Research Note 84-130

ANALYSIS OF THE IMPACT OF THE U.S. ARMY PROGRAM OF

ORGANIZATIONAL EFFECTIVENESS

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This report describes research conducted to assess the impact of the Army's Organizational Effectiveness (OE) program on the Army. The researchers interviewed Users (Commanders), OE Consultants, and others who had participated in 35 selected OE operations. Results indicated that the most successful operations are those interfacing interpersonal or intergroup processes with technological processes or issues but which do not require outside resources or support. True macro-level operations are very difficult to implement successfully. The key role in an OE operation is that (Continued)

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20.   (Continued)

of an actively involved leader. Structuring (clarifying outcomes and organiz-
ing change strategies) and diffusion (circulating information throughout the
system and obtaining feedback) are processes important to the success of an
operation. The OE consultant is important in coaching the User in desirable
behaviors and in actively participating in the diffusion process. It was not
possible, in the time available at each installation, to obtain reliable data
on costs and benefits of OE operation. Implications of the findings for
leader development and OE consultant training are discussed.

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ANALYSIS OF THE IMPACT OF THE U.S. ARMY PROGRAM OF
ORGANIZATIONAL EFFECTIVENESS

EXECUTIVE SUMMARY

Requirement:

The Army's Organizational Effectiveness (OE) program uses management and
behavioral science technology to assist Army leaders to improve mission per-
formance and combat readiness. This assistance is provided by Organizational
Effectiveness Consultants, who have been trained in a 16-week course at Fort
Ord, California. The p.rpose of the research described in this report was to
assess the impact of the OE program on the Army. Specifically, the research
sought to identify the most effective types of OE operations and the charac-
teristics associated with the more successful operations. In addition, the
research sought to assess the costs and benefits of the operations.

Procedure:

Data were collected on 35 selected OE operations representing a variety
of interventions and organizational levels. The researchers interviewed OE
Consultants, Users (commanders), User subordinates, and others who had been
involved in the OE operations. Interview data were coded and analyzed.
Analyses included correlations of pertinent variables and comparisons of the
characteristics of the more successful and less successful operations.

Findings:

The most successful operations were those which interfaced interpersonal
or intergroup processes with technological processes or issues but which did
not depend on outside resources or support. Although the number of such cases
was very small, the least successful operations were those involving complex
systems requiring decision making or coordination of components or organiza-
tions beyond the boundaries of the User's organization.

The key role in an OE operation is that of the User. Users should have
a strong goal orientation, be able to define measurable outcomes, be able to
identify support for and opposition to their OE operation, and to be actively
involved in the processes of structuring (clarifying outcomes, understanding
and organizing strategies for change, providing training, etc.) and diffusion
(disseminating information throughout the system and obtaining feedback).
The structuring and diffusion processes are important to the success of an
operation. The OE Consultant is important in coaching the User in desirable
behaviors and in becoming actively involved in the diffusion process. It was
not possible, in the time available at each installation, to obtain reliable
data on costs and benefits of OE operations.

Utilization of Findings:

The findings have implications for leader development and for the train-
ing of OE Consultants. Leaders need to receive training and assignments that
will develop their skills in managing organizational change, and OE Consul-
tants need training in how to assist leaders in this function. Leaders need
exposure to management tools such as sociotechnical systems analysis, and OE
Consultants need training and field experience in approaches which involve a
technological component. In addition, the findings of this research should
be incorporated into the OE Information System now under development.

ANALYSIS OF THE IMPACT OF THE U.S. ARMY PROGRAM OF
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INTRODUCTION

Background

The Army's Organizational Effectiveness (OE) program uses management and behavioral science technology to assist Army leaders to improve mission performance and combat readiness. These management and behavioral science approaches are known as Organizational Development (OD) in the civilian community. Army OE is the application of OD technology in an Army setting. The objective of the OE program is to provide assistance to Army leaders to improve mission performance and combat readiness. This assistance is provided primarily by Organizational Effectiveness Consultants (OECs) who have been trained in a 16-week course at the Organizational Effectiveness Center and School (OECS) at Fort Ord, California.

Problem

There is little systematic evidence concerning the impact of OD on civilian organizations (Porras & Berg, 1978), even though OD methodology usually includes a requirement to assess or evaluate the outcome of each OD application (known as an intervention). The Army OE approach similarly has an evaluation phase. However, as reported in the interim report for this project (James & Oliver, 1981), there has been very little evaluation performed by OECs in the field. Most of the evaluation conducted to date has been performed by OECS.[1] The research reported here attempts to provide additional insights from an outside, objective viewpoint that supplements OECS evaluation efforts.

Specific questions addressed by this research include:

1. What are the most effective types of OE operations?

2. What are the characteristics of successful OE operations?

3. Can costs and benefits be identified for OE operations?

4. To what extent does this research support the model of organizational change proposed by James, Oliver, and McCorcle (1981)?

It is anticipated that the findings and conclusions presented in this report will contribute to OEC development--i.e., to provide input for curriculum change and guidance for consultants in the field. In addition, the findings will provide information needed for an automated OE information system being developed by the Army Research Institute (ARI). The principal purpose of the automated system will be to obtain and store information on OE operations so that

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[1] The reader should note that OECS refers to the Organizational Effectiveness Center and School, while OECs is the plural of the acronym for OE Consultant.

OECs can selectively retrieve and use OE case information to improve ongoing operations.

The field of organizational effectiveness has received a great deal of attention over the past several years. It has been the focus of multiple research efforts and the subject of debate among and between academics and executives, as well as the rationale for numerous organizational change efforts. In spite of the attention given to organizational effectiveness, it has been difficult to determine what makes one effort to accomplish organizational change more effective than another (Clark & Ford, 1970; Strauch, 1975).

Research Approach

The present evaluation was guided by several basic considerations. First, it was assumed that evaluation research differs from traditional research. While concerns about randomization, internal and external validity, and reliability are useful criteria by which to design a research project, the primary concern in this study was to produce high quality evaluation research, that is, to produce timely, usable, decision-relevant data. For this reason, the emphasis was on the utility of the information at hand, though the methodological nuances and statistical properties of the instruments and scales will be reported where appropriate. The basic design of this research was an adaptation of the comparative analysis, or theory-generating methods, advocated by Glaser and Strauss (1967). Such an approach, in addition to its primary focus on developing, testing, and elaborating hypotheses and substantive theory, afforded the opportunity to conduct a "behavioral census" (Barker, 1963) to determine the type and frequency of the various behaviors or activities associated with this sort of work. It also required a field study, despite Berg's warning that studying behavior in organizational settings involves surrendering "a measure of control over our 'experiment'" (1978, p. 1).

Another set of methodological choices was based on assumptions concerning the nature of the phenomena under study. Evaluation and change are potentially traumatic processes, as evidenced in studies of performance evaluation in industry (Meyer, Kay, & French, 1964) and in research on resistance to change (Kaufman, 1971). It would follow that research efforts to evaluate change might be met by defensiveness and mistrust. Therefore, every attempt was made to collect nonreactive data (Webb, Campbell, Schwartz, Sechrest, & Grove, 1981), relying whenever possible on published reports, records, and the like, to provide background. However, Van Maanen's (1979) distinction between "presentational data," those which concern the appearances or images of themselves that individuals or groups strive to promote or enhance in the eyes of outsiders (e.g., through published reports), and "operational data," the spontaneous conversations and activities engaged in by the individuals or groups, would indicate that examining archival data alone would be insufficient. Direct observation of consultant and client behavior also would be required. So a strategy was devised whereby the data collection methods became increasingly reactive as trust in the data collector grew.

Further guidance regarding change processes in general was derived from the work of Argyris (1970), especially what he calls the "primary tasks of interventionists" (Chapter 1), which guided the development of portions of the conceptual model of successful change projects to be presented later. Also useful regarding change evaluation in Army settings were the work of

Oliver (1981) and Spencer and Cullen (1978, 1979). Although there is no standardized procedure for evaluating military organizational effectiveness operations, these previous studies supported development of research methods for this particular project.

The final consideration influencing the research approach was one of ethics and etiquette. The researchers were committed to leaving all personal and professional relationships which they observed at least as good as they found them. Adhering to this commitment required attention to the impact of the researchers' presence on the everyday work behavior of the field organizations and efforts to minimize the disruptiveness of the data collection. (For a related discussion, see Argyris, 1970, Chapters 4 and 5.)

Model of Organizational Change

The basis for this research was a model of organizational change presented by James, Oliver, and McCorcle (1981). Measures to be described later operationalize key elements of the model. Briefly, the model postulates that the success of an OE operation is a function of the actors, who are linked by their roles to a set of processes that result in the production of a series of outcomes. This set of relationships is further influenced by several mediating factors. (Figure 1 depicts the model, James et al., 1981.)

There are three types of actors:

1. The User--the person who is in charge of the organization (the commander).

2. The OEC--the Organizational Effectiveness Consultant.

3. User subordinates--the individuals below the User in the organizational hierarchy; more specifically, those individuals who are involved in an intervention or change project because their future support is required for the change to be successful.

There are four types of critical processes which must be managed during any change. These processes include applying a theory of practice, supplying structure, insuring diffusion of information, and psycho-economic transactions.

1. Applying practice theory. In some respects, OE consultants are similar to researchers. To be effective, each must have a model in mind. The OE consultant must be guided by a coherent set of alternative strategies through which a change process can be executed. Weisbord (1978) calls such a set of strategies a "practice theory." Elsewhere, Argyris and Schon (1978, Chapter 1) refer similarly to a "theory of action" or a "theory-in-use." The OEC's overall strategy is generally based on an action research model and, depending on User needs, may emphasize certain aspects of this or another model more than others. It is of great importance that an outcome orientation be a part of this practice. The OE consultant furnishes the practice theory concepts through which the User can develop a desired future. As the change process progresses, the theory can be altered in any dimension. However, the theory must be there for the User to know where to proceed and where he/she has been. Thus, intended outcomes for each step of the strategy are defined and assessed

ACTORS

PROCESSES

OUTCOMES

User

OESO

Roles →

Practice Theory Application

Structuring →
Diffusing →

Valid Information →
Free Choice →
Commitment

Innovation
&
Change

Improved
Organizational
Effectiveness

User Subordinates → Psycho-economic Transactions

MEDIATING FACTORS

● Need for Change

● Control Over Change

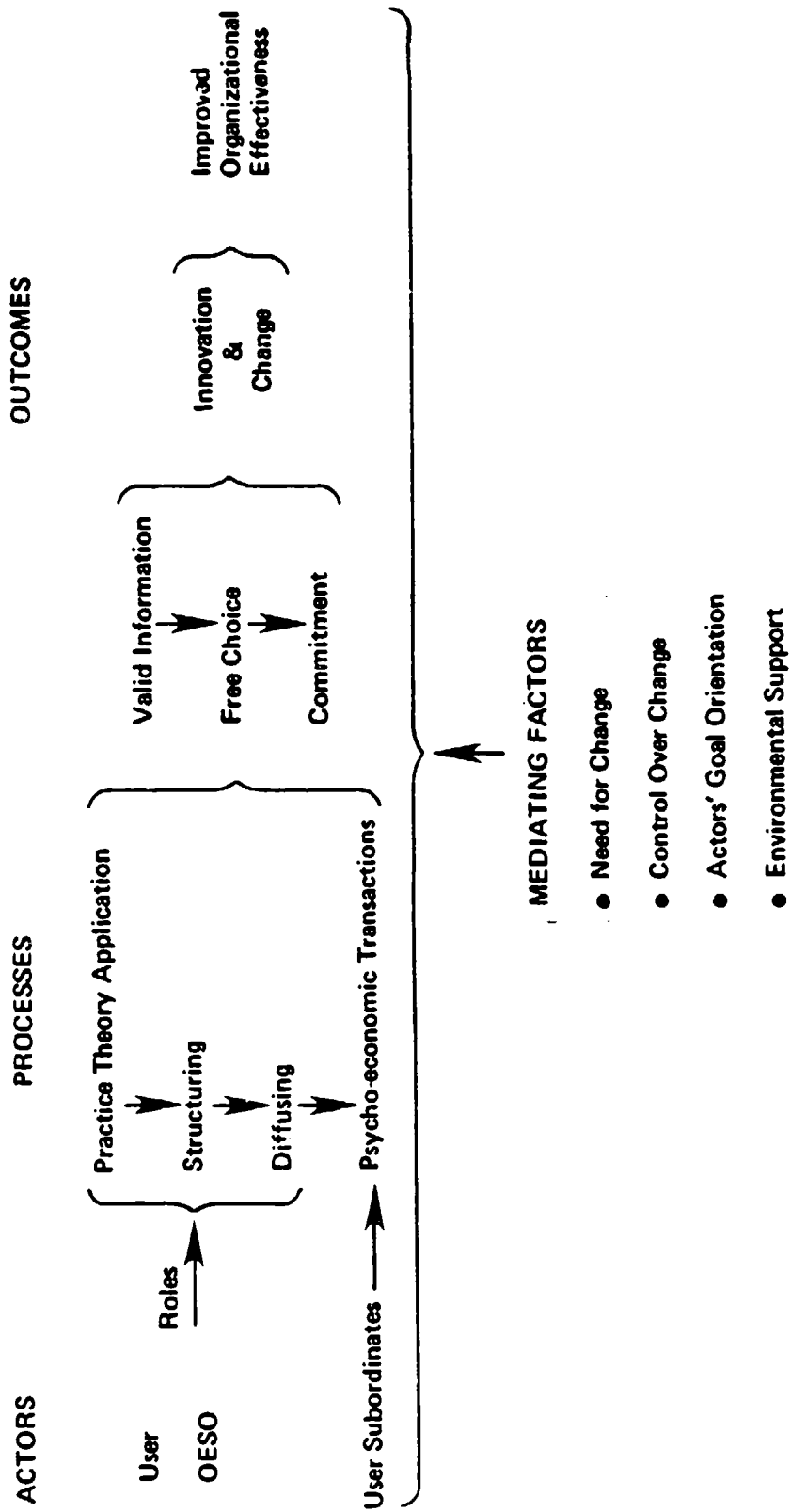● Actors' Goal Orientation

● Environmental Support

Figure 1. A model of the organizational change process in Army organizations

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in conjunction with the next step. For planned change to occur, the desired organizational outcomes must be clearly identified and defined in measurable terms by the User and User subordinates as early in the change process as possible.

2. Supplying structure. In complex organizations, the role of manager often becomes synonymous with a responsibility for structure. Miller (1973) contends that the primary functions of leaders in open human systems are "structuring" and "destructuring." In effective OE operations, the OE consultant assists the leader (User) in supplying structure appropriate to a particular stage of the change project. The OEC might, for example, clarify the User's intended outcomes, organize them in a meaningful manner, and provide any needed training in order to eliminate unnecessary confusion and obstacles as the intervention progresses. The role of the OE consultant is in this case analogous to that of a construction engineer who must build a bridge between the organization's present condition and the User's intended outcomes for that organization.

3. Insuring diffusion of information. Finally, the OE consultant must become a communications engineer, developing and energizing systems for exchanging information about the OE operation. This information exchange progresses from areas of greater concentration of information to areas of lesser concentration of information and back again. The User and User subordinates must also be meaningfully involved in this process. (For related ideas, the reader is encouraged to consult the voluminous literature on the "diffusion of innovation," including, for example, Havelock, 1968, and Katz, 1961.)

4. Psycho-economic transactions. As the OE intervention continues, User subordinates become increasingly active and are able to influence the functioning of the organization. Subordinates then experience a return on their contributions to organizational functioning. The series of cycles of contributions and returns constitute the process called psycho-economic transactions.

The primary means by which the actors are connected to the processes is through their roles. Role definition is an important element, for as Clark and Ford (1970) note, the consultant and client roles in planned change are at best ambiguous.

1. The role of the User is to seek to understand the data and practice theory strategy provided by the consultant in order that future actions can be taken to remedy problem areas. This requirement necessitates significant commitment since frequently the User is part of the identified problem. The User must also be willing to involve subordinates both in finding a solution and in the implementation for those solutions which require their support.

2. The role of the consultant is one of considerable complexity. It includes three major responsibilities:

a. Assisting the User in choosing and defining issues/problems suitable for an OE operation. The OE consultant must be able to clarify the potential benefits and risks involved in the use of OE methodology.

b. Actively integrating both User and subordinate needs in a way which uses valid information as a basis for all activity.

c. Providing an appropriate and flexible practice theory strategy which stresses outcomes, is supported by necessary structure, and is diffused throughout those parts of the organization affected by the intended change.

3. The role of subordinates is a reactive one at first. The role becomes more active as subordinate individuals are given more opportunities to influence the way in which the organization functions. As they are given these opportunities, they develop expectations about the future return on their contribution. As noted above, the many cycles of contributions and returns are referred to as psycho-economic transactions. Throughout an operation, these transactions have an important cumulative effect. For the greatest subordinate commitment to occur, individuals must experience returns on their contributions which meet or exceed expectations. If their expectations are met and they are permitted to assist in finding solutions to important organizational issues, it is very likely that they will be committed to the resultant solutions.

As noted in Figure 1, there are three sets of outcomes suggested by the model, arranged sequentially. First, given the necessary preconditions, roles, and change processes, it is hypothesized that a change climate will be engendered in which (a) valid information can be collected and communicated to all relevant parties, (b) free choices can be made about what should be done to change (or maintain) the organization, and (c) conditions will be such that internal commitment is generated to carry out the choices made in (b). The theoretical basis for these intermediate steps is Argyris' (1970) pioneering work on intervention theory, in particular his ideas about the primary tasks of intervention activities. These tasks become at once the results of the earlier stage of the change process and the necessary precursors of innovation and change, which in turn precede an increase in organizational effectiveness.

For an intervention to be successful, it is hypothesized that the mediating factors depicted in the model must be present. It is hypothesized that there are four factors which mediate the relative success of the change process: (a) a need for change within the organization, (b) a change that is within the control of the unit involved, (c) a goal orientation on the part of the actors, and (d) a supportive environment.

The success of the change effort will be greater to the extent that there is a legitimate need for change within the organization. The success of the change will be further enhanced if the members of the organization have perceptions that a change is needed.

Given the dependence of an organization on its environment, organizational inertia, and the entrenched nature of some organizational practices, factors which require alteration are not always within the control of those who would wish to change them. The model proposes that successful change is more likely when the needed change is within the control of the organizational unit.

The personality or leadership style of the major actors may affect the likelihood of change. In particular their inclination toward setting, monitoring, and achieving goals is predicted to moderate the change process. The greater the goal orientation of the actors, the greater the probability of change.

As mentioned above, organizations are increasingly dependent on their environments. Given that change requires excess resources as well as willingness to take risks and alter established patterns of interaction, a supportive environment is important. This does not mean that the environment should be calm and malleable, but rather that the environment is willing and able to allocate required resources and tolerate the risk-taking associated with change.

METHOD

Sample of OE Operations

Since the Army wished to gain a representative picture of what had taken place in the Army OE program in the past, as well as to obtain focused, valid data upon which to make decisions for the future direction of the program, the OE project cases were chosen deliberately, not randomly.

In order to obtain information on the outcomes of several types of OE operations in several different organizational settings, the project team requested that the Army identify four cases representing each possible combination of User Class, or type of user organization (see Table 1), and OE Operation Class, or type of issue/time to impact/need for external support (see Table 2). The four cases were to include two more successful and two less successful cases for each of the 12 combinations of User and OE Operation. The following rules were used to classify OE operations for inclusion in each class:

1. User Class (I, II, III, or IV): Classified by intended organizational target for the OE operation as agreed upon by the OEC/User prior to implementation. The intent of the organizational target to be classified based on the most complex class of target contained in the operation's objectives.

2. OE Operation Class (A, B, or C): Classified by intended objective for the OE operation as agreed upon by the OEC/User prior to implementation. The intent of the operation to be classified based on the most complex class of an objective contained in the operation's objectives.

The User and OE Operation Classes were obtained in two steps. First, available case data on OE projects (e.g., Hallen, Schmidt, & Weingart, 1979; Minton, Bedoian, Weingart, & Schmidt, 1978; Schaefer & Weingart, 1979; Spencer & Cullen, 1979) were analyzed and natural categories empirically derived. Second, during preliminary interviews, the research team developed a two-dimensional matrix for the research plan. One side of the matrix is bounded by OE operations in which the intended change objective ranges from least to greatest complexity; the other side is bounded by Army organizations from least to greatest complexity. The resulting matrix is shown in Table 3, using the dimensions previously defined in Tables 1 and 2. Although two more successful and two less successful cases were sought for each cell in Table 3, it was not possible to secure interventions of all types, especially in the more complex organizational units.

Table 1

User Classes

Four User Classes of U.S. Army Organizations are identified based on increasing size and complexity.

Class I = Small line combat, combat support, and combat service support units (battalion-size units or smaller) and internal staffs involving military personnel in User's immediate work group.

Class II = Staffs, internal components of large organizations, or components of User's organization where decision making and coordination are complicated by organizational sub-group components of significantly different characteristics (e.g., civilian-military or union-management groups).

Class III = Large line combat, combat support, and combat service support units (e.g., division-size units) where authority structure is complicated by lack of direct control over policies, implementation processes, and rewards and sanctions of individuals or groups in intended outcomes.

Class IV = Complex system involving decision making or coordination of components or organizations across the boundaries of the organizational hierarchy of the User. The User does not have direct control over policies, implementation process, and rewards and sanctions of the individuals or groups involved in the intended outcomes.

Table 2

OE Operation Classes

Class A = Intended outcomes involve interpersonal or intergroup relationships
and/or process issues. Objectives may include: organizational
climate, managerial leadership, peer leadership, group process, or
satisfaction. Because of high personnel turnover and the emphasis
on personal or group issues, these operations generally have a
short-term impact estimated to be less than a year.

Class B = Intended outcomes involve the interface of process issues (inter-
personal/intergroup) with technological processes or systems. Be-
cause they deal with semi-permanent processes or systems, they
usually have a longer-term impact estimated to be greater than a
year. The objectives are not complicated by policy, resource, or
support needed from the external environment or other organiza-
tions. Objectives may include interface with any of the following
technological systems or processes: job redesign, personnel sys-
tems, management information or financial control systems, organi-
zational design, combat operations, or strategic planning.

Class C = Intended outcomes are the same as for Class B operations and, in
addition, the objectives are complicated by policy, resource, or
support needed from the external environment or other organiza-
tions.

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Table 3
Matrix of Cases

OE Operation Classes

User Classes	Class A	Class B	Class C
	Interpersonal or intergroup relationship or process; short term impact.	Process issues; interface with technological system issues; long term impact; external support not needed from environment.	Process issues; interface with technological system issues; long term impact; external support needed from environment.
Class I: Small line combat, combat support, combat service support units (<BN) or military staffs.	MS[a] = 3 LS[b] = 9 Total = 12	MS = 6 LS = 0 Total = 6	MS = 0 LS = 1 Total = 1
Class II: Staffs, internal components of large organizations or components of user's organization; decision-making coordination complicated by subgroups of significantly different characteristics,	MS = 3 LS = 2 Total = 5	MS = 3 LS = 0 Total = 3	MS = 0 LS = 2 Total = 2
Class III: Large combat, combat support, combat service support units (≥ Div); decision making/coordination complicated by a lack of direct control over policies, implementation processes, and rewards.	MS = 0 LS = 0 Total = 0	MS = 1 LS = 3 Total = 4	MS = 0 LS = 0 Total = 0
Class IV: Complex systems involving decision-making or coordination across boundaries of the organizational hierarchy of the change sponsor.	MS = 0 LS = 0 Total = 0	MS = 0 LS = 0 Total = 0	MS = 0 LS = 2 Total = 2

[a]MS = More successful
[b]LS = Less successful

Since OECs generally possess local autonomy and are not directed by any central agency, there was no single authority through which to identify cases. Hence, a data collection procedure was developed in cooperation with the project's sponsor and the Contracting Officer's Representative (COR) from ARI. The sponsor--the OE Program Officer of Headquarters, Department of the Army (HQDA)--provided guidelines for securing a representative sample of the population of OE operations. Emphasis was placed on obtaining cases from major commands (MACOMs) such as the Forces Command (FORSCOM), the Training and Doctrine Command (TRADOC), and the Materiel Development and Readiness Command (DARCOM). After determining the desired MACOM representation, the sponsor directed the team to contact OE offices in the field. Visit arrangements were made with the senior consultant of an installation OE office for cases within that office's jurisdiction.

Case selection was restricted by several factors. The research design included a requirement to interview both the OEC and the User who participated in the operation. Further, short-term, predictably successful operations such as the "transition workshop"[2] were not included. Case selection was even more constrained at Forces Command (FORSCOM) installations. At FORSCOM posts, the team was required to collect six cases in 1 week due to FORSCOM regulations governing data collections.

Consequently, the resulting sample has some shortcomings. Taken as a whole, the cases may be skewed toward more success than actually exists in the field, as it appeared in several instances that OECs attempted to lead the team to their more successful operations and avoid their less successful ones. At the outset of the study, HQDA OE Office indicated a great interest in "large system" OE operations because of the intended future direction of the OE program. During the period of the data collection, there were very few "large system" cases available. Consequently, the cells of the matrix representing such cases are not as complete as the team had hoped. Data were collected in U.S. Army Europe (USAREUR), with the understanding that operations which specifically addressed "combat-related OE" were available. However, such cases were not provided. Finally, there was evidence of a few OECs steering the team away from cases involving general officers. The OECs concerned regarded their work at that organizational level as sensitive, and they did not want to run the risk of unknown outsiders jeopardizing their operations.

The researchers collected data for 35 cases. Included were several long-term and large-system operations as well as small, company-sized applications. There were four cases in which the User was a general officer. There were five operations classified as complete or partial failures by the OEC. In general, OECs do not formally evaluate their operations. As a consequence, they have a limited knowledge of whether an operation was more or less successful.

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[2] A workshop designed to facilitate the integration of a new leader/commander into an organization.

Instruments

Interview Schedules. The interview schedules were based on case analysis procedures developed by Dunn and Swierczek (1977), and Spencer and Cullen (1979). The questions, which followed the chronology of the OE operation, were tested in preliminary interviews and refined to focus on those aspects of the OE process that were most important to the User and the OEC. The appendices contain schedules for User interviews (Appendix A), User target interviews (Appendix B), and OE Consultant interviews (Appendix C).

OE Operations Coding Worksheet. Interviews with Users, User target groups, and OE Consultants were recorded. The OE Operation Coding Worksheet (Appendix D) was completed as soon after the interview as possible, using the taped interviews. The Worksheet summarized demographic information on the Army unit, identified reasons for the operation, delineated the process of the operation (data collected, feedback mechanisms, implementation techniques, process observations, etc.), and attempted to determine what intended and unintended outcomes of the interventions occurred.

Case Outcomes Summary Report. After completing the Worksheet, the data collector prepared a summary of the case using the structured format in Appendix E. The Case Outcomes Summary Report summarized information on longitudinal data collected, attainment of objectives, cost of operations, demographic information related to the operation, and a summary assessment of the operation.

