC guy started listing chillers and heat pumps and everything. Everybody got on board and put together their own information. They started getting proud. So that took two to three years to get people on board.

One thing we did in the [industry] is each supervisor put their worksheet together for the next day and posted it before you'd left for the day. So if you were sick, people weren't standing around. When I came here, it was reactive. Depending on the weather, they'd decide what they were going to do. I forced them to start thinking ahead. It created a mindset with the people to come in prepared that this is what I'm doing. In my [industry] days, we did that because if you were going to assign a guy a greasy dirty job, he came in mentally prepared for it. Or if you assigned him a challenging job on a repair day, they may bring extra lunch because they know they'll be working overtime. Mentally it prepared people and physically it helped too.

Like I said, it also covered a supervisor in terms of if he came in late or sick. So we started doing that too. So for a while there was push back. Right now, everything happens like clockwork. It's unbelievable. That's some of the things we did, and then the...I'm going to back up a degree and say I came in here in 2002. Somewhere along the line of February or March of 03, my boss who was VP of finance and college resources, he said he attended one session of APPA's institute and he said I should go there. He was starting to piss me off. I didn't have my own stamp and you want me to go to APPA? After forty years in the [industry] industry you want me to take classes? So that was great. When I came back, I said, [VP], they have another six months from now. I finished all four courses in two years and finished all four leadership academies in the next four. Every year I went to the APPA annual and attended the summits. I really was extremely active, supported by him. And then, somewhere along the line, he also dropped a ball on me and said, I also want APPA to evaluate our campuses for the FMEP. Again, when I was ticked off, I didn't have an opportunity to do my own thing, and he wants people to point out what we need to do. It turned out to be a great experience.

The first thing obviously, you have to write your own self assessment. Because it gave me an opportunity to contribute and put my own input there. I let APPA and [VP] know the weaknesses and strengths. And when [APPA Evaluator] came in, he evaluated the assessments. We really need an IT person assigned to facilities. I'd like a third electrician. They put that in a report. So once we had the FMEP process behind us, I put a spreadsheet together and we started picking them off one by one. Eventually that led to our first submission for the AFE. So that's a lot of talking. One thing to point out that we've done, is anytime we had a vacancy for termination, we look to upgrade the staff.

That was very beneficial for us moving from good to great. Because we had maintenance people in the past, they do two jobs, then one then hide for a while. When they get finished they hide. I wound up hiring six people that used to work at the [industry]. I knew their work ethics; I knew their dedication and everything. I even had the guy who used to be the shop steward. The guys came in here. Not only did they do what was assigned, but come back in and say what is next. That made such a difference. They sent me emails thanking me. They said these guys came over, and I said, while you're here, can you do such and such and they were always pleasant and cooperative. I got all sorts of complementary emails. That's the process I went through from coming here to the first award. I guess the final thing, you'll hear this from [my staff], we believe that you can't rest on your laurels or you start regressing. So you have to hold the ground we have gained while we look for other improvement.

Researcher: Interesting you say that. What are you doing to create and maintain that culture?

P8: One thing we do, the former director used to take people around, supervisors in his station wagon. I do it with a golf cart. I take the maintenance guy around or our grounds person around and we'll go to the golf cart and drive around the campus. And say look at that sign, it's leaning, it's not plum, and we will look for those things. The something that needs maintaining. Do our curbs need something done to them? We look through the eyes of an outsider. Sometimes you know, we get so used to seeing things that we don't see them. We take eyes of an outsiders and find things we miss. And that has been a culture that we have developed and that is probably the one big thing we have done. Also, there are a couple of our classified staff that have gotten on board. One guy in particular, [Person 1] and [Person2] say, here are things we need to do during the summer. They will be pointing out things that maybe me or the supervisors might miss.

Researcher: So you have managers and then foreman? Is that how it works?

P8: I am the director and then under me I have supervisors for each shop. Then under that are the classified employees. Supervisors for each shop are working employees.

Researcher: So you have basically both layers under you that are giving you some ideas about keeping the culture going.

P8: Yes.

Researcher: Fantastic. What about the other campuses? Do you visit each campus and do similar activities?

P8: I used to have oversight on the other campuses until we got directors. Now we have a director at each campus, I focus on [main campus]. But since I have the most seniority and at one time had oversight, I still make suggestions and if they have questions or need help, they call me up. And they don't have the same staffing. I have HVAC, electrical, grounds people. We have a 250 acre campus and 70 are trees, plants and grass, and four

people take care of that.

Researcher: Wow.

P8: So we also have a double greenhouse where they grow 10,000 plants a year for all five campuses from seeds and starters.

Researcher: That's great. You mentioned the vP's role to initiate some of the interactions with APPA. What was the VP's role?

P8: Once we started a journey, he supported me sending my supervisors to the institute. And all but one has completed the institute now. All but two have completed the institute and at the other campuses, basically all of the facility directors have attended several sessions. So he supported people going to the four course sessions of APPA's institute. Other than that, it's up to the business managers.

Researcher: So now, what do you think .. what did that do for this process?

P8: The one thing that it did, and I can certainly speak for the [main] campus. When I used to go to the institute every six months. People would act like I was going to California, Florida, here and there for a vacation. I'd come back singing the APPA institute song I guess, and it was sort of being Ya-Ya-yah. Once they started going, it was no longer looked at like a vacation. They were coming and it was like, this is a lot of work! You start classes at 8 and go to five and by the time you have supper, it's time to go to sleep. There are times you have other assignment's and I thought, man. Now you're starting to understand. I had one guy pushing back as far as assigning work and using the TMA system. He came back and said, you know, we are ahead of a lot of four year colleges. They got the messages and realized maybe I wasn't a jerk and I knew what I was talking about. If you have read good to grape, they put the seed on the bus where it belonged and do what needed to be done. We are all singing the same song now.

Researcher: That's incredible. One of the things now, I can go more in detail, I am looking at, what drives the pursuit of excellence. And on your campus, it seems to mean that you saw some things that needed to be done and you had a little bit of support from the VP. What would you say were the declared reasons for you pursuing this award?

P8: The biggest reason, when I first came here, out of our 60 person staff, 30 were custodians. The rest were trades. And I started interviewing 30 of the 60 people and I would ask what you like about your job. What don't you like? If you could change anything, what would it be. There was one predominant thing that came out. Working in facilities, they are second rate citizens, looked down upon, like we aren't as good. I thought, boy, I am changing how you are perceived by getting this award to show people are we are providing excellent services.

Of course, the central theme I had in our first APPA video was the survey done that said 62% of students choose an institution based on maintenance, cleanliness, and appearance.

Actually, appearance maintenance and cleanliness. If 62% of the people choose based on that, then we must play a strategic role in recruitment and retention. I keep driving that message.

The plan is about academics and academics so I try to drive the message we play a strategic role with recruitment. And I also try to drive the message that we are stewards of the plant. At this campus, replacement value is 200,000,000 for a building. If we are involved in recruitment and retention and are stewards of your 200,000,000 dollar campus, than we do more than put toilet paper in a bathroom. I keep trying to drive that message and try to get the respect our staff deserves.

Researcher: That's fantastic. I have been hearing thoughts about when managers declare this APPA award pursuit, that the staff kind of talk amongst themselves. What were some things you overheard or got communicated about why you were pursuing.

P8: Early on, back in 2006, I had only been here four years. I heard some negative things, and this was before a lot of the people had gone to the institute too, I was hearing, this is all about you. And it certainly was not about [participant], but I do some other things that are probably different. Like every Monday morning, I bring in at least three dozen doughnuts for staff to thank them and show my appreciation. Well, when I started doing it, there were comments that you are trying to buy us. I don't like to eat alone. If I go to lunch, I invite somebody to go with me. I don't do it to buy anybody. I try to get to know them as a person. I am no different than anybody else. Different cradle and responsibility, but I'm a person like them. I want them to understand. So between buying doughnuts and taking people for lunch, I starting getting tagged as buying people. It took some time, but they came around to understand this is the reason I'm doing it, to show my appreciation. I feel very blessed that I came from a poor family, I have been blessed all my life, and have made a lot of decisions that weren't my own.

I keep feeling like God is watching me every single day, he is in my life every day. And some decisions I've made, I'm not smart enough to have made those decisions. I give a lot of credit to God, and I also would like to share my blessings with others.

Researcher: That is fantastic [participant]. I could talk to you for hours. So, what about this idea of the change process, you know, there are a lot of ways to do it. You have touched on it. I will ask more specifically now. How was the change process method introduced and managed?

P8: Well, I guess it started with the FMEP, being forced upon me. And then the support I was getting from the vice president was certainly, I couldn't have done it without the support from the VP allowing us to go to the institute. Then empowering people and turning the control over to them and me being a supporter for them and asking what you need from me in the way of equipment or direction. It was the empowerment, the support. People go going to APPA and seeing what I had seen. If it was just me, there would have been push back had there not been support for allowing others to go. There would have been push back and if I hadn't empowered people and given them their own

shops, there was push back before I got here. I have to say the supportive VP, the empowering people and people being able to go to APPA and understanding what it was all about. They were three predominant things. The fourth one in there, would be the upgrading the staff when we had a vacancy. Because that meant one hell of a lot.

Researcher: Yeah.

P8: It changed the culture.

Researcher: That is great. You could write a book on that.

P8: I will be [age] in July. My career is over, but I have no intention of retiring either. I keep telling people, they will take me out of here on is lab. Or I have a strong faith in God. I feel I was sent here on a mission. When my mission is finished, God will let me know. I'll get fired, die, or I will decide that I have done what I can and it's time to turn it over to somebody else. One of those things will happen. That's just my attitude.

Researcher: You've touched on the key players in the change process. Yourself, the VP, the supervisors, the staff,

P8: I have to give credit [a person]. She has been my mentor from the first time I met her, and university of Maryland Baltimore county got the award twice before, and she actually sent me her submission where they got the award. So I used her for a role model. She is at APPA. A former president of APPA. An APPA fellow. She is a real mentor for me and she always encouraged and supported me and believed in me when others didn't. Now the other person, I have to give credit to is [name], she's been there supporting me and believing in me. So you know, on my campus, it was the VP, my supervisors, and in APPA it was [name], [name] and [name].

[Break in recording]

Researcher: Say more about leadership.

[Break in recording]

P8: The attitude, I'm the boss. I'll tell you what to do, you shut down every persons mind that works for you.

Researcher: Absolutely. That's dead on. I have to tell you.

P8: It's the same leadership style other than one person. And as a matter of fact, with our reorganization, I've talked to my immediate boss, and one of the people that's a supervisor, will be cutting back to working with his hands. The one thing he does not do, hold on, my door is slightly open. The one thing that I'm trying to get him to do is sit down with his staff and get their input and listen to them and he just doesn't seem to ... I don't know if he feels it's a sign of weakness. He won't talk to his staff. Then sometimes

they come to me with an idea or concern and then I wind up addressing it. So we'll probably bump him back and put somebody in that has a similar style. Because the working supervisors I have, they meet with their staff. And they share information and get input from their people and support their people. You know, one of the things that a consultant told me years ago, in the late 80's, I would say, if you share information with reasonable people, chances are they will come to the same conclusion as you. I have always felt that, and in the [industry] industry, when I first went there, I wanted to hear what the problems were. We had a major problem with how people were organized and said to the union, lets have some meetings. We are going to have ten meetings and invite thirty people at a time to come to the meetings and see what needs to be done. So we had an average of ten to twelve people at each session. I heard from 100 people and then after that we formed a committee to talk about reorganization. We had a facilitator and changed the way the departments were organized. I had the union president say that maybe we don't need a guy coming in here on a white horse and shining armor. I said, I don't care who takes the credit but if what is going on isn't right, we need to change it. If you want the credit, take it. But we need to do what's right. Anyway, that has just been my attitude. Now I'm forgetting what was the question?

Researcher: You covered it.

P8: I mean, the bottom line, you have to get people involved, get their input. Make them feel they are part of the team. Oh, I was saying if you give people the same information you have, they will come to the same conclusion. But if you only give them bits and pieces and expect them to come to the same conclusion, you are doing them a disservice. So I try to share information and I believe our supervisors basically do the same thing. They involve people. Everybody feels they are part of the process. They have a say.

Researcher: That is great P8.

P8: Well that's pretty much it.

Researcher:

[End]

Campus 5, Participant 1
This participant is identified as P9

Researcher: Thank you for verbal consent to do this interview. I have some preliminary questions that are sort of background kind of stuff. Then I ask you to talk about your experience of the Award for Excellence. A couple initial questions then I'll get in more specific if I need to. So what is your firsthand knowledge of the award process?

P9: In one of our team meetings we decided to go forth, and you know, basically we were going to be, they were going to let us know what documentation to put together. We assigned an administrator to be a coordinator. Working with that person, they came down and said, bring the documentation you need about your best practices and policies and all these things. So it was a little work to pull all that together, but not huge. If you have it, you don't have to create it. You can copy it. Right?

Researcher: Right.

P9: So I didn't see it as an overwhelming application process. I thought it was smoothly done and the coordinator packaged it all up and go through the same binders. So we spent several weeks, a couple people pulling this information together. We submitted it to the coordinator, he walked into the conference rooms and it was lined with binders, the big table, it was filled with relaying binders from the practices. The team came in and reviewed everything. We had a couple interviews that came out and did some walk-arounds. See if they were walking the talk. I found it to be pretty, if nothing else, brush up on a few things we hadn't looked at. So I had a positive experience with it. From there, once we found out when we won the award, this was back in 2000, it's been a few years. We do an every other year employee survey, employee satisfaction survey. The award came the same year. It was nice timing, we did some appreciation stuff with our staff, ice cream social, T shirts that had the award on it. Award of excellence on the sleeve. Did some nice term around it and our scores improved on that side of things. I can't help but think that had something to do with it. There is no other reason they would be happy. So actually it was a pretty positive experience and a nice kudos for the staff and department and so I really don't have any real criticisms of the process. The only thing I might say, once we went through that, we didn't really capitalize on anything beyond that. We got the awards, we celebrated it, and then went back to business as usual. And we haven't done anything with it that I know of. We have since gotten other certification and some banks outside of APPA that with that particular thing. I don't know we've done anything beyond that. So when I say that, are you familiar with the SIMS certification? They had follow-up on theirs. We were one of the first to get that. They had a follow-up and within a couple years we recertified and had the green building award and things like that added to it. So one suggestion is kind of gives extra things to add to this. The recertification or something.

Researcher: You said john, that you wrote down the existing policies? Existing practices and policies? Can you say more about that?

P9: Um lets see, ... it's been a while, but basically I think there was probably, I didn't pull this together, I don't know if there were guidelines on what they were looking for, but basically we pulled all our standards together, our plan and information together, that we used for grounds and management with the staffing and budgeting.

Lets see; you know, the key policies or time keeping policies, our recognition and awards programs, everything we had on the business side of the department of what we do. Getting the documents together and submitted them in a package form for their review. Is that what you're talking about?

Researcher: Yep. Just wanted to make sure I understood that. It sounds like a lot of documentation and putting it in one place.

P9: Right. Yep. So you know, I mean there was probably a few things we hadn't looked up for a while or reviewed, or you know, looked at the plant, the department and see if there was anything that should be the policy versus the unit policy. Cell phone, cell phone use, how you issue cell phones. That kind of stuff I think is all plant policy. In part because we can recognize we have some separate things. Um ... so I am sure there was some of that happened as a result of it. Um ... we have something called the business leadership team BLT, in an individual business office needs managers. Looking at plant policies as a group and then bring changes or recommendations to the associate directors. So you know, I mean, I am not sure that was a direct result, but it happened afterwards. We get this group together to look at a holistic view. So; um ... this university is extremely, it's changing. But when I got here it was decentralized everybody ran the little shell. They liked it that way. Any particular department like the school of architecture could have their own custodians and manage them and it was separate from the larger group. By larger group, that is changing. It's not very efficient and you know, we are centralizing a lot of things that hadn't been in the past. But I know when we were going through this award process, we were in that decentralized mode. That may have been part, everybody has their own attendance policy. Their own time clock punch policy. So maybe that's thinking, maybe we should be looking at each other's practices and getting consistency. And we had issues. I had some with building services, they could go one to another within my department. The process changed, equipment changed. Just from one building to another. So part of what I had to do is trying to get some standardization. And it was that kind of thing, you know. Don't ask me why they went that way. It was [university's] thinking, you know, we are very independent and empowered to do what we need to do.

Researcher: Sounds like the Wild West.

P9: No kidding. It's changing rapidly. I hear [director] talking about centralizing some of the administrative groups but doesn't want us to be centralized with the administrative group.

Researcher: You know, this has been going on and this is all around. You see it in the national and international politics. It's interesting. So you mentioned staff before, say

more about that.

P9: Not a whole lot in the front line but some interviews and things like that. The administrative, some of the admin group, office staff, actually had a trainer put our information together and each in different groups. Um ... it was pretty minimal other than looking at it and answering questions. Yes on this and no on that kind of thing.

It happens in the mid management level. They did the lion's share of the actual work getting ready for this. I can't remember what kind of site visits were done, it was fairly random, we'll talk to this person today and that group. We weren't involved in that just getting the people in front of them they wanted to talk to kind of thing. So for me, pretty painless. The people pulling this together had a different opinion. I think they left, they're gone, you can't speak to them.

Researcher: They quit after this.

P9: Right! [Laughing] but yeah, I thought it was pretty painless. You know, I didn't have any, I have gone through worse, let's put it that way. Preparing for an audit or something.

Researcher: What about, you mentioned the employee survey. Say more about that.

P9: It's actually done at the CFO level. The facilities and business and finance, which is our parent, like business facilities and operations is part of facilities. And EPS and architects office, and the business and finance, the CFO and that includes HR and IT and the bigger university. Everything under operations and university. This is something the CFO put together. He does a customer survey one year and an employee survey the next year. It's a .. we get about fifty or sixty percent participation. And it's all these different dimensions we work with and it comes up with ... you know ... things that we can have big impacts on. Like to improve the customer employee satisfaction attributes. Like recognition or advancement, kind of broad categories. I get the most out of the comment section. We get thousands of comments. You can stay anonymous. But they tend to be pretty telling on what they would like to see changed or different. I am not a big fan of trying to appease any one person, that is when it comes to moral or something, you look at the group not one individual. But if we can find things or stuff like that within this then it gives us an idea of what our staff would like, what we could do to make a big impact on improving their moral and the productivity and that kind of thing. So every other year we do this employee survey and that happened to hit on the Year we won this award. It's end of Januaryish, when they do these surveys. And so I think the award was announced and we did our parties and stuff right you know, a month prior to the national survey. So they felt the effects of that. It was good timing.

Researcher: Yeah. Sounds like it. You mentioned [executive director] kicking this off. Could you say more about that?

P9: Um ... if I can remember, I remember in the lead team meeting, which includes the

associate directors and some managers. In talking about this award, and interested in going toward and seeing what we can do. I think we looked at some of the groups that have gotten in the past and whatever. Essentially he was asking, he was going after this guy, wanted to have consensus in participating in this. And you know, then we went from there. So one of our work management administrators took the lead in trying to pull it all together. So that's what we needed. A champion that could organize the whole thing. Then I had my own people here in charge of that. You can blame it on [director].

Researcher: That's great. You mentioned he wanted a consensus?

P9: Yeah. It wasn't just, Hey, we were doing this award and here's what to do. I've had bosses in the past. I like [director] a lot, I mean, the supervisor can make or break your job. That's the way it is and everything in between. I came to the [university] because of [the director]. He came down to our state and interviewed me. What guy does that? And it was a smart move on his part, because we can show some work and things I actually did. Here it is in front of you. I gave him a campus tour and he interviewed me there. I wanted to work for him. And we've carried that on. He doesn't just, he will make a decision. Sometimes he'll say, you know, he will ask an opinion and you'll give it to him. And he says we'll do it anyway. But most of the time he'll listen. He wants a cooperative group decision. The autocrat type dictator. I appreciate that. Gives us a chance to express concerns or anything we may have. Then we go from there. So that is how I handled it. It worked well. We all bought in, and we were all excited about it and it turned out to be a feather in our caps.

Researcher: You said [director] wanted consensus. I need to be more pointed. How do you do that?

P9: Uh, just asked. [Laughing] he explained, I think it's vague, it's been two years, I am vague on what was said but in a lead team meeting, [director] said it had been around for a while.

Researcher: It's been around since the 80's.

P9: He talked about schools that got the award, what we can do with it. And what our chances are and those kinds of things. And also explained, what work might be involved in it. And you know, then we stuck as a lead team, and pretty much, you know, didn't necessarily take a vote, it was unanimous. So bought in that way. We were all on board and took it to our staff and make sure it happened.

Researcher: So a little about that. Take it to your staff?

P9: Same thing. Except they didn't have a choice. We made the decision at the director level. So it was too late to do anything. But my staff, this wasn't anything controversial or anything too terribly rough. I thought, we pretty well, we were doing some good work anyway and it gave us work to brag on it. So we were all for showing off a bit and putting on the policies and best practices out there. I don't know if [director] learned

anything in terms of what we were doing. But certainly, it helped us or forced us or taught us to put off everything we were doing in operational practices into one quarter. You know? And pretty much everybody jumped on. It wasn't .. we didn't have to make anything up. It wasn't something we didn't have in place. Or something like that. And so it was pretty easy for us. To just get our documents and put them all in one book. So as I said, it was pretty simple. Relatively speaking.

Researcher: Sounds like it.

P9: When we saw it, everybody pulled together. It was overwhelming. I don't know how the people that reviewed it were going to get through it all. It was a 20 foot conference table with 3 ring binders covering the table. A lot of information.

Researcher: Fantastic. I will ask you more specific questions, and I think some of these you have addressed. So I want to make sure we don't miss out. The reason for pursuing the award, I thought you said it was mostly to recognize the folks and that [executive director] wanted to do it. Were there any other drivers?

P9: Um ... not from my end. Other than the national recognition that came with it. You know ... certainly you know, I don't think so. That was the main thing. The recognition and putting it all in one folder, one book. Where before it may have been scattered around a bit in things we didn't realize. Um .. so yeah, the national recognition among our peers was a big driver I think.

Researcher: That is interesting. Uh ... OK.

P9: It wasn't to improve ourselves or to find out where we're lacking or anything. That could have been a side effect. It wasn't why we were doing it. That would have been fine if we'd found some things. Honestly, I don't know if anything came back we had to work on or improve. We had been doing, it's possible because we have been doing five year strategic plan. Something may have been in there we need to fix, but I don't know about it. I don't know of any good red flags we need to fix or work on as a result of the submission. Maybe I need to look at it again.

Researcher: Sounds like there may have been some of that going on. So I think you were clear on how the process was introduced basically. Which pulled you together, got depth consensus and buying, the managerial, the senior managers went out and basically shared information and the middle manage layer implemented it by gathering information.

P9: Could be they had a different experience.

Researcher: Now, you know, leadership style is interesting. What particular style do you think you implemented?

P9: Um ... me personally?

Researcher: Yes.

P9: In terms of how we went about the award?

Researcher: Yeah. How you went about making this happen.

P9: Similar to what [executive director] was doing. Other than there wasn't, we couldn't have said no. We were going to work on it. And I had a pretty good, a good group ... and they are pretty proud of what they are doing. And they are more than happy to share that you know with the world at large. And we had some .. we had some outstanding programs we were happy, you know, here is another opportunity to brag on that. So we were pretty much on board from the get go. So once we won the award, then you know, everybody was pretty positive about that. And we had .. we had good six months worth of you know ... happy .. you know. Everybody being happy? [Laughing] Before they got back into the job was grueling. So we milked it for what we could get. You take the front line custodian that comes in, has a dirty job day in and day out, working in the night, and there is not a lot for them to feel good about what is going on with the department. And unless we put it in front of them as nationally recognized for best practices, for being [long pause] they do have loyalty to the university as a whole. It helped us tie that you know, be proud of working for the university and for the good work.

Not only are we an outstanding university, but an outstanding department. We are being recognized by other universities. So it's good when we can get that out there in front of them. So they can see that. Cause then it's just, here we go again cleaning up after students. The joke is, this would be a nice place to work without students. [Laughing]

Researcher: That's pretty funny.

P9: We are enjoying the summer now. Even though we have 17,000. It's not so bad.

Researcher: It's amazing how big you are.

P9: We have 38,000. Something like that. So a lot of faculty staff. So it's nearly 1:1 staff/students.

Researcher: I think you have done a lot of research.

P9: We do.

Researcher: Research typically considered .. yeah. Staff.

P9: Right.

Researcher: Wow. Good Stuff!! Anything else pop into your mind about the process?

P9: I purposely didn't read or look at anything or refresh myself on anything.

Researcher: The bulk is what you are saying, emerging from other campuses, which is very interesting. I had a theory that is being blown out of the water, which is fine, I'm OK with that.

[End]

Campus 5, Participant 2

This participant is identified as P10

Researcher: Okay, I just started the recorder. I hear what you're saying now. It makes sense. So institutional goal. Okay. Some challenges related to getting information from other groups that aren't related to plant. So, thank you for verbal consent to do this interview. I have some preliminary questions that are sort of background kind of stuff. Then I ask you to talk about your experience of the Award for Excellence. A couple initial questions then I'll get in more specific if I need to. What was your role in the award?

P10: I am the maintenance group so gathering any of the data that was necessary. I have a background in hospital maintenance and hospital facilities. So this was similar to what we do every three years for commission. You assemble all of your information and then people come in to spend time going through your information and touring the facility. This was a lot like that. This wasn't unique to me. It was a lot like what we do for joint commission in a hospital setting. My role was the assemblage of that. We have I think the assemblage and the review. Making sure that things are current. A lot of information is asked for upfront. You want policies and procedures in place already. And you want to be sure that it is documented and kept track of to see if it's run and that sort of thing. It is truly reflective of the organization that has their program.

Researcher: That makes sense too. What else are they checking for? That you have policies and procedures. That it has been documented and accurate. Is there a link to how the staff applies those policies?

P10: I'd say yes. The link to the work order system is probably the strongest. How the work orders are handled and set up. Through the call center to different areas. There are reports generated weekly, monthly, quarterly and annually. All of that was summarized as part of this review as well. We have a fairly robust employee survey program. Then a robust customer satisfaction survey. Those are all items that they look for in a healthy organization. Those are all items that we generally have had in place well ahead of this application. It needs to be cleaned up and partition it to show that it's happening. You need to be in the mindset that people will ask you questions about this. It's like a self-test. You want to be studied up on knowing where the information lies.

Researcher: That's good. Do they ask if the staff members are aware of the policies?

P10: Um. I think inherently they do. I don't remember. This goes back at least 4 years.

Researcher: You might not have been in the room.

P10: I think they had a few employee sessions where they talked to the employees. Or it might have been employees that we ran into during the inspection. That ended what happens during joint commission at the hospital they will sit down and talk with patients. It exists there and a lot will be dependent on your surveyors that come in.

Researcher: I think so too. How many years have you been with the institution?

P10: 12 years this October. And 11 years before that with VA medical center is where I got all my health experience background.

Researcher: Yes. I forgot to ask your colleague earlier. Is this a union campus?

P10: Yes. I have 3 unions within my own maintenance group.

Researcher: That is intense!

P10: Yes. We give thanks when we talk to groups like Minnesota that have 11 union groups that they deal with in their facilities group. Individual trades are individual unions. For the most part. Our trade's group is 1 union. That helps us immensely. We have [xyz and abc]. The operators union. That is a smaller group, but every place you get used to what you have and deal with it.

Researcher: It is what it is.

P10: We have issues called overlap. It is written that they can't grieve those issues. It is in the contract. When they want to fight it is labeled overlap.

Researcher: I'll have to call you another time and pick your brains about the union process. It is pretty amazing that you're able to win the award despite some of the challenges associated with some of the unions. That is cool. That is sort of the background and set's the pace for the unstructured part. I'm going to ask you to recap the journey and you might have questions about where to take it, but I want you to free flow it. That way it goes in the direction you think is relevant.

P10: What you hit on already with the process was the assemblage of the data. I don't think we invented the guide, but there are programs they look for. The policies and procedures. The customer satisfaction surveys, the employee surveys, emergency preparedness. We subscribe to site lines. Are you familiar with those?

Researcher: Yes.

P10: That gave us relevant benchmarking data that we could share. When I talked about projects and getting information from other groups. At [campus name] the plant operation group is involved in capital projects, but we're not the manager of the capital projects program. That is where we had to go to another group plant extension and say we want to apply for this but there are questions and data that are required. Then the other director [redacted] level was involved at that point and time with a sit down with APPA to go over the capital projects. We have a robust program within the engineering group. We had good information on our capital project handling. We have had very good information on our imaging program. All of that builds a chapter to the overall

application process for the award.

One thing that you asked about was my perspective of the journey. The first year that we talked about this we asked ourselves why we would do this and how much work it would be. Everyone is busy with a lot of work. I think Illinois had gone through the process and had referred to it like a physical examination. I don't know if they had the history of going through joint commission before. I hired in at university hospital at 2 years and then came to a campus side. For me to hear them lament about how the process digs into what you have going on. They saw that as a negative I just rationalized that was a lot of what we went through with joint commission. [Director] had been through that so a few of us on board with that background helped our focus be ready for the documentation. I know we talked about it a year in advance before we decided to do it the next year. It was part of our goals, but [executive director] as the executive director was driving the interest of having that for our group. I think that any of our facility institutions or universities out there have a lot of mutual challenges. People find out about the maintenance group when things go wrong. [Director] saw this as an opportunity to put a feather in our hands. We've gone there a restructure since then. We're decentralizing a lot of our shops. Some employees have come back and used that against us. They thought we were an award winning institution, how come we have to restructure now. The interest in change will always be there. We've got all these kudos and awards for being a great institution. Why are we restructuring? We've had a lot of state funding reduction and we've had to do more and more as far as being on the cutting edge. We want to do what we can to deal with the cost cuts that institutions have been dealing with.

Researcher: That is fascinating what you just shared. How prevalent was that mindset of being so good so why are we changing?

P10: I don't think it was that prevalent. Maybe less than 5% of the employees. You hear it in comments. What helps us that we have an open dialogue with our field staff. Even in this whole restructuring we told them from the beginning that we've gone to a highly planned and scheduled workgroup. This was going to be done at the expense of some field staff. There would be some schedulers that would be overhead and some of the field staff would be reduced. You don't need as many field staff when you have people who are doing the planning and scheduling beforehand.

Researcher: Right. And then you're cutting down on driving and set-up time.

P10: Yes. Again our field staff would be issued a handful of work to do. They had the opportunity to selectively go through and decide what and when to do it. We had a lot of that in what we called an empowered workforce. They'd go decide how much pipe to replace, get the tires etc. To some degree you got more pipe replaced than you wanted, or it didn't go far enough. When we looked at the planned and scheduled process private industry does it a lot. We felt that there were savings there for our budget.

Especially in the decentralization of some shops. We had some 50 people back in some shops and we were dispatching people from south campus to anywhere across the

university for a hot cold call. We literally physically have moved 100 people or by the time we're done out to regions. We used to have zones.

Our zones scored well with our customer surveys. We called it zone bliss. The customers new the zone people. By moving the steam fitters and others out there it is another 30% of our staff out to the regions we're trying to gain the same momentum of having the region bliss is what we call it now. It is just another way of getting the work done, but hopefully a way that is less expensive for us as far as productivity time.

Researcher: You mentioned the idea of empowered team work. How were they involved in the process?

P10: The process of the evaluation?

Researcher: Of the award.

