Veterinary Services' NVSL and CVB

Management and Culture Review

FINAL REPORT

May 15, 2009

MANAGEMENTCONCEPTS

This page is intentionally blank.

Veterinary Services' NVSL and CVB

Management and Culture Review

FINAL REPORT
Volume 1
May 15, 2009

MANAGEMENTCONCEPTS

This page is intentionally blank.

TABLE OF CONTENTS

This final report is intended to satisfy Task Order AG-6395-D-09-0197 under GSA MOBIS contract GS-10F-0074R for the USDA APHIS PPD Expert Consulting Services for Organizational Assessment of The National Veterinary Services Laboratory (NVSL) and the Center for Veterinary Biologics (CVB). These organizations are part of the Veterinary Services (VS) programs within the Animal Plant and Health Inspection Service (APHIS). The period of performance is January 5, 2009 – May 29, 2009.

1. EXECUTIVE SUMMARY

The following summary provides a snapshot of a four-month management and culture study conducted with NVSL and CVB. After conducting a culture inventory, interviewing supervisors/managers and employees, and conducting an open-ended survey, we offer the following five findings:

- Finding #1: There is a gap between the current state of culture and ideal state of culture as stated by employees and supervisors/managers. This gap is a source of frustration for many employees.
- Finding #2: Employees and supervisors/managers perceive uneven accountability throughout the organization. The implications expressed by employees and supervisors/managers were a lack of trust, ineffective communication, and ineffective decision making.
- Finding #3: Employees and supervisors/managers perceive a lack of effective management and leadership at all levels of the organization. This perception was expressed by a lack of interpersonal skills, lack of clarity and communication of decisions, and little-to-no recognition for effective performance.
- Finding #4: Multiple organizational barriers are perceived to exist, including the organizational structure, the number of direct reports per manager, and current employee and management workloads.
- Finding #5: Participants in the study believe their biggest strength, which is also a source of pride, is their work ethic and dedication to the work of Veterinary Services. Overall, employees perceive NVSL and CVB as a good place to work.

Participants expressed some positive experiences about the current culture while also expressing negative views about the current culture. While there have been past attempts to influence and support cultural changes within NVSL and CVB, our findings indicate these attempts have not taken hold.

Management Concepts recommends NVSL and CVB engage in a strategic change management process beginning with the following five recommendations:

- Recommendation #1: Address the gap between the current state of the culture and the state described as ideal for the organization.
- Recommendation #2: Conduct a system-wide effort to rebuild trust and create a shared sense of accountability within and throughout the organization.
- Recommendation #3: Increase the capability of NVSL and CVB leaders in the short-term and as part of a longer-term leadership and management development strategy.
- Recommendation #4: Assess organizational barriers, such as organizational structure, and current employee and management workloads, that could prevent a successful shift to the described ideal culture.
- Recommendation #5: Foster employee engagement through an appreciative process that connects to the organization's sense of pride and work ethic.

This page is intentionally blank.

2. INTRODUCTION

Veterinary Services' vision and values state:

> *"We accomplish our mission and move toward our vision with progressive, shared leadership and effective communication with our customers and stakeholders. We are a diverse workforce with a commitment to continuous improvement in our scientific and technical capacity, while fostering close partnerships with our customers, both inside and outside APHIS. We are an action-oriented organization that provides information as a key product. We recognize that continual learning and balancing professional, personal, and community responsibilities are critical to success."[1]*

Purpose and Context of this Study

In recent years there have been numerous issues raised about the cultural norms and management practices within NVSL and CVB. These issues and concerns have given rise to concern over the practices and culture norms within NVSL and CVB and a desire to understand at a deeper level the issues and challenges within these organizations.

Leadership within VS, along with NVSL and CVB, have made numerous attempts over the past few years to effectively influence and support the culture at the APHIS facility in Ames, Iowa. These interventions have included focus groups to gather employees' perspectives, training, management team meetings, and the movement and reorganization of personnel.

While progress has been made, issues, challenges and complaints, including EEO and Civil Rights concerns, have continued to surface at NVSL and CVB. Additionally, the recent OIG investigations prompted concern over management practices and cultural norms. This collective set of challenges within NVSL and CVB were all factors that contributed to the desire for a deeper understanding of the issues, practices, challenges, practices, and norms, and subsequently, this culture and management study.

How this Report is Organized

This final report is divided into two volumes. The first volume contains:
- Introduction
- Findings;
- Recommendations; and
- Next Steps.

The second volume, the Appendix, contains:
- Introduction of Management Concepts' Assessment Team;
- Critical Concepts and Frameworks;
- Data Collection Approaches;
- Data Collection Instruments;
- Data Analysis Approach;

---

[1] http://www.aphis.usda.gov/about_aphis/programs_offices/veterinary_services/index2.shtml

- Organizational Culture Inventory® Report;
- Open-Ended Survey Results;
- Themes for Manager and Employee Interviews;
- Document Inventory; and
- Management Concepts Contact Information.

How to Read this Report

Volume 1 of this report is intended to contain a narrative set of findings and recommendations. To be concise and provide the key findings and recommendations in a comprehensive, yet manageable and reader-friendly approach, Volume 1 contains references to pages within Volume 2. These references are used to point readers to the full and complete set of findings, all of which are contained in Volume 2. As a reader, we recommend reading Volume 1 in its entirety to grasp the collective set of findings and recommendations. Doing so will provide the context of the entire data set found in Volume 2, which provides the "next layer" of detail as it relates to the Organizational Culture Inventory® used and the responses to both the interviews and open-ended survey.

3. FINDINGS

A description of the findings is presented in this section. For each finding, we present supporting evidence from the OCI®, open-ended survey themes, and interview themes. We show the number of times that each survey and interview theme was mentioned by NVSL and CVB respondents; it is important to remember that the number of mentions is <u>not</u> equivalent to a percentage of the NVSL and CVB workforce supporting the theme. Rather, the number of mentions provides a relative measure against which to assess the themes; that is, one can say that Theme A was mentioned more than Theme B, but one cannot say that Theme A is endorsed by a certain percentage of the NVSL and CVB workforce.

Our goal in developing the findings was to create an integrated set of findings that would summarize all of themes that were identified from the open-ended survey and interview data. We wanted to identify the primary patterns of responses. At the same time, we also wanted to ensure that all themes, even those that were less frequently mentioned (i.e., supplementary), received acknowledgement as representing important, yet less prevalent aspects of the NVSL and CVB culture.

We used a two-step process to develop the findings. First, we identified themes that occurred most frequently and less frequently. Second, for each frequently-occurring theme, we identified related themes that could be grouped with the frequently-occurring theme. This represented a pattern of responses that was used to create the finding. For example, for a frequently-occurring theme such as "lack of trust," we identified additional, related themes mentioning "lack of trust" (such as "a lack of communication has diminished trust" and "we need to become more trusting") and grouped them together to form the finding. This process resulted in five Findings that are based on the most frequent responses and related themes. We also created seven Supplementary Findings that were derived from less frequently mentioned themes.

The themes are highly inter-related. For example, Finding 1—a gap between the ideal and current culture—is a broad finding that can apply to any of the subsequent findings; the NVSL and CVB culture does not reflect the levels of trust, accountability, supervisory and leadership skills, and organizational functioning that is described as ideal.

As another example, Finding 2 concerning a lack of trust can be seen as the foundation underlying many of the Supplementary Findings, such as a lack of career advancement opportunities. It may be difficult for an employee to discuss promotion or development opportunities with a supervisor that is not entirely trusted or is seen as demonstrating inconsistent practices with employees.

Finding #1: A gap exists between the ideal and current culture.

To describe the finding of a gap between the ideal and current culture, we first describe the current culture, followed by the ideal culture; then, we discuss the gaps between the two. Our presentation of this finding is drawn solely from the OCI® report shown in Appendix 7 and highlights major findings. We encourage the reader to review the OCI® report and delve more deeply into the item-by-item results.

Current Culture

NVSL and CVB's current culture, according to the 294 staff (i.e., employees and supervisors) that completed the OCI® Current survey, can be described according to two styles— Passive/Defensive and Aggressive/Defensive (see Figure 3.1). According to the OCI® report (see Appendix 7), a Passive/Defensive culture is one in which members believe they must interact with people in defensive ways that will not threaten their own security. An Aggressive/Defensive culture is one in which members are expected to approach tasks in forceful ways to protect their status and security.
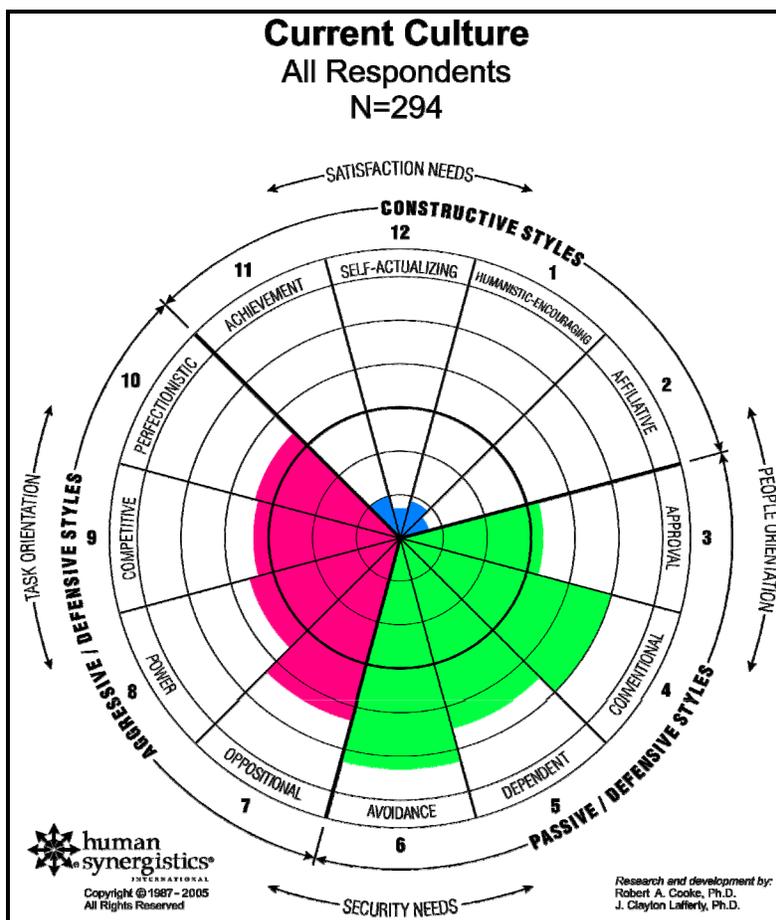

Figure 3.1

Focusing on the clusters that comprise each style, the Passive/Defensive culture is further divided into three clusters—Avoidance, Dependent, and Conventional—and the Aggressive/Defensive culture is divided into three clusters—Oppositional, Power, and Competitive. The primary styles of the NVSL and CVB culture are described (see OCI® report in Appendix 7, p. 2-3) as follows:

- **Avoidance Style**. In an Avoidance culture, conflicts are avoided and interpersonal relationships are pleasant—at least superficially. Members feel that they must agree with, gain the approval of, and be liked by others. Though possibly benign, this type of work environment can limit organizational effectiveness by minimizing constructive differing and the expression of ideas and opinions.

- **Conventional Style.** Organizations displaying a Conventional style are conservative, traditional, and bureaucratically controlled. Members are expected to conform, follow the rules, and make a good impression. Too Conventional a culture can interfere with effectiveness by suppressing innovation and preventing the organization from adapting to changes in its environment.

It is important to note that although these were the primary styles, there was a low level of agreement on the current culture. The intensity ratings and standard deviations of the respondents' responses (see pages 2-8 and 2-9 in the OCI® report in Appendix 7) indicate that a wide of perceptions of the current culture exists.

Further, an examination of the OCI® report shows that the outcomes of the current culture tend to be lower than the OCI®'s historical average benchmarks (see pages 3-1 through 3-8 of the OCI® report in Appendix 7). Specifically, staff indicated that the following outcomes are lower than historical benchmark:
- Role Clarity;
- Changing Needs of Customers;
- Superior Customer Service;
- Recommend Organization to Customers;
- Employee Satisfaction; and
- Recommend Organization as Workplace.

Role Conflict is higher than the historical benchmark. The three outcomes are nearly similar as historical benchmarks:
- Customers Feel Good About Service;
- Repeat Business; and
- Intention to Stay.

These results indicate that the current culture (and lack of agreement on the current culture) is having an impact on important outcomes such as role clarity, employee satisfaction, and service satisfaction. These outcomes are important considerations when making decisions about potential changes to the culture.

Ideal Culture

NVSL and CVB's ideal culture, according to the 25 supervisors/managers who completed the survey, is described as a Constructive culture (see Figure 3.2). In a Constructive culture, members are encouraged to interact with others and approach tasks in ways that will help them to meet their higher-order satisfaction needs. The primary and secondary styles that were expressed as representing the ideal culture are as follows:

- **Achievement Style.** Organizations that do things well and value members who set and accomplish their own goals characterize an achievement style. Members of these organizations establish challenging but realistic goals, develop plans to reach these goals, and pursue them with enthusiasm. Achievement organizations are effective; problems are solved appropriately, clients and customers are served well, and the orientation of members (as well as the organization itself) is healthy.

- **A Humanistic-Encouraging Style.** Organizations with this style are managed in a participative and person-centered way. Members are expected to be supportive, constructive and open to influence in their dealings with one another. A Humanistic culture leads to effective organizational performance by providing for the growth and active involvement of members who, in turn, report high satisfaction with and commitment to the organization.
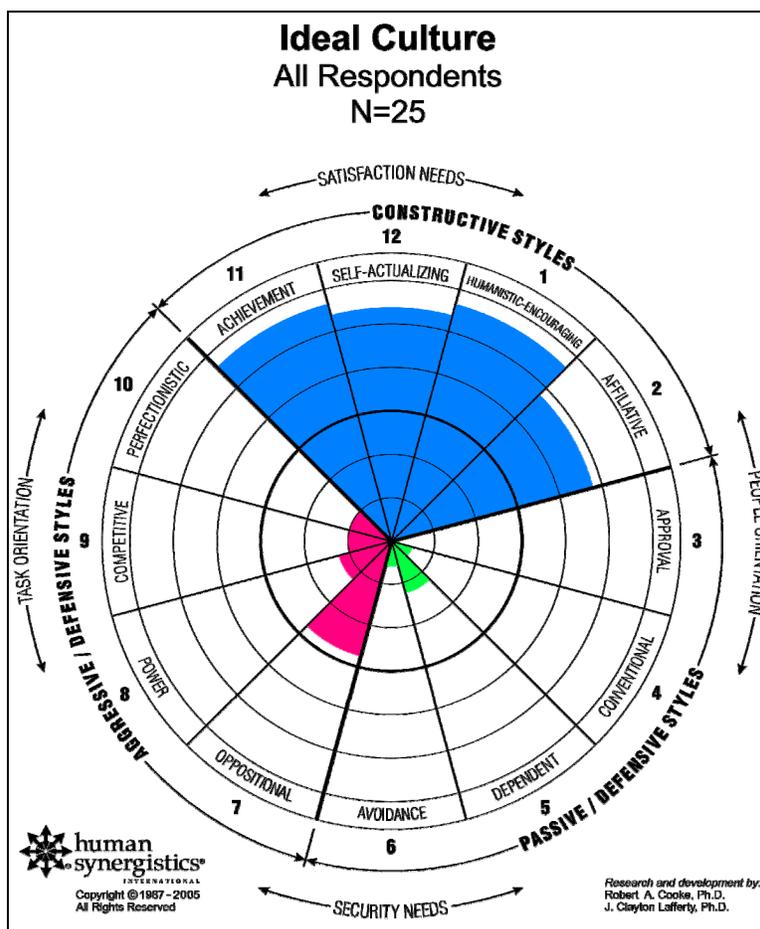

Figure 3.2

Unpublished Work ©2009 Management Concepts, Inc.

This document contains confidential and proprietary information for internal APHIS use only. Any other use or disclosure is strictly prohibited.

9

Gaps Between Current and Ideal Culture

The largest gap between the current and ideal culture is in the Constructive culture. The primary gap is in the Humanistic-Encouraging Style; specifically, when it comes to encouraging others, helping others grow and develop, and taking time with people (see OCI® report, p. 2-13 in Appendix 7). Large gaps exist on the other styles within the Constructive culture, specifically for Affiliative, Achievement, and Self-Actualizing Styles. The circumplexes describing the current and ideal cultures are shown in Figure 3.3 for comparison purposes.
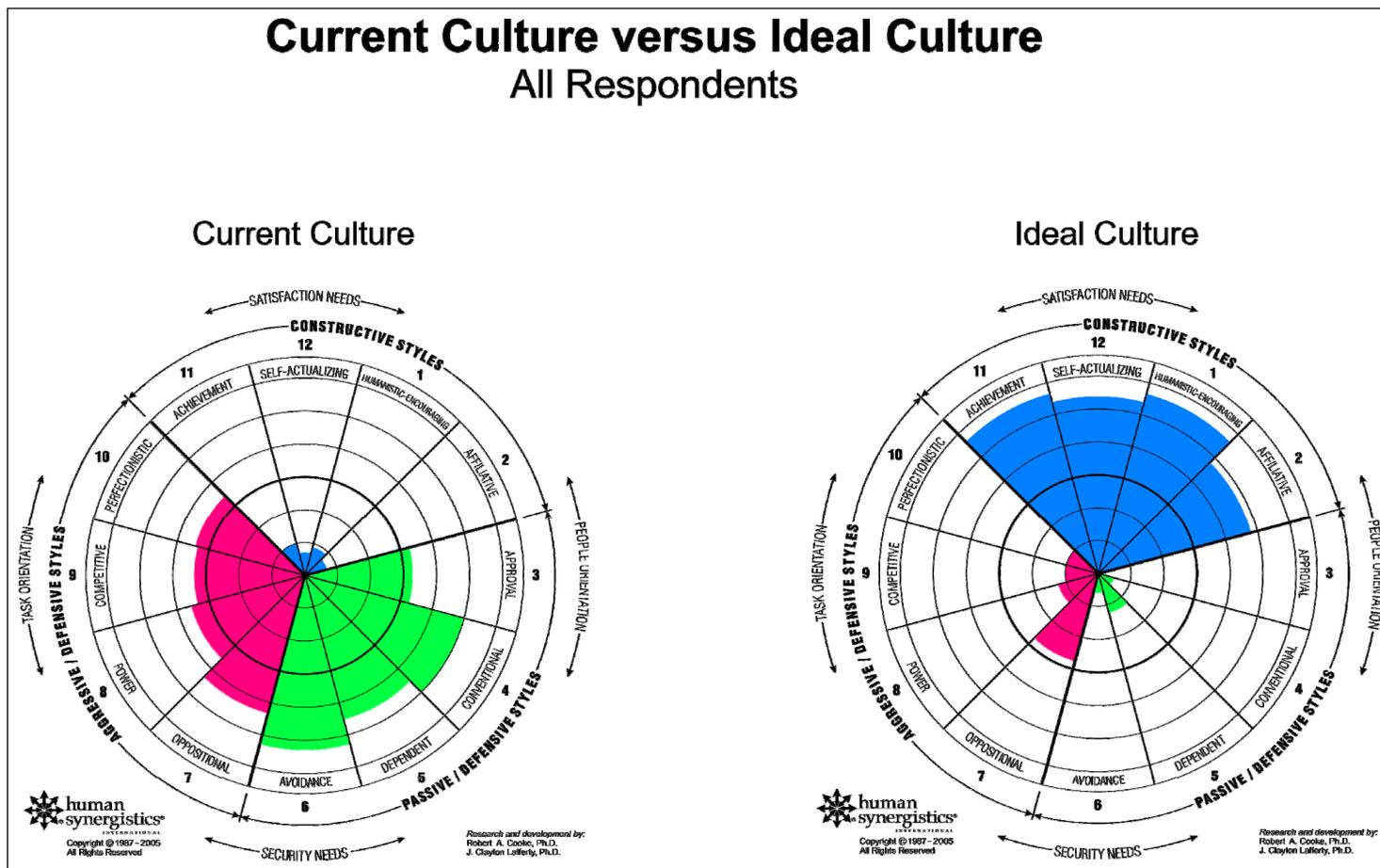
Figure 3.3

The secondary gap is in the Passive/Defensive Culture, specifically in the Avoidance Style. Respondents indicate that they believe there is too much concern for making "popular" rather than necessary decisions, never being the one blamed for problems, and "laying low" when things get tough. A large gap also exists in the Conventional Style.

Focusing on the style with the largest gap—the Humanistic-Encouraging Style (see Figure 3.4 below from OCI® report, p. 2-15 in Appendix 7), the three items with the highest mean rating for the current culture are being a good listener, being supportive of others, and resolving conflicts constructively. Relative to the other items for this Style, these items were indicated as reflecting how things are currently done at NVSL and CVB. Still, the OCI® Ideal results indicate that even higher levels of these behaviors are desired. Resolving conflicts constructively was the item that

received the highest mean on the OCI® Ideal survey for this Style, followed by encouraging others and helping others to grow and develop (which received the two largest gaps in this style).

All Respondents	Answering in Terms of:		
	Current	Ideal	Gap
	Mean	Mean	Mean
Encourage others	2.85	4.52	-1.67
Help others to grow and develop	2.83	4.40	-1.57
Take time with people	2.71	4.28	-1.57
Help others think for themselves	2.55	4.12	-1.57
Resolve conflicts constructively	3.05	4.60	-1.55
Involve others in decisions affecting them	2.74	4.24	-1.50
Give positive rewards to others	2.75	4.12	-1.37
Be supportive of others	3.10	4.36	-1.26
Be a good listener	3.15	4.36	-1.21
Show concern for the needs of others	3.00	4.04	-1.04

1 = Not at all; 5 = To a very great extent

Gap = (Current - Ideal)
A negative (-) gap indicates that the current mean for a particular item needs to be increased.
A positive gap indicates that the current mean for a particular item is better than the ideal.

Figure 3.4

By carefully examining and comparing the current mean, ideal mean, and gap for each item, one can delve more deeply into the data and examine specific areas of interest. We recognize that we have only highlighted the main OCI® findings and encourage the reader to review the item-by-item results further to gain additional insight. Different readers of this report may choose to focus on different items and gaps and use their insights as a basis for discussion and for beginning to address the gaps. The subsequent findings, which draw on the results of the open-ended survey and supervisor/manager and employee interviews, help shed more light on the current culture at NVSL and CVB.

> **Finding #2: There is a perceived lack of trust and shared accountability within and throughout the organization.**

According to staff (i.e., employees and supervisors), a lack of trust exists between employees and supervisors, between employees and NVSL and CVB leadership, between staff and headquarters, and among employees. Further, employees reported that a sense of unfairness and favoritism results from a perceived lack of accountability. Supervisors were said to fail to hold some of their direct reports accountable for acceptable job performance and professional behavior, while having high performance expectations for other direct reports. According to some respondents, supervisors engage in unprofessional behavior themselves, thus role modeling such behavior and further eroding the trust that their employees have in them.

We offer the following data to support this finding. The data is organized by methodology in an effort to be transparent about the context of the data and the methods used to collect it.

Open-Ended Survey Results

The results of the open-ended survey (which was completed by 282 NVSL and CVB staff, with 153 respondents indicating they worked in NVSL, 111 indicating they worked in CVB, and 18 respondents who did not indicate their affiliation or marked an "Other" response) support the finding of a low level of trust and accountability. The complete set of themes derived from the open-ended survey, as well as representative verbatim quotes that illustrate each theme, can be found in the Appendices (see Appendices 8 and 9). Additionally, all of the data collection instruments, including the open-ended survey questions, which were vetted and approved by APHIS prior to the survey taking place, are presented in Appendix 5. Below, we summarize all survey themes that mentioned trust or accountability.

Question Theme	# of NVSL Respondents (n=153)	# of CVB Respondents (n=111)
Question 3: Please describe what it's like to work to at Veterinary Services' NVSL or CVB, including the best and worst parts about working there.		
Lack of accountability and favoritism. Employees are not held accountable for consistently low job performance or unprofessional behavior, according to respondents. Employees who perform at acceptable levels or better and who behave professionally receive little recognition and sometimes receive negative sanctions (such as verbal abuse, lack of access to professional development, increased work load). The lack of accountability was attributed to favoritism; respondents indicated that supervisors provide monetary rewards, awards, desired job tasks, and promotions to employees who are favored. Favored employees include those who have low job performance, display unprofessional behavior, or are at a high grade or with certain job titles. These factors lead to a feeling of unfairness and lack of trust in their supervisors and feeling unappreciated by their supervisor.	54	32

Question Theme	# of NVSL Respondents (n=153)	# of CVB Respondents (n=111)
Disrespectful and unprofessional behavior. Respondents mentioned several factors that led to a negative work environment, including favoritism, a lack of cohesion among employees, a climate where employee ideas are not welcome, bullying, passive aggressiveness, and verbal abuse. Despite the fact that training has been provided on some of these topics, these factors are still prevalent among employees and that supervisors engaged in these behaviors as well and/or tolerated these behaviors among their direct reports.	15	22
Question 4: Factors that often influence behavior in an organization include communication patterns, organizational structure, managerial and leadership style, accepted norms, and professional ethics. Which of these factors (or other factors) have a significant impact on your work environment? Please explain. (Note: Answers to this question were grouped by negative, positive, and neutral responses.)		
Supervisors taking responsibility and holding others accountable (NEGATIVE): NVSL and CVB management sets a clear vision but isn't supported at higher levels. Supervisors are not aware of what their employees are doing and are too hands off. They do not deal with (or deal ineffectively with) underperformers.	13	18
Unfairness (NEGATIVE): Employees should not receive special treatment. Unfair hiring practices, promotions, and pay grade determinations can lead to a sense of favoritism.	14	11
Unprofessional behavior (NEGATIVE): A range of unprofessional behavior exists despite recent training sessions that have intended to address some of these issues. The behaviors include bullying, verbal abuse, favoritism, gossiping, and harassment, which are seen as accepted norms. Both employees and supervisors engage in these behaviors, and supervisors fail to hold their employees accountable for these unprofessional behaviors.	11	10 or less
Question 5: Are there cultural norms, behaviors, or practices in Veterinary Services' NVSL or CVB that are unique? Please explain.		
The lack of accountability for unprofessional behavior is unique. The Veterinary Services' NVSL and CVB culture allows low performance, bullying, gossiping, verbal abuse, and favoritism to occur with no repercussions.	28	33
The attitude that "my unit is above the rules" is a unique practice.	10 or less	10 or less
The lack of cohesion is a unique norm.	0	10 or less
The wasting of resources is a unique practice that occurs here.	10 or less	10 or less
Question 6: As you know, the Ames Campus has been in the news recently. How has this affected your work environment?		
There is poor morale, a strained work environment, and a lack of trust.	30	30
There is a pervasive culture of paranoia, hypervigilance, and fear. Many do not know where the ethics bar is and are afraid they will be let go next.	12	28
A lack of communication from management has diminished trust and increased gossip.	24	16
Management handled the situation poorly and in an extreme manner; as a result, they took a credibility hit.	18	22

Question	Theme	# of NVSL Respondents (n=153)	# of CVB Respondents (n=111)
Question 7: Describe the most important changes that you think need to occur at Veterinary Services' NVSL or CVB and why?			
There is a lack of accountability; people are not held accountable for their behavior. When people are held accountable, it is done inconsistently among different groups or there is no follow-through.		38	32
Silos exist and there is a lack of uniformity in rules and rule-following; there are perceptions of favoritism and a lack of standardization across units. We need more uniformity and consistency in decisions and application of policies.		10 or less	13
There is a negative workplace culture of disrespect, gossip and intolerance; we need to become more trusting and people-centered.		10 or less	10 or less
Favoritism occurs and is based on unit, role, or credentials.		10 or less	10 or less
Question 8: Are there any other comments that you want to add about your workplace or work environment?			
There is a lack of accountability; people are not held responsible enough. When people are held accountable, it is only certain groups.		17	18
There is a rift between Ames and outside of Ames; I don't trust people outside of Ames.		10 or less	10 or less
Favoritism occurs and is based on unit, role, or credentials.		10 or less	10 or less

Interview Themes

Interviews of employees and supervisors/managers were conducted and the resulting interview data used to form interview themes.   The complete set of interview themes, as well as the interview questions (which were vetted and approved by APHIS before the interviews were conducted), appear in the Appendices 5 and 9. A low level of trust and accountability, as perceived by the 35 supervisors/managers (17 from NVSL and 18 from CVB) and 35 employees (21 from NVSL and 14 from CVB) who were interviewed, were also themes that emerged. As observed in the survey results, supervisors were seen as inconsistently holding their employees accountable for disrespectful and unprofessional behavior as well as low performance. Staff also reported a lack of trust in senior leadership as well as leaders outside of Ames.

Although we recognize that recent training had been provided to attempt to address bullying, mobbing, and other forms of unprofessional behavior, the survey results indicate that staff continues to perceive that these undesired behaviors occur. Below, the interview themes of accountability and trust are presented.

Theme	Examples Shared	Impact and Implication	# of Supv/Mgrs Mentioned		# of Employees Mentioned	
			NVSL (n=17)	CVB (n=18)	NVSL (n=21)	CVB (n=14)
Accountability. There is a cultural norm to allow a wide variance of expectations with little to no consistency or accountability from organization to organization (NVSL and CVB) or section to section.	While jobs are similar across organizations and sections, supervisors/managers and employees are held to different standards depending on the organization and section. Supervisors/managers expressed a perception of inconsistency; that is, some supervisors/managers are not held accountable in the same way that others are. Likewise, employees perceive that all staff are not answerable to the same set of rules. Phrases used by employees to describe this theme were: "What does it mean for leaders to be effective? If they are held accountable to goals, we don't hear what the goals are, so it's hard to hold them to anything" and "Here, there is no mechanism to hold people accountable."	An inconsistent approach to expectations within NVSL and CVB has: • Created hard feelings and feelings of unfairness between units; • Produced uneven organizational results; • Sent mixed messages to employees; • Fostered a sense of distrust and a lack of order and safety in the workplace; and Allowed conditions for employees to not pull their weight, fostering resentment amongst other employees	5	10	18	12

Theme	Examples Shared	Impact and Implication	# of Supv/Mgrs Mentioned		# of Employees Mentioned	
			NVSL (n=17)	CVB (n=18)	NVSL (n=21)	CVB (n=14)
Trust. There were numerous expressions of distrust with senior leaders as well as with those leaders in outside of Ames.	Climate was described as "fearful" multiple times. Multiple examples were shared illustrating a lack of trust with respect to senior leaders in Ames, as well as outside of Ames. The lack of trust primarily stemmed from unmet expectations around decision-making and communication. Employees expressed that they do not feel trusted by leaders; they perceive a lack of understanding about what is and is not allowed now. Phrases used to describe climate were: "It is important to cover your back;" "Hard to know what is okay now;" "Morale is lowest I've ever seen it."	Trust is the basis for effective leadership and management. In this case, the perceived lack of shared communication and decision making norms has fostered a sense of distrust. The distrust of leadership and senior management exists within Ames as well as outside of Ames. This distrust has been fueled by the OIG investigation and the response from outside of Ames, which was seen by many as an over-reaction. The process of employees going on leave and returning to work seemed to compound existing confusion about what is and is not considered trustworthy behavior.	10	13	14	9
Disrespectful and unprofessional behavior. Bullying, mobbing, and gossiping are displayed by both employees and supervisors with little or no consequences.	Supervisors/managers and employees perceived that disrespectful and unprofessional behavior was consistently displayed. Employees felt that their supervisors often fail to hold people accountable for engaging in bullying, mobbing, gossiping, and other unprofessional behavior. Further, they said that they sometimes observe these disrespectful behaviors in their supervisors.	Supervisors/managers and employees indicated that these behaviors lowered their morale as well as their trust in their coworkers, supervisors, and senior leadership. Failure to hold people accountable for engaging in disrespectful and unprofessional behavior has eroded trust.	9	4	11	7

Finding #3: Employees perceive a lack of leadership as well as supervisory skills.

According to the results obtained from the survey and interviews, the staff perceives a general lack of leadership as well as supervisory skills at NVSL and CVB. Related to this was a perceived lack of support from supervisors and other leaders, while at the same time, an expressed desire to have more information communicated from leadership within NVSL and CVB and from outside of Ames. A desire for more transparent communication, understanding why decisions were made, and a more goal-oriented style were expressed by respondents.

Further, supervisors were said to lack the skills necessary to effectively supervise their direct reports. The following areas were specifically mentioned:

- Interpersonal skills were reported by respondents to hinder supervisors' ability to effectively oversee their direct reports. An inability to handle conflict effectively was specifically mentioned.
- Communication at all levels was viewed as ineffective and nontransparent, including between and among senior leadership outside of Ames, senior leadership at Ames, supervisors, and employees.
- Decision making was regarded as ineffective. Respondents said that decisions often were delayed, not made at all, or not communicated clearly.
- Teamwork and the ability to work together, according to respondents, are factors that need to occur more often. According to respondents, different subcultures have led to difficulties in working together across units, across levels, and with leadership outside of Ames.

These factors were said have a negative impact on planning, the ability to focus on important scientific and technical work, and setting a clear direction. Respondents also indicated that these factors resulted in lower morale, higher stress levels, and increased confusion.

We view this finding as related to the lack of trust and accountability. A supervisor, who is not respected as a leader and lacks the necessary supervisory skills, may not be able to earn employees' trust. Further, a supervisor who fails to hold all of their direct reports accountable for their performance and behavior may do so because of a lack of communication and interpersonal skills to address the undesired behavior.

We offer the following data to support this finding. The data is organized by methodology in an effort to be transparent about the context of the data and the methods used to collect it.

Open-Ended Survey Results

The results of the open-ended survey (which was completed by 282 NVSL and CVB staff) support the finding of a lack of leadership and supervisory skills. Below, we summarize all survey themes that mentioned ineffective leadership and supervisory skills.

Question Theme	# of NVSL Respondents (n=153)	# of CVB Respondents (n=111)
Question 3: Please describe what it's like to work to at Veterinary Services' NVSL or CVB, including the best and worst parts about working there.		
Ineffective communication. Respondents stated that communication is ineffective across units and work levels, resulting in unclear expectations, a lack of planning, and a lack of clear direction.	32	34
Lack of leadership. A general lack of leadership was identified by respondents; this occurs within their immediate work unit, across all levels, and extends to the Veterinary Services' NVSL AND CVB Director level and outside of Ames.	30	31
Lack of interpersonal skills among supervisors. Respondents reported that supervisors are selected solely on the basis of technical qualifications and that little emphasis is placed on selecting supervisors who have the necessary management and interpersonal skills.	10 or less	10 or less
Question 4: Factors that often influence behavior in an organization include communication patterns, organizational structure, managerial and leadership style, accepted norms, and professional ethics. Which of these factors (or other factors) have a significant impact on your work environment? Please explain. (Note: Answers to this question were grouped by negative, positive, and neutral responses.)		
Communication Style (NEGATIVE): Little or ineffective communication occurs between sections or between management and employees, resulting in confusion, stress, lack of trust, no shared identity, and lower morale. Respondents noted that the rumor mill often served as an ineffective substitute for formal communication. Some respondents indicated an over-reliance on email over face-to-face communication or too many unproductive meetings. Other respondents stated that not enough meetings took place. Communication from management was seen as having a secretive style in which information was withheld.	68	43
Supervisory or leadership style (NEGATIVE): Supervisors avoid confrontation and make ineffective decisions. They sometimes make decisions that are only in their own best interest or are relayed in a dictatorial manner. Other times, decisions are delayed or not made at all. Supervisors are generally too overloaded with work and requests from higher up to stay in touch with their units. This factor is attributed to supervisors who lack people skills; they are hired or promoted for their scientific expertise only. This results in low morale and motivation, fear, apprehension, low trust, lack of clear directions and goals, and ineffective implementation of decisions.	55	42
Question 5: Are there cultural norms, behaviors, or practices in Veterinary Services' NVSL or CVB that are unique? Please explain.		
Not sharing information with people or units who need it is an accepted behavior.	10 or less	10 or less
Inadequate or ineffective supervision is a unique behavior.	0	10 or less

Question / Theme	# of NVSL Respondents (n=153)	# of CVB Respondents (n=111)
Question 7: Describe the most important changes that you think need to occur at Veterinary Services' NVSL or CVB and why?		
Improve transparent communication from the top down; don't just give lip service.	37	25
We need stronger, more effective leadership that "walks the talk" and understands what we do.	17	23
We need better hiring practices including "casting a wider net" for talent and getting more experienced supervisors who have soft skills.	13	10 or less
We do not receive enough recognition/praise; recognition must be given more often and shared fairly, which will make us feel valued.	10 or less	10 or less
We need to be more proactive as an organization, less reactive.	10 or less	0
We need a more cooperative work environment in which departments work together and there is a sense of team work.	10 or less	10 or less
We need to remember that we are here to serve our customers and the public who have instilled their trust in us.	10 or less	0
We need to be more goal- and results-oriented as an organization.	0	10 or less
We need to get back to a focus on the work and the science.	10 or less	10 or less
People should be consulted on decisions that affect them.	10 or less	0
Question 8: Are there any other comments that you want to add about your workplace or work environment?		
Management is poor and ineffective.	12	14
We do not receive enough recognition/praise.	10 or less	10 or less
We need a more caring- and/or teamwork-centered workplace.	10 or less	10 or less
Supervisors should be qualified to supervise people.	10 or less	10 or less
How the future of APHIS is handled is important; I am uncertain about how things will be handled.	0	10 or less
Let's focus on the work.	10 or less	0
We need more transparent communication.	10 or less	10 or less

Interview Themes

A lack of general leadership as well as low levels of supervisory skills, as perceived by the 35 supervisors/managers and 35 employees who were interviewed, emerged as themes. Consistent with the survey results, the interview results reflected that the support given to employees by supervisors and managers was not effective. Additionally, a sense of teamwork was not present, resulting from supervisors inability to hold employees accountable for poor performance or unprofessional behaviors, and decision making norms were unclear, including a lack of transparency in the decision making process.

Theme	Examples Shared	Impact and Implication	# of Supv/Mgrs Mentioned		# of Employees Mentioned	
			NVSL (n=17)	CVB (n=18)	NVSL (n=21)	CVB (n=14)
Support. There is a paradoxical norm where employees want their supervisors to be "hands-off and allow sections space to do their scientific work;" however, the sections also want greater management support. The culture of management has not found a way to balance these interests.	Employees and supervisors/managers expressed interest in autonomy and space to "do their technical work;" however, they also said they did not receive the support they expected and needed from senior management. Approximately half of supervisors and managers interviewed stated they do not feel valued by their leaders in or outside of Ames. Numerous interviewees described feeling "isolated" from others. Employees noted that for a variety of reasons (including supervisor and senior management travel, workload, and having numerous direct reports), supervisors and senior management are not always seen as being unapproachable.	The impact of this norm is a set of mixed and unshared expectations of senior management. Underneath these unshared expectations are different value sets that may be invisible to management but are fostering misunderstanding of expectations, distrust, and frustration throughout the management team about what it means to lead and manage. While the 'just do it' mindset has been articulated as a strength, it has caused a rut in which the technical work is wholly focused on, but without balance, and to the detriment of, the people-side of the organization.	8	7	11	6

Theme	Examples Shared	Impact and Implication	# of Supv/Mgrs Mentioned		# of Employees Mentioned	
			NVSL (n=17)	CVB (n=18)	NVSL (n=21)	CVB (n=14)
Teamwork. There is a norm expressed that people do not collaborate or operate as a team.	Supervisors expressed a perception of a class system and being viewed as "less than" in their roles compared to higher ranking leaders. Supervisors and managers expressed a sense of subcultures between and within units, between and within CVB and NVSL, between Aspen Park and the Main Campus, and between Ames and leaders outside of Ames. Disrespectful and unprofessional behavior (bullying, mobbing, gossiping, and favoritism) is displayed by both employees and supervisors with little or no consequences. Employees do not experience a sense of "team" as much as they would like. They expressed that staff in different sections do not always feel like they work for the same agency.	Inconsistent expectations in collaboration and interests in teamwork create a perception of working against each other rather than in alignment toward the mission. Rather than utilize the collective experience and strengths of the supervisors, the supervisors perceive themselves as being isolated. The norm of not operating as a team or collaboratively with others was exemplified by disrespectful and unprofessional behavior, resulting in a sense of unfairness and a lack of trust in management's ability to protect employees; furthermore, this norm affected others' willingness to trust others, and communicate openly without fear of reprisal.	4	6	5	5

Theme	Examples Shared	Impact and Implication	# of Supv/Mgrs Mentioned		# of Employees Mentioned	
			NVSL (n=17)	CVB (n=18)	NVSL (n=21)	CVB (n=14)
Decision-making. Decision-making norms are not shared or understood across management.	There is no clear decision owner for decisions that need to be made. There is a lack of transparency in decisions that are made. Supervisors and leaders have a wide variance in decision making practices. Decisions get "lost," leaving long voids of not knowing what is happening with the decision. There is a perception that politics, rather than the advancement of science, unnecessarily drives decisions. As scientists, supervisors want to have all the data and want everyone to agree with the decision; however, people do not want to risk suggesting what that decision should be. When someone makes a decision, supervisors criticize it because they weren't included in the process, don't agree with the decision, or don't think that the decision was fully and transparently communicated. Employees would like to be included more often in decisions that affect them. Reasons behind decisions are rarely shared with employees. Employees view the Board of Directors structure as a mistake; it takes too long for them to make decisions and sometimes no decisions are made at all.	The current lack of transparency and communication about decisions leads to inferences about the importance of the issue and assumptions about the managers' interests in dealing with the decision at hand. The implication is that people do not feel that what is important to them (the decision) is important to the manager or leader, fostering resentment. There are not shared values (and thus not shared norms or expectations) associated with decision making (such as speed or process) which is fostering distrust in organizational management and leadership. Supervisors want to be involved in decision making but do not feel as though they can advocate their perspectives due to a lack of information being shared as well as a lack of support. Due to the limited human resources and gaps in staffing, supervisors are focusing on technical work more and do not have the time to be involved in decision making.	11	9	10	4

> **Finding #4: Multiple organizational barriers are perceived to exist, including the organizational structure and current employee and supervisor/manager workloads.**

A range of organizational barriers were identified by the survey and interview respondents, including the organizational structure and current workloads. The barriers that were described include the following:

- A high workload, due to many vacancies and lack of funding to fill those vacancies.
- A sense of urgency to respond to requests from outside of Ames. Although respondents understood that this was part of having an emergency response function, they said that ineffective communication regarding the requests caused confusion and a lack of clarity surrounding the request.
- Ineffective organizational structure—the Board of Directors, having two lab Directors, and having a large number of direct reports for supervisors—was viewed as negatively affecting the clarity of roles and responsibilities, facilitating only top-down communication, and causing confusion. A related problem expressed was having a human resources function in a different location.
- The hiring and orientation processes were regarded as ineffective, including not considering interpersonal or supervisory skills along with technical skills when making hiring decisions.

This finding relates to Findings 1, 2, and 3 in several ways. Long work hours add to low satisfaction (as seen in the OCI$^®$ outcomes measures described in Finding 1), especially when supervisors require some employees, but not others, to work extra hours or perform additional duties (as seen in Finding 2). A lack of supervisory skills (as reported in Finding 3) detracts from senior management or supervisors' ability to clearly convey requests from outside of Ames or decide quickly how to respond to urgent requests (although respondents also reported that requests from outside of Ames were often unclear). Finding 4 also reinforces the idea that a gap between the current and ideal culture exists, which was reported in Finding 1. Respondents expressed dissatisfaction with the current system for receiving and responding to requests from outside of Ames, the expectations for carrying a high workload, and the current processes for bringing new staff on board, especially supervisors. The organizational structure was regarded as another barrier that contributed to ineffective communication regarding decisions and requests.

We offer the following results to support this finding. The results are organized by methodology in an effort to be transparent about the context of the data and the methods used to collect it.

23

Open-Ended Survey Results

Survey respondents stated that NVSL and CVB overworked their staff, lacked sufficient funding, provided ineffective training, and viewed the requests from outside of Ames as an emergency. They also indicated that recent training was ineffective and viewed as a waste of resources that were needed elsewhere.

Question Theme	# of NVSL Respondents (n=153)	# of CVB Respondents (n=111)
Question 3: Please describe what it's like to work to at Veterinary Services' NVSL or CVB, including the best and worst parts about working there.		
High workload. Respondents indicated that they are overworked; they work long hours and perform extra duties due to insufficient staff or colleagues who don't pull their weight.	18	11
Lack of funding or resources. A lack of sufficient funding leads to an unpleasant work environment (e.g., noise, unpleasant temperature) and wasted resources.	19	11
Ineffective training. There is not enough time to get the training that is needed or training is provided simply to "check the box" rather than trying to effect significant change. Also, access to training is inconsistent across the two organizations (NVSL and CVB).	11	10 or less
Urgency. Everything is an emergency, according to respondents. Little prioritization of goals and demands exists; there is no control over the workflow, including unreasonable, short deadlines.	10 or less	10 or less
Multiple work locations. Being spread out in different physical locations leads to disconnect in communication and relationships.	10 or less	10 or less
Ineffective application and orientation process. According to respondents, the application and orientation processes are ineffective.	10 or less	10 or less
Question 4: Factors that often influence behavior in an organization include communication patterns, organizational structure, managerial and leadership style, accepted norms, and professional ethics. Which of these factors (or other factors) have a significant impact on your work environment? Please explain. (Note: Answers to this question were grouped by negative, positive, and neutral responses.)		
Organizational structure (NEGATIVE): The current organizational structure is ineffective, including having two Directors, a single campus that contains three organizations, and a Board of Directors that doesn't make effective decisions. The section structure results in unclear responsibility; there is too large a span of control and too many layers of uncoordinated management. There have been too many reorganizations over the years, resulting in confusion and lack of clear roles and responsibilities. The current structure lends itself to top-down communication only.	14	16
Workload (NEGATIVE): Employees often have insufficient time to respond to short-turnaround requests. The fast pace and high workload is compounded by having too many vacant positions. Supervisors have too many direct reports and are too busy to properly supervise their direct reports.	11	12
Question 5: Are there cultural norms, behaviors, or practices in Veterinary Services' NVSL or CVB that are unique? Please explain.		

Being managed from a thousand miles away, including having a Human Resources Department in another location is a unique factor.	10 or less	0
Having a secretive interview process is a unique practice. This results in a process that is seen as unfair.	0	10 or less
The lack of direct access to the resources or tools is unique; we often have to rely on others to get access to the necessary resources and tools.	0	10 or less
The emphasis placed on degrees over experience when making hiring, promotion, and work assignment decisions are unique to Veterinary Services' NVSL and CVB.	10 or less	10 or less
The presence of a defensive, confrontational union is a unique part of the culture	0	10 or less
Question 6: As you know, the Ames Campus has been in the news recently. How has this affected your work environment?		
People need to pick up others' slack right now; our workload has increased.	34	19
It has diminished productivity, increased peoples' distraction, and hurt the overall quality of work.	10 or less	10 or less
Question 7: Describe the most important changes that you think need to occur at Veterinary Services' NVSL or CVB and why?		
We need better monetary support at Veterinary Services' NVSL and CVB; budgets are too tight and we don't always spend money wisely. We need to fill vacancies and find other ways to prioritize our workload.	10 or less	10 or less
We are not compensated or rewarded fairly.	12	10 or less
The move into the new building will help things improve.	10 or less	10 or less
A review of the organization structure should occur for a more sensible organization and work flow.	10 or less	10 or less
We do not allocate our time well. Supervisors need more time to supervise, and we all have too many meetings.	10 or less	10 or less
We are being asked to do more with less; this impacts our workloads negatively.	10 or less	10 or less
Too much paperwork, bureaucracy, and red tape is required to get work done – this creates barriers.	10 or less	10 or less
We should embrace technology more.	0	10 or less
Security and safety are important issues.	10 or less	10 or less
We need improved equipment.	10 or less	0
Question 8: Are there any other comments that you want to add about your workplace or work environment?		
Too much paperwork and red tape is involved, which creates barriers.	10 or less	10 or less
People are spread too thin in their roles; workloads are too high and realistic deadlines do not exist.	10 or less	10 or less
We are not paid fairly.	10 or less	10 or less
We need improved equipment.	10 or less	10 or less
Listen to our cost saving ideas and stop wasting too much money and resources.	10 or less	10 or less
We need less playing politics, more common sense, and improved facilities.	10 or less	0

Interview Themes

The supervisor/manager and employee interview themes related to this finding are a sense of urgency and a high workload. The repeated requests from outside of Ames are seen as being unclear and an interruption. Employees especially said that they do not understand how to prioritize their work when these requests are passed down to them. Further, both supervisors/managers and employees said that they feel overworked, partly due to constant requests from outside of Ames and partly due to many vacancies.

Theme	Examples Shared	Impact and Implication	# of Supv/Mgrs Mentioned		# of Employees Mentioned	
			NVSL (n=17)	CVB (n=18)	NVSL (n=21)	CVB (n=14)
Urgency. Repeated requests from outside of Ames detract from the scientific work happening in Ames.	Supervisors/managers said their work is subject to frequent interruptions by demands from outside of Ames. Management is pressured with urgent demands from outside of Ames yet provides little context or prioritization. Unclear expectations about how to respond. Expectations from outside of Ames are not understood or agreed upon; perpetuates lack of shared understanding of expectations or accountabilities. Employees reiterated a sense of urgency, noting that it is hard to keep up with "short-turnaround" demands from leaders outside of Ames.	The impact of these requests is a sense of confusion about priorities (for example, to get the work done on time or meet requests in the time requested). Supervisors/managers perceive that those outside of Ames are unaware of importance of their work and do not understand how these requests impact their work schedules and existing commitments. Repeated requests without context or a sense of priority leave supervisors and managers with a sense of frustration and resentment.	8	3	5	5

Theme	Examples Shared	Impact and Implication	# of Supv/Mgrs Mentioned		# of Employees Mentioned	
			NVSL (n=17)	CVB (n=18)	NVSL (n=21)	CVB (n=14)
Workload. Overwork and unequal work levels due to the inability of managers to deal with poor performers and minimal financial resources.	Supervisors/managers and employees say they are unable to complete their work on time unless they work exceptionally long hours. Supervisors/managers say that additional work hours are related to additional requests from outside of Ames. There are few financial resources and over 30% of positions are unfilled. Employees point out that heavy workloads are hurting the quality of work.	The implication for supervisors and managers feeling overworked, combined with their feelings of being underappreciated, is fostering disengagement from leading and supervising at the organizational level. Management responsibilities, particularly the people-side of management, are acquiesced as supervisors focus on their scientific work. While most employees understand that heavy workloads are an occasionally necessary part of work, morale tends to suffer when heavy workloads become the norm.	8	8	5	10

Finding #5: Employees take pride in their work and have had positive experiences working at NVSL or CVB.

On both the open-ended survey and during the supervisor/manager and employee interviews, respondents stated that they are proud to work at NVSL or CVB and have had positive experiences overall. At first, this seems to contradict the previous findings. Survey and interview respondents indicated their pride and positive experiences while at the same time acknowledging areas where they felt NVSL and CVB culture could be changed. Respondents did not view their negative and positive comments as contradictory.

The positive aspects of NVSL and CVB that emerged as themes can be summarized as follows:

- Pride in their work, especially in performing interesting work on a national level;
- Dedicated colleagues that they care about and who care about them;
- A supervisor who provides mentoring and helps them grow as professionals;
- The pay and benefits, including a flexible work schedule and job security; and
- An open, positive environment in which expectations are clearly communicated and good performance is rewarded and praised.

Although the OCI® results indicate a gap between the current and ideal cultures, this finding makes it clear that many employees have had positive experiences. This finding adds an important qualification to the findings as a whole, which is that despite the cultural gap, there are employees who have had and continue to have positive experiences and views of working at NVSL and CVB. As dim a picture as the first four findings may paint, this finding indicates that there are positive aspects of the culture that can serve as a foundation for change.

We offer the following data to support this finding. The data is organized by methodology in an effort to be transparent about the context of the data and the methods used to collect it.

Open-Ended Survey Results

In the open-ended survey results, staff identified many positive aspects of working at NVSL and CVB, including pride in the work, colleagues that genuinely care about each other, and the many benefits associated with being a federal employee. The important scientific work and the opportunity to perform work on a national and sometimes international level were also mentioned by survey respondents. There were some mixed feelings as to whether life at NVSL and CVB was getting better or worse. All positive themes are shown in the table below.