Overall Case Assessment (OCA) Form. The investigators completed an OCA form (see Appendix F) for each case using the Worksheet and the Case Outcomes Summary Report. The OCA was developed from Worksheet variables which were linked to the model of organizational change previously described.

Data Collection

Telephone contact was made with the senior OEC 1 month or more before a desired visit, and plans for this visit were made. The OEC was asked to provide operations with the following characteristics:

1. Operations involving larger, four-step (Assessment, Planning, Implementation, and Evaluation, or "APIE") operations as opposed to small, usually successful, operations such as transition workshops.

2. Operations for which both OEC and User were still available to interview.

3. Operations for which enough time had elapsed to enable some desired outcomes to have taken place.

The OEC was requested to provide two operations considered more successful and two operations considered less successful.

The goal of the case collection process was for two investigators to obtain the data and complete workpapers for one case in 2½ days. The data

collection was conducted using a three-stage process. First, the User and
the OEC were interviewed separately for about 2 hours using the semi-structured
interview instruments contained in Appendices A and C. In cases in which the
operation also targeted a subordinate command, a separate interview protocol
was used ("OE User Target Interview Questions" in Appendix B). The entry pro-
cess was crucial to the success of the interview. It was important that the
research team approached the User independently of the OEC to lessen the pos-
sibility of being viewed as allies of an OEC out to justify his/her job.
Also, having the User introduce the researcher into the organization facili-
tated the collection of indicator data. In any case, the role of third-party
evaluator was a tenuous one, requiring careful attention to objectivity on the
one hand and to relationship building on the other.

Two investigators conducted interviews. Notes were taken and, in most
cases, the interviews were tape recorded. The interview was not limited to
those questions in the instrument. The objective was to obtain as much knowl-
edge of the process employed in the operation as possible. After the inter-
views, relevant portions of the OE Operation Coding Worksheet were coded. At
the conclusion of the User interview, the team requested permi sion to inter-
view a group or groups of persons meeting the following criteria:

1. They had been assigned to the organization from the beginning of the
    operation to the time of the team's visit.

2. They had been somehow directly involved in the operation.

3. They were representative of the organizational breadth and depth of
    the operation targeted.

To the extent feasible, chain-of-command relationships were avoided within the
interview group.

The research team's request was never refused. Most of the subordinate
level focus group interviews resulted in meeting with one group of about eight
persons. Often, because of very high turnover rates, few persons still re-
mained in the organization who had been directly involved in the operation
from its inception. Larger operations in organizations having less turnover
required as many as seven focus group interviews.

The focus group was first briefed about the research. The investigators
stressed their interest in all outcomes stemming from the operation, undesir-
able as well as beneficial. It was also emphasized that strict confidence
would be maintained concerning the interviewees' comments. The investigators
reque.;ted that each person in the group note individually on paper any bene-
ficial or undesirable outcomes stemming from the operation. When finished,
they were asked to discuss the outcomes without concern for mutual agreement.
The discussions were tape recorded. After the discussion, group members were
asked to write down any ideas which might lead the team to available records
that would provide tangible evidence of the changes they discussed. These
papers were collected and added to the case working papers. The final stage
of the data collection process occurred when the team attempted to follow the
leads provided in all interviews--OEC, User, and focus group(s). As one would
expect, those cases which were viewed as great successes by the focus groups
usually resulted in a willingness to introduce team members to the recordkeeper

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and to the acquisition of tangible evidence in records such as those pertaining to monthly operational readiness rates or retention. The opposite was true for less successful operations.

On completion of all data collection, the User was briefed about the team's findings in a way which did not violate any subordinate confidence. He/she was also asked questions to fill in any missing information and thanked for assisting in the project. The OE Operation Coding Worksheet (Appendix D) was completed, and case findings were compiled using the Case Outcomes Summary Report format (Appendix E).

Two persons required 1 day to collect data on smaller operations and up to 6 days on large, long-term operations. In addition to interview information, data were collected which attempted to assess the extent to which a particular OE operation's objectives were met. Data from User, OEC, and User subordinate interviews were used to focus on outcome measures which might be expected to be affected by the OE operation in that particular User's organization, since tailored, specific measures are more likely to detect the type of change occurring in process-oriented organization development than are more global organizational effectiveness measures. Developing situation-specific measures avoids the problem of using universally applicable outcome criteria which may or may not be appropriate for any given organization.

The Research Plan for this project stated that standardized governmental accounting cost figures would be used wherever feasible in computing cost input and benefit outcomes for various OE operations. Standardized person-day costs were used and are included in Appendix G. The same standardized figures were used to compute cost savings based on reduced staffing or tasking requirements. Other outcomes were not reasonably translatable to dollar amounts even though classified as "hard outcomes"--i.e., improved operational readiness rates, fewer Annual General Inspection (AGI) discrepancies, and more commendations in Army Training and Evaluation Programs (ARTEPs). Instead of attempting to derive a very carefully defined but superficial cost and benefit outcome for each case, the "hard outcomes" for each case were conservatively estimated using a weighted scale. The assigned weights for each case summary included those dollar ratios which could be calculated using standardized person-day or person-hour calculations. The weights assigned also reflected the importance and strength of the causal relationship the User and User subordinates assigned to those changes they believed to have resulted from the operation. Given the diversity of targets undertaken by OE operations and the difficulty of confidently establishing a direct causal effect stemming from an operation's impact, it is doubtful that a realistic cost accounting approach can be developed using existing data sources and not requiring an excessive amount of time.

Another set of data was collected which provided demographic information about the User's organization, such as the personnel composition, the formal organizational structure, and turnover rates from 6 months prior to the operation to a year afterward. Both the impact data and demographic data were recorded in case descriptions using the standard format provided in Appendix E.

In addition to collecting the data noted above, the researchers attempted to collect "hard" data at each OE case field site which might indicate the impact of OE efforts within the organization. These data included retention

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rates, AWOL rates, accident rates, etc. Investigators attempted to collect this information at the beginning of the field data collection phase, but the effort was abandoned because of the difficulty of the task.

Design and Analysis

This research involved a comparative examination of 35 separate OE projects viewed in parallel to highlight their similarities and differences. Yin (1981) has referred to this design as the "case comparison approach." The basis for these comparisons was the stages of the OE process (Kolb & Frohman, 1970).

Measures. The measures used in the analyses were derived from the Operation Coding Worksheet and the Overall Case Assessment (OCA) form. Items from the Worksheet were grouped by the researchers into the following nine scales: External Support, User Goal Orientation, User Role, OEC Role, Structuring, Diffusion, Practice Theory, Evaluation, and Outcomes. (Items constituting the scales are contained in Appendix H.) The Outcomes scale is a measure of the positive results of an OE operation, and the other eight scales operationalize variables which were hypothesized to be related to the outcome of an operation.

The researchers also combined selected OCA items into nine scales. Of these scales, four represented mediating factors the researchers hypothesized would be important in organizational change: External Need for Change, Control over Intended Change, Superior Affect Toward User. and Internal Need for Change. Four other scales operationalized the antecedent conditions hypothesized to be related to organizational change: Roles, Goal Orientation, Structuring, and Diffusion. (These scales and their respective items are contained in Appendix I.)

The remaining scale, Success, was a measure of the degree of success of an OE operation. It should be noted that no project is completely successful, nor does one completely fail. Rather, planned change efforts are complex enterprises that can result in a number of anticipated and unanticipated outcomes, some of which may be beneficial and others detrimental to the organization. Hence, a composite success scale was developed from a number of separate dependent (outcome) measures. Such disparate factors as User (client) and subordinate expectations, hard and behavioral outcomes, and cost and benefit estimates were taken into account. (Appendix I contains the Success scale items.) Cases were rated on the scale for each item and the ratings summed for a total success scale score. The resulting distribution of "success" scores was bimodal, with a large number of high scores and low scores, but few scores in between. Therefore, splitting the total sample at the median produced two distinct subsamples.

Analyses. The results presented in this report are based on descriptive statistics, correlations, and chi square analyses. Characteristics of the OE operations are described primarily in terms of the percentage of cases falling into a given category. Correlations are reported for all pairs of scales derived from the Operations Coding Worksheet and the Overall Case Assessment form. Rank ordering the 35 cases by Success scale scores revealed that they fell into four discrete clusters as shown below.

Clusters	Number of cases in cluster	Success score mean	Success score range
1	5	308	270 to 364
2	12	177	139 to 221
3	16	60	22 to 93
4	2	-21	-29 to -13

The 17 cases above the median on the Success Scale of the Overall Case Assessment were compared with 18 cases below the median on this variable, using a contingency chi square.

RESULTS

Statistical Properties of Scales

Operation Coding Worksheet (OCW) Scales. Table 4 reports statistical properties of the nine OCW scales. As can be seen in the tables, most scales contain a substantial number of items. The measure of internal consistency (coefficient alpha) for Outcomes is acceptably high (.85), and the alphas for the other scales range from .19 to .80.

Table 4

Statistical Properties of OE Operation Coding Worksheet (OCW) Scales

Scale	No. of Items	Mean	Standard Deviation	Internal Consistency (α)
1. External Support	2	.882	.22	.45
2. User Goal Orientation	3	.276	.33	.53
3. User Role	35	.449	.15	.72
4. OECD Role	8	.296	.23	.65
5. Structuring	11	.239	.25	.80
6. Diffusion	10	.411	.18	.44
7. Practice Theory	9	.806	.43	.45
8. Evaluation	3	1.620	.36	.19
9. Outcomes	13	.463	.28	.85

Overall Case Assessment (OCA) Scales. Statistical data on the OCA scales are shown in Table 5. Of the nine scales, six contain only one item. The coefficient alphas for the remaining scales are .83, .86, and .90.

Table 5

Statistical Properties of Overall Case Assessment Scales

Scale	No. of Items	Mean	Standard Deviation	Internal Consistency
1. External Need for Change	1	.68	.94	--[a]
2. Control over intended change	1	1.71	.52	--[a]
3. Superior affect toward user	1	.75	1.52	--[a]
4. Internal need for change	1	1.88	.81	--[a]
5. Roles	3	2.75	1.19	.86
6. Goal orientation	3	2.29	.94	.83
7. Structuring	1	2.89	1.28	--[a]
8. Diffusion	1	3.23	1.24	--[a]
9. Success	10	130.82	98.95	.90

[a]Internal consistency estimates cannot be calculated for scales of only one item.

Characteristics of the OE Operations

Description of the Sample. The sample of OE operations included in this research is described below. The percentage reported indicates the percentage of 35 cases with that characteristic.

1. Most operations (29 or 83%) were conducted in smaller organizations or organizational components, i.e., battalions, companies, or staff components of larger organizations.

2. About half (17) the operations focused on short-term interpersonal or inter/intra-group relationships or process objectives only. Slightly more than a third (13 or 37%) of the operations focused their change objectives not only on interpersonal or inter/intra-group relationships/process objectives but also on some technological system issue. (In this context, technological means those practices which require a predictable and verifiable degree of skill or command of fundamentals through which tasks are accomplished.)

3. Thirty of the cases (86%) did not require significant resources or support from the environment.

4. Thirty-one (89%) of the OECs were trained at OECS. The others had received comparable training prior to becoming OECs.

5. Thirty-one (89%) of the OECs had no formal organizational relationship to the User. Their role was in essence that of an external consultant.

6. The Users included nine battalion commanders, eight heads of second- and third-echelon staff directorates in noncombat related organizations, eight

staff heads in fourth-echelon commands or below, three company commanders, and one each of the following: division commander, chief of staff of an infantry division, the head of an industrial/support base directorate, installation commander, head of a school directorate, head of a dental activity, and a detachment commander.

7. Sixteen (46%) of the cases came from FORSCOM, six (17%) from TRADOC, four (11%) from USAREUR, and the remaining cases (26%) from a variety of other MACOMs.

8. Twenty-five Users (71%) had previous knowledge or experience with OE.

9. Fourteen (40%) of the problems which were addressed were interpersonal and inter/intra-group in nature and most often (37%) included leader/subordinate relationships, peer-level relationships (25%), inter-group relationships with task involvement (31%), and intra-group relationships with task involvement (14%).

10. Thirty data collection processes employed individual interviews (86%), 18 employed group interviews (51%), and 16 employed observation (46%). As can be seen below, the data were primarily collected from leadership/management levels of the organization.

Level of data collection	Number of cases	Percent of cases
Top management	30	86
Middle management	26	74
Lower management	23	66
Non-management	20	57

11. In 28 (80%) cases, initial feedback was given to the User by the OEC without anyone else present. The feedback to subordinates was most often conducted in a single group session with the User present about three-fourths of the time.

12. OEC-guided implementation activities of some type occurred in 23 (66%) of the operations. Implementation activities included problem solving, goal setting, and action planning with the OEC in about half of the operations. The top and middle leadership/management was most often involved, with the User present at the sessions about 50% of the time. Of those operations which conducted problem solving, goal setting, and action planning with the OEC, 13 (76%) took place in groups of nine persons or more.

13. A training activity with the OEC was employed in 15 (43%) of the operations.

14. The User perceived some improvements in the organization as a direct result of the operation in 34 (97%) of the cases. Improved outcomes cited in descending order of frequency, were behavior (74%), reactions (attitudes) (63%), hard outcomes/results (54%), and knowledge/learning (29%).

15. Follow-on technical assistance and support were provided by OECs in 13 (37%) of the operations.

16. Twenty-seven Users (77%) reported that their superior generally supported the use of OE at the outset of the operation. Of the 27 cases which were purportedly in a follow-up technical assistance and support phase, 23 Users (85%) reported that their superiors supported the OE operation at that point.

17. The OECs formally evaluated only 3 (9%) operations. The User informally estimated an operation to be successful in 29 (83%) operations, a partial success in 5 (14%) operations, and a failure in 1 (3%) operation. OECs estimated an operation was successful in 30 (86%) cases, a partial success in 2 (6%) cases, and a failure in 3 (9%) cases.

18. Termination (that point at which the User and the OEC explicitly decide to stop work on the operation) was generally not planned and had not occurred in 21 (60%) operations. Termination was planned in 7 (20%) operations and had occurred (planned and unplanned) in 14 (40%) cases. The reason most often given for termination (in 13 of the 14 terminations) was that the original contract had been fulfilled (37% of the total sample). Of the 14 cases which did terminate, 6 occurred after feedback, 6 after planned implementation activities (i.e., problem solving/goal setting/action planning/training), 1 during the action phase, and 1 after evaluation.

Intercorrelations of OE Operations Worksheet Scales. Scales 1-8 of the OE Operations Worksheet represent variables that were hypothesized to be antecedent conditions for satisfactory outcomes of OE operations. As can be seen in Table 6, six of the nine scales correlated significantly with Outcomes (Scale 9), with correlations ranging from .34 to .51. Neither User Goal Orientation (Scale 2) nor Structuring (Scale 5) correlated significantly with Outcomes. External Support (Scale 1) correlated significantly only with Outcomes. The other seven scales correlated significantly with two to four other scales: User Goal Orientation and Structuring (two scales), OEC Role, Diffusion, and Evaluation (three scales), and Practice Theory and User Role (four scales).

Intercorrelations of Overall Case Assessment Scales. Table 7 contains the intercorrelations of the Overall Case Assessment scales. The Success scale of the Overall Case Assessment scales generally corresponds to the Outcome scale derived from the Operation Coding Worksheet. Scales 1-4 operationalize the hypothesized "mediating factors" in organizational change. As can be seen in Table 7, none of these mediating factors (External Need for Change, Control over Intended Change, Superior Affect Toward User, and Internal Need for Change) correlated significantly with Success. Scales 5-8 (Roles, Goal Orientation, Structuring, and Diffusion), which operationalize

Table 6
Intercorrelations of OE Operation Worksheet Scales

Scale	1	2	3	4	5	6	7	8	9
1. External Support	--								
2. User goal orientation	.11	--							
3. User role	.16	.10	--						
4. OEC role	.17	-.14	.52*	--					
5. Structuring	.07	.16	.46*	.26	--				
6. Diffusion	.19	.13	.63**	.51**	.30	--			
7. Practice theory	.29	.36*	.27	.31	.55**	.27	--		
8. Evaluation	.30	.42*	.29	-.02	.28	.31	.52**	--	
9. Outcomes	.39**	.09	.40*	.37*	.25	.51**	.34*	.37*	--

*$p < .05$
**$p < .01$

Table 7

Intercorrelations of Overall Case Assessment Scales

Scale	1	2	3	4	5	6	7	8
1. External need for change	--							
2. Control over intended change	-.52**	--						
3. Superior affect toward user	.25	-.23	--					
4. Internal need for change	-.19	.28	-.34**	--				
5. Roles	-.03	.20	.34*	-.13	--			
6. Goal orientation	.18	.07	.06	.19	.58**	--		
7. Structuring	.13	.04	-.16	.06	.47**	.58**	--	
8. Diffusion	.17	.15	.12	.04	.57**	.56**	.67**	--
9. Success	.04	.21	.20	.24	.64**	.70**	.60**	.67**

*$p < .05$
**$p < .01$

the hypothesized "antecedent conditions" for organizational change, all correlated significantly with Success, with correlations ranging from .60 to .70. In addition, these four antecedent condition scales (Scales 5-8) all correlated significantly with each other, with correlations ranging from .47 to .67. Roles (Scale 5) was the only antecedent condition to correlate significantly with any mediating factor (.34 with Superior Affect Toward User). There were also two significant inverse correlations: External Need for Change with Control over Intended Change (r = -.52) and Superior Affect Toward User with Internal Need for Change (r = -.34).

Success Scale Comparisons

Comparisons by Cluster, User Class, and Operation Class. In Table 8, the User Class and Operation Class are shown for the 35 OE operations rank ordered by Success score. The 35 cases cluster naturally into four success score groups, as can be seen in the table. Table 9 contains Success scale means and standard deviations for the 35 cases classified by success score cluster (1, 2, 3, 4), by operation class (A, B, C), and by User Class (I, II, III, IV). As should be expected, the mean success scores are significantly different for the various clusters (F = 133.22, df = 3,31, p < .01). User Class is not associated with differences in Success scale scores (F = .41, df = 3,31, n.s.), although Operation Class is significantly associated with differences in Success scores (F = 11.34, df = 2,31, p < .01), with Class B operations (those involving process issues interfacing with technical issues with no external resources/support required) tending to be most successful.

Contingency Chi Square Analyses. Table 10 contains dichotomous (Yes/No) items that showed significant chi square values (at the .05 level or less) for differences between groups split at the median on Success scale scores. Table 11 contains items that attained a p between .10 and .05 for chi square comparison of the same two groups. Note that expected frequencies in the 2 x 2 contingency tables for four items in Table 10 and for two items in Table 11 did not exceed 5 in all cells. Hence these results should be viewed more conservatively than the reported significance levels would suggest.

Most of the items in Tables 10 and 11 involve the User. Users in the above-median group were able to identify groups and individuals who opposed the OE operation, used the OEC coaching to create a favorable climate during feedback sessions, and perceived improvement in hard outcomes resulting from the OE operation. The OECs in the above-median group took action to encourage openness and participation during data collection.

Tables 10 and 11 also suggest that above-median Users could identify those supportive of the OE operation, understand the OEC's helping relationship, considered the operation a success (rather than a failure or a mixture of success and failure), took various specific actions to ensure support of the operation by both superiors and subordinates, and tended to be in their present positions less than 2 months prior to the operation. It was also more likely that the scope or objectives of OE operations in the above-median group changed as a result of the feedback of the session and that the objective involved intragroup relationships with task involvement.

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Table 8

User and Operation Classes for OE Operations Rank Ordered by Success Scores

Success Score	Operation Class[a]	User Class[b]
Cluster 1 (n = 12)		
364	B	I
328	B	I
305	B	I
274	B	I
270	B	I
Cluster 2 (n = 12)		
221	B	II
215	A	I
211	B	I
202	B	I
185	A	I
183	B	II
177	B	II
151	C	II
147	A	II
145	A	II
142	A	II
139	A	I
Cluster 3 (n = 16)		
93	C	I
93	A	II
87	B	III
76	B	III
72	C	IV
67	C	II
66	A	I
64	A	I
64	B	III
54	A	I
52	A	II
46	A	I
43	A	I
35	C	IV
27	A	I
22	A	I
Cluster 4 (n = 2)		
-13	A	I
-29	A	I

[a]Operation Class: A = Interpersonal/intergroup process with short-term impact; B = process issues interface with technical system issues, long-term impact, external resource/support not needed from environment; C = same as B with external resource/support required.

[b]User Class: I = small line units (battalion or smaller) or staffs; II = Staffs or internal components of large organizations; III = large units (division or larger); IV = complex systems requiring boundary spanning for decision making.

Table 9

Success Scale Means and Standard Deviations
for OE Operations Classified by Cluster, User
Class, and Operation Class

		Success Score		
Group	N	Mean	Standard deviation	$\underline{F}$ ratio
Cluster				
1	5	308.40	35.04	133.22 ($\underline{p}$ < .01)
2	12	176.50	29.62	
3	16	60.01	21.16	
4	2	-24.50	8.00	
Operation Class [a]				
A	17	82.23	67.08	11.34 ($\underline{p}$ < .01)
B	13	212.54	92.35	
C	5	83.60	38.48	
User Class [b]				
I	19	134.79	115.66	.41 (n.s.)
II	10	137.80	50.21	
III	4	133.25	100.07	
IV	2	53.50	18.50	

[a] Operation Class: A = Interpersonal/intergroup process with short-term impact;
B = process issues interface with technical system issues, long-term impact,
external resource/support not needed from environment; C = same as B with
external resource/support required.

[b] User Class: I = small line units (battalion or smaller) or staffs; II =
Staffs or internal components of large organizations; III = large units (division
or larger); IV = complex systems requiring boundary spanning for decision
making.

Table 10

Operations Coding Worksheet Items Showing Significant
Differences between Above-median and Below-median Groups

Item[a]	x^2 value	p
1. User perceives improvement in hard outcomes/results.	4.93	.03
2. User uses OEC coaching to create climate of psychological safety during feedback sessions.	4.63	.04
3. User identifies opposing groups and individuals.	3.91	.05
4. OEC takes action to encourage openness and participation during data collection.	10.47[b]	.01
5. Data feedback session changes scope or objectives of operation.	4.73[b]	.04
6. User evaluates operation as a success rather than as a failure or a mixture of success and failure.	4.69[b]	.04
7. At beginning of operation, User understands helping relationship of OEC.	4.69[b]	.04

[a]Item responses were dichotomous (Yes/No).

[b]Expected frequencies for this item do not exceed 5 in all cells of the 2 x 2 contingency table.

Table 11

Operations Coding Worksheet Items Showing Significant
Differences at .10 Level for Above-median and Below-median Groups

Item[a]	x^2 value	p
1. User identifies supporting groups and individuals.	3.62	.10
2. User takes specific action prior to feedback session to encourage support.	3.65	.10
3. User takes specific action to inform top management of and encourage their support for objectives and planned activities.	2.82	.10
4. Planned operation's objective after feedback session involves intragroups relationships with task involvement.	2.72	.10
5. After operation, User initiates action rewards, or sanctions to support implementation of action.	3.24[b]	.10
6. User in his/her position less than two months prior to operation.	2.71[b]	.10

[a]Item responses were dichotomous (Yes/No).

[b]Expected frequencies for this item do not exceed 5 in all cells of 2x2 contingency table.

Costs and Benefits

One of the purposes of the research reported here was to identify, if possible, the costs and benefits of the OE operations. As Umstot (1980) noted, there is little evidence that military OD is cost effective. However, costs and benefits are very difficult to assess. The costs referred to here are relatively stable since they pertain primarily to estimates of OEC and User or User subordinate person-hours expended during an operation. Some of the benefit figures are also reasonably stable, particularly those which rely primarily on person-hour estimates. However, some of the benefit estimates are very unstable, particularly those which relate to changes in equipment operational readiness rates. These figures could vary greatly, depending on the perspective used to generate the value.

Some dollar estimates of benefit are missing, even though from a commander's perspective a benefit most certainly resulted. For example, one mechanized infantry battalion passed its Annual General Inspection (AGI) about 2 weeks after it had returned from a successful Army Training and Evaluation Program (ARTEP) exercise in Southern California. It was the first battalion that was able to pass this inspection successfully on the first attempt in that division in over 2 years. To have passed at all was significant. To have passed 2 weeks after a demanding exercise in which the battalion's vehicles had used about 50 percent of their allotted maintenance life was even more significant. The User and his subordinates attributed a major portion of this success to an OE operation which assisted the battalion in planning and implementing AGI preparations. The tangible outcome was passing the AGI. Certainly dollar benefits accrued. It would have been very difficult if not impossible to calculate the dollar savings for this project.

In recognition of the above, estimates of cost and benefit were not used as if they were accurate, reliable measures. They were employed as an additional "weight of evidence" to help us distinguish successful from less successful operations. It is emphasized that the figures reported in Table 12 are estimates only.

DISCUSSION

Types of Most Effective Operations (See Table 9, page 23.)

OE Operation Class. The results of the Overall Case Assessment Success scale comparison clearly demonstrated that Class B operations were the most successful. (As defined in Table 2, Class B operations involve the interfacing of interpersonal or intergroup processes with technological processes or issues which have a long-term impact but which do not depend on outside resources or support.) This finding appears to be related to a basic principle of sociotechnical theory which holds that both the social system and the technical system must be considered in organizational change (Susman, 1981). Hence it would follow that an intervention which focused only on improving interpersonal or intergroup interactions would be less effective than one which also took into account technological/structural requirements.

Although the number of cases is small (five), it appears that even when the interpersonal intergroup approach is combined with technical issues,

success is impaired when outside resources and support are required. The necessity for securing outside support complicates the operation and makes success less likely.

Table 12
Costs and Benefits of OE Operations

Group	Number of cases	Average costs	Average benefit	Cost/benefit ratio
Cluster 1	5	$35,140	$699,350	1:20
Cluster 2	12	22,758	127,014	1:6
Cluster 3	16	93,616	5,101	18.1
Cluster 4	2	8,104	0	—
Above median group[a]	17	26,340	295,348	1:11
Below median group[b]	18	84,115	4,534	19:1
Entire sample	35	56,082	145,787	1:3

[a] Clusters 1 and 2

[b] Clusters 3 and 4

Level at Which Operation Conducted. As noted previously, true macro-level operations were difficult to find. These are the User Class IV operations described in Table 1. They involve complex systems requiring decision making or coordination of components or organizations beyond the boundaries of the User's organizational hierarchy. Thus, the User does not have direct control over the policies or processes of all the individuals or groups involved in the intended outcomes of the OE operation. The scope of such an operation is vastly wider than that of the typical operation, and the difficulties of conducting this kind of operation are correspondingly greater. Because of the small number of macro-level operations (two), no statistically significant differences were found for the level at which the operation was conducted. However, the Success scale mean for the two User Class IV operations was far below the means of the other three User classes. It is probably not only the larger size of such an operation but also the necessity for boundary spanning across organizations not under the direct control of the user that makes success more problematic for macro-level operations.

Characteristics of Successful OE Operations

The characteristics found to be associated with more favorable OE outcomes tended to be related to people and processes. These characteristics were identified through three analyses: (a) intercorrelations of the OE Operations Coding Worksheet scales, (b) intercorrelations of the Overall Case Assessment scales, and (c) comparisons of cases above the Success scale median with those cases below the median. The findings are discussed below under the respective analysis.

OE Operations Coding Worksheet Scales. The Outcomes scales of the OE Operation Coding Worksheet correlated significantly with all but two (User Goal Orientation and Structuring) of the other Worksheet scales. This finding suggests that the hypothesized antecedent conditions are generally related to the outcomes of an OE operation. The Diffusion scale, which had the highest correlation with Outcomes, was highly correlated with OEC Role and User Role, indicating that activities by users and consultants may be instrumental in achieving diffusion, which is in turn strongly related to favorable outcomes.

Although the Diffusion and Structuring scales were not significantly related to each other, User Role was significantly related to both Diffusion and Structuring. It appears that the User may play a key role in both these activities. High scores on the User Role scale are associated with a User who understand OE, accepts the approach, and is actively involved in various actions to insure the success of the OE operation. Diffusion-type items include dissemination of feedback, operation objectives, and implementation plans as well as positive support by members of the target group. Both the User and OEC seem to play an important part in insuring that diffusion occurs. While one might expect both Users and OECs to be equally involved in structuring activities, results did not support this prediction. Instead, it appeared to be the User who was closely associated with structuring activities such as establishing criteria for action, documenting action steps, and providing needed training.

Overall Case Assessment Scales. None of the hypothesized "mediating factors" in organizational change was significantly correlated with the Success scale of the Overall Case Assessment. It is possible that these variables are not associated with the success of an OE operation. Or, alternatively, the Overall Case Assessment items may not be valid measures of the hypothesized mediating factors. Each of the four scales consists of a single item, and single-item scales are less reliable than multi-item scales. Since the degree of reliability determines the upper limits of the validity of a measure, the lower reliability results in lower validity. On the other hand, all the antecedent conditions were significantly correlated with each other and with the Success scale, yet two of these scales (Structuring and Diffusion) were also single-item scales. Accordingly, no conclusions can be drawn concerning the failure of the mediating factors to correlate significantly with the success of an OE operation.

The pattern of the Overall Case Assessment intercorrelations supports the previous discussion of the Operation Coding Worksheet results. Structuring and diffusion emerge as important variables along with Roles (although these are not separated by User and OEC as in the Worksheet scales). The goal orientation of the Users, their subordinates, and the OECs also seems to be

important, with measurable outcomes clearly associated with the rated success of the OE operation.

     <u>Comparison of Cases Above and Below Success Scale Median</u>. The pattern of results from the chi square analyses supports the view that more successful OE operations involve active leaders (Users) who are committed to bringing about change in their organizations. These leaders can identify individuals and groups who will support or oppose OE operations. They engage in specific actions during various phases of the OE operation to generate support for the operation both within their own organization and from top management. These leaders accept coaching from the OEC on desirable behaviors and employ those behaviors. There emerges a picture of a leader who takes an active role in both structuring and diffusion activities and who works closely with the OEC to ensure the success of the operation. Thus, the findings suggest that it is the User who occupies the crucial role with respect to the success of an OE operation. But the results do not reveal to what extent the OEC might be involved in developing an atmosphere conducive to the leader's assuming responsibility for ensuring the success of the operation.

Cost and Benefits

     As explained previously, cost/benefit data were difficult to obtain or estimate. Rarely, if ever, are baseline data of this type obtained prior to an operation. The validity and reliability of records data that are obtainable after an operation has been completed are unknown. The authors estimated that about 50% of the operations investigated cost more than they produced in some form of benefit for the organization.

     To obtain meaningful cost/benefit data, however, would require that OE consultants plan to do so (and spend considerable time and effort on the project) from the beginning of an OE operation. Also needed (James & Oliver, 1981) is a manual of standard costs for the use of consultants in costing operations.

Model of Organizational Change

     This research provides support for the model of organizational change proposed by James et al. (1981). Specifically, the structuring and diffusing processes postulated by the model were associated with favorable outcomes as measured by the Success scale used in the research.

CONCLUSIONS AND RECOMMENDATIONS

     On the basis of the results presented in this report, we believe the following assertions can be made:

     1. The OE consultant should not limit operations to those involving interpersonal and intergroup interactions. The purpose of such operations should be to free up participants so they can accomplish organizational problem solving that results in positive technical/structural changes in the organization.

2. Macro-level operations must be very carefully planned and implemented. The difficulties of working in complex systems are enormous, and something less than complete success can be anticipated in first attempts.

3. Structuring activities, which lay the groundwork for moving the organization from its present state to the desired outcome, and diffusion activities, which insure the dissemination of information about the operation to all organizational levels, emerge as the crucial processes in an OE operation.

4. The key role in an OE operation is that of the User. Specifically, the User should have a strong goal orientation, define measurable outcomes, be able to identify support and opposition, and be actively involved in the structuring and diffusion processes.

5. Also important is an OE consultant who can coach the User in desirable behaviors and become actively involved in the diffusion process.

We believe the findings of this research have important implications for Army leader development and for the training of OE consultants. Accordingly, we make the following recommendations:

1. Army organizations responsible for leader development must ensure that leaders receive training and assignments that will develop their skills in managing organizational change. The new technologies which are already entering Army organizations make it imperative that leaders understand the change process and how to control it. Some of this skill can be obtained in the schoolhouse and some can be acquired on the job.

2. OE consultants should be trained in how to assist leaders in understanding and managing organizational change. In particular, OECs need guidance and training in how to work with leaders to help them develop a strong goal orientation, to accept coaching of desirable behaviors, to devise and engage in structuring activities (including what has been referred to here as applying practice theory and identifying organizational support and opposition), and to be actively involved in the diffusion process.

3. In both leader and OEC training, more emphasis should be placed on how to ensure that successful organizational change has a technological/structural component. Approaches such as sociotechnical systems analysis might receive more classroom and field training exercise (FTX) time during OEC training.

4. A continued effort needs to be made by OECS to train OECs to evaluate the OE process and its outcomes. OECs must help Users clarify their objectives and relate those objectives to the OE operation. The evaluation process should be planned from the beginning of an operation and modified as needed.

5. The design of the OE Information System now under development by ARI should make use of the findings of this research. For example, the structured case format should contain items that tap factors found to be related to the successful outcomes of OE operations.

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APPENDIX A

User Interview Questions

USER INTERVIEW QUESTIONS

I. Preliminary Instructions for the Interview

I am going to ask you a lot of specific questions about the way this OE operation was conducted. If you would, please answer each question in considerable detail. Your responses will be kept in the strictest confidence. If any of the information is used in the study, all of the specifics connecting it to you will be removed prior to use.

The interview has been structured chronologically. The questions are intended to focus our discussion in an orderly fashion so that we can obtain critical information about the operation within the time limits we have arranged.

II. Background

1. How many people are in your command?
(Breakdown major groups.)

2. How long has the command been in its present configuration? Location?

3. What is your primary mission?

4. Do all of the people who were involved in the OE operation report directly through the chain of command to you? (If the answer is no, probe whether there is indirect control or no actual control over rewards and sanctions for the individuals involved.)

5. Were you involved in the OE operation from its start? Have any key personnel been transferred since the start of the OE operation? Do you believe the transfers affected the results of the operation?

6. At what point in its training cycle was the command when the operation took place?

III. Questions

A. Scouting

1. How did the OE program come to your attention?

2. Had you had any direct experience with the program previously? What were the results?

3. How did you make the decision to use OE services? (Probe for pressures to solve a problem, internal or external pressures, OE marketing or other pressures such as those resulting from a superior's wishes for subordinates to become involved in OE.)

4. How did you make contact with the OESO (who initiated)?

B. Entry

1. What happened at the first meeting with the OESO?

2. What were your objectives at this point? Problems? What did you want?

3. At this point, what groups of people in your organization did you think should be involved in the operation? Were there any individuals or groups who supported or opposed the operation?

4. Have you had any particular problems that are directly related to how various subgroups work together? (i.e., union/management, military/civilian, male/female, racial groups, or young/old personnel)

5. Did you feel you and OESO were "on the same wavelength?" Why/why not? How did you know?

6. Did the OESO identify or recommend any specific actions or next steps for you to consider?

7. What objectives did you and the OESO agree on?

8 What specific operation implementation activities did you and the OESO agree on?

9. Were you clear about the mechanics of what would happen? Were you reasonably comfortable? What were they to be?

10. What time, personnel or other resources did you agree to provide? Did you/OESO feel these were adequate?

11. How did you feel about the prospects for the OE operation at this point?

12. Was anyone else in your command included at this point?

13. Were any specific actions taken to inform and get your organization and/or the people involved to support the OE operation?

14. Did any specific individual(s) from your organization act as a link between the people involved and the OESO and you?

15. How did your superiors view OE involvement?

16. In your view, what was the OESO's role in relation to the operation? (Helping relationship, expert process role.)

17. At this point, what purpose did you believe data collection would fulfill? (Catalytic versus specific problem identification.)

18. Did you and/or the OESO have a clear idea about any potential measurable outcomes?

C. Data Collection and Diagnosis

1. How were your decisions made about the way data would be collected?

2. How were respondents informed about the data collection effort? Did you do anything to inform them?

3. How did the OESO collect data? (Individual interviews? Group interviews? Surveys? Observation? Other?)

4. Who was data collected from? (Sampling design: number and percentage of respondents at each level?)

5. Were you or the participants asked to provide information about the ways to collect data?

6. Was any specific action taken to encourage participation and openness? (Probe for climate of psychological safety.)

7. Was there any opposition to the operation at this point? What did you do?

8. Did you participate in collecting the data? Did anyone else in your organization help collect the data?

9. Did you/they feel adequately informed about purposes, uses, confidentiality?

10. How were the results of the data collection presented to you?

11. Did you feel that the data had been reduced to the basic key issues? Did you feel that too much or too little data was presented? Was it presented in a way which was appropriate? At that time, what purposes did you believe the data collection and feedback process had?

12. If group feedback was used, was any action taken to encourage trust and openness during the feedback session?

13. Did you feel that the analysis was accurate? Were multiple data sources used to back up the analysis? Were there any surprises? Did you ask for any additional data collection to back up the analysis.

14. What specific next steps were recommended to you by the OESO at this point?

15. What specific operation objectives and activities did you and the OESO agree upon at this point?

16. Did you think that clarity existed around the roles, responsibility and collaboration required on the part of yourself and the OESO at this point? What sort of evidence would support this view?

17. At this point, what specific actions were taken to inform and get the people involved to support the objectives and planned operation activities?

D. Feedback

1. What outcomes were you expecting from the feedback session? In the event feedback, problem solving and action planning were planned to be conducted simultaneously:

   Were measurable outcomes for the activity established prior to the sessions? How were these outcomes disseminated to the participants?

2. How were the feedback recipients chosen?

3. Who was involved in the data feedback sessions? What levels or groups? How many sessions? In what order?

4 How were you and the feedback recipients prepared for the feedback sessions? Did you help prepare subordinates for the sessions? Did you take any specific action to get support for the sessions?

5. How were the feedback sessions designed? Did you or your subordinates have a hand in the design of the sessions? Did you or your subordinates actually present the feedback to the persons involved? Did you or your subordinates receive any training to do this? What specific action was taken to encourage trust, openness and participation during the sessions?

6. How much time elapsed from completion of the data collection activity until the feedback sessions? Do you feel that the feedback sessions were timely?

7. Did you think the data was presented appropriately? (Probe for appropriateness of amount, display and complexity of data presentation.)

8. Did you feel that you were able to maintain control over the operation to a sufficient degree during this process?

9   How did the sessions go? Any resistance? What kind? Did you do anything? (Evidence re: psychological safety) Data/diagnosis right? Did they tell you anything you didn't know? Problems (actual)? Ideas for change (ideal)?

10. What sort of actions were taken to reduce resistance that surfaced?

11. What were the outcomes? (Probe: initial problem solving or goal setting.)

12. Did your objectives for the operation begin to change in any way after the sessions?

13. How much time elapsed between the feedback sessions and additional implementing activities?

E. Planning for Operation's Implementing Activities

1. How was any future activity planned?

2. How were the decisions to take specific actions made?

3. How were participants chosen?

4. Were participants included in any portion of the planning?

5. At this point, what intended outcomes did you envision for the operation's activities? Were they the same as the OESO's?

6. Were intended objectives disseminated? How? What was the response? From whom?

7. Did you and the OESO have any specific indicators in mind that would measure the success of the operation?

8. Was a plan for the operation's activities disseminated? How? To what level? What was the response? From whom?

F. Problem Solving/Goal Setting/Action Planning Activities

1. How were these activities planned?

2. How were the decisions to take specific actions made?

3. How were participants chosen?

4. Were participants included in any portion of the planning?

5. At this point, what specific objectives did you envision? Were they the same as the OESO's?

6. Were intended objectives disseminated? How? What was the response? From whom?

7. Were indicators determined at this point as to how to measure success or failure of the activities?

8. To what extent did you feel that you had direct control over, policy, implementation activity, and rewards and sanctions of the people who would be involved in implementing the intended objectives?

9. What specific problem solving, goal setting and action planning activities were planned?

10. What was the design of session: Theory? Practice/Experience? Appropriateness? (Varied learning styles or awareness of recipients "maturity" levels? Appropriate learning styles or "maturity" level in design?)

11. Did the sessions appear to relate well to your objectives?

12. How were the participants prepared to participate in the sessions? Was any specific action taken to get persons involved to support the activities? What was your role?

13. Was problem-solving conducted during the session? How? What was the result?

14. Was any particular technical expertise required to assist you and the participants to identify potential solutions and action steps to resolve the issues? What resource was used to provide the expertise? Did you feel comfortable with the data provided by the expert resource?

15. Were any goals set during the session? Example? (Challenging yet realistic/nontrivial? Measurable? Due dates?)

16. Were action steps identified during the session to reach a goal? Example? Were there any evaluation methods included to measure progress and/or attainment?

17. Is this operation likely to have any impact on other parts of the organization? Who? What?

18. Did you/participants feel any part of the operation needed to be changed? Did the OESO pick up on this? Did he/she change anything? (Feedback loops)

19. Were the results of the session communicated to non-participants? How? What was the response?

20. Do you have any plans for further contact with the OESO?

G. Action

1. What did you or others in your command do as result of operation? (Probe for specifics -- techniques, skills or knowledge applied, structure changed, rewards/sanctions implemented, etc.)

2. Were planning actions disseminated to members of your organization other than to participants in the action planning activities?

3. What percent of recommended action steps from the action planning session were tasked to lower levels for implementation? What specific actions have already been implemented?

4. Did inability to control policy, implementation activity, or rewards and sanctions of the people involved prevent implementation of the actions? Have you changed your objectives? How?

5. Using hindsight, could any of the outside interferences been avoided?

6. Were there any outside influences that enhanced implementation of the action?

7. Has the OE operation improved your unit effectiveness? How do you know?

8. Do you feel the operation was related to your planning objectives?

9. Have you personally done anything differently since the operation?

H. Follow-up Technical Assistance and Support

1. Have you been in touch with OESO since the session? Who contacted whom?

2. Has the OESO given you any help or feedback on your change activities? What?

3. How does your superior (top management) feel about the OE effort at this point? How do you feel?

4. Has anyone received any positive or negative recognition for taking any action stemming from the operation?

5. Have participants gotten together since the operation (reference group)?

6. Has the operation had any impact on other parts of the organization? What?

I. Evaluation

1. Is the operation being evaluated? How long after the last event did evaluation begin? How is evaluation being done? What are your criteria of success/failure? Are they the same as those which were developed during the planning sessions?

2. How will findings be used? Who gets them? What reactions?

J. Termination

1. How would you rate the effectiveness of your organization in relation to other similar Army organizations on job performance? On overall job satisfaction? (Ask user to rate on scale of high, medium or low.)

2. How would you describe the managerial style you use in normal day to day operations? What do you do that would make you describe your style in this way?

3. How do you feel people have responded to this style?

4. Have you used any of the skills/knowledge/techniques imparted in the operation on your own? Gotten anything you can use?

5. How did termination occur? Why?

6. All in all, do you feel operation was a success or failure? Why?

7. What specific action do you think contributed most to either success or failure?

8. Is there anything about the operation that you would like to add?

IV. Departure

At the close of the interview request permission to make a departure call on the user. When the call is made ask:

1. Is there anything about the operation you would like to add?

APPENDIX B

OE User Target Interview Questions

OE User Target Interview Questions

I. **Preliminary Instructions for the Interview**

I am going to ask you a lot of specific question about the way
this OE operation was conducted. If you would, please answer each
question in considerable detail. Your responses will be kept in
the strictest confidence. If any of the information is used in
the study, all the specifics connecting it to you will be removed
prior to use. The interview has been structured chronologically.
The questions are intended to focus our discussion in an orderly
fashion so that we can obtain critical information about the
operation within the time limits we have arranged.

II. **Background**

1. How many people are in your command?
   (Breakdown major groups.)

2. How long has the command been in its present configuration?
   Location?

3. What is your primary mission?

III. **Diffusion and Support Questions**

1. How did you find out about the effort?

2. Were you consulted about being involved in the effort? Were
   you informed about a specific issue or problem which
   generated the effort? How?

3. Did you think the objectives of the effort were addressing
   the right problem or issues?

4. Did you think the approach was correct? What did you expect
   would be the results?

5. How did you learn about the data collection effort?

6. Were you consulted about the best way to collect data?

7. Did you think that the methods used to collect the data were
   appropriate to the problem and the people involved?

8. Did you participate in the data collection? Did people who work for you participate? How many and what levels?

9. Did you get results from the data collection? How was the information presented to you? Did you think the method of presenting the data was appropriate? How did you feel when you got the data?

10. Was the data understandable? Did you think the data identified a real problem? Did you think the data addressed the right problem?

11. How were you included in the planning for action process? Were the methods used for planning appropriate? Were the right people included? What results did you expect?

12. How did the sessions go? What happened?

13. Were any goals and objectives set as a result of the planning session? Did you agree with them? Did you think they were realistic? What sort of documentation of goals or objectives did you actually see after the planning session?

14. What action did you see as a result of the activity? Were you told to take any action? Was your organization told to do anything? What did you actually do?

15. Were you asked to evaluate the impact of the action on your organization? How did you evaluate the impact of the action? How could you evaluate the impact of the action?

16. What specific costs or benefits did you see as a result of the activity? What were the overall outcomes (results of the effort), in your opinion?

17. In your opinion, was the operation a success? Why or why not? What parts? What factors caused it to fail?

18. What was the single most important action which caused it to succeed or fail?

19. Is there anything else about the operation that you would like to add to the information I have requested?

APPENDIX C

OE Consultant Interview Questions

OE CONSULTANT INTERVIEW QUESTIONS

I.   Preliminary Instructions for the Interview

I am going to ask you a lot of specific questions about the way
in which this OE operation was conducted. If you would, please
answer each question in considerable detail. Your responses will
be kept in the strictest confidence. If any of the information
is used in the study, all the specifics connecting it to you or
your client will be removed prior to use.

The interview has been structured chronologically. The questions
are intended to focus our discussion in an orderly fashion so
that we can obtain critical information about the operation within
the time limits we have arranged.

II. Background

   1.   Where did you obtain your OE consultant training? Have you
        had any training in addition to OEC&S?

   2.   How many "four step" OE operations have you conducted? As
        lead consultant? In an assist role? How many users have
        been involved?

III. Questions

A.   Scouting

   1.   How did the user come to your attention?

   2.   When the user contacted you, did the user state any
        particular reason for contacting you at that point?

   3.   What did you know about user at that point? Find out?

   4.   Was an OE consulting team established at that point?
        Describe the team. Were consultants from other than your
        organization involved?

   5.   Did the assignment of consultants to the operation remain
        the same throughout the operation? Lead Consultants?
        Assistant Consultants?

   6.   How much time elapsed from the initial contact with the user
        until your first in depth discussions with the user about
        conducting the operation?

7. When appropriate, ask if the difference in rank or between the OESO and user status presented any problems that may have affected the conduct of the operation. What sort of problems?

B. Entry

1. On entry, was your first contact with the user? What were the results of this meeting?

2. Did you sense that the user's superior in the chain of command did or did not support OE operations?

3. Did you talk to anyone else in the user's organization?

4. Did you feel you and user were "on the same wavelength?" Why/why not? (Probe: congruence? Recognition of client felt needs?)

5. What target group seemed to be emerging?

6. On entry, what did you see as the user's problem, needs or objectives? What did he/she want?

7. How did you feel about prospects for the operation at this point?

8. What objectives for the operation did you agree on? Were they potentially measurable? Did you talk about that?

9. What specific operation activities did you agree on?

10. What resources, time or personnel commitments was the user willing to provide at this point? Did you think these were adequate? Did you say anything?

11. What specific actions did the user take to legitimize the operation within his/her organization?

12. Was there anyone in the user's organization who acted as an internal consultant or link between you, the user, and lower levels of the organization; If so,

    What was his/her previous training and what sort of influence did this linking person have on the operation?

13. How did the user view you (Type of role and OESO expertise)?

14. What understanding do you believe the user had about data collection and feedback?

C.   Data Collection and Diagnosis

1.   How did you decide what data collection method to use? Was
      this driven by previous events in the user's organization?

2.   What method did you use? (Individual interviews? Group
      Interviews? Surveys? Observation? Other?)

3.   Who did you get data from? (Sampling design? Number and
      percentage of respondents at each level?)

4.   How were respondents informed about the data collection
      effort?

5.   Did the respondents suggest ways to collect data?

6.   Did persons in the user's organization assist in the data
      collection?

8.   Was a standard data collection instrument used? If not,
      please describe the method that was used to develop the
      survey instrument or interview protocols.

9.   Did the data collection effort surface any significant
      opposition to the operation? Was any specific action taken
      to reduce opposition or build support for the operation?
      What sort of action?

10.   How did you go about analyzing and consolidating the results
      of the data collection effort? What criteria did you use?
      How many separate issues or problem areas were identified
      for presentation to the user as potential objectives for
      improvement?

11.   What process did you use for presenting the data feedback
      to the user? If group feedback was used, what levels were
      involved and what percent of persons from each level were
      present at the feedback session?

12.   Were specific objectives for the operation specified at this
      time? Who decided on the objectives?

13.   Was any additional data collection or anlysis required after
      feedback to the user in order to clarify or further justify
      an issue area?

14.   What purposes do you believe the user understood the feedback
      process to have?

15.   What specific next steps were identified to the user at this
      point?

16. What specific activities and schedule did you and the user agree upon at this point? Were they potentially measurable? Did you and the user discuss that?

17. Did you think that clarity existed around the roles, responsibilities and collaboration required on the part of yourself and the user at this point? What sort of evidence would support this view?

18. What actions did you advise the user to take in preparation for future activities?

19. Was any additional action required to prepare your consulting team or to establish and expanded consulting team to conduct the operation's activities at that point? If the team was expanded, identify the role and relationship of new members of the team.

20. Did you coach the user in any way to help create a climate of trust and participation around the data collection effort.

D. Feedback

1. What outcomes were you seeking from the feedback activity? Where the outcomes disseminated to participants? Were they measurable.

2. How were the feedback recipients chosen?

3. Who was involved in the data feedback sessions? (Family group or other)

4. How were the feedback recipients prepared for the sessions?

5. What was the design of the sessions? Were the groups with or without leaders? What levels of personnel were involved in each feedback session?

6. What role did the user have in the sessions? Were the groups with or without leaders? What levels of personnel were involved in each feedback session?

7. In the event feedback, problem solving, and action planning were planned to be conducted in the same session, ask the following questions:

    Were measurable outcomes for the activity established prior to the sessions? How were these outcomes disseminated to the participants?

8. Was concepts training included as a precondition to the feedback session? Describe briefly the design of the concepts training sessions. (Probe to see if it specifically attempted to train the users to be better users of OE services.)

9. Were any specific actions taken to gain support for the feedback session? (Probe actions to create climate of psychological safety.)

10. How much time elapsed between the time data collection was completed and the feedback sessions began?

11. Did the OESO or persons from the user's organization present the feedback to the group? Did persons giving feedback other than OESO's receive any training for giving feedback?

12. How did you run the session? (Probe: participant inputs to objectives, agenda, how long?)

13. How did it go? Any resistance? What kind? (Probe: evidence re: psychological safety.)

14. What were the outcomes? Was data verified by additional data from participants? Did participants accept or deny the data? (Probe for initial problem-solving or goal setting.)

15. Did feedback sessions seem consistent with group and organization values? (Probe for trust, open communications, participation.)

16. Did feedback data appear to threaten significant numbers of participants? (Probe for threats to job security, power or authority.)

17. How much time elapsed from the completion of feedback to the start of additional implementation activities?

E. Planning for the Operation's Implementing Activities

1. How was any future activity planned?

2. How were the decisions to take specific actions made?

3. How were participants chosen?

4. Were participants included in any portion of the planning?

5. At that point, what intended outcomes did you envision for the operation's activities? Were they the same as the user's?

6. Were intended outcomes disseminated? How? What was the response? From whom?

7. Were the intended outcomes measurable? ·

8. Was a plan for the operation's activities disseminated? How? To what level? What was the response? From whom?

F. Problem Solving/Goal Setting/Action Planning Activities

1. How were these activities planned? What did the consulting team do to prepare?

2. How were the decisions to take specific actions made?

3. How were participants chosen? How many participants?

4. Were participants included in any portion of the planning?

5. At this point, what intended outcomes did you envision? Were they the same as the user's?

6. Were intended outcomes disseminated? How? What was the response? From whom?

7. Were the intended outcomes measurable? Did you discuss this with the user?

8. To what extent did the user have direct control over policy, implementation activity, and rewards and sanctions of the people who would be involved in implementing the intended outcomes?

9. What specific problem solving, goal setting and action planning activities were planned?

10. What was the design of these activities? (Varied learning styles or awareness of "maturity" level of recipients.) Did they seem to be getting it? (Appropriate learning style or "maturity" level in design.)

11. Was the user present at these sessions? Did you or the user take any specific action to create an atmosphere of trust, openness or participation? (Probe for climate of psychological safety.)

12. What specific problem solving techniques were employed during the activities? (Probe for group size, composition, and techniques such as OMR, force field, criterion based, demand based, etc.)

13. Did participants solve any problems during the sessions? What were they? How did they solve them?

14. Did participants set any goals during the session? Example of goal set? (Challenging but realistic, measurable, due date?)

15. What constraints, links, impact or effect on other parts of the organization did participants identify and consider during the activities?

---

16. Did participants use data and/or concepts training to identify alternative solutions to identfied problems? Were criteria established for alternative choices and then used to make a decision?

