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Exploring the Influence of County Government Collective Bargaining
on High-Performance Work Practices

A Dissertation by

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School of Education

Submitted in partial fulfillment of the requirements for the degree of

Doctor of Education in Organizational Leadership

April 2023

Committee in charge:

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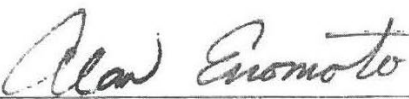
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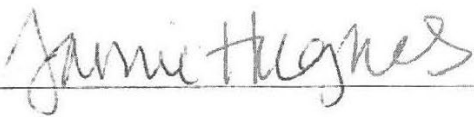
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April 2023

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on High-Performance Work Practices

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First, I want to thank and acknowledge my amazing, wonderful, brilliant, and loving spouse for her ongoing support and encouragement that made it possible for me to complete this dissertation journey despite my many health and life challenges. I want to thank my family and friends for their support, reviews, comments, and cheering me on to “finish my dissertation!” I thank my cohort, dissertation committee, study participants, and university staff for supporting me in my endeavors. And finally, to my mentor, dissertation chair, and dear friend, Dr. Tim McCarty, you have my undying gratitude. You have always been there for me, thank you!

ABSTRACT

Exploring the Influence of County Government Collective Bargaining on High-Performance Work Practices

by Jay Peno

Purpose: The purpose of this qualitative multicase study was to identify and describe the high-performance work practices (HPWP) of county government management lead negotiators who have negotiated in the collective bargaining agreement (CBA). In addition, it was the purpose of this study to describe the challenges and benefits of negotiating HPWP in the CBA as perceived by management lead negotiators. Lastly, it was the purpose of this study to identify and describe the strategies used by management lead negotiators to mitigate challenges when negotiating HPWP in the CBA.

Methodology: A qualitative multiple-case study methodology was used. I conducted semistructured, in-depth interviews with six management lead negotiators who negotiated county government CBAs. In addition, the interview data were supported by a review and analysis of CBA artifacts.

Findings: Four key findings and two unexpected findings emerged from an examination of the qualitative data:

1. There are very few HPWP successfully negotiated in county government CBAs.
2. Lack of trust is a major challenge in negotiating CBA HPWP.
3. Building trust is an overriding strategy for overcoming challenges in negotiating CBA HPWP.
4. Morale/retention is the greatest benefit of negotiating CBA HPWP.
5. Organizational politics pose a major challenge in negotiating CBA HPWP.

6. Participants identified the finding of mutual gains as a strategy for mitigating challenges in negotiating CBA HPWP.

Conclusions:

- CBA HPWP are seldom used in practice.
- Trust is foundational for successfully negotiating CBA HPWP.
- CBA HPWP boosts morale and retention.
- Politics will undermine efforts to negotiate CBA HPWP.
- Creating mutual gains is a desired CBA HPWP negotiation strategy.

Recommendations: Further research is recommended about how collective bargaining influences CBA HPWP from additional perspectives in a variety of organizations.

Further research is also needed regarding the efficacy of using mutual gains interest-based bargaining (IBB) for CBA HPWP negotiations.

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CHAPTER 1: INTRODUCTION

A pessimist is one who makes difficulties of his opportunities, and an optimist is one who makes opportunities of his difficulties.

—Harry S. Truman, Truman University

Truman's quote reflects the choices county government management lead negotiators face when negotiating employee working conditions and practices that promote high performance in a collective bargaining environment. This study illuminated the potential for optimism during collective bargaining agreement (CBA) negotiations.

A county government entity (located in California for this study) is the largest political subdivision in a state, having corporate powers vested by the legislature to provide for the health and welfare of the people within its borders (California State Association of Counties [CASC], n.d.). County government management lead negotiators face many challenges when engaging in negotiations to produce CBAs. These management lead negotiators face competing interests and responsibilities that become subjects of union negotiations (Katz, Kochan, & Colvin, 2017). Management lead negotiators focus on maximizing productivity and delivery of services to the public through the expenditure of public funds. In contrast, union lead negotiators strive to maximize government employee pay and benefits for positions in the union or bargaining unit that provide those public services. These competing interests present unique challenges and opportunities to resolve conflict and promote productivity.