P10: Not a lot of work upfront. We told them that people were coming. We prepared them with information. There have been a few policies that we needed to shore things up on. One of the last was our emergency planning. That over the last 7 years has grown in what we have going on. That is one area we had to put more emphasis on. We had to put together more 3 ring binders with what should go into that. We had a lot of employees that were involved with Y2K. So I think that they were involved in that. Not just the focus in the beginning but also after we won the award we had a celebration focus. That is why that they can come back with being an award winning institution. Everyone in the groups got T-shirts. We had a celebration luncheon and we had maybe 3 different events to recognize everyone on the shifts and staff. They give you 1 or 2 of these plaques. We asked for additional ones to go to each department that contributed. Then they can have that in their main office area. That recognition didn't stay in the executive director's office. It made it out to all of the sub departments within plant operations.

Researcher: That is a great idea! Just jotting down an important thought.

P10: I think that employees, especially the administrative support staff. There is no way they'd not get involved in this. Pulling all the documentation together. We had one room with all our programs labeled and our 3-ring binders. There is a lot of Admin and staff time that went into the forming of that. The admin and support staff is kind of the bridge between the workforce and I think that was positive. This is happening and coming. This group will be here. This is the reason that they will be here. I'm very sure that our field staff was tuned into that when it happened.

Researcher: That makes a lot of sense. You mentioned this idea of [director] as the lead driving force. Can you talk about that?

P10: [director] had the vision. We had custodial recognition. Within the central power plant and utilities group we've consistently been a lead dog in what goes on with energy reduction. Are you familiar with our planet blue program now?

Researcher: Yes.

P10: Was that a yes?

Researcher: Yes.

P10: Before that it was energy star. There was green lights or something. Over the last 20 years or so the [university] has gotten recognition for their energy programs. [director] wanted to have a program that included the maintenance end of it. He wanted an award winning team recognition all around. I believe that is part of what he looked at. He saw this as a part of the piece of the puzzle to get in place.

Researcher: What was the staff perception of what [director] was looking for? The whole gambit. However you want to take it?

P10: The leadership team. I remember back how everyone was thinking, oh my god. Do we want to do something entirely voluntary? That will be much more work. It will be an apex of focus for the next few months leading up to this. A lot of it came to [director] wanting to do it. He's not a persuasive guy in a negative sense. He's persuasive in a positive sense. This is what he sees and this is how he wants to do it. There weren't resistors in us not being able to do something. Instead it was "let's give it a shot." Kicking tires on it. If it comes back and we don't get the award and we have to shore things up then let's take a shot in another few years. It wasn't a fowl swoop of immediate success. But it was a look at the programs we should have in place that are recognized nationally as a positive program. That was the approach.

Researcher: Say a little more about [director] being persuasive in a positive sense.

P10: Talking about the point of having recognition with all of the groups that report to him. He saw this as being well with energy and custodial. This is how we can distinguish the maintenance group and those that support it. The utilities are a part of that, but it was part of his persuasiveness. He said we don't have to kill ourselves the first year. Go in and give it a try. If we don't get it then we'll learn from it. That is part of the persuasiveness. There isn't any part of this that says you have to do this award or you'll lose your job. That wasn't the case. It was just about how this will be good recognition for the school if we can have something like this. It presents validation to the people above [executive director] with what we're doing in all of plant operations. You can self-report all you want and people don't necessarily absorb or give you credit for that. To have a third party come in or a consultant tell you that you need to do it, then by god we need to do it. I think that statement gets used too much, but it can get lost in the shuffle of conversations. It's like having company come. You clean up the house and put extra effort than you would in a normal day. That is my household.

Researcher: I was going to ask if you had a camera at my house last weekend. That is great. Good stuff! Anything else you want to add to this process?

P10: No. We generally have subscribed to APPA for a lot of the programs. Some of our people have written the "book of knowledge." It is difficult being the larger institution that we are. We're not as nimble as some of the smaller institutions. We think that there is a lot of good that APPA is doing out there. We're trying hard to shape some of the new codes that are practical. We have someone on the APPA and code committee, [Name]. He is a make in process that is saving operational costs for us as we look at it.

People advocating for these codes are insurance companies and industry. They are the advocates because it brings them revenue. It might have no field practical application at all. That is part of what we're working with APPA as well. I talked about that program because it is one aspect of what APPA does to have a pretty overall credentialed or professionally recognized group. I think it is worthwhile to go through it. For us it was worthwhile to live through it. It helped us to galvanize our focus of policies and procedures we had in place.

Researcher: That is fantastic. I think that covers the major points. I wanted to ask you a few more specific questions that are more pointed. It covers three areas. Some you've already mentioned. I might say what I thought I heard. Then you can add to it if you want. The publicly declared reasons for pursuing the award was looking for credibility and recognition in the campus. And then using it as a tool to share with the team?

P10: I'd only add that it gave the people upstairs of [director]. Or above the executive directors level a third party perspective of how our program was working. I think that had a lot of value.

Researcher: Do you think it might have helped you on the budget discussions?

P10: I think so a little bit. I don't think you get a lot of budget relief from something like this. Someone could come back and say I don't need a platinum working program. We just need a gold level. We've won the award and now we can come off of it.

Researcher: We keep delivering with the budget cuts. Those APPA numbers. This should be you talking, but APPA says about 940 a square foot and we're down to 440 a square foot and delivering a better quality. The university says this is part of the overinflated department.

P10: I think we're about 485 a square foot.

Researcher: That's good.

P10: My maintenance budget, not custodial or ground. It is down to about 1.90 a square foot.

Researcher: That is interesting I should write that down. You are doing amazing work then! You have a pretty good reputation for a dollar ninety is amazing!

Let me ask you a little bit about the leadership. I think you said that [dir] was the driving force.

P10: [director]

Researcher: Yes [director]. How would you describe his leadership style?

P10: Everyone likes working for [director]. He's very trusting and hands off. I think that varies with our leadership group. We put the information out there. He tells us what is going on with upper administration. I think people enjoy working for [director]. We have a professional team. When I came to this organization. Having come from the department of veterans affairs. I had to step back and look at what I'd walked into as far as the professional candor across the group. People will let one another talk. That wasn't that way in the VA. I had meetings where whoever could run over the other person and get their verbiage out on the table. Here people respect one another. They make their point and leave it. It was just different. I don't know where that came from, but I recognize it and recognize other people when we hire them. They will want to railroad the conversation. As a supervisor I'll pull them aside and say we don't do that here. It's a courtesy type conversation. It makes a difference in the organization. It is unique. Bringing that around with [executive director] as a supervisor. We meet every week. We have a lead team where 1 week is the core group and the other is everyone. One week could be 7-8 people and the next could be 15. We do a lot of information sharing. We try and have everything be transparent. The costs, what the customer can see. Anyone can ask us anything and we'll give them as point blank and answer as we can. We will tell them if we don't know the answer. We will say it needs more research or information. That is set by [director] with the information setting.

Researcher: So it sounds like [director] set's the culture.

P10: Yes he does.

Researcher: Okay. How effective was [director's] leadership style to the process?

P10: I don't think we'd have done the process if it hadn't been for [the executive director]. Without his vision or leadership style [transparent] it would have been different. One thing that was here before that would have helped it not happen was the departments taking their own phone calls. If a customer had a custodial issue they called there. A grounds issue they'd call there. When we put together the call center and what the APPA group talks about. Everything fed into the hub and came from that. It made the whole process successful. If [director] had to go to 10 people and sell the idea of this award process would have been insurmountable. It has to do with having a hub of communication in the first place to make it successful.

Researcher: That makes a lot of sense. One more little session dealing with culture and how change is managed. I think you touched on it. How was the change process introduced, managed and sustained?

P10: Do you want to hear more about our planning and scheduling change?

Researcher: More about how [director] was able to get this thing started. What that process was. And what he had to do to manage evolving situations.

P10: He brought this up in lead team during a discussion thread. He supported it. He heard us and we pushed back a bit. I think we brought in Illinois for this. That was [director] way of saying here is a group that lived through this and is alive. Let me show you that it is that way. We had them come on board. There is a great thing with having a discussion with different universities. You realize that everyone is in the same business with the same challenges. That helped [executive director] to sell that to the rest of the leadership group. I'm understating the value of that. It can be a plug for APPA and what you're writing or drafting. Have someone that has won the award and talk about what they went through. There are people that go out and look at walking that path by themselves. That is extra work. It was recognized that there was extra work we'd have to go through. By having a peer walk with them through the process might make it a lot more enticing.

Researcher: That is fantastic advice.

P10: That came from [director] saying "why don't we bring that group in." We supported that. They were willing to come out here because there is so much benchmarking and so much value in that. Part of your question was the change management process. I don't look at this as much with being change management as what we've been living through with the whole restructuring. We've had to go over the whole structure of that over the last few years. The process of the APPA was doing the documentation. Getting everyone on board with what it is. We had some pre-advertising. We haven't talked about strategic planning. We've done 5 year strategic plans. We had a vision 2005 that we started in 2000. That is where our customer and employee input gets wrapped up. That is when we see what we can do to make this person's dreams come true. We look at the employees and customers. We finished that in 2005. We spent a few years working on another plan and it was called vision 2012. They were 5 year plans going forward. That was part of the overall strategic mission. I was dismissing it as something [director] wanted to do, but it was part of the strategic plan. This was one thing that we were doing and we felt like it was good for us as accreditation and good for everyone.

Researcher: How did you keep this process going? It was a multiple year process.

P10: Every year you come back and see what you've done on the strategic plan. There are times where you fell on your face and other times you got bonus work done. I'd talk with my group and see what we knew that was out there to just do. A lot of times the strategic plan was taking credit for what you've already done. The first few times people within my own group would come in with these pie in the sky things. You knew that wouldn't be accomplished. Then you have to backup and break it down some.

There is an art to strategic planning. You have to be real about it. People talk about stretch goals. I think if you keep it somewhat realistic then you can get there. With every group of ours, people are trying to improve what they've got for their delivery. A lot of the strategic plan is taking credit for it as something you've accomplished and now you can move on to the next step.

Researcher: I remember hearing about the 2005 and 2012 vision. Who are some of the other key players that you had in the process. You mentioned [director] and yourself. Some of the admin folks.

P10: Other directors. [name]. When I talk about the plant operations lead team. [exec dir] is the executive director. Then there are about 5 of us that are associated directors for our areas of focus. Mine is purely maintenance. [name] is now stepping down and retiring. [name] and [name]. [name] was ground associate director. [name] at the time was building services assistant director. He retired maybe 4 years ago. I believe he was here at the time. Then we have [name] who is the associate director for construction services. That is a small group that has nothing to do with the capital production.

Researcher: Is there another AD in charge of that?

P10: Yes. That is [name]. She was here at the time for the APPA award.

Researcher: That is amazing that you could accomplish getting the application in with folks outside of the core group.

P10: I'm just reflecting. If they were all as independent as they were when [name] first got here about 14 years ago. I think for the first 2-3 years was the creation of work management and work control. That is another AD's area. By pulling that together and consolidating was part of the strategic plan. 1 unit control call center. That went from a 10-12 hour a day operation a 24 hours a day operation. There is someone here. You can always call the same phone number and talk to the same person. People don't want to go to a recording. They want someone they can talk to.

Researcher: It is amazing how similar the challenges are. You didn't mention too much the folks above [exec dir]. What was their role?

P10: Sit back and watch.

Researcher: Get the heck out of the way?

P10: Yeah. [exec dir] would keep them informed that this was happening but this wasn't being driven by them. It was kind of like being viewed as a pet project that was being done by [exec dir].

Researcher: Not a better service, just [exec dir] working on this thing?

P10: Not to say that they put road blocks in his way. When he needed it he went to his boss and asked for help from other groups to pursue the award. His supervisor [vp] would have been acceptive and helped with that as well.

Researcher: Quickly, what about the role of APPA? Did the program or the training or their conference play a role?

P10: I think that in the background it did. I don't know that the institute or the leadership training played as much of a role. It planted the seed of anyone that attended the coursework that the recognition was out there. I don't think that people envisioned this as their place of work or their site. Some other glorified university that does everything right is not realistic. This is a realistic award. You have to put some work into getting it there.

Researcher: That is fantastic. I need to respect your time. Any other things that should come to your mind that I can jot down?

P10: No I'm glad we thought about the strategic plan. We complete that here and it helped in this endeavor. It was probably something that we might want to come back to even. In a few more years out. Especially with the planning and scheduling thing we're working through. Sometimes we think we're on the bleeding edge. If it works, then with my luck I'll be down to 1.70 a square foot and people will see that [university] can do that and they'll want me to come to the parking lot.

Researcher: Many of us are building bridges as we walk on it. That is the feel. Sometimes we feel like we're building an airplane while flying. You folks have done an amazing job over there.

P10: I appreciate that.

Researcher: Open phone and open email whenever you want to chat or add more stuff to this. At some point I might give you a call and ask about your journey with the unions. That is fascinating. In the meantime, I hope to write up something as a way of summary and will follow up with the participants as a way to ensure I capture the salient points from the discussions.

P10: Okay.

[End of recording.]

Campus 5, Participant 3

This participant is identified as P11

Researcher: So, thank you for verbal consent to do this interview. I have some preliminary questions that are sort of background kind of stuff. Then I ask you to talk about your experience of the Award for Excellence. A couple initial questions then I'll get in more specific if I need to. What was your role in the award?

P11: I'm the director of plant operations within the facilities and operations department of the [university].

Researcher: In your operation do you have the planning construction group?

P11: I have an in-house construction group and an in-house engineering group, but not for large capital construction.

Researcher: Okay that is a typical set up for the larger universities. What is your firsthand knowledge of the award for excellence?

P11: Applied for it in 2006 and awarded it the same year. We understand it as being an evaluation of the means and methods that we use in order to conduct our work. We benchmark that with what might be a national best practice to determine if we're in the best practice category.

Researcher: That is fantastic. What would you say was your specific role in the process?

P11: I led the process for us in making the decision to seek it out and working with my direct reports to put together a good packing that represented what we were doing accurately well. Made sure we would have all the information we would need on site to demonstrate to the evaluators that what we had on the write-up was in fact accurate.

Researcher: That is fantastic. How long have you been with the institution?

P11: About 14 years. This is the 15th year.

Researcher: This is great. Now, for the unstructured part. Take this in whatever direction you want. I might pause you to ask you to clarify or add more in the specific areas. Mostly I'm looking for your experience in the journey. Here is the statement. Describe your experience with your institutions pursuit with the award for excellence.

P11: I started with the [university] about at Christmas time in 1996. I used to work at [university 2]. Coming out here, I found this organization to be very confident with great expertise and very good processes that internally focus not outwardly looking at the customers as much as looking how they did the work themselves. I didn't feel it was a customer focused orientation with the practice and policy that was in place. I felt that we

needed to take a step back and do some procedure planning. Over the next 2-3 years we worked on that idea. We did a lot of analyzing, categorizing, putting in the writing the processes and procedures that we had. We also did strategic planning of what kind of organization we wanted to come over the next 5 years.

In 2000, we published a strategic plan that was going to take us and make us a more outward looking department. We also stressed best practices within in the industry for how we handled our maintenance and other fiduciary responsibilities. The plan we called "Vision 2005." It had about 100 specific things that we wanted to accomplish across the department. They were established as goals and objectives. I think we accomplished about 90 of those objectives. One objective that we set out at the beginning was to win the APRA Award for Excellence. When we reached the end of the plan we felt that we were in position at the end of 2005 to put together an application for the award which we then won in 2006. On the side, we restarted our strategic planning again in 2006. We then stated how we wanted to apply for the award again in 5 years. We're a little behind that, but we are anticipating applying for the award the second time.

Researcher: That is great, a couple of organizations are doing that now.

P11: Yes, we changed a few things with our plan to focus very heavily on proactive reliability centered type maintenance. We are already far down that road. We've applied these to custodial, grounds, construction, and utilities operation. We feel that we're on the cutting edge of maintenance management and we want to apply for that again. An interesting thing for measuring our worker's job satisfaction is by doing a survey every other year. The year that we won the award for excellence, the job satisfaction among our workers peaked. Since that time we have dropped off somewhat. I think that the award provided a level of recognition that we celebrated with a lot of ice cream socials and luncheons with our workers to thank them. We see that as a positive way to give an organization recognition for all the hard work that they do. Then we can turn to our peers and say that we've won this recognition and then to give thanks to them for all they did to help us with it. We used it as a tool to raise our employee satisfaction scores.