17. Were action steps identified by the participants? Example?

18. Was a method for evaluating the results of action established at this point?

19. Did anything during the activities lead you to modify your operation's implementation activity?

20. Were the results of the session communicated to non-participants How? What was the response?

21. Do you have any plans for further contact with the client?

22. Was any particular technical expertise required to assist the user and the participants to identify potential solutions and action steps to resolve the issues? Could you provide the techical expertise? If not, what did you do to get the required expertise?

G. Action

1. What did the user do as a result of the operation?

2. Were planned actions disseminated to members of the user's organization other than to the participants in the action planning activities?

3. Were action steps delegated to the lowest level for implementation? What percent of the recommended action steps were tasked for implementation? What percent have been completed?

4. Did user lack of control over policy, implementation activity, or rewards and sanctions of the people involved prevent implementation of any of the actions?

5. What outside interferences prevented implementations of the actions?

6. In hindsight, could any of the outside interferences been avoided? How?

7. Were there any outside influences that enhanced implementation of the action?

H. Follow-up Technical Assistance and Support

1. Have you been in touch with user since the implementation session? Who contacted whom?

2. What did you do? (Technical assistance, feedback on goal progress.)

3. How does the user's top management feel about the operation? (Support/lack of support)

4. Have participants received any rewards/sanctions for actions as a result of the operation?

5. Has the operation had any effect on the rest of the user organization? (Probe for continued lower level involvement, continued use of activities such as data collection, problem solving, and action planning sessions.)

I. Evaluation

    1.   Is the operation being assessed? How? When? What are the criteria for success/failure? Are they the same as those which were developed prior to action/implementation?

    2.   How are the findings being used? Who gets them? What reactions?

J. Termination

    1.   Has client used any of the skills/knowledge/techniques imparted in the operation on his/her own? (Evidence of transferred capability)

    2.   How did termination occur: Why?

    3.   All in all, do you feel the operation was a success or failure? Why?

    4.   What specific action do you think contributed most to either success or failure?

    5.   Is there anything else about the operation that you would like to add?

APPENDIX D

OE Operation Coding Worksheet

OE OPERATION CODING WORKSHEET

CODING DATE _____

CODER _____ CHECK CODER _____

CASE DESCRIPTION _____

_____

DATE: COMMENCE _____TERMINATE   ONGOING

I.   GENERAL (This section is to be completed after final coding and
      classification of the case)

   1.   CASE IDENTIFICATION NUMBER: ( ) ( ) (   ) ( ) ( ) ( )

         (Sequential)

   2.   CASE OUTCOME ASSESSMENT:

         (1) Success

         (2) Failure

   3.   USER CLASS:

         (1) Class I

         (2) Class II

         (3) Class III

         (4) Class IV

   4.   OE OPERATION CLASS:

         (1) Class A

         (2) Class B

         (3) Class C

II. OESO DESCRIPTION

1. NAME: _____

2. TITLE: _____

3. POSITION/RESPONSIBILITIES:

    (1) Director OE staff

    (2) OE Lead Consultant

    (3) OE Assistant/Intern Consultant

4. REPORTING RELATIONSHIP TO USER:

    (1) Internal

    (2) External

5. MILITARY RANK. Pay Grade:_____

6. CIVILIAN GRADE. GS Grade:_____

7. JOB RELATED TRAINING:

    (1) OEC&S Consultant Training Course

    (2) On Job Training

    (3) Academic MA Psychology

    (4) Academic PHD Psychology

    (5) Academic MA Organizational Behavior

    (6) Academic PHD Organizational Behavior

    (7) Academic Other _____

    (8) Other _____

8. CONSULTING EXPERIENCE. NUMBER OF "FOUR STEP" OPERATIONS WITH DIFFERENT USERS CONDUCTED: _____

9. NUMBER CONDUCTED PRIOR TO OPERATION BEING DISCUSSED: _____

10. UNCERTAINTY. TURNOVER OF LEAD OESO DURING OE OPERATION PROCESS (Indicate last process step completed by initial lead consultant):

(1) Scouting

(2) Entry

(3) Data Collection

(4) Diagnosis

(5) Feedback

(6) Problem solving/goal setting/action planning

(7) Action

(8) Follow-up

(9) Evaluation

(10) Termination

(11) Does not occur

11. OESO'S ACTIVE INVOLVEMENT IN OPERATION CEASES AFTER:

(1) Scouting

(2) Entry

(3) Data Collection

(4) Diagnosis

(5) Feedback

(6) Problem solving/goal setting/action planning

(7) Action

(8) Follow-up

(9) Evaluation

(10) Termination

12. STATUS DIFFERENTIAL OESO/USER:

(1) OESO Junior more than 3 grades

(2) OESO Junior 3 grades

(3) OESO Junior 2 grades

(4) OESO Junior 1 grade

(5) OESO equivalent

    (6)   OESO senior 1 grade

    (7)   OESO senior 2 grades

    (8)   OESO senior 3 grades

    (9)   OESO senior more than 3 grades

    (10)   OESO Military/User Civilian

    (11)   OESO Civilian/User Military

13.   STATUS DIFFERENTIAL PRESENTED PERCEIVED PROBLEMS:

    (1)   Yes

    (2)   No

III. <u>USER DESCRIPTION</u>

    1.   NAME: _____

    2.   TITLE: _____

    3.   USER RANK/GRADE: _____

    4.   POSITION/RESPONSIBILITIES:

        (1)   Company Cdr

        (2)   Battalion Cdr

        (3)   Brigade Cdr

        (4)   Division Cdr

        (5)   Army Cdr

        (6)   Head Staff Directorate HQDA level

        (7)   Head Staff Directorate 2nd Echeleon

        (8)   Head Staff Directorate 3rd Echeleon

        (9)   Cdr Industrial/Support Base

      (10)   Head, Directorate Industrial/Support Base

      (11)   Other, Specify _____

    5.   SIZE OF USER ORGANIZATION. NUMBER OF PERSONNEL: _____

    6.   MILITARY PERSONNEL COMPOSITION OF USER ORGANIZATION BY PERCENTAGE: _____

    7.   CIVILIAN COMPOSITION OF USER ORGANIZATION BY PERCENTAGE:___

    8.   PRESENCE OF UNION REPRESENTATION IN WORK FORCE:

        (1)   Yes

        (2)   No

    9.   MISSION OF COMMAND:

        (1)   Combat

(2) Combat support

(3) Combat service support

(4) Industrial support

(5) Personnel support

(6) Training support

(7) Operations support

(8) Logistics support

(9) Other, specify _____

10. CHAIN OF COMMAND:

(1) FORSCOM

(2) TRADOC

(3) USAREUR

(4) EUSA

(5) Other, Specify _____

11. POINT IN TRAINING CYCLE:

(1) Within 6 months prior to annual training readiness exercise

(2) During annual training readiness exercise

(3) Three months after annual training readiness exercise

(4) Three to six months after annual training readiness exercise

(5) Six to twelve months after annual training readiness exercise

(6) Twelve to twenty-four months after annual training readiness exercise

12. ORGANIZATIONAL STRUCTURE TYPE:

(1) Company

(2) Battalion

(3) Brigade

(4) Division

(5) Agency

(6) Base Installation

(7) Directorate

(8) Staff/Directorate of large system

(9) Department of Agency or Base Installation

(10) Other, specify _____

13. UNCERTAINTY. TIME USER IN ASSIGNMENT SUBSEQUENT TO OPERATION.

NUMBER OF MONTHS: _____

14. UNCERTAINTY. TIME IN POSITION PRIOR TO OPERATION.

NUMBER OF MONTHS: _____

15. UNCERTAINTY. TURNOVER OF USER OCCURS DURING OE OPERATION PROCESS (indicate last process step where initial user was involved):

(1) Scouting

(2) Entry

(3) Data Collection

(4) Diagnosis

(5) Feedback

(6) Problem solving/goal setting/action planning

(7) Action

(8) Follow-up

(9) Evaluation

(10) Termination

(11) Does not occur

16. PROBLEM LOCUS. SUBGROUP VARIABLES AFFECTING OPERATION:

       (1)   Union-management

       (2)   Military-civilian

       (3)   Male-Female

       (4)   Race

       (5)   Young-old

       (6)   Other, specify _____

17. USER RATING OF HISTORICAL SYSTEM EFFECTIVENESS. JOB PERFORMANCE:

       (1)   Low

       (2)   Medium

       (3)   High

18. USER RATING OF HISTORICAL SYSTEM EFFECTIVENESS. JOB SATISFACTION:

       (1)   Low

       (2)   Medium

       (3)   High

19. UNCERTAINTY. TURNOVER OCCURS. INITIAL USER TAKE ACTION TO INCREASE LIKELIHOOD OF CONTINUATION OF THE OPERATION OR ATTAINMENT OF THE OPERATION'S OBJECTIVES:

       (1)   Tasks all action prior to detachment

       (2)   Publishes planned objectives and action to multi-levels of the organization

       (3)   Establishes Special Group to monitor and/or expedite action

       (4)   Briefs new USER on planned actions

       (5)   Obtains support of new USER for transition workshop

       (6)   Briefs seniors on planned actions prior to detachment

       (7)   Other, specify _____

IV. SCOUTING

1. INITIATION OF CONTACT:

   (1) OESO initiated

   (2) User initiated

   (3) Other, specify _____

2. USER REASON FOR INVOLVEMENT IN OE:

   (1) External pressure from seniors in chain

   (2) Other external pressure, specify _____

   (3) Internal pressure around specific issue, specify ____

   (4) OESO marketing activity

   (5) Previous knowledge/experience with OE

   (6) Other, specify _____

3. OESO REASON FOR INITIATION OF CONTACT WITH USER:

   (1) Known supporter/previous user of OE.

   (2) Subordinates of USER contact OESO about a problem.

   (3) OESO referred to USER by USER peer as a potential
       supporter.

   (4) Other OESO contact/knowledge indicates USER potential
       supporter.

   (5) OESO directed by senior of USER to contact USER
       because of known problem.

   (6) Other, specify _____

V. ENTRY

1. TOP MANAGER SUPPORT. USER IS COMMANDER, DIRECTOR, ETC.:

    (1) Yes

    (2) No

2. USER'S SENIOR IN CHAIN OF COMMAND SUPPORTS OF OPERATION:

    (1) Yes

    (2) No

    (3) Unknown

3. PROBLEM LOCUS. ORGANIZATIONAL FUNCTION:

    (1) Operations

    (2) Operational support

    (3) Administrative support

    (4) Technical support

    (5) Strategic support

    (6) Other, specify _____

4. PROBLEM LOCUS SIZE:

    (1) Individual

    (2) Interpersonal

    (3) Intragroup

    (4) Intergroup

    (5) System

5. PROBLEM LOCUS. ORGANIZATIONAL LEVEL INVOLVED:

    (1) Non-management

    (2) Lower management-4th level, reports to 3rd level

    (3) Middle Management-3rd level, reports to 2nd level

(4) Top Management-2nd level, reports directly to Top Manageme[n]

(5) Top Management

6. PROBLEM LOCUS. TYPE:

(1) Task problem-how work is carried out and organized

(2) Goal problem-unclear goals and objectives or failure to meet them

(3) Interdependence problem-necessity for joint agreement or joint action

(4) Power problem-misuse/abuse of authority, failure to follow orders. Excessive/unnecessary rules or regulations.

(5) Climate problem-catchall: lack of cooperation, unwillingness to do more than minimum -- could be related to standardized measures

7. OESO UNDERSTANDS DEFINITION OF CLIENT PROBLEMS:

(1) Yes

(2) No

8. USER HAS POWER OR STATUS TO LEGITIMIZE OE OPERATION AMONG ALL LEVELS AND GROUPS INVOLVED:

(1) Yes

(2) No

9. USER IDENTIFIES PROMOTING/RESTRAINING FORCES FOR DESIRED CHANGE:

(1) Supporting individuals and groups

(2) Opposing individuals and groups

(3) Problems involving control or authority to make change

10. MANAGER TAKES ACTION THAT ENCOURAGES PERSONNEL TO COOPERATE:

(1) Yes

(2) No

11. INITIAL OBJECTIVES FOR OPERATION INVOLVE:

(1) Interpersonal relationships

  (2) Work group processes

  (3) Job redesign

  (4) Personnel systems

  (5) Management information/Financial control

  (6) Organizational design

  (7) Combat operations processes

  (8) Organizational assessment

  (9) Other, specify _____

12. OESO AND USER AGREE ON INITIAL OBJECTIVES FOR OPERATION:

  (1) Yes

  (2) No

13. OESO IDENTIFIES TO USER POSSIBLE NEXT STEPS FOR ADDRESSING CLIENT NEEDS AND OBJECTIVES:

  (1) Yes

  (2) No

14. USER EXPRESSES UNDERSTANDING ABOUT OE:

  (1) Helping relationship of OESO

  (2) OESO's expert process role

  (3) Data collection/analysis/feedback purpose is as a catalyst for action vice final problem identification

  (4) The need to build commitment within target group from outset

  (5) The need to establish, measure, evaluate outcomes & objectives

15. OESO AND USER AGREE ON OPERATION IMPLEMENTATION ACTIVITIES:

  (1) Yes

  (2) No

16. OESO/USER INTENDED ACTIVITIES INVOLVE:

(1) Individual consultation

(2) Unstructured group training

(3) Structured group training involving educational activity

(4) Structured group training involving team building

(5) Process consultation

(6) Survey guided development

(7) Other, specify _____

17. INTENDED FEEDBACK METHOD:

(1) Data handback

(2) Data feedback

(3) Not intended

18. INTENDED RECIPIENTS OF DATA FEEDBACK OR HANDBACK:

(1) Non-management

(2) Lower management

(3) Middle management

(4) Top management

(5) Others, specify _____

19. OESO CONSIDERS RESOURCES ADEQUATE:

(1) Yes

(2) No

20. USER EXPECTATIONS FOR OE OPERATION:

(1) Negative

(2) Positive but unrealistic

(3) Positive but realistic

21. OESO EXPECTATIONS FOR OE OPERATION:

    (1) Negative

    (2) Positive but unrealistic

    (3) Positive but realistic

22. USER TAKES ACTION TO INFORM AND GET ORGANIZATION AND/OR
    PERSONS INVOLVED TO SUPPORT OE OPERATION TO LEVEL INDICATED:

    (1) None

    (2) Non-management

    (3) Lower management

    (4) Middle management

    (5) Top management

    (6) Other, specify _____

23. USER IDENTIFIES AND TASKS INTERNAL RESOURCE TO ACT AS LINK
    BETWEEN OESO, TARGET OF CHANGE AND USER:

    (1) Yes

    (2) No

24. INTERNAL RESOURCE LINK IS IN:

    (1) Non-management

    (2) Lower management

    (3) Middle management

    (4) Top management

    (5) Other, specify _____

25. INTERNAL RESOURCE LINK IS TRAINED IN OE:

    (1) Yes

    (2) No

26. USER INCLUDES PERSONS OTHER THAN HIM OR HERSELF IN ENTRY
    PROCESS:

    (1) External persons

    (2) Internal persons

    (3) Non-management

    (4) Lower management

    (5) Middle management

    (6) Top management

VI. **DATA COLLECTION**

1. DECISIONS FOR DATA COLLECTION METHODS MADE. BY:

    (1) OESO-user approval

    (2) OESO-user joint decision

    (3) OESO-user target decision

2. DATA COLLECTION METHODS AND INSTRUMENTS USED:

    (1) Individual Interviews

    (2) Group Interviews

    (3) Observation

    (4) Document Analysis

    (5) GOQ

    (6) WEQ

    (7) OESO Designed Survey

    (8) LEAD

    (9) FIRO-B

    (10) Managerial Style Questionnaire

    (11) Learning Style Inventory

    (12) Other, Specify _____

3. INTERVIEW AND/OR OESO DESIGNED SURVEY:

    (1) Based on entry objectives

    (2) Based on survey data

    (3) Open-ended issue identification

    (4) Other, specify _____

4. RESPONDENTS:

                                                    PERCENT

	None	1-25	25-50	50-75	75-100
Non-Management	(1)	(2)	(3)	(4)	(5)
Lower Management	(6)	(7)	(8)	(9)	(10)
Middle management	(11)	(12)	(13)	(14)	(15)
Top management	(16)	(17)	(18)	(19)	(20)

5.   METHOD USED TO INFORM RESPONDENTS ABOUT DATA COLLECTION
     EFFORT:

     (1) Formal written notification, i.e. DF

     (2) User Briefing

     (3) OESO Briefing

     (4) User/OESO Briefing

     (5) OESO trained user group personnel

     (6) Other, specify _____

     (7) None used

6.   ACTION TAKEN TO ENCOURAGE OPENNESS AND PARTICIPATION BY USER
     IN DATA COLLECTION:

     (1) Formal written notification, i.e. DF

     (2) Briefing of non-management

     (3) Briefing of lower management

     (4) Briefing middle management

     (5) Briefing top management

     (6) Briefing of all respondents

     (7) None taken

7.   ACTION TAKEN TO ENCOURAGE OPENNESS AND PARTICIPATION BY
     OESO:

     (1) Formal written notification

     (2) Briefing of non-management

      (3)   Briefing of lower management

      (4)   Briefing of middle management

      (5)   Briefing of top management

      (6)   Briefing of all respondents

      (7)   None taken

8.   OESO/USER BELIEVES USER ADEQUATELY INFORMED ABOUT
      PURPOSE/USES AND CONFIDENTIALITY OF DATA COLLECTION EFFORT:

	OESO	USER
Yes	(1)	(2)
No	(3)	(4)

9.   OESO/USER BELIEVES <u>RESPONDENTS</u> ADEQUATELY INFORMED ABOUT
      PURPOSE, USES, AND CONFIDENTIALITY OF DATA COLLECTION EFFORT:

	OESO	USER
Yes	(1)	(2)
No	(3)	(4)

10.   DATA COLLECTION EFFORT SURFACES SIGNIFICANT OPPOSITION TO
      OE OPERATION:

      (1)   Yes

      (2)   No

11.   USER TAKES ACTION TO REDUCE OPPOSITION AND ENCOURAGE SUPPORT
      FOR OPERATION:

      (1)   Yes

      (2)   No

12.   OESO COACHES USER IN BEHAVIORS TO ENCOURAGE OPENNESS
      AND PARTICIPATION DURING DATA COLLECTION:

      (1)   Yes

      (2)   No

VII. DIAGNOSIS/FEEDBACK

1. METHOD OF PRESENTING INITIAL FEEDBACK TO USER:

   (1) Data Handback

   (2) Individual Feedback

   (3) Group Feedback

2. INITIAL FEEDBACK TO USER/GROUP LEVELS INVOLVED:

   (1) Non-management

   (2) Lower management

   (3) Middle management

   (4) Top management

   (5) Other, specify _____

3. USER TAKES ACTION TO ENCOURAGE TRUST AND OPENESS WHEN INITIAL FEEDBACK IS IN A GROUP SESSION:

    (1) Yes

    (2) No

4. OESO ANALYZE DATA FOR PRESENTATION AND IDENTIFIES ACTUAL/IDEAL DISCREPANCIES FOR ISSUES:

    (1) Yes

    (2) No

5. CONSOLIDATES DATA INTO KEY ISSUES.

    (1) OESO   (3) Both

    (2) User   (4) Number Presented to User

6. CRITERIA FOR IDENTIFYING KEY ISSUES:

    (1) User objectives from entry phase

    (2) 10 most positive/10 least positive responses

    (3) Comparison of data to data from similar units

    (4) Common themes

    (5) Other, specify _____

7. USES MULTIPLE TYPES OF DATA SOURCES TO BACK UP ANALYSIS PRESENTED IN FEEDBACK TO USER:

    (1) Yes

    (2) No

8. USER CONSIDERS DATA

    (1) Accurate

    (2) Identifies unexpected issues

    (3) Incomplete, requires additional data

(4) Excessive in quantity

9. ACCEPTANCE BY USER:

    (1) high

    (2) medium

    (3) low

10. SPECIFIC OBJECTIVES FOR IMPLEMENTATION DETERMINED BY USER:

    (1) Prior to completion of feedback to non-management

    (2) Prior to completion of feedback to lower management

    (3) Prior to completion of feedback to middle management

    (4) Prior to completion of feedback to top management

11. USER VIEWS VALUE OF FEEDBACK AS WAY OF IDENTIFYING:

    (1) Emerging issues

    (2) Developing commitment for change

    (3) Problem identification

12. INTENDED OUTCOMES FROM FEEDBACK ACTIVITY:

   (1) Acceptance of data

   (2) Additional data regarding issue/problem areas

   (3) Famliarization of leadership with data for feedback to lower levels

   (4) Data for planning/modifying planned implementing activities

   (5) Initial problem solving, future formal problem solving session scheduled

   (6) Initial action planning, future formal action planning session scheduled

   (7) Problem solving/no further group participation scheduled

   (8) Action planning/no further group participation scheduled

   (9) Refinement of issue/problem areas to limit planned OE activities in future

   (10) Delegation of issue/problem

   (11) Refinement of OE operation objectives

   (12) Other, Specify _____

13. OESO/USER ESTABLISHED SUCCESS AND FAILURE MEASURES FOR OUTCOME OF FEEDBACK ACTIVITY:

   (1) Yes

   (2) No

14. INTENDED OUTCOMES FOR FEEDBACK ACTIVITY DISSEMINATED TO PARTICIPANTS:

   (1) Yes

   (2) No

15. DESIGN OF GROUP FEEDBACK SESSIONS:

	Individual FB	Data HB	Group FB	User Present (at least partially)
None (0)				
Non-management	(1)	(2)	(3)	(4)
Lower management	(5)	(6)	(7)	(8)
Middle management	(9)	(10)	(11)	(12)
Top management	(13)	(14)	(15)	(16)
Peer group	(17)	(18)	(19)	(20)
Family group	(21)	(22)	(23)	(24)

Other, specify _____

16. CATEGORIES OF PERSONNEL CONSCIOUSLY INCLUDED IN FEEDBACK SESSIONS:

    (1) Not considered

    (2) Military

    (3) Civilian

    (4) Union

    (5) Management

    (6) Representative racial/ethnic mix

    (7) Representative male/female mix

    (8) Young/old

    (9) Other, specify _____

17. CONCEPTS TRAINING CONDUCTED AS PRECONDITION FOR FEEDBACK SESSIONS:

    (1) Yes

(2) No   (3) Other, Specify _____

18. FEEDBACK SESSION PARTICIPATION. RATIONALE FOR SELECTING
    PARTICIPANTS IN FEEDBACK SESSIONS:

    (1)   None used

    (2)   User desires

    (3)   OESO recommendation

    (4)   User/OESO joint agreement

    (5)   Include Top Managers

    (6)   Include Middle Managers

    (7)   Limit to leader/manager of work group involved

    (8)   Include all work group personnel

    (9)   Include all personnel

    (10) Include managers and persons considered influential
          as informal leaders

    (11) Include persons known to be supportive

    (12) Exclude persons known to be non-supportive

    (13) Include persons known to be non-supportive

    (14) Others, specify _____

19. USER TAKES SPECIFIC ACTION PRIOR TO FEEDBACK SESSION TO
    ENCOURAGE SUPPORT:

    (1)   Yes

    (2)   No

20. USER PRESENT AT GROUP FEEDBACK SESSION AND TAKES SPECIFIC
    ACTION TO ENCOURAGE TRUST, OPENNESS, AND PARTICIPATION:

    (1)   Yes

    (2)   No

21. ROLE OF USER WHEN PRESENT AT GROUP FEEDBACK SESSION:

    (1)   Supports only by presence

    (2)   Presents objectives and data for feedback

    (3)   Presents own analysis

(4) Proposes solutions

(5) Other, specify _____

22. USER USES OESO COACHING ON BEHAVIORS TO CREATE CLIMATE OF PSYCHOLOGICAL SAFETY:

(1) Yes

(2) No

23. GROUP FEEDBACK SESSIONS, FAMILY GROUPS. NORMAL GROUP LEADER PRESENT

(1) Yes

(2) No

24. GROUP FEEDBACK SESSIONS, FAMILY GROUPS. LEADER PRESENT AND TAKES ACTION TO ENCOURAGE TRUST, OPENNESS, AND PARTICIPATION:

(1) Yes

(2) No

25. LEADERS PRESENT DATA FEEDBACK TO FAMILY GROUPS:

(1) Yes

(2) No

(3) Mixed

26. FEEDBACK SESSIONS INVOLVING PEER LEVEL GROUPS. LATA FEEDBACK PRESENTED BY:

(1) OESO

(2) Persons from group

(3) Mixed

27. FEEDBACK SESSIONS INVOLVING MIXED LEVELS AND FAMILY GROUPS. DATA FEEDBACK PRESENTED BY:

(1) OESO

(2) Persons from target group

(3) Mixed

28. PERSONS GIVING FEEDBACK RECEIVE TRAINING TO GIVE FEEDBACK

(1) Yes

(2) No

29. USER CONSIDERS DATA PRESENTED IN SESSIONS:

(1) Appropriate   (2) Not Appropriate

(3) Amount Appropriate   (4) Amount Not Appropriate

(5) Display Appropriate   (6) Display Not Appropriate

(7) Complexity Appropriate   (8) Complexity Not Appropriate

30. AVERAGE TIME ELAPSED FROM COMPLETION OF DATA COLLECTION
AND FEEDBACK TO TARGET GROUPS, NO. OF WEEKS:_____

31. GENERAL PARTICIPANT REACTION TO DATA AT END OF FEEDBACK
SESSION:

(1) Accept data

(2) Reject data

(3) Mixed

32. EVIDENCE THAT FEEDBACK DATA THREATENED JOB SECURITY, POWER
OR AUTHORITY OF SIGNIFICANT NUMBERS OF INFLUENTIAL PERSONS:

(1) Yes

(2) No

33. USER CONSIDERED THAT HE/SHE MAINTAINED SUFFICIENT DEGREE OF
CONTROL OVER DATA FEEDBACK PROCESS:

(1) Yes

(2) No

34. OUTCOMES FROM FEEDBACK ACTIVITY (AS RELATED TO INTENTIONS
OF USER):

(1) Acceptance of data

(2) Additional data regarding issue/problem areas

(3) Familiarization of leadership with data for feedback
to lower levels

(4) Data for planning/modifying planned implementing activities

(5) Initial problem solving/future formal session scheduled

(6) Initial action planning/future formal session scheduled

(7) Problem solving/no further group participation scheduled

(8) Action planning/no further group participation scheduled

(9) Refinement of issue/problem areas to limit planned OE activities in future

(10) Delegation of issue/problem

(11) Refinement of OE operation objectives

(12) Other, specify _____

35. DATA FEEDBACK SESSION CAUSES CHANGE TO OBJECTIVES FOR OE OPERATION:

(1) No

(2) Yes, specify _____

(3) Redefines scope, specify _____

36. USER OR OESO CHANGE OPERATION IMPLEMENTING ACTIVITIES AS RESULT OF FEEDBACK SESSION:

(1) No

(2) Yes, specify _____

(3) Redefines scope, specify _____

37. TIME ELASPED FROM COMPLETION OF DATA FEEDBACK SESSION TO TARGET GROUPS UNTIL NEXT PLANNED IMPLEMENTING ACTIVITY IN DAYS: _____