Question Theme	# of NVSL Respondents (n=153)	# of CVB Respondents (n=111)
Question 3: Please describe what it's like to work to at Veterinary Services' NVSL or CVB, including the best and worst parts about working there.		
Overall, a positive experience. Respondents reported that NVSL and CVB is a great place to work. They are generally happy and feel appreciated and valued by their organizations.	54	36
I am proud. I am proud of the work I do; I am proud to work here.	10 or less	10 or less
I liked working here until recently. Respondents indicated that the suspensions of their colleagues have had a negative impact on their morale and satisfaction with their jobs or that they have experienced a general decline in morale over the past few years.	10 or less	10 or less
Colleagues that I like and care about. Respondents mentioned that their colleagues are like family to them and they genuinely care about each other, which provide a friendly work environment.	42	43
A flexible work schedule. Respondents mentioned the flexible work schedule, the maxi-flex system, and the ability to work on a family-friendly schedule.	34	35
Performing interesting, challenging, and rewarding scientific work. Respondents reported that they find the work fascinating. The nature of the work prevents them from becoming bored with their jobs because new challenges always present themselves.	20	22
Supportive supervisor. Their supervisors ensure that they have the necessary resources to do their jobs as well as help them develop, listen to their ideas, and generally treat them well.	21	17
Conducting important work. Carrying out work at a national and international level and that has an impact on the safety of the food supply was described by respondents.	24	12
Excellent benefits. The benefits provided with the job are excellent, according to respondents.	16	10 or less
Dedicated coworkers. Coworkers who are motivated, professional, considerate, and cooperative. Coworkers who can work as part of a team to get the job done.	14	10 or less
Good pay. Respondents noted that they are paid well for the work they do.	10 or less	10 or less
Job security. The security of being a Federal employee, especially in a tough economy, was mentioned by respondents.	10 or less	10 or less
Receiving awards and rewards for my work. Respondents indicated that they receive awards for their work. They are fairly and adequately rewarded monetarily as well as with promotions and developmental opportunities, which allows them to grow as professionals.	10 or less	10 or less
Good communication and clear expectations. Respondents indicated that communication in their unit is good and that they have a clear understanding of what is expected of them on their job.	10 or less	10 or less
Good equipment and facilities. Respondents indicated satisfaction with the lab facilities and equipment as well as physical facilities.	10 or less	10 or less
The location. The Central Iowa location is pleasant and a good place to live.	10 or less	10 or less
The open work environment. A work environment where they are free to share information and in which their input is valued.	10 or less	10 or less

Question Theme	# of NVSL Respondents (n=153)	# of CVB Respondents (n=111)
Question 4: Factors that often influence behavior in an organization include communication patterns, organizational structure, managerial and leadership style, accepted norms, and professional ethics. Which of these factors (or other factors) have a significant impact on your work environment? Please explain. (Note: Answers to this question were grouped by negative, positive, and neutral responses.)		
Communication Style (POSITIVE): Communication is effective; regular meetings and other effective communication occurs.	10 or less	14
Supervisory or leadership style (POSITIVE): Supervisors are ethical, approachable, and create a positive work environment; they are good people and excellent scientists. Supervisory and leadership styles have changed for the better over the past few years.	14	14
Organizational structure (POSITIVE): Clear and defined roles exist in Veterinary Services' NVSL and CVB. The structure is generally effective.	10 or less	10 or less
Supervisors taking responsibility and holding others accountable (POSITIVE): Supervisors take responsibility and hold their employees accountable.	0	10 or less
Professional ethics (POSITIVE): Staff upholds the highest ethics even in difficult times. Most of the staff is honest and ethical.	10 or less	11
Unprofessional behavior (POSITIVE): A professional, positive atmosphere exists.	0	10 or less
Question 5: Are there cultural norms, behaviors, or practices in Veterinary Services' NVSL or CVB that are unique? Please explain.		
Having caring coworkers and supervisors who work together cohesively, communicate openly, and are hard working is unique to Veterinary Services' NVSL and CVB.	10 or less	10 or less
Diversity is emphasized in a positive way at Veterinary Services' NVSL and CVB. We can be ourselves, and all people are treated equally here.	10 or less	0
Having opportunities to take training and to support students in their development is unique to Veterinary Services' NVSL and CVB.	10 or less	10 or less
A flexible leave policy is unique to Veterinary Services; NVSL and CVB	10 or less	0
Question 7: Describe the most important changes that you think need to occur at Veterinary Services' NVSL or CVB and why?		
This is a good/great place to work. I like our workplace.	10 or less	10 or less
I like the benefits here, especially flexibility.	10 or less	10 or less
I have seen positive changes on the part of leadership lately.	10 or less	10 or less
Question 8: Are there any other comments that you want to add about your workplace or work environment?		
This is a good/great place to work; I like our workplace.	28	27
I enjoy the people here	12	14
I like the benefits here, especially flexibility.	10 or less	0
Management and supervisors are capable; they try hard and do a good job.	10 or less	10 or less
I am proud of the work we do.	10 or less	10 or less
I am looking forward to moving to the new building.	10 or less	10 or less
I have seen improvement over the last 2-3 years.	10 or less	0

Interview Themes

Employees who participated in the interviews indicated that they felt NVSL and CVB were good places to work, citing the benefits, their coworkers, and a sense of camaraderie.

Additional Themes	Examples Shared	Impact and Implication	# of Employees Mentioned	
			NVSL (n=21)	CVB (n=14)
Good Place to Work. Taking everything into consideration, employees view NVSL and CVB as a good place to work.	Employees referenced MaxiFlex and the flexibility generally afforded them as a benefit that is greatly appreciated. "The people" are cited as positive aspect of the workplace. There is considerable pride in the work that NVSL and CVB does.	Flexibility may be particularly valued and appreciated by employees because at its core, it is a demonstration of trust by leaders. The presence of camaraderie can be leveraged to boost teamwork and decrease the presence of a "silo effect." Pride in the workplace appears to be underleveraged. Employees noted that more celebrations of successes could fuel their already considerable pride.	3	6

Supplementary Findings

Seven Supplementary Findings were identified across the survey and interview themes. These themes were not directly related to the Findings but that still represent important aspects of the NVSL and CVB culture. We felt it was important to represent all views that were provided in the data, even if they were not related to a frequently-occurring theme. To create the Supplementary Findings, we looked for patterns in the remaining themes (i.e., themes that were not represented in the five Findings) and grouped the theme into related sets of Supplementary Findings. Due to the large number of themes that support each Supplementary Finding, we only present the theme description; the number of mentions for NVSL and CVB as a whole and for each lab separately, however, can be found in Appendix 8.

A brief description of each Supplementary Finding, followed by the survey question number and theme or the interview theme, is shown below. A complete description, verbatim responses, and the number of times each theme was mentioned is presented in Appendix 8.

Supplementary Finding 1: Mixed opinions exist regarding work style and professional ethics. Staff reported mixed opinions in this area. In their survey and interview responses, they described work ethic as having a sense of professional ethics as well as ethics regarding work performance (such as work quality and number of hours worked). Some employees reported that staff upholds the highest ethical or professional standards. Others reported that ethical standards are unclear and that some do not perform an honest day's work. This is related to Findings 1 and 2 because some staff are seen as not being held accountable for poor performance or undesirable behavior, or are regarded as having a poor work ethic. However, as indicated in Finding 5, respondents who have had positive experiences at NVSL or CVB hold their colleagues' work ethics in high regard. The survey and interview themes related to this supplementary finding are as follows:

- Survey Question 4: Professional ethics;
- Survey Question 5: We get more ethics related communication now;
- Survey Question 8: The majority of people here have good work ethics; and
- Interview Themes: Work ethic.

Supplementary Finding 2: Staff perceives a lack of career advancement opportunities. A perception of the lack of opportunities for promotion exists, including perceptions of status differences that hinder lower level employees from promotional opportunities. We believe that this finding is related to several of the main Findings, including that some employees purported to not trust their supervisor because the supervisor is seen as helping some employees, but not others, advance in their careers (Finding 2). Supervisors who lack interpersonal and communication skills (Finding 3) are perhaps perceived as less effective in their attempts to hold developmental or mentoring discussions with employees. If supervisors are overworked and have too large a span of control (Finding 4), the implication is that there are perceptions that

supervisors have less time to communicate to their employees specific areas that they need to develop in order to advance their careers. The survey and interview themes that support this supplementary finding are as follows:

- Survey Question 3: Lack of career ladder;
- Survey Question 5: We have status differences across the professions that exist at Veterinary Services NVSL and CVB;
- Survey Question 7: We need more opportunities for advancement and professional development;
- Survey Question 8: I believe there should be more opportunity for advancement; and
- Additional Employee Theme: Career Advancement.

Supplementary Finding 3: Mixed views exist regarding the usefulness of recent training. Some staff reported that they felt training was not an effective use of their time, while others reported that recent training, especially the ethics training, was useful. As discussed in Finding 2, a lack of accountability for behaving professionally remains a perception, regardless of recent attempts to address undesired behavior via training. Still, as seen in Finding 5, some of the staff acknowledges that progress has been made recently. The survey and interview themes related to this supplementary finding are as follows:

- Survey Question 5: Taking training that is a waste of time is a unique practice;
- Survey Question 7: Trainings and training processes are unnecessary, ineffective, or focused on the wrong area;
- Survey Question 8: Trainings and training processes are unnecessary and/or ineffective; and
- Survey Question 8: The ethics training was successful; we need more.

Supplementary Finding 4: The current culture has a negative impact. Several impacts of the NVSL and CVB culture were reported, including low morale, a concern about the labs' reputation, resistance to change, mixed views on diversity, and mixed opinions on technical quality. Comments on low morale and the labs' reputation focused on a recent incident in which some employees were placed on administrative leave, indicating that morale and reputation may have been lower at the time of the study than before the incident occurred. In Findings 1 through 4, these negative impacts were mentioned as resulting from the current culture. The following survey and interview themes are related to this supplementary finding:

- Low morale (especially recently):
  - Survey Question 3: Low morale;
  - Survey Question 3: Boring work;
  - Survey Question 6: I feel sadness or depression over the incident; and
  - Survey Question 8: This is a joy-less, depressing workplace; morale is low.
- Negative impact on reputation of the labs (especially recently):
  - Survey Question 3: Negative perceptions of Veterinary Services' NVSL and CVB;

- Survey Question 6: The negative press is hard to deal with; and
- Survey Question 7: We could do a better job educating the public/doing positive PR to give a balanced view of Veterinary Services; NVSL and CVB.
- Resistance to change:
  - Survey Question 3: Resistance to new ideas;
  - Survey Question 4: Resistance to change; and
  - Survey Question 5: The Veterinary Services' NVSL and CVB norm is "we've always done it that way."
- Mixed opinions on diversity:
  - Survey Question 5: There is little diversity among employees at NVSL and CVB; and
  - Survey Question 7: Discrimination is an issue that needs to be addressed more proactively.
- Mixed opinions on technical quality:
  - Survey Question 3: Poor technical quality; and
  - Survey Question 8: We lack the technical competency and credibility that are needed to lead in our field.

Supplementary Finding 5: Staff acknowledges the unique context in which NVSL and CVB operate. Contextual factors that were mentioned by staff on this topic include the perceived politics associated with working in a government agency, having employees who are related working at the labs, performing scientific work, the nature of emergency response, and the rural location. As discussed in Finding 1, a cultural gap exists; it is possible that when supervisors/managers described the ideal culture, they took into account the context in which NVSL and CVB must exist. The unique context and unique functions and role of the labs will have to be taken into consideration in any next steps that are taken to address the cultural gap. The survey and interview themes that support this supplementary finding are as follows:

- The labs are a government agency:
  - Survey Question 3: Politics and government red tape.
- There are many family members at NVSL and CVB. Although this finding emerged on four survey questions, two of which viewed this as a negative, there was no clear indication as to how this finding impacted the culture:
  - Survey Question 3: Family relationships;
  - Survey Question 5: Having so many people who are related to existing employees is a unique practice;
  - Survey Question 7: There are too many people here that are related to each other; and
  - Survey Question 8: There are too many relatives working here.
- Scientific work and emergency response functions:
  - Survey Question 5: There are differences across the sections due to the nature of their specific work, resulting in inconsistent policies;
  - Survey Question 5: Having a culture of emergency response is unique;

o Survey Question 5: The scientific nature of the work and professional community makes us unique; and

o Survey Question 5: Introverts are attracted to our profession, which makes Veterinary Services; NVSL and CVB a place that is not socially inviting.

- The location:
  o Survey Question 5: The small town atmosphere that exists here is unique.

Supplementary Finding 6: Staff expressed mixed opinions over the recent incidents resulting in administrative leave. The placing of some employees on administrative leave as a result of the recent OIG investigation was described with mixed opinions. Examining the responses to Question 6 on the survey, the most frequent theme was that the recent incident had no impact on the respondent directly. Still, a wide range of views were expressed about the incident. Below, we list only five themes that emerged from survey question 6 as well as themes from the other survey questions that directly related to the incident. Please refer survey question 6 in Appendix 8 for additional details concerning staff views of the recent incident. This Supplementary Finding relates to the lack of trust (Finding 2) as well as organizational barriers, especially the lack of communication about accepted and unaccepted behaviors (Finding 3). The survey and interview themes related to this supplementary finding are as follows:

- Survey Question 5: Openly ordering veterinary medications (used to be a norm here);
- Survey Question 6: It hasn't impacted me, even if some people around me are affected;
- Survey Question 6: I think it was fair to discipline those on leave;
- Survey Question 6: I want to be done with this situation so we can move on;
- Survey Question 6: This situation has impacted my personal life negatively;
- Survey Question 6: Management has handled this well;
- Survey Question 7: I am concerned about how those on leave will be re-integrated;
- Survey Question 8: Regarding staff members who are on administrative leave, I don't see what they did was wrong; and
- Survey Question 8: Don't bring the suspended employees back; doing so would send the wrong message.

Supplementary Finding 7: Staff expressed concern about how the culture and management review will be handled and whether it will lead to changes. Staff who responded to the survey or participated in the interviews indicated a sense of concern over whether the study results would be used to enact change. Related to Findings 2 and 3, this supplementary finding may stem from a lack of trust as well as confidence in leadership capability. The following survey and interview themes are related to this supplementary finding:

- Survey Question 7: I'm tired of giving my feedback to management with no visible results;
- Survey Question 8: I am concerned about this survey being anonymous and/or about how results will be used;
- Survey Question 8: I'm tired of giving my feedback to management with no visible results; and
- Additional Employee Theme: Follow-up of study.

Relationship of Findings with Context-Setting Interviews

We conducted eight context-setting interviews with executives who work in Riverdale, MD, Minneapolis, MN and Washington, DC that are not reflected in the above findings. These interviews were conducted as an intentional part of the pre-review process and were designed to surface expectations as well as insights about the culture of NVSL and CVB from the perspective of leaders who work with, but not necessarily inside, that part of the organization every day.

The context-setting interviews surfaced five primary pre-study questions about what may be affecting NVSL and CVB culture and the recent problems that it has been experiencing. Below, we briefly summarize each pre-study question and discuss whether it was or was not supported by our findings:

- **HR support: Is something more, or something different, needed in Ames?** Our findings address this question in several ways. Finding 1 indicates that there is a wide range of perceptions about the current culture. Additionally, Supplementary Finding 4 indicated that mixed views exist regarding diversity and discrimination. From these findings, we infer that some leaders are "role modeling" different behaviors, and thus some leaders are abiding by the organization's policies and practices while others may not be. Additional training is one tactic that could be employed as part of a broader human capital strategy. However, our main response to this pre-study question relates to an additional onsite HR presence in Ames, as will be discussed in Recommendation 4.

- **Have recent training programs been helpful in dealing with some specific issues?** Our findings are mixed on this question. Finding 5 indicates that some positive changes on the part of leadership have been observed recently. Finding 2 indicates that problems with unprofessional and disrespectful behavior still persist, despite recent efforts to train employees on desired behaviors. Recommendation 1 specifically addresses the need for NVSL and CVB leaders to come to agreement on the desired culture, with Recommendations 2 and 3 also addressing any undesired behaviors.

- **Is the large number of family members at Ames related to any of the problems they are experiencing?** Our Supplementary Finding 5 supports the perception that there are a large number of family members employed at NVSL and CVB. The presence of family members is referred to as a contextual factor that has to be taken into consideration in any cultural change efforts. However, the existence of family relationships was not mentioned as a root cause of the current culture. Some respondents indicated that having family members could lead to perceptions of unfairness. However, there were many more respondents who indicated (see Finding 2) that perceptions of unfairness exist for many other reasons related to low trust and perceptions of uneven accountability. This perception is supported by Finding 2 and is addressed in Recommendation 2.

- **What is it about the culture in Ames which led up to the events requiring some employees to be placed on administrative leave?** Although our review was not

intended to specifically address the events that led up to administrative leave for some employees, we acknowledge that the requested timing of our review could impact the study. Therefore, as requested, we inquired about staff views about recent events during our interviews and through the open-ended survey. Although staff offered many theories of their own about the events and expressed a wide range of opinions (see Supplementary Finding 6), we found no data to support a cultural norm of suppressing information about unethical or illegal activities. However, this does not mean that there is high agreement among staff about desired work behaviors and professional ethics (see Finding 5 and Supplementary Finding 1). The information we have provided through Recommendation 1 is intended to help increase agreement about desired work behaviors and culture.

- **Is dissatisfaction amidst a small group of employees the "root cause" of the recent problems in Ames?** Our findings support the notion that satisfaction levels are low throughout NVSL and CVB (see Finding 1, specifically the OCI® measures on outcomes), not just a across a small group of employees. We believe that Findings 1 through 4 can help explain why staff expresses dissatisfaction with the organization. Our recommendations are designed to address the issues we surface in each area and also serve as support for efforts to improve employee satisfaction.

This page is intentionally blank.

4. RECOMMENDATIONS FOR ACTION

Management Concepts views the organization's present opportunity for change as one that is best approached from a strategic, whole-system, transformational standpoint rather than as a checklist of tactical activities that the organization's leaders can implement in isolation. Though we have described our recommendations below concisely for purposes of this report, each recommendation area has multiple layers and components to take into consideration.

In each recommendation area, we have noted the potential overlap and shared impact of the recommendations in an effort to illustrate the nature of interrelationship between the various factors involved. We encourage NVSL, CVB, and the entire Veterinary Services (VS) organization to review these recommendations and interrelationships as a whole prior to any implementation activities. For more in-depth information about organizational culture and our perspective on the factors we consider when assessing such interrelationships, see *Critical Concepts and Frameworks* in the Appendix, starting on page 5.

Recommendation #1: Address the gap between the current state of the culture and the state described as ideal for the organization.
Interrelationships: Findings #1 and #2; Supplementary Finding #4

Discovering the differences between an organization's current and ideal cultures allows leaders to assess their current culture and determine targeted approaches to move towards the ideal culture. There are very few instances where moving towards the ideal culture does not pay dividends in terms of higher performance, lower turnover, minimized complaints, higher productivity, increased engagement, and greater employee satisfaction. In fact, gaining a clear picture of where an organization's culture is currently in comparison to where it wants to be often explains the levels of dissatisfaction, frustration, and disengagement that may be observed within the organization. The amount of dissatisfaction and disengagement typically relates to the gap between the current state versus the ideal state.
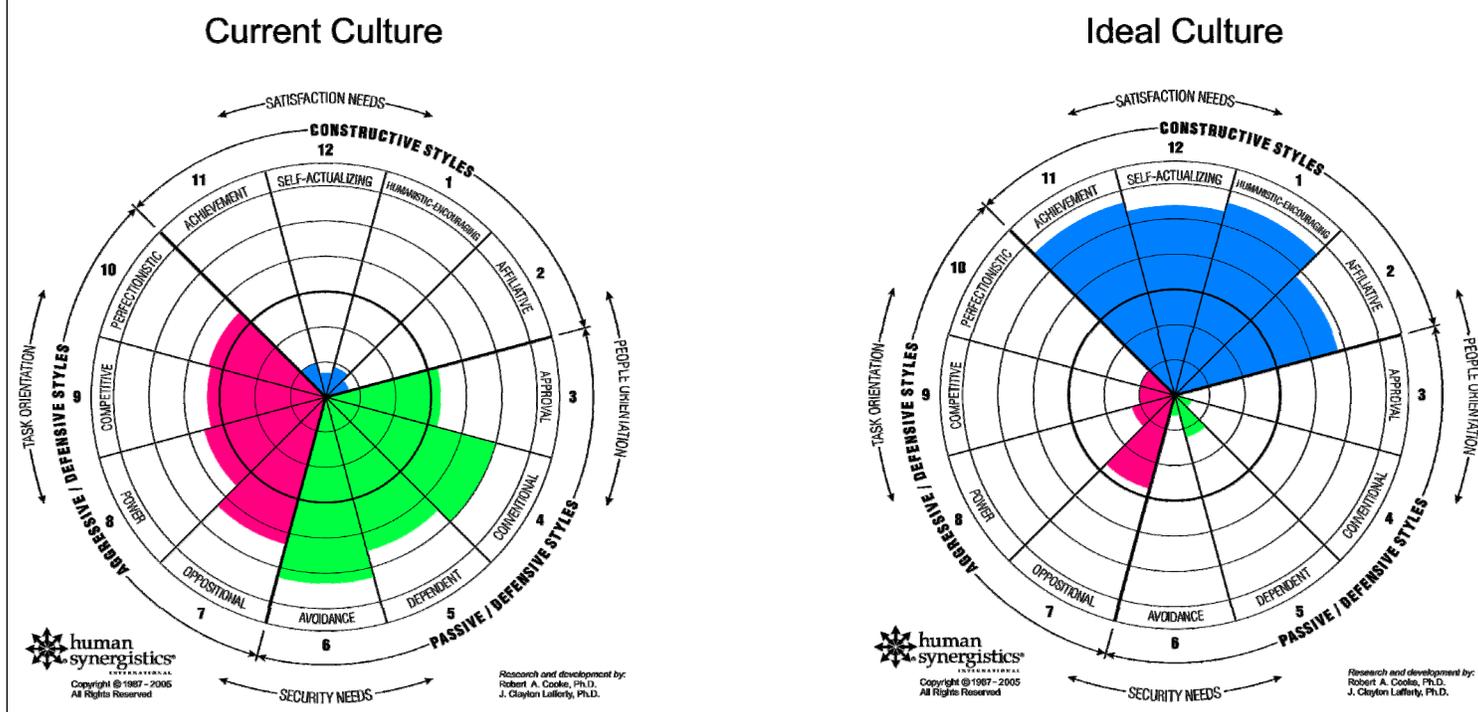

Figure 4.1

As noted in Finding #1, when asked to describe NVSL and CVB's current culture, staff (including those with supervisory responsibilities) described behaviors that fall primarily into the Passive/Defensive and Aggressive/Defensive areas of the OCI® circumplex (see Figure 4.1).

The styles and behaviors that tend to show up in these areas of the circumplex frequently focus on task orientation and on one's own security needs.

The OCI® results for the current culture within NVSL and CVB show a low amount of agreement about the behaviors that are, and are not, expected within the organization. This indicates that there is not perceived to be one well-defined, consistent way of behaving within the organization. Simply put, this indicates that some members of the organization may be receiving a mixed message about the behaviors they are expected to demonstrate in order to be successful and accepted within the organization. In our experience, lack of clarity of this nature contributes to the level of role conflict and discord that NVSL and CVB has reported experiencing.

Conversely, the OCI® results show there is a high amount of agreement about the behaviors that would be expected of members within the ideal culture of NVSL and CVB (see Figure 4.1 and OCI® report page 2-10 in Appendix 7). This is a potential indication of clarity and alignment among leaders and the level of understanding about the culture that is desired within NVSL and CVB. When asked to describe NVSL and CVB's ideal culture, supervisors and managers of NVSL and CVB described behaviors that fall primarily into the Constructive area of the OCI® circumplex. The styles and behaviors that show up in this area of the circumplex tend to focus on an orientation toward people and to fostering a sense of satisfaction at work.

> ### Best Practices

High-performing organizations that possess a culture aligned with the Constructive area of the OCI® circumplex feature behaviors and best practices such as:

- Goals are based on organizational needs and self-improvement, not out-performing colleagues;

- Clear, open lines of communication exist throughout the organization;

- Constructive feedback, coaching, and positive reinforcement routinely provided by peers and supervisors alike;

- Rewards are given for excellent performance on a consistent and visible basis; and

- Leaders demonstrate their concern for people as well as task.

Next Steps for NVSL and CVB

Achieve a shared understanding and alignment about expected behaviors

The process of reducing the gap between demonstrated and expected behaviors at NVSL and CVB involves getting specific about what it will look like day to day in the organization, on a behavioral basis, when the desired culture exists within the organization. The goal of this process is a shared understanding and alignment about the desired culture within and throughout the organization. If NVSL and CVB desire to move toward a Constructive culture described as its ideal – which is our working assumption for the remainder of this report - we recommend using the list of Constructive behaviors in the OCI® report in Appendix 7 (see pages 2-15, 2-16, 2-25 and 2-26) as a starting point for discussion, using a process that allows members of NVSL and CVB to build on the list and describe desired behaviors in their own words. This type of personal engagement typically helps to build a sense of ownership and commitment during the process of defining and building organizational culture.

In our experience, this type of whole-system effort to clarify values and achieve alignment will be most effective for NVSL and CVB if it also includes key staff and leaders in other parts of USDA who have influence on the resources and processes required to accomplish the mission. The goal of such an effort would be to achieve clarity, alignment, and shared commitment for accomplishing results grounded in one set of expected behaviors across the organization, leading to a more unified sense of organizational culture. Nothing about this effort would be intended to "erase" the cultural attributes that are perhaps special about NVSL and CVB. Rather, this effort would still honor and keep the artifacts, symbols, values and other aspects of culture that are understandably unique to NVSL and CVB. For more in-depth information about organizational culture and the elements that typically comprise it, see *Critical Concepts and Frameworks* in the Appendix, beginning on page 5.

A whole system approach frequently takes more than one meeting to accomplish. It takes a thoughtfully designed intervention—one that allows space for dialogue, transparency, and dissent, where appropriate—to bring about such critical alignment. One reason for this is that values are personal and deeply held. Most commitments to them are not made lightly. When pursuing shared commitment to an organization's values, each person is being asked to commit to what is best for the good of the organization and to maintain their commitment to their own deeply held values as well. It is important to note that there may be times when these two layers of values do not coincide. This results in resistance. Sometimes resistance is a short-term reaction to change and can be resolved; other times, it involves a more deep-seated conflict and cannot be reconciled. That is another reason behind our statement that this process is anything but fast or simple. It takes time, skilled, respectful facilitation, and deep listening to ensure that everyone involved has an opportunity to reflect and be heard. It also takes deep listening and transparent dialogue to surface the core values that most people hold dear and operate from each day.

Finally, another benefit of focusing on alignment within and among the different layers of the organization is that staff will begin to perceive a unified voice and stance no matter which part of the organization they are dealing with at the time. We posit that this perception of unity and consistency will help to promote clarity and alignment, and will also prevent decision-making norms from being left open to interpretation. Thinking again from a systems perspective, the members of a system quickly recognize inconsistencies or perceived inequities as they move through and work within the system. This lack of alignment often shows itself in meetings, communications, budget priorities, hiring decisions, and other important aspects of daily work life. The longer these inconsistencies are allowed to exist, the more it ultimately erodes the trust and credibility of an organization and its leaders. Leaders can prevent this type of imbalance by "walking their talk" and grounding their decisions and actions in the same shared set of values, goals, and organizational commitments.

Tactic to Achieve Shared Understanding and Alignment

Activities: We recommend a whole system approach that includes a series of meetings featuring group work and opportunities to have input on the definition of shared values. We recommend including an "approval" process by which all agree to the form (behavioral descriptors) as well as content of those values.

Resource Needs	Time Investment	Potential Level of Support Required	Importance of Link to Other Systems	Potential Impact on Success
Moderate. Typically requires a skilled facilitator who is not part of the leadership team.	High. Can take weeks to move through meetings and approval processes; weeks to roll out; months to start seeing change.	Moderate to High. Can help to include job aids, communication "campaign" across organization, and ongoing peer/executive coaching.	High. Should align with performance standards and evaluation processes in order to make the "how" of doing business as important as the "what."	High. Critical for success of everything else. Will compromise transformation efforts without this alignment.

> **Recommendation #2: Conduct a system-wide effort to rebuild trust and a shared sense of accountability within and throughout the organization.**
> Interrelationships: Findings #1 and #2; Supplementary Findings #1, #2, #4, #6 and #7

As we noted in Finding #2, the data we collected indicates that staff perceive an inconsistent approach to how people are held accountable within the organization. In our experience, a perception like this contributes to low levels of trust in an organization. Whether the perception exists due to inconsistent performance management practices, ineffective communication, or a simple gap in information and an understanding about what is acceptable in the organization, the result - low trust - is a key issue for the organization to address if it hopes to foster a Constructive culture.

Though the scope of our study was limited to NVSL and CVB, the perceived presence or absence of trust and accountability within an organization is often systemic in that an effort to build trust and accountability within one pocket of the organization rarely has impact on the organization's culture as a whole. At best, it could create yet another sub-culture or difference in how people in one area of the organization behave. Taking this idea further, we believe that a truly systemic approach to rebuilding trust and accountability would be inclusive of the entire APHIS organization in partnership with USDA as well. We submit that every member of the organization, regardless of title or tenure, has played a role in creating the current culture and has a role to play in creating the type of workplace environment they want to be a part of, and/or a partner with, in the future.

Best Practices

High-performing organizations that possess a high-trust culture feature behaviors and best practices such as:

- Conflicts are resolved constructively;

- Members of the organization are involved in decisions affecting them;

- High levels of autonomy, responsibility, and employee involvement exist throughout the organization;

- Staff and leaders alike help others to grow and develop;

- People are treated as if they are more important than things; and

- Staff at all levels share in commitment to improving the organization.

> ## Next Steps for NVSL and CVB

Lead by example

Once shared understanding and alignment around the desired culture has been achieved between and within the layers of the organization (as described in Recommendation #1), we recommend that leaders begin to consistently demonstrate and communicate about the Constructive behaviors that are expected on a daily basis. As the organization's leaders model the Constructive behaviors more often than those behaviors associated with the Passive/Defensive or Aggressive/Defensive styles, it will set an example for staff and help rebuild trust as staff experiences a more consistent and desired set of behaviors across the leadership team.

Demonstrate transparency

We recommend that leaders take an immediate, short-term step to rebuild trust and model accountability by sharing this report in its entirety with the organization's staff. A best practice we recommend is to utilize a "cascading" process that includes all-employee meetings, with opportunities for two-way dialogue, as well as section/department/team meetings that offer deeper dialogue among colleagues and their supervisor/manager. The goal of these meetings is not necessarily to make decisions about and/or solve everything raised in the report, but rather to model accountability, begin to foster dialogue, approach the next steps inclusively, and rebuild trust.

> ## Tactic to Start Rebuilding Trust and Accountability

Activities: Hold all-staff meetings to acknowledge that past practices have not been successful at fostering trust and engagement and announce that change has come to USDA-APHIS-VS-NVSL-CVB. Share full results of study and engage in dialogue; answer questions completely and transparently. Walk through details of current culture versus ideal culture. Conduct activities that engage staff in process of describing the specific behaviors they want to see/demonstrate less of and the behaviors they want to see/demonstrate more of. Gain commitment to "new way" and clarity around consequences of not behaving in this way. Preview other steps that leaders and entire organization must take in order to transform. Invite participation in all phases of the process and tell them what the feedback mechanisms are along the way.

Resource Needs	Time Investment	Potential Level of Support Required	Importance of Link to Other Systems	Potential Impact on Success
High. Requires involvement by leaders as facilitators and role models along with support from HR to plan and carry out. Succeeds best when an organizational leader is viewed as the 'champion' for this effort, with overall accountability for its success.	High. Takes weeks to plan, schedule and conduct; months to start seeing some traction and behavior change; years to fully rebuild trust.	Moderate. Can help to offer job aids, feedback mechanisms and other ways for entire organization to check its progress.	High. Should align with performance standards and evaluation processes in order to make the "how" of doing business as important as the "what."	High. Critical for success of everything else. Will compromise transformation efforts if not addressed.

Communicate more often and ask for feedback regularly

One misstep that many leaders take during a change effort involves communication; leaders need to communicate far more often, and much more transparently, than they think they do in order to foster trust. We recommend that leaders ask staff continuously for feedback to see if the content, frequency, and communication methods being used have the desired effect. We also recommend that leaders check in often to see if there are clarifying questions or concerns that need to be addressed. Modeling transparency and openness to feedback will help foster trust and will also model accountability for taking actions, particularly when staff notices action being taken in response to any feedback they have offered.

Increased communication also fosters trust because staff then has more information and is not left guessing or inferring. This is not as simple as having more meetings or sending more emails, although those actions may provide more information. Given that there is a wide range of communication practices among managers, we cannot prescribe a one-time remedy for communication practices. However, leaders at NVSL and CVB can start by getting a better understanding of the significant gaps in the desired level, type, and amount of communication currently happening.

Looking at this process from a tactical level, the effort to build trust requires leaders to communicate their commitment to the effort and demonstrate it in visible ways. Some leaders may be doing this effectively, but others will likely need to change their calendars and meeting schedules to allow for the time investment required to communicate more frequently and more intentionally with staff. Leaders who meet regularly with staff (one-on-one as well as in groups) are more successful at fostering open communication. They use these interactions with staff as opportunities to recognize good work in the moment, invite input on organizational issues, and to address any resource issues or other barriers there may be to performance. Another key component to "making rounds" like these is for leaders to follow up on the information they

gather during the process and share outcomes of their rounds with staff. All of these behaviors will help to model accountability and build trust as staff sees their leaders taking actions that match up with the commitments they have articulated.

Tactic to Communicate More Effectively with Staff

Activities: Make a visible, intentional effort to engage with staff (direct reports) more often and more effectively. Leaders schedule one-to-one meetings with every direct report and also ask team/department/section for input on how often to meet as a group; we recommend committing to minimum of once a month. Start building daily time in the calendar for "making rounds" to get more visibility and unstructured time with staff. Express genuine, specific, timely appreciation to employees at least once a week. Leaders model transparency, open communication and openness to feedback by asking direct reports what they as a leader do that gets in the way of employee success at work, and what they as leaders can do to improve the working relationship. Leaders do more listening than talking in meetings with staff; they ask staff questions about themselves and their interests. Start sharing "bright ideas" and other outcomes from rounds and one-to-one meetings with entire team. To the extent that it is appropriate for the sensitive nature of the work, leaders also add regular monthly updates to bulletin boards in common areas so all stay equally informed.

Resource Needs	Time Investment	Potential Level of Support Required	Importance of Link to Other Systems	Potential Impact on Success
High. Requires commitment and high involvement from every supervisor, manager and leader in the organization.	High. Could add at least two hours a day of "employee time" to each leader's calendar once one-to-one meetings and rounds are factored in. Time investment may decrease slightly as leaders start to practice more consistently and performance issues start decrease.	Moderate to High. Elements may include an initial kickoff; communication practice/training; 360-degree feedback; coaching; suggested reading; toolkit that all can use, for consistency.	High. Should align with performance standards and evaluation processes in order to make the "how" of doing business as important as the "what."	High. Public discussion of "new way" without this daily demonstration of follow up will reduce rather than rebuild trust levels in the organization.

Additionally, it is important to note that as people trying new behaviors, this is a process that will involve missteps and mistakes at times. The process of adopting new behaviors is not linear. One of the best things leaders can do during this process is to own up to any mistakes they make quickly, transparently, and with authentic humility so staff can begin to see that it is acceptable to fail sometimes. Using language to share the positive intent behind their actions, owning, yet separating, it from any negative impact there may be while still learning, demonstrates accountability as well. Leaders have an opportunity to demonstrate to staff that it is safe to speak up and respectfully share varying viewpoints. As part of the process, leaders will need to practice the same deep listening that they extended to each other during the effort to achieve alignment. The belief that it is safe to speak freely will take some time. But modeling these behaviors for staff will help to move the culture away from the potentially undesirable behavioral norms that exist in the current culture, and toward the behavioral norms that are outlined in the described ideal culture. (See OCI® report pages 2-17 through 2-24 for specific examples.)

Make effective performance management a core expectation and practice
Organizations typically achieve a commitment to accountability and performance management through a shared understanding of goals and expectations and by managing towards those expectations through frequent interactions and ongoing support. The way leaders approach performance management has a big impact on employee perceptions of trust, fairness and accountability; to employees, the amount of time leaders spend on performance management, and the way they approach the process, sends an important signal.

NVLS and CVB leaders can help to rebuild trust and a sense of accountability with staff by holding performance conversations on a regular basis with each employee they supervise, not just the employees who are performing well. In the case of those who are performing well, leaders will foster trust and engagement by giving timely, meaningful recognition that is based on consistent criteria known to all, demonstrating an open process that creates a perception of fairness rather than favoritism. When leaders demonstrate these behaviors, they will also help to model the behaviors that correspond with the behavioral norms that are outlined in the described ideal culture. (See OCI® report pages 2-15 through 2-16 for specific examples.)

In a similar vein, when employees do not meet behavior or performance expectations, NVSL and CVB leaders have the opportunity to send an important message to all staff as well. This process may not be difficult for some of the organization's leaders; they may be navigating through this element of performance management successfully already. However, given the overall perceptions that our data collection efforts surfaced, and given the nature of the gap between the current culture and the described ideal culture, we anticipate that some leaders will find it challenging to address unsatisfactory performance more frequently, more consistently, and more confidently. The current behavioral norms that these leaders will have to overcome during these situations are outlined in the OCI® report (pages 2-17 through 2-24). It is possible that the organization's leaders will need more support, training and practice to become effective at this aspect of their work. We address this issue and others related to the capacity of the organization's leadership team in more depth in Recommendation #3.

Balance focus on people as well as task

Every member of the organization has a choice as to how they want to show up to their colleagues and their direct reports each day. As part of the process of building trust, we recommend that NVSL and CVB leaders participate in some individual reflection and commitment to the essential "way of being" they seek to demonstrate each and every day. One model we offer for consideration is illustrated in the graphic below (Figure 4.2), showing a "Responsive" way of being that aligns closely with the ideal state Humanistic-Encouraging behaviors described in the OCI® report (Appendix, page 2-15). Leaders will do much to rebuild trust if they take these examples and descriptors into account while demonstrating a renewed commitment to their staff. Over time, with consistency, their staff will recognize that the "Resistant" way of being below is the organization's "old" way of being, associated with the perhaps undesirable behaviors of the current culture.[1] This moment of recognition is another key part of the process of rebuilding trust.
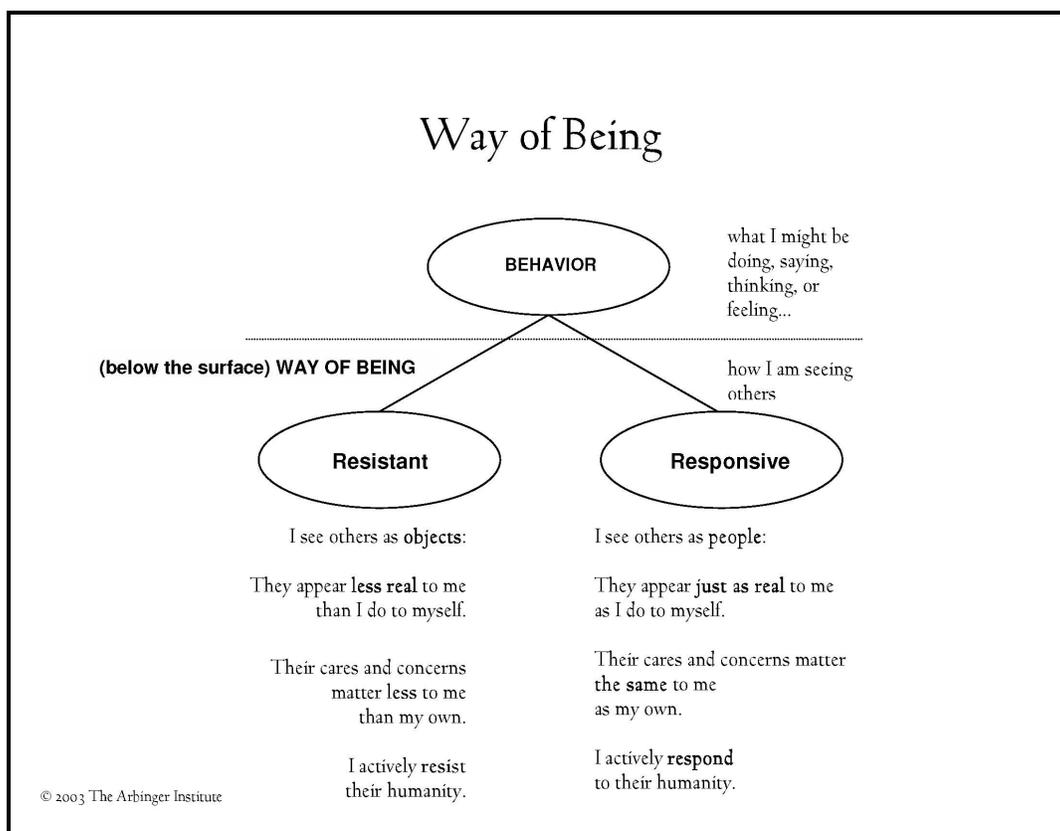
Figure 4.2

---

[1] Arbinger Institute, *Leadership and Self-Deception.* San Francisco: Berrett-Koehler, 2002

Engage multiple stakeholders in the introspective process of building relationships

Looking at this process from a whole system standpoint once again, Management Concepts contends that staff and leaders at all levels of NVSL and CVB would benefit by identifying what they bring to the process of fostering better relationships with each other. Given the comments we collected that illustrate perceptions about staff and leaders outside of Ames, it appears that these key stakeholder groups would benefit by engaging in this reflective process as well. Leaders and staff are encouraged to open themselves to a coaching stance during this process, taking time to reflect on what they bring to conversations they have with others in the organization and what the results of those conversations could be if it became possible to speak more openly, more collaboratively, and more authentically at all levels of the organization. Some questions to consider are:[2]

1. How have I traditionally viewed people at work? At home? In general?

2. How do I typically react when people come to me with problems, questions or ideas?

3. What can I do to engage others as partners in finding solutions?

4. What do I need to be aware of and pay attention to as I commit to communicating differently?

5. What situations might make it more challenging?

6. What do I need to change about myself to start living out this commitment?

7. What are the concerns, doubts, or reservations I have about myself in making this change?

Recognizing that NVSL and CVB deal with tight deadlines and response requirements each day, Management Concepts is not suggesting that the effort to interact with each other more often, and more intentionally, will be easy to practice, adopt, and maintain. However, we do submit that what we have recommended is both possible and necessary in the effort to rebuild trust. Once staff starts to trust that these new practices are going to last, many will start to count on the rounds their leader makes and will plan what they want to talk about during that time. Ideally, over time, staff at all levels will start to open up about ideas they have, concerns they hold, and goals they want to achieve. This type of open, respectful dialogue is a hallmark of high-performing, high-trust organizations.

---

[2] Showkeir, J. and Showkeir, M. *Authentic Conversations*. San Francisco: Berrett-Koehler, 2008.

50

> **Recommendation #3: Increase the capability of NVSL and CVB leaders in the short term and as part of a longer-term leadership and management development strategy.**
> Interrelationships: Findings #1, #2 and #3; Supplementary Findings #1, #2, #3, #4, #6 and #7

At Management Concepts, we recommend that our clients look at management and leadership as a continuum of behaviors (see Figure 4.3 below) rather than a strict set of "either/or" behaviors. The tasks and behaviors associated with one end of the continuum are typically known as authoritative management; the tasks and behaviors associated with the other end are typically known as participative leadership. There is a range of behaviors in between that are leveraged and demonstrated every day as a normal part of a leader's role. The role and impact of an organizational leader is diminished if he or she spends the majority of their time on either end of this continuum. The limited range that results from "anchoring" in only one side of the continuum means that leaders are unlikely to meet the needs of their employees, nor the needs of each business situation they have responsibility for. This is particularly true given the diversity of generations, range of experience, and span of business issues in today's workplace.
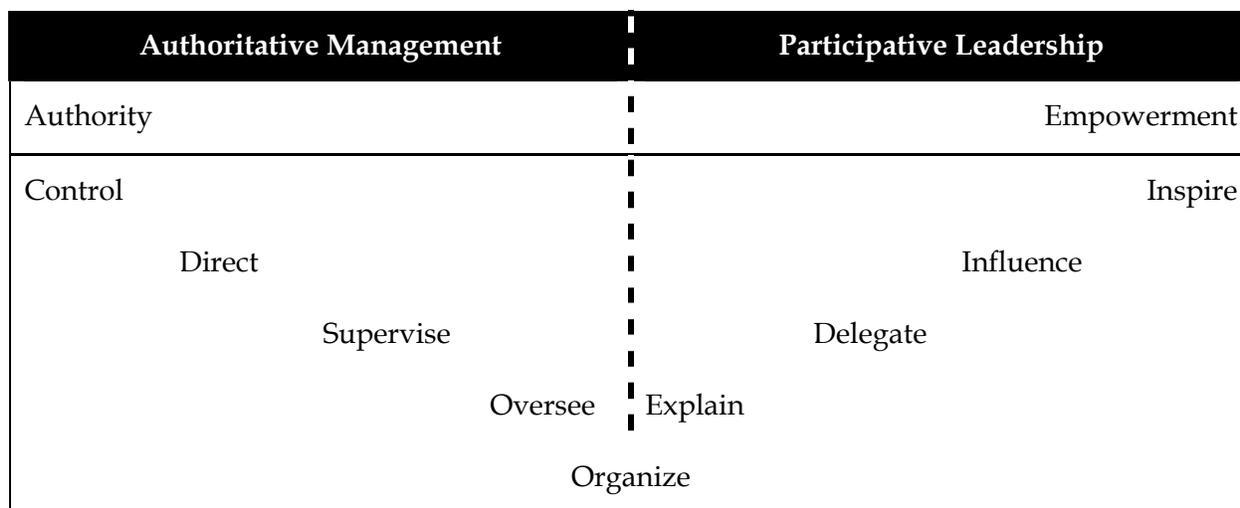
Authoritative Management	**Participative Leadership**
Authority	Empowerment
Control	Inspire
Direct	Influence
Supervise	Delegate
Oversee	Explain
Organize	

Figure 4.3

Best Practices

Management Concepts grounds its work in our knowledge of organizational science, which involves a common body of leadership theories, models and resources that illustrate the behaviors and best practices of high-performing leaders. Examples of these behaviors and best practices include:

- Leaders make and communicate about decisions based on their vision of future and the needs of the present, not just in response to the past;

- Leaders expand and remove boundaries, making it possible for their team to perform at their best;

- Leaders use their influence to achieve organizational results rather than personal gain; and

- Leaders maintain a balance between focusing on results and focusing on relationships.

Next Steps for NVSL and CVB

Short-term: Strike a balance between a participative and authoritative style
As we noted in Finding #3, the data we collected indicates an employee perception that NVSL and CVB leaders are not effective at the tasks and behaviors typically associated with management and leadership. We interpret the comments and examples shared to mean that NVSL and CVB leaders are in different places on the continuum of behaviors illustrated in Figure 4.3, with perhaps the majority of their time and attention currently being dedicated to the tasks and behaviors associated with the Authoritative Management end of the continuum.

Management tasks and behaviors are necessary for an organization to function, so we are not suggesting they are bad behaviors for leaders to demonstrate. We also acknowledge that NVSL and CVB operate in a regulatory environment that frequently calls for an adherence to protocols and policies without room for discussion or debate. We submit, however, that staff perceives the overuse of an Authoritative Management style in the same way they described the Passive/Defensive and Aggressive/Defensive styles in the OCI® results (see OCI® report pages 2-20 through 2-24 for specific examples). If NVSL and CVB leaders wish to move toward a Constructive culture, we recommend they strike more of a balance between an Authoritative Management style and a Participative Leadership style. Examples of the way these distinctions may show up each day include:

Authoritative Management involves:	Participative Leadership involves:
Making decisions based on past events	Making decisions based on vision of future
Holding decisions until all relevant data is gathered	Gathering enough data to decide now
Establishing and maintaining boundaries	Expanding and removing boundaries
Administering and overseeing resources	Influencing others
Creating goals and objectives to achieve plan	Creating a vision of the future
Defining how and when work will be done	Focused on results
Emphasizing reason and logic supported by intuition	Emphasizing feelings and intuition supported by reason
Measuring performance against plan	Assessing progress toward vision
Operational	Visionary
Tactical	Strategic
Dictating/Ordering	Inspiring and Influencing
Position Power	Personal Power (relationships)

Short-term: Ground leadership development in the mission and shared values

In many organizations, it takes more than a personal decision to see the balance we have described emerge across the continuum of management and leadership behaviors we have outlined. In some cases, leaders may need to acquire more knowledge and/or skills to become more effective at striking this balance. Others may possess the knowledge and skills but may need practice and coaching to become more effective at demonstrating a range of style rather than the one they have used most comfortably for some time. Before any successful changes in behavior can occur, however, it typically requires a shift in beliefs about what it means to be an effective leader within the organization. At NVSL and CVB, we see this as particularly important with regard to the organization's current balance between technical expertise and leadership capability. As we have noted in our Findings, a number of data points illustrate a perception that technical expertise is more highly valued in the organization than non-technical skills, or leadership capability.

A positive aspect of leaders with a high degree of technical expertise is that they have expert credibility and competence; they may be excellent at coaching staff on the technical aspects of their work. The level of technical competence is evident within NVSL and CVB based on the data we collected across multiple methodologies. What is less evident is a belief in the importance and value of leadership capability. Our review of the organization's performance documents shows a range of optional versus mandatory performance standards that are not equally balanced across the non-technical, or leadership aspects of performance as well as the technical aspects.

Additionally, our review of the APHIS Leadership Roadmap (part of the internal APHIS Leadership Development Toolkit, which we also reviewed) indicates that efforts have been made to articulate the expectations of leaders throughout the organization; however, it is unclear how widely these expectations have been adopted, particularly within NVSL and CVB. We

recognize that multiple training opportunities have also been made available to leaders within NVSL and CVB. However, without appropriate support, reinforcement, accountability, and connection to the values and behaviors expected of leaders, training often serves as a one-time-event rather than a true instance of behavior change or capability enhancement.

We recommend that NVSL and CVB leaders at all levels of the organization develop a shared belief system around the organization's approach to leadership and the value of leadership development. These values and beliefs drive behaviors that support, or do not support, the consistent application of organization-designed leadership development efforts. Once defined, we recommend that leaders at all levels of the organization also be held accountable for developing these skills and demonstrating these behaviors. This is the same type of alignment and shared sense of accountability that we outlined in Recommendation #1 and Recommendation #2.

Longer-term: Align leadership development strategy with the organization's human capital strategy

In addition to developing the leaders it already has, we recommend that NVSL and CVB re-evaluate its long-term approach to selecting leadership capability. Part of this process involves defining what successful leadership looks like within the organization, as we have already outlined previously. Once those definitions are created, next steps typically involve embedding those success factors and behaviors into job descriptions, behavioral interview questions, development plans and reward/recognition processes. Once all of these components are in place, NVSL and CVB would then be equipped with a full "lifecycle approach" to leadership development such as the one illustrated below:

Developing and Selecting of Leaders ►	Entry into Leadership Position ►	On-Going Development
• Leadership development (via learning, coaching, on-the-job training, stretch assignments) happens at all levels of the organization • Screening and selecting of potential leaders is based on the appropriate skill set (e.g., both technical and people skills)	• Organization paths people into leadership roles based on established and agreed upon expectations and accountabilities for leadership and management • Leaders are oriented in ways that support organizational mission and culture • New leaders are given feedback, coaching and other support as they "ramp up" and learn their jobs	• Organization consistently applies performance management standards and accountabilities for effective leadership and management • Leaders have access to professional development experiences that enhance their knowledge and skills for present as well as future needs • Leaders are engaged in succession planning process to support the organization's future needs

In our work in the area of leadership development and human capital strategy, Management Concepts recommends that our clients frame their efforts through a series of up front questions. These questions are designed to surface expectations, achieve clarity, and ensure that the effort is set up for success, self-sufficiency and sustainability. Examples of the types of questions we ask are:

- How does this (leadership development, training or human capital) strategy connect to your organization's short-term and long-term goals?

- What processes do you have in place to ensure that this effort does not become a "one-time event" that has little impact on long-term leadership development and/or your organization overall?

- How will you support and reinforce this effort over time?

- How will participants be held accountable for applying what they learn through this experience?

- How will you know, as an organization, if you are getting the results you seek through this effort?

As noted earlier, Management Concepts recognizes that the Leadership Roadmap was likely designed to articulate and address some of these human capital components. If the Leadership Roadmap is meant to continue as the primary strategy tool for leadership development at NVSL and CVB, we view the consistent application of and accountability to the components it outlines as critical for its success.

Longer-term: Give leaders a role in developing leadership talent

Once NVSL and CVB creates a shared understanding of the value of effective leadership and a strategy for hiring and developing it, we recommend that leaders also be held accountable for developing other leaders. Accountability for fostering leadership sends an explicit message about the importance of effective leadership and leaders' role in achieving its mission, achieving sustainability, and maintaining its people-oriented strategies. Put simply, this is how organizations create "bench strength" and grow their own talent from the inside. We recommend that NVSL and CVB take advantage of the existing leadership talent it already has by involving its exemplars in internal peer coaching and peer mentoring. Systematically, these types of leadership development practices are best supported by weaving the expectation into the culture and providing structures and systems such as performance plans and individual development plans.

