Searching for the Links Between Culture and Performance: The Role of Values Work as Emergent Values Practices in One Company's Journey from *Imagined* to Transformational Change

A dissertation submitted

by

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to

Benedictine University

in partial fulfillment of the requirements for the degree of

Doctor of Philosophy in Values-Driven Leadership

This dissertation has been accepted for the faculty of Benedictine University.

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“Change precedes insight.”
—Anna M. Amato
Abstract

This qualitative research study, using a perspective that all organizations are complex systems of individual members co-creating their realities together, explored the phenomenon of values work as emergent values practices by looking deeply into a single case of an exemplary, high-performing company: Tasty Catering. For this study, values work was conceived as encompassing all activities, exchanges, conversations, meetings, and other symbolic representations demonstrative of a leader’s and followers’ engagement in creating, defining and making explicit their organizational core values. In comparison, emergent values practices were any and all enactments of the espoused core values, through implicit or explicit means. With this in mind, this study looked to answer the question: What role did values work as emergent values practices—a combined construct operating as a process—play in the context of an intentional change initiative, which an organization undertook and that was later followed by an exceptional and dramatic change in organizational performance.

The findings revealed that values as emergent values practices played a powerful role within the interactions and relationships between and among the leader, followers, and company stakeholders. The process emerged as complex and played more than a supporting role, instead emerging as both part of and necessary to the transformational change and the sustainability of the new values-driven culture. Values work as emergent values practices emerged as a leadership co-process
constituted by and giving rise to the predispositioning of future dispositional frames, enabling the transformed culture to survive, grow, and strengthen. This developmental process emerged as moving patterns between and across the co-created realities of the leader and the followers, continually setting (positioning) forward future frames. Without these frames, made possible by social contracts and acts of humility, power-exchanges between the leader and followers—a requirement for transformational change—cannot occur. The emergent model theorizes that humble acts are required before leaders can cede power (truthfully and honestly) and before followers can embrace power autonomously (with freedom and responsibility), thereby enabling power-exchanges, which are necessary for transforming both the leader and followers to higher moral purposes and motivations. Without humility, there can be no transformation.
Dedication

“Praise the bridge that carried you over.”
—George Colman

I first must dedicate this dissertation to everyone and anyone who ever encouraged me along the way, in both little and big ways, never letting me give up on me. This includes all of you who stood by my side, by my bed, by my couch, or “by me” via the phone—through the holes, gaps, confusion, and uncertainty, and then finally out of the fog—no matter where you or I happened to be at the time. I am referring to that critical and surreal period following what I have come to both jokingly and affectionately call “the big crash.” If you know what this means, then you also know who you are and that this dedication is for you. I write it with heartfelt thanks, holding back my tears, while beaming with uncontainable joy and overflowing gratitude. Without your support, this life-long goal would never have been possible.

Most of all, I dedicate this dissertation to my steadfast, ever-present, constantly giving, hugely generous and gentle aunt: Aunt Joan. Without your presence, wide open arms, a comforting place to hang my hat and my heart throughout my doctoral studies, your caring nature and not-so-ironically after all, you being there for me instantly after “the big crash.” Without your having been there then—and now having traveled along with me during this most recent journey—there would be no dedication to write and this culminating manuscript would be nothing more than but a
faint wisp of a fleeting and unattainable dream. To you I am forever indebted and
humbly grateful. The time has finally come for us to take that trip around the world, if
only in our imaginations, for my non-retirement celebration!
Acknowledgments

“Gratitude is the music of the heart when its chords are swept by the breeze of kindness.”
—Author Unknown

First, I would like to acknowledge the dedication and commitment of the Center for Values-Driven Leadership (CVDL) team and its leader, Dr. Jim Ludema. Thank you for making a reality the type of doctoral leadership program that drew curious students from near and far, including me. Also, I would like to acknowledge the enthusiastic energy, hard work and quality of contributions each of the CVDL team members brought to bear over the course of the past three years, during the Center’s first inaugural program launch of Cohort 1. We were a challenging group, no doubt, but no match for your collective experiences, expertise and determination, as you each challenged us to think more deeply, look from multiple angles, and open our minds and our hearts to new thinking and possibilities. You nudged us towards committing to learning all that we could from and about those who have paved the paths of research, exploration and wonderment long before any of us.

In addition, I must acknowledge my cohort comrades—all of you. In each of your individual ways, you helped to create for me, and I believe for others as well, a rich environment in which to learn, relearn and explore ideas and thoughts deeper and further than ever before. I hope our paths continue to cross and intersect as we take this our small piece of the larger vision and enthusiastically extend it through our
individual and collective actions, out across our own networks and reach. I must also reserve a most special and grateful thank you to Dr. Shannon Brown. She knows why.

Finally, I acknowledge the support of my mentors, close friends, and family. Mom and Dad, you were there, quietly yet powerfully standing just behind me, in support of my every step in life, from when I first learned to walk to the steps I will soon be taking across the stage. This approaching moment will be the first time I will actually be able to be present in order to walk the stage (since high school), when looking back on the two previous academic milestones I managed to reach. Thank you. Tony and Anita, you have been part of my growing up, my becoming a woman, and my becoming a better sister. You were often there as I learned to take risks and challenge my realities, while at the same time, providing me comfort in knowing I would always be safe and part of a special “inside” group, irreplaceable by no other. In this specialness, our brother Joe (looking down from Heaven) continues to hold his own unique place “on my shoulder.” His ever-constant presence in my thoughts is a continual reminder to be daring, creative, a bit less serious and always much more accepting of others than they might be of me. Moreover, he taught me that music was not meant just to be played, but was also to be intensely felt and shared, loudly with all. This learning, while connected in different ways to each of our interests in music, for me served as a more powerful metaphor for living, helping me to get through many of life’s challenges. Thanks Joey.
Best friends Carrie and Richard—it goes without saying that your friendship is beyond compare or description when it comes to knowing and experiencing that there really are persons in the world who would do anything at all, ever needed by another, always. Thank you so very much. In both of you two I have found that wonderfulness of kindred spirit; I will love and depend on you both, always. You can always depend on me.

Also to my “work” friends, colleagues, teammates and buddies. You are each as important as any friend since for me, life is my work and my work is my life. Keeping these separate has never been possible nor ever made much sense to me. So many of you have persevered by my side through thick and thin, since the wee beginnings of edtec to the full-service firm it has become today. I thank you all. However, with so many to name and the risk of offending, everyone who knows me through work will agree that at least one person deserves to be acknowledged here. Barb, you have helped to erect and keep pointing north our company’s ethical compass. No words can adequately express the impact and value of your incredible moral strength to me personally and to the edtec family, even in the face of potential backlash (you and I both know what this means). Your willingness to always do what it takes no matter how long, how many hours, or by when it is needed (e.g., during those supposed “breaks” that comically show up on our respective calendars), in order to make sure something got done for our clients and our fellow team members
so that students can and do always come first. You inspire us all to do—for others—what is right, at the right time, and in the right way. Thank you.

Before I thank my committee, I must pause and offer a most grateful and heartfelt thanks to Tom Walter, founder and Chief Culture Officer (CCO) of Tasty Catering. Tom, I was inspired before I even met you, through the stories of your teammates, and the undeniable vibe of something very special indeed, permeating throughout the Tasty environment. I felt it the second I stepped through the door. I did my best to capture that herein, knowing full well that this pen-to-paper version is but a poor replacement for what can (and must) be experienced, only through stepping inside the amazing Tasty culture. Thank you for taking the risk and opening up your company, your family, and yourself, to a group of curious folks, including this new researcher. In you and the entire Tasty team, I found new hope and inspiration for the future of what drives the American engine of opportunity and growth in our nation: values-driven business ventures launched and led by humble, values-driven leaders.

Finally, I must acknowledge the guidance and direction provided by my dissertation committee, with special thanks to each of you. Tom, I appreciate you jumping in and helping to rescue a stressed-out and overwhelmed practitioner-scholar. Your thoughtful and exceptional feedback assisted in many ways, especially, to help me finally pinpoint the best position for key assumptions and upfront definitions that were needed to provide clarity for readers and the overall discussion. Thank you.
Nelson, you have stood as a mentor and monumental example for me, for the better part of my adult life. You always model your leadership, your collegial spirit and your friendship, showing me what one person can do and achieve on behalf of others when the focus stays quietly and persistently on the goals at hand with the mind’s eye towards never settling for anything less than the highest quality. Thank you.

Gus, you have inspired me over these past three years more than nearly anyone else over my entire life. Through the good fortune of having met you, my heart has opened to hope, possibilities, and a renewed belief in both the human potential to do good and an ever-present, caring God. Without your faith in me, I could never have finished this dissertation. I believe that finding a true hero in life—outside of one’s own family—is a lucky and rare instance indeed. Having more than one is a blessing from above. And so, I cannot conclude here without unashamedly and with deep gratitude, declaring loudly to all—you Gus, are my hero. Thank you.
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Chapter 1: Introduction

“There’s never enough time to do all the nothing you want.”
—Bill Watterson, Calvin and Hobbes

In today’s fast-paced, ever-changing, highly competitive, often disruptive, and economically challenging business environments, with seemingly constant pressure to continually innovate while remaining stable and viable (Barnes & Van Dyne, 2009; H. L. Thompson, 2010), today’s leaders are searching for efficient and effective practices that can help them make sense out of complexity, while driving and sustaining measurable results. They often find themselves swimming in a vast sea of choices about what to do, how to lead and how to change their organizations when faced with circumstances requiring some change in order to stay alive. Among these choices include: fads of the time and enduring ideas, how-tos and how-not-tos, real experts and self-proclaimed consultants, long-range learning programs and abbreviated training sessions, informal white papers and formal research recommendations, paradigm shifts, and debates on philosophical perspectives.

Not only are such choices often at extreme opposite ends of one another, causing confusion, stress and uncertainty for leaders (Buchanan, 2003), but they also leave largely unanswered the central question of which core leadership practices link to sustained, quality performance. While social scientists and researchers across numerous fields and domains continue to study leader and organizational phenomenon, few studies have uncovered which essential practices emerge as the
strongest and most consistent links between leadership, the organization’s culture, and exceptional, sustained performance and growth. Fewer studies yet have explored organizational work on values—and the resulting values practices emerging from such work—and the role this process has as a potentially strong linking mechanism between leadership, culture and performance.

To delve deeper into this question—what are the links between leadership, culture and performance—this qualitative study investigated how an exemplary small, privately-held, family-owned, for-profit business—Tasty Catering of Elk Grove Village, Illinois, USA (Tasty)—used values work as a central theme of its intentional change initiative, which later emerged as embedded values practices, followed by an exceptional change in performance. To develop a broader understanding of this phenomenon—values work as emergent values practices—this study looked purposefully into the leader-followership relational interactions to describe how values work appeared as values practices, forming strong explanatory links between transformational change efforts and later observed performance outcomes.

Before discussing the context for this study, statement of the problem, the study’s main purpose, the research question and methodology, my philosophical lens, other potential bias, the scope of the study, and a summary of the layout for the remaining chapters in this paper, I first share two critical assumptions that are important for the
reader to be aware of that were in place before the study began, as well as an operational definition for my concept of values work as emergent values practices.

**Starting Assumptions**

Before data collection began for my study, I knew two things for certain that had emerged from criteria established much earlier than this study, which were developed by other researchers, and that were used to identify Tasty as an exemplar case from among a larger pool of potential candidates. The two criteria that I had to consider as pre-study givens were that (a) Tasty had been defined as a high performing company from within a larger study’s data set (the Return on Values [ROV] project, which is explained on pages 8 through 9 of this chapter) prior to my selecting it for this study, and (b) the Chief Executive Officer (CEO) had self-identified his company as having undertaken an intentional change initiative to deliberately change his company’s culture. These pre-study givens provided additional context for how I would approach this study, as well as how I would undertake a preliminary literature review that would be substantive to the study (Dunne, 2011).

Specifically, as a high performing company, Figure 1 shows Tasty’s sales trend from 2004 through 2013 as the year-over-year percentage growth in total sales revenue. The chart provides a fictitious amount to start in 2004 (for privacy reasons), but the year-over-year percentage increases are real.
Figure 1. Tasty Catering: Year-over-Year Sales Trend


Figure 2 shows the year-over-year profit trend for the same period, 2004 through 2013. Again, 2004 is set as the baseline year and assumes some profit amount X, not disclosed for reasons of privacy. However, the percentage increases and decreases for each year are actual amounts. From 2004 to 2005, profits dropped 85% even though sales had risen by 24% (see Figure 3). This was one of the precipitating events which caused Tasty and its leadership team to consider a major change in how it conducted its business and what it—and all of its employees—would focus on changing from that point forward. Beginning during the first quarter of 2006, the point in time that
Tasty’s leadership team considered and launched a major culture change initiative, through 2013, Tasty experienced a cumulative growth in sales of 94%. This equates to a near doubling of its sales and productivity. At the same time, Tasty maintained its staffing level on average at approximately 60 full-time and 300 part-time employees. During this same period, Tasty experienced a cumulative growth in profit of 1,181%. Of particular note is that after a precipitous drop in profits during 2009, due to the national and worldwide recession, Tasty rebounded with an astonishing 2,233% profit increase by 2011.

Figure 2. Tasty Catering: Year-over-Year Profit Trend

Figure 3. Tasty Catering: Profit vs. Sales Year-over-Year Trend


Definitional Frame: Values Work as Emergent Values Practices

To better understand my discussion of this study throughout the entire paper, including my research approach, methods, and findings, it is helpful to know what I meant at the onset by “values work as emergent values practices” (or any other tense of this conceptual construction).

In this study, values work was conceived as encompassing all of those activities, exchanges, conversations, meetings, and other symbolic representations demonstrative of the leader’s and followers’ engagement in creating, defining and
making explicit their organizational core values (organized sensemaking) (Weick, Sutcliffe, & Obstfeld, 2005). In comparison, emerged values practices were potentially any or all enactments of the espoused core values through implicit or explicit means. Together, these constructs form a single combined process that occurs over time, emerging from interactions between and among organizational actors.

I did not presume in advance that emergent values practices had to be observable at any specific frequency to constitute a practice. To the contrary, a practice could emerge and at first be unidentifiable until a later point in time, as potentially part of an emerged practice. More specifically then, for the purposes of this study, I considered values practice as a practice when it emerged as a pattern across multiple interactions and co-interactions expressed through the enactments and relationships of the leader and followers, and at times, other stakeholders.

Further, I rely on the work of Schatzki and Wittgenstein (1996) in creating this operational definition, which provides a frame for situating my phenomenon of interest. Schatzki and Wittgenstein posit, and I agree, that practice and practice theory elude a specific or unified definition. Instead, they view practice as a conception of practical intelligibility for actors engaged in interaction for understanding of what it makes sense to do, say, or think in a particular circumstance. In a separate and later article, Schatzki (1997) helps us further understand what he means by practice and practice theory in more detail:
Since the nature of practice and the analysis of actions and social phenomena vary greatly among these theorists, the term practice theory designates at best a family of accounts. Beyond the vision of the social as a nexus of practice and the accompanying thesis of the social constitutional centrality of practice, practice theorists are united by the proposition that practical understanding and intelligibility are articulated in practices. (p. 283)

Schatzki also helps us to understand that while there is disagreement among theorists and across disciplines as to the specific nature of practice, there is some commonality across all theories:

Disagreement about the analysis of this site notwithstanding, these theorists concur that it is in practices that meaning is established in human life. Indeed, practices qualify as the basic social phenomenon because the understanding/intelligibility articulated within them (perhaps supplemented with normativity) is the basic ordering medium in social life. (p. 283)

In summary, for this study I considered values work as emergent values practices to be a combined process, which occurred as patterns over time, emerging out of the interactions between and among organizational members. It may be helpful to the reader to hearken back to this discussion whenever encountering the phrase “values work as emergent values practice.”

The rest of Chapter 1 introduces the context for this study, statement of the problem, the study’s main purpose, the research question and methodology, my philosophical lens, other potential bias, the scope of the study, and a summary of the layout for the remaining chapters.
Context of this Research: A Study within a Study

It is important to understand and interpret this study within the context of the larger study in which it sits and from which it draws both data and inspiration. In addition, readers should know that the larger study is still on-going. What follows is a brief overview of the larger study.

By way of background, in September of 2012, the Center for Values-Driven Leadership (CVDL), at Benedictine University (near Chicago), began leading a three-year long research initiative entitled the “Return on Values Project” (ROV), in collaboration with (among other entities) the Center for Organizational Scholarship, which is located within the Stephen M. Ross School of Business at the University of Michigan. The central research question for the ROV research project is as follows:

ROV explores the question, “What is the link between culture and profit in small and mid-size businesses?” More specifically, “What are principles, practices, processes, values, beliefs, systems, structures, relationships, behaviors, approaches to leadership, management, employee engagement, customer relations, innovation, market orientation, finance, metrics, etc. that define the cultures of sustainable growth companies and drive top and bottom-line growth over time?” (Ludema, 2013, p. 1)

The overview document of the ROV project (see Appendix A) provides additional important details about the larger study and hence, the overarching criteria by which Tasty and 29 other exemplary companies were included for case study investigations:

The target population for the ROV project is privately owned entrepreneurial firms in the US that have been in business for more than five years, have annual revenues of $2.5-$500MM, and have 10-
While the ROV project is using a mixed-methods approach to explore its primary question (what are the links between culture and profit) my study used a qualitative design and the single-case study method to investigate more deeply into a specific question: What role does values work as emergent values practices play in relationship to a successful transformational change? I did this by studying an exemplar company from among the ROV cases. Yin states it is appropriate to use a single-case method when it "represents an extreme case or a unique case" (Yin, 2009, p. 47). Tasty was such a case, even beyond its exceptional financial growth, which will become more obvious as this paper and the study it describes, unfolds. What follows next is a statement of the problem.

**Statement of the Problem**

The small to mid-size business sector drives almost half of America’s economy, while representing about 99% of all businesses in the US (Seargent, 2012) at any one time. Leaders of these companies, just like leaders of major corporations, face complex and challenging goals within the normal course of doing business. Primary ongoing goals usually include how to produce high quality products and services consistently over time, how to maintain a healthy and motivated workforce, and how to stay afloat through difficult economic cycles, often in the face of fierce
Staying on top of these goals and ahead of the competition, especially when conditions suddenly change, can call for extraordinary measures in order to stay alive.

Leaders can also feel overwhelmed, especially when the circumstances call for some major change, such as totally reorganizing their work force, or taking the company in a brand new direction, or having to change one or more practices, procedures or systems that may be significantly embedded processes within the company’s culture. How are they to know what to do, especially if faced with the need to make some radical changes to their operations? Where do they find guidance? What has worked in other small to mid-sized companies when faced with similar decision points or the need for expedient and effective change?

Can a focus on core company values help a company through such changes? What does it mean to have a values-driven organization? Do values-driven companies succeed in the marketplace? If so, how does the role of values and their related practices enable change so that a company might later experience sustained growth and performance? What type of leadership is involved and what changes happen to the company’s culture, over time, within the context of a change initiative? Simply put, what role does values work as emergent values practices play in the transformation of an organization from a state of stagnation (or decline), to a state of thriving—in exceptional ways—towards sustained performance and growth?
To learn this, my study set out to investigate an exemplar case of one company that successfully transformed itself in a very short time frame, not only keeping itself afloat during one of the most challenging economic cycles in recent history, but also evolving into the award-winning, highly recognized, thriving firm that it is today. I zeroed in on a particular phenomenon that has been associated with successful transformational change in other organizations and was an essential ingredient of Tasty’s culture change: values work as emergent values practices.

A deeper look at the problem
The specific problem my study addressed—how do leaders of small to mid-size companies lead intentional change efforts to transform their company in hopes of achieving later improved performance—is part of a larger problem. It is complex and difficult to describe, but it is there. I know this from personal experience as a Chief Executive Officer (CEO) of a small company. As owner-leaders, we constantly receive an overwhelming amount of information regarding how to be more successful at what we do, how to get to where we want or need to go, and how to move our organizations towards—and sustain them at—high performing levels. This information seems to come at us from all directions and from a dizzying array of sources, due in large part to our ever-constant connection to everything around us via technology and the Internet. Tips on effective leadership, becoming a transformational leader, and successfully changing the company culture, abound.
Consider the following. A search on Amazon.com for books containing the terms “change,” “leadership,” or “transformation” reveals a total 161,701, 110,544, and 37,360 books, respectively, across a vast range of fields. An Internet search using Google of “transformational leadership,” results in 4,200,000 hits. Revising the search terms to “transformational change” dramatically increases the number of hits to 7,040,000 that span multiple disciplines and domains. As I personally experience on a daily basis, information overload contributes to a leader’s stress (Wallace, Edwards, Arnold, Frazier, & Finch, 2009), while posing challenges and difficulties in discerning fad from effective practices that might otherwise be of benefit to a busy leader’s own situation and circumstances.

At the same time, the body of scientific research related to leadership appears only recently to be moving beyond the studying of leaders’ traits, skills, and relational roles to a fuller recognition of the need to study leadership as a more complex process (Uhl-Bien & Ospina, 2012). Along with this is a lack of development of any broadly accepted theory of followership (Uhl-Bien, Riggio, Lowe, & Carsten, 2014) and fewer studies yet to explain specifically how and why values work emerges as useful values practices within organizations, especially within the context of an intentional change effort (Gehman, Treviño, & Garud, 2013).
In summary, the problem is multi-faceted. First, there is too much information coming at leaders to do one thing or another, to lead change. Second, there is a gap in the literature as to the role of followers in the leadership process. Third, an even wider literature gap exists as to the mechanism of values work resulting in values practices and its role in relationship to leadership, culture, and performance. This study, by addressing the central question of what was the role of values work as emergent values practices in the context of a successful change initiative, followed by exceptional performance sustained over time, moves us closer to addressing the larger problem.

**Worthy of Investigation**

This study was a worthy undertaking for several related reasons. There was a need to fill the gaps in the literature relative to our understanding of values work as emergent values practices, as well as the role of followers in relationship to the leadership process. The findings and recommendations will broaden and expand our present understanding of leadership, a complex phenomenon. A better understanding of leadership on the academic side, directly benefits leaders on the practitioner side by offering more informed guidance as to which leadership practices are emerging as most often linked to positive organizational cultures and successful performance outcomes.

When shared with practitioners, new knowledge helps them to better sort through the clutter of information overload and discern fad from real options. In turn, this
potentially helps to reduce leader stress. Moreover, it provides leaders and followers better tools from which to choose when facing complex situations. Perhaps most important and beneficial to practitioners and researchers alike, research findings can ultimately help leaders and followers expand in their own leadership development and potential.

A collective effort then, in continuing to search out, reveal, and share the most powerful mechanisms for inspiring leaders and followers towards common goals, maximizes the potential for achieving exceptional performance through the creation and sustenance of more healthy, generative, and thriving organizational cultures.

**Purpose of the Study**
This main purpose of this study was to investigate the role of values work as emergent values practices in the context of a transformational change effort directed at a company’s culture, where an exceptional and sustained change in the company’s performance followed. This study had secondary purposes as well. First, it fulfilled my desire and resulting obligation to contribute to the ROV research project by assisting with the investigation of potential links between culture and profit (at Tasty and other companies). Second, it fulfilled my desire to contribute to the research gaps where there is a need to understand more about the role of values work as emergent values practices in the context of change efforts, as well as about the role of followership as part of the leadership process. Finally, this study endeavored to discover new learning and insights that could extend and build upon our present
knowledge and understanding of values-driven leadership and leadership in general, from a practitioner-scholar perspective.

Next, I present the research question followed by a high-level overview of the research methodology.

**Research Question**
The research question for this study arose out of a long-term desire to identify and uncover potentially highly “model-able” leadership practices that could help today’s leaders and tomorrow’s future leaders—facing complex problems—become more effective at creating and leading positively generative cultures within complex environments, and better capable of sustaining exceptional performance over time. I deliberately introduce and use the term “model-able” in order to distinguish it from the more recognized term others might use here, which is “replicable.” In comparison, model-able means an action or set of actions that one or more actors may carry out that are similar, but not identical, to the actions carried out by some other set of actors, even when they are all following some written or pre-prescribed script. For example, one leader may be able to model some other leader’s actions in how the latter conducts weekly meetings with his or her executive team. However, the former leader can never replicate the actions, mood, style or any other attribute of the other leader. He or she can only model the behavior in his or her own unique way.
I consider replicable as a sibling term, closely linked but nonetheless not identical to *model-able*. Further, I strongly believe that replication (in its formal sense of the term) of organic, socially constructed, co-created interactions, involving humans and their complex natures, is neither possible, reasonable, nor makes good sense. Suggesting that one leader can replicate the actions and methods of another and end up with the same results is an effort in futility. Modeling and replicating are two different constructs. It is within this context that the reader should interpret my intent when I refer to discovering and identifying emergent practices for sharing with others, in order that they in turn may emerge as flourishing leaders in their own practicing of leadership. Their own practicing will be unique to them, including whether or not they can attain intended outcomes.

With the above in mind, along with influences of my participation in the ROV project, my personal background, professional work experiences, philosophical beliefs and my own set of core values, the central question for my study emerged over time into the following:

- What role does values work as emergent values practices play, in the context of a planned transformational change initiative, including how does it function within and between the interactions and relationships of the organizational members?

In relationship to the central question, the following additional sub-questions emerged:
• What relationship patterns, if any, emerge around values work as emergent values practices, especially between leaders and followers?

• How and when do values conversations arise?

• How and when do values practices arise?

• How are values communicated to and among organizational members?

• How are values practices communicated to and among organizational members?

**Research Methodology**

Details of the specific research methods used for this study, as well for analyzing the data and reporting the findings, are contained in Chapter 3. However, a brief overview at this point will help establish for the reader a foundational understanding of the overall design and direction of the study.

This investigation followed a qualitative research design using the single-case study method (Yin, 2009), and a constructivist, grounded theory approach for abstracting concepts to theory as advocated by Charmaz (2006). Although there were multiple data sources (described later in Chapter 3), the primary source of data was from semi-structured interviews designed in the style based on an appreciative inquiry approach (Cooperrider & Srivastva, 1987). To help provide a logical structure and coherent layout for the overall report, I also followed guidelines and recommendations outlined by Creswell (2013) for qualitative research.
Philosophical Lens
I conducted my study having adopted a constructivist approach to grounded theory, as advocated by Charmaz (2006). However, it is important to know that I began my study of Tasty with no explicit theory in mind. Instead, I started my investigation using the lens I was most familiar with and which for me made the most sense: our conscious realities are socially constructed, co-created interactions, taking place between and among people within the context of complex and socially dynamic arrangements, giving way to observable behaviors.

Although I began with this overall philosophical lens, as the study unfolded, various theoretical perspectives and possibilities emerged from the data as a way to help explain what I was seeing, providing context for even further interpretations and explanations of the phenomenon of interest: values work as performative values practices. I describe the application and relevance of these theoretical perspectives and explanatory theories as they unfold in the study, and in relationship to the emerging data and concepts and interpretations, woven throughout my discussions in the remaining chapters of this paper.

Research Biases
For any study, it is incumbent upon the researcher to disclose those factors that might have injected bias into the study, whether one is aware of them at the time or not, because these biases influence how a researcher conceives of, conducts, and reports on the study (Eisenhardt & Graebner, 2007). Study participants can also introduce
biases into studies, both with and without intention. First, I discuss the biases related to me as both researcher and an individual. Next, I discuss the biases related to others. In Chapter 3, Research Methods, I provide detailed information on how data was gathered, analyzed, and reported to eliminate or compensate for bias.

**Types of bias**

**First impression bias**

Most important to disclose is that Tasty did have a powerful first impression on me during the very first visit, when values appeared connected to everything. This even influenced my decision about which phenomenon of interest I wanted to study further, using a single-case study method. Paradoxically, being aware of this bias concurrently reinforced my desire to study Tasty, since I wanted to determine if my first impression existed at more than just the surface level, or what Schein might consider only at the top level as an artifact (Schein, 2010). To overcome this bias I continually confronted my initial impressions by constantly comparing and contrasting my interpretations and concepts as they developed directly from the data (Corbin & Strauss, 1990). I also contrasted my interpretations of the data to other researchers who had also analyzed the Tasty data, both those that had been present during the interviews and those who had not.

While no person can ever be totally free of bias, as the data must pass through one’s mind, this continual cross-referencing provided me the opportunity to further contrast
and compare my own interpretations, helping me to stay focused on the data itself, letting the data “bear the weight of interpretations” (Rajendran, 2001, p. 1).

**Personal and professional ideologies**

As the founder and president of a small company, I was intrigued and fascinated by all of the companies we were researching. I became more curious during my experience at Tasty and I eventually concluded it probably qualified as an extreme and unique case (Yin, 2009). Over the past 35 years, I have worked in various staff, supervisory and leadership positions within and across my different careers, and with varying levels of responsibility. Over the past 20 years, I have been serving as the CEO of my own company. My experiences up to this time all contribute to how I view and interpret leadership, change, and human behavior. Stepping backwards through time, I describe the core positions I have held, which help illustrate the forming of my present philosophical lens.

Prior to forming my own company, I worked several years in the area of educational reform participating in a major, urban school district’s multi-million dollar reform initiative. The central concepts to this initiative were this: empower schools with local decision-making, give them the resources to do the job and then hold them accountable for results. These were new ideas for public schools in the late 1980s. This experience both deepened and expanded my views and concepts about how change occurs (or does not) relative to multiple units of analysis: individuals, teams, organizational units, groups of units and entire systems. While significant change did
occur during a particular period (approximately five years), this was my first experience being part of and watching how a change initiative with tremendous resources ended up later with the larger system remaining mostly unchanged and the special group of units eventually reverting to their previous states.

Prior to my involvement with the urban school district change initiative, I worked for two entrepreneurial start-up firms (for about six combined years), which experienced fast and dramatic growth during the mid to late 1980s. At the time, each company was a major dealership connected to the top two office furniture industry giants. The entire industry was undergoing tremendous change and rapid growth, up until around 1990, when an economic recession began. My primary role at each of these firms, first at a supervisory level and then at the executive level involved leading and managing complex, large projects from a combined internal-external view. On the one side, I coordinated and helped to manage the coming together of multiple levels of internal staff to design and deliver a project, while on the other I coordinated and managed similar activities with the client and their teams. This provided me many immersed experiences within changing and fluid situations, involving multiple, complex goals. I worked in and spent the majority of my time at other companies of all sizes from small local businesses to multinational corporations. The majority of my projects were large corporations with presence in Michigan and the surrounding region.
My first position after college was as a teacher when I began working at a large, multi-program, residential treatment facility for delinquent and neglected youth. I worked at this organization across two disciplines, education and social work, moving progressively to higher administrative levels after beginning as a teacher. With a focus on treatment and rehabilitation, staff and teachers provided youth services from a therapeutic approach. In this context, in addition to teaching, I learned and led group process with youth and also trained other staff in this process. I learned and conducted family therapy sessions and again, helped to train others in the process. It was during these early years that I formed my strong foundational beliefs about how human interactions and behaviors occur within and are influenced by their environments—and their interactions with others within these complex environments—in complex ways. During this time, I formed a foundational and philosophical base of understanding of system theories, in general, as well as concepts of psychodynamics, symbolic interactionism, and social learning theory. These foundational perspectives continue to influence how I view the world around me, to this day, along with other personal experiences such as my family upbringing, education, and relationships with others. All influence one’s ideologies.

**Researcher bias**
Taking into account the experiences discussed above, as well as my enrollment in a doctoral program designed around the concept that leadership is values-driven, I approached this study with certain perspectives. At the final analysis, a researcher must be aware of their own biases, while consciously and continuously working in a
self-reflective manner, taking them into account throughout the research process (Suddaby, 2006).

**Participant bias**
Participants bring bias to a study as do researchers, based on their total experiences lived to date. In the larger ROV study the participants, at least from the CEO level, are self-identified as companies with a common thread. They are all members of the Small Giants Community, which self-describes itself in this way: “We are a community of companies making a difference. It’s not what we do, it’s who we are” (“Small Giants,” 2014, p 1). To mitigate this bias for the Tasty data, I took care to compare data across and between participants and other data sources, looking for congruence as well as anomalies, in order to develop an awareness of what appeared to be valid and consistent patterns over time.

In summary, the researcher must be self-aware of bias throughout the research process, employing strategies to rise above ones pre-conceptions in order to abstract emerging theories from the data itself. In Chapter 3, Research Methods, I provide detailed information on how this takes place when I discuss how data was gathered, analyzed, and reported.

**Scope of the Study**
My study investigated the case of a single company, Tasty Catering. It had a more focused scope in comparison to the larger ROV study in which it sits. The ROV project is investigating *all the* “principles, practices, processes, values,…etc., that
define the cultures of multiple sustainable growth companies and drive top and bottom-line growth over time” (Ludema, 2013) and includes deep dive case studies of 30 exemplar companies. It also includes the creation of a quantitative survey going out to approximately 28,000 other small to mid-size firms over the course of the upcoming year.

By comparison, this study was a single-case study designed to investigate the leader-followers relational interactions, to describe the role of how values work as emergent values practices gave rise to explanatory links between transformational change efforts and later observed performance outcomes. The initial data gathering took place over an intensive three-day period. This included 10 semi-structured interviews, three formal observations of special meeting sessions, and numerous informal interactions with employees across a wide range of levels and positions in the company. Follow-up data gathering using more informal means (email, phone conversations, visits, co-attendance at other conferences, archival research of publically available documents, review of other student researchers’ coding of Tasty data, etc.), occurred over several months.

**Dissertation Layout**

Five additional chapters follow next. Chapter 2 presents the literature that appeared relevant before and during data collection and analysis. The literature review continued as an iterative process throughout the study, even during the course of writing up the research findings. Chapter 3 presents the research methods used to
gather, analyze, and interpret the data. Chapter 4 presents my research findings.

Chapter 5 moves beyond the data, relating concepts and interpretations to existing theories and to my original research questions, while discussing the theoretical model that emerged from the study. Chapter 6 provides the limitations of the study, suggestions for further research and reflects back on my participation in the process, including my own learning and future curiosities this journey has spawned.
Chapter 2: Literature Review

“Tell me what you read and I’ll tell you who you are is true enough, but I’d know you better if you told me what you reread.”
—Francois Mauriac

Introduction

This chapter presents the literature from a topical overview, relating existing studies in the field to provide contextualization (Dunne, 2011, p. 121) for this study. A detailed analysis, abstraction of concepts, and connections to extant theories occurs in Chapters 4, 5, and 6. The reader should read the next sections with this in mind.

There is disagreement among scholars as to when and even if a literature review is needed for research that uses ground theory methods (Charmaz, 2006). One argument is that a review can occur in advance of data collection and analysis (McGhee, Marland, & Atkinson, 2007). Another stance is that the literature review should occur only after analysis of the data and a data structure with abstract concepts has taken shape (Glaser, 2002). A third view is that one can weave the literature review throughout the entire study (Dunne, 2011). Regardless of arguments for or against a literature review in studies using grounded theory, “the crux of the matter is not whether a literature review should be conducted—there is consensus that it should—but rather when it should be conducted and how extensive is should be (Cutcliffe, 2000; McGhee et al., 2007)” (Dunne, 2011, p. 113).
I conducted this study based on arguments in favor of undertaking a literature review in the substantive areas before commencing data collection and analysis (Dunne, 2011). As to the argument that relying on prior theories or learning might also taint the study, I rely on the view of Urquhart (2007) who argues that “there is no reason why a researcher cannot be self aware and be able to appreciate other theories without imposing them on the data” (p. 351). After all, researchers do not come to their investigations with no knowledge of their own (Gioia, Corley, & Hamilton, 2013).

**Clues to the Preliminary Literature Review**

This study looked to answer the question of what the role values work as emergent values practices played, relative to an organizational culture change, by qualitatively analyzing a single organization (case study) and the transition its leader and followers proceeded through as part of an intentional change initiative. In this case, the leader self-identified the change as an expressed desire to transform and change the company’s culture, which was later followed by an exceptional and dramatic change in the company’s performance. Therefore, early on in the process, I used these givens as two initial clues to guide the literature review in identifying substantive studies and theoretical models that would later serve as provisional frameworks and guideposts for interpreting data while the study unfolded. In this manner, three main topics arose from these early clues: (a) leadership and one of its forms, transformational leadership, (b) organizational culture, and (c) values work as emergent values practices.
However, it is important to keep in mind that such categorizations are themselves abstractions, used purely for making sense of the discussion at hand by providing structure, context, and coherence, along with a flexible framework for emergent connection-building in later chapters. As the study unfolded, and as I anticipated, other literature emerged as relevant to the investigation. In these cases, I introduce that literature later (in the paper) within the context of its related discussion points.

**Leadership and Transformational Leadership**

Early on in the study, it was important and reasonable to establish an operational definition of leadership, as well as for transformational leadership, since the Chief Executive Officer (CEO) of Tasty—who goes by the title of Chief Culture Officer (CCO)—had self-identified his company as an example of a case that had implemented a major change to its culture. What follows is an overview of the field’s current interpretation of these interrelated, abstract concepts with corresponding operational definitions of leadership and transformational leadership. I discuss first a basic and concise definition of leadership. In this regard, I based my selection on prior knowledge of the literature as it pertained to theories of leadership.

The operational definition of leadership used in this study comes from Northouse (2010), who conducted an extensive review of the literature in order to discover what the various theories of leadership, and their definitions, had in common. He concluded that while he found a wide variety of definitions and theories to explain the phenomenon of leadership, he concurrently found that all had the following core
components: (a) leadership is a process, (b) leadership involves influence, (c) leadership occurs in groups, and (d) leadership involves common goals (p. 2).

Northouse goes on and uses these four components to construct a succinct and basic definition of leadership as “a process whereby an individual influences a group of individuals to achieve a common goal” (2010, p. 3).

However, since Tasty had self-identified as a case where at some point in time, the company had decided to take deliberate actions to change its culture, this study needed a more comprehensive definition of leadership to take into consideration the abstract concept of change, as well as change connected to both the leader and the leadership process. Finally, since my study was investigating the phenomenon of interest from the perspective that all reality is a socially constructed phenomenon (Berger & Luckmann, 1966) and occurs within the context of co-constructed interactions between people, with their own personalities and within their environment (Lewin, 1947), the definition of leadership needed to take into account these additional perspectives, as well. In this regard, I turned to history in the field of leadership theory to locate a definition of leadership inclusive of these more abstract and complex ideas, starting first with the concept of transformation.

As it relates to transformational leadership, one must first acknowledge the seminal work of James Macgregor Burns, including his Pulitzer-winning book, Leadership (1978). Therefore, my discussion of the literature in building towards a
comprehensive definition of transformational leadership, as used in this study, begins with a short discussion of his influential work. Burns is credited with being the first person to draw a distinction between what he called transforming leadership and transactional leadership (Bass & Riggio, 2008). Since it is beyond the scope and need for this study to provide the level of detail that would be necessary to explain Burn’s full argument for arriving at his definition of transforming leadership, I will focus on a few key points intended to help the reader continue through this chapter and the rest of the paper.

First, Burns built his definition of leadership by situating it within the concept of power, another abstract construct, but one that he sees as an underlying, more fundamental process, part of all human behavior (Burns, 1978). At its most basic and paraphrasing, Burns views power as a process—and this power process as a relationship—where the power holder with certain motivations and goals has the capacity to change the behavior of the respondent. Power holders do this by utilizing all of the resources available to them, to secure the change, whether or not what the power holders want done happens to coincide with the wants and needs of the respondents, who Burns often calls power receivers (p 13).

Second, Burns (1978) connects power to his definition of leadership by viewing leadership as a special form of power. He argues that leadership is something more than one person making others do something that these others would not otherwise
do. It is also more than one person simply making others do something that the one person wanted them to do. For Burns, this would be power-wielding, not leadership. How then does he make the distinction? Burns defines leadership as “leaders inducing followers to act for certain goals that represent the values and motivation—the wants and needs, the aspirations and expectations—of both leaders and followers” (1978, p. 19).

Burns (1978) continues developing this definition, eventually extrapolating it into two types of leadership: transactional leadership and transforming leadership. This distinction is what most people cite as being one of the critical contributions of his work (Bass, 1999). Since then—and for over 35 years—transformational leadership and how it may differ from other forms of leadership has been the subject of numerous studies and investigations. To illustrate the differences between Burns’s conception of transactional leadership and transforming leadership (what I will now refer to as transformational leadership), I provide a very brief overview consistent with the scope of this paper.

Beginning with transactional leadership at its most basic, Burns argues that this type of leadership occurs “when one person takes the initiative in making contact with others for the purpose of an exchange of valued things” (Burns, 1978, p. 19). Further, these exchanges may take the form of contingent reinforcement using rewards. Based on Burns’s argument, the key underlying property that differentiates transactional
leadership from transformational leadership is that with the former, after the reward or exchange occurs, there is no enduring purpose. For transactional exchanges, leadership is merely an act that has taken place. Bass and Riggio (2008) provide a helpful interpretation of transactional leadership, as conceived by Burns, when they suggest that transactional leadership occurs when:

the leader rewards or disciplines the follower, depending on the adequacy of the follower’s performance. Transactional leadership depends on the contingent reinforcement of either positive contingent reward (CR) or the more negative active or passive forms of management-by-exception. (Bass & Riggio, 2008, loc. 262 of 6442 [Kindle ed.])

In contrast, “transforming leadership occurs when one or more persons engage with others in such a way that leaders and followers raise one another to higher levels of motivation and morality” (Burns, 1978, p.19). Paraphrasing Burns, it is with this additional abstraction then—the raising of leaders and followers to some higher level of purpose—that makes transformational leadership more than a mere act of leadership for a single purpose. The purposes of the leader and follower, which may have started out as separate but related, instead become fused, thereby having a transforming effect on both (p. 20).

Bass and Riggio (2008) offer their interpretation of what Burns conceived of as transforming leadership, to which they instead refer as transformational leadership, as the type of leadership that:
involves inspiring followers to commit to a shared vision and goals for an organization or unit, challenging them to be innovative, problem solvers, and developing followers’ leadership capacity via coaching, mentoring, and provision of both challenge and support. (Bass & Riggio, 2008, loc. 207 of 6442 [Kindle ed.])

As I reviewed the literature for competing and similar definitions, I discovered that most definitions of transformational leadership not only depended on the historical development of this term over time, but were also linked to certain scholars. Moreover, the research frequently referenced a particular measurement instrument, the Multifactor Leadership Questionnaire (MLQ) (Bass, 1985). I next present a discussion of the substantive understanding of transformational leadership as used in this study from an empirical view, and as a concept with constructs studied and tested by many other researchers over time, to show how I constructed a framework for the final definition that had a foundation in the overall literature.

Bernard Bass, a disciple of Burns, was one of the first scholars to begin describing leadership qualities as more than just personality traits. He developed the Multifactor Leadership Questionnaire (1985) and, later along with his student, Bruce Avolio, further extended the conceptualization of Burns’s transactional and transforming leadership into what they referred to as a full range leadership theory (FRLT). Within this expanded view, they delineated four overall components of transformational leadership and three of transactional (Avolio & Bass, 1991; Bass, 1990). I provide the reader a summary of these components in Tables 1 and 2 at the end of this section.
However, I pause to share that I did not use the MLQ as a measuring instrument in this study as this study is a qualitative, not quantitative study. Instead, the short review presented here is to provide support for needing a final operational definition of leadership that moved beyond the concise definition offered by Northouse, to one that was more complex and took into consideration the concepts of change and transformation in relationship to culture (regardless of how the data emerged).

Over the course of more than two decades, the MLQ has undergone several revisions and has been used by numerous other social scientists and researchers to establish, test, and confirm the validity and reliability of the psychometric properties of its constructs (Antonakis, Avolio, & Sivasubramaniam, 2003; Hetland, Sandal, & Johnsen, 2008; Hinkin & Schriesheim, 2008; Salter, Green, Ree, Carmody-Bubb, & Duncan, 2009; Schriesheim, Wu, & Scandura, 2009). Although some researchers report being unable to replicate all nine factors of the latest version of the model, they still found evidence for many of the hypothesized dimensions (Bycio, Hackett, & Allen, 1995; Hartog, Van Muijen, & Koopman, 1997). As noted by Bass and Riggio:

> It is important to distinguish between the theorized subcomponents of transformational leadership and the FRL model, for conceptual clarity and for leadership development purposes. Transformational leadership is clearly multidimensional and there is support for the structure of the MLQ. (Bass & Riggio, 2008, loc. 593 of 6442 [Kindle ed.])
The MLQ remains one of the most frequently used instruments of its type implemented by businesses and organizations around the world, to assess leadership development (and needs) of leaders, aspiring leaders, managers and employees.

Of special note is that in conceptualizing the dimensions of leadership, Bass (1985) also coined the term “pseudotransformational” leadership. This enabled making a distinction between leaders who appeared to exhibit qualities of transformational leadership, but who instead led others towards destructive and evil ends. Although many might come to mind, the clearest example of this is Adolf Hitler. For this study, the reader should know that I made the same distinction and assumed that transformational leadership is something good, embodied by and within positivity and is always constructively generative, never destructive, self-aggrandizing, or evil. Similarly, the components and constructs on which the MLQ rests did not need to include this ersatz form of leadership.

In summary and at the foundational level, one may first conceive of leadership in the more general sense such as Northouse provides, which is “a process whereby an individual influences a group of individuals to achieve a common goal” (Northouse, 2010, p. 3). However, this study adopted an expanded view of leadership to incorporate those constructs of leadership most often associated with successful, major change. An understanding of transformational leadership as currently representing in the literature provides such a framework.
Transformational leadership takes into consideration the promotion of a consistent vision, mission, and a set of values to the members or followers of an organization. Concurrently, leaders take into consideration the values and motivations of the followers. Therefore, transformational leadership takes place when the purposes of the leader fuse with the purposes of the followers and together, their efforts rise to a higher level of co-created purpose and motivation. When the leader’s vision is compelling, they know what they want from every interaction. Transformational leaders guide followers by providing them with a sense of meaning and challenge. They work enthusiastically and optimistically to foster the spirit of teamwork and commitment. In comparison a “transactional leader is one who operates with the existing system or culture, has a preference for risk avoidance, pays attention to time constraints and efficiency, and generally prefers process over substance as a means for maintaining control” (Lowe, Kroeck, & Sivasubramaniam, 1996, Literature Review section, para. 3).

Before turning to the phenomenon of organizational culture and how it related to this study, I conclude with aspects of transactional and transformational leadership as measured by the MLQ that have emerged historically over time.

Table 1 summarizes the core constructs and dimensions of transactional leadership:
### Table 1. Transactional Leadership Components

<table>
<thead>
<tr>
<th>Component</th>
<th>Characteristics</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Contingent Reward (CR)</strong></td>
<td>The degree to which the leader relies on motivating others by assigning or obtaining agreement in advance on what needs to get done with promises of some reward or an actual reward, in exchange for satisfactorily completing the job. The reward is contingent when it is a material reward such as compensation or a bonus.</td>
</tr>
<tr>
<td><strong>Management-by-Exception (MBE)</strong></td>
<td>The degree to which the leader uses corrective action in either active or passive ways, to monitor followers for performance and job completion using mechanisms such as standards and error rates.</td>
</tr>
<tr>
<td><strong>Active (MBE-A)</strong></td>
<td>The leader actively monitors followers’ activities and arrangements are in place to take corrective action as needed.</td>
</tr>
<tr>
<td><strong>Passive (MBE-P)</strong></td>
<td>Conceived as the type of leadership where leaders remain passively uninvolved and wait for errors and mistakes to occur before taking corrective action.</td>
</tr>
<tr>
<td><strong>Laissez-faire (LF)</strong></td>
<td>In the case of this component, it represents the lack of leadership, or active avoidance of leadership. The leader remains involved only when issues come up; the leader delays or avoids making decisions; the leader does not use authority when required. Current research considers this as the most ineffective leadership style.</td>
</tr>
</tbody>
</table>


Table 2 summarizes the core constructs and dimensions of transformational leadership:
<table>
<thead>
<tr>
<th>Component</th>
<th>Characteristics</th>
</tr>
</thead>
<tbody>
<tr>
<td>Idealized Influence (II)</td>
<td>The degree to which the leader acts as a role model for followers. Transformational leaders embody—and model—the values that the followers should be learning and mimicking back to others. If the leader acts respectful and encourages others to be better, those influenced will then go to others and repeat the positive behavior, passing on the leadership processes for other followers to learn. This component has two aspects: elements that are leader behaviors and elements of the leader attributed by followers.</td>
</tr>
<tr>
<td>Inspirational Motivation (IM)</td>
<td>The degree to which the leader articulates a vision that is appealing and inspiring to followers. Leaders with inspirational motivation challenge followers to leave their comfort zones, communicate optimism about future goals, and provide meaning for the tasks at hand. Leaders that effectively communicate purpose and meaning help create the energy that drives a group forward. The visionary aspects of leadership are supported by communication skills that make the vision understandable, precise, powerful, and engaging. Followers become willing to invest more effort in their tasks, are encouraged and optimistic about the future and believe in their own abilities.</td>
</tr>
<tr>
<td>Individualized Consideration (IC)</td>
<td>The degree to which the leader attends to each follower's needs, acts as a mentor or coach to the follower and listens to the follower's concerns and needs. The leader gives empathy and support, keeps communication open, and places challenges before the followers. The leader acts respectfully and celebrates the individual contributions that each follower makes to the team. This helps followers develop their own aspirations for self-development along with intrinsic motivation.</td>
</tr>
<tr>
<td>Intellectual Stimulation (IS)</td>
<td>The degree to which the leader encourages followers to be innovative and creative. Leaders encourage new ideas, refrain from criticizing anyone publicly for the mistakes they may make and focuses on the “what” in problems, while refraining from blaming. Leaders have no hesitation in discarding old practices, even those set or created by themselves, if found to be ineffective.</td>
</tr>
</tbody>
</table>

Organizational Culture

The section discusses the abstract concept of culture as used in this study. As with the concept of transformational leadership, reviewing literature early on as it related to culture (and in preparation for data collection) made sense from a contextualization standpoint, since I knew before the study began that Tasty had embarked on a self-declared intentional path to make changes to its culture. I was also aware, from prior readings and knowledge of the literature, which scholar was acknowledged as offering the broadest and most frequently referenced definition for conceptualizing culture of an organization: Edgar H. Schein. In his 1985 seminal book, *Organizational Culture and Leadership*, now in its fourth edition, Schein conceived of culture in a manner that has endured for nearly 30 years:

> The culture of a group can now be defined as a pattern of shared basic assumptions learned by a group as it solved its problems of external adaptation and internal integration, which has worked well enough to be considered valid and, therefore, to be taught to new members as the correct way to perceive, think, and feel in relation to those problems. (Schein, 2010, p. 18)

Schein describes organizations as being made up of three levels of culture: artifacts, espoused beliefs and values, and basic underlying assumptions. In his theory, the order listed is important, representing how these phenomena “appear” to observers and even the members of the organization itself. Artifacts and behaviors are phenomenon that can be most easily seen and recognized, including by visitors and other outsiders to the organization, while assumptions are embedded and often buried, not readily observed even by the organization’s own members (Schein, 2010, p. 24).
Table 3 provides detailed examples of how Schein’s operationalized concept of culture applied to this study, emphasizing how his conceptualizations connect to the phenomenon of values:

**Table 3. Schein’s Three Levels of Culture**

<table>
<thead>
<tr>
<th>Level</th>
<th>Category</th>
<th>Examples</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Artifacts</td>
<td>Artifacts include any tangible, overt or verbally identifiable elements in an organization. The facilities, furniture, equipment, dress code, etc. all exemplify organizational artifacts, including published <em>lists of values</em>. These are visible elements and can be recognized by people not part of the culture.</td>
</tr>
<tr>
<td>2</td>
<td>Espoused beliefs and values</td>
<td>The organization's <em>shared values</em> and rules of behavior. It is how the members represent the organization both to themselves and to others. This is often expressed in official philosophies and public statements of identity. An example of this might be statements and behaviors by members that reflect a &quot;customer comes first&quot; mantra.</td>
</tr>
<tr>
<td>3</td>
<td>Basic underlying assumptions</td>
<td>Assumptions that are deeply embedded, shared, taken-for-granted premises, which have become unconscious, but constitute the essence of culture and <em>deeply held values</em>. These assumptions are typically so well integrated into the organization’s dynamics that they are both hard to recognize from within and extremely difficult to change.</td>
</tr>
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Although I now had definitions for leadership in general, for transformational leadership, and for culture, I was still missing the substantive research that connected these concepts together. The interactions of the leader and followers during the change initiative was my unit of analysis and, therefore, I needed an initial overall
framework against which I could provisionally set emergent data for preliminary interpreting, conceptualizing, and abstracting. As in the case of transformational leadership and culture, I turned to history in the field to confirm which conceptualization researchers most often referenced (thereby indicating wide acceptance of the current thinking around this more complex abstraction) that considered and explained two constructs—leadership and culture—as co-related phenomena within a single model.

Using prior knowledge of where to begin, I confirmed that the two researchers most frequently associated with conceptualizing transformational leadership and culture together and as more complex, abstract, and interrelated dimensions, were Cameron and Quinn (2011). Their research, coupled with many years of studies conducted by other researchers, has established the Competing Values Framework (CVF) as one of the mostly widely used research tools for interpreting, diagnosing and changing culture. (Belasen & Frank, 2008; Cooper & Quinn, 1993; Hooijberg & Petrock, 1993; Robbins & Page, 2012). In light of this, the CVF emerged as a potential conceptual framework for considering data as it emerged in the study, and as I worked through interpretations and abstractions of meaning and interrelated concepts.

The CVF is a spatial model, depicted in Figure 4, originally conceived by Quinn and Rohrbaugh (1983).
Although I next provide a general overview of the CVF as a conceptual framework, relevance of its constructs to any of this study’s data analysis and findings are discussed in Chapters 4, 5, and 6.

Figure 4. Competing Values Framework Spatial Model

A review of the literature demonstrated that fairly robust conceptual models and instruments existed for investigating various properties and aspects of leadership (both transactional and transformational), as well as for conceptualizing culture as a phenomenon thought to exist in all organizations. Still needed, however, was a framework to link these together. In this regard, the CVF was a good candidate because of its demonstrated utility across a wide range of industries, organizations, and applications (O'Neill & Quinn, 1993).

The basic underlying framework of the CVF as depicted in Figure 1, emerged from a series of empirical studies around the notion of organizational effectiveness (Quinn & Rohrbaugh, 1983), as an “attempt to articulate the underlying cognitive structures that experts used to make sense of effectiveness criteria” (O'Neill & Quinn, 1993, p.1). The results of the studies suggested a framework for understanding the abstract but interrelated and dynamic ways of organizing work processes in organizations. These are conceptualized as four quadrants (two complementary and two opposing), each representing a conceptual theory or outlook on the process and degree of organizing, dependent on the type of forces in play along each of the two continua.

As originally conceived by Quinn and Rohrbaugh (1985) and Cameron and Quinn (2011), the four main culture types are clan, adhocracy, market, and hierarchy. The horizontal and vertical arrangement of the quadrants produces axes, which represent competing forces affecting all four quadrants: internal versus external control (X-
axis) and a tendency towards flexibility versus stability (Y-axis). The model assumes some of the key foundational concepts offered by the theoretical frameworks of transformational leadership and culture, discussed in the previous sections.

Similar to Schein’s model (2010), culture is seen as an embedded phenomenon, inclusive of the values of the organization and its members, individually and collectively. The overall culture is presented as the interplay between the degree of presence in how each of the four culture types represents itself, as seen through the views of the participants (leaders and followers). In addition, the CVF model incorporates elements of leadership as a process having some purpose, similar to Burns’s (1978) and Bass’s (1990) conceptions of transformational leadership, through its inclusion of purpose, people and practices as elements existing in and occurring across all four quadrants.

Cameron and Quinn (2011) hypothesize that the four main culture-types are present, to some degree, in all organizations. The degree to which one of the culture types appears as stronger than another is based on the interaction between the forces and tensions operating along the X and Y axes. The authors also suggest that knowing and understanding the overall “type” of culture associated with an organization can often help both researchers and leaders make sense out of complex organizational phenomenon—prior to, during and at future points in time—relative to planned intentional change initiatives (Cameron, Quinn, DeGraff, & Thakor, 2006).
DeGraff (2014) further developed the CVF from a diagnostic tool into a tool for practitioners, leaders, and organizations that, in addition to its diagnostic functions, can also be used for training and development purposes of leaders and followers engaged in culture change and other improvement initiatives. As shown in Figure 5, DeGraff’s model of practices provides a detailed look at how these concepts and constructs interrelate across the original conceptualized quadrants (shown in Figure 4).
Figure 5. Competing values framework as a model for practice. Each quadrant corresponds to the original labels in Figure 4. Competing values spatial model. The middle term of each quadrant title depicts the type of change involved for that quadrant.

**Figure 5. Competing Values as a Model for Practice**

Often used as a quantitative diagnostic assessment tool, it is important to note that for this study, the CVF served only as a provisional and conceptual framework against which I considered emergent data for further interpretation and abstraction of concepts, categories, themes and dimensions, during the analysis phase.

**Values Work as a Process**

As my data analysis progressed, I discovered a working theory proposed by Gehman, Treviño, and Garud (2013) and its potential as a provisional model for conceptualizing, explaining and abstracting my data to another theory. These researchers conceptualize values work as taking place within actor-networks and then emerging as *performative* values practices. This presented a distinct and different conceptual view of values as a phenomenon when compared to values as conceived within the CVF model and Schein’s (2010) framework.

As the data from my study emerged in patterns that initially matched this newer model, it became a contender as a potential good fit for explaining my data, especially as the analysis phase continued. The authors illustrated and described the same gap in the literature that I discovered during my later literature explorations. Gehman et al. (2013) also provided a succinct definition for how they conceptualized values work emerging as values practices, creating a potential values work theoretical model:

> Existing cognitive and cultural perspectives on values have under-theorized the processes whereby values come to be practiced in
organizations. We address this lacuna by studying the emergence and performance of what we call values practices. Drawing on an analysis of the development of an honor code within a large business school, we theorize the multiple kinds of values work involved in dealing with pockets of concern, knotting local concerns into action networks, performing values practices, and circulating values discourse. (p. 84)

The main concepts and constructs studied by this group of researchers related directly to the core of my own research question: What role does values work as emergent values practices play in the context of a planned transformational change initiative, including how does this function within and between the interactions and relationships of the organizational members? Although I discuss this in detail throughout Chapters 4, 5, and 6, a basic understanding of the framework, Values Work Theoretical Model (VTM), should help readers as they continue working through the remainder of this paper. I show the conceptual model as conceived by Gehman et al. (2013) in Figure 6, followed by brief definitions of its four main constructs.
**Figure 6. Values Work Theoretical Model**


**Values work theoretical constructs**

**Dealing with pockets of concern**

This construct conceptualizes interactions between heterogeneous actors emerging in networks. The practices of one group of actors can produce concerns for otherwise uninvolved actors, prompting them to become involved. As explained by the authors, the behaviors of one group of actors cause concern for the other group of actors. Many occurrences of this can occur and dissipate, emerging as flare-ups as the local actors work in pockets of isolation, before the next mechanism, knotting, emerges.
Knotting local concerns into action networks
The second mechanism has to do with the knotting of these local pockets of concerns into larger actor networks. Concerns of different stakeholder groups coalesce around the prior pockets of concern becoming entangled to emerge as larger networks that build capacity for action.

Performing values practices
Even after concerns coalesce and become knotted together, work continues over time. Performance of values practices is also emergent and variable; misfires and setbacks can arise. Even as new values practices arise, new misinterpretations can surface causing new concerns. The authors argue that this part of the process is always ongoing, requires work, and occurs over time, while circulating throughout the network.

Circulating values discourse
The fourth mechanism relates to the work involved in circulating values discourse. As the values work process unfolds, the resulting values discourse becomes available as a semiotic resource for justifying the assessment and proliferation of values practices in disparate parts of an organization.

In summary, Gehman et al. (2013) provide a distinctly different perspective for conceiving of values within the context of organizations. They conceptualize values work emerging as performative values practices across actor-networks. In
comparison, my initial conceptualization of values work as emergent values practices for this study bears repeating, before moving on to the next chapter.

In this study, values work was conceived as encompassing all of those activities, exchanges, conversations, meetings, and other symbolic representations demonstrative of leaders and followers engagement in creating, defining and making explicit their organizational core values (organized sensemaking). (Weick et al., 2005). In comparison, emerged values practices were potentially any or all enactments of the espoused core values, through implicit or explicit means. Together, these constructs form a single combined process that occurs over time, emerging from interactions between and among organizational actors. (Chapter 1, pp. 3–4)
Chapter 3: Research Methods

“If you don’t know where you are going, you will probably end up somewhere else.”
—Lawrence J. Peter

The Qualitative Paradigm

There is some consensus, after many years, at to “what constitutes qualitative inquiry” (Creswell, 2013, p. 173). Qualitative research involves exploring issues and investigating phenomena usually by posing “how” or “why” questions about some problem or area of interest. It relies on interpretation, induction and abstraction of concepts when analyzing and making sense of unstructured data. Qualitative methods are appropriate for studying complex social situations, especially organizations. (Maxwell, 1998, Chapter 7). Such studies often rely on investigative processes where the researcher makes sense of the phenomenon under investigation, over time. Sometimes such studies involve having the participants themselves provide the meaning to the data as the researcher seeks to understand how these meanings emerged. Other times, the studies rely on the researcher being a keen observant, collecting data as unobtrusively as possible. This study borrows from these two different approaches, with the researcher as both observer and participant, engaged in asking questions while allowing participants to make and assign their own meanings to the events and their stories about the events. In this manner, the design of the study allowed for “a means for exploring and understanding the meaning individual groups ascribe to a social or human problem” (Creswell, 2009, p. 9).
As it relates to conducting a study employing a qualitative design, the comparing and contrasting of data, revisiting the research questions, and formulating and reformulating emergent concepts during data analysis, often occurs as an iterative process until the a final big picture is formed (Srivastava & Hopwood, 2009). In such a manner, I employed this overall strategy throughout the study, often revisiting my questions, data, and hunches, while frequently returning to the literature. I followed the overall qualitative research design suggested by Creswell (2013), using a single-case study method outlined by Yin (2009), data coding and abstraction methods associated with the Gioia method (Gioia et al., 2013), and the application of grounded theory as suggested by Charmaz (2006) to guide data analysis. Before discussing the methods and strategies used, I first discuss my role as the researcher and how I selected this study’s particular case for investigation.

**Researcher’s Role**

I initially participated in the study of Tasty only as a student researcher. This began after I (and approximately eight other students) volunteered to participate in the larger Return on Values (ROV) research project, led by the Center for Values-Driven Leadership (CVDL) at Benedictine University. I participated in reviewing and coding data from more than just this case, including working with the rest of the ROV research team as we began organizing data (from multiple cases) into first- and second-order concepts and themes.
My second role in this research was as the primary investigator for this specific investigation: the study of Tasty Catering (Tasty) as a single case. As such, I participated in all of the normal roles associated with completing a qualitative study: observer, investigator, interviewer, data gatherer, data analyzer, follow-up data gatherer, and reporter. For this study’s findings and conclusions, all of the data analysis is my own. However, it is important to note that the analysis included constant comparison to the data as coded by other researchers. In this regard, codes, notes and memos by other research team members were available to all other fellow researchers (across all of the cases in the larger project), through Dedoose (www.dedoose.com), an online web application and database that aids in storing, coding, analyzing, and sharing large amounts of data among researchers for qualitatively designed research projects. My participation in the ROV project also provides me direct access to this data for as long as I might want or need. This will be beneficial for the future longitudinal study planned for Tasty.

**Research Question: Revisited**

At this point, I provide a recap of the research questions that led to the research design and selection of specific research methods. This will help to put this chapter’s information into context. Specifically, within the larger ROV question of “What are the links between culture and profit?,” the question for this single-case study examined how values work as emergent values practices—as enacted at Tasty—connected to intentional change efforts that sought to create a transformation of the culture, in pursuit of sustainable outcomes. At the onset of the study, additional
questions came to mind. As the study progressed, more questions came to mind.

Below I list original questions, followed by others that emerged over the course of the investigation, re-stating them in the form in which I considered them during the data analysis phase.

Questions

Central question

- What role did values work as emergent values practices play in the context of a planned transformational change initiative, and if any, how did it function within and between the interactions and relationships of the organizational members?

Secondary questions

- What relationship patterns, if any, arose around values work as emergent values practices, especially between leaders and followers?
- How and when did values conversations arise?
- How and when did values practices arise?
- How were values communicated to and among organizational members?
- How were values practices communicated to and among organizational members?

Emergent questions

- Did patterns emerge to support the more recent Values Work Theoretical Model recently put forth by Gehman et al, (2013)?
- Did patterns emerge to support leading and following behaviors as co-created leadership processes?
• Did patterns form any links between values work as emergent values practices and organizational performance?

• What other constructs or processes were involved, if any, and how? That is, what other than values work as emergent values practices might explain patterns and/or links?

**Qualitative Methods**

Before discussing why I selected the case study method for this study, the reader should know that the ROV project (described earlier in Chapter 1, p. 3), uses a mixed methods approach. As part of that project, the lead investigators identified 30 exemplar cases for deep dive studies, which included initial qualitative interviews using an appreciative inquiry approach (Cooperrider & Srivastva, 1987). As a student researcher, I participated in one of these initial cases, Tasty Catering, which sparked a keen interest in the phenomenon I ultimately selected as the central focus of this study: values work as emergent values practices. This led to selecting Tasty as a case to study further in a more focused fashion and at a deeper level.

**Single-case study method**

*Selection of the case study method*

A case study is an appropriate method when the research involves how or why question(s), there is no requirement for control over behavioral events, and the issue of focus is a contemporary event (Yin, 2009). This study met all three criteria. I explored how Tasty set out to transform itself into a new version of itself, along with attempting to uncover how and why it took the paths it did, and how and why these
paths worked (if or when they did). Second, as the primary investigator, I had no previous direct involvement in the company and there was no requirement for me to control any behavioral events studied. Last, I was interested in a contemporary issue facing virtually all organizations at some point in their evolution: how to remain viable, including as a high performing organization in tough economic times.

Case study as a strategy
The uniqueness of Tasty exemplifying “an extreme or a unique case” (Yin, 2009, p. 47) of values work as emergent values practices, potentially connected to its transformational change effort, coupled with a non-existent body of literature on the topic of values work as emergent values practices, produced a very strong argument for using Tasty as a single exemplar case study. In addition, the pre-study givens provided further evidence that this case was a good candidate for the single-case study method. These were: (a) other researchers had identified Tasty as being an exemplar company from within a pool of other exemplar companies, and (b) the CEO had self-identified as having undertaken a deliberate culture change initiative. Finally, and of special note, is that Tasty is willing to participate in a longitudinal study (Yin, 2009, p. 49).

Closely related to its willingness to participate in a longer study over time, a distinct advantage of Tasty qualifying as an initial case study is its history of spinning off several other entrepreneurial firms and ventures. These spin-off companies emerged in different forms and with different connections back to Tasty (another phenomenon
that emerged from the data). Therefore, this particular case presents many unique opportunities for future research explorations.

Another reason for choosing the case study method is when there is little evidence in the literature describing the phenomenon of interest, which in this case is values work as emergent values practices as a process. Incredibly, a search of all Sage Journals returned only two articles (from 1847 through 2014) when using “values work” and “values process” as the search terms in any field. When I added the term “change,” only a single article remained. That article also included the term “transformation.” Even more remarkable is that an identical two-step search process across all Academy of Management journals (from 1954 to the present) also returned only two articles.

Finally, I conducted the same search across the EBSCOHost database. Using “values work” and “values practices” as search terms produced a single article. However, changing “practices” to “practice” resulted in 77 articles. Still, these articles all referenced “practice” in relationship to social work as a practice (in other words, were related to only a particular profession). I repeated the search at Sage and Academy of Management sites using “practice” instead of “practices” and the results remained unchanged.

In conclusion, Tasty provided an excellent research opportunity for delving deeper into a particular phenomenon using the single-case study as a method and overall strategy. It was an exemplar case. Tasty data will be useful for cross-case analysis to
other exemplar cases within a larger study. Studying this case as a single case also opened the door to establishing the basis for a longitudinal study with many possible paths and directions. Finally, Tasty provided an opportunity to study a particular phenomenon of keen interest over recent years, values work, but from a different perspective: values work as emergent values practices, for which there is a large gap in the literature. These all made Tasty a worthy case for this and future studies.

**Unit of analysis**

With research methods selected, the research question itself usually provides an indication of what might be the tentative unit of analysis for a study (Yin, 2009). However, there is no set method of determining this except to carefully consider the research question within the context of the overall research design. The case study method selection defined the overall study as taking place within a single organization. In one sense, this meant that at the very least, the case was the unit of analysis (Yin, 2009).

However, the research involved multiple organizational members participating in semi-structured interviews inquiring about the company’s values and culture, while capturing the recounted stories related to these phenomena as experienced by the members. Many different recounted processes and interactions between people did emerge, although I was most interested in those connected in some way to values work as emergent values practices, within the context of an intentional change effort. This therefore, allowed me to consider the process itself as my unit of analysis. That
is, the focus of interest became the recalled processes of values work as emergent values practices, as shared through the stories of the study participants while they described this phenomenon as having emerged during past events. Creswell (2009) recommends that the researcher focus on a single phenomenon, suggesting that “factors will emerge that may influence this single phenomenon, but begin a study with a single focus to explore in great detail” (p. 130). Yin (2009) also recommends narrowing the focus so as not to get overwhelmed later with data and to establish feasible limits. This supports my decision to identify the process of values work as emergent values practices, as described by the study participants, as my unit of analysis.

Creswell (2009) further recommends establishing beginning and end points for cases that study events, programs or organizational change. As this applied to this case (an organizational change), the study considered data that emerged from within and across the recounted stories and the events and interactions that unfolded over time—before, during, and after—an intentional change initiative. To understand the emergent data within the context of a change initiative, I bounded the study by periods on a time line considering (a) the history leading up to late 2005 and just prior to the significant event year of 2006, (b) the event year of 2006, (c) the period following the event year through 2012, and (d) ending in 2013, the last year for which I had financial data.
Research setting
This study primarily took place at Tasty’s main headquarters, located in Elk Grove Village, Illinois, USA. This is where the Return on Values (ROV) team conducted the qualitative interviews, observed other special leadership team and company-wide employee gatherings, ate lunch with employees, and observed employees of different levels in the company engaging in normal daily activities. I participated in this portion of the ROV study and then after the formal interviews had concluded, spent additional time talking with employees (both within and outside of the interview group), the founder, and other leadership team members. Additional informal conversations took place between executive leaders, Tasty employees and myself at other settings, including conferences and business roundtable events. In this manner, the research setting varied slightly over time, but primarily occurred at the company’s site.

Participants
This study investigated a single organization made up of approximately 55 full-time employees (at the time of the study) and 250 part-time seasonable workers. The study also included 10 purposefully selected interviewees from a cross section of the company’s employees (see Appendix B, Table B1). These ranged from the CEO, to top-level executives and department managers, to service delivery staff. One participant was an eight-month employee, while another had been with the company nearly 30 years since its inception in 1984.
Data Collection

Creswell (2013) summarizes that data collection involves “a series of interrelated activities aimed at gathering good information to answer emerging research questions” (p. 146). He identifies these activities as including: locating a site or individual, gaining access and making rapport, purposefully sampling, collecting data, recording information, resolving field issues, and storing data. For this study, the ROV project parameters set the stage and influenced many of the processes for data collection procedures, which I followed. I discuss these next in more detail.

Data collection considerations and processes

Sampling strategies
I purposely selected Tasty as a site for my study after I already had access through the ROV project. It qualified as an extreme and unique case and therefore, was a purposefully selected case from a pool of candidate companies. In addition, Tasty is a member of the Small Giants Community (2014), an association of small to mid-size companies that self-identify as businesses which focus on values, not on the bottom line. The association’s mission statement captures what uniquely sets this group of small businesses apart from others:

The Small Giants Community champions the importance of the Return on Values business model and serves to: create a practitioner driven learning experience and community; establish a body of knowledge to support and develop adopters, and influence the business community through media, thought leaders and academia. (p. 1)
Using the Small Giants Community as the original candidate pool of companies produced purposeful sampling (Creswell, 2013; Yin, 2009) in the selection of the case. Purposeful sampling applied to the selection of participants as well (as established by ROV parameters). Ideally, company CEOs would agree to participate and allow for participation of up to 10 to 12 employees from a wide range across all levels of their respective organizations. This was the case at Tasty. Ten participants across different levels in the company participated in videotaped interviews.

Some might view these sampling strategies as introducing bias into the study. This might be the case when trying to conduct random sampling as would be appropriate for quantitative research experiments. However, this study used a qualitative design since the purpose of the study was to investigate a complex process—how and if values work as emergent values practices played a role in a change effort—that was already associated with an exemplar case, including an observable change in performance (at a later date). Yin (2009) reminds us that case studies “like experiments, are generalizable to theoretical propositions and to populations or universes” (p. 15). Further, when the intent is to gain a deep understanding of a process, the case study method is used to “expand and generalize theories (analytic generalization) and not to enumerate frequencies” (p 15). Therefore, Tasty as a purposefully selected case was appropriate for the purpose of this study.
Access
Gaining access to study sites can often be a challenge to researchers. This was not the case with Tasty. The CEO granted access to the entire ROV team to conduct the interviews and to observe formal and informal meetings and allowed me access for talking directly with employees throughout the company, during the visits. I also had several follow-up conversations with the CEO and other senior leaders, during other later engagements at related business conferences and events, as well as via telephone and email. No problems arose in relationship to logistical elements (e.g., timely arrival of fellow researchers, advance set-up of video equipment, adjustments to the interview times as needed to accommodate participants’ schedules, etc.). In general, there were no significant field issues (Creswell, 2013) pertaining to access or any other activities related to the data collection processes, for this study.

Ethical consent
I obtained permission to study the company more deeply and directly as a single site through a direct conversation with the CEO and follow-up email, who readily agreed. All other ethical consent procedures used in this study emanated from the ROV project protocols and procedures. A senior member of the ROV project managed the process for the collection, retention, and storage of appropriate consent and release forms for each ROV company (including Tasty), applicable to the study and all cases studied within it. Consent applied to all data collected regardless of source or type, including interview transcripts, videotapes, audio, photographs, observation notes, and documents. Each participant also signed an individual consent and release form
prior to their own individual interview. Later, via emails to the CEO, I made requests for additional data and documents that I determined were needed or that became important to the study, but which were not available as public records or through the larger ROV data set.

Data sources
For this study, I collected several sources of data. As Yin notes, “no single source has an advantage over all others. In fact, the various sources are highly complementary, and a good case study will therefore want to use as many sources as possible” (2009, p. 101). This case study included the following multiple data sources: semi-structured interviews, direct observation, physical artifacts, archival records and documentation. Related to these primary sources, I also had access to the stored interview transcriptions, video clips (and full videotapes), as well as photographs of on-site artifacts collected by other ROV team members and made available through email and access to the ROV Dedoose database. The Internet proved a valuable source of additional data sources for Tasty and included pictures and video vignettes of every single employee, videos showing team sessions in action, and other artifacts. I describe next the process for collecting data from each of these sources.

Collection process: Semi-structured interviews
Participant interviews and resulting videotapes, transcripts, field notes, and memos served as the central sources of data for this study. The advantages to interviews are that (a) they provide data about events that are difficult to observe directly, (b) they provide historical context for the phenomenon under investigation, and (c) they allow
the researcher to control the line of questioning. Disadvantages exist as well. For example, the information about events is indirect, filtered through the views of the participant, provides information in a setting other than which the recalled experience took place, and may be biased by the interviewer (Creswell, 2013, p. 179).

However, during this study, I was interested in participants’ views, thoughts, and beliefs, including their own interpretations of their experiences and interactions. I viewed these recounted stories as data, and as newly created realities of a recalled previous reality (Gergen, 1999). While some believe such data could be inaccurate and not a true representation of an event, this study viewed participants’ own perspectives and memories of events as another layer of data, important to interpretation and analysis. In referring to doing good qualitative research, Gioia (2013, p. 19) states “at the heart of these studies is the semi-structured interview—to obtain both retrospective and real-time accounts by those people experiencing the phenomenon of theoretical interest.”

Interview protocol
The ROV project established the interview protocol questions, which guided all of the interviews and questioning (see Appendix C). The overall process followed an appreciative inquiry model (Ludema & Fry, 2008) with a focus on strengths to uncover rich descriptions of participants recalled experiences, regardless if they were describing a problem or an opportunity. Essential to this were questions about how
participants dealt with situations or challenges, which avoided pre-labeling issues from a deficit or problem-centric point of view (Cooperrider & Srivastva, 1987).

Interview process
One of two senior researchers conducted the semi-structured interviews, which lasted from 45 minutes to up to two hours. Two student researchers (including myself) quietly participated in note-taking throughout the duration of the interviews without influencing the interactions between the interviewer and the interviewee, in order to avoid leading the respondent in any particular direction. In addition, the lead interviewer followed the initial interview protocol, staying focused on the research question at hand for the larger ROV project. The interviews took place over three days and opportunities to observe employees in other meetings and settings, both informally and formally, also occurred.

As an observer for all of the semi-structured interviews, I had the advantage of observing the reactions and pro-actions of the interviewees during the interview process itself. This allowed me to capture detailed notes about verbal and non-verbal language clues, including changes in speech intonation, expressions of emotion through face and body language, and whether interviewees pressed on with a particular story in spite of being presented with a new question by the interviewer. As more interviews took place, my notes began to include references back to other interviewees, particular similar stories, and interconnected impressions.
Being an observer at this stage provided valuable insights at the actual time of the interviews by allowing me to focus not just on the replies, but also into the nature of the responses, which otherwise would have been nearly impossible had I been the interviewer. This also helped me to formulate initial hunches, which also included notes as to when particular responses sounded tentative or showed a tendency toward making a good impression. In comparison, at other times I noted when questions moved participants to a different level where they presented themselves as thoroughly caught up in the telling of the story in very genuine fashion. Later, I cross-referenced these field notes I had made regarding my initial impressions of participants’ responses against actual transcripts.

**Specific process: Observations**

I participated in this study as “observer as participant” (Creswell, 2013, p. 179), since my role as a researcher was known to others. My role as a participant was secondary to the researcher role. The advantage to this was my ability to note and record unusual observations, separate from being part of the situation. However, a clear disadvantage is that I could have missed important aspects of the phenomenon at hand due to attending to other activities, being distracted by something else, or simply missing its importance altogether. I could also remember the situation differently later and interpret it incorrectly. To lessen the impact of these disadvantages, I used an iPad as a personal note-taking device and sent records of my notes, impressions, and thoughts as they occurred in the field or later when looking at the data or discussing the study with co-team members, to a special software program called Evernote (available
through an Internet connection). This ensured that I would retain as much observational information of behavior and events as possible, as close as possible to its occurrence for later analysis (Corbin & Strauss, 1990). I also had secondary meetings and discussions, formal and informal, with fellow ROV team members. This helped me to learn about data observations I personally missed, as well as to consider additional interpretations of the emerging concepts, themes, and dimensions.

My informal field notes informed the later creation of more detailed memos (Charmaz, 2006) within the Evernote system. This assisted me when participating in collaborative first- and second-order coding (Gioia et al., 2013) of several initial case studies, which the entire research team did as a group. This process further helped reduce any biases I could have unknowingly injected into my own case study.

Specific process: Documents (contemporary and archival)
I collected private and public documents, which included both contemporary and archival types of information. Contemporary documents consisted of examples of internal documents (values, purpose statement, big goal, philosophy, etc.) and external ones (website reports). Archival documents included evidence of company awards, client testimonials, web-based reports and information, articles about Tasty published by other organizations or the news, and a nine-year history of sales and profits information (from a growth and decline perspective).
These types of documents offered both advantages and disadvantages. Public documents allowed me to obtain records of the words, phrases, and language (Creswell, 2013) originally used by participants in past historical events they mentioned and described during interviews. This enabled me to confirm and verify initial hunches about emerging concepts and themes, while I looked for congruencies and inconsistencies between and across multiple data sources (Gioia et al., 2013). I also cross-referenced archival data to my observational notes made during interviews, notes made after interviews, and the actual interview transcripts.

However, there are also disadvantages to document data. Those that applied to this study included: (a) limited financial information as compared to a publically traded company, (b) no readily accessible “policy and procedure” manuals (in the sense that processes and procedures were not available in some pre-assembled set of manuals), and (c) beyond the meetings researchers directly observed, limited documentation existed from past meetings. Such limitations are common when investigating privately owned companies, especially when small and family-owned. Moreover, two of these “limitations” actually emerged as unique phenomena, later contributing to the emerging theoretical framework itself. However, in any case, it is preferred that researchers take steps to try and overcome limitations—or at least mitigate—the disadvantages presented by some forms of data. To do this for my study, I relied on confirmatory data from other sources such as: industry awards, publically published client lists, books and news articles in the public domain, informal conversations and
questions to probe deeper when documents were not available, and on-going
observations of processes in action with follow-up note taking.

As a final note, since my primary research question focused on the role of the
company’s values work emerging as embedded values practices in performative ways
(Gehman et al., 2013), I expected this to be discoverable not from top-level artifacts
or even solely from second-level espoused values and beliefs (Schein, 2010), but
through the rich and detailed accounts of the participants’ stories. I now turn to the
data itself, which emerged from and formed the foundation of the stories as shared by
the participants.

**Data Analysis**
Analysis for this study primarily followed the Corley and Gioia (2004) method for
coding, discovering categories, organizing themes, and conceptualizing dimensions,
as the scholars discussed and depicted in a more recent article (Gioia et al., 2013). As
a new researcher, I also relied on Charmaz’s recommendations for constructing
grounded theory (2006), which outlined a practical guide for qualitative analysis. In
addition, I followed Gibbs’s (2007) research kit book for analyzing qualitative data as
an overall guide, Saldana (2009) for more specific guidance relative to coding, as
well as research approaches and paths suggested by Yin (2009) and Creswell (2009,
2013). The rest of this section discusses the data analysis and provides some
examples to demonstrate how and when the analysis process took place.
Data analysis considerations and processes

Pre-Tasty data analysis
Prior to analysis of Tasty data for this study, data collection and initial analysis had begun for other case studies of the ROV project, conducted by different combinations of student researchers and senior lead investigators. This led to data analysis that focused first on coding of the semi-structured interview data. This collaborative process resulted in (at the time) five case studies and their collective data, being entered into Dedoose as exact transcriptions of every interview. Dedoose (www.dedoose.com) is a web-based computer-assisted qualitative data analysis (CAQDAS) software service designed to assist researchers, especially those working on a single project with multiple research team members, in storing all of the data for a study or project. Dedoose helps with analyzing text, video, and spreadsheet data (analyzing qualitative, quantitative, and mixed methods research).

I pause here to make a point relative to using computers in qualitative research. As with any CAQDAS, Dedoose can never replace a researcher’s experience, knowledge, and thinking. It can, however, aid in more clerical processes such as: (a) sorting, (b) tagging all instances of certain words, codes and concepts applied to the data, and in general (c) helping the researcher stay organized as the data continues to build. As in most qualitative studies, the data continued to grow and amass as this study went on (Gibbs, 2007). In this regard, while Dedoose was a useful aid, it did not replace the researcher as the analyzer and interpreter of the data.
All of the research team members used Dedoose, to some extent, for coding and analyzing ROV data. The main function Dedoose provided for this study was to hold and store all of the data documents and media, first level coding, and tentative beginnings of categorical formation. I conducted the analysis of the Tasty data using Dedoose as a clerical tool, not for any of the steps within the analytical process. The next sections describe the coding processes that eventually linked to my later analysis.

**Coding by research team**
Three other student researchers (one present at the Tasty interviews and two not) had coded the Tasty transcripts in Dedoose prior to my own coding in the system. However, since I had coded my data manually first, and I did not see their coding in the system until I had finished my own, we did not influence each other’s coding. At this level, we employed in vivo coding as often as possible. This first level of qualitative coding is best described by Saldana as:

> the essence-capturing and essential elements of the research story that, when clustered together according to similarity and regularity—a pattern—they actively facilitate the development of categories and thus analysis of their connections. (Saldaña, 2009, loc. 318 of 4659 [Kindle ed.])

The completion of this first round of coding by the collective research team resulted in 1,310 codes, many with in vivo notations and nearly all with short descriptions. Of these, 916 applied to Tasty. After the research team met, three team members
reviewed our own coding (again separately) and created “memos” attached to specific excerpts and codes, directly in Dedoose. In this sense, a memo was more like the first-order concepts described by Gioia et al. (2013, p. 11), and not the type of memo associated with Charmaz (2006), but they did include analytic reasoning and abstracting. These Dedoose memos assisted the team in identifying emerging categories and themes at subsequent meetings.

At a follow-up session of the research team, the group shared their individual second-order themes and emerging theoretical concepts. This process resulted in the collaborative building of a coding structure for all of the ROV data that would inform later interview questions and also contribute to the creation of a new survey instrument (to capture information from approximately 28,000 companies). At a subsequent meeting, the team took first-order concepts and visually arranged them on a large wall using color-coded sticky note cards. Using an iterative process, we continued to rearrange, reorganize, and make sense of the concepts into larger themes, which contributed to an emerging data structure. The group employed techniques that were not linear but instead, formed a “recursive, process-oriented, analytic procedure” (K. Locke, 1996, p. 240). I employed these same steps in my independent analysis of the Tasty data.
The agenda for two of the collaborative coding meetings, depicted in Appendix D, shows the group process used at the first and subsequent team meetings for building the overall code structure for the ROV project.

Coding by this researcher
Throughout the period of the team’s work relative to the larger dataset, including Tasty, I continued to review the Tasty data and create my own categories, which, over time, would lead to themes and then abstract dimensions. I repeatedly compared and contrasted my work against the group’s work (specific to just Tasty), as well as to my own initial manual coding, notes and analytic memos that I had previously done on hard copies of the transcripts, other documents, and in Evernote. I eventually pulled out all of the Tasty data from the Dedoose system and worked with it in Microsoft Excel, as I began to look for patterns between codes, categories, and memos that were linkable to participant excerpts.

As established by the ROV protocol and this study’s research design, I inductively analyzed the data letting it “speak for itself” (Ludema, 2013). I tried to hear, see, and feel the meanings intended by the participants. I paid attention to the language they used, including overall tone, intonation, cadence, and context. I referred to my own interview notes when recalling particular expressions or participant statements that struck a chord of some type, including for example the conveyance of high versus low emotions, excitement versus boredom or nonchalance, and similar contrasting
emotional states as participants described various experiences, often including how they felt at the time of the experience.

Initial codes are meant to be “provisional, comparative and grounded in the data” (Charmaz, 2006). After initially reading an entire interview for overall context, I returned to the beginning, reading more slowly, using a line-by-line coding approach. I circled terms that reoccurred frequently across each interview and then across many. I also did incident-to-incident coding within and between interviews. I repeatedly revisited the interview data building a list of first-order codes, along with additional notes and highlights, while beginning to “star” items that emerged across interviews around stories of similar events. I later used these notes and side notations as I transferred my manual coding into Dedoose.

Throughout this process, I continued to revisit the paper transcripts, continually comparing and contrasting the data (Glaser & Strauss, 1967) to find similarities and differences between participants’ stories of identical events, different events, and routine practices occurring at different times, all the while seeing and identifying connected, emergent processes. The transfer of my manual coding and data analysis into Dedoose provided another opportunity for ideas and meanings to emerge; I did not merely replicate my original notes. If new ideas formed, I added them into Dedoose as well. At this point, I began developing focused codes (Charmaz, 2006),
which also became short notes in Dedoose attached to participant excerpts similar to what Gioia calls first-order concepts (Gioia et al., 2013, p. 20).

The emergent ROV data influenced the direction of my study, when I became intrigued in particular, about one of the 10 emerging themes from the larger data set: values-driven decision-making. Based on initial coding by the team and me, this phenomenon had emerged strongly from the Tasty data, as compared to the other four companies. Inspired to investigate this more deeply, I continued to analyze and interpret the data, letting the stories provide clues as to how decisions and actions unfolded in the day-to-day lives of Tasty’s people.

Table 4 shows examples of some of the first round of codes, including in vivo terms, that emerged from the Tasty data:

<table>
<thead>
<tr>
<th>Code</th>
<th>Descriptive Labeling</th>
</tr>
</thead>
<tbody>
<tr>
<td>Hiring</td>
<td>“Screen for skills, but hire for attitude.”</td>
</tr>
<tr>
<td>Employee</td>
<td>“Teach” employees the skills needed to make decisions.</td>
</tr>
<tr>
<td>Accountability</td>
<td>Employees are “accountable to one another.”</td>
</tr>
<tr>
<td>Success</td>
<td>Success: the client is “delighted” and employees are “thrilled.”</td>
</tr>
<tr>
<td>Growth</td>
<td>Sales and profit, with delighted clients, all go together.</td>
</tr>
<tr>
<td>Values</td>
<td>When facing a decision, turn to the company “core values.”</td>
</tr>
<tr>
<td>Responsibility</td>
<td>Each person commits to fulfill his or her “area of responsibility.”</td>
</tr>
<tr>
<td>Transparency</td>
<td>“Open book” across all departments and all members.</td>
</tr>
</tbody>
</table>
Customers  Customer satisfaction important; so are their values.

Team  Teamwork is how we do things; no person is a “silo.”

Quality  “Be the best” at every level: individual, company, and industry.

I initially began grouping codes into categories to form first-order concepts that were linked to excerpts, shown in Table 5, and traceable back to my own Evernote comments:

Table 5. Sample of Conceptual Coding Linked to Excerpts and Memos

<table>
<thead>
<tr>
<th>Codes</th>
<th>Sample</th>
</tr>
</thead>
<tbody>
<tr>
<td>Leadership (Introspection)</td>
<td>Excerpts (Tom, CCO, Chief Culture Officer) “I think academia’s wrong. I think they ought to go through creative destruction themselves. I think it’s values, vision and mission. I don’t know of anybody that got into a relationship with a human being based on mission. Usually it’s values. Are our values in alignment? Should we go out on a date? Should we progress with this relationship? Then it goes to vision. Then it goes to mission.”</td>
</tr>
<tr>
<td>- Leader has needs.</td>
<td>(Later) “Some of the events that helped shape Tasty Catering to becoming the operation that it is and the significant contributor to the population to the human capital that work with us is that I realized at an early age that I was somebody and I heard Dr. Martin Luther King say, I am somebody. And at that time I was just one of eleven children who came from a poor background—poverty stricken household but we were always religious and moral and we always believed in God and a higher power, so we were rooted in faith, hope and charity. The other things were the tenants of Christianity but I always felt like an outsider because I felt that my ideas didn’t mesh until I heard those famous words, I am somebody and that I never forgot. The employees that work for us are somebody. That everybody that I’m surrounded with is somebody with hopes and needs and fears and anxieties.”</td>
</tr>
</tbody>
</table>
Memo: Tom talks about "we" versus "I" and growing up in a large family and that nothing is "I". He says it was always a team effort. He connects this to business and emphasizes how he and his brothers (partners) considered everybody in their employ to be a partner of some sort or another by sharing in the profits.

Evernote Question – Will employees surface similar stories and/or show connections to one’s upbringing and family values? Look for culture links and employee links.

Leadership (Transformational)
- Tipping Point.
- Self-Reflection.

Excerpts (Tom, CCO) “We’re in an open office and two young people were standing there…and I said what can I do for you and it was about 9:00 o’clock in the morning, and Jamie blurted out if you don’t change we’re leaving. And I said change what? And she said, we don’t like command and control. And I said what should we change to? And Tim said, we want an employee generated employee maintained culture. We wanted to define the way we work. We’re tired of command and control. We’re tired at your brothers yelling at us, you yelling at us, spending the first twenty or thirty minutes of everyday figuring out and trying to understand what mood the owners were in, who should we listen to, who’s orders are being countermanded by another owner’s orders and we don’t want to work this way and so either you change or we’re leaving.

(Later) “I’m quite often asked the question how did you change? How did you accept change? How did you not consider that insubordination? How did you grasp that concept that quickly? I said first of all I was frightened. I was getting old and they were young and brilliant. I also remembered what Joseph Schumpeter who was the Prime Minister of Finance for Austria. He came to Harvard and he was part of the Harvard Instructional Program. Schumpeter was a Harvard educator during their first MBA class in 1925 and Schumpeter was known for stating everyone is doomed for failure if they continue to extend and defend what they do. Companies are doomed to failure if they continue to extend and defend and usually by a hundred years they become inconsequential.

(Later) “So for me the defining moment was very simple—I couldn’t lose them and I couldn’t lose their approach to business. And Jamie had instituted some programs and
communication skills that I was able to find out the importance of communication from the bottom to the top from peer to peer and how much more valuable that was than from top down. And she frankly had said to me a couple weeks earlier they don’t listen to you anymore. And so between the creative destruction I realize I’m inconsequential, her telling me my employees don’t listen to me anymore…really don’t listen to me—they nod their heads.

Memo: Tom talks about other contributing factors which were connected to their deliberate culture change effort: creative destruction (not continuing to defend and extend how he had always done things), realizing he was inconsequential (employees not really listening to him anymore), and employees knowing more about the company than he did (with others proving to him how things were going on that were not working right).

Evernote Question – will this emerge in the stories of employees across all levels? How will power shifts emerge, if they occurred? Look for culture links and employee links.

Excerpts (Paul, Delivery Driver) “Before I worked here at Tasty I worked at like a big warehouse kitchen and every now and again you would interact with a customer but not as much as I do being a driver so seeing a customer every day interacting with him every day it helps you to better your company because you come up with suggestions and ideas based off your interaction with the client. So the client may so I didn’t like this or I like this a lot or maybe this had too much of that and not enough of that as far as with the food or desert or the salad or something like that. So it’s a great experience once you see actually and hear feedback

(Later) “I know one situation I had doing the pick-up. What pick up is after you deliver the lunch or the breakfast and the equipment; you go back and pick it up. So doing one pick up I noticed that the garbage was full and the lady had a tablecloth—we had a tablecloth and bows and things. They was [sic] disposable that we usually don’t pick up. So I asked the lady. I said I can take this disposable stuff and throw it away because I see you garbage is full and so she was like oh wow you don’t
<table>
<thead>
<tr>
<th>Codes</th>
<th>Sample</th>
</tr>
</thead>
<tbody>
<tr>
<td>have to do that. I was like no problem and</td>
<td>have to do that. I was like no problem and she really appreciated that. It’s the service. It’s the service that through our core values that we practice that we read every week that you see on the wall and you take time and you read one or two if you happen to walking by. That we as drivers, we display that to the customer.”</td>
</tr>
<tr>
<td>she really appreciated that. It’s the</td>
<td></td>
</tr>
<tr>
<td>service. It’s the service that through our core values that we practice that we read every week that you see on the wall and you take time and you read one or two if you happen to walking by. That we as drivers, we display that to the customer.”</td>
<td></td>
</tr>
<tr>
<td>wall and you take time and you read one or two if you happen to walking by. That we as drivers, we display that to the customer.”</td>
<td></td>
</tr>
<tr>
<td>Customer service with growth in mind.</td>
<td>(Later) “So when like the first example I gave you about the lady with the trash we read about each other’s how we did that week and any comments that we have or any suggestions that you have. When you bring it back it comes back to the company and we share with each other and that helps the company keep a return customer… if we do good out in the field we tell each other. We share stories and we help each other out. Okay, when you go to this client, this client likes it this way, this client don’t like that, and we share that with each other and then we go from that and we keep growing.</td>
</tr>
<tr>
<td>Connectedness between: Personal values,</td>
<td>(Later) Being a person raised with family values and morals, it fits right in with you being a good worker, a good delivery driver because it’s like hand in hand. So it’s like the way you are as an individual outside your workplace, be that same individual inside your workplace. So if you a sociable likeable guy on your own free time, be that also at work because I work other places where you will see a change in the person. When they go to work it’s like they get in a whole new frame of mind and it’s not really that pleasant. But working at Tasty reading the core values you know remain the good person that you are.</td>
</tr>
<tr>
<td>family values and company values.</td>
<td>Memo: Paul provides a detailed description of how he is empowered to interact with the customer and practice the values of Tasty both when servicing the customer and when working with others on the team.</td>
</tr>
<tr>
<td></td>
<td>Evernote Question - what are typical time frames in other high-performing companies between the time of hire and the time that an employee learns and displays values of the company? What practices are linked to genuine adoption or embeddedness?</td>
</tr>
<tr>
<td>Codes</td>
<td>Sample</td>
</tr>
<tr>
<td>-------------------------------------------</td>
<td>----------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
</tbody>
</table>
| Employees (Engaged)                       | Excerpts (Paul) “Oh it means a lot because to be trusted and it really means a lot because sometimes a person like me not working a lot in my history so to find a job whereas you get this much responsibility because the driver’s responsibility is being because we are like the face of the company and it’s like what we do, what we say and how we do it right then in front of the client either makes or breaks the company. It adds on to our economic growth or it decreases it. And so you got that responsibility and you got that—it’s not a scary thing with me. It motivates me to be all the more the best—the best driver. Try to be the best driver. Try to be the best sales person. Try to be the best clean up person. Even on the pick-up you try to clean up extra well. The responsibility is always there. You direct your energy in the right way like I said. It’s a great motivation.

Memo: Look for other stories and data supporting this practice of circles of responsibility and accountability. This shows up in many other artifacts. How embedded is it?

Evernote Questions: How are the responsibilities taught, shared and/or communicated? What are the processes for new employees? |
|-------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------|
| Radical Transparency                      | Excerpts (Paul) “The financial information that the company provides help me more to understand what’s going on from beginning to end or maybe not from beginning to end but from the office that we’re all the way down to the drivers that are in all the way to the clients because you actually see what’s going on and why it’s going on. How you’re making money…a profit. Why you making a profit. Why you not making a profit. Why you in certain aspects is the same as last week or last month. So with having an open book like that is very important—very helpful to give you an understanding and then once you have that understanding and it just adds on to your sense of responsibility. Now you know. Now you know exactly what happened, what will happen as far as growth, what won’t happen as far as growth according to how you display core values when you go out and deliver and interact with clients and so it does help a lot because I worked like I said before I worked at a place and this— what the information as the growth, economic growth, I didn’t have that sense. You never know what your____ so it was just like—it wasn’t like always have
<table>
<thead>
<tr>
<th>Codes</th>
<th>Sample</th>
</tr>
</thead>
<tbody>
<tr>
<td>Deep employee engagement.</td>
<td>Memo. Paul provides a detailed description of how he is empowered to interact with the customer and practice the values of Tasty both when servicing the customer and when working with others on the team (at Tasty for 7 to 8 months at time of interview).</td>
</tr>
<tr>
<td></td>
<td>Evernote Question - what are typical time frames in other high-performing companies between the time of hire and the time that an employee seems to have learned and adopted the values of the company? What practices are linked to genuine adoption or embedding of values?</td>
</tr>
<tr>
<td>Employee Entanglement</td>
<td>“It’s almost like unreal the way people are sharing around here and just open because if you work one or two or three jobs somewhere else and you see and feel a difference in the environment when you come in to work.</td>
</tr>
<tr>
<td></td>
<td>“It’s like open door policy from Tom all the way down to me, the driver.”</td>
</tr>
<tr>
<td>Caring culture.</td>
<td>“But coming to Tasty, hell we get rid of the trouble at home you see. So it’s not like taking trouble from home and bringing it to work. No… Is like come to work and see how to deal with your problems and stuff and go on and fix your home.”</td>
</tr>
<tr>
<td>Employee commitment and loyalty.</td>
<td>“They gonna have to lock the doors when I find another job. They’re gonna have to lock the doors to keep me out of here. Every chance I get I’m coming back to Tasty. So just even to see if they need help. Tasty means so much to me, just to see can I volunteer because I was here in the summer and I see the amount of work even going out to a park and serving some hot dogs and burgers to corn to setting up.”</td>
</tr>
<tr>
<td></td>
<td>“It’s like a new parent. It’s like a new mom or a new dad and it’s great. It really is great and I say that knowing that I’m going to school and I’m looking for another place to work to start a career. I have to be but I’m gonna stay here. I ain’t going”</td>
</tr>
</tbody>
</table>
After developing categories, regrouping the data between codes and concepts, listing numerous themes at the onset and reworking these to make more sense of the data, 10 overall themes (five similar themes, but associated separately with the leader and the followers) eventually emerged, as shown in Table 6:

<table>
<thead>
<tr>
<th>Codes</th>
<th>Sample</th>
</tr>
</thead>
<tbody>
<tr>
<td>Follower Transformation</td>
<td>“Working at Tasty helped me out as a person to always be the same regardless of what happens. Always stay respectful, mindful of others, determined to be just an all-around good individual, not just as sometimes. Even when things not going right. Even when you make a mistake. Not suggest say oh man I messed up and get down and out on yourself. Being at Tasty because mistakes can be made here and I made a few mistakes here at Tasty but working with my co-workers and not just the co-workers and talking to the people in the office, several departments, sales rep, marketing, even the owners—that you know okay, things happen. Don’t beat yourself up about it. Fix it. Let’s go. Because there’s always a fix. Sometimes there may not be a quick fix. There’s always a fix and keep going. Things happen. “</td>
</tr>
<tr>
<td>- Learn, practice, act and learn from mistakes.</td>
<td>You get free range cause once you leave the base and you out on your own that’s you’re individual, but you’re individual part of something bigger and so yeah. That’s the core values.</td>
</tr>
<tr>
<td>- Values embedded.</td>
<td>Memo: Paul talks about how his job at Tasty is very different than other jobs. At Tasty, people care about him, help him with questions, ask him if he needs help, become his friend.</td>
</tr>
<tr>
<td></td>
<td>Memo: Paul wraps up his interview with some powerful points about how home and life are the same when it comes to core values and that work life helped him improve his home life.</td>
</tr>
<tr>
<td></td>
<td>Evernote Notation: Ask Tom and others about employees acquiring skills and then moving on to other places.</td>
</tr>
<tr>
<td>Theme</td>
<td>Description</td>
</tr>
<tr>
<td>-----------------------------</td>
<td>---------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Leader Self-Identity</td>
<td>Leader relies on personal values, beliefs, wants and needs during decision-making events and interactions.</td>
</tr>
<tr>
<td>Leader Social Identity</td>
<td>Leader relies on interactions with others to co-construct social self, which presents to others as authentic self.</td>
</tr>
<tr>
<td>Leader as Social Learner</td>
<td>Leader relies on outside advisors (mitigating risk) to work through change processes (providing for self-support).</td>
</tr>
<tr>
<td>Co-created Reality Leader as Change Manager–Participant</td>
<td>Leader initiates change and passes off the baton (using high-level tools, communication strategies, and modeling).</td>
</tr>
<tr>
<td>Leader as Power-ceder</td>
<td>Leader cedes power within predispositional frames where followers can enact their realities by embracing power.</td>
</tr>
<tr>
<td>Follower as Power Embracer</td>
<td>Followers embrace power within predispositional frames where they can enact their realities.</td>
</tr>
<tr>
<td>Co-created Reality Follower as Change Participant–Manager</td>
<td>Followers participate in values work and display values in performative ways with other followers and customers.</td>
</tr>
<tr>
<td>Follower as Social Learner</td>
<td>Followers learn from mechanisms and performative practices put in place by both the leader and other followers.</td>
</tr>
<tr>
<td>Follower Social Identity</td>
<td>Followers rely on interactions with others to co-construct social self, which presents to others as authentic self.</td>
</tr>
<tr>
<td>Follower Self-Identity</td>
<td>Followers bring their own values, beliefs, wants and needs to the organization, using these when considering organization values and needs.</td>
</tr>
</tbody>
</table>

As I developed the code structure for this study, I used inductive analysis, similar to the naturalistic inquiry approach suggested by Lincoln and Guba (1985) and constant
comparison techniques as discussed by Corbin and Strauss (1990). Eventually, after many iterations of grouping and regrouping of codes, categories, and themes, the data structure emerged with three abstract dimensions, as shown in Figure 7. All of the various activities leading to the final data structure were iterative, helping to establish trustworthiness of the data (Lincoln & Guba, 1985, Chapter 11), which I discuss in the next section.
Figure 7. Data Structure: Concepts, Themes, and Dimensions
Trustworthiness of the data
Following methods suggested by Lincoln and Guba (1985, Chapter 11), I took several steps to ensure the trustworthiness of my data. First, I utilized computer-based tools and software to keep everything organized, including the shared Dedoose platform, the Evernote application, and a filing system for maintaining all hard copies of transcripts and other document data. Second, I compared my coding and concepts to the coding done by three other researchers, retaining codes and initial labels when there was over 90% agreement. Third, I continually referred back to my first impression notes, comparing them to second level notes and memos in Dedoose generated by me and other researchers. Fourth, I was able to check and share my own hunches and emerging ideas with the research team as well, including student researchers who had not been involved in coding of Tasty data. Fifth, both early on and later in the research process, I doubled-checked doubts about any underlying process, which fed into a higher level concept or theme, through emails and direct conversions with Tasty participants (including executive leaders to line level staff). Finally, I was able to have experienced scholars review and comment on my initial ideas and subsequent iterations of my analysis and theoretical abstractions.

The remainder of this paper presents the research findings, a discussion about the findings (including how they related to extant theories and emerging concepts), and concludes with a chapter on the research limitations, future directions and my personal reflections regarding my participation in the process.
Chapter 4: Research Findings

“A relentless barrage of ‘why’s’ is the best way to prepare your mind to pierce the clouded veil of thinking caused by the status quo. Use it often.”
—Shigeo Shingo

Introduction

This chapter presents my research findings by discussing the emergent themes and providing examples of where the data gave rise to the themes. However, before I move into those discussions, I first provide an overview of what I had anticipated at the onset, and how this evolved and changed over the course of the study.

Findings as Emergent Concepts

Early hunches vs. later evolutions
I began my study with a desire to understand deeply how a company identified as an exemplary firm within its size-sector and industry, experienced a dramatic change in performance after undertaking an intentional change process to transform its culture. I was specifically interested in how values work as emergent values practices played a role in the transformational change, especially at the interactional level between the leader and followers. I hoped to uncover practices that if shared with other practitioners, would help to clear away some of the praxis clutter of how-tos and how-not-tos bombarding today’s busy leaders. I had expected to find that values work emerged around pockets of concern as described by Gehman et al. (2013), later giving way to emerged, performative practices after fits and starts until reaching a tipping point where values appeared embedded at the “taken for granted” basic assumption level defined by Schein (2010).
What I found was different from what I originally anticipated, and while I could fit some of the data on top of the Values Work Theoretical Model (VWTM), it felt as if I was forcing the data into a configuration that did not quite tell or explain the complete story. It may be that VWTM is a better fit for explaining larger organizations with multiple sites that have embarked on a deliberate creation of an honor code (Gehman et al., 2013). However, it did not quite hold together the data from the Tasty case.

As I immersed myself in the data, I discovered that the model I thought might work as a provisional framework presented too far of a reach to explain the role of values work as emergent values practices at Tasty. It was through this inability to fit the data to an existing model, as well as undertaking constant comparisons against other explanatory frameworks for culture and transformational change, that I arrived at a new theoretical framework for explaining the findings that incorporated multiple perspectives from a variety of disciplines. The themes and dimensions of the framework emerged as follows:

**Leader themes**
- Self-identity
- Social identity
- Social learning
- Change manager (co-created reality)
- Power-ceder
**Follower themes**
- Self-identity
- Social identity
- Social learning
- Change participant (co-created reality)
- Power-embracer

**Dimensions**
- Humble leadership
- Co-leadership
- Humble followership

In discussing the findings, I take care to share the Tasty picture that emerged from the data as co-created realities of its leader and followers, which transcended my view as researcher. This approach naturally evolved after extended immersion in what came to be felt as not just data, but the rich history of Tasty’s remarkable evolution over time, inclusive of its emergent and continuing story.

**Relationships between themes**
This section explains the themes in a relational manner, connecting them to each other and to the data, to show how they operated together to create and sustain a healthy, generative culture. In the discussion that follows, I focus primarily on the interactions between the leader and a particular follower, which provided rich and compelling data (stories) for explaining the emerging phenomenon. Dyer and Wilkins
(1991, p. 613) argue for better stories, not better constructs, to generate better theory, by emphasizing the following: (a) the in-depth study of a single case (context) versus the study of multiple cases, (b) deep versus surface description, and (c) the telling of good stories versus the creating of good constructs.

**Themes: Self-identity, social identity, and social learning**

In this section, I explain how these three themes emerged and co-related to one another, starting with self-identity of the leader and weaving in how this connected to the follower’s self-identity, social identity, and social learning. At Tasty, the leader’s self-identity played a prominent role in how values work emerged as values practices before, during, and after the intentional change process. This role moved well beyond the mere stating of personal values, talking about them briefly, or relaying comments at a more general or surface level. For example, when queried about how to treat or value other people, especially employees, most will respond that a leader should always treat employees with respect and/or according to the Golden Rule—regardless of position. This was not the case with Tom Walter (Tom), the CEO and founder of Tasty. He provided more complex reasons and beliefs about the treatment of employees, and of all people, and it began at the top of his interview.

When asked to share the story of Tasty’s founding and evolution, Tom began by sharing personal stories and struggles from his own life, which he told with emotion and rich detail. These emerged as genuine and sincerely expressed meanings of his
views on values and their importance to not just him, or the company, but to every human being.

An excellent example of this is when Tom shared personal comments tied to his upbringing and how these influenced him and what he later refers to as Tasty becoming such a “unique operation.” This occurred after the lead investigator posed the following question:

Think back as Tasty has evolved, what are some important events that happened along the way. There may be five, there may be six, there may be more than that that in retrospect right now you would say were really important factors or decisions points about you being as successful as you are right now?

It was early in the interview (at about eight minutes in of a one hour and fifty-minute session), and Tom had been talking mostly about the historical evolution of Tasty, from a single hot dog stand in 1971, to the award-winning catering company it is today, grossing $6.25 million in sales by 2012 (K. R. Thompson, Bendetto, & Walter, 2013). Tom took a moment before responding, and then shared a glimpse into his past:

I just presented to the EAP Employee Assistance Program downtown at the Newbury Center on Friday. I told them the whole story. The psychological damage I suffered as a child all the way through high school, the abuse, etc. and how this turned into becoming what it is today.
He then quickly stopped and started over saying, “I’m not going to go all the way back to that because I don’t think it’s germane to this but it’s critical in the development stage. It’s not germane to this project I don’t think.” He proceeded to open another window into his past, which conveyed a strong emotional connection to earlier fundamental life events that later had a great influence on Tasty’s evolution (his prior comment already having given the clues to the underlying depth of this connection):

I realized at an early age that I was somebody and I heard Dr. Martin Luther King say, I am somebody. And at that time I was just one of eleven children who came from a poor background—poverty stricken household but we were always religious and moral and we always believed in God and a higher power, so we were rooted in faith, hope and charity. The other things were the tenants of Christianity but I always felt like an outsider because I felt that my ideas didn’t mesh until I heard those famous words, I am somebody and I never forgot. The employees that work for us are somebody [emphasis added]. That everybody that I’m surrounded with is somebody with hopes and needs and fears and anxieties [emphasis added].

This phrase, “I am somebody,” (Rev. Borders, [ca. 1950]) from a poem by the same title and its implied meaning—that every single person is worthwhile and matters—would show up in virtually all of the interviews in some form or another and across my notes and memos.

Related to this first theme—the self-identity of the leader—are theories of motivation. In this regard, there are many different perspectives on what motivates human beings, including: (a) viewing motivation as deriving from basic and higher level human
needs, (b) seeing humans as social beings, (c) attaching motivation to goal attainment drives, (d) relying on self-attribution assumptions, (e) citing a need for cognitive growth, and others (Argyris, 1973; Bandura, 1986; E. A. Locke & Latham, 2002; Maslow, 1954; Weiner, 1985). However, this study did not set out to investigate and explain a specific theory or perspective regarding human motivation. Therefore, any in-depth discussion of underlying motivational factors as connected to this or other themes, is outside of this paper’s scope and purpose. For this study, it was sufficient to know that multiple studies on human motivation, including motivation in work environments, support the notion that individuals are motivated in different ways, by different things, towards different end states (Johnson, Chang, & Yang, 2010; Thomas & Velthouse, 1990; Woodbine, 2008). Barring an extreme case, all individuals undertake and display behaviors due to motivators. This is true even in the case when a motivator, regardless of what it is, causes a person to take no action whatsoever.

This study explored the role of values work as emergent values practices through investigating the interactions between the leader and followers. This surfaced stories from the participants whereby they provided reasons and rationales for their decisions and actions. As such, the findings are compatible with many of the theories of motivation, most of which rest on the overall assumption that human behavior is a result of both intrinsic and extrinsic factors. More specifically, as Locke and Latham explain:
The concept of motivation refers to internal factors that impel action and to external factors that can act as inducements to action. The three aspects of action that motivation can affect are direction (choice), intensity (effort), and duration (persistence). Motivation can affect not only the acquisition of people's skills and abilities but also how and to what extent they utilize their skills and abilities. (E. A. Locke & Latham, 2004, p. 388)

This explanation provides the context in which I thought about motivation and its relatedness to this study, including its relationship and relevance to other discussion points. It also served as a background for framing the self-motivators lying underneath the interactions between leaders and followers, which occur in complex and undiscoverable ways. However, one theory of motivation is more important in this study when compared to others, but not by force of any research or proof as to its supposed superiority of explanatory powers, but instead because it emerged through Tom’s stories as being centrally important to his own stated self-identity and to Tasty’s culture.

In this regard, Tom often referred to Maslow’s theory of motivation (for instance, in his interview, in presentations at conferences, during informal conversations, in his book, etc.). An archival training document also referenced Maslow and his well-known hierarchy of needs. These different reference points emerged from the data as strong premises and beliefs, of and by the leader, about all people. In his interview, Tom shared how employees first learn of these beliefs through the company’s only mandatory training course (required for all new employees and which he still
teaches), when describing other learning courses intended to help employees and their immediate relatives with language acquisition. Tasty’s employee population is approximately 50% Latino, with the majority speaking English as a second language, and some speaking very little English at all.

We also teach English as a second language inside the company—bring in an outside teacher because we found out that our people were shy going to colleges and high schools learning English as a second language so we brought them in and invited them to bring their families in. Anybody in their immediate family including their brothers and sisters, aunt and uncles to come in and join this for free—take the class. In the first class we had thirty-five people walk in and sit down. We didn’t have enough seats for them because so many people were interested in learning English and so we added courses onto this and now there’s five different core courses that people can take numerous classes. The one that is mandated is culture [emphasis added]. So new employees have to take a culture class that’s taught by Jamie and myself about what is our culture. How did it evolve? What’s the tradition behind it and why is it important [emphasis added].

Because it is Tom who continues to teach the one mandatory course—which shares the story of how Tasty’s employees created their own culture—even if co-taught with another person), this identifies and positions him to provide important and influential input into the Tasty system in an on-going, emerging fashion. This process unfolds within the context of the wider social learning processes (Wenger, 1998) operating inside of and across Tasty’s culture.

Organizational social learning emerged at Tasty as contributing to both followers’ and the leader’s social identities (albeit in ways unique to each individual due to their
own individual self-identities). In this regard, a part of Tom’s own self-identity (e.g., his beliefs about how and why other humans do things) continually entered (and emerged out of) the social interactional communication frames (Bateson, 1972) that took place between him and followers. He also influenced this frame setting through his own volition and choice (motivation), and in doing so, continued to set up the potentiality of a co-created “belief of how and why people do what they do” (Maslow’s needs).

Neither Tom nor anyone else could ever force another person to believe what he says is true in the absolute (for example, his belief that all humans have needs and that everybody is somebody). However, putting this out as a predisposition—a frame for interpreting him and his later actions—followed by later actions that were in congruence with the original predisposition, surfaced as an important link to emergent values practices and associated beliefs (self-identity) of followers. The next story, which discusses a key interactional dynamic between Tom (the leader) and an entry-level employee, illustrates how the leader’s self-identity emerged as connected to the follower’s social identity (and consequently also to the follower’s self-identity), all within a context of social learning.

Paul is a delivery driver, who at the time of the interview had only worked at Tasty for about seven or eight months. What follows is not only an example of how quickly certain cultural norms showed up as embedded in the organization and later
influenced this relatively new member (to a degree I found intriguing), but also how the self-identity of the leader emerged as linked to the self-identity of the follower in ways that emerged as motivational. Now I turn to a piece of Paul’s story that had a direction connection to Tom’s.

Near the beginning of his interview, Paul recalled how he got his job at Tasty. Although he tells this story out of sequence relative to how it occurred chronologically, I put these memories of the event into the sequential order in which they actually took place. This should help the reader follow the flow of the total experience (how Paul ended up working at Tasty after first meeting Tom elsewhere outside of the company), more easily.

Lead Investigator: Would you be able to tell us a little bit about your situation and how you established your relationship with Tom and how he invited you here I guess?

Paul (delivery driver). Okay. He was doing the interview in Chicago for the book, It’s My Company Too at an organization called ____ and so during the interview I was telling Tom about where I worked and some of my future plans and things of that nature. And I told him about I wanted to be a baker. I wanted to do cooking and stuff like that. And so by him having Tasty Catering, he was like oh wow. I know some people that bake and **I’m not knowing that he owned Tasty Catering. He just kept saying I know some people who got a bakery…I know this…I know that** [emphasis added]. So like I said, we emailed each other because he was like I want to follow your progress and see what you want to do because back then my interested was getting more into baking and I was just testing the waters with cooking in different kitchens and what not so up until that time I wasn’t really having any luck in that work field and then after **speaking with Tom for months and months** [emphasis added] that’s when the position came open at Tasty Catering and so I was invited in.
Note that Paul emphasized how he did not know that Tom was the owner of Tasty.

This is important on a number of levels, which I will describe after providing the next part of Paul’s story related to his relationship and interactions with Tom and the Tasty hiring process. Paul had explained the following when first asked how he had come to work at Tasty:

Well after meeting the owner, Tom, we developed a relationship back and forth cause he was concerned after interviewing me about my situation and after that he invited me down to lunch and did a tour and after doing a tour just seeing the work environment because Tom pretty much told me before with the work environment was like, but then I actually see it. **It was something more than what he said** [emphasis added]. And just the cleanliness, the organization, organized scheme of things, how things ran, because on the tour you go through each department and Tom tell[s] me about this and about that, so and what happened an opening came up and Tom asked me, he was like—well maybe you need to talk to the Logistics Department and see if they are hiring so that’s how I end up coming to the company.

Remember, Paul did not know that Tom was the owner (at the first acquaintance outside of the company); he only referred to him as the owner during the interview itself. This second excerpt about how he was hired described events that occurred “after emailing each other” and “after speaking with Tom for months and months.”

This set of recalled interactions by an entry-level employee, employed for only a little over half of a year, is significant. First, it shows that although Tom probably could have hired Paul (a basic assumption I make here is that any business owner with the controlling financial interest, with or without other partners or investors, can decide to
do anything at any time by virtue of their positional authority), he did not directly hire him. Further, he did not make any promises to Paul that he could not keep. Recall that when they first met, Paul shared how his circumstances were less than optimal. He had not had any luck in finding work in the baking field.

By way of comparison, as a CEO and owner, when I meet people by chance and they happen to be out of work and looking for a job, and are enthusiastic (as Paul was), I almost instantaneously start imagining how or where they might be able to fit into my own company, even if part time. The desire to help another who has just expressed difficulty in finding work (especially in challenging economic times), takes over, even if I know that there or no openings, and also considering that I too have long since removed myself from any hiring decisions except for in the case of someone who might be joining my immediate executive leadership team. Even in this case I still employ a team-approach for hiring.

Returning to Tom and Paul’s situation, Tom’s self-restraint in refraining from exercising power (that he absolutely possessed by virtue of his position), later on made an impression on Paul, who would eventually experience the “non-command and control” interviewing process embedded in Tasty’s culture and praxis, whereby the Logistics Department made the decision as to his hiring, not the owner.
This also shows how the follower would come to directly experience him or herself, the manner in which a fourth premise of Kantian ethics (Tom had shared in later parts of his interview his belief that there are four Kantian rights that accrue to all people), *operated in practice*. The premise was that everyone had the right to have promises kept, made through explicit or implicit social contracts (Kant, 1781). Tom’s behaviors thus far, as traced between a small portion of his interview and another small portion of an entry-level employee’s interview, had unveiled powerful interactional predispositioning phases, situated in between other predispositional points set in time. The importance of promises being kept by the leader, and enacted within the culture by others, is supported by Ford’s argument that change itself is the network of conversations between and among the actors in an organization and that goal accomplishments emerge as successful further change, when commitments made between team members are kept (Ford & Ford, 1995).

This is also an example of Tom sticking to the social contract (Gilbert & Behnam, 2009) he made with his employees, that he (as an owner) would no longer use a “command and control” method of running the company (as he had admitted to using since Tasty’s inception), including for its hiring practices. Further, it exemplifies where Tom’s self-identity (his strong belief in Kantian rights applying to all people, including Tasty employees), emerged as part of a larger social learning process now embedded within the company culture and discoverable through employee-led actions.
So far I have described how the self-identity of the leader (including his values and beliefs) emerged as part of the social identity of the leader (through the context of social learning through interactions with followers over time) and how this further emerged as connected to a follower’s experiential interactions of the leader enacting his (the leader’s) stated intrinsic values and beliefs. One part of the values and beliefs enacted by the leader was the belief that everyone had a right to expect the keeping of implied or explicit social contracts (promises) and that everybody is somebody (of worth and consideration). I have thus far tied my explanations to three of the five emergent themes—self-identity, social identity, and social learning—as well as to extant theoretical frameworks.

While my discussion thus far flowed mostly from the perspective of the leader, I now turn to discuss the follower’s role (including his interactions, pro-actions, and reactions). I needed to do more than merely describe the role of the follower from the perspective of the leader. To capture the essence and the complexity of the co-created dynamics, I had to look also at the processes from the follower’s perspective. His part in the play emerged within pivotal predispositional points throughout the evolving process, all of which were traceable back to interactions with the leader and forward again to later, but connected, experiences of his own self-identity, social identity, and social learning.
Next, I explore these three themes, self-identity, social identity, and social learning, starting with a follower’s perspective, linking back to the leader, while extending these themes to the fourth and fifth related themes: change manager (as leader) and change participant (as follower), both of which occur in frames of co-constructed realities and power-exchanges between the leader and follower. Explanations of the emerged themes, shown in Figure 8, help the reader see the discussion path taken thus far in my presentation of the findings.

**Figure 8. Links between Self-Identity, Social Identity, and Social Learning**
Themes: Social learning, co-constructed realities, and power-exchanges
The co-created realities described thus far as they unfolded between Tom and Paul, emerged as links between the leader’s self-identity and enacted social identity and the follower’s self-identity and enacted social identity. These links also connected each of their social identities to their co-created social learning experiences, as well as to social learning experiences of others in the organization. I found this same pattern, emerging in powerful ways, in a later story Paul shared when asked about what it meant to be able to “have a bit more authority than say somebody who would be doing the job of the driver in another company.” In my field notes from his interview, I made a special note about how Paul was even more energetic and enthusiastic when responding to questions nearer to the end of the interview. He was sitting on the edge of his seat and sometimes barely able to contain himself when sharing his stories. He responded in such a manner during the part of the interview relating to the question about having authority:

Lead Investigator: What does it mean to you to be able to have a bit more authority than say somebody who would be doing the job of a driver in another company?

Paul: Oh it means a lot because to be trusted and it really means a lot because sometimes a person like me not working a lot in my history so to find a job whereas you get this much responsibility because the driver’s responsibility is being because we are like the face of the company and it’s like what we do, what we say and how we do it right then in front of the client either makes or breaks the company [emphasis added]. It adds on to our economic growth or it decreases it. And so you got that responsibility and you got that—it’s not a scary thing with me. It motivates me to be all the more the best—the best driver. Try to be the best driver. Try to be the best sales person. Try to be the best clean up person. Even on the pick-
up you try to clean up extra well [emphasis added]. The responsibility is always there. You direct your energy in the right way like I said. It’s a great motivation.

I interpreted this passage as a strong emergent link not only to the social contract (promise) Tom made to all employees (to give up his command and control ways of doing things), but also to Tom’s passionate assertion that “everybody is somebody.” It conveys strong clues that Tasty’s culture provided for on-going (not just one time) transformational change in the form of transforming followers into what I describe as new versions of themselves. Paul self-described intrinsic motivation to be his best. He did not connect it to any overtly extrinsic reward. He never commented “so I could get paid,” or even so that “I could get praised for being the best.” He believes he is important, even as the driver. At Tasty, the driver’s role is important in and of itself and in fact important in relationship to all other roles and all other Tasty stakeholders: the customer, other Tasty employees, other departments, and the company as a whole.

Notably, Paul having authority to take actions without having to check back with someone in a supposedly higher or more powerful position, further feeds into the embedded cultural dynamic that each employee can—and is trusted to—take action of their own accord. (Later, I specifically discuss how positional roles and responsibilities emerged differently at Tasty from the more common ways one might think when conceiving of organizational hierarchy and job descriptions.)
The significance of Paul’s story is that even for what many (outside of the Tasty culture) would consider one of the lowest positions (or levels) in the company (delivery driver), the Tasty culture enables Paul to be entrusted to make his own decisions, and this was powerfully important to him. When he takes such actions on his own, or took such actions in the past (both enactments of embracing power), as conveyed in later parts of his interview, he is operating within the predispositional frame (set in advance by Tom and the Tasty culture) through a process I label a power-exchange. Here is another excerpt showing how this emerged after the end of a long answer to the initial question posed by the lead investigator:

Lead Investigator: Next question I want to pick up on is you mention your mentor and I want you to talk about how that’s been helpful. Everybody’s been assigned a mentor here when they begin so I want you to talk about your mentor and how that is either helped you or what relationship you developed with that?

Paul describes in great detail how everyone is assigned a mentor and all about his relationship with his mentor. Near the end of a natural break in this discussion, he launches himself into a related story, connecting it directly to a predispositional power-exchange that was set up in advance (for what he had the power to do or not do, as it related to a customer). Ending his first portion with this phrase, “so to know what we’re able to do,” he takes a pause and begins a story to answer his own inquiry:

For example, I think it was the second week I worked with Brian and we had a client for breakfast and he wasn’t for sure what he wanted for lunch but he had the client mention pizza and Brian was like, Oh we do pizza and me being fairly new I didn’t know we did pizza, and so Brian was like we do pizza. We do this pizza, we do that pizza. We do this pizza, we do that pizza and he said I think you get your order in right now. He was saying get an
order and I’m standing back and I’m like wow, I can order pizza but it’s kind of like I’m amazed at cause I’m thinking the driver you don’t really have to focus on the menu or really focus on what we can or can’t do but that was just me in the beginning and now I see all of that is important [emphasis added]. Knowing everybody in the department is important. Knowing what everybody can and can’t do is important and Brian showed me that like two weeks into my working here, and so working with Brian has been a real big, big experience. Very good, very good. Yeah.

At first glance, this predispositional construct (power-exchange) might seem related to the concept of empowerment, which appears in the literature as an increased intrinsic task motivation to accomplish some task, as well as the orientation one holds in general towards one’s work role, often within the context of the cognitions of meaning, competence, self-determination, and impact. (Spreitzer, 1995; Thomas & Velthouse, 1990). However, while it may be related, this study did not attempt to discover if followers took actions based on particular psychological cognitions or constructs. Nor did it attempt to explore from any particular angle what management may have done to loosen the controls of bureaucracy (Fernandez & Moldogaziev, 2013) often associated as an empowering tactic or strategy within an organization to increase employee motivation. Instead, this study sought to investigate the specific role played by values work as emergent values practices within the context of an intentional change effort, followed by an exceptional change in performance. Tasty data was presenting some other phenomenon going on—different from being “empowered”—that gave way to employees embracing power for themselves and applying it to interactional moments in time.
In this regard then, I considered the emergence of power-exchanges as one or more of these moments in time, as recounted by the leader or follower, where a shift in perceived power surfaced. Further, these moments constituted a shift in power when they emerged through either an absence of any framing or referencing to a hierarchal authority (more difficult to detect), or through the presence of a frame or set of references specifically emphasizing the actions as autonomously driven. Paul, as a driver, casting himself (as told within his story) into the classic low-man-on-the totem-pole role, of not-to-be-trusted with doing anything but what one is told, is clearly in awe of this available power: “Wow, I can order pizza (as a driver)??”

Emergent points in time where a power-exchange surfaced, also tied back to another theme within the data structure: co-created realities. Continuing with Paul’s story, his co-created reality of his present and ongoing future experiences within the Tasty culture began with his first meeting with Tom. From that point forward, Tom set communication frames for enabling Paul to experience Tom’s role as a change manager, which in time enabled Paul’s role as change participant to emerge. Paul’s additional capacity to emerge as a power-embracer occurs within the context of these co-constructed realities, particularly when he experiences instances of change as the change-leader, not just the change participant. While this occurs at multiple levels, including his self-identity, his social identity and within the context of social learning, I propose that it is the co-creation of the realities, as a combined set of
predispositional prior moments in time, that give rise to the emergence of enacted power-exchanges. Therefore, I set this apart from the other predispositional containers of self-identity, social identity, and social learning (other themes that evolved into the overall data structure).

I provide the following examples from the data to support this finding, using Paul’s perspective. First, Paul embraced power in dealing with a client. He did so proactively, not reactively. He could have acted in a more traditional, and, I would offer, outmoded form of customer service, which is based on the commonly spoken view that “the customer is always right.” No examples from the research are required to support this common belief. In fact, it is just such a view that over the past several decades has driven (and continues to drive) the development of many customer service “practices.” Instead, contrary to a traditionally entrenched response (which would have been more likely of Paul in a prior job), he demonstrates his embrace of power others have entrusted to him in the situation described next. The point at which he actually uses this power is the completion of the power-exchange. Interestingly, this story is another example where Paul took the initial question by the lead investigator, answered it, but then provided his own frame for continuing on with another story. The original question was:

Lead Investigator: Can you hone in on that a little more and tell me maybe an experience of an interaction with the customer that was important in terms of like something you heard that you were then able to bring back here to help things maybe work better?
Paul answers this by sharing a story regarding how he offered to take the customer’s trash away, which was overflowing in the client’s own bins, even though this is not a normal part of the service. He shared how the customer was very pleased and that this made it into a weekly newsletter where Tasty employees share with other co-workers important learning from their interactions with clients. This particular client had even emailed (or called) the company to express the high level of service received (from Paul). As soon as he finished this story, he launched into a second one:

And in the same thing in another situation is timing. I made a delivery to a—I can’t remember the company, but I took the cart in and they stopped me like mid-way in the hallway and they’re like we’ll take it from here [emphasis added]…

I’m like no. I’ll take it to where you need it set up and I’ll set it up for you. And at first I didn’t understand how they didn’t know [emphasis added] I was going to set up, but they’re like oh wow you set up too. So I came in, set up real quickly in the ___ we are trying to set up and so they was wow about the service we provided. Doing that also because I learned that from my mentor being able to ride along with my mentor and other drivers to see how they set up—see how they interact with the client [emphasis added]. So when like the first example I gave you about the lady with the trash we read about each other’s how we did that week and any comments that we have or any suggestions that you have. When you bring it back it comes back to the company and we share with each other and that helps the company [emphasis added] keep a return customer.

Paul demonstrated the embracement of the power he had been entrusted with when he explained to the client that he could set up the catering service for them. They did not know this and in fact, tried to prevent him from doing the set-up. Imagine now if Paul had relied on the “the customer is always right” approach. I propose the outcome
would have been quite different. I also speculate that most entry-level employees in companies functioning under command and control management methods would have responded differently than Paul had. Without having been entrusted to embrace power (power that is ceded by the “positional” authority and set out for embracing), a non-Tasty follower would have been more likely to let the client take over at that stop midway through the hallway, when we learned from Paul that the customer had communicated, “No, we’ll take it from here.”

The second example of power-embracing where Paul also connects his story directly to the company values, emerged in this example, which is the story about him offering a service not usually provided:

I know one situation I had doing the pick-up. What pick up is after you deliver the lunch or the breakfast and the equipment; you go back and pick it up. So doing one pick up I noticed that the garbage was full and the lady had a tablecloth—we had a tablecloth and bows and things. They was disposable that we usually don’t pick up. So I asked the lady. I said I can take this disposable stuff and throw it away because I see you garbage is full [emphasis added] and so she was like oh wow you don’t have to do that. I was like no problem and she really appreciated that. It’s the service. It’s the service that through our core values that we practice that we read every week that you see [emphasis added] on the wall and you take time and you read one or two if you happen to walking by. That we as drivers, we display that to the customer [emphasis added].

Several other times throughout his interview, Paul connected his stories directly to the company values using language that conveyed values were an actual action—part of a
larger interactional process—to be performed, not merely a state of mind. Here are 
some short snippets from within longer stories supporting this finding:

Being a person raised with family values and morals, it fits right in 
with you being a good worker, a good delivery driver because it’s 
like hand in hand [emphasis added]. So it’s like the way you are as an 
individual outside your workplace, be that same individual inside your 
workplace. So if you a sociable likeable guy on your own free time, 
be that also at work [emphasis added] because I work other places 
where you will see a change in the person.

I work other places where you will see a change in the person. When 
they go to work it’s like they get in a whole new frame of mind and 
it’s not really that pleasant. But working at Tasty reading the core 
values you know remain the good person that you are [emphasis 
added].

Execute the values and the morals [emphasis added] that your mom 
and dad taught you, your family and add it on what we—the values 
that we have here which is a sign of respect, determination, loyalty, 
determined to be the best 

So you see everybody all the time and they are displaying the value 
[emphasis added]. Even in the morning when you come in, everybody 
speak, smile, call each other [emphasis added] by name.

So when you interact with all departments like that interact you see 
everybody’s acting off the values every day [emphasis added].

So first of all Tasty means that much to me where they saved me from 
being homeless, carless and homeless. Then Tasty helped me as an 
individual as well to always execute the core values that my mom 
taught me and my dad taught me and my family taught me, and 
also the way that Tasty put it in the corporate world so it’s like 
always be the same [emphasis added].

So Tasty taught me how to not just be a good person personally. What 
also be real person business wise because at first my thing was okay, I 
be a good person. I don’t have to be a good person at work. All I have
to do is be a business person. Go in, get the job done, get it done right and that’s it. **Without the core values just a minimum, thinking about enough just to get you by** [emphasis added] and not be disrespectful. But working at Tasty showed me the more you follow the **more display of respect the more display of determination that you put forth people will appreciate that and people will want to do business with you** [emphasis added]. They will want to do business with you, not that they have to but they will want to do business with you.

There are several other examples where in his stories Paul makes direct links between values and performed actions or processes, too numerous to include here. Instead, I conclude with one of his comments that I found to be very powerful since my investigation challenged me to remain unbiased and to interpret the data from an “outsider looking in” viewpoint. That viewpoint meant I was to be skeptical, withholding judgment and interpretations until making numerous contrasts and comparisons against other data related to my phenomenon of interest and how it emerged. I needed to let the data speak for itself.

The emergence of many connections to values in Paul’s stories surely could be based solely on the fact that the study’s questions were positively framed and even included one direct question about the company’s values. However, the majority of the questions asked participants about their experiences and recollections from the past, not directly about values. The weaving of values throughout Paul’s responses emerged as genuine and sincere, not contrived or as disconnected pieces fit in somehow, to make an impression. To the contrary, without being asked, Paul made
this ironic, but significant observation (when asked about what Tasty had meant to him):

Even once I start a career I’m staying here. It means a whole lot because it’s not one individual here from the owners to all the way down to me—the driver that I can say man, you phony or you just putting up a front or you don’t really follow values. Even the workers that don’t really understand English and it’s a language barrier, we still show that to each other in the smile and the speaking [emphasis added] and the little names that we do understand amongst each other. Tasty is great. It really means a lot to me.

In summary, I have presented findings from my analysis of the data that showed the role of values work as emerged values practices, by describing moving patterns of interactions and relationships between the leader and a follower, using the most powerful story that emerged from the data. I also described and provided initial explanations of the findings by showing how certain patterns emerged, thereby linking the conceptual themes to one another and back to the actual data. Within these descriptions I identified how the leader and follower experienced emergent connections between their respective self-identities, social identities and social learning through the co-creation of realities situated in interactional dynamic exchanges that contributed to future power-exchanges. I further showed how the data indicated emerged experiences of transformational change (Bass & Riggio, 2008; Burns, 1978) of both the leader and the follower. The actors experienced change themselves, but also within their presentations of self (Goffman, 1959) through on-going, co-created realities with others. This combination of predispositional moments in time, once experienced, is what fed back into the system, continually nurturing the
culture as it compelled the actors forward towards mutual—and I argue, values-driven—organizational goals.

Finally, this self-fulfilling and self-renewing process emerged as repeated beginnings of references to the company values (social identity), but also to the values and beliefs of both the leader and the follower (self-identity), re-emerging as co-created values and beliefs (social learning) enacted through co-created interactions that gave rise to individual experiences. The co-created individual experiences were always connected to others, through thinking, saying, and doing acts, which while these could have occurred solely in the actors’ minds (and therefore would be undiscoverable), emerged as enacted behaviors presented in front of others, including themselves (Goffman, 1959). These types of experiences emerged as power-exchanges and presented as enactments of transformed selves, combining to form additional compelling movements towards mutual organizational goals, which in turn became sustaining and compelling through the fusion of purpose and motivations (Burns, 1978).

Literature on transformational leadership supports the emergent links discovered throughout the Tasty data. As Burns originally argued, “transforming leadership occurs when one or more persons engage with others in such a way that leaders and followers raise one another to higher levels of motivation and morality” (Burns, 1978, p.19). The themes emerged from within and across all of the data, forming moving
patterns that gave rise to the data structure itself, through which I then interpreted the findings. I show what has been discussed thus far from the beginning through to the end of Chapter 4, in Figure 9.

**Figure 9. Interrelationships between Themes**
In the next chapter, I move beyond this structure, and the data itself, to discuss how the findings emerged into higher abstract dimensions, which related to other theoretical perspectives, while also giving rise to another view and conceptual model of this study—one more indicative of the fluid and organic nature in which humans interact, develop, and grow.
Chapter 5: Discussion

“When solving problems, dig at the roots instead of just hacking at the leaves.”
—Anthony J. D'Angelo, The College Blue Book

Introduction
This chapter discusses my findings, moving beyond the data and drawing connections between the research questions, the initial literature review, and my theoretical model. Before discussing the model in detail, I also provide a history of Tasty’s evolution in order to put the model and my discussion of it in context against Tasty’s previous form, and its form after transitioning through a transformational change.

Emergent Perspectives
Research questions: Another visit
I began this study with the following central question: What role did values work as emergent values practices play, in the context of a planned transformational change initiative, and how did this function within and between the interactions and relationships of the organizational members? With a particular interest of focusing on the interactions and relationships of the members, a set of secondary questions arose:

- What relationship patterns, if any, arose around values work as emergent values practices, especially between leaders and followers?
- How and when did values conversations arise?
- How and when did values practices arise?
- How were values communicated to and among organizational members?
- How were values practices communicated to and among organizational members?
After my initial literature review, a few more questions emerged:

- Did patterns emerge to support the more recent Values Work Theoretical Model recently put forth by Gehman et al. (2013)?
- Did patterns emerge to support leading and following behaviors as co-created leadership processes?
- Did patterns form any links between values work as emergent values practices and organizational performance?
- What other constructs or processes were involved, if any, and how? That is, what other than values work as emergent values practices might explain emergent patterns and/or links?

When my study got underway and based on my background working with multiple companies over the years (large and small), my direct involvement in a major urban educational reform initiative, my education history including my enrollment in a doctoral program in leadership, and as a CEO of my own company, I expected to find some traditional answers to my questions. However, I also thought I might discover some new and potentially powerful mechanisms going on in Tasty, since I knew it was a highly recognized and award-winning firm within its sector and industry.

**Literature review process in perspective**

Early on after initial data gathering from semi-structured interviews and other observational moments, I turned to the literature to find theoretical frameworks—both
familiar and unfamiliar to me—that could serve as provisional frames of reference for data interpretation and analysis. Clues from the Tasty data coding done by other researchers, along with pre-existing “givens,” provided some direction on how I would proceed with the first round in what was to emerge as an ongoing, continuous literature review. I explain those clues next and the direction they provided.

Tasty was pre-identified as being an exemplar company. It was, therefore, a good candidate as a single-case study. (Yin, 2009). The leader also self-identified as having intentionally pursued a major shift in how the company conducted its business. This sounded like a planned culture change, initially launched by the leader. In other words, this was a possible case of transformational leadership as most commonly defined in the literature (Weichun Zhu, Riggio, Avolio, & Sosik, 2011). Finally, the initial visit revealed the strong presence of a particular phenomenon: everything swirled around core values. This phenomenon showed up—initially—as visible artifacts (Schein, 1996) within and across the environment. Within this context then, four general topic areas for a literature review emerged in four different ways.

First, I needed an understanding of what the literature had to say regarding transformational leadership. I conducted an historical and empirical review of this concept, which emerged as one of the more prevalent and oft-studied constructs within the overall body of knowledge surrounding leadership. Through this review, I became acquainted with the various works and studies associated with Burns, Bass,
Avolio, Riggio, and others (Avolio & Bass, 1999; Bass, 1990; Bass & Riggio, 2008; Burns, 1978; Lee, Weiner, Harrison, & Belden, 2013; Riggio, 2011). Combining the information and perspectives gleaned from this body of research resulted in a comprehensive view and a few well-studied models, such as the Multifactor Leadership Questionnaire (MLQ) (Avolio & Bass, 1999), to serve as provisional frameworks for data interpretation and analysis.

In addition, my research review of transformational leadership surfaced a gap in the literature with respect to the current understanding of the leadership process in relationship to more recent followership theories. Uhl-Bien, Riggio, Lowe, and Carsten (2014) have called for more research in this area, suggesting that studies into the phenomenon of followership within the context of leadership as a co-process, could potentially broaden and expand our understanding of both. Therefore, my study had the potential to uncover new knowledge that could also inform the field and help fill this gap, especially findings with ties to leadership and followership processes pertaining to values work as emergent values practices.

Second, my prior knowledge of the literature led me to consider Schein’s (2010) theoretical model for conceptualizing organizational culture. Third, the study pointed to a need for a theoretical framework or model that conceptualized an understanding of leadership and practices within a context of organizational culture. The most frequently cited model for this was the Competing Values Framework (CVF)
(Cameron & Quinn, 2011), which also had an extended version more specific to leadership praxis based on DeGraff’s model of CVF practices (2010). I selected both as potential candidates against which I could compare and contrast Tasty data for when it emerged as a more complex phenomenon of an interaction between leadership and culture.

Fourth, as I looked to the literature for research on values work as emergent values practices, I was surprised to discover a very large gap. I could locate only one study that included my phenomenon of interest: values work as emergent values practices. This was the work by Gehman, Treviño, and Garud (2013). Like my study, their investigation included the constructs of values work and values practices, with a particular focus on how organizational work related to one (the values) emerged as the other (organizational practices). Their review of the literature regarding values, across diverse areas, also revealed a gap. Specifically, they noted that while studies did exist on values in organizations, the studies stopped short of fully developing a dynamic understanding of values as performative practices.

Gehman et al. (2013) had also posed a very similar question to mine. They began their research article with “regarding values having long been considered important to explaining action in and around organizations (Barnard, 1938, Weber, 1905/2002)” (p. 84) and later went on to ponder, “given their importance, it is critical to understand how values are practiced in organizations. In particular, how do such
practices emerge, and how are they performed over time?” (p. 84). Finding this study presented me an excellent opportunity to: (a) contribute to a newly theorized model of conceptualizing and understanding values in relationship to their associated practices, while (b) offering a potential theoretical framework for my own data interpretation and analysis. Hence, this model was added to the others as a provisional framework and I began my study in earnest.

Before discussing my findings in relationship to the research questions and my theoretical model, I first provide a broad history of Tasty’s evolution. This establishes a backdrop against which I develop my theoretical understanding of the company’s later dramatic and exceptional transformation, while addressing the secondary and emergent questions, including how they related to the data, to each other, and overall, to the central research question. Through this discussion, I build towards the presentation of my theoretical model and use it to explain the Tasty study results.

**Historical Evolution of Tasty Catering**

The historical overview of Tasty is a compilation of my understanding of the company’s evolution, derived from numerous sources. Those sources included: (a) my Evernote notes, (b) participant interviews and related notes and memos, (c) archival data, including from the Internet, (d) informal conversations with Tasty employees, and (e) on-going interactions with Tasty’s founders. Since my study was not intended to be an ethnography, the historical overview is broad, highlighting key events that emerged as directly connected to the data. For an excellent and engaging
history of Tasty, the reader is referred to the book, *It’s My Company Too* (Thompson, Benedetto, & Walter, 2013).

**Periods, phases, and influences**

**Beginnings**

Tasty Catering (Tasty), originally founded as Tasty Pup by Tom Walter in 1971, evolved into Tasty Dawg in 1984 when Tom brought on his two brothers Larry and Kevin as owners. In 1984, Tasty Dawg was a single hot dog stand located in Elk Grove Village, a municipality located west of Chicago’s O’Hare Airport. Each of the brothers had experience, expertise, and knowledge in different areas of business. Up to that time, Tom had owned many businesses; he often refers to himself as a serial entrepreneur. He would become the CEO for Tasty. Larry, referred to by the others as a natural-born leader, brought his expertise and passion for operations and logistics, while Kevin, considered the deep analytical thinker of the group, brought his expertise in cost controls, purchasing and human resources (K. R. Thompson et al., 2013).

Tasty Dawg would eventually expand to three total sites, including in a shopping center that the brothers had also developed. Three core values drove this period of business growth and change: quality, quantity, and service. From where did these values originate? A brief summary of their family influences helps to answer this question.
Important influences
Not surprisingly, Tom and his brothers credit their parents and family upbringing as a primary source of their values. The brothers were three of eleven siblings, embracing early-on the teachings of their parents that hard work, ethics, core values, and taking care of one another were of utmost importance. In addition, they credit learning their work ethic and values more specifically from their father, Gordon Walter, who was a huge fan of Frank and Lillian Gilbreth’s biography, *Cheaper by the Dozen*. The Gilbreth story represented some of the earliest work on time and motion studies of manufacturing and production line work, as applied to the Gilbreth family of 12 children, recalled by two of the Gilbreth children (Gilbreth Jr. & Carey, 2004). Gordon Walter made all of his children read this book.

Frank Gilbreth was a motion study engineer and one of the first to study motion movement as it applied to repetitive job tasks in factories and other work settings. Together with his wife Lillian, a psychologist and considered by many as one of the first industrial psychologists, they sought ways to make complex work tasks more simple, efficient, and less stressful on the human body (Gilbreth & Gilbreth, 1919). They also pursued recognition as the first industrial engineers who were concerned with the human welfare of employees, determined to make a distinction between their work and that of Fredrick Winslow Taylor, also known for his time and motion studies (Taylor, 1914). The Gilbreths’s and Taylor’s works were part of the earliest beginnings of the scientific management movement in the United States.
More significantly though, the brothers’ father worked at Zenith Radio Company for over 20 years, eventually becoming the vice president of quality control. This was long before the quality movement had taken root across the world of business in the 1980s. I myself remember this movement well, having crafted my own work roles and job descriptions during the 1980s, while working for two different small (but quickly growing) entrepreneurial companies.

At the first company, I grew my position from a “field customer service rep” into a quality assurance coordinator, followed by the quality assurance supervisor, before being recruited away to a competitor. There, I started as the quality assurance manager, growing that role into director of quality assurance. I also remember well—despite both of these companies being privately owned and full of energetic, youngish owners and a majority of even younger, enthusiastic, hard-working employees—that command and control governed all facets of our work lives. Even as I was able to “stretch” my positions at both of these companies, pushing my areas of responsibility in different directions, I had no authority to make any decisions outside of the projects assigned to me, relative to my job duties tied to performance requirements or specific project task lists including many I had made up for myself. Even these I needed permission and approval to undertake.
In the end, there were few decisions if any, which did not require approval of a higher up authority, which by the second company, meant the company’s partners—the vice president and the CEO. This took place from 1984 through 1990, the same time Tasty Dawg was growing from one hot stand to three, while doing more and more catering jobs as a side business.

**Management strategy in context**
Looking back then to 1984, and considering the knowledge and perspectives in place at that time regarding the best and most effective ways to manage, what had been the Walter brothers’ main strategy for managing Tasty? What had influenced the brothers most from that first seed of an idea to the full-service catering firm Tasty had grown into by around 1990? The answers to these questions shed additional insights into how Tasty evolved.

**Values first**
When it came to how they approached work, the brothers always remembered and relied upon their core family values of hard work, ethics, and taking care of each other. As it related specifically to business operations and meeting customer needs, they set quality, quantity, and service as their core work values. However, while these underlying values were important, their primary strategy for managing the business remained one of command and control. This made sense, at least at the time, because this was the accepted way of running most businesses, major corporations, governmental agencies, the military establishment, states, and entire nations.
Command and control
Using a wider lens to view Tasty from its first beginnings as a single hot dog stand, and looking as far back as one might search in history, managing and leading other people had for the most part always taken the form of command and control. Tell people what is needed, tell them how to do it, and tell them by when to get it done. Give employees the tools (for example, a machine, a cubicle, a phone, occasional training, resource materials specific to the job and industry, etc.) to do their jobs and then “show and tell” them how to do it. At the same time, never ever share with workers how their participation, including their costs and the costs of their tools and processes for getting the job done (for customers), affects the overall costs of doing business and ultimately, what is left over (profits) for continued existence and growth. Keep all of this unknown and hidden from the members of the very organization on which they depend for their own existence.

Moreover, whenever workers fail to get something done, tell them again, including how to do it. Keep monitoring and checking and as needed, punish those who cannot get it done and/or are not doing it the way they have been told to. Such punishment can range from admonishments and lectures to moving workers out altogether (termination) and replacing them with other workers.

This timeless pattern emerges in all sorts of forms, across many different types of human groupings, including within many families (Haley, 1966). A family run by
command and control methods has characteristics similar to the command and control-managed organization. When children fail to do what their parents tell them, including doing it how their parents want it done, some parents punish or discipline them in one way or another. Later, whether around the same task as before, or based on some new expectation, the cycle will repeat itself. However, compared to the command and control business environment, instead of “replacing” a child (as in a case of bringing in a new worker), a family pattern of severe command and control functioning often culminates in one of two ways. In the first, the parents might kick the child out of the house (the more rare occurrence, at least until the child reaches the age of majority). In the second, the child runs away, thereby removing her or himself (of their own accord), which is a more common outcome (Jackson, 1965). In either case, the pattern is the same. Command and control requires one side giving orders and the other side following them. When things do not go well, it is the command and control side that rules. We all know this pattern well.

Given all this, work still does get done under command and control regimes. However, it does so with severe limitations and often, negative side effects. As an operational process (whether in business or a family), at its best, it emerges as non-generative, non-renewing, and non-positive, even if the job needing doing does get done. It might even be the best method in certain situations, such as emergencies. At its worst, however, I argue that command and control methods of influencing (in fact controlling or forcing) people towards some desired outcome, in all but a few special
circumstances (emergencies, military operations, citizen protection) is destructive to human dignity and well-being, degenerative to the human spirit and health, and negatively reinforcing. We all have experienced this force at some point in our lives and I would dare to say, probably continue to experience command and control tactics on a somewhat regular basis, even now. It is how the world of work, and the worlds of many families have come to develop in many cultures and nations across the world (Artigiani, 2005), including here in the United States.

This historical overview provides a point of reference for making sense of Tasty’s exceptional and dramatic transformation that it would experience from 2006 on, including in its culture, in how it treated its employees, in its approaches to how work was performed, and most importantly, in its founder.

Period of focus
Fast forward to Tasty Catering and it is late 2005. By this point in time, the company had undergone major changes based on the growth of Tasty Dawg from a single hot dog stand, to a stand-alone, full-fledged catering company serving the needs of local businesses, beginning around 1990. They are also preparing to move a second time, going from about 5,000 to 23,000 square feet of space. The evolution that occurred is similar in fashion to how many small businesses successfully grow—driven by emerging customer needs—a goal the brothers set out to meet. (Scott & Bruce, 1987). While my study included learning about the general history of the company, the
investigation itself into the research question zeroed in on the period from late 2005 through 2013.

Growth propelled by customer needs
Occasionally, regular Tasty hot dog stand clients began asking if the brothers could also help them by catering business picnics or other events. Soon they were doing a lot of this “side” business out of the back of one of their fast-food restaurants. Eventually, the catering side of the business had grown so fast, doing better even than the hot dog stands, that they had come to a decision point—what to do next. A few key decisions later (such as selling two of the three hot dog stands to finance their first move into a larger food preparation facility), the brothers had transitioned into the full-time catering business, a service specialized to other businesses. Through all of this, as they share in their recounted stories, their management strategy of command and control had worked well.

Critical tipping point
There were several stories from which to choose that led up to a new decision point, or what I considered a critical tipping point. Of these, however, one emerged as more critical than all others—the threatened leaving of two young, highly talented employees, each close to brothers Tom and Larry. One was Tom’s son, Tim Walter; the other was Jamie Pritscher, who had begun her employment as an assistant to Larry in the Logistics Department.
In 2005, Tim had rejoined the company as the Chief Financial Officer (CFO) after graduating from college. I share three snippets from his interview that provide a brief peek into his history of involvement and his role at Tasty. In them, I highlight parts of the history that arose as important to the emerging data structure and my conceptualization of a theoretical model.

Tim (CFO) Been here since ’05 in the CFO role. I started part time in 1995 so worked my way up through the ranks [emphasis added] of washing dishes to driving trucks, running picnics and after I graduated decided to come on full time and have been in that role since.

As CFO, we’re not a super big corporation but…so I don’t have a full time job of just watching the finances [emphasis added], but I do work with sort of business development as well as managing the finances and our administrative team kind of falls under me. I kind of work with all the other departments to make sure the budgets are being set [emphasis added] and we’re hitting them and kind of responsibility for driving the ship in the right direction.

…we really embrace open book culture and we’re extremely transparent with our numbers [emphasis added] and we realize that we don’t want anybody to wonder what’s going on or where we’re headed or how we’re doing…if we’re making money; if we’re losing money. We want everybody to know, number one, is job security and if we’re transparent people understand that their job’s secure. And if we’re doing bad then they understand…okay we need to turn things around [emphasis added] to keep their job secure. So we have—we’ve really embraced it since the beginning.

From Jamie’s interview, we learn how she came to work at Tasty and how her role evolved. She joined the company in early 2006, the same year of the Tasty change initiative.

Jamie (Director of Communications). In 2006 I heard that Tasty Catering had an opening. They had just moved into this building. They
used to be in a smaller building down the street so I knew the company was in an impressive growth rate. And they actually grew I think forty percent the first year I was here so it was very cool to be a part of that. I had heard about them from friends who had worked here as servers [emphasis added]. A lot of people who have worked here, you may have heard, grew up in the organization. They started when they were fifteen. They moved through the ranks. Kristin Banks in Corporate Sales is a great example. She’s been here since she was fifteen and now is the Director of Corporate Sales. So the reputation throughout the community of working for them and the opportunities that were provided to people [emphasis added], I had heard that so when the opportunity came along I figured…all right, this is a company that’s growing that I want to work for, that there is really not a glass ceiling—I didn’t see one at the time where I could start as someone’s assistant and maybe I can grow from there. Never did I imagine that I would be where I am now owning other companies with them [emphasis added], but there certainly wasn’t a glass ceiling.

Next is a long snippet from Tom’s interview that ties Tim and Jamie to the critical tipping point. I have provided the entire story as it is extremely relevant to what I had anticipated would be a decision to change by Tom as the leader (for example, to continue growing), but which instead emerged as an antecedent that created an urgent need to transform. Tom refers to this point as “a major change,” but it actually occurred in advance of his changing. This predispositional event presented itself through Tim, his son, and another highly productive employee, expressing their intentions of leaving unless things did change. I view this as analogous to children letting their parents know in advance they plan to run away. Tom’s recollection provides clues that this interaction was a tipping point, one that caused him to pause and think.
So a major change in the company happened in early of 2006. We just moved into this building and it's 23,000 square feet and it's quite a jump from 5,000 square feet, and we were in the building for maybe three weeks and I looked up from my desk and I sit right in front of the building, there's three people as they walk in the door. We’re in an open office and two young people were standing there—a twenty-four-year-old named Tim and a twenty-three-year-old named Jamie. And I said what can I do for you and it was about 9:00 o’clock in the morning, and Jamie blurted out if you don’t change we’re leaving. And I said change what? And she said, we don’t like command and control. And I said what should we change to [emphasis added]? And Tim said, we want an employee-generated employee-maintained culture. We wanted to define the way we work [emphasis added]. We’re tired of command and control. We’re tired at your brothers yelling at us, you yelling at us, spending the first twenty or thirty minutes of everyday figuring out and trying to understand what mood the owners were in, who should we listen to, who’s orders are being countermanded by another owner’s orders and we don’t want to work this way and so either you change or we’re leaving [emphasis added].

And I sat there for four or five seconds and I looked at them and I realized that I’m old, this is my future, this is my escape plan, I’ve known these kids since they were four, five, six, seven years old, these are the best of the best and the brightest of the brightest and I could not afford to lose them.

The next passage is an excellent accounting by Tom, albeit long, capturing all of the “things” that Tasty used or did to change its ways of doing business. All parts of his accounting showed up as well, across other participant interviews and in other data sources. This passage is a critical portion of the data since it comprehensively laid out what the owners and employees did together, to begin an effectuation of change to their culture. I have provided a list of the tools that emerged from the Tasty data,
including from historical accounts, in Appendix E. In the passage itself, most of the highlighted statements connect directly to the tools.

Tom (CCO). So I said I don’t know what you want me to change to because all I understand is command and control. My father was a World War II army sergeant, V.P. of Quality at Zenith Radio and Zenith was very good. So I understood giving orders and receiving orders but I didn’t understand this employee generated culture so I said I’ll change if you help me because I don’t know what you want me to change to. So we brought in the book Good to Great, studied as a team [emphasis added] and created—we broke down the departments—the silos, got rid of the word department and got rid of the word manager and changed everything to teams [emphasis added]. And within the teams they had to assign a scribe and a team leader, and some teams the team leader changes weekly and a team scribe changes weekly [emphasis added]. The team scribe keeps the history of that team. They’re responsible to understand what the team has done in the past, what they’re doing in the future and what they’re doing weekly. So each team read the book Good to Great in Spanish and English [emphasis added]. We brought in about sixty books and the teams met weekly to discover the journey of how to build a culture [emphasis added]. So one day in March we started the process of developing the culture [emphasis added]. It was March of 2006 and on a white board in our conference room one representative from each team started listing what their team felt were core values [emphasis added]—support the core values. And that white board filled up very fast. There must have been forty to fifty core values on the white board. Now the players in the room—the people in the room were people who we trusted—their morals and their ethics. We trusted their work ethic. There were some who were brand new to the company—like two or three months. We wanted some fresh outside impact [emphasis added]. We didn’t want someone that was inbred that grew up in our environment. We wanted an outside source. One was from corporate America and had been with us for two or three months. I personally recruited her because I thought she was one of the best clients we could possibly have. She was twenty-five years old and those eight or nine people… I forget the exact number looked at that white board filled with core values and determined which were the—which would be our seven core values [emphasis added]. And when those nine people—let’s call it nine for the sake of discussion—said that our first core values was we’ll always be moral, ethical and legal, I looked at my brothers and I
said oh my heavens, that’s what dad said to us. If you’re always moral and ethical you never have to worry about being legal. Now the owners were invited to sit in the room but we were told we couldn’t talk. That it was going to be their culture; it was going to be their statements [emphasis added].

So like the three stooges we sat in the corner in the conference room and listened to them and observed them [emphasis added]. The second core value was we’ll treat all with respect. And it was amazing how they took all these different words and melted it down to we’ll treat all with respect. And I said we could throw out our employees’ handbook because no one will lie, steal or treat each other with disrespect. That includes clients. I said, this is amazing. As I went through the seven core values I realized that Maslow was in there, that Kant’s ethical requirements of leadership was contained in there and I was dumb-founded that these ranging from culinary workers to delivery people to production experts to salespeople were writing a philosophical book on what human behavior should be—what interaction should be [emphasis added]. So when I get to the BHAG, this took a couple of weeks—first the core values and then they went into the rest of the vision and mission statement, when they got to the BHAG—the big hairy audacious goal, it said we will be one of the most recognized and respected brands in our industry [emphasis added]. I said where’s catering? And this little twenty one or twenty two year old … girl who was a marketing major said…if we follow this we’re not just gonna be catering. We’re gonna be whatever we want to be. And at that point I said whoa this is gonna be a fun ride if we have somebody with that kind of spunk that’s gonna say we’re gonna do something different. We’re gonna go in different ways and different directions. So after each meeting everybody in the company got a new email because the scribe would be writing what went on in the Good to Great meeting and everybody got an email and nobody objected to any of the seven core values [emphasis added]. I was dumbfounded. All the teams agreed to them. They asked some questions but they all agreed to them. And I said they’re buying in. This is theirs. It’s not being impuniated [sic] from ownership down to employee level. It’s from employee level on. And the beauty of that is all new employees would know it’s a traveled story now. All new employees would understand this was done by the employees [emphasis added]. This was done by our level, not by senior level. So over time we found that that culture was really driving our company and it was the culture that was making the decision in a proper way. To loosely quote Bo Burlingham and Doug Tatum from a
conversation that they had is culture is a decision-making process that everyone trusts [emphasis added]. The priorities of how to make those decisions are clearly defined and identified and that people make decisions based on the culture statement. And when the decision making process is tough and hard and difficult that means your culture is broken. Well Peter Drucker put it a different way.

Drucker said that the organizational outcome is directly related to the culture. If the outcome was terrible so is the culture [emphasis added]. These were things that I had heard about and I had read what Bo had said when he would talk to Doug and it didn’t mean much to me until I saw it in action [emphasis added]. Then they make sure that the culture was actually working right. I’m an alcoholic—I’m supposed to keep that quiet but I’m very proud of the fact that I am an alcoholic only because it’s helped me survive, but I found out if we apply it in the AA traditions of saying the twelve steps before every meeting it helps your sobriety. It helps to go from conscious to subconscious and the subliminal becomes the way you live. So we started saying our core values and our culture statement before every meeting of three to five people [emphasis added]. So everybody in the company repeats those core values three to four times a week. We do large outdoor events in the summertime and we do up to five thousand, seven thousand person events throughout the Indiana, Wisconsin, and Illinois. They gathered the high school and college students gathered together and they go over the game plan, but then they read the culture statement [emphasis added]. It’s almost like saying a prayer before you start a program and everybody’s bonded—everybody understands how things should work. So that was the most defining work of Tasty Catering’s history was the development of that culture [emphasis added]. Shortly thereafter, there was a business meeting and I was handed a bunch of cards by our Marketing Director, Erin, my new business cards. And I handed it to a friend of mine and he said to me in conference and he remarked that’s an unusual title. And I said what’s wrong. Chief Executive Officer, what’s different about that? He said it’s not what it says. And I looked at the card and it said Chief Culture Officer. Of course the marketing person chided me for not looking at my cards before I passed them out to make sure there were no corrections but when I asked her why did she do that to me she said we all decided that if you make sure the culture is enforced that we don’t need a Chief Executive Officer. We don’t need a President [emphasis added]. And each team is delegated to have their circle of responsibility, which is core value number six, and their freedom and responsibility within that circle.
of discipline, which is core value number seven [emphasis added]. So I thought my--that smacks of organizational behavior. We have an antecedent; we have behaviors and the consequences. And I marvel at how people that aren’t work behaviorists or development specialists were coming up with these ideas and I said no it’s just common nature. It’s just human nature and human intellect to understand this. So that was the most defining moment of Tasty Catering’s history. Everything that’s happened subsequent to that started because of a cold winter day in 2006 when Tim and Jamie said you change or we’re leaving [emphasis added].


For this study, I consider the mechanisms of change that Tom and others mention (which were highlighted in Tom’s passage), as the non-human tools for a potential transformational change. While these tools can facilitate the process of moving an organization and its members from one state of being to another, I argue that they do not directly cause the transformation. Another organization may select these same tools but fail in bringing about the changes it set out to attain. Yet another organization might successfully achieve its desired changes using a completely different set of tools.

Against this complex background, which along with my findings now includes Tasty’s evolution over time, the critical tipping point, and a synopsis of those tools Tasty selected to propel its change effort, I discuss a theoretical model of values work as emergent values processes. I argue that this special phenomenon acts as the central driver of transformational leadership (which I rename as values-driven leadership), which in turn creates a generative organizational culture capable of creating,
supporting and sustaining exceptional organizational performance. Values-driven cultures endure through tough economic times and excel when times are good.

**Theoretical Model**

Based on my conceptualization of the emerged data, I argue that transformation itself occurred within, between, and through the individuals, not by any particular set of tools selected as change guides or mechanisms for change, or even by any of the staged processes identifiable within the tools (such as schedules depicting the times for use of the tools). Instead, values work emerged as values practices through predispositional frames, set in advance through co-created realities, traceable through social learning events that connected back to (and gave birth to) individual and social identities possessing embedded core values. Combined, these fluid movements of interactions created future predispositional frames for power-exchanges.

Values work emerging as values practices is a special change process arising from within and feeding back into the actors’ self-identities, emerging out of social learning experiences and further informing (feeding into) actors’ social identities. The predispositional moments in time—self-identity considerations, social learning situations, and social identity formations—occur along with other predispositional moments in time, represented by their own phenomenological, abstract categories. These other categories emerge as social learning experiences and co-created realities, which give rise to dynamically created change manager and change participant roles. These roles can also alternate interchangeably and dynamically for both leaders and
followers, in the context of other interactions and situations. At times, a leader or follower may experience their interactions as a teacher, and at other times as a learner. Special tools (forming social contracts) gird these combined interactions, which further contributes to future predispositional moments in time emerging as opportunities for power-exchanges.

Initially, these processes appeared to emerge and present themselves as two phenomenological pathways, occurring within, around, and through the particular predispositional frames (containers), including a common link to social learning, while emerging as directional movement towards a later state of being. However, as I further contemplated this possibility as an explanation (two different pathways), such a conceptualization seemed inadequate. The movement between and among the constructs emerged as more complex than two pathways with one overlapping/connecting point. Likewise, conceiving of the constructs as a complex network of interacting actors (Anthony, 2008) operating within and across complexity arrangements (Garud, Gehman, & Kumaraswamy, 2011), while more reflective of what had emerged, appeared inadequate for capturing the evolving and life-like nature of the emergent patterns.

Instead, the data felt like and seemed to hang together as abstract concepts of growth and development, involving combinations of repeating (though never identical) pathways of movement towards indeterminate, though purposely sought, future states.
The data structure and abstractions of the interactions evoked a quality of equifinality (Fiss, 2007) in relationship to these future states. There were many possible pathways for moving forward and towards the next set of predispositional states of being.

In considering the complexity of the interactions and the emergent patterns of movement as life-like developmental growth, my abstract conception of the data structure evolved into the model shown in Figure 10.
Figure 10. Values Work as Emergent Values Practices
Values as emergent moving patterns

Values emerge from the founding seed
In the model shown in Figure 10 (p. 144), the seed represents the leader and founder, which lies below the horizontal plane, or ground level. The roots represent the values, beliefs, wants, and desires (which I collectively call values) of the leader, making up the core of his self-identity. While these values could be any number of values a particular individual might adopt, the ones I depict are those that emerged from this leader’s belief in his conception of four Kantian rights (see Appendix F). I argue that these rights, for this leader, are generative of and give rise to other values this leader expressed as fundamental to his self-defined purpose, vision, and mission in life.

From these core values emerged other values. The ones depicted below ground level are the ones Tom attributed to himself. The ones that appear above the ground level are the Tasty co-created values. The similarities between the two sets are shown in Table 7.
## Table 7. Leader Values versus Follower-Leader Values

<table>
<thead>
<tr>
<th>Leader Values</th>
<th>Follower-Leader Values</th>
</tr>
</thead>
<tbody>
<tr>
<td><em>(Kantian Right 2)</em> The rights of privacy—to do, believe, and say whatever the individual chooses in their personal lives as long as they do not violate the rights of others.</td>
<td>- Always moral, ethical, and legal.</td>
</tr>
<tr>
<td><em>(Kantian Right 1)</em> The right to be told the truth.</td>
<td>- Treat all with respect.</td>
</tr>
<tr>
<td>Quality.</td>
<td>- Quality in everything we do.</td>
</tr>
<tr>
<td>Quantity and service.</td>
<td>- High customer services standards.</td>
</tr>
<tr>
<td>Hard work.</td>
<td>- A competitive and strong determination to be the best.</td>
</tr>
<tr>
<td>Self-accountability (e.g., AA program).</td>
<td>- An enduring culture of individual discipline.</td>
</tr>
<tr>
<td><em>(Kantian Right 4)</em> The right to do what is agreed upon through an implied (such as a social) or explicit (written) contract.</td>
<td></td>
</tr>
<tr>
<td><em>(Kantian Right 3)</em> The right not to be injured unless the individual does something freely and knowingly that deserves punishment or freely chooses to take risks of such injury. Injury can be physical, psychological, financial or social.</td>
<td>- Freedom and responsibility within the circle of discipline.</td>
</tr>
</tbody>
</table>
Values as culture
All of the values, whether below or above the ground level, emerged from the data as moving from within, out of and through the people of Tasty (via their interactions), including Tom and his brothers. Being represented by and through the network of roots, as well as within, throughout and part of the trunk and the branches and the leaves, this complex, developing system (the entirety of the tree within and surrounded by its environment), combines to represent the complex and enduring nature of all the individual and group values, together. This was Tasty’s culture.

Values as interactional frames
Values practices emerged as actions and interactions performed by actors within frames that had been predispositionally set in advance. No “routine” habits of practice or regimented processes emerged as specific practices or sets of steps taken. Instead, values practices emerged as predispositional frames, sitting within each of the emergent constructs of the model as frames in waiting. When actors shared stories of past events about how they did this or that around some situation and evoked personal values, company values, or both (during this sharing), I considered this a discussion about a dispositional values frame (or frames) from the past. The deployment of special tools, once employed and taken up by actors, strengthened and made more durable and possible the predispositioning of values frames (set for the future). In addition, this strengthening occurred through the sharing of stories by actors describing and sharing successful employment of a values frame in a particular situation (social learning).
Values entering in from the outside

Tasty employees bring their own values when they arrive. Tom believes all humans have needs, hopes, dreams and fears. He shares this often when he mentions Maslow. This belief, based on his values, also showed up in training materials used in the culture class. At the same time, Tom is aware that having common human needs is not the same as having common values. This is evident because he mentions this (and so do other interview participants) when sharing instances of when someone’s values changed over time, or grew in a different direction, and the person no longer fit within the Tasty culture. This is allowable and not viewed as a negative occurrence. To the contrary, Tasty is uniquely supportive of helping its followers grow and develop in ways that often results in them moving on to another set of purposes and life goals (outside of Tasty). The only negative action at Tasty is a violation of the culture.

At Tasty, the hiring of someone into the company is a team decision. At the onset, and according to Tom (and others), they “screen for skills but hire for attitude.” This implies they are trying to detect the underlying values ahead of time, to maximize the chance that the person coming in will fit within the existing culture. It also implies—which showed up in other data sources and interviews—that part of the culture itself is a belief that anyone can learn new skills, but it is not so easy to “teach” or change someone’s attitude (or values).
However, as the founder, Tom’s own core values will always have the most influence since theoretically in this model, no others could emerge without having some trace of what makes up the roots (Tom’s core values) that feed upwards to sustain the total tree. This abstract concept closely resembles and is related to (without being the same) why Tom as the founder-leader will always have all of the power. Both power and values originate with and inside of the seed. I discuss how I conceptualize power after first explaining the two very special tools I discovered at Tasty, which emerged as necessary both for power-exchanges and for the emergence of values as predispositional frames throughout the culture.

**Special frame enabling tools**
Tasty employed two separate but interdependent tools that emerged as providing connections between and among the leader, followers, and stakeholders. I argue that these tools are special tools, different from other tools such as standardized procedures common to most organizations (for example, hiring procedures, termination procedures, purchasing procedures, etc.). In fact, Tasty has no standardized set of procedures, or formal procedure manuals. (I plan to further investigate and understand this unique data finding during the course of the longitudinal study.) Instead, Tasty relies on their values, which is their culture, inclusive of two special tools, to provide the pathways from considerations to actions. These special tools enable the setting of the predispositional frames within which actors can consider any action (a decision point), before enacting. These tools emerged as Tasty’s sixth and seventh values:
An enduring culture of individual discipline, and
freedom and responsibility within the culture of individual discipline.

These two, interdependent core values (and special tools), which some scholars might conceptualize as empowerment, I argue are functioning at a more fundamental (and influential) level: a social contract. Social contracts contain the rules of the game. They spell out what each person is responsible for within their respective area. In Tasty’s case, each employee creates their own customized tool (circle of responsibility and individual discipline) with the help of their supervisor, mentor, other team members and on occasion, senior leaders. The up-front, co-creation of these agreements (commitments), maximizes the chances in the future for a fusion of purpose and motivation, such as Burns contemplated (Burns, 1978).

Values as belief statements portending future power-exchanges
In addition to considering the values as the roots and parts of the tree, inherently growing as part of the entire tree system (Tasty’s culture), I also considered values at the more abstract level of how they emerged through the interactions between and among the leader and followers. Consider the emphasis Tom (the leader) gave to the phrase “I am somebody” in one of his stories.

(Tom, CCO)...that I realized at an early age that I was somebody and I heard Dr. Martin Luther King say, I am somebody. And at that time I was just one of eleven children who came from a poor background [emphasis added]—poverty stricken household but we were always religious and moral and we always believed in God and a higher power, so we were rooted in faith, hope and charity...
And then later…

The other things were the tenants of Christianity but I always felt like an outsider because I felt that my ideas didn’t mesh until I heard those famous words, I am somebody and that I never forgot [emphasis added]. The employees that work for us are somebody. That everybody that I’m surrounded with is somebody with hopes and needs and fears and anxieties.

From part of the leader’s philosophical perspective, everybody is somebody and has the same human needs as everybody else. Therefore, everybody should treat everybody else accordingly and with respect. I abstract this further that for Tom, this also means everybody else should be aware that he views these as his beliefs and also, as two fundamental truths: all humans are important and worthy of respect.

These belief statements, expressed by the leader, operate on three levels. First, they self-acknowledge Tom’s own awareness that these are important for him to keep in mind, as the leader, when considering his employees. On another level, these statements acknowledge to the employees that they should likewise keep these in mind when thinking of others, including all other Tasty employees, Tasty customers, and anyone else they might interact with through the course of performing Tasty work. On a third level, and I argue the most important one, is that the leader’s frequent, expressed acknowledgement of these beliefs, grounded in his values, sets up a promise or social contract with all of the followers so that in future situations, he himself will likewise remember—and operate from within and out of—these same beliefs.
In advance then of future potential moments of interaction, the leader has set out a predispositional frame in which he and any others can operate (and cooperate) when dealing with future issues and decision points. He has laid out the ground rules of the game by which he also agrees to play. In essence, he is setting up the potentiality for participating in a power-exchange whereby he will cede power so that followers can embrace it.

The role of power

Absolute truths, power, and paradox
The only absolute truth in the entire system is that the leader came first, as the seed, and this can never be an untruth. Role-wise, what Russell (1908) called a logical type, by whatever name it may be assigned (CEO, CCO, founder, visionary, etc.), the leader holds more power than any other role. Position-wise, the leader has the strongest position. The founder can never not be the one with all the power (unless and until he leaves the system altogether). A ceding of power then, by the founder-leader constitutes a contradiction, creating a paradox. This type of relational contradiction is what Bateson (1972) called a double-bind and from which no logical escape seems possible:

- The founder-leader has the power by position and role. All of it.
- The founder-leader cedes all of the power up to the follower through advance agreements that both leader and follower commit to uphold and act under (in this case, the social contracts denoted by Tasty’s values six and seven). In turn, the
follower can embrace (and must do so for him or herself) the power needed to make a decision or take a course of action, at some future moment in time, which would otherwise require obtaining approval (power-wielding or command and control) by some higher power.

- However, the leader is still the founder, and no one but the founder could ever be the founder, but this leader. The founder-leader, by virtue of position and role (being the founder) has and always will have all the power.

Power giving vs. power ceding
I argue that giving power to someone normally through delegation is not the same as ceding power. In this way, I diverge from how Burns’s (1978) conceived of power, which he viewed as legitimately good if done for moral reasons and with the motivations, values and needs of followers in mind. In contrast, I view the giving of power to another (for example, the CEO giving power to an executive leader) as setting the executive leader in a position of authority over others temporarily, but that ultimately, all the power still rests with the founder-leader, who can take it back and reapportion it in different ways and to different others. This is why I believe that in the end, empowerment schemes do not work. Those in authority give or apportion power usually under rules they approve (even if “co-created”), but never really cede any power, thereby never truly enabling followers to embrace power for themselves. The concept of empowerment or to empower another, is itself a contradictory term—a double-bind, if you will—all on its own.
Ceding power is different. It involves the giving up of power, and in the case of the theoretical model symbolized by a growing, living tree, the leader gives it up from the roots, up through the trunk, out through to the branches, and then through to the leaves. The more power given up, the healthier and more robust the tree grows, including its branches (followers) and leaves (of opportunity and future potentialities).

**Paradox and humility**
My theoretical model uncovers a paradox—the inability for the founder-leader to not be the one with all of the power. Therefore, the model calls out for something else to create an escape from the unavoidable double-bind. Otherwise, there is no ability (no enabling) of the power-exchange to take place, which is needed to further allow for the agreed-upon contract to be executed and remain valid (truthful) for both parties (justice for both leader and follower). I propose only an act of humility (a humble act) can overcome, bypass or get around the paradox. A humble act is needed to break through or escape from the double-bind. I further argue no other act will suffice. Another promise to agree to the contract is insufficient to overcome the double-bind.

**Humility as a special power**
An act of humility is needed in order for a power-exchange to occur between leaders and followers, thereby enabling further growth and development. A humble act is different from a promise, which can be made and then later not kept. An act of humility is a humble act, completed and done at once. This finality (although a
humble act can surely occur again), is the very quality (the nature of its essence) that gives it the power to set aside, break through or enable escape from the paradoxical binds that otherwise, cannot be overcome (such as an absolute truth that a founder-leader always holds the most positional and situational power). Ultimately, an act of humility requires drawing from deep within one’s values. The following quotations help to illustrate this part of my argument:

- “Humility, that low, sweet root from which all heavenly virtues shoot”—Sir Thomas Moore (1779–1852)
- “Do you wish to rise? Begin by descending. You plan a tower that will pierce the clouds? Lay first the foundation of humility”—Saint Augustine (354–430)

**Junctions of power-exchanges**
Moving upward in the model, the trunk represents a growing and developing set of the leader’s co-created realities, over time, inclusive of all of the combinations of dispositional and predispositional moments in time. Each branch represents a follower (or group of followers) and another pathway of combinations for future predispositional moments in and over time. The junction point of each branch and branches that offshoot from other branches, including leaves, represent junctions—or moments—of power-exchanges.

It is precisely at these moments, just before a branch begins as an offshoot from the trunk or another branch, just before the occurrence of a power-exchange, that I hypothesize an occurrence of humility. I also hypothesize humility occurring across
the horizontal plane in between the seed and its roots and _just before_ the tree emerges from the ground to embrace the life-sustaining power of the sun. Before this emergence, water penetrated the seed, activating and motivating it upward out of the ground toward the sun, which the seed can feel and sense through the soil (another source of sustenance). While the act of humility emerges at junctions and just before power-exchanges, it originally emerges from within the seed—the values—moving out to the points of power-exchanges.

**Conceptual representations**

Thus far, I have described the following representations:

- Seed—founder-leader.
- Roots—leader values.
- Soil, water, air, and sun—sustenance (sustaining resources).
- Trunk—leader’s and followers’ series of co-created realities.
- Branches and sub-branches—followers’ series of co-created realities with each other and the leader.
- Junctions—moments of power-exchanges, preceded by instances of humility (humble acts).

**Special representations**

Leaves represent ever-evolving new opportunities and potentialities for followers (and the leader) in the Tasty culture. They reach out to capture the power of the sun and to absorb the carbon dioxide from the air and exchange it for oxygen, while concurrently calling back to the roots for water and nutrients. Flowers represent
future potentialities of fruit (with new seeds). These emerge as (a) a partner of Tasty, (b) a separate entity from Tasty, or (3) a collaborator with Tasty, but as a separate entity. They have the potential to emerge as other types of opportunities as well, yet to be co-discovered by the people of the Tasty culture.

Leadership as a co-process of good-to-great transformations
The tree represents leadership as a process, co-created by and between leaders and followers. By their nature, founder-leaders set the original direction. After that, they must depend on resources outside of themselves—and from within—to continue growing. They must have both or will wither and die. Such growth and development requires branching out and producing leaves. A great tree—a company that has gone from good to great (Collins, 2001)—also produces flowers, fruit, and seeds.

Tending to the tree
The process of a growing tree, on the surface, seems to be self-sustaining. The same is true of a company. However, a tree (the company culture) can grow weakly or begin to wane, or it can grow strongly and therefore, evoke and evolve self-sustaining development and growth.

At Tasty, their tree grew quickly and with tremendous strength. This emerged in the data through the interactions and relationships between and among the leader and followers, as also supported by evidence of on-going exceptional performance (year over year growth in sales and profits, except for the single year when nearly all
companies and households in the US, plunged downward together, during the 2008 economic recession).

I argue that this transformation from one state of being to another (exceptional and dramatic change in performance, along with weathering the recession), was only possible after the leader embraced and displayed humility. Only through humble acts are power-exchanges possible, enabling the branching out of others. Without humility, growth would have remained stunted or stagnated, eventually leading to Tasty’s death.

**Special seeds**
At Tasty, the values-driven nurturing of branches and leaves gave way to flowers, fruits, and seeds, which eventually moved beyond a single tree. When ideas arose, the leader and the culture enabled these to become seeds and plant themselves. Most often, this occurred “nearby” (with Tasty as an investor and advisor) so that the main tree became a protector and encourager of the new tree.

There is recent scientific evidence (Rothschild, 2014) that explains this similar phenomenon in plants, where scientists have discovered that collective gatherings of “family-related” plants (based on DNA) “help” each other out through various chemical exchanges *between* their roots (across the soil), as well as types of “leaning” towards and away from one another’s above-ground parts. “Sibling” plants grow more bountifully, as evidenced by uptake of traceable (non-harmful) chemicals
injected into the “mother” plant, and which later shows up in the siblings, allowing the scientists to identify them as a sibling through cross-checking to the original DNA. While beyond the scope of this paper to discuss further, I refer the reader to the following website: http://www.pbs.org/wgbh/nova/nature/plant-family-values.html

Concluding thoughts
The seed grows into and out of itself, only through others. Core values permeate all things. Values are the culture. Culture drives performance. Healthy and generative cultures emerge from co-leadership processes, which grow out of and are sustained by both humble leadership and humble followership.

Summary
I began this study with the following central question: What role did values work as emergent values practices play in the context of a planned transformational change initiative, and how did it function within and between the interactions and relationships of the organizational members? With a particular interest of focusing in on the interactions and relationships of the members, a set of secondary questions arose:

- What relationship patterns, if any, arose around values work as emergent values practices, especially between leaders and followers?
- How and when did values conversations arise?
- How and when did values practices arise?
- How were values communicated to and among organizational members?
• How were values practices communicated to and among organizational members?

After my initial literature review, a few more questions emerged:

• Did patterns emerge to support the more recent Values Work Theoretical Model recently put forth by Gehman et al. (2013)?

• Did patterns emerge to support leading and following behaviors as co-created leadership processes?

• Did patterns form any links between values work as emergent values practices and organizational performance?

• What other constructs or processes were involved, if any, and how? That is, what other than values work as emergent values practices might explain any emerging patterns and/or links?

In searching for answers to my question, I discovered values work emerged as values practices throughout multiple interactions between and among the leader and followers. The process emerged as complex and played more than a central role, instead emerging as both part of and necessary to the transformational change and the sustainability of the new values-driven culture. Further, I argued that it emerged as having the most important role for enabling and, ultimately, sustaining the culture change, which further enabled continued growth and development, along with an ability to withstand difficult challenges.
Values work as emergent values practices is a leadership co-process constituted by and giving rise to the predispositioning of future dispositional frames, enabling the transformed culture to survive, develop, grow, and strengthen. This developmental process emerges as moving patterns between and across the co-created realities of the leader and the followers, continually setting (positioning) forward future frames. Without these frames, made possible by social contracts and acts of humility, power-exchanges—a requirement for transformational change—cannot occur. Finally, I theorized that humble acts were required before leaders could cede power (truthfully and honestly) and before followers could embrace power autonomously (freedom and responsibility). Accordingly, co-leadership emerges and sustains a healthy, generative culture when both humble leadership and humble followership exist, although my model assumes that humble leadership must come first because of the unavoidable paradox (inescapable double-bind) that founder-leaders always have all of the power. Only humble acts, not mere promises of future acts of justice, can break through or escape such double-binds.

Evolution of the model
Initially, the patterns that emerged from the data were in some ways routine (appearing as two pathways with social learning as a common point of intersection). However, upon further consideration, the larger pattern emerged as more complex, evolving and forming as living, moving relationships more representative of and analogous to a growing and developing tree.
Relationship to other models
This organic nature of how the data emerged, including emergent processes and patterns, made the theoretical model proposed by Gehman et al. (2013), at least at this point in time, insufficient for understanding, explaining, and interpreting the data.

Considering the work of Uhl-Bien and others, my theoretical framework gave rise to and supported the idea that leadership appears to operate as a co-process between leaders and followers. Values work emerging as values practices flowed across all interactions and relationships, but were of significant importance between the leader and followers. In particular, the interactional moments related to the special tools that constituted social contracts were of particular relevance to later instances of followers’ abilities to embrace power for themselves. Further investigation into the followership-leadership concept would help to inform and extend our current understanding of transformational leadership, especially as a co-process.

Values work emerged as values practices at and throughout all three levels: (a) artifacts, (b) espoused values, and (c) taken-for-granted assumptions, supporting Schein’s (2010) framework for conceiving of organizational culture. However, Schein’s model could not fully explain the interactional dynamics that took place between and among organizational members. This study’s findings support research by Hatch (1993), who suggests a model of cultural dynamics as an extension of Schein’s model for interpreting and discussing organizational culture.
The Competing Values Framework (CFV) and its similar CVF Practices Model, each take a different approach to understanding culture. Specifically, these models rely on diagnosing leader and follower feedback through surveys, then using the results to help leaders and followers “understand” their current culture and their idealized future culture as a way to collectively plan for change (using tools and practices). In the end, the emergence of my theoretical model did not rely directly on any of the CVF constructs. It would be interesting to see if additional studies, including at Tasty, revealed correlations between this study’s theoretical model and the CVF models, in particular the extended model inclusive of diagnosing culture to recommend sets of practices for later improvement or change.
Chapter 6: Implications and Reflection

“The thoughts that come often unsought, and, as it were, drop into the mind, are commonly the most valuable of any we have.”
——John Locke 1699

Introduction
I began this study wondering about the role of values as emergent values practices relative to transformational leadership, organizational culture, and performance. In particular, I was interested in the role this process played—before, during and after—in a successfully implemented change initiative, followed by exceptional and dramatic positive changes in organizational performance. I pursued my wonderment by conducting an in-depth investigation into an exemplar case, Tasty Catering. I relied on multiple data sources including semi-structured interviews using an appreciative inquiry approach (see Appendix G for a sample of one complete interview) to trace Tasty’s transition through its transformational culture change, while taking into account the study’s time-period of focus (2005 to 2013) within the context of Tasty’s longer historical evolution (see Appendix H for photographs).

Limitations
This study has several limitations to keep in mind when interpreting the results and the proposed theoretical model. First, this study is of a single case that looked at only one company and how values work as emergent values practices emerged from its unique culture during a particular period in time. In this regard, the results are not generalizable to other cases or organizations. However, Yin reminds us that case
studies “like experiments, are generalizable to theoretical propositions and to populations or universes” (2009, p. 15). Further, when the intent is to gain a deep understanding of a process, it can be used to “expand and generalize theories (analytic generalization) and not to enumerate frequencies” (p 15). In this light, findings from this case may be helpful in future studies focused on investigating the interactional dynamics between leaders and followers before, during and after an intentional change initiative.

Second, as the researcher, I could not avoid in total the possibility of introducing bias that could have influenced the findings. However, I carefully designed and followed a research approach and methods to minimize this possibility.

Finally, this study investigated the interactions and relationships between people, in part, by looking deeply into their recounted stories of interactions and events that happened in the past. This created the possibility of participant bias, especially impression bias, as well as for participants to recall their stories differently from how they actually occurred. While there is no way to control for what people share as remembered, this study considered stories told about past events as true representations of the story-teller’s reality, and therefore, rich and valid data.

**Implications for Future Research**
This study has several implications for future research. First, it reveals that we need to know more about the interactions between leaders and followers at points leading up
to and after a change effort, especially interactions from a followers’ perspective.

Second, while the model theorizes values work as emergent values practices as the most important driver of transformational change, some other hidden force or process (or set of processes) might be playing a greater role. Third, I proposed that acts of humility are required to overcome my theorized double-bind, which I assume to exist within all relationships and communications patterns, but especially in those where power exists by virtue of positional and role authority. Further research into these conceptualizations of power and humility, and the interactional dynamics between them, would be needed to see if my theorized process occurs in other organizations or settings where power-exchanges take place. Such research might help uncover new ways of understanding and explaining power shifts and the role of humility and their respective roles in the creation of healthier, more generative organizational cultures.

Fourth, my theoretical model contemplates the presence of trust and forgiveness, as well as truth, justice, dignity, and freedom, yet still in very embryonic forms. Additional research would be needed to extend and develop these constructs while uncovering and exploring their underlying roles in the values work emerging as values practices process. Similarly, time and space constraints precluded a more fully developed discussion and explanation of some of the related theoretical concepts that surfaced late in the study. These include predispositional theory and indeterminism (Katsenelinboigen, 1997), the phenomenon of perception (Merleau-Ponty, 1996), and
the role of networks of conversations and agreements between actors, as contemplated by Ford (1999).

Finally, beyond values work as emergent values practices, this study was limited in its ability to explore other phenomenon that might also explain the dramatic and exceptional change in this organization’s performance following a change initiative. Some of these include processes by which organizations experience flourishing and well-being, the role of positive organizational practices in changing organizational culture, and the roles of social and emotional development as they relate to values-driven leadership and organizational performance.

**Personal Reflections**

This research culminates three long and arduous years of an amazing journey through an innovative and unique doctoral program. The process has been personally transformational from start to finish, but this final challenge—the dissertation process—feels like the most transformational of all.

The one new learning that keeps surfacing from inside me is that every journey of exploration begets another journey, punctuated by moments of the “aha!,” but mostly intertwined with slowly building abstractions that somehow take hold. I am inspired to plan the longitudinal study, especially as there are still several undeveloped concepts that emerged in the model vying for my consideration.
I also contemplate what the next big journey might be, while the ever-constant beckoning of shorter explorations rise up for my attention. The book I happened across and now have time to read; that journal article that so caught my attention, but did not quite relate to my study; or the philosopher from long ago whose works call out once more…
Appendix A: Return on Values—Overview

Background
Since September 2012, we, the Center for Values-Driven Leadership (CVDL) at Benedictine University (Chicago), have been working with the Center for Positive Organizations at the University of Michigan and the Small Giants Community, a group of sustainable-growth entrepreneurs in the US (headquartered in Dallas, Texas), on a research initiative called the Return on Values Project (ROV). ROV explores the question, “What is the link between culture and profit in small and mid-size businesses?” More specifically, “What are principles, practices, processes, values, beliefs, systems, structures, relationships, behaviors, approaches to leadership, management, employee engagement, customer relations, innovation, market orientation, finance, metrics, etc. that define the cultures of sustainable growth companies and drive top and bottom-line growth over time?”

The ROV project is a three-year (September 2012-August 2015), research initiative. The research team consists of faculty, staff, and doctoral students at Benedictine University and the University of Michigan and members of the Small Giants Community, all working on the project part-time.

The target population for the ROV project is privately-owned entrepreneurial firms in the US that have been in business for more than five years, have annual revenues of $2.5-$500MM, and have 10-1000 employees. We define sustainable-growth companies as those with consistent industry-average or above profitability and growth over five years or more. The target population includes a diversity of company size, age, location, and type of business.

To answer our research questions, we are taking a mixed-methods approach, using a quantitative assessment instrument with a large population of companies and doing qualitative deep dive case studies with 30 exemplars. To date, on the quantitative side, we have created a longitudinal assessment instrument that measures a range of organizational culture dimensions as the independent variables and relates them to top and bottom line growth over time as the dependent variables. This assessment instrument will go out to about 28,000 companies in three rounds over the next two years (June 2014, February 2015, and October 2015). We are currently in the process of pilot testing the instrument and plan to have the pilot test completed by the end of April, 2014.

On the qualitative side, we have completed 7 deep dive case studies of people-centered, sustainable-growth entrepreneurial firms and plan to conduct 23 more in the next two years. The first 7 companies were selected as exemplars through a referral process by industry experts and members of the Small Giants Community. Most of the rest of the exemplars will be selected based on scoring high on both the culture...
and growth indicators on the assessment instrument. The purpose of the deep dives is to get inside the companies to study the principles, practices, processes, systems, structures, etc., they use to build and maintain their cultures and drive profitable growth.

In addition to using evidence-based research to clarify the relationship between culture and profit, we are producing resources that are useful for both scholars and practitioners. On the scholarly side, these include Ph.D. dissertations, journal articles, books, case studies, validated assessment instruments, and curricular resources for business schools. On the practitioner side, they include videos, eBooks, blog posts, a variety of online “quick-hit” assessments and interactives, social media, online training curricula, consulting offerings, and “sticky” community building activities that bring “high-culture,” sustainable-growth entrepreneurs together over time to build relationships and learn from one another.

Based on the 7 deep dive visits to-date, we have produced the online assessment instrument, 28 video cases along with tip sheets, 10 blog posts, two in-depth written case studies, and 12 scheduled or completed academic and practitioner conference presentations. Six doctoral dissertations and three journal articles are also currently underway. Click here to see our featured companies, blogs, and videos.

**Initial findings of the Return on Values Project**
To-date, we have identified 10 key ingredients to building people-centered, sustainable-growth companies. We plan to create training modules that integrate these 10 key ingredients with traditional entrepreneurial training; the modules are designed to be delivered using a combination of face-to-face and online offerings. The 10 ingredients are (1) connecting the organization to a higher purpose; (2) embedding core values into decision-making processes; (3) hiring and firing for culture fit; (4) continuous training for culture, skills, and leadership; (5) high-quality performance feedback, coaching, and mentoring; (6) measuring and taking action on employee engagement scores; (7) a robust system that rewards and recognizes cultural alignment and performance; (8) systems to provide exceptional market and customer orientation; (9) strong innovation drivers; and (10) sustainable financial strategies.

Our current research indicates that companies who maintain a strong focus on these 10 ingredients can expect a greater level of entrepreneurial success than those who are less focused on people, culture and values.
## Appendix B: Participant Roles and Positions

### Table B1. Participants’ Position, Role, and Years Employed

<table>
<thead>
<tr>
<th>Self-Described Position</th>
<th>Self-Described Role</th>
<th>Years Employed</th>
</tr>
</thead>
<tbody>
<tr>
<td>Account Executive</td>
<td>Responsible for sales; customer satisfaction.</td>
<td>2 years (at interview)</td>
</tr>
<tr>
<td>Chief Culture Officer</td>
<td>Responsible for managing the culture; removing disrupters, maintaining communication, relationships and emotional involvement.</td>
<td>30 years (owner)</td>
</tr>
<tr>
<td>CEO of Nuphoriq*</td>
<td>In charge of the marketing department.</td>
<td>7 years (Marketing)</td>
</tr>
<tr>
<td>Multiple positions</td>
<td>Part-time, summer picnic server, worked events, driving and deliveries.</td>
<td>7 years (various)</td>
</tr>
<tr>
<td>Chief Financial Officer</td>
<td>Responsible for watching over finances, business development; driving the ship in the right direction (hitting department budgets).</td>
<td>8 years (as CFO)</td>
</tr>
<tr>
<td>Multiple positions</td>
<td>Part-time, working way up through the ranks (washing dishes, driving trucks, running picnics).</td>
<td>10 years (as various)</td>
</tr>
<tr>
<td>Chief Operating Office</td>
<td>Responsible for logistics, responsible for: drivers, operations for special events; warehouse, and culinary team.</td>
<td>24 years (owner)</td>
</tr>
<tr>
<td>Chief Procurement Officer</td>
<td>Responsible for negotiating pricing with vendors, weekly purchasing, finding best quality products and best values.</td>
<td>24 years (owner)</td>
</tr>
<tr>
<td>Director of Communications</td>
<td>Responsible for internal and external communications, including employee surveys.</td>
<td>3 years (as DOC)</td>
</tr>
<tr>
<td>Director of Logistics</td>
<td>Started as assistant and moved into Manager then Director of Logistics role.</td>
<td>4 years (various)</td>
</tr>
<tr>
<td>Director of Key Accounts</td>
<td>Responsible for (“my ultimate circle of discipline is”) bringing in sales and new business development and profitable business events.</td>
<td>18 years</td>
</tr>
<tr>
<td>Director of Operations</td>
<td>In charge of operations department; scheduling; event planning.</td>
<td>21 years</td>
</tr>
<tr>
<td>Driver</td>
<td>Responsible for delivering, setting-up, and pick-up for clients’ orders and events.</td>
<td>7 months</td>
</tr>
</tbody>
</table>
Appendix C: Interview Protocol

Return on Values (ROV) Questions for [Company Name]

What Attracted You to [Company Name]?
To begin, I’d like to learn a bit about your personal story. Think back to when you first decided to join the [Company Name], what attracted you? What were your initial excitement and impressions? What do you find most meaningful, valuable, challenging, and exciting about your work?

High Point Experience
During your time with [Company Name], I’m sure you’ve had some ups and downs, some peaks and valleys, some high points and low points. I’d like you to reflect for a moment on a high point experience, a time when you felt most alive, most engaged, most proud of your involvement…tell the story. What happened? Who was involved? What brought it about? What role did you play? Why was it significant to you? How is this unique in the sense of being different from other companies you’ve been involved with?

Possible Probes: What made the experience possible?
What was it about you that made it a great experience (e.g., your skills, values, commitments, relationships)? Who were significant others and what was it about them that made it a high point? What was it about [Company Name] as an organization that made the experience possible? What were some of the twists and turns in your story? For example, what was the biggest obstacle or challenge? How did you or others overcome any obstacles or challenges? What resources and strengths did you or others draw on to get through the rough spots?

Positive Impact
Consider for a moment the impact of this experience on you as an individual, on [Company Name], and on others such as coworkers, customers, your local community or society. How do you personally measure the impact of the experience? How would you describe the tangible impact of this experience on others? How would you describe its impact on [Company Name] as an organization? Have you seen any financial, cultural, or social indicators of impact?

Motivation and Purpose
Nearly every action or activity is motivated by a philosophy or set of beliefs about what is right and good. What were the motivations behind the experience you just described? What values, beliefs, or assumptions about people, business, organizations, and society were fundamental to the actions and activities in your story? What do you think were the motivations of others? Where the decision makers
at [Company Name] involved? If so, what do you think were their motivations? Were there specific events or actions that are indicators of their motivations?

**Valuing**
Taking into consideration the whole picture, what do you value most about [Company Name] as an organization? Can you give some examples? What is the core factor that gives life, health, and vitality to your organization (without it the organization would cease to exist)?

**Lessons Learned**
Think about the lessons you have gained from the story. What do you think others can learn about building a great company from your story? What message would send to people who are inclined to build a business like [Company Name]?

**Images of the Future**
Imagine that tonight you fall into a deep relaxing sleep, and you don’t wake up until the year 2015. When you awake, you see that a miracle has occurred. Major changes have taken place, and [Company Name] has become everything you ever hoped it could be. You can truly say, without reservation, that this is the organization of your dreams. What do you see? What does it look like? What’s going on around you? What’s happening that’s new and different? What do you see in terms of purpose, values, systems, people, ways of working, fiscal performance, others?
Appendix D: Coding Protocol and Process

This appendix section contains two samples of Return on Values (ROV) research team meeting agenda, which depict the protocol and process used for coding.

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Agenda for ROV Research Team Meeting

Benedictine University
April 8, 2013

Pre-Meeting Preparation

1. Read and code the Jo Jackson interview (attached) in hard copy by using a highlighter; circling key themes, ideas, and stories with a pen or pencil; writing notes in the margins; etc. Bring the coded transcript in hard copy with you to the meeting.
2. Remember as you code, the research question we are trying to answer is: What is the link between culture and profit? In other words: What are all the key principles, practices, processes, values, beliefs, systems, structures, relationships, behaviors, approaches to leadership and management, approaches to innovation and finance, metrics, etc. that define their (IPM’s) culture and drive top- and bottom-line growth over time?
3. Create a list of your key themes from the Jo Jackson interview on a separate sheet of 8 ½ x 11 paper and bring 12 copies of it to the meeting for distribution to the other members of the research team.
4. Page through and familiarize yourself with Dave’s Beryl coding documents (attached) and Shannon’s Beryl and IPM coding documents (attached). Barb’s to come.
5. Review aggregate project codes (attached).
6. Read through the ROV draft survey (attached).

Agenda for the Meeting

7:45-8:00  Continental Breakfast
8:00-9:00  ROV Update
   • Survey (8:00-8:15) – Kevin
   • Deep Dives (8:15-8:30) – Jim
   • Communications/Videos (8:30-8:45) – Amber
   • Dissertations (8:45-9:00) – Jim
9:00-9:30  Overview of Dedoose and the Aggregate Project Codes – Kevin
9:30-9:45  Break
9:45-10:45 Discuss Jo Jackson Coding
10:45-11:30 Dave, Shannon, and Barb share their work
11:30-12:00 Lunch
12:00-1:30 Agree on collective coding scheme and approach
1:30-2:00 Misc, wrap-up, next steps

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# Agenda for ROV Research Team Meeting

Benedictine University  
May 13, 2013

## Pre-Meeting Preparation

1. **The Key Question is:** What is the link between culture and profit? More deeply, what are all the principles, practices, processes, values, beliefs, systems, structures, relationships, behaviors, approaches to leadership and management, innovation and finance, metrics, etc. that define a company’s culture and drive top and bottom line growth over time?
2. **Prior to the meeting,** the student researchers should code the transcripts assigned to them in vivo and first order inside Dedoose. Coding should be to the Key Question.
3. **Outside of Dedoose** each student researcher should begin to build 2nd order code structure. This should also be done prior to arrival on Monday.
4. **During the meeting Monday we will,** as a group, formalize second order coding structure to be used inside Dedoose.
5. **During the meeting we should finalize descriptors to be used in Dedoose.** Prior to Monday, please compile a list of descriptors that you think should be used in Dedoose.

## Agenda for the Meeting

<table>
<thead>
<tr>
<th>Time</th>
<th>Activity</th>
</tr>
</thead>
<tbody>
<tr>
<td>7:45-8:00</td>
<td>Continental Breakfast</td>
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<td>8:00-8:45</td>
<td>ROV Update</td>
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<tr>
<td></td>
<td>- Survey (8:00-8:10) – Kevin</td>
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<tr>
<td></td>
<td>- Deep Dives (8:10-8:15) – Jim</td>
</tr>
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<td>- Communications/Videos (8:15-8:30) – Amber</td>
</tr>
<tr>
<td></td>
<td>- Dissertations (8:30-8:45) – Jim</td>
</tr>
<tr>
<td>8:45-9:30</td>
<td>Begin share coding process and code structures – All</td>
</tr>
<tr>
<td>9:30-9:45</td>
<td>Break</td>
</tr>
<tr>
<td>9:45-12:00</td>
<td>Continue sharing coding process and structures – All</td>
</tr>
<tr>
<td>12:00-12:30</td>
<td>Lunch</td>
</tr>
<tr>
<td>12:30-2:30</td>
<td>Agree on collective coding scheme and approach – All</td>
</tr>
<tr>
<td>2:30-2:45</td>
<td>Break</td>
</tr>
<tr>
<td>2:45-3:30</td>
<td>Finalize descriptors to be used in Dedoose – Kevin</td>
</tr>
<tr>
<td>3:30-4:00</td>
<td>Misc, wrap-up, next steps</td>
</tr>
</tbody>
</table>
Appendix E: Tools and Practices

Some of the main tools used by Tasty to change and transform its culture included those items listed below.

1. Good to Great book (Collins, 2001). Tasty used this book to introduce the concepts of culture change to all employees and also used it as a resource for introducing other tools they would also incorporate.

2. Core Values (created by employee teams and Good to Great Council).
   #1 always moral, ethical & legal
   #2 treat all with respect
   #3 quality in everything we do
   #4 high service standards
   #5 competitiveness: strong determination to be the best
   #6 an enduring culture of individual discipline
   #7 freedom and responsibility within the culture of individual discipline

3. Core Purpose: To experience the thrill of success through teamwork, innovation and community involvement.

4. Big Hairy Audacious Goal (BHAG): To build a great, enduring company with the most recognized and respected brands in our industry.

5. Vivid Description: We will enrich our employees and create loyal customers through strategic planning and profitable growth.

6. Hedgehog Concept: (a) best in the world corporate catering, (b) deeply passionate about growth, and (c) drives economic engine-profit. If it does not fit in one of these three circles, Tasty will not do it.

7. Good to Great Council (GGC). Meets monthly. Consists of representatives from each team (department), sometimes two reps attend as newer employees (or those that have never participated) learn how the GGC works by participating.

8. Department Teams. Each department is its own team with a representative on the GGC (which rotates), and also, its own scribe who records team meeting notes for sharing them with other teams.

9. Huddles. The entire company stops for 30 minutes every Wednesday and gathers in the cafeteria to review and share progress towards measurable targets.
10. Open Book (radical transparency). Each Team has its own budgets and assigned line items showing profit and loss (by item). Everyone in the entire company knows exactly where they stand relative to sales, costs and profit targets, including how they did the prior month, how they are doing in the current month, and projections for the coming month.

11. Great Game of Business. Teams created their own motivational games for hitting projected target, including rewards. They compete against themselves and against other teams.

12. I Am Somebody. This is a poem, written in the 1950s by Reverend William Holmes Borders, Sr. (1905-1993), Senior Pastor at Wheat Street Baptist Church and civil rights activist in Atlanta where he campaigned for civil rights and distinguished himself as a charismatic spokesperson for the city's poor and dispossessed. This poem represents the core of Tasty’s employee engagement approach.

I am somebody. I am somebody.
I may be poor, but I am somebody.
I may be young, but I am somebody.
I may be on welfare, but I am somebody.
I may be small, but I am somebody.
I may make a mistake, but I am somebody.
My clothes are different. My face Is different. My hair is different.
But I am somebody.
I am black, brown, white. I speak a different language.
But I must be respected, protected, never rejected.
I am God's child.
I am Somebody!

13. Circle of Discipline. The social contract that is created by each employee with their supervisor and others, which lays out what they will be responsible for within a circle of discipline. This can change over time as their role may change but never changes without employee involvement. Usually, it is the employee who is guiding this social contract and any future changes.
Appendix F: Employee Engagement—Kantian Rights and Maslow

The information below shows what guides Tasty’s employee engagement approach. Employees receive this information during the one mandatory class all new employees must take—Tasty’s Culture— which Tasty’s founder and Chief Culture Officer (CCO), Tom Walter, still teaches. The first section, Leadership Ethics, shows Tom’s interpretation of Kantian rights. The second section shows what Tom shares with employees relative to Maslow’s hierarchy of needs.

Section 1. Leadership Ethics and Immanuel Kant

Leadership Ethics
Immanuel Kant

The RIGHTS approach evolved from the work of 18th century philosopher Immanuel Kant whose ethical question asked whether or not an action respected the moral rights of everyone. Actions are wrong (or unethical) if they violate the rights of the individual.

Kant recognized four “rights”:

1. The right to be told the truth.

2. The rights of privacy – to do, believe and say whatever the individual chooses in their personal lives as long as they do not violate the rights of others.

3. The right not to be injured unless the individual does something freely and knowingly that deserves punishment or freely chooses to take risks of such injury. Injury can be physical, psychological, financial or social.

4. The right to do what is agreed upon through an implied (such as a social) or explicit contract (written).

In this approach to ethics, the focus is more on the personal actions and how they would influence a specific individual.
Section 2. Maslow’s Hierarchy of Needs

Abraham Maslow developed a theory of personality that has influenced a number of different fields, including education. This wide influence is due in part to the high level of practicality of Maslow's theory. This theory accurately describes many realities of personal experiences. Many people find they can understand what Maslow says. They can recognize some features of their experience or behavior which is true and identifiable but which they have never put into words.

Maslow is a humanistic psychologist. Humanists do not believe that human beings are pushed and pulled by mechanical forces, either of stimuli and reinforcements (behaviorism) or of unconscious instinctual impulses (psychoanalysis). Humanists focus upon potentials. They believe that humans strive for an upper level of capabilities. Humans seek the frontiers of creativity, the highest reaches of consciousness and wisdom. This has been labeled "fully functioning person", "healthy personality", or as Maslow calls this level, "self-actualizing person."

Maslow has set up a hierarchic theory of needs. All of his basic needs are instinctoid, equivalent of instincts in animals. Humans start with a very weak disposition that is then fashioned fully as the person grows. If the environment is right, people will grow straight and beautiful, actualizing the potentials they have inherited. If the environment is not "right" (and mostly it is not) they will not grow tall and straight and beautiful.

Maslow has set up a hierarchy of five levels of basic needs. Beyond these needs, higher levels of needs exist. These include needs for understanding, esthetic appreciation and purely spiritual needs. In the levels of the five basic needs, the person does not feel the second need until the demands of the first have been satisfied, nor the third until the second has been satisfied, and so on. Maslow's basic needs are as follows:

**Physiological Needs**
- These are biological needs. They consist of needs for oxygen, food, water, and a relatively constant body temperature. They are the strongest needs because if a person were deprived of all needs, the physiological ones would come first in the person's search for satisfaction.

**Safety Needs**
- When all physiological needs are satisfied and are no longer controlling thoughts and behaviors, the needs for security can become active. Adults have little awareness of their security needs except in times of emergency or periods of disorganization in the social structure (such as widespread rioting). Children often display the signs of insecurity and the need to be safe.

**Needs of Love, Affection and Belongingness**
- When the needs for safety and for physiological well-being are satisfied, the next class of needs for love, affection and belongingness can emerge. Maslow states that people seek to overcome feelings of loneliness and alienation. This involves both giving and receiving love, affection and the sense of belonging.
Needs for Esteem

When the first three classes of needs are satisfied, the needs for esteem can become dominant. These involve needs for both self-esteem and for the esteem a person gets from others. Humans have a need for a stable, firmly based, high level of self-respect, and respect from others. When these needs are satisfied, the person feels self-confident and valuable as a person in the world. When these needs are frustrated, the person feels inferior, weak, helpless and worthless.

Needs for Self-Actualization

When all of the foregoing needs are satisfied, then and only then are the needs for self-actualization activated. Maslow describes self-actualization as a person's need to be and do that which the person was "born to do." "A musician must make music, an artist must paint, and a poet must write." These needs make themselves felt in signs of restlessness. The person feels on edge, tense, lacking something, in short, restless. If a person is hungry, unsafe, not loved or accepted, or lacking self-esteem, it is very easy to know what the person is restless about. It is not always clear what a person wants when there is a need for self-actualization.

The hierarchic theory is often represented as a pyramid, with the larger, lower levels representing the lower needs, and the upper point representing the need for self-actualization. Maslow believes that the only reason that people would not move well in direction of self-actualization is because of hindrances placed in their way by society. He states that education is one of these hindrances. He recommends ways education can switch from its usual person-stunting tactics to person-growing approaches. Maslow states that educators should respond to the potential an individual has for growing into a self-actualizing person of his/her own kind. Ten points that educators should address are listed:

1. We should teach people to be **authentic**, to be aware of their inner selves and to hear their inner-feeling voices.
2. We should teach people to **transcend their cultural conditioning** and become world citizens.
3. We should help people **discover their vocation in life**, their calling, fate or destiny. This is especially focused on finding the right career and the right mate.
4. We should teach people that **life is precious**, that there is joy to be experienced in life, and if people are open to seeing the good and joyous in all kinds of situations, it makes life worth living.
5. We must **accept the person** as he or she is and help the person learn their inner nature. From real knowledge of aptitudes and limitations we can know what to build upon, what potentials are really there.
6. We must see that the person's **basic needs are satisfied**. This includes safety, belongingness, and esteem needs.
7. We should **refreshen consciousness**, teaching the person to appreciate beauty and the other good things in nature and in living.
8. We should teach people that **controls are good**, and complete abandon is bad. It takes control to improve the quality of life in all areas.
9. We should teach people to transcend the trifling problems and **grapple with the serious problems in life**. These include the problems of injustice, of pain, suffering, and death.
10. We must teach people to be **good choosers**. They must be given practice in making good choices.
Appendix G: Example of a Complete Interview

The interview below is a full and exact transcription (as word-processed and received from the transcription service) for one of the 10 participants in the study. This actual sample should help the reader see how an interview flows from semi-structured questions that the lead investigator modifies depending on where participant answers lead.

JAMIE PRITSCHER-TASTY CATERING INTERVIEW

Q. 00:05 Okay Jamie. Just who you are, how long you’ve been here and kind of what your role is. And you can talk about your roles to if you want?

A. 00:14 I am Jamie Pritscher. I’ve been here since 2006—almost seven years now. When I stated here I actually started out as Larry Walter’s, one of the three brothers, assistant. He had no one really lined up in the succession plan for him so he needed help. So I was his assistant—just manager of logistics. Quickly Larry saw some potential in me and realized that he should maybe start working for me so he moved me into the director role and he actually started stepping back right away then and I took control of all of our logistics. So from the delivery schedule to our server schedules and it was something that only Larry had done for years and years. So I grew with that department in the Director of Logistics role til about 2010, and then we started a new company called Nuphoriq which is our marketing company and I decided to branch off a little bit into that. I still stay on as Director of Communications at Tasty Catering, so with that I take care of a lot of our internal communications and then of course all of our external communications and employee surveys, filling out for ___ and ensuring all the great stuff that happens inside Tasty Catering with the outside world. And that that’s where I am now.

Q. 1:32 So what was it that attracted you to come here in 2006? What was it that made you want to come here?

A. 1:43 In 2006 I heard that Tasty Catering had an opening. They had just moved into this building. They used to be in a smaller building down the street so I knew the company was in an impressive growth rate. And they actually grew I think forty percent the first year I was here so it was very cool to be a part of that. I had heard about them from friends who had worked here as servers. A lot of people who have worked here, you may have heard, grew up in the organization. They started when they were fifteen. They moved through the ranks. Kristin Banks in Corporate Sales is a great example. She’s been here since she was fifteen and now is the Director of Corporate Sales. So the reputation throughout the community of working
for them and the opportunities that were provided to people, I had heard that so when
the opportunity came along I figured…all right, this is a company that’s growing that
I want to work for, that there is really not a glass ceiling—I didn’t see one at the time
where I could start as someone’s assistant and maybe I can grow from there. Never
did I imagine that I would be where I am now owning other companies with them, but
there certainly wasn’t a glass ceiling.

Q. 2:49 Well since you brought that up, that’s what we want to focus on too
and we’ll come back to some other things, but you own a company now. Working
here ended up with you developing your own company with the support of Tasty
Catering. Tell me a bit about that? How’d that happen?

A. 3:09 Tasty Catering is very entrepreneurial so they’ve supported quite a few
ventures and spin off companies. I actually have two with the owners of Tasty
Catering. So we have the Tasty Family of Companies. The first one I started with
them in 2008, and That’s Caring—it’s an online eco-friendly gift basket company.
So all the spin off companies all come back to the root of Tasty. It’s something that
supplements services or products that we already have. So the gift basket company,
Tasty was doing corporate gifts but it made sense to have something and that was its
own stand-alone company because you can’t sell corporate gifts to say our tent
provider who’s then giving them to twenty other caterers in the area. You can’t give
a Tasty Catering gift to another caterer—major faux pas. So it made sense and it was
all in line to kind of spin it off into its own company. It was something that was
tossed around in meetings but I was also in grad school at the time and Tasty Catering
fortunately on paper had a grad school tuition reimbursement so I continued going
and I always thought that I owed it to them at least when I was coming back and
learning stuff to bring that back to the leadership team or right Tom, Larry and Kevin.
Here’s what I’m learning in school right now. So this is what you’re paying for,
because again I was going for an integrated marketing communications degree and I
was the Director of Logistics. There’s not like a huge connection there between
logistics and marketing but they knew that’s kind of where my passion was and where
I wanted to go and it was just something I wanted to continue to do. So they
supported that…

4:36 The business plan I wrote for That’s Caring actually came out of grad school.
So I had written that business plan and I decided-- do you all want to see it. I’ll
present it to you like I presented it in class if you have any interest. And so I don’t
know if they just--since I asked they wanted to say yes. That’s what I kind of figured
that it was a nicety type of thing. But really I walked out of that meeting—that
presentation with a check for a company because they saw the research was done,
they saw that I had been listening in every meeting when new had talked about the
basket department previously. So that was the first company we had started. Then
two years later Erin Walter and myself had started Nuphoriq. Tasty Catering had
been getting well known for its marketing. A lot of billboards on the highway. Got a lot of attention—some of the bad raps. Got a lot of attention. So people were asking what agency was taking care of the marketing or clients were just coming for help with venues. Other caterers—the catering community is very close knit so we had relationships with other caterers across the US and they would ask about how we were doing marketing so it kind of just seemed like this natural progression to allow our team to spin off. We also—side track a little—but we had a lot of interns that were servers. They were marketing interns and so they kind of moved throughout the company and they were all graduating at the same time. This was all coming together so we had five talented people in marketing and you can’t have five marketing people in catering marketing department. Way, way too many. Can’t afford that. So it seemed the way to keep the talent was to start another company and so that’s how you’d be able to pay for them. Now Tasty still gets all the talent they would want and for a fraction of the price.

Q. 6:30 So the incentive for the company then is to also expand its financial base to some extent? It’s an investor in these two companies? Is that correct?

A. 6:43 Absolutely. A great way for Tasty to do this is to fund it and fund the spin off companies and also takes away from the cost if it’s sold. So what marketing used to cost on the P&L five years ago because we all see it, it’s a fraction of the cost right now because now they’re sharing all this talent. They don’t have all the payroll contributions across other clients who are also using our team. Then it also helped out because Tasty purchased the building next door. Now the marketing company is paying rent back to that building. The other spin off companies also pay rent and utilities back to Tasty so the building that might have been only used Monday through Friday as primarily a corporate business is now being used on weekends and there’s other alternative revenue streams coming in for Tasty Catering so it all funds down to the bottom line and makes Tasty more profitable as well as growing the employees and making sure there is no glass ceiling for everybody else.

Q. 7:43 Yeah. Speak to that a bit cause that seems like another benefit on the financial, but it seems like it’s a strategy to employ the talents of talented people and let them grow and stretch beyond what maybe the confines of what Tasty is but still have them. What does that mean to people here that there’s that possibility?

A. 8:07 You don’t look at Tasty Catering just as a stand-alone. It has very low turnover within the company. People have been here for a long time. They’re gonna stay for a long time. Obviously it’s a great culture, benefits, great pay; people just want to work here. So if you look at that, there’s never room for people to move up if everyone’s staying in their positions and there’s a lot of younger staff at the time, where’s everyone gonna go? So the only way to really help everyone, and I think the owners saw it right always, is they have some great people working for them—great
ideas, but if I want to keep these people on my side and within my team I’m gonna have to find a spot for them to go otherwise they’re eventually gonna leave cause at the end of the day everyone here’s made of the same culture, we want to do good—I don’t know what I’m trying to say…everyone does what they do but they also need to feel fulfilled and if you can’t move up you’re only gonna feel fulfilled to a certain point. So Tasty knew they needed to help people to get to that next fulfillment point and they only way to do it was to really start other companies so now it’s almost like trading back and forth.

9:17 People know that there’s opportunities as one company grows, the first spots are always filled by internal people. It goes internally first. Anyone within the organization. And it might be hard. Recently corporate sales. We just decided from Nuphoriq, a girl who just graduated with a communications and marketing degree—she’s an integral part of the corporate sales team. She’s been there since she was eighteen and in high school, but Nuphoriq needed to hire and so we went to Tony and Tom and Walter brothers and said listen…we have an opening. We first want to open it to Karen but she’s one of your all-star people and it was a tough decision for them and they’ve just reorganized, but ultimately if they didn’t lose Karen now in this year, she just graduated with that marketing communications degree, a year or two later eventually she was going to go to do something in the field of study that she had just pursed. So it ended up working out and now we have Karen from corporate sales who will be joining our marketing team.

Q. 10:19 Can you tell me a bit about it is that you think is the key to success here? We touched around some things but if you had to tell somebody what’s the secret sauce here? What makes this place as successful and is fun to be at as it is? What would you tell them?

A. 10:36 What is the secret to success here? It’s really the people. And so what it comes down to, and you can say—the people—I mean we all live and die by our core values and our culture. It’s in us before we even had it stated down. Like I said, I started in 2006. It was before we have seven bullet points written down. And the people that were here already and live and die again by those core values. And so if you keep boiling it down I think that the secret to success is some really great owners. Tom, Larry, Kevin who set a really great example for everyone and have been visionaries throughout the process. I mean, how hard is that. I mean, as a business owner now, I look back at the opportunities they made me or some of the visions that they had and I’m thinking, okay it’s really hard for me to handle the projects sometimes with one person, let alone give someone I’ve known for a year a company and they did it and they invested in people’s future, so to have that as an example—to have their forethought and just be able to get in their minds as an example, they, I mean, they are—they’ve made this company successful and the way they’re passing it
down and helping other people be successful in their own career paths is really the key to success.

Q. 11:59 That’s a theme. Let’s go through with that. What are you taking away from here now that you have your company, okay, and what are you making sure that you are kind of trying to replicate or do or whatever that maybe existed here and now that you have your own company how are you using and doing that?

A. 12:29 A lot of the secrets of the sauce that we use in Nuphoriq are from Tasty. We’ve seen everything that’s worked here so our team, like the Tasty team, went through Good to Great, reading it, coming up with our core values. We knew culture was extremely important. Most of our—actually all of our people really came from Tasty so when we came up with our core values, I want to say five out of our seven mimicked Tasty’s, and then we had two additional that are more a little bit about creativity and freedom of expression as you would want from a marketing company, but at the base of that all our core values are form Tasty. Great Game of Business is another practice here at Tasty. We have our own Great Game of Business and financial transparency so every best practice that Tasty has transferred straight over to our other company. It’s also really nice to be in the Tasty family companies if you will—have built-in mentors and advisors so a lot of start-ups might have to go build their own boards. We have three experienced entrepreneurs as partners, Tom, Larry and Kevin. We also have—Tasty Catering has a board of advisors and consultants on the outside that we just have access to so PR consultants and benefit advisors, lawyers…whatever we need, all built in from Tasty. So it’s kind of like starting your own business but still be under your parents’ roof a little bit. And it makes it a lot easier to be able to call on someone who’s been there and done that and just walking up to their desk to ask a piece of advice and learn.

Q. 14:05 So let me see if I have it correct. You now have two businesses plus are you also working in Tasty as…do you have a foot still here, and can you talk about those different roles?

A. 14:22 Absolutely. So yes, I wear three different hats if you will—Director of Communication at Tasty; Co-Founder of Nuphoriq and then Founder at That’s Caring. Within Tasty as Director of Communication it’s really a lot focused on employees and employee engagement; working with Tom a real lot. That’s his baby. Tom is the Chief Culture Officer so he’s kind of the guiding ship on where we go and helping to make sure everything that he learns on the road or everything that’s in his head—all his visions are coming to light and being taught throughout the company. So whether it’s through our TC University that we taught the Good to Great book or…let’s see…what else do we do…we do a lot with employee surveys and then following up on communication so Tom really guides that ship and I’m kind of there to help with a lot of his communications there.
Q. 15:19 So then tell me that’s how you fit here. Tell me about your other two rules a little bit?

A. 15:26 So Tasty Catering is also one of Nuphoriq’s clients. They’re actually Nuphoriq’s biggest client to that point, and also from that communications/marketing side we’re doing everything for them, and of course Tasty gets the most—sorry to other clients—tender loving care just because they have a big piece of all of our hearts. But we do treat them in a sense like a normal client so they have set hours a month that we work for them, however, Erin and myself still sit on the leadership board and our team still eats lunch over here every day so it’ like we almost work for Tasty, just in a separate building now.

Q. 16:04 Well tell me a bit about how that business has expanded marketing so we get a sense of where you’ve gone. Tasty is still one of your clients but you have many others and you’re branching out and probably have some type of vision about how the company goes. Just say a little bit about that?

A. 16:23 Tasty Catering is again one of our main clients, but we realized and going out in marketing, so we first—when we tried it we just figured okay, we’re going to be a marketing company and we can do this. Maybe we’ll focus on caterers, maybe not. Whatever comes to us—whatever business we can get we’ll try. So after a brief stent trying something in the healthcare field and something else we realized well, we’re gonna be a miserable failure and I think that maybe Tom, Larry and Kevin again saw that but they knew there were some things we needed to learn for ourselves, and then quickly after we re-grouped we realized we can’t just be all over the place in what we’re going for marketing, let’s hone down on it, let’s really try and focus on this catering market. We got a ton of help from them and a ton of ideas. Larry’s part of Top Gun Caterers…the top fifty caterers across the US so when he’s going out talking to all these different people, he’s talking about Nuphoriq. He’s providing us connections that we would never have because Tasty is so respected and recognized in the industry across the US that they’re like our built-in kind of like little show pony so we can do everything great for Tasty, show all the results that we’ve had, and we know it inside and out, and we also know that we’re able to share all of Tasty’s results or we have Tom, Larry and Kevin again who are respected in the industry that if an owner of another company is going to be at their age at that level doesn’t want to trust a bunch of twenty, thirty-something’s to do their marketing, that they can go back to the guys who do it and they are a living, walking testimonials.

Q. 17:57 Well, I’m gonna give you the opportunity to boast a little bit here. What other markets is this marketing company in now? You’re focusing in the business like Tasty okay and that, but what other markets—where are you?
A. 18:12 Well what we really did was our markets that we had initially set out to focus on was to help small businesses. We wanted to help them with marketing without having to pay for big boutique firms and give them great stuff for start-up material. So it if was building their brand and building their website, we wanted to give a good value for your buck. If you go to a boutique marketing firm a lot of times you can’t get that. So it’s where we wanted to go but what we really realized was staying in the catering niche there’s a lot within the catering and events field, so it’s not just caterers. Its event planners. It could be florists. I could be entertainers. So the businesses that kind of surround the catering field is where we want to stay because again the end users are the same. We truly understand the target and I mean it’s great that we can also create networks or connections from. What we’re learning from a client in Boston we can share back some of the information with Tasty in Chicago and vice versa. So it’s really a lot more sustainable of a business model for us to stay that way, so that’s where we’re really focusing and not really going too much outside the market.

Q. 19:21 But I’ve heard thought that you’re now regional, but you’re doing stuff in Boston, you’re doing stuff in Atlanta, LA. Let’s get that on tape here?

A. 19:30 Yeah, so thanks again to Tasty with the nationally recognized brand we were able to get into clients in New York, Miami, Atlanta, Phoenix, San Diego, Berkley. We are just at a University of Berkley next week doing some catering work so we’re all across the board—all across the US That’s in fact our brag for Nuphoriq is to conquer brands in all fifty states. So I think we have about ten or eleven states right now. So maybe one day we’ll have a map covered with a client in every state.

Comment by Interviewer: 20:09 Let me open it and see if you guys have some questions.

Q. 20:16 I have a question regarding the culture here. What do you think the most central enduring qualities of Tasty and now of Nuphoriq care is?

A. 20:36 The most central quality, I mean it’s really that you have—under each company you have people that always want to do their best. I mean going back to the core values they have competitiveness, strong determination to be the best—so you’re surrounded by people that always want to do the best and are always doing what it is to get the job done and get the job done right. Not fast but right. I mean, during the holiday season at Tasty everyone pitches in so any company you work at, everybody works a holiday season at Tasty. The Nuphoriq team all worked as servers and I was going on a sixteen hour shift here probably with the operations department, and I can tell you for sixteen hours you’re darn tired but you have all these people around in the operations department who I was working with did not want to let down sales. So it
didn’t matter how tired you were, you had to keep the adrenaline going. You were
double checking everything. There was no taking short cuts because you owe it to the
other members of your team to make sure everything’s pulled off right. I think it’s
just that whole sense of camaraderie and mutual respect all the way throughout from
all team members that is the center of it all.

Q. 21:51 Kind of like a follow up on the first one and given a marketing type
question, if you were to look at Tasty again from an identity point of view by asking a
fundamental question, who are we? Who is Tasty? Who would you say?

A. 22:11 Who is Tasty. Well we actually joke about this. Tasty is a bunch of
people—passionate people who just kind of ended up serving food. So we find
ourselves to be a provider who’s just really good at customer service and we’re in the
catering industry. So that’s what—we’re all customer centric focused people who
find themselves in catering. And that’s why we’re able to really—that whole focus of
people and culture, whether it’s a client, or internally or externally—it makes it easy
to transfer over to all the different companies since we all have that focus.

Q. 23:01 With the seven values up here, is there one that resonates most with
you or do you catch yourself just automatically—oh that’s, we got to follow the two
here or…?

A. 23:19 I think the one that—the core value that always pops in my head the
most would probably be treat all with respect because every single interaction that
you have is about being respectful. And there’s different levels of respect and
making eye contact or listening to someone can be respect, but I think it’s also respect
on the follow through a lot of time. And no matter what, people get really busy and
now more than ever everyone’s wearing a million different hats trying to do
different—all different things, but it’s that respect factor that comes into play and at
the end of the day do I really want to go home at six thirty at night and I worked
twelve hours? Yeah, but I have respect that I know I have to get something back to a
team member so I’m always gonna get that done. And I think for other team
members too, that they think the same thing. They always just need to—respect is
always first and foremost the one that sticks out to me.

Q. 24:13 Can you think of a time and then tell the story either of when it was
violated and people were reminded of it, or you or somebody reminded you of it, or a
time where you felt like keeping that in mind changed the decision you would make?

A. 24:33 Treating all with respect. Definitely it has changed my mind before.
Again, just a simple thing—going home or not going home to get something done.
And it’s not respectful if I don’t do what I said I was going to do. I think one of the
best instances and it goes towards the leaders in this organization and them being
level five leaders, Tom, Larry and Kevin—each of them, have made human errors before not treating people with respect. I know I’ve done it several times. But Larry had a blow out after a very stressful weekend out on a picnic event and this was our biggest event of the year. People had been working long work weeks. He was probably on seventy hours cause he just wanted to make sure this event went perfectly. Well, the day of the event he was very tired and things go wrong behind the scenes cause that’s what’s going to happen and Larry’s a guy who’s get-her-done and fix it, and one point a server asked the wrong question, set him off and it was a little bit of a scene. There was probably forty to fifty staff members out there. Many of them witnessed it. Of course you have a lot of high school kids and college kids—rumors fly of what happened. But the biggest thing that changed it and changed everyone’s perception of him was that he could have let that just happen, and he had every right to be angry and fly off the handle in the situation, but was that treating people with respect? Absolutely not and it wasn’t living our core values. So huge public apology went out to all the serving staff, so people who didn’t even know about it knew about the situation and what happened. At lunch, Larry stood up and got up and publicly recognized the situation, apologized to everyone throughout it, and the person that he got into a little tiff with, if you will, he sent them flowers and a personal letter. So I think it’s just a whole reaction of treating people with respect. We all try. We all have human error. But I think you always kind of get a second chance to treat people with respect and the leaders of this organization show that.

Q. 26:50 On the other end of that, one of the things that we’re starting to study and look at is forgiveness. And it sounds like that happened there too, is that correct?

A. 26:59 Absolutely. It all comes—Good to Great is our big culture here and so there’s confronting the brutal facts is always part of it so confront the brutal fact that someone blew up at someone, it’s gonna happen, again it’s human nature, there is no--as much as you’d like it to be utopia or perfect or we have these core values set on the walls, things do happen. No one’s perfect. But it’s how you handle the situation and are you going to lead by example and are you going to admit fault and guess what—you’re only human and he showed that.

Q. 27:33 But on the other side too they forgave Larry for doing that?

A. 27:37 Absolutely. They forgave Larry to doing it because they—again, it goes to everyone’s human and so they know next time if they make a mistake, it’s a heck of a lot better to publicly acknowledge it, apologize to the person who you may have hurt their feelings and not that it’s accepted because it’s not gonna be accepted to yell at someone or not treat them with respect, but it is accepted that it happened and how you deal with the situation and acknowledge it makes a huge difference.
Q. 28:14 With these core values, just wondering why do you practice them? Do you practice them because with the view that you’re going to be getting something in return, meaning better performance from a organizational point of view? Or do you practice them just because you practice them?

A. 28:36 I think we practice these core values, I mean, from the high level view it does of course help with better performance, profitability, everyone knows the expectations. I think just on an employee on a surface level I practice them because again I want to be treated with respect like one else is. I want to--I’m gonna have high customer service standards so I expect the person next to me to have high customer service standards. So from the employee level we all practice it because we believe in them and we want the next person on the team to do it. Ops is going to have the highest customer service standards because they know sales sold it and sales is going to do that for Ops and so everything written down because everyone wants to do for each other cause there’s the expectation set forth and we all want to live up to them for ourselves and for each other and then again just going high level absolutely when people follow all of our core values it has flat out resulted in bottom line results, performance—I mean people perform at their peak and then that’s also—it all goes to together. It’s given us plenty of people to move off into other companies, to start different ventures, to start new divisions because they’re performing at their peak.

Q. 30:00 One of the things we’re trying to drill down on is the relationship between these cultures that you create of engagement and respect and financial performance, okay. You now have a couple of business and Tasty and stuff. As comfortable as you can, can you help us understand how this may translate from your prospective how successful have you been financially? Is there a way that you can characterize that in your various businesses and since you believe that it has a lot to do with your practices and your core values?

A. 30:37 How successful we’ve been financially. I mean, within Nuphoriq we’ve been able to be in our third year and we’ll be able to turn a profit. That’s pretty good for a start-up company, moving into new buildings, a lot of equipment, new bodies to do a growth spurt, and I think without being able to teach every single one of our employees the importance of a P&L just like Tasty has done, I mean we were able to do everything that Tasty’s done and on an accelerated plan. So we’re able to teach our employees what Tasty took six years to teach their employees because we know how they taught it to them and we’re gonna teach it the right way the first time. They—Tasty was kind of a guinea pig for a lot of these companies and they had to go through growing pains, and again now we get to just capture the best practices and what works for them and take it. So what took them seven years to achieve profitable growth is going to take a new company two.
Q. 31:49 (Student Researcher) I’m just intrigued because of the prior meeting and a question that I asked earlier of Tom I think—maybe it was Jim. I’m curious about the processes that you articulated around the table as team leaders and then they’re not documented on paper and I was pleasantly thrilled and amazed and happy for that because if those transformation here of culture seem to occur around 2006 when the owners started this journey and you’re this far down the line, it just—everything we’ve heard is so amazing, but there’s not a book somewhere which what normally someone from management like wants to see, or from government or even from academia might want to see what are these documented processes. Just wonder if you could talk a little bit about your own thinking on the concept of process and procedures you helped bring Nuphoriq into being and then your online gift store. I spent a lot of time on the web looking at those things and I thought well this can’t happen without structure I’m thinking—this can’t happen without structure, processes or this shift from here to there. How do you take that culture and shift it and be successful and seemingly not get caught up in the red tape nightmare?

A. 33:33 Processed—whole thing. So with Tasty Catering it’s a process driven company when it comes to down to it—you hear everything—there’s a process for everything. I’m sure everyone will tell you that. But not necessarily the processes are written down. There’s a lot in communication and human exchange and more like passing stories down from generation to generation. Good and bad. It forces communication so no one’s is thrown an employee manual to read and say okay, you’ve read it, now you understand how to make a deliver because you’ve read it on paper. Well no, you need to see things. You need to experience things. With everyone who really starts in Tasty you go to every single department to work and learn. So when I started here the first month since I was going to be in the Logistics Department I went on deliveries for two weeks at a time, then I went on events for two weeks at a time, then I sat in the sales department to understand that, and so our processes might be a little bit informal in that they’re not written down, but it’s formalized I guess the way that we do it. And that’s to make sure a new person or different people understand each department and the humanization behind the department.

34:46 So the people in sales and when you’re working with sales you can see how passionate they are, or in delivery. You actually understand that it is really hard sometimes to get from one building to the next in fifteen minutes, through the elevators, without sweating and looking like a mess and putting delivery down in a corporate board meeting where the CEO and CFO are presenting stuff. You have a respect and you can’t get that on a piece of paper. It’s a little bit about processes and taking that into the other companies; again the processes are informal but formal. Larry in operations who I worked with forever is a very process driven guy so for That’s Caring to start, it was him and I going back and forth. Okay. We know that if an order comes in what happens after the order comes in? And so he took me through
again the steps for how it might be done in catering but it’s a little different with a gift basket sales that’s getting sent out by UPS. But together we formalized that process so everything in Tasty again gives it a basis for the other companies so you’re like catering transfers over to so many other industries because there’s so many different aspects to it, just like there is in any other company.

Q. 36:16 Is there anything that you want to tell us that we haven’t asked so far about that’s important to know, about your experience here and that is important in terms of the keys to your being so successful?

A. 36:37 I think the support system that’s built into Tasty, again from the leaders setting the example but all the way throughout—co-workers. There’s a couple examples. I was going to school at night for a graduate degree, working full time. In the summer that’s a lot. It was our busiest season at the time and we were working fifty hour weeks and then you have homework and then you have to get to class on time and you’re always on from one thing to the next to the next. And it started out as simple as Larry Walter, he knew that I had very little time to get to school in between class and he made me a box lunch. Having dinner made for you when you’re going from place to place made the biggest difference in the world. I didn’t have to worry about it. I didn’t have to think about it. And after him doing that for two weeks, before he would even get to the kitchen Alfredo then knew that Larry was making me a box lunch for a class every night and that was done. And so it’s a silly little thing as a box lunch but it really made all the difference in the world and there’s so many instances of that throughout the organization and there’s little things that we all do for each other and I think something’s that undocumented but it helps everyone thrive and succeed and pay back the organization and just want to do better.

Q. 37:56 So what is it mean to you to work here?

A. 38:00 It means to be part of a really special family I would say. I really look at everyone who I work with as part of my family, and there are people you never want to let down and love coming to work every day and you have friends and family that are in unhappy places and they think you’re crazy or might say…you work too much. I look at them and say…listen, I do what I love every day with a bunch of people I love to work with so yeah I’m excited to go to work every day and be there and I’m gonna spend a lot of time on it because I know if I spend time I’m gonna be able to make all these other people successful and I guess right now I the position I’ve been given from the Walter brothers, they believed in me. They’ve given all the tools, all the support they really can at this point for us to be successful in our own company and now I can’t wait to pay that forward to someone else. So looking at our employees and they have ideas and how can we keep this momentum going and
paying it forward because I think I owe it to them to be successful and then also owe it to them to take what their vision is and make all of our employees successful.

Q. 39:15 Would you just read or recite the seven values?

Comment by Jamie: 39:19 Without looking?

Comment by interviewer: 39:20 It’s okay to look. You can take a look and then come back. We might end up with a theme around the values. And I think that it would be fun to have a video where we had one person saying each one and so it doesn’t matter…

Comment by interviewer: 39:35 Like kind of happened here.

A. 39:35 Oh that’s right before every meeting. All right. Always moral, ethical and legal; treat all with respect; quality in everything we do; high customer service standards, competitiveness; strong determination to be the best; freedom and responsibility within the culture of individual discipline; an enduring culture of individual discipline.

Q. 39:58 And what are your two that are different for your company?

A. 40:01 We do not have high service standards. We have replaced with foster creativity, and then we also switched out—it’s like a quiz and I should know this too, and we just read ours this morning, cause we read ours before every meeting. We’re always switching back and forth between them. Couldn’t tell you but I can get you a copy of it.

Comment by Interviewer: Well thank you very much.

Comment by Jamie: Thank you. It was great.

Comment by Interviewer: Thank you. I hope it wasn’t too stressful.
Appendix H: Photographs of Tasty’s Growth

This section contains photographs from Tasty’s evolution as it went from a single hot dog stand owned solely by Tom Walter (Tasty Pup), to Tasty Catering.

Figure H1. Tasty Pup—Original Hot Dog Stand owned by Tom Walter

Figure H2. Tasty Dawg—First Restaurant Co-Owned by the Walter Brothers
Figure H3. Tasty Catering—First Stand Alone Location

Figure H4. Walter Brothers (left to right: Tom, Kevin, and Larry)
Figure H5. Current Tasty Catering—Culinary Class in part of the Kitchen

Figure H6. Winning Company Workforce Chicago, 2012
References