VIII. PLANNING

    1. DETERMINATION OF INTENDED SPECIFIC OBJECTIVES FOR OPERATION.
       DECISION METHOD:

         (1) OESO

         (2) User

         (3) OESO and User

         (4) OESO and user and target

    2. OPERATION'S OBJECTIVE. INTERPERSONAL RELATIONSHIPS.
       SPECIFIC ACTIVITY MAY INVOLVE THE FOLLOWING:

         (1) Interpersonal/intergroup relationships (general)

         (2) Leader/subordinate relationships

         (3) Peer level relationships

         (4) Intergroup relationships, no task involvement, i.e.
             black/white, male/female

.(5) Intergroup relationships, with task involvement

(6) Intragroup relationships, no task involvement

(7) Intragroup relationships, with task involvement

(8) Other, Specify _____

3. OPERATION'S OBJECTIVE. JOB REDESIGN. ISSUE INVOLVES
    ALTERING RESPONSIBILITIES, TASK INTERACTION, OR THE WAY
    TECHNICAL WORK IS DONE. SPECIFIC ACTIVITY MAY INVOLVE THE
    FOLLOWING:

    (1) Job redesign (general)

    (2) Job enlargement

    (3) Job enrichment

    (4) Job rotation

    (5) Work simplification

    (6) Changes in working conditions

    (7) Structural change in work itself

    (8) Other, specify _____

4. OPERATION'S OBJECTIVE. PERSONNEL SYSTEMS. ISSUE INVOLVES
    MODIFYING EXISTING PERSONNEL SYSTEMS. SPECIFIC ACTIVITY MAY
    INVOLVE FOLLOWING:

    (1) Personnel systems (general)

    (2) New employees: recruitment

    (3) New employees: selection

    (4) New employees: training

    (5) New employees: placement

    (6) New employees: other, specify _____

    (7) Existing employees: termination

    (8) Existing employees: reassignment/retraining

    (9) Existing employees: retirement

(10) Existing employees: job performance standards

(11) Existing employees: other, specify _____

(12) Changes in rewards and/or sanctions

(13) EO programs or manpower planning systems

(14) Involves military personnel

(15) Involves civilian personnel

5. OPERATION'S OBJECTIVE. MANAGEMENT INFORMATION/FINANCIAL
    CONTROL SYSTEMS. ISSUE INVOLVES ACTIVITY TO ESTABLISH OR
    MODIFY EXISTING MANAGEMENT INFORMATION/FINANCIAL CONTROL
    SYSTEMS. SPECIFIC ACTIVITY MAY INVOLVE THE FOLLOWING:

    (1) Management Information/Financial Control System
        (general)

    (2) MBO system

    (3) Performance evaluation

    (4) Cost avoidance analysis

    (5) Cost/benefit analysis

    (6) Systems to track or evaluate performance

    (7) Other, specify _____

6. OPERATION'S OBJECTIVE. ORGANIZATIONAL DESIGN. ISSUES
    INVOLVE AUTHORITY AND REPORTING RELATIONSHIPS. SPECIFIC
    ACTIVITY MAY INVOLVE THE FOLLOWING:

    (1) Organizational Design (general)

    (2) Changes in reporting relationships

    (3) Establishing matrix project teams

    (4) Changes in authority

    (5) Decentralization

    (6) Consolidation of units/groups

    (7) Other, specify _____

7. OPERATION'S OBJECTIVE INVOLVE CHANGE IN:

        (1)   Pooled interdependence

        (2)   Sequential interdependence

        (3)   Reciprocal interdependence

        (4)   Coordination by standardization

        (5)   Coordination by plan

        (6)   Coordination by mutual adjustment

8.   OPERATION'S OBJECTIVE. COMBAT OPERATIONS PROCESSES. ISSUES INVOLVE OPERATIONAL PROCESSES OF UNITS INVOLVED IN COMBAT OR COMBAT SIMULATIONS. SPECIFIC ACTIVITY MAY INVOLVE THE FOLLOWING:

        (1)   Combat operations processes (general)

        (2)   Sensing

        (3)   Communicating information

        (4)   Decision making

        (5)   Stabilizing

        (6)   Communicating implementation

        (7)   Coping actions

        (8)   Feedback

9.   OTHER: ISSUES CANNOT BE CLASSIFIED AS ABOVE. SPECIFIC ACTIVITY MAY INVOLVE THE FOLLOWING:

        (1)   Transition of commanders

        (2)   Open systems planning, specify _____

        (3)   U.S. Army component issues (military & civilian)

        (4)   U.S. Army/other service issues

        (5)   U.S. Army/governmental agency issues

        (6)   U.S. Army/civilian community issues.

        (7)   Other, specify _____

10.   EXTENT THAT USER HAS CONTROL OVER FACTORS RELATED TO OBJECTIVE:

	Policy	Implementation Processes	Rewards & Sanctions of Personnel Involved
No direct control	(1)	(2)	(3)
Indirect Control	(4)	(5)	(6)
Direct Control	(7)	(8)	(9)

11. CESO AND USER AGREE ON:

	Yes	No
Objectives	(1)	(2)
Next steps	(3)	(4)

12. PLANNED ACTIVITIES INVOLVE INDIVIDUAL CONSULTATION:

(1) One on one helping relationship with user

(2) One on one helping relationship with one target person other than user

13. PLANNED ACTIVITIES INVOLVE UNSTRUCTURED GROUP TRAINING:

(1) T-Group or sensitivity training

(2) Uninstrumented racial awareness workshop

(3) Uninstrumented team building centered only on interpersonal relationships

(4) Other, specify _____

14. PLANNED ACTIVITIES INVOLVE STRUCTURED GROUP TRAINING INVOLVING EDUCATIONAL ACTIVITY INTENDED AS TEAM BUILDING EXERCISE:

(1) Communications

(2) Problem solving

(3) Grid Phase I

(4) Transactional analysis

(5) MBO

(6) Supervisory skills

(7) EO course

(8) Substance abuse course

(9) Other, specify _____

15. PLANNED ACTIVITIES INVOLVE GROUP TRAINING INVOLVING
STRUCTURED EDUCATIONAL ACTIVITY INTENDED AS EDUCATIONAL
ACTIVITY ONLY:

(1) Communications

(2) Problem solving

(3) Grid Phase I

(4) Transactional analysis

(5) MBO

(6) Supervisory skills

(7) EO course

(8) Substance abuse course

(9) Other, specify _____

16. PLANNED ACTIVITIES INVOLVE PROCESS CONSULTATION AND DATA
COLLECTION BY:

(1) Observation

(2) Individual interviews

(3) Group interviews

(4) Document analysis

(5) Data feedback sessions

(6) Problem solving sessions

(7) Action planning sessions

(8) Other, specify _____

17. PLANNED ACTIVITIES INVOLVE SURVEY GUIDED DEVELOPMENT AND
DATA COLLECTION BY:

(1) Observation

(2) Individual interviews

(3) Group interviews

(4) Document analysis

(5) Survey, specify _____

(6) Other, specify _____

18.

19. PLANNED FEEDBACK METHOD:

	Handback	Feedback
Non-management	(1)	(2)
Lower Management	(3)	(4)
Middle management	(5)	(6)
Top management	(7)	(8)

20. PLANNED PARTICIPANTS IN OPERATION'S ACTIVITIES:

	Concepts Training	Problem Solving	Action Planning
Non-management	(1)	(2)	(3)
Lower management	(4)	(5)	(6)
Middle management	(7)	(8)	(9)
Top management	(10)	(11)	(12)

21. CONCEPTS TRAINING DESIGN EMPHASIS:

    (1) General organizational theories and skills

    (2) Grounded findings specific to user's organization

    (3) How to receive feedback

    (4) How to best use OESO services (i.e., how to receive help/the helping relationship)

    (5) Transition Workshop Design (includes how to receive feedback)

22. PROCESS CONSULTATION INVOLVES TARGETS EXTERNAL TO USER COMMAND GROUP:

    (1) Yes

    (2) No

23. SURVEY GUIDED DEVELOPMENT INVOLVES TARGETS EXTERNAL TO USER COMMAND GROUP.

    (1) Yes

    (2) No

24. USER CONSIDERS ROLES, RESPONSIBILITIES AND COLLABORATION REQUIRED BY USER AND OESO WERE CLEAR:

    (1) Yes

    (2) No

25. OESO CONSIDERS ROLES, RESPONSIBILITIES, AND COLLABORATION REQUIRED BY USER AND OESO WERE CLEAR:

    (1) Yes

    (2) No

26. USER TAKES SPECIFIC ACTION TO INFORM PEOPLE AND ENCOURAGE SUPPORT FOR OBJECTIVES AND PLANNED ACTIVITIES:

    (1) No

    (2) Written notification

    Briefings to:

    (3) Non-management

    (4) Lower management

(5) Middle management

(6) Top management

(7) Other, Specify _____

27. PLANNING FOR IMPLEMENTING ACTIVITY. DECISION MAKING FOR ACTIVITY:

(1) OESO

(2) User

(3) User/OESO joint aggreement

(4) User/OESO/target group representation

28. PLANNING FOR IMPLEMENTING ACTIVITY. LEVEL OF TARGET GROUP REPRESENTED:

(1) Top management

(2) Middle Management

(3) Lower management

(4) Non-management

29. PLANNING FOR IMPLEMENTING ACTIVITY. METHODS FOR CHOOSING TARGETS FOR PARTICIPATION IN ACTIVITIES:

(1) User desires

(2) OESO recommendation

(3) User/OESO joint agreement

(4) Limit to leader or manager of work group involved

(5) Include all work group personnel involved

(6) Include all personnel

(7) Include managers and persons considered influential as informal leaders

(8) Include persons known to be supportive

(9) Exclude persons known to be non-supportive

(10) Include persons known to be non-supportive

(11) Other, specify _____

30. OBJECTIVES FOR OE OPERATION DISSEMINATED TO TARGET GROUP:

(1) No

(2) Written notification

Briefing to:

(3) Non-management

(4) Lower management

(5) Middle management

(6) Top management

(7) Other, specify _____

31. USER/OESO ESTABLISHED MEASURES FOR SUCCESS OR FAILURE OF IMPLEMENTING ACTIVITIES:

(1) Yes

(2) No

32. DISSEMINATION OF PLAN FOR OPERATION IMPLEMENTING ACTIVITIES. LEVEL:

(1) Top management   (5) Complete dissemination

(2) Middle management   (6) Partial dissemination

(3) Lower management

(4) Non-management

33. TARGET GROUP PERSONNEL INCLUDED IN PLANNING FOR IMPLEMENTING ACTIVITIES:

(1) Yes

(2) No

34. TARGET GROUP RESPONSE TO DISSEMINATION OF OBJECTIVES:

(1) Support by significant numbers of target group

(2) Support by key managers in target group

      (3) Opposition by significant numbers of target group

      (4) Opposition by key managers in target group

      (5) No significant opposition

      (6) Mixed

      (7) Other, specify _____

35. TARGET GROUP RESPONSE TO DISSEMINATION OF PLAN FOR
    OPERATION'S IMPLEMENTING ACTIVITY:

      (1) Support by significant numbers of target group

      (2) Support by key managers in target group

      (3) Opposition by significant numbers of target group

      (4) Opposition by key managers in target group

      (5) No significant support or opposition

      (6) Mixed

      (7) Other, specify _____

36. OESO CONDUCTS TEAM BUILDING FOR CONSULTING TEAM FOR
    IMPLEMENTING ACTIVITIES:

      (1) Yes

      (2) No

      (3) Not applicable

37. PLANNING FOR IMPLEMENTING ACTIVITIES INVOLVED FOLLOWING SUB-
    CATEGORIES OF PERSONNEL BY INTENT RELATED TO OBJECTIVES:

      (1) Military

      (2) Civilian

      (3) Union/management

      (4) Representative racial/ethnic mix

      (5) Representative male/female mix

      (6) Young/old

(7) Other, specify _____

(8) Not considered

38. OBJECTIVES ARE RELATED TO ISSUES/PROBLEMS INVOLVING FOLLOWING SUBGROUPS OF PERSONNEL:

(1) Military

(2) Civilian

(3) Union/management

(4) Racial groups

(5) Male/female

(6) Young/old

(7) Other, specify _____

(8) Not considered

39. USER AND OESO HAVE SAME INTENDED OUTCOMES FOR OPERATION:

	User	OESO
Yes	(1)	(2)
No	(3)	(4)

40. UNCERTAINTY. USER ROTATES OUT OF ORGANIZATION. ACTION TAKEN TO ENSURE CONTINUATION AND/OR SUCCESS OF OE OPERATION.

(1) No action taken

(2) Outgoing USER includes top and/or middle management in activities as a strategy for continuity

(3) Outgoing USER formalizes activities and promulgates widely as strategy for continuity

(4) Outgoing USER convinces incoming USER to continue operation

(5) Outgoing USER takes early action to build internal support for operation

(6) Incoming USER supports continuation willingly

(7) Incoming USER does not support continuation

(8) Other actions outgoing USER takes.
Specify _____

IX.   PROBLEM SOLVING/GOAL SETTING/ACTION PLANNING ACTIVITIES

1.   ACTIVITY PLANNING. REPRESENTATION FROM TARGET GROUP
     INCLUDED IN PLANNING:

     (1) Yes

     (2) No

2.   ACTIVITY PLANNING. DATA FROM FEEDBACK SESSIONS AS WELL AS
     INITIAL DATA COLLECTION USED FOR ACTIVITY PLANNING:

     (1) Yes

     (2) No

3.   ACTIVITY PLANNING. PARTICIPANT SELECTION:

     (1) User desires

     (2) OESO recommendation

     (3) User/OESO joint agreement

     (4) Limit to leader/manager of work group involved

     (5) Include all workgroup personnel

     (6) Include all personnel

     (7) Include managers and personnel considered influential
          as informal leaders

     (8) Include persons known to be supportive

     (9) Exclude persons known to be non-supportive

    (10) Include persons known to be non-supportive

    (11) Other, specify _____

4.   DECISION ON OUTCOMES FOR ACTIVITY MADE BY:

     (1) User

     (2) OESO

     (3) OESO/User joint agreement

(4) OESO/User/target group representative joint agreement

(5) Other, specify _____

5. DESIGN OF PROBLEM SOLVING, GOAL SETTING AND ACTION PLANNING SESSIONS. SUBCATEGORIES OF PERSONNEL INCLUDED BY INTENT RELATED TO OBJECTIVE:

(1) Military

(2) Civilian

(3) Union/management

(4) Representative racial/ethnic group mix

(5) Representative male/female mix

(6) Young/old group

(7) Other, specify _____

(8) Not considered

6. PARTICIPANTS IN:

	Problem solving sessions	Goal setting sessions	Action planning sessions
User	(1)	(2)	(3)
Non-management	(4)	(5)	(6)
Lower management	(7)	(8)	(9)
Middle management	(10)	(11)	(12)
Top management	(13)	(14)	(15)

7. PARTICIPANTS:

	Problem solving sessions	Goal setting sessions	Action planning sessions
In user's immediate organization	(1)	(2)	(3)
Outside of user's organizational hierarchy	(4)	(5)	(6)

8. EXTENT OF USER CONTROL OVER POLICY RELATED TO OBJECTIVES (NOT ACTIVITY OUTCOMES) OF THE IMPLEMENTING ACTIVITY:

	Policy	Implementation Processes	Rewards and Sanctions of Personnel Involved
No control	(1)	(2)	(3)
Indirect control	(4)	(5)	(6)
Direct control	(7)	(8)	(9)

OBJECTIVES TO BE ADDRESSED DURING THE PROBLEM SOLVING, GOAL SETTING, AND ACTION PLANNING ACTIVITIES INCLUDE THE FOLLOWING. THESE ITEMS REFLECT ANY CHANGE AS A RESULT OF THE FEEDBACK SESSIONS.

9. OPERATION'S OBJECTIVES. INTERPERSONNEL INTERGROUP RELATIONSHIPS. SPECIFIC ACTIVITY MAY INCLUDE THE FOLLOWING:

   (1) Interpersonnel/intergroup relationships (general)

   (2) Leader/subordinate relationships

   (3) Peer level relationships

   (4) Intergroup relationships, no task involvement, i.e. black/white, male/female

   (5) Intergroup relationship, with task involvement

   (6) Intragroup relationship, no task involvement

   (7) Intragroup relationship, with task involvement

   (8) Other, specify _____

10. OPERATION'S OBJECTIVE. JOB REDESIGN. ISSUE INVOLVES ALTERING RESPONSIBILITIES, TASK INTERACTION, OR THE WAY TECHNICAL WORK IS DONE. SPECIFIC ACTIVITY MAY INVOLVE THE FOLLOWING:

   (1) Job redesign (general)

   (2) Job enlargement

   (3) Job enrichment

   (4) Job rotation

(5) Work simplification

(6) Changes in working conditions

(7) Structural change in work itself

(8) Other, specify _____

11. OPERATION'S OBJECTIVE. PERSONNEL SYSTEMS. ISSUE INVOLVES MODIFYING EXISTING PERSONNEL SYSTEMS. SPECIFIC ACTIVITY MAY INVOLVE THE FOLLOWING:

(1) Personnel systems (general)

(2) New employees: recruitment

(3) New employees: selection

(4) New employees: training

(5) New employees: placement

(6) New employees: other, specify _____

(7) Existing employees: termination

(8) Existing employees: reassignment

(9) Existing employees: retraining

(10) Existing employees: job performance standards

(11) Existing employees: other, specify _____

(12) Changes in reward and/or sanctions

(13) EO programs or manpower planning systems

(14) Involves military personnel

(15) Involves civilian personnel

12. OPERATION'S OBJECTIVE. MANAGEMENT INFORMATION/FINANCIAL CONTROL SYSTEMS. ISSUES INVOLVES ACTIVITY TO ESTABLISH OR MODIFY EXISTING MANAGEMENT INFORMATION/FINANCIAL CONTROL SYSTEMS. SPECIFIC ACTIVITY MAY INVOLVE THE FOLLOWING:

(1) Management information/financial control systems (general)

(2) MBO system

        (3)   Performance evaluation

        (4)   Cost/avoidance analysis

        (5)   Cost/benefit analysis

        (6)   Systems to track or evaluate performance

        (7)   Other, specify _____

13.   OPERATION'S OBJECTIVE. ORGANIZATIONAL DESIGN. ISSUES INVOLVE AUTHORITY AND REPORTING RELATIONSHIPS. SPECIFIC ACTIVITY MAY INVOLVE THE FOLLOWING:

        (1)   Organizational design (general)

        (2)   Changes in reporting relationships

        (3)   Establishing matrix project teams

        (4)   Changes in authority

        (5)   Decentralization

        (6)   Consolidation of units/groups

        (7)   Other, specify _____

14.   OPERATION'S OBJECTIVES INVOLVE

        (1)   Pooled interdependence

        (2)   Sequential interdependence

        (3)   Reciprocal interdependence

        (4)   Coordination by standardization

        (5)   Coordination by plan

        (6)   Coordination by mutual adjustment

15.   OPERATION'S OBJECTIVE. COMBAT OPERATIONS PROCESSES. ISSUES INVOLVE OPERATIONAL PROCESSES OF UNITS INVOLVED IN COMBAT OR COMBAT SIMULATIONS. SPECIFIC ACTIVITY MAY INVOLVE THE FOLLOWING:

        (1)   Combat operations processes (general)

        (2)   Sensing

     (3) Communicating information

     (4) Decision making

     (5) Stabilizing

     (6) Communicating implementation

     (7) Coping action

     (8) Feedback

16. OTHER. ISSUES CANNOT BE CLASSIFIED AS ABOVE. SPECIFIC
   ACTIVITY MAY INVOLVE THE FOLLOWING:

     (1) Transition of commanders

     (2) Open systems planning, specify _____

     (3) U.S. Army component issues (military and civilian)

     (4) U.S. Army/other service issues

     (5) U.S. Army/governmental agency issues

     (6) U.S. Army/civilian community issues

     (7) Other, specify _____

17. EXTENT THAT USER HAS CONTROL OVER FACTORS RELATED TO
   OBJECTIVE:

	Policy	Implementation Processes	Reward & Sanctions of personnel involved
No direct control	(1)	(2)	(3)
Indirect control	(4)	(5)	(6)
Direct control	(7)	(8)	(9)

18. PROBLEM SOLVING, GOAL SETTING AND ACTION PLANNING GROUP
   STRUCTURE USED:

     (1) NA

     (2) Vertical

     (3) Horizontal levels

       (4)   Diagonal groups

       (5)   Other, specify _____

19. PROBLEM SOLVING, GOAL SETTING, AND ACTION PLANNING METHODS USED:

       (1)   Large group (9 or more)

       (2)   Small groups (8 or less)

       (3)   Outcomes/methods/resources model

       (4)   Force field analysis

       (5)   Criterion based model

       (6)   Open system (demands) model

       (7)   Other, specify _____

20. USER TAKES ACTION TO CREATE CLIMATE OF TRUST, OPENNESS, AND PARTICIPATION:

       (1)   Yes

       (2)   No

21. GOALS SET AS A RESULT OF PROBLEM SOLVING ARE:

       (1)   Challenging but realistic (not trivial)

       (2)   Measurable

       (3)   Due date specified

       (4)   Documented, specify how _____

22. EXPLICIT CRITERIA ARE ESTABLISHED AND USED BY PARTICIPANTS AS A BASIS FOR SELECTING ALTERNATIVE SOLUTIONS FOR ACTION:

       (1)   Yes

       (2)   No

23. PARTICIPANTS EXPLICITLY IDENTIFY CONSTRAINTS, LINKS, AND IMPACT OR EFFECT ON OTHER PARTS OF THE ORGANIZATION AS A PART OF THE PROBLEM SOLVING, GOAL SETTING, AND ACTION PLANNING ACTIVITY:

       (1)   Yes

(2) No

24. DECISION MAKING ON FINAL GOALS INVOLVES:

(1) User only

(2) User and top management

(3) and middle management

(4) and lower management

(5) and non-management

25. ACTION STEPS ARE IDENTIFIED FOR IMPLEMENTATION TO USER:

(1) Yes

(2) No

26. DECISION MAKING FOR ACTION STEPS TO BE IMPLEMENTED INVOLVES:

(1) User only

(2) User and top management

(3) and middle management

(4) and lower management

(5) and non-management

27. ACTION STEPS ARE DOCUMENTED

(1) No

(2) Yes, specify how _____

28. EXTENT USER HAS CONTROL OVER ACTION STEPS:

	Policy	Implementing activity	Rewards and sanctions
No direct control	(1)	(2)	(3)
Indirect control	(4)	(5)	(6)
Direct control	(7)	(8)	(9)

29. ACTION STEPS INCLUDE:

	Measures for evaluation	Tasking to lowest level appropriate for implementation
Yes	(1)	(2)
No	(3)	(4)

30. PLANNED OE OPERATION IMPLEMENTING PROCESSES CHANGED OR MODIFIED AS A RESULT OF CLIENT REACTION:

   (1) Yes

   (2) No

31. USER CONSIDERS DESIGN OF SESSIONS:

   (1) Not appropriate

   (2) Appropriate to maturity of group

   (3) Appropriate balance between theory and application

32. USER TAKES SPECIFIC ACTION TO GET PERSONS INVOLVED TO SUPPORT THE ACTIVITIES OF THE SESSIONS:

   (1) Yes

   (2) No

33. TECHNICAL EXPERTISE IS REQUIRED TO IDENTIFY POTENTIAL SOLUTIONS AND ACTION AND IS PROVIDED TO GROUP BY:

   (1) Internal expert from organization

   (2) OESO includes external technical resource as team member

   (3) External resource provided by user

   (4) Other, specify _____

34. USER CONSIDERS THAT RESULTS WILL HAVE IMPACT ON OTHER PARTS OF THE ORGANIZATION WHICH HAVE NOT BEEN AN EXPLICIT PART OF THE OPERATION:

   (1) Yes

   (2) No

35. USER CONSIDERS ACTIVITIES OF THIS PART OF OPERATION SHOULD HAVE BEEN MODIFIED BY OESO TO MAKE THEM MORE APPROPRIATE:

   (1) Yes

(2) No

36. RESULTS OF THE SESSION COMMUNICATED TO NON-PARTICIPANTS:

   (1) No

   (2) By formal document (i.e. DF)

   (3) Verbal briefing

   (4) Other, specify _____

37. USER/OESO CONTRACT FOR FOLLOW-UP ACTIVITIES:

   (1) Yes

   (2) No

38. DECISION TO CONDUCT OE TRAINING ACTIVITIES BASED ON:

   (1) User desires

   (2) OESO recommendation

   (3) Target group request

   (4) Requirement imposed by authority senior to user

39. OBJECTIVES OF OE TRAINING ACTIVITIES BASED ON:

   (1) Specific problem or deficiency identified in data collection

   (2) Concepts training as precondition to data feedback

   (3) Tasking in support of of OE operation action plan

   (4) Other, specify _____

40. TRAINING METHOD PROVIDES PARTICIPANT OPPORTUNITY TO LEARN BY INCLUDING FOLLOWING STEPS:

   (1) Recognize the thought, skill, or behavior

   (2) Understand the thought, skill, or behavior

   (3) Self assess own abilities in relation to thought, skill, or behavior

   (4) Practice the skill or behavior in psychologically safe environment

(5)   Perform the skill or behavior in a job related task

41.   USER CONSIDERS TRAINING WAS APPROPRIATE TO LEVEL OF
      PERSONNEL INVOLVED:

      (1)   Yes

      (2)   No

42.   TRAINING PLANS INCLUDE METHOD TO ASSESS WHETHER INDIVIDUALS
      DEMONSTRATE LEARNED SKILLS OR BEHAVIOR ON THE JOB:

      (1)   Yes

      (2)   No

43.   OESO COACHES USER IN BEHAVIORS TO CREATE CLIMATE OF TRUST
      OPENNESS AND PARTICIPATION:

      (1)   Yes

      (2)   No

X. ACTION

1. PLANNED ACTIONS DISSEMINATED TO MEMBERS OF USER'S
    ORGANIZATION OTHER THAN THOSE WHO PARTICIPATED IN
    IMPLEMENTING ACTIVITIES:

    (1) No

    (2) Written notification

    (3) Briefing

    (4) Other, specify _____

2. PERCENTAGE OF RECOMMENDED ACTION STEPS TASKED FOR
    IMPLEMENTATION: _____%

3. IMPLEMENTATION PREVENTED BECAUSE OF LACK OF CONTROL OVER:

    (1) Policy

    (2) Implementors

    (3) Rewards and sanctions over people involved

    (4) External interferences

4. USER CONSIDERS THAT EXTERNAL FORCES COULD HAVE:

    (1) Been avoided (if interferring) with proper strategy

    (2) Enhanced implementation with proper strategy

    (3) Other, specify _____

5. PERCENT OF COMPLETED ACTION STEPS: _____%

6. USER PERCEIVED IMPROVEMENT IN GENERAL AREA OF:

    (1) No improvement

    (2) No improvement and worsened condition

    (3) Reaction

    (4) Knowledge/learning

    (5) Behavior

    (6) Outcomes/results

XI. FOLLOW-ON TECHNICAL ASSISTANCE AND SUPPORT

1. USER/OESO CONTACT SUBSEQUENT TO ACTION PLANNING ACTIVITY OR OTHER IMPLEMENTING ACTIVITY WITH CONTACT INITIATED BY:

    (1) No one/no contact

    (2) User

    (3) OESO

    (4) Member of target group in user organization

2. USER TAKES ACTION TO LEGITIMIZE LOWER LEVELS TO CONTINUE INVOLVEMENT IN OE OPERATIONS:

    (1) Yes   (3) Other _____

    (2) No

3. USER REPORTS THAT TOP MANAGEMENT OF HIS OR HER ORGANIZATION SUPPORTS OE EFFORT:

    (1) Yes

    (2) No

4. TYPE OF OESO INVOLVEMENT IN FOLLOW UP ASSISTANCE AND SUPPORT:

    (1) Individual consultation to user

    (2) Technical assistance to user/target group members

    (3) Monitoring/feedback on goal progress

    (4) Training assistance to user/target group

    (5) Consulting activity to target group involving diagnosis, problem solving, goal setting, and action planning

    (6) Other, specify _____

5. EVIDENCE THAT USER INITIATED ACTION, REWARDS OR SANCTIONS TO ENCOURAGE PERSONNEL TO SUPPORT IMPLEMENTATION OF ACTION:

    (1) Yes

    (2) No

6. LOWER LEVEL OF USER ORGANIZATION REQUESTED ADDITIONAL OESO ASSISTANCE:

    (1) Yes

    (2) No

7. EVIDENCE THAT OPERATION HAD AFFECT ON ORGANIZATION OTHER THAN TARGET GROUP, I.E., CONTINUED LOWER LEVEL INVOLVEMENT; CONTINUED USE OF ACTIVITIES SUCH AS DATA COLLECTION, PROBLEM SOLVING AND ACTION PLANNING SESSIONS:

    (1) Yes

    (2) No

XII. <u>EVALUATION</u>

1. OPERATION FORMALLY ASSESSED BY:

    (1) No one

    (2) User

    (3) OESO with user's approval

    (4) Formal assessment planned but not completed. Reason.