Researcher: Do you have that survey for others to take a look at?

P11: We use an outside consultant. I don't know how proprietary it is to them. I could probably make it available to others. The survey company does a highly sophisticated regression analysis to determine along a number of different dimensions what factors influence the job satisfaction. Just knowing the questions won't give you a result. Do you know what I mean? Without knowing the analytics behind it we could probably get agreement to do that.

Researcher: I hear you. To use that would be great, but even just the company name.

P11: I can get you the company name. The initials are CFI. I would have to go look for what that stands for.

Researcher: That is great! You mentioned that you developed a strategic plan. Can you talk about how that unfolded? What were the particulars of developing a plan like that?

P11: We did it around a balance score card approach. We looked at people, customers, financial and internal business processes. We did a SWOT analysis. We interviewed our customers. We put together surveys of our own in-house people. We did a grass-roots operation to get consensus on mission, vision, values, that kind of thing. Like I told you, it was a three year journey before we got to the point of being able to issue something the first time. The next time we did this it took a lot less time. The first time we did it there was a comprehensive effort so that we had each area of the organization input into the generic header stuff. That is mission, vision and values. Once we had that, then we talked about the critical things we were being faced with. We talked about what the specific extent was that we wanted to do things. We defined those broadly. You can go on our website and see the two plans. In the simplest form you can see the what the goals were. We then took those goals and put them into the units. The question was "what would you need to do to achieve this goal?" Tactically what would you need to do to achieve this goal. That is where we came up with the 100 suggestions and ideas and goals we had to accomplish. The document was a living document. It was tied into all the performance plans of management. Down to the shop Foreman's level they had items that they were expected to accomplish and had the power to accomplish. We didn't give them something to do that they couldn't do. It might have been participating with other people and making something happen, but we kept it a living document and got good vibe into it. Like I said it was a big success we celebrated it.

Researcher: That is fantastic! You had mentioned the grass-roots approach in developing the strategic plan. Can you talk about what that looked like?

P11: Like I said it was trying to survey our internal groups, the shops, regions and zones to get an input from the workers of what the mission statement should be. What kind of organization they wanted to work in.

Researcher: Sounds like a written survey.

P11: Yes it was a written survey that we used across the board. It was an evaluation of our internal organization. We got lots of comments and such. It was then that the lead team of the organization took the incoming information and applied some techniques for boiling it down into a few major lines. The format we decided to follow was a balance score-card approach. There was a guy from Harvard that wrote a book about this in the 90's. His name escapes me right now, but we used his approach. We had an internal facilitator within our department who was very experienced at this. The individual had gone through this a number of times. I had gone through it in Columbia while I was there. He brought a good knowledge of the process to the table. The lead team used all the information we got from upper-management, the workers, the customers to try and shape what we needed to achieve as overall strategic objectives within the context of those four headings. From those we went back down into the organization to say "this is what is expected of us, what do we need to put into place to meet these things." That is

where the strategic objectives came. We put this into a book. We realized we had to keep it alive and implement it. What we did was roll it out into the organization as far as the main things we wanted to accomplish. As we rolled it out to each area we talked about the specifics that the area would have to accomplish as well. Then everyone in the organization heard the story. Whether or not everyone retained it is a bell curve.

Researcher: Retention is another story.

P11: Yes, and practice from a day to day is another story. We went and tried to get everybody on board with what we were trying to do. When we put it into people's performance plan and measured it against others performance measures we felt that we had good implementation. We would routinely revisit this throughout the five years. We'd have updates or mid-course corrections if we needed them. This helped us stay aware and keep track of how we were advancing through the plan. The university from 2000-2005 was very financially stable during that time. There were cuts being made, but nothing that could derail us in any way.

Researcher: There was a financial support piece to help you maintain this project?

P11: Only in stability. Nobody gave us money to do this.

Researcher: I'm finding that out. Who do you include in your lead team?

P11: The head of maintenance. These are all associate directors. Maintenance AD, utilities and plant engineering AD, a construction AD, a building services, a plant academy or training function. Now I have some additional that weren't there at the time. Those were there at the time. We have several people from OSHA that work in our department. That is our internal health and safety group. They are on our team, but not a part of my department. They are a strategic partner within the university with what we're trying to accomplish. I had some financial people from the parent organization, facilities and operations to also participate. Who else did we have at the time?

Researcher: Your direct reports and senior level managers at your department?

P11: Yes. And we would expand down one level to the lead teams that report to the people that report to me.

Researcher: That makes sense.

P11: That starts to be unwieldy in our organization. It seasonally changes from 13-14 people in the department. The next line down is about 30-40 people. That can become unwieldy for a meeting. But we would segment it and have groups that worked on things which might include an AD and some of the next levels down.

Researcher: That is a pretty big group. Can you talk a little about the second strategic plan. You said it took less time and how you're now pushing for productivity and reliability. What else can you say about the process?

P11: As far as the second process goes, we blessed the mission and vision and values. Those hadn't changed much so we didn't spend as much time on those. We did try and do the SWOT analysis and tried to determine what a good set of goals would be for going forward. This involved reaching out to our customers and work-force all over again. We came up with a refined group of objectives. Some seemed similar and others totally different. We rolled it out to the organization the same way that we did the first time. We went down the same implementation path. This was close to 2007 when we finished the second one. The first one ended in 2005, but we were celebrating in 2006 and started again in 2007 with the planning process. The next plan together which we called vision 2012 should conclude this year.

For this second plan we didn't have the same stable financial stability. In 2008 when the market took its crash and the state of [state] in particular because of the automotive industry diving. The trouble for the automotive industry impacted the state's appropriation to us. We did get a disruption in this cycle. So around 2008 or 2009 we did a mid-course correction. We took a step back. We were being asked to provide some sizable financial reductions. We tried to implement into our planning how we could accommodate for those reductions.

That was when we made the decision that we were going to push heavily into proactive and reliability centered maintenance. We had to revise the plan which we did in 2009 and 2010 for a new set of objectives based on us improving performance and reducing cost. We've been implementing this revised plan since then. That has extended the end-date of our plan now by a year. That extended our plan out to 2013. But we feel like we will then be in a situation to apply again.

What are we doing now? We've gone from area cleaning to task team cleaning. We switched over to completely green cleaning. We are using a whole new array of equipment for cleaning. New techniques. We're retraining the whole origination. We are several years into the process and should finish it by this time next year. On the maintenance side we did a deep dive analysis of our maintenance activities and where we were spending our money. What trades and skill sets we were using.

We identified a number of opportunities surrounding how and where we use people on the campus. We looked at what we'd benefit from with 100% daily scheduling and start planning work to plan complex work so that the supervisors and workers weren't involved in the planning process, but only as leads and support.

Those two big things we felt were going to produce for us an increase in our performance. We have seen the performance increase. We can do more work with 20% less people than we were doing before.

Researcher: And you can document that.

P11: It is documented. This is both financially and in the work record. We have got more work orders going through the system, more PM being done. More analysis of equipment so we can focus on failures and why they are doing so we can reduce the correctives that we're seeing. That is also happening. This has been a good head for us. We are still implementing it in the maintenance ranks. In utilities we implemented a strong energy management program. We had already won the energy star partner award in 2004 but we built on the energy star program to work on planet blue. That focused on energy behavior of the contacts of our buildings, and also doing conservation measures.

We put a program through the campus that was designed to reduce our energy consumption by 5%. Right now we're averaging about 10% in the program from our savings. In the big 3, custodial, maintenance and utilities, we implemented programs that we had not anticipated having to put into the realm. Or that there wasn't a good support for doing something as innovative as we were suggesting until the financial problems hit.

When the university saw the financial problems they were facing, we were able to come forward and say that if we can accelerate the long-term plan that we're on. We will be able to produce these kinds of savings while improving performance. We got total buy in from upper management and even financial support for such things as preparing facilities, or shop facilities for new groups, buying new equipment and that kind of thing.

That was our mid-course correction. We almost had to not scrap, but do a mid course correction to the procedure plan. We had to implement a new set of procedures into it and then implement them in the same way.

We are still working with our construction group to make them more efficient using the same techniques. We're working with our power-plant to implement more best practices. We brought a consultant in to drive up power-plant efficiency. We were already fairly efficient. We are an annual recipient of the CHIP recognition each year. We wanted to see what we could do about the cost of maintenance and operations to drive that down.

We are in the midst of that right now, although I have no results to report on that. The whole organization is in play in one form or another.

Researcher: It sounds like you have the group integrated and everyone is singing together. You had mentioned the idea of customer focus. Recognizing the need of customer focus. What did that look like? You touched on it a little bit, but if you could expand on that a little bit more?

P11: I'll give you an example. Let's take fire safety. The fire safety group was so focused on it being paid properly for everything it did that we were charging to test fire-pumps. That is not how it should work. We would end up having big balances on our accounts for testing fire-alarm systems.

Researcher: That should be part of the normal overheard.

P11: The idea that we wouldn't charge for something and let certain things go by without being done because we couldn't get someone to fund them. At the same time we're carrying million plus dollar surpluses on our budget each year. It was a strange internal focus on money rather than mission. That was an example of the things we needed to change.

Researcher: In terms of shifting the mindset how did you get the team to refocus? You had talked about customer survey, but it sounds like a lot of the work was internal.

P11: Yes. Much of it was internal. I think the strategic plan and strategic framework of visioning where we wanted to be and recognizing where we are. In some places we needed people out of the positions they were in. We didn't go out to shoot people but we did do some selective hiring and restructuring to get the right people in the right spot. We tried to reach into the organizations to get the ideas in place and give feedback. We tried to enhance communications at all levels of what we're trying to achieve. We tried to give the recognition that needed to be done when people did the right things. Then when people did the wrong things talk to them about not supporting the vision. There were a lot of basics to go with. I jokingly referred to the bell curve. That is how it was. You get people that jump on board to the picture you paint and will help. Then there are those that will just go along with you because you're in charge. Then there are those that think the old way was the better way. Change you know.

Researcher: That is fantastic. I have three bell-curves on my whiteboard right now.

P11: You do?

Researcher: We're all in the same boat of trying to motivate folks that don't have opinions, willingness, or competency. All of this dynamic around change is fascinating.

P11: Yes I tell my guys. I pull the stone-cutter out of the box.

Researcher: Great story please share it.

P11: A guy goes to a construction site and talks to the stone cutters asking them what they are doing here. One guy says he's trying to make a good living to put food on the table and send my kids to school and take care of my family. You go to the next guy and he says I'm a stone cutter. I want to be the best stonecutter I can be. Every stone should be cut just the way it is supposed to and make the finished product the way it is intended.

Then you go to the third stone-cutter and he says he's building a cathedral. Between the three cutters it represents your workforce. You have to make them all work and work together without turning one into another. They will all have a place and work hard for you if you work hard with them. The ones that don't agree doesn't mean that they aren't a value to us in their skill-set.

Researcher: I love that story. Every time I hear it, it is different. I loved your version, it was great! Is there anything else that you want to add without being prompted regarding your experience?

P11: I like working with APPA. Having people feel like they are part of an organization of professionals is important. I describe APPA as a trade organization of our peers. There is a lot of good information there. We send our people there to be trained. I took my lead team and asked them to go take the EFP. They all passed it.

Researcher: Without any prep course? Fantastic.

P11: We teach a course we call IFM "intro to facilities management." All of my supervisors are supposed to take it. It is intended to give a broad view of facilities to everyone. Whether you are a grounds foreman learning about heating systems and elevators, or custodial cleaning techniques. Then everyone gets a holistic view of how we work. We're all instructors in that series of classes. All of the lead team are instructors. It is a nice opportunity to be interacting with the various leaders and supervisors in the departments.

We are familiar with the materials. When APPA came out with that test, we were wondering if our course taught what you needed to in order to pass the test. We weren't sure so we decided to all go take it and see how we did. I was pleased to see that everyone passed.

Researcher: Is that available anywhere?

P11: I open our classes to any college in Michigan that wants to send someone. Then they can. Nobody has taken us up on it. We do take our training department to an organization called MiAPPA. It's a sub-regional group for Michigan. We teach some of our course at their annual meetings as a standing program.

It's fairly available. Go to our plant academy website and you can see the course description. You can see the PowerPoints that we use. We are pretty open about most of our material. We don't try and hide anything. We have decided that there are probably some improvements that we can make to have the program fit better with the body of knowledge. We're going to make those changes and teach a revised program in September. Then when you're done with the program we'll pay for you to take the test and get certified. We expect to have a lot of people certified.

Researcher: I love it! That is fantastic. I thought I was into development and you're taking it to a new level.

P11: We can't do what we do without the people.

Researcher: That is a great story! That is fantastic. It looks like we're getting in 40 minutes now. You have answered a majority of the issues. Now that we're done with

that part there are a few things I'm looking for. I want to understand what the drivers were. What drivers were declared for starting this process?

P11: The real drivers were the strategic plan and the need to overall improve the performance. We needed to be more customer oriented. That was the main driver to get us started.

Researcher: Where did the pressure come from? Is that something you brought to the table or were mandated?

P11: I think that when I got here and presented ideas to upper management to improve the organization that they were receptive to the ideas.

Researcher: So you had the vision and recognition of the need. It is easy to get the support from the administrators.

P11: I don't know how easy it is.

Researcher: Easier than being told.

P11: I was able to come to a place that prided itself on being technically competent. This was a very fertile ground to plant seeds into. They took well here.

Researcher: Yes.

P11: It wasn't as hard as it might seem. My predecessor here was a great guy that set a lot of the stage for good strategic planning. I don't know if you knew [former director] or not, but he set this place up really well and then retired. I was then fortunate enough to come here and carry on with some of the things that he was trying to get going. I feel that the organization responded a lot to it. We tried to reward people that were very engaged and involved. In light of the people that were on the front lines or down in the workforce 15 years ago are in pretty prominent positions within the department.

Researcher: In your journey did you hear any other potential drivers for the pursuit?

P11: Recognition I thought was important for the organization. Facility organizations are a lot like the red haired child. Even though the universities all preach a good story. The fact remains that it is about facility, research and students. It's not about custodians cleaning toilets, or grounds keepers cutting grass. Getting recognition I thought was important. The main driver for me was to have a reward to give recognition to the people in the department from their peers.

Researcher: Peers across the country really.

P11: You can't acquaint with the guy who is researching, but here with your peers you can be recognized as a great guy in a great place. I think that resonated well with them.

We're going through some major changes right now. I'm feeling that it is very important for us to win it again with these new methodologies that we've been putting in place. If we get some feedback from APPA that says you won it again. Then I can go back to the people and we can celebrate again. "You've been going through a lot the last few years, and it's been recognized." We are leaders of best is the motto here. It is important to find ways to keep pumping them up. It is a nice framework because it shows you are all in the right things that you're supposed to be concentrating on to make better.

It is the process of saying you want to win the award means you have to look back and justify with data, not just a nice story.

Researcher: Fantastic. I'm getting inspired listening to you. The other thing about the change process. What is the method or process you used, how would you describe that?

P11: The way we implemented these things on the custodial side was going back to our workers and saying these are the issues we're facing. We were very open and transparent. We have these financial concerns and need to maintain our customer satisfaction levels. We want to keep you happy too. This shouldn't be a sweat shop. We need your input on how this can work. We wanted to get a story out there that explained what it is that is going on.

We wanted people to relate in an elevator ride the story. We wanted to understand what it is that we were doing. We worked with them to understand what the best methods might be for going forward to satisfy the issues we wanted. We put together some teams to find the custodial system that was the best. Was it area cleaning, was it specialized equipment that we would buy. Should we go to task cleaning, self-directed work teams etc. In the end it was a team approach that came up with the idea of task-team cleaning. We found the management organization that had a nice product that we could work as a consultant with to implement. We pushed forward with it and kept people engaged and kept talking to them we kept them informed on what was going on. We gave them feedback on their performance and what they were talking about with the changeover. There was lots of communication and lots of training. Lots of back patting, and Atta buoying. Sometimes Ah shitting, what did you do there? We have to fix that. Let's go forward again.

On the maintenance side we did mostly the same thing. We had a consultant come in and helped to analyze data and look at what we were doing and how we were going about doing it. We created pivot tables from our data and played with the maintenance management system. We came up with some insightful things on where to focus. We were trying to increase our PM percentages. We came across this reliability centered maintenance type of philosophy and program. We hired a company called Alydeed to help us implement it. We have doubled the amount of preventative maintenance we are doing we have knocked down the amount of failures that are occurring. This is all happening very fast. We got the workers involved in us to put the processing together.

We have flowcharts posted on boards so that mechanics could go to the guy who is doing the work and say this might flow better this way and marked it up.

We got as much involvement as we could from the workers we. Still have all kinds of process improvement teams as we implement the idea. I tell one story of an area we created. We created 2 regions. When we analyzed the data, the history told us we needed 42 workers to maintain the area assigned to this region. We also thought we'd get a benefit from efficiency improving. When we staffed it we did 28. They are producing more work than we were producing under the old system of 42.

Researcher: Isn't that something! Pretty impressive!

P11: We set up another region and we were a little less ambitious but we were still doing a phenomenal job on the savings we went from 50 something to high 30s in the second group. Just this Monday we started our third group, another region. We have one more region to put into place and campus will be covered. Each of the groups seems to be doing better than the one before. Now there is competition going on between the first two as to which is the best. It is phenomenal to be on the journey and see how it is working with them.

Researcher: It sounds phenomenal. I can't wait to visit the campus someday. I hope to within this calendar year.

P11: Okay, let me know.

Researcher: That description is textbook. I'll talk about that later if you're interested. It is great to hear someone using that strategy. What about the key players in the process. Who are they and why are they important?

P11: A number of people. We had project managers for the custodial and the planet blue and the maintenance. They were critical because they helped us stay on track and stay on schedule to hit the performance things that we needed. The leadership of the departments fanatically supported the effort. If you don't have someone who is bought into the effort then it would be a big problem. I'm fortunate that I have two ADs that believe so solidly in what we're doing with these methods. They are critically important. Upper management was important. We have the CFO come out and sit to talk with the workers. They talked about issues the university is facing at the higher level. They gave praise for what the workers are accomplishing. Tremendous support when you have that upper level. That is phenomenal. There was a huge impact on the workers to have these people come out and talk about what they are doing.

Picking the right people at the front line, for the pilots and being sure that you have people that want to be there and want to have something happen. Then you can point to these early degrees. You want to stack the deck for the first area. Make sure it works.

Researcher: Nothing happens by accident.

P11: I think that is it. It is kind of across the board and up the bottom. You gotta have the right people in place. You can't fight the leadership on it. Otherwise it is too cumbersome and doesn't work.

Researcher: Let me jump into the leadership component. You identified some of the key leaders and individuals that are important. How would you describe their leadership style? Let's start with the PMs.

P11: On the maintenance side?

Researcher: Whichever.

P11: Hierarchal. Very devoted to the concept and very fair. None of them want fuzzy purposes. He is fair to the workers and gets the job done with a clear expectation for performance. He holds people accountable and recognizes with awards.

The guy for custodial is a fuzzy person. I think he is more tuned to people than process but a real guy for the cleaning process and helping to develop people. He looks out for the frontline worker and trying to develop them out of the custodial ranks into better paying positions. Very supportive of education. Likes meeting with the workers and a lot of hands on contact. Not as hierarchal. More easily focused, but a good motivator. I think he is a good fit for the kind of organization he has. The other guy is a good fit for the skill trade organization he has.

Researcher: That makes a lot of sense.

P11: It's not a one style fits all. I think you have to find the right people for the right spots. Then you build your organization around them. People might say its hearsay but I learned it in the military. You got what you got and had to make the best of that crew.

Researcher: If you have an extra wheel and no steering wheel, make it work. Talk about your AD. What were their styles?

P11: Those were them. Those were the two ADs. The assistant directors. The project managers were just good project manager people to help keep us focused.

Researcher: Less of a leadership issue, but more tactical.

P11: We had a little problem with the custodial area. It changed 3 times, but I think we have the right one in there.

Researcher: It's a hit and miss. What about the CFO?

P11: He is a dollars and sense. Very smart and he really gets to the heart of the issues and asks difficult questions. When he is sold on something then he's a strong supporter.

He is willing to put his money where his mouth is to assist us in getting the stuff done. I put together five year budget plans. In the beginning years we'd be losing money, but we'd make it up in the follow-up years. He blessed the whole concept. He wanted to know what we'd lose and what we were going to go over on budget by.

We put the plan together and how quickly we'd be getting the money back and we've been right on target with our plans and he's been very supportive of the whole thing. It is working pretty good. He's a good supporter of it all. He does stay in the picture, you would think someone in that level would back out, but he reads the quarterly report and asks questions about how things are going and what is happening here and there. When we were at the first year of implementation we were meeting with him once a month with an update on what was going on. We got his input and what ideas he might have. He was very engaged.

Researcher: That's the word I put down. How would you describe your style?

P11: I try to be visionary about things and look for where the department should be. I am very collaborative and strive to get as many people engaged as I can. I like to push the decision making down as much as I can. Then I'm more a referee than a decision maker. My style is decisive enough so that if I need to step in that I can. I think my guys respect me a lot for that. They know that when a decision is made that they don't agree with they know everything is embedded. I'm a big supporter of procedural things. I want everyone doing things the same way when we decide what the best way is. I like autonomy and want people to have some ability to change or redirect the way we do a procedure. I have something in place to reevaluate or continuously improve. I like data driven discussions not policy. I'm a big supporter of training. ADA, sexual and harassment are obligated by law, but I want to focus more on the training for technical stuff as well. I want our plumbers to be the best backflow preventers. We'll train the hell out of them if that's what it takes. We want our people to really know their job. We get journeyman, people that went through apprenticeships. We have our own apprenticeship here. We have training programs for our mechanics and then we train people that look like they might be supervisors. We run them through training programs for supervisors. We do tuition reimbursement for people to better themselves. I have a training focus. If you show that you value the people and give them opportunities to advance then they will be a good workforce for you.

Researcher: [director], listening to you I think I'm an Asian version of you. It's what I'd say except the retired navy.

P11: We enjoyed driving you around the ocean and dropping you off.

Researcher: That is amazing it's been incredible listening to your story. It will take a while there are lots of campuses to talk to and these sessions take up hours to transcribe. I have another person. [name] to talk to. Can you give me a third name? I'm supposed to go for 2-3 per campus.

P11: He's the AD of maintenance. [Name], he was the AD for custodial.

Researcher: What would his number be? 734.

P11: Let me look in here and get it for you in a second. His work number is [deleted]

Researcher: I'm good there. How do you spell John's last name?

P11: His last name is [name].

Researcher: Fantastic. He's AD custodial?

P11: Yes.

Researcher: That is great. I want to be sure I have the number right. [deleted].

P11: I'll double check.

Researcher: So, soon as I can, I hope to write up something as a way of summary and will follow up with the participants as a way to ensure I capture the salient points from the discussions. I will get that out to the participants.

P11: Sound good.

[end of recording.]

Campus 6, Participant 1

This participant is identified as P12

Researcher: So, thank you for verbal consent to do this interview. I have some preliminary questions that are sort of background kind of stuff. Then I ask you to talk about your experience of the Award for Excellence. A couple initial questions then I'll get in more specific if I need to.

P12: I did it on the side of trying to get things together for the work-order system and those statistics. [Director] did a lot and I just did the pieces that he asked me to. There is probably more than I participated in. Being in a different position than I am now I probably did a little less hands on. I remember the process and what we were talking about and looking for. It's been an honor to know we received it.

Researcher: You're one of the few and the proud. So that is great.

P12: He's been talking about it for a while. When we sat down and applied for it. Then it was a great feeling to have someone come and tour the campus. I'd never done anything like that before.

Researcher: I'd like to explain this process. It might take a half hour if we're quick. Longer if the discussion is lengthier. I have structured questions and then unstructured question. The structured question is pretty straight forward. What was your firsthand knowledge for the process and I think you have already noted that. You provided data based on work order systems? Does that sound alright?

P12: Yeah that sounds good. Are you on a cell-phone?

Researcher: Yes. I was called out to the capital building for some business.

P12: Sorry I just lost you for a second.

Researcher: So your primary role was providing data through a work order system. That answers the second question too. How long have you been in the system?

P12: A total of twelve years since I started as student. It will be 7 full time years as staff in September.

Researcher: That's great.

P12: It has been a hands on and I've seen a lot as a student worker here.

Researcher: And you moved up quick.

P12: It's a blessing in my career.

Researcher: This is a private university right?

P12: Yes.

Researcher: Here is the unstructured part. People get a little confused about this. I'll be asking this general question because my goal is not to influence your thought. I want to try and get a better understanding of the process in your own words.

P12: Okay.

Researcher: Here is the statement. Describe your experience with your institution's pursuit of the award for excellence.

P12: That is general. I have to think back a number of years here. It started with [the director] being a big advocate for APPA and any programs that it runs towards those statistics. I think he shared with us the application and the customer service end of the award. It is something that I had worked on since the beginning of my career. I wanted to shorten the time of the work order turnover. I think that has been in place probably a year or two before we applied for the award. We run some specific reports as to what the APPA application was asking for. We sat down with the reviewers when they came in. It all went by so quickly and a few years ago. It was a very positive experience. We had put certain work orders out to our crew and let them know that we were having visitors. I remember getting our office ready. This was about putting our best foot forward and giving attention to our building. We wanted to be ready for all the things that they were going to look for. Grounds, paint finishing, lighting. We did a full overhaul. We wanted to show our crew that we were looking at this for a different perspective, but at the end of the day it should look good for our parents, president, students and facility. It was a positive experience.

Researcher: That is fascinating. You said something interesting. A work order was placed to alert your line staff. It was in the context of tidying up different areas?

P12: Yes. It was about being a little more presentable. We operate every day and get positive feedback from our customers. But we wanted to put the best space forward as far as our academic shops. We had visitors walking through areas that other people might not see every day. We went down to that level of saying that it might only be a storage area we see every day, but we wanted to have it be clean and organized. We wanted to present to the best of our abilities.

Researcher: That is great. You had mentioned that you had a positive experience. What was the overall experience for the team?

P12: For our crew?

Researcher: Yes.

P12: I think it was positive and they understood that this was a good thing. Chances are that all of our hard work was going to pay off. We were hoping for that. I think they brought it in to what their managers see everyday. We tell them things for reasons. We're not nitpicky but we're seeing the APPA research come to life. People notice and it does matter. If you're seeing the same area everyday we're looking at the overall picture. They were more educated on that process and why we say some of the things we say. Unfortunately I don't know how many schools do that. Our plumbers and painters aren't attending APPA trainings or that many sessions where they talk to people in the trainings to talk about problems and other solutions. Or talk to people who haven't come as far as we have. While it was positive for them they need more education. They don't believe it is real, just a lot of discussion. They saw it into practice. To get that award we had to prove we were doing these things. They saw that part come together.

Researcher: That is insightful. Obviously a lot of folks in our industry think about these things. Especially at the managerial level. The idea that the crew doesn't always buy into what we say. That is so real and honest.

P12: I try to get them to understand that as I've grown in my career and met more people in the industry. Establishing my own contacts and tell them what I might be struggling with. That way I can show them that if they came to me with a concern I can ask people how they handle their crew and role things out here it can make a more positive day. They feel like someone is more interesting. When they are more involved we get a higher level of work and we get more ownership of people and they are part of something during the day.

Researcher: That is great. We might have to invite you out to talk we the team.

P12: Sometimes when it comes from other people that they don't see every day. But to have someone come and visit and sit down with someone new. Saying "hi, how are you, why are you here?" Then people can ask them about the work order system. Do you like how the system goes out to you. It was a new thing for all of them.

Researcher: If I can paraphrase what you're saying. Then it sounds like the process helped your crew to get a better appreciation or at least understanding of what managers are concerned about. You equipped them to be more aware and affective and self-motivated.

P12: Exactly. Sometimes they think the work orders are for specific details and they don't understand why someone is zeroing in on something so small. This experience showed them that it is one large effort to get to a certain goal. To get a beautiful campus where people can be comfortable and continue their research. It might be to have a little fun. We have the social areas. Some people eat at the same dining facilities every day. We seat our students in the cafeteria and faculty go. When you see something wrong with where you sit down at an area. It helps especially if you know you're the housekeeper the lights are on, or the carpenter and the table. Or the carpet isn't stained. They started to look and see that they are valuable members of the community just as

much as any student.

Researcher: The staff or crews themselves?

P12: The crews themselves. Sometimes they think they are an outsider, but they aren't.

Researcher: You make me want to go after the award.

P12: I think it's great. It is a team building exercise and makes you come together. There are always areas that you think about how you want to maintain the status. That is what we're still trying to do everyday. Sometimes you wonder if we flip backwards or are moving forward. That is a question that I can't always answer.

Researcher: That is another great question. It will be a topic for study in the future. The idea of once the award was received, was it sustainable.

P12: Right.

Researcher: It sounds like you're giving those thoughts consideration. Do you and your leadership team look at those questions as well?

P12: We do, but I think we need to look at it a little more. You get busy and focus more on the smaller tasks at hand. "We have to get through this month." Etc. We don't take the time to take a step back and see what other people are thinking. Do they feel that things have changed and we've flipped a bit, a lot? Or are we staying on track. I don't think we focus as much as we should have on that right now. We have had a lot of change over on our staffing and that is an issue. If you have a good documented process then as people move around in the organization it is clear with what needs to be done. Then it flows. People around you don't notice and they might say there are new people but the plants are still running. But you don't get paralyzed because if the one person moves on who was believing in the vision and everyone can say "what now?"

Researcher: That is music to my ears. What was your underground?

P12: Graphic design.

Researcher: Did you get a masters?

P12: A few courses but I didn't pursue it. I went right into work and have been absorbing everything with that. I've been thinking about doing my MBA here. Maybe within the next semester or so I can get into that.

Researcher: That is great. I ask because I have spent a good portion of my lifetime trying to better understand culture and the community of excellence. The questions you're asking are right on the money. I wonder where you picked that up?

P12: I think people around me. I've had great mentors over the years. I was a freshman who wanted to earn extra money. I worked in offices answering phones and filing stuff. I worked in that from elementary up. I liked being the student helper. When I got here and heard what people were talking about I was exposed to so much that it started to make sense. Being a student here and knowing the people who were trying to make the classroom better and trying to upgrade it. I lived in that resident hall and walked those walks.

It tied everything together for me. That's why it is a special experience for me to work here and share that experience with people here and across the world to get people to understand that message. I want to bring them together.

Researcher: That is super! I think that you pretty much covered your experience of the journey. I'm wondering, is there anything else that you feel like I should have asked about the process or something that stands out to you or sharing your thoughts that might have come up?

P12: Not that I can think of. It is nice because now that I'm thinking back and remembering what we went through it was easier to talk about and not be influenced by specifics. I can talk about the things that stood out. That was good.

Researcher: This will be a really helpful conversation. I want to ask you some specific questions. What happens is that I'm trying to understand what the driving force is for campuses. I want to see what culture change process was utilized and what kind of leadership strategy or style was implemented. I have some specific questions related to those areas. They are a lot more direct and probably easier to answer. What were the publicly declared reasons for the campus to get the award of excellence? Maybe it wasn't the campus. It might have been just the department level.

P12: In our case it was more department level than anything. Our campus probably didn't understand what this was until some education from [avp] which came after we got the award.

Researcher: So it came after the award?

P12: Yes I think that [avp] was the driving force because of his experience with APPA and knowing some other people who had received the award and saying "I think we do a great job as a team and I want to prove that by submitting the application." Just a second I want to turn the radio down.