When conflicts occur between labor and management, collective bargaining is the primary means for resolving conflicts, which usually culminates in a CBA. CBAs are

generally 1 to 3-year contractual agreements between the management and the union that include key areas impacting organizational productivity, such as compensation, performance management, awards, discipline, work schedules, and other working conditions to name a few. CBAs, which are a product of labor negotiations, can impede or propel productivity depending on the subjects of conflict and the parties' negotiating behavior, as defined by Walton and McKersie (1965), while negotiating the CBA. Typical subjects of collective bargaining negotiations for management lead negotiators include conflict resolution over wages, selection procedures, promotions, benefits, work schedules, performance accountability, health, safety, and incentives (Kearney & Mareschal, 2014). Management lead negotiators in a collective bargaining environment face continually divergent relative levels of importance for certain primary bargaining topics. Although increasing union member's compensation is a primary collective bargaining focus for union lead negotiators, increasing productivity and controlling costs remains a primary focus of management lead negotiators (Carrell & Heavrin, 2012).

An emerging area of focus for management lead negotiators is promoting high-performance work practices (HPWP) to increase employee commitment to achieving organizational strategic goals (B. E. Becker, Huselid, & Beatty, 2009). According to Huselid, Becker, and Beatty (2005), HPWP promoted by management include, but are not limited to, capabilities-based selection and promotion procedures, differentiated performance and award systems, and career training opportunities needed for organizational strategy execution (B. E. Becker et al., 2009). To enable HPWP, management lead negotiators must focus on aligning the human capital component of productivity with organizational strategic goals.

A government entity's human capital is just as important as its other capital assets, such as buildings, equipment, machinery, and so forth. According to G. S. Becker's (1993) human capital theory, investments in HPWP, such as employee training and development, pay large individual and organizational productivity dividends (see also Kessler & Lulfesmann, 2006). The degree of impact of human capital investment initiatives such as HPWP is influenced by a management lead negotiator's ability to effectively implement them through collective bargaining culminating in CBAs.

The value and promotion of HPWP in unionized county government entities are viewed at opposite ends of the spectrum, depending on whether a lead negotiator comes from management or the union (Katz et al., 2017). Management lead negotiators are more likely to advocate for HPWP, whereas union lead negotiators are less likely to support HPWP in a CBA. Exploring county government management and union divergent interests with regard to HPWP in a collective bargaining environment remains a topic for further exploration and may help uncover new opportunities for labor and management collaboration, employee satisfaction, and organizational productivity.

Background

From public safety and court systems to health care and libraries, county government management leaders have a myriad of critical public service roles and responsibilities for their respective municipalities. The term management lead negotiators within the context of this study refers to those county government leaders and managers who take a leadership role in negotiating CBAs. These management lead negotiators play a crucial role in providing, maximizing, and efficiently delivering

desperately needed public services to the citizens they govern, often through increasingly austere revenue streams (Streib et al., 2007).

County Government Leaderships' Responsibilities

California city and county governments provide an example of county government leadership responsibilities as defined by Title 3 of the California Government Code. County government leadership elected or assigned to positions in California cities and counties, which are political subdivisions of the state, have a responsibility to deliver the services mandated by state and federal government regulations (Streib et al., 2007). Services, such as health, welfare, criminal justice, elections, tax collections, document recording, public health inspections, weights and measures, public works, agricultural enforcement, public libraries, and parks and recreation, are but a few of the critical, essential public services provided by county government leadership and its workforce (Carrell & Heavrin, 2012; Kearney & Mareschal, 2014).