2. OPERATION INFORMALLY ASSESSED BY:

    (1) No one

    (2) User

    (3) OESO

    (4) User and OESO

3. LENGTH OF TIME BETWEEN END OF OESO INVOLVEMENT AND FORMAL
    ASSESSMENT IN MONTHS:_____

4. ASSESSMENT RELATED TO GOALS AND ACTION PLANS THAT WERE
    OUTCOMES OF OPERATION'S ACTIVITIES:

    (1) No

    (2) Yes

    (3) Mixed

5. ASSESSMENT INDICATES CHANGES IN REACTIONS:

    (1) Perceived effectiveness

    (2) Attitudes

    (3) Norms

    (4) Tension release

    (5) Organizational climate

    (6) Other, specify _____

6. ASSESSMENT INDICATES CHANGE IN:

    (1) Motive structure

        (2)   Cognitive domain

        (3)   Affective domain

        (4)   Other, specify _____

7.   ASSESSMENT INDICATES CHANGES IN BEHAVIOR/PERFORMANCE:

        (1)   Skills

        (2)   Group process

        (3)   Approach adoption

        (4)   Job procedures

        (5)   Other, specify _____

8.   ASSESSMENT INDICATES CHANGES IN FOLLOWING OUTCOMES:

	Improved	Deteriorated	CESO Indicated	User Indicated
ARTEP score	(1)	(2)	(3)	(4)
IG inspection	(5)	(6)	(7)	(8)
Technical Proficiency Inspection	(9)	(10)	(11)	(12)
COMET score	(13)	(14)	(15)	(16)
TA50 score	(17)	(18)	(19)	(20)
SQT score	(21)	(22)	(23)	(24)
Field day score	(25)	(26)	(27)	(28)
Hours flown	(29)	(30)	(31)	(32)
Accident rate	(33)	(34)	(35)	(36)
Mission objectives accomplished	(37)	(38)	(39)	(40)
Operational Readiness rate	(41)	(42)	(43)	(44)
Deadline reports (time to repair equipment)	(45)	(46)	(47)	(48)
Equipment casualty rates	(49)	(50)	(51)	(52)
Maintenance Requests (Form 2404) (Time elapsed from request to service rendered/maintenance finished)	(53)	(54)	(55)	(56)
Parts requisitions	(57)	(58)	(59)	(60)
Equipment lost reports	(61)	(62)	(63)	(64)
Service request rates	(65)	(66)	(67)	(68)
Service response rates	(69)	(70)	(71)	(72)
Cost budgeting	(73)	(74)	(75)	(76)
Promotions	(77)	(78)	(79)	(80)
Education	(81)	(82)	(83)	(84)
Physical education	(85)	(86)	(87)	(88)

Unit citations	(89)	(90)	(91)	(92)
Individual citations and merit ratings	(93)	(94)	(95)	(96)

9. ASSESSMENT OUTCOMES CONTINUED:

Retention rates (military or civilian)	(1)	(2)	(3)	(4)
Article 15s	(5)	(6)	(7)	(8)
Court-martial actions	(9)	(10)	(11)	(12)
AWOL rates	(13)	(14)	(15)	(16)
Drug charge rate	(17)	(18)	(19)	(20)
Assault rate	(21)	(22)	(23)	(24)
Theft rate	(25)	(26)	(27)	(28)
DWI rate	(29)	(30)	(31)	(32)
Sick call/leave rate	(33)	(34)	(35)	(36)
Alcohol abuse rate	(37)	(38)	(39)	(40)
Drug abuse referral rate	(41)	(42)	(43)	(44)
Psychiatric complaint rate	(45)	(46)	(47)	(48)
Racial incident rate	(49)	(50)	(51)	(52)
EO indicators	(53)	(54)	(55)	(56)
Divorce rate	(57)	(58)	(59)	(60)
Family counseling request rate	(61)	(62)	(63)	(64)
Credit & financial mgmt. counseling request rate	(65)	(66)	(67)	(68)
Indebtedness rate	(69)	(70)	(71)	(72)
Civilian arrest rate	(73)	(74)	(75)	(76)
Community relations	(77)	(78)	(79)	(80)
Equipment losses (unit)	(81)	(82)	(83)	(84)
SIDPERS slotting accuracy	(85)	(86)	(87)	(98)
Readiness	(89)	(90)	(91)	(92)
Discipline	(93)	(94)	(95)	(96)

10. ASSESSMENT OUTCOMES CONTINUED:

Responsiveness	(1)	(2)	(3)	(4)
Teamwork	(5)	(6)	(7)	(8)
Morale	(9)	(10)	(11)	(12)
Procedures	(13)	(14)	(15)	(16)
Performance	(17)	(18)	(19)	(20)
Attitude	(21)	(22)	(23)	(24)
Climate	(25)	(26)	(27)	(28)

Other, specify _____

11. FINDINGS FROM ASSESSMENT BEING USED AS FEEDBACK FOR NEW PROBLEM SOLVING, GOAL SETTING, OR ACTION PLANNING:

(1) Yes

(2) No

12. FINDINGS FROM ASSESSMENT DISSEMINATED TO FOLLOWING LEVELS:

(1) Higher authority

(2) Lower levels of organization

(3) Not disseminated

13. FINDINGS FROM ASSESSMENT DISSEMINATED FOR FOLLOWING PURPOSES:

(1) OE program justification

(2) Increased OE program support from seniors in chain

(3) Positive or negative recognition of individuals involved in action

(4) Feedback within organization for additional activity

(5) Other, specify _____

14. REACTIONS FROM DISSEMINATION OF ASSESSMENT TO HIGHER LEVEL FAVORABLE:

(1) Yes

(2) No

(3) Mixed

15. REACTIONS FROM DISSEMINATIONS OF ASSESSMENT TO LOWER LEVELS FAVORABLE:

(1) Yes

(2) No

(3) Mixed

XIII. TERMINATION

1. TERMINATION:

    (1) Not planned, has not occurred, no further activities
         planned at this time

    (2) Not planned, has occurred

    (3) Planned by user

    (4) Planned by OESO

    (5) Planned by joint agreement of user and OESO

    (6) Has not occurred

2. REASON FOR TERMINATION:

    (1) Original contract fulfilled

    (2) User dissatisfaction at any stage

    (3) OESO dissatisfaction at any stage

    (4) Target group dissatisfaction influenced user

    (5) Other, specify _____

3. TERMINATION OCCURS DURING FOLLOWING STEP OF INTERVENTION:

    (1) Scouting

    (2) Entry

    (3) Data collection

    (4) Diagnosis

    (5) Feedback

    (6) Problem solving/goal setting/action planning

    (7) Action

    (8) Follow-up

    (9) Evaluation

    (10) Planned termination

4. OVERALL EVALUATION OF OE OPERATION BY USER:

    (1) Success

    (2) Failure

    (3) Mixed

5. OVERALL EVALUATION OF OE OPERATION BY OESO:

    (1) Success

    (2) Failure

    (3) Mixed

6. USER PERCEIVED SPECIFIC ACTION CONTRIBUTING MOST TO SUCCESS OR FAILURE OF OPERATION:

    (1) Specify _____

7. OESO PERCEIVED SPECIFIC ACTION CONTRIBUTING MOST TO SUCCESS OR FAILURE OF OPERATION:

    (1) Specify _____

XIV. DIFFUSION AND SUPPORT IN CONJUNCTION WITH TARGET ELEMENTS OUTSIDE OF USER'S IMMEDIATE ORGANIZATION

1. TARGET ELEMENT:

   (1) Reports directly to user

   (2) Reports through intermediate level of command

   (3) Is outside hierarchical boundaries of user's command

2. TOP MANAGER OF TARGET ELEMENT INFORMED OF OE EFFORT BY:

   (1) Formal prior notification, i.e. DF, letter

   (2) Informal prior notification by user

   (3) Informal prior notification by OESO

   (4) Appearance of OESO team on scene

   (5) Other, specify _____

3. TOP MANAGER OF TARGET ELEMENT:

   (1) Involved in decision to be a part of OE operation

   (2) Volunteers to be involved in OE operation

   (3) Becomes involved primarily because of pressure to do so from user

   (4) Becomes involved as a strategy to influence outcomes

   (5) Becomes involved because of joint concern with primary user about joint problem/issue.

4. TOP MANAGER OF TARGET ELEMENT CONSIDERS OBJECTIVES OF OPERATION ADDRESSED REAL PROBLEM/ISSUE:

   (1) Yes

   (2) No

5. CONGRUENCE EXISTS BETWEEN USER STATED OBJECTIVES AND TOP MANAGER OF TARGET ELEMENT RE: UNDERSTANDING OF OBJECTIVES:

   (1) Yes

.(2)   No

6.   TARGET ELEMENT UNDERSTANDING OF OBJECTIVE. INTERPERSONAL
     RELATIONSHIPS. SPECIFIC ACTIVITY MAY INVOLVE THE FOLLOWING:

     (1)   Interpersonal/intergroup relationship (general)

     (2)   Leader/subordinate relationships

     (3)   Peer level relationships

     (4)   Intergroup relationships, no task involved, i.e.,
           black/white, male/female

     (5)   Intergroup relationships, with task involved

     (6)   Intragroup relationships, no task involved

     (7)   Intragroup relationships, with task involved

     (8)   Other, specify _____

7.   TARGET ELEMENT UNDERSTANDING OF OBJECTIVE. JOB DESIGN.
     ISSUE INVOLVES ALTERING RESPONSIBILITIES, TASK INTERACTION,
     OR THE WAY TECHNICAL WORK IS DONE. SPECIFIC ACTIVITY MAY
     INVOLVE THE FOLLOWING:

     (1)   Job redesign (general)

     (2)   Job enlargement

     (3)   Job enrichment

     (4)   Job rotation

     (5)   Work simplification

     (6)   Changes in working conditions

     (7)   Structural change in work itself

     (8)   Other, specify _____

8.   TARGET ELEMENT UNDERSTANDING OF OBJECTIVE. PERSONNEL
     SYSTEMS. ISSUE INVOLVES MODIFYING EXISTING PERSONNEL
     SYSTEMS. SPECIFC ACTIVITY MAY INVOLVE FOLLOWING:

     (1)   Personnel systems (general)

     (2)   New employees: recruitment

(3) New employees: selection

(4) New employees: training

(5) New employees: placement

(6) New employees: other, specify _____

(7) Existing employees: termination

(8) Existing employees: reassignment/retraining

(9) Existing employees: retirement

(10) Existing employees: job performance standards

(11) Existing employee: other, specify _____

(12) Changes in reward and/or sanctions

(13) EO programs or manpower planning systems

(14) Involves military personnel

(15) Involves civilian personnel

9.   TARGET ELEMENT UNDERSTANDING OF OBJECTIVE. MANAGEMENT
     INFORMATION/FINANCIAL CONTROL SYSTEMS. ISSUE INVOLVES
     ACTIVITY TO ESTABLISH OR MODIFY EXISTING MANAGEMENT
     INFORMATION/FINANCIAL CONTROL SYSTEMS. SPECIFIC ACTIVITY
     MAY INVOLVE THE FOLLOWING:

     (1) Management information/financial control systems
         (general)

     (2) MBO system

     (3) Performance evaluation

     (4) Cost/avoidance analysis

     (5) Cost/benefit analysis

     (6) Systems to track or reevaluate performance

10. TARGET ELEMENT UNDERSTANDING OF OBJECTIVE. ORGANIZATIONAL
     DESIGN. ISSUES INVOLVE AUTHORITY AND REPORTING
     RELATIONSHIPS. SPECIFIC ACTIVITY MAY INVOLVE THE FOLLOWING:

     (1) Organizational design (general)

        (2)   Changes in reporting relationships

        (3)   Establishing matrix project teams

        (4)   Changes in authority

        (5)   Decentralization

        (6)   Consolidation of units/group

        (7)   Other, specify _____

11.   OPERATION OBJECTIVES INVOLVE CHANGES IMPACTING ON:

        (1)   Pooled interdependence

        (2)   Sequential interdependence

        (3)   Reciprocal interdependence

        (4)   Coordinating by standardization

        (5)   Coordination by plan

        (6)   Coordination by mutual adjustment

12.   TARGET ELEMENT UNDERSTANDING OF OBJECTIVE. COMBAT
      OPERATIONS PROCESSES. ISSUES INVOLVE OPERATIONAL PROCESSES
      OF UNITS INVOLVED IN COMBAT OR COMBAT SIMULATIONS. SPECIFIC
      ACTIVITY MAY INVOLVE THE FOLLOWING:

        (1)   Combat operations processes (general)

        (2)   Sensing

        (3)   Communicating information

        (4)   Decision making

        (5)   Stabilizing

        (6)   Communicating implementation

        (7)   Coping action

        (8)   Feedback

13.   TARGET ELEMENT UNDERSTANDING OF OBJECTIVE. OTHER: ISSUES
      CANNOT BE CLASSIFIED AS ABOVE. SPECIFIC ACTIVITY MAY INVOLVE
      THE FOLLOWING:

        (1)   Transition of commanders

        (2)   Open systems planning, specify _____

        (3)   U.S. Army component issues (military, civilian)

        (4)   U.S. Army/other service issues

        (5)   U.S. Army/governmental agency issues

        (6)   U.S. Army/civilian community issues.

        (7)   Other, specify _____

14. TOP MANAGER OF TARGET ELEMENT AGREES THAT OVERALL INITIATED
    PLAN FOR OPERATION WAS CORRECT:

        (1)   Yes

        (2)   No

15. TOP MANAGER OF TARGET ELEMENT EXPECTATIONS FOR OPERATIONS:

        (1)   Negative

        (2)   Positive

        (3)   Positive yet realistic

        (4)   Mixed

16. METHOD USED TO INFORM TARGET ELEMENT ABOUT DATA COLLECTION
    EFFORT:

        (1)   Formal prior notification, i.e. DF, letter

        (2)   Informal prior notification by user

        (3)   Informal prior notification by OESO

        (4)   Appearance of OESO team on scene

        (5)   Other, Specify _____

17. TOP MANAGER OF TARGET ELEMENT:

        (1)   Consulted about methods to collect data within target
            element

        (2)   Consulted about best method to employ in data collection

(3) Not consulted

18. TOP MANAGER OF TARGET ELEMENT CONSIDERS DATA COLLECTION
     METHODS USED WERE:

     (1) Appropriate to problem

     (2) Appropriate to persons involved

     (3) Not appropriate

19. TARGET ELEMENT PERSONNEL:

     (1) Did not assist in data collection

     (2) Were trained to assist in data collection

     (3) Assisted in data collection

20. LEVEL OF PERSONNEL IN TARGET ELEMENT WHO WERE PARTICIPANTS
     IN DATA COLLECTION EFFORT:

	0-25%	25-50%	50-75%	75-100%
Non-management	(1)	(2)	(3)	(4)
Lower management	(5)	(6)	(7)	(8)
Middle management	(9)	(10)	(11)	(12)
Top management	(13)	(14)	(15)	16)

21. SUBCATEGORIES OF PERSONNEL IDENTIFIED TO PARTICIPATE IN DATA
     COLLECTION EFFORT BASED ON PLANNED OBJECTIVES:

     (1) Military personnel

     (2) Civilian personnel

     (3) Union representation

     (4) Representative racial/ethnic groups

     (5) Representative male/female

     (6) Young/old

     (7) All

     (8) Other, specify _____

22. TOP MANAGER OF TARGET ELEMENT RECEIVED FEEDBACK FROM DATA COLLECTION EFFORT:

    (1) Yes

    (2) No

23. METHOD USED TO PRESENT DATA FEEDBACK TO TOP MANAGER TARGET ELEMENT:

    (1) Data handbook

    (2) Individual feedback

    (3) Group feedback session with user

    (4) Group feedback with personnel from target element

    (5) Other, specify _____

24. TOP MANAGER OF TARGET ELEMENT CONSIDERS METHOD FOR FEEDBACK:

    (1) Not Appropriate

    (2) Amount appropriate

    (3) Display appropriate

    (4) Complexity appropriate

25. TOP MANAGER OF TARGET ELEMENT CONSIDERED DIAGNOSIS IDENTIFIED:

    (1) Real problem

    (2) Additional data around planned objectives

    (3) Additional data that should have caused a modification to planned objective

26. IN PLANNING FOR THE OE OPERATION, TOP MANAGER OF TARGET ELEMENT:

    (1) Included

    (2) Considers planning appropriate

    (3) Considered appropriate levels of personnel included

27. TOP MANAGER OF TARGET ELEMENT EXPECTED OUTCOMES FROM IMPLEMENTING ACTIVITIES TO HAVE:

(1) Little impact on organization's operations or procedures

(2) Major impact on organization's operations or procedures

28. TOP MANAGER OF TARGET ELEMENT CONSIDERED METHODS USED DURING PROBLEM SOLVING, GOAL SETTING, AND ACTION PLANNING APPROPRIATE:

(1) Yes

(2) No

29. AS A RESULT OF PROBLEM SOLVING SESSIONS, TOP MANAGER OF TARGET ELEMENT:

(1) Identified goals and objectives set

(2) Agreed with goals and objectives set

(3) Set realistic goals and objectives

(4) Set achieveable goals and objectives

(5) Set measurable goals and objectives

30. TOP MANAGER OF TARGET ELEMENT RECEIVED DOCUMENTATION OF GOALS, OBJECTIVES AND ACTION PLAN RESULTING FROM IMPLEMENTING ACTIVITIES:

(1) Yes

(2) No

31. TOP MANAGER OF TARGET ELEMENT TASKED TO TAKE ACTION AS A RESULT OF ACTION PLAN:

(1) Yes

(2) No

32. TARGET ELEMENT ACTIONS INVOLVE INTERPERSONAL RELATIONSHIPS. SPECIFIC ACTIVITY MAY INVOLVE THE FOLLOWING:

(1) Interpersonal/intergroup relationships (general)

(2) Leader/subordinate relationships

(3) Peer level relationships

(4) Intergroup relationships no task involved, i.e. black/white, male/female

(5) Intergroup relationships with task involved

(6) Intragroup relationships no task involved

(7) Intragroup relationships with task involved

(8) Other, specify _____

33. TARGET ELEMENT ACTIONS INVOLVE JOB REDESIGN. ISSUE INVOLVES ALTERING RESPONSIBILITIES, TASK INTERACTION, OR THE WAY TECHNICAL WORK IS DONE. SPECIFIC ACTIVITY MAY INVOLVE THE FOLLOWING:

(1) Job redesign (general)

(2) Job enlargement

(3) Job enrichment

(4) Job rotation

(5) Work simplication

(6) Changes in working conditions

(7) Structural change in work itself

(8) Other, specify _____

34. TARGET ELEMENT ACTIONS INVOLVE PERSONNEL SYSTEMS. ISSUE INVOLVES MODIFYING EXISTING PERSONNEL SYSTEMS. SPECIFIC ACTIVITY MAY INVOLVE FOLLOWING:

(1) Personnel system (general)

(2) New employees: recruitment

(3) New employees: selection

(4) New employees: training

(5) New employees: placement

(6) New employees: other, specify _____

(7) Existing employees: termination

(8) Existing employees: reassignment/retraining

(9) Existing employees: retirement

(10) Existing employees: job performance standards

(11) Existing employees: other, specify _____

(12) Changes rewards and/or sanctions

(13) EO programs or manpower planning systems

(14) Military personnel

(15) Civilian personnel

35. TARGET ELEMENT ACTIONS INVOLVE MANAGEMENT
     INFORMATION/FINANCIAL CONTROL SYSTEMS. ISSUES INVOLVING
     ACTIVITY TO ESTABLISH OR MODIFY EXISTING MANAGEMENT
     INFORMATION/FINANCIAL CONTROL SYSTEMS. SPECIFIC ACTIVITY
     MAY INCLUDE THE FOLLOWING:

     (1) Management information/financial system (general)

     (2) MBO system

     (3) Performance evaluation

     (4) Cost avoidance analysis

     (5) Cost/benefit analysis

     (6) Systems to track or reevaluate performance

     (7) Other, specify _____

36. TARGET ELEMENT ACTIONS INVOLVE ORGANIZATIONAL DESIGN.
     ISSUES INVOLVE AUTHORITY AND REPORTING RELATIONSHIPS.
     SPECIFIC ACTIVITY MAY INCLUDE THE FOLLOWING:

     (1) Organizational design (general)

     (2) Changes in reporting relationships

     (3) Establishing matrix project teams

     (4) Changing in authority

     (5) Decentralization

     (6) Consolidation of units/groups

     (7) Other, specify _____

37. TARGET ELEMENT ACTIONS INVOLVE CHANGES IMPACTING ON:

(1) Pooled interdependence

(2) Sequential independence

(3) Reciprocal interdependence

(4) Coordination by standardization

(5) Coordination by plan

(6) Coordination by mutual adjustment

38. TARGET ELEMENT ACTIONS INVOLVE COMBAT OPERATIONS PROCESSES.
ISSUES CONCERN OPERATIONAL PROCESSES OF UNITS INVOLVED IN
COMBAT OR COMBAT SIMULATIONS. SPECIFIC ACTIVITY MAY INCLUDE
THE FOLLOWING:

(1) Combat operations process (general)

(2) Sensing

(3) Communicating information

(4) Decision making

(5) Stabilizing

(6) Communicating implementation

(7) Coping action

(8) Feedback

39. TARGET ELEMENT ACTIONS INVOLVE ISSUES WHICH CANNOT BE
CLASSIFIED AS ABOVE. SPECIFIC ACTIVITY MAY INVOLVE THE
FOLLOWING:

(1) Transition of commanders

(2) Open systems planning, specify _____

(3) U.S. Army component issues (military, civilian)

(4) U.S. Army/other service issues

(5) U.S. Army/governmental agency issues

(6) U.S. Army/civilian community issues

(7) Other, specify _____

40. TARGET ELEMENT TAKES ACTION IN RESPONSE TO USER ACTION PLAN:

    (1) Yes

    (2) No

41. TARGET ELEMENT TASKED TO EVALUATE IMPACT OF OE OPERATION ON TARGET ELEMENT:

    (1) Yes

    (2) No

42. TOP MANAGER OF TARGET ELEMENT HAS EVALUATED IMPACT:

    (1) Yes

    (2) No

43. TOP MANAGER OF TARGET ELEMENT CONSIDERS EVALUATION:

	Feasible	Necessary
Yes	(1)	(2)
No	(3)	(4)

44. ASSESSMENT IN TARGET ELEMENT INDICATES CHANGE IN REACTIONS:

    (1) Perceived effectiveness

    (2) Attitudes

    (3) Norms

    (4) Tension release

    (5) Organizational climate

45. ASSESSMENT IN TARGET ELEMENT INDICATES CHANGE IN LEARNING:

    (1) Motivation

    (2) Knowledge

    (3) Cognitive

    (4) Interpersonal

46. ASSESSMENT IN TARGET ELEMENT INDICATES CHANGE IN BEHAVIOR/PERFORMANCE:

        (1)   Skills

        (2)   Group process

        (3)   Approach adoption

        (4)   Job procedures

47.   ASSESSMENT IN TARGET ELEMENT INDICATES CHANGE IN FOLLOWING OUTCOMES:

	Improved	Deteriorated	OESO Indicated	Target Element Indicated
ARTEP score	(1)	(2)	(3)	(4)
IG inspection	(5)	(6)	(7)	(8)
Technical Proficiency Inspection	(9)	(10)	(11)	(12)
COMET score	(13)	(14)	(15)	(16)
TA50 score	(17)	(18)	(19)	(20)
SQT score	(21)	(22)	(23)	(24)
Field day score	(25)	(26)	(27)	(28)
Hours flown	(29)	30)	(31)	(32)
Accident rate	(33)	.4)	(35)	(36)
Mission objectives accomplished	(37)	(38)	(39)	(40)
Operational Readiness rate	(41)	(42)	(43)	(44)
Deadline reports (time to repair equipment)	(45)	(46)	(47)	(48)
Equipment casualty rates	(49)	(50)	(51)	(52)
Maintenance Requests (Form 2404) (Time elapsed from requested to service rendered/maintenance finished)	(53)	(54)	(55)	(56)
Parts requisitions	(57)	(58)	(59)	(60)
Equipment lost reports	(61)	(62)	(63)	(64)
Service request rates	(65)	(66)	(67)	(68)
Service response rates	(69)	(70)	(71)	(72)
Cost budgeting	(73)	(74)	(75)	(76)
Promotions	(77)	(78)	(79)	(80)
Education	(81)	(82)	(83)	(84)
Physical education	(85)	(86)	(87)	(88)
Unit citations	(89)	(90)	(91)	(92)
Individual citations and merit ratings	(93)	(94)	(95)	(96)

48.   ASSESSMENT OUTCOMES CONTINUED

Retention rates	(1)	(2)	(3)	(4)
Article 15s	(5)	(6)	(7)	(8)
Court-martial actions	(9)	(10)	(11)	(12)

AWOL rates	(13)	(14)	(15)	(16)
Drug charge rate	(17)	(18)	(19)	(20)
Assault rate	(21)	(22)	(23)	(24)
Theft rate	(25)	(26)	(27)	(28)
DWI rate	(29)	(30)	(31)	(32)
Sick call rate	(33)	(34)	(35)	(36)
Alcohol abuse rate	(37)	(38)	(39)	(40)
Drug abuse referral rate	(41)	(42)	(43)	(44)
Psychiatric complaint rate	(45)	(46)	(47)	(48)
Racial incident rate	(49)	(50)	(51)	(52)
EO indicators	(53)	(54)	(55)	(56)
Divorce rate	(57)	(58)	(59)	(60)
Family counseling request rate	(61)	(62)	(63)	(64)
Credit & financial mgmt. counseling request rate	(65)	(66)	(67)	(68)
Indebtedness rate	(69)	(70)	(71)	(72)
Civilian arrest rate	(73)	(74)	(75)	(76)
Community relations	(77)	(78)	(79)	(80)
Equipment losses (unit)	(81)	(82)	(83)	(84)
SIDPERS slotting accuracy	(85)	(86)	(87)	(88)
Readiness	(89)	(90)	(91)	(92)
Discipline	(93)	(94)	(95)	(96)

49.   ASSESSMENT OUTCOMES CONTINUED

Responsiveness	(1)	(2)	(3)	(4)
Teamwork	(5)	(6)	(7)	(8)
Morale	(9)	(10)	(11)	(12)
Procedures	(13)	(14)	(15)	(16)
Performance	(17)	(18)	(19)	(20)
Attitude	(21)	(22)	(23)	(24)
Climate	(25)	(26)	(27)	(28)

Other, specify _____

50.   OVERALL EVALUATION OF OE OPERATION BY TOP MANAGER OF TARGET ELEMENT:

(1)   Success

(2)   Failure

(3)   Mixed

51.   SINGLE ACTION TOP MANAGER OF ELEMENT CONSIDERS CONTRIBUTED MOST TO SUCCESS OR FAILURE:

(1)   Specify, _____.

XV. IMPACT STUDY ASSESSMENT

1. ASSESSMENT INDICATES CHANGE IN REACTIONS:

   (1)   Perceived effectiveness

   (2)   Attitudes

   (3)   Norms

   (4)   Tension release

   (5)   Organizational climate

2. ASSESSMENT INDICATES CHANGE IN LEARNING:

   (1)   Motive structure

   (2)   Cognitive domain

   (3)   Affective domain

   (4)   Other _____

3. ASSESSMENT INDICATES CHANGE IN BEHAVIOR/PERFORMANCE:

   (1)   Skills

   (2)   Group process

   (3)   Approach adoption

   (4)   Job procedures

4. ASSESSMENT INDICATES OPERATION WAS A SUCCESS.
    CRITERIA:

   (1)   Positive reactions

   (2)   Positive behavior

   (3)   Significant hard outcomes

5. ASSESSMENT INDICATES OPERATION WAS A FAILURE.
    CRITERIA:

   (1)   Negative reactions

   (2)   Negative behavior

   (3)   Cost exceeds value

6. ASSESSMENT INDICATES CHANGE IN FOLLOWING OUTCOMES:

	Improved	Deteriorated	Objective Related	Not Objective Related
ARTEP score	(1)	(2)	(3)	(4)
IG inspection	(5)	(6)	(7)	(8)
Technical Proficiency Inspection	(9)	(10)	(11)	(12)
COMET score	(13)	(14)	(15)	(16)
TA50 score	(17)	(18)	(19)	(20)
SQT score	(21)	(22)	(23)	(24)
Field day score	(25)	(26)	(27)	(28)
Hours flown	(29)	(30)	(31)	(32)
Accident rate	(33)	(34)	(35)	(36)
Mission objectives accomplished	(37)	(38)	(39)	(40)
Operational Readiness rate	(41)	(42)	(43)	(44)
Deadline reports (time to repair equipment)	(45)	(46)	(47)	(48)
Equipment casualty rates	(49)	(50)	(51)	(52)
Maintenance Requests (Form 2404) (Time elapsed from requested to service rendered/maintenance finished)	(53)	(54)	(55)	(56)
Parts requisitions	(57)	(58)	(59)	(60)
Equipment lost reports	(61)	(62)	(63)	(64)
Service request rates	(65)	(66)	(67)	(68)
Service response rates	(69)	(70)	(71)	(72)
Cost budgeting	(73)	(74)	(75)	(76)
Promotions	(77)	(78)	(79)	(80)
Education	(81)	(82)	(83)	(84)
Physical education	(85)	(86)	(87)	(88)
Unit citations	(89)	(90)	(91)	(92)
Individual citations and merit ratings	(93)	(94)	(95)	(96)

7. ASSESSMENT OUTCOMES CONTINUED

	Improved	Deteriorated	Objective Related	Not Objective Related
Retention rates	(1)	(2)	(3)	(4)
Article 15s	(5)	(6)	(7)	(8)
Court-martial actions	(9)	(10)	(11)	(12)

AWOL rates	(13)	(14)	(15)	(16)
Drug charge rate	(17)	(18)	(19)	(20)
Assault rate	(21)	(22)	(23)	(24)
Theft rate	(25)	(26)	(27)	(28)
DWI rate	(29)	(30)	(31)	(32)
Sick call rate	(33)	(34)	(35)	(36)
Alcohol abuse rate	(37)	(38)	(39)	(40)
Drug abuse referral rate	(41)	(42)	(43)	(44)
Psychiatric complaint rate	(45)	(46)	(47)	(48)
Racial incident rate	(49)	(50)	(51)	(52)
EO indicators	(53)	(54)	(55)	(56)
Divorce rate	(57)	(58)	(59)	(60)
Family counseling request rate	(61)	(62)	(63)	(64)
Credit & financial mgmt. counseling request rate	(65)	(66)	(67)	(68)
Indebtedness rate	(69)	(70)	(71)	(72)
Civilian arrest rate	(73)	(74)	(75)	(76)
Community relations	(77)	(78)	(79)	(80)
Equipment losses (unit)	(81)	(82)	(83)	(84)
SIDPERS slotting accuracy	(85)	(96)	(87)	(88)
Training Readiness	(89)	(90)	(91)	(92)
Discipline	(93)	(94)	(95)	(96)

8. ASSESSMENT OUTCOMES CONTINUED

Responsiveness	(1)	(2)	(3)	(4)
Teamwork	(5)	(6)	(7)	(8)
Morale	(9)	(10)	(11)	(12)
Procedures	(13)	(14)	(15)	(16)
Performance	(17)	(18)	(19)	(20)
Attitude	(21)	(22)	(23)	(24)
Climate	(25)	(26)	(27)	(28)
Equipment readiness rates	(29)	(30)	(31)	(32)
Personnel time utilization	(33)	(34)	(35)	(36)
Number of billets required*	(37)	(38)	(39)	(40)
Billet grade level change	(41)	(42)	(43)	(44)
EFMB	(45)	(46)	(47)	(48)

*Improved indicates billet requirement eliminated or grade level required for billet reduced. Deteriorated indicates billet added or grade level increased.

APPENDIX E

Case Outcomes Summary Report

CASE OUTCOMES SUMMARY REPORT

Case outcomes will be summarized in a report that follows the following format.

Cover Sheet: Include case number
Include case description
Include a block flow diagram that illustrates
the significant activities of the case.

SECTION I: LONGITUDINAL DATA COLLECTED

a.   Longitudinal data should be collected for a period of one year prior to the operation and one year subsequent to the operation. When this is not possible, the introduction to this section should state the periods of time that were actually used.

b.   Prepare a concise paragraph for each different type of longitudinal data that summarizes your evaluation of the data. If the data is found not to be useful, then a brief statement that indicates your reason should be included. Cost avoidance or savings or losses, or value of productivity gained or lost should be indicated for any item where data indicates either improving or degrading trends. Where quantifiable cost data is not available, the trend should be associated with an appropriate general organizational effectiveness factor such as performance, morale, organizational climate, etc. The assessment outcomes contained in Section XV of the Case Coding Worksheet provide lists of suitable categories.

c.   Prepare a summary paragraph listing general categories of change along with the value of quantifiable outcomes. Indicate in the summary paragraph of this section those changes that were directly related to a planned objective of the operation. Indicate in the summary if there is any pending evaluation of longitudinal data by the OESO.

SECTION II: ATTAINMENT OF THE STATED OBJECTIVES OF THE OE OPERATION

a.   The stated objectives and/or plan of action for the operation should provide the basis for this section. Indicate whether the objectives or action were stated in measurable terms or not.

b.   Prepare a concise paragraph for each operation objective or major action that summarizes your evaluation of the attainment of the objective or action. Quantifiable value of the change should be indicated when available. Non quantifiable changes should be associated with the appropriate general organizational effectiveness factor described in Section I above.

c. Prepare a summary paragraph listing general categories of change.

SECTION III: COST OF THE OPERATION

Prepare a summary of the total cost of the operation by category as indicated below.

OE Operation: OESO personnel cost
Client personnel cost
Materials cost
TDY and/or transportation costs

OE Training cost: Include if scheduled as a result of an operation objective.
OESO personnel cost
Client personnel cost
Materials cost
TDY and/or transportation costs

SECTION IV: DEMOGRAPHIC INFORMATION RELATING TO THE OPERATION

a. Include a simple block diagram of the organizational structure and relationships of the groups included in the operation.

b. Provide a brief table of the rank, grade and numbers of people involved in the operation.

c. Indicate the turnover rate of personnel since the initiation of the operation. If available, indicate the personnel turnover rate for the year prior to the operation.

SECTION V: SUMMARY ASSESSMENT OF THE OPERATION

a. Prepare a summary assessment of the operation that includes your overall assessment as well as the following:

   . Percentage of objectives or actions actually completed along with percent of objectives or actions in progress.

   . A summary of the total cost of the operation as compared to the total quantified outcome value of the operation along with net cost/value.

   . A summary of the general organizational effectiveness factors identified as improving or degrading.

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APPENDIX F

Overall Case Assessment (OCA)
Coding Convention and Form

OVERALL CASE ASSESSMENT (OCA)

CODING CONVENTION AND FORM

The form (Attachment 1) includes a factor called confidence level or
"confidence". This factor should be scored using the following
convention as a guide and choosing the appropriate value to enter in
the summary grid:

1: Very low confidence level. The scoring is based on very
limited or ambiguous information from the User and his/her
subordinates

3: Moderate confidence level. The scoring is based on a
moderate amount of information from the User and his/her
subordinates which is also moderately clear and straight
forward.

5: Very high confidence level. The scoring is based on a very
sufficient amount of information from User and his/her
subordinates which is emphatically clear and very well
defined.

The next five sections of this coding convention provide the
definitions of those values to be used in scoring the remainder of
the OCA Form.

I.   ROLES

I.1   OEC

Rate the OEC on the degree to which he/she appears to take
a role as integrator between he needs of the subordinates and
the needs of the User.

1:     Sides primarily with the User. Views the User as the only
       client. Willingly supports actions which are primarily
       driven by User desires. Is not concerned about generating
       conditions for subordinate commitment but only about
       reducing opposition the to User's desired change.

3:     Sides with the User and conscientiously trys to advise User
       about the desirability for generating needed commitment. In
       undertaking this advice OEC's posture is non-confrontive and
       he/she generally abides by User desires.

5:     Actively pursues a practice theory strategy designed to
       create a situation in which subordinates will be committed
       to changes generated by the operation. Skillfully confronts
       the User when necessary to attain this objective.

I.2   User Objectives

Rate the User on the degree to which he/she uses the OE
process to accomplish his/her own pre-conceived objectives, or
as a way of identifying and solving problems/issues with
subordinates' strong participation.

1:     User uses OE to accomplish objectives set by him/her. In

general, these objectives are <u>based primarily on User needs</u>. They may or may not be viewed as necessary objectives by the User's organization.

3: User uses OE to accomplish own objectives and <u>wants to integrate</u> these objectives with those generated through subordinates as well.

5: User uses OE as a way for him/her to identify and solve problems <u>jointly</u> with subordinates.

1.3 <u>User Solutions</u>

Rate the User on the degree to which he/she uses own solutions or uses subordinates' solutions.

1: User acquires data from OE process and then makes his/her own decisions. Subordinates are involved in the decision but User clearly dominates decision process.

3: User and subordinates make a joint decision

5: User is prepared to abide with any decision subordinates develop, within reason.

I.4 Score appropriate boxes. First element: the User is his/her own target of change when the initial purpose of the operation is for the User to change his/her own behavior. Second element: occasionally, when the User constitutes a major problem in the organization, the focus of the operation will inevitably shift from another target to the User. If that is the case, score this element accordingly.

II. <u>STRUCTURING AND DIFFUSING</u>

II.1 Structure

Score the extent to which the OEC in conjunction with the User, or the User alone, provides the necessary structuring in the Operation. Structuring - those actions which provide the needed, skill, information, knowledge or situation to those concerned in an OE operation. The purpose of this structure is to implement an efficient practice theory which removes obstacles to change and/or permits individuals to understand and be competent enough to take advantage of appropriate influence opportunities afforded by the operation.

1: Very low structure is provided throughout operation. Little energy is spent on instrument, conference, workshop, meeting or process planning and design. Inputs from the User or the organization are generally not sought after nor used to shape the activities of the operation. Instead, a "general" approach is taken.

3: Moderate structure is provided throughout the operation.

5: Very high structure is provided throughout the operation. Every event in the operation is carefully considered, is shaped by the OESO and User and subordinates to the extent feasible. Designs of all activities are carefully crafted for the specific application. They consider group process issues and include necessary skill building, training or education.

See Attachment I for a list of some possible structuring activities in the data collection, feedback, planning and implementation phases of an operation.

II.2 Diffusion

Score the extent to which the OEC, in conjunction with the User, or the User alone, provides information about the operation's processes and outcomes to those affected by the operation.

1: Very low diffusion is provided throughout the operation. In general, information is collected from lower parts of the organization, is used as deemed appropriate by the User, and no information is returned to the lower portions from the User level. Further, to obtain the information, certain implied or explicit promises were made which are later ignored.

3: Moderate diffusion is provided throughout the operation.

5: Very high diffusion is provided throughout the operation. Every event in the operation is carefully preceded and followed by actions designed to keep participants informed. These diffusion activities generally take place through the chain of command and are carefully fashioned to avoid being labeled as "OE propaganda". They are also designed so that they do not raise expectations about the future to unrealistically high levels.

See Attachment 2 for a list of some possible diffusion activities in the data collection, feedback, planning and implementation phases of an operation.

III. EXPECTATIONS ABOUT THE OE OPERATION

Score the extent to which expectations appear to have been met at each organization level on the grid, using the following behavioral indicators:

1: Expectations were not met. Persons making statements like:

"I was led to believe that a lot was going to change as a result of OE. I haven't seen a thing change."

"I had high hopes that a lot could be accomplished, but nothing has been."

"My expectations for the operation have been destroyed by......"

3: Some expectations were met, but not all. Persons making statements like:

"Some of the objectives they developed have been achieved, but not all."

My expectations haven't been met, but some results have been achieved."

5: Most if not all expectations have been or are being met. Persons making statements like:

"We accomplished everything and more than we ever intended. The operation exceeded my expectations."

"I'm very pleased with the operation. It met my expectations."

"There are still some things to be done, but the operation met most of my expectations."

IV. MEDIATING FACTORS

Mediating factors are those factors which are a part of the situation, and affect the intensity and outcomes of the operation.

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IV.1 Need for change.

The need for change is divided into two components. Both
may be present. The first component is defined as an externally
imposed event of importance to the organization which requires
large portions of the organization's resources. It may be planned
as a part of the unit's normal task cycle i.e. ARTEP or AGI, or
it may be an unplanned, one time event, i.e. preparations to become
a part of the Rapid Deployment Force. If the event is in evidence
at the time of the operation, it is to be viewed as a reason for
change and scored yes.

The second component refers to internal conditions which
obviously require change because of unacceptable past performance
or indications of serious future problems which require immediate
recognition and continuing attention until they are solved.

IV.2 Control over intended change

The extent to which the User possess the necessary authority
over those organizational elements affected by the intended
change. If this control is essentially complete, score yes. If
not, use the other options as appropriate.

IV.3 Affect of Superiors or Peers on the User

Whether those persons superior to the User, and in some
instances, the User's peers, view OE as a positive or neutral or
undesirable activity.

IV.4 Goal Orientation

The extent to which a person posesses an outcome orientation
in which objectives for each process step or ultimate outcome

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are clearly defined in measurable, time phased, and realistically achievable ways.

1:. Very low goal orientation. Outcomes are mentioned in vague terms. The person generally focuses on an activity which can produce an outcome and can describe a desired reaction to the activity, but he/she does not describe a desired outcome resulting from the activity in behavioral or hard outcome terms, e.g. "Conduct an issues identification workshop for the command and staff groups. Afterwards, they will indicate that they enjoyed it and found it worthwhile."

3: A person specifies desired behavioral or hard outcome changes but not in measureable terms, e.g. "Conduct a workshop that results in improved face to face communications between the command and staff groups."

5: The person specifies measurable behavorial changes which lead to desired hard outcome changes which are also specified. E.g. Hard outcome changes:

"Exchange information about the future month's and operation requirements between all members of the command and staff groups. Obtain resolution on all conflicts so that each member affected says words to the effect- "I agree with, fully understand and will support that decision". As a result, reduce the number of crises from ten to five per week. A crisis is -- (definition)."

Score Goal Orientation for the User, key User subordinates who may have been influential in the operation, and for the OEC.

V. OUTCOMES

V.1 Reaction Intensity

The extent to which those involved express sentiments of
satisfaction/dissatisfaction to the operation. This element is
defined seaprately for the User, and for subordinate levels.

User

1:   The User expresses mixed sentiments about the operation which
     lack a comparative or superlative description.

     "The operation was good/bad".

3:   The User expresses sentiments about the operation which use
     the comparative case.

     "The operation was very good/very bad, very beneficial/not
     very beneficial."

5:   The User expresses sentiments of satisfaction/dis-
     satisfaction about the operation which use the superlative
     case.

     "The operation was the best/worst, most/least beneficial."

Subordinate levels - Agreement

After choosing the appropriate value (1 through 5), enter it in
the correct line/column.

1:   All subordinates concerned at the level express a mixture
     of positive and negative sentiments about the operation
     (about 50%/50%).

3: All subordinates concerned at that level express a mixture of sentiments which leans in a positive or negative direction (75%/25%).

5: All subordiantes concerned at that level express the same sentiments about the operation.

Subordinate levels - Intensity

1: Descriptions of the reactions are very low key. Voices are not animated and avoid the use of any comparative or superlative phases. There does not appear to be much concern or interest.

3: Descriptions of the reactions are moderately animated. Discussions are fairly lengthy and use occasional comparative cases in describing the operation.

5: Descriptions of the reactions are very animated. Discussions have to be managed so that completion can take place. Superlative and comparative cases are frequently used in describing the operation.

V.2. Unintended Outcomes

An unintended outcome is one which occurs but was never explicity defined as a desired outcome resulting from planned implementation actions by the User. Behavioral or hard outcome change can not be quantified because there is nothing to compare the unintended outcomes with. For example, in evaluating the outcomes of an operation, the number of personnel compliants in IG inspections decreased significantly and that change was attributed to the OE operation. If the change was not specified prior to implementation actions, it is an unintended change. These

type of changes can only be scored for presence or absence, and the degree to which persons affected believe they are important to the organization.

Degree of Importance   The following describes the degrees of importance to be used in scoring each outcome:

1:   Of very little or little importance.

"The changes made very little difference to the organization. They were of little importance."

2:   Some importance.

"The changes were of some importance to the organization."

3:   Important. "The changes are/were important."

4:   Very important. Persons involved use the comparative case when discussing the outcomes.

"The changes were/are very important."

5:   Most important. Persons involved use the superlative case when talking about the outcomes.

"The changes were/are most important. They have caused major improvements in our organization."

V.3   Intended Outcomes

In the case of intended outcomes, actual outcomes can be compared to what was planned or intended to determine a level of intended success. Scoring should be accomplished for both behavior and

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hard outcomes using a subjective scale even though the outcomes may not have been specified in completely measurable terms (i.e. "improve communications", or "improved OR rates.")

Behavioral Change

1: There is a minimal indication that some of the desired behavioral change may have occured but there is little confidence

3: At least 75% of those persons directly affected and knowledgeable about the intended change indicate that at least half of the intended objectives were met.

5: All persons directly affected and knowledgeable about the intended change indicate that all of the intended objectives were met.

Intended Hard Outcomes

1: Less than 20% of the desired outcomes were achieved.

3: More than 60% of the desired outcomes were achieved.

5: 90% or more of the desired outcomes were achieved.

For the Degree of Importance section of this portion of the assessment, use the same instructions as those given in V.2.

V.4 Change Attributed to OE

Score the organizational levels indicated using the following criteria:

All: The changes, intended and unintended, are all
                attributed to OE.

Most: A majority of the change were attributed to OE
                and the rest to some other cause or "they would
                have happed anyway."

Some: About half of the changes were attributed to OE
                and the rest to some other cause or - "they
                would have happened anyway.

Little: A small percentage, arbitrarily about 20%, are
                attributed to OE. The rest are attributed to
                some other cause or - "They would have happened
                anyway."

Practically
none: Perhaps a very small smount of change can be
                attributed to OE, but those changes were very
                minor, and not enough to make much difference.

Don't know: Persons say they "don't know" and are not even
                willing to guess. Typically they will also
                say:

                "What is OE?"

V.5   ESTIMATED COST AND BENEFIT

.   Estimate the costs associated with the operation from
        commencement through and including implementation and enter
        them in the space provided. If they can be converted to
        dollars, include costs which may have resulted from the
        operation and are viewed by the User as negative outcomes.

- Estimate the beneficial hard outcomes that can be converted into dollars and enter them in the space provided.

  Please base the above estimates on the following as appropriate:

  - The assumption upon which you base the estimate must be clear to you (i.e., it is based on the original cost of the equipment and material, or the average replacement cost, or the cost of needed spare parts plus installation time, etc.).

  - The value of cost or benefit should only be costed over a period of one year.

  - The specific descriptive or weighting factors you used must be clear to you (i.e., saved one E-7 four hours per week for one year - in this instance, E7 and time saved are the specific factors needed).

  - Generally concern yourself only with marginal change. In the case of benefits, assume that the improved resources resulting from an operation were employed effectively. For example, if an E-7 will save four hours per week and you are not certain that this additional time will be used productively, assume that it will be.

- While only the figures resulting from the cost and benefit estimates will be entered on the form, the rationale for the figures should be maintained in the case file.

- The amount of variance which can be attributed to the benefit figures is estimated by scoring the degree of constraint.

The following definitions are to be employed in assigning the appropriate value:

1: Very constrained and should be used with great caution. Depending on how the benefit is computed, the dollar amount is potentially quite variable and is based on the assumptions which were made when the figure was calculated.

3: The benefit figure is reasonably stable and could vary no more than about 30%

5: The benefit figure is very stable and should not vary more than about 10%.

DATA COLLECTION

1. Contributors to the data collection effort are briefed about its purpose, composition, confidentially, and manner in which it will be used in relation to the contributor and the organization. A check for understanding with an opportunity for dialogue is created.

2. Data collection instruments are designed to specifically address the collection requirements in the organization concerned.

3. The execution of the data collection is well organized and performed in a consistent, well thought-out manner.

FEEDBACK

4. Feedback data is reduced and presented so that it can be assimilated and understood with relative ease.

5. Feedback of assessed data is preceded by relevant preparatory training.

6. The selection of participants in groups are appropriate with respect to the data involved. For example, the commander's data is normally only shared with his or her immediate subordinates, not with an E3 in a Platoon.

7. Rules of feedback are employed and enforced.

PLANNING

8. The OEC structures the meeting so that there are defined, intended outcome(s), an agenda, and an agreed upon process for problem-solving.

9. As a result of planning, the desired future implementation activity outcomes are carefully defined.

IMPLEMENTATION

10. The activity is carefully designed in terms of:

   -   Participant selection

   -   Outcome definition

   -   Careful explanation of all processes employed

   -   Flow/timing

   -   Skill/education given/required

   -   Assessment.

11. The activity is evaluated.

12. Future actions are:

   -   Measureable

   -   Time-phased

   -   Realistically achievable.

DATA COLLECTION

1. User is given opportunity and encouraged to generate questions to be used in collection instrument(s).

2. Key User subordinates are given opportunity and encouraged to generate information with which to design collection instrument(s).

3. The maximum number of sources data is to be collected from is sought considering the purpose of the collection, i.e., for a general assessment or a focused assessment. In the best case, all relevant sources are used.

4. Using appropriate methods to collect data. In general, it is more likely that a situation for commitment will be created using an individual interview because of the information exchange which can take place. This opportunity becomes less likely as one proceeds down the list below. However, more methods and perspectives are better than less.

    Individual interview

    Group interview

    Survey questionnaire

Unobtrusive data collection

FEEDBACK

5.   Feedback takes place within a short time span after data collection (i.e. 2 weeks or less).

6.   The persons included in feedback include all those who contributed to the data collection effort.

7.   The feedback method employed has the designated key leader actively and constructively involved in the feedback process.

8.   The primary purpose of feedback is to validate, refine, and specify issues and problems.

9.   The feedback session is designed collaboratively with the key leader involved.

PLANNING

10. Planning methodically employ the results of feedback.

11. Those persons are included in planning who are likely to be most important in future implementation and action, i.e., their support will be required or they will actually be responsible for action resulting from the change.

12. The planning process takes place within a short time span after feedback (i.e. 2 weeks or less).

13. The results of the planning process, the intended plan and objective(s) of the plan are disseminated to all those who were involved in feedback. Dissemination occurs prior to implementation activity.

IMPLEMENTATION

14. Ocurs within a short time span after planning (i.e. 2 weeks or less).

15. Participants include those key persons whose support will be required or who will be responsible for future action.

16. Results of the activity are disseminated to all those involved in the intervention up this point.

ATTACHMENT 4: CONSTRUCTION OF THE CUMULATIVE

CASE OUTCOME SCALE

Scale Items

An overall scale for case success was constructed from items on the Overall Case Assessment rating forms. The following items were included in this scale.

1. Expectations. This item was measured on a five point scale. The lowest score of 1 corresponded to "expectations not met" while the highest score of 5 corresponded to "most or all expectations met." Expectations were recorded for applicable levels ranging from the User, 1st Level through 3rd level to the Target Command.