Researcher: Thank you. That is a strong statement. It clearly indicates your campuses direction. His motivation was doing a great job and wanting to prove it. I just introduced the evolution form to the senior leadership team. All the line supervisors and we graded ourselves. It was a fantastic experience.

P12: We should try something here.

Researcher: The form is available. The FMEP. Facilities management evaluation program. I took the statements and converted them to questions in the category and asked them to rate themselves. It was an eye opener for most of the team members. That was the driving force, this might be related, but were there other noticeable reasons used on campus? By managers or by Tom maybe line supervisors that was used to pursue this award?

P12: Not that I recall. I just remember that it was something he wanted to pursue as the AVP and wanted the team support for getting the information collected. At the time I don't remember why. That was a great time. There were other years where we were doing the same things, but it takes a lot to get everyone together for submitting the application. I think that was a question for me as well. Why are we picking this busy time. It is always a busy time for a facilities department. We were questioning if we could put these hours into doing what we say we're doing.

Researcher: That is a big dilemma isn't it!

P12: It is a big struggle, but you need to find the time to take a step back and see if you're on the right path. That was the question in [avp] 's mind at the time. He said no, we're doing all these things. He was confident like us that we could achieve the award. It just meant taking the time to get the information and print out the reports to show what we do every day. We do it well and want someone to put it out there. Or not.

If we were feeling high and mighty and confident to come in and say "you're not quite there." That would have been a motivator to get up to the 100%. We might be at 95% but what can we do to prove we're ready.

Researcher: There is no way you could have lost?

P12: We all thought that in our minds, but not having been through the experience. Someone might have thought that we needed 100% of our lightbulbs done. We were shocked. They came out and said we can get down to 50% of our light bulbs out before we change it. That hasn't been the directive. We wanted to be 100% lit. We don't want people to look at dark corners. That drives us every day.

Researcher: I was trying to capture the idea. If you didn't get the award you can identify what areas needed improvement. That being the case you can't lose with that kind of outlook.

P12: I hope so. I think that the outlook is still with us. To know that we're on the track and high still. We had a special dinner to celebrate. Our staff does wear shirts with a sewn on patch showing the APPA and award for excellence. Unless it comes up in a conversation we've just moved on to other items. We need to go back and say we're running the same reports, but are we getting the same feedback to show us at that level?

Researcher: Great question. Incidentally the recognition is good for 5 years.

P12: I think a quarterly reminder with our crew that we want to pursue this and still be that example afterwards for the next 10-15 and continue to grow. We don't want to level off and say "now what."

Researcher: The next two questions are about the change process. How was the change process introduced, managed, and sustained?

P12: Introduced. Well, I guess a lot was introduced through our director and assistant director. The conversations with our crew occurred in our morning meetings. We did have a few special longer meetings and a full department lunch talking about what we intended to do. We pulled together information so that whatever applied to your trade or manager to look at things and talk about what is going on. Then the directions happened through work orders or other memos. With me changing roles within the organization to sustain this comes up in the same way. We meet with our crew every morning to talk about events of the day and remind them of what our expectations are. It is true verbal communication to try and keep those things going.

Researcher: Remind the crew. We find that communication is a big challenge. The way I'm hearing this is that it was a vision from the top. Communicated through the traditional organization structure. Through meetings and there appears to have been a full department organization meeting where the process was explained and what is the expectation for the team. And then some routine daily reminders.

P12: Right. It wasn't a real removed process from their normal daily routines. That is what we were saying worked for us and would get us to that award. There was a lot of talk about that within very routine events.

Researcher: How do you think that the crew experienced this change process?

P12: I think that it was positive overall. They participated in a lot of the end parts of the process? I don't think that they ever saw the file cabinet full of documents that we put together. That is something that they weren't educated about. To this day they probably still don't know what went into it and they might not know that is also part of what we do everyday. There were so many reports to achieve awards, but also to see how we are doing, or if we're slipping up.

It's something we don't have the time to invite them in on. We probably should because that helps to sustain the message. When you bring in new people on the crew you want to be sure that they can explain it to their colleagues. A manager that can explain it to one person coming in as opposed to the people that have been in here for 20 years. You want the people that have been here for a long time to share the overall message.

Researcher: That is one of the more challenging aspects of management.

P12: Yes and we've experienced that over the last year.

Researcher: How are you doing that? I'm going away from the research question and into "hey that sounds great!" How do you get the crew engaged in understanding what the management team goes through, without making them into a manager?

P12: I try to spend time with them. Trying to manage them. Doing the paperwork isn't enough. Sometimes getting out there and talking with them in a more casual way. A quick breakfast has been accomplishing more than any formal meeting. Getting them into a comfortable environment where the people can listen to what is being said.

Researcher: So like a door to door solicitation.

P12: Yes. Some people think it in their face. Some people are quiet and go about their day without giving an opinion. I try and drive that out because in a smaller office where people are exposed to different things but are brought into a team project to get through the day. Everyone has an opinion about something. Some are positive about things that I didn't know they were okay about. Is there anything that you like where we can keep it going and not take away the things that are motivating people. That is hard information to drive out sometimes.

Researcher: Absolutely! Boy I tell you that you are definitely on the right track!

P12: That is good to hear. That is why I like to talk with people outside of our department. That is why I think we should be talking to more visitors out of our crew. Maybe I should go out and talk to crews saying that is what we do.

Researcher: Are you going to the national conference at APPA?

P12: I believe not. Tom and Rick are attending but I am going to go to institute in September to finish up my last course.

Researcher: Good for you! That is pretty much the same thing. Recognizing that without the crew we can't get anything done.

P12: That is true! Sometimes saying thank you and acknowledging a great job. We just had our commencement weekend. We talk about APPA and the award for excellence. We're getting out there and getting excellence to our entire community. We're taking it to events outside of our campus. It took a different set of circumstances with what we do every day. We talked about how it takes strange powers to pull this off. Wanting not only the me to say thank you, but to see one coming from the president's office to the team that worked these events. It's other people, not just my boss, but other departments recognized what it took to pull this off. They couldn't have done it without our help.

Researcher: That is great! I'm wondering. Was there any talk about a cultural change strategy that was being implemented? Do you recall any of that language? A researcher or a guide that was being used for the change process?

P12: No. But something that I'm trying to absorb and when I speak with colleagues I ask about a book or website that talks about training or engaging people. [AVP] my mentor who I worked for a number of years has given me a lot of insight that is APPA driven. But I can't say that a specific guide has been used. We just rewrote the maintenance guidebook which touches a little on everything, but nothing sticks out in my mind. I'm sure I have a few things that I've not gotten to.

Researcher: This is fascinating. Who were the key players in the change process and why were they important?

P12: The key players in the change process? I would have to say that it starts with manager leading by example before it goes anywhere. Our assistant director, and director would have been our top 3. Our planner and scheduler acts as supervisor.

Researcher: That was your role?

P12: Yes. It's not a clearly defined role in our department or anywhere. But those four top people I think. Their strategies and being on the same page makes a difference in how any change rolled out whether with the system, or the talks in the morning. If we're all saying something different then it survives the crew. It doesn't lead to an outcome. It leaves us paralyzed and not doing anything.

Researcher: Great statements. I agree. That is one of the steps in the change process. Have you heard of John Kotter? He wrote a book called "leading change." And the first step for him is to create urgency and then create a guiding coalition. He defines the guiding coalition as what you just described.

P12: I have to sit down and read it with some other people.

Researcher: It's fantastic and there are lots of different models that differ from Kotter that are very good. I'm seeing what the people's thinking might be and how they align. That is very helpful. Here are a few leadership questions and then we'll be done. Who were the "leaders" and what were their roles? You might have answered this, but it goes beyond what we talked about.

P12: I guess [AVP] being the AVP was the leader with everyone and had it broken to other steps. Our assistant director was pretty involved with the crew. He held what I hold now. At the time I was a planner and scheduler I think I had a big role in it.

Sorry I'm losing my voice.

Thinking about the reports and talking with the crew because I did that on a daily basis as far as work orders and the statistics I was rolling out were coming from a work order process I put in place for the crew to follow.

I think top management levels.

Researcher: Okay. With these leaders you mentioned. The four layers, Tom, the director, the AD, planner and scheduler. What was their leadership style?

P12: I think [avp] has a clear strict direct defined role and likes to look at things in a hierarchy and that is how our department is set up. I think that personally and now those things haven't changed as my role has changed to be more casual. I like to look at the crew as equal and experts in areas. Without the crew you'd not get anything done.

I look at them and try to bring them in as a partner. I think I have more of a lax style until we run into a problem. Then I remind them that I am the boss and this portion of responsibility falls on me, but I look for input in any way I can get it.

Researcher: Interesting. I'm not sure how much of the leadership styles you've seen, but I'm finding that a lot of campuses are structured that way, but there is a reversal of that. You and I share a similar approach and style, there is room for us at the top.

P12: I hope so especially when you get up in the morning. We say we want to engage with the people 40-60 hours a week and hear what they have to say. That is better than being a commander. When people don't like what you say they don't give you 100% they won't give you 100%.

Researcher: I need to say something on that, but I don't want to bias you in anyway here. What would you say was the director and the AD's style?

P12: Um. I think our director at the time was probably more along the lines of causal. He liked to see the overall stuff. He wanted the trust in his staff that smaller details were getting done. Our assistant director was along the lines, but more strict in wanting to see the specific details. Not as trusting but the message he put forward made him go out and check on things that might not have been understood by the people. Maybe they didn't understand his expectations.

Researcher: You know, have you heard of theory Y and theory X in management? You see that right there in your leadership. That is fantastic. That is really, really interesting. Good stuff! Last question. What do you believe the effect of each leader's role and style played together to secure the award?

P12: I think that in the case of the award, everyone did understand what the mission was and what we wanted the final outcome to be. They used their own style to get there. The way that Tom divided up the pieces. You will work on this piece and you will help me on the administrative side all came together. On the day to day basis if you don't have the conversation of the common goal it can create a divide. When you don't circle back to see it you might want to make sure you're getting to the same place even if it's down different paths. That leads to see if we're all still maintaining or going down that path that we should be. Sometimes the supervisor or someone who works for you says it is over here. Sometimes those play well together but you have to know what that common goal is.

Researcher: That is great. I'm reflecting about my circumstances in this campus. The last 3 years I've been trying to build a cohesive team that is flexible in their thinking. To focus on a goal and not get caught up in personalities. Various personal approaches to problem solving. I think I'm finally at a place where I can look at bigger projects like the award for excellence. What you're saying is dead on! That is so cool!

P12: This has been great! If there any other topics in the future that we can discuss or that you're looking with help on I will be happy to share my thoughts. I usually always have an opinion on things.

Researcher: You know, you said that earlier. Good or bad, everyone has an opinion. That is one of your core philosophies. I love it.

P12: I'm the one that says if this is what you feel I might still support you, but if you ask my opinion I'll give it to you free of any kind of working with people.

Researcher: That is funny! I'm hearing you talk and I feel like we're cut from the same mold. If you haven't read it I'd encourage you to pick up the book "leadership challenge" by Kouzes and Posner. I think that this book will resonate with you. I'll give you my cards now. There are drivers that organizations are put under. Whether it is the board, or state requirements. The need for a cost effectiveness and access. Those higher ed questions. There are some drivers of the individual leaders for recognition. There are also the drivers where individual leadership wants their team to be recognized. Any of those drivers to work, but it does affect whether the change is anchored or not. That is one of the driver questions. You and I have the approach of having this keep going without constantly pestering, monitoring and forcing. We want to not be personality driven, but individually driven. How do you keep it sustainable. That is interesting. The change process I have found in literature two ways.

1. You see people as a commodity to get the job done. A behavioral approach to change. I tell you what to do, you do it and we get good results.
2. See change as a social event. You create the change by having people understand why it is happening and get them to buy into it so that it's more of a natural flow. This is hard work, but I think more sustainable.

You don't have to threaten or cajole.

P12: Yes, depending on the day you are human and could be do it or else. I only pull that into play when necessary. But if you have good form and sustain things then you can leave time for the emergencies and things we all deal with.

Researcher: The last component deals with the individual leadership style. There are schools of thought that say to get anything done you need the top down approach. There is the other school of thought that says you are more effective if you take a collaborative leader follower relationship. It sounds like you and I are in that category. I love being

there, but I wonder if that is enough to get something going.

I'm waiting for a group who isn't quite there to initiate the change process so that it's not forced. It is interesting. The leadership structure at the time that you're going through the process here. I see a good balance. So for folks like us. When we're at the top, I find myself putting into it. I have two directors that are top down. It is interesting. I selected them to balance myself out.

P12: I think it is about balance. That was a good move.

Researcher: But it is also frustrating to death!

P12: Definitely! It can be. It depends on the private or subject you're discussing.

Researcher: I'm always saying "think about your team." I'm concerned about how you get the job done. They are pulling out their hair because they want to get the job done. But I'm getting in their way because we're supposed to be touchy Feely. Yes, we want to get the job done, but I want it to be sustainable. I don't want you to have to be there micromanaging people to get things done. It is an interesting dilemma. I was where [avp] was 15 years ago. My natural style is hierarchal.

P12: It does work for him, but the balance I think is why he and I have gotten along well. We both know that common goal, or he'll tell me where he wants to see us get to. I don't tell him, okay we'll do it your way. I'll suggest another way. He over the years with different projects watching me do that and knowing that she said she'd change it. He lets me run with it. That's what I'm trying to do with my own staff. You have input, you're in the buildings. You work with personalities that I don't work with. If you have an idea and say "let's try it this way." If it's working then it won't bother me. It's when it's not working that we get complaints or bigger issues. That is when I need to step in and not tell you what to do, but reevaluate the situation.

Researcher: Right!

P12: Sometimes they can come up with another solution without me putting the micromanaging in there.

Researcher: That is my strategy too. I don't want to tell people how to do something because then I own it. I don't have time to own that stuff! I need the team members. If there aren't red flags, then I'm good with the choice of orders maybe. When you go to the webpage of ours you see our motto, mission and priorities. The words changed because of what the team members wanted on there. I don't care because I wanted it to be driven by the team.

P12: I agree. I'm sure we can have future conversations.

Researcher: It's like "I know this person."

P12: It's great! That's why I love these projects and I love to talk to the people that feel like I do and it gets me going everyday.

Researcher: I appreciated our conversation. Thank you so much.

P12: You are welcome. If you need anything else you have emails and phone numbers now.

Researcher: Likewise. If you want to bounce anything off. Especially given the approach. I spent a lot of years in self-doubt related to the style because it is more convenient to ram it down people's throat. In this particular approach has resulted in good fruit over the years. It's not an easy road.

P12: It's not, but if you can get there and stay motivated then you can change the people around you. There are those that won't accept it but they can move on. There also needs to be an issue of respect. You might not agree or want to work with that person, but you need to respect other people's ideas and their methods of getting things done. Be their team! You have to be respectful.

Researcher: I agree. Thank you. I hope to write up something as a way of summary and will follow up with the participants as a way to ensure I capture the salient points from the discussions. It's been a pleasure. Have a great weekend and I hope to meet you in one of these conferences. Take care, bye.

P12: You too, bye.

[End of recording.]

Campus 6, Participant 2

This participant is identified as P13

Researcher: This conversation is really informal. You know, it's more about what you experienced and saw than what other people think. That could be part of your experience. So, thanks for your verbal consent to do this interview. I have some preliminary questions that are sort of background kind of stuff. Then I ask you to talk about your experience of the Award for Excellence. A couple initial questions then I'll get in more specific if I need to. First, at the time of this process, what was your role?

P13: I'll answer as best as I can! I was a grounds utility technician. The award received was July 2009 and that is when I was there.

Researcher: What was your role in the award for excellence process?

P13: I wouldn't say I had a lot of a role. The direction came from the office. We had people come to the office and do interviews. I wasn't chosen for one of those interviews. I worked at the university and followed whatever protocol came from the office. I was on the outskirts.

Researcher: So providing information? That is all part of the experience. It is good stuff. You have been with the institution how long?