> **Recommendation #4: Assess organizational barriers such as organizational structure and current employee and management workloads that could prevent a successful shift to the described ideal culture.**
> Interrelationships: Findings #4 and #3; Supplementary Findings #1, #4, #5 and #7

Within a culture there are often systems and structures that enable employees to make sense of their roles, organize around the work, and facilitate the way the organization functions. Systems and structures work well when they successfully position leaders and staff members to create and maintain their desired culture. Systems and structures have an adverse impact when they enable or create barriers for successful achievement of the desired culture. As we noted in Finding #4, our data collection efforts surfaced multiple examples of potential organizational barriers at NVSL and CVB.

Best Practices

An approach that is commonly used to assess organizations is the 7-S Model, developed by Tom Peters and Robert Waterman during their tenure at McKinsey & Company (see Figure 4.4).[3] The model is based on the theory that for an organization to perform well, seven elements need to be aligned around a set of shared values that make up the organization's culture. This model is often used to help identify what part of an organization's system to address in order to maintain this alignment, and what part(s) to address to improve organizational and/or employee performance. The definitions for the elements of the model are:

- **Strategy:** the plan devised to accomplish the organization's mission.
- **Structure:** the way the organization is structured and who reports to whom.
- **Systems:** the daily activities and procedures that staff members engage in to get the job done.
- **Shared Values:** the core values of the organization evident in the culture and the general work ethic.
- **Style:** the culture and the style of leadership adopted within the organization.
- **Staffing:** the employees and their general capabilities.
- **Skills:** the actual skills and competencies of the employees working for the organization.

---

[3] Peters, Thomas J. and Waterman, Robert H. *In Search of Excellence*. New York: HarperCollins, 2004.
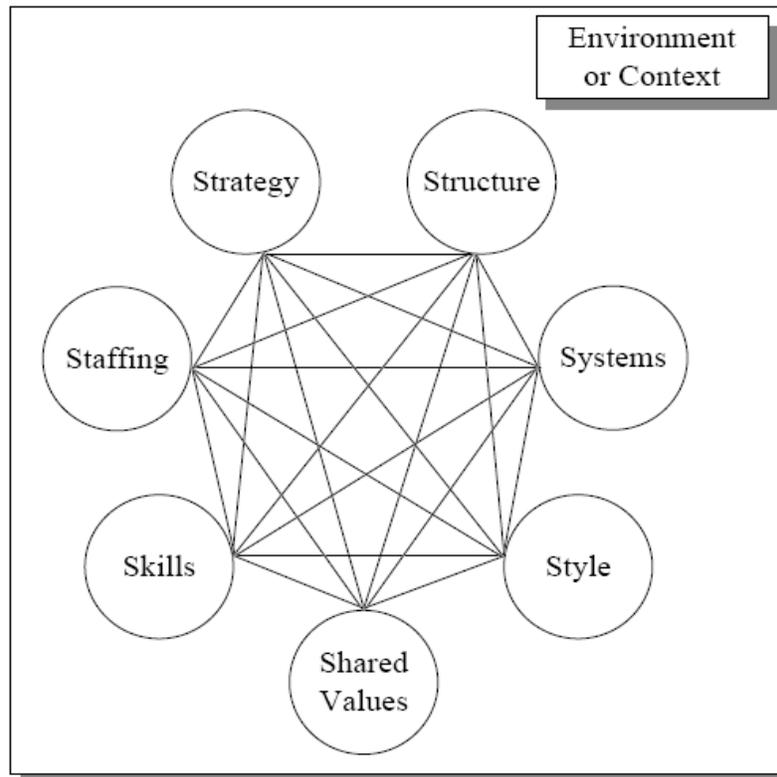
56

Figure 4.4

In high-performing organizations with systems and processes aligned in the way the 7-S Model illustrates, processes, behaviors and best practices include:

- A strong sense of purpose is evident inside (among employees) and outside the organization (among customers, suppliers, and other stakeholders);

- Employees know how they are contributing to the results of the organization;

- The organization's structure and processes give it the agility to adapt to changing circumstances;

- The organization has a common and shared business model (i.e., way of doing business) throughout the organization; and

- The organization has strategically aligned its resources to its performance goals. Resources include people, appropriate technology, equipment, facilities, materials and information.

> ### *Next Steps for NVSL and CVB*

Whether NVSL and CVB utilize the 7-S Model we have referenced or another organizational diagnostic tool, we recommend the use of a tool that is comprehensive enough to take the same factors in the model into consideration. We also acknowledge that a great deal of strategic planning has recently been completed across the organization and will likely provide an important foundation and context for any further diagnostic that is used.

Our previous recommendation areas encompass the aspects of Style (Recommendations #1, #2, and #3) and Shared Values (Recommendations #1 and #2). Therefore, aspects of the organization's Staffing, Skills, Structure and Systems are the focus of this section regarding potential barriers.

Staffing and Skills: Adopt a clear human capital strategy

We noted in Recommendation #3 that NVSL and CVB would benefit by aligning its leadership development strategy with its overall human capital strategy. The effort to craft an explicit human capital strategy is an important part of taking the concept of culture and helping to turn it into a concrete vision. The shared values and alignment we described in Recommendation #1 serve as important groundwork for this strategy.

The formulation of a human capital strategy is also important as a precursor to any other work related to the organization's structure. Too often, organizations undergo restructuring without grounding such changes in their intended strategic direction and goals. The results in these cases are frequently mixed, often creating upheaval and additional barriers that were not as problematic before the reorganization occurred.

We recommend that NVSL and CVB adopt a human capital strategy that consists of, but is not limited to the following:

- A vision for the organization's culture that aligns with the Constructive culture described as its ideal;

- A selection process that is used consistently and aligns with the organization's vision;

- A reporting structure that assists leaders in their effort to communicate more frequently and intentionally with staff;

- A set of collaboration practices and processes that promotes a culture that aligns with the Constructive behavioral norms described as ideal;

- A clear set of processes and policies that illustrate career advancement opportunities in a transparent way; and

- The additional support of at least one human resources professional, preferably positioned onsite in Ames, who can support the development and implementation of the organization's strategy.

Questions we recommend that NVSL and CVB address during this process include:

Staffing:
- How does the organization recruit and develop people?
- What positions or specializations are represented within the organization?
- What positions need to be filled?
- Are there gaps in required competencies?

Skills:
- What is the organization known for doing well?
- Do the current employees have the ability to do the job?
- How are skills monitored and assessed?
- What are the strongest skills represented within the organization?
- Are there any skills gaps?
- What is the process for acquiring additional skills or knowledge required for the job?

Structure and Systems: Evaluate the organization's structure, particularly the number of direct reports per leader and the distribution of workload

Our review of the organization's organizational charts and our analysis of multiple comments made across the data collection methodologies shows that some leaders supervise up to 20 or more employees. In many organizations, leaders with a maximum of four to eight direct reports have the time required to build better relationships, provide timely feedback and coaching, and offer meaningful recognition of contributions. Given that the leaders within NVSL and CVB also serve as "working supervisors" who engage in scientific, technically-focused work, reducing the number of direct reports per leader would enable them to communicate more frequently and intentionally with their employees in the ways that build trust and help to move the culture toward its described ideal state.

Workload concerns also emerged during interviews with employees and supervisors. During employee interviews, the issues mentioned were mainly related to the number and type of requests received from supervisors and Section Leaders. During the supervisor/manager interviews, the issues seemed to relate mainly to the number and type of requests received from Section Leaders, Directors, and headquarters. (Note: Riverdale sometimes came up specifically in comments made by respondents, but other times the term headquarters or DC was used interchangeably without any further distinctions.)

We acknowledge that the nature of the work required of NVSL and CVB frequently requires times of peak performance and fast turnaround; that aspect of the work environment is unlikely to change completely. In fact, this dynamic was mentioned by some respondents as a positive, in

that many respondents truly enjoy the challenging, fast-paced nature of the work the organization does. However, some respondents also pointed to a perceived imbalance in workload and an expectation of constant urgency as a barrier to the organization's effectiveness. We recommend that the distribution of workload be included in any assessment of the organization's structure to ensure that the most effective approach is in place.

> ## *Tactic to Assess Organizational Structure*

Activities: Evaluate the various organizational structures that will best serve the organization based on desired culture, workflow, technical expertise, optimal span of control for managers, amount of desired collaboration.

Resource Needs	Time Investment	Potential Level of Support Required	Importance of Link to Other Systems	Potential Impact on Success
Moderate. Involves support from skilled HR professional with background in OD/HPT and involvement by leaders to ensure that the outcome works for those who have the responsibility for supervising others.	High. Takes weeks to plan, discuss and decide; can take days, weeks or months for operations to "smooth out" and start seeing some benefit once changes are made. Leaders and staff alike may realize an immediate benefit if the span of control is reduced.	Moderate. Ongoing communication and partnership with HR will be key.	High. May impact job descriptions, performance evaluations, and other existing practices. Must also align with existing "grade system" to ensure parity and consistency with Federal policies and practices.	High. Also recommend some amount of engagement with staff on this topic so change process is inclusive rather than forced upon them, which would potentially be viewed as "yet another change in course" by management.

Questions we recommend that NVSL and CVB address during this process include:
Structure:
- How is the organization currently structured? Is this optimal, given the organization's mission and day-to-day activities?
- How do the team members organize and align themselves?
- Is decision making and control centralized or decentralized? Is this optimal, given the organization's mission and day-to-day activities?
- Where are the lines of communication, both explicit and implicit?

Systems:
- What are the main systems that run the organization? Are these systems sufficient for the organization to accomplish its mission?
- Where are the controls and how are they monitored and evaluated?
- What internal rules and processes are used to keep on track?

Structure and Systems: Implement the type and amount of human resources support that is critical for momentum

One working hypothesis that was shared with Management Concepts prior to the study relates to the need for additional human capital support at NVSL and CVB. Management Concepts acknowledges that great strides have been made to support the organization through training and other forms of intervention. Management Concepts recommends that in order to maintain momentum, the organization would benefit from additional full-time, onsite human resources support in Ames. As noted earlier, an area of strength for NVSL and CVB leaders currently lies in their technical, scientific knowledge and skills. The fostering and execution of a human capital strategy requires a different knowledge and skill set, however. Adding at least one more employee with this skill set will lend vital support to NVSL and CVB's efforts to move to the Constructive culture described as its ideal.

We recommend that this type of additional human resources support include at least one employee who possesses some measure of organizational development (OD) or human performance technology (HPT) experience. At a minimum, we recommend that the scope of this support include the following:

- Work collaboratively with the management team to create and employ its human capital strategy;

- Support structural changes that foster the Constructive behavioral norms described as ideal;

- Foster career development practices that help leaders prepare and develop future leaders as well as support the development of core professional skills for staff;

- Serve as a coach and consultant to leaders in the organization, providing objective feedback about their individual and collective efforts to foster a Constructive culture; and

- Create a learning and development strategy for leaders and staff that enables career growth that supports both individual and organizational development.

Recommendation #5: Foster employee engagement through an appreciative process that connects to the organization's sense of pride and work ethic.
Interrelationships: Findings #1 and #5; Supplementary Findings #1, #2 and #4

As we noted in Finding #5, employees at NVSL and CVB reported having a high level of pride and a strong work ethic. We see this finding as both a positive and a potential challenge for the organization. High levels of pride and a strong work ethic can fuel engagement at all levels and can help move the culture toward the Constructive state described as its ideal.

Taken to the extreme, however, a culture that is overly focused on task (work) rather than relationships (people) creates an environment that is "always on," or always about accomplishing work, without reasonable effort to achieve balance. This type of work environment often results in expanded workloads, increased stress, greater frequency of mistakes, and a relentless pursuit for completion and competition at all costs. This type of task-oriented culture can also close the organization off to new or more efficient ways of operating as there is little time or room afforded for dialogue, creativity, or innovation. (See OCI® report pages 2-23 through 2-24 for specific behavioral examples.)

Best Practices

Characteristics of high-performing organizations with high levels of employee engagement include:

- Employees are involved in the decisions that affect them;

- Leaders share appreciative as well as constructive performance feedback on a regular basis;

- Meaningful recognition is given for employee accomplishments;

- Leaders recognize that every interaction is an opportunity to foster engagement;

- Individuals are held accountable for their work; and

- Leaders systematically and consistently seek ways to tap into individual strengths.

<div align="center">

Next Steps for NVSL and CVB

</div>

Collaboration: recognize it and reward it in a consistent and transparent way

To build on the strong pride and work ethic of the employees, which are clear strengths of the organization, we recommend that NVSL and CVB consider creating an opportunity for teams to "compete" for internal recognition awards related to best practices that made the biggest difference for customers, colleagues, safety practices, and so on. Management Concepts is not suggesting that these events serve as a way to outperform colleagues, but rather to promote collaboration and celebrate and acknowledge the world-class talent that is such a big part of NVSL and CVB. This type of event would also help to put the focus on practices that benefit the range of customers served by NVSL and CVB rather than on individual achievement alone. This type of appreciative approach would also reinforce the benefits of coming together as a group to achieve results, which is a key component of creating the Constructive culture described as the organization's ideal.

Use Appreciative Inquiry

As part of the context for the study, our team was made aware of recent efforts to introduce Appreciative Inquiry to the leadership group at NVSL and CVB. Appreciative Inquiry is a powerful tool that helps organizations to foster engagement because it is grounded in what is already working well, drawing on the assumption that the system (i.e., the organization and the staff who work there) has positive attributes to leverage. It is a tool that can be utilized one-on-one with individual employees and also with groups, teams, and entire organizations during efforts to implement change.

Used effectively, Appreciative Inquiry[4] helps organizations to:

- Create a common-ground vision and strategy for the future;
- Accelerate organizational learning;
- Create dialogue to foster shared meaning;
- Improve communication;
- Demonstrate positive intent;
- Build trust;
- Build high-performance teams; and
- Facilitate change.

Management Concepts recommends the continued use of Appreciative Inquiry at NVSL and CVB. In particular, we recommend that leaders within NVSL and CVB utilize this approach as they interact with staff while "making rounds" and discussing goals and performance. To be clear, this process involves more than an effort to communicate in a positive way with staff,

---

[4] Cooperrider, David L., Whitney, Diana and Stavros, Jacqueline. *Appreciative Inquiry Handbook*. Bedford Heights: Lakeshore Communications, 2003.

although that is one component. It works best when there is time set aside for private, uninterrupted conversation to occur. Appreciative Inquiry also involves the intentional formation and use of open-ended questions that engage others in the process of discovering possibilities for their individual performance as well as the future growth and direction of the organization. As an example, we recommend leaders use questions such as these with employees:

- I am interested in learning more about you and the sense of purpose you have about your work. What is it about this work that you find most meaningful, challenging, or exciting?

- We have all had "ups and downs" in our careers. As you consider your career and all its high points and perhaps low points, what stands out to you as a memorable high point, a time when you felt most engaged and effective? Tell me about the situation and your contribution to it. How did that experience affect you?

- Imagine I had a conversation with people who know you really well and I asked them to share the three best qualities or capabilities they see in you. What would they say?

- Without being humble, what do you view as the most important qualities or strengths that you bring to our organization?

Summary of Recommendations

Recommendation 1: Address the gap between the current state of the culture and the state described as ideal
♦ Achieve shared understanding and alignment about expected behaviors

Recommendation 2: Conduct a system-wide effort to rebuild trust and a shared sense of accountability within and throughout the organization
♦ Lead by example
♦ Demonstrate transparency
♦ Communicate more often, ask for feedback regularly
♦ Make effective performance management a core expectation and practice
♦ Balance focus on people as well as task
♦ Engage multiple stakeholders in the introspective process of building relationships

Recommendation 3: Increase the capability of NVSL and CVB leaders in the short-term and as part of a longer-term leadership and management development strategy
♦ Strike a balance between a participative and authoritative style
♦ Ground leadership development in the mission and shared values
♦ Align leadership development strategy with the organization's human capital strategy
♦ Give leaders a role in developing leadership talent

Recommendation 4: Assess organizational barriers such as organizational structure and current employee and management workloads that could prevent a successful shift to the described ideal culture
♦ Adopt a clear human capital strategy
♦ Evaluate the organization's structure, particularly the number of direct reports per leader and the distribution of workload
♦ Obtain the type of human resources support that is critical for momentum

Recommendation 5: Foster employee engagement through an appreciative process that connects to the organization's sense of pride and work ethic
♦ Collaboration: recognize it and reward it in a consistent and transparent way
♦ Use Appreciative Inquiry

This page is intentionally blank.

5. *NEXT STEPS*

There is often a desire to make sense of the data and begin planning for what needs to change after conducting an organizational assessment of this nature including an inherent sense of urgency now that the "final report" is completed. In Management Concepts' view, however, these findings and recommendations are anything but final; rather they are a starting place for discussion and action within the organization. Taking time to explore the findings and recommendations means involving employees, at all levels of the organization, in that process as well. Management Concepts would like offer the following final thoughts for moving forward:

Given the high participation rate and the themes presented, it is evident that employees feel compelled to contribute and be a part of the larger effort to ensure NVSL and CVB are successful, mission- and people-oriented organizations that serve the people of the United States and the rest of the world. They have invested their time, energy, and thoughts into providing their perspectives.

Given the state of trust within NVSL and CVB, the way in which the results of this study are communicated is extremely important. How the results are communicated is, for all intents and purpose, the first opportunity to start to rebuild trust. Considering the current state of trust, Management Concepts recommends sharing the final report in its entirety. Sharing a "filtered" version will only further perpetuate distrust. From our experience, in healthy cultures all employees accept responsibility for their current culture and for creating the ideal culture.

While trust can be built quickly, forcing the development of trust or accountability can also have adverse effects, particularly when it comes to building a sense of compliance rather than commitment. The appearance of accountability can sometimes mask what is simply compliance. Compliance, or the appearance of it, often comes from fear of consequences—an extrinsic factor—rather than an intrinsic motivation to contribute, collaborate, and do what is best for the organization's success.

It is our belief that for maximum success, the distribution of this report must be coupled with in-person visits from leadership at all levels of the organization. A dialogue that seeks to minimize assumptions, inferences, and resistance, and instead seeks to better understand the current situation and how all members of the culture can move forward together, is an important next step.

Given the complexity of the cultural and management issues and challenges at hand, the systems-oriented work that is required is going to take some time. Therefore, rather than move into "emergency management mode," which we recognize is a easy process to fall into given Veterinary Services' role as an emergency response unit, Management Concepts recommends that VS, NVSL, and CVB leaders take time to make sense of the data and the report, discuss it with leaders, managers, and employees at all levels, and co-develop a long-term strategy with priorities and ownership at all levels of the organization.

Management Concepts believes that there is enough data between this report and the other studies previously conducted to start taking substantive action. While it is a positive step to invite input from multiple levels of the organization, continued requests for anonymous feedback also promote feelings opposite of trust, transparency, collaboration and open communication. The feelings and perceptions that can occur from over-analysis may have unintended consequences, such as a lack of confidence, too many action items to make sense of, feelings of low value, decreased cultural anxiety, and disengagement.

Management Concepts believes that the employees at all levels of NVSL and CVB have strengths to leverage for success, as does the culture and management team. At the same time, it is evident that the current culture and approach to management and leadership at NVSL and CVB lacks alignment with the desired culture of the organization. On behalf of our entire team, we wish the organization success in the effort to create its ideal culture.

Veterinary Services' NVSL and CVB

Management and Culture Review

FINAL REPORT
Volume 2 – Appendix
May 15, 2009

MANAGEMENTCONCEPTS

This page is intentionally blank.

TABLE OF CONTENTS

This page is intentionally blank.

1. INTRODUCTION TO APPENDIX

The Appendix contains documents created and data collected during the NVSL and CVB Management and Culture Review undertaken by Management Concepts from January to May, 2009. Herein are the following documents:

Document	Description
Introduction to Management Concepts and the Project Team	This document provides a brief description of Management Concepts and short biographies of the assessment team members for this project.
Critical Concepts and Frameworks	This educational and introductory document explains a handful of key concepts and frameworks which are foundational for studying and leading organizational culture.
Description of the Data Collection Approach and Methodologies	This document articulates the methods used to collect data for this assessment along with the rationale and strategy behind the selection of these methodologies.
Data Collection Instruments	This document contains the data collection instruments used during the study, with the exception of the OCI® survey as its contents are proprietary to Human Synergistics.
Description of the Data Analysis Approach	This document provides a brief narrative describing how Management Concepts' assessment team analyzed the various pieces of data.
Organizational Culture Inventory®	The Organizational Culture Inventory® (OCI®) report articulates the current state of culture and the ideal state of culture, as well as provides a detailed analysis of the cultures of NVSL and CVB.
Open-Ended Survey Data	This document contains a summarization of the data received as part of the open-ended survey completed by employees.
Supervisor/Manager and Employee Interview Themes	This document provides an overview of the themes expressed in the manager and employee interviews.
Documents Reviewed	This list encompasses the titles of documents provided to Management Concepts' assessment team as part of the study.
Management Concepts' Contact Information	This document provides the contact information for Management Concepts' project manager for this contract.

This page is intentionally blank.

2. INTRODUCTION TO MANAGEMENT CONCEPTS

Management Concepts has a long-standing history of effective partnership with federal clients. Founded in 1973, Management Concepts has been serving the federal sector for over 35 years. With its headquarters in Vienna, VA, and a facility in downtown Washington, D.C., Management Concepts employs over 175 full-time employees and over 250 independent contractors. The primary focus of our work is in three areas: consulting, training, and publishing. We also offer a range of services that includes executive coaching, facilitation, and assessments.

For this contract, Management Concepts selected key members from its Assessment Practice and its Leadership and Management Practice to complete the management and culture review for Veterinary Services' NVSL and CVB. The following individuals are members of the assessment team who worked on this project:

Dr. Shelley Kirkpatrick, Senior Assessment Consultant
As an assessment professional with over 20 years of experience in conducting individual and organizational assessments, Dr. Kirkpatrick led the development of the assessment methodology. She also served as a project team member involved in data collection, analysis, and report writing.

Mr. Casey Wilson, Senior Learning and Development Consultant
As a seasoned Learning and Organizational Development Consultant and the Practice Lead for Management Concepts Leadership and Professional Skills practices, Mr. Wilson supported the primary assessment team by contributing to targeted data collection, particularly during onsite visits. Additionally, he contributed to data analysis and identifying appropriate, customized organizational recommendations.

Ms. Selena Rezvani, Assessment Consultant
Ms. Rezvani brought to the project consulting skills in a wide array of organizational change and workforce development issues. In her project capacity as Assessment Consultant, Ms. Rezvani leveraged her experience in employee opinion surveys, 360º assessments, executive interviews, focus group facilitation, leadership workshops, and customized survey assessments. Ms. Rezvani interviewed executives as part of the context setting interviews and provided input into customization of the open-ended survey. Her work will help NVSL and CVB to identify critical gaps affecting its organizational, individual, and team performance.

Ms. Robin Sparks, Lead Learning and Development Consultant

Ms. Sparks brings 20+ years of business experience to her work as a consultant, executive coach, and project manager on organizational performance initiatives with an emphasis on employee engagement, performance, and development. She supported our assessment experts in collecting and analyzing data by conducting manager and employee interviews and other data collection tasks. She also drew from her expertise in organizational development, leadership development, and performance management to contribute toward our recommendations for NVSL and CVB.

Mr. Mark Leheney, Senior Assessment Consultant

Mr. Leheney has more than 10 years experience in leadership development, coaching, and training, including technical, product, teams and management training, across the U.S., Europe and Asia. His work has included customer-driven offerings created through needs assessment, design, development, delivery, and evaluation. As a coach, Mark has worked with individuals, supervisors, and managers to understand 360-degree performance assessment results and address leadership and management challenges. Mark conducted manager and employee interviews and provided critical analysis of all collected data for this project.

Ms. Susan Goughnour, Assessment Coordinator

Ms. Goughnour brings over 25 years of professional experience to this project. She was responsible for the delivery of the open-ended survey and supported the administration of the OCI survey. Susan also assisted in the data collection and reporting process.

Ms. Tanya Griffey, Project Manager

Ms. Griffey is a PMI® certified Project Management Professional with over seven years of project management experience in the consulting field. For this project Ms. Griffey provided all of the project administration including monitoring contract requirements, schedule, budget, and deliverables.

3. CRITICAL CONCEPTS AND FRAMEWORKS

As a practice of working with clients, Management Concepts aims to ensure there is a shared understanding of the key concepts and frameworks that serve as the underpinnings of its recommendations. Sharing these concepts and frameworks is important to avoid misunderstandings and ensure all readers move forward with a collective understanding. In the case of this cultural and management review, Management Concepts believes being grounded in some key facets of leadership, culture, and systemic solutions will help in preparation for understanding and acting on the recommendations with the report.

In this section we define culture and discuss the strategic leadership necessary to lead transformative change efforts. It is important to ensure a shared definition of culture due to the depth and scope of issues and challenges surfaced in the report and in order to help readers understand connecting points between how culture is defined and how it is practiced at NVSL and CVB. Additionally, Management Concepts aims to share insight into systems thinking and its implications on organizational change. Also, we would like to share information about Organizational Development (OD) and Human Performance Technology (HPT), the mental models and frameworks our recommendations are grounded in.

These four concepts are interrelated and offer four distinct frameworks:
- Three Levels of Culture;
- Strategic Leadership;
- Systems Thinking; and
- Organizational Development and Human Performance Technology.

Reviewing the recommendations through these different frameworks is important in order to more effectively understand the cultures of NVSL and CVB. It is through dissecting each lens and then revisiting it as a whole that executives, leaders, managers, and employees within NVSL and CVB can begin to understand the organizational culture and lead a cultural transformation as desired.

Defining Culture

The concept of culture can be defined in many ways and from many angles and perspectives. To ensure we have a shared understanding of culture, Management Concepts is working from the following definition:

> *"A pattern of shared basic assumptions that the group learned 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 these problems.[1]"*

---

[1] Schein, Edgar. *Organizational Culture and Leadership, 3rd Edition.* San Francisco: Jossey-Bass, 2004.

This definition suggests that culture is created based on a need to solve and adapt to a problematic situation and, at the same time, recognizes that internally the group must integrate as well. In the case of NVSL and CVB, as well as in many organizations, one "problem" to be solved is how to accomplish the mission of the organization.

Culture is also not one dimensional. Culture has three levels that explain the visible and not-so-visible elements of organizational culture.

Levels of Culture

Each of these three levels helps us understand culture and, in many cases, what the "actual" culture believes and values (Figure 1.1).
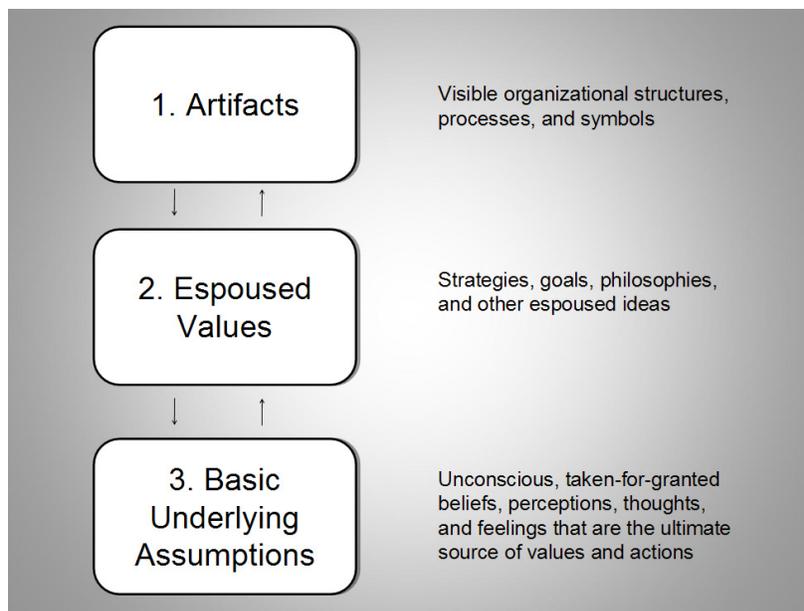
Figure 1.1

Level 1: Artifacts

The first level, which is the surface level, consists of artifacts and symbols that an organization uses to identify itself. Symbols such as logos, pictures, and images, types of clothing (such as a uniform), and stories all play into what others use as they try to make meaning of what an organization stands for.

In many organizations, artifacts and symbols have meaning to those who understand what the artifact or symbol means; however, outside of the organization other people may not be able to decipher or fully understand what the symbol or artifact is.

Artifacts and symbols play a very significant role in the identity of members of a culture. In the broadest sense, artifacts and symbols play a role in peoples' lives because they allow them to make meaning of life and history.

Given life's ambiguity and perceived workplace chaos, employees turn to symbols and artifacts to resolve confusion, make sense of events, gain direction and hope, and feel a sense of comfort. Both artifacts and symbols are important to organizations because they express history, such as past decisions and events. Artifacts also serve to help new people acculturate as they are able to make meaning of organizational history.

> Examples of organizational artifacts and symbols include:
> - The new building that NVSL and CVB will move into is a representative symbol of collaboration
> - Photos of NVSL and CVB's leader(s) in its lobbies are also symbols
> - The crests and logos of Veterinary Services, APHIS, and USDA are artifacts

Level 2: Espoused Values

The second level of culture is the organization's espoused values. Espoused implies what the organization claims it is willing to support or adopt. For example, an organization may say, "We put our customers first." This is an espoused or stated value. Other ideas include stated goals, strategies, philosophies, perspectives, and approaches. An organization espouses something when a message is shared as an identifier or rallying point for individuals.

Whether an organization lives up to its espoused values is a different story. Often organizations will say they have a set of values, goals, or strategies, yet the people within the organization—including its leaders—behave in a way that is different from the espoused value.

One example of this would be a common leadership that says, "People are our number one resource." The espoused value is that people are the number one resource. However, the organization may not treat people as if they were the number one resource.

The dissonance and incongruence between espoused values and values-in-use can create frustration, anxiety, distrust, as well as disengagement.

An example of an espoused value at NVSL and CVB can be found on the Veterinary Services website:
- "We accomplish our mission and move toward our vision with progressive, shared leadership and effective communication with our customers and stakeholders. We are a diverse workforce with a commitment to continuous improvement in our scientific and technical capacity, while fostering close partnerships with our customers, both inside and outside APHIS. We are an action-oriented organization that provides information as a key product. We recognize that continual learning and balancing professional, personal, and community responsibilities are critical to success."

Level 3: Basic Underlying Assumptions and Values

The third level of culture, *the actual culture,* is formed by the basic underlying assumptions that people of a given culture hold. Basic underlying assumptions are the actual thoughts, values, assumptions, and perspectives that drive behaviors that people within an organization consistently demonstrate, often to the point where they take these behaviors and actions for granted. These basic assumptions speak to what is truly most important to individuals. It is the behaviors—"the way things are around here" and what the people of a culture actually do—that illustrates the true culture.

Additionally, this level contains peoples' personal values, preferences, and approaches. Because personal values, preference, and approaches are what most frequently guide individuals' behaviors, it is important to note that what an organization states as espoused values may actually differ from its employees' personal values.

In this level, unconscious assumptions also guide behaviors. Unconscious assumptions are those that guide peoples' behavior even when they do not realize it. These assumptions can include beliefs that were socially learned (such as the way to treat others in the workplace), that contain a worldview (such as a philosophy), and that are cultural (such as "the American way"). These assumptions, values, beliefs, and cultural components are often so deeply embedded in a culture's identity, management rarely sees them.

To fully appreciate a group's culture, particularly its espoused values and strategies, one must seek to better understand the group's basic underlying assumptions and values that drive the actual behavior.

> - Examples of underlying values and assumptions at work within NVSL and CVB can be found by reading the verbatim comments from the open-ended survey results and the interviews.

Leaders must be willing to influence and work on all three levels of the cultures of Veterinary Services' NVSL and CVB, collectively and respectively. To do otherwise does not take into account the deeply held values and beliefs that are driving the behaviors prevalent in the culture. To change or evolve a culture in a thoughtful and strategic way requires the ability to lead transformative change through strategic leadership.

One facet of understanding culture is to recognize that organizations are comprised of various systems. Therefore, to work within a system leaders must engage in the practice of systems thinking. The next section focuses on what it means to use systems thinking within an organization and when leading an organization cultural change effort.

Systems Thinking

A system is a connected set of elements which have an interrelationship and operate toward a common purpose. Systems are dynamic in that they have interdependencies among the elements.

> Examples of systems include:
> - Biological systems
> - Auto engines
> - Atmospheres
> - Communities
> - Organizations

Systems thinking, particularly within organizations, allows for individuals to think about the different components that make up an organization and their relationships and interrelationships with each other. When an action is taken within one part of the system, it has an effect (either intended or often unintended) on another part of the system. In systems thinking:

- There are no right answers, only high and low-leverage actions and their implications and affects.

- Whole systems can be viewed as parts but also need to be viewed as whole systems to truly understand their workings.

- Cause and effect are not necessarily going to be related in terms of timeliness and space.

- Time delays within systems are inevitable as on-paper solutions and the length of time it takes to affect change are not easily predicted.

- Systems can include beliefs and value systems, such as cultures, which are often invisible but can be the highest leverage points for change.

- Working within the system will often cause things to get worse before they get better due to the exposure of deeply held values, beliefs, processes, structures, and other elements.

Why is Systems Thinking Important?

Systems thinking is critical in a management and cultural review because there is a need to identify and discuss both visible and invisible elements within the organization as a system. By exploring the issues and challenges from a systems-view and through systems-thinking, more holistic comprehensive solutions, rather than "band-aids," can be applied to the issues and challenges surfaced. Additionally, systems thinking serves as the basis for the recommendations in this report in that there are connecting points and interrelationships between the recommendations.

In using systems thinking, we intend to move beyond symptoms and seek to uncover deep-seated, systemic challenges. This includes identifying the interrelationship between existing issues and challenges. These interrelationships are critical because if progress is made in one element of the system it will have an impact on other elements of the system.

Consider the following example of systems thinking:

There is a high demand for workplace training within an organization. To meet this demand, one might suggest simply providing more training. However, there are various implications. The training costs money, requiring financial resources (a loop exists to the finances). With a more talented workforce, there may be an implicit assumption of higher value to the organization, thus an expectation for higher compensation, an often unintended consequence. Additionally, consider management's role in supporting the training. If management is not aware of the training, nor has the skills to support the training, the learning may not be reinforced or employees may not be held accountable for applying their learning.

This is just one example where a decision in one part of the system can lead to unintended consequences (e.g. ripple effects) to other parts of the system.

In conducting a management and culture review, Management Concepts approaches its recommendations with a systems-oriented viewpoint. Two approaches within the practice of consulting include an Organizational Development (OD) approach and a Human Performance Technology (HPT) approach. To illustrate the systemic challenges, Management Concepts has provided a number of concept maps that illustrate the relationships and interrelationships of some of the findings.

The next section illustrates how systems thinking is applied to organizations and employee performance.

An Organizational Development and Human Performance Technology Approach

In conducting its work, Management Concepts uses a handful of disciplines to provide its clients with comprehensive and credible industry-appropriate solutions. These solutions are grounded in the practices and disciplines of organizational development (OD) and human performance technology (HPT).

Organizational development is a body of knowledge and practice that enhances organizational performance and individual development, viewing the organization as a complex system of systems that exist within a larger system, each of which has its own attributes and degrees of alignment.[2]

The core principles associated with organizational development are:

- People as human beings and human-designed systems are interrelated.

- Participation and involvement by all stakeholders is paramount to successful change because they create value and connection for people.

- Transparency, integrity, and intentional communication build trust, a necessary element to effectively foster effective change.

- All stakeholders as individuals have valuable perspectives and deserve respect.

- Collaboration and empowerment are foundational for working within systems.

- Effective OD practices help enable individuals, teams, organizations, and other interrelated groups find their own solutions.

---

[2] Matt Minhan. MM & Associates. *What is Organization Development?* http:// www.odnetwork.org.

OD practitioners and consultants working with these backgrounds frequently explore and examine strategic plans, organization design, leadership and management development, change management, performance management, coaching, diversity, and work/life balance.

Human performance technology is a systematic combination of three fundamental processes: performance analysis, cause analysis, and intervention selection. HPT utilizes an analysis of present and desired levels of performance, identifies the causes of performance issues, and provides a variety of solutions aimed at improving performance and supporting change. To enable change, HPT solutions may focus on:

- Humans: the individuals and groups that make up our organizations;

- Performance: activities and measurable outcomes; and

- Technology: a systematic and systemic approach to solve practical problems.

In simple terms, HPT uses systems thinking to determine which barriers exist to successful performance and then works to remove those barriers to support or enable performance.

The core principles associated with HPT include:

- A focus on outcomes and results;

- Using a systems-thinking perspective;

- Being systematic in planning; and

- Adding value in many ways and on many levels.

Practitioners and consultants working with a background in HPT frequently explore:

- A shared sense of purpose or mission;

- Organizational design and organizational systems;

- Rewards and motivations;

- Helpful performance mechanisms;

- Relationships; and

- Leadership and management.

The reason these frameworks are important to be aware of is that these are explored as individual leverage points within the organization, as well as from a systems thinking perspective to better understand the interrelationship between issues, challenges, and barriers so that we made recommendations that were effective in how they affected the whole system. In many instances, the recommendations are aimed at addressing multiple findings, having positive, systemic ripple effects.

If leaders and managers do not adopt a systems thinking and OD/HPT viewpoint to the issues and challenges facing NVSL and CVB, there is a significant risk that symptoms will be addressed rather than root causes and that interventions will fail because of a failure to address issues more holistically and comprehensively. While addressing any issues from a systemic perspective is challenging and can lead to the discovery of new and challenging information, it is imperative to surface the most deeply rooted issues and build (or re-build) on solid ground.

Leading Transformative Change through Strategic Leadership

Leading transformative change can be one of the most challenging parts of leadership. There is not a "one size fits all" approach, nor is there a linear process that works for every occasion. Rather, there are a set of practices and principles that when embraced and adopted can mitigate the challenges associated with leading transformative change and actually engage those involved with the change effort in a way that embodies the innovative, collaborative, and humanistic environment most cultures espouse as being valuable.

To lead a transformative change effort with these values requires strategic and intentional leadership. Consider for a moment the difference between tactical leadership and strategic leadership. Tactical leadership focuses on detailed tasks and processes and checking "boxes" on a to-do list. It is often not as messy, as there are tried and true, easy-to-use processes and approaches. Strategic leadership seeks to steer the ship in the right direction, making course corrections to ensure the ship stays the most advantageous route. Sometimes the captain of the ship steers into a storm, knowing that despite the challenges ahead, it is the best course to take in order to reach the desired destination.

Strategic leadership, particularly in the realm of leading cultural change efforts, requires leaders to:

- Understand and seek to align both quick and long-term wins;

- Foster engagement by balancing technical and people perspectives;

- Identify, reframe, and work through resistance; and

- Demonstrate constant adaptability and patience.

While there are certainly other facets to leading cultural change, these are important in the context of the work that NVSL and CVB aim to undertake.

Understand and Seek to Align both Quick and Long-Term Wins

When leading a change effort, it is easy to want to pick the "quick hit" items that can be "checked" on a box. It is important to understand that all actions a leader takes are connected, having both intended and sometimes unintended consequences.

Strategic leadership is about creating a long-term vision and plan that facilitates long-term wins, but also recognizes the need to gain short-term, tactical wins. The key for effectively leading through change efforts is to align these efforts to ensure they build on each other and gain momentum. Rather than treat each "intervention" as a stand-alone act, recognize and intentionally seek to build on and extend wins.

Fostering Engagement: Balancing the Technical and People Perspectives

One very important facet of leading change efforts is to balance the technical and people-oriented practices when engaging in the change effort. For many leaders and managers it is easier to create a communication plan than it is to actually communicate. Or, sometimes change efforts lead to initiatives and projects that become "check lists" without thought or regard to how people feel and think about what is happening. Therefore, to balance the technical and people-perspectives, leaders must be engaging.

> Examples of employees being engaged include:
> - Employees feeling connected to their supervisors and their colleagues.
> - Employees giving their discretionary effort every day, consistently.
> - Managers creating situations where employees, management, and the organization at large can "win"

When leading change efforts, leaders must strategically consider how they want to involve and engage employees. In an effort to foster buy-in, demonstrate care for others' perspectives, and role model a sense of shared commitment, leaders and managers at all levels of the organization must intentionally and thoughtfully engage others in the change process.

When a culture is overtly technical, this can be a challenge. Therefore, having an intentional engagement and people-strategy can help balance out the technical and people-oriented actions. This strategy should allow for leaders to share their thoughts and feelings about change while also expressing a vision for the outcomes associated with the change effort. The most successful leaders know how they "show up" and are perceived by others. They seek to be authentic while also seeking to understand others' perspectives and ideas. Sharing this perspective creates credibility and trust as well as role models. This helps employees believe that it is acceptable to

find change difficult. A culture becomes more adaptable to the evolution process when interpersonal engagement and a strategy to help others through change and transition are created.

Without this intentional people-centric perspective, employees may demonstrate even greater resistance or dismiss change efforts while holding onto the past very tightly. Because culture is made up of the underlying values and beliefs of all of the cultures' members, it is imperative that each person within the organization understand they play a role in the culture, for better or worse. In the case of NVSL and CVB, this means that all employees, which includes managers at all levels, contributed to the current culture and at the same time, have the responsibility to engage in the process of changing it if they have espoused a different ideal state. The true culture will not change unless employees at all level and throughout the organizations are engaged in evolving the culture.

Identifying, Reframing, and Working through Resistance

Many people experience change in a negative way, thus we have been trained to resist change. Subsequently, leaders have been conditioned to brace for resistance by employees. When employees speak up, ask questions, or present various viewpoints, it is deemed as a resistance that leaders must "deal with." Interestingly, leaders themselves, when having change pushed upon them, often find it hard to be the one who is responsible for advocating for various perspectives and ideas. When the roles are reversed, leaders need to pay even more attention to their tendencies and biases towards change and their willingness to listen to and work with others.

> Examples that are perceived as resistance include:
> - When individuals speak up in disagreement to an idea.
> - When participants sit in silence rather than engage in the process.

In these situations, leaders and managers need to mitigate their desire to be "correct" as well as what may seem like desires to isolate the perspectives of people who seem to resist. Trying to isolate or mitigate resistors has time and time again been found to achieve less than desirable results. Rather than put up barriers and make the situation about "right and wrong," leaders need to seek to understand the concerns of employees by listening deeply. Rather than judge ideas or perspective, leaders need to reframe their perspective from being "right" to "understanding" the concerns. This takes a sense of humility, an understanding that there is more than one way to reach the desired goals, and a fundamental belief that employees can find ways to solve their own problems when empowered to do so.

Reframing what is perceived as resistance to see it as a form of caring by employees is a powerful paradigm shift that the most successful leaders have found to be helpful. After all,

when a leader speaks up or out against something he or she does so because he or she believes it is in the best interests of the organization. Leaders must consider that the same holds true for others. To think otherwise is positioning a leader to foster disengagement among employees. Rather than buy-in, employees may merely comply or may become actively disengaged. It is only after employees feel as though they have been heard will they be in a position to "buy-in" and engage in the change process.

Beyond listening deeply and inviting others' perspectives with genuine intent, leaders leading large transformation efforts communicate frequently, focus on returning to the purpose of the work, demonstrate flexibility, and honor the past while expressing a vision for the future. *How* leaders and managers engage employees is often as important, if not more important, than *what* the change effort entails.

Demonstrate Constant Adaptability and Patience

When leading change efforts leaders must be adaptable to the ever-changing situations they will undoubtedly encounter. Even the best laid change plans require monitoring and continual adaptation. Therefore, entering into the change effort with the expectation that things will change – sometimes for the better and sometimes for the worse – is an important way of learning to adapt.

From experience, Management Concepts recognizes that leading change efforts requires significant patience. If change were only a cognitive process, it might be easier; however, due to the fact that it involves feelings, values, and fundamental belief systems, change can be extremely challenging for some people and can take a long time. Developing and demonstrating patience and tenacity is paramount for success.

4. *DATA COLLECTION APPROACH*

Management Concepts intentionally selected a core set of targeted methodologies designed to surface the most relevant data from the culture and management review. The goal of using a multi-pronged approach to data collection is to:

- Offer APHIS employees multiple opportunities for sharing their perspectives and views; and

- Ensure reliable and accurate conclusions are drawn from the data.

The methodologies were selected to meet the following technical goals of the review:

- **Internal validity** concerns the degree to which the method accurately and objectively depicts the situation at the worksite. By using interviews and an Open-ended survey, we attempt to understand the NVSL/CVB culture from the staff (i.e., employee, supervisor) perspective. The use of multiple methodologies ensures that we obtain a clear understanding of how the culture is experienced. Comparing results across the methodologies ensures that our conclusions are reliable or consistent.

- **External validity** relates to how the results can be generalized with respect to units, worksites, and organizational characteristics. Although we are not examining other APHIS sites beyond NVSL and CVB, some of our findings and recommendations could generalize, or be applicable, to other APHIS sites. In order to generalize any findings from this review, additional data would need to be collected to determine the similarity between NVSL/CVB and other sites. The OCI® is a normed survey and its results can be compared to a benchmark sample of organizations.

- **Methodological** soundness concerns the degree that independent reviewers agree with the findings. Interviews were conducted using an interview protocol in a semi-structured format to ensure consistency in questions asked while allowing probing and follow-up into areas of interest. By employing a team-based approach to collecting and analyzing data, we ensure that our findings are reliable and sound. Each interviewer analyzed their own interview notes before the team met to create a final set of interview themes. By identifying themes, we look for perceptions that are shared across respondents. Similarly, at least two team members review the Open-ended survey responses to ensure that the themes derived accurately represent the responses received. The OCI® relies on a standard scoring and measurement approach that ensures highly reliable conclusions can be drawn from the results.

- **Transparency** concerns the degree to which all employee stakeholders and decision-makers involved in the assessment and review understand the basis of the report's findings and recommendations. Using methodologies that are proven and sound helps to ensure stakeholder understanding in how the findings were obtained. We have worked collaboratively with our APHIS project leaders to develop interview protocols and survey questions that best meet the goals of the review.

Like any series of methodologies, each has distinct advantages and a small amount of risk. Balancing the advantages and risks of each approach creates a stronger study. By selecting a variety of methodologies, we aim to uncover and understand a variety of cultural norms and mitigate any risks associated with each of the individual methodologies. One such risk is our ability to collect the most accurate data given the level of trust the participants are willing to extend to an outside, third-party organization.

Another overarching risk factor of the study involves working within such a short time frame to understand something as complex as organizational culture. Arriving at a complete understanding of any organizational culture within a relatively short timeframe is often impossible. We view this assessment as a first step in helping APHIS and USDA leadership understand the NVSL and CVB culture in Ames. We believe an ongoing effort is needed if the longer-term goal is to understand and facilitate change within the culture.

Finally, a significant risk associated with organizational development work, especially around culture, is the resistance of "being changed." From our experience, when participants are asked to self-reflect on their strengths and limitations, there are often blind spots in terms of their awareness. Additionally, participants in these studies may not want to share or expose the ineffective elements of their culture for fear of a loss of status, fear of losing one's job, and an overall perception that change is difficult and unnecessary. When being "studied," participants can provide stiff resistance to the notion they have an unhealthy culture or that there are important elements of the culture that need to change in order to be more successful.

This resistance can appear in many ways. For example, some participants in a study may suddenly decline to be involved, or may cancel meetings or other appointments without notice. Others may appear unusually engaged by repeatedly asking for more details or by volunteering large amounts of additional details themselves; some may press for immediate recommendations or even alternative courses of study whether there is data to support a new course of study or not. Still others may demonstrate their resistance through silence or through critique of the data or the methodology being used to conduct the study.

Whatever form the resistance takes, there are multiple ways to deal with resistance effectively. First, it is important to recognize that it is a natural and somewhat predictable part of the process. Taking time to acknowledge this up front can help project stakeholders to "normalize" resistance and prepare for it with confidence. Next, an effective way of opening up dialogue is by "naming" the form of resistance without blaming the person who is demonstrating it. Finally, in addition to remaining neutral in both tone and body language, it is often necessary to just listen while the person demonstrating resistance has their say. Resistance is often a sign that you have called attention to something very important. By listening deeply, you can provide the necessary space for that important issue to surface.

Description of Methodologies

Management Concepts has taken a multi-pronged approach to collecting data for this study. These include:

- Context setting with APHIS, NVSL, and CVB;

- Manager Interviews;

- Open-ended Survey;

- The OCI® Current State survey;

- The OCI® Ideal State survey; and

- Employee Interviews.

As data collection from these methodologies was completed, data was analyzed and captured within the final report.

Methodology	Description	Advantage	Risk
Context Setting with APHIS, NVSL, and CVB	To facilitate context setting, Management Concepts interviewed members of the APHIS executive team. We also conducted thorough reviews of key documents we were provided with by USDA and APHIS staff.	Opportunity to further understand the context the organization has been operating in without anchoring on any one aspect.	Low.
Manager Interviews	Management Concepts selected interviews with managers as a key methodology for gathering information about the culture and management at the APHIS facility in Ames, IA. Each manager of NVSL and CVB was interviewed using this process.	Semi-structured interview protocol lends consistency while allowing the interviewer to check for understanding and ask follow-up questions. Allowed the interviewer to explore unforeseen topics and issues considered relevant from the interviewee's unique perspective.	Low. While this methodology is subjective and requires interpretation from the interviewer, we designed a structured interview protocol to ensure consistency as noted. We also used a coding system to capture consistent themes and patterns that emerged during the interviews.

Methodology	Description	Advantage	Risk
Employee Interviews	Similar to the manager interviews, we used a structured interview process.	Same as the Manager interviews.	Low. Although one risk to this methodology relates to sample size. Management Concepts interviewed approximately 10% of the population to gain adequate input for purposes of supplementing the data set.
Customized, Open-ended Survey	Management Concepts selected a customized, anonymous, Open-ended survey as an effective methodology for use in a work environment that has demonstrated a low level of trust.	Allows APHIS to gather input via a neutral third party and allows Management Concepts to address specific, unique questions. Ensures that every employee has an opportunity to share his or her perspective in their own words.	Low. While there is often some level of bias in Open-ended surveys, Management Concepts sought to provide general, Open-ended questions that mitigate bias and provide employees significant space to offer their perspectives. Similar to the interview process, a coding system was used to extract themes from the responses of the survey.

Methodology	Description	Advantage	Risk
Organizational Culture Inventory® [OCI®]	Management Concepts selected an off-the-shelf assessment called the Organizational Culture Inventory®, also known as the OCI®. The OCI® uses two different assessments, an ideal state of culture, and the current state of culture. For APHIS, we asked the managers to take the assessment to espouse the ideal state of culture, and all employees at NVSL and CVB to document the current state. The resulting report illustrates potential gaps between the desired culture and the actual culture.	Bolsters the reliability of the study while also meeting time demands. This assessment is standardized, normed, reliable, and valid. Focuses on norms and expected behaviors, rather than general employee attitudes. Facilitates the development of a roadmap for rewarding compliance with and minimizing noncompliance with ideal cultural norms.	Low. Human Synergistic does not release the raw data from the OCI® survey. The report will be shared in its entirety in the final report. Management Concepts will also review the survey results and incorporate them as another data set within the overall study.

This page is intentionally blank.

5. DATA COLLECTION INSTRUMENTS

Supervisor/Manager Interview Protocol

1) As someone who is not very familiar with what it's like to work at NVSL or CVB, tell me about what it is like to work here.

2) Are there cultural norms and/or behaviors in NVSL and CVB that you think would be useful for us to know about?

3) What needs to change to make this a better organization and a better place to work? What do you recommend that APHIS and USDA senior management do?

4) Are there factors (e.g., management, teamwork, professional ethics, values) that you would like to see more emphasis or less emphasis on and what would those be?

5) As you know, the Ames Campus has been in the news recently, how has this affected the work environment?

6) Do you have any additional thoughts?

Employee Interview Protocol

1) We know there are challenges at CVB/NVSL. From your perspective, what are the biggest problems in this organization?

2) How have these problems impacted you?

3) What three words or phrases would you use to describe common patterns of behavior here?

4) What do you like about working here?

5) What, if anything, has happened that's broken trust?

6) Follow-up: What needs to happen in order to foster more trust at CVB/NVSL?

7) What would you like to see/hear less of from management? What would you like to see/hear more of from management?

8) Follow-up: Is this different for supervisors versus senior management?

9) What changes would you like to see APHIS make a priority?

10) What would you like to see happen as a result of the study?

11) At the end of this study, Management Concepts will prepare a report of its findings. Is there anything else that you would like APHIS executives to know?

Open-Ended Survey for Management and Cultural Review

As you know, a management and cultural review of NVSL and CVB is currently underway. This survey is part of that review, which is aimed at understanding your views on what it's like to work at NVSL and CVB. Try to be as detailed as possible when describing your views and experiences.

Your responses to this survey are anonymous. Based on the survey results as well as results of interviews that we are conducting, we will prepare a summary report to management. In that report, we may provide anonymous quotes that have identifying information removed (mentions of names, job titles, and so on) to help illustrate the findings.

The survey should take 30-40 minutes. **Please complete the survey in one sitting. Once you submit your responses, you will not be able to go back and edit them.**

1. Where do you currently work?

    a. NVSL

    b. CVB

    c. Other (specify):

2. How long have you worked there?

    a. Less than 1 year

    b. 1-4 years

    c. 5-9 years

    d. 10 or more years

    e. Other (specify:)

3. Please describe what it's like to work at NVSL or CVB, including the best and worst parts about working there.

4. Factors that often influence behavior in an organization include communication patterns, organizational structure, managerial and leadership style, accepted norms, and professional ethics. Which of these factors (or other factors) have a significant impact on your work environment? Please explain.

5. Are there cultural norms, behaviors, or practices in NVSL or CVB that are unique? Please explain.

6. As you know, the Ames Campus has been in the news recently. How has this affected your work environment?

7. Describe the most important changes that you think need to occur at NVSL or CVB and why?

8. Are there any other comments that you want to add about your workplace or work environment?

This page is intentionally blank.

6. DATA ANALYSIS APPROACH

Management Concepts' approach to analysis for the manager, employee, and Open-ended survey assessments is to analyze and extract themes from the data collected. We employed the following approach to data analysis:

- Two or more analysts independently identify themes by "coding" responses;

- Analysts meet to reconcile the themes and create a unified set of themes;

- Each response is reviewed a second time to review themes;

- A frequency count of each theme is created; and

- Final theme wording and descriptions are created to ensure that it accurately describes the theme.

The OCI® Current State and Ideal State of culture are assessed by Human Synergistics, the founder of the OCI® instruments. Their analysis will result in a report that illustrates:

- Current and ideal states as articulated by employees and managers;

- A gap analysis and item-by-item comparison for each cultural norm, including bar charts for each normative areas of culture measured;

- A description of the organization's readiness for change;

- Subgroup results based on NVSL and CVB responses;

- Demographic frequencies; and

- Recommendations for planning and implementing cultural change(s).

Schedule of Methodologies

The following schedule articulates each methodology and their key milestones.

Methodology	Milestones
Context Setting Interviews	Interviews began on Wednesday, February 4, 2009 Interviews concluded on Thursday, February 12, 2009
Manager Interviews	Interviews began on Tuesday, February 17, 2009 Interviews concluded on Thursday, February 19, 2009
Employee Interviews	Interviews began on Wednesday, March 11, 2009 Interviews concluded on Thursday, March 12, 2009
Customized, Open-ended Survey	Survey opened on Tuesday, February 18, 2009 Survey closed on Wednesday, March 4, 2009
Organizational Culture Inventory®	Survey opened on Wednesday, February 25, 2009 Survey closed on Monday, March 9, 2009

7. ORGANIZATIONAL CULTURE INVENTORY® REPORT

This section of the Appendix presents the Organizational Culture Inventory® - OCI® Report from Human Synergistics.

Due to the proprietary nature of the OCI®, this section of the Final Report is formatted differently than the other pages within the Final Report. The OCI® report is generated in its entirety by Human Synergistics and is unchanged from its original state in any way, shape, or form.

This page is intentionally blank.

Executive Summary

Overview

The Organizational Culture Inventory (OCI) was administered to 294 members of NVSL & CVB Cultural Review to assess its current culture. The OCI measures "what is expected of members," or, technically speaking, behavioral norms and expectations which may reflect the more abstract aspects of culture such as shared values and beliefs. The inventory assesses the strength of twelve different behavioral norms associated with three general types of cultures—Constructive, Passive/Defensive, and Aggressive/Defensive. Additionally, the inventory assesses outcomes associated with these different cultural norms, including members' role clarity, role conflict, perceptions of service quality, and satisfaction.

The OCI was also used to measure NVSL & CVB Cultural Review's ideal culture in terms of the behaviors that *should be* expected of members. The differences or "gaps" between NVSL & CVB Cultural Review's current and ideal culture profiles, as well as the impact of its current culture on outcomes, provide the basis for developing plans for strengthening NVSL & CVB Cultural Review's long-term effectiveness.

Current Culture

In terms of the general types of culture measured by the OCI, the current culture of NVSL & CVB Cultural Review is viewed by members as being (from strongest to weakest):

♦ **Passive/Defensive**; which involves expectations for members to interact with other *people* in cautious and tentative ways to protect their own *security* (includes norms and expectations for Approval, Conventional, Dependent, and Avoidance behaviors).

♦ **Aggressive/Defensive**; which involves expectations for members to approach *tasks* in forceful ways to promote their status and *security* (includes norms and expectations for Oppositional, Power, Competitive, and Perfectionistic behaviors).

♦ **Constructive**; which involves expectations for members to interact with people and approach tasks in ways that will help them to meet their higher-order needs for *satisfaction* and growth (includes norms and expectations for Achievement, Self-Actualizing, Humanistic-Encouraging, and Affiliative behaviors).

The current culture is **low** in terms of the amount of agreement among members regarding the behaviors that are and are not expected. With respect to the specific behavioral norms assessed by the inventory, NVSL & CVB Cultural Review's current culture is described as:

♦ **Avoidance (Passive/Defensive)**; which involves expectations for being non-committal, never being blamed for mistakes, and staying out of trouble.

♦ **Conventional (Passive/Defensive)**; which involves expectations for conforming, following the rules, and making a good impression.

The behavioral norms and expectations currently communicated and reinforced within NVSL & CVB Cultural Review are described in detail in Section 2 of the Feedback Report.

Ideal Culture

In comparison to the current culture, members believe that NVSL & CVB Cultural Review's culture should ideally be (from strongest to weakest):

♦ **Constructive**

♦ **Aggressive/Defensive**

♦ **Passive/Defensive**

The ideal culture is **high** in terms of the amount of agreement among members regarding the behaviors that should and should not be expected. More specifically, members describe the ideal norms for NVSL & CVB Cultural Review as:

♦ **Achievement (Constructive)**; which involves expectations for setting challenging goals, establishing plans to reach those goals, and pursuing them with enthusiasm.

♦ **Humanistic-Encouraging (Constructive)**; which involves expectations for being supportive, constructive, and open to influence in dealing with one another.

The behaviors that members believe should be expected to maximize NVSL & CVB Cultural Review's long-term effectiveness are described in detail in **Section 2** of the Feedback Report.

Cultural Gaps

On the average, the largest discrepancies between NVSL & CVB Cultural Review's current and ideal culture profiles are in the **Constructive** cluster. In terms of the twelve specific cultural norms, members report the largest gaps in the areas of:

♦ **Humanistic-Encouraging (Constructive)**; which involves expectations for being supportive, constructive, and open to influence in dealing with one another.

♦ **Avoidance (Passive/Defensive)**; which involves expectations for being non-committal, never being blamed for mistakes, and staying out of trouble.

Section 2 of the Feedback Report includes an analysis of the gaps between NVSL & CVB Cultural Review's current and ideal culture profiles at both the scale and item levels.

Impact of Culture on Outcomes

Organizational culture typically has a strong impact on members' role clarity and conflict, satisfaction, and evaluations of service quality. As measured by the OCI, these outcomes at NVSL & CVB Cultural Review (compared to other organizations) are as follows:

♦ **member role clarity** is **below average,**

♦ **member role conflict** is **above average** (below average is preferred),

♦ **quality of service** is **below average,** and

♦ **employee satisfaction** is **below average.**

Section 3 of the Feedback Report describes NVSL & CVB Cultural Review's results along the survey items used to measure each of these outcomes. This section also includes comparative profiles that illustrate how these outcomes differ depending on members' reports of the culture. (Within organizations, there are differences in how members view the culture of their subgroups, and these differences have a systematic impact on the outcomes measured by the OCI.)

Implications for Culture Change

Many organizations are interested in re-directing their current cultures and moving toward the ideal specified by their members. Movement in this direction requires that internal structures, systems, technology, and skills/qualities, as well as the organization's mission and philosophy, be aligned with the values underlying the ideal OCI profile. More generally, factors at the member/job, manager/unit, and organizational levels should be assessed to ensure that they reinforce desired behaviors.

For example, **Achievement** cultural norms have been found in organizations that reward members who set and attain realistic (as opposed to impossible) goals that are based on self-improvement (rather than on outperforming co-workers). Such norms have also been found in organizations where decision making is decentralized, job responsibilities are broadly defined, and the vertical lines of communication are open and clear. Subsequently, Achievement norms may be promoted through levers such as:

♦ **employee goal setting,**

♦ **reinforcement (reward) systems,**

♦ **organization design,** and

♦ **vertical lines of communication.**

Humanistic-Encouraging cultural norms have been found in organizations where jobs are designed to maximize members' responsibility, autonomy, and knowledge of results; where excellent performance is recognized and rewarded; and where mistakes are viewed as opportunities for learning and improvement. Such norms have also been found in organizations where managers demonstrate a concern for people, as well as task, and where members at all levels are involved in identifying ways to improve the organization and increase its productivity. Thus, Humanistic-Encouraging norms may be promoted through levers such as:

♦ **job design,**

♦ **performance management systems,**

♦ **manager development programs,** and

♦ **opportunities for employee involvement.**

On the other hand, **Avoidance** cultural norms have been found in organizations where jobs restrict members' autonomy, variety, and knowledge of results; where excellent performance generally goes unnoticed; where leadership is lacking; and where members are encouraged to take either a fight or flight position with respect to dealing with conflicts. Subsequently, possible levers for *reducing* Avoidance norms include:

♦ **job design,**

♦ **reinforcement (reward) systems,**

♦ **leadership development programs,** and

♦ **methods for conflict resolution.**

Conventional cultural norms have been found in bureaucratic organizations (characterized by centralized decision making, extensive rules and procedures, and narrowly-defined jobs). Such norms have also been found in organizations where members are hired for positions for which they are not qualified, where opportunities for training are inadequate, and where the vertical lines of communication (upward and downward) are guarded and unclear. Subsequently, possible levers for *reducing* Conventional norms include:

♦ **recruitment, selection, and placement systems,**

♦ **opportunities for training and development,**

♦ **organization design,** and

♦ **vertical lines of communication.**

NVSL & CVB Cultural Review

March 2009

Organizational Culture Inventory®
Feedback Report
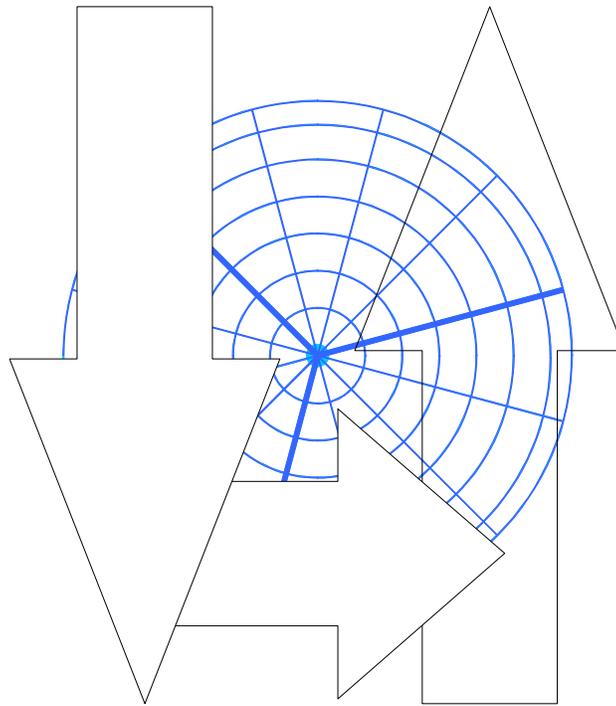
TABLE OF CONTENTS

Introduction to the OCI Feedback Report

With ever-growing competition and shorter product and service life cycles, most organizations have found that standardized methods and strict controls are no longer a viable way to run a business. Now, more than ever, organizational success is dependent upon management's ability to empower members to think and behave like owners. That's why, in addition to monitoring traditional financial and production performance indicators, many organizations are directing greater attention to the internal factors and conditions that have an impact on their performance.

The **Organizational Culture Inventory** (OCI) was developed in response to the demand for a reliable and valid measure of organizational culture that distinguishes effective organizations from those that are less effective. In turn, the OCI Feedback Report is designed to help change agents, managers, and members understand and use the information obtained from an OCI administration within their organization.

This Feedback Report summarizes your organization's OCI results. The results are based on the responses of members within your organization who completed the OCI. The information contained in this report will be instrumental to your organization's development efforts. Specifically, it will enable you to:

- understand your organization's culture in terms of the behaviors that are *currently* expected of members (Section 2);

- identify the behaviors that *ideally* should be expected for your organization to be successful (Section 2);

- discern the *impact of your organization's culture* on members (Section 3);

- establish a direction for your organization's *cultural change efforts* (Section 4), and

- determine whether *subcultures* exist within your organization (Section 5).

The Organizational Culture Inventory

The Organizational Culture Inventory (OCI) is an integral component of Human Synergistics' multi-level diagnostic system for individual, group, and organizational development. The OCI measures "what is expected" of members of an organization—or, more technically, *behavioral norms and expectations* which may reflect the more abstract aspects of culture such as shared values and beliefs.

The inventory presents a list of statements which describe some of the behaviors and personal styles that might be expected or implicitly required of an organization's members. Some of the cultural norms measured by the OCI are positive and supportive of constructive interpersonal relationships, effective problem solving, and personal growth; others are dysfunctional and can lead to unnecessary conflict, dissatisfaction, and symptoms of strain on the part of organizational members. More specifically, the OCI measures twelve different cultural norms that are organized into three general types of cultures:

♦ **Constructive cultures**, in which members are encouraged to interact with others and approach tasks in ways that will help them to meet their higher-order *satisfaction* needs (includes Achievement, Self-Actualizing, Humanistic-Encouraging, and Affiliative cultures).

♦ **Passive/Defensive cultures**, in which members believe they must interact with *people* in defensive ways that will not threaten their own *security* (includes Approval, Conventional, Dependent, and Avoidance cultures).

♦ **Aggressive/Defensive cultures**, in which members are expected to approach *tasks* in forceful ways to protect their status and *security* (includes Oppositional, Power, Competitive, and Perfectionistic cultures).

The types of culture measured by the OCI have a direct bearing on the activities of members and the functioning of the organization—and have been shown to be related to important outcomes such as member satisfaction, motivation, teamwork, product/service quality, and other criteria of organizational effectiveness (e.g., sales performance). These expectations or cultural norms result from, and are reinforced by, organizational structures, human resource management systems, managerial styles, and other factors that can be changed—at least to some extent—by those in leadership positions. Thus, the Inventory is appropriate for use in cultural change programs.

The OCI has been adopted by numerous organizations and completed by more than 2,000,000 individuals. Organizations have used the Inventory to diagnose their cultures and plan change programs, to identify the "ideal" culture for maximizing their effectiveness, and/or to monitor the impact of organizational development efforts. More specialized applications have included programs on cultural (ethnic) diversity within organizations, individual career counseling, and union-management relations.

How Culture Works

The theoretical model shown on the next page presents the major causal factors (*levers for change*) that shape and reinforce behavioral norms and expectations as measured by the OCI. As depicted by the model, the operating cultures of your organization is not directly determined by its values (or *ideal culture*), nor is it directly influenced by its missions and philosophies. Rather, the behavioral norms and expectations that emerge within organizations are directly influenced by their internal structures, systems, technologies, and skills/qualities.

♦ **Structure** refers to the manner in which components (such as people, tasks, and roles) are ordered and coupled to create organization. Aspects of structure that can influence an organization's operating culture include its design (such as degree of centralization, formalization, and specialization) and the extent to which it promotes or restricts members' involvement and empowerment.

♦ **Systems** refer to the interrelated sets of procedures—such as human resource, information, accounting, and quality control systems—an organization uses to support its core activities and solve problems. Human resource management systems, including goal setting, reinforcement, performance management, training and development, and selection and placement, are among the most powerful factors for shaping—as well as redirecting— the operating culture of an organization.

♦ **Technology** refers to the methods by which an organization transforms inputs into outputs. Aspects of technology that have been found to have an impact on the operating culture of organizations include job design, job complexity, and degree of interdependence among members.

♦ **Skills/qualities** of organizational members—particularly those who hold leadership roles—can shape, reinforce, and change the operating culture of an organization. Examples of relevant skills and qualities revolve around communication, sources of power and influence, methods for conflict resolution, and job security.

To the extent that your organization's internal structures, systems, technology, skills/qualities, and mission and philosophy are all in alignment with its values, the organization's operating culture will more closely reflect its ideal culture. In contrast, the operating culture will be considerably different from the organization's ideal when causal factors are not in alignment with the organization's values and ideal culture.
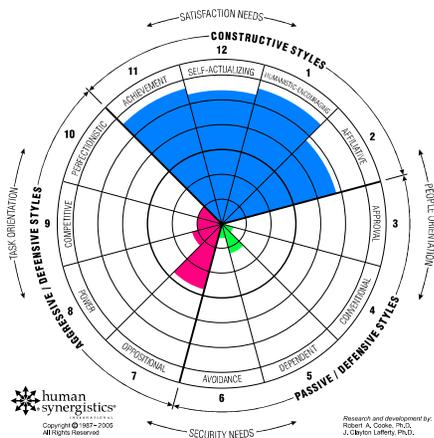
The model also illustrates that your organization's operating culture determines *outcomes* at the individual, group, and organizational levels. For example, culture has been found to be associated with satisfaction, motivation, and stress at the individual level; teamwork and inter-unit coordination at the group level; and product/service quality and external adaptability at the organizational level.

Keep in mind that there are *many* factors that potentially lead to and result from cultural norms. Some of those factors are included in the model and are specified above; others have yet to be studied. Research conducted over the past 15 years using the OCI and the Organizational Effectiveness Inventory (OEI) provide support for the relationships described here.
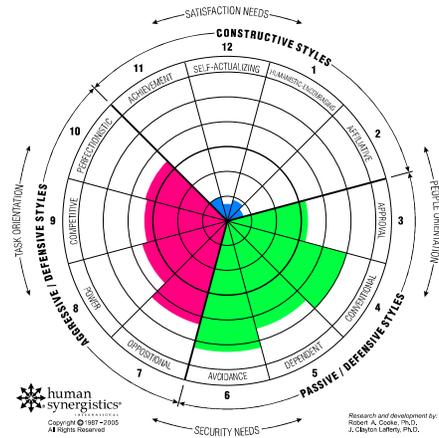
How Culture Works

Ideal Culture	Causal Factors	Operating Culture	Outcomes
Values	*Levers for Change*	*OCI Norms*	*Effectiveness Criteria*

NVSL & CVB Cultural Review
Ideal
N=25

Mission *and* **Philosophy**

Structures

Systems

Technology

Skills/ Qualities

NVSL & CVB Cultural Review
N=294

Individual Outcomes

Group Outcomes

Organizational Outcomes

Planning for Cultural Change

Section 4 of this report guides you in using your organization's OCI results in "Planning for Cultural Change." The Planning for Cultural Change section begins by taking you through an analysis of your organization's results along the outcomes measured by the OCI; then walks you through an analysis of your organization's culture and identification of critical gaps; and ends by helping you to delineate the steps that can be taken to close gaps and improve along outcomes.

Once you have completed this process, you will have outlined a plan that includes the key actions to be taken to facilitate positive change (i.e., levers for change) as well as the factors to be monitored to gauge the success of your organization's change efforts (i.e., targeted cultural gaps and outcomes). This same approach can then be used by subgroups within your organization to develop complementary improvement plans at the subgroup level.

About this Report

This report contains an "Executive Summary" of your organization's OCI results. The Executive Summary provides a general overview of your organization's current culture, the ideal culture, the impact of the current culture on outcomes, and some of the implications for your organization's development efforts.

The Feedback Report itself includes:

♦ A description of the *current culture* of your organization compared to the *ideal culture* as measured by the OCI (including gap analyses at the scale and item levels).

♦ Information regarding your organization's *readiness for change* as measured by the ideal OCI.

♦ Your organization's results on the *outcomes of culture* as compared to our "Historical Average (based on over 1000 organizational units) and "Constructive Benchmark" (based on 172 organizational units with predominantly Constructive cultures).

♦ *OCI comparative profiles* and *correlations* that illustrate the impact of your organization's culture on particular outcomes.

♦ OCI results regarding culture and outcomes broken down by *subgroups.*

♦ Project administration and demographic information.

Future Steps

Collecting data on your organization's current and ideal culture and outlining action plans for improvement based on that data are the first steps toward increasing your organization's effectiveness. After you have completed reviewing the OCI Feedback Report and have outlined action plans for improvement at the organization and subgroup levels, it is recommended that you proceed by:

♦ **Refining organizational and subgroup action plans.** In refining your organization's and subgroups' action plans, you may consider a more precise assessment of the levers for change in your organization. The Organizational Effectiveness Inventory (OEI) is an assessment tool that enables an organization to measure the *impact* of its culture (on members, groups/teams, and the organization) as well as the *factors and conditions that likely drive or shape* that culture. The OEI measures the clarity and focus of an organization's mission and philosophy, as well as assesses the internal structures, systems, technology, and skills/qualities that represent potential levers for change. Thus, using the OEI will help you to pinpoint those levers most critical to successful culture change within your organization.

♦ **Getting members involved in the process.** As you get more specific regarding the changes that need to be made within your organization and subunits, you will probably want to get the input of those who are likely to be affected by the changes. Getting people involved in the cultural change process during the planning stages will enable you to identify unanticipated obstacles, provide you with more ideas, and raise the level of commitment to change initiatives.

♦ **Implementing organizational and subgroup action plans.** This is where you put your plans into action. Continue to get people within your organization involved, delegate, and seek out volunteers. Don't be discouraged if the process starts out slow or if things are not working out exactly as planned. Rather, stay focused on your goals and be prepared to modify the original plans as warranted.

♦ **Monitoring your organization's progress.** Keeping track of how well you are doing relative to your goals is critical—it enables you to determine whether your plans were on target or need to be modified; it guides you in directing people's efforts; and it can be an excellent boost to motivation. You'll want to reassess the culture approximately 1½ to 2 years after your initial administration of the OCI and then every 1½ to 2 years after that to make sure that your organization's culture is moving in the desired direction.

Organizational Culture (All Respondents)

The Organizational Culture Inventory (OCI) assesses the culture of your organization at the level of behavioral norms and expectations. Members of your organization responded to the OCI either in terms of the extent to which certain behaviors and personal styles *are expected* (i.e., the current culture) or in terms of the extent to which certain behaviors and personal styles *should be expected* (i.e., the ideal culture). Current and ideal culture results are each plotted on the OCI circumplex.

The OCI Circumplex

The OCI measures twelve different cultural norms. Individual scores for these cultural norms are aggregated to the organizational level and are plotted on to a circular diagram known as a *circumplex* (shown below). Cultural norms that are located next to one another on the OCI circumplex (e.g., Achievement and Self-Actualizing) are more closely related than cultural norms that are located further apart (e.g., Achievement and Conventional).
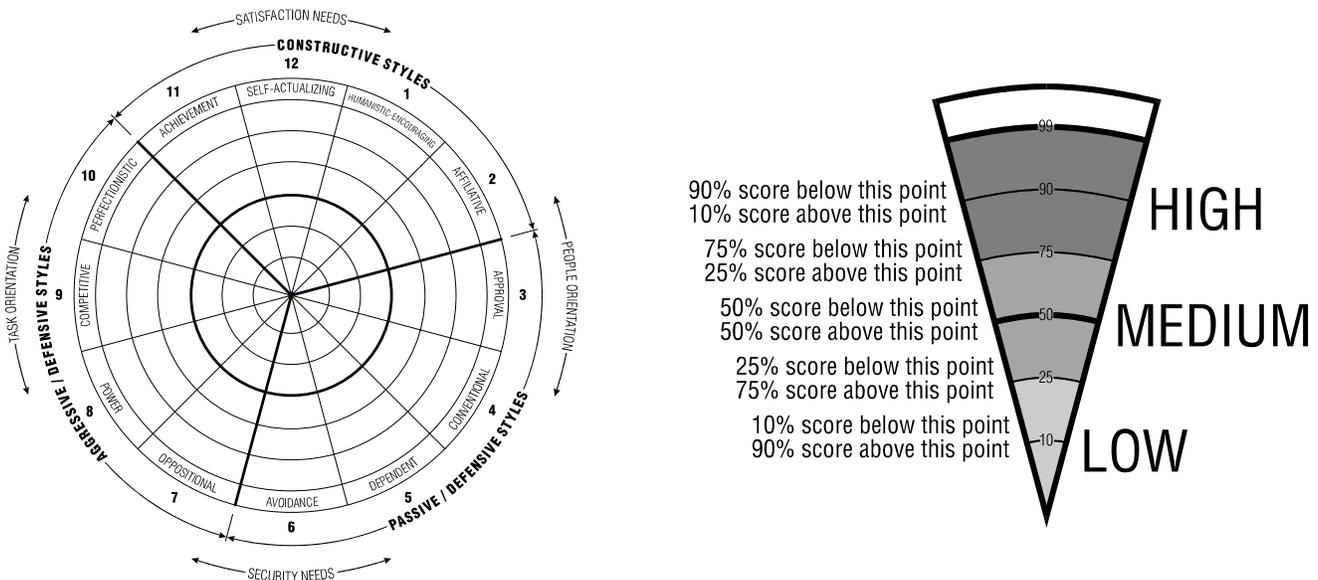
The OCI circumplex allows you to compare your organization's scores along the twelve cultural norms to the scores of 921 subunits (e.g., departments and divisions of other organizations). When you record your unadjusted (or "raw") score for each cultural norm on the circumplex, you convert the results for your organization to percentile scores that provide a more realistic picture of the culture (similar to when you evaluate your performance on a test, in part, by comparing how you ranked relative to everyone else who took the test). The bold center ring represents the 50th percentile. Scores falling below the 50th percentile are low relative to other organizations. Scores that fall above the 50th percentile are high relative to other organizations.

The Cultural Norms Measured by the OCI

The cultural norms are organized on the OCI circumplex such that those toward the top reflect expectations for behaviors that are directed toward higher-order needs for growth and *satisfaction*; those toward the bottom reflect expectations for behaviors that focus on meeting lower-order needs for *security*. Cultural norms located on the right side of the circumplex reflect expectations regarding interactions with *people*; cultural norms located on the left reflect expectations regarding *task*-related behaviors. The distinctions between satisfaction and security and between people and task define the three clusters of cultural norms measured by the OCI: Constructive, Passive/Defensive, and Aggressive/Defensive.
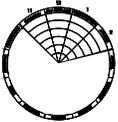
CONSTRUCTIVE CULTURAL NORMS
(Promote Satisfaction Behaviors)

(11:00) **An Achievement culture** characterizes organizations that do things well and value members who set and accomplish their own goals. Members of these organizations establish challenging but realistic goals, develop plans to reach these goals, and pursue them with enthusiasm. Achievement organizations are effective; problems are solved appropriately, clients and customers are served well, and the orientation of members (as well as the organization itself) is healthy.

(12:00) **A Self-Actualizing culture** characterizes organizations that value creativity, quality over quantity, and both task accomplishment and individual growth. Members of these organizations are encouraged to gain enjoyment from their work, develop themselves, and take on new and interesting activities. While Self-Actualizing organizations can be somewhat difficult to understand and control, they tend to be innovative, offer high-quality products and/or services, and attract and develop outstanding employees.

(1:00) **A Humanistic-Encouraging culture** characterizes organizations that are managed in a participative and person-centered way. Members are expected to be supportive, constructive and open to influence in their dealings with one another. A Humanistic culture leads to effective organizational performance by providing for the growth and active involvement of members who, in turn, report high satisfaction with and commitment to the organization.

(2:00) **An Affiliative culture** characterizes organizations that place a high priority on constructive interpersonal relationships. Members are expected to be friendly, open, and sensitive to the satisfaction of their work group. An Affiliative culture can enhance organizational performance by promoting open communication, cooperation, and the effective coordination of activities. Members are loyal to their work groups and feel they "fit in" comfortably.
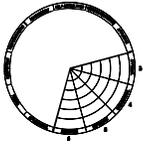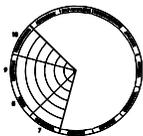
PASSIVE/DEFENSIVE CULTURAL NORMS
(Promote People/Security Behaviors)

(3:00) **An Approval culture** describes organizations in which conflicts are avoided and interpersonal relationships are pleasant—at least superficially. Members feel that they must agree with, gain the approval of, and be liked by others. Though possibly benign, this type of work environment can limit organizational effectiveness by minimizing constructive differing and the expression of ideas and opinions.

(4:00) **A Conventional culture** is descriptive of organizations that are conservative, traditional, and bureaucratically controlled. Members are expected to conform, follow the rules, and make a good impression. Too Conventional a culture can interfere with effectiveness by suppressing innovation and preventing the organization from adapting to changes in its environment.

(5:00) **A Dependent culture** is descriptive of organizations that are hierarchically controlled and non-participative. Centralized decision making in such organizations leads members to do only what they're told and to clear all decisions with superiors. Poor performance results from the lack of individual initiative, spontaneity, flexibility, and timely decision making.

(6:00) **An Avoidance culture** characterizes organizations that fail to reward success but nevertheless punish mistakes. This negative reward system leads members to shift responsi-bilities to others and to avoid any possibility of being blamed for problems or errors. The survival of this type of organization is in question since members are unwilling to make decisions, take action, or accept risks.

AGGRESSIVE/DEFENSIVE CULTURAL NORMS
(Promote Task/Security Behaviors)

(7:00) **An Oppositional culture** describes organizations in which confrontation prevails and negativism is rewarded. Members gain status and influence by being critical, opposing the ideas of others, and making safe (but ineffectual) decisions. While some questioning is functional, a highly Oppositional culture can lead to unnecessary conflict, poor group problem solving, and "watered-down" solutions to problems.

(8:00) **A Power culture** is descriptive of non-participative organizations structured on the basis of the authority inherent in members' positions. Members believe they will be rewarded for taking charge and controlling subordinates (and being responsive to the demands of superiors). Power-oriented organizations are less effective than their members might think; subordinates resist this type of control, hold back information, and reduce their contributions to the minimal acceptable level.

(9:00) **A Competitive culture** is one in which winning is valued and members are rewarded for out-performing one another. People in such organizations operate in a "win-lose" framework and believe they must work against (rather than with) their peers to be noticed. An overly Competitive culture can inhibit effectiveness by reducing cooperation and promoting unrealistic standards of performance (either too high or too low).

(10:00) **A Perfectionistic culture** characterizes organizations in which perfectionism, persistence, and hard work are valued. Members feel they must avoid all mistakes, keep track of everything, and work long hours to attain narrowly-defined objectives. While some amount of this orientation might be useful, too much emphasis on perfectionism can lead members to lose sight of the goal, get lost in details, and develop symptoms of strain.

Your Organization's Current Culture

The following pages describe your organization's current operating culture based on the responses of all members who completed the OCI. The results are presented on the circumplex as well as in tabular form. Information on how to interpret your results is provided below.

Direction of the Culture

The OCI circumplex allows you to compare your organization's percentile scores along each of the twelve cultural norms. When reading the OCI profile, you want to look for the "spikes," or those cultural norms that are most extended from the center of the circumplex—these are the cultural norms that describe how members within your organization are currently expected and encouraged to think and behave (i.e., the *direction* of the culture).

The most extended cultural norm in your organization's profile is called the *primary style*. This style describes the way in which members are predominantly encouraged to think and behave. The second most extended cultural norm is called the *secondary style*. This cultural norm typically works with the primary style or is expected when the behaviors associated with the primary style cannot be enacted. Sometimes primary and secondary styles are included in the same cluster (Constructive, Passive/Defensive, or Aggressive/Defensive); other times they are contained within different clusters. The cluster that best describes your organization's culture is the one that has the highest percentile score when the percentile scores of the four cultural norms included in the cluster are averaged together.

Intensity of the Culture

The corresponding table includes your organization's percentile scores as well as its unadjusted (or "raw") mean scores for each of the twelve cultural norms. In addition, the table presents the standard deviations of the responses around the raw scores. The standard deviations are important because they provide you with an indication of the *intensity* or the amount of agreement among respondents regarding the extent to which particular cultural norms are predominant within your organization. If you add the standard deviation for a particular cultural norm to its raw score and subtract the standard deviation from its raw score, you will have the range in which approximately 67% of members scored along a particular cultural norm.

For example, if the raw score on Humanistic is 37.0 and the standard deviation is 5.2, approximately 67% of the respondents had raw scores ranging from 31.8 to 42.2 along the Humanistic cultural norm. Converting these results to percentile scores, the range falls below the 25th percentile to above the 90th percentile—and that's only accounting for 67% of the respondents!

The *lower* the standard deviation, the greater the intensity of the culture and agreement among organizational members regarding a particular cultural norm. Conversely, the *higher* the standard deviation, the lower the intensity and agreement among organizational members. The interpretive comments regarding your organization's intensity (e.g., high, moderate, low) are based on comparisons to the distribution of standard deviations from over 900 other organizational units in which the OCI was administered.

Interpreting Your Organization's Current Culture

In interpreting the current culture of your organization, you want to consider both direction *and* intensity. Direction tells you what is (and is not) expected; intensity tells you the extent to which these expectations are widely shared. Cultures with clear direction and high intensity are usually the result of a high degree of alignment among the organization's internal structures, systems, technology, and skills/qualities. Conversely, cultures that lack a clear direction or have low intensity are typically the result of misalignment among internal structures, systems, technology, and skills/qualities.

Having a culture with clear direction and high intensity is not necessarily "good" or "bad." For example, a culture with weak direction and/or low intensity is easier to change than one with strong direction and high intensity. Thus, whether having a culture with clear direction and high intensity is beneficial really depends on whether the "right" behaviors are currently expected and encouraged, as defined by the ideal culture profile.

Current Culture
All Respondents
N=294
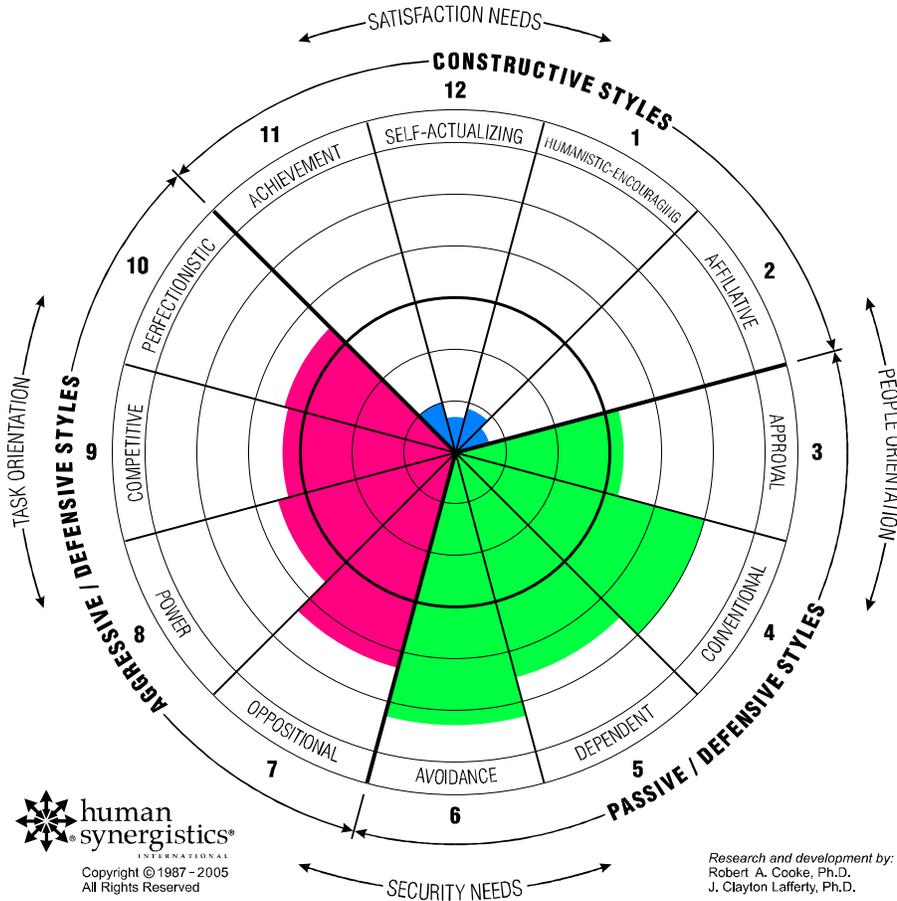
Overall, the strongest extensions are in the **Passive/Defensive** cluster.

With respect to the specific cultural norms, the…

Primary Style is **Avoidance**

People are expected to:
♦ push decisions upward
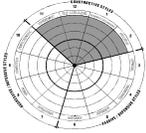♦ take few chances
♦ make "popular" rather than necessary decisions

Secondary Style is **Conventional**

People are expected to:
♦ always follow policies and practices
♦ make a "good impression"
♦ treat rules as more important than ideas

Note: The items listed under the primary and secondary styles are those with the highest mean scores.

Current Culture
All Respondents
N=294

Constructive Styles	Percentile Score	Raw Score	Std. Deviation	Intensity (Based on SD)
Humanistic	9.00%	28.75	8.90	Low
Affiliative	7.00%	30.87	8.62	Low
Achievement	10.00%	31.14	7.21	Low
Self-Actualizing	7.00%	27.92	6.68	Low
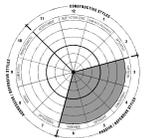
Passive/Defensive Styles	Percentile Score	Raw Score	Std. Deviation	Intensity (Based on SD)
Approval	57.00%	28.14	7.53	Low
Conventional	90.00%	33.27	8.63	Low
Dependent	83.00%	33.77	7.62	Very Low
Avoidance	93.00%	26.49	8.95	Very Low
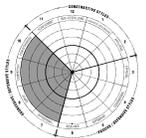
Aggressive/Defensive Styles	Percentile Score	Raw Score	Std. Deviation	Intensity (Based on SD)
Oppositional	80.00%	24.46	5.82	Low
Power	64.00%	25.86	8.83	Very Low
Competitive	59.00%	23.12	8.71	Low
Perfectionistic	61.00%	30.31	8.23	Very Low

Your Organization's Ideal Culture

The OCI ideal profile is your organization's cultural benchmark. It describes the behaviors that ideally *should be* expected and encouraged within your organization to maximize its effectiveness.

The ideal culture results are based on the average responses of all members within your organization who completed the OCI in terms of what *should be* expected. As with your organization's current culture results, you should note the direction and intensity of the ideal culture.

Direction of the Ideal Culture

The cultural norms that are most extended from the center of the circumplex are the cultural norms that describe how members within your organization *should be* expected and encouraged to think and behave (i.e., the *direction* of the ideal culture). The most extended cultural norm in your organization's ideal profile is called the *primary style* and the second most extended cultural norm is called the *secondary style*.

Intensity of the Ideal Culture

The corresponding table includes the percentile scores, the unadjusted (or "raw") mean scores, and the standard deviations of the responses around the raw scores for each of the twelve styles in the ideal profile. The standard deviations provide you with an indication of the *intensity* or the amount of agreement among respondents regarding the extent to which particular behavioral styles should be expected of members. The *lower* the standard deviation, the greater the intensity of the ideal culture and agreement among organizational members. Conversely, the *higher* the standard deviation, the lower the intensity and agreement among organizational members. The interpretive comments regarding intensity (e.g., high, moderate, low) are based on comparisons to the distribution of standard deviations from over 900 other organizational units in which the OCI was administered.

Ideal Culture
All Respondents
N=25
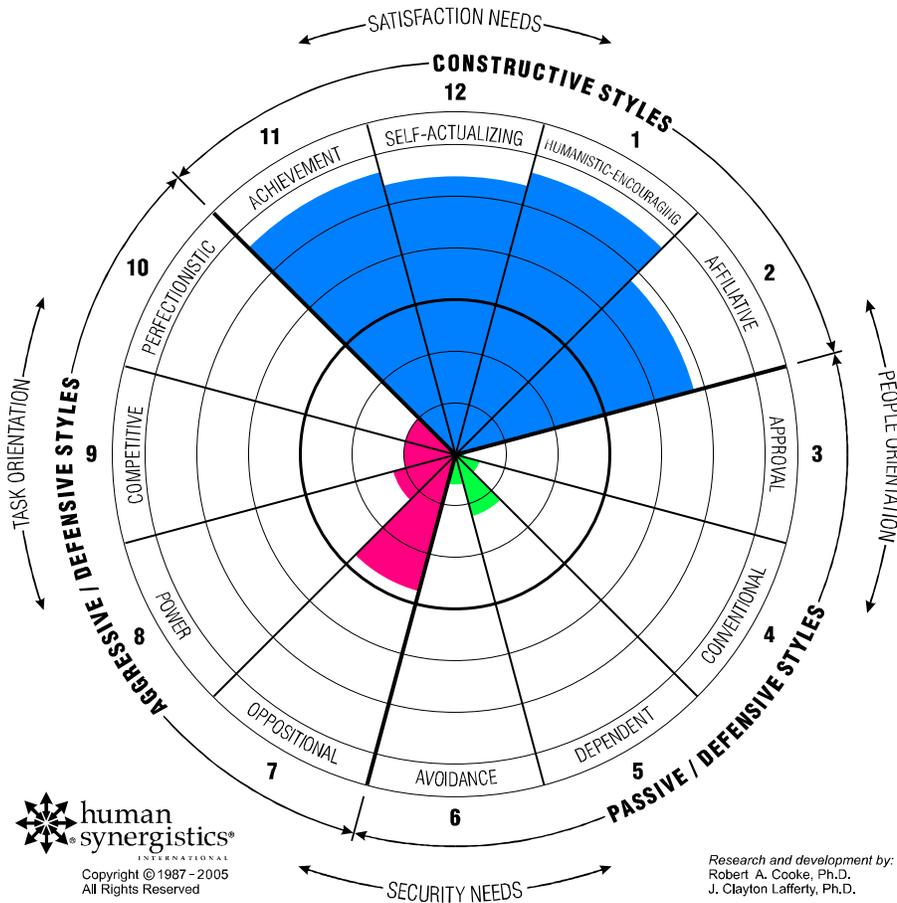
Overall, the strongest extensions are in the **Constructive** cluster.

With respect to the specific cultural norms, the…

Primary Style is **Achievement**

Ideally, people should be expected to:
- pursue a standard of excellence
- know the business
- think ahead and plan

Secondary Style is **Humanistic-Encouraging**

Ideally, people should be expected to:
- resolve conflicts constructively
- encourage others
- help others to grow and develop

Note: The items listed under the primary and secondary styles are those with the highest mean scores.

Ideal Culture
All Respondents
N=25
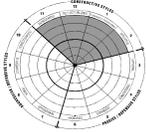
Constructive Styles	Percentile Score	Raw Score	Std. Deviation	Intensity (Based on SD)
Humanistic	96.00%	43.04	4.50	High
Affiliative	87.00%	42.52	4.16	High
Achievement	96.00%	42.40	3.73	High
Self-Actualizing	94.00%	39.08	3.56	High
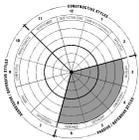
Passive/Defensive Styles	Percentile Score	Raw Score	Std. Deviation	Intensity (Based on SD)
Approval	2.00%	20.28	5.42	Moderate
Conventional	5.00%	20.76	4.26	High
Dependent	14.00%	26.44	3.69	High
Avoidance	6.00%	15.24	2.86	Very High
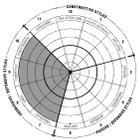
Aggressive/Defensive Styles	Percentile Score	Raw Score	Std. Deviation	Intensity (Based on SD)
Oppositional	44.00%	21.44	4.30	Moderate
Power	14.00%	19.96	5.62	Moderate
Competitive	10.00%	16.96	4.62	High
Perfectionistic	10.00%	24.24	5.59	Moderate

OCI Gap Analysis and Item-By-Item Results

Analyzing the gaps or discrepancies between the current and ideal culture profiles will enable you to identify the behavioral norms along which there is the greatest need for change. The item-by-item results for these norms can be used to pinpoint specific behaviors for which expectations should be increased or decreased within your organization.

In reviewing the gap analysis and item-by-item results, you'll want to:

♦ note the cultural norms which have the greatest gaps or discrepancies between the current and ideal profiles;

♦ review the item-level results for those cultural norms with the greatest gaps or discrepancies; and

♦ identify the specific items (expectations for behavior) with the greatest gaps or discrepancies between the current and ideal results.

Interpreting Gap Scores

The gaps between the current and ideal profiles are identified by subtracting the ideal percentile score from the current percentile score for each behavioral norm. At the item level, gaps are computed by subtracting the ideal score for each item from its current score. For the Constructive norms:

♦ Negative gap scores indicate that the organization would benefit from *increasing* expectations for behaviors associated with a particular Constructive cultural norm.

♦ Positive gaps scores indicate that the organization is currently doing better than the ideal.

For the Defensive norms:

♦ Positive gaps indicate that the organization would benefit from *decreasing* expectations for behaviors associated with a particular Defensive cultural norm.

♦ Negative gaps indicate that the organization is currently doing better than the ideal.

Current Culture versus Ideal Culture
All Respondents

Current Culture	Ideal Culture
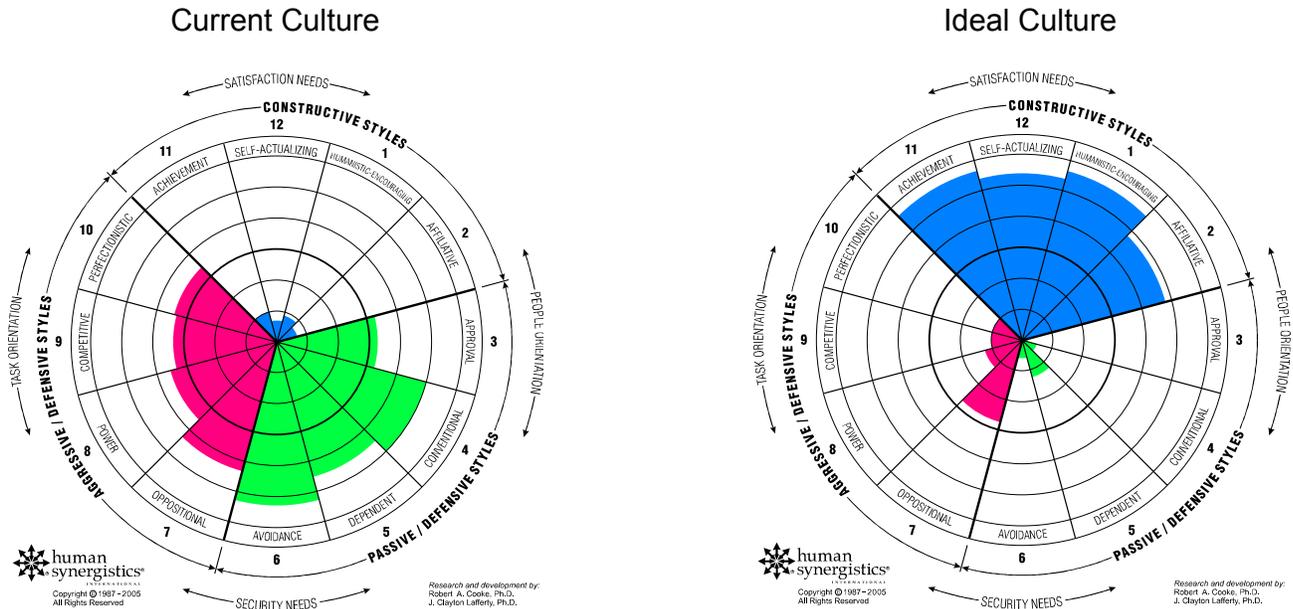
Overall, the largest gaps between the Current and Ideal are in the
Constructive cluster.

| Primary gap is **Humanistic-Encouraging**	Secondary gap is **Avoidance**
Specifically, the items that have the largest gaps are:	*Specifically, the items that have the largest gaps are:*
◆ encourage others ◆ help others to grow and develop ◆ take time with people	◆ make "popular" rather than necessary decisions ◆ never be the one blamed for problems ◆ "Lay low" when things get tough

Current Culture versus Ideal Culture
All Respondents
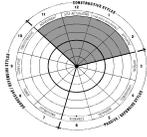
Constructive Styles	Current Percentile	Ideal Percentile	Percentile Gap*
Humanistic	9.00%	96.00%	-87.00%
Affiliative	7.00%	87.00%	-80.00%
Achievement	10.00%	96.00%	-86.00%
Self-Actualizing	7.00%	94.00%	-87.00%
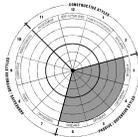
Passive/Defensive Styles	Current Percentile	Ideal Percentile	Percentile Gap*
Approval	57.00%	2.00%	55.00%
Conventional	90.00%	5.00%	85.00%
Dependent	83.00%	14.00%	69.00%
Avoidance	93.00%	6.00%	87.00%
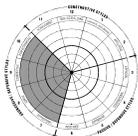
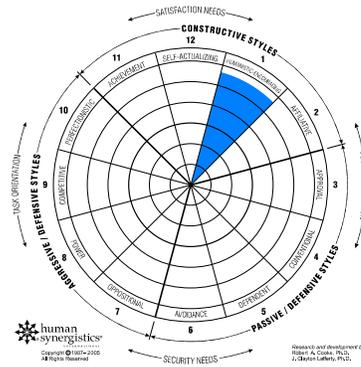| **Aggressive/ Defensive Styles**	Current Percentile	Ideal Percentile	Percentile Gap*
Oppositional	80.00%	44.00%	36.00%
Power	64.00%	14.00%	50.00%
Competitive	59.00%	10.00%	49.00%
Perfectionistic	61.00%	10.00%	51.00%

Percentile gaps = current percentile – ideal percentile. Negative gaps for the Constructive styles and positive gaps for the Passive/Defensive and Aggressive/Defensive styles indicate areas for cultural change and improvement. Positive gaps for the Constructive styles and negative gaps for the Defensive styles indicate areas in which the organization is performing better than ideal.

Constructive Style
Style 1: Humanistic-Encouraging

Current Operating Culture

Ideal Culture

All Respondents	Answering in Terms of:		
	Current	Ideal	Gap
	Mean	Mean	Mean
Encourage others	2.85	4.52	-1.67
Help others to grow and develop	2.83	4.40	-1.57
Take time with people	2.71	4.28	-1.57
Help others think for themselves	2.55	4.12	-1.57
Resolve conflicts constructively	3.05	4.60	-1.55
Involve others in decisions affecting them	2.74	4.24	-1.50
Give positive rewards to others	2.75	4.12	-1.37
Be supportive of others	3.10	4.36	-1.26
Be a good listener	3.15	4.36	-1.21
Show concern for the needs of others	3.00	4.04	-1.04

1 = Not at all; 5 = To a very great extent

Gap = (Current - Ideal)
A negative (-) gap indicates that the current mean for a particular item needs to be increased.
A positive gap indicates that the current mean for a particular item is better than the ideal.

Constructive Style
Style 2: Affiliative

Current Operating Culture

Ideal Culture

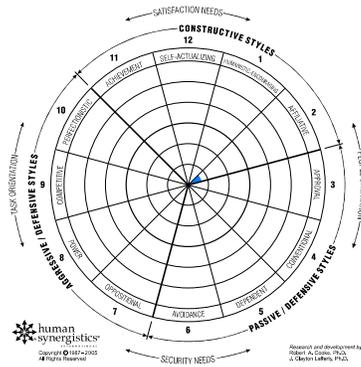| All Respondents	Answering in Terms of:		
	Current	Ideal	Gap
	Mean	Mean	Mean
Treat people as more important than things	2.97	4.60	-1.63
Motivate others with friendliness	2.69	4.16	-1.47
Use good human relations skills	3.23	4.64	-1.41
Be open, warm	2.70	4.04	-1.34
Show concern for people	3.05	4.20	-1.15
Be tactful	3.27	4.40	-1.13
Share feelings and thoughts	2.35	3.44	-1.09
Think in terms of the group's satisfaction	3.12	4.00	-0.88
Deal with others in a friendly, pleasant way	3.73	4.60	-0.87
Cooperate with others	3.76	4.44	-0.68

1 = Not at all; 5 = To a very great extent
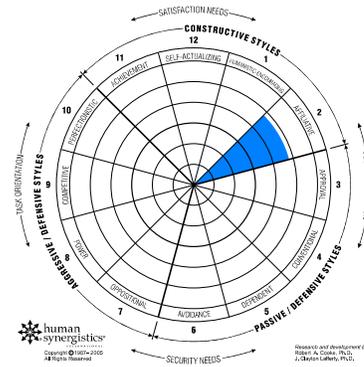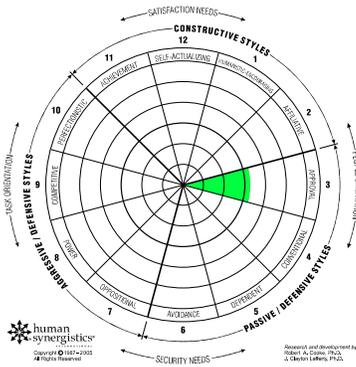
Gap = (Current - Ideal)
A negative (-) gap indicates that the current mean for a particular item needs to be increased.
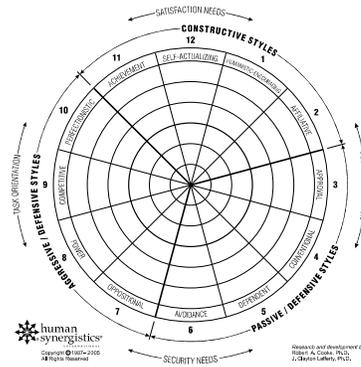A positive gap indicates that the current mean for a particular item is better than the ideal.

Passive/Defensive Style
Style 3: Approval

<table>
<tr><td>*Current Operating Culture*</td><td>*Ideal Culture*</td></tr>
</table>

All Respondents	Answering in Terms of:		
	Current	Ideal	Gap
	Mean	Mean	Mean
Switch priorities to please others	3.30	1.80	1.50
Do things for the approval of others	3.07	1.92	1.15
"Go along" with others	3.09	2.08	1.01
Agree with everyone	2.56	1.60	0.96
Back up those with the most authority	3.43	2.48	0.95
Stay on people's good side	3.26	2.52	0.74
Be a "nice guy"	3.01	2.40	0.61
Be liked by everyone	2.41	1.84	0.57
Make sure they are accepted by others	2.48	2.08	0.40
Stay conscious of fashion	1.49	1.56	-0.07

1 = Not at all; 5 = To a very great extent

Gap = (Current - Ideal)
A positive gap indicates that the current mean for a particular item needs to be decreased.
A negative (-) gap indicates that the current mean for a particular item is better than the ideal.

Passive/Defensive Style
Style 4: Conventional

Current Operating Culture
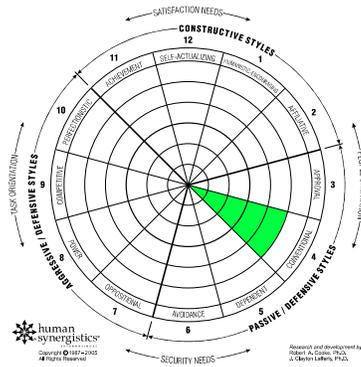
Ideal Culture
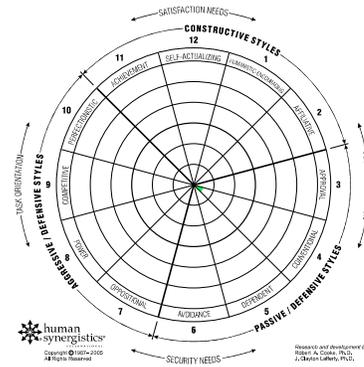
All Respondents	Answering in Terms of:		
	Current	Ideal	Gap
	Mean	Mean	Mean
Accept the status quo	3.19	1.52	1.67
Not "rock the boat"	3.39	1.84	1.55
Tell people different things to avoid conflict	2.64	1.12	1.52
Avoid confrontations	3.37	1.92	1.45
Fit into the "mold"	3.17	1.72	1.45
Treat rules as more important than ideas	3.47	2.16	1.31
Conform	3.35	2.16	1.19
Cast aside solutions that seem different or risky	2.99	1.80	1.19
Make a "good impression"	3.58	2.84	0.74
Always follow policies and practices	4.12	3.68	0.44

1 = Not at all; 5 = To a very great extent

Gap = (Current - Ideal)
A positive gap indicates that the current mean for a particular item needs to be decreased.
A negative (-) gap indicates that the current mean for a particular item is better than the ideal.

Passive/Defensive Style
Style 5: Dependent

Current Operating Culture
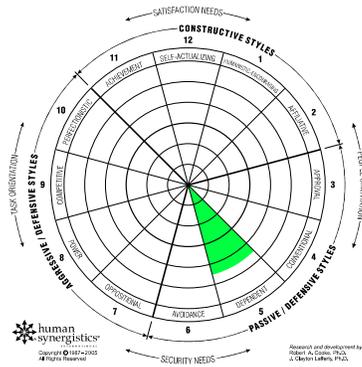
Ideal Culture
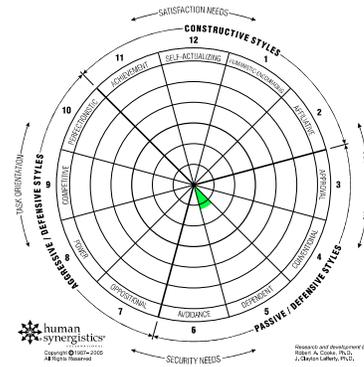
All Respondents	Answering in Terms of:		
	Current	Ideal	Gap
	Mean	Mean	Mean
Never challenge superiors	3.40	2.08	1.32
Follow orders…even when they're wrong	2.98	1.68	1.30
Accept goals without questioning them	3.31	2.08	1.23
Please those in positions of authority	3.56	2.36	1.20
Check decisions with superiors	3.65	2.80	0.85
Willingly obey orders	3.76	3.08	0.68
Ask everybody what they think before acting	2.54	2.24	0.30
Do what is expected	4.03	3.84	0.19
Be a good follower	3.35	3.20	0.15
Be predictable	3.15	3.08	0.07

1 = Not at all; 5 = To a very great extent

Gap = (Current - Ideal)
A positive gap indicates that the current mean for a particular item needs to be decreased.
A negative (-) gap indicates that the current mean for a particular item is better than the ideal.

Passive/Defensive Style
Style 6: Avoidance

Current Operating Culture
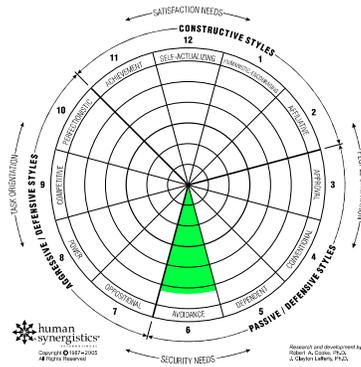
Ideal Culture
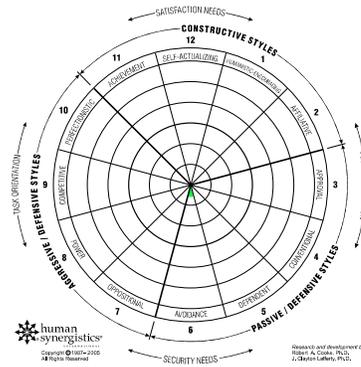
All Respondents	Answering in Terms of:		
	Current	Ideal	Gap
	Mean	Mean	Mean
Make "popular" rather than necessary decisions	2.71	1.12	1.59
Never be the one blamed for problems	2.68	1.32	1.36
"Lay low" when things get tough	2.62	1.40	1.22
Wait for others to act first	2.46	1.36	1.10
Not get involved	2.45	1.36	1.09
Push decisions upward	3.17	2.08	1.09
Put things off	2.31	1.24	1.07
Take few chances	3.01	1.96	1.05
Be non-committal	2.48	1.44	1.04
Shift responsibilities to others	2.61	1.96	0.65

1 = Not at all; 5 = To a very great extent

Gap = (Current - Ideal)
A positive gap indicates that the current mean for a particular item needs to be decreased.
A negative (-) gap indicates that the current mean for a particular item is better than the ideal.

Aggressive/Defensive Style
Style 7: Oppositional

Current Operating Culture
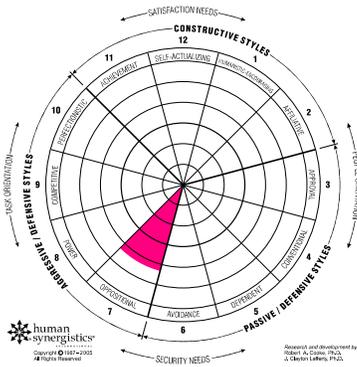
Ideal Culture
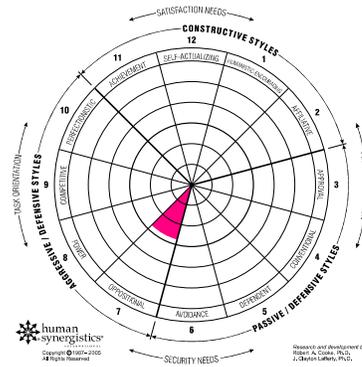
All Respondents	Answering in Terms of:		
	Current	Ideal	Gap
	Mean	Mean	Mean
Oppose things indirectly	2.44	1.48	0.96
Refuse to accept criticism	1.95	1.12	0.83
Look for mistakes	3.17	2.52	0.65
Oppose new ideas	2.25	1.60	0.65
Remain aloof from the situation	2.45	1.80	0.65
Stay detached and perfectly objective	3.05	3.04	0.01
Be hard to impress	2.04	2.08	-0.04
Play the role of the "loyal opposition"	1.99	2.16	-0.17
Question decisions made by others	2.40	2.64	-0.24
Point out flaws	2.68	3.00	-0.32

1 = Not at all; 5 = To a very great extent

Gap = (Current - Ideal)
A positive gap indicates that the current mean for a particular item needs to be decreased.
A negative (-) gap indicates that the current mean for a particular item is better than the ideal.

Aggressive/Defensive Style
Style 8: Power

Current Operating Culture
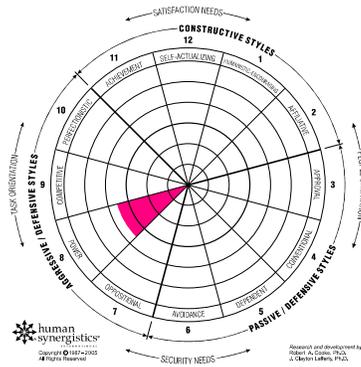
Ideal Culture
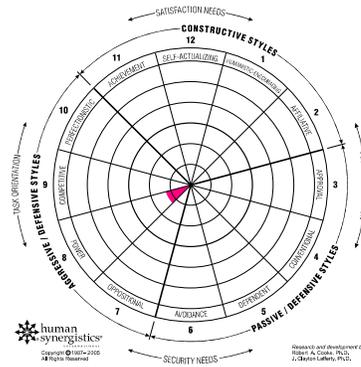
All Respondents	Answering in Terms of:		
	Current	Ideal	Gap
	Mean	Mean	Mean
Play "politics" to gain influence	2.98	1.36	1.62
Personally run everything	2.36	1.44	0.92
Maintain unquestioned authority	2.72	1.88	0.84
Build up their power base	2.54	1.76	0.78
Never relinquish control	2.39	1.72	0.67
Demand loyalty	2.73	2.32	0.41
Use the authority of their position	3.09	2.72	0.37
Be hard, tough	2.37	2.12	0.25
Stay on the offensive	2.41	2.20	0.21
Act forceful	2.26	2.44	-0.18

1 = Not at all; 5 = To a very great extent

Gap = (Current - Ideal)
A positive gap indicates that the current mean for a particular item needs to be decreased.
A negative (-) gap indicates that the current mean for a particular item is better than the ideal.

Aggressive/Defensive Style
Style 9: Competitive

Current Operating Culture	*Ideal Culture*
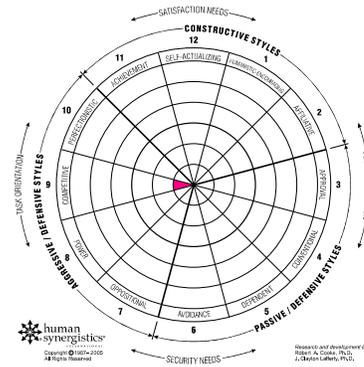
All Respondents	Answering in Terms of:		
	Current	Ideal	Gap
	Mean	Mean	Mean
Compete rather than cooperate	2.45	1.16	1.29
Maintain an image of superiority	2.40	1.48	0.92
Never appear to lose	2.31	1.40	0.91
Win against others	2.22	1.32	0.90
Turn the job into a contest	2.06	1.28	0.78
Be the center of attention	1.85	1.24	0.61
Always try to be right	2.68	2.28	0.40
Be a "winner"	2.58	2.40	0.18
Out-perform their peers	2.38	2.28	0.10
Be seen and noticed	2.19	2.12	0.07

1 = Not at all; 5 = To a very great extent

Gap = (Current - Ideal)
A positive gap indicates that the current mean for a particular item needs to be decreased.
A negative (-) gap indicates that the current mean for a particular item is better than the ideal.

Aggressive/Defensive Style
Style 10: Perfectionistic

Current Operating Culture
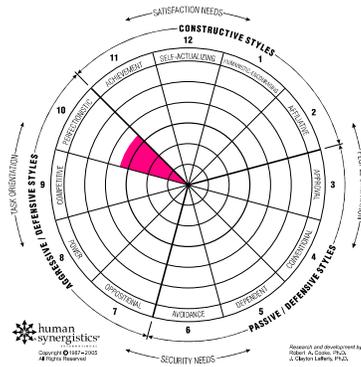
Ideal Culture
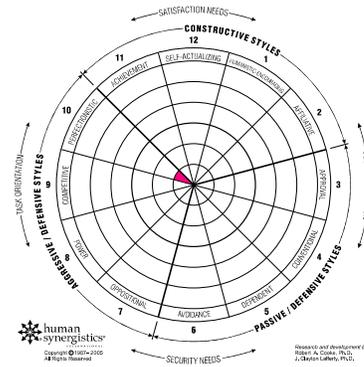
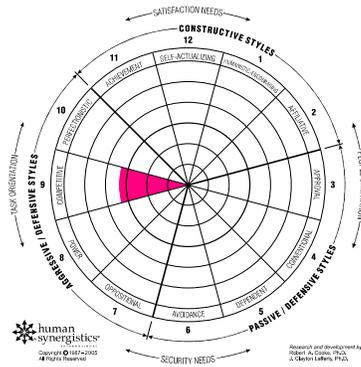| All Respondents	Answering in Terms of:		
	Current	Ideal	Gap
	Mean	Mean	Mean
Personally take care of every detail	2.93	1.92	1.01
Never make a mistake	2.94	1.96	0.98
Set unrealistically high goals	2.34	1.40	0.94
Do things perfectly	3.14	2.20	0.94
View work as more important than anything else	2.86	1.96	0.90
Be precise…even when it's unnecessary	2.98	2.20	0.78
Keep on top of everything	3.43	2.72	0.71
Persist, endure	3.41	3.32	0.09
Work long, hard hours	2.78	2.76	0.02
Appear competent and independent	3.52	3.80	-0.28

1 = Not at all; 5 = To a very great extent

Gap = (Current - Ideal)
A positive gap indicates that the current mean for a particular item needs to be decreased.
A negative (-) gap indicates that the current mean for a particular item is better than the ideal.

Constructive Style
Style 11: Achievement

Current Operating Culture   *Ideal Culture*
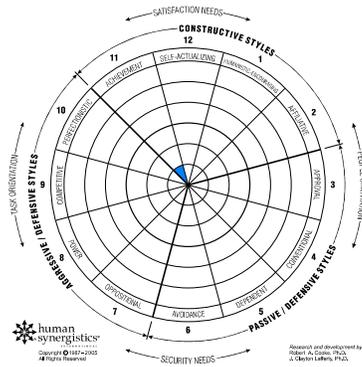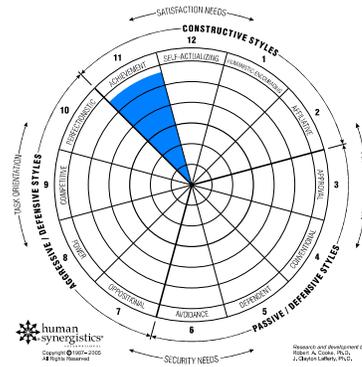
All Respondents	Answering in Terms of:		
	Current	Ideal	Gap
	Mean	Mean	Mean
Explore alternatives before acting	2.74	4.16	-1.42
Think ahead and plan	3.30	4.60	-1.30
Take moderate risks	2.47	3.72	-1.25
Take on challenging tasks	3.12	4.32	-1.20
Work for the sense of accomplishment	3.24	4.36	-1.12
Openly show enthusiasm	2.83	3.88	-1.05
Set moderately difficult goals	2.87	3.88	-1.01
Know the business	3.66	4.64	-0.98
Work to achieve self-set goals	3.11	4.08	-0.97
Pursue a standard of excellence	3.80	4.76	-0.96

1 = Not at all; 5 = To a very great extent

Gap = (Current - Ideal)
A negative (-) gap indicates that the current mean for a particular item needs to be increased.
A positive gap indicates that the current mean for a particular item is better than the ideal.

Constructive Style
Style 12: Self-Actualizing

Current Operating Culture
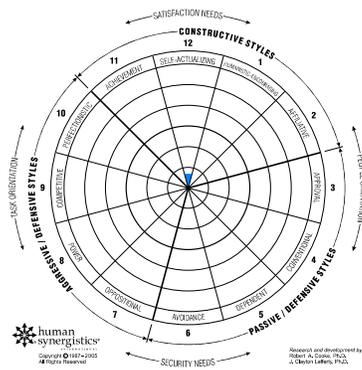
Ideal Culture
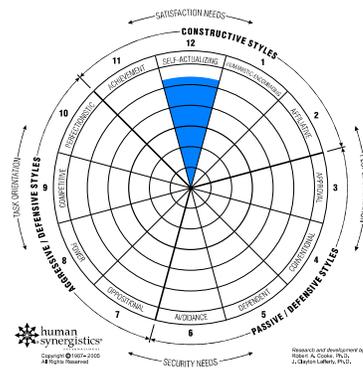
All Respondents	Answering in Terms of:		
	Current	Ideal	Gap
	Mean	Mean	Mean
Think in unique and independent ways	2.56	4.20	-1.64
Enjoy their work	2.78	4.36	-1.58
Maintain their personal integrity	3.31	4.88	-1.57
Communicate ideas	3.11	4.60	-1.49
Be open about self	2.20	3.20	-1.00
Be spontaneous	2.09	3.08	-0.99
Emphasize quality over quantity	3.08	4.00	-0.92
Be concerned about their own growth	3.01	3.88	-0.87
Resist conformity	1.92	2.48	-0.56
Do even simple tasks well	3.85	4.40	-0.55

1 = Not at all; 5 = To a very great extent

Gap = (Current - Ideal)
A negative (-) gap indicates that the current mean for a particular item needs to be increased.
A positive gap indicates that the current mean for a particular item is better than the ideal.

Organizational Readiness for Change

In any type of change effort, it is important to anticipate the sources of resistance to change, as well as the sources of support. Those members who responded to the OCI Ideal described your organization's readiness for cultural change in terms of:

♦ their assessment of the potential benefits and practicality of the ideal culture; and

♦ their perceptions regarding the motivation for cultural change.

In reviewing these results you will want to make a list of where resistance to cultural change is most likely to occur within your organization and identify the fears most likely to be associated with that resistance. You will then need to develop a plan for overcoming resistance to cultural change, in part, by directly addressing the concerns upon which such resistance is based.

In addition, these results will help you to identify where support for culture change is most likely to be found in your organization. Once you have identified these sources, you can determine the best way in which they can help to facilitate movement toward the ideal culture.

Organizational Readiness for Change
Member Assessments of the Ideal Culture

All Respondents
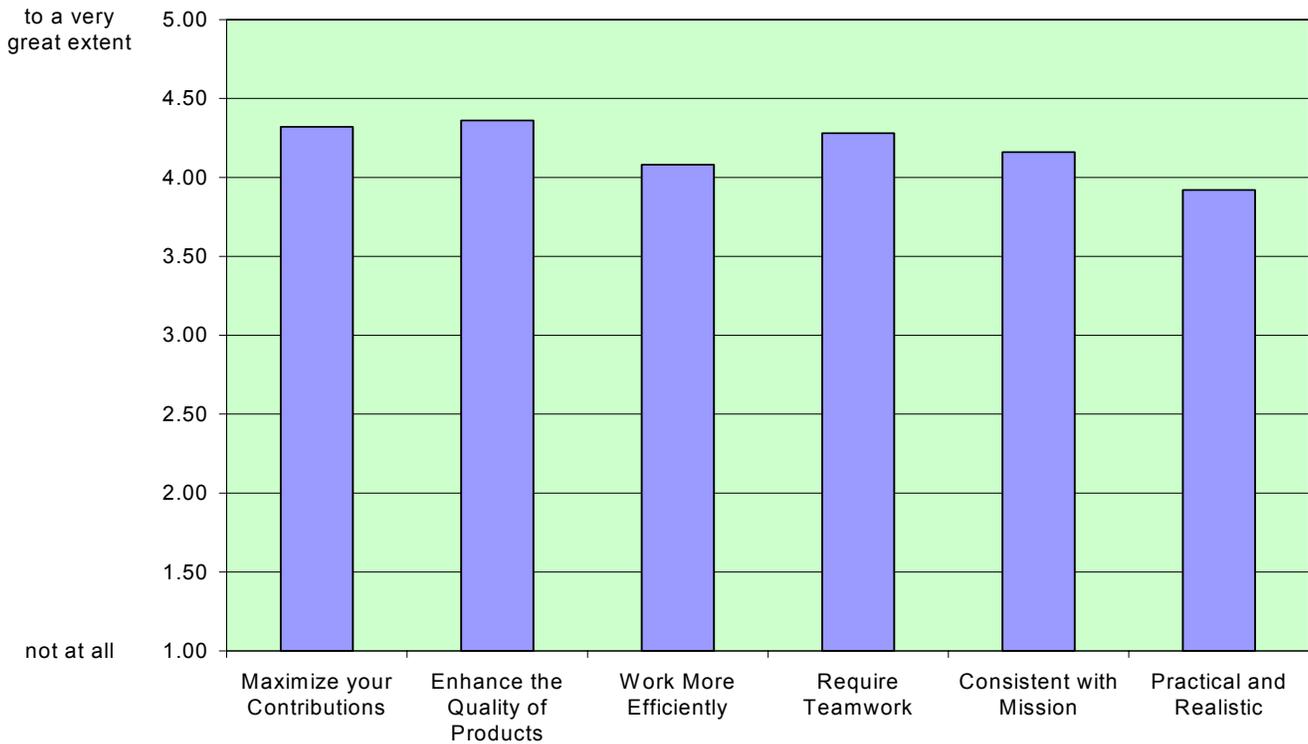
To what extent would this type of culture…	Mean	Std. Deviation
… enable you to develop your capabilities and maximize your contributions	4.32	0.63
… enhance the quality of products/services offered by your organization	4.36	0.70
… require people like yourself to work more efficiently and effectively	4.08	0.76
… require members to develop better teamwork, communication, and interpersonal skills	4.28	0.68
… be consistent with the mission, philosophy, and/or "values" of the organization	4.16	0.80
… be practical and realistic for an organization in the same industry	3.92	0.81

Organizational Readiness for Change
Motivation for Cultural Change

All Respondents
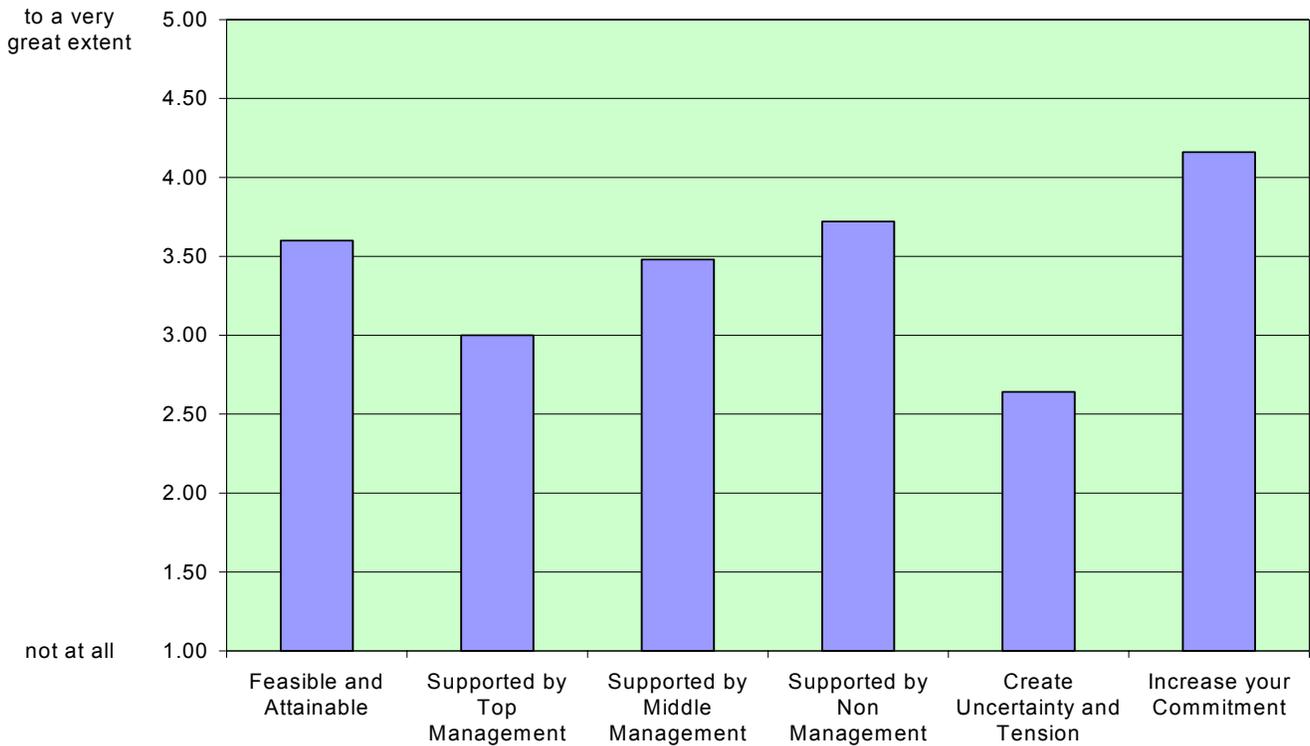
To what extent would movement towards this type of culture…	Mean	Std. Deviation
… be feasible and attainable in your organization	3.60	0.76
… be supported by top-level management	3.00	1.41
… be supported by middle management	3.48	0.87
… be supported by non-managerial personnel	3.72	0.98
… create uncertainty and tension for members	2.64	0.86
… increase your commitment to the organization	4.16	0.90

Outcomes of Culture (All Respondents)

In addition to measuring the culture of your organization, the Organizational Culture Inventory (OCI) also assessed some of the outcomes associated with your organization's culture.[*] Data generated by the OCI outcome items can provide additional insights as to whether culture change should be considered and in what direction such change should take place.

Outcomes Assessed by the OCI

Four types of outcomes are assessed by the OCI:

♦ **Role Clarity:** The extent to which people receive clear messages regarding what is expected of them.

♦ **Role Conflict:** The extent to which members receive inconsistent expectations from the organization and are expected to do things that conflict with their own preferences.

♦ **Quality of Service:** The extent to which the organization has achieved service excellence with respect to both internal and external clients/customers.

♦ **Employee Satisfaction:** The extent to which members report positive appraisals of their work situation.

Gap Barchart of the Outcome Items

The chart presented on the next page allows you to see, at a glance, how well your organization scored along each of the OCI outcome items as compared to our Historical Averages for these measures. Specifically, we compared your organization's score along each of the outcome items (as derived by averaging the responses of all members within your organization) to our "Historical Averages." The **Historical Averages** represent the mean responses of members of over 1000 organizational units to the OCI outcome items. We calculated the numerical difference between your organization's outcome item scores and our Historical Averages and plotted these differences on the chart (thus 0.00 represents the Historical Averages and the length of the bars represents the difference between your organization's scores and the Historical Averages). The Gap Barchart presents these differences ranked from most desirable (areas in which your organization is doing better than the average organization) to most undesirable (areas in which your organization is not doing as well as the average organization).

When reviewing the gap barchart, you'll want to note whether your organization's results along the outcomes are generally desirable, undesirable, or fairly evenly split relative to the Historical Averages. Make a list of those results that are of concern to you. Then, refer to the outcome barcharts and tables for more detailed information about the items and your organization's results.

---

[*] These outcomes represent a subset of the outcomes assessed by the Organizational Effectiveness Inventory (OEI).

Gap Barchart of the Outcome Items
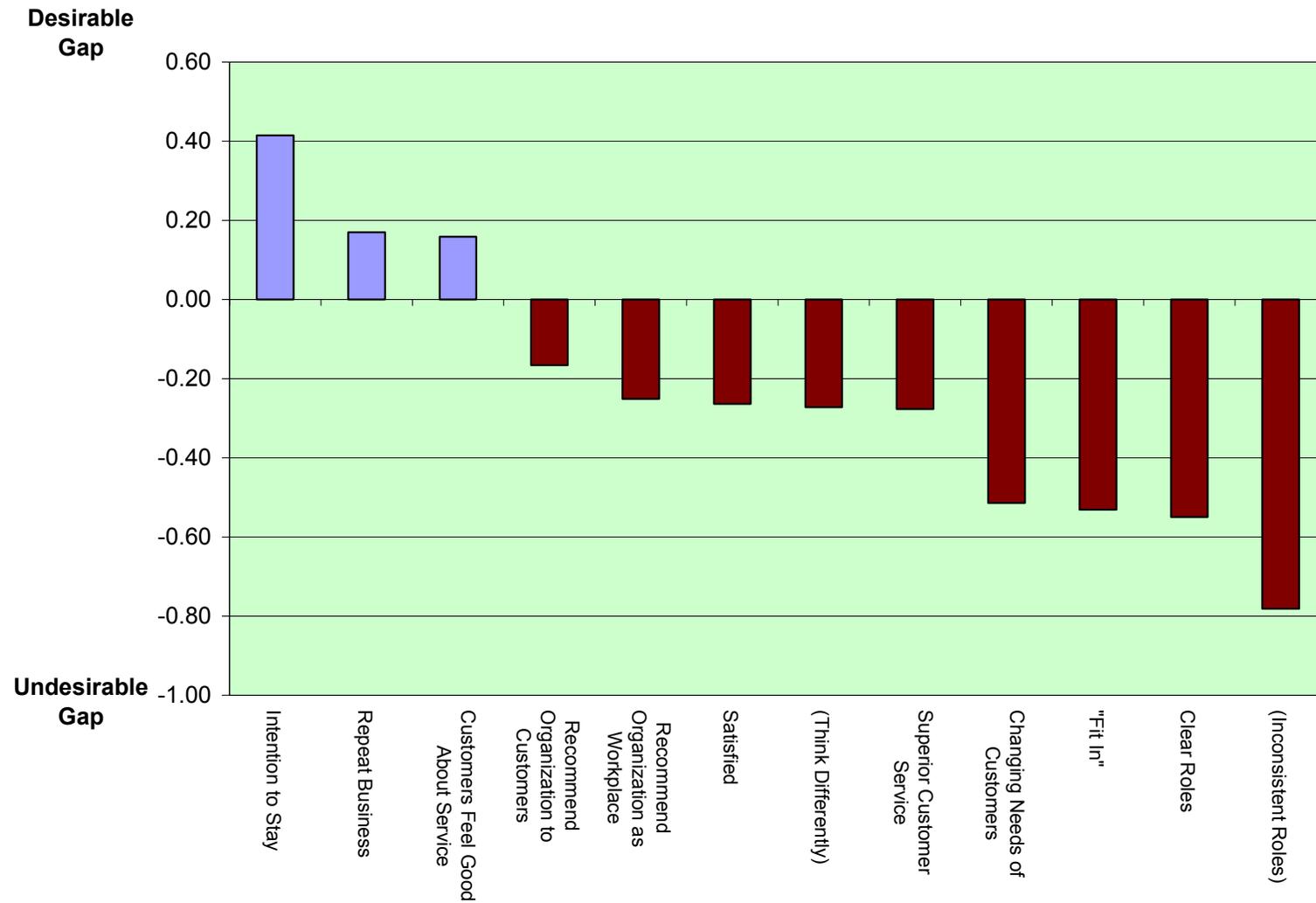
Gaps for negative items (those in parentheses) are reversed so that positive gaps are desirable and negative gaps are undesirable.

Outcome Barcharts and Tables

The outcome barcharts and tables provide detailed information regarding your organization's results. The barcharts compare your organization's results to our Historical Averages and to our Constructive Benchmarks for each of the OCI outcome items. The tables present the outcome items, in their entirety, along with your organization's means and standard deviations.

Your organization's outcome results are based on the average responses of all members who completed the OCI for your organization. The **Historical Averages** are based on the average responses of members from over 1000 different organizational units. From this sample of over 1000 units, 172 organizational units were identified as having predominantly Constructive cultures based on their OCI results. Specifically, the cultures of these 172 units were all relatively strong in terms of Constructive norms (above the 60th percentile) and relatively weak in terms of Passive/Defensive and Aggressive/Defensive cultural norms (below the 50th percentile). The average responses by members of these units to the OCI outcome items were then computed to establish our **Constructive Benchmarks** for these items.

Reviewing this subsection will provide you with a deeper understanding of your organization's outcome results. The information provided by the barcharts and tables will enable you to identify where your organization is falling short—or, conversely, doing quite well—as compared to other organizations.

Outcomes of Culture
Role Clarity and Role Conflict

All Respondents
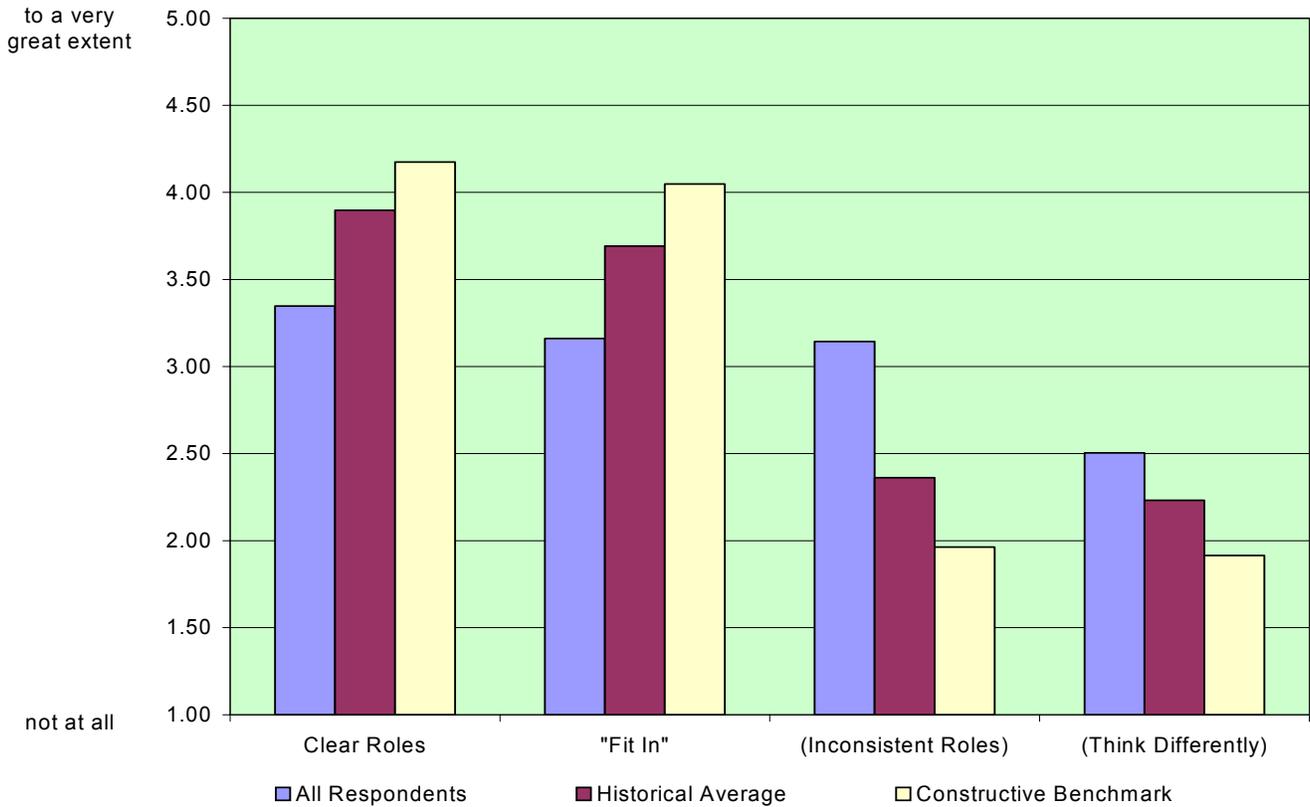
To what extent…	Mean	Std. Deviation
… do you clearly know what is expected of you as a member of this organization	3.35	1.09
… do you feel you comfortably "fit in" as a member of this organization	3.16	1.12
(… do you receive inconsistent messages regarding what is expected)	3.14	1.28
(… does your job require you to think differently than would otherwise be the case)	2.50	1.27

(Items in parentheses) are negatively worded; therefore, high scores along these items are undesirable.

Outcomes of Culture
Quality of Service

All Respondents
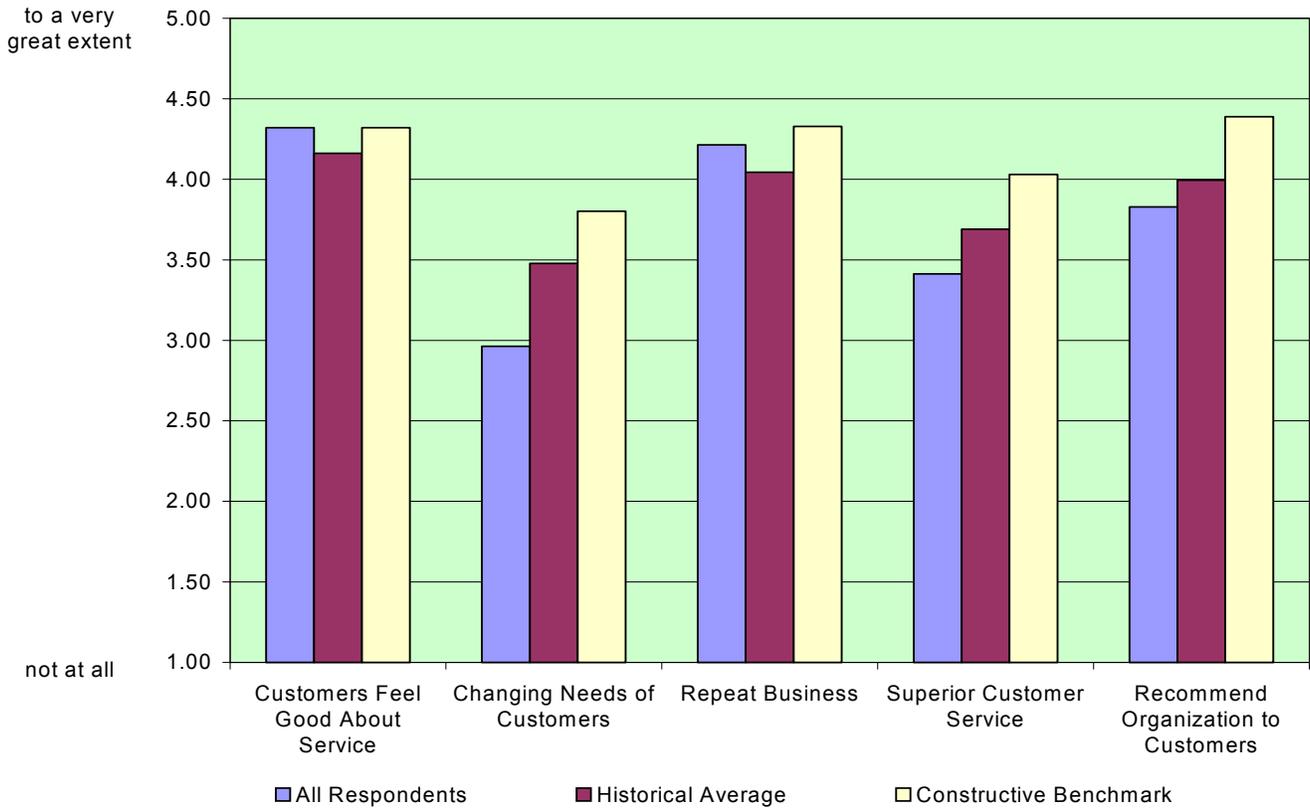
To what extent…	Mean	Std. Deviation
… would you personally go out of your way to make sure that a customer/client feels good about the service you've provided	4.32	0.76
… does the organization respond effectively to the changing needs of its customers	2.96	1.05
… do you believe the organization will get repeat business from its present customers	4.21	0.83
… does your organization have a reputation for superior customer service	3.41	1.02
… would you recommend this organization to potential customers/clients seeking the products or services it offers	3.83	1.02

Outcomes of Culture
Employee Satisfaction

All Respondents
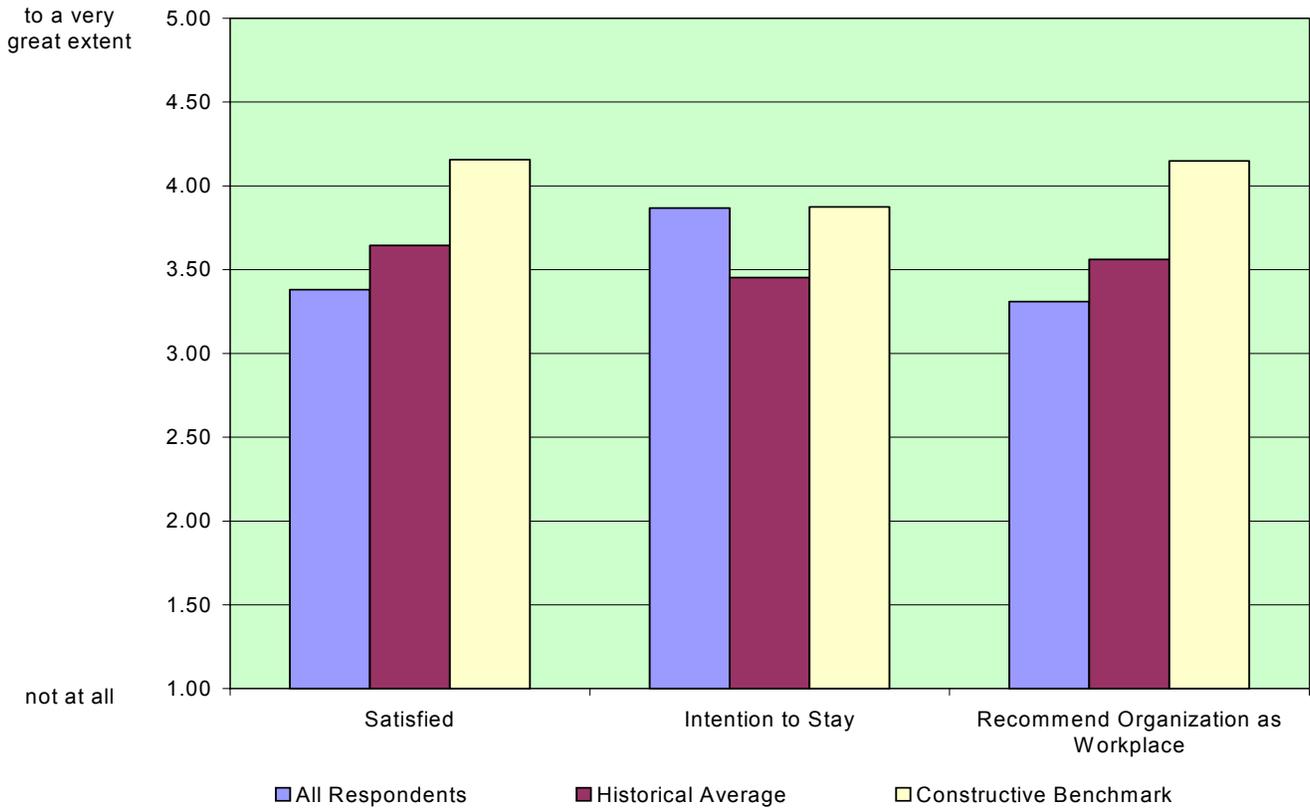
To what extent…	Mean	Std. Deviation
… are you satisfied being a member of this organization	3.38	1.09
… do you expect to be with this organization two years from now	3.87	1.28
… would you recommend this organization as a good place to work	3.31	1.23

Implications of the Outcome Scores

The desirability of high and low scores for each of the outcomes measured by the OCI are described below. Desirable scores are discussed in terms of their implications for other outcomes. Undesirable scores are discussed in terms of their implications for changes in culture, structures, systems, technology, or skills/qualities. As you review this section, make a list of the actions that can be taken by your organization to improve its results along outcomes as well as enhance its overall effectiveness.

Role Clarity

High scores along these measures are *desirable* and are associated with:

♦ significant effort by members to attain personal and organizational goals;

♦ effective teamwork and coordination; and

♦ relatively low levels of stress reported by members.

Low scores along these measures are *undesirable* and can indicate the need for:

♦ more explicit job descriptions;

♦ establishing goals with greater specificity and clarity; and

♦ better recognition for goal attainment.

Role Conflict

Low scores along these measures are *desirable* and are associated with:

♦ achievement-oriented (rather than avoidance-oriented) behaviors;

♦ individual health and well-being; and

♦ lower rates of accidents and mistakes.

High scores along these measures are *undesirable* and are associated with inefficient personal efforts, mistakes, and psychological symptoms of strain. Potential remedies include:

♦ cultural change programs;

♦ conflict resolution interventions; and

♦ individual stress management programs.

Quality of Service

High scores along these service quality measures have been shown, in various studies, to be associated with other measures of organizational performance including:

♦ sales growth;

♦ sales per square foot of selling space; and

♦ external evaluations of service quality.

Low scores along these measures indicate the need for:

♦ the establishment of service-oriented procedures and norms;

♦ evaluation and possible re-engineering of core processes;

♦ customer-service training for employees and managers; and

♦ the revision of reward systems (to reinforce goal attainment rather than passivity).

Employee Satisfaction

High scores along these measures are *desirable* and are associated with:

♦ commitment and loyalty to the organization;

♦ a propensity to do what is needed and correct problems facing the organization;

♦ effective teamwork and coordination; and

♦ relatively low levels of employee tardiness and turnover.

Low scores along these measures are *undesirable* and can indicate the need for:

♦ changes to create a more constructive and people-oriented culture;

♦ programs to promote more effective interpersonal relations;

♦ selection procedures that more effectively take into account the "fit" between the applicant and the job as well as the "fit" between the applicant and the organization; and

♦ task and job analyses that identify required competencies and resources and suggest potential job redesign interventions.

Correlations Between Your Organization's Culture and Outcomes

The correlations presented on the following pages summarize the relationship between your organization's outcome results and its results along the twelve cultural norms measured by the OCI. The correlations will help you to identify the cultural norms that are most strongly working for or against each of the outcomes that were assessed. Information on how to interpret the correlations between your organization's culture and outcomes is provided below.

Positive Correlations

A plus sign (+) indicates a significant positive correlation (at $p<.05$) between the cultural norm and the outcome. A positive correlation means that the cultural norm and outcome are positively related to one another. Thus, higher scores on the cultural norm tend to be associated with higher scores on the outcome. Similarly, lower scores on the cultural norm tend to be associated with lower scores on the outcome. A double plus (++) indicates a highly significant relationship (at $p<.01$).

For example, a positive correlation between Humanistic (a Constructive norm) and "satisfied" (an outcome item) indicates that the *more* that people within your organization believe they are expected to be Humanistic, the *more* satisfied they are with being a member of the organization. Similarly, the *less* that people within your organization believe they are expected to be Humanistic, the *less* satisfied they are with being a member of the organization.

Negative Correlations

A negative sign (-) indicates a significant negative correlation (at $p<.05$) between the cultural norm and the outcome. A negative correlation means that the cultural norm and the outcome are inversely related to one another. Thus, higher scores on the cultural norm tend to be associated with lower scores on the outcome. Similarly, lower scores on the cultural norm tend to be associated with higher scores on the outcome. A double minus (--) indicates a highly significant relationship (at $p<.01$).

For example, a negative correlation between Dependent (a Passive/Defensive norm) and "repeat business" (an outcome item) indicates that the *more* that people within your organization believe they are expected to be Dependent, the *less* likely they are to believe that your organization will get repeat business from its present customers. Similarly, the *less* that people within your organization believe they are expected to be Dependent, the *more* likely they are to believe that your organization will get repeat business from its present customers.

Zero Correlations

A zero (0) indicates that there is no significant relationship between the outcome and the cultural norm within your organization. For example, a zero correlation between Humanistic and "intention to stay" can imply that the level of Humanistic behavior expected within your organization does not have implications for members' intentions to stay. However, zero (or non-significant) correlations can also be the result of a lack of variance in responses by members within your organization on either the cultural norm or the outcome. Non-significant correlations can also be due to small sample sizes. Consequently, non-significant or "0" correlations should be interpreted with care.

When reviewing the correlation tables, you'll want to identify which cultural norms are most strongly related to the outcomes in need of improvement. Then, refer back to your organization's cultural gaps (pp. 2-13 and 2-14) and, based on the correlation results, determine which of these gaps are your most critical targets for change.

Correlations Between Your Organization's Culture and Outcomes

Outcomes	Humanistic	Affiliative	Achievement	Self-Actualizing
Role Clarity and Role Conflict				
Clear Roles	++	++	++	++
"Fit In"	++	++	++	++
(Inconsistent Roles)	--	--	--	--
(Think Differently)	--	--	--	--
Quality of Service				
Customers Feel Good about Service	+	0	0	0
Changing Needs of Customers	++	++	++	++
Repeat Business	++	++	++	++
Superior Customer Service	++	++	++	++
Recommend Organization to Customers	++	++	++	++
Employee Satisfaction				
Satisfied	++	++	++	++
Intention to Stay	++	++	++	++
Recommend Organization as a Good Place to Work	++	++	++	++

+   Significant Positive Correlation (at the .05 level)

++   Significant Positive Correlation (at the .01 level)

-      Significant Negative Correlation (at the .05 level)

--   Significant Negative Correlation (at the .01 level)

0   No Significant Correlation

Correlations Between Your Organization's Culture and Outcomes

Outcomes	Approval	Conventional	Dependent	Avoidance
Role Clarity and Role Conflict				
Clear Roles	--	--	--	--
"Fit In"	--	--	--	--
(Inconsistent Roles)	++	++	++	++
(Think Differently)	++	++	++	++
Quality of Service				
Customers Feel Good about Service	0	0	0	0
Changing Needs of Customers	--	--	--	--
Repeat Business	--	--	-	--
Superior Customer Service	--	--	--	--
Recommend Organization to Customers	--	--	--	--
Employee Satisfaction				
Satisfied	--	--	--	--
Intention to Stay	--	--	--	--
Recommend Organization as a Good Place to Work	--	--	--	--

+   Significant Positive Correlation (at the .05 level)
++   Significant Positive Correlation (at the .01 level)

-      Significant Negative Correlation (at the .05 level)
--   Significant Negative Correlation (at the .01 level)

0   No Significant Correlation

Correlations Between Your Organization's Culture and Outcomes

Outcomes	Oppositional	Power	Competitive	Perfectionistic
Role Clarity and Role Conflict				
Clear Roles	--	--	--	--
"Fit In"	--	--	--	--
(Inconsistent Roles)	++	++	++	++
(Think Differently)	++	++	++	++
Quality of Service				
Customers Feel Good about Service	0	0	0	0
Changing Needs of Customers	--	--	--	--
Repeat Business	-	--	--	0
Superior Customer Service	-	--	--	0
Recommend Organization to Customers	--	--	--	0
Employee Satisfaction				
Satisfied	--	--	--	--
Intention to Stay	--	--	--	-
Recommend Organization as a Good Place to Work	--	--	--	--

+   Significant Positive Correlation (at the .05 level)
++   Significant Positive Correlation (at the .01 level)

-     Significant Negative Correlation (at the .05 level)
--   Significant Negative Correlation (at the .01 level)

0   No Significant Correlation

Comparative Profiles

The profiles presented on the following pages provide a visual illustration of the impact of your organization's culture on three of the four outcome areas assessed by the OCI: role conflict, quality of service, and employee satisfaction.* The profiles allow you to compare the culture described by the people who scored in the *top 15 percent* in a particular outcome area ("High") to the culture described by those who scored in the *bottom 15 percent* in that same outcome area ("Low").

Similar to the correlations, the comparative profiles can be used to identify those cultural norms in which changes are likely to be the most instrumental in improving effectiveness within your organization. However, keep in mind that, like the correlations, the differences between the high and low profiles depend on the variability in members' responses to the OCI. The greater the agreement among members regarding cultural norms and outcomes, the less dramatic the differences between the high and low comparative profiles. Conversely, the less the agreement among members regarding cultural norms and outcomes, the more dramatic the differences between the high and low comparative profiles.

*A comparative profile is not presented for role clarity because it is measured by a single item and therefore does not have enough variance to identify high and low groups.

Comparative Profiles
Role Conflict—Low
(Bottom 15%)
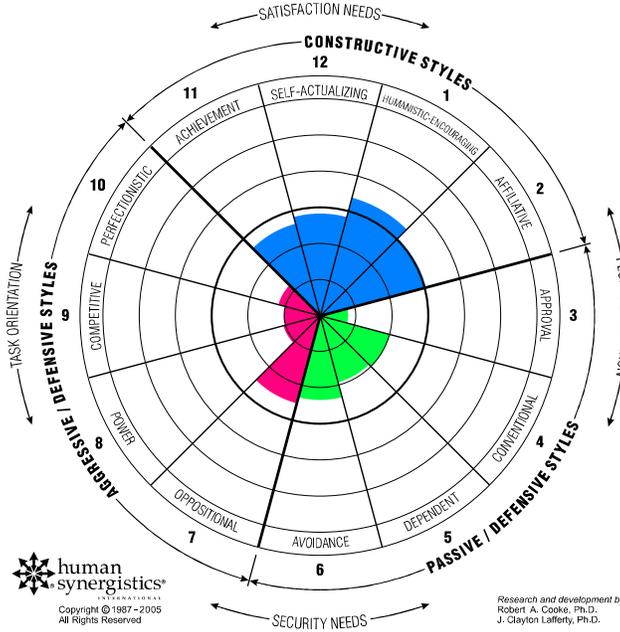
Role Conflict—High
(Top 15%)
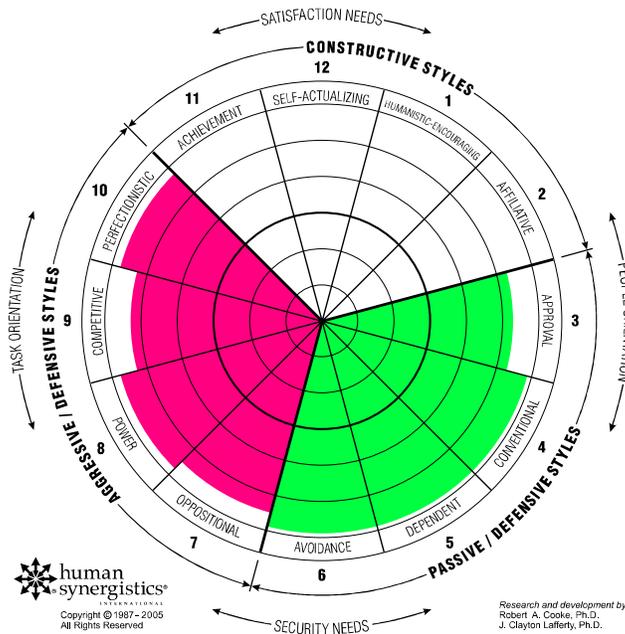
Comparative Profiles
Quality of Service—High
(Top 15%)
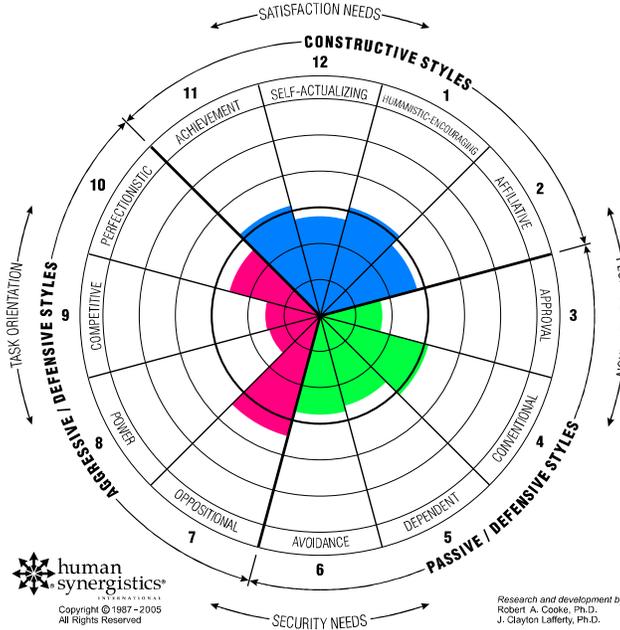
Quality of Service—Low
(Bottom 15%)
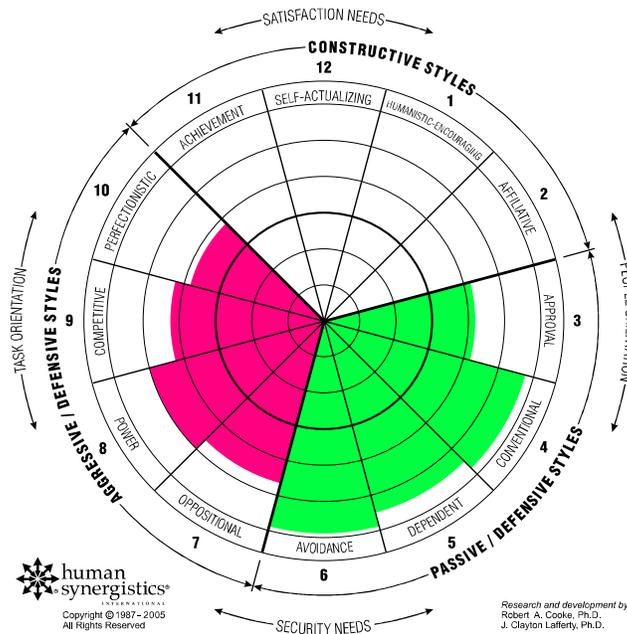
Comparative Profiles
Employee Satisfaction—High
(Top 15%)
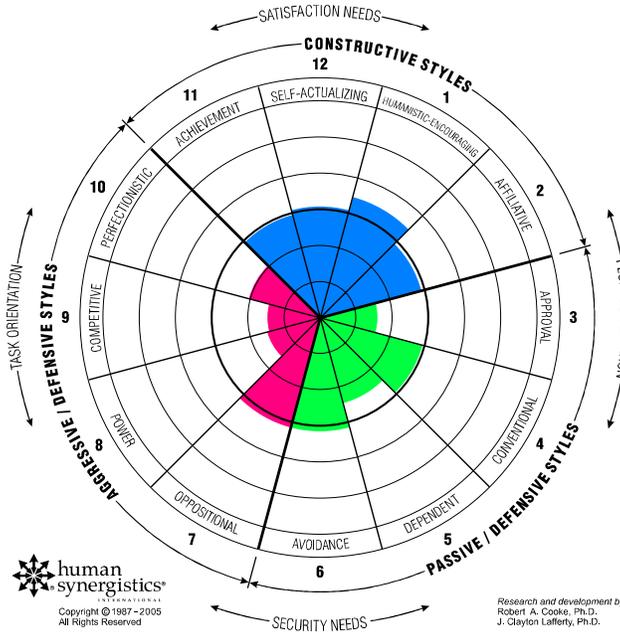
Employee Satisfaction—Low
(Bottom 15%)
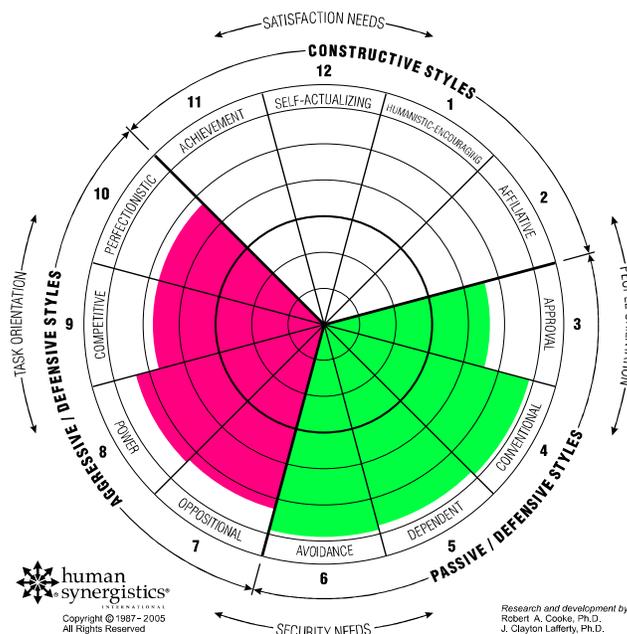
Planning for Cultural Change

Planning for cultural change is a crucial step in your organization's development. It encourages you to specify both the results that should be attained from a successful change process and the steps that need to be taken to achieve those results.

This section provides you with a structured approach for using the information contained in this report to outline a plan for cultural change. Specifically, this section walks you through the process of:

♦ defining the results to be attained,

♦ specifying cultural change targets and goals,

♦ determining how to increase readiness for change, and

♦ identifying levers for cultural change.

Define Results to be Attained

The outcomes of culture measured by the OCI are listed below. Descriptions of these outcomes and your organization's results are contained in the "Outcomes of Culture" section (Section 3) of this report. Using the information contained in Section 3 (as well as your own observations), work through the following steps to determine the results to be attained from cultural change efforts initiated within your organization.

Step 1: Review Your Organization's Outcome Results

Review the "Gap Barchart of the Outcome Items" on p. 3-2 of the report. On the list below, write a check next to those items along which your organization scored within the undesirable range.

Role Clarity
___Clear roles

Role Conflict
___Fit in
___(Inconsistent roles)
___(Think differently)

Employee Satisfaction
___Satisfied
___Intention to stay
___Recommend organization

Quality of Service
___Customers feel good about service
___Changing needs of customers
___Repeat business
___Superior customer service
___Recommend organization to customers

Step 2: Establish a Target for Improvement

Review the "Implications of the Outcome Scores," located on pp. 3-7 and 3-8 of the report. Given your organization's outcome results and the implications of those results, identify one general outcome from the list of above (either role clarity, role conflict, employee satisfaction, or quality of service) that is most in need of improvement. This will be your *targeted outcome for improvement*.

Targeted Outcome: _____

Step 3: Specify Goals for Improvement

Establish specific *goals for improvement* that your organization should strive toward to do better along the targeted outcome specified in the Step 2. You can base your goals on the OCI items used to measure the targeted outcome (listed on pp. 3-4 to 3-6) or you can base your goals on other criteria. For example, if employee satisfaction is an outcome targeted for improvement, specific goals for improvement could be a 20 percent reduction in turnover, a 10 percent increase in the number of employee referrals for job candidates, and a 1 point improvement in the OCI employee satisfaction items.

Goals for Improvement:

_____

_____

Step 4: Identify Additional Targets and Goals

List any other outcomes that your organization also needs to target for improvement (these outcomes can be those measured by the OCI or other outcomes that are important to your organization). Then, specify goals for improvement for each of these outcomes.

Additional Targeted Outcome:

_____

Goals for Improvement:

_____

_____

_____

Additional Targeted Outcome:

_____

Goals for Improvement:

_____

_____

_____

Additional Targeted Outcome:

_____

Goals for Improvement:

_____

_____

_____

Specify Cultural Change Targets and Goals

Descriptions of the cultural norms measured by the OCI and your organization's culture results are provided in the "Organizational Culture" section (Section 2) of this report. Use the information contained in Section 2 to identify those aspects of your organization's culture that need to be changed to attain the desired results along outcomes.

Step 1: Compare Current and Ideal Culture Profiles

Review the current and ideal culture profiles presented on pp. 2-7 and 2-10, respectively. For each profile, identify the two cultural norms that are most extended from the center of the circumplex— these norms define the *direction* of the current or ideal culture. Then, identify the two cultural norms that have the *least direction*, or are least extended. Referring to the tables that correspond to the profiles (pp. 2-8 and 2-11), locate the *intensities* (or amount of agreement among respondents) of the cultural norms that you identified. Record your findings below.

Most Extended Cultural Norms

Current Profile	*Ideal Profile*
Norm:_____	Norm:_____
Intensity: _____	Intensity: _____
Norm:_____	Norm:_____
Intensity: _____	Intensity: _____

Least Extended Cultural Norms:

Current Profile	*Ideal Profile*
Norm:_____	Norm:_____
Intensity: _____	Intensity: _____
Norm:_____	Norm:_____
Intensity: _____	Intensity: _____

Step 2: Identify Culture Gaps

Turn to the analysis of current versus ideal profiles on pp. 2-13 and 2-14. Along which two cultural norms do you see the greatest gaps or discrepancies between the current and ideal profiles?

Culture Gaps:

_____   _____

Step 3: Identify Cultural Targets and Goals for Change

Review the "Correlations between Your Organization's Culture and Outcomes" located in Section 3 on pp. 3-11 to 3-13. Which two cultural norms are most strongly related to the outcomes that you targeted for improvement—the most extended norms in the Ideal Profile, the weakest norms in the Current Profile, or the norms with the greatest gaps between Current and Ideal? These will be your *cultural targets for change*.

Then, turn to the item-by-item results in Section 2 of the report (pp. 2-15 to 2-26). For each of your cultural targets, identify the items with the greatest gaps or discrepancies between the current and ideal cultures. These items describe the expectations for behavior that need to be increased or decreased within your organization and should be used to define your *goals for cultural change*.

Cultural Target 1:

_____

Goals for Cultural Change:

_____

_____

_____

Cultural Target 2:

_____

Goals for Cultural Change:

_____

_____

_____

Increase Readiness for Change

Identifying ways to increase your organization's readiness for change is an important part of the cultural change process. Your organization's results with respect to its readiness for cultural change are presented in the "Organizational Culture (All Respondents)" section of this report. Use this information to determine how your organization can overcome resistance to change, as well as build support for the change process.

Step 1: Identify Sources of Resistance and Support

Based on members' perceptions regarding the motivation for cultural change (page 2-29) and your own observations, where within your organization do you anticipate the greatest sources of resistance? Where do you anticipate the greatest sources of support?

Sources of resistance to change likely include…   *Sources of support for change likely include…*

_____   _____

_____   _____

_____   _____

Step 2: Uncover Fears and Concerns

Based on members' assessments of the ideal culture (p. 2-28), their perceptions regarding motivation for cultural change (p. 2-29), and your own observations, what are the likely fears or concerns behind the sources of resistance?

The fears or concerns that will need to be addressed in order to facilitate successful cultural change include…

Step 3: Overcome Sources of Resistance

How can your organization overcome these sources of resistance to cultural change?

We can overcome these sources of resistance by…

Step 4: Increase Support for Cultural Change

Organizational members are more likely to be supportive of the cultural change process when they are involved in its design as well as its implementation. In what ways can those who are likely to be supportive of the cultural change process contribute to its success?

Sources of support can facilitate the change process by…

Identify Levers for Cultural Change

At this point, you will want to identify the internal structures, systems, technology, and skills/qualities that need to be modified or changed to help you to meet your cultural change targets. Suggestions regarding possible levers for changing your organization's culture are provided in the *Executive Summary* (under "Implications for Cultural Change") and in the "Introduction" and "Outcomes of Culture" sections of this report (Sections 1 and 3). Based on these suggestions, as well as your own observations, identify what could be done differently at the organizational, manager/unit, and member/job levels to better reinforce the behaviors that are consistent with your cultural targets and goals.

Step 1: Identify Organizational-Level Levers

Think about the structures, systems, technology, and skills/qualities at the organizational level. Examples include decision-making structures, emphasis on rules and procedures, human resource management systems, and upward and downward communications. What could be done differently at this level to better reinforce the behaviors that are consistent with your organization's targets and goals for cultural change?

Organizational Level Lever 1:

Changes to be made:

Organizational Level Lever 2:

Changes to be made:

Organizational Level Lever 3:

Changes to be made:

Step 2: Identify Manager/Unit-Level Levers

Think about the structures, systems, technology, and skills/qualities at the manager/unit level. Examples include managers' leadership styles, sources of power and influence, use of rewards and punishment, performance appraisal systems, and the degree of interdependence among members. What could be done differently at this level to better reinforce the behaviors that are consistent with your organization's targets and goals for cultural change?

Manager/Unit Level Lever 1:

Changes to be made:

Manager/Unit Level Lever 2:

Changes to be made:

Manager/Unit Level Lever 3:

Changes to be made:

Step 3: Identify Member/Job-Level Levers

Think about the structures, systems, technology, and skills/qualities at the member/job level. Examples include employee goal setting systems, job design, job security, and empowerment. What could be done differently at this level to better reinforce the behaviors that are consistent with your organization's targets and goals for cultural change?

Member/Job Level Lever 1:

Changes to be made:

Member/Job Level Lever 2:

Changes to be made:

Member/Job Level Lever 3:

Changes to be made:

Subgroup Results

This section of the report contains the OCI results for the key subgroups identified by your organization. Combined with the information provided in the other sections of this report, these results will enable you to determine whether:

♦   subcultures exist within your organization; and

♦   additional cultural change efforts need to be initiated (beyond those outlined for the organization as a whole).

Interpreting the Subgroups' Culture Results

The OCI results reported in this section describe the cultural norms of particular subgroups in terms of the extent to which certain behaviors and personal styles *are expected* (i.e., the current culture). These results are plotted on the OCI circumplex and are also presented in tabular form.

Direction of the Subgroups' Cultures

The OCI circumplex converts each subgroup's unadjusted (or "raw") scores along the twelve cultural norms to percentile scores that provide a more realistic picture of the culture. In interpreting a subgroup's culture profile, you'll want to note the *direction* of the culture (i.e., the cultural norms that describe the ways in which subgroup members are encouraged to think and behave). The direction of a subgroup's culture is defined by its primary and secondary styles. The *primary style* is the most extended cultural norm in the profile and describes the way in which members of the subgroup are predominantly encouraged to think and behave. The *secondary style* is the second most extended cultural norm in the profile and typically works with the primary style or is expected when the behaviors associated with the primary style cannot be enacted.

Primary and secondary styles can also be identified from the table corresponding to each subgroup's profile. The first two columns of the table summarize the percentile scores and raw scores for each of the cultural norms. The cultural norm with the highest percentile score is the primary style; the cultural norm with the second highest percentile score is the secondary style.

Intensity of the Subgroups' Cultures

In addition to the raw scores and percentile scores, the tables describing the culture of each subgroup present the standard deviations of the responses around the raw scores. The standard deviations provide indication of the *intensity* or amount of agreement among respondents regarding the extent to which particular norms are predominant within a given subgroup. The *lower* the standard deviation, the greater the intensity of a particular norm within a given subgroup. Conversely, the *higher* the standard deviation, the lower the intensity of a particular norm within a given subgroup. The interpretive comments regarding the intensity of each subunit's culture (e.g., high, moderate, and low) are based on comparisons to the distribution of standard deviations from over 900 other organizational units in which the OCI was administered.

Identifying Subcultures

Significant differences between the scores of one subgroup and the scores of all of the other subgroups within your organization suggest that a subgroup has its own *subculture*. A subculture can be characterized by norms that are in opposition to those of the rest of the organization ("counter-culture") or it can be

characterized by complementary or extreme levels of norms and expectations that are predominant in the organization's culture profile.

When the entire population (or a very large percentage) of an organization has completed the OCI, any differences between a subgroup's raw scores and those of the other subgroups *are* significant and indicate the existence of subcultures. However, when only a sample of members are surveyed regarding the culture, a statistical test is used to estimate the likelihood that any observed differences are significant (rather than due to chance or sampling error). The significance of the difference between each subgroup's raw scores for the twelve cultural norms and the combined raw scores of the other subgroups within your organization were tested using a *Student t-test*. Raw scores that are statistically significantly different from those of the other subgroups are indicated by asterisks (*) in the last column of the tables. The more asterisks next to the raw score, the higher the level of statistical significance and the greater the likelihood that the subgroup has a culture that is notably different from the culture of the rest of the organization.

Interpreting the Culture of a Subgroup

In interpreting the current culture of a subgroup, you should consider both direction and intensity. Direction tells you what is (and is not) expected; intensity tells you how widely shared these expectations are within the subgroup. You can determine whether the subgroup's culture is a subculture or a reflection of the larger organizational culture by comparing the subgroup's results to those of your organization (Section 2 of this report) or by referring to the *t*-test results presented in this section.

Comparing the Subgroup's Cultures to the Ideal Culture

You should also compare each subgroup's culture profile to the ideal culture profile for your organization (contained Section 2). Make a list of the gaps between the subgroup's current culture and the ideal culture. Then, turn to the correlation results summarizing the relationship between the twelve cultural norms and the outcome items measured by the OCI (Section 3 of this report). Determine which cultural gaps are most critical given the outcomes targeted for improvement by your organization.

Interpreting the Subgroups' Outcome Results

Results along the OCI outcome items are also presented in this section for each of the key subgroups. Section 3 of this report includes descriptions of the outcomes that were measured, as well as describes the implications of high and low scores. You may want to refer back to these descriptions as you review the subgroup' results.

The outcome results are presented in barcharts and tables that allow you to compare each subgroup's results to the results of your organization (all respondents), our Historical Averages, and our Constructive Benchmarks. The **Historical Averages** are based on the average scores of over 1000 organizational units. The **Constructive Benchmarks** are based on the average scores of approximately 172 organizational units with relatively strong Constructive (above the 60th percentile) and relatively weak Passive/Defensive and Aggressive/Defensive (below the 50th percentile) cultural norms.

As you review the results for a given subgroup, make a list of any outcomes along which the subgroup needs to make improvements. You can then refer to Section 3 to understand the implications of high and low scores and to obtain some ideas regarding changes that might help to improve the subgroup's effectiveness.

Current Culture
NVSL
N=176
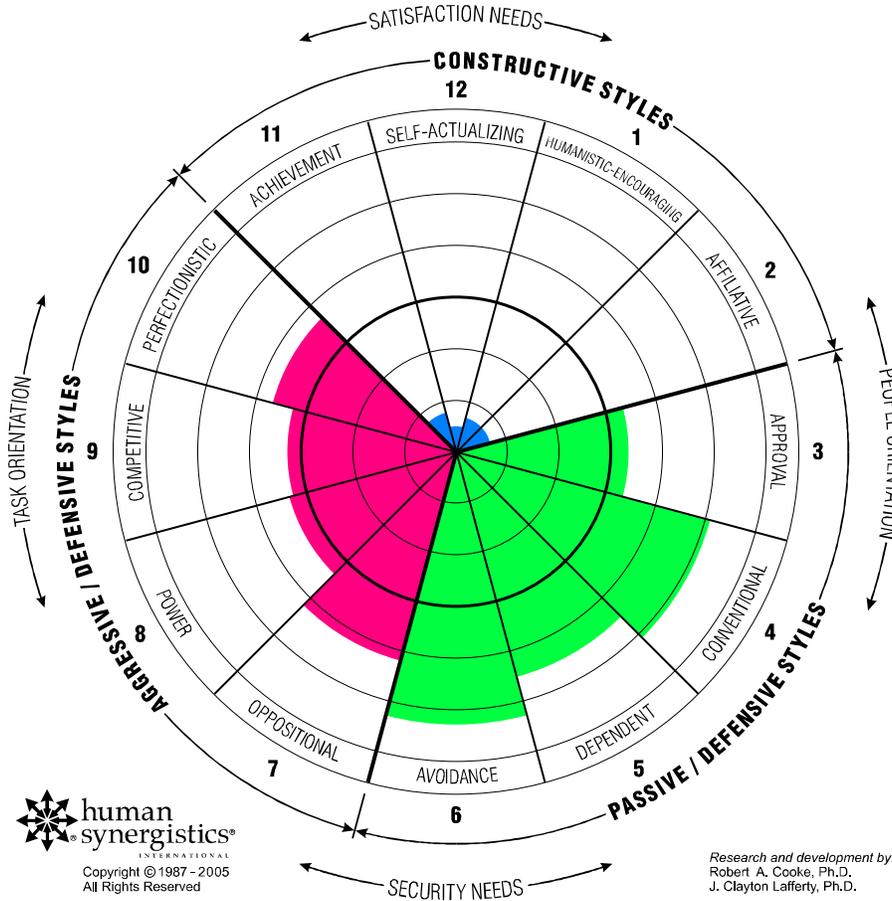
Overall, the strongest extensions are in the **Passive/Defensive** cluster.

With respect to the specific cultural norms, the…

Primary Style is **Avoidance**

People are expected to:
♦ push decisions upward
♦ take few chances
♦ never be the one blamed for problems

Secondary Style is **Conventional**

People are expected to:
♦ always follow policies and practices
♦ make a "good impression"
♦ treat rules as more important than ideas

Note: The items listed under the primary and secondary styles are those with the highest mean scores.

Current Culture
NVSL
N=176
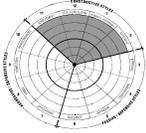
Constructive Styles	Percentile Score	Raw Score	Std. Deviation	Intensity (Based on SD)	Significant Differences
Humanistic	7.00%	28.07	8.18	Low	NS
Affiliative	7.00%	30.63	7.92	Low	NS
Achievement	8.00%	30.75	6.76	Low	NS
Self-Actualizing	5.00%	27.48	6.11	Moderate	NS
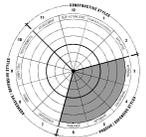
Passive/Defensive Styles	Percentile Score	Raw Score	Std. Deviation	Intensity (Based on SD)	Significant Differences
Approval	59.00%	28.38	7.23	Low	NS
Conventional	91.00%	33.59	8.36	Low	NS
Dependent	83.00%	33.92	7.18	Low	NS
Avoidance	93.00%	26.24	8.59	Very Low	NS

Aggressive/ Defensive Styles	Percentile Score	Raw Score	Std. Deviation	Intensity (Based on SD)	Significant Differences
Oppositional	78.00%	24.27	5.69	Low	NS
Power	59.00%	25.45	8.36	Low	NS
Competitive	57.00%	22.75	8.10	Low	NS
Perfectionistic	67.00%	30.83	8.07	Low	NS

Raw scores that are statistically different from the raw scores for the rest of the organization are indicated by asterisks (*p<.05; **p<.01; ***p<.001). Non-significant differences are indicated by "NS."

Outcomes of Culture
Role Clarity and Role Conflict

NVSL
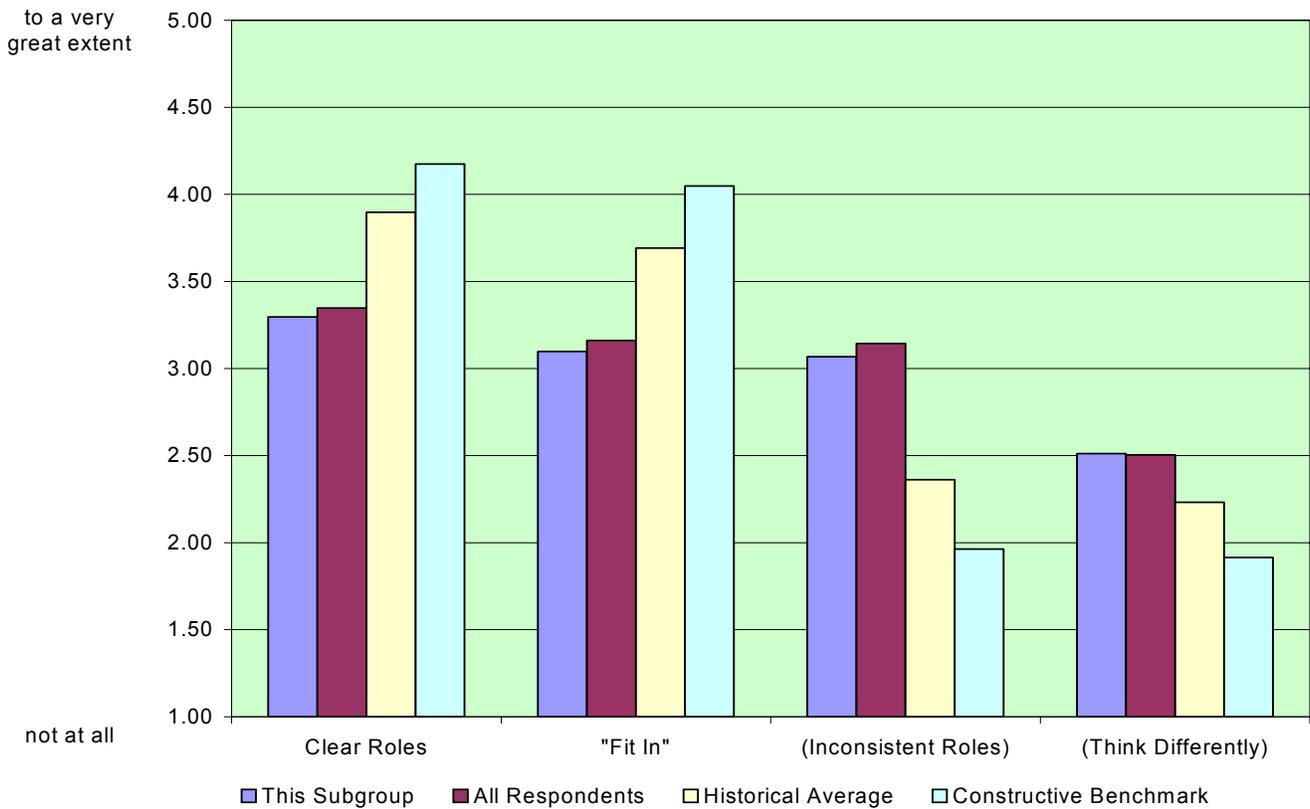
To what extent…	Mean	Std. Deviation
… do you clearly know what is expected of you as a member of this organization	3.30	0.99
… do you feel you comfortably "fit in" as a member of this organization	3.10	1.08
(… do you receive inconsistent messages regarding what is expected)	3.07	1.28
(… does your job require you to think differently than would otherwise be the case)	2.51	1.24

(Items in parentheses) are negatively worded; therefore, high scores along these items are undesirable.

Outcomes of Culture
Quality of Service

NVSL
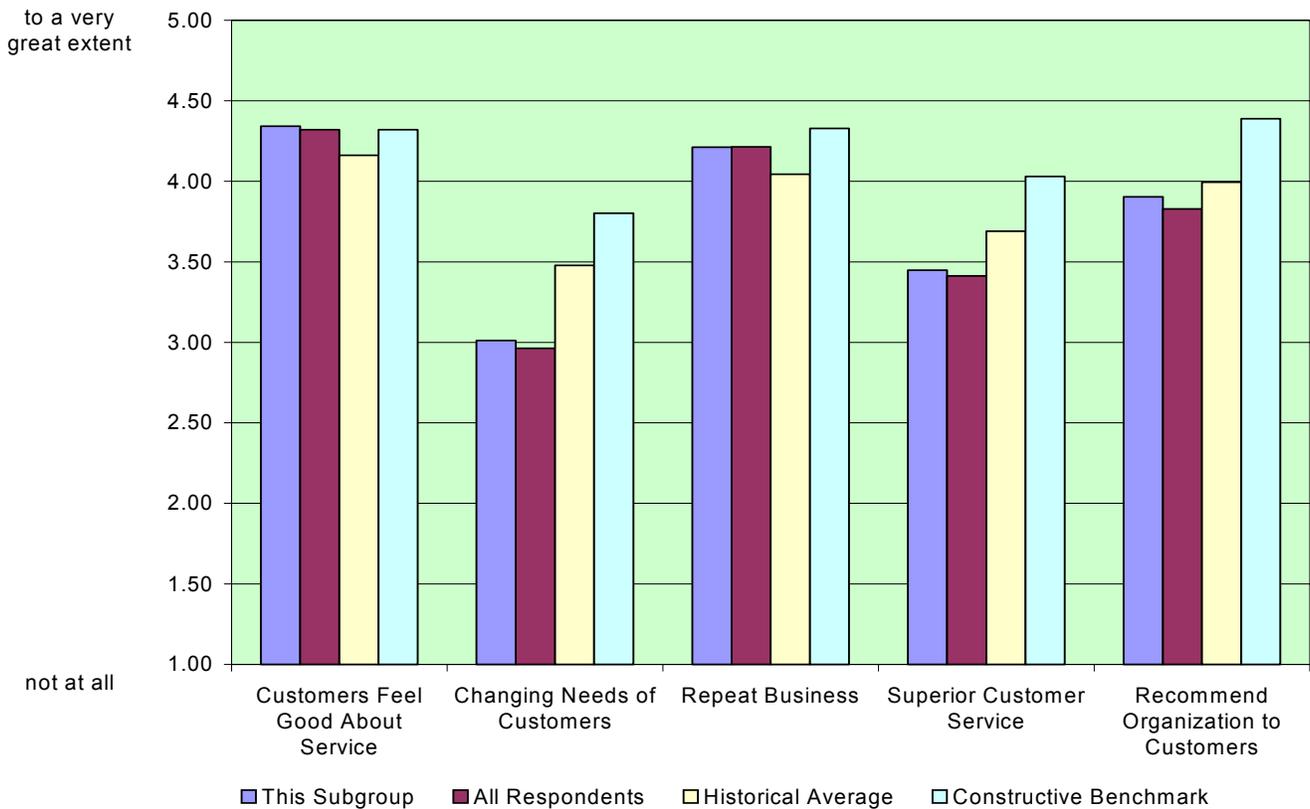
To what extent…	Mean	Std. Deviation
… would you personally go out of your way to make sure that a customer/client feels good about the service you've provided	4.34	0.72
… does the organization respond effectively to the changing needs of its customers	3.01	1.04
… do you believe the organization will get repeat business from its present customers	4.21	0.82
… does your organization have a reputation for superior customer service	3.45	1.04
… would you recommend this organization to potential customers/clients seeking the products or services it offers	3.90	0.99

Outcomes of Culture
Employee Satisfaction

NVSL
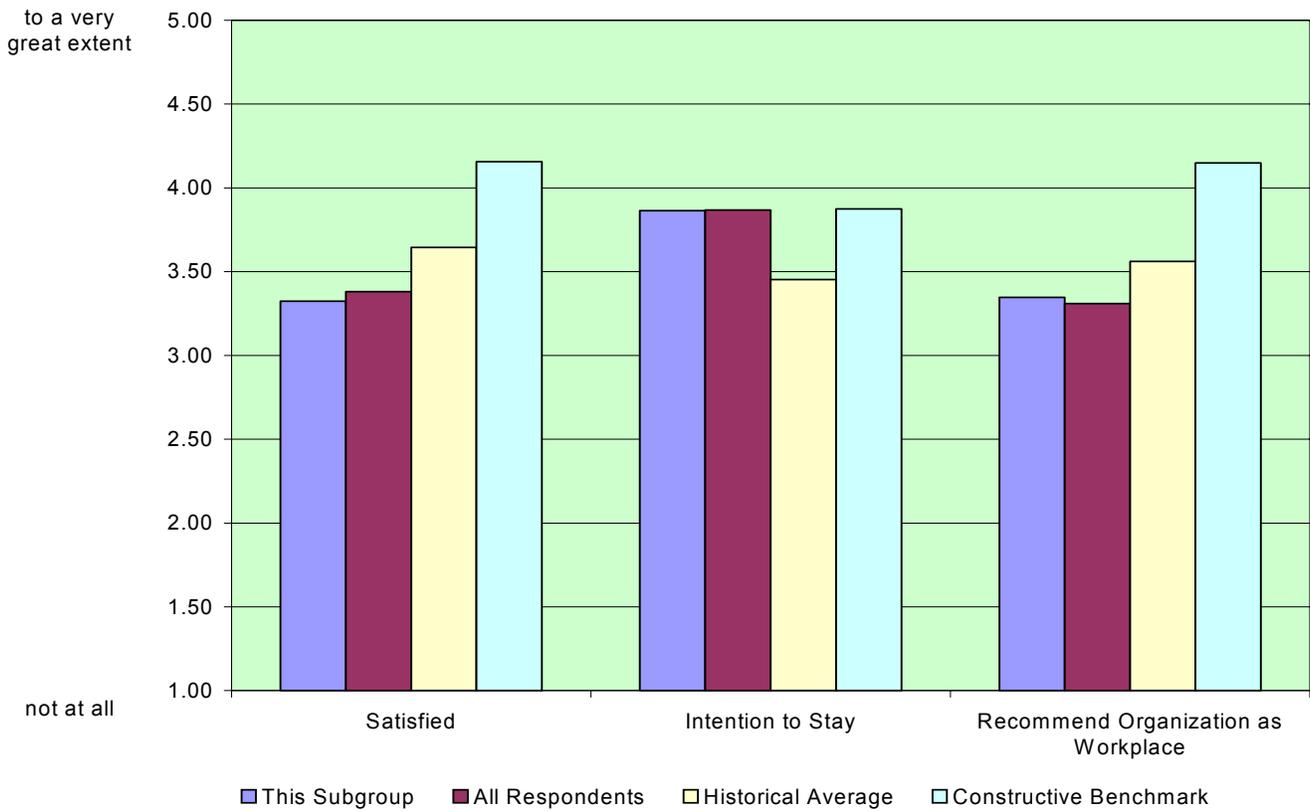
To what extent…	Mean	Std. Deviation
… are you satisfied being a member of this organization	3.32	1.06
… do you expect to be with this organization two years from now	3.86	1.29
… would you recommend this organization as a good place to work	3.35	1.20

Current Culture
CVB
N=115

Overall, the strongest extensions are in the **Passive/Defensive** cluster.

With respect to the specific cultural norms, the…

Primary Style is **Avoidance**   Secondary Style is **Conventional**

People are expected to: *People are expected to:*
♦ push decisions upward   ♦ always follow policies and practices
♦ take few chances   ♦ make a "good impression"
♦ make "popular" rather than necessary   ♦ treat rules as more important than ideas
  decisions

Note: The items listed under the primary and secondary styles are those with the highest mean scores.
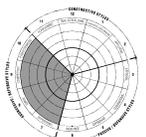
Current Culture
CVB
N=115
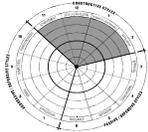
Constructive Styles	Percentile Score	Raw Score	Std. Deviation	Intensity (Based on SD)	Significant Differences
Humanistic	14.00%	30.01	9.78	Very Low	NS
Affiliative	9.00%	31.46	9.59	Very Low	NS
Achievement	13.00%	31.88	7.76	Low	NS
Self-Actualizing	10.00%	28.66	7.36	Low	NS
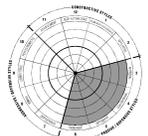
Passive/Defensive Styles	Percentile Score	Raw Score	Std. Deviation	Intensity (Based on SD)	Significant Differences
Approval	52.00%	27.61	7.99	Low	NS
Conventional	87.00%	32.57	8.95	Very Low	NS
Dependent	80.00%	33.26	8.15	Very Low	NS
Avoidance	93.00%	26.47	9.29	Very Low	NS
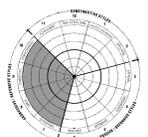
Aggressive/ Defensive Styles	Percentile Score	Raw Score	Std. Deviation	Intensity (Based on SD)	Significant Differences
Oppositional	80.00%	24.55	5.98	Low	NS
Power	66.00%	26.12	9.38	Very Low	NS
Competitive	63.00%	23.58	9.57	Very Low	NS
Perfectionistic	52.00%	29.30	8.31	Very Low	NS

Raw scores that are statistically different from the raw scores for the rest of the organization are indicated by asterisks (*p<.05; **p<.01; ***p<.001). Non-significant differences are indicated by "NS."

Outcomes of Culture
# **Role Clarity and Role Conflict**

CVB
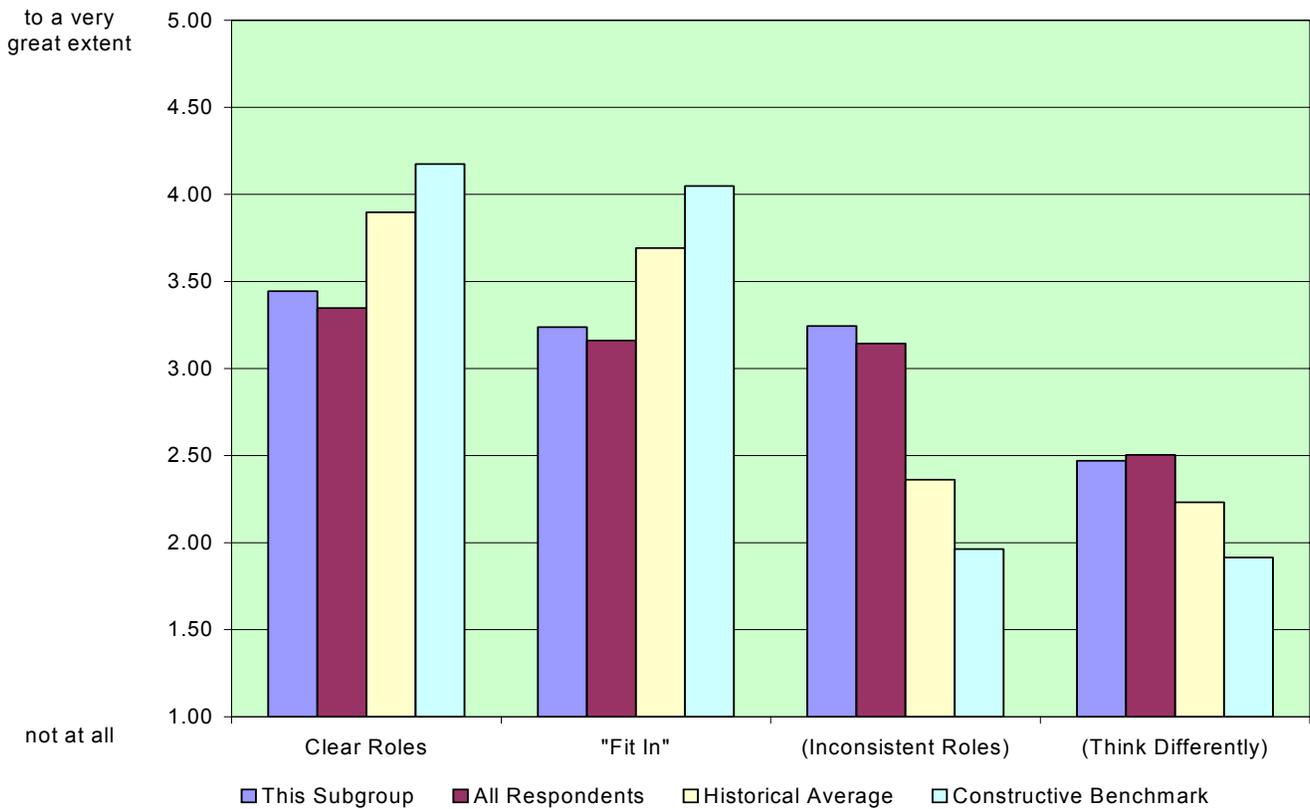
To what extent…	Mean	Std. Deviation
… do you clearly know what is expected of you as a member of this organization	3.44	1.21
… do you feel you comfortably "fit in" as a member of this organization	3.24	1.15
(… do you receive inconsistent messages regarding what is expected)	3.24	1.28
(… does your job require you to think differently than would otherwise be the case)	2.47	1.31

(Items in parentheses) are negatively worded; therefore, high scores along these items are undesirable.

# Outcomes of Culture
Quality of Service

CVB

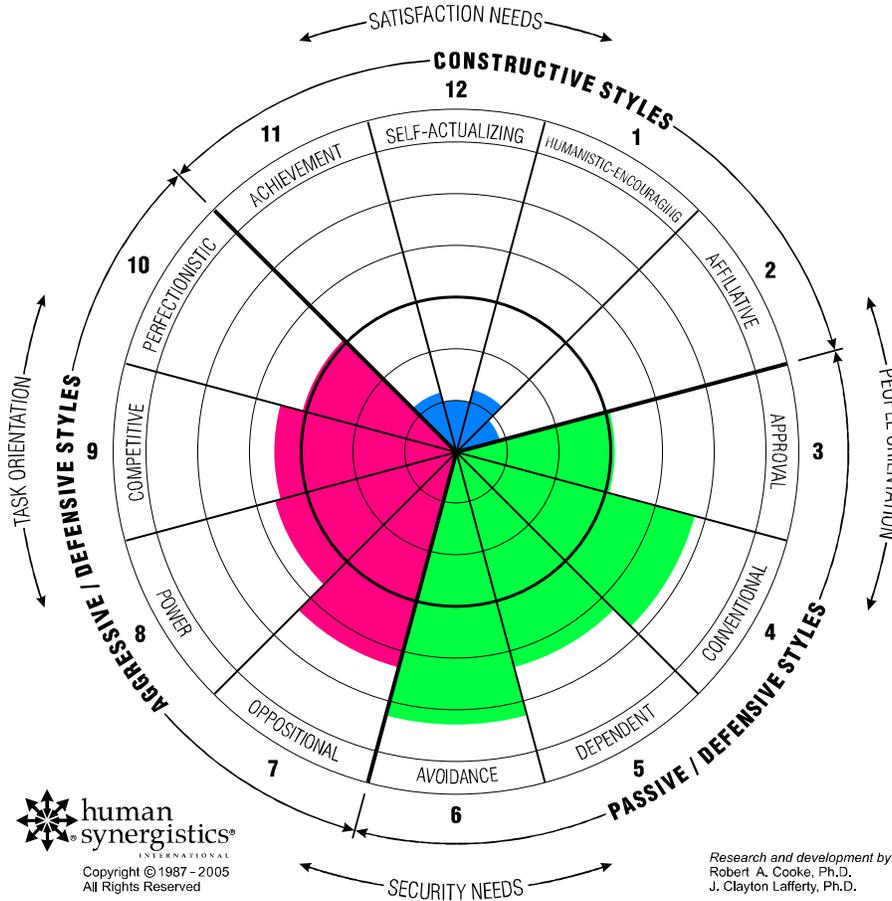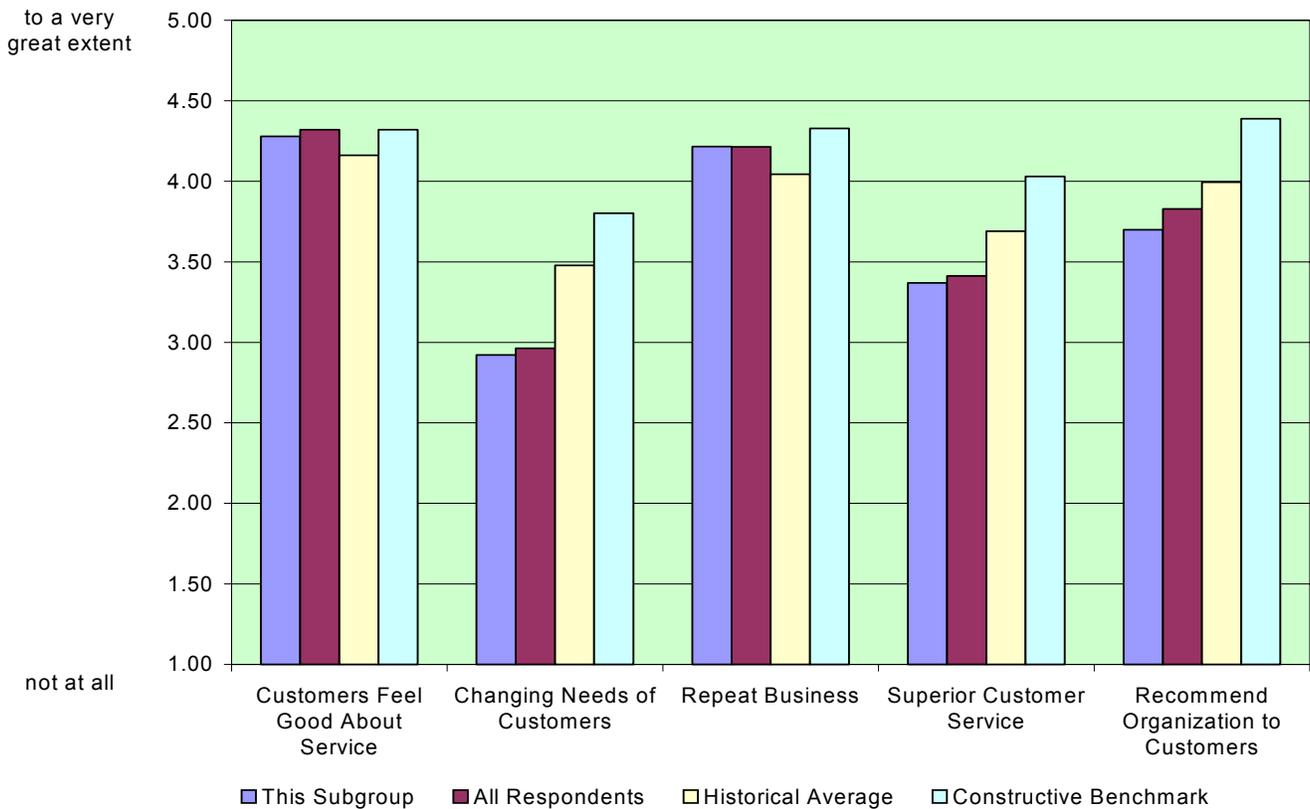| To what extent…	Mean	Std. Deviation
… would you personally go out of your way to make sure that a customer/client feels good about the service you've provided	4.28	0.83
… does the organization respond effectively to the changing needs of its customers	2.92	1.04
… do you believe the organization will get repeat business from its present customers	4.21	0.85
… does your organization have a reputation for superior customer service	3.37	0.99
… would you recommend this organization to potential customers/clients seeking the products or services it offers	3.70	1.07

Outcomes of Culture
Employee Satisfaction

CVB
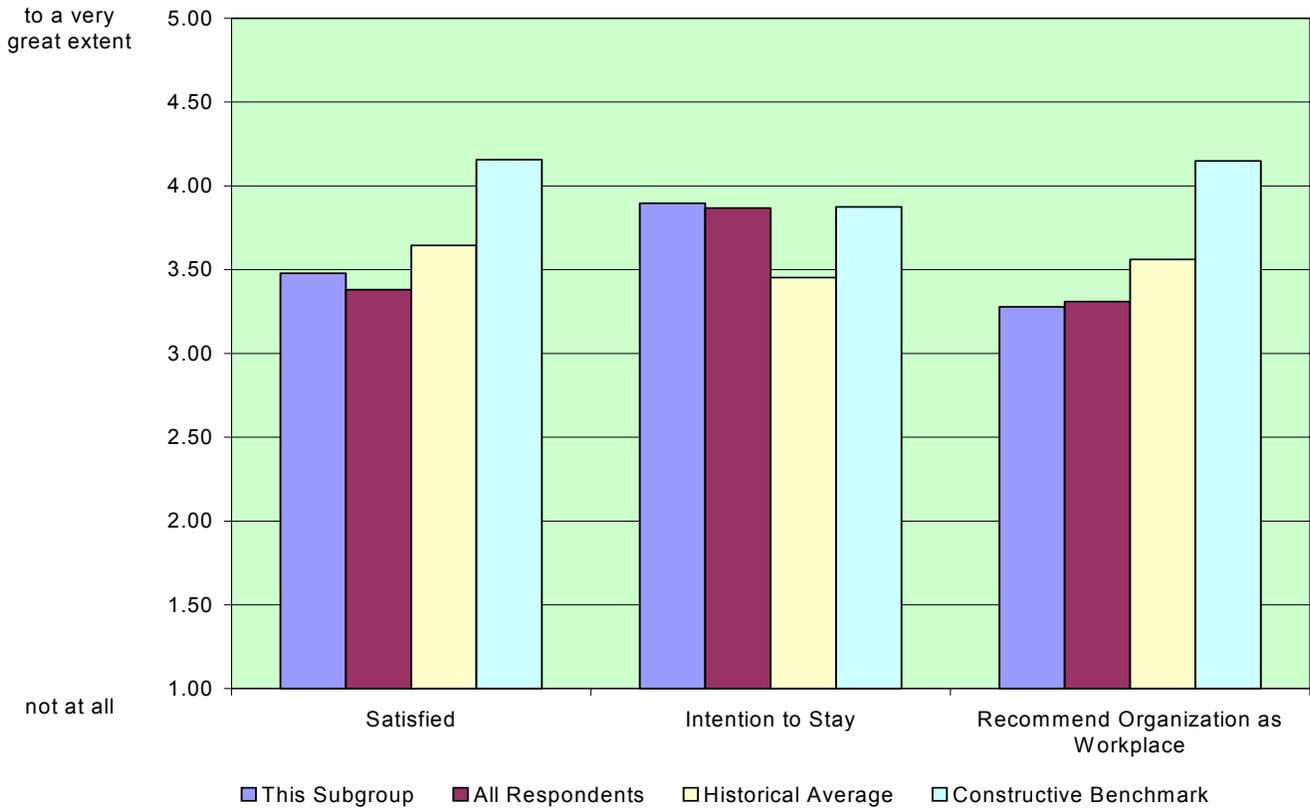
To what extent…	Mean	Std. Deviation
… are you satisfied being a member of this organization	3.48	1.10
… do you expect to be with this organization two years from now	3.90	1.25
… would you recommend this organization as a good place to work	3.28	1.25

(*Demographics)*

Do you work for:	Frequency	Percentage
NVSL	176	59.86%
CVB	115	39.12%
Other	2	0.68%
Missing	1	0.34%

Human Synergistics International   NVSL & CVB Cultural Review
March 2009

This report was prepared exclusively for the use of
NVSL & CVB Cultural Review

By
Human Synergistics Inc.
39819 Plymouth Rd. C8020
Plymouth, MI 48170-8020
Tel 734.459.1030
Fax 734.459.5557
Email info@humansynergistics.com
Web http://www.humansynergistics.com

Based on: Cooke, R. A., and Lafferty, J. C., *Organizational Culture Inventory* (Plymouth, MI: Human Synergistics, 1987).

Human Synergistics, Inc. is committed to designing, developing, and producing quality human- and organizational-development materials, programs, and processes that focus on achieving the highest level of client satisfaction, producing measurable results, and encouraging autonomy in their application by client organizations.

Human Synergistics has offices in Michigan, Illinois, Canada, Australia, Finland, Germany, New Zealand, the British Isles, Belgium and the Netherlands.

8. OPEN-ENDED SURVEY RESULTS

This section presents results from the open-ended survey that was made available to all Veterinary Services' NVSL and CVB staff. A total of 390 surveys were sent to all staff (employees and supervisors). Automated survey software was used to generate a unique ID and password for each survey participant and to send an email invitation asking all participants to complete the survey. The survey was "live" from February 20 to March 4, 2009. A separate survey site was created to accommodate staff members who were not able to complete the survey during this time period; these staff members were provided with a unique ID and password for the survey, which was open from March 2 to March 6, 2009.

A total of 282 Veterinary Services' NVSL and CVB staff completed the survey, for a response rate of 72%. In our experience with surveys, this is a very high response rate, especially given that most of the questions were open-ended and required participants to write a response. Responses were quite detailed and lengthy; the average number of words per response was 106 or about 9 sentences. This indicates that most respondents put serious thought into their answers and provided considerable detail in their responses.

Because all staff members did not participate in the survey, it is possible that some degree of non-response bias exists; if non-respondents share a common viewpoint, then the results would not be fully representative of NVSL and CVB. For example, the non-respondents could be highly disengaged and thus saw the survey as a waste of their time; alternatively, the non-respondents could be highly satisfied with the current culture and not see the need to share their concerns. In order to protect the confidentiality of the staff, we were not able to follow-up with non-respondents to inquire why they did not complete the survey or what their responses to the questions might have been.

To arrive at the survey results, we analyzed each question separately. Individual names or other identifying information were not linked to the responses. For questions 1 and 2, a count of each response was computed. For questions 3 through 8, initial survey themes were created using the interim survey data of responses that were submitted between February 20 and 27. After the survey closed, we reviewed all responses against the initial themes and identified any new themes that may have emerged. Survey themes and the wording of the theme were refined to ensure that it captured all of the responses mentioning a theme. A count of the number of survey responses mentioning each theme was then computed. Each survey response was coded as mentioning one or more survey themes.

Below, we present the major themes that emerged from each question and a brief interpretation of those themes. These results are presented as follows:

- Combined results to Questions 1 through 8 for all respondents

- Results for Questions 3 through 8 for respondents who indicated that they currently work in NVSL

- Results for Questions 3 through 8 for respondents who indicated that they currently work in CVB

To help ensure confidentiality, the number of respondents mentioning a theme is presented only for themes that were mentioned by more than 10 respondents, and verbatim comments illustrating the themes are shown only for the combined results. Verbatim comments are presented exactly as the respondents wrote them; identifying information, such as NVSL or CVB or individuals' names, were replaced with a non-identifying term that is shown in brackets.

When reviewing the results for Veterinary Services' NVSL or CVB, it is important to interpret the results with caution because some respondents answered with respect to both Veterinary Services' NVSL and CVB. Also, the results for Veterinary Services' NVSL and CVB separately do not always add up to the Combined results because the combined results include all results, including those for respondents who did not indicate which organization they worked in.

Combined Results

Question 1: Where do you currently work?

This question was coded as the number of respondents who indicated the organization in which they currently work (NVSL or CVB). Respondents indicating "Other" explained that they had worked for both Veterinary Services' NVSL and CVB or were assigned to one organization for reporting purposes but were working primarily for another organization or combined services that support NVSL, CVB, and NADC.

The number of survey responses is comparable to the breakdown of the Veterinary Services' NVSL and CVB workforce. NVSL comprises about 60% of the combined workforce and CVB comprises about 40% of the combined workforce.

Organization	Number of Responses (n=282)	Percentage of Responses
NVSL	153	54%
CVB	111	39%
Other	14	5%
No Response	4	1%

Question 2: How long have you worked there?

This question was coded according to the length of time that respondents indicated they had worked in their current organization. Several respondents who indicated "Other" wrote they had worked for both Veterinary Services' NVSL and CVB and reported their tenure at each organization. Other respondents who indicated "Other" wrote out their length of tenure instead of selecting one of the categories provided.

Veterinary Services' NVSL and CVB have an experienced workforce, with over half (58%) of the respondents indicating five or more years of tenure. However, a substantial portion of the workforce (36%) has less than five years of experience.

Tenure	Number of Responses (n=282)	Percentage of Responses
Less than 1 year	36	13%
1-4 years	65	23%
5-9 years	72	26%
10 or more years	91	32%
Other	15	5%
No Response	3	1%

Question 3: Please describe what it's like to work at Veterinary Services' NVSL or CVB, including the best and worst parts about working there.

To code this question, we categorized responses into three main categories:

- What's it like to work at Veterinary Services' NVSL and CVB?

- The best parts about working there.

- The worst parts about working there.

Within each of these three main categories, we identified themes that are shown in the table below. The table shows the themes that fall under each of the three main categories and the number of respondents who mentioned each theme. The table also presents verbatim quotes written in italics to illustrate each theme. For each respondent, we coded each theme that was mentioned in their answer. Many respondents mentioned more than one theme in their answer, providing their overall views on what it's like to work there, followed by more details on the best and worst parts of working there.

A substantial number of respondents indicated that working in Veterinary Services' NVSL and CVB has been and still is a positive experience. A few respondents reported that their views had changed recently, due to the incident in which employees were placed on administrative leave. There are many positive aspects to working at Veterinary Services' NVSL and CVB, which include having caring, dedicated coworkers, a flexible schedule, and the ability to do interesting and challenging scientific work. The worst aspects of working there are a lack of accountability, ineffective communication, and a lack of leadership.

There were almost as many respondents who mentioned positive as negative aspects; a substantial portion of respondents mentioned both positive and negative aspects in their responses.

What's it like to work at NVSL and CVB?	# of Respondents (n=282)
Overall, a positive experience. Respondents reported that NVSL and CVB is a great place to work. They are generally happy and feel appreciated and valued by their organizations. • *I enjoy my job and my work areas very much, very rarely do I experience problems with my work or my co-workers.* • *My experience working* [here] *has, overall been a very positive experience.* • *Overall,* [this] *is a great place to work.* • *I feel the work environment* [in my unit] *is good depending on which section you are working in.*	93
I am proud. I am proud of the work I do; I am proud to work here. • *I take pride in my work, and enjoy learning and sharing a common purpose with others who work here as well.* • *Most of the…employees are hard working, honest, and proud of the role that they play in supporting US agriculture.* • *I have always enjoyed working here, the work I do, am proud of my accomplishments and have been told repeatedly by supervisors and management that my work and accomplishments are appreciated.*	16
I liked working here until recently. Respondents indicated that the suspensions of their colleagues have had a negative impact on their morale and satisfaction with their jobs or have experienced a general decline in morale over the past few years. • *It used to be great coming to work because there was an opportunity to do various things and there was always something new to learn but over the past several years that has all gone away.* • *When I first started,* [my unit] *was basically a friendly place where people worked together. Now, it is a very scary place.* • *…the atmosphere has changed a lot from the 1st time to now [sic]. Politics seems to play a more important role then us doing a job and doing it right and for the final customer.* • *At this point in time it is embarrassing to sat [sic] that I work here because of what has happened. Everyone thinks we are all bad people because of a few that are involved.*	14

The Best Parts	# of Respondents (n=282)
Colleagues that I like and care about. Respondents mentioned that their colleagues are like family to them and they genuinely care about each other, which provide a friendly work environment. • *The fact that most people here act like a family helps during the long hours that are spent during changes in methods, requirements, systems, and other outside influences.* • *My co-workers and I have very meaningful work relationships and we strive as a team to be as efficient and helpful as possible.* • *There are many great people to work with, especially in my immediate work environment.* • *The Ames environment is very much like a family – there are many long-term employees which fosters a friendly atmosphere and good teamwork and builds rapport.*	90
A flexible work schedule. Respondents mentioned the flexible work schedule, the maxi-flex system, and the ability to work on a family-friendly schedule. • *I have experienced and witnessed the genuineness of management towards all employees regarding personal health (not to over-work, becoming run downed) [sic] and the need to take time off for family health needs.* • [My unit] *offers a flexible work schedule which allows me [sic] concentrate on work and to meet family obligations.* • *The best part is the flexibility.*	71
Performing interesting, challenging, and rewarding scientific work. Respondents reported that they find the work fascinating. The nature of the work prevents them from becoming bored with their jobs because new challenges always present themselves. • [My unit] *offers interesting and challenging work on the forefront of world wide agricultural issues and concerns.* • *There is a continuous stream of new developments, problems, and issues that make our work interesting and rewarding.* • *Every day is a new day and new challenges are presented to us to respond to.* • *I like the challenge and the different tasks.*	45
Supportive supervisor. Supervisors ensure employees have the necessary resources to do their jobs, help employees develop, listen to their ideas, and generally treat them well. • *I am one of the lucky ones to have an immediate lab supervisor that respects me, my opinions, my work, my honesty, my ethics. He vaules [sic] diversity of opinions, thinking, and work styles.* • *Another thing I have liked so far ... is the "open door" policy with some of the management. I have never felt like I could not go to my supervisor to discuss any problems I was having at work or at home even.* • *I have had the great fortune of having two different supervisors who worked to ensure that I received all the tools necessary to fulfill my missions.* • *I have received the feedback and answers to my questions when needed from my supervisors, and they have been most supportive of me in all my endeavors.*	42

The Best Parts	# of Respondents (n=282)
Conducting important work. Carrying out work at a national and international level and that has an impact on the safety of the food supply was described by respondents. • *The impact of testing and decisions made are significant to disease and animal management and economic considerations.* • *We have the respect of the US veterinary diagnostic community and are considered the leading reference lab.* • *… Easy to see the daily importance of our mission; as an organization, we make a difference.* • *I feel like I am working at a job that protects the people both domestically and globally.*	38
Excellent benefits. The benefits provided with the job are excellent, according to respondents. • *Best Parts: The benefits, for instance, the leave policies, flexible schedules, insurance options, etc.* • *The medical benefits and vacation amounts are also perks that I enjoy and I understand that other businesses/agencies don't have the same amenities that we get here.* • *The best parts are definitely the benefits – holidays, retirement, pay, etc.* • *…good benefits and time off; opportunities for further education and training; access to libraries and current literature.*	30
Dedicated coworkers. Coworkers who are motivated, professional, considerate, and cooperative. Coworkers who can work as part of a team to get the job done. • *The best part has been working with very dedicated employees and developing friendships that transcend the workplace.* • *Employees readily step up to help when and where needed.* • *The people withing my work unit are dedicated, hardworking, and knowledgable, not just in their fields but in a variety of other subjects as well. [sic]* • *The employees that I work with are super dedicated to their respective duties, as well as, the unknown & emergencies that arise constantly.*	26
Good pay. Respondents noted that they are paid well for the work they do. • *Best thing – we're paid well for what we're expected to do.* • *On the positive side, the pay is reasonable…* • *Above average pay.*	17
Job security. The security of being a Federal employee, especially in a tough economy, was mentioned by respondents. • *The best part about working* [in this unit] *is that it gives me a job, and in these tough economic times that is something to be thankful for.* • *The job security is good…* • *Best part: would probably be job security, with the economy where it is right now.*	17

The Best Parts	# of Respondents (n=282)
Receiving awards and rewards for my work. Respondents indicated that they receive awards for their work. They are fairly and adequately rewarded monetarily as well as with promotions and developmental opportunities, which allows them to grow as professionals. • *I have been treated very well and rewarded frequently by supervisors and management during the entirety of my employment.* • *I feel that the work I do is appreciated, and I have been rewarded for doing a good job.* • *I have found* [my unit] *to be generous with awards, at least in my section.* • *There are numerous opportunities for employees to grow personally and professionally.*	16
Good communication and clear expectations. Respondents indicated that communication in their unit is good and that they have a clear understanding of what is expected of them on their job. • *My supervisor does not micromanage but instead provides guidance and input when needed, which allows me to strive to do the best job I can.* • *The best part is that we are included and aware of many things going on in* [my unit].	10 or less
Good equipment and facilities. Respondents indicated satisfaction with the lab facilities and equipment as well as physical facilities. • *Good equipment, pleasant surroundings.* • *The equipment we get to use, when properly maintained, is the epitome of quality.*	10 or less
The location. The Central Iowa location is pleasant and a good place to live. • *I love living in the Midwest though, and being able to provide a good environment for my children to grow up in.* • *The Ames area is a great place to live.*	10 or less
The open work environment. A work environment where they are free to share information and in which their input is valued. • *The best part of working in* [this unit] *is that management respect [sic] you and seeks out employees input.* • [My unit] *operates in an open environment where teamwork is the normal mode of operation.* • *Suggestions are always well taken and reviewed, even if they are not implemented.*	10 or less

The Worst Parts	# of Respondents (n=282)
Lack of accountability and favoritism. Employees are not held accountable for consistently low job performance or unprofessional behavior, according to respondents. Employees who perform at acceptable levels or better and who behave professionally receive little recognition and sometimes receive negative sanctions (such as verbal abuse, lack of access to professional development, increased work load). The lack of accountability was attributed to favoritism; respondents indicated that supervisors provide monetary rewards, awards, desired job tasks, and promotions to favored employees. Favored employees include those who have low job performance, display unprofessional behavior, or are at a high grade or with certain job titles. These factors lead to a feeling of unfairness and lack of trust in their supervisors and a feeling of not being appreciated by their supervisor. • [My unit] *is perceived as promoting the "bad" employees and just stomping on the "good" employees.* • [There is] *almost no ability to fire – which means non-producers are shuffled around or, worse yet, promoted away while producers pick up the slack* • *Worst: next to impossible to be recognized for doing a good job; slackers are treated the same as conscientious workers; promotions are, for the most part, non-existent…* • *Management has favorites, there is an inner-circle of individuals who are in the know, are given special projects and credit and treated with more credibility and favoritism than others.*	90
Ineffective communication. Respondents stated that communication is ineffective across units and work levels, resulting in unclear expectations, a lack of planning, and a lack of clear direction. • *Very poor communication from management down at all levels.* • *Lack of response from upper management on testing issues.* • *I think the Management could be more open and communicate what is going on outside of our Site here.* • *One of the frustrating parts about the job is the lack of communication between the non-laboratory people and the laboratory.*	71

The Worst Parts	# of Respondents (n=282)
Lack of leadership. A general lack of leadership was identified by respondents; this occurs within their immediate work unit, across all levels, and extends to the NVSL and CVB Director level and outside of Ames. • *Worst: The lack of well thought out, long term planning among senior leadership at the NVSL and CVB. APHIS, and USDA levels.* • *As a rule, management seems to say one thing and do another.* • *I don't feel management is always truthful with the employees.* • *The USDA appears to be an organization with extremely limited leadership and managerial capabilities.*	67
Disrespectful and unprofessional behavior. Respondents mentioned several factors that led to a negative work environment, including favoritism, a lack of cohesion among employees, a climate where employee ideas are not welcome, bullying, passive aggressiveness, and verbal abuse. Despite the fact that training has been provided on some of these topics, problems still exist among employees. Supervisors engaged in these behaviors and/or tolerated these behaviors among their direct reports. • *I've had a door slammed on me, been belittled, and been told that I better leave a room because an individual was so angry that he didn't know what would happen if I didn't leave.* • *Normally, it's fairly laid back and enjoyable, except for a few workers who constantly lie, belittle people, boss people around, intimidate people to do what they want, etc.* • *There are individual employees (disgruntled) that seem to go out of their way to spread negative messages and actions that create a lot of difficult situations.* • *We have created "Big Brother atmosphere". And you do realize that people use this as a mechanism to attach coworkers that they have a grudge against.*	40
High workload. Respondents indicated that they are overworked; they work long hours and perform extra duties due to insufficient staff or colleagues who do not pull their weight. • *I sometimes wish I could clone myself because there is always so much that needs to be done and never enough time in the day.* • *I don't like having to work at twice the level I should and not get my breaks including lunch while trying to get caught up because we are short staffed, while half the other people in the section are roaming up and down the halls chatting with anyone that will talk to them.* • *It's a pressure cooker. I routinely put in 12 hour days, and am still not able to keep up with everything I'm expected to do. Best thing – we're paid well for what we're expected to do.*	34
Lack of funding or resources. A lack of sufficient funding leads to an unpleasant work environment (e.g., noise, unpleasant temperature) and wasted resources. • *Not so happy about the waste of money that you can see throughout campus.* • *...never having enough funding to adequately staff the CVB to be able to fulfill our mission as we would hope to.* • *...why can't we just have an "eye wash here" sign, instead of the sign having to be an official document? Such a waste of time and resources.* • *Obviously some quality control and security is necessary, however, sometimes it is wasteful and unnecessarily [sic] slows work progress.*	30

40

The Worst Parts	# of Respondents (n=282)
Politics and government red tape. Operating under years of continuing resolutions, politicians who decide how to prioritize the work, as well as wasting time and money on initiatives that have little impact on the ability to do one's job were identified by respondents; the impact is a lack of focus on conducting high quality scientific work. • *...an inflexible, slow-moving and often oppressive bureaucracy combines with similar security measures often interfere with the ability to get the job done efficiently.* • *There are a lot of rules and "red tape" associated with working for the government which makes it incredibly difficult to figure out the correct way to do anything.* • *...this used to be more of a science-based facility and decisions were based on the science and not as heavily on the politics.* • *...Like all government organizations, the bureaucracy is burdensome and it is difficult and slow to implement meaningful changes.*	28
Low morale. Respondents reported that morale is low; listening to their colleagues complain further erodes their morale. • *Atmosphere and morale are low and poor.* • *However, I've seen employee morale diminish to unsafe levels.* • *It's a "cya" mentality, which has created a low morale and a surplus of negativity [sic]* • *attitudes.* • *If we go another year as we are now, the people that are left will all have mental and physical problems from the stress, if they are still here at all.*	27
Ineffective training. There is not enough time to receive needed training, or training is provided simply to "check the box" rather than generate significant change. Also, access to training is inconsistent across the two organizations (NVSL and CVB). • *Although training opportunities are talked about, little to nothing is done to support training.* • *There aren't many opportunities to travel for training. (This is usually blamed on the budget)* • *Too many internal and external trainings that take up thousands of work hours. They are, for the most part, not personally beneficial.* • *There is such a thing as overkill on security training, diversity and EEO program and many other such things.*	19
Lack of career ladder. Respondents stated that there are few opportunities to be promoted and that there is no career ladder for them. • *The worst parts about working* [in this unit] *are too little opportunity for advancement for support staff.* • *The worst part about working* [in this unit] *is that there were not many opportunities for me to advance.* • *...not one support person has gotten a promotion in my area in the past 7 years plus...* • *In the 9 years I have worked here, no one in my section has been promoted upwardly.*	15

The Worst Parts	# of Respondents (n=282)
Lack of interpersonal skills among supervisors. Respondents reported that supervisors are selected solely on the basis of technical qualifications and that little emphasis is placed on selecting supervisors who have the necessary management and interpersonal skills. • *Veterinarians are not personel managers and creates problems in handling personel issues. [sic]* • *The supervisor selection process seems to not take into account the management and personnel skills needed for selection of a quality manager.* • *The problem, I feel, is that we have "scientists" in "human resource" positions.* • *Most managers are veterinarians, and not skilled in the management process.*	14
Family relationships. According to respondents, having family members employed with Veterinary Services' NVSL and CVB creates the perception that it is possible to influence hiring decisions, promotion decisions, and other work decisions. Respondents reported incidents where they felt that decisions had been influenced by an "in group" of friends and family members. • *It is a very tricky place to work on a personal level, as it seems to have a lot of "clicks".* • *The worst parts are the inconsistency in application of rules and the ability of some individuals to play the system to their advantage and the advantage of their family and friends.* • *I don't think that a supervisor should have any managerial decisions that might be perceived as positively affecting their spouse.*	11
Urgency. Everything is an emergency, according to respondents. Little prioritization of goals and demands exist; there is no control over the workflow, including unreasonable, short deadlines. • *...how do you know when to treat something with urgency when everyday things are always urgent?* • *Expectations for quick turnaround to responses to headquarters are sometimes unreasonable leaving those tapped to respond scrambling to make the deadline.* • *The time needed to meet some of these goals dramatically affect our ability to perform our true duties (being a diagnostic laboratory).*	10 or less
Multiple work locations. Being spread out in different physical locations leads to disconnect in communication and relationships. • *The worst part is being so secluded, which will change once we get into the new building.* • *At [my department], we currently live in two separate buildings, and the communication between those two buildings is a bit like the game of telephone.* • *I am in a section which is rather isolated, so the atmosphere is much different than I believe it would be in other areas.* • *The worst is the lack of good communication with some of the laboratory sections and the [department] staff. Part of this may simply be due to the physical separation.*	10 or less
Boring work. Respondents indicated that they sometimes find the work is boring. • *The work can be repetitive with little diversity.* • *It can be very boring because sometimes there is not enough work to do…* • *Sometimes I get frustrated when I come to work and there isn't enough to do to keep me occupied the whole time I'm here.*	10 or less

The Worst Parts	# of Respondents (n=282)
Negative perceptions of Veterinary Services' NVSL and CVB. Other USDA employees, the Ames community, and other organizations (e.g., NADC) have negative perceptions about NVSL and CVB following the employee suspension that took place. • *...another "worst part" has been the expressions of dislike and hatred for APHIS from [non-APHIS] employees.* • *Everyone thinks we are all bad people because of a few that are involved.* • *The good that we do gets overshadowed by the bad. People don't remember the good.*	10 or less
Poor technical quality. Some lower level staff are not valued or trusted by other staff, which results in re-work and duplication of effort as well as low trust and morale. • *It appears as if many people are content with average run-of-the-mill work performance when normally you would expect performance of a much higher level in a research environment such as this.* • *Some of the biggest problems with unvalidated testing...not following documented quality procedures are from* [employees] *that are deeply entrenched in civil rights advocacy.*	10 or less
Resistance to new ideas. An unwillingness to change or improve the work procedures was reported. • *They have a tendincey [sic] to be a little slow to change or irritated when some one makes a suggestion to do something more efficiently.* • *The worst part about working here is that people are not willing to try new things or accept change.* • *Worst parts: **Extreme resistance to change by many in the entire organization. [sic]*	10 or less
Ineffective application and orientation process. According to respondents, the application and orientation processes are ineffective. • *I was pretty much left to find things on my own.* • *The orientation was probably the worst I have ever been through but after that I have found it to be a great place to work.* • *...my first two days I was sent home by the HR person assigned to me after she called my boss and he said that he didn't have anything for me to do for the rest of the day.*	10 or less

Question 4: Factors that often influence behavior in an organization include communication patterns, organizational structure, managerial and leadership style, accepted norms, and professional ethics. Which of these factors (or other factors) have a significant impact on your work environment? Please explain.

In an initial review of responses to this question, we determined that respondents were listing factors that impacted them at work and were describing these factors in positive, negative, and neutral or unspecific ways. We coded all three ways of describing the factors and then totaled the responses (see Total column in the table below) to represent the total impact of each factor, regardless of what type of impact it had. It was possible for a respondent to indicate that a factor had both a positive and negative impact on the work environment.

<div align="center">

Overview of Comment Descriptors

</div>

Positive = factor described as having a positive impact

Negative = factor described as having a negative impact

Neutral = factor mentioned or acknowledged, but not described as having either a positive or negative impact

The table below identifies each factor, the number of respondents mentioning the factor as having a positive, negative, or neutral impact; it also contains a description of the positive, negative, and neutral impacts of each factor as well as verbatim comments that illustrate the factor's impact.

Factor, Description, and Verbatim Comments	# of respondents mentioning as a positive	# of respondents mentioning as a negative	# of respondents mentioning as neutral or unspecified	Total (n=282)
Factor: Communication style	**24**	**118**	**28**	**170**

POSITIVE: Communication is effective; regular meetings and other effective communication occurs.

- *For my own personal work environment, I believe that communication and leadership style have a profound positive impact.*
- *The strength of this organization lies within its communication.*
- *... the open line of communication is a great support.*
- *I am able to communicate to management and get the responses I need to complete my work.*

Factor, Description, and Verbatim Comments	# of respondents mentioning as a positive	# of respondents mentioning as a negative	# of respondents mentioning as neutral or unspecified	Total (n=282)

NEGATIVE: Little or ineffective communication occurs between sections or between management and employees, resulting in confusion, stress, lack of trust, no shared identity, and lower morale. Respondents noted that the rumor mill often served as an ineffective substitute for formal communication. Some respondents indicated an over-reliance on email over face-to-face communication or too many unproductive meetings. Other respondents stated that not enough meetings took place. Communication from management was seen as having a secretive style in which information was withheld.

- *There seems to be a knee jerk reaction at times.*

- *The biggest problems are when supervisors are informed but fail to pass the information on.*

- *Communication from the top down is very poor.*

- *Communication with headquarters is often strained.*

NEUTRAL: Effective communication is a significant factor.

- *Good communication is probably the most significant factor in doing our work well.*

- *Communication is key to a productive work environment from my perspective.*

- *I really believe that the communication patterns here are very key.*

Factor, Description, and Verbatim Comments	# of respondents mentioning as a positive	# of respondents mentioning as a negative	# of respondents mentioning as neutral or unspecified	Total (n=282)
Factor: Supervisory or leadership style	**29**	**106**	**19**	**154**

POSITIVE: Supervisors are ethical, approachable, and create a positive work environment; they are good people and excellent scientists. Supervisory and leadership styles have changed for the better over the past few years.

- *Most of the management that I have had experience with will allow you to come into their office at any time to discuss issues and you can know that it will not leave that office.*

- *The management style is both professional and personable.*

- *The[department]managers in general dedicate regularly scheduled time to their employees, both with large group meetings and smaller group meetings.*

- *Our management structure is very responsive and very aware of what we do every day.*

NEGATIVE: Supervisors avoid confrontation and make ineffective decisions. They sometimes make decisions that are only in their own best interest or are relayed in a dictatorial manner. Other times, decisions are delayed or not made at all. Supervisors are generally overloaded with work and requests from higher up, which leaves them little time to stay in touch with their units. This factor is attributed to supervisors who lack people skills; they are hired or promoted for their scientific expertise only. This results in low morale, motivation, fear, apprehension, low trust, lack of clear directions and goals, and ineffective implementation of decisions.

- *They are conflict 'avoiders,' so they do not address conduct/ethics issues.*

- *Some supervisors are so micromanagerial that they are totally ineffective leaders and render their employees ineffective and inefficient as well.*

- *...I believe that we have very bad managers who don't know who to lead.*

- *Some supervisors want the job and the pay but not the responsibility of assuring that their employees are on task.*

NEUTRAL: An effective supervisory and leadership style is needed to have a well-functioning organization.

- *I believe that persons in a managerial position should hold professionalism high.*

- *The managerial and leadership style here...have a great impact on my behavior at work.*

- *Problems need to be dealt with at the lowest level to avoid bigger conflicts.*

Factor, Description, and Verbatim Comments	# of respondents mentioning as a positive	# of respondents mentioning as a negative	# of respondents mentioning as neutral or unspecified	Total (n=282)
Factor: Organizational structure	**10 or less**	**32**	**10 or less**	**32 or more**

POSITIVE: Clear and defined roles exist in NVSL and CVB. The structure is generally effective.

- *[Our unit] has a very organized structure…*

- *…I do no think a change in structure is required.*

- *I like the structure and management of my group.*

NEGATIVE: The current organizational structure is ineffective, including having two Directors, a single campus that contains three organizations, and a Board of Directors that doesn't make effective decisions. The section structure results in unclear responsibility; there is too large a span of control and too many layers of uncoordinated management. There have been too many reorganizations over the years, resulting in confusion and lack of clear roles and responsibilities. The current structure lends itself to top-down communication only.

- *Organizational structure could use an over haul.*

- *I think there are times where the organizational structure impedes communication.*

- *Organizational structure seems to be top heavy on management, not enough workers to get the work done.*

- *The organizational structure is ridiculous – seems as though there is always confusion as to what needs accomplished.*

NEUTRAL: An effective organizational structure is an important factor.

- *Organization structure has had significant effect on my current position.*

Factor: Supervisors taking responsibility and holding others accountable	**10 or less**	**33**	**10 or less**	**33 or more**

POSITIVE: Supervisors take responsibility and hold their employees accountable.

- *[My unit] holds it's [sic] people accountable for their positions and actions.*

NEGATIVE: NVSL and CVB management sets a clear vision but isn't supported at higher levels. Supervisors are not aware of what their employees are doing and are too hands off. They do not deal with (or deal ineffectively with) underperformers.

- *Whenever there has been personal problems among coworkers though, management tends to deal with it as a group problem instead of just dealing with the individuals involved.*

- *Is it acceptable to sit at your computer or talk on your phone and not have a supervisor ask you if you have accomplished anything over the past few days/weeks/years!*

- *There are numerous examples of non-performers being 'kicked upstairs.'*

- *Often management is disengaged in the "enforcement" aspect.*

Factor, Description, and Verbatim Comments	# of respondents mentioning as a positive	# of respondents mentioning as a negative	# of respondents mentioning as neutral or unspecified	Total (n=282)
NEUTRAL: Supervisors should hold their employees accountable for low performance or unprofessional behavior.				

- *...I don't believe that favoritism should be accepted in any workplace.*

- *Make sure the people you give responsibility to exhibit the behavior you want to promote.*

Factor, Description, and Verbatim Comments	# of respondents mentioning as a positive	# of respondents mentioning as a negative	# of respondents mentioning as neutral or unspecified	Total (n=282)
Factor: Professional ethics	**23**	**26**	**14**	**63**

POSITIVE: Staff upholds the highest ethics even in difficult times. Most of the staff is honest and ethical.

- *I think that 99% of employees want to do the best possible work and maintain a high standard of professionalism.*

- *...I think the vast majority of the people that work here work hard, try to be fair and consistent about how they do things, and have a very ethical approach to the choices that they make.*

- *The culture here is both ethical and respectful.*

NEGATIVE: There are a few bad apples who do not "work an honest day." The ethical standards are vague; there are too many rules to try to figure out what should or should not be done. Often, common sense is not applied. This results in a feeling of anxiety and low morale.

- *We have to many people that do not put in an honest days work for an honest day's pay – management does nothing about this. [sic]*

- *I feel that the employees here are rude, unappreciative and have absolutely no business etiquette.*

- *The lack of ethics* [in my unit] *is appauling [sic].*

- *...some supervisors do not keep things confidential, and they talk about people when they're not in the room*

NEUTRAL: Professional ethics are a significant factor in the work environment.

- *Professional ethics or ethics in general is something you learn as you grow up.*

- *I believe that persons in a managerial position should hold professionalism high.*

- *Managerial style and professional ethics are probably the two things that influence my behavior.*

- *Ethics is also a big factor since everybody need [sic] to follow rules, policies, regs.*

Factor, Description, and Verbatim Comments	# of respondents mentioning as a positive	# of respondents mentioning as a negative	# of respondents mentioning as neutral or unspecified	Total (n=282)
Factor: Unfairness	0	25	0	25

POSITIVE: None

NEGATIVE: Employees should not receive special treatment. Unfair hiring practices, promotions, and pay grade determinations can lead to a sense of favoritism.

- *Cronyism is throughout Vet Services. Recruitment is an afterthought.*
- *Employees who are closely related create greater opportunities for each other by passing individuals better suited for the job.*
- *It is an accepted norm that if you are not within the clique and a thinking individual you could be ostracized by the powers that be.*

NEUTRAL: None

Factor, Description, and Verbatim Comments	# of respondents mentioning as a positive	# of respondents mentioning as a negative	# of respondents mentioning as neutral or unspecified	Total (n=282)
Factor: Unprofessional behavior	10 or less	23	0	23 or more

POSITIVE: A professional, positive atmosphere exists.

- *I have heard almost no backbiting or malicious gossip in our section, so the work atmosphere is very positive.*

NEGATIVE: A range of unprofessional behavior exists despite recent training sessions that have intended to address some of these issues. The behaviors include bullying, verbal abuse, favoritism, gossiping, and harassment, which are seen as accepted norms. Both employees and supervisors engage in these behaviors, and supervisors fail to hold their employees accountable for these unprofessional behaviors.

- *If you don't participate in gossip, you end up out of the loop.*
- *Gossip and rumors are a HUGE [sic] part of this organization in Ames, and it really makes for a "down" place to work.*
- *Such behaviors of bullying, intimidation, harassment, and browbeating become the normal.*

NEUTRAL: None

Factor, Description, and Verbatim Comments	# of respondents mentioning as a positive	# of respondents mentioning as a negative	# of respondents mentioning as neutral or unspecified	Total (n=282)
Factor: Workload	0	25	0	25

POSITIVE: None

NEGATIVE: Employees often have insufficient time to respond to short-turnaround requests. The fast pace and high workload is compounded by having too many vacant positions. Supervisors have too many direct reports and are too busy to properly supervise their direct reports.

- *... leaders supervise too many individuals in two distant locations...*
- *The [department] managers are all distant and cannot do the 2 [sic] jobs of leadership.*
- *... there are times when information is demanded with short turn-around times and little guidance is given for the purpose of the information.*

NEUTRAL: None

Factor, Description, and Verbatim Comments	# of respondents mentioning as a positive	# of respondents mentioning as a negative	# of respondents mentioning as neutral or unspecified	Total (n=282)
Factor: Resistance to change	**0**	**10 or less**	**10 or less**	**10 or less**

POSITIVE: None.

NEGATIVE: A general resistance to changing or improving work procedures exists.

- *One of the accepted norms here is an extreme resistance to change.*
- *I keep hearing that things have always been done a certain way and thus should continue being done in the same manner.*
- *The world is all about change right now, but there are times try to change things, and somebody has a fit.[sic]*
- *...this organization is very inefficient, and seems unwilling to change.*

NEUTRAL: Change is an important factor that influences the work environment.

Question 5: Are there cultural norms, behaviors, or practices in NVSL or CVB that are unique? Please explain.

This question was initially coded into "Yes" and "No" responses. Within those two major categories, specific themes were then identified and are shown in the table below. A brief description of each theme is presented in the table, along with verbatim responses, and the number of respondents who mentioned the theme. Some respondents described more than one norm, behavior, or practice; all themes mentioned were coded.

A substantial number of respondents reported that they saw nothing unique about the culture at Veterinary Services' NVSL and CVB. Some respondents had experienced the same positives and negatives working for other organizations and thus saw nothing unique about NVSL and CVB norms, behaviors, and practices. Other respondents indicated that they were new to NVSL or CVB and were not in a position to share an opinion on the culture or that they did not interact with enough staff to make a fair judgment.

Among those who indicated that the culture is unique, they reported that the lack of accountability was a factor that made Veterinary Services' NVSL and CVB different from other organizations. Other unique aspects included having many family members employed by NVSL and CVB, unique practices that stem from the scientific nature of the work, and having caring, dedicated coworkers.

Looking across all of the responses, respondents mentioned cultural aspects that were seen as negatives (e.g., lack of accountability, resistance to change, status differences, and tendency to not share information) as well as positives (e.g., caring coworkers, diversity and equal treatment). Some cultural factors that were mentioned could be interpreted as both positives and negatives (e.g., the scientific nature of the work leads staff to focus only on facts, a small town atmosphere), depending on the perspective of the respondent.

Response	Theme, Description, and Verbatim Comments	# of Respondents (n=282)
No	I am not aware of anything that is unique about Veterinary Services' NVSL and CVB, even as compared to the private sector or other government organizations. • *I have not seen any cultural norms, behaviors, or practices here that I have not seen in other businesses.* • *I am fairly new and haven't noticed anything different than within NVSL or CVB as unique.* • *Not much different than other places.* • *Not any different than any other government facility.*	61
No	Veterinary Services' NVSL and CVB are not unique, but Riverdale's norms are unique. • *…I think what's probably unique is what is going on in Riverdale, including Drs. Hill and Lautner.*	Less than 10
Yes	The lack of accountability for unprofessional behavior is unique. The Veterinary Services' NVSL and CVB cultures allow low performance, bullying, gossiping, verbal abuse, and favoritism to occur with no repercussions. • *Way too much coming in late, leaving early, long breaks, even longer lunches and no managerial scrutiny of timesheets.* • *…it seems that a lot of time disciplinary actions are not taken on certain individuals because of their history, fear for how they will respond (grievances, etc)…* • *Even if the person turns out to be completely unable to perform job tasks for which they were hired, they will simply be moved from one place to another.* • *Everyone knows that it doesn't matter if you do your job or not, there is no accountability.*	67

Response	Theme, Description, and Verbatim Comments	# of Respondents (n=282)
Yes	Having so many employees who are related to other employees is a unique practice. • *It seems that some requirements can be overlooked for the person with the right family ties.* • *There are more people related to each other here than I have ever seen.* • *There are a large number of family relationships and long-standing friendships that influence how things are done, and who gets to do them.* • *There seem to be many family groups that work here and when someone gets passed over for a position they often wonder if it was because the person hired was a spouse or relative of someone else.*	23
Yes	There are differences across the sections due to the nature of their specific work, resulting in inconsistent policies. • *Each lab is very independent of the other labs.* • *...as an isolated area we have our own unique culture, simply because we don't interact as much with the rest of the lab.* • *One instance is the credit time earned for IC can only be 6 hours without approval. But, with [one unit], it is 10 hours.* • *Practices that are unique involve dealing with regulatory issues that need to be addressed either as an employee or part of work or testing that is being conducted.*	18
Yes	Having caring coworkers and supervisors who work together cohesively, communicate openly, and are hard working is unique to Veterinary Services' NVSL and CVB. • *Yes, the uniqueness of [my unit] is the caring of the employees that it all takes to get the job done.* • *...but the vast majority of employees care about each other and that is why they are so willing to step in when others need help.* • *... my supervisor and management truly seems to care about the employees well-being.* • *Due to the nature of our [unit] we have extremely diligent and dedicated employees/individuals.*	15
Yes	The Veterinary Services' NVSL and CVB norm is "we've always done it this way." Resistance to change and refusing to do things a new way are accepted practices. • *It may not be truly unique, but it seems that nothing gets changed here until it is an emergency.* • *I don't know how many times I have heard…"Well that's the way it has always been done…why would I change it now?"* • *I think the biggest issue is that people have the mentality that "we have always done it this way so why should we change it now".* • *Because there is so little turn over in personnel, new ideas and new perspectives aren't valued.*	13

Response	Theme, Description, and Verbatim Comments	# of Respondents (n=282)
Yes	We have status differences across the professions that exist at Veterinary Services' NVSL and CVB. • *Over the years continual conversations have arose in regards to VMO's being disciplined or handled differently than non-VMO employees.* • *The norm is that this is an organization for veterinarians, run by veterinarians and others are subpar.* • *If you are not a DVM, it's going to be harder to be taken seriously or be listened to.* • *Veterinarians are gods, the rest of us are subhuman primates.*	12
Yes	Not sharing information with people or units who need it is an accepted behavior. • *It seems like recently there is so much secrecy on issues.* • *You do see a lot of "If we don't tell you, you don't need to know" mind set here.* • *Getting information on a "need to know" only basis seems unique compared to several other diagnostic labs where I've worked.* • *Yes it's like upper management is a secret society and if you are not a GS-13 and above you will be excluded and the first one to be punished.*	11
Yes	A flexible leave policy is unique to Veterinary Services' NVSL and CVB. • *We are all allowed to set our own tour of duty and take leave (with approval) at our own discretion.* • *Flex time – the ability to work between the hours of 6-6 as long as the work gets completed and you have 80 hours at the end of the pay period.*	10 or less
Yes	Being managed from a thousand miles away, including having a Human Resources Department in another location is a unique factor. • *This organization has much greater hypocracy and much less common sense…I think you would find this any extremely large organization which is managed from a thousand miles away by people who don't have any idea what the function or needs of the local organization is [sic].* • *The people in MN have the final decision to hire and fire people. How can people who do not work in the lab know who we need and don't need?*	10 or less
Yes	I don't know what is unique about Veterinary Services' NVSL and CVB. • *Every company, every agency, every place of business has unique ways of dealing with things and situations.* • *Yes, I think they are going to be cultural norms, and behaviors in every section of a work place.* • *Not sure if they are unique, but there is a lot of inconsistency in many areas.* • *No doubt there are – or were – but at this point I just don't know where to go with this question.*	10 or less

Response	Theme, Description, and Verbatim Comments	# of Respondents (n=282)
Yes	Diversity is emphasized in a positive way at Veterinary Services' NVSL and CVB. We can be ourselves, and all people are treated equally here. • *This is the only institution where I am constantly reminded to let people be themselves, and to cherish the differences each person brings to the workplace.* • [My unit] *is a place where all people are treated equally based on gender, race, ethnicity, socio economic status, and religion.*	10 or less
Yes	Having a culture of emergency response is unique. • *[This unit] has a mindset of the US Marines that attacks an emergency and gets it done.* • *Being an emergency response organization, we band together and respond to a disease outbreak with urgency, efficiency, high throughput, and accuracy.* • *One thing that I have found to be very unique is everyone always seems to be very busy, and always has five different things that need to be done at once.*	10 or less
Yes	Having a secretive interview process is a unique practice. This results in a process that is seen as unfair. • *The interviewing panel and process is fairly blackbox and a select few individuals participate.* • *Many jobs advertised since 2003 have been filled by individuals whom selecting officials intended to hire even before the positions were advertised…*	10 or less
Yes	Having opportunities to take training and to support students in their development is unique to Veterinary Services' NVSL and CVB. • *I really enjoy the presentations.* • *I actually think there is a lot of dedication to training students.*	10 or less
Yes	Inadequate or ineffective supervision is a unique behavior. • *Supervisors can't be everywhere…and therefore, the lack of supervision to their employees.*	10 or less
Yes	Introverts are attracted to our profession, which makes Veterinary Services' NVSL and CVB a place that is not socially inviting. • *There is a natural section for introverted personalities among veterinarians that work in labs [sic].* • *The staff tends to be a bit more introverted and data driven than the general population...* • *It's not a socially inviting place to be.* • *There are too many introverted people that prefer to function independently from others and have never learned how to have a cohesive relationship with coworkers.*	10 or less
Yes	Taking training that is a waste of time is a unique practice. • *…this training on computers what a waste of time, some times they can be helpful but most of the time its not [sic].* • *...technicians are performing the training. Training should be done by Microbiologists.* • *I think I have been to more meetings, workshops, and "training" in less than*	10 or less

Response	Theme, Description, and Verbatim Comments	# of Respondents (n=282)
	two years with APHIS than in 37 years with ARS.	
Yes	The attitude that "my unit is above the rules" is a unique practice. • [This unit] *has always been…thought to be above the rules and that if a regulation or testing process applies to the regulated industry, it doesn't apply to them.* • *It has become acceptable to not follow the rules.*	10 or less
Yes	The lack of cohesion is a unique norm. • *I will have to say that what seems to be unique here is that there isn't enough emphasis on "getting along".* • *Little comradery [sic] exists in this work environment; it is every man for himself.*	10 or less
Yes	The lack of direct access to the resources or tools is unique; we often have to rely on others to get access to the necessary resources and tools. • *When they[sic] are budgetary constraints, training is always the first to go away for the technical and support areas.* • *New employees are not always formally introduced to current employees.*	10 or less
Yes	The emphasis placed on degrees over experience when making hiring, promotion, and work assignment decisions are unique to Veterinary Services' NVSL and CVB. • *There seems to be an expectation that recent schooling is more important than experience, and it is disconcerting to see new hires come in and immediately take positions/grades that used to require more time to achieve.* • *...there are times when experience of an individual is overlooked in favor of someone with education or a degree.* • *Everything is based on what type and how many advanced degrees one has and whether or not the people on the selection committee like you.*	10 or less
Yes	The presence of a defensive, confrontational union is a unique part of the culture. • *I've never seen a union more defensive or confrontational in my my life. I don't believe they have my or my coworkers best interest in mind.*	10 or less
Yes	The scientific nature of the work and professional community make us unique. This means that we are detail oriented, take a "just the facts" approach, and sometimes engage in micro-management. • *Because each individual lab is separated by the work they do and the necessary biosafety requirements, lab groups tend to be very tight-knit.* • *Many at NVSL AND CVB are introvert science oriented individuals concerned with "just the facts which can/does influence view of issues.* • *Perhaps because of the strong scientific influence, this location seems to be extremely detail-oriented, which also results in an environment of micro-management.* • *I believe a unique practice or norm comes from working inside a shower out facility.*	10 or less
Yes	The small town atmosphere that exists here is unique.	10 or less

Response	Theme, Description, and Verbatim Comments	# of Respondents (n=282)
	• *Central Iowa is not an easy place to recruit potential employees who have never lived here and do not know about its benefits.* • *It's very much like a small town.* • *I moved here from another state and even after 20 years in Iowa, I still do not feel like I fit in with the locals.* • *Everyone is either related to everyone else or has literally lived here their entire life and "knew so-and-so when they were in high school".*	
Yes	The wasting of resources is a unique practice that occurs here. • *I don't understand why we have to use GSA for purchasing products. ...something that would have cost about $20 each from Target or Wal-Mart, but the GSA price was about $55 each.* • *The past expenditure of over a million dollars for Beckman to produce a software package for the laboratory that never could be used...*	10 or less
Yes	There is little diversity among employees at Veterinary Services NVSL and CVB. • *The only thing that I am concerned about is that there does not seem to be much diversity among the employees here.*	10 or less
Yes	(Used to be a norm here) Openly ordering veterinary medications. • *Apparently the practice by some veterinarian's of using their license to purchase and/or prescribe meds designed for human use has been accepted practice for years.* • *One cultural norm was the open practice of ordering pain killers, vitamins and antibiotics from the Darby catalog through one of many veterinarians offering the service over the past 45 or more years.*	10 or less

Question 6: As you know, the Ames Campus has been in the news recently. How has this affected your work environment?

Responses to this question were coded into themes that describe how the work environment had been affected because of the Ames Campus being in the news recently. Some respondents described more than one way in which their work environment had been impacted; all themes mentioned were coded. The table below describes each theme and indicates the number of respondents who mentioned it.

When asked about the impact of Veterinary Services' NVSL and CVB being in the news, the most frequent response was that there had been no impact on them. However, the second most frequent response was that these events had negatively impacted them through lower morale, a strained work environment, and a lack of trust as well as an increase in an already high workload. A substantial number of responses indicated that there is now a sense of paranoia because staff members are unsure where the ethics bar lies, feel that there has not been clear communication about the issues, and that management has lost credibility due to how the issues were handled.

Staff members have been impacted both professionally (e.g., increased workload, lack of clear communication, and hypervigilance over ethics) and personally (e.g., sadness and depression, having members of the local community ask them questions, and a general negative impact). Impact on the organization was also mentioned, with respondents concerned about Veterinary Services' NVSL and CVB's reputation. A few responses indicated positive aspects, such as an increased awareness of ethics. Mixed responses were provided regarding the staff members that were placed on administrative leave, with some respondents stating that they were concerned about their colleagues who they considered to be good people and others stating that they felt the situation needed to be dealt with.

While most respondents answered this question in reference to the colleagues who were suspended on February 4, a few answered the question in reference to the inclement weather policy.

Respondents' suggestions closely mirror the responses to previous questions, with the need to improve accountability as the most frequently mentioned response. Improving communication and the managerial and leadership style were also frequently mentioned.

Themes	# of Respondents (n=282)
It hasn't impacted me, even if some people around me are affected. • *No affect in my area.* • *Not much on the job as none were in my area.* • *Has not affected my specific work environment; however it is obvious that some are very upset.* • *It has not affected me as far as my work situation goes, and that may be because of my location...*	80
There is poor morale, a strained work environment, and a lack of trust.	64

Themes	# of Respondents (n=282)
• *It has caused co-workers to be stressed and anxious about circumstances.* • *Tensions have been high and you don't know what you can and cannot do.* • *The morale in the organization is the lowest I've seen it in all my years in Ames.* • *The blow to morale on the Ames Campus is major, pervasive, and will be long lasting.*	
People need to pick up others' slack right now; our workload has increased. • *Increased the workload to cover for those that are off and precipitated many man hours spent in speculation, meetings, and conversations!* • *We are having to work around key positions that are suddenly absent while still trying to meet our crazy, impossible deadlines.* • *Coworkers have been working extra hard to fulfill the needs of the sections.* • *It's made it very difficult to get all of the work done efficiently and effectively.*	55
There is a pervasive culture of paranoia, hyper vigilance, and fear. Many do not know where the ethics bar is and are afraid they will be let go next. • *Employees are afraid of everything they do now…* • *Employees are afraid that they might make an honest mistake that will cost them their job…* • *Everyone is afraid they are going to lose their jobs because of this mess.* • *There has been a feeling that because some people did wrong that the rest are now going to be looked at under a microscope.*	45
A lack of clear communication from management has diminished trust and increased gossip. • *Yes, I was shocked and saddened for my coworkers, but I was also angry and hurt that we were put through that, which management has yet to acknowledge or apologize for.* • *There is also a lack of trust in management, especially in the managers and directors that have been here for a period of time.* • *Right now most people's attitudes are very poor and much time is being spent on speculation and jumping to conclusions.* • *I personally learned more details about the incident from published news reports than from official sources including the town hall meetings.*	43
Management handled the situation poorly and in an extreme manner; as a result, they took a credibility hit. • *…there is major resentment about how this was handled and how a small group of people caused the reputation of* [my unit] *to be damaged.* • *I think the press releases from our own USDA and APHIS personnel slanted things in such a negative way that it will be difficult to recover.* • *Credibility of the organization at the APHIS level, VS level and local level for communication during that 4-5 hour event will have enduring impact.* • *I think the way this was handled was awful and really blew a lot of confidence that employees had in higher up management.*	43

Themes	**# of Respondents** (n=282)
The negative press is hard to deal with; I feel embarrassed and ashamed. I worry that it could impact our reputation and/or funding negatively. • *This should have been handled quietly not publicly unless you're trying to send an inhibitory message and court bad press at the same time.* • *...I am very displeased with the negative publicity and negative environment that these individuals have brought to the agency...* • *This incident and the way it was handled has definitely cast a dark shadow on the campus as a whole.* • *I am ashamed to work at a place that has had such bad press.*	27
I feel sadness or depression over the incident. • *Very very very sad and depressing[sic].* • *It is one of the darkest moments I have experienced during my tenure at this facility.* • *...these recent events have caused anxiety, depression, and a general feeling that employees have been unfairly impacted by "political posturing" at higher levels.* • *People are also very angry, sad and fearful.*	20
It has diminished productivity, increased peoples' distraction, and hurt the overall quality of work. • *It has made the current work environment one of distraction.* • *It's a topic that's talked about almost daily, and it's somewhat distracting.* • *Somethings[sic] aren't getting done as efficiently because of some of the people that are gone and the ones that are left don't have the knowledge or the motivation.* • *...there has been lot's of wasted time as people try to understand what happened, why it happened...*	18
People outside of work ask me about the incident. • *I've had to explain to a lot of people outside of work what was going on because it[sic] very poorly explained in the press.* • *The only effect it had on me was people outside the lab making comments.* • *I do get asked more questions about the news story by people I know outside of work...* • *Outside, people will ask what is going on.*	15
I think it was fair to discipline those on leave; people should be expected to follow rules. I am not sure it sends the right message to bring these people back. • *I am a strong believer in following the rules and strongly feel that if people did NOT[sic] follow those rules, that they should not be working here.* • *I think these people should have known better and not done this.* • *...the people should be disciplined and we should move on.* • *I feel that if these people do return to work in the same position (particularly those that are returned to supervisory positions) it will send out the message that nothing will change.*	12
I feel care and concern toward those on leave.	10 or less
We get more ethics-related communications now; I am more aware of ethics.	10 or less
I want to be done with this situation, so we can move on.	10 or less
This situation has impacted my personal life negatively.	10 or less

Themes	# of Respondents (n=282)
Management has handled this well.	10 or less
The campus has become more divided; people interact with each other less.	10 or less
I feel uncertain and apprehensive about how the reintegration of those on leave will be handled.	10 or less
Many of us have done nothing wrong but are still impacted negatively by this incident.	10 or less
It is unfair that those that did something wrong are getting full pay; it sends a bad message.	10 or less
This situation triggered a cleanup which has been long needed.	10 or less
The people on leave were troublemakers, so it's actually nice having them gone.	10 or less
The issues brought to light have been going on for years.	10 or less
People are not discussing it or are discussing it in vague terms.	10 or less
This situation has brought employees closer.	10 or less
I am now/plan to look for another job.	10 or less
Things have been getting better with time. On the positive side, it serves as a good lesson for the rest of the employees.	10 or less
I wish we were appreciated more by management.	10 or less
I think people have been wrongly attacked.	10 or less
We now have new protocols or people to contact; management has asked us to come to them with concerns.	10 or less
Yes, it has affected me (no reason).	10 or less

Question 7: Describe the most important changes that you think need to occur at Veterinary Services' NVSL or CVB and why.

Responses to this question were coded into themes describing the most important changes that need to occur at Veterinary Services' NVSL or CVB, according to the respondents. Some respondents described more than one important change that needs to occur; all themes mentioned were coded. The table below describes each theme and indicates the number of respondents who mentioned it.

Themes	# of Respondents (n=282)
There is a lack of accountability; people are not held accountable for their behavior. When people are held accountable, it is done inconsistently among different groups or there is no follow-through. • *I think that performance needs to continue to be rewarded and if performance or ethics ARE questioned, that there need to be follow-through consequences[sic]* • *People need to be held accountable for the work they do and the actions they take at work.* • *I think supervisors need to be held accountable for those employees who are not doing their work.* • *Consistency on how people are treated would be the most important change..*	75
Improve transparent communication from the top down; don't just give lip service. • *I believe that there needs to be a more open atmosphere here at NVSL in regards to listening to the employees concerns.* • *I feel that sometimes management needs to be a little more honest and forthright when talking to us as employees.* • *Stop the panic and EDUCATE[sic] employees on what is or is not acceptable for personal benefits at the workplace.* • *Consistently, constantly, clearly and honestly keep all affected employees informed about important and useful news and goings on.*	64
We need stronger, more effective leadership that "walks the talk" and understands what we do. • *I think allowing anyone currently on administrative leave to return to a supervisory role would have devastating consequences on the morale of the campus.* • *Get the director out of the office and into the labs and offices to find out what is going on daily.* • *Management needs to be more involved in day to day operations of the campus.* • *Supervisors all need to establish some professionalism.*	44
Silos exist and there is a lack of uniformity in rules and rule-following; there are perceptions of favoritism and a lack of standardization across units. We need more uniformity and consistency in decisions and application of policies. • *I think people need to manage more consistently, and that the rules that are put down need to be followed, rather than ignored if the manager or supervisor is uncomfortable with the solution.* • *I think that there needs to be some work done on making things consistent across the board instead of having something one way here and another way there.* • *We need to be forced to develop consistency and uniformity so that areas are united and there is one clear set of rules that will make it easy to spot discrepancies/non-compliance.* • *I think management needs to get more consistent throughout the center how things are handled between all of the sections.[sic]*	23

Themes	# of Respondents (n=282)
We need better monetary support at Veterinary Services' NVSL and CVB; budgets are too tight and we don't always spend money wisely. We need to fill vacancies and find other ways to prioritize our workload. • *We need more/better support from headquarters including monetary support and recognition of the good work we do here.* • *More funding so staffing can be increased and the workload on the employees can be diminished.* • *Because of the excessive work load, we have increased risk for errors, and we aren't able to maintain high quality work.* • *Recognize and acknowledge that we are being asked to do more with less.*	21
We need better hiring practices including "casting a wider net" for talent and getting more experienced supervisors who have soft skills. • *Develop stronger procedures to select front-line supervisors &[sic] managers who have decent interpersonal skills.* • *There needs to be new management with people who know how to lead and develop people.* • *I think the best change that can be made at [my unit] is to have 2[sic] different types of managers: one who manages the employees and one who manages the technical aspects of the section.* • *There needs to be a paradigm shift in management to be more people-oriented.*	21
We need more opportunities for advancement and professional development; we also need career paths to allow us to grow. • *I think that the Microbiologists should be more involved with the training of technicians than they are presently.* • *Continued funding to allow ample personnel and training for upgrading of skills.* • *The upward mobility for individuals who are experienced and knowledgeable of CVB's policies and practices seems to have become extinct.* • *CVB needs to implement clear and permanent promotion opportunities into career track laboratory positions as is the norm in NVSL and ARS; this is critical as workforce retires.*	19
We are not compensated or rewarded fairly. • *Awards need to be given to employees that work hard and do a good job.* • *Seems like awards are passed back and forth between just a few.* • *People that do good work should be rewarded; people that are performing below standards should not be promoted and should be released if they can't come up to par.* • *Maybe we should have a manager of the year award, but only if there is really a candidate worthy.*	16
There is a negative workplace culture of disrespect, gossip and intolerance; we need to become more trusting and people-centered. • *Trust – People are going to need to feel like they are wanted and trusted[sic].* • *...often there are attitudes that are self-focused, sometimes mean spirited when it comes to considering alternate points of view.* • *Micro managing in the lab and we need to have trust in our co-workers.* • *Seasoned employees need to be viewed as experienced and well knowledged.[sic]*	16
No comment.	15
We do not receive enough recognition/praise; recognition must be given more often and shared fairly, which will make us feel valued.	

Themes	# of Respondents (n=282)
• *I think everyone needs to be recognized for their accomplishments and across the board recognition should be tossed…* • *If people don't feel their worth, they may resort to other "unethical" things…* • *Recognize people and give credit where it's due…* • *Let individuals be examined for personal achievements that directly impact the establishment….*	12
The move into the new building will help things improve. • *We desperately need to move to the new building…* • *Physically being co-located at the new NCAH will help the personal accountability situation.* • *I believe some of the lab[A] vs. [lab B] attitude will change with the move into the new building.* • *I think it will be very vital to be under one building soon.*	11
Favoritism occurs and is based on unit, role, or credentials. • *Something that could happen immediately is to no longer hire close relatives to work at either CVB or NVSL.* • *There is a real need to stop placing DVMs on pedestals.* • *There is a feeling of striations or preferential treatment for the more degrees or education you have.* • *I have observed how family members are made aware of opportunities that other individuals do not know about.*	11
We need to get back to a focus on the work and the science.	10 or less
This a good/great place to work. I like our workplace.	10 or less
There are too many people here that are related to each other.	10 or less
We could do a better job of educating the public/doing positive PR to give a balanced view of Veterinary Services' NVSL and CVB.	10 or less
A review of the organizational structure should occur for a more sensible organization and work flow.	10 or less
Training and training processes are unnecessary, ineffective, or focused on the wrong area.	10 or less
I am concerned about how those on leave will be re-integrated; I am uncertain about how things will be handled. We need closure on this issue.	10 or less
We need to be more proactive as an organization, less reactive.	10 or less
We need a more cooperative work environment in which departments work together and there is a sense of team work.	10 or less
We do not allocate our time well. Supervisors need more time to supervise, and we all have too many meetings.	10 or less
I'm tired of giving my feedback to management with no visible results.	10 or less
We are being asked to do more with less; this impacts our workloads negatively.	10 or less
We should embrace technology more.	10 or less
I have seen positive changes on the part of leadership lately.	10 or less
We need to remember that we are here to serve our customers and the public who have instilled their trust in us.	10 or less
Too much paperwork, bureaucracy and red tape is required to get work done, which creates barriers.	10 or less
Security and safety are important issues.	10 or less

Unpublished Work ©2009 Management Concepts, Inc.

This document contains confidential information. It is submitted for internal APHIS use only. Any other use or disclosure is strictly prohibited.

64

Themes	# of Respondents (n=282)
People should be consulted on decisions that affect them.	10 or less
We need to be more goal- and results-oriented as an organization.	10 or less
I like the benefits here, especially flexibility.	10 or less
We need improved equipment.	10 or less
Discrimination is an issue that needs to be addressed more proactively.	10 or less

Question 8: Are there any other comments that you want to add about your workplace or work environment?

Responses to this question were coded into themes summarizing additional comments on a variety of topics. Some respondents' additional comments mentioned more than one theme; all themes mentioned were coded. The table below describes each theme and indicates the number of respondents who mentioned it.

Many of the responses to this question reiterated and emphasized the themes identified in earlier questions. This question also allowed respondents the opportunity to add additional details and clarifications to the responses.

Themes	# of Respondents (n=282)
This a good/great place to work; I like our workplace.	58
No further comments.	37
There is a lack of accountability; people are not held responsible enough. When people are held accountable, it is only certain groups.	36
Management is poor and ineffective.	28
I enjoy the people here.	21
Management and supervisors are capable; they try hard and do a good job.	17
I am concerned about my anonymity in regards to this survey and/or about how results will be used. I am concerned about retaliation.	13
Regarding staff members on administrative leave, I don't see that what they did was wrong. Management handled the situation poorly, and we now need closure.	13
I'm tired of giving my feedback to management with no visible results.	11
I am proud of the work we do.	10 or less
The majority of people here have good work ethics.	10 or less
There is a rift between Riverdale and Ames; I don't trust people in DC.	10 or less
Training and training processes are unnecessary and/or ineffective.	10 or less
Too much paperwork and red tape is involved, which creates barriers.	10 or less
We do not receive enough recognition/praise.	10 or less
Favoritism occurs and is based on unit, role, or credentials.	10 or less
I believe there should be more opportunity for advancement.	10 or less
People are spread too thin in their roles; workloads are too high with unrealistic deadlines.	10 or less
This is a joy-less, depressing workplace; morale is low.	10 or less
We need improved equipment.	10 or less
We lack the technical competency and credibility that are needed to lead in our field.	10 or less
We need a more caring/teamwork-centered workplace.	10 or less
Listen to our cost saving ideas and stop wasting so much money and resources.	10 or less
I am looking forward to moving to the new building.	10 or less
Don't bring the suspended employees back; doing so would send the wrong message.	10 or less
I have seen improvement over the last 2-3 years.	10 or less

Themes	# of Respondents (n=282)
I like the benefits here, especially flexibility.	10 or less
Supervisors should be qualified to supervise people.	10 or less
The ethics training was successful, but we need more of it.	10 or less
There are too many relatives working here.	10 or less
We are not paid fairly.	10 or less
How the future of Veterinary Services' NVSL and CVB is handled is important; I am uncertain about how things will be handled.	10 or less
We need less playing politics, more common sense, and improved facilities.	10 or less
Let's focus on the work.	10 or less
We need more transparent communication.	10 or less

Results for Veterinary Services' NVSL and CVB Separately

This section presents open-ended survey results for Questions 3 through 8 for NVSL and CVB separately. Because some respondents did not indicate which organization they worked for or indicated *Other*, their responses are not reflected in this section. Although the results are shown for each organization, caution is warranted in interpreting these results because some respondents answered the survey questions with respect to both organizations.

Question 3: Please describe what it's like to work at Veterinary Services' NVSL or CVB, including the best and worst parts about working there.

What's it like to work at NVSL and CVB?	# of NVSL Respondents (n=153)	# of CVB Respondents (n=111)
Overall, a positive experience. Respondents reported that NVSL and CVB is a great place to work. They are generally happy and feel appreciated and valued by their organizations.	54	36
I am proud. I am proud of the work I do; I am proud to work here.	10 or less	10 or less
I liked working here until recently. Respondents indicated that the suspensions of their colleagues have had a negative impact on their morale and satisfaction with their jobs or that they have experienced a general decline in morale over the past few years.	10 or less	10 or less

The Best Parts	# of NVSL Respondents (n=153)	# of CVB Respondents (n=111)
Colleagues that I like and care about. Respondents mentioned that their colleagues are like family to them and they genuinely care about each other, which provide a friendly work environment.	42	43
A flexible work schedule. Respondents mentioned the flexible work schedule, the maxi-flex system, and the ability to work on a family-friendly schedule.	34	35
Performing interesting, challenging, and rewarding scientific work. Respondents reported that they find the work fascinating. The nature of the work prevents them from becoming bored with their jobs because new challenges always present themselves.	20	22
Supportive supervisor. Their supervisors ensure that they have the necessary resources to do their jobs as well as help them develop, listen to their ideas, and generally treat them well.	21	17
Conducting important work. Carrying out work at a national and international level and that has an impact on the safety of the food supply was described by respondents.	24	12

The Best Parts	# of NVSL Respondents (n=153)	# of CVB Respondents (n=111)
Excellent benefits. The benefits provided with the job are excellent, according to respondents.	16	10 or less
Dedicated coworkers. Coworkers who are motivated, professional, considerate, and cooperative. Coworkers who can work as part of a team to get the job done.	14	10 or less
Good pay. Respondents noted that they are paid well for the work they do.	10 or less	10 or less
Job security. The security of being a Federal employee, especially in a tough economy, was mentioned by respondents.	10 or less	10 or less
Receiving awards and rewards for my work. Respondents indicated that they receive awards for their work. They are fairly and adequately rewarded monetarily as well as with promotions and developmental opportunities, which allows them to grow as professionals.	10 or less	10 or less
Good communication and clear expectations. Respondents indicated that communication in their unit is good and that they have a clear understanding of what is expected of them on their job.	10 or less	10 or less
Good equipment and facilities. Respondents indicated satisfaction with the lab facilities and equipment as well as physical facilities.	10 or less	10 or less
The location. The Central Iowa location is pleasant and a good place to live.	10 or less	10 or less
The open work environment. A work environment where they are free to share information and in which their input is valued.	10 or less	10 or less

The Worst Parts	# of NVSL Respondents (n=153)	# of CVB Respondents (n=111)
Lack of accountability and favoritism. Employees are not held accountable for consistently low job performance or unprofessional behavior, according to respondents. Employees who perform at acceptable levels or better and who behave professionally receive little recognition and sometimes receive negative sanctions (such as verbal abuse, lack of access to professional development, increased work load). The lack of accountability was attributed to favoritism; respondents indicated that supervisors provide monetary rewards, awards, desired job tasks, and promotions to employees who are favored. Favored employees include those who have low job performance, display unprofessional behavior, or are at a high grade or with certain job titles. These factors lead to a feeling of unfairness and lack of trust in their supervisors and feeling unappreciated by their supervisor.	54	32

The Worst Parts	# of NVSL Respondents (n=153)	# of CVB Respondents (n=111)
Ineffective communication. Respondents stated that communication is ineffective across units and work levels, resulting in unclear expectations, a lack of planning, and a lack of clear direction.	32	34
Lack of leadership. A general lack of leadership was identified by respondents; this occurs within their immediate work unit, across all levels, and extends to the Veterinary Services' NVSL and CVB Director level and outside of Ames.	30	31
Disrespectful and unprofessional behavior. Respondents mentioned several factors that led to a negative work environment, including favoritism, a lack of cohesion among employees, a climate where employee ideas are not welcome, bullying, passive aggressiveness, and verbal abuse. Despite the fact that training has been provided on some of these topics, these factors are still prevalent among employees and that supervisors engaged in these behaviors as well and/or tolerated these behaviors among their direct reports.	15	22
High workload. Respondents indicated that they are overworked; they work long hours and perform extra duties due to insufficient staff or colleagues who don't pull their weight.	18	11
Lack of funding or resources. A lack of sufficient funding leads to an unpleasant work environment (e.g., noise, unpleasant temperature) and wasted resources.	19	11
Politics and government red tape. Operating under years of continuing resolutions, politicians who decide how to prioritize the work, as well as wasting time and money on initiatives that have little impact on the ability to do one's job were identified by respondents; the impact is a lack of focus on conducting high quality scientific work.	12	14
Low morale. Respondents reported that morale is low; listening to their colleagues complain further erodes their morale.	12	13
Ineffective training. There is not enough time to get the training that is needed or training is provided simply to "check the box" rather than trying to effect significant change. Also, access to training is inconsistent across the two organizations (NVSL and CVB).	11	10 or less
Lack of career ladder. Respondents stated that there are few opportunities to be promoted, and that there is no career ladder for them.	10 or less	10 or less
Lack of interpersonal skills among supervisors. Respondents reported that supervisors are selected solely on the basis of technical qualifications and that little emphasis is placed on selecting supervisors who have the necessary management and interpersonal skills.	10 or less	10 or less

The Worst Parts	# of NVSL Respondents (n=153)	# of CVB Respondents (n=111)
Family relationships. According to respondents, having family members employed at Veterinary Services' NVSL and CVB creates the perception that it is possible to influence hiring decisions, promotion decisions, and other work decisions. Respondents reported incidents where they felt that decisions had been influenced by an "in group" of friends and family members.	10 or less	10 or less
Urgency. Everything is an emergency, according to respondents. Little prioritization of goals and demands exists; there is no control over the workflow, including unreasonable, short deadlines.	10 or less	10 or less
Multiple work locations. Being spread out in different physical locations leads to disconnect in communication and relationships.	10 or less	10 or less
Boring work. Respondents indicated that they sometimes find the work is boring.	10 or less	10 or less
Negative perceptions of Veterinary Services' NVSL and CVB. Other USDA employees, the Ames community, and other organizations (e.g., NADC) have negative perceptions about Veterinary Services' NVSL and CVB following the employee suspension that took place.	10 or less	10 or less
Poor technical quality. Some lower level staff are not valued or trusted by other staff, which results in re-work and duplication of effort as well as low trust and morale.	10 or less	10 or less
Resistance to new ideas. An unwillingness to change or improve the work procedures was reported.	10 or less	10 or less
Ineffective application and orientation process. According to respondents, the application and orientation processes are ineffective.	10 or less	10 or less

Question 4: Factors that often influence behavior in an organization include communication patterns, organizational structure, managerial and leadership style, accepted norms, and professional ethics. Which of these factors (or other factors) have a significant impact on your work environment? Please explain.

Factor, Description, and Verbatim Comments	# of respondents mentioning as a positive	# respondents mentioning as a negative	# respondents mentioning as neutral or unspecified
Factor: Communication style			
NVSL Respondents (n=153):	**10 or less**	**68**	**18**
CVB Respondents (n=111):	**14**	**43**	**10 or less**

POSITIVE: Communication is effective; regular meetings and other effective communication occurs.

NEGATIVE: Little or ineffective communication occurs between sections or between management and employees, resulting in confusion, stress, lack of trust, no shared identity, and lower morale. Respondents noted that the rumor mill often served as an ineffective substitute for formal communication. Some respondents indicated an over-reliance on email over face-to-face communication or too many unproductive meetings. Other respondents stated that not enough meetings took place. Communication from management was seen as having a secretive style in which information was withheld.

NEUTRAL: Effective communication is a significant factor.

Factor: Supervisory or leadership style			
NVSL Respondents (n=153):	**14**	**55**	**11**
CVB Respondents (n=111):	**14**	**42**	**10 or less**

POSITIVE: Supervisors are ethical, approachable, and create a positive work environment; they are good people and excellent scientists. Supervisory and leadership styles have changed for the better over the past few years.

NEGATIVE: Supervisors avoid confrontation and make ineffective decisions. They sometimes make decisions that are only in their own best interest or are relayed in a dictatorial manner. Other times, decisions are delayed or not made at all. Supervisors are generally too overloaded with work and requests from higher up to stay in touch with their units. This factor is attributed to supervisors who lack people skills; they are hired or promoted for their scientific expertise only. This results in low morale and motivation, fear, apprehension, low trust, lack of clear directions and goals, and ineffective implementation of decisions.

NEUTRAL: An effective supervisory and leadership style is needed to have a well-functioning organization.

Factor, Description, and Verbatim Comments	# of respondents mentioning as a positive	# respondents mentioning as a negative	# respondents mentioning as neutral or unspecified
Factor: Organizational structure			
NVSL Respondents (n=153):	10 or less	14	10 or less
CVB Respondents (n=111):	10 or less	16	10 or less

POSITIVE: Clear and defined roles exist in Veterinary Services' NVSL and CVB. The structure is generally effective.

NEGATIVE: The current organizational structure is ineffective, including having two Directors, a single campus that contains three organizations, and a Board of Directors that doesn't make effective decisions. The section structure results in unclear responsibility; there is too large a span of control and too many layers of uncoordinated management. There have been too many reorganizations over the years, resulting in confusion and lack of clear roles and responsibilities. The current structure lends itself to top-down communication only.

NEUTRAL: An effective organizational structure is an important factor.

Factor: Supervisors taking responsibility and holding others accountable			
NVSL Respondents (n=153):	0	13	10 or less
CVB Respondents (n=111):	10 or less	18	10 or less

POSITIVE: Supervisors take responsibility and hold their employees accountable.

NEGATIVE: NVSL and CVB management sets a clear vision but isn't supported at higher levels. Supervisors are not aware of what their employees are doing and are too hands off. They do not deal with (or deal ineffectively with) underperformers.

NEUTRAL: Supervisors should hold their employees accountable for low performance or unprofessional behavior.

Factor: Professional ethics			
NVSL Respondents (n=153):	10 or less	10 or less	10 or less
CVB Respondents (n=111):	11	15	10 or less

POSITIVE: Staff upholds the highest ethics even in difficult times. Most of the staff is honest and ethical.

NEGATIVE: There are a few bad apples who do not "work an honest day." The ethical standards are vague; there are too many rules to try to figure out what should or should not be done. Often times, common sense is not applied. This results in a feeling of anxiety and low morale.

NEUTRAL: Professional ethics are a significant factor in the work environment.

Factor, Description, and Verbatim Comments	# of respondents mentioning as a positive	# respondents mentioning as a negative	# respondents mentioning as neutral or unspecified
Factor: Unfairness			
NVSL Respondents (n=153):	**0**	**14**	**0**
CVB Respondents (n=111):	**0**	**11**	**0**

POSITIVE: None

NEGATIVE: Employees should not receive special treatment. Unfair hiring practices, promotions, and pay grade determinations can lead to a sense of favoritism.

NEUTRAL: None

Factor: Unprofessional behavior			
NVSL Respondents (n=153):	**0**	**11**	**0**
CVB Respondents (n=111):	**10 or less**	**10 or less**	**0**

POSITIVE: A professional, positive atmosphere exists.

NEGATIVE: A range of unprofessional behavior exists despite recent training sessions that have intended to address some of these issues. The behaviors include bullying, verbal abuse, favoritism, gossiping, and harassment, which are seen as accepted norms. Both employees and supervisors engage in these behaviors, and supervisors fail to hold their employees accountable for these unprofessional behaviors.

NEUTRAL: None

Factor: Workload			
NVSL Respondents (n=153):	**0**	**11**	**0**
CVB Respondents (n=111):	**0**	**12**	**0**

POSITIVE: None

NEGATIVE: Employees often have insufficient time to respond to short-turnaround requests. The fast pace and high workload is compounded by having too many vacant positions. Supervisors have too many direct reports and are too busy to properly supervise their direct reports.

NEUTRAL: None

Factor, Description, and Verbatim Comments	# of respondents mentioning as a positive	# respondents mentioning as a negative	# respondents mentioning as neutral or unspecified
Factor: Resistance to change			
NVSL Respondents (n=153):	**0**	**10 or less**	**10 or less**
CVB Respondents (n=111):	**0**	**10 or less**	**0**

POSITIVE: None

NEGATIVE: A general resistance to changing or improving work procedures exists.

NEUTRAL: Change is an important factor that influences the work environment.

Question 5: Are there cultural norms, behaviors, or practices in Veterinary Services' NVSL or CVB that are unique? Please explain.

Response	Theme, Description, and Verbatim Comments	# of NVSL Respondents (n=153)	# of CVB Respondents (n=111)
No	I am not aware of anything that is unique about Veterinary Services' NVSL and CVB, even as compared to the private sector or other government organizations.	41	17
No	Veterinary Services' NVSL and CVB is not unique, but Riverdale's norms are unique.	10 or less	10 or less
Yes	The lack of accountability for unprofessional behavior is unique. The Veterinary Services' NVSL and CVB culture allows low performance, bullying, gossiping, verbal abuse, and favoritism to occur with no repercussions.	28	33
Yes	Having so many people who are related to existing employees is a unique practice.	13	10 or less
Yes	There are differences across the sections due to the nature of their specific work, resulting in inconsistent policies.	10 or less	11
Yes	Having caring coworkers and supervisors who work together cohesively, communicate openly, and are hard working is unique to Veterinary Services' NVSL and CVB.	10 or less	10 or less
Yes	The Veterinary Services' NVSL and CVB norm is "we've always done it this way." Resistant to change and refusing to do something a new way is accepted practices.	10 or less	10 or less
Yes	We have status differences across the professions that exist at Veterinary Services' NVSL and CVB.	10 or less	10 or less
Yes	Not sharing information with people or units who need it is an accepted behavior.	10 or less	10 or less
Yes	A flexible leave policy is unique to Veterinary Services' NVSL and CVB.	10 or less	0
Yes	Being managed from a thousand miles away, including having a Human Resources Department in another location is a unique factor.	10 or less	0
Yes	But, I don't know what is unique about Veterinary Services' NVSL and CVB.	10 or less	10 or less
Yes	Diversity is emphasized in a positive way at Veterinary Services' NVSL and CVB. We can be ourselves, and all people are treated equally here.	10 or less	0
Yes	Having a culture of emergency response is unique.	10 or less	10 or less
Yes	Having a secretive interview process is a unique	0	10 or less

Response	Theme, Description, and Verbatim Comments	# of NVSL Respondents (n=153)	# of CVB Respondents (n=111)
	practice. This results in a process that is seen as unfair.		
Yes	Having opportunities to take training and to support students in their development is unique to Veterinary Services' NVSL and CVB.	10 or less	10 or less
Yes	Inadequate or ineffective supervision is a unique behavior.	0	10 or less
Yes	Introverts are attracted to our profession, which makes Veterinary Services' NVSL and CVB a place that is not socially inviting.	10 or less	10 or less
Yes	Taking training that is a waste of time is a unique practice.	10 or less	10 or less
Yes	The attitude that "my unit is above the rules" is a unique practice.	10 or less	10 or less
Yes	The lack of cohesion is a unique norm.	0	10 or less
Yes	The lack of direct access to the resources or tools is unique; we often have to rely on others to get access to the necessary resources and tools.	0	10 or less
Yes	The emphasis placed on degrees over experience when making hiring, promotion, and work assignment decisions are unique to Veterinary Services' NVSL and CVB.	10 or less	10 or less
Yes	The presence of a defensive, confrontational union is a unique part of the culture	0	10 or less
Yes	The scientific nature of the work and professional community make us unique. This means that we are detail oriented, take a "just the facts" approach, and sometimes engage in micro-management.	10 or less	10 or less
Yes	The small town atmosphere that exists here is unique.	10 or less	10 or less
Yes	The wasting of resources is a unique practice that occurs here.	10 or less	10 or less
Yes	There is little diversity among employees at NVSL and CVB.	10 or less	0
Yes	Openly ordering veterinary medications (used to be a norm here).	10 or less	10 or less

Question 6: As you know, the Ames Campus has been in the news recently. How has this affected your work environment?

Theme, Description, and Verbatim Comments	# of NVSL Respondents (n=153)	# of CVB Respondents (n=111)
It hasn't impacted me, even if some people around me are affected.	58	22
There is poor morale, a strained work environment, and a lack of trust.	30	30
People need to pick up others' slack right now; our workload has increased.	34	19
There is a pervasive culture of paranoia, hypervigilence, and fear. Many do not know where the ethics bar is and are afraid they will be let go next.	12	28
A lack of communication from management has diminished trust and increased gossip.	24	16
Management handled the situation poorly and in an extreme manner; as a result, they took a credibility hit.	18	22
The negative press is hard to deal with; I feel embarrassed and ashamed. I worry that it could impact our reputation and/or funding negatively.	13	14
I feel sadness or depression over the incident.	10 or less	12
It has diminished productivity, increased peoples' distraction, and hurt the overall quality of work.	10 or less	10 or less
People outside of work ask me about the incident.	12	10 or less
I think it was fair to discipline those on leave; people should be expected to follow rules. I am not sure it sends the right message to bring these people back.	10 or less	10 or less
I feel care and concern toward those on leave.	10 or less	10 or less
We get more ethics-related communications now; I am more aware of ethics.	10 or less	10 or less
I want to be done with this situation so we can move on.	10 or less	10 or less
This situation has impacted my personal life negatively.	10 or less	10 or less
Management has handled this well.	10 or less	10 or less
The campus has become more divided; people interact with each other less.	10 or less	10 or less
I feel uncertain and apprehensive about how the reintegration of those on leave will be handled.	10 or less	10 or less
Many of us have done nothing wrong but are still impacted	10 or less	0

Theme, Description, and Verbatim Comments	# of NVSL Respondents (n=153)	# of CVB Respondents (n=111)
negatively by this incident.		
It is unfair that those that did something wrong are getting full pay; it sends a bad message.	10 or less	0
This situation triggered a cleanup which has been long needed.	10 or less	10 or less
The people on leave were troublemakers, so it's actually nice having them gone.	10 or less	0
The issues brought to light have been going on for years.	0	10 or less
People are not discussing it or are discussing it in vague terms.	0	10 or less
This situation has brought employees closer.	0	10 or less
I now plan to look for another job.	0	10 or less
Things have been getting better with time. On the positive side, it serves as a good lesson for the rest of the employees.	10 or less	0
I wish we were appreciated more by management.	10 or less	0
I think people have been wrongly attacked.	0	10 or less
We now have new protocols or people to contact; management has asked us to come to them with concerns.	0	10 or less
Yes, it has affected me (no reason).	10 or less	0

Question 7: Describe the most important changes that you think need to occur at Veterinary Services' NVSL or CVB and why?

Theme, Description, and Verbatim Comments	# of NVSL Respondents (n=153)	# of CVB Respondents (n=111)
There is a lack of accountability; people are not held accountable for their behavior. When people are held accountable, it is done inconsistently among different groups or there is no follow-through.	38	32
Improve transparent communication from the top down; don't just give lip service.	37	25
We need stronger, more effective leadership that "walks the talk" and understands what we do.	17	23
Silos exist and there is a lack of uniformity in rules and rule-following; there are perceptions of favoritism and a lack of standardization across units. We need more uniformity and consistency in decisions and application of policies.	10 or less	13
We need better monetary support at Veterinary Services' NVSL and CVB; budgets are too tight and we don't always spend money wisely. We need to fill vacancies and find other ways to prioritize our workload.	10 or less	10 or less
We need better hiring practices including "casting a wider net" for talent and getting more experienced supervisors who have soft skills.	13	10 or less
We need more opportunities for advancement and professional development; we also need career paths to allow us to grow.	10 or less	10 or less
We are not compensated or rewarded fairly.	12	10 or less
There is a negative workplace culture of disrespect, gossip and intolerance; we need to become more trusting and people-centered.	10 or less	10 or less
No comment.	10 or less	10 or less
The move into the new building will help things improve.	10 or less	10 or less
Favoritism occurs and is based on unit, role, or credentials.	10 or less	10 or less
We do not receive enough recognition/praise; recognition must be given more often and shared fairly, which will make us feel valued.	10 or less	10 or less
We need to get back to a focus on the work and the science.	10 or less	10 or less
This is a good/great place to work. I like our workplace.	10 or less	10 or less
There are too many people here that are related to each other.	10 or less	10 or less
We could do a better job of educating the public/doing positive PR to give a balanced view of Veterinary Services' NVSL and CVB.	10 or less	10 or less

Theme, Description, and Verbatim Comments	# of NVSL Respondents (n=153)	# of CVB Respondents (n=111)
A review of the organization structure should occur for a more sensible organization and work flow.	10 or less	10 or less
Trainings and training processes are unnecessary, ineffective, or focused on the wrong area.	10 or less	10 or less
I am concerned about how those on leave will be re-integrated; I am uncertain about how things will be handled. We need closure on this issue.	10 or less	10 or less
We need to be more proactive as an organization, less reactive.	10 or less	0
We need a more cooperative work environment in which departments work together and there is a sense of team work.	10 or less	10 or less
We do not allocate our time well. Supervisors need more time to supervise, and we all have too many meetings.	10 or less	10 or less
I'm tired of giving my feedback to management with no visible results.	10 or less	10 or less
We are being asked to do more with less; this impacts our workloads negatively.	10 or less	10 or less
We should embrace technology more.	0	10 or less
I have seen positive changes on the part of leadership lately.	10 or less	10 or less
We need to remember that we are here to serve our customers and the public who have instilled their trust in us.	10 or less	0
Too much paperwork, bureaucracy, and red tape is required to get work done – this creates barriers.	10 or less	10 or less
Security and safety are important issues.	10 or less	10 or less
People should be consulted on decisions that affect them.	10 or less	0
We need to be more goal- and results-oriented as an organization.	0	10 or less
I like the benefits here, especially flexibility.	10 or less	10 or less
We need improved equipment.	10 or less	0
Discrimination is an issue that needs to be addressed more proactively.	0	10 or less

Question 8: Are there any other comments that you want to add about your workplace or work environment?

Theme, Description, and Verbatim Comments	# of NVSL Respondents (n=153)	# of CVB Respondents (n=111)
This is a good/great place to work; I like our workplace.	28	27
No further comments.	22	14
There is a lack of accountability; people are not held responsible enough. When people are held accountable, it is only certain groups.	17	18
Management is poor and ineffective.	12	14
I enjoy the people here.	10 or less	10 or less
Management and supervisors are capable; they try hard and do a good job.	10 or less	10 or less
I am concerned about this survey being anonymous and/or about how results will be used. I am concerned about retaliation.	10 or less	10 or less
Regarding the staff members who are on administrative leave, I don't see that what they did was wrong. Management handled the situation poorly, and we now need closure.	10 or less	10 or less
I am proud of the work we do.	10 or less	10 or less
I'm tired of giving my feedback to management with no visible results.	10 or less	10 or less
The majority of people here have good work ethics.	10 or less	10 or less
There is a rift between Riverdale and Ames; I don't trust people in DC.	10 or less	10 or less
Trainings and training processes are unnecessary and/or ineffective.	10 or less	10 or less
Too much paperwork and red tape is involved, which creates barriers.	10 or less	10 or less
We do not receive enough recognition/praise.	10 or less	10 or less
Favoritism occurs and is based on unit, role, or credentials.	10 or less	10 or less
I believe there should be more opportunity for advancement.	10 or less	10 or less
People are spread too thin in their roles; workloads are too high and realistic deadlines do not exist.	10 or less	10 or less
This is a joy-less, depressing workplace; morale is low.	10 or less	10 or less
We need improved equipment.	10 or less	10 or less
We lack the technical competency and credibility that are needed	10 or less	10 or less

Theme, Description, and Verbatim Comments	# of NVSL Respondents (n=153)	# of CVB Respondents (n=111)
to lead in our field.		
We need a more caring- and/or teamwork-centered workplace.	10 or less	10 or less
Listen to our cost saving ideas and stop wasting too much money and resources.	10 or less	10 or less
I am looking forward to moving to the new building.	10 or less	10 or less
Don't bring the suspended employees back; doing so would send the wrong message.	10 or less	0
I have seen improvement over the last 2-3 years.	10 or less	0
I like the benefits here, especially flexibility.	10 or less	0
Supervisors should be qualified to supervise people.	10 or less	10 or less
The ethics training was successful; we need more.	10 or less	10 or less
There are too many relatives working here.	0	10 or less
We are not paid fairly.	10 or less	10 or less
How the future of APHIS is handled is important; I am uncertain about how things will be handled.	0	10 or less
We need less playing politics, more common sense, and improved facilities.	10 or less	0
Let's focus on the work.	10 or less	0
We need more transparent communication.	10 or less	10 or less

This page is intentionally blank.

9. THEMES FROM SUPERVISOR/MANAGER AND EMPLOYEE INTERVIEWS

Management Concepts used interviews with supervisors/managers and employees as a methodology to better understand the culture and management of NVSL and CVB. All NVSL and CVB supervisors and acting supervisors, some managers, and the union representatives were interviewed, for a total of 35 interviews (17 from NVSL and 18 from CVB). A sample of 35 employees also participated in interviews; employees were randomly sampled according to lab (21 from NVSL and 14 from CVB), grade, unit, and job title. The themes from these interviews are captured in the table below and serve as an illustration of the most prevalent cultural norms shared by the supervisors/managers and employees of NVSL and CVB who participated in the interviews.

Theme	Examples Shared	Impact and Implication	# of Supv/Mgrs Mentioned		# of Employees Mentioned	
			NVSL (n=17)	CVB (n=18)	NVSL (n=21)	CVB (n=14)
Accountability. There is a cultural norm to allow a wide variance of expectations with little to no consistency or accountability from organization to organization (NVSL and CVB) or section to section.	While jobs are similar across organizations and sections, supervisors/managers and employees are held to different standards depending on the organization and section. Supervisors/managers expressed a perception of inconsistency; that is, some supervisors/managers are not held accountable in the same way that others are. Likewise, employees perceive that all staff are not answerable to the same set of rules. Phrases used by employees to describe this theme were: "What does it mean for leaders to be effective? If they are held accountable to goals, we don't hear what the goals are, so it's hard to hold them to anything" and "Here, there is no mechanism to hold people accountable."	An inconsistent approach to expectations within NVSL and CVB has: • Created hard feelings and feelings of unfairness between units; • Produced uneven organizational results; • Sent mixed messages to employees; • Fostered a sense of distrust and a lack of order and safety in the workplace; and • Allowed conditions for employees to not pull their weight, fostering resentment among other employees.	5	10	18	12
Support. There is a paradoxical norm where employees want their supervisors to be "hands-off	Employees and supervisors/managers expressed interest in autonomy and space to "do their technical work;" however, they also said they did not receive the support they expected and needed from	The impact of this norm is a set of mixed and unshared expectations of senior management. Underneath these unshared expectations are different value sets that may be invisible to	8	7	11	6

Theme	Examples Shared	Impact and Implication	# of Supv/Mgrs Mentioned		# of Employees Mentioned	
			NVSL (n=17)	CVB (n=18)	NVSL (n=21)	CVB (n=14)
and allow sections space to do their scientific work;" however, the sections also want greater management support. The culture of management has not found a way to balance these interests.	senior management. Approximately half of supervisors and managers interviewed stated they do not feel valued by their leaders in or outside of Ames. Numerous interviewees described feeling "isolated" from others. Employees noted that for a variety of reasons (including supervisor and senior management travel, workload, and having numerous direct reports), supervisors and senior management are not always seen as being unapproachable.	management but are fostering misunderstanding of expectations, distrust, and frustration throughout the management team about what it means to lead and manage. While the 'just do it' mindset has been articulated as a strength, it has caused a rut in which the technical work is wholly focused on, but without balance, and to the detriment of, the people-side of the organization.				
Urgency. Repeated requests from outside of Ames detract from the scientific work happening in Ames.	Supervisors/managers said their work is subject to frequent interruptions by demands from outside of Ames. Management is pressured with urgent demands from outside of Ames yet provides little context or prioritization. Unclear expectations about how to respond. Expectations from outside of Ames are not understood or agreed upon; perpetuates lack of shared understanding of expectations or accountabilities. Employees reiterated a sense of urgency, noting that it is hard to keep up with "short-turnaround" demands from leaders outside of Ames.	The impact of these requests is a sense of confusion about priorities (for example, to get the work done on time or meet requests in the time requested). Supervisors/managers perceive that those outside of Ames are unaware of importance of their work and do not understand how these requests impact their work schedules and existing commitments. Repeated requests without context or a sense of priority leave supervisors and managers with a sense of frustration and resentment.	8	3	5	5
Teamwork. There is a norm expressed that people do not collaborate or operate as a team.	Supervisors expressed a perception of a class system and being viewed as "less than" in their roles compared to higher ranking leaders. Supervisors and managers expressed a sense of subcultures between and within units, between and within NVSL and	Inconsistent expectations in collaboration and interests in teamwork create a perception of working against each other rather than in alignment toward the mission. Rather than utilize the collective experience and	4	6	5	5

Theme	Examples Shared	Impact and Implication	# of Supv/Mgrs Mentioned		# of Employees Mentioned	
			NVSL (n=17)	CVB (n=18)	NVSL (n=21)	CVB (n=14)
	CVB, between Aspen Park and the Main Campus, and between Ames and leaders outside of Ames. Disrespectful and unprofessional behavior (bullying, mobbing, gossiping, and favoritism) is displayed by both employees and supervisors with little or no consequences. Employees do not experience a sense of "team" as much as they would like. They expressed that staff in different sections do not always feel like they work for the same agency.	strengths of the supervisors, the supervisors perceive themselves as being isolated. The norm of not operating as a team or collaboratively with others was exemplified by disrespectful and unprofessional behavior, resulting in a sense of unfairness and a lack of trust in management's ability to protect employees; furthermore, this norm affected others' willingness to trust others, and communicate openly without fear of reprisal.				
Decision-making. Decision-making norms are not shared or understood across management.	There is no clear decision owner for decisions that need to be made. There is a lack of transparency in decisions that are made. Supervisors and leaders have a wide variance in decision making practices. Decisions get "lost," leaving long voids of not knowing what is happening with the decision. There is a perception that politics, rather than the advancement of science, unnecessarily drives decisions. As scientists, supervisors want to have all the data and want everyone to agree with the decision; however, people do not want to risk suggesting what that decision should be. When someone makes a decision, supervisors criticize it because they weren't included in the process, don't agree with the decision, or don't think that	The current lack of transparency and communication about decisions leads to inferences about the importance of the issue and assumptions about the managers' interests in dealing with the decision at hand. The implication is that people do not feel that what is important to them (the decision) is important to the manager or leader, fostering resentment. There are not shared values (and thus not shared norms or expectations) associated with decision making (such as speed or process) which is fostering distrust in organizational management and leadership. Supervisors want to be involved in decision making but do not feel as though they can advocate their perspectives due to a	11	9	10	4

Theme	Examples Shared	Impact and Implication	# of Supv/Mgrs Mentioned		# of Employees Mentioned	
			NVSL (n=17)	CVB (n=18)	NVSL (n=21)	CVB (n=14)
	the decision was fully and transparently communicated. Employees would like to be included more often in decisions that affect them. Reasons behind decisions are rarely shared with employees. Employees view the Board of Directors structure as a mistake; it takes too long for them to make decisions and sometimes no decisions are made at all.	lack of information being shared as well as a lack of support. Due to the limited human resources and gaps in staffing, supervisors are focusing on technical work more and do not have the time to be involved in decision making.				
Expertise. It is culturally accepted that scientific expertise is of the utmost importance and it is normal for supervisors to be hired for their technical skills rather than their managerial skills.	Supervisors believe they are there to do technical work and only manage people because they are obligated to. It is not abnormal for supervisors to have a significant number of direct reports, rendering it normative for them to not interact or engage with their direct reports on a consistent basis. Supervisors do not have the people-skills to effectively support and supervise people. Even if they did have the skills, with up to 25 direct reports, supervisors are unable to witness good or poor performance happening, thus limiting their ability to address it. There is a strong cultural norm to not deal with poor performance. If employees disagree with management, there is a perception that they will be bullied or blacklisted. Employees believe that supervisors are hired for their technical expertise, do not have good people skills, and are unable to deal with conflict.	The implication of this norm is that supervisors are not positioned to successfully meet the expectations of being both scientifically competent and competent to deal with employees who engage in what appear to be normative but unhealthy behaviors (such as teasing, ridiculing, in-fighting, and protectionism). Supervisors do not deal with poor performance effectively and are too far removed from day-to-day performance to have credibility in dealing with the poor performer or the inappropriate (and normative) cultural behaviors occurring. Being so far removed from employees, supervisors cannot readily reward or express value in employee performance, deal with problems or issues, or hold employees as accountable as desired.	10	8	9	4

Theme	Examples Shared	Impact and Implication	# of Supv/Mgrs Mentioned		# of Employees Mentioned	
			NVSL (n=17)	CVB (n=18)	NVSL (n=21)	CVB (n=14)
Work ethic. People are hard-working, and their greatest strength is their focus on the work and getting it done well.	People who work in Ames were described multiple times as the best part of working there. Words used to describe them: loyal, hard-working, people doing important work. Supervisors/managers love working here due to the importance of the scientific work and the ability to serve and impact the country. Employees share this sentiment. Employees see the workforce as conscientious, ethical, and having integrity. They also see the workforce as goal-oriented; they know what's expected of them and they get the job done.	It is very important not to lose this sense of pride in the midst of the challenges being dealt with. This sense of pride can create a common bond to build on for moving forward. This strength can also be a detriment when emphasis is given to getting the work done without regard to employees' well-being, satisfaction, or engagement.	11	5	11	5
Trust. There were numerous expressions of distrust with senior leaders as well as with those leaders in outside of Ames.	Climate was described as "fearful" multiple times. Multiple examples were shared illustrating a lack of trust with respect to senior leaders in Ames, as well as outside of Ames. The lack of trust primarily stemmed from unmet expectations around decision-making and communication. Employees expressed that they do not feel trusted by leaders; they perceive a lack of understanding about what is and is not allowed now. Phrases used to describe climate were: "It is important to cover your back;" "Hard to know what is okay now;" "Morale is lowest I've ever seen it."	Trust is the basis for effective leadership and management. In this case, the perceived lack of shared communication and decision making norms has fostered a sense of distrust. The distrust of leadership and senior management exists within Ames as well as outside of Ames. This distrust has been fueled by the OIG investigation and the response from outside of Ames, which was seen by many as an over-reaction. The process of employees going on leave and returning to work seemed to compound existing confusion about what is and is not considered trustworthy behavior.	10	13	14	9

Theme	Examples Shared	Impact and Implication	# of Supv/Mgrs Mentioned		# of Employees Mentioned	
			NVSL (n=17)	CVB (n=18)	NVSL (n=21)	CVB (n=14)
Communication. Communication norms do not meet the expected norms of the supervisors and managers.	Supervisors/managers said they rarely hear about the results of their efforts. Supervisors/managers and employees report that they simply do not hear information from above on what is happening with the agency. Information is often "lost" when sent up the chain of command. Employee suggestions include: "We need more communication from the top down", "Make open communication a more widespread practice."	The lack of information creates suspicion and mistrust of organizational leadership as supervisors/managers are left guessing for answers. Another implication for supervisors/managers is that they do not feel involved in problem solving and a sense of ownership over the issues and challenges that face their organizations. Employees' comments underscore that the lack of communication from leadership indirectly fuels the "rumor mill." Without clear communication, there is a danger that employees will rely on the rumor mill for more up to date information than they can get from management.	10	13	17	7
Workload. Overwork and unequal work levels due to the inability of managers to deal with poor performers and minimal financial resources.	Supervisors/managers and employees say they are unable to complete their work on time unless they work exceptionally long hours. Supervisors/managers say that additional work hours are related to additional requests from outside of Ames. There are few financial resources and over 30% of positions are unfilled. Employees pointed out that heavy workloads are hurting the quality of work.	The implication for supervisors and managers feeling overworked, combined with their feelings of being underappreciated, is fostering disengagement from leading and supervising at the organizational level. Management responsibilities, particularly the people-side of management, are acquiesced as supervisors focus on their scientific work. While most employees understand that heavy workloads are an occasionally necessary part of work, morale tends to	8	8	5	10

Theme	Examples Shared	Impact and Implication	# of Supv/Mgrs Mentioned		# of Employees Mentioned	
			NVSL (n=17)	CVB (n=18)	NVSL (n=21)	CVB (n=14)
		suffer when heavy workloads become the norm.				
Disrespectful and unprofessional behavior. Bullying, mobbing, and gossiping are displayed by both employees and supervisors with little or no consequences.	Supervisors/managers and employees perceived that disrespectful and unprofessional behavior was consistently displayed. Employees felt that their supervisors often fail to hold people accountable for engaging in bullying, mobbing, gossiping, and other unprofessional behavior. Further, they said that they sometimes observe these disrespectful behaviors in their supervisors.	Supervisors/managers and employees indicated that these behaviors lowered their morale as well as their trust in their coworkers, supervisors, and senior leadership. Failure to hold people accountable for engaging in disrespectful and unprofessional behavior has eroded trust.	9	4	11	7

Additional Themes from Employee Interviews

Three predominant themes emerged in the employee interviews that are not represented above. These additional themes are captured in the table below.

Additional Themes	Examples Shared	Impact and Implication	# of Employees Mentioned	
			NVSL (n=21)	CVB (n=14)
Follow-up of Study. Given the lack of follow-up on previous workplace assessments, employees are skeptical that leaders will take action based on this study.	Employees reported that they have given their feedback to management numerous times but that their input has gone ignored. There is a lack of confidence in how the results of the Culture & Management Review will be handled by leadership. There is a desire that unfiltered results be shared with staff.	It destroys, rather than builds trust, when employees are asked for feedback with no subsequent action taken. While anonymous feedback mechanisms like surveys are a great source of employee input, their anonymous nature can perpetuate a lack of face-to-face, open dialogue. Sharing the results of the study with employees, along with skilled facilitation, can be a powerful trust-building step on the part of leadership.	7	4
Good Place to Work. Taking everything into consideration, employees view NVSL and CVB as a good place to work.	Employees referenced MaxiFlex and the flexibility generally afforded them as a benefit that is greatly appreciated. "The people" are cited as positive aspect of the workplace. There is considerable pride in the work that NVSL and CVB does.	Flexibility may be particularly valued and appreciated by employees because at its core, it is a demonstration of trust by leaders. The presence of camaraderie can be leveraged to boost teamwork and decrease the presence of a "silo effect." Pride in the workplace appears to be underleveraged. Employees noted that more celebrations of successes could fuel their already considerable pride.	3	6
Career Advancement. The process of moving up "the career ladder" at NVSL and CVB is seen as confusing, limiting, and inconsistent.	Qualifications for career advancement appear increasingly more stringent. Promotion policies and job requirements are perceived as unevenly applied. Phrases used to describe the career ladder were: "How much you will be encouraged to move up depends on what supervisor you have" and "It seems there is no consistency applied to the advancement process."	Perceptions of favoritism in how people are promoted, whether perceived or real, can be psychologically damaging and decrease morale. The ability to maneuver *around* stated policies based on whom you know erodes management's credibility. Increased communication could serve to clarify the promotion and advancement philosophy at NVSL and CVB.	3	4

10. DOCUMENT INVENTORY

All documents were received from various sources and used solely for background information and context setting for the assessment. APHIS Representatives approved Management Concepts' receipt of all documents.

Title	Date
Cindy Smith's "Management Perspective"	February 6, 2009
John Clifford's "Ethics Letter" to Veterinary Services Employees Rev 1	February 2009
John Clifford's "Ethics Letter" to Veterinary Services Employees Rev 2	February 2009
John Clifford's "Ethics Letter" to Veterinary Services Supervisors	February 2009
Leadership Tool Kit	Downloaded March 2009
CVB Org chart	Downloaded March 2009
NVSL Org Chart	Downloaded March 2009
USDA Press Release No. 0037.09	Dated February 4, 2009
NVSL Workforce Analysis by Christine Zakarka	Dated May 4, 2006
Power Point briefing on National Centers for Animal Health	Received January 9, 2009
Numerous samples of employee Performance Plans	Received April 6, 2009
CVB/NVSL OAS Response Team Training Maintenance Plan	Not Available
CVB-NVSL Organizational Management: Brief Timeline	Not Available
Organizational Charts/Building Numbers/Site Plan	Not Available
CREC Follow-up Review (Memo to Steve Shelor from Richard Hill)	March 7, 2006
Report of Focus Group Recommendations	June 13-14, 2006 Ames, June 22, 2006 Plum Island
NVSL/CVB Combine Observations/Recommendations Focus Groups	June 13-14, 2006 Ames, June 22, 2006 Plum Island
Civil Rights Compliance Review Follow-up (Memo to Richard Hill from Steve Shelor)	September 2005
2003 Civil Rights Compliance Review Update (Memo to Anna Grayson from Richard Hill)	June 10, 2005
Civil Rights Compliance Review (Memo to Rick Hill and Steve Karli from Anna Grayson	October 2003
OPM HR Presentation	Not Available
OPM Letter to Randall Levings	June 2005
NVSL Quality Manual	July 11, 2008
USDA, APHIS, Veterinary Services/NVSL Strategic Plan	2008-2013
NVSL 2009 Business Plan Brief	Not Available
Veterinary Biologics Business Plan Brief	November 2008
Response at CVB/NVSL (major events) to concerns/problems identified on the APHIS Organizational Survey and the CREC Surveys	Not Available
Phase I Training Feedback Report – Dignity and Respect (employee and supervisor comments)	Not Available

Title	Date
Phase II OAS Training Feedback Report	July-August 2007
Feedback on Effectiveness of Training	November 8, 2007
Employee Feedback – OAS Project	June 2008
Additional Feedback NVSL	August 2008
Employee Feedback CVB	June 2008
CVB Focus Group (General Perceptions, Observations and Recommendations)	Not Available
New Reporting Requirements for MRP	Not Available
AMT Monthly Meeting	February 2009
Open Course Schedule (Computer Consultants Corporation)	February – April 2009
Management Plan (issues identified from Zakarka Report)	Not Available
Timeline of Specific Actions/Events Addressing Workplace Environment at National Veterinary Services Laboratories & Center for Veterinary Biologics Ames, IA	Not Available
NVSL/CVB Combined Observations/Recommendations Focus Groups	June 13-14, 2006 Ames, June 22, 2006 Plum Island
Areas to Address	Not Available
Follow-up Items NVSL LMT Team Building	January 29, 2009
Executive Development Plan Template	Not Available
NVSL News-2-Use (newsletter)	Not Available
Professionalism in veterinary medicine: Good to great	Not Available

Unpublished Work ©2009 Management Concepts, Inc.

This document contains confidential and proprietary information for internal APHIS use only. Any other use or disclosure is strictly prohibited.

94

11. MANAGEMENT CONCEPTS CONTACT INFORMATION

For any questions regarding this report, please contact:

Point-of-Contact: Tanya Griffey, PMP

Title: Project Manager

Business Unit: Management & Leadership Division

Business Address: 8230 Leesburg Pike, Vienna, VA 22182

Phone Number: 703-270-4191

Fax Number: 703-270-4033

Email Address: tgriffey@managementconcepts.com

Web Address: http://www.managementconcepts.com