2. Unintended Outcomes. The presence or absence of unintended hard or behavioral outcomes was noted. Such outcomes could be positive or negative and the degree of importance, a numerical score which ranged from 1 to 5 was attached.

3. Intended Outcomes. The degree of accomplishment of intended outcomes was scored on a scale of 1 to 5 for each organizational level from User to Target Command. Scores were attached to behavioral and hard outcomes and the degree of importance was also rated on a scale of 1 to 5.

4. Reaction Intensity. This item could be either positive or negative and was scored between 1 and 5 for each applicable organizational level from User to Target Command.

5.   Change Attribution. The degree of change attributed to OE was
     rated on a scale of 5, representing "all change attributed to
     OE", to 1 representing "practically no change attributed to OE."
     This item was measured for all applicable organizational levels
     from User to Target Command.

6.   Cost/Benefit. When estimated costs exceeded estimated benefits,
     a score of +10 was assigned. When estimated benefits were greater
     than estimated costs, a score of -10 was assigned.

Scale Construction

The overall success measure was an additive combination of the
scale items described above. Because not all cases involved all
organizatonal levels, direct addition of scale items would produce
non-comparable scores. To correct this problem, scale items were
inputed' for missing levels. For example, if actual expectations were
observed for three organizational levels. User, 1st Level and 2nd
Level, expectations would be inputed for the 3rd Level and the Target
Command. Scale items for missing organizational levels were inputed
to be the average of scale items for observed levels. For example, if
the actual expectations observed were 5, 5, and 4, the inputed
expectations for the remaining levels would be 4 2/3, 4 2/3.

In addition to inputation of items for missing organizational
levels, unintended and intended outcomes were weighted by the degree
of importance. For intended outcomes, the degree of accomplishment
was multiplied by the degree of importance. When unintended outcomes
were present and positive, the degree of importance was multiplied by
+1 and added to other scale items. When unintended outcomes were
negative, the degree of importance was multiplied by -1 and added to
other scale items.

I. Roles

I.1 OPC

①. ②. ③. ④. ⑤. C

Sides primarily   Sides with User,   Actively pursues
with User.   tries to advise about   situation in which
                               commitment issues.   commitment can bo
                                                                     generated.

I.2 User Cbjectives:

①. ②. ③. ④. ⑤. C

Uses OE to accomplish   Uses OE to accomplish   Uses OE   jointly
own objectives.   own objectives and to inte-   with subordinates to iden-
                               grate subordinate objectives   tify and solve problems.

I.3 User Solutions:

①. ②. ③. ④. ⑤. C

Gathers info from   Joint decision
subordinates and   with subordinates.   Subordinates make
makes own decisions.   decisions.

I.4 User is his/her own target of change. (Y) (N)
User becomes target of change as operation progresses. (Y) (N)

II. STRUCTURING AND DIFFUSING

II.1 Structuring

①. ②. ③. ④. ⑤. C

Very Low   Moderate   Very High

II.2 Diffusion

①. ②. ③. ④. ⑤. C

Very Low   Moderate   Very High

III.   EXPECTATIONS

	Expectations not met		Some expectations met, not all		Most or all expectations met	UNKNOWN	
	1.	2.	3.	4.	5.		C
User							
1st Level							
2nd Level							
3rd Level							
4th Level							
Target Cmd							

IV.   MEDIATING FACTORS

IV.1 Need for Change

	Yes 2	Partial 1	No 0	C
External				
Internal				

IV.2 Control over intended change

Yes 2	Partial 1	No 0	C

IV.3 Affect of superiors or peers on User

Positive 1	Neutral 0	Undesirable -1	C

IV.4 Goal Orientation

	Very low Outcomes vague		Moderate Specified but not measurable		Very high Measurable	UNKNOWN	C
	1.	2.	3.	4.	5.		
User							
Key User subordinates							
OEC							

V. OUTCOMES SUMMARY

4. Change Attributed to OE

	Conf.	Don't Know 0	Pres't Work 1	Little 2	Some 3	Mod 4	All 5

3. Intended Outcomes

Hard Outcomes Degree of Attainmt.	Conf.	Degree of Import.	Conf.	Behavior Degree of Attainmt.	Conf.

2. Unintended Outcomes

	Hard Outcomes Pos.(+) Neg.(-)	Conf.	Degree of Import.	Conf.	Behavior Pos.(+) Neg.(-)	Conf.

1. Reaction

Reaction Intensity Pos.(+) Neg.(-)	Conf.

Not scored separately for User or organization level.

	Involvement	Approval	Involvement	Approval
User				
1st Level				
2nd Level				
3rd Level				
4th Level				
5th Level				
Target Concern				

Degree of Constraint: ◯

Estimated Benefit: $ _____
Confidence: ◯

Estimated Cost: $ _____
Confidence: ◯

F-26

APPENDIX G

Standardized Costs

G-1

1. ANNUAL SALARY FOR MILITARY PERSONNEL

Monthly basic pay for various military pay grades is calculated using the average of the pay for all grades for under 2 years to 26 years in grade. Basic Allowance for Quarters (BAQ) rate used is the average of the rates for without dependents and with dependents. Basic allowance for substence is applied only to the commissioned and warrant officer pay grades. The pay scales effective 1 October 1979 are used. Annual salary is determined as indicated below.

Monthly basic pay + Basic Allowance for Quarters +
Subsistence x 12

PAY GRADE	ANNUAL SALARY
0-10*	$51,786.60
0-9*	48,293.76
0-8	46,011.12
0-7	40,749.96
0-6	32,360.52
0-5	28,628.52
0-4	25,598.16
0-3	23,173.80
0-2	18,936.48
0-1	15,286.44
W-4	21,903.12
W-3	19,600.28
W-2	17,566.32
W-1	16,018.56
E-9	19,834.80
E-8	17,223.00
E-7	14,166.48
E-6	12,410.88
E-5	11,020.88
E-4	9,679.32
E-3	8,622.24
E-2	7,552.80
E-1	6,904.80

*As Limited By Level V of the Executive Schedule -

2. ANNUAL SALARY FOR CIVILIAN PERSONNEL

The annual salary for civilian personnel used is the annual salary for Step 5 of the appropriate grade level using the pay schedule effective 1 October 1979.

PAY GRADE	ANNUAL SALARY
GS-1	$ 8,170.00
GS-2	9,002.00
GS-3	10,144.00
GS-4	11,389.00
GS-5	12,743.00
GS-6	14,203.00
GS-7	15,781.00
GS-8	17,479.00
GS-9	19,307.00
GS-10	21,260.00
GS-11	23,359.00
GS-12	27,995.00
GS-13	33,291.00
GS-14	39,341.00
GS-15	46,276.00
GS-16*	47,498.40
GS-17	47,498.40
GS-18*	47,498.40

*As Limited by Level V of the Executive Schedule

3. COST PER APPLIED MAN DAY (C/AMD) FOR CLIENT PERSONNEL

The cost of each applied man day of client time applied to the OE operation is calculated in the following manner.

$$C/AMD = \frac{Salary/Yr. \times 2.5}{220 \text{ (days worked in a year @ 100\% applied)}}$$

2.5 = fringe benefits, overhead and general administrative costs.

The C/AMD for military personnel in client organizations is calculated as indicated below:

PAY GRADE	C/AMD
O-10	$588.48
O-9	548.79
O-8	522.85
O-7	463.06
O-6	367.73
O-5	325.32
O-4	290.88
O-3	247.02
O-2	215.18
O-1	173.70
W-4	248.89
W-3	222.73
W-2	199.61
W-1	182.02
E-9	225.39
E-8	195.71
E-7	160.98
E-6	141.03
E-5	125.23
E-4	110.50
E-3	97.98
E-2	85.82
E-1	78.46

The C/AMD for civilian personnel in client organizations is calculated as indicated below.

PAY GRADE	C/AMD
GS-1	$ 92.84
GS-2	102.29
GS-3	115.27
GS-4	129.42
GS-5	144.80
GS-6	161.39
GS-7	179.32
GS-8	198.62
GS-9	219.39
GS-10	241.59
GS-11	265.44
GS-12	318.12
GS-13	378.30
GS-14	447.05
GS-15	525.86
GS-16	539.75
GS-17	539.75
GS-18	539.75

4. COST PER APPLIED MANDAY (C/AMD) FOR OECs

The cost of each applied manday of OEC time applied to the OE Operation is calculated in the following manner.

$$C/AMD = \frac{Salary/yr \times 2.5 + \$5000 \; (\text{½ OE training cost amortized in 1 year})}{.75 \; (\text{Percent of total days worked applied directly to OE operations}) \times 220 \; (\text{days worked in 1 year})}$$

OR

$$C/AMD = \frac{Salary/Yr. \times 2.5 + \$5,000}{165}$$

The C/AMD for military and civilian OEC's is calculated as indicated below:

PAY GRADE	C/AMD	PAY GRADE	C/AMD
0-6	$520.61	GS-14	$626.37
0-5	464.06	GS-13	534.71
0-4	418.15	GS-12	454.46
0-3	381.42	GS-11	384.22
0-2	317.21	GS-10	352.42
0-1	261.91	GS-9	322.83
E-9	330.83	GS-8	295.13
E-8	291.25	GS-7	269.40
E-7	244.94	GS-6	245.50
E-6	218.34	GS-5	223.37

STANDARDIZED COSTS

1. ANNUAL SALARY FOR MILITARY PERSONNEL

Monthly basic pay for various military pay grades is calculated using the average of the pay for all grades for under 2 years to 26 years in grade. Basic Allowance for Quarters (BAQ) rate used is the average of the rates for without dependents and with dependents. Basic allowance for substence is applied only to the commissioned and warrant officer pay grades. The pay scales effective 1 October 1979 are used. Annual salary is determined as indicated below.

Monthly basic pay + Basic Allowance for Quarters + Subsistence x 12

PAY GRADE	ANNUAL SALARY
0-10*	$51,785.60
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0-2	18,936.48
0-1	15,286.44
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W-3	19,600.28
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E-6	12,410.88
E-5	11,020.88
E-4	9,679.32
E-3	8,622.24
E-2	7,552.80
E-1	6,904.80

*As Limited By Level V of the Executive Schedule .

4. COST PER APPLIED MANDAY (C/AMD) FOR OECs

The cost of each applied manday of OEC time applied to the
OE Operation is calculated in the following manner.

$$C/AMD = \frac{Salary/yr \times 2.5 + \$5000 \text{ } (\text{amortized in 1 year})}{.75 \text{ (Percent of total days worked applied directly to OE operations) } \times 220 \text{ (days worked in 1 year)}}$$

(½ OE training cost)

OR

$$C/AMD = \frac{Salary/Yr. \times 2.5 + \$5,000}{165}$$

The C/AMD for military and civilian OEC's is calculated.
as indicated below:

PAY GRADE	C/AMD	PAY GRADE	C/AMD
0-6	$520.61	GS-14	$626.37
0-5	464.06	GS-13	534.71
0-4	418.15	GS-12	454.46
0-3	381.42	GS-11	384.22
0-2	317.21	GS-10	352.42
0-1	261.91	GS-9	322.83
E-9	330.83	GS-8	295.13
E-8	291.25	GS-7	269.40
E-7	244.94	GS-6	245.50
E-6	218.34	GS-5	223.37

APPENDIX H

Operations Coding Worksheet Scales

Table 13

Operations Coding Worksheet Scales

Scale No.	Scale Name	No. of Items	Item Number(s)
1	External Support	2	V.2.(1), XI.3.(1)
2	User Goal Orientation	3	IV.1.(1), V.9.(1), V.9.(2)
3	User Role	35	V.14.(3), V.14.(4), V.14.(5), V.22.(1), V.22.(2), V.22.(3), V.22.(4), V.22.(5), VI.6.(1), VI.6.(2), VI.6.(3), VI.6.(4), VI.6.(5), VI.6.(6), VI.6.(7), VI.11.(1), VII.3.(1), VII.9.(1), VII.11.(1), VII.11.(2), VII.11.(3), VII.19.(1), VII.20.(1), VII.22.(1), IX.20.(1), IX.24.(1), IX.24.(2), IX.24.(3), IX.24.(4), IX.26.(1), IX.26.(2), IX.26.(3), IX.26.(4), IX.32.(1), XI.5.(1)
4	OEC Role	8	VI.7.(1), VI.7.(2), VI.7.(3), VI.7.(4), VI.7.(5), VI.7.(6), VI.12.(1), IX.43.(1)
5	Structuring	11	VII.7.(1), IX.19.(4), IX.19.(6), IX.22.(1), IX.27.(2), IX.39.(1), IX.40.(1), IX.40.(2), IX.40.(3), IX.40.(4), IX.40.(5)
6	Diffusion	10	V.18.(1), V.18.(2), V.18.(3), V.18.(4), V.18.(5), VII.14.(1), VIII.30.(6), VIII.32.(1), VIII.32.(2), VIII.34.(1)
7	Practice Theory	9	VI.1.(2), VII.13.(1), VII.18.(4), VII.34.(11), VIII.1.(3), VIII.31.(1), IX.4.(3), IX.30.(1), XII.2.(4)
8	Evaluation	8	XII.4.(2), XII.4.(3), XIII.4.(1), XIII.4.(2), XIII.4.(3), XIII.5.(1), XIII.5.(2), XIII.5.(3)
9	Outcomes	13	XI.7.(1), XV.1.(1), XV.1.(2), XV.1.(3), XV.1.(4), XV.1.(5), XV.3.(1), XV.3.(2), XV.3.(3), XV.3.(4), XV.4.(1), XV.4.(2), XV.4.(3)

NO. 1 = EXTERNAL SUPPORT (2 items)

V.2 USER'S SENIOR IN CHAIN OF COMMAND SUPPORTS OE OPERATION:

    (1) Yes

XI.3 USER REPORTS THAT TOP MANAGEMENT OF HIS OR HER ORGANIZATION SUPPORTS OE EFFORT:

    (1) Yes

NO. 2 = USER GOAL ORIENTATION (3 items)

IV.1   INITIATION OF CONTACT:

     (1)   OESO initiated

V.9   USER IDENTIFIES PROMOTING/RESTRAINING FORCES FOR DESIRED CHANGE:

     (1)   Supporting individuals and groups

     (2)   Opposing individuals and groups

NO. 3 = USER ROLE (35 items)

V.14 USER EXPRESSES UNDERSTANDING ABOUT OE:

     (3) Data collection/analysis/feedback purpose is as a catalyst for
        action vice final problem identification

     (4) The need to build commitment within target group from outset

     (5) The need to establish, measure, evaluate outcomes and objectives

V.22 USER TAKES ACTION TO INFORM AND GET ORGANIZATION AND/OR PERSONS INVOLVED
     TO SUPPORT OE OPERATION TO LEVEL INDICATED:

     (1) None

     (2) Non-management

     (3) Lower management

     (4) Middle management

     (5) Top management

VI.6 ACTION TAKEN TO ENCOURAGE OPENNESS AND PARTICIPATION BY USER IN DATA
     COLLECTION:

     (1) Formal written notification, i.e. DF

     (2) Briefing of non-management

     (3) Briefing of lower management

     (4) Briefing middle management

     (5) Briefing tcp management

     (6) Briefing of all respondents

     (7) None taken

VI.11 USER TAKES ACTION TO REDUCE OPPOSITION AND ENCOURAGE SUPPORT FOR
     OPERATION:

     (1) Yes

VII.3 USER TAKES ACTION TO ENCOURAGE TRUST AND OPENNESS WHEN INITIAL FEEDBACK
     IS IN A GROUP SESSION:

     (1) Yes

NO. 3 = USER ROLE (35 items) (continued)

VII.9   ACCEPTANCE BY USER:

      (1) high

VII.11 USER VIEWS VALUE OF FEEDBACK AS WAY OF IDENTIFYING:

      (1) Emerging issues

      (2) Developing commitment for change

      (3) Problem identification

VII.19 USER TAKES SPECIFIC ACTION PRIOR TO FEEDBACK SESSION TO ENCOURAGE
        SUPPORT:

      (1) Yes

VII.20 USER PRESENT AT GROUP FEEDBACK SESSION AND TAKES SPECIFIC ACTION TO
        ENCOURAGE TRUST, OPENNESS, AND PARTICIPATION:

      (1) Yes

VII.22 USER USES OESO COACHING ON BEHAVIORS TO CREATE CLIMATE OF PSYCHOLOGICAL
        SAFETY:

      (1) Yes

IX.20   USER TAKES ACTION TO CREATE CLIMATE OF TRUST, OPENNESS, AND
        PARTICIPATION

      (1) Yes

IX.24   DECISION MAKING ON FINAL GOALS INVOLVES:

      (1) User only

      (2) User and top management

      (3) and middle management

      (4) and lower management

IX.26   DECISION MAKING FOR ACTION STEPS TO BE IMPLEMENTED INVOLVES:

      (1) User only

      (2) User and top management

      (3) and middle management

      (4) and lower management

NO. 3 = USER ROLE (35 items) (continued)

IX.32　USER TAKES SPECIFIC ACTION TO GET PERSONS INVOLVED TO SUPPORT THE
ACTIVITIES OF THE SESSIONS:

(1)　Yes

XI.5　EVIDENCE THAT USER INITIATED ACTION, REWARDS OR SANCTIONS TO ENCOURAGE
PERSONNEL TO SUPPORT IMPLEMENTATION OF ACTION:

(1)　Yes

NO. 4 = OESO ROLE (eight items)

VI.7 ACTION TAKEN TO ENCOURAGE OPENNESS AND PARTICIPATION BY OESO:

    (1)   Formal written notification

    (2)   Briefing of non-management

    (3)   Briefing of lower management

    (4)   Briefing of middle management

    (5)   Briefing of top management

    (6)   Briefing of all respondents

VI.12 OESO COACHES USER IN BEHAVIORS TO ENCOURAGE OPENNESS AND PARTICIPATION DURING DATA COLLECTION:

    (1)   Yes

IX.43 OESO COACHES USER IN BEHAVIORS TO CREATE CLIMATE OF TRUST OPENNESS AND PARTICIPATION

    (1)   Yes

NO. 5 = STRUCTURING (11 items)

VII.7 USES MULTIPLE TYPES OF DATA SOURCES TO BACK UP ANALYSIS PRESENTED IN FEEDBACK TO USER:

    (1) Yes

IX.19 PROBLEM SOLVING, GOAL SETTING, AND ACTION PLANNING METHODS USED:

    (4) Force field analysis

    (6) Open system (demands) model

IX.22 EXPLICIT CRITERIA ARE ESTABLISHED AND USED BY PARTICIPANTS AS A BASIS FOR SELECTING ALTERNATIVE SOLUTIONS FOR ACTION:

    (1) Yes

IX.27 ACTION STEPS ARE DOCUMENTED

    (2) Yes, specify how _____

IX.39 OBJECTIVES OF OE TRAINING ACTIVITIES BASED ON:

    (1) Specific problem or deficiency identified in data collection

IX.40 TRAINING METHOD PROVIDES PARTICIPANT OPPORTUNITY TO LEARN BY INCLUDING FOLLOWING STEPS:

    (1) Recognize the thought, skill, or behavior

    (2) Understand the thought, skill, or behavior

    (3) Self assess own abilities in relation to thought, skill, or behavior

    (4) Practice the skill or behavior in psychologically safe environment

    (5) Perform the skill or behavior in a job related task

NO. 6 = DIFFUSION (10 items)

V.18 INTENDED RECIPIENTS OF DATA FEEDBACK OR HANDBACK:

(1) Non-management

(2) Lower management

(3) Middle management

(4) Top management

(5) Others, specify _____

VII.14 INTENDED OUTCOMES FOR FEEDBACK ACTIVITY DISSEMINATED TO PARTICIPANTS:

(1) Yes

VIII.30 OBJECTIVES FOR OE OPERATION DISSEMINATED TO TARGET GROUP:

(6) Top management

VIII.32 DISSEMINATION OF PLAN FOR OPERATION IMPLEMENTING ACTIVITIES. LEVEL:

(1) Top management

(2) Middle management

VIII.34 TARGET GROUP RESPONSE TO DISSEMINATION OF OBJECTIVES:

(1) Support by significant numbers of target group

NO. 7 = PRACTICE THEORY (nine items)

VI.1 DECISIONS FOR DATA COLLECTION METHODS MADE BY:

    (2) OESO-user joint decision

VII.13 OESO/USER ESTABLISHED SUCCESS ABD FAILURE MEASURES FOR OUTCOME OF
FEEDBACK ACTIVITY:

    (1) Yes

VII.18 FEEDBACK SESSION PARTICIPATION. RATIONALE FOR SELECTING PARiICIPANTS
IN FEEDBACK SESSIONS:

    (4) User/OESO joint agreement

VII.34 OUTCOMES FROM FEEDBACK ACTIVITY (AS RELATED TO INTENTIONS OF USER:

    (11) Refinement of OE operation objectives

VIII.1 DETERMINATION OF INTENDED SPECIFIC OBJECTIVES FOR OPERATION.
DECISION METHOD:

    (3) OESO and user

VIII.31 USER/OESO ESTABLISHED MEASURES FOR SUCCESS OR FAILURE OF IMPLEMENTING
ACTIVITIES:

    (1) Yes

IX.4 DECISION ON OUTCOMES FOR ACTIVITY MADE BY:

    (3) OESO/User joint agreement

IX.30 PLANNED OE OPERATION IMPLEMENTING PROCESSES CHANGED OR MODIFIED AS A
RESULT OF CLIENT REACTION:

    (1) Yes

XII.2 OPERATION INFORMALLY ASSESSED BY:

    (4) User and OESO

NO. 8 = EVALUATION (eight items)

XII.4 ASSESSMENT RELATED TO GOALS AND ACTION PLANS THAT WERE OUTCOMES OF OPERATION'S ACTIVITIES:

    (2) Yes

    (3) Mixed

XIII.4 OVERALL EVALUATION OF OE OPERATION BY USER:

    (1) Success

    (2) Failure

    (3) Mixed

XIII.5 OVERALL EVALUATION OF OE OPERATION BY OESO:

    (1) Success

    (2) Failure

    (3) Mixed

NO. 9 = OUTCOMES (13 items)

XI.7 EVIDENCE THAT OPERATION HAD AFFECT ON ORGANIZATION OTHER THAN TARGET GROUP, I.E., CONTINUED LOWER LEVEL INVOLVEMENT: CONTINUED USE OF ACTIVITIES SUCH AS DATA COLLECTION, PROBLEM SOLVING AND ACTION PLANNING SESSIONS:

    (1) Yes

XV.1 ASSESSMENT INDICATES CHANGE IN REACTIONS:

    (1) Perceived effectiveness

    (2) Attitudes

    (3) Norms

    (4) Tension release

    (5) Organizational climate

XV.3 ASSESSMENT INDICATES CHANGE IN BEHAVIOR/PERFORMANCE:

    (1) Skills

    (2) Group process

    (3) Approach adoption

    (4) Job procedures

XV.4 ASSESSMENT INDICATES OPERATION WAS A SUCCESS. CRITERIA:

    (1) Positive reactions

    (2) Positive behavior

    (3) Significant hard outcomes

APPENDIX I

Overall Case Assessment Scales

Table 14

Overall Case Assessment Scales[a]

Scale No.	Scale Name	No. of Items	Item Number(s)
1	External Need for Change	1	IV.1: External
2	Control over Intended Change	1	IV.2
3	Superior Affect toward User	1	IV.3
4	Internal Need for Change	1	IV.1: Internal
5	Roles	3	I.1, I.2, I.3
6	Goal Orientation	3	IV.4: User, Key User Subordinates, OEC
7	Structuring	1	II.1
8	Diffusion	1	II.2
9	Success	5	Items from Outcomes Summary: 1, 2, 3, 4, 5

[a] Derived from Cumulative Case Outcome Scale

No. 1 = External Need for Change (1 item)

(IV.1) Need for Change

	Yes 2	Partial 1	No 0	C
External				
Internal				

No. 2 = Control over Intended Change (1 item)

IV.2 Control over intended change

Yes 2	Partial 1	No 0	C

No. 3 = Superior Affect toward User (1 item)

IV.3 Affect of superiors or peers on User

Positive 1	Neutral 0	Undesirable -1	C

No. 4 = Internal Need for Change (1 item)

(IV.1) Need for Change

	Yes	Partial	No	C
	2	1	0	
External				
Internal				

No. 5 = Roles (3 items)

I. Roles

I.1 OEC

1.   2.   3.   4.   5.   C

Sides primarily   Sides with User,   Actively pursues
with User.   tries to advise about   situation in which
                       commitment issues.   commitment can be
                                                     generated.

I.2 User Objectives:

1.   2.   3.   4.   5.   C

Uses OE to accomplish   Uses OE to accomplish   Uses OE   jointly
own objectives.   own objectives and to inte-   with subordinates to iden-
                        grate subordinate objectives   tify and solve problems.

I.3 User Solutions:

1.   2.   3.   4.   5.   C

Gathers info from   Joint decision
subordinates and   with subordinates.
makes own decisions .   Subordinates make
                                                    decisions.

I-7

No. 6 = Goal Orientation (3 items)

(IV.4) Goal Orientation

	Very low Outcomes vague			Moderate Specified but not measurable		Very high Measurable	UNKNOWN	C
	1.	2.	3.	4.		5.		
User								
Key User subordinates								
OEC								

No. 7 = Structuring (1 item)

I.4   User is his/her own target of change. (Y) (N)
       User becomes target of change as operation progresses. (Y) (N)

II. STRUCTURING AND DIFFUSING

II.1   Structuring

(1.)   (2.)   (3.)   (4.)   (5.)   (C)

Very Low   Moderate   Very High

No. 8 = Diffusion (1 item)

II.2   Diffusion

```
      ( 1. )        ( 2. )        ( 3. )        ( 4. )        ( 5. )        ( C )
   Very Low                    Moderate                    Very High
```

No. 9 = Success (5 items)

1. Reaction / **2. Unintended Outcomes**

	Reaction Intensity			Behavior			Hard Outcomes			Degree of Import.	Conf.
	Pos. (+)	Neg. (−)	Conf.	Pos. (+)	Neg. (−)	Conf.	Pos. (+)	Neg. (−)	Conf.		
User											
1st Level											
2nd Level											
3rd Level											
4th Level											
5th Level											
Target Command											

Not scored separately for User or organization level.

III. EXPECTATIONS

	Expectations not met	Some expectations met, not all	Most or all expectations met		UNKNOWN
	1.	2.	3.	4.	5.	C
User						
1st Level						
2nd Level						
3rd Level						
4th Level						
Target Cmd						

3. Intended Outcomes / **4. Change Attributed to OE**

Behavior Degree of Accomp.	Conf.	Hard Outcomes Degree of Accomp.	Conf	Degree of Import.	Conf.	All 5	Most 4	Some 3	Little 2	Pract. None. 1	Don't Know 0	Conf.

5. Estimated Cost: $ _____   Estimated Benefit: $ _____   Degree of Constraint: ◯

Confidence: ◯   Confidence: ◯

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