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The University of Montana

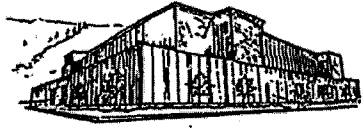
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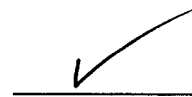
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A Narrative Inquiry of Non-profit Organization Turnaround: Leadership through Operant Focus

by

Rory A. Weishaar

B.A., University of Montana, 1983

M.A., University of Montana, 1989

Presented in partial fulfillment of the requirements

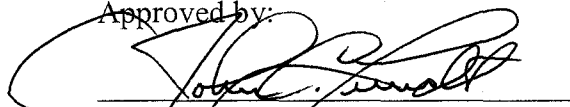
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Doctor of Education

The University of Montana

2005

Approved by:



Chairman



Dean, Graduate School

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A Narrative Inquiry of Non-Profit Organizational Turnaround: Leadership
through Operant Focus

Dissertation Chairman: John C. Lundt, Ed.D.



This qualitative research articulated a narrative inquiry investigation about how three leaders turned around their non-profit organizations. Three leaders were purposefully selected. The subjects represented a leader (head coach) from a college football program, a leader (chairman of the board of directors) from a non-profit art museum, and a leader (governor) from a state government. Data were collected during one-on-one semi-structured oral history interviews and analyzed through the narrative inquiry process suggested by Clandinin and Connelly (2000). The inquiry process included four phases: (a) field texts as data gathering (interviews), (b) field texts as data gathering (field notes), (c) field texts into narrative texts, and (d) submission of research narrative for leader verification. Field texts as data gathering included semi-structured interviews with each leader and the use of the researcher's field notes. Field texts included interim texts and field notes that were written into narrative texts as a process of analyzing data Clandinin and Connelly (2000) call "back and forth."

The data were then coded into themes for similarities and to find outliers. The final narrative text created the platform for this study's findings. There was one important finding for the initiation response of the leaders. They changed the attitudes of followers inside and outside their organizations through the use of an operant focus. There were four important findings of leadership actions, all relating to the operant focus, taken after the initiation response stage. These include the following: (a) leaders continued to change attitudes of followers inside and outside the organizations, (b) leaders employed the right people in the right jobs for the right situations, (c) leaders took "little steps" on their way to success, and (d) the leaders continued to use the operant focus to sustain the turnaround.

ACKNOWLEDGMENTS

The research journey and writing odyssey on which I embarked soon after passing my “comps” resulted in an actual mind (my own) visiting and living in a possible world of organizational turnaround. That living, and the stance I took during the expedition, seemed flamboyant at the time. Now I am humbled. The trip has ended and suitcases stored. Reflecting on the excursion by focusing on the photographs of memory, I submit in a self-effacing manner my deepest appreciation to the following people.

I begin by thanking my wife, Kathy, who supported this cavalier writer in more ways than he deserves! I also thank my daughters, Anna and Emily, for loving dad when he really needed the hugs and kisses!

Dr. John Lundt, my dissertation Chairman, is to be honored for his courage to say “Yes” when I asked him to mentor me through the journey. His gregarious personality encouraged me, his sharp mind challenged me, and his presence gave to me the confidence I needed to “try something different.” Dr. Lundt said, “I know you can do this because you are a good writer.” When stated so matter-of-factly and with such conviction, how could I not believe in myself? Thank you, Dr. Lundt. I appreciate all you have done for me!

I thank my dissertation committee for taking the chance to believe in me. When confronted with this thing called narrative inquiry -- and I could see skepticism in some eyes -- they evoked in me the grace to grow and to learn when they said “go ahead.” Along the way they were with me vicariously, nudging me to do the right thing and make this important. The image I have of each professor on the committee symbolizes the gratitude I feel. Dr. Bobbie Evans had those penetrating eyes and encouraging smile as if to say, “I know you can do this Rory! I’m here for you, but I also want you to find within yourself the educable moment of it all.” Dr. William McCaw kept looking at notes and contemplating. This reminds me of “the meeting” we had to set me in the proper direction. Dr. McCaw suggested Clandinin and Connelly and from that moment on I was heading in the right direction! Dr. David Strobel was located on my left (proposal) and my right (defense). In a most balanced way he brought to my attention the possibilities and the problematic. I thank him for working my brain! In speaking about opposites, I picture Dr. Darrell Stolle at the far end of the table asking me about the “yin and the yang.” His calm demeanor helped me relax and seriously contemplate the penetrating questions.

Finally, and with benevolence, I thank Don Read, David Moore, and Marc Racicot. Without them this dissertation would not exist. You are all great leaders and I cherish the time we had together to live the topic.

May 2, 2005
Main Reading Room, The Library of Congress

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PROLOGUE TO EPISODE ONE

Excerpt from the Richard Hugo poem, *Or Another Place*

One window rations light
that does not scatter. Here,
perhaps, a world took alien
dimensions, glaciers burned
and flowers, as in photos,
broke from the spectrum.

In *A Run of Jacks*, 1961

Informing Readers about the Writing Style in this Dissertation

What follows is a compendium of episodes written in a style unique for many of you, unless you have read dissertations written in a narrative inquiry design. Where there is writing in italics, this is me, the author, presenting himself to the readers in the first person voice. First person voice is allowed because narrative inquiry writers do not, as Ellis and Bochner (1996) say, “stand above and outside what they study” (p. 19). Instead, they “transform data into ethnographic text” wherein “language sits in for life” (p. 19). In other words, I am in the middle of the study and become part of the study through my voice.

In addition, as a narrative inquirer I always write with the audience in mind. I am thinking about the audience’s interpretation of what I write. I consider what they may be thinking and how they might feel about my interpretations of meaning. Further, I keep in mind that this audience is not just academicians and professionals, but anyone who may be interested in the material I am presenting. For example, people who “can benefit from thinking about their own lives in terms of other people’s experiences” (Ellis & Bochner, 1996, p. 19). Simply speaking, I will become involved in the turnaround

experiences through first person narrative text, and that allows you to become involved as well.

In speaking further about first person writing style, you will come to understand that my presence in the paper does several things. First, it opens my mind to the audience so they will understand my perspectives about the material being presented. Second, it allows the audience to agree or disagree with my interpretations and reflect on their own conclusions about the data. Third, my presence in the paper allows me to stylize composition. This establishes readability and flow throughout the work. Fourth, in establishing the narrative first person voice I am able to present the turnaround experiences in a form that may merit deeper understanding and meaning.

I will leave this prologue with passages written by Jerome Bruner (1986). In his book, Actual Minds, Possible Worlds, there is a chapter entitled "Acting in Constructed Worlds: The Language of Education." Bruner discusses his thoughts about how he reflects on his experiences reading Othello. He says reading it "has joined me to the possible worlds that provide the landscape for thinking about the human condition, the human condition as it exists in the culture in which I live" (p. 128). He goes on to relate the importance of possible worlds.

Within the language of education, possible worlds reveal how we feel about, or understand, the human condition, but the human condition is not a place of fact that data has garnered. For example, Bruner (1986) tells us the following:

One cannot avoid committing oneself, given the nature of natural language, to a stance as to whether something is, say, "fact" or the

*“consequence of conjecture.” The idea that any humanistic subject can be taught without revealing one’s stance toward matters of human pith and substance is, of course, nonsense. It is equally true that if one does not choose as a vehicle for teaching this form or “human distancing,” something that touches the bone in some way or other (however one characterizes the psychological process involved), one creates another nonsense. **For what is needed is a basis for discussing not simply the content of what is before one, but the possible stances one might take toward it [bold added].** (pp. 128-129)*

Bruner (1986) summarizes what he has said in the final paragraph of this section of the book by writing the following:

*I think it follows from what I have said that the language of education, if it is to be an invitation to reflection and culture creating, cannot be the so-called uncontaminated language of fact and “objectivity.” **It must express stance and must invite counter-stance and in the process leave place for reflection, for metacognition [bold added].** It is this that permits one to reach higher ground, this process of objectifying in language or image what one has thought and then turning around on it and reconsidering it. (p. 129)*

In agreeing wholeheartedly with Jerome Bruner (and others you will soon learn from within this study), I now ask you to take with me a narrative inquiry odyssey...

EPISODE ONE

Excerpt from the Richard Hugo Poem, *Duwamish Head*

When I see a stream, I like to say: exactly.
Where else could it run? Trace it back to ice.
Try to find a photo of your cradle.
Rivers jump their beds and don't look back
regretting they have lost such lovely rides.

In *Death of Kapowsin Tavern*, 1965

Introduction

Coming Around to the Topic

While participating in the Educational Leadership and Counseling doctoral courses at the University of Montana, I, like many other doctoral students, composed in my mind possible dissertation topics. Each class brought new hope for a better topic, but with each course so many topics emerged it seemed impossible to focus on just one. I kept at it, though, hoping something would jump out at me and ignite a visionary fire. Finally, while thinking through a quagmire of subjects, I came to believe that there are three types of leadership.

The three types of leadership I envisioned include management, passive leadership, and active leadership. I wrote my thoughts about these three areas of leadership in my Advanced Leadership Theory notebook. Every time I looked at my notes the idea for which I had drawn a schematic would light up the page for me. So with enthusiasm and emphatic vigor, I looked more deeply at my notes. There on the page with notes about French and Raven, I had sketched the following schematic (Table 1) as a way to visualize my idea:

Table 1

Hierarchy of Leadership for Organizational Events – Rory Weishaar (2003)

Type of Leadership	Leadership Event/Action and Outcome
Active Leadership.....	Turnaround Events / Critical/non-routine + -
Passive/Active Leadership.....	Change Events / Non-Critical/non-routine +
Passive Leadership.....	Transaction Events / Non-Critical/non-routine + - =
Management.....	Task Events / Non-Critical/routine =

In describing my schematic, the + and – mean that the leadership outcome could be positive or negative for the organization. The = sign means that everything remains status quo or routine; the event/action did nothing to effect the organization's culture or operation. Further, in borrowing an idea about "routine" and "critical" decision-making (Selznick, 1957) that I had read about in Leadership for the Twenty-First Century, by Joseph C. Rost (1991), I determined that there are non-critical/routine tasks that managers take; there are non-critical/non-routine actions that passive leaders take, called transactions, that can be positive, negative, or routine; there are non-critical/non-routine change events (for change agents/leaders) that can be positive or negative, but not routine; and, finally, there are critical/non-routine leadership actions that are needed for turnaround events.

The schematic I developed during Advanced Leadership Theory class illustrates my vision of the hierarchy of leadership for organizational events. The description of the schematic written above shows why I believe true leadership has to involve action of the kind that matters most for an organization. If the organization is failing, the leader must take decisive action in order to create a turnaround. The actions taken by the leader can only be positive or negative

because they either turn the organization around or the turnaround fails and so the organization!

*In looking at the top two active leadership modes from Table 1, I knew that my idea of a leader taking action because he or she **had to** was different than a leader working toward change because he or she **should**. I pondered this, and then at some point during my leadership course I found a book about organizational turnarounds. The book is called the Harvard Business Review on Turnarounds (2001).*

When I began reading the book, there on page one was the following statement: “70% of all change initiatives fail.” I was amazed at the percentage of failures. This amazement focused me on the topic of turnarounds and how, at least according to the Harvard Business Review on Turnarounds, only 30% of the leaders taking action to turnaround an organization actually succeed.

My focal point became those 30% successful leaders, and my initial question became, “What actions did the 30% successful leaders take in order to turnaround their organizations?” I truly felt I was on to something, especially when I wrote an e-mail to Professor David Ketchen at Florida State University. He had edited a 1998 book entitled, Turnaround Research: Past Accomplishments and Future Challenges. The book was out-of-print, but Dr. Ketchen sent me his personal copy from which I could take notes, as long as I take him fly fishing should he ever get to Montana!

When I read Ketchen's (1998) book, another affirmation of my topic came to fruition when I read, "How to accomplish performance turnaround after a decline is not well understood" (p. xi). Ketchen further went on to note that from 1980-1994 there were only three articles written about turnarounds in the Strategic Management Journal, and only 146 total articles published in any business journal from 1976 – 1998 (p. xi). In searching the Strategic Management Journal database, I came up with only five articles, with the keyword "turnaround," being published from 1998 to 2004. This intrigued me because an organizational turnaround is an important event. This was the decisive moment for me. I decided to look at organizational turnarounds from the leadership perspective. What did successful leaders do to create turnaround?

After my decisive moment, I found Bibeault's (1982) book, Corporate Turnaround: How Managers Turn Losers into Winners, and I realized that his book and Ketchen's book are filled with information pertaining to the corporate/business world. Further, with the exception of one story in the Harvard Business Review on Turnarounds, all the turnaround research I had garnered at that point came from studies within the profit-making corporate world.

Reading about corporate and business turnarounds was interesting, but I began wondering about leaders from outside the business world. What actions did they take as leaders to turn their organizations around? Specifically, I began to spotlight non-profit-making organizations and their turnaround leaders. When it came time for my mock dissertation proposal in the School of Education at the University of Montana, I had to come up with three leaders to study. I wanted

three leaders from divergent non-profit organizations because I wanted to see if their critical non-routine actions might share common coded themes even though their organizational structures might be different.

The non-profit organizational arenas from which I wanted to choose leaders included a college sport, an art museum, and a state government. I felt like these organizations were divergent from one another and, quite honestly, I had subjects in mind for each one of these areas, but I was also willing to see what leaders the professors might suggest.

My mock proposal team of three professors (Dr. Lundt, Dr. Stolle, and Dr. Strobel) decided the topic was promising. Dr. Strobel even suggested that a local turnaround leader would be well worth looking at for the college sport organization. He suggested former University of Montana football coach, Don Read. This was an outstanding suggestion because I had witnessed Coach Read turn the program around during the late 1980s.

The other two turnaround leaders I had in mind, for which the mock proposal team agreed were study-worthy, included David Moore and Marc Racicot. David Moore is an acquaintance of mine. He lives in Park City, Utah, and is currently the Chairman of the Board of the non-profit Kimball Art Center. The third leader, Marc Racicot, is a personal acquaintance of mine. He was the governor of the State of Montana. I know him primarily because I played football for and coached with his brother, Tim, at Frenchtown High School. I knew I could contact Mr. Racicot and gain his approval for the interview.

My topic and three study-worthy participants were chosen. My mock proposal team of professors told me to get to work for the real proposal defense. The defense was successful. To conclude Episode One, I will begin with my justification for the study of turnaround leadership. From there I take you through the purpose of the narrative inquiry study, and “formally” introduce the three leaders chosen for my study.

Justification for the Study

Edgar Schein (1996), in his section of the book, *The Leader of the Future: New Visions, Strategies, and Practices for the Next Era*, defines leaders as “change agents” if they recognize that the organization is dysfunctional and change needs to take place (p. 64). Change needs to occur because “as the rate of change in the technological, economic, political, and sociocultural environments increases, the very strengths that were institutionalized can become liabilities” (p. 63). This may limit an organization’s growth. Change agents are needed to create the type of change that allows organizations to keep up with our fast-paced society.

It is important to note that change agents in organizational cultures “cannot arbitrarily change culture in the sense of eliminating dysfunctional elements, but they can evolve culture by building on its strengths while letting its weaknesses atrophy over time” (Schein, 1996, p. 64). Change agents change culture. Schein actually says culture is “enlarged through changes in various key concepts in the mental models of people who are the main carriers of culture” (p. 65) and through these changes the organization changes as well.

Change, however, in an organization that is deeply in trouble will require more than just change for survival. It will require what Schein (1996) calls a “turn-around manager” (p. 67), about which he says the following:

It is more correct to think of this point [the turn-around point] in the organization’s history as a time when the organization-building cycle starts afresh. Turn-around managers can then be thought of as needing many of the same qualities as entrepreneurs, particularly the ability to animate a new organization.... A mature dysfunctional organization may disappear altogether and be replaced by young organizations that start from scratch. (pp. 66-67)

It is on these “entrepreneurs” that this current study focuses; leaders who take actions that ultimately turned around their organizations. Essentially they made their dysfunctional organizations disappear. The reappearance was functional organizations with inspirited success and purpose.

Purpose of the Narrative Inquiry Study

The purpose of this study is to analyze the actions three leaders took to turn around their respective non-profit organizations. Each leader was chosen based on the fact that he had turnaround experience in his recent leadership background, and because the experience took place in a non-profit organizational setting. Through the narrative inquiry process, the readers (and writer) come to fully understand the leadership experiences of these men when they orchestrated turnarounds.

Furthermore, future leaders may garner personal insight from reading about these men and reflecting on their lived experiences as turnaround leaders. During that reading and reflection, the writer shows his readers an example of a “naturalistic inquiry” (Lincoln & Guba, 1985) model which Bruner (1986) simply calls “Narrative;” what Polinghorne (1988) refers to as “Narrative Research;” what Riessman (1993) calls “Narrative Analysis;” what Ellis and Bochner (1996) identify as “ethnography;” what Barone and Eisner (1997) label “Arts-based Educational Research;” or what Clandinin and Connelly (2000) name “Narrative Inquiry.” In using the latter term primarily, but analogous to all the terms, the researcher shows readers the phenomena of writing a narrative inquiry.

The Leaders and the Organizations They Turned Around

The three leaders whose organizational turnaround experiences are written within this dissertation are Mr. Don Read, former University of Montana Head Football Coach from 1986-1996. Mr. David Moore, current Chairman of the Board of Directors for the Kimball Art Center in Park City, Utah, and Mr. Marc Racicot, former two-term Governor for the State of Montana from 1993-2001. Their leadership efforts helped them turn around their respective organizations.

Coach Don Read turned a dismal Grizzly football program into one of the finest football organizations in the country. Mr. David Moore’s leadership assisted -- and is still assisting -- with bringing the Kimball Art Center out of monetary collapse and social obscurity. When David became the board chairman the art center was running approximately \$150,000 in debt. By March of 2005 the Kimball Art Center had banked \$120,000! Mr. Marc Racicot entered his

governorship with the State of Montana in financial deficit. After only two years in office, the state boasted a budget surplus. Mr. Racicot left office after two terms (state law allows for only two consecutive terms by a Montana governor) with an 87% approval rating, the highest approval rating of any governor in the country at that time (Green, 2001, p. 1).

Writer's Interlude: Transitioning into Methodology

Now that I have established a justification and purpose for this study, I must transition you into the methodologies section of my paper. This episode is important because it establishes the foundation for the methodology you see. I will present to you the research that strengthens my position for choosing a narrative inquiry model for my dissertation. As you read the episode you will see the metacognitive process (I write my thoughts about the subject matter) that Jerome Bruner (1986) speaks about in Actual Minds, Possible Worlds (p. 129).

I know that by inserting my own stance throughout this dissertation I am inviting counter-stance (Bruner, 1986, p. 129). No matter what methodology one chooses, be it quantitative or qualitative, a counter-stance may be present in the minds of the readers. When it comes to counter-stance, the difference between the conventional quantitative or qualitative writer compared to a narrative inquiry writer is that I, as the narrative inquiry writer, openly acknowledge and envelop the reader's counter-stance subjectivity because he or she is my audience.

I will not hide the fact that there may be counter-stance to much of what I write. In the tradition of narrative inquiry style, it is this openness that demonstrates who we are and where we wish to go with our methodology. It

would be naive to think that every reader will come to know, understand, and completely agree with my presentation and interpretation of the lived experiences of three turnaround leaders.

Transition to Episode Two

With the above thoughts being noted, I now present Episode Two. I begin by narrating my journey to find a research methodology. I then justify my choice of a narrative inquiry model through the research literature. I highlight the process of the methodology as determined primarily by Clandinin and Connelly (2000), but there are other author's on which I rely heavily.

EPISODE TWO

Excerpt from the Richard Hugo poem *Letter to Oberg from Pony*

...This is only to assure you, Art,
that in a nation that is no longer one but only an
amorphous collection of failed dreams, where we have been told
too often by contractors, corporations, and prudes that
our lives don't matter, there is still a place where the soul
doesn't recognize laws like gravity, where boys catch trout
and that's important, where girls come laughing down the dirt road
to the forlorn store for candy. I love Pony like I love
maybe fifty poems, the ones I return to again
and again knowing my attention can't destroy what's there.

From *What Thou Lovest Well Remains American*, 1975

Methodology

Coming Around to a Narrative Research Methodology

I began this journey toward my dissertation with a bifurcated mind. One part of me was looking forward to the study and the use of a traditional qualitative design, but the other part of me was sorrowful because I did not want to lose the richness of experiences told by my subjects. I have an educational background steeped in creative writing, language arts and literature. It seemed to me that the process of doing a quantitative study about turnaround leaders was certainly out of my comfort zone and, hence, out of the question. Instead, I read and reread Creswell's (1998) Qualitative Inquiry and Research Design: Choosing among the Five Traditions, and narrowed my focus to either a case study or phenomenology. I was prepared to follow the general practice for one of these popular qualitative designs.

What I realize is missing from one of the popular qualitative designs is the possibility of each lived story blossoming forth so readers can enjoy and learn from all three of the individuals in this study. Instead of just coding the most prevalent themes and then qualifying those themes, I feel that readers need to understand the three turnaround leaders as individuals, and to become involved in their stories of turnaround success. In addition, rather than the researcher being a writer in the background, without voice (except through third-person prose), I feel that my voice needs to be “heard” throughout the work. I am not only the researcher; I am a learner as well. There is no better way for me to learn than to become part of the study through reflective field writing and by actuating my thoughts throughout the process.

Where these thoughts and professorial guidance led me is to the narrative inquiry design for this study. Long before I began my research, I remember reading articles about something called “narratology” (Bal, 1985) and its use in the research world. More recently I read articles (e.g., Agostino, 2004; Estoe, Haire & Rees, 2004; Labov, 1997; Schostak, 2005) about narrative inquiry research being utilized by corporations. They employ the research design as a way to present success stories of people within organizations. The successful experiences are then applied as exemplifiers for training personnel.

As an interesting side note, when one uses a web browser to look up “narrative research and inquiry,” he or she is directed to consulting agencies like Global Research, the Research Center for Leadership in Action, and the Institute of Reflective Practice. Each of these consulting groups is using narrative inquiry

as a method for leadership research; either studying within organizations themselves or using their own data banks of previous stories as learning tools. Essentially the consulting groups make use of lived experiences to show businesses how to emulate best practices.

Transition to the Defense of Narrative Inquiry

The methods discussion above is required reading for this introduction because it places me, the researcher, in a position to establish my reasons for using narrative inquiry to study the chosen topic. What follows is the defense of utilizing narrative inquiry as the research methodology for this dissertation.

In Defense of the “Epiphanies of the Ordinary”

Narrative inquiry methods have been defended by many researchers (e.g., Barone & Eisner, 1997; Bruner, 1986; Clandinin & Connelly, 2000; Ellis & Bochner, 1996; Labov, 1997; Lincoln & Guba, 1985; Polkinghorne, 1988; Riessman, 1993), but the narrative research suggestions used in this dissertation are primarily defended by the writings of Clandinin and Connelly (2000) in their book *Narrative Inquiry: Experience and Story in Qualitative Research*.

Other important authors were relied on to defend the methodology as well. Those authors include Jerome Bruner (1986) and his book *Actual Minds, Possible Worlds*; Donald Polkinghorne (1988) and his book *Narrative Knowing and the Human Sciences*; Catherine Kohler Riessman (1993) and her book *Narrative Analysis*; Ellis and Bochner (1996) and their book *Composing Ethnography*; Barone and Eisner (1997) and their chapter about Arts-Based Educational Research in the book *Complementary Methods for Research in Education*, and

Norman Denzin and Yvonna Lincoln (1998) and their book *Collecting and Interpreting Qualitative Materials*.

The order of the defense begins with locating narrative inquiry, and then threads the theme of viability throughout the methodology section. Interspersed are author interludes that do two important tasks in the paper. First, the interludes bring forth

personal insight about the narrative inquiry method and at the same time opens the writer's mind to the audience. Second, this internal monologue shows the readers what the actual narrative inquiry writing process looks like in the dissertation. The author is aware that the methodology proposed is at the boundary of qualitative research when compared with traditional methodological approaches and formats.

Bruner (1986) might pull readers closer to the boundary with the following excerpt from *Actual Minds, Possible Worlds*. In the chapter called "Two Modes of Thought," Bruner describes the modes as "logico-scientific," but refers to it as the "paradigmatic" mode, and the "narrative" mode with its "imaginative application" (pp. 12 -13). After describing the paradigmatic mode as leading to "good theory, tight analysis, logical proof, sound argument, and empirical discovery guided by reasoned hypothesis" (p. 13), he says of the narrative mode the following:

The imaginative application of the narrative mode leads instead to good stories, gripping drama, believable (though not necessarily true) historical accounts. It deals in human or human-like intention and action and the

vicissitudes and consequences that mark their course. It strives to put its timeless miracles into the particulars of experience, and to locate the experience in time and place. Joyce thought of the particulars of the story as epiphanies of the ordinary. (p. 13)

In further describing how the narrative mode is different from the paradigmatic mode, Bruner (1986) goes on to say the following about the paradigmatic mode:

There is a heartlessness to logic: one goes where one's premises and conclusions and observations take one, give or take some of the blindnesses that even logicians are prone to.... their salvation is to wash the stories away when causes can be substituted for them (p.13).

As harsh as the quotation sounds toward the logician's methods, it tells us that at the heart of the methods for narrative inquirers are the fact that they do not want to wash away the lived stories. They want to use those stories as lessons (data) for future learning, something that has been going on with mankind since language was used in the oral tradition to teach humans about life and survival.

Locating the Narrative Inquiry Process as a Viable Research Methodology

In locating the narrative inquiry process among methodological traditions, Bruner (1986), Denzin and Lincoln (1998), Clandinin and Connelly (2000), Polkinghorne (1988), and Riessman (1993) characterize this well-established form as a phenomena and a method. Denzin and Lincoln say, "that people by nature lead storied lives and tell stories of those lives [and] narrative researchers describe such lives, collect and tell stories of them, and write narratives of

experience” (p. 155). Clandinin and Connelly tell their readers that the use of narrative inquiry is the best way to study experiences. They say the following:

For us, narrative is the best way of representing and understanding experience. Experience is what we study, and we study it narratively because narrative thinking is a key form of experience and a key way of writing and thinking about it. In effect, narrative thinking is part of the phenomena of narrative. It might be said that narrative method is a part or aspect of narrative phenomena. Thus, we say, narrative is both the phenomena and the method of the social sciences. (p. 18)

Because narrative inquiry is at the same time phenomena and method, it does not fit neatly into the traditional qualitative methodologies like Creswell’s (2001) five traditions; however, Riessman (1993) locates narrative in the social sciences as an interpretive method. She says, “Story telling, to put the argument simply, is what we do with our research materials and what informants do with us” (p. 1). Clandinin and Connelly (2000) and Denzin and Lincoln (1998) credit the importance of narrative inquiry to John Dewey (Clandinin & Connelly, pp. 2-3; Denzin & Lincoln, pp. 156-159). Dewey’s writings about experience and continuity -- *experience* being social and personal, while *continuity* held the meaning that these experiences happen over and over again -- become the implied basis for the importance of narrative inquiry. For example, Clandinin and Connelly say, “People are individuals and need to be understood as such, but they cannot be understood as only individuals. They are always in relation, always in social context” (p. 2).

Narrative experience is important for understanding social contexts. It enlightens us from both an individual and social lens. For example, it gives us the bigger picture of a microcosmic event and thus makes the experience significant. We see the event and its results in detail, and can reflect upon them individually and in social context. That *experience* and the *continuity* of it becomes a “floodgate of ideas and possibilities” (Clandinin & Connelly, p. 3) for those who vicariously share the experienced.

In further describing continuity, whether it is Clandinin and Connelly (2000) or Denzin and Lincoln (1998), a term that is consistently used along with the word is *temporality*. Denzin and Lincoln remind us that, “Situations do not just happen; they are historical and temporally directional according to the intentionality of the organism undergoing experience. Thus to talk about experience is to talk temporally” (p. 157). Stated more simply by the authors, “Continuity refers to the temporal positioning of every situation” (p. 157) and the narrative inquirer positions himself somewhere within that temporal situation. Clandinin and Connelly call the inquirer position in the study a “three-dimensional narrative inquiry space” (p. 65), or being in the middle of something and able to move about freely.

The three-dimensional narrative inquiry space has the added dimension of dual stories. Clandinin and Connelly (2000) describe it as seeing themselves “in the middle of a nested set of stories – ours and theirs” (p. 63). That is a phenomenon of the narrative study; two stories experienced within the one event or events. From this location there is “the ‘back and forth’ of writing research

texts for the narrative inquirer” (Clandinin and Connelly, p. 138). He will write back and forth between his story and their stories. Denzin and Lincoln (1998) describe the same idea as “inward and outward, backward and forward” (p. 158). In summary of the writing process for narrative inquiry design, they write the following:

Methods for the study of personal experience are simultaneously focused in four directions: inward and outward, backward and forward. By inward we mean the internal conditions of feelings, hopes, aesthetic reactions, moral dispositions, and so on. By outward we mean existential conditions.... By backward and forward we are referring to temporality, past, present, and future. (p. 158)

Whether it is writing in the three-dimensional narrative space or writing inward and outward and backward and forward, the idea is the same, and the outcome will be a narrative inquiry document instead of the traditional qualitative prose.

Writer’s Prelude to the Theoretical Primer

I began the quest to inform you about the narrative research method by highlighting some of the important aspects of narrative inquiry. Primarily I called upon Clandinin and Connelly (2000) and Denzin and Lincoln (1998) to summarize some of the key points. I want you to understand that this methodology is not new at all, only articulated more adeptly as it becomes mainstreamed with other qualitative methods, and that I (the writer) will be

fluidly moving in and out of the stories being told. Showing you my experience of discovery is what narrative inquirers do.

What narrative inquirers also do, as already seen within this document, is to write using the pronoun “I.” Clandinin and Connelly (2000) denote that narrative writers must do the following:

[Narrative writers] need to be prepared to write ‘I’ as we make the transition from field texts to research texts. As we write ‘I,’ we need to convey a sense of social significance. We need to make sure that when we say ‘I,’ we know that ‘I’ is connected with ‘they.’ (pp. 122-123)

What the authors are referring to is the specific role of audience. Clandinin and Connelly (2000) describe audience and how writers need to think about audience when they say this:

A sense of an audience peering over the writer’s shoulder needs to pervade the writing and the written text. It is excusable to misjudge an audience and write a text that is not read as meaningful by others. But it is inexcusable not to have a sense of audience and a sense of what it is about one’s research text that might be valuable for them. (p. 149)

To have a sense of audience is to build a great relationship between the writer and the readers, the society of readers that will gain insight from the work. Clandinin and Connelly (2000) note the importance of this by writing, “For narrative inquirers, it is crucial to be able to articulate a relationship between one’s personal interests and sense of significance and the larger social concerns

expressed in the works and lives of others” (p. 122). The balance of these two parts will merit the significance to which the audience places on the research.

Theoretical Primer

Before the thought of seeing if the work will merit significance in the eyes of the reader, a short theoretical primer is needed to add justification for the research methodology. Short is the key word because Clandinin and Connelly (2000) suggest the following:

Beginning narrative writers frequently worry their way through definitions and procedures of different methodological theories, trying to define narrative inquiry and to distinguish it from each of the others, trying to find a niche for narrative inquiry amid the array of theoretical qualitative methodological frames presented to them, but [they] do not encourage this approach. (p. 128)

It is of no significance for narrative inquirers because Clandinin and Connelly say this:

...the place of theory in narrative inquiry differs from the place of theory in formalistic inquiries. Formalists begin inquiry in theory; whereas narrative inquirers tend to begin with experience as lived and told in stories...it is more productive to begin with explorations of the phenomena of experience rather than in comparative analysis of various theoretical methodological frames. (p. 128)

However steeped in methodological theories one might be, Barone and Eisner (1997), in the book *Complementary Methods for Research in Education*, suggest that the numbers of scholars looking at artistic methodologies like narrative inquiry are growing (p. 36). Specifically, the authors call narrative inquiry an “Arts-Based Educational Research” method, or “ABER” (p. 36). In the section of the book entitled, “Why Do Arts-Based Research? A Distinctive Rationale and Purpose,” Barone and Eisner say that, “ABER is not aimed toward a quest for certainty. Its purpose may instead be described as the enhancement of perspectives..., arts-based researchers aim to suggest new ways of viewing educational phenomena” (p. 38). New ways of doing research include experimentation.

After a short statement about traditional research texts being standardized, Barone and Eisner (1997) talk about experimentation when they say, “Arts-based researchers often experiment with their research texts, in hopes of designing a format that will achieve the heuristic purposes of enhancing perspectives and raising important educational questions in the minds of the readers” (p. 39). Further, the authors suggest that, “The literary text will sometimes – usually for the purpose of educating readers about the value of the textual experiment – be accompanied by descriptions of (or stories about) the research process, or analysis of themes embodied within it” (p. 39). The textual experiment helps readers “live” the stories.

When Elliot Eisner experimented with Arts-based Educational Research in the 1980s (Barone & Eisner, 1997), his “vision directly influenced the work of his doctoral students...” (p. 44). Arts-based Educational Research, Barone and Eisner say:

...must enhance perspectives on educational matters that would otherwise not be available to readers. They do this insofar as the literary format and expressive language employed create a virtual world for the reader to inhabit vicariously. This virtual world can be located through the physical realities it evokes. In this kind of research process the author acutely observes and documents telling details of human (educational) activity. Varied perspectives on the meaning of these activities are not merely stated and explained, but, as is the case with good art, expressed and enhanced. (p. 42)

This type of research is truly empathic understanding, as if someone standing on the outside is able to enter the inside of the stories and understand the human beings whose stories are being told.

A Transition into Tensions

Having noted Clandinin's and Connelly's (2000) advice, and the theory of ABER as presented by Barone and Eisner (1997), as the writer who has to defend this document there is now tension within me to add the formalistic theory and follow the five-chapter tradition of form. The tension I feel is a good transition into discussing tension and how narrative inquiry researchers address the issue of tensions within narrative work.

Locating Tensions in Narrative Inquiry Writing

The narrative inquirer experiences tension in many ways. There is tension when deciding how to organize all the field notes in relation to the lived stories. There is tension in making sure to remember audience throughout the work. There is tension in thinking about voice (and diction related to voice), and there is tension in the temporality of the entire work. Clandinin and Connelly (2000) remind the narrative inquiry author to keep in mind that he is writing “at the boundaries” of reductionism and formalism. The writer finds himself among four tensions: “the place of theory, the balance of theory, people, and the place of the researcher” (p. 35), and the most tension comes when graduate students worry about “using theoretical literature as an inquiry frame” (p. 41). Clandinin and Connelly write:

The...approach to using theoretical literature as an inquiry frame is so ingrained in formalistic research traditions that beginning narrative inquirers are easily shaken when formalists raise questions about the place of theory in their work. We frequently see the uncertainty brought on by this tension in graduate student committee meetings when faculty members with a formalistic approach question a student’s interweaving approach to the use of theory in a narrative inquiry. The tension often appears as a tension between literature review as a kind of conversation between theory and life or, at least, between the stories of life contained in inquiry. (p. 41)

Clandinin and Connelly (2000) would say that the tension shown in the above scenario should not exist. Instead, the following setting is more operationalized by narrative inquiry writers:

Our own narrative inquiry students, on the other hand, frequently write dissertations without a specific literature review chapter. They weave the literature throughout the dissertation from beginning to end in an attempt to create a seamless link between the theory and the practice embodied in the inquiry. (p. 41)

Some may deem this defamatory to traditional style, but, again, it shows the creative concept of art-based educational research (Barone & Eisner, 1997).

The Phenomena of Narrative Inquiry as Analysis

To assist with defending the use of narrative inquiry methodology, narrative inquiry writing becomes a phenomenon itself and should be explained for the readers. Instead of looking at the grand tour question as a way to focus on a research problem, one that carries with it “a sense of problem definition and solution” (Clandinin & Connelly, 2000, p.124), Clandinin and Connelly say that narrative inquiry “carries more of a sense of a search, a ‘re-search,’ and searching again” (p. 124). Polkinghorne (1988) tells us that, “This type of outcome [narrative inquiry outcome] does not provide information for the prediction and control of behavior, instead, it provides a kind of knowledge that individuals and groups can use to increase the power and control they have over their own actions” (p. 10). Clandinin and Connelly add that narrative inquirers are searching within a “phenomena of interest” (p. 125) and Riessman (1993) says

that “The purpose is to see how respondents in interviews impose order on the flow of experience to make sense of events and actions in their lives” (p. 2). And yet this “phenomena of interest” and making sense of events and actions is subject to interpretation, which more traditional researchers might find unnatural.

The interpretations of lived experiences are perfectly natural for the narrative inquirer, and it is the inquirers form of data for analysis. In her book, *Narrative Analysis*, Riessman (1993) tells us the following:

Narrative analysis – and there is no one method here – has to do with “how protagonists interpret things” [Bruner, 1990, p. 51], and we can go about systematically interpreting their interpretations. Because the approach gives prominence to human agency and imagination, it is well suited to studies of subjectivity and identity...studying narrative is additionally useful for what they reveal about social life – culture “speaks itself” through an individual’s story. (p. 5)

From the language of the story there are revelations in consciousness to be gleaned. The way to gather the information is to keep intact larger portions of the overall lived experience. So the methodological realm from which to keep these experiences alive and useful are located within the meaning derived from the narrative inquiry process. Pokinghorne (1988) points this out when he writes, “Because the characteristics of the realm of meaning are different from those of the material realm, its study requires an alteration in the research methods the human disciplines have traditionally used to study consciousness” (p. 9). The alteration, of course, can be narrative inquiry.

Writer's Interlude on Alteration

I can depict for you why an alteration in research method may be needed for some studies. When a reader makes a sweeping judgment about an author's intent, he or she defends the opinion based on an interpretation of the passage and/or the way the language is used by the author. A person may also call on his or her own experiences in life to make the judgment or proposal. Other people may then agree or disagree with the interpretation, and discourse should follow.

Based on the interchange, sometimes a person is persuaded to see the judgments or proposals from the defender's point of view and other times he or she may refute the interpretations. Overall, however, people should come away from the exchange with a heightened sense of the story and its effects (or lack thereof) on each of them. The people realize there are possible worlds and possible meanings that exist among them. This is a narrative experience.

*The methodological alteration is that instead of just stance there is counter-stance in the realm of meaning-making. In other words, I will show you how I constructed my meaning. I know your interpretation might conjure a different meaning, but for both of us the meanings are real. Jerome Bruner (1986), in the chapter "Possible Castles," from his book *Actual Minds, Possible Worlds*, discusses creating meaning through narrative experience in the following way:*

I want to explore some of the ways in which we create products of mind, how we come to experience them as real, and how we manage to build them into the corpus of a culture of science, literature, history, whatever.

I hope I will be able to make a strong case that it is far more important, for appreciating the human condition, to understand the ways human beings construct their worlds (and their castles) than it is to establish the ontological status of the products of these processes. For my central ontological conviction is that there is no “aboriginal” reality against which one can compare a possible real world. (p. 46)

The alteration of the research method from a more traditional qualitative one to a narrative inquiry will, perhaps, allow me and you to come away with “possible castles” of our own. We may not all have the same castles once they are built, but we will all “live” in castles just the same.

Narrative Inquiry: There is a Method to the Madness

To put focus to the methodological practice of narrative inquiry, one can look to Clandinin and Connelly (2000), Denzin and Lincoln (1998), Polkinghorne (1988), and Riessman (1993) in addressing the “How?” of narrative inquiry. The best description, however, comes from Clandinin and Connelly who, when discussing types of field texts, note that, “A widely used method of creating field texts is interview..., which may be turned into written field texts through a variety of means” (p. 110) such as transcribed recordings, hand written transcripts, or field notes.

Field Texts

For this study I interviewed three turnaround leaders. Interviewing three people is common for oral histories (Clandinin & Connelly, 2000, p. 111). The type of oral history interviews conducted are called “annals and chronicles” (p.

112). *Annals* are “memories, events, stories, and the like” and *chronicles* are “the sequence of events in and around a particular topic or narrative thread of interest” (p. 112). The memories, events, and stories of my dissertation are the leaders’ organizational turnarounds; the sequence of events is the actions taken by the leaders to create the organizational turnarounds.

Clandinin and Connelly (2000) call any oral or written material from the field, “field text” (p. 93). They list and describe various types of field text methods. For example, “teacher’s stories as field text” (pp. 98-101), “autobiographical writing as field text” (pp. 101-102), “journal writing as field text” (pp. 102-104), “letters as field text” (pp. 106-108), “conversation as field text” (pp. 108-109), “interviews as field text” (pp. 110-112), “family stories and stories of families as field text” (pp. 112-113), “documents as field text” (pp. 113-114), “photographs, memory boxes, and other personal-family-social articles as field text” (pp. 114-115), “life experience as a source of field texts” (pp. 115-116), and “field notes as field text” (pp. 104-106).

It is on the field notes that I now focus. The reason I spotlight field notes is because I use mine to chronicle my thoughts as the interviews take place. This shows the audience the sense of place from which I approach and reflect on the oral history interviews. Furthermore, it reveals for them the phenomena of the narrative inquiry thinker.

My hope is that you will read this narrative inquiry as Clandinin and Connelly (2000) set out to read other works of narrative inquiry. They write, “We set out to read these texts to get a sense of these authors’ accounts of the history

of their field of inquiry and what it was that they wished to introduce to their field (if anything) and why” (p. 5). Turning the field texts into narrative texts for the readers is the methodological goal. The overall goal is to add important insights to the study of turnaround leadership.

Field Texts into Narrative Texts

In getting back to the two types of field texts mentioned earlier, the oral history interviews and the author’s field notes, it must be stated that Clandinin and Connelly (2000) do not consider the research complete until the “back and forth” takes place (p. 138). This “back and forth” occurs during the next phase of the narrative inquiry methodology, and it requires the author to compose research texts from the field texts. This is really part of the “data analysis” of narrative inquiry, but one might see it described differently depending on the author.

Reissman (1993), for example, in looking at the process of doing narrative analysis breaks it into the following three parts: “telling,” “transcribing,” and “analysis.” However, she says that transcribing and analysis are not easily distinguishable from one another (p. 60). She goes on in her book, *Narrative Analysis*, to show the reader two models of narrative analysis, but she also states that there is no single model that is agreed upon (p. 5). That is the excitement of narrative inquiry because writers can be creative. Along with this excitement, however, there also comes tension as one prepares to move from field texts to narrative text.

At the transitional point of field texts-to-narrative text, the real tension begins. Clandinin and Connelly (2000) say, “The task now facing the narrative inquirer is to find a way to select and fit together these field texts into an overall narrative text” (p. 139). A writer decides how to use narrative form, but keeps the audience in mind. Clandinin and Connelly want writers, especially “thesis and dissertation students,” to focus on the question, “What do you like to read?” (p. 150). They warn us that this question does not come down to personal taste because “There is always tension between *voice* [of the participants and the writer], *signature* [when the writer knows he or she has something to say in the narrative text and allows it to come out], and *audience* [that sense of the social audience looking over the shoulder]” (p. 150). The writer must be clear about each when he or she answers the question.

The final narrative form of the dissertation comes from the two forms of field texts mentioned earlier, oral history interviews and field notes. Truly this does not constitute the only texts to be used because during the “back and forth” there are “interim texts” to utilize (Clandinin & Connelly, 2000, p. 151). Interim texts are the various drafts of writing, re-writing, and writing again, and deciding what to use (and what to throw out), that come from transferring field texts into narrative text (pp. 133-134). From this process of finding form, the narrative inquiry dissertation writer finds focus and creates the “final” document.

Writer’s Interlude on the Fluidity of Narrative Texts

Based on my personal experience with teaching all forms of writing (I started education at the University of Montana in the Creative Writing

Department with Richard Hugo as my advisor and mentor, and then moved into the English Department), I can understand that an instructor may not like the idea of narrative inquiry because of its fluidity and seeming lack of focus. Clandinin and Connelly (2000) note this as well when they write, "The excitement in this fluidity might lead a reader to think that anything goes, and to an extent it does, provided it works and is convincing to the audience. Barone and Eisner (1997), urging experiments in writing form, say, "The implications of exploring and exploiting new forms of representation for the conduct and display of educational research are profound" (p. 154). It is the implication of exploring form for which I brought forth this discussion and defense of the research method known as narrative inquiry; it is the implication of exploring form for which I bring forth the dissertation methodology below.

Outline of the Four Phases of Research in this Dissertation

Here is the narrative inquiry methodology process I utilize for this dissertation. (I use the term "phase" to denote steps I take in the methods process.) In Phase I, I gather data through interviews (field texts). In Phase II, I gather data through the use of field notes (another form of field texts). In Phase III, I transfer field texts (interviews and field notes) into narrative text and analyze the data through the "back and forth" process described by Clandinin and Connelly (2000). In Phase IV, I ask the participants if they wish to read and verify the narrative text. What follows is more detail and justification for each phase of my research.

Phase I: Field Texts as Data Gathering: The Interviews with Don Read,

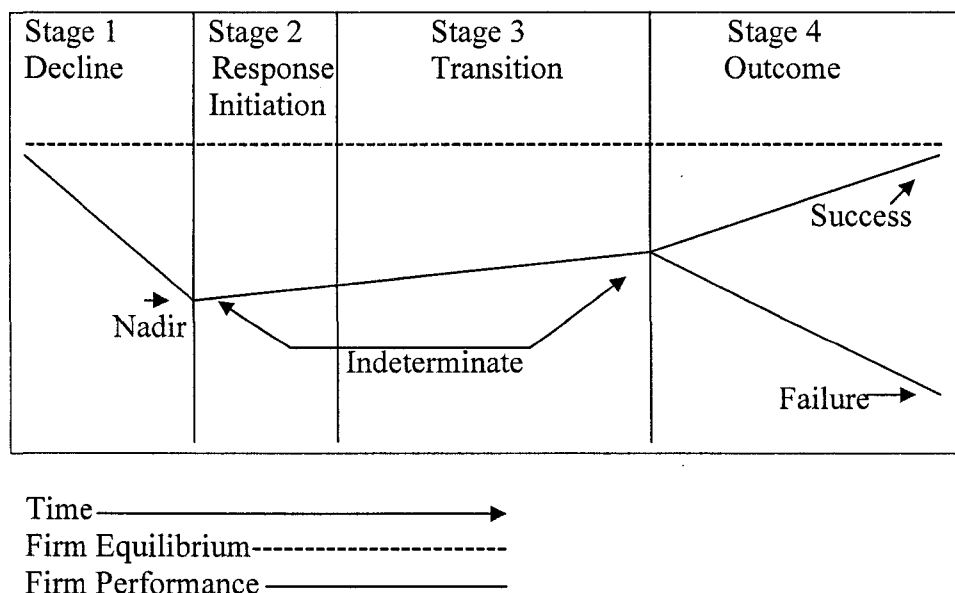
David Moore, and Marc Racicot.

The questions used in this study are not identical for each interview participant. Instead, they were designed to be progressive in nature (Polkinghorne, 1988), but thematic in scope. The themes for interview questions are based on the Stage Theory of Turnaround suggested by Shamsud Chowdhury (2002). About the Stage Theory, Chowdhury states, "In each stage numerous incidences are compressed into theoretically meaningful events, which in turn, are compressed into a few core concepts whose sequential linkage facilitates the explanation of how turnaround occurs" (p. 252). Chowdhury's Stage Model of Turnaround (Table 2) lists four stages: "Stage 1: Decline," "Stage 2: Response Initiation," "Stage 3: Transition," and "Stage 4: Outcome" (p. 253).

Table 2

The Turnaround Process*

Turnarounds: A Stage Theory Perspective, Chowdhury (2002)



**The vertical scales on Table 2 (previous page) are only illustrative. It is hard to develop exact interval scales for all four stages of turnaround. Their duration varies noticeably across situations.*

In this study, “Stage 1: Decline,” and “Stage 4: Outcome,” are already established because in each case the reason the leader took over is because of the decline, and the leader succeeded (or is succeeding in Mr. Moore’s case) in creating the turnaround. The focus for this research, therefore, is primarily on “Stage 2: Response Initiation,” and “Stage 3: Transition.”

Pre-turnaround event thematic questions are asked of each leader. One theme targets why the leader believes others chose him for the job. In other words, what is his perception about why he was chosen for the task? The second theme in this progression targets how the leader knew he was the right person for the job, and whether or not he knew he could create the turnaround.

The next thematic questions the turnaround, Stage 2 (pre-op), focus on the first important actions (response initiation) the leader took to *initiate* the turnaround and create an atmosphere conducive for the change. This stage is arguably the most important because it involves close attention to getting the organization ready for the surgery that is about to take place.

For Stage 3 (surgery), the thematic questions focus on finding out what specific actions the leader took that helped him succeed. In Chowdhury’s (2002) Turnaround Process model (Table 2), Stage 3 includes “transition” events that took place during the turnaround effort. Metaphorically speaking, what did the surgeon and the surgical team do to save the patient? Note that the *surgical team*

is included because successful surgery cannot be performed by just one person.

Great surgery is a group dynamic.

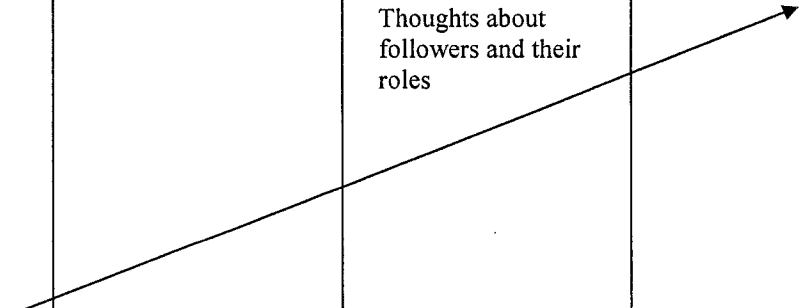
With the above focus in mind, what follows is an example (Table 3) of the schematic I created for visualizing the question themes employed in my study.

There are four thematic contexts of organizational conditions for which the leaders take actions to create the turnaround. (Later in this study I will show you the organizational contexts and condition that depict the likelihood of the leaders showing exchange leadership or charismatic leadership.)

Table 3

Even Question Themes

Pre-Turnaround Event Question Themes	Turnaround Event Question Themes (Stage 2) Pre-op	Turnaround Event Question Themes (Stage 3) Surgery	Post-Turnaround Event Question Themes
<p>Explain why you think you were the one chosen to take on the turnaround task.</p> <p>Did you know you were the right person for the turnaround challenge? Explain.</p> <p>Progressive Questioning</p>	<p>Detail what you did to ensure the organization would have an atmosphere conducive for a turnaround. What actions did you take?</p>	<p>Reflect on what leadership actions you took to create the turnaround.</p> <p>Other lead-in question themes:</p> <p>Insights about leadership for turnarounds</p> <p>Thoughts about followers and their roles</p>	<p>What did you do to sustain the turnaround? Explain.</p> <p>Do you have any leaders or mentors who you feel helped you become a successful turnaround leader?</p>



The interview questions are *open-ended* to assure narrative engagement (Riessman, 1993). For example, having questions with words like *explain*, *reflect*, or *describe* elicit longer narratives. Further, the questions vary with each participant, but remain focused on the *annals* of the turnaround event (Clandinin & Connelly, 2000). The questions allow for a chronicle of pre-event story, event story, and post-event story (Clandinin & Connelly, 2000) as seen in the progressive nature of question themes in Table 3, with the exception of the final question. It is a reflective question that adds leadership timbre to the turnaround efforts.

Justification for Interviews and Taking a Postmodern Stance

About interviews, Polkinghorne (1988) writes, “For a researcher, the basic source of evidence about the narratives is the interview. Questions such as, ‘Why did it happen?’ elicit narrative explanations” (p. 163). He further tells the reader that the interview should be in “progressive narrative” form where “progress toward the goal is enhanced” (p. 168). The author utilizes the interview as a field text, and asks questions in the interviews that “progress toward the goal” of finding out how the three leaders created turnarounds for their organizations.

Since this is narrative inquiry format, the interviewer acknowledges the fact that his own thoughts and personal feelings -- through field texts and possibly within the interview process itself -- will become part of the interview. Denzin and Lincoln (1998) understand this openness as something postmodern social researchers do. They say, “Postmodern social researchers, as we have seen, attempt to expose and openly acknowledge the role of researcher *qua* field-worker

and *qua* author... No longer pretending to be faceless subject and invisible researcher..." (p. 70). For the interview process, the author has chosen the postmodern social researcher's stance.

I could actually call Phases I (interviews) and Phase II (field notes) the same because the interviews are closely related to the field notes, they happen almost simultaneously. I do, however, have pre-interview and post-interview field notes as well. In keeping with the idea of interviews being one aspect of the field text, and field notes being another type of field text, I separated them into their own phases. With that in mind, lets move on to the Phase II justification.

Phase II: Field Texts as Data Gathering: The Field Notes.

Field notes are taken before, during, and after the interviews (Clandinin and Connelly, 2000; Riessman, 1993) as a way to procure the author's thoughts and insights about the lived experiences of the turnaround leaders, and the experience of the researcher, as the process unfolds. Post-interview field notes give the author the opportunity to inculcate research literature related to themes from the interviews. Furthermore, the author adds personal insights relevant to the turnaround themes.

Justification for Field Notes

According to Clandinin and Connelly (1998), field notes "are interpretive records of what we experience in the existential world even as we compose field texts of our inner experiences, feelings, doubts, uncertainties, reactions, remembered stories and so on" (p. 86). It is from the field notes that the author attends to the experience of the interviews in his own personal way and then

shares that experience, later on, with the readers. Reissman (1993) says that, “By attending, I make certain phenomena meaningful...” (p. 9). The field notes are meaningful, at first, for the author only, but as he transforms them into narrative and interweaves them throughout the dissertation, they become meaningful to a specific community of people, future turnaround leaders perhaps, who might glean various nuances of turnaround leadership.

Quite simply, what comes next is the data analysis process. I know this phase is highly important. There are ethical considerations for which to attend as I am “back and forth” and writing the interim texts for a “final” product. It is also in Phase III that virtuosity of form must flow and mesmerize the reader.

Phase III: Field Texts into Narrative Texts: “Back and Forthing” as Data Analysis.

During the third phase, the researcher transferred field texts into narrative texts. This is called the “back and forth” (Clandinin & Connelly, 2000), and it is a data analysis phase. During data analysis, the researcher organized and maintained interim texts drafted from the transference. He sustained the ethics of their use (Clandinin & Connelly, 2000; Polkinghorne, 1988) by making sure the data remained true to the nature of the original field texts, and the interviewee’s context for which they were given. This process eventually led to a workable narrative text that was finalized through the fluidity of the narrative inquiry writing process (Clandinin & Connelly, 2000).

Justification of the Data Analysis Process

In justifying the data analysis process, Polkinghorne (1988) writes the following about a narrative researcher's procedure:

Narrative explanations are based on past facts. These are then organized into a unified story in which links between events are developed, and the significance provided.... The reconstruction of past facts thus frequently resembles detective work, with several personal accounts together with partial written records to infer what actually happened. (p. 174)

The detective work for which Polkinghorne describes is like the "back and forth" as described by Clandinin and Connelly (2000). Back and forth becomes part of a process for reaching the dissertation format. Clandinin and Connelly offer suggestions about format through the description of how students have approached the idea of narrative forms.

Writer's Interlude on Dissertation Format

When I first read the sections that described the dissertation formats of two of Clandinin's and Connelly's (2000) students, I was interested because I thought their ideas might be used as guidelines or perhaps outlines for my own dissertation. I noticed that one has a prologue and then goes into Chapter One followed by Chapter Two, which is really three internal chapters that include the description of participants' and some of their stories. The writer's Chapter Three is really an internal transition and thesis that includes the argument the next chapters will cover. Finally there are chapters Four through Seven which bring

forth stories and interweave the argument. And then there comes a final chapter that summarizes her findings. It is followed by an epilogue.

In the second dissertation form, I saw that it was more traditional.

Chapter One is the introduction which is autobiographical. In Chapter Two the student reviews the literature. In Chapter Three the student does what I am doing in this section of my paper, supporting the use of narrative. In Chapters Four through Six the author adds his three narrative stories. Then in Chapter Seven the student frames his main argument, and that is followed by Chapter Eight which is a narrative findings chapter.

In Reissman's book (1998) about narrative inquiry, she cites Labov (1982) as suggesting a form for narrative, but his is more formal as well. For example, he outlines six elements. They are (1) "abstract," (2) "orientation," (3) "complicating action," (4) "evaluation," (5) "resolution," and (6) "coda" (p. 18). Burke (1945), on the other hand, suggests a form for which I am familiar because of my literature background. His five elements include, (1) "act" (what was done), (2) "scene" (when or where it was done), (3) "agent" (who did it), (4) "agency" (how he did it), and (5) "purpose" (why he did it) (p. xv). This form might work for the current study, but I realize this may not be "deep" enough to render a dissertation.

Like Clandinin and Connelly (2000), Reissman (1998) shows some models in her book as well, but she says about narrative models that, "The 'democratic' organization is a deliberate choice, and underscores how there is no single method of narrative analysis but a spectrum of approaches to texts that take

narrative form” (p. 25). Then later in her book, Reissman says, “There is no canonical approach in interpretive work, no recipes and formulas, and different validation procedures may be better suited to some research problems than to others” (p 69). Just like the process of writing the narrative analysis is fluid in scope, it seems to me that the form in which the narrative is written is somehow fluid as well, or perhaps “artistic” and “experimental,” as Barone and Eisner (1997) have suggested.

What follows is the description of the final phase of my research methodology. In this phase I asked the leaders if they would like to examine the interim and/or narrative texts from which I gathered and reported data. This is so they can verify that what I had written was true to the nature of what they had reported. It was also meant as a way for the leaders to add information that they might have remembered after the interview was completed. Through this process leaders clarify and validate information from their own interviews and my subsequent ‘back and forth’ into narrative text.

The three leaders in my study each declined the offer to verify the interim and narrative texts. I feel, however, that since this is part of the methodology, I will follow through with a description and justification for this phase. The simple idea behind this facet of the narrative inquiry methodology is to empower the interviewees. They are allowed to read what is being written into narrative text so they can verify that the text is true to the experiences they related in the interviews.

Phase IV: Submittal of Research Data for Turnaround Leaders to Verify

Phase IV of this study is what Mishler (1986) would call “the redistribution of power” (p. 122) between interviewer and interviewee. By seeing the traditional interview differently, one can understand how narrative inquirers depart from more traditional research interviews. The reason for the departure is because in the traditional interviewer-to-interviewee relationship all the power resides with the interviewer. This negatively impacts the interviewee because he or she becomes a number in study or what Mishler credits Goffman (1961) as calling “an identity-stripping process” (p. 122).

Instead, Mishler (1986) wants narrative researchers to “move beyond a view of contextual problems as merely technical to recognition of their sociocultural and political significance” (p. 122). One does this by redistributing the power in an interview to make it more significant for the interviewee. This can be as simple as giving the interviewee his or her name (instead of a number) and looking at the interview process as “informants and reporters” (p. 123). One can also look at the interview process as having “research collaborators” (p. 126) or “learner/actors and advocates” (p. 129). Each of these suggested dyads gives more power to the person being interviewed. The term *informant* suggests action toward the reporter and shows the importance of the substance of what the informant has to say. The term *reporter* suggests passivity in that he or she is just reporting the data.

As simple as it sounds, the redistribution of power also suggests that the reporter revisits informant to clarify and validate information in order to make sure information is correct. The reporter does not want to deprive the informants of their own voices (Mishler, 1986, p. 125) and face serious ethical concerns. The reason for discussing the redistribution of power in relationship to the post-interview Phase IV event is because the researcher is also actuating the redistribution of power by going back to the informants (the turnaround leaders) after the original interview.

By revisiting the turnaround leaders and asking them to collaborate during this phase, the researcher is making certain their lived experiences are ethically and accurately reported. The researcher makes certain there is consistency in his or her reporting. Through this process the leaders' experiences retain the original sense of the events as reported by the leaders. Keep in mind, however, that the writer does not change his or her findings. The researcher is just asking for validation of the oral history annals and chronicles.

Transition to the Issue of Validity

Even with all four phases described and justified, there may still be some concerns with methodology. For narrative inquirers the concern is related to validity. What Polkinghorne (1988) says about validity is that, "In narrative research, 'valid' retains its ordinary meaning of well-grounded and supportable.... A valid finding in narrative research...is based on the more general understanding of validity as a well-grounded conclusion" (p. 175). Further noted by Polkinghorne is the following:

Narrative research does not produce conclusions of certainty, the ideal of formal science with its closed systems of mathematics and formal logic.

Narrative research, by retaining an emphasis on the linguistic reality of human existence, operates in an area that is not limited by formal systems and their particular rigor. (pp. 175-176)

There are other concerns about methodology that must be addressed.

Overcash (2003), Riessman (1993), and Clandinin and Connelly (2000) report these concerns below.

Concerns about the Validity of Narrative Inquiry

Although narrative research is less structured than traditional qualitative research, Overcash (2003) points out the following:

No matter how research conclusions are obtained (quantitatively or qualitatively) results can not be taken with absolute certainty. By the very nature of science, it is the researcher's role to question a study's procedures, results and conclusions. The key is reproducibility. (p. 182)

Every researcher, no matter what method, tries to control bias and other variables, but it is the researcher who comes up with the questions, spends time with participants, calculates and interprets results that can be biased. So bias does occur (as little as possible one would hope) and it is up to the narrative inquirer to show his bias throughout the work instead of hiding it in the margins of the paper somewhere.

As for generalizations made from narrative research data, usually a researcher must use a study population representing that being studied. Overcash (2003) says the following about narrative inquirers and the sample of participants:

Often narrative research deals with a small sample of participants which may be more problematic in terms of generalizations compared to research projects that include hundreds of participants. The researcher must argue that the participants interviewed are somehow representative of the study population, which can be true of any research project, qualitative or quantitative. (p. 182)

Overcash states that a narrative inquiry, because it is written in narrative text (“story-like”), has been said to be invalid and unreliable as a “research modality” (p. 182). Here is Overcash’s response to the challenge:

The open-endedness of narrative research is the strength of the method and there is no primary method for assessment of validity and reliability. While reviewing the narrative data, it may be reasonable that concepts are identified that are beyond the hypothesis of the project. Concepts that may not have been anticipated may come to light that may expand the project conclusions...; narrative methods lends itself to a global view of the human experience that may not only answer a research question, but reveal additional aspects of life not identified as the primary focus of the project. (p. 182)

In her book, *Narrative Analysis*, Riessman (1993) does not argue so much about validity. Instead she says that “Narratives are interpretive and, in turn, require interpretation” (p. 22). This statement by Riessman is important, and Clandinin and Connelly (2000) bring this up in their chapter called “Persistent Concerns in Narrative Inquiry,” in the part entitled *Fact and Fiction* (p. 179). They say that there is a concern with narrative inquiry because “the distinction between fact and fiction is muddled.” However, the authors point out that when doing surveys and interviews how does the researcher know if answers are fact or fiction anyway? Is the act of memory a way to garner facts about the event or is it an interpretation? If interpretation, is it the best we can hope for and how close is it to the truth? Is it just reconstruction of fictional memory? Arguably, any researcher will have this problem no matter what methodology he or she uses.

With the above being noted, is there a reliability problem with narrative research? The answer is “yes,” but there is also a reliability problem with *any* qualitative or quantitative method relying on surveys and/or interviews. Most important for a narrative researcher, and for those questioning the narrative method, is what Clandinin and Connelly (2000) say about “wakefulness” -- wakefulness being “a kind of inquiry that necessitates ongoing reflection” (p. 184). In continuation of this idea they write the following:

Narrative inquiry, positioned as it is at the boundaries of reductionism and formalistic modes of inquiry, is in a state of development, a state that asks us as inquirers to be wakeful, and thoughtful, about all of our inquiry decisions. (p. 184)

As part of their wakefulness ideals, Clandinin and Connelly (2000) suggest that narrative research relies on other criteria being developed. The authors state, “We wrote about good narrative as having an *explanatory*, *invitational quality*, as having *authenticity*, as having *adequacy* and *plausibility*” (p. 185). Lincoln and Guba (1985), in their book, *Naturalistic Inquiry*, developed the idea of “transferability” as one criterion for naturalistic studies like narrative inquiry. They argue that “transferability” is an “empirical matter, depending on the degree of similarity between sending and receiving contexts” (p. 297) and that the formalist researcher does not deal with both contexts. They write, “We move then from a question of generalizability to a question of *transferability*. Transferability inferences cannot be made by an investigator who knows *only* the sending context” (p. 297). Transferability implies knowing both the sending and receiving contexts.

Wakefulness and Rigor of the Research in this Dissertation

This dissertation is written with an *explanatory*, *invitational quality* in order to be open to the audience about narrative decisions, to draw readers into the work, and to show them the *plausibility* of data and data decisions.

Wakefulness, for which the writer was cognizant at all times, is shown through his “ongoing reflection” (Clandinin & Connelly, 2000, p. 184) and attenuation to audience as a “relational responsibility” (p. 177). The explanatory, invitational quality of this dissertation, and its plausibility, are established within the written work, but what the rigor of the process for this study?

Another part of the relational responsibility is to attend to the data in a way that is ethically mindful to rigor of a study and thus the *authenticity* of the findings. The rigor in this study -- in addition to wakefulness of the narrative inquirer -- was established through interview protocol (Appendix B), use of Event Question Themes (Table 3), and the Event Theme Coding Matrix (Appendix C).

In following the interview protocol with each participant, continuity was established. Each interview took place in the spring of the same year and during the afternoon. Don Read's and David Moore's interviews were face-to-face (the former interview took place in a private room in Missoula, Montana, and the latter interview at his home in Park City, Utah). Marc Racicot's interview was face-to-face through a media conference system (the researcher at Blackfoot Telecommunications in Missoula, Montana, and the interviewee at a conference room in the Patterson-Giuliani Law Offices in Washington, DC). Mr. Read's interview took one hour and twenty minutes. Mr. Moore's interview lasted one hour and ten minutes. Mr. Racicot's interview was fifty-five minutes in length. By following the event question themes during the interviews, the researcher established rigor in focusing on the annals and chronicles of each lived experience.

Once the recorded interviews were completed, the researcher transcribed the interviews onto the transcription form (Appendix B) and included his field notes. When the field texts (interviews and field notes) were being written into interim texts, the Event Theme Coding Matrix (Appendix C) was employed to create sub-themes and outliers for each event question theme. Once the sub-

themes and outliers were established, and thus the findings, the narrative text was organized and written.

Transition to Episode Three

In the next episode I present to you research literature that creates the foundation for this study. My focus is on turnaround leadership and change leadership because they are separated only by event motive. For example, the motive for turnaround is precipitated by decline and the possibility of organizational failure, whereas change is pre-emptive of organizational decline. As you will see in Episode Three, other than the motives behind the leadership actions, there is much about both leadership modalities that are the same. That is why I target the literature from these two areas of study.

EPISODE THREE

Excerpt of the Richard Hugo poem, *The Clouds of Uig*

They move on like your students, sixty years
 Of them and still they come
 Like surly children, like amorphous rules of light
 we can't quite understand and have to obey.
 A new set of rules this minute, faintly the same.
 We can live under them.
 They move certain as blood. Under their shade
 the bay locks complete and, deep in that cloudy water,
 many lives go on.

In *The Right Madness on Skye*, 1980

Literature

Turnaround Leadership and Change Leadership

I know there is infinitesimal literature on leadership either seen from an organizational perspective, a psychological perspective, an educational perspective, an artistic perspective, an anthropological perspective, and on and on. No matter what perspective or paradigm, it seems that many areas of leadership study can somehow be related to turnaround leadership. For example, one day while searching through leadership documents I came upon an anthropological study in the journal Society for Literature and Science. In an article on "Cognition and Power," McIntosh (1997) describes his field work with tribes on the coast of Kenya. What McIntosh found was that tribes place high status on clerics who speak the Arabic language and thus consider the clerics leaders for their tribes.

As the field studies continued, McIntosh (1997) noticed that tribesmen who wanted power would ingeniously start “speaking,” “reading,” and “writing” in Arabic. I use quotes on the words to denote irony because those tribesmen who did this could hardly speak, read, or write in Arabic, but the people of the tribes began to relate to these tribesmen as if they were now leaders. Some of the followers in the tribes who actually could speak, read, and write in Arabic, and probably knew these men were frauds, still called the men leaders of the tribes, and actually held them in high regard.

For a psychological essentialist like McIntosh, that might point toward genetics or innate qualities of some people to have a propensity to lead. McIntosh (1997) surmised the following:

They [the tribe members] may be conceptualizing the language using an essentialist heuristic that shifts the playing field, so that culturally designed ‘experts,’ with access to sacred essence of Arabic, can make judgments about what counts as Arabic and what does not. (pp. 4-5)

In other words, it is the leadership essence that matters most for leadership, not what a leader does or does not know related to education.

How would the psychological essentialist’s information relate to turnaround leadership? Maybe there is a genetic component to leadership? This might then tell me that perhaps the anthropological study and the psychological essentialists’ viewpoints are relevant to my study and should be included (and now one such study is included) because there might possibly be a genetic correlation for turnaround leadership.

Speaking about genetics, but focusing on the psychobiological aspects of leadership, one might insert a bit of Daniel Goleman's literature (2002). In the book, Primal Leadership: Realizing the Power of Emotional Intelligence, researchers are finding that when a great "resonant" leader is "on the same wavelength" as the followers, the brainwave patterns taken from the amygdalae of the leaders and followers are almost identical. In other words, if further research shows this to be true, the leader and followers may be in harmony with one another (p. 48).

I wonder if Csikszentmihalyi (1990), based on his qualitative research about enlightened performance in the workplace, might call this harmony "flow?" If many people are in "flow" at the same time, perhaps their amygdalae are showing the same brainwave pattern? If this is true, then Goleman's (2002) ideas for "maximizing the group's emotional intelligence" is sound (p. 177). He states, "the EI [emotional intelligence] competencies relate both to individuals and to the group as a whole. Groups have moods and needs, and they act collectively..." (p. 177). The collective actions of the group enable members to show empathy and "create and sustain positive norms and manage its relationships with the outside world more effectively" (p. 177). During a turnaround endeavor, it is important to sustain positive norms and act collectively. If the brains are vicariously connected, as Goleman suggests, the collective actions enhance the possibilities for turnaround success.

Even though brain research may one day mete out final conclusions about leadership and followership connectedness, there is still the problem of deciding what literature is more relevant to turnarounds other than turnaround literature itself. If, however, I take my own model of the hierarchy of leadership presented in Episode One and focus on just active leadership, then I must look at two levels of leadership events -- change events and turnaround events -- that constitute high importance to this study. On the other hand, and as seen above, so much research can also relate to the study I know I must give justice to some of that leadership literature as well.

For the reason of justice to leadership literature and background knowledge of leadership in general, I point out models of leadership that relate to turnaround leadership events, knowing full well that I am being subjective in my choice of models.

This subjectivity noted, and in the framework of narrative research, instead of writing the literature review in chronological order of leadership theory and model, for this episode I have followed an organizational outline that considers turnaround research and change leadership research. I begin with literature on organizational turnarounds and follow that with literature on leadership for change. I present research and models of leadership that relate directly to the themes in this study. This type of creative organizational structure is condoned and encouraged by many narrative researchers (e.g., Barone & Eisner, 1997; Bruner, 1986; Clandinin & Connelly, 2000; Ellis & Bochner, 1996; Labov, 1997; Lincoln & Guba, 1985; Polkinghorne, 1988; Riessman, 1993).

Leadership for Organizational Turnarounds

“The study of leadership in general will be advanced by looking at leaders in particular.”

James McGregor Burns (from *Leadership*, 1978)

In today’s global work-world we often see organizations failing. Many of them fall into oblivion, are purchased, or they go through a hostile takeover by other organizations. One would think now more than ever turnaround research might be important. Despite this, Ketchen (1998) says there is “lack of academic research on the topic” (p. xii); however, there is some notable research about turnarounds.

The research that does exist began in earnest in 1976 (Ketchen, 1998), and the turnaround literature supported evidence that there were two divisions of turnaround study: one division of study was called “entrepreneurial turnaround” and the other division was called “efficiency turnaround” (p. 40). The former means enacting change and the latter means doing the same things better. In addition, Armenakis and Fredenberger (1998) have noted that once an organization is on a downward spiral, a change in management is needed. Hence their idea of a turnaround “change agent” is central to their position for either division of turnaround. They say that “change agents may serve as doctors who enter the patient to treat his condition” (p. 53) – what Bibeault (1982) refers to as “surgery” (p. 99) and Chowdhury (2002) refers to as “Stage 3: Transition” (p. 253). It is important that “change agents should be decisive and action-oriented,” and understand how to “process skills necessary to plan and implement a

successful turnaround” (Armenakis & Fredenberger, 1998, p. 54). Processing skills are highly important for enacting turnarounds.

Other variations of the same themes that Armenakis and Fredenberger (1998) researched is noted by others, but perhaps stated with slight differences. For example, in Ketchen’s (1998) book on turnarounds, Lohrke and Bedeian (1998) say a turnaround must include “retrenchment, innovation, and growth” (p. 16). Essentially they are denoting that retrenchment is an *efficiency* turnaround because a leader simply reorganizes the organization, while innovation is an *entrepreneurial* turnaround because it calls for seeking a new environment in the workplace. Growth, according to the two authors, simply means diversifying (which can land in either of Armenakis and Fredenberger’s divisions), but even Lohrke and Bedeian say, “Few consistent prescriptions are currently available to extant turnaround research” (p. 16). By 2002, however, some notable research was available from organizational science academia.

In the *Canadian Journal of Administrative Sciences*, Shamsud Chowdhury (2002) suggests “A Stage Theory Perspective” for turnarounds. He comes to the theory by noting there is “variance theory” for turnarounds (Mohr, 1982) that is based on a content approach to the subject. The theory Chowdhury espouses, however, is a “process approach” to the subject (p. 249) so researchers can study the “actions and characteristics associated with turnarounds” (p. 250). A process approach theory for studying turnarounds was initiated to some degree in 1976 (Schendel & Patton; Schendel, Patton, & Riggs) and illuminated by others thereafter (e.g., Barker & Duhaime, 1997; Castrogiovanni & Bruton, 2000;

Chowdhury & Lang, 1996; Hambrick & Schecter, 1983; O'Neill, 1986; Pant, 1991).

It is the process approach theory for which this current study attends because it focuses on actions taken by the leaders, perhaps heroically, and characteristics of the turnaround leaders themselves, for which some might call charismatic. Burns (1978), as far back as the 1970's, said the following:

The concept of charisma has fertilized the study of leadership. Its very ambiguity has enabled it to be captured by scholars in different disciplines and applied to a variety of situations. The term itself means the endowment of divine grace, but Weber did not make clear whether this gift of grace was a quality possessed by leaders independent of society or a quality dependent on its recognition by followers. (p. 243)

Burns (1978) noted that the meaning of charisma had taken on so many different definitions and was so "overburdened" it had collapsed "under close analysis" (p. 244). Because of this collapse, Burns decided he could not "restore the word to analytic duty" (p. 244). Instead, he came up with his own version of what a charismatic leader does and called it "heroic leadership" (p. 244). He defines heroic leadership as follows:

...belief in leaders because of their personage alone, aside from their tested capacities, experience, or stand on issues: faith in the leaders' capacity to overcome obstacles and crises; readiness to grant leaders the powers to handle crises; mass support for such leaders expressed

directly -- through votes, applause, letters, shaking hands -- rather than through intermediaries or institutions. Heroic leadership is not simply a quality or an entity possessed by someone; it is a type of relationship between the leader and the led. (p. 244)

Writer's Interlude on Heroic Leadership

Much of what Burns (1978) defines above relates to the turnaround leader, and melds in the idea of followers as well. So far I can see that turnaround leadership is related to heroic leadership and how followers attend to that heroic leadership. A recent study by McCaw (1999) suggests that being a good leader has just as much to do with the followers as it does the leader, and in excerpts of stories about great turnarounds or turnaround leaders, I can understand how important heroic leadership and followership are to organizational turnarounds.

Getting Back to Turnarounds: A Mixed BHAG of Experiences

In the book, *Harvard Business Review on Turnarounds (2001)* narratives of case studies show readers insight to turnaround leaders' successes and the importance of their followers. For example, in *Turning Goals into Results: The Power of Catalytic Mechanisms*, Jim Collins (2001b) espouses a "catalytic mechanism" for turnarounds. A catalytic mechanism is a "crucial link between objectives and performance" used during organizational turnarounds (p. 25). Perhaps the catalytic mechanism is a mission shared by all, a leader who works side-by-side with followers, or an aspiration goal to see if a turnaround can be accomplished.

Turnaround leaders who have a catalytic mechanism working for them might strive for what Collins (2001b) calls BHAG or “Big Hairy Audacious Goals” (p. 25). The BHAG can be achieved if a turnaround leader allows ordinary followers to do extraordinary things. Allowing, or facilitating, followers with doing extraordinary things to assist with a turnaround is a wonderful catalytic mechanism for the leader because people will “tap deeper wells of human motivation” (p. 37) if they are allowed to achieve!

In further relation to followers, Collins (2001b) states that when leaders say people are their most important asset, the leaders are wrong. What they should be saying is that “the *right* people are your most important asset” (p. 38) and leaders must know who the right people are and where to put them in the organization to help achieve the turnaround. Collins says organizations need to “create – don’t copy” (p. 43); in other words, abandon what had gone before to create something new. This is in line with an entrepreneurial approach to turnarounds (Armenakis & Fredenberger, 1998).

Peter Drucker’s (1999) “first change policy” comes to mind when the word *abandon* is used because the first change policy he suggests is to “abandon yesterday” (p. 74). Maintaining yesterday consumes too much time and is extremely difficult. Even though Drucker says to abandon yesterday, he does warn leaders that abandonment should be piloted first; tested on a small scale (p. 77). Once change is initiated, however, the leader must still rely on knowledge-worker productivity. Drucker states, “Knowledge-worker productivity is the biggest of the 21st century management challenges. In the developed countries it

is their first survival requirement” (p. 157). In other words, the knowledge-workers must do extraordinary things for an organization to survive.

Just as Collins (2001b) speaks about ordinary people doing extraordinary things, and Drucker focuses on “knowledge-worker productivity,” Pascale, Milleman and Gioja (2001), in the chapter “Change the Way we Change,” also see knowledge workers as “meaningful contributors to change” (p. 71). The authors’ ideas for turnaround leaders are to “incorporate employees” by resocializing and engaging them to (as the title indicates) “change the way we change” (p. 71). According to Pascale, Milleman and Gioja, in order for leaders to be successful turnaround artists, they need to begin by “telling the truth” (p. 71) to all people in the organization. Further, and quite interestingly, the authors encourage leaders to “lead from a different place” (p. 71). In other words, the turnaround leader “must have the ability to operate outside [his] comfort zones and accept ambiguity and adversity as part of the design” (p. 71). He must establish focus, urgency, and healthy stress while not feeling compelled to have all the answers or to rescue people who are in trouble. Turnaround leaders should allow their knowledge workers (Davenport, 2001) to rescue themselves and find their own answers as part of their “incorporation” into the new social system within the organization seeking a turnaround.

Margaret Wheatley (1997) might like their research because it relates to her idea of chaos theory and leadership. For example, a leader watches the followers who are working in a somewhat chaotic environment and then she

facilitates them in order to steer them toward goals and objectives that will assist with organizational well-being. Once this is done, Wheatley says the following:

The primary task of being a leader is to make sure that the organization knows itself. That is, we must realize that our task is to call people together often, so that everyone gains clarity about who we are, who we've just become, who we still want to be. (p. 24)

Related to Wheatley's (1997) advice, Pascale, Milleman, and Gioja (2001) tell turnaround leaders that the essence of leading from another place is that leaders are much more able to act their way into a new way of thinking, rather than thinking of a new way to act. A "resocialization" occurs (p. 75), or what Wheatley described as an organization that knows itself.

Writer's Interpolation about the Parcells Model

I would like to interject here that although the turnaround research and lived stories of turnaround leaders have thus far shown a more enabling approach toward followers, perhaps a leader does not have to be as facilitating? Maybe a turnaround leader can be a tyrant like Bill Parcells (now head coach of the Dallas Cowboys). Bill Parcells' ideas for being a turnaround leader are based on his success at turning around pro football teams.

Mr. Parcell's (2001) advice for turnaround leaders is to, quite simply, take command from the first day, pick the right people to assist with the turnaround endeavors, and to realize that there is power in confrontation (pp. 109-110). For example, being brutally honest with his coaches and players about organizational goals and aspirations is how Parcell's handles his everyday

practices. By telling the brutal truth, every coach and player knows exactly what Parcells wants from them.

What I find interesting is Coach Parcells' bluntness and lack of caring. For example, he says that if a coach's or player's expectations are not the same as his, the coach is fired and the player traded (p. 108). This might be more like confrontation and dictatorship, but it is arguably the same way (with a stronger approach) to get what Collins (2001b) said he wanted; not just people, but the right people (p. 38).

Parcells makes confrontation sound dictatorial, but it can be handled differently. Instead of calling it "brutal honesty" and acting brutal at its deliver, one can just call it the truth and handle it humanely. For example, in going back to Pascale, Milleman, and Gioja's (2001) story about turnaround leadership, they suggest to begin by simply telling the truth to the followers (p. 71). Honesty and truth, no matter how it is delivered, is just another component for turnaround leaders to think about.

To Continue...

In another turnaround endeavor from *Harvard Business Review on Turnarounds*, Rich Teerlink (2001), of Harley-Davidson Motorcycles, has the belief that his organization already had the right people, but he needed to find the best catalytic mechanism to motivate them. This is why, in "Harley's Leadership U-Turn," Teerlink (2001) comes right out stating, "people are a company's only sustainable competitive edge" (p. 135). His goal as leader was to make certain decisions for turnaround success and that accountability was to be owned by all

(p. 135). He strived for inclusion and a collegial atmosphere in order to prove to his followers that past practices at the company (top-down management) would not be tolerated.

Teerlink (2001) honestly reveals that his turnaround efforts have not been easy to sustain, but that through the turnaround experience people will commit to a program if they helped to create the program (p. 139). By bringing together management, engineers, designers, and laborers in a collegial setting where all ideas are shared and taken seriously, Harley's workforce became highly motivated and creative. Decisions were made through voting and each worker's vote counted just the same as a manager's vote (p. 138). In other words, Teerlink found his catalytic mechanism (Collins, 2001b) in equality and that led to inspired turnaround. And in this turnaround, followers were resocialized (Pascale, Milleman, & Gioja, 2001) so the organization would know itself (Wheatley, 1997).

In another story of inspired turnaround, IBM actually began at the bottom and worked its way to the top because of several rebels! A low-level worker in this giant enterprise had the vision and desire to push IBM into e-business services at a time when no one was really looking at internet based business. The beginning of "Waking up IBM: How a Gang of Unlikely Rebels Transformed Big Blue," by Gary Hamel (2001), states that "Dave Grossman knew that IBM's 'muckety-mucks'" (as he called them) were clueless about the web and "Frustrated in his attempts to warn executives [about Sun Microsystems' web involvement] over the phone, he drove down to Armouk, walked straight into the

headquarters with a Unix workstation in his arms, set it up in a closet, and demonstrated the future to a trio of [mid-level] IBM executives” (p. 146). Out of Grossman’s display of “insurrection” and IBM’s subsequent move to dominate the e-business markets, tenets for success became apparent.

The catalytic mechanism for IBM’s Grossman was, of course, starting the insurrection that led to a turnaround, but it was mid-level managers that educated the company about tenets for turnarounds (pp. 162-165). The first tenet for the turnaround was for the company to “establish a point of view” (p. 162). For example, Grossman’s point of view was that Sun Microsystems was about to take off in e-business and action needed to be taken to stop this effort. Action had to happen quickly.

The second tenet for change at IBM was for the people involved to “write a manifesto” (p. 163). For example, a turnaround leader needs to have a mission just as Grossman had for his insurrection.

The third tenet was to “create a coalition” (p. 163) like Grossman did when he astonished a trio of mid-level executives and they joined his insurrection in order to nudge the top executives. One of the three men astounded by Grossman was a marketing executive named John Patrick. His marketing expertise would later turn out to be instrumental in IBM’s success (p. 151).

The fourth tenet is for the organization to “pick your targets” (p. 163). Grossman and his trio picked e-business and created an “enemy” in Sun Microsystems. Just as the United States wanted to beat Russia to the moon, these people wanted to beat Sun Microsystems in the e-business market.

The fifth tenet is to “co-opt and neutralize” (p. 164). To win over IBM’s feudal lords, “John Patrick constructed a win-win proposal for them: [he said] lend me some talent, and I’ll build a showcase for your products” (p. 164). He was able to move top computer people into the new e-business area (mostly people on loan from other departments) and astonish the senior leaders.

The sixth tenet for a turnaround is to “find a translator” (p. 164). John Patrick was the translator for Grossman. Mr. Patrick’s marketing background assisted in the organizational turnaround. For Grossman the translator was Patrick, but for other organizations the translators might be the followers, like in the case of Harley-Davidson.

And finally, the seventh tenet according to Hamel (2001) is to “win small, win early, win often” (p. 164). No turnaround effort will work unless one can demonstrate success. A leader needs to show results and “help your own company feel its way toward revolutionary opportunities” (p. 165). The revolutionary opportunity that IBM took (thanks to the above men) paid off monumentally as they became the first leaders in e-business and actually beat Sun Microsystems to the huge contracts!

In synthesizing the above stories, whether the turnaround leader looks at his mission as an opportunity, leading from a different place, getting an organization to know itself, accomplishing BHAG’s, telling the truth to everyone (humanely or brutally), or starting an insurrection, the ultimate goal is for the leader to move the organization forward to create the turnaround. The literature clearly points toward patterns for success that leaders use to effect turnarounds,

albeit many of these stories of turnaround accomplishments come from profit-making corporations.

In speaking about profit-making corporations and turnarounds, one can go to the first “definitive” book written about turnarounds. The book was written by Donald Bibeault in 1982, and it is called, *Turnaround: How Managers Turn Losers into Winners*. In the book’s prologue Bibeault writes, “Until now, nothing definitive has been written about the art of turning around losing operations. This arcane skill has been viewed as a sort of ‘black magic,’ practiced by a few highly talented (and richly rewarded) practitioners” (p. xv). Bibeault’s book has much to offer about turnarounds.

Writer’s Interlude about Bibeault’s Research

I remember reading Bibeault’s (1982) book and I found myself, at times, wondering if some of his findings would work well in the corporate world today. This is a good time to point out the process by which Bibeault came to some of the conclusions I will share in the next section. Bibeault’s study was a mixed methodology research project based solely on quantified and qualified data. He solicited records of 1,100 of the top 4000 New York Stock Exchange (listed) companies. Of the 1,100, three hundred and twenty had turnarounds (based on profits or profit margins) sometime between the years 1967 – 1976. 320 of the 370 companies (50 companies were tossed out because they didn’t fit some other criteria) that showed turnarounds were sent questionnaires about the turnaround events. Out of the 320 sent out, Bibeault received only 81 of them back. It was from these 81 companies that quantified data was used to show the turnaround,

and then Bibeault also interviewed many of the CEO's or former CEO's who created the turnarounds for the organizations. This became his qualitative data. So, the definitive information is this book was based on 81 turnarounds over a nine year period (pp. 9-11).

I feel that much of what Bibeault (1982) comes up with as definitive conclusions for turnaround leadership becomes even more "definitive" once Chowdhury (2002) established his "Stage Theory Perspective" on turnarounds. What follows is information I gleaned from Bibeault's definitive work and then Chowdhury's even more (in my mind anyway) definitive work.

"The Moment of Truth"

In profit-making corporations, turnarounds come after there has been a decline; usually measured by loss of profits, declining margins, declining shares, poor worker behaviors, and low morale (Bibeault, 1982, pp. 66-71). Bibeault calls this "The Moment of Truth" for a corporation, as he states, "A crisis point is indeed the moment of truth for many companies" (p. 73). At this point in time, "most managers are not prepared to face the many negative forces at work when the company reaches its crisis point" (p. 76). At crisis point, what formula does Bibeault's research suggest?

Bibeault's (1982) answer to the above question is that there is no formula because there are different types of turnarounds based on economics, competitive environment, product breakthroughs, and government related turnarounds – or bailouts (pp. 85-90). Different types of turnarounds require different strategies;

however, Bibeault does synthesize types of turnarounds with stages in a turnaround cycle.

Bibeault (1982) lists five stages of a turnaround. They are (1) "The Management Change Stage," (2) "The Evaluation Stage," (3) "The Emergency Stage," (4) "The Stabilization Stage," and (5) "The Return-to-normal Stage" (p. 92). For the purpose of relating his research to this study, we will look briefly at stages one through three as the important stages for turnaround leadership actions.

The Management Change Stage is, as stated earlier, "the moment of truth." Bibeault (1982) relates that, "at the point where a company reaches its moment of truth and decides to make fundamental changes, it has gone from absolute decline to potential turnaround" (p. 93). When the situation is at a peak crisis point, the "really tough turnarounds" usually demand a new leader (p. 95). Once a new leader is on board (whether he is brought up from the inside or brought in from the outside) he must go through The Evaluation Stage. According to Bibeault, "The organization must be yanked, symbolically at least, in the first few days" (p. 95). During this stage he says that "speed is essential," but the turnaround leader must evaluate, identify problems, identify solutions, and then create an action plan for a turnaround (pp. 96-97).

At this point in the evaluation stage, Bibeault (1982) discusses sharing the plan, but does so in a way that one might call top-down communication. Rather than mentioning the importance of followers to the plan, the author says the plan must be communicated upward, to the board of directors, and downward, but only as far as the management level (p. 98)! As written earlier in this paper, other

authors suggest that all members of the organization must become involved in the turnaround plan (e.g., Collins, 2001b; Hamel, 2001; Parcells, 2001; Pascale, Millemann, & Gioja, 2001; Teerlink, 2001). Systems theory research also suggests working closely with everyone involved in a new organizational plan so as not to create fragmentation in the organization (e.g., Deming, 1993; Scott, 2002; Senge, 1990). Although the turnaround research and some of the system theory literature suggests differently, at the time Bibeault wrote his book in the early 1980's he suggested the following:

Don't discuss the plan with anyone without real power in the situation or anyone without a stake in its implementation. Get commitment from those who are needed and no more. Rely on the people and **push** [bold added] the plan through the organization. (p. 99)

Although Bibeault (1982) suggests pushing the turnaround plan through, other researchers say a much slower process is needed for the organization's plan to work (e.g., Abrahamson, 2000; Branch, 2002; Chowdhury, 2002; Hamel, 2001).

Writer's Interlude: To Rub the Wrong Way?

Ah, there's the rub! I posit that pushing a plan through infers a power stance by management, almost as if to say, "It's my way or the highway." If a leader was looking at creating a culture of agreement among all groups, then withholding the plan might be detrimental. Of creating culture that will bring everyone together for success, Schein (2004), in his book Organizational Culture and Leadership, says corporations that have multiple sub-groups will probably

have sub-cultures (pp. 287-288). He calls this “differentiation” (p. 286). Schein discusses how a leader must work to align these sub-cultures to coordinate action (action that might well be needed for a turnaround). Shein writes:

Once such differentiation has taken place, the leader’s task is to find ways of coordinating, aligning, or integrating the different subcultures....

Building an effective organization is ultimately a matter of meshing the different subcultures by encouraging the evolution of common goals, common language, and common procedures for solving problems...It is essential that leaders recognize that such cultural alignment requires not only cultural humility on the leader’s part, but skills in bringing different subcultures together into the kind of dialogue that will maintain mutual respect and create coordinated action. (p. 289)

In getting back to Bibeault’s (1982) idea of sharing the turnaround plan with only management, and then pushing the plan through the organization, it seems to me that would be counterproductive to coordinating action among the subcultures.

If I were to use Yukl’s (2002) “Guideline for Transformational Leadership” (p. 263) as a platform guide for leadership during a turnaround, I would say that it does not infer pushing anything on to my followers. The guideline offers seven “tips” for transforming an organization. Yukl says that, “Transformational leaders strengthen the existing vision or build commitment to a new vision” (p. 263). In the case of a new vision for a turnaround, the second guideline states, “Explain how the vision can be attained” (p. 263), and Yukl says

that the leader needs to convince the followers that the vision is a good one (p. 264). Then, the last guideline is “empower people to achieve the vision” (p. 266). About empowerment, Yukl tells us, “It means asking people to determine for themselves the best way to implement strategies or attain objectives, rather than telling them in detail what to do” (p. 266). Again, in my mind, these are other reasons why I don’t agree with Bibeault’s idea of pushing the turnaround plan through the organization.

Getting Back to the Review...

In getting back to Bibeault’s (1982) work, and the next stage of a turnaround called “The Emergency Stage,” he says this stage can be considered “surgery” for the company. He tells us that “In this stage the corporation moves beyond problem recognition and boldly into action” (p. 99). The factors of success at this stage depend on management style, and Bibeault lists the following (p. 113) as highlights of the turnaround leadership style:

- I. Use of hands-on management
- II. Delegation of absolute authority to management
- III. Introduction of tight controls
- IV. Emphasis on good “people motivators”

Terms like “absolute authority” and “tight controls” sound unfriendly for climate and culture but, on the other hand, terms like “hands-on management” and “people motivators” sound more contemporary and culture-building. About motivation Bibeault (1982) offers that a leader should change the defeatist attitudes among workers to an attitude of confidence (p. 121), something sorely

needed for turnarounds. One can posit that motivation is certainly a key factor in non-profit organization turnarounds.

Bibeault (1982) goes on in the book to address turnaround leader characteristics. He says the turnaround leader is an “architect of strategy,” an “implementer of strategy,” and a “personal leader; someone distinctive from all other persons in the organization” (p. 150). Common turnaround leadership characteristics that are attended to in Bibeault’s study were “confidence,” “self-confidence,” “consistent in pursuit of objectives,” “prioritizing,” “initiative seizing,” “devoting enormous energy and dogged in the pursuit of objectives” (pp. 150-151). Other turnaround literature suggests the same ideals for leaders (e.g., Armenakis & Fredenberger, 1998; Beer & Nohria, 2001; Collins, 2001b, Lohrke & Bedeian, 1998; Pascale, Millemann, & Gioja, 2001).

Bibeault (1982) calls a strong turnaround leader a *charismatic leader*.

About this type of leader, he writes this:

The charismatic leader, who by virtue of his personal magnetism, energy, and force influences his followers to make efforts they would not otherwise make, is providing a personal contribution to the turnaround which the less conspicuous administrator cannot offer. He personifies purpose as well as personal power. (p. 189)

In getting back to the stages, no matter what personifications of power and purpose are actuated by the turnaround leader, the research is clear that stages or phases of turnaround events occur, even though some are disparate (Bibeault, 1982; Chowdhury, 2002; Pettigrew, 1992; Ropo & Hunt, 1995).

Writer's Interlude about Turnaround Stages

Before I move on I think this is a good time to compare Chowdhury's (2002) turnaround stages to Bibeault's (1982) turnaround stages. This comparison will assist you with reading information in Episode Five. However, for clarity and timeliness once you get there, I will also chart this comparison in Episode Five as a reminder of what you are about to read.

The Turnaround Stages of Bibeault and Chowdhury

Because organizational science research about stage theories (Barker & Duhaime, 1997; Pfeffer & Salancik, 1978; Harrigan, 1980; Zammuto & Cameron, 1985; Cameron, Whetten, & Kim, 1987; Wilson, 1980) has become closely related, turnaround literature may have found its paradigmatic home. In that home we find Chowdhury's (2002) "Stage Theory Perspective" to turnarounds. The "process model" he established, based on organizational science, is actually similar to Bibeault's (1982) turnaround phases; however, instead of five phases that Bibeault suggests, Chowdhury establishes four "stages" of a turnaround.

Chowdhury's delineation is, "Stage 1: Decline," "Stage 2: Response Initiation," "Stage 3: Transition," and "Stage 4: Outcome" (p. 253). The second stage posited by Chowdhury (2002), "Response Initiation," is somewhat like Bibeault's (1982) "Management Change Stage" in that one response to decline or failure could be management change, as suggested in some research (Gopinath, 1991; Hofer, 1980; Schendel & Patton, 1976). However, if one does not want to change management it could be an insider who moves in for this Response Initiation stage to "evaluate" what has happened and what needs to happen for a

turnaround. Bibeault has a separate stage called “The Evaluation Stage,” but for Chowdhury this evaluation occurs in the Response Initiation stage.

Once the Response Initiation Stage has taken place in Chowdhury’s (2002) design, or in Bibeault’s (1982) Management Change and Evaluation stages, the next stage for Chowdhury is simply called “Stage 3: Transition Stage” (p. 255). This is equivalent to Bibeault’s “Emergency Stage” when transitional actions or emergency actions are taken by the leader to turn the organization around. It is sometime during the turnaround process that the organization is brought under control and then it gets back to an equilibrium. For Chowdhury this begins to happen in “Stage 3: Transition” and ends up in “Stage 4: Outcome” (p. 256). Bibeault, however, breaks this [outcome stage] into two stages to delineate the events. He suggests there is a “Stabilization Stage” (p. 102) and then that is followed by a “Return-to-Normal Stage” (p. 106). In essence, both authors establish the same stages, but Chowdhury simplifies the process into four stages rather than five stages.

The Transition to Change

Organizational science and stage theory research exist to simplify and create understanding about organizational processes and events. Organizational processes and events are certainly part of change literature as well. With that in mind, I would now like to focus on organizational change literature and leading for change. Related to turnarounds, but not quite as serious in terms of organizational action, change research has much to offer us about leadership and, especially, followership.

As you read through the literature and through this paper in general, keep in mind that the terms workers and followers are synonymous with each other.

Change or Else?

“You can easily find the problems, but it’s what you do to change it that’s hazy.”

Michael Fullan (2003)

In the book, *The Future of Leadership* (2001), two important terms are developed by authors. Those terms are “human capital” (Lawler, 2001), and “knowledge workers” (Davenport, 2001). Even though it is Lawler and Davenport who use the terms, the idea of wanting, having, and keeping great workers runs deep in the leadership for change research (e.g., Bennis, Spreitzer & Cummings, 2001; Collins, 2001b; Covey, 2004; Drucker, 1999; Gibson, 2001; Senge, 1999, 2001; Yukl, 2001), and organizational culture literature as well (e.g., Bennis & Nanus, 2003; Collins & Porras, 1997; Gardner, 1990; Schein, 2004; Senge, 1990). For organizational change tactics, Lawler (2001) says the following:

The key strategy issue concerns what type of human capital organizations need to attract and retain. A second issue concerns how long they want to retain their human capital. A final issue concerns what types of rewards will attract and retain the right kind of human capital. (p. 17)

The turnaround literature places importance on human capital as well. Earlier it was mentioned by Collins (2001b) that “the right people are your most important assets” (p. 38). Davenport (2001) espouses the same idea when he

notes that, “the emergence and maturation of the knowledge worker role is the driver of what management will be in the next century” (p. 43) when “strict separations between worker and manager no longer make sense” (p. 44). In other words, everyone in the organizations is important and worthy to lead in one capacity or another.

Charles Handy (2001a), in the book *Rethinking the Future*, adds to the importance of workers the following thought: “For years, corporate chairmen have been talking about their people as their primary assets. It’s time they woke up to the fact that it’s actually true, because their only hope for future security lies in the brains of those people” (p. 30). His call for organizations to empower their employees is quite emphatic.

To add more power to the importance of followers, Drucker (1999) almost repeats the same thing as Handy. In Drucker’s book, *Management Challenges for the 21st Century*, he says, “To be productive, knowledge workers must be considered a capital asset” (p. 140). Drucker adds another label to the workers as well. He says that large numbers of workers do both knowledge work and manual work. He calls them “technologists” (p. 149). These technologists are important workers for our Information Age society.

In Stephen Covey’s (2004) book, *The 8th Habit: From Effectiveness to Greatness*, he too points out the loftiness for which we should harbor followers. In his “5 Ages of Civilization’s Voice” chart (p. 13) he shows a hierarchy of civilization’s voice beginning at the age of the “Hunter/Gatherer” and continuing upward to the age of “Agriculture,” the “Industrial” age, the “Information /

Knowledge Worker” age, and finally to the age of “Wisdom.” We are currently located in the “Information / Knowledge Worker” age, but Covey says many organizations fail because they are still located in the “Industrial” age (p. 15). In the “Industrial” age the machines were the assets, but in the “Information / Knowledge Worker” age it is the human beings who are the assets (p. 15), and leaders must bring their organizations into the “Information / Knowledge Worker” age.

Just as knowledge worker or human capital is used by the authors above, Peter Senge (1999), in *The Dance of Change*, informs the readers about his idea of “learning organizations” that he has been writing about for more than twenty years (p. 9). The learning organization is one in which our knowledge workers are employed but more than that, according to Senge, leadership is actually a “human community” that shapes its own future (p. 16). For change to occur in an organization, leadership must happen, and research suggests that leadership is a group dynamic (e.g. Bennis & Biederman, 1996; Drucker, 1999; Rost, 1991). Senge admits his idea of leadership is unusually defined, but not new. He further states the following:

We believe, specifically, that leadership actually grows from the capacity to hold creative tension, the energy generated when people articulate a vision and tell the truth (to the best of their ability) about current reality. This is also not a new idea. “Leadership is vision,” says Peter Drucker. Or, as expressed in Proverbs 29:18, “Where there is no vision, the people perish.” (p. 16)

Senge's point is that organizations have many leaders at many levels that are critical to accounting for change in a corporation. Again, the knowledge worker motif ranks highly in change literature.

Just in the amalgam of information brought forth above, one can understand the importance of the workforce, and the importance of how the leaders relate to, and communicate with, the followers. What change literature suggests is that we are no longer in the Industrial Age so leaders should not try to force change on the followers. In our fast-paced Information Age society, global markets, technology-operated factories, and computerized world there is less need for manual laborers and more demand for knowledge workers or technologists, and they are now seen as the greatest asset for an organization (Collins, 2001b).

Because of the way followers become prominent in change leadership studies, in the future (or even now) knowledge workers will "call the shots" about which organizations they would like to work "with," and because of this Handy (2001a) foresees that companies will have to "create a cause" (p. 32) in order to retain talent. In adding weight to Handy's forecast, Covey (2004) believes that the Knowledge Worker Age will bring about the "downsizing of up to 90% of the Industrial Age workforce" (p. 14), meaning knowledge workers will be the most needed human asset.

The above forecasting alludes to change because of the global economy and our fast-paced Information Age society. It is Warren Bennis (2001) who espouses that because of the type of society and work world for which we are

doing business today, organizational change is an ongoing - or should be an ongoing - event. About this change, Bennis says this:

The truth is that we are undergoing a period of the most rapid acceleration of “creative destruction” in history. So change really will be one of the key challenges facing leaders in the twenty-first century. And what it means for leaders is that they are going to have to keep recomposing and reinventing their leadership. (p. 150)

Therein is the challenge for organizational leadership today!

Writer’s Interlude to Remind the Readers

This is a good point in my study to remind the reader about the difference between leadership for change compared to leadership for a turnaround. Bennis (2001) realizes that change is an ongoing event within all organizations. The “elephants” (large corporations) must reconstruct and reinvent to keep up with the fast paced “fleas” (emergent and small organizations) if they wish to compete (Handy, 2001b). Once the fleas have been established, they too will have to reconstruct and reinvent, and the cycle continues. Elephants or fleas that have failed to keep up with the rest of the elephants and fleas may face “the moment of truth” (Bibeault, 1982) at some time. At this point it is not a matter of changing to keep up with others, it’s a matter of survival so that the organization might enter the change race in the near future!

One could use the metaphor of Daytona 500 to picture the turnaround event compared to a change event. For example, everyone is racing, changing places in the race, dropping behind and then speeding up. At some point in the

race, all racers bring their cars into the pits to fuel up as fast as possible and then get back out in the race. Since everyone at certain times in the race needs to fuel up, the pacing and lapping stay about the same depending on how fast the pit crew is working. These are change events. How might the metaphor be as a turnaround event?

Suddenly one of the cars develops engine trouble and an unscheduled pit stop is forced. This is the “moment of truth” for the pit crew and driver. They must diagnose the problem, fix the problem, and get the car back into the race as quickly as possible. This is a turnaround event. For the pit crew that cannot diagnose the problem or fix the car, the race is over; the organization fails.

A Bit of Synthesis

In comparing turnaround leadership with change leadership, we now understand how the definitions differ. We also understand the importance of followers for the success of each leadership challenge. One may posit, however, that of the two challenges, the organizational turnaround is more important because if the leader and workers do not create the turnaround, the organization will certainly fail. An organization that is changing is not in dire straights, just doing what must become natural for future growth. Since the turnaround challenge is so important, the onus for success is on the leader. In some sense he does become the charismatic person who is practicing “heroic leadership” in what one hopes is a “learning organization” of highly motivated “knowledge workers.” The leader will set the tone for success knowing full well that “human capital” is an important asset for achieving the turnaround.

Bringing You to the Narrative Text

In getting back to my own leadership hierarchy shown in Episode One, turnaround leaders must be the type of leaders who can act decisively during critical, non-routine events that place organizations in the “do or die” situation. Since change leaders, if they are good ones, are always working toward change, they should not have to suddenly try to become turnaround leaders. Not to say the change process is easy! There is still the “pathways problem” as Michael Fullan (virtual conference, June 13, 2003) calls it; change is not an easy path to follow.

Through the narrative inquiry process I would like to make turnaround less hazy for you. As you read and reflect, I think you should always be thinking, “What would I do in this situation?” or “How would I have handled it compared to that leader?” or “If this were to happen in my current organization, and I was asked to lead us through a turnaround, could I initiate leadership actions used by the three leaders?”

Just as I am not going to pretend I am invisible during this research project, you too should not be invisible as a reader. Although I won't hear you, you can and will disagree with me, with the turnaround leaders, perhaps with this methodology in presenting the cases. On the other hand, maybe you will agree with many of my insights and those insights of the turnaround leaders, and this will make you reflect more deeply about your own experiences or how you may use the lived stories as leadership lessons.

In the wonderful book, Composing Ethnography, by Carolyn Ellis and Arthur Bochner (1996), they boldly pronounce, “We promote the idea of a plural text, open to many interpretations” (p. 15) and they do so because they believe that “universities continue to function as if knowledge could be divided neatly into separate domains...But ethnographers inscribe patterns of cultural experience; they give perspective on life, they interact, they take note, they photograph, moralize, and write” (p. 16).

Transition to Episode Four

I now submit to you in the next episode the narrative text created from field texts and interim texts. I begin by locating myself in the study because I want you to be aware of how I reached this place of educational leadership. My own epiphany of the ordinary will transition you to the turnaround leaders' experiences.

EPISODE FOUR

Excerpt of the Richard Hugo poem, *Skykomish River Running*

I will cultivate the trout, teach their fins
to wave in water like the legs of girls
tormented black in pools. I will swim a
week to be a witness to the spawning,
be a trout, eat the eggs of salmon—
anything to live until the trout and rain
are running in the river in my ear.

In *Making Certain it Goes On*, 1991

Introduction

Locating Myself in the Study

In locating myself as writer, learner, educator, and leader I start with a Richard Hugo poetic verse (as I have throughout the study) because he had so much to do with my early college education and nudge toward leadership. What follows is an experience about a typing error that ultimately led me to leadership.

I entered the University of Montana with wistful dreams of becoming a poet and writer. Richard Hugo “lived” in me those first two years of college because he was my first instructor, first mentor, and first advisor. In the poem excerpt above, Hugo’s intensity to live and become one, so-to-speak, with the fish (or they with him) is how I felt about becoming a Richard Hugo poet. All young poets begin by emulating great poets, and that is what I would do, try to emulate the sound, sense, rhythm, and passion Hugo’s poems emoted.

My class had been “workshopping” each others poems and Mr. Hugo was giving us guidance along the way. When it was my turn to read aloud, I stood up and read a poem I wrote called Martina Creek Miners, about miners who

*searched for gold in the Nine Mile valley just west of Missoula. One of my lines was meant to be, "The miners on Martina taste the ground /" but I had a typing error and the line read, "The miners on **Martini** taste the ground /." After I had read the poem, I said, "Oops, on line two I have a typo. It should read Martina, not Martini..."*

"Whoa!" Hugo bellowed at me. "Don't you dare change that typo! Some of the best poetic images come from typos! Just visualize this. Here are these hardened miners searching for gold, but truly not finding anything of worth. They are in delirious poverty and there in line two is this wonderful typo that juxtaposes the content, and intent, of the poem. Man! That is powerful! Just imagine the poverty of the poem and then this image of miners drinking martinis – a drink usually associated with wealth or the elite class!"

Then Hugo looked me straight in the eye and said to me, and the class as well, "Young man, don't you dare change that typo, and from now on let the lesson be that by random chance we can all find powerful images; random chance may change your lives just like it changed the entire meaning of Rory's poem."

It was by random chance that one day I saw Richard Hugo walking across campus and I stopped him to let him know I was dedicating my life to my poetry and writing. I expected Mr. Hugo to pat me on the back and say welcome to the life of creative writers. Instead, Hugo said to me, "Rory, how is poetry going to feed you?" That is when Mr. Hugo suggested I get into the teaching field so I could at least subsidize my living while I wrote.

I did what my advisor suggested and that, along with the death of Richard Hugo, took me out of the Creative Writing field and into the English education field. It is there I stayed and prospered through my Bachelor's Degree and my Master's Degree. Along the way I had many opportunities for leadership experiences that I would not have received had Richard Hugo not attended to my stomach. These leadership experiences have ultimately led me to a doctoral program and this dissertation about turnaround leaders. In narrating to you my own "epiphany of the ordinary," I set the stage for the narratives that follow. These are the experiences of the three turnaround leaders, and their own epiphanies of, perhaps, the not so ordinary.

I bring you the turnaround stories through narrative text, but to get there I used interviews to focus on the topic and field notes to add my own thoughts as the interviews progressed. Not all of the interview questions were exactly the same, but each leader answered a similar thematic question. I asked primarily open-ended questions that allowed them to narrate their stories.

To establish my place in time and give you insight to what I was thinking prior to the interviews (so you can get a sense of my position, or perhaps bias, ahead of time), I begin by presenting the field notes I wrote prior to doing each interview. The reason I show you all three at once is because the method I use to show you interview answers are based on thematic questions, so placement of my pre-interview field notes would have been an organizational distraction.

Pre-Interview Field Notes: Don Read

"I had been waiting all through the morning and after lunch to get a call from Don Read. I was excited and at the same time a little scared because I felt like a kid who was about to see his master instructor; I didn't want to look or sound idiotic in front of such a great man. I thought back to my phone conversation with Mr. Read and remembered how nice he was and so highly enthusiastic about getting together with me to help on my project. Reflecting even further back, I could remember Coach Read visiting me in Dutton (where I was head football coach at the high school) to talk with my star player, Nevin Odden. Coach Read was a soft-spoken man, and at that time I thought he was even a little shy. After Coach Read visited with Nevin, he shook my hand and said, 'Thanks, coach, and keep up the good work.'

"That had happened almost twenty years ago, but now all kinds of thoughts are running through my mind about the upcoming interview session with Coach Read, and I think I checked my tape recorder at least twenty times to make sure it was still working. I even had -- as if I needed them -- eight extra AA batteries in my pockets!

"Finally the phone call came. Coach Read told me where to meet him, and in what room. He told me to just come on up when I arrived. And so, at the appointed time I walked inside with my recorder, notebook, and eight shiny new batteries. I went directly to Mr. Read's room, I knocked on the door and I heard Mr. Read say, 'C'mon in, coach, the door is open.' (Mr. Read knew I was a football coach because I had told him about our meeting in Dutton and that I had

been assistant football coach at Frenchtown for twelve years. Once I had told him that, Mr. Read just referred to me as coach.) I walked in and the room was a little dark, but pleasant, with a small round table and two chairs sitting next to the window.

“In that brief moment of time when a person looks at another person and, in nanoseconds, can describe the encounter in detail, I had looked at Mr. Read and summed up the following: he was taller than I remembered him being, he did not look like a man seventy years of age, he seemed to be quite fit and trim, he was at once gentle and yet I could feel his energy and presence in the room, and I was immediately drawn to the man as if I were his new recruit and would do anything to play for him!

“While we shook hands, I thanked Mr. Read for taking the time to do the interview. He said he was glad to help in any way possible and then invited me to sit at the small round table. I sat down in the south chair and Mr. Read took the north chair. He opened the window just a bit to let in some fresh air. Outside I could hear a diesel engine running and I was a bit worried that my recorder would pick up that noise instead of Mr. Read’s voice. I didn’t tell Coach Read this, however, and just got everything out and ready to go for the interview.

“I had questions ready, but I was also interested in just talking to this great man, coach-to-coach, and knew that I would only have time to do the interview. I was regretting that this opportunity to have a conversation with Mr. Read would instead be monopolized by an interview for my dissertation. There was so much I wanted to ask him, off the subject of leadership and turnarounds,

and I knew I could spend the whole day with him and still be unhappy because I didn't get enough time with him. Be that as it may, I focused on the interview and began the process..."

Pre-Interview Field Notes: David Moore

"My wife and I decided that we should spend the money for a plane ticket in order for me to fly to Park City to see David Moore and interview him at his home. Once I arrived and met with David, we chose a nice quiet room downstairs. We had some small talk, to begin with, and then David went off to do a task somewhere before we began.

"When he was gone I thought back to the time David and I had spent together in Frenchtown years ago. We lived about four miles from each other, up Nine Mile, and we both attended Frenchtown High School together, although David was one grade ahead of me. David and I both started on the football team and we both played alike, with reckless abandon and pride for the team and what the program was accomplishing.

"I think the most important time in my life during the football years was when we were playing Charlo (a perennial powerhouse back then) and we were down several touchdowns. Some of our so-called 'stud' players were arguing among themselves about getting beat and who was not doing his job or playing hard enough. In the huddle, David told them all to shut up and listen to our quarterback. We were there to play as hard as we could, win or lose, and team members don't blame each other for poor performance. That moment always stuck with me because I was just a sophomore and almost all the other players

were juniors or seniors. That day I knew David recognized I was giving the best effort I could during a losing battle. I'm not sure if David remembers that moment in the game, but I do, and I remember his leadership as well.

"Finally David came back from his errand and we began the interview..."

Pre-Interview Field Notes: Marc Racicot

"I remember waiting patiently at Blackfoot Telecommunications Center, in Missoula, for Marc Racicot to appear. I had arranged the media conference with Mr. Racicot through his executive secretary in Washington, DC. I knew Marc was a busy man because he worked for our president, George W. Bush, to lead his re-election campaign, and he is also a full-time employee for Patterson-Giuliani Law Offices. Marc's secretary said that once there is a 'window of opportunity' for me to interview Mr. Racicot, I had to make that opportunity work because his schedule is full every day. The secretary reiterated several times that I needed to make sure I was at the appointed place at the appointed time in order to connect with Mr. Racicot.

"So there I was in a conference room at Blackfoot Telecommunications awaiting the set up of the technology and then the video conference with Marc Racicot. The tech man for Blackfoot Communications was located in Great Falls, Montana. He acquired the hook-up to a room in the Patterson-Giuliani Law Offices on the East coast. With the connection established, we (I say "we" because there was a lady from Blackfoot in the room with me to help me get started) received a call from Great Falls and he said we were ready to go. Within

minutes a tech person from Patterson-Giuliani came into view and he said he was having someone go get Mr. Racicot.

“About eight to ten minutes later, a lady came into view and spoke through the microphone at the law offices. She apologized because ‘Governor Racicot’ had forgotten all about the meeting and was on his way home. She did mention that she had the governor on the phone and he wished to speak with me. I grabbed the phone in the conference room and spoke with Mr. Racicot. He apologized profusely, saying that he had told his secretary to stay home that day and he would be okay without her. He had forgotten the interview session and he kept apologizing to me. I told him not to worry about it, but I really needed to do the interview, especially since he was such a busy man. He asked me if I could be at Blackfoot in two days and he’d connect with me at that time for the interview. I told him I would be there.

“I was not upset at the missed meeting, but I was a little worried because I knew how busy Marc could be, and I was wondering if something would come up and he’d miss the next meeting as well. On the monetary side of things, it cost me \$100 per hour to rent the Blackfoot studio, so that missed opportunity had been expensive. It would cost me another \$100 for the next meeting as well, so I contacted Marc’s secretary several times in the next two days to remind her to remind Marc about the meeting. I let it slip that it cost me \$100 per hour to use the facility; you pay for one hour even if you only use the studio for five minutes!

When the time came to interview Mr. Racicot, this time we did connect and I felt terribly bad because the first thing Marc said was, 'Now, Rory, I understand it cost you quite a bit of money for my mistake the other day. I'm willing to write you a check to pay for the studio rental; it was my mistake and I can certainly do that.'

"Boy did I feel like a heel at that moment! Here this important man was giving me his valuable time and I had complained about one hundred dollars! I kicked myself for even mentioning it to his secretary! I assured Mr. Racicot that I did not want him to pay for the studio rental. That being said, I watched Marc play around with the telephoto equipment on his end. He moved the focal point in tight and then backed it out. He said jokingly, 'I just need to focus this on my good side. If I am going into annuls at the University of Montana I want to make sure my best side is portrayed.' He then asked me if he looked alright, and I told him he looked just fine.

"What Mr. Racicot was referring to when he was focusing in on himself is the fact that I was having the tech person in Great Falls record the interview on CD. In fact, right before the interview began the tech called the studio in Missoula and asked the assistant, 'Does Mr. Racicot know that Mr. Weishaar is taping this interview? Does he approve?' The lady asked me and I said, 'Yes, I told him it would be taped so I could transcribe the interview and Mr. Racicot didn't care if we had it recorded. He said he was willing to help me with my dissertation in any way possible.' That being said, the Great Falls tech put the CD in and the interview began..."

Writer's Interlude about Locating Myself Prior to the Interviews

In transcribing my pre-interview field notes above, you will notice, as I do now, that I seem to have a bias toward Don Read. In reflecting on this, I think I am a little star struck by Mr. Read because of his calm and inviting demeanor, and at the same time his lofty presence is mesmerizing. Of course I was also a football coach for sixteen years so I have respect for what some coaches accomplish when faced with a grim outlook like the one at the University of Montana prior to Mr. Read taking over. Further, because I can actually see and feel "the house that Read built," (Washington-Grizzly Stadium; I've heard it called that by many people although I cannot quote anyone) the physicality of the turnaround is engrossing. Because of these reasons I can understand, and I want you to be aware of, the iatrogenic bias it seemed to create as shown in my field notes prior to the interview.

At the same time, I do not want to minimize the impact of the other two turnaround leaders. You will probably sense that I am very comfortable with David Moore because we played football together. Although I did not know much about his turnaround efforts prior to the interview, I know him well enough to understand that, in my opinion, he would be a good leader. So you, the reader, might sense a more relaxed or confident stance that I take toward David Moore.

As for Marc Racicot, I feel lucky to know him even though I have not really spent a lot of time with him. I coached with Mr. Racicot's brother, Tim, for about twelve years, and Tim was also my football coach in high school. Marc Racicot watched me either play for Tim or coach with Tim several times over the

past thirty years. So I feel comfortable with Mr. Racicot even though I also see him as an important political figure for our state, and certainly for President Bush during his first election campaign and then even more so for the second campaign.

Now that you have a better perspective of where I stand when it comes to my feelings or personal knowledge about each leader, I will present their turnaround experiences. Instead of giving you each experience in its entirety and then in a later episode synthesizing the data gleaned from thematic similarities, I will present to you their experiences based on a question theme and then follow up with sections about how the experiences are similar or different. The general question themes about to be relayed to you include pre-turnaround event questions, turnaround event questions, and then post-event questions.

In this dissertation you will see me refer to the themes as stages and as medical metaphors. The stages are taken from Chowdhury's (2002) Turnarounds: A Stage Theory Perspective, and I focus primarily on the "Response Initiation" (Stage 2), which I also call "pre-op," and the "Transition" (Stage 3), which I also call "surgery." I will, however, touch upon Chowdhury's "Outcome" (Stage 4), or what Bibeault (1982) calls the "Stabilization Stage" (p. 102). The medical metaphor I use is adopted from Bibeault because he talks about the "Emergency Stage" (p. 99) of a turnaround being a time when the leader must do "surgery." I am not trying to confuse you, but the schematic (Table 4) below should help you visualize what is written above.

Table 4

Turnaround Stages and their Metaphoric References

<u>Bibeault's (1982) Stages</u>	<u>Chowdhury's (2002) Stages</u>	<u>Metaphor</u>
Management Stage	Stage 1: Decline	Disease
Evaluation Stage	Stage 2: Response Initiation	Pre-op
Emergency Stage	Stage 3: Transition	Surgery
Stabilization Stage	Stage 4: Outcome	Post-op
Return-to-Growth Stage	(Stage 4: Outcome)	Recovery

Within the leaders' answers to question themes, I will bold certain words and phrases that, to me, are important descriptors for the theme and ones that I transfer to a coding matrix so I can code for sub-themes within the major themes of the questions.

Pre-Turnaround Event Question Theme: Explain why you think you were chosen to take on the turnaround task. What did others see in you as a leader?

In garnering information from each leader based on the pre-turnaround question theme, Don Read and David Moore came quickly to the answer, but I had to search a little bit through Marc Racicot's responses to come up with some semblance of an answer. Keep in mind, however, that Mr. Racicot was an elected official. It would be inappropriate for me to say that he was elected specifically to turnaround the state. No one knows the reasons behind why the majority of Montana voters elected him; I have found no exit poll to ask for reasons why. We

do know that the state had a deficit of over \$300 million and that the deficit did become part of the political agendas for both Racicot and his democratic opponent.

About being the “go-to” leaders for organizational turnarounds, Don Read mentions his reputation for creating turnarounds, David Moore talks about his personal qualities, and Marc Racicot seems to imply that he was a type of leader who could create the atmosphere for a process that would lead to teamwork and then success.

In relating Don Read’s answer to the question first, he came right out and said, “I had a **reputation**, I guess you might say, **of turning things around** or building a high school situation that was a losing operation.... We got some good kids and got some things going there.” And then at the college level, Coach Read adds, “I was in Oregon Tech... and they hadn’t won a game in years, and we got that turned around; and in Portland State we made some real progress. We started out in NAIA [National Association of Intercollegiate Athletics] and moved up to NCAA [National Collegiate Athletics Association].”

The other factor that Coach Read gives for getting hired at Montana is because Harley Lewis (a former University of Montana athletic director) had seen him turnaround the programs in Oregon (when Mr. Lewis was athletic director at the University of Portland). Harley Lewis’ discovery of Don Read’s turnaround talents eventually led to Mr. Read’s coaching job at the University of Montana. Coach Read states, “I think he [Harley Lewis] was looking for someone. The

program [at Montana] was down and they hadn't had much luck in turning it around."

What I find interesting about why Coach Read accepted the job offer at Montana is because he implies that a good friend helped him think hard about his decision. Based on conversations he had this friend, and a former University of Montana coach, Jack Swarthout, it attenuated Coach Read's vision for what could be. He said, "Jack had a good feel for the University of Montana. Jack felt it was kind of a sleeping giant; that some things needed to be done, but the potential was there. So that was a big part of it." The other interesting reason for Coach Read taking the job is, in my mind, highly unique, but I will get to that when I write on the themes of belief and confidence in getting the job done.

David Moore mentioned that he had created a turnaround once before in a broadcasting sales corporate division, but that he had had several failures as well. So he really was not asked to take over the Kimball Art Center based on his past turnaround experiences. Instead, Mr. Moore claims he was asked to take over because of certain leadership qualities he possesses. David Moore said of himself that he brings "**vision**" and "**work ethic**" through his leadership. He believes he was hired because of these qualities, but for certain character traits as well. David said, "I think they [the Kimball Art Center Board of Directors] saw that I would be **honest**, that I would be **fair** to the other board members and staff, that I would **present myself reasonably well** in front of the community." The latter quality of communication is important because the non-profit art center needs to attract as much community as possible in order to gain support for attendance, donations,

art classes, and in creating an atmosphere to make the center an important aspect of the Park City community.

Marc Racicot has community in mind as well when he talked about being someone who could lead the state through its deficit problem. Racicot realized that, “if we [all state legislators and the governor] could just **build** enough **critical mass** within the legislature to go through the **journey** with us, we would be able to draw some conclusions about which things to prioritize, like any **family** would, or any **business** would.” And in order to do that, Governor Racicot would have to lead people through a “**process**” of “**creating at atmosphere** within which good and decent people could come to some resolute conclusions.” Racicot repeatedly goes back to the word “process” seventeen times during the interview, making it an important term for his leadership method.

Following a process means the leader has to keep the process going in a positive direction toward turnaround. How Racicot’s leadership achieved this positive direction is based on several factors such as teamwork, humility, and confidence. Racicot states the following:

I can certainly describe what I think a leader might bring to the **process** of wanting people to do good things. I think, first of all, the power of **teamwork** is never overestimated, and I believe that that is the most important function of a leader, is to recognize that he or she does not operate in isolation from others, and that it will take the assistance of others, and that there needs to be, as a consequence, a significant assumption of **humility** from the very beginning... It is also a good

exercise in self-discipline to proceed without the assumption that you must, somehow, get public recognition for everything that occurs. That, in turn, requires that you have **confidence** in the people whom you serve, that they will see you for what you are. You have to **believe in your capacity** to do that, and I think people are very discriminating and they understand if you are an elected leader, not claiming credit, proceeding with **humility**, putting together a good **team**, accomplishing things that, at the end of the day you, in fact, are deserving of their **confidence**. I don't know what more you can do than that.

Belief in getting the turnaround accomplished and confidence in doing the job may be important factors for those leaders who take on the turnaround challenge. It is the belief and confidence themes that are also attended to in the next thematic section.

Pre-Turnaround Event Question Theme: Did you know you were the right person for the turnaround challenge? Explain.

In focusing on the question theme, keep in mind that I wanted more than a yes or no answer. What I was trying to find out was the answer behind the yes or no. Interestingly enough, Don Read and David Moore answer "yes," but for different reasons. Based on how they had responded to the first pre-turnaround event question, I assumed that Coach Read would say "yes" he knew he would succeed simply based on his past successes. I thought his own self-confidence, based on those past experiences, would be the motive behind his answer. In

reality, his “yes” answer was based on calculated thinking and the forecast he received from Jack Swarthout.

David Moore’s “yes” response was actually based on past turnaround or leadership experiences even though he had admitted that not all of his turnaround leadership endeavors had prevailed. I thought David would not base the answer on his past leadership experience, but rely more on answering the question based on his personal traits and the vision he had mentioned in the previous response. I came to find out that even though his answer about getting the organization turned around was an emphatic “yes,” he was admittedly overconfident in how it would transpire.

Marc Racicot’s answer to this query is never really given to me. In having to subjectively glean a type of answer from the interview text, I can only interpret that he assumed his process for creating turnaround would work, as long as he and everyone else took responsibility for attending to the process. It may be that as an elected official who must try to bring factions and special interests together, he can only hope that others will be willing to coalesce along the way, and so no definitive answer “yes” or “no” can be given. It is as if the end will justify the means, and in politics this might rightfully be so! That being noted, I will begin, once again, with Coach Read’s answer to this question’s theme about whether or not he knew he could turn the football organization around.

In knowing whether or not he could turn the University of Montana football program around, Coach Read realized he could be the person to lead the turnaround. However, Mr. Read did not base this confidence on his past success.

Instead, he was confident because of what he had seen happen in the NCAA with number of scholarships and facilities, by comparing Montana to Portland State, and then adding Jack Swarthout's forecast to this mix.

In speaking about the latter comparison first, and then moving on to the NCAA and facilities insights, one can begin with Mr. Read's friend, Jack Swarthout. He had told Coach Read that Montana was a "sleeping giant." Coach Read took time to reflect on what Jack Swarthout said and then he compared Portland State's culture, climate, and facilities at the time he was there to what could happen with Montana's culture and climate if he was to take the job. He knew that Montana was planning a new facility.

Coach Read knew he could create the turnaround Harley Lewis and the University of Montana wanted, but in speaking about how he knew, Mr. Read mentioned that he would have to talk about Portland State in order for one to gain the perspective of his thoughts. About Portland State's school culture, climate, and facilities, Coach Read said, "I thought Portland State, where I was at, had such limited, I mean [pause] we were a city [longer pause] In order to understand, to answer your question, I've got to talk about Portland State for a minute." With that said, Coach Read said the following:

We didn't have dormitories or housing on campus. The population were a lot of folks coming back to get degrees and that kind of thing, because they were a **city**, that kind of **atmosphere**. And I didn't feel it was that **student life**, and kind of thing you needed to, uhm, turn the fire on competition-wise; to **get people behind you, students involved**. So I saw

here the opposite thing at Montana. An **isolated** situation where people were very **loyal**; **large alumni** over a lot of years **loyal** to the university, **students living on campus...**, at that time they were planning on **building a stadium**.

What Coach Read so precisely calculated was that at Montana, because it is an isolated campus with traditional students actually living on campus, and because Missoula did not have the big city atmosphere like Portland, the climate was more conducive to interest in football. Added to this is the fact that Portland State had a lot of non-traditional (older) students coming back for degrees who were not as interested or “fired-up” about football, whereas at Montana, with so many traditional (younger) students, the culture was more conducive to football, if the football games could be entertaining.

With Coach Read establishing the contrasts between the two schools (and cities) dealing with climate and culture conducive for football, what would the NCAA and facilities have to do with his decision to come to Montana? Of course Coach Read did mention the fact that Montana was going to build a new stadium. This information was also a catalyst for Coach Read’s thoughts about taking the job, and this is where his reflections about the NCAA scholarship rules made their way into his head. These thoughts, along with facilities experiences in Oregon, were important when it became time to look seriously at the Montana coaching job.

Coach Read discusses the importance of NCAA scholarship rules and school facilities as a factor in his knowledge about whether a university football team will see a turnaround happen. In looking back to the 1960s and 1970s and moving forward, here are Mr. Read's insights about how those changes and factors helped him to realize that a turnaround could be orchestrated at the University of Montana. He stated the following:

Oregon always played second fiddle to the California schools like USC, and I'm going back to the sixties and seventies, in there. The NCAA rules at that time affected the situation. At that time there was no limit on scholarships, so the wealthy [schools] could always get masses of players. And if you were a smaller school, and at that time Oregon was, your budget would dictate what kinds of kids your program could have. We found out at that time about five or six schools that were dominant had money, but a second factor was facilities.

At the University of Oregon they had Heyward Field, but it was just a great track facility; before they had Austin Stadium, football was played at a track facility! Well, if you were playing USC in the Coliseum and you're playing UCLA in the Rose Bowl, or playing Washington in a 65,000 seat stadium, and you are trying to recruit, you just can't do it with the facilities you have at Oregon. Really, when you are out recruiting it's just a tougher sell. Once Austin Stadium was created the ability to recruit a better caliber of player was a given. And then in the late eighties, the NCAA got involved and said we'll take care of the situation in which

Nebraska has 135 scholarships, but Oregon only has eighty-three. So everybody's going to have the same number. It started out with ninety-five and then they decided it would be important for how many you have a given year. Pretty soon it was a hard-fast thirty. Now, and what I'm getting at here, is that then the NCAA came up with eighty-seven for each school. That really helped, and **now teams that couldn't compete twenty years ago can compete.**

So I think the **NCAA rules**, plus the **facilities factor**, made it so there is **parity** now in most leagues. I think that has happened at Montana. The point is **there is a blueprint out there**. I think if you look across the country, how can a Northwestern win a conference championship? There is a more **level playing field** out there [pause].

When the qualities of facilities increase, then things can get moving. It takes **leadership** to help this, but I think this is just the way it is.

Based on Coach Read's knowledge of NCAA scholarship rules, the facilities issue, and the differences between Portland State's and Montana's climate and student cultures, and his experience talking to Jack Swarthout about the University of Montana football program, his reasons for realizing that he would succeed at Montana were not based on his own reputation as a turnaround leader. Instead, Mr. Read's detailed thoughts and calculations about these things led to his affirmative answer to the question about whether or not he knew he would succeed at Montana. He followed this up with his thoughts about knowing that turnaround success would come:

I believed it would. The question in my mind was would it be two, three, or four years? For example, the first year I was here we lost the first five games and Harley Lewis brought me in and said, “These fans are tired of losing. You can’t lose.” I remember me saying to Harley, “Harley, I told you when I came here **I didn’t know how soon this would change.**”

Remember, we had no wide receivers and the entire line was in a four-point [stance] even for passing! My point was that you gotta **give us a little time**; you **can’t get panicky** on us. You **stay with us**, and I think by mid-season, or three-quarters of the way, we **started to see a change**. I think it did work that way as the season went on. Yeah, **it was hard**, but **I always felt it would work** even though **a lot of people around me didn’t feel it**.

We did have to **go through a lot**. I mean we had a quarterback who was use to the wishbone and now he’s passing! We had a problem with [name deleted] younger brother, and he was the destiny. He got into a felony of some sort and we had to let him go. And that was the other thing. **Internally** it’s like what’s going on here? We had to go through a lot of **one step forward and two steps back** type of thing.

In a much less calculating way of determining that he could create a turnaround at the Kimball Art Center, David Moore confidently stated, “There was **never any doubt** just because I had been in charge of other organizations in business and in college, and it just seemed that it would be **something I could**

do.” However, David goes on to quiet that confidence a little by further saying,
“I didn’t know how hard it would be!”

Marc Racicot does not echo David Moore’s statement about how hard a turnaround could be, but he does say that he **didn’t “understand precisely”** how his process for creating a turnaround would work. He stated the following:

So the answer to your question in the long fashion [it took him thirty-one transcribed lines to get here] is that **I didn’t understand precisely** how the process was going to unfold, but I knew the **responsibility was inescapable**...in terms of each program -- what was going to happen to it -- **I didn’t understand that precisely** when we started, and a number of my recommendations were endorsed, some of them were changed, and a number of recommendations that they [the minority political party] had were endorsed by me.

It is during this time of the interview that Governor Racicot described the “process” for which he has been referring. Since he described the process as something he knew he had to use as a pre-turnaround imperative, I would like to use it as endorsement for his answer to the thematic question in this section. For in the process he describes, the “yes” or “no” answer about whether he knew he could create the turnaround is based on whether or not he could gain support during the process. He describes his process as follows:

I viewed **my responsibility** to, first of all, **bring enough people together** from both sides of the aisle to **recognize the severity of the situation** and to -- number one -- and number two -- to realize **it was inescapable**

that we were going to have to **prioritize**, and there was going to have to be some things, obviously, when they were at the lower end of that **prioritization**, would have to be probably **eliminated**, or **diminished** in some fashion. And then to **build enough support from within** both the executive branch and the legislative branch to finally have **enough votes** to approve of the way that we were going **to proceed**.

Governor Racicot's "process" for working toward creating a turnaround is based on leadership that would bring people together for the good of the state. I wondered, is bringing people together going to be a big factor for Coach Read and David Moore as well? We will now venture out of the pre-turnaround themes and get into the actual turnarounds themselves.

STAGE 2: RESPONSE INITIATION / PRE-OP

Turnaround Event Question Theme: Detail what you did to ensure the organization would have an atmosphere conducive for a turnaround. What actions did you take?

Bibeault (1982) talks about a turnaround leader coming in to perform surgery on an organization that is failing; he calls this the "Emergency Stage" (p. 99). Although he doesn't mention pre-op (pre-operation) prior to a surgery, I add this microcosmic event because I wanted to focus more closely on the initial actions taken by the leaders as a precursor to surgery. Chowdhury (2002) might back me on this point because he deems a pre-op situation to be important for a turnaround; he calls it "Stage 2: Response Initiation" (p. 254). Even though Bibeault does not have a pre-op stage, he does state that during the "Emergency

Stage” success depends on “management style” (p. 92) of the leader coming in for the turnaround. In that vein, we will now look at the pre-operative actions, or management styles, each leader takes to prepare for the turnaround “surgery.”

One of the most important pre-operative strategies that Coach Read took to begin the turnaround was to analyze what needed to be done. He stated, “It was a matter, I think, of **analyzing** and **getting the right people** to move in and get it done.” Of course by the nature of the coaching job, Coach Read had to hire assistant coaches who knew his system, or could learn it quickly, and wanted to be part of the turnaround challenge. After that had taken place, this surgical team could do their pre-op, or analyze the situation at hand.

In the analysis of needs, the very first thing Coach Read did was to begin compiling lists of people and groups he could begin making connections with as a way to expedite changing the apathetic feelings people and groups had toward the University of Montana football program. Coach Read stated the following:

I did some **research**. Harley Lewis was great and so was a former basketball coach who was real helpful in terms of... [thinking]. I asked them this question: “Who in the **community** do you think has a **genuine interest** and **enthusiasm** for football?” And they gave me a **list**, and some of the **names** were the same and some weren’t. So I started with those two lists, and they kind of branched out into others – I got more and more... [This became] the Quarterback Club. They did not have it at the time and we **developed** that as a **resource organization for football**. And, so, when I said “**people**,” I think what we did was **get people**

together who had a **genuine interest** in football – and **we got them together**. We **got them in a meeting** for **common goals and purposes**.

That's what we were after.

Once Coach Read and his staff initiated this pre-operative procedure it set the stage for a turnaround because it was a way to change the apathy in the community. Instead of people sitting back and watching (or even betting on) how a new coach might turn the Grizzlies around, Coach Read was essentially getting these people out of their spectator seats and asking them to be part of the new program and the new culture that Mr. Read was going to create. There was more to getting people excited about football and out of the apathetic mode than just the Quarterback Club, but that will be established once the real surgery begins.

I realized that David Moore's pre-operative procedure was to analyze the situation as well, and in essence do the same thing that Don Read did at Montana; build a coalition of people that could assist with the endeavor, or at least support the endeavor. What follows is Mr. Moore's analysis of the organization and what he needed to do before starting the surgery.

In analyzing what needed to be done with the Kimball Art Center in order to bring it out of debt, and to get the public more interested in the center as an important part of the Park City community, David stated the following:

Well, I pretty much knew I was **stuck with the staff** I had at the Kimball [because it is a non-profit organization and **hard to bring in volunteers** and the few paid employees]. Stuck in that I knew we had a director who didn't have the background to do her job. She didn't have an art

background and she didn't have a business background. She was a political fundraiser, but she had the ability to make herself look like she was doing well, and talked about how great she was doing. So I knew **I couldn't do much there**, but I could get some **board members that would support me** and see through this person to find out who she really was. So I **assembled some friends and acquaintances** who I knew would help me, and that I knew would have the good of the Kimball Art Center in the forefronts of their minds, as well as they might be able to **contribute some money** through their **friends and acquaintances** in the community, and through their businesses.

In pointing out that Don Read and David Moore had almost the same pre-operative behaviors, it might be that Marc Racicot could well have done the same thing because with any elected governor, one of the first things he or she must do by design is appoint cabinet members who will support the leadership and the leader's policies as well as assist with creating the turnaround atmosphere. How Governor Racicot accomplished his pre-op is stated through his analysis of the people he wanted who could help him create the turnaround and govern the state. Racicot described that as follows:

I wanted **knowledgeable people**, first of all. **Competence** was a first requirement. The political affiliation was secondary, and frankly I had democrats, good solid democrats, in my cabinet. I can remember interviewing one, whose identity I'll protect because I don't know if she wants, necessarily, to have all that this does, but I asked her to come in

because she was a supervisor in one of the state agencies, and because I wanted to talk to her. I told her I wanted her to be a department director and she told me, “Well, I didn’t vote for you.” I said, “That’s not a qualification. The qualification is **competence**. Do you know the agency? Do you know how to make it operate? Can you **gain the loyalty** of the employees who are there? Can you **coalesce** them around an **objective**? Can you **assist them in making hard decisions** because we can’t know everything ourselves? We’ve got to **depend on those people** who are actually **in the trenches** and understand what’s going on.

So what I was looking for, first and foremost, was **competence**, and a **dedication to a mission that we could commonly embrace**, and an **ability to rally people** who we were all going to have to **depend upon** if we were going to **find the margin** within which we were going to **make those decisions**.

In the pre-operative functions of all three leaders, they analyzed their situations in terms of getting the right people to assist with the turnaround. At least in this microcosmic stage of the turnaround event, I can understand how important Collins’ (2001b) tenet is about getting the right people because they are your most important assets (p. 38). In all three cases above, it is not necessarily getting people in place to assist the turnaround leaders; it is getting the “right people” in place to assist the turnaround leaders.

In summary, as an example of getting the right people, Coach Read brought in the right assistant coaches, but in order to get a community impact with the right people, he went through his lists to bring the right people in and to get the Quarterback Club. It became a resource organization to assist with the turnaround. David Moore chose a few board members who were like-minded in thought. Then he brought other people in from the outside that, through their donations and support, would support David in the face of what was to come. They were also supportive because of a director who had cushioned herself from criticism through the use of her own friendships. And finally, Governor Racicot chose the right people, regardless of political affiliation, to assist with his process for turnaround. His criteria for getting the right people were competence, dedication to a mission, and the ability to rally others.

The next turnaround event theme is the real “nuts and bolts” of the leadership actions that led to the organizational turnaround. I have set the stage, as did the leaders, through the pre-operative section above, but now it is time to look at the surgery itself.

STAGE 3: TRANSITION / SURGERY

Turnaround Event Question Theme: Reflect on what leadership actions you took to create the turnaround. How did you do it?

Since the answers based on this question theme will be in detail, and lengthy, it is important that I provide you with a thesis that organizes the answers for each turnaround leader. The thesis organization may not represent the same organizational pattern for which the answers were given. Instead it is my attempt

to organize and bring together the detailed answers that, at times, came out during various sub-questions that I used to lead the interviewee toward a certain subject outcome. For example, if a leader touched on a subject only briefly but I realized it needed more substance in that theme, I would use a sub-question to get more information. One explanation of this might be with the topic of rewards in the Don Read interview. He mentioned rewards for players, but then the idea of rewards for coaches is added later when I needed more information about assistant coaches and how he kept them motivated during the turnaround. Once again I will remain with the organizational pattern of Don Read, David Moore, and then Marc Racicot.

Although there are many important aspects to the leadership actions Coach Read took in order to create the turnaround, the most important ones include changing the climate and culture of the past program, building coalitions with people and groups, the use of simple but effective rewards, using situational and behavioral “psychology” (Coach Read would often say, “the psychology of [it] is this...”), and getting the right coaches in the right jobs. After his pre-operative procedure to analyze the situation and plan for the success he knew would come, Mr. Read was energized and ready to act. In his own words, here is how Coach Read performed surgery to turn around the climate and culture surrounding the University of Montana football program:

Of course we went in **a lot of different directions** because there was a lot of **apathy in the community** -- student body and faculty and so on -- and so...the **energy** had to be moved in a lot of different directions [pause].

Our efforts were to get the **media** to try to **sell positive things** about the program, **get to the faculty** and try to get them **involved** the best way you can. By that I mean, first, you have to **extend yourself** and go to their functions, **get involved with them** and then **some of that comes back – very important!** I felt like I had to **get into the fraternities** and **talk to the students...**and I think the bottom line is to **present a product** to these folks that is **worthwhile** and **entertaining**, and provides a **fun atmosphere** [Paused for reflection].

They [the former Grizzly football program] were a wishbone, football-wise. They were really ground-oriented, hardnosed kind of, and we, our background, was throw-the-football. So we thought, “Well, **if we can’t win** early here, let’s **try to make it fun!** We’ll put it in the air and try to move it.” And so we tried to create, by way of our product, an **entertaining atmosphere**, and we tried to do that **on the field**, but we tried to do it **other ways, too**. We tried to get the **fan involved**. We tried to provide a **halftime situation** that was **entertaining** [pause].

We got involved in all those things because we thought if we couldn’t win the game, we wanted the folks to **have a different focus** other than, “I should have stayed home and dug a hole!” Ah, you know, they got something out of their experience. And so we tried to **make it a bigger thing**, and **the stadium helped** provide that, too, because it **presented an atmosphere** that, ah, the **people enjoyed** being in; they

were on top of the field; the **noise factor** was there, the **color**, all those things. The **stadium helped generate this enthusiasm** I think.

It is important to note that the stadium helped with creating a new climate and culture for football, and along with that Coach Read truly focused, at first, on the idea of entertainment rather than the idea of winning football games. Of course this is due, in part, to the fact that at the college level you are “stuck” with the recruits the past coach left you. Coach Read understood how hard it would be for them to use athletes who were recruited because of their ground-game potential instead of their passing game prowess.

Another part of the atmosphere of fun and entertainment, but also a highly important aspect for building coalitions that Don Read established, was alumni relations. Coach Read wanted to emphasize the fact that the alumni cannot be overlooked, and are every bit as integral to success as other aspects of his program-building. Coach Read said the following about the importance of alumni to his turnaround efforts:

There’s an important part of this thing, and that’s the football **alumni**.

The football **alumni** here – we looked at season tickets and that thing, and there were no **alumni** who came back to watch football here. So we tried to do some things to get them here. We had some **festivities** around the **alumni game**. We tried to **make the alumni important**. We tried to **talk about the past** and how **they built what we profit from today**. And we tried to have **fun** with them. We had a banquet for them. We **made sure they won** [the alumni game] every time we played. [*I laughed*] We did!

Everything we did was important. With the media we talked about those guys, not us.

We wrote them letters; we tried hard -- I think we had success -- to bring them back into the fold, and it helped us a lot of ways, not only with interest and pride, but pretty soon we found, with recruiting. We'd get some alumni to say to a kid that so and so played here and he told my dad that...and all of a sudden we felt like the football alumni was making a difference. We even started getting a little money in from those guys! I mean it wasn't a lot, but -- and they started to come to games. So I think that was another thing we worked hard on and it paid off for us.

Coach Read talked about how everything that they did was important.

One of the most important aspects of the turnaround was keeping everything positive. The climate and culture were now certainly positive based on what Coach Read did to assist with the fun, enthusiasm, entertainment, and festivities surrounding the program. Read talked about the use of the media being important for them. It was highly important to keep the positive climate going. Coach Read makes note of this below:

You look at the early things we tried to do, for example, instead of talking to the media about the game, we'd talk about individuals and the things they did well. That helped, I think, cement the good feeling among players. Once you get that in college, unlike the NFL I was in the last few years, it's such a different setting because in college it's that good feeling they have that helps the kid, and then helps you recruit. The idea in the

pros is that if the kid can't play, you move him out. [Our approach was] that if you were going to get better kids we needed a **solid core at home** to help us get the better kids.

At this point in the interview, the discussion about media, positive image, and kids led to Coach Read transitioning into a story about getting Montana players, building pride for the school and state, and then his strategy for scheduling that truly, in his mind, helped create the turnaround. Coach Read Continued...

The other thing was **Montana kids**. The University of Montana was an important name in itself – we talked about how so many teams in the Big Sky recruited heavily out of junior colleges. We felt like, if we could get more **in-state pride, university pride**, and so on, it would help us. We really felt it would...so we put a lot of **emphasis on the state**. We went from just one guy recruiting in the state to three. We tried to do more [coaching] **clinics**. We tried to **get out more** – things we could do to **help more high school coaches**.

So that was all part of this **pride** thing and **the building blocks to change this image that people had**; I think the **media** had, the **fans**, the **alumni** had, the **faculty** had – it was all that – **it doesn't change with one thing**, it starts changing when all these things start filling in, and then, of course, the **scoreboard** is the final thing that people adhere to and grab on to, and use as a gauge to see whether you are progressing or not.

So in order to stimulate that, I felt the **schedule was important** for us. We needed to **play more home games** and **teams we could beat**. Of course you don't have much to say about that because it's often done four or five years ahead of time. You can't just say you are going to change the schedule, but we did **sneak in a couple of teams we knew we could beat**, and we were able to **play a lot of kids** that we felt good about. After all, once you've played somebody, nobody remembers who it was. Five years from now you just remember the wins and losses. You know what I'm saying? **Getting the wins was more important than who you play**. Now, later, as we got better, then we played the Kansas States, but by then we knew where we would be. So some of the **early non-conference games were so important** because the conference was so tough – we played Nevada and Boise.

At this point, Coach Read goes back to the idea of making football fun again and how important that was for the fans and players. Coach Read's fun theme was even used when planning for opponents. I had asked him about his use of gimmick plays. Was it to let the kids have fun or to actually set the opponent up for something else? He related the following:

Yeah, making it **fun for the kids** and the **fans** is very important. Our **psychology**, though, always went like this: **we programmed** – we had eleven opponents – in the off-season **we had a theme** for each one. In the off-season we didn't create a detailed game plan, but we had a rough idea and with a **theme**. Some teams were conducive [to gimmick plays]

because of the nature of the team. To do some things against some teams, because you're playing them at home, you may have an extra day of preparation or sometimes it was meant to set up the next team you were playing – say Washington State – to make them prepare for something you probably wouldn't use. That's not just the **fun** part of it, but it also **blended in with the theme**, and **that was really my role**. We had other guys who did all the detailed planning. **I did that kind of thing**; how we were **blending** in what, and what **gambles we were taking**, and that kind of stuff.

I speculated that the gimmick plays were like rewards for coaches and players because they were fun. Coach Read agreed, and he also noted some important things about rewards that helped with the turnaround. He stated the following:

Along with **positive coaching** and **thinking**, you need **rewards**. It's harder when you are not winning all your games, to **find rewards**, but you've got to reach back and **find some**. Even **gimmicks**. Even as simple as a pocket of M&M's and **other rewards** as well, but I always had a pocket of M&M's. If the kids did anything right, I'd give them an M&M. **Just anything that would encourage** them, and, I think, not only would they receive a reward in a **positive** way, but you get kind of a **camaraderie** going. He got some today and it's a **team building** sort of thing which is so important in a team sport that they **care about each other** and this is **fun** for them..., and so this is part of **changing an**

image that we could win; part of it from **positive coaching** and then the **rewards**. We get **names on the walls** and in **newspapers**.

Other people in the Montana football program who had their names on the walls and sometimes in the newspapers were Coach Read's assistant coaches. In speaking about the role that assistant coaches played in the successful turnaround, coach Read talks about putting the right coach in the right job, continual evaluation, changing their job descriptions to better fit them personally, and using psychology to build their self-images just as Coach Read used psychology with the media and the schedule in order to build players' images and the program's image.

When I asked Coach Read about what his psychology was for building a great coaching staff to assist with, and buy into the turnaround philosophy, he answered the following way:

Well, I've always felt like... [thinking]. I don't know if this will answer your question, but I will do the best I can. I've always felt like what's most **important** for assistant coaches is for him to **know his role**, to have a **clear understanding** of his **job description**, the specifics, and I've always been a "**delagater**." When I was an assistant I always felt that if I was going to be **evaluated** for this, then give me some freedom to do this stuff.

I spent a lot of time **developing the descriptions** around the **strengths and interests of each coach**. Each coach, in the off-season, would be **evaluated** and we were always **changing the descriptions** to try

to meet the strengths of each coach. For example, if the coach was good with the public, he might take over more of a role with the public or recruiting. We had an awful lot early, and this is a big state, so you had to use the right guy to do the speaking.

Once you had **the right description**, and **they bought into the philosophy**, then **everyone would be part of it.** For example, our philosophy early on was Montana kids, throw the ball and throw the ball early and often, and have **fun.** Then later on down the road, the goal would be national championship. In terms of job description and psychology, go from the bulletin board, to names on the wall, to specific goals -- like twenty first downs or something like that -- and the coaches had to buy into this. For this to sink into the kids, it **had to go through the coaches.** You mentioned those **gimmick plays.** That's **part of the buy in** and the **fun** that would go **from the coaches to the kids.**

In order to retain the good coaches so that the turnaround success could be assured, Coach Read's psychology for that was to do things to keep the morale up, and he knew this was one of his most important roles as head coach. Read said the following:

What's most important is that you are **constantly trying to help the self-image** and **potential of those coaches** around you. You are working to **bring out the best** of what they have in them. And so a lot of **evaluation is continuous** so you make sure they do the best they can. For coaches to be successful they need to be able to **voice their opinions**, the need to be

able to **say how they think**, they need to **get their feelings out**, and if they don't believe in you they'll tend to shelter that.

To me it's **getting to them**, it's **patting them on the back**, it's **going into their office and having some coffee** with them and looking at a little film with them. And **going over to their house** and **sending their kids a birthday card**, and getting their **wife together with yours**. It's a lot of things to **make them feel good** and part of that you **keep shoring up** to get the most out of them. I think part of the things I tried to work hard on was to keep the **morale** and the **attitude** and **effort level up all the time** and those are just some of the ways you can do that. Now you would like to say, if you were at Ohio State or something, I would like to give you a **\$20,000 raise** or something, **but at Montana you can't** always **do that sort of thing**, so you **find other ways**.

In his own summation about turnaround leadership actions, coach Read gives the following synopsis:

Just to kind of sum up things I've said, I think the **blueprint for success** I spoke about **is important** – the ideas of **facilities** and **recruiting**.

Sometimes it's important to **take little steps** like we did, game by game, then add a conference championship, then a playoff game or two, then a national championship.

Before all this happens, you have to **turn people around first**, come up with a **philosophy** or a **plan**, set **goals**, **assign responsibilities**, be **creative to motivate**. You have to make sure the team has **recordable**

moments at each game – like most first downs ever – that sort of thing.

Bring down the other guys, glamorize your guys, stress academics and get the alumni involved; touch audiences in different ways and always stress the positive, and constantly give rewards for the team and the staff. I feel there is a misuse of energy if you don't have a strong leader. A good leader controls the action. A key to approval is success and doing what works.

In moving on to David Moore's turnaround success, I sensed that unlike Don Read and the football program, for Mr. Moore there was no blueprint for success, and David found it hard to accomplish the turnaround. Before we get to that, however, I had asked David about the stability of the art center before the turnaround, and now that the turnaround is taking place. He answered this way:

It [financial stability] was not great. Right now it's not great, but it's better and we don't have to dip into our endowment every month to pay salaries, to pay utility bills, and all that kind of stuff for day-to-day operations. But you know it's the struggles of a non-profit organization. I've never been involved that intimately in one and **didn't know how difficult it was** to, you know, make ends meet – and it is!

Since a difficult part of the turnaround success was having the right art director for the Kimball Art Center, much of what David was doing to create the turnaround centered on the director. It is through his story of art directors that we come to the turnaround. Remember that there was a director in place when David became the chairman of the board, but she was more of a political fundraiser and

she had a knack for making it sound like she was doing a good job. It is from this reminder of what David said earlier that we begin the story. David described the experience in this way:

Well, I kind of let the director keep running the place as she had been, but I kept getting phone calls from people in the community. They said the director was doing some bad things, or that the director had spoken about me terribly. At first, the few phone calls, I just let it go, but then when they became more prevalent, **I just couldn't let it stand.**

I sat down with the director and said, "Listen, I've got these complaints. What's going on?" She'd usually start crying and then tell me her side of the story. As time went on, I found she was just an angry person. She wouldn't work well with people. She wouldn't listen to people. She was just a my-way-or-the-highway type of person. So I said, "Look, I'm going to **come in every Tuesday** and we're going to **talk about** the phone calls, and just **talk about** things that are going on. You'll let me know what's going on, and I'll tell you about each phone call I received. Then we'll try to **come to terms** on how we deal with each situation and **how we'll proceed.**"

And we did. For about three months, **every Tuesday morning** I'd come in at 8:00 and stay until about 10:00, and every time we'd meet, she'd be crying, but **I wasn't mean.** I'd just lay out the facts. I'd say, "Okay, here's what's happening. Here are the phone calls I've got and why does it continue to happen?" Anyway, eventually **she quit** – which

wasn't my goal at all! My goal was to try to **make her see that she could be a better manager** and a **better voice to the community** for the Kimball Art Center. She was just too adversarial and **she didn't like me involved**, so she quit.

Once again we can go back to what Collins (2001b) says about having the right people for the job; it was highly important for David to have that right person as director of the non-profit art center. With one director gone, David became the leader who had to hire the person to take over the directorship. About that, he said the following:

Well, by this person quitting it gave us a real **opportunity to find someone** who could be a **real voice** for the Kimball. Somebody who could get on the local radio station and talk about all the great things the Kimball is doing, and someone who could **get our education program going** because that's a good **community relations builder** when you are teaching kids and the community about art, or whatever you want to teach them about. And I wanted somebody who knew something about art – I think that is important.

And we found someone who had all these qualities, but she didn't have the **business or personnel relations qualities**, and while she built up the community and did something internally, we were **having problems** because [pause], we were **having problems** because, as a board [chairman] you don't see the day-to-day operations and find out what's going on. You just come for a monthly meeting and you assume everyone

is getting along, or if there are problems the director is handling them, and she was not.

So that ended up blowing up in our faces. Mine especially because I'm the chair and the one who had hired her. But again, this gave us the **opportunity** to say, "Okay, where did we mess up with this person?" We thought we had the right person. Well, here it was, she didn't know business, she didn't know how to budget, didn't know how to handle finances, she **didn't know how to manage the internal part – the part of the people.**

We then went out and looked for a person with these components as well as the other components we needed in the **community relations** and being a **voice for the Kimball**. And now we think we have that person. We have a **great staff**, we have a **great director**, the **staff likes the director**, the director likes the staff, and **the director is out in the community** talking about all the great things we are doing. So now I think the **community** will start to take note.

In asking David about his leadership, specifically, during the time spent with three directors, he told me that he was the stable force that was keeping the place going. He stated it this way:

Well, I think there for awhile **I was the only stable force** there. If there was a problem, **anyone could call me**. I was **always rational**. I would **never blow up**. They could **always count on me to assist** them as needed. If I needed to get down there to **help** put up an exhibit, **I'd go**

down and do it. I wasn't so much a position of higher authority as much as I wanted to **be there in the trenches helping them**, vacuuming the floor, putting up for the show, talking about personnel problems, or **being in the community** talking about the arts center. And they **counted on me** doing that.

When I asked David if he used some kind of reward system to assist with personnel motivation during this time, he said the following:

You know, **I never got involved in that stuff.** I always thought that was the director's job to manage the personnel. If they had a real issue I'd talk to them, but any rewards or raises, that was handled internally. The only thing I started was three years ago **I started a Christmas luncheon** where I took all the personnel out to lunch and gave them a **gift.** The gift was from the board, although **I paid for the gifts myself.** And I think they all **appreciated that** because no one from the board had ever given them anything.

When I asked David if the gift was monetary, as a way to stimulate the staff, he said it wasn't. So I asked him about what he did to motivate the director and the staff altogether. He surprised me by answering this way:

I really didn't motivate them. I mean, there was an art center that had to be saved. What I told them was if we don't save the Kimball then **they were all without jobs.** If they wanted to keep their jobs then **they better make this work.** I told them **that if they didn't get the job done** then **the Kimball would have a black eye** to the community, and **we'd be the**

ones who gave it the black eye! I felt this should be motivation enough; they should not have needed any other motivation.

I was intrigued by the answer David had given me. For some reason I thought David would be a positive motivator (even though I realize he said it should come from the director) and use strategies to motivate followers in various ways. Because of my incredulity with his answer, I asked David if not giving out positive rewards, other than the luncheon and gift, affected the turnaround. He did not really answer the question, but he did put in a timeline, so-to-speak, on when the turnaround began. He answered this way:

No, I felt that when we hired “Julie” -- first there was “Sammie,” the one who cried -- then there was “Julie,” the one I hired and that’s when the turnaround began. And now there is “Pat,” the one who has all the qualities we wanted. I thought when we hired “Julie” our prayers were answered and the turnaround was assured. I should have known better, but **I like to think positive**. Now with “Pat,” she brings **new contacts, new people, and more money**. Not that it’s about money, but **it’s about identity**. In order to get money the Kimball needs **identity**. I think that is what “Pat” is now striving for. **Identity** is going to be a big part of the turnaround – of the continued turnaround.

In speaking about a leader’s identity in this turnaround venture at the Kimball Art Center, David also talked about his leadership, and that of a turnaround leader, in this way:

I think of the leader who is kind of **unflappable**. When his problems start piling up – and they do pile up heavily on the shoulders – you **can't show the staff** or other board members **that it's really getting to you**. If they see their leader really start to falter, **someone is going to pounce on him** and either kick him out or make life miserable. If it's a case like a non-profit organization, then **you'll start losing people**.

For me to view myself as a leader, **I need to be secure and comfortable** in knowing I'm **giving the best I can** to the organization. **Whether there are no rewards or rewards**, I need to go home feeling **I've done a good job** for them...I think I've **always been viewed as a leader**; that sounds kind of **cocky** doesn't it?

Now, in getting to the turnaround success of Marc Racicot, keep in mind that we are entering the political arena. In the pre-turnaround event question Governor Racicot created a cabinet of “competent” people to assist with his turnaround endeavors. In addition, there was a “process” that he would follow to bring people together to help create the state's turnaround. Racicot starts his story about the “process” of creating a turnaround by referring to his father who was an educator and basketball coach at Carroll College in Helena, Montana. Racicot said the following:

Well, I thought it was, uhm, quoting my father who tended to want to quote Yogi Bera, or at least use Yogi Bera type phrases – you've probably heard some of these, Rory, in the course of your time. He was absolutely convinced that you will accomplish what you believe you will accomplish,

and that **mental attitude** was very, very important. And, of course, growing up in a **coaching family**, I probably tend to rely a lot on **athletic metaphors**, but I remember him saying that **ninety-percent of the game is mental**, and frankly, even though the math is incorrect, **I also believe** that **this** is a true reflection in going about approaching the problem [of a turnaround].

So I tried, first of all, to **convince people** that we can solve this problem if we **work in good faith**. **It's not the final abyss**; we are not purged on the possibilities of **final disaster**. What we have to do is get very **strong and very discriminating**, and **work with each other** in order to find our way through this. And I believe that that was a very, very important part of **creating an atmosphere** in which we could accomplish this.

So making certain that **people believe** and that **they could have dreams**, and **they could pursue those dreams** even though there were difficult times that were confronting us presently. **We could get through** those. We could **improve the system**. We could **make it better**, we could **make it more responsive**, people could have **confidence** in it, and we could **see brighter days** after we worked through this difficult period of time.

I tried to compare to what happens in a **family**, or a **business**, any **organization**, by alleging that, in fact, it's a constant. This **human condition is a constant changing set of circumstances**, and that we go

through **processes of growth** and **processes of rationalization**, and this was a period where we had to **rationalize our needs** with our resources and make certain that we grew and **eliminated** those things that we knew didn't need to be there, built upon those things that did, and provide our essential services at the same mode and time the way they were put in place by the foundation from which we knew there would be **future growth**.

That was how I thought we should **confront the issue**. With that **mentality** we would **go through each program**. What are we going to do with Medicare? Can we afford twenty-eight different options when not all of them are mandatory? Can we continue to buy eye-glasses for people when that was not required by the federal government? Can we afford that? Is it something that we ought to do? So **we went through each one** of those requirements. I'm not sure that, if in a larger government setting or level, you could have given it so much close attention, but in Montana it was possible to do that, and I think that, as a consequence, we were able to **find the margins** where we could come to a **resolute conclusion** about what we needed to do.

Well, there were **painful choices** we had to make. Very, very **painful choices**; I mean, being a parent of five children, of course, all of whom were involved in public education – this is just one example. To think about not providing the resources that were requested, to the full

extent that they were requested, was a very, very **difficult challenge** and **obligation** to confront.

I mentioned Medicaid. Could we afford all the different options we had? They weren't required by the federal government. It's just that in Montana they were a reflection of our decency and effort to provide those services. Could we afford those things? And going through and making those **line-by-line decisions** was **very difficult**. **Elimination of positions**; knowing that there were real people in those positions, what that was going to require. And I think that a very important part of this **process** was that I told all of them, at the end of the day, that the decisions we made **I would be responsible for, I would advocate for**, I would support. And I would say that, and reflect my part in the **process**, was one that we just had to make some **tough choices**.

So it was the **individual programs** and the **people decisions** that were very, very **difficult** to make. We **eliminated** – you know we **downsized** significantly through that **process**. We found one way to make it a little less painful, and that was an early retirement system that saved us a great deal over the long run. It required some up-front investment, but it also **eliminated** a lot of positions throughout state government. So it was a **process** just like that that I just described.

Once Governor Racicot had described the process he used that helped him create a financial turnaround for the state, I asked him to focus more on his personal leadership style that helped him to incite action among stakeholders that

would lead to his turnaround success. Mr. Racicot refused to talk about himself, personally, but he did tell me that he would answer my question about what a leader needs to bring to the process in order to create the turnaround. He said the following:

If you are going to set about – to make sure everyone understands, universally, that **you in isolation are responsible** for virtually everything good that happens and not responsible for anything bad that happens, you are going to have a difficult time providing effective leadership. So I think **humility** and recognizing the **power of teamwork** are critically important. Relying on **competent people** is another critical requirement to turn things in an appropriate direction. And then being able to **listen** very **carefully**, and to proceed by being **patient** –

You know, George Washington only spoke once during the Constitutional Convention. Other than to call the convention to order and to preside and call on people, and there were some pretty powerful personalities there, he really only spoke substantively during the discussion on the Great Compromise that had to do with the allocation of representation and the nature of congress - and that, I think, provides a good lesson for all of us; that there are **times to speak** and that there are **probably more times to listen**. And so I tried to **listen carefully**.

I also tried to remember that **every human being**, regardless of reputation or political affiliation, **if operating in good faith, had something to say, something to offer, something to be considered**. So I

tried to **listen carefully** and then **study hard** to test my own thoughts and those thoughts that were offered to me, and then tried to do what I thought was the right thing. You see, I became a steadfast believer that if you **study hard, listen carefully**, and **believe** that there is not a lot of distance between people of **good will**, that they so genuinely set about to do the right things, that at the end of the day, that if you went through that **process of listening and studying**, that you would come to a conclusion that others -- right thinking people -- could also agree with.

And so, really, the **formula**, the **only formula** I ever realized was what I urged juries to do when I was trying cases, and that was to **do the right thing** and **leave consequences to take care of themselves**. And when you **trust in the system**, and when you **trust in the people**, you can set about to do that.

In his final emphasis of leadership for turnarounds, Governor Racicot goes back to the term competent as a way to tie that quality in with leadership just as he had tied it in with followership. In essence he is echoing what Don Read and David Moore say as well; that leaders need to work hard or even harder than others. He stated the following:

You know, I don't know if I emphasized this, but the **leader has to be competent** too! The leader has to be **willing to work harder** than anyone else because at the end of the day it's going to be the leader who has to **accept the responsibility**. If you have **articulated the vision**, the **facts** and **circumstances** that are supported, and then you don't have to

persuade the people to the right cause. And frankly, that's true with everything. It doesn't matter if you are a coach or a corporate leader, or if you lead a sales team; it doesn't matter where you are at, at the end of the day the **leader has to be willing to work harder and to pay a higher price** than virtually anyone else.

That concludes the answers about leadership actions taken to help these men turnaround their organizations. The next question theme I bring to you details the post-turnaround leadership actions taken by these men to sustain the turnarounds in their organizations. Further, I have the men reflect on their own leadership backgrounds and decide whether or not other leaders or mentors helped them become leaders who can orchestrate turnarounds.

Post-Turnaround Event Question Themes: What leadership actions were needed to sustain a turnaround? Explain.

I wanted to find out what the leaders did to sustain the turnaround. Keep in mind that David Moore feels he is in the midst of a turnaround, but he does give some insight as to what he is going to do for the future of the Kimball Art Center. What follows are the answers to post-turnaround event leadership actions or suggestions.

I begin with Don Read, and his answer includes the discussion about success being sustained from within by bringing people into important positions from inside the program rather than outside the program. The reason he focuses on coaching positions is because once the program was so successful, he would start losing coaches because they would go to bigger schools and get a lot more

pay than what Montana offered. About the loss of coaches because of the turnaround success, Coach Read stated the following:

It's **a lot easier when** there is some **success going on** because of these reasons: one, those that you bring in *want* [his emphasis] **to be part of that**; two, you're losing **coaches** here and there, but they **are all moving up**, they're **not moving down**. I think for me this means possibilities beyond this. I don't think you want someone who is going to guarantee his life with you. I think you want someone who wants to **get the most out of himself and then go** to wherever else he wants to go – as long as he is of **good service to your program** while he is there en-route to where he is going.

The other thing is that, uhm, our – you look at all the guys we had to replace the other guys and **they were from inside the program**. We didn't bring in so many guys from the outside as we did **convert them internally**. Brent Pease played for us and then coached for us. Craig Paulson played and then coached, and Billy Cockhill. Some of it was **inbred** and that has great value because **they know how you do it; there is no selling; there is immediate buy-in**.

The other thing is that coaches from outside are very cautious. They don't take chances until they feel comfortable, so you really don't have them for awhile. **They coach on the defensive**. So part of that **inbred is good**. On the outside they have to be carefully picked and they have to **meet the needs for the inside**. You have to be **analytical with**

the position. You do that with your thing over there [referring to my educational administration job] getting teachers. There's **more to it than if they dress well**, but you know that.

As for the student-athletes and their importance for sustaining the turnaround, Coach Read tells us how important Montana recruits were to the program. He makes note of this in the following passage:

It was always **two steps forward and a few steps back**, but we did **start getting some good kids**. However, you know when the media talks about how great of a recruiting class this one was or that one was? Well, there was not such a thing as that here. The reason for that was, early on, kids still didn't buy into what we were doing just because we said it. I think after a year or two, or three, when more and **more Montana kids were showing up** on the roster and playing, **then it became easier**, and I really believe the **coaches were a factor** there.

I think they really had to be convinced that we were **sincere about playing Montana kids**. I really think it was just **a slow and steady thing**, and what we would do, we would recruit in **Montana first**, then we would go elsewhere to get what we wanted – like Oregon and California. For us the junior college became the last rather than the first thing we'd go to.

And finally, about turnaround experience and leadership, and in discussing his background that led to his becoming a leader of note, Coach Read says, "Well, you gather experience as you go along. You know what to do because you've

experienced it.” Then, about a mentor or other leader that he might have emulated along this route to turnaround experience, Mr. Read said the following:

I don’t know that I did. My **family were** [sic] **all athletic**. My dad played pro baseball; his brothers all played pro baseball. My **brothers were all coaches**. I don’t know anyone in my **family** who wasn’t involved in **athletics** one way or another. So we kind of **drew from each other**.

Now, in coaching, you pick up certain things from others, but there was **no guy to look at and say, “I wanted to be like him.”** As long as I can remember, **I always wanted to be a coach**. In my mind it [leadership] **was there and everyone expected it of me and it was more of a natural thing**.

At this time I will add my post-interview field notes to let you read about what I was thinking following the Don Read interview. I will show you the post-interview field notes of the other two interviews after their final answers have been given as well.

Post-Interview Field Notes: Don Read

“After my interview with Coach Read, he shook my hand again and wished me all the luck in the world. He said it seemed like my topic was a viable one and valuable for leadership in general. When I told him I would be interviewing Marc Racicot as well, he asked me to tell Marc hello. He said that he had the privilege of knowing Mr. Racicot and he genuinely admired the man. Then Mr. Read asked me about my job and we also spoke about the Frenchtown

football program and its success. With a final 'good luck' from him and a final 'thank you' from me, I left Mr. Read and headed back home.

"All the way home I thought about the interview and realized Mr. Read was quite intelligent when it came to turning around the Grizzly football program. I entered the interview thinking he would attribute the success to hard work (which he did), but I never would have thought in a million years that he had 'a blueprint for success' based on NCAA scholarship rules, facilities, and school culture and climate! I couldn't wait to tell Dr. Lundt about some of the things Coach Read had said, and I was also thankful that Dr. Strobel had suggested I interview Mr. Read."

David Moore's Final Answers

As stated previously, David Moore considers the Kimball Art Center to currently be in the process of a turnaround. So instead of asking him how he sustained the turnaround, I asked him how he envisions sustaining the turnaround. He told me this:

I think I'd be **more involved in the day-to-day operations**. As a board I thought you were too kind of stay out of that, and that's why we pay someone to do all the day-to-day stuff. But the reports I get now are much better than what we had, and I'm going to be **involved in the employee review process** so I'm going to get to **see what they think** about the board, **what they think** about the new director, and I'm going to put this in place before I leave. If the new chair wants to continue this process, it will be up to him or her. As a board, though, I think you need to **know**

what's going on because you need to **know the good or the demise** of the operation. **Ultimately you are responsible.** [Then David talks about the staff seeing and sustaining a turnaround]. I think the staff sees it as, "Thank God it's finally happening!" I think that a person that's been involved in trying to turn something around says, "Finally I got that done. **Now I can focus on something else.**" Or a person can **focus on something else** like I am doing. I've given it my all and now **I'm done. I'm ready to turn it over.**

About a mentor or other leader for whom David might have emulated or looked up to along his leadership path, he too brings in family – specifically his father. David said about a leadership mentor:

I did [have one]. It was **my dad.** He wasn't afraid to **get his hands dirty,** to get in there and **help with whatever needed to be done.** Drive the Cat, go feed the cows, go pick up a film camera – **whatever it took** to get things done **he'd be willing to go do it.**

Post-interview Field Notes: David Moore

"After my interview with David, he and I left the room and went upstairs for a snack and I departed. On the flight home I listened to the interview again and took some notes. In reflecting on what David had said, I saw that he was the same leader now as he was back in our football days, one who was willing to get in there and get dirty to show his leadership. It did surprise me, however, that he was so willing to give up the chairmanship position while the turnaround was still

in progress. How does one know when the turnaround progress has been ongoing long enough to be sustained?"

Marc Racicot's Final Answers

Marc Racicot, in discussing how he kept the state moving in the right direction after the turnaround, really intertwined the answer with the process answer he gave about the turnaround. In essence he was saying that sustaining the turnaround success was to keep his process going, and he did that for the next seven years (because he had reached the fiscal turnaround point after only one year in office).

So I moved on to ask Governor Racicot the same question I had asked the others about a leader or mentor he tried to emulate. At first Mr. Racicot talked only about leaders with great oratorical skills (and I can see why, because Governor Racicot has often been called a great orator). When I hinted to him that Don Read had mentioned family, he honestly realized that he had never thought about that before, but family members had actually been mentors for him as he grew up.

I first present to you his "great orators" response and then follow that up with the family mentorship response. The great orators response went like this:

Well there are **so many [mentors]**, some of them visible and some of them not so visible, ah, at least not universally. I would say there are people with **great oratorical skills** and could describe the dreams that the people of each generation have, that I deeply admired. There were people with **strength** who could **speak to an issue plainly, but thoughtfully**.

People like **Theodore Roosevelt**, I think, was a particularly interesting leader for his country, and one that I deeply admired. I also believe that **Abraham Lincoln**, obviously – that the **strength of his character** and the **vision** that he displayed, and the **oratorical skills** that he had; the **ability to describe the human condition**, all were very moving, and I think his **willingness to deny himself universal affection** of all, and to **pursue a vision** that was painful at the beginning, ultimately was for the best interest of the country – are skills and traits that I admire.

Winston Churchill was another. A man obviously without extraordinary academic credentials, but a man of **endurance and persistence**, and extraordinary **oratorical skills** and leadership capacity, I think. To lead the people of Britain through the tough times that he did – to lead the world through the times that he did! I also deeply admire people who are **willing to sacrifice**, to place themselves on the line.

Some of those people that are of more recent vintage are people like **John Kennedy, Mother Teresa** – I just can't imagine that there could be a leader any more admired than Mother Teresa, who gave her life, virtually, nothing in terms of financial reward or public visibility, just simply unselfishly **gave her life to help other people** in very, very dangerous circumstances. So those are the type of people that I think provide a leadership example to me that was very visible and known worldwide. There were others like **coaches and teachers** and

members of my **community** that I thought **exuded unselfishness**, serving in Rotaries and coaching little league...

That is the time when I mentioned Don Read and his talk about athletic family members and growing up being a leader because it was a natural thing to do in his family. This was the “aha!” moment for Marc Racicot. He related the following:

You know, I’ve never thought about this before, but I probably observed leadership, and **everything that people observe they probably conform to or emulate** [Albert Bandura’s idea of social cognition popped into my head], and my **father and mother were both leaders**. My mother was a member of the Altar Society. She taught religious education, she sang in the choir, she was in my school -- sometimes to my great dismay -- and making certain she was there as an active parent.

They took in -- I have two adopted siblings, a brother from Korea and a sister -- and I watched them take in fifty foster children while they were awaiting adoption for a period of time. So my dad was obviously on the line as a basketball coach. That’s not an easy occupation every day. And to have him make decisions about the sons and daughters of the people he lived with, he was willing to do that. He had to take the results, be willing to take the responsibility for the results of what his team did.

So, I suppose, **I learned** all those things **by observing my parents**, my mother and father. They were **my first and most important teachers** and I think Don [Read] is right. **When you come from an**

athletic family you have an even more pronounced, visible, and defined way to observe all those leadership skills. When you come from a family like ours where you have **both parents providing leadership**, then it just becomes, I think, a manner that you sometimes don't describe or articulate, but it is obvious to you what it is that it takes for a community to be successful.

As a way to end this interview answer section, I will leave you with the final words from Marc Racicot. I said to him, "Those are all the questions I have Mr. Racicot. If there is anything you'd like to add, or if I can answer any of your questions, that would be great." Governor Racicot answered, "No. It seems to me that they are very, very piercing and pervasive questions, and I wouldn't presume to improve upon them. Thank you, and tell Don Read 'hello.' He is a man I truly admire, and I enjoyed the pleasure of speaking with upon several occasions."

Post-Interview Field Notes: Marc Racicot

"After the interview with Mr. Racicot, I felt like he had answered all the questions, but I was a bit sad and perplexed that he would not answer the question about what qualities he felt he personally possessed that made him a good turnaround leader. He said he did not feel comfortable talking about his personal qualities, so he talked about other leadership qualities that he admired. Was this a way to answer the question vicariously? By using examples from other leaders, was he telling me that he possesses those qualities as well? I felt badly,

also, because it seemed to me that by not answering the question about his own qualities, Mr. Racicot somehow did not trust me with the information.

“On the other hand, in looking back at the interview, I realize that he mentioned humility many times. Perhaps since he used the term so much, he wants to live by the credo such a word connotes. That would then render him incapable of answering the question to the ‘public.’ If one is practicing humility all the time, then the idea of aggrandizement of oneself is not possible. So, even though I did not look at the question as one of aggrandizement, I can see where someone might think of it that way.

“I say that I think Mr. Racicot answered all the questions, but I won’t really be able to tell until I transcribe. Mr. Racicot has a way of answering questions -- and he admitted to this -- in a round about way that, hopefully, gets back to the main question. Marc’s brother, Tim (a football coach at Frenchtown), is the same way. I remember many times asking a question and then several minutes later, after a long monologue, he would say either “yes” or “no” and then ask me if that answered his question. I think both men feel they need lead-up dialogue to get to the important questions. It would be interesting to speak with their other brothers to see if this is a family trait or not!

“On the other hand, I am glad that Marc is a person who adds much content to the questions, because I knew ahead of time I would not have to coax him into giving me more information. I knew there was a thoroughness about him that has always been there, just by watching him on television when he was governor, or listening to him on the radio.”

Transition to the Findings

*What follows in Episode Five are the findings I have come up with based on the coded sub-themes. What you will see are **my** findings. In the tradition of the narrative inquiry experience, you may find your own sub-themes if you were to code from the interviews. If we were to sit down and discuss my findings and your findings, the stance and counter-stance would then give us our “possible castles” for this research. With that in mind, I give you my possible castles from this study...*

EPISODE FIVE

Excerpt of the Richard Hugo poem, *Topographical Map*

Good morning. The horses are ready. The trail
will take us past the final alpine fir
to women so rare they are found only above
the snow line. Even high altitude trout,
the California Golden, find them exciting.
Flowers bloom so colorful there the colors
demand a new spectrum, and wolves turned yellow
every dawn. You have questions? The region was
discovered by pioneers who floated
their finds on stars down to the flats.

In *What Thou Lovest Well Remains American*, 1975

Introduction

My Findings

I will now move you into the “findings” episode of this dissertation. In Clandinin and Connelly’s (2000) book, Narrative Inquiry: Experience and Story in Qualitative Research, they write a synopsis of the dissertation formats for two writers. I focus, however, on the description of form for one of the writers named He. Clandinin and Connelly write the following:

In He’s last chapter, “Crafting Identities through Cultural, Educational and Linguistic Changes: Identities on Parade,” she does something quite different from what she does in any other part of the dissertation. As she summarizes what she calls her thesis findings, it is almost as if the container form of the dissertation has taken over and shapes what she puts into the metaphorical soup. The tension between the two forms shows up in the language, in which she uses the notion of a parade to hold onto the

idea of a journey but presents the bulk of the writing in terms of generalizations and insights, which she labels, "findings." (p. 159)

It is in this episode of my dissertation that I will submit to you my generalizations and insights for my own findings about leadership for turnarounds. As I present to you the generalizations and insights, I will weave in leadership theory into this episode that I feel relate to my findings. To get to the generalizations and insights, I used the Event Theme Coding Matrix (Appendix C) that follows the organization of the Schematic of Turnaround Event Question Themes (Table 3). I focused on the coding matrix to find general thematic occurrences of leadership actions from among the three leaders' interviews (as bolded within), as well as using the matrix to establish outlying themes from among the three leaders' interviews. I will give you my insights about the outliers after I have given you my generalizations and insights about the common themes.

As I write my findings, I will add just a few interludes that need to be placed into this episode. The interludes will come from my field notes taken during the interview process and observations gleaned from writing the interim texts. This will allow you to understand what I was thinking at the specific time during an interview, or during my writing, when an important theme effervesced. Keep in mind that during the interviews I did not know if a theme that presented itself in my mind would end up being an important coded theme later on. I am quite honestly creating my own domain for metacognitive learning as I write. I do not wish to make metacognition a sub-category that I need to expound upon in

this dissertation, but its use is meant for my own learning experience and your subjective referencing if you so choose to reflect upon it.

Findings: Similarities among Epiphanies of the Ordinary

For the first event theme question, “Explain why you think you were the one chosen to take on the turnaround task,” each leader had different answers, but they were all similar in that they were brought to the leadership position based on reputation. For example, Don Read said he had a reputation for turning football programs around, David Moore had a reputation as a hard-working, honest, and fair man who could present himself well, and Marc Racicot, although elected, at least postulated a good enough reputation during his campaign to merit more votes than his opposition. He had been the state’s Attorney General as well, and his reputation might have shined enough in that position to merit his gubernatorial run.

For the second event theme question, “Did you know you were the right person for the turnaround challenge?” the answers were all dissimilar and will be discussed in the outlier section of this episode.

After the dissimilar answers for the second question, all of the other event theme questions had at least some to many similarities. For example, in the initial stages of the turnaround, that critical point in time when a leader first takes action, all three leaders felt like they had to get the right people or personnel involved to assist with the turnover, and to build support for the events and actions to come.

Pre-op: the Initiation Response Stage

Don Read knew that he had to change the pervasive apathetic attitude people had about the Grizzly program. He said, "You've got to turn people around first." That is why he went out to try to gain immediate support from business people, alumni, faculty, staff and students at the university. He knew that if he could change their attitudes and make football fun for them, they would all buy-into the program. He knew he needed their support because he didn't know how long it would take for the success to become manifest. At one time he notes that it might take one to three years, but then later he says that after they won their first game, after losing five in a row the first season, he felt the turnaround had begun.

David Moore knew that he had to garner support from several of the other board members, plus establish a connection with the workers and some influential people out in the community. This gave him a support team that would back him up while he was "stuck with the same director" in his initial time as the chairman. Since that director had friendships among the board and she could be persuasive about the "good job" she was doing, a larger constituency of support was needed for David to offset that relationship. A further relationship coup from this support also meant more cash flow into the Kimball Art Center, although David said money was just a tertiary advent from this support team.

Marc Racicot needed a support team as well because he knew the process for which he was about to embark would mean that relationships among people had to be strengthened. By surrounding himself with competent, knowledgeable

people and then gaining their loyalty, he would begin to spread his vision for a process of “dismantling” and “reductionism” that would mend the state’s coffers. The mission not only had to be commonly embraced by his own staff and followers, it needed to seep into the veins of the opposing party, or at least enough of them so Racicot could garner their votes. His followers had to be able to rally others around the cause to gain more tactical support among the rank and file of state government.

Research: the Human-Factor of Organizational Turnaround

Before going too far into generalizations and insights, a research foundation must be built to provide you with certain background literature and definitions of terms that are about to be used. There are two types of leadership theories on which to concentrate because they relate strongly to the interview material; those theories being exchange theory and charismatic leader/leadership theory. Exchange theory is a transactional theory such as path-goal (House, 1971), operant conditioning (Luthans & Kreitner, 1975; Padsakoff, Todor, & Skov, 1982; Sims, 1977) and leader-member exchange (Graen & Cashman, 1975; Graen & Scandura, 1986) in which leaders “diagnose deficiencies in the organization, work group, situation or followers themselves and take action to facilitate followers’ motivation, satisfaction and performance” (Howell, 1997). Rewards are used as incentives by the leaders. On the other hand, exchange leaders can also assure progress by letting followers know they must do their jobs or they could be transferred, penalized, or even fired. These are examples of

positive or negative exchange elements often used in a “mechanistic environment” (Howell, 1997).

Charismatic leadership is actions by, and qualities of, special leaders whose values and ideological purposes have been written about by many scholars (e.g., Bass, 1985; Bennis & Nanus, 2003; Burns, 1978; Conger & Kanungo, 1987; House, 1977; Shamir, House, & Arthur, 1993). With charismatic leadership, extrinsic rewards are not needed because the leader has “captivating vision” and sets “a personal example of involvement in and commitment to the mission for followers to emulate” (Howell, 1997, pp. 3-4). These tenets are strong enough to warrant positive followership in an “organic environment” (Howell, 1997).

Now you might ask me, what does the organizational context of a mechanistic or organic environment have to do with exchange or charismatic leadership? To answer, I knew I was looking at the leadership quality (charisma) of each individual leader, but I also understood that if the situation “fit” the leader then the success might be assured. Bass (1990) had observed this leader-situation variant, and then Tosi (1992) created an “Environment / Organization / Person” (EOP) model to assist with determining whether the behaviors of exchange or charismatic leaders vary between mechanistic and organic organizational context.

Why the above is important for this dissertation is because after the interviews with Read, Moore, and Racicot, I found Howell’s (1997) rendition of the EOP model and, based on my findings from the interviews, put the three leaders “through the test” of determining, first, the organizational condition I

could generalize between all three of their turnaround situations and, second, seeing if they all had likelihoods of being situated in the exchange leadership domain or the charismatic leadership domain. First, however, I had to look more closely at whether the organizational conditions were mechanistic or organic.

My journey to that synthesis actually began in 1998 (even though I did not know it at the time) when I viewed the movie Mindwalk (1990) in my Educational Future class. The movie was about three people's (a poet, a politician, and a physicist) philosophical views of the world with an underlying motive by Bernt Amadeus Capra (the director and producer of the movie) to expound on his ideas about systems theory and a worldview that is holistic in nature. The systems theory ideology used in Mindwalk was, to me, quite interesting. The premise being that there is a connectedness among all things in life, and that the scientific/mechanistic worldview was passé (according to the director), or at least just another way of looking at things.

What I realized once I was looking through research is that the mechanistic worldview in Mindwalk was represented by the physicist and symbolized by machinery images shown throughout the movie. The systems theory or holistic worldview was represented by the poet and symbolized by nature scenes throughout the movie. It was the latter "nature" term that brought my attention to the terms "organic organization" and "mechanistic organization" as described by Howell (1997). Her definitions are attributed to Tosi (1992), but she writes them as follows:

Organic organizations represent weak psychological situations since the low degree of social satisfaction and decentralization of decision making authority serve to enhance the expression of individual behavior.

Mechanistic organizations, in contrast, are strong psychological situations, since their hierarchical authority structure, highly elaborate control systems, and selection and socialization practices produce less variance in the motives and attitudes of organizational members and hence suppress the effects of individual differences. Based on this argument, it is expected that charismatic and exchange leaders will emerge in different organizational contexts. (pp. 4-5)

Once I had the definitions clear in my mind, and thought about their meanings in terms of organizational turnaround, it immediately led me to almost the same meanings, although articulated differently, from the turnaround literature. For example, Armenakis and Fredenberger (1998) define two styles of turnarounds leaders can initiate; the first style is called "efficiency" because a leader uses "retrenchment" (reorganization) as a way to create turnaround. The second style is called "entrepreneurial" because a leader creates a new environment in the organization (p. 40).

The synapses in my mind must have hit overdrive because I realized that mechanistic and efficiency can be related to the idea of machinery. An organization that is strong psychologically is one that is like a well lubricated machine and highly efficient. An organization that is weak psychologically is one

that is not mechanistic; it is organic and needs an entrepreneur, who incites vision, to come in and affect the psyche of the organization.

I knew there were some problems with looking specifically at turnarounds in this way (because there are so many contexts and situations for turnarounds), but that didn't matter because this thinking was the vehicle that made me realize all three of the leaders in my study might be considered charismatic leaders rather than exchange leaders because the first thing they did to begin the turnaround was try to change the psyche of the followers inside and outside the organizations.

Once the above idea was planted in my mind, I went directly to Howell's (1997) EOP and tried to find out if what I was thinking was true because the organizational conditions, within the organic realm, called for charismatic leadership instead of exchange leadership. Below (Table 5) is Howell's EOP table and how I highlighted a leadership style for each organizational condition based on the findings from my interviews.

Table 5

The Likelihood of Exchange and Charismatic Leadership Emergence under Different Environmental and Organizational Conditions – Howell, 1997

Organizational Conditions	Likelihood of Exchange Leadership	Likelihood of Charismatic Leadership
External Environment		
Stable	High	Low
Unstable	Low	High

Table 5 continued...

Organizational Conditions	Likelihood of Exchange Leadership	Likelihood of Charismatic Leadership
Organizational Context		
Mechanistic	High	Low
Organic	Low	High
External Monitoring		
Incremental Processing	High	Low
Active Monitoring	Low	High
Authority		
Hierarchical	High	Low
Dispersed	Low	High
Decision Making		
Centralized	High	Low
Decentralized	Low	High
Communication		
Vertical	High	Low
Lateral	Low	High
Task Characteristics		
Standardized, Routine	High	Low
Complex, Changing	Low	High
Performance Measurement and Evaluation		
Defined Performance Goals	High	Low
Ambiguous Goals	Low	High
Goals		
Extrinsic Rewards	High	Low
Intrinsic Rewards	Low	High

In generalizing the “likelihoods” I highlighted in Table 5, and based on the findings from my interviews, in each case the external environment was unstable. In each case the organizational context was organic because the

psychological needs were unstructured and weak due to the condition of the organization prior to the leaders taking over. In each case the organizational context showed external monitoring because "Under crisis ridden or uncertain conditions, leaders who are proactive, break with tradition, provide innovative [entrepreneurial] solutions and institutionalize new orders" (Howell, 1997, p. 7), and that is what our leaders did. In each case the organizational context of authority was dispersed by the three leaders. In each case the organizational context for decision making was decentralized (although perhaps a little less with David Moore). In each case the organizational context for communication was through lateral exchanges. In each case the organizational context for task characteristics was complex and changing, not standardized and routine (at least not until later). In each case the organizational context for goals was mostly intrinsic rewards.

Notice that I skipped performance measurement and evaluation because that was the only organizational context that I felt landed in the likelihood of exchange leadership column. I felt that each leader had defined performance goals, and this is an element of exchange leadership because of the rewards context it suggests. So, out of the nine organizational contexts, I generalized that Read, Moore, and Racicot's likelihood of charismatic leadership was high based on the findings of my research. I am not making the case that all turnaround leaders are going to be charismatic (based on the EOP table), but it is interesting to use the table to get a feel for the essence of turnaround leadership based on organizational environment and conditions.

I understand that, organizationally, I could have put the entire section about how I journeyed through Mindwalk, and the research literature that follows, into the summary episode later on, but I wanted you to see how I came to the conclusion that what the three leaders in my study are showing us is charismatic leadership (at least based on the EOP chart), not exchange leadership – even though I was positing that there were certainly exchange leadership tenets within the findings.

Essentially, thanks to the movie, my reflections, the literature, and the EOP model, I was able to establish that I can call their leadership charismatic rather than exchange, and that the organizational conditions they came into were organic in nature, not mechanistic. What you are about to find out in the surgery, or Transition stage (as you have already seen with our leaders' pre-op strategies), is that the interconnectedness and holistic vision (espoused in Mindwalk) was part of the mission these visionary leaders wanted to accord the followers and everyone else who might be touched, or be in touch with, their organizations. In order for the vision to become reality, the most important mission for turnaround was to change the attitudes of the people and the image of the organizations.

Based on each of these leaders taking action to gain support from among people or personnel during the Initiation Response (or pre-op), prior to taking any significant organizational action to create the turnaround, one can make the generalization that getting to the people, personnel, or stakeholders in order to change their opinions or attitudes about the failing organization, and thus the

organization's image, is important for turnaround success. Not one of these leaders mentioned changing organizational structures as the first thing to do for initiating a turnaround. The human aspect, or culture, of the organization is much too important to ignore when just taking over an organization that had been failing terribly.

The essentiality of changing attitudes and assumptions about the organizations was the heat needed to thaw organizations that were frozen in crisis. This icy metaphor is used by Edgar Schein (1992), in *Organizational Culture and Leadership*, when he writes about cultural change in an organization and lists "Change through Turnarounds" as one way to change the culture in a mature organization. Each of the organizations where the leaders in this study created the turnarounds were mature organizations and thus relate to what Schein offers about going through a turnaround for change.

Writer's Note to Readers

In the 1992 section of the book, Organizational Culture and Leadership, Schein uses the icy metaphor, but he does not use that metaphor in the 2004 section of the book, Organizational Culture and Leadership. In doing my research I found it interesting that Kurt Lewin (1951) used the icy metaphor for his organizational change model.

Getting back to point...

I feel the section about turnarounds that Schein (1992, 2004) offers is directly related to the attitude and image changes created by the three turnaround leaders in my study. For example, Schein (1992) says that the "the first condition

for change, as always, is that the organization must be unfrozen” (p. 329). To unfreeze the organization a leader must go through a “process of developing new assumptions” and that process is, as he calls it, “cognitive redefinition” (Schein, 2004, p.314).

How does the leader go about handling the “cognitive redefinition?”

Schein (2004) suggests that how a leader does this is through “teaching, coaching, changing the structure and process where necessary, consistently paying attention to and rewarding evidence of learning new ways, creating new slogans, stories, myths, and rituals, and in other ways coercing people into at least adopting new behaviors” (p. 314). In looking at the three leaders in my study, I can see that what Schein offers by way of “cognitive redefinition” is exactly how they approached un-freezing their organizations during the pre-op, or Response Initiation Stage.

Don Read’s “cognitive redefinition” specifically changed attitudes about and images of the football program by focusing human beings in a different direction, more toward aspects of fun, belonging, and being part of a new approach to football. David Moore’s “cognitive redefinition” was to change how people felt about the Kimball, and how his own follower’s perceived the Kimball, by looking at it as something more than just a place to show local art. Marc Racicot’s “cognitive redefinition” was to teach or coach his own followers, and the opposing political party followers, that the way the last governor ran the state was dysfunctional and that his process for running the new government was worthwhile and could be successful.

When I look at the extant organizational literature and change leadership research, I can understand how the nature of an initial pre-turnaround event strategy (pre-op) should be to focus on the human variables within, and outside but connected to, the organization. As far back as 1951, Kurt Lewin posited a three-phase organizational change model that neatly backs the icy metaphor used by Schein in 1992. Lewin's model suggests there must be a phase to "unfreeze," a phase to "move or change," and a phase to "refreeze" once the organization is on the right path. The important aspect of Lewin's "unfreeze" phase, and the foundation for other frameworks for change illustrated in the literature (e.g., Goodstein & Burke, 1995; Goss, et al., 1998; Kotter, 1998; Sapienza 1995), is that a central purpose to initiate change requires leadership that can understand the human-factor.

Leadership and the human-factor is what Branch (2002) refers to when she writes, "the centrality of changing the individuals who comprise the organization...requires leadership (and hence the involvement of top management) and creates costs, which in the case of individuals include substantial emotional work" (p. 4). A leader's emotional work (as can be attested by Don Read when he mentioned that keeping his coaches motivated was hard work because he had to invest a lot of time into that aspect of keeping their self-esteem elevated) involves changing attitudes among followers and those people outside the organization as well.

Branch (2002) notes that contemporary management practices include models that are “increasingly influenced by an organic construct of the organization that emphasizes organization-external environment interactions, teamwork and participation, worker motivation, and the dynamic aspects of change, and learning” (p. 4) as emphasized by researchers like Morgan (1986) and Wheatley (1992). And the contemporary management practices she and Morgan and Wheatley are suggesting can be directly related to the emphasis of considering the internal and external human-factors of change through the work of many other management and organizational researchers (e.g., Beer & Nohria, 2000; Heifetz, 1994; Hoffman & Devane, 1999; Lawler et al., 2001; Lewin, 1951; Miles, 1997; Nadler & Tushman, 1997; Sapienza, 1995; Senge, 1990; Strebel, 1998).

Now that I have summarized and aligned with research the important aspect of how Read, Moore, and Racicot initiated their turnarounds by going directly to the people involved and understanding the human-factor that pervades inside and outside the aura of their organization's past and/or future, I will move on to the turnarounds performed by the three leaders during the “surgery phase” (Bibeault, 1982) of a turnaround, or what Chowdhury (2002) calls “Transition.” It is during this phase that the primary surgeon (the turnaround leader), ancillary surgeons (managers) and technicians and nurses (followers) save the organization.

Transitioning from pre-op to surgery

In Episode Four, I decided to label the “pre-surgery” leadership actions as “pre-op” procedures because I had anticipated finding each leader taking an initial action he deemed important enough to focus on prior to the real “surgery.” Because all three leaders took the same operant focus of changing attitudes in order to change the image of their organizations, I can use the metaphor I had in my mind when I was thinking about this pre-operative stage. I was thinking that two of the most important functions of pre-op are to (1) diagnose the patient before surgery, and (2) wash the hands thoroughly before putting on the gloves and going into the operating room.

The diagnosis, of course, was that the organizations were failing and needed to have surgery. The symbolism of washing the hands goes far in attesting to the fact that each leader had to wash his hands of the organizations past failures and then put on the gloves of support for an attempted turnaround. This is personified by the personnel inside and people outside the organizations. In essence, each leader reached out with clean, gloved, hands asking followers to clean and glove their hands in order to assist with the surgical mission to come! The vision, of course, is full recovery of the patient after the surgery.

Surgery: the Transition stage

In moving to the surgery stage of the turnarounds, the leaders each took similar actions in four areas: (1) continuing to change attitudes (or keep them positive) about the organization in order to establish a new image, (2) using the right people for the right job in the right situation, (3) taking small steps toward

recovery (like rehab of a patient), and (4) using an operant focus to help motivate followers to attain turnaround objectives. Each of these four findings is generalized below.

(1) Continuing to Change Attitudes: Creating a new Image for the Organization

In relation to this finding, each leader continued the process of changing attitudes among people inside and outside their organizations. For example, Don Read did this by getting out to the community, alumni, faculty, staff, and students, not just during pre-op, or the Initiation Response stage, but throughout his tenure at the University of Montana. He wanted all of the factions to think more positively about what they were doing with the football program. By reaching out to followers and human factions, and becoming assessable for them or their organizations, he was able to mend old wounds and bring a more favorable image to the football program and continue building positive support.

David Moore also continued building relationships by being a chairman of the board that people and personnel could count on as the Kimball Art Center worked its way through three different directors. He became the voice of the center until they finally hired the current director to take over operations and begin being the new voice for the Kimball. The “voice” that David Moore so often spoke about was truly a rallying cry for reaching out to the community and attempting to change the image of the art center.

Marc Racicot came to office hoping to change the image of state government that had been created by his predecessor, and in doing so eliminate the deficit in which the state was operating. He, too, continued to rally people to the cause which was, essentially, to find ways to cut the deficit in a bipartisan manner. Since the “nature of the beast” was state government and the two-party system, the only way Governor Racicot could be successful at the turnaround was to change the image of partisan politics by changing the attitudes among public servants in all three branches of state government, and by creating the bipartisanship spirit.

I remember reading Chowdhury's (2002) Turnarounds: A Stage Theory Perspective, and focusing on what he calls “Substantive Levers” for the Transition stage of the turnaround. He noted that because there are so many approaches to creating a turnaround depending on leaders, organizational structures, people, and numerous variables, “a common set of substantive levers must permeate through these approaches” (p. 256). I think what we are seeing in this study is substantive levers being used to target a leader's operant focus.

One substantive lever for Read, Moore, and Racicot was changing attitudes from the inception of the turnaround and then the continuation of keeping those attitudes aligned with the vision that was beginning to infuse the Transition Stage. In this way the development of the “new” organization was assured to continue.

This reminds me that Schein (1992) suggested there must be continuation of a “lever,” like the one I mention above dealing with changing attitudes and then continuing to keep the attitudes focused on the positive turnaround. Although he doesn’t use Chowdhury’s (2002) lever as his term, he does discuss this imagery related to organizational culture when he says the following:

Turnarounds must usually be supplemented with long-range organization development programs to aid in new learning and to help embed new assumption. It is not enough to have strong leaders to unfreeze the system and get the change started because change may have to be managed in all of the organization’s subcultures, a process that takes a great deal of time. (p. 331)

The three leaders in this study keep managing the subcultures, so-to-speak, throughout the entire Transition stage and use this as a substantive lever for assisting with the turnaround. Boyne, Martin, and Reid (2004), in three of their six suggestions for recovering from failure, in Strategies for Organizational Recovery in Local Government, say it is important to “focus on human resources,” attempt “to change ‘organizational culture,’” and then look at “external relations.” The latter meaning that “Priority was also given to improving communication and working relations with external stakeholders” (p. 14). All three of the leaders in this study not only change attitudes through organizational culture, but they also deem external relations as being highly important, and continue to manifest the change in attitudes well into and beyond the Transition stage.

I would like to note that in the for-profit corporate arena, there were some empirical studies that looked at organizational recovery when corporations were repositioning themselves to incite turnarounds. [In the corporate world, researchers like Hofer in 1980, and Arogyaswamy et al., in 1995, suggested the “entrepreneurial” strategy is best for turnarounds, and that strategy calls for altering the mission and image of the company]. Since mission-altering and image-altering were highly important for repositioning in order to turn around a company, it is worthwhile to see these studies concluding that repositioning strategies had positive effects in creating turnaround (e.g., Barker et al., 1998; Evans & Green, 2000; Hambrick & Schechter, 1983; Pearce & Robbins, 1994; Thiehart, 1998).

There were, however, two studies that showed insignificant findings to suggest repositioning strategies had a positive effect on turnarounds, but the studies did not indicate negative effects either (Schendell & Patton, 1976; Sudursanam & Lai, 2001). In other words, what I am trying to point out is that there is research correlating successful turnarounds with attitude changing and image changing (or call them mission and vision if you will) leadership actions that Don Read, David Moore, and Marc Racicot took during the Initiation Response and Transition stages of their turnarounds.

Since attitudes and images are important aspects of the human factors for creating turnarounds, it is a good time for me to transition to the next “substantive lever” our three turnaround leaders began to advent; using the right people to assist with the turnaround.

(2) Using the Right People for the Right Job in the Right Situation

Since everything in the Initiation Response stage pertained to the human factors, it is certainly understandable that getting the right people for the right job in the right situation applies to the Transition stage for turnarounds. Collins' (2001b) remark about the “right people being your most important asset” (p. 38) for turnarounds, or Lawler's (2001) idea that human capital is a key strategy issue (p. 17) for leaders, are important motifs echoed by Don Read, David Moore, and Marc Racicot.

Don Read needed the right people for assistant coaches so they could articulate the vision to his players. He also needed the right people in the right positions to help change the image of the football program. That is why he said the alumni were so important to the turnaround. By contacting them, keeping an on-going relationship with them, and building their images as past-great Montana Grizzlies or Grizzly supporters, and by making the alumni feel proud of their school and their football program, he opened avenues for success with recruiting and donations. Further, by using the Quarterback Club (which included alumni and business owners) as a resource organization, he was able to get them to spread the word about the “new football program” and how much fun it was to spend a Saturday supporting the Grizzlies.

It did take David Moore longer to get the right person in the most important job --that of director of the art center -- but his perseverance to do so helped create the turnaround he was seeking. Of course he might not have eventually hired the right person if he did not have the support he garnered in the Initiation Response stage of the turnaround, but he solidified support from the workers when he hired a director that all the employees like (the current director). Now that the turnaround is in effect, he can say he has the right person in the right job to lead the Kimball Art Center into the future.

Since the future of the state of Montana depended on Marc Racicot and the people he could rally to support his process, he had to nurture relationships and keep alliances on-going for two terms. One account that Racicot gave, about the worker who never voted for him but he wanted her for a directorship anyway, is important for this discussion. The governor knew she was the right person for the right job in the right situation, and in an act of bipartisanship by asking her to assist him with the turnaround endeavor, he created an atmosphere that showed the opposing party he was serious about what he was attempting to do. Of course all his cabinet members and appointees were also important for taking his vision out to the people (in government and outside government) and creating an atmosphere of teamwork that was ongoing.

There is much to say about human capital, knowledge workers, or human assets in the change literature (e.g., Bennis, Spreitzer & Cummings, 2001; Collins, 2001b; Covey, 2004; Davenport, 2001; Drucker, 1999; Gibson, 2001;

Lawler, 2001; Senge, 1999; Yukl, 2002), but what is there about getting the right people in the right place as far as the turnaround literature is concerned?

I have already touched upon some of the importance of the human aspect of turnarounds when looking at attitudes and image. In discussing getting the right people in the right jobs for success, Mitt Romney (2004), the 2002 Winter Olympics turnaround artist, says, "Location, location, location are to real estate as people, people, people are to an enterprise, be it a business, a charity, or an endeavor like the Olympics" (p. 59). He goes on to say that, "while some organizations can muddle through with a mediocre team, a successful turnaround can only happen with top people. Turnarounds require a lot of strong arms, all pulling in the same direction" (p. 59). Top people, then, are needed in order to inspire a strong community of workers dedicated to the effort of creating the turnaround.

Much of the turnaround research is based on narratives about how leaders successfully turned organizations around. The research has in it important information about using the "right" people to assist with the endeavors (e.g., Bibeault, 1982; Collins, 2001b; Hamel, 2001; Parcells, 2001; Pascale, Milleman & Gioja, 2001; Romney, 2004; Teerlink, 2001; Wheatley, 1997), but one important aspect or lever, if one stays with Chowdhury's (2002) "substantive lever" idea, for having the right people in the right organizational placement is to continually educate a community of workers who will use that education, communally, for doing his or her part to actuate the turnaround.

Gardner (1990) says that, “The community [of leaders and workers] teaches. If it is healthy and coherent, the community imparts a coherent value system” (p. 113). If the turnaround leaders have the right people in the right jobs throughout the organizational community, teaching among members keeps them all focused on the goals of the turnaround.

When a community of the “right people” coalescent for turnarounds, they are essentially assisting each other in two realms: the teaching realm and the emotional realm. In speaking about the emotional realm, Goleman (2002) calls a community of emotionally connected workers “The Self-Aware Team” (p. 178). They are all emotionally attuned to one another for the purpose of attaining organizational success. When to this one adds Gardner’s idea about followers teaching community value systems, he finds two aspects of the same communal ideal. For example, Gardner posits that a community of workers teach each other (p.113), and Goleman posits that a community comes together emotionally to create norms they all follow (p. 179). When brought together, these are highly important enrichments of having the “right people” in the right positions.

Both of the above factors enhance what the community can accomplish. If the wrong person is in the community of workers, the value system and the emotional norms are arguably “fragmented or sterile or degenerate, lessons are taught anyway – but not lessons that heal and strengthen” (Gardner, p. 113). Without healing and strengthening the organization during the pre-op and surgery stages, the turnaround may be unattainable, or at least harder to attain. So the

right person in the right job is a major concern for the turnaround leader as it was with Read, Moore, and Racicot.

For Don Read, the right people in the right jobs included coaches, alumni, and the Quarterback Club, could perhaps include the players because if one were to look at each player's position as a building block for a successful team, then the coach needs to have a community, or self-aware team, at this level as well. For David Moore the right person for the right job was primarily getting the current director in place, but that equated to bringing together a self-aware team who aligned with the newest director because of their collegial spirit. For Marc Racicot the self-aware community, the ones whose emotional norms united, included his staff and appointees to state agencies at all levels of government, and to some extent to people in the opposition party.

Transitioning to Little Steps

In transitioning to the next research findings category -- taking little steps -- among all three of the leaders in this research, quite a few turnaround studies done at the corporate level are clear about saying that a turnaround takes a lot of time to finally reach the Outcome stage (e.g., Chowdhury & Lang, 1996; Hambrick & Schechter, 1983; O'Neill, 1986; Pant, 1991; Robbins & Pearce, 1992; Schendel et al., 1976). Chowdhury (2002) notes that a study Schendel did in 1976 showed "performance improvement occurred over an average of 7.7 years with a range from 4 to 16 years" (p. 255). Keep in mind that this study came from the for-profit corporate world. I am not theorizing that non-profit organizational turnarounds happen more quickly, but all three of the leaders in

my study seemed to have turned their organizations around within two years, however “little steps,” as Don Read called them, had to be taken during that short span as well.

The little steps my non-profit organization leaders were suggesting is advice they might want to pass on to prospective turnaround leaders. In other words, take little steps, be patient, but keep the final outcome in mind. None of them forecasted how quickly their turnarounds would happen, they just went to work knowing they could get the job done.

(3) Taking Little Steps along the Way

The third area of similarity among the three leaders is simply the idea of taking little steps to create the turnaround, not jumping in and mandating major changes to influence the speed of a turnaround. Don Read said, “Take little steps.” David Moore spoke about coming together weekly with one of the first directors and deciding how to proceed for the next week to come; how to get better week by week. For Mr. Moore the speed at which to proceed was not as important as establishing voice and identity for the Kimball because he knew the turnaround would effervesce once people began to associate the center as a wonderful community asset.

Marc Racicot, talked about making painstaking, line-by-line decisions with some legislation (like Medicaid), and he further used the term “process” seventeen times during the interview. A process takes time because one goes step-by-step through procedures. Further, his inclination to listen, listen, and listen some more indicated patience that he ordained leaders need to practice if

they want to create turnaround. So all three leaders indicated that moving slowly, step-by-step, week by week, and with patience, was the way to create an organizational turnaround.

The research echoes how the three turnaround leaders proceeded through the Transition stage. Chowdhury (2002) states about elapsed time during a transition the following:

If the time is too short, selected strategies may not produce any improvements in performance and certain potential candidates for turnaround may be prematurely categorized as failures. If the time period is too long, the effects of some short-term strategies are likely to be masked by those of long-term strategies deployed later in the transition. (p. 256)

It sounds like a balancing act, and that is also how the three leaders in this study saw their Transition Stages. For example, Read said he didn't know how long the turnaround would take so he balanced the game losses with making sure people had fun at the games. David Moore took his time with the first director, meeting with her weekly, to help her become better at her job. Even though she cried and eventually quit, David said that wasn't his objective. Had he wanted to move the turnaround along more quickly he could have just fired the director and proceeded. As for Governor Racicot, he was under the constraints of state government schedules -- meeting every other year -- that might suggest hastening the attempted turnaround, but he was also under the constraints of the citizens of Montana to get the job done right. He knew the only way to get the job done right

was to follow the process he had established, and eventually the turnaround would occur.

Mitt Romney (2004), in his book *Turnaround: Crisis Leadership and the Olympic Games*, talks, as did Racicot, about the process of taking steps toward a turnaround. He says that “Turnarounds that failed did so because management tried to do too many things rather than focus on what was critical” (p. 53). Just as Racicot mentioned to “listen, listen, listen,” Romney knew he had to “focus, focus, focus” and follow the “formula” he had used for other turnaround successes in the business world.

Writer’s Interlude about Romney’s Formula

Since I am referring to Romney and his formula, I will list for you what his formula is for turnarounds. First, he does a “strategic audit;” second, he “reviews every aspect of the business;” third, he builds a team by “selecting the right people” (which fits neatly into the last section I discussed); and, fourth, he likes to “focus, focus, focus” (p. 53) as mentioned above. His formula was created over the years as he successfully turned around one organization after another as CEO at Bain Capital (a venture capital firm). Note how his formula is similar to the stages discussed in this dissertation.

More on Taking Little Steps...

Hamel (2001), in his research about the turnaround at IBM, stated that the seventh tenet for creating a turnaround (based on how IBM turned around) was to “win small, win early, win often” (p. 164). In other words the company had to “feel its way” toward a turnaround as if the process takes acclimatization (small

steps). Further related to little steps, Bibeaault (1982) suggests that turnaround leaders, as implementers of strategy, need to prioritize and be in “consistent pursuit of objectives” (p. 150). He even goes on to say a leader must devote “enormous energy” and be “dogged” in pursuing these objectives (p. 151). These are all tenets of taking little steps and staying on track in order to reach a final objective. It is also having an intelligent, patient, hard working leader helping the organization take those little steps.

Other researchers (e.g., Abrahamson, 2000; Christensen & Overdorf, 2000; Dooley 1997; Kotter, 1998) as well suggest that because of the various and divergent forces at work in a failing organization, leaders must take their time as they work toward a turnaround transition. Since the various and divergent forces are common during transitional times in an organization, steps are not necessarily linear (Ackoff, 1999), a leader needs to focus, focus, focus while taking the little steps in order to make certain all non-linear forces are dealt with along the way. For example, one of Don Read’s little steps was to change attitudes person-by-person and group-by-group, but as that step was taken he also had to work at making football fun again, and then take another step to help with recruiting. All of these steps are non-linear. In fact, Read even mentions in the interview that there was a lot of one step forward and two steps back along the way to success. As seen in this example, a non-linear process can be slow, and that is why a leader must focus.

Even though it is more related to what focus great organizations should have, Collins and Porras (1994) in *Built to Last: Successful Habits of Visionary Companies*, relate the idea that a great organization should be a “clock builder” not a “time teller” (p. 23). Building a clock requires tiny, important, steps in order to create a clock that works well, and persistence in being true to the process of building the right clock for the customers. That is really what the three turnaround leaders were saying as well. In other words, take little steps to turn the organization around the right way, the first time. Do not become the “time teller” who, like a town crier, yells out increments of time that might hasten all to work too quickly. Instead, take time to do the job well.

Just as clocks need to be smoothly operant for working well, my findings indicate that the right means for assisting with the attainment of a turnaround is an operant focus that begins when the leader takes charge and continues throughout the organization’s recovery and stabilization. In Random House Webster’s College Dictionary (2000), the first meaning of “operant” is “operating; producing effects.”

*For the purpose of relating this to my findings, an operant focus is something the leader employs to produce effects **inside** and **outside** the organization. This differs from a “catalytic mechanism” as defined by Tesone, Fischler, and Giannoni (2003) in that catalytic mechanisms are meant to be used as levers for worker [inside the organization] performance (p. 1). Even Collins (2001b), who is a researcher known for his work on catalytic mechanism, targets*

catalytic mechanism for followers inside the organization - on their way to attaining long-term goals (p. 25).

My research indicates that each turnaround leader used an operant focus for themselves and for followers inside and outside their organizations. The operant focus is a focal device used by the turnaround leaders for producing effects of change needed to stimulate and then maintain turnaround. The operant focus is not a lever or catalytic mechanism that has “a sharp set of teeth” (Collins, 2001b, p. 29) to inveigle workers. Instead, the operant focus is more like a mascot for the attainment of vision.

(4) Using an Operant Focus for the Turnaround

The final area of leadership action similarities among the leaders is an operant focus. Each leader in this study utilizes an operant focus for his turnaround. For Coach Read, “fun” became his operant focus. For David Moore, “voice” became his operant focus, and for Marc Racicot, “process” became his operant focus.

In speaking about Coach Read’s operant focus, in a certain way it became part of his “blueprint for success.” For example, Don Read knew that Montana was a “sleeping giant.” He also knew, based on his analysis of Portland State compared to Montana, that Missoula had an isolated campus with traditional college students who lived on campus, and that the school was about to get a brand new football facility. Further, since the NCAA rules had changed for scholarships, there was “a more even playing field out there” among all schools in their conferences.

In order to get Montana into that “more even playing field,” Coach Read knew that a component of fun had to become an operant focus, or what he termed “making it different.” He had to make Montana football fun for coaches and players inside the organization, and he had to make it fun for fans, faculty, staff, and alumni outside the organization. His operant focus was maintained throughout the pre-op and surgery stages. In fact, for his tenure at the University of Montana Coach Read kept the fun going!

Although David Moore did not have a blueprint for success, he did have an operant focus. It was his ordainment of the term “voice.” Throughout the interview David kept saying the Kimball needed a voice in the community; the Kimball needed a voice in the local media; the Kimball needed a voice in the schools; the Kimball needed a voice that would change its image and make it seem more like a community center where townspeople, and others, could go for multiple reasons, not just to see art displays. The Kimball needed a community relations voice because, as David said, “It’s about identity,” and getting people to go there and then passing the word around about how wonderful the center is for Park City. David said he has found the person (“Pat”) to carry out the operant focus from now on, and people are responding to the voice.

Marc Racicot's operant focus was “process.” The process was to study hard, bring people together in a process of rationalization and prioritization to make painful decisions about eliminating or diminishing government, and to do so in an atmosphere of teamwork and operating in good faith. By following this process for success, and continually articulating his vision, Governor Racicot was

able to lead the state through a turnaround and, according to Mr. Racicot, “improve the system” and “make it more responsive” in meeting the needs of people. Although “process” is not a word as dynamic as “fun” or “vision,” the elements of the process are dynamic and long-lasting. Racicot kept his operant focus alive for the two terms he was in office; it was not just a lever used to get things going.

Research about, or Related to, Catalytic Mechanisms

The term “catalytic mechanism” is used to describe the initiation of a transition state (catalytic) with a resultant unpredicted outcome (mechanism).

- **Glennon and Warshel, 1998**

Tesone, Fischler, and Giannoni (2003) describe the scientific meaning of catalytic mechanisms in organizational contexts as “critical links between objectives and actual performance that introduce some factor into the management of work activities that causes transformations in group and individual behavior in unpredictable ways to accomplished desired results” (p. 1). Leaders use catalytic mechanisms as “systems oriented leadership drivers” (p. 3) to produce lasting effects.

Other research literature that could be associated with the catalytic mechanism for the purposes of creating successful organizational transitions include Atkinson and Millar (1999) and Messmer (1999) in discussing leadership development, O’Dell and Grayson (1999) and Hildebrand (1999) in their work on knowledge management, and others who researched self-managed groups (e.g., Manz & Sims, 1990; Moravec, 1997; Pfeffer, 1999). One of the most vocal researchers for espousing catalytic mechanisms is Collins (2001b). He calls for

the use of catalytic mechanisms (along with getting the right people in the right jobs) to be used as “levers” that eventually ignite followers to achieving long-term, “Big Hairy Audacious Goals” (p. 49).

Collins (2001b) established five reasons for describing how a catalytic mechanism is different from other (more traditional) managerial devices. A catalytic mechanism does the following (from Collins’ chart on page 28):

1. “Produces desired results in unpredictable ways.”
2. “Distributes power for the benefit of the overall system, often to the great discomfort of those who traditionally hold power.”
3. It “has a sharp set of teeth.”
4. It “attracts the right people and ejects the viruses.”
5. It “produces an ongoing effect.”

Since catalytic mechanisms help an organization change behavioral aspects of followers, their use is related to the operant focus espoused in this study. What differs, as stated previously, is that the operant focus is meant to target followers inside and outside the organization, and as the mascot for the turnaround it really doesn’t have a sharp set of teeth. That is why an operant focus weaves its way through all four of the findings within this paper.

In speaking about how an operant focus weaves its way through the finding, since the number one finding in this paper relates to attitudes inside and outside the organization, it is directly related to operant focus. The second finding, using the right people in the right job for the right situation, is also a variable for an operant focus because a leader must have the right person with the

right attitude - a follower who has changed his or her attitude because the operant focus has assisted with that change. For the third finding, taking little steps toward recovery, if the follower has changed his or her attitude because of the leader's operant focus, it means that he or she is paying attention to the operant focus. So even though the operant focus is the fourth finding, it is important in relationship to the other findings as well.

Transition into Leaders' Perceptions about Followers' Roles and how the Leaders Motivated the Followers

In speaking about relationships during the Transition stage of the turnaround, or what has been called surgery, I would like to focus on those who assist with surgery. Knowing there is an internal and external followership component to the findings thus far, it is important to understand how the leaders perceived the roles of the followers and how they motivated the followers to assist with the turnaround. It was clear from what each leader did initially to change attitudes in order to change the organization's image that people are highly important for a turnaround endeavor, and that the followers must be motivated to assist with turnaround efforts. In keeping with my operating room, surgery metaphor, the workers are like the nurses and assistants hovered around the table, ready and willing to assist the doctor at any moment. Marc Racicot talked about how important teamwork was to his process and the same can be said about the turnarounds experienced by the other two leaders as well.

I established two categories for this theme because the question's purpose was to describe followers' roles as perceived by the leaders, and then tell me what motivational tactics were used to keep the followers working toward the turnaround goals. Finding generalizations in the first category was easy when I looked at coded data, but in the second category, motivation, it was a bit harder to find motivation tactics from the David Moore interview. Then I realized why. I was looking for positive motivation themes instead of negative motivation devices. Don Read and Marc Racicot related positive motivational tactics, but David's was more succinctly negative and thus went to the outlier responses because it did not match Read's and Racicot's themes.

Followers' Roles during the Turnaround

Don Read, David Moore, and Marc Racicot had one important answer to leadership actions that they used with the followers during the turnaround. Coach Read said that he had to make sure followers would “buy into the philosophy” of what he was doing to create the turnaround. David Moore, in using almost the same “buy into” phrase, said that followers needed to “buy into the importance of the center” and its “new mission.” In the same light, Marc Racicot said the followers must “embrace the mission” to change the way they were doing politics so that a turnaround could be orchestrated.

Don Read and Marc Racicot also mentioned the same thing about followers' roles when it came to them knowing what they needed to do to assist with a turnaround. For example, Mr. Read mentioned that each person “had to know his role” and have a “clear understanding of the job description.” Mr.

Racicot let it be known that he needed people who could rally others around the cause and make tough decisions in their areas. When he was looking to place people in positions, these ideals became the job description, and each person had to know the role he or she was playing based on that description.

Racicot's idea of followers rallying people for the cause also aligns with Read's idea that "fun" and "success" had to go through the coaches to the players in order for the turnaround to be successful. With both leaders acclimatizing the organization through the followers they did two things. First, they made the followers' roles important because the philosophy and mission had to flow through them to others and, second, it showed others that there was a complete buy-in of the leader's turnaround process by the followers. So what was the motivation behind getting this to happen?

Research about Followers' Roles and Turnaround: Everything Flows through Them

In each of the organizations for this study there was passivity and negativity among the followers (and people outside the organizations as well) at the beginning of the turnaround efforts by the leaders. Hence the Initiation Response from all three was aimed directly at the followers and outside stakeholders. The leaders had to make all societal units change their attitudes about the failing organizations. Glor (2001) states, "Making a societal unit more conscious of its societal environment, its structure, its identity, and its dynamics is part of the process of transforming a passive unit into an active one" (pp. 4-5). The way our leaders transformed their passive societal units into active ones was

by changing their attitudes about the organizations they were trying to save.

Essentially, the societal unit is the organizational culture (Glor, 2001, p. 5), and

Schein (2004) defined organizational culture as follows:

A pattern of shared basic assumptions the was learned by a group as it solved its problems of external adaptation and internal integration, that has worked well enough to be considered valid and, therefore, to be taught to new members as the correct way to perceive, think, and feel in relation to those problems. (p. 17)

The problem in each organization was that it was failing, and the “pattern of basic assumptions” had to be changed by the leaders. What Read, Moore, and Racicot had to do with their organizational cultures was to make them think differently about their organizations and to perceive that a new vision would rescue them from failure. As stated above, the followers had to “buy into the philosophy” that the new leaders brought to their organizations. This “buy in” would make the social units active again because there was a new consciousness within societal environment (Glor, 2001) and a new development of shared meanings (Smircich, 1983; Turner, 1971).

Two of the three leaders in this study, Read and Racicot, seemed to understand that the power to turnaround the organization had to flow through the followers and that they would become an important part of rallying others (internally and externally). In *Strategies for Organizational Recovery in Local Government*, written by Boyne, Martin and Reid (2004), the author’s stress that organizational recovery requires internal change and “a strong emphasis on the

implementation of trust-wide systems, processes and protocols” (p. 13). Both Read and Racicot established “trust-wide systems, processes and protocols.” For example, when both leaders looked at “job descriptions” for the followers, they wanted people who understood that their roles involved rallying people to the cause (establishing a trust-wide system), and that they would essentially implement the processes and protocols the leaders wanted in place for the turnaround effort. Coach Read even allowed his followers (assistant coaches in this case) to write their own job descriptions that would best serve them, and thus the organization. This helped establish an organizational culture of trust.

Follower’s trust is an important component for transformational leadership (Yukl, 2002), along with “admiration, loyalty, and respect toward the leader” that will make followers “do more than they originally expected to do” (p. 253). Yukl also notes that when he wrote the following:

According to Bass, the leader transforms and motivates followers by (1) making them more aware of the importance of task outcomes, (2) inducing them to transcend their own self-interest for the sake of the organization or team, and (3) activating their higher-order needs. (p. 253)

In other words, trust, through transformational leadership actions as shown by Read and Racicot toward their followers, leads to loyalty and respect, more awareness of tasks followers must accomplish and so do without self-interest, and by activating their higher-order needs; those being to save the organization.

Gardner (1990) says, “Transformational leadership renews” (p. 122), and that

renewal is what followers found when they answered the call for Racicot and Read.

In the above paragraph, Yukl (2002) mentioned that a transformational leader knows how to motivate followers in the three ways listed. It is the motivational aspect I transition to now. I wanted to find out from the leaders what they did specifically to motivate the followers. Was it just the three aspects that Bass (in Yukl, 2002) highlights, or was there something more about how our leaders motivated their followers?

How the Leader's Motivated the Followers during the Turnaround

As for motivational tactics used by the three leaders to keep the followers working diligently toward the turnaround goals, Don Read and Marc Racicot expressed five motivational tactics that are the same, and David Moore expressed just one that aligns with one of the others' five tactics. The one tactic that all three of the leaders agree on is that motivation needs a hard work approach from the leaders in order to keep people on track. Don Read said he had to work hard to keep up the morale, attitudes, and effort levels. David Moore and Marc Racicot both said they knew they had to work harder than everyone else as a way to motivate others to work hard themselves.

As for the other generalizations between Read and Racicot, they focus on four areas besides hard work. These four can be generalized as (1) being positive, (2) building relationships, (3) teamwork, and (4) listening. For example, Coach Read said that one motivational tool was to make his assistant coaches feel good, and he did that by keeping everything positive for them. Governor Racicot tried

to instill the positive outlook by convincing the followers that the state was not on the “abyss” or reaching a “final disaster.”

Along with being positive to motivate followers, both leaders also worked at building relationships in order to keep people motivated. To illustrate this, Don Read gave multiple examples of how he motivated his coaches. He would go have coffee with them and watch a little film, he would send their kids greeting cards, his wife would get together with their wives, and he did this because he knew the University of Montana paid assistant coaches poorly so money could not be a motivational tool for his use.

Obviously Marc Racicot also had to motivate without money because many followers’ positions were stuck at state salary levels, and when a governor has to come in to balance a budget by prioritizing and trimming or eliminating, he doesn’t suddenly give raises. Instead, as Montana’s governor at the time, Marc Racicot built relationships by working closely with others through his process. Governor Racicot helped build relationships by working in “good faith” with others and convincing individuals that problems could be solved, and they could be part of the solution by working with him.

Working with people can also equate to teamwork. Instead of, as Don Read says, “shoring up relationships” at the individual level, these two turnaround leaders also had to establish the teamwork ethic as a motivational device to get things accomplished. Marc Racicot used the term “teamwork” over and over again to stress the importance of the leader-follower relationship.

The final generalization in this motivation section is “listening.” Marc Racicot expressed the importance of listening much more than Don Read, but Read implies it in other ways. For example, he implied that listening is a motivational tool when he mentioned it is highly important to “allow them [coaches] to voice their opinions” and to “say how they think.” He also said a leader has to “let them get their feelings out.” In order to truly motivate followers a turnaround leader doesn’t just let them do this and then move on. The leader has to become an active listener and make what followers have to say important. Essentially Read did this every day through practices and every week through the games. For example, he noted in the interview that he let the coaches come up with the practice schedules and game plans. His input was scattered and usually had something to do with gimmicks or sticking to the theme of a weekly game plan.

One might say that a great motivational game plan by Governor Racicot was to make sure all factions knew he was listening to them and interested in what they had to offer to the process. He mentioned that a governor must “listen carefully to them.” The “them” that he is talking about includes his own people as well as those from other government factions and political parties. When Racicot’s followers and others knew his listening was genuine, and that sometimes he acted on what others had said, it became a great motivational device for him.

When the governor actually listened with respect to what his followers and others had to say, he created collegiality among them; they worked together to accomplish important turnaround goals. Just as Don Read said, “everything we did had a purpose,” one might posit that every moment of time Marc Racicot spent listening had a purpose as well – to prove to people that what they said was worth listening to, and to show them he was operating in good faith for the sake of the state’s well-being.

Writer’s Interlude on “Making it Different”

In working through the Initiation Response stage and the Transition stage elements above, I kept thinking about (because for some reason my eyes kept going back to it on the coding matrix) Coach Read saying, “We had to make it different” for the football audience and everyone else involved with the former failed program. This theme is actually prevalent throughout the pre-op and surgery of all three leaders. At first I thought Don Read’s comment was an outlier but it is so integral as a theme, I decided to bring it up here – at the moment of conception in my brain.

All three leaders, in getting out to the people to initiate a change in image and attitude were truly “making” people have a different focus other than the largesse created by each previously failing organization. Don Read had great insight to make sure that people’s attention was attracted elsewhere, so-to-speak, by having the fans focus on the game day fun, celebration, atmosphere, and halftime shows rather than the fact that the team was losing (the first five games of his inaugural season). In sticking to a medical metaphor (and pardon the pun

as well) it is like attracting a child's attention elsewhere so the nurse can give him a shot to make him feel better!

David Moore also created a different focus at the Kimball Art Center. He said they had to redefine what they were doing in order to attract attention to the center. To do this, the Kimball began showing art from nationally known artists rather than just local artists. In essence, he and the director had to get the followers and community to think their art center was a "nationally known" one rather than just a "locally known" art display case. They had to make it bigger and better, just as Don Read mentioned that he had to make the Grizzly football program bigger and better.

On the other hand, Marc Racicot could not say he wanted to make the state government bigger. That would have been political suicide at the time, but he did say they had to make the system better and more responsive as a government organization, and that was the focus he worked at by making all factions realize they had to be part of the solution or the state would remain in debt. In this light, all three leaders were actually aiming toward "bigger" and better things to come from their turnarounds (the BHAG), and in order to get to the end, the means was to change the attitudes of the people and the images of the organizations – "to make it different." Schein (1996) was right, then, to say, "It is more correct to think of this point [the point where a turnaround is needed] in the organization's history as a time when the organization-building cycle starts afresh" (p. 66). For these three leaders, the organization-building cycle could only start afresh by "making it different."

Research on Motivation for Turnarounds

Motivation influences productivity and if the right motivation is used workers can reach peak performance. Arguably, peak performance is needed for creating an organizational turnaround. As such, “factors that affect work motivation include individual differences, job characteristics, and organizational practices” (Allen, 2002, p. 1). Motivational theories are important for leaders, especially leaders who are attempting turnaround. There are traditionally two approaches to motivation, and these are considered the “content approach” and the “process approach” (p. 2).

The content approach is based on the idea that a person is motivated because he or she wants to fulfill an inner need. As such, the content theories look at the motivation of people promulgated by their needs. One of the most famous content approaches is “Maslow’s Hierarchy of Needs” from Maslow’s *Theory of Human Motivation* published in 1943. Maslow identifies five levels of needs. These needs are, “Psychological Needs,” “Safety Needs,” “Love Needs,” “Esteem Needs,” “Need for Self-actualization” (pp. 371-378).

In quick summation of the level of needs above, psychological needs are the basic human needs (Maslow calls them “homeostasis”) like oxygen, food and water. Safety needs are those things humans want in order to feel safe from harm. Love needs come from human beings wanting to associate with one another or groups for affiliation of some kind, although Maslow (1943) stresses that “love is not synonymous with sex” (p. 376). Esteem needs are a human’s desire to feel respected or recognized by others; it is a self-esteem component. The last of our

needs, self-actualization, means that an individual desires to self-fulfill to his or her potential. Maslow puts it succinctly this way: “What a man *can* be, he *must* be” (p. 377).

Other content approaches to motivation include Alderfer’s ERG (Existence Needs, **Relatedness** Needs, and **Growth** Needs [bold added]) model, McClelland’s Learning Needs model (based on Achievement, Power, and Affiliation), and Herzberg’s Two-Factor Theory that identifies human needs in terms of satisfaction and dissatisfaction; there are “Motivational Factors” (such as: interest, challenge, meaningfulness, recognition, decision-making involvement) and “Hygiene Maintenance Factors” (such as: congenial people, conditions at work, salary and benefits) that stimulate people to accomplish tasks (Allen, 2002, pp. 2-3).

The other motivational model came from a process approach perspective that looks at external influences and how people choose certain behaviors, and why they choose those behaviors, as typified by “Vroom’s Expectancy Model” (Allen, 2002, p. 4). Allen states that Vroom’s model does the following:

[It] suggests that people choose among alternative behaviors because they anticipate that particular behaviors will lead to undesired outcomes.

Expectancy is the belief that effort will lead to first-order outcomes, and any work-related behavior that is the direct result of the effort an employee expends on the job. (p. 4)

The external indicators of the process approach to motivation, based on expectancy, are equity and reinforcement (Bowditch & Buono, 1997). Equity as a motivational factor was originally studied based on differences in salaries, but Bowditch and Buono (1997) noted that equity could also be based on other rewards at work. Reinforcement, on the other hand, involves consequence because a leader can use positive reinforcement or negative reinforcement. For example, rewards might be the positive reinforcement while punishment (like a threat of demotion) might be the negative reinforcement (Allen, 2002, p. 7). As external approaches to motivation, equity and reinforcement are process oriented; a worker is expected to do something and if he or she does not accomplish the task then the next part of the process is that either x or y happens.

In looking at the two approaches to motivation, content or process, one can place Read's and Racicot's approach to motivation in the content realm. For example, the leaders motivated the followers based on their reasoning that they had to fulfill the followers' inner needs in order to motivate them to assist with the turnaround. Two inner needs of the followers, at least based on what the leaders related in the interviews, that our leaders focused on for motivation were Maslow's (1943) esteem needs and the need for self-actualization. This is related to Herzberg's Two-Factor Theory in that Herzberg uses the term "motivators" in relation to job content and satisfaction. Allen (2002) says, "Motivators correspond to Maslow's higher-level needs of esteem and self-actualization" (p. 3). Thus, both Read and Racicot worked at raising the esteem of their followers and in doing so they propagated the followers' self-actualization needs – or at

least gave the followers the vision that their self-actualization needs would soon be met if they believed in the leader and the mission!

David Moore's motivation approach corresponds more closely with process because of the external component for motivation. Moore focuses on the undesired outcomes that might occur should the followers not perform the turnaround. Those outcomes, as stated before, were loss of a job and shame (black-eye to the community). The reinforcement in this case is negative in scope and follows the process that if you do not do x then y will happen.

Looking specifically at motivation in relationship to turnaround research, in the book *Corporate Turnaround: How Managers Turn Losers into Winners*, Bibeault (1982) delegates an entire chapter to motivation based on the stage of a turnaround. He lists six stages of a "people-Motivation Cycle" that happen before, during, and after a turnaround event. The six stages are "Deterioration Stage," "Demoralization Stage," "Honeymoon Stage," "Neutral Stage," "Commitment Stage," and "Enthusiasm Stage" (p. 182), and our focus here is on the final four stages.

The first two stages take place before the Initiation Response Stage, during the decline of the organization. Since this study begins at the Initiation Response Stage and moves into the Transition Stage, the People-Motivation Cycles Bibeault (1982) places within these stages are the last four: honeymoon, neutral, commitment, and enthusiasm (although enthusiasm can also be located in the Outcome Stage). Below is a brief description of each people-motivation stage.

The Honeymoon Stage “is a brief stage when the new leader comes in. People are usually thirsting for good leadership” (Bibeault, 1982, p. 184) and the initial contact with the new leader make followers excited because there is a new vision. However, this stage makes its way into the Neutral Stage once the leader begins making changes (p. 184) because the followers are now wondering what will happen.

Writer’s Interlude about the Honeymoon Stage

In my study I did not ask a question about follower’s perceptions of Read, Moore, or Racicot at the inception of their being hired (elected) for the turnaround leadership position. I will not assume, then, that people from each organization went through this quick honeymoon stage with our leaders. I can speculate that in Marc Racicot’s case there was the honeymoon feeling from republicans, but perhaps not from the democrats, and in the case of David Moore, it sounded like there was a schism among factions at the Kimball Art Center. The first director had board member friends so that is why David went outside the organization to enlist some support from other prominent individuals. This does tell me, though, that Mr. Moore faced followers who lacked commitment, and that lack of commitment is described next.

Since the followers are wondering what will happen once the new leader is in charge, there is still a lack of commitment and that is why the next phase is called the Neutral Stage; the people “are willing to give the new leader a chance but are still skeptical. At best it’s just a place to work” (Bibeault, 1982, p. 184). Bibeault suggests that “this neutral, mediocre stage must be changed in order to

sustain the turnaround” (p. 185). So the leader must do something to make the followers feel confident with the mission ahead.

The Neutral Stage is the people-motivation phase when the leaders in my study examined the organizations and knew they had to change the attitudes of people in order to change the image of the organization. This is the Initiation Response stage for Read, Moore, and Racicot; the time when they all began working hard to initiate the turnaround by establishing the new attitude and image. They knew they must make the followers feel confident in what they were about to do. This, of course, required the leaders to motivate the followers, or as Read said, “We had to make it different.” Once the turnaround leaders made it different, they had to make certain they kept it different through continuous motivation. This is noted in Bibeault’s (1982) Commitment Stage below.

Once the leader establishes a successful climate and culture, and people feel confident that the direction the organization is going will lead to success, and full commitment is established (Bibeault, 1982, p. 185), the organization has entered the Commitment Stage. During the Commitment Stage, Bibeault warns the leader, however, that he must “constantly have his antennae up to spot signs of commitment” (p. 185) and then give positive feedback to prove to followers he sees and is enthusiastic about their commitment. The worker’s commitment will be maintained throughout the Transition stage of the turnaround as long as the leader works hard to keep them motivated.

The information gleaned in the above paragraph is certainly true of the leaders in this study! As noted earlier, all of the leaders mentioned or inferred that keeping motivation levels high was hard work. This is the motivational stage when “levers,” as Chowdhury (2002) mentioned in his stage theory perspective, are usually implemented, but “largely situation specific” (p. 256), and might include rewards (Hambrick & Cannella, 1989).

In focusing on motivation in relation to Read, Moore, and Racicot, I wanted to see if their motivational tactics were intrinsic or extrinsic or both, and I also wanted to match how they were motivating within Maslow’s (1943) hierarchic levels. This will clarify for the readers the motivational tactics used for turnaround. First, however, in defining intrinsic motivation, Bestwick (2000) writes the following:

By intrinsic motivation we mean a process of arousal and satisfaction in which rewards come from carrying out an activity rather from a result of the activity. We speak of the rewards being intrinsic to a task rather than the task being a means to an end which is rewarded or satisfied. (p. 1)

On the other hand, extrinsic rewards are, according to Bestwick (2000), “undertaken as a means to an end, [and] is typically deficit motivated behavior in which there is a reward as a consequence of effort to reach a goal where the deficit is reduced” (p. 2). The motivation used by two of the leaders in my study was primarily intrinsic, but David Moore’s motivational approach was process oriented as defined in Vroom’s Expectancy Model (Allen, 2002), and thus

extrinsic in nature. I will begin, as usual, with Don Read and move on the David Moore and then Marc Racicot.

Don Read used rewards daily and even small rewards were highly important to him, like giving a player or coach an M&M or just sitting with an assistant coach to have some coffee. Don Read's rewards were motivationally intrinsic even though he did physically hand out M&M's each day as a reward. Not only did he motivate people with his positive outlook, he worked hard to keep the coaches' self-esteem levels high. That was his intrinsic motivation plan, and it met the esteem and self-actualization needs (Maslow, 1943) of his followers.

But one might ask, "Isn't physically giving some kind of reward to people an extrinsic motivation technique?" The answer is "no" because in giving out a reward like M&M's to assist with motivation the deed was insignificant as a motivational maneuver, it was not a "deficit motivated behavior" (Bestwick, 2000, p. 2). For example, the deficit of not getting an M&M would not lead followers or players to hunger, and thus did not threaten the follower's psychological needs (Maslow, 1943). Had Coach Read been able to give out raises for coaching performance, however, he said he would have done so (like they do at Ohio State he mentioned), but the University of Montana does not allow a head coach to do that. So this affirms what Coach Read said about having to work hard at motivation. It also affirms that Read would have liked the ease of motivating at Maslow's extrinsic safety need level (motivating the followers by assuring them of job security and money), but it just did not work out that way.

Like Read's M&M's above, only a little more expensive, David Moore rewarded employees with a Christmas luncheon and a small gift. Again, this is not a deficit motivated behavior, so it was not an extrinsic reward. As for David's intrinsic "reward" for motivation, that was a negative motivational process because of his dire warning to the workers that if they did not turn around the organization they would not have jobs and their failure (and Mr. Moore's) would have given the Kimball a "black eye." David's motivational tactic here, if looking at it in terms of Maslow's (1943) hierarchy of needs, hit the followers hard at the safety (loss of job) and esteem (black eye) levels.

Marc Racicot did not mention extrinsic rewards as motivation for turning around the state's fiscal woes. All his motivational tactics were intrinsic and located at levels two (safety needs), three (love needs), and four (esteem needs) in Maslow's (1943) hierarchy of needs. For example, Racicot mentions that he had to assure people over and over that the state was not on the abyss, and that it was not the end of their dreams. This tactic lands in Maslow's safety needs level. In addition to inspiring assurance, Mr. Racicot also worked hard to make people feel like they were part of the solution and that they were truly needed to assist with the daunting task of turnaround. This tactic lands in Maslow's love needs level. Racicot showed direct care and concern for the employees, and proved he needed their assistance. Their social need for love or to be loved was satiated.

Finally, Governor Racicot's tactic for meeting Maslow's (1943) esteem level was to show all people, no matter what faction they belonged to, that he recognized them for who they were and what they wanted. He listened with

respect to what they had to say, and sometimes acted on their desires. This motivational aspect of the turnaround was purely intrinsic; however, one does not know, based on the interview, if Mr. Racicot gave extrinsic rewards when negotiating for votes with the opposition party in order to pass his policies. One would have to study the dynamics of interpersonal and intrapersonal exchanges among politicians to diagnose what might be extrinsic motivation compared to intrinsic motivation. For example, did a politician vote a certain way against his or her conscience in order to secure his or her next reelection bid?

Even though the question above cannot be answered here, I can say that with Racicot's staff and department directors, he seemed to have motivated them intrinsically by meeting their safety, love, and esteem needs.

A Paragraph to Finish the Motivation Theme

Bibeault's (1982) final people-motivation stage is called the "Enthusiasm Stage" and this is when the turnaround has been successful. Chowdhury (2002) calls this phase of the turnaround the "Outcome" stage (p. 256). It is when a leader knows for sure that success has been attained (Krueger & Willard, 1991). Bibeault's (1982) Enthusiasm Stage is related to people-motivation, but when this motivation happens during the overall turnaround, he calls this turnaround phase "The Evaluation Stage" (p. 203). Both Chowdhury and Bibeault note that during this stage, measurements of some kind must be taken to determine if the turnaround has actually taken place and if the turnaround will be sustained. That may then determine motivational tactics.

I did not ask the three leaders in this study about motivation once the turnaround was achieved, or on its way to being achieved, as in the case of David Moore. Instead, I asked a more open-ended question about how they sustained the turnaround.

Sustaining the Turnaround

In getting back to the next theme among the findings, the post-turnaround event theme, it is important to inform the reader that Don Read's turnaround at the University of Montana is still in a sustained mode since his retirement in 1996. David Moore's turnaround efforts are currently in progress, and Marc Racicot's turnaround fiscally lasted only until the next governor, Judy Marz, was elected. Of course one can debate whether or not she "inherited" a budget deficit from Racicot's reign during his second term, but since the state seems to keep falling in and out of deficit based on whomever is doing the accounting procedures, one may never know or come to understand the impact Racicot's administration had on the state after he left office.

For the first post-turnaround event theme, leaders answered a simple question about how they sustained the turnaround once they had achieved success. Don Read talked about how much easier it was to keep the positive direction (keep the fun going), and Marc Racicot attributed the sustained turnaround (at least while he was in office) to keeping his "process" intact. David Moore's answer was quite different because he is still in the process of creating the turnaround. He did, however, talk about what the leader who follows him should do to sustain the turnaround.

In generalizing Read's and Racicot's data for this question, there are only two areas of significant thematic similarity and those are related to the operant focus. One is the process of keeping people together and the other closely related topic is keeping things positive and fun. One of the most important aspects of Don Read's process for keeping people together was to bring people up from the inside to fill vacant coaching positions. By bringing people up from the inside, he did not have to sell the program to someone or indoctrinate someone else to his philosophy, and it was easy to bring someone up from within because his recently graduated players wanted to keep being part of that success, only from a different vantage point (that of a coach).

Marc Racicot knew that his process must continue throughout his terms in order for the turnaround to be sustained. The nature of the process was that every two years he and his administration would have to reach out to the new senators and congressmen and women, as well as the ones who had retained their seats, and begin the process of working in good faith with them, listening to them carefully, and doing the right thing when it came to policy. In order to sustain the turnaround in the political arena, one might say that Governor Racicot simply stayed with the process that created the turnaround. Since the process was truly a dynamically constructed and socially cognitive agenda to engender positive working relations, the sustainability was dependent upon Governor Racicot remaining true to the process.

Both Read and Racicot also mentioned that keeping things positive assisted with sustaining the turnaround. For Coach Read this meant keeping the media positive (“keep it vanilla” he would tell coaches who might speak to the media), keeping the athletes positive, keeping the coaches positive, keeping university students and faculty positive, and keeping the football atmosphere fun on game days at Washington-Grizzly Stadium.

Marc Racicot tried to keep communication in the legislative branches positive by making sure employee loyalty remained high throughout the eight years he was in office. He did this by operating in good faith with the opposing party every time the next session was held, and by keeping things positive for the state employees in the various departments and agencies. He also kept the climate positive by sticking to his edict of listening passionately to what other people had to say, and because they understood that he might act on their proposals, they were positive in the communicative endeavor. His operant focus of following the process he initiated assisted with attaining a positive climate.

What does the literature say about sustaining the turnarounds? In the next short section I will present to you the two primary sources that discuss what a leader does, or is supposed to do, in order to sustain the turnaround.

Some Literature about Sustaining Turnarounds

Bibeault (1982) actually calls the final stage of turnaround “The Stabilization Stage” (p. 299) while Chowdhury (2002) calls the final stage of turnaround the “Outcome” stage (p. 256). Bibeault (1982), using the medical metaphor, says, “Stabilization entails definitely settling down after the trauma and

surgery of the emergency stage. The patient is no longer in danger of demise but is hardly a robust, healthy company” (p. 299). Chowdhury (2002) notes that the leader needs to look at “a cut-off point of the performance measures” in order to determine “whether a turnaround has been accomplished” (p. 256). In other words, both authors suggest that it is not over yet, there needs to be some close monitoring before a final announcement of health is made.

At this point in Bibeault’s (1982) book he goes into a litany of profit-making organizational functions that will assist with stabilizing the turnaround. All the functions have something to do with profitability and assets investment. At the end, however, he does add a few insights about the human-factor of the stabilization. For example, he suggests that organizations “improve the people mix” by getting rid of people who are not assisting with the sustainability (p. 327). He says, “You’ve got to use hands-on methods to ensure that marginal people are weeded out” (p. 328), but then make sure, as an extrinsic motivational device, you pay those who are left. Bibeault writes, “Run with as lean a staff as possible, and pay them well” (p. 332).

Chowdhury (2002) states that the stages of a turnaround -- Decline, Response Initiation, Transition, and Outcome -- have no real delineation of where one begins and the other ends when compared from one organization to another (p. 256). The subjectivity of that might come from the leaders themselves (as it does in the case of Read and Moore), or the objectivity might come from whatever measurement a leader sets as a goal (as it did for Racicot when by his second year the state was out of its deficit). Be that as it may, Chowdhury, too,

states that during the Outcome stage (stabilization) “individual and/or group goal structures of its human elements change...in response to individual, organizational, or environmental stimuli...” (p. 262). He does not say, like Bibeaault (1982), whether this means getting rid of weak personnel, just that there is a change “in both the amplitudes and the way they [personnel] connect to each other for creating a push” (p. 262) to stabilization (or outcome).

In the case of both authors above, the generalizing notion is that stabilization might bring with it a sense of finally getting the turnaround accomplished, but there are still human factors to consider, and other variables (Bibeaault, 1982), that will keep the leader and followers busy and working hard during this stage. In the case of Don Read, the stabilization occurred and transformed the Montana Grizzly football program. It is currently in its tenth year of success following Don Read’s retirement in 1996!

And Finally...

The final post-turnaround event theme could have been a pre-event theme as well, but I placed it at the end because I wanted the leaders’ minds to be focused on the interview topic and their answers given during the interview. In other words I wanted them focused on leadership and turnarounds when I asked them the questions. My motive was to see if there were similarities between the three leaders’ backgrounds and/or their ideas of leader mentors or leaders they might have modeled.

Don Read and David Moore did not hesitate to answer the question by saying “family” or “a family member,” but Marc Racicot’s initial answer to the question went directly to leaders who had great oratorical skills, but then after my prompting, he moved into the family answer.

What model leaders or leadership mentors did you look up to for turnaround leadership success?

For this post-turnaround event theme about model leaders or leadership mentors, all three leaders were very clear that family members (or a family member) were highly instrumental in helping their leadership to resonate turnaround success. As mentioned above, Marc Racicot spoke first about great leaders with oratorical skills, but then spoke about family once prompted.

Coach Read mentioned that he came from a family of athletes, his father and uncle, and other relatives, making it to the pinnacle level of athleticism as pro-baseball players. He said he “drew from his family” the leadership skills inherent in all of them. He said that leadership was simply expected of everyone in the family, and he called his leadership a “natural thing” because of the atmosphere in which he was raised. He said he did not have any leadership mentors or models, outside the family background per se, because he said every coach takes a little something from other coaches during their careers, but nothing he could call leadership examples to emulate.

David Moore mentioned that his one shining example of a leader to emulate was his father (the one-time owner of Western Broadcasting Corporation – he owned television and radio stations throughout the west and into Puerto

Rico). Just as David spoke about getting into the trenches with his workers at the art center, he said what he admired about his father's leadership was that he would "get his hands dirty" with the workers. He would "do what was needed" to get the job done even if that meant sweeping the floors (just as David mentioned that he would vacuum the floors). He said his father was "willing to go do it" because, as a leader, one needs to be responsible for every facet of the organization's operation.

As for Marc Racicot's similar "family" answer to the question about leadership mentors, he mentioned that "everything we observe is probably emulated or conformed to" in some way, and that is why he did come out to say his father and mother were both leaders from whom he probably first garnered leadership lessons.

Another similarity between the three leaders is that they all mentioned something about athletics, Marc Racicot even said that in coming from athletic families a person has "a more pronounced, visible and defined way to observe all those leadership skills" from family members. To some extent that was what Don Read was hinting as well. He was from an athletic family and leadership just came naturally to his family members. He said that as long as he could remember he always wanted to be a coach. When a person is enamored with athletic competition, athleticism, and having athletic families and coaches in the family (like his brothers), then one's penchant might be that a natural part of the athletic hierarchy is to attain a head coaching (leadership) level.

After seeing an athlete/coaching component to Don Read and Marc Racicot's answers, I made a note in my field texts that David was actually a good athlete and his father was highly supportive of the two sons who were athletes (his older brother, Richard, was a quarterback at Sentinel High School in Missoula). So, although David did not come from a family whose father was a coach or a pro player of some kind, he does have the similarity of being a good athlete himself, just as Don Read and Marc Racicot were good athletes! Again, this is not a research finding with high merit, but it is interesting and worth noting for the purposes of looking at similarities among the three leaders.

Now I would like to report the findings of the outlier answers within question themes. These are the answers that do not draw similarities from among all three leaders. My reason for showing you the outliers is to make you aware that for each turnaround effort there are differences in leadership actions. The differences might be due to the organizational structure itself, the situational difference, a behavioral difference, or simply because a leader was trying something out that he hoped would assist with the turnaround. It is from the outliers that future leaders might actually find something which merits emulating based on the organization he or she is trying to turnaround.

The Outliers

As mentioned at the beginning of Episode Five, the leaders' answers for the first pre-turnaround event question theme was the same. They felt they were hired (or elected) based on reputation. The second pre-turnaround event question

theme was where each leader had a different answer. The question theme was, “Explain why you knew you could turn the organization around?”

Don Read’s answer to this question was based on the “blueprint” idea he (and for some part, Jack Swarthout) had related about Missoula as the “sleeping giant,” the NCAA scholarship rules, and facilities. In other words, the schematic (blueprint) was there in front of him to consider, and he determined the architecture would be sound. David Moore’s answer was really based on his own idea that since he had turned organizations around before, he could turn this one around as well (even though he conceded that he was not always successful with turnarounds). Marc Racicot’s answer had nothing to do with a blueprint for success or his reputation. He simply said that the responsibility to create the turnaround was inescapable, but he thought his “process” for bringing people together to “prioritize,” “eliminate,” or “diminish” programs would work. So one leader knew he would succeed based on a blueprint, one leader based on his reputation, and the other leader based on the necessity of being elected to do the job and to follow a process that would get it done.

Although there were three different findings for the above question theme, it has already been reported that each leader took the same actions for the turnaround event question theme about what they did in the Initiation Response stage of the turnaround. Those actions all dealt with changing the attitudes of people and the image of the organizations. In moving on to the turnaround event itself, there were some outliers worthy to report. For example, to Don Read the facility itself was of major importance but neither David Moore nor Marc Racicot

discusses facilities. Although the Kimball Art Center had been renovated, David did not bring up that fact in the interview. With Governor Racicot, of course, one might guess that facilities are not criteria for success because the state has the facilities it needs (or at least gets by with for governance).

Another outlier that Don Read mentioned was about the importance of rewards and gimmicks to assist with the turnaround. Again, neither David Moore nor Marc Racicot discuss rewards and gimmicks at all, however David does mention a Christmas luncheon and gift. For Coach Read, though, rewards were important and to be given almost daily. He said he constantly gave rewards to players and staff members, and that the gimmicks were like rewards that would instill a sense of fun for coaches and players. This was a motivational and team building device.

Arguably another outlier that Don Read mentioned was to “always make recordable moments.” In other words, even if the Grizzlies would lose the game, he and his coaches would find a great, recordable, thing that the players accomplished in order to post the success on the wall or to glamorize it in the media. For example, Coach Read said it might be something as simple as scouring the stats and finding that there were twenty first downs while in the last game there were only eighteen. The recordable moment is that the team was better in that week’s game compared to last week’s game. This, of course, might also fit into the category of “gimmick” that Mr. Read used as well, but the purpose was still the same, to motivate and stress the positive.

In moving on to the turnaround event question theme dealing with the roles of the followers and how the leaders motivated them, it can be noted that David Moore's outlier in this area was based on negative encouragement. For example, while Don Read and Marc Racicot discuss being positive, rallying people around the cause in a positive way, embracing the mission or vision, David Moore said that because the situation at the Kimball Art Center was dire, he basically told the followers to "get it done or else you are without a job." He also said he would warn them that they needed to turn the center around or else they would all be known around town as the people who "gave the Kimball a black eye."

When going through the coding matrix, the above outliers were the only ones that I felt needed to be discussed in this section. Although there were many answers to questions that seemed to be outliers at the time, once I categorized them by a coded theme, most could be synthesized into established themes. Of course, by writing almost all of the leaders' experiences into this narrative inquiry, you might have found answers that you deem as outliers or some that I have categorized as outliers that you might theme! Either way, much of that merits debate and discussion among the readers of this research.

What follows in Episode Six is my summary of the findings I have developed and imparted to you within this episode. I will also relate to you matters for which I feel need future study within the non-profit organization turnaround leadership realm.

EPISODE SIX

Excerpt of the Richard Hugo poem, *Making Certain it Goes On*

This brings us to us, and our set lines
 set deep on the bottom. We're going all out
 for the big ones. A new technology
 keeps the water level steady year round.
 The company dam is self cleaning.
 In this dreamy summer air you and I
 dreamily plan a statue commemorating
 the unknown fisherman. The stone will bear
 no inscription and that deliberate anonymity
 will start enough rumors to keep
 the mill operating, big trout nosing the surface,
 the church reforming white frame
 into handsome blue stones, and this community
 going strong another hundred years.

In *Making Certain it Goes On*, 1984

Reflection, Summation, Possibilities and the Narrative Phenomena

Reflection

Now that I have come this far I realize I need to reflect on my own ideas about turnaround leadership actions. In doing so, I go back to the hierarchy of leadership for organizational events in Episode One (Table 1). I postulated that for turnaround events leaders must take critical/non-routine actions to reach a desired outcome. My research shows critical/non-routine actions for these three leaders were "mascotted" (if you will permit the word) by a leader's operant focus.

It was critical for Don Read to bring fun back to football at the University of Montana. It was non-routine because during the previous years of having a poor football program at the university, the notion of fun was nowhere to be found. For David Moore, it was critical that he establish a voice for the Kimball

Art Center. It was non-routine because prior to his arrival that voice was not there. For Marc Racicot it was critical for the state to be turned around financially, and he felt his process would be the best way to attain that goal. It was non-routine because he knew that partisan politics had to end. He needed to bring factions together for the good of the state.

Summation: “What if?”

When I came around to the topic of turnaround leadership, based on my idea that highly important leadership actions occur during critical/non-routine events that place an organization in peril, I was also searching for the answer to “what if?” What if I were faced with a turnaround challenge? (What if you were faced with a turnaround challenge?) And what if that turnaround challenge was not in the corporate, for-profit, business world? How would, or could, I handle the leadership event? Now that I have written the dissertation and gleaned important lessons from Mr. Read, Mr. Moore, Mr. Racicot and the extant research, I can summarize for you what I would do if faced with a turnaround challenge at a non-profit organization.

First, and most importantly, I have to “make it different” because the organization is psychologically weak and in need of an entrepreneur with a vision for turnaround. During the Initiation Response stage I will try to contact the constituents inside, and the community outside, the organization to immediately work at changing negative (or neutral) attitudes into positive attitudes. I will begin altering the image of the organization. I know I have to get the right people in the right positions and inspire them to focus on the tasks that will fulfill the

goals of the turnaround mission. I recognize that my success in the turnaround endeavor depends on their buy-in; so the vision must be compelling enough for followers to commence and then pursue to success.

After the Initiation Response stage, when the Transition stage is underway, I will still attend to attitude and image-building inside and outside the organization. In addition, I will make certain followers understand their specific roles because everything must flow through them. To maintain the "flow," I will find ways to keep followers intrinsically motivated because "The phenomena at work seems clear..., intrinsically motivated staff are empowered" (Glor, 2001, p. 9). I will do this because I realize whatever works to keep the followers safe, loved, and feeling self-esteem, is motivationally enduring (Maslow, 1943).

I cannot get overly anxious and speed ahead with organizational change. I have to take little steps along the way because the direction to the turnaround is not vertical; it could be lateral; it could be chaotic, and if I am going to move too quickly I may miss an important leadership decision, or opportunity, that could be fateful for the organization's recovery. And while I am taking the little steps to recovery, I will have found a catalytic mechanism that helps us all focus on the turnaround goals.

My goal is to work hard with followers and constituents throughout the entire turnaround process to build relationships and teamwork. I can make teamwork possible by setting a positive example and showing followers I will work beside them. I will listen to what they have to say so I can take action if something shared so warrants that action. My response to the followers must be

truthful and respect genuine. They will come to know I operate with them in good faith and that everything we do is important as we shape the environment for a positive organizational future -- making certain it goes on.

Possibilities: “What next?”

Although a study by Boyne and Meier (2005) is in “version one” and not published (and thus “not for quotation”), they bring up the hypothesis of “good luck” within the study of turnarounds. Perhaps Boyne and Meier are on to something, and future studies within the archetype of population ecology will have something to say about the element of luck in creating turnarounds.

The above hypothesis aside, a study of turnaround research compiled by Naresh Pandit (2000) has brought him to two conclusions. First, “the incident of turnaround situations is significant,” and second, “a greater number [of organizations] proceed to fail rather than recover” (p. 33). He suggests that future studies are needed to address “the identification of *links* between the content of turnaround strategies, the context in which they occur, and the process by which they are implemented. Such effort, if well executed, could lead to richer explanations of the phenomena” (p. 42). Significant studies may lead to less turnaround failures.

Based on Pandit’s (2000) quote above, he might be pleased with this current study. It links content with context through the turnaround stage themes, and the narrative inquiry design has, arguably, “richer explanations of the phenomena.” As with most research summaries (and possibilities), however, more studies are warranted from both the qualitative and quantitative paradigms

with Pandit's suggestion as a central thesis. Furthermore, research from the non-profit organization domains are certainly needed because the attention given to turnaround research comes primarily from the for-profit corporate world.

However, this is understandable when one sees so many consulting firms on the internet; there is profitability in assisting businesses and corporations with their turnaround efforts.

Narrative Phenomena: "What now?"

About the phenomena of a narrative inquiry design that I have used for this dissertation, you might ask "What now?" My answer to the query is that a narrative methodological design can add "richer explanations of the phenomena" to whatever a researcher is studying. It can illuminate findings and add to the compendium of knowledge about a research subject. If it does, then the methodological boundaries can expand because the merits of narrative research are realized.

Transition to the Epilogue

This odyssey is about to end, but I want to make certain it goes on. In my epilogue I will reflect and express my thoughts about turnaround leadership and the use of narrative inquiry as a research design.

WRITER'S EPILOGUE

Excerpt from the Richard Hugo poem, *Maratea Porto: The Dear Postmistress*
There

This is Odysseus. I've come a long way.
 I've beaten a giant, real mean with one eye.
 Even the sea. I've defeated the water.
 But now I'm home, pooped. Where's Penelope?
Niente per voi, today.

From *Making Certain it Goes On*, 1991

Coming Around to the End

More Reflection

In coming around to the end of this narrative inquiry, I would like to say that the expedition has been an interesting one. When I put focus to the idea of finding out what these three turnaround leaders did to attain success, I was surprised to find so many similarities – especially within the Initiation Response stage of the turnaround. For non-profit organizations, there is very little a leader can do with product pricing and profitability, direct-labor reductions, inventory investments, segment inventories, and divested operations that the for-profit turnaround leaders can consider. In other words, the only winning strategy for non-profit organizations rests in the hands of the leaders and their followers because they cannot use many of the business strategies for-profit organizations manipulate in order to launch turnarounds (Bibeault, 1982).

I have been educated about non-profit organization turnarounds by the three leaders in my study. I have expressed what I believe were important leadership actions these men took in order to be successful. The most important

spotlight of their actions was, what I call, their use of an operant focus. For these three leaders the operant focus was a vital part of their winning strategy.

The next winning strategy is to end this research by inviting you to reflect on the “matters of human pith and substance” (Bruner, 1986, p. 128) in the study. After reading what I have written from thematic “data” I chose to amplify, do you agree with my findings? Do you feel I chose the right exemplar in which to fold in the literature? What would you have done differently, and in that difference would the outcomes be the same? All these questions ask you to commit yourself to a stance, just as I committed myself to taking a stance in this study. Perhaps by taking a stance you may wish to do your own research about turnaround leaders. I can honestly tell you that the illumination is well worth the journey!

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APPENDICES

Appendix A: Letters

(Name)
 (Title)
 (Address)

(Date)

Dear (name):

I am currently working on my Doctoral Dissertation in Educational Leadership at the University of Montana. The study is about leaders and leadership actions they took to create successful organizational turnarounds at non-profit organizations. Your successful turnaround leadership at (organization) warrants a deeper understanding, and that is why I am asking you to participate in my study.

I am proposing to conduct interviews with three turnaround leaders -- you being one of the subjects. My methodology for reporting the findings is located in the qualitative paradigm, so much of what you relate will be shown in the writing. Further, you will not remain anonymous. Readers will know who you are and the leadership experience you relate about the organization you turned around. If you feel this is going to be a confidentiality concern for you, then please just mark "decline" on the consent form and I will look for another participant.

The semi-structured interview session will last approximately one hour depending on the experiences you tell. I am willing to travel to whatever venue you would like in order for this interview to take place.

Attached is the interview consent form. Please mark your intention and send it back to me in the self-addressed, stamped, envelope.

Thank you for taking the time to read this letter and send back the form! I will be contacting you by phone to see if you have any questions or concerns about the interview.

Sincerely,

Rory A. Weishaar
 Doctoral Candidate
 Department of Educational Leadership
 The University of Montana

Appendix B: Interview Protocol

Interview Protocol

Name of Leader Being Interviewed _____

Date: _____ Time _____ Place _____

Organization at which the Turnaround Occurred _____

Position at the Time of the Turnaround _____

Dates of the Turnaround Process _____

Opening Statement:

Thanks, _____, for taking the time to do this interview. I appreciate your assistance. In this dissertation your name will be revealed to the readers. Keep in mind that in Phase IV of my study, you will have the opportunity to verify the narrative I have written based on your interview and my field notes.

- I am going to ask you a series of questions that will progress from pre-turnaround events, to turnaround events, and then to a post-turnaround event reflection.
- As the interview progresses, I may lead into other questions based on some of the themes for which I am focusing. So if I ask you to speak about something, there is a purpose for me leading you in that direction.
- I do not want this to feel like an interview. I would like you to think of the occasion as just telling someone your turnaround success story. Your reflections, feelings, and experiences are important for this study. I want you to know ahead of time that my thoughts about your turnaround success will be written into the dissertation as well. In essence, there will be two stories going on in the paper - mine and yours.

Turnaround Leadership Interview Form:
Field Notes taken during and After the Interview

[illegible]

Appendix C: Event Theme Coding Matrix

Event Theme Coding Matrix

Pre-turnaround Event Question Theme:	Turnaround Event Question Theme:	Post-Turnaround Event Question Theme:
(Leader's Name)	(Leader's Name)	(Leader's Name)

Appendix D: Phase IV Verification Decision

Verification Form

The purpose of this form is to verify that the subject of this study by Rory A. Weishaar has been asked to verify narrative text(s) and the subject has chosen to do one of the following:

____ Rory A. Weishaar has given me the opportunity to read, for verification, the sections in his study that contain my interview and how he has written narration based on that interview. I have chosen NOT to read these sections.

____ Rory A. Weishaar has given me the opportunity to read, for verification, the sections in his study that contain my interview and how he has written narration based on that interview. I have read the material and approve of its use for the study.

(Signature of Subject)

(Date)

Appendix E: Permission to Quote

Release Form

Permission to use Quotations

The purpose of this form is to ask you for permission to use quotations from the semi-structured interview(s) conducted as part of Rory A. Weishaar's research study regarding turnaround leadership.

Subject's Name _____

The undersigned (*subject of the study and originator of the quotations*) hereby grants permission for Rory A. Weishaar to use quotations in his research study about turnaround leadership. I further grant Rory A. Weishaar permission to use quotations for any subsequent publications resulting from said study.

I understand that the study was not one in which anonymity is granted. Rory A. Weishaar had my permission to use my name in the study and I grant him that same permission for any subsequent publications resulting from said study.

(Signature of Subject)

(Date)