P13: How long have I been here? My tenth year I just did. 7 years in utility and grounds and then this is my third year as the planter scheduler supervisor. I work in the office now with the order system. I do my undergrad here and my grad classes.

Researcher: That is cool my dad said you got to do something and stay in one place at least 10 years.

P13: Yes. I can't believe I just hit my ten years. I've been here for a while.

Researcher: That is cool because opportunities start to open up. Here is the part you do the talking and I do some prompting. As best as you can, describe your experience with your University's effort to go for the award for excellence.

P13: I have had a great experience as a student and an employee. I worked on the ground utilities technician. I worked and went to school at night for the free tuition. I did my graduate classes at night. Later a position opened in the office for me to be the planter scheduler supervisor. That gave me 5 months of training, supervisor toolkit, marginal institute and I was just at a conference. I'm getting more experience and more APPA related experience as well. My goal in the next year is to look at something else I qualify for. A lot of these things helped to streamline and follow the best practices. As far as the award and the process of what we had to go through, I wasn't in the office for that. The planter scheduler moved up to be the assistant director. That is [colleague]. She was the old planter scheduler. She has handed down her best practices. The things

we do day to day were handed to me and I try to maintain that. We're also looking to upgrade that and streamline it so it's better.

Researcher: That is great.

P13: What?

Researcher: That is great how you will be involved more in that role. The study is not about the award itself. The criteria is well established. This is more about what the campus has done. So you say you have experience as a student and employee with APPA training and getting involved in that. At the time you weren't directly involved in it. What are some things you hear about the process and involvement on the campus from your colleagues?

P13: Well it's been a few years now. But from what I remember I think our work order system had criteria that had to be investigated and statistics that were reviewed. Some of the things we do are an open work order summary every week, we do summer work order schedules. We built in a lot of things to give a good turn around to the customer. Our customer survey, and we're trying to streamline the surveys to APPA's questionnaires. That is one of the things we're looking at doing with the upgrade. We're looking and trying to do the best practices and be in line with what others are doing.

Researcher: About how many people were involved in the process?

P13: When we got the award?

Researcher: The putting together the packet?

P13: [Colleague] could say better about that, [avp] were involved. Probably the director. I don't know that our project managers were involved. I'd say about 4-5 people were directly involved. I'm kind of guessing there. [colleague] could give you a definite answer. I'm not sure if there were other departments involved in this, or if it is strictly a plant thing.

Researcher: You think that primarily it was the planning department?

P13: I also don't know if the VP for the school was involved or anything from the treasures office. I don't know how far you want to go in.

Researcher: That is interesting. It's something I'm trying to get ahold of too.

P13: I think [colleague] can provide that information. I know a number of people from our office was involved I don't know about other offices though.

Researcher: This might be challenging, but how would you describe, or what is your gut feeling about the experience?

P13: I think it was a good experience. I was on the outskirts of it. It is an award we have on our steps. When people come in they can see it. This was kind of a benchmark for us to continue the best we can. We want to maintain that level. It is a good feeling to know that you're doing something right. Then to try and continue to be there and improve where you can. Like I said coming from out in the field and not being as involved. I'm involved heavily in the office now. A lot of [avp] pushing us for training and going to these institutes and certifications are for a best practice and a good organization. I think it is good that we did that and it pushes us in that direction.

Researcher: You are among the few organizations that pulled it off.

P13: We're a smaller school. It is interesting talking to people from other organizations. People want to get to the same place, but how people get there and how people are staffed is completely different for everyone. It is really hard to compare a small organization with a large organization. It is interesting to see how people do it.

Researcher: Isn't that interesting and fascinating? I think that based on what you're saying I can ask you some questions for you to respond to. It is kind of very direct question. Are you ready? What were the publicly declared reasons for your campus to pursue this award?

P13: I'm trying to remember. Publicly I am sure that PR put out an announcement for pursuing the award. Why we pursued was probably internally from our department. Mainly [avp]. I know he had a heavy role more so now than then.

Researcher: Is great I appreciate that. If you could project what his reasons were?

P13: He has a high level of expectations and where his vision was. He can see the big picture and where the school and this department should be and go. It pushes outside our department. We're involved in a lot of departments residential activity set ups. He keeps inventory and sweeps the campus. He is involved and has this vision. Know that there is a lot of hard work as the best practice. He provides the best physical plant as we can. He believes in that and pushes us to go to the trainings and help the department provide this relevance.

Researcher: That is fantastic. I'll tell you after why I'm doing this research. It is quite fascinating. That is good. Did you hear from other leaders about why you were doing this thing, or from the line staff level? What some reasons for the department going for this award?

P13: It's been a few years now. We had a few meetings. We did some lunch meetings where we talked about statistics and that was a focus while we were applying for the award. The question was in my head about best practices and if we were going the right direction. I'm a little vague on all the details.

Researcher: The best practice seems like the main driver. They might talk about how

we're short on money so we need to get our act together or we'll be outsourced. Or the government has actionability or anything like that?

P13: We watch ourselves at the end of the year and we're open to talk about guys and where we're at. We are sure that we're in the black, not the red. There was one point where an entire member looked at our observation. That made me worried about outsourcing. They were saying we can do this better through outsourcing. People would talk about that. Some of the boys more than others. There was a year that we were feeling pressure about something like that happening. We've been pretty confident and have about 23 electricians and ground guys. It's a small operation for a large campus and we're efficient with our resources. We make it work with how we're operating. I think we are hard pressed to have a company come in here and beat us out of that.

Researcher: So you have context. Every university I go to. This is my 5th university and there is pressure to look at outsourcing from a fresh perspective. We are always able to prove that outsourcing can't compete with us. What about the idea of change? How is the change process introduced or managed and sustained? Or how was it communicated that they were going for the award?

P13: I was limited on that because I wasn't on the office. Our PM system was beefed up better. I was told to correct things on equipment and do preventative maintenance.

Researcher: Like, when did you find out that the department was going for the award and how did you find out?

P13: I found out from [avp]. He would have come down to our morning meetings. They had us fill out paperwork. I can't remember how much. There wasn't a lot of change for us. I wasn't in the office so I can't speak for that. I think one thing that went better was preventative maintenance and how our orders came out. Around that time we might have introduced a straight away response. There were a lot of plumbers going out of jobs so we created people that were on instant calls. There were things that have helped over the years.

Researcher: So there was no formal declaration where the teams were assigned different tasks at the shops?

P13: No there wasn't a change in how we were running our operations.

Researcher: It sounds like you were informed that you were going to do this thing and then people that needed to be involved were brought in.

P13: I believe there were technicians that were interviewed by the APPA team, but I don't know who they were.

Researcher: Some of this is a repeat. Who were the key players involved in the change process?

P13: The driving force was [avp], and then the AVP was also a director of it. I think at the time it was [name]. The assistant director was [name]. Then [name] was directly involved and put together a lot of the paperwork and whatnot.

Researcher: Sounds like the planter and scheduler was the driving force of paperwork?

P13: Yes sometimes she was very involved in putting together the whole application. She was on the front lines and could probably give you a better answer.

Researcher: Okay. What about the director? How do you think he was heavily involved?

P13: I don't know about the application process but I'm sure there are numbers between the contractors and numbers. He would have had to go over all the things that he was involved with over the years. He probably was in the project management as well putting together where we were staffed and what all we were involved for. I'm sure he was involved in the filling out of all the application stuff. He helped coordinate the information.

Researcher: So basically coordinating and collecting the data? Was that similar with the assistant director?

P13: Yes very similar with him as well and how things went. They had different contractors going on. Collecting the data with what we did was similar.

Researcher: Okay. What about [the avp]? You said it already. How would you define [the avp's] role?

P13: The driving force to push the deadlines and getting the correct information together. We'd get our orders from him and he put the whole thing together making sure it was clean. Being sure we followed the standards. He was the main contact with getting this all together in a timely fashion.

Researcher: We're almost done. The next question is about leadership style. Who would you say were the key leaders and what were their roles? You can just say same if you want.

P13: [avp] was a key leader. He's come down and talk about a lot of things. The guys didn't always understand it or listen, but he was the key driving force there. The director obviously worked with these kinds of things. Whether a change in policy, or reaching the award everyone had to be on schedule to help it happen. I'm sure it was a good learning process for everyone.

Researcher: How would you describe their leadership style? Tom, director, assistant director, planner scheduler, and assistant scheduler?

P13: You're recording on this?

Researcher: Nobody will see any of this. I'll type things out without names and it gets deleted.

P13: [avp] micromanages a lot. He is involved in our daily activities to be sure we're doing the right thing. He dictates down to all of us. Including our guys. That falls under the director and assistant director. He's very hands on in every aspect.

Researcher: That isn't so unusual for smaller divisions.

P13: What he says goes. Our director at the time was [name]. He was more laid back. A guy that enjoys his job and wants to help others come into work. I called it good cop, bad cop.

Researcher: You know.

P13: He was the good cop.

Researcher: That is fantastic.

P13: You have to have someone to go to. He [director] was more laissez faire. When he needed to crack the whip, he did. [director] was a very personable guy. You can talk to him about scheduling things. You had more of a relationship with him about how to get a job done. He was more democratic in a way. The planner scheduler supervisor ran things. They had support of you. You were more than just a person to do the work. You could play the middler there. The way we were staffed is that everyone had different styles. The good cop bad cop idea. There wasn't the same leadership style across the board.

Researcher: That is typical. I'm the empowering guy. My operation director has to be dictator.

P13: There are different things. You have to have someone who is going to put their foot down saying this is what I want and now! That is hard to deal with, but I don't know if things would be done right if it wasn't done that way.

Researcher: If you don't tell nobody then nobody will know. What was the style of the scheduler for getting information? We talked about the other styles. What about the planner?

P13: I can't answer that. [name] right?

Researcher: I'll ask her.

P13: I think it is best that you ask her and she can give you a direct response.

Researcher: Okay. You've already answered that question in one shot. Cool! This is more of an interesting question. I might have to rephrase it. What do you believe was the effect of the leadership roles or styles of those leaders to help make this happen?

P13: What do I believe the effect is?

Researcher: We talked about the leadership style, how did the style and their role help to insure a success of the project?

P13: Well, obviously starting at the top [avp] was the driving force and his style of micromanaging the project and every facet of it. To pulling information and putting it together within the timeline. That is always difficult. The operation to get it all done was a lot involved. You have to have driving force to get things done. He led that effectively. The other leadership styles followed the line of supporting that. For the guys to be on board or not be on board. Best practices are what they were asking for. It came from the director and assistant directors. They had the approach to the guys.

Researcher: So if I project, you're saying here is the style at the top to make sure that timelines and details are met. The director and assistant directors were kind of translating for the teams to be sure that they don't feel like they are being overrun? Just trying to make sense of it?

P13: Right. At the end of the process we all got our shirts and uniforms had an APPA logo and the plaque on the wall. There is pride in that for the management team and [avp]. The guys who were involved knew what that was. It is something that they can look at as our driving force now to continue.

Researcher: That is great! You think that once the award was achieved there is continuity or interest of keeping it going

P13: I don't know about getting the award again. But a lot of the things we do have been streamlined or come out of that process. We're always looking to get better. We're working on our work order system and I'm on that. Not as exciting. We're trying to streamline some of our customer surveys so we need to get information out of that. We continue our training with everyone in the office.

Researcher: If I can get your email address then I'll send you some major points and recap. Then we can see if you agree. If you feel that anything needs to be changed it might take me a few days to transcribe the data. Would you like that?

P13: My email address is my last name. So@----.edu.

Researcher: Sounds great. What I'm looking at are three things, the driving force and why campuses pursue the awards. There is a lot of literature out there about that. The next thing is the leadership style used to push this to success. And finally the change and how it happens. I'm trying to understand whether the process has been more social

approach or behavioral approach. That is all interesting because the theories are out there and nobody has checked to see if it's happening.

P13: I hope that some of the things I told you helped.

Researcher: Absolutely, I hope to write up something as a way of summary and will follow up with the participants as a way to ensure I capture the salient points from the discussions. It's been a pleasure. Thanks for your time and we'll be in touch.

P13: Thanks.

Researcher: And anytime you want to call you have my cell number. When you want to talk about APPA, it will be my pleaser.

P13: I appreciate that. Have a good day.

Researcher: Bye.

[End of recording.]

Campus 7, Participant 1

This participant is identified as P14

Researcher: So, thank you for verbal consent to do this interview. I have some preliminary questions that are sort of background kind of stuff. Then I ask you to talk about your experience of the Award for Excellence. A couple initial questions then I'll get in more specific if I need to. How many years have you been there?

P14: Eighteen.

Researcher: That's pretty good. What is your role specifically, [name]?

P14: Um, repeat the question?

Researcher: Your role as director of planning and design construction?

P14: Yes.

Researcher: What was your specific role in the award for excellence on your campus?

P14: I was director of operation and maintenance at that time.

Researcher: OK. Uh, what was your specific role as to the award for excellence?

P14: Well, um, our directors teams, each of the directors that reported to my boss, the associate vice president, we each met weekly working on the application process and one each bring forward the information in our area of responsibility.

Researcher: OK.

That's great. Here is the part really general. Take it any direction and I'll ask clarifying questions at the appropriate time. Would you describe your experience with your campus pursuing this award for excellence?

P14: I thought it was a very comprehensive and rewarding experience. When we got into this, and found out how much work it was to go through the application process, we actually delayed it one year. But we did a very thorough Review of the application process and gave assignments and actually started working on it, you know, more than one year in advance of it. It helps you identify your shortfalls as well as you go through that process. So it certainly is a way to improve your organization not just submit for an award.

Researcher: That makes sense. So you said .. comprehensive experience. Could you say more about that?

P14: I guess I was impressed that, you know, it was comprehensive in that it hit all areas

of the organization. I thought that was the best part about it. Was they really did go through every part of the facility organization and university.

Researcher: University as well.

P14: Yeah.

Researcher: What part of the university was reviewed by this program?

P14: Well, it certainly looked at facilities organization. When we had our review by our... I can't think what they were called. The auditors?

Researcher: The peer review team.

P14: The review team, they came and spent you know, first quite a while with our application document and you know, they inspected campus and visited the campus administrators and I thought that process was quite comprehensive as well.

Researcher: OK. So spent time with the administrators and campus.

P14: I think they met with two deans.

Researcher: As well as internal department.

P14: Yes.

Researcher: OK. That's great. You also mentioned rewarding experience. Can you say something about that?

P14: Certainly something to be proud of. The application process and submitting that and getting the awards. It was more than a year old process to put the stuff together and certainly it makes you feel pretty proud about the organization and the work you do.

Researcher: Alright. So in terms of the year long process, can you say more about what that involved?

P14: Well, we met as a team and each of the directors and we had one administrative assistant that was you know, helping us and our HR person so we had about ... must have been six, six of us. Something like that. We committed to meeting as a group for an hour and a half a week. You know, the assignments we would do individually where we'd go up and gather the information and the documents. You know, whether reports to demonstrate your pins in place and getting completed on time, or whatever. So it was a fair amount of work as I remember. That's been about five or six years or something now.

Researcher: Right. What kind of things did the work involve in terms of gathering

information of some sort?

P14: Well; when you go through the outline for the application process, you are supposed to submit backup documentation for the procedures and policies or reports or charts or something demonstrating you meet that criteria. So our document ended up about a foot thick as I remember.

Researcher: Wow. That's pretty amazing. So basically you had to document what you say you're doing. How was that information collected?

P14: Well, a lot of ways. Depending on the information. At the time, I was director of operation and maintenance. A lot of it had to do with demonstrating that you had some kind of you know, employee training system and um .. you know. That you had safety policy and procedures in place. And you had preventative maintenance. And charts so showing the amount of equipment we had and those were getting completed and ... [. . . abrupt end]

Researcher: OK. Yeah. That's great. Can you say more about the leadership, team members, the role in approach?

P14: Yeah. I am going to start with my boss at the time, that was [name]. He was the associate vice president for facilities. He certainly took a strong role in this, he led the meetings, he pushed us along to make sure we was making good progress. He'd been here fifteen years up until that. And you know, he was also in retirement. So this was a way to document so the progress had been made in our organization during his time. He was pretty driven toward this and you know, I think we were all motivated to get that together and so I would say; ... that is one .. that has to be one correlation to the study. Having someone that champions this effort to go after the award. To get that application to see it through. I have heard of you know, several groups that you know, they print out the outline for the application process and they talk about submitting for the award and they are even the kind of organization that meets that criteria. It is pretty daunting to get through the process and submit the application.

Researcher: Right. We find that to be true too. Yeah. So you said that [avp] was driven in terms of seeing the stuff documented. How was that manifested?

P14: Well; you know, for some of these, you know, certainly had a lot of fires to put out, and the issues and everything else. To be submitting for the volunteer award takes some pretty significant amount of time. It takes a pretty high level of commitment that you'll stay on track and meet regularly and get that knocked out. So you know, if we ... if we had a conflict rather than skipping that week, we may have reschedule the meeting to another time or day. We stayed on track with those meetings. Probably toward the end as well, particularly towards the end of it .. it's hard to remember that long ago.

Researcher: I have a hard time remembering yesterday. OK. So lots of time, high level commitment. And uh ... OK. So you had a set priority for that?

P14: Yeah. We were serious about it.

Researcher: You have mentioned mostly the leadership team. How were the teams involved at the staff level?

P14: We had director of operations and maintenance. Director of facility maintenance. Which would have been the facility over custodial events, landscape, ... we had the director at that time for planning. And a separate director for design and construction. So then we have a director for business services. And then that person over HR. So that was our team and everybody worked on their area, but there are some areas cross functional. We work on those together. We work with other people in the organization to pull it together. And we had a staff assistant there helping us today that did a tremendous amount of work on it.

Researcher: OK. Staff involvement basically it sounds like providing data as requested.

P14: Yes.

Researcher: OK. Now you had mentioned [avp] as a champion and driving force. And somebody that made sure that good progress was being made. Are there any other drivers for the award?

P14: Well, I think we had made a lot of improvements over the last ten or fifteen years. I think he was pretty proud of those accomplishments and he wanted us to showcase that. And I think we all were, he certainly installed that pride in the rest of us and I think as a group we were motivated. The staff assistant met with us and the work she did compiling the data and putting it in the form. Our lady over HR, you know, the employee training and the process to certify and promote you know ... our technicians. You know? And so there was a fair amount of HR piece to it that she helped with as well.

Researcher: Right.

P14: I can't imagine one person putting it together.

Researcher: Well; yeah. Having a dedicated person certainly must have helped.

P14: Yeah.

Researcher: In terms of this when the idea came that was introduced, I think you have touched on it. I wonder if you have spent a few seconds. How is this introduced to the leadership team, the campus community. Um .. maybe the facilities team?

P14: [avp] had brought it up first, and we probably talked about it for a couple years before we went after it. And I remember when we first got serious about it and pulled the application up, we met a few times on it. And ... we could see it was quite a bit of work. We wouldn't make it for the year coming up. So we committed to just .. putting our stuff

together. And basically took a year to put it together. It was certainly [apv's] idea to go after it. Probably after attending the APPA meeting and seeing people get the award and seeing other organizations that had won the award.

Researcher: What can you say about leadership styles about people involved in driving this?

P14: We were a diverse group. I think in general we all had a high level of commitment. But certainly, there were some quicker to get their information together and you know, pushed it quicker than others. There were areas and organizations that had already been more formally documented or easier to .. you know, document. It was easier for some on our team than others to put the information together.

Researcher: That makes. ..

P14: Obviously there were some areas weaker than others. And as we first started in this process, we could identify goals and continue working on those.

Researcher: So you had talked ... about the diverse group. Specifically speaking, what leadership styles were implemented and did that make a difference in terms of collecting data?

P14: We had some more laid back and .. um ... maybe the documentation coming back. Um ... some of them really were gung ho and knocked stuff out quickly and the rest of us had to get our part done. I felt like operation and maintenance had more information put in, but it was more readily available since so much of operation and maintenance is tied to your work order management system.

Researcher: OK. That's great. Thank you. So, you know, I think ... you are covering pretty much everything I needed to ask you specifically. Are there anything else you would like to add that may have come up since our conversation started?

P14: No. I don't think so. It was a fun process, it certainly was worthwhile for all universities to .. if they are not working towards submitting right now then it should be pulling up that outline and list of people that have received the award and certainly I would view that as a resource list for you know, schools to benchmark against.

Researcher: Uh huh, that's great. So, final question. What were the key take aways for you.

P14: [Pause] I guess the thing that sits in my mind, it was a very comprehensive process and had good criteria. Um .. it was very worthwhile. It was very rewarding to receive the award. We all went to the [city] meeting, our whole team, and it's something that I think we are all pretty proud of.

Researcher: How well did the staff receive it? What was the staff response/

P14: You know, you think they were proud of it too. You know, the video that you put together to show at the conference, really turned out well and we had an annual awards meeting with our people and we showed that video and made a big deal of it and the award. And .. I can't remember now. There was another way we recognized our staff that escapes me now. Something in our annual awards for our staff. I think they were pretty proud of it as well.

Researcher: That's great.

P14: It's too bad everybody can't go and see the award, but you know .. the video turned out well. Our president spoke in our video and said a lot of complementary things about our organization. So it turned out nice.

Researcher: Yeah. That's fantastic. OK. Well, hey ... I sure appreciate spending a half hour with you on the phone.

P14: Thank you. I enjoyed it. What is your role?

Researcher: The associate vice presidents for facilities and safety.

P14: How long have you been there?

Researcher: 3.5 years, going on four. And you know, we've been talking about the FMEP and the AFE award for some time, and I think we are finally ready to engage that journey.

P14: That's great.

Researcher: It's taken us a couple years to get the team out of the old mindset and ...

P14: Yeah. That's good. I went to Idaho state for two years. My wife graduated from there. I have had five generations of my family go to Idaho state.

Researcher: What did you do here?

P14: I worked in engineering then transferred down here to finish at USU. I worked at INEL at the site while I was going to school.

Researcher: let's talk off line and end the recording. I will summarize the key points presented by the participants and get that out for feedback soon.

P14: okay

[End]

Campus 7, Participant 2
This participant is identified P15

Researcher: So, thank you for verbal consent to do this interview. I have some preliminary questions that are sort of background kind of stuff. Then I ask you to talk about your experience of the Award for Excellence. A couple initial questions then I'll get in more specific if I need to. What was your firsthand knowledge of the award in facilities management?

P15: We had a director at the time who had been a president in APPA and very involved in APPA. I knew nothing about the award. As a result of him we decided to write the processes to document what we were doing at the time. I wrote about being the director and wrote the planning one. When the draft of the operation one was done I edited that for grammatical details. We had a business director who kind of oversaw the project because her intern was helping.

Researcher: That answers the second question. Your role was writing portions of the MEP and editing of other parts?

P15: Yes.

Researcher: And how long have you been with the university?

P15: I'm in my 20th year.

Researcher: Next part is intentionally vague. We want you to direct the conversation. Please describe your experience with the process.

P15: I think the information from APPA that was given us was an outline of how to finish it. The inspectors who came out from national APPA were cordial and spent a few days with us. It was painless and outline was clearly laid out. They had our application before coming and were fairly well informed.

Researcher: Okay. That is great. You mentioned that the process was painless and clearly laid out. What was it like trying to complete the paperwork in terms of the backups? What was that process like?

P15: The operation side had their assignments and the planning and construction had theirs. So each director felt accountable to do the materials for going into the application.

Researcher: It sounds like maybe the process was mostly the directors.

P15: The intern had a good understanding of the organization. What he wrote was repetitive so I edited that out.

Researcher: So this sounds like a documenting of the process that was already

implemented. Is that correct?

P15: Yes.

Researcher: So you had the processes and the directors were gathering and drafting what you currently do as a practice?

P15: Right.

Researcher: In this process and maybe in your own area was there any interacting with the staff and what was that like?

P15: I didn't do a lot of interacting. I had come up through the ranks and knew the processes where. I knew that out of expediency we tended to document what we were doing instead of telling the staff. The directors knew what was going on.

Researcher: As you drafted this document is there any point the staff reviewed it and you used that to prove the process or identify gaps?

P15: Yes we had peer reviews by staff. Not all the way down to the recent hire, but I think it was 4 or so before we submitted. They gave input that was valuable.

Researcher: Did that change the document?

P15: In detail perhaps, but not in context.

Researcher: Okay. Do you know what happened in other areas? Were similar processes involved?

P15: Yes.

Researcher: Okay I'm going to recap a little bit and be sure that I can understand it. There was a desire by the director to engage in the program. Do you know what motivated him besides being a part of APPA?

P15: He had seen that we were as good as any other institution. He felt that we were somewhat leading the pack.

Researcher: This was his way of documenting that?

P15: He was near the end of his career. He retired before we actually received the award, but it was his enthusiasm that got us there. He started a year or so. We took longer to document everything. He would allocate the resources. We didn't want an application that was "half-baked." That was when we hired an intern to gather the information. The directors each reviewed the application. There was a lot of cross dialogue between the directors. The director of operations, and others.

Researcher: Okay. That is great. I like how this story is unfolding. Each campus does it different. A lot of involvement of the key leaders in your department. And a lot of documenting the processes already in place as opposed to maybe developing new process?

P15: That was the thrust. It was more to get the process documented.

Researcher: Okay. What about involvement at other levels. You mentioned directors, but was there involvement outside of the department?

P15: We did have other directors. I believe that our VP financed us. He had an opportunity to review it before it was submitted.

Researcher: So he played a minor role?

P15: He was aware of what we were doing so we didn't embarrass the institution.

Researcher: Just being sure that you weren't doing anything that would hurt the university?

P15: Yes.

Researcher: You don't want to surprise the VP by putting in for an award. That is good. You mentioned the inspectors coming on campus. What was that experience like?

P15: We were a little nervous. They had been to other institutions so they got right into details very quickly. I was impressed with how much they knew what we were doing.

Researcher: Did they interact with staff members and interview them?

P15: Throughout the organization.

Researcher: Yeah. Any feedback that you're aware of from other levels?

P15: I believe that they spoke with everyone who had written.

Researcher: So you're saying that there was good alignment with what you wrote and what they saw happening?

P15: Yes.

Researcher: That is good to have alignment. Since your project was very streamlined. It seemed that taking that approach made sense for your campus.

P15: Yes. We weren't going to reinvent the wheel. We wanted to validate things we were doing and possibly seek other opportunities.

Researcher: Your concise answers are moving this along. Unless there is something you want to answer to this free-for-all I have some specific questions. I heard that the publicly declared reason for the award was to document that what you had going was pretty good, or how would you like to state that?

P15: That was worthwhile, but also to have the opportunity of understanding what our institution does.

Researcher: So you broke up on that. The last part about exposing yourself to benefit?

P15: Benefit from the people that view us. The message from the inspectors and the APPA organization.

Researcher: So to get an outside view that what you did made sense.

P15: Yes.

Researcher: Okay. Did you receive the award after your first application?

P15: Yes.

Researcher: Fantastic! It sounds like your campus really had it together!

P15: I felt like we hit a Homerun. We were surprised that we received the award the first time around.

Researcher: I think your AVP's awareness of the RMA program saw lots of samples. Let me ask you some questions about change management though there doesn't seem to be a lot of change there. This is more of a recap. The way you implemented this process wasn't a change, you approached it as a documenting process and then a quick peer review and then the blessing by the VP of finance and then submitted?

P15: That is about it.

Researcher: Pretty quickly, let me ask you about leadership roles and styles. Going back to the former AVP what was his leadership style and how did he get this thing going?

P15: He was the president and he had a very strong understanding of how things run from the Air Force.

Researcher: I got to the part of hearing the Air Force and I don't know what happened. Can you pick up from the Air Force experience?

P15: He was from the Air Force and saw value of getting recognition for the efforts. He was supportive of pursuing this. He was a little less than saying commitment until we

had finalized the process. He took some time to get into it. It wasn't about self-serving award. He did not insist on getting it in and awarded the first time. It started on just going and an approach to say if we don't get it then wait another year. He didn't want the application process to get in the way of serving the campus.

Researcher: So it appears that it seemed like a reasonable goal to accomplish but no hurry to achieve it. It shouldn't get in the way of what it was about. Because your responses are so precise that is pretty much about it unless you want to add something about your experience in the journey?

P15: I think that everyone is pleased with the national recognition. We didn't realize how significant it was.

Researcher: Interesting point! We're finding that a lot of campuses at the executive level don't see the benefit of doing this, but when they get the award it's in all the literature. If you get the award and it can be made public, then it's great for recruitment and retention. Everyone is pleased to promote that being known. But nobody wants to know if you tried and didn't get it.

P15: We didn't boast that we got it the first time around. Maybe we should.

Researcher: Absolutely you should! It's a great marketing tool. When I learned about it my prospective of departments changed. I know that there is a solid system in place. Maybe because of your history you don't have to have a mechanism for continuous improvement. It might be built into the structure of Utah. I hear that what is happening over there is solid.

P15: I think that each institution within the state is different. They have their own strengths and weaknesses. We're looking for ways to improve things for employees. Maybe the wage market isn't that good. One thing our institution does is benefits. We have possibly the highest of any institution. Our retirements start at 15%. So it is good for employees that start out.

Researcher: 20 years is solid service.

P15: Depends on where you look at it.

Researcher: I like the area a bit. You'd not know there was a university there.

P15: I like it a lot. Great maintain view.

Researcher: You said you're forever looking for ways to improve. What are you doing for that continuous improvement idea?

P15: Our director switched things a little while ago. It was asked "why do we do it that way?" That is important because it gives opportunities for the organization to consider

things. We have each had perspectives to go through. One thing that we did recently was do a flow analysis. We looked at our strengths and weaknesses. That was done throughout the organization. Trying to see a summary of everything. Action plans to address core issues. That kind of thing. We assign committees to see how we can improve in each of the areas that we felt like we could improve in.

Researcher: It is always a great idea to run analysis.

P15: Yes.

Researcher: I love it! I'm seeing that from everyone! As part of your process do you do customer and employee surveys?

P15: Yes we have some so that they are self-serving. The old survey was okay, but it was a menial job. We don't do this on every job. It's done randomly.

Researcher: You're spot checking still.

P15: Yes. But in addition we visit a representative in each building. Usually a dean. Someone called in a concern about roof leaks or something. We visit with them to see if there are any issues they have forgotten to let us know. Or if they have concerns that they might have? That is what we do to give our staff the opportunity to see a phase of things that might need to be done. That gives the occupants a face and a name on a personal level.

Researcher: That is fantastic.

P15: So the groups we work with for our customer service. We just started this process and look for ways to improve customer service. We're very interested in improving that customer service. It doesn't matter who it is, but we want our people to know who they are serving on campus. We might do some benchmarking while others have surveys. The surveys go out and people respond for a while and then the quality of information rises or falls. We learn a lot of different things. We try and maintain the good customer service is that we can't go out to all the facilities. We had our new director of services start and he has mug shots of the employee of the year. He recognized two custodians in his buildings. He was excited to see former employees of the year that were custodians. We try to have our custodians be our image. We stopped doing a night shift because it was having health problems for the employees. The building occupants never saw them and didn't think the building was being clean. We don't run the vacuum cleaners when people are in class but we come in at 6am and are seen by the users and that has been very efficient. They have someone they can talk to immediately. They will go and do a work order for a dripping tap right away. That aspect of customer service is important!

Researcher: That is a debate that is ongoing. Graveyard, night, utility saving, and face-to face. You made the jump.

P15: For the most part it has been successful. We have people that stay focused on their work. They might stop for a minute, but then they realize they are there to clean, not to PR.

Researcher: That is great. As we wrap up, is there anything else you think I should include?

P15: I don't think so. That about covers it.

Researcher: Okay. I plan to summarize the key points presented by the participants. I hope to get that out for feedback soon.

P15: Sound good.

[End of recording.]