To deliver these critical, essential public services (especially in times of austere funding), management lead negotiators must find ways to maximize the productivity of their crucial government employee workforce, the vast majority (up to 65%) of whom are represented by a union (Kearney & Mareschal, 2014). For example, California Proposition 13 (Prop 13) reduced the ability of county government to set tax rates and collect local revenue by more than 53% (California Budget Project, 1997). Austere funding measures, such as Prop 13, makes negotiating HPWP to increase employee commitment to organizational productivity of paramount importance (B. E. Becker et al., 2009; Huselid et al., 2005). Because employees are represented by unions, negotiating

any substantive change in working conditions, such as HPWP, requires management lead negotiators to engage in collective bargaining to resolve conflicts and gain agreements before implementing the changes in working conditions (Katz, et al., 2017; Loughran, 1992). Substantive organizational change requires a collective bargaining focus on HPWP.

The Rise of Unionism and Collective Bargaining

Deplorable working conditions during the industrial revolution in England created the conditions for employee work groups to organize, strike, and bargain collectively to improve their terms and conditions of employment (Carrell & Heavrin, 2012; Edwards, 1977; Kearney & Mareschal, 2014), albeit not without many violent and bloody confrontations in Europe and the United States (Kearney & Mareschal, 2014). The National Labor Relations Act of 1935 and the Labor Management Relations Act of 1947 (Bula, 2005; Carrell & Heavrin, 2012; Kearney & Mareschal, 2014) provided the early legal foundations for collective bargaining in the United States that has evolved into the collective bargaining environment faced by management lead negotiators today and many unions fighting for survival.

County government unions in California government entities are relatively strong, initially gaining strength from laws such as the Meyers-Milias-Brown Act (MMBA) of 1968, which established collective bargaining for California's city, county, and local special district employers. However, their survival is challenged by antiunion political change drivers, such as right to work movements (Hogler, 2017), and Republican versus Democrat ideologies (McGhee, 2006) that create a need for unions to prove their value to employees, employers, and taxpayers (many of whom rely on county government

services), often through adversarial versus collaborative relationships (Kearney & Mareschal, 2014; Walton & McKersie, 1965). This potential tendency toward more adversarial and less collaborative relationships (Barrett, 2015; Masters, Albright, & Gibney, 2015) often results in uncertain outcomes for employee and organizational productivity resulting from a management lead negotiator's efforts to stimulate productivity by negotiating HPWP through collective bargaining.

Collective bargaining and individual and organizational productivity do not have to be mutually exclusive terms if leaders employ positive leadership behaviors leading to successful integrative collective bargaining outcomes that improve employee commitment to productivity. Integrative collective bargaining is a negotiation process that focuses on exploring options for mutual gains rather than focusing on winning a distribution of resources as is the case in distributive collective bargaining negotiations (Walton & McKersie, 1965). Creating a culture of trust is a primary requirement for successfully using an integrative collective bargaining negotiation methodology for implementing productivity improvements such as HPWP (Kim et al., 2015).

High-Performance Work Practices

HPWP are employment practices that systematically increase employee commitment to achieving organizational strategic goals (B. E. Becker et al., 2009). HPWP include capabilities-based selection and promotion procedures, differentiated performance and award systems, flexible work schedules, and career-training opportunities needed for organizational strategy execution (Huselid et al., 2005). The effectiveness of HPWP remains open for further study because of controversies and incomplete knowledge (Combs, Liu, Hall, & Ketchen, 2006; Macky & Boxall, 2007).

However, for most organizational applications, HPWP appear to be beneficial to organizational productivity for both private sector and public sector leaders.

An emerging area of focus for management lead negotiators is promoting HPWP to increase productivity (Gill & Meyer, 2013). According to Huselid et al. (2005), HPWP serve to stimulate individual and organizational productivity and increase employee satisfaction. Management lead negotiators implementation of HPWP for their employees, or human capital, helps achieve productivity goals necessary to deliver critical public services.

To overcome resistance to negotiating HPWP, a management lead negotiator's understanding of human capital theory is fundamental to understanding and promoting HPWP. G. S. Becker's (1993) human capital theory states that organizational investments in employee education and training increases the productivity of workers by imparting relevant knowledge and skills, thereby raising workers' future income, success, and value to the organization. During collective bargaining, management lead negotiators tend to view HPWP as productivity multipliers, whereas union lead negotiators view HPWP as a threat to their union members security (Carrell & Heavrin, 2012).

Collective Bargaining and County Government Leaders

With over 65% of the county government workforce represented by unions (Dinlersoz & Greenwood, 2016; Kearney & Mareschal, 2014), it would be difficult, if not impossible, for government leaders and managers to avoid collective bargaining. Collective bargaining is mandatory for management lead negotiators to implement any substantive changes in the working conditions (such as work schedules, or wages, etc.) of

employees represented by a CBA (Carrell & Heavrin, 2012; Katz et al., 2017; Kearney & Mareschal, 2014). Within the context of this study, management in most instances simply cannot effect substantial change without bargaining with the union. The effectiveness of county government collective bargaining in relation to producing breakthrough results such as CBAs, which include productivity enhancing HPWP, depends heavily on management lead negotiators' negotiating styles and behaviors when conducting collective bargaining (Carrell & Heavrin, 2012; Walton & McKersie, 1965).

Collective Bargaining in the Area of High-Performance Work Practices

Although much is known about the effects of HPWP (Huselid et al., 2005), much is still unknown about the influence of collective bargaining on HPWP (Gill & Meyer, 2013). Labor unions, and in particular those in county government, strive for CBAs that support a theme of workforce equality in which all employees are equal in terms of productivity and performance (Kearney & Mareschal, 2014). HPWP are those practices that encourage productivity through human resource (HR) processes that differentiate the workforce (such as capabilities-based selection and promotion procedures, and/or differentiated performance appraisals, etc.), theorizing that not all employees are equal and each employee requires different motivations and approaches to maximize individual productivity (B. E. Becker et al., 2009).

The conflict between union collective bargaining desires for equality in the workforce and management initiatives to stimulate productivity through HPWP produces challenges and opportunities that are exciting for further exploration (Obeidat, Mitchell, & Bray, 2016). Some studies have shown that CBAs and HPWP that improve productivity do not have to be mutually exclusive terms (Appelbaum, 2001).

Government Leaders and High-Performance Work Practices

County government leaders who have a direct responsibility to the citizens (i.e., responsibilities as defined by Title 3 of the California Government Code) strive to provide both critical public services and benefits for employees with increasingly austere funding. County government leaders, and in particular management lead negotiators, who hold positions primarily accountable for the success of the public mission to maximize services to the public are constantly striving for ways to find work practices that increase individual and organizational performance (Huselid, 1995).

According to Huselid et al. (2005), HPWP result in higher levels of productivity. HPWP implemented by management lead negotiators and driven by HR, such as purposeful, differentiated selection; promotion; evaluation; and training and development strategies and processes, serve to stimulate individual and organizational productivity and increase employee motivation and satisfaction (Gyesie, 2017). An emerging area of focus for management lead negotiators is promoting HPWP to increase organizational performance. Management lead negotiators can use collective bargaining (resulting in CBAs) to implement these HPWP that increase overall organizational productivity (Huselid, 1995).

County Government Leaders Negotiating High-Performance Work Practices in Collective Bargaining Agreements

County government leaders and managers have a responsibility to maximize the efficiency and productivity of their workforce's mission to provide critical public services to citizens (Menzel, 2003; Raadschelders, 2011). Management lead negotiators

can accomplish this mission through negotiating HPWP that transform individual and organizational productivity (Applebaum, 2001; Huselid & Becker, 1996).

Because of the high propensity for union membership among the county government workforce (Dinlersoz & Greenwood, 2016), management lead negotiators cannot implement HPWP without using collective bargaining processes to include HPWP in the CBA (Carrell & Heavrin, 2012; Katz et al., 2017; Kearney & Mareschal, 2014). Implementation of HPWP by management lead negotiators through collective bargaining can enhance the public services mission (Gyesie, 2017; Menzel, 2003).

Although each of the topics central to this study (government leader's responsibilities, collective bargaining, and HPWP) has been extensively researched on its own, a synthesis of the three topics, with a focus on stimulating employee commitment to productivity in heavily unionized local county governments, remains an area ripe for further exploration (Posthuma, Campion, Masimova, & Campion, 2013).

Problem Statement

The paradox of union collective bargaining and organizational productivity continues to gain public interest. Because of this paradox and the increasing negative political efforts to portray unions as contributing to excessive costs and inefficiency, collective bargaining in the United States has been under constant attack since the 1950s, causing a steady decline in overall union membership and an increase in divergent labor and management interests and conflict (Kearney & Mareschal, 2014). Change drivers, such as automation, globalization, pressures for productivity, increasing income disparity, and political climates, contribute to challenges for private and public organizations (Ackerman Anderson & Anderson, 2010). These change drivers also present challenges

for collective bargaining's survival and leader's ability to encourage organizational productivity (Friedman & Mandelbaum, 2011).

This paradox of collective bargaining and the leader's ability to foster productivity is becoming increasingly important in county government unions that are becoming more survival conscious due to recent antiunion initiatives. County government unions, once a bulwark example of collective bargaining, face political attacks, such as recently emerging challenges to union fees (*Janus v. AFSCME*, 2018) and privatization (Cantwell, 2018; Carrell & Heavrin, 2012; Genn, 2014; Kearney & Mareschal, 2014). The impact of these recently emerging attacks on unions is yet to be determined. Even county government unions in union-friendly states such as California are not immune to the political climates that threaten union survival and press for increasing the effectiveness of public service delivery (Carrell & Heavrin, 2012; Kearney & Mareschal, 2014).

Government leaders and managers can encourage productivity through HPWP, such as meaningful, differentiated selection; promotion; and performance management practices (Huselid et al., 2005); however, in unionized work environments, labor law mandates that almost all efforts to change working conditions, such as wages, work schedules, vacation days, benefits, and so forth, must be collectively bargained with the union (Kearney & Mareschal, 2014). Conversely, union leaders would rather place emphasis on increasing employee compensation and promoting workforce equality and avoid performance and productivity negotiations (Freeman & Han, 2012). These competing agendas give rise to additional opportunities for studying the dynamic of

collective bargaining concerning working conditions versus organizational productivity via HPWP.

Though there is a wide body of scholarly knowledge concerning collective bargaining between labor unions and management in the private sector, and to a lesser extent in county government, there remains a lack of understanding as to whether pre- and post-Janus decision (*Janus v. AFSCME*, 2018) county government CBAs can address both challenges to union survival and increasing organizational productivity (Genn, 2014; Kearney & Mareschal, 2014). Trends in the research have indicated the potential for positive influence of HPWP on productivity broadly in private sector and public sector collective bargaining environments (Appelbaum, 2001; Gyesie, 2017; Obeidat et al., 2016). There appears to be a growing interest on the topic of HPWP in the area of collective bargaining as evidenced by the work of Gyesie (2017) and Posthuma et al. (2013). Despite growing interest as evidenced by the literature, very little is known about negotiating HPWP within the scope of a CBA that increase employee commitment to productivity and support union survival at the county government level.

Purpose Statement

The purpose of this qualitative multicase study was to identify and describe the HPWP county government management lead negotiators who negotiated in the CBA. In addition, the purpose of this study was to describe the challenges and benefits of negotiating HPWP in the CBA as perceived by management lead negotiators. Lastly, the purpose of this study was to identify and describe the strategies used by management lead negotiators to mitigate challenges when negotiating HPWP in the CBA.

Research Questions

1. How do management lead negotiators identify and describe the HPWP they have negotiated in their CBA?
2. How do management lead negotiators describe the challenges when negotiating CBA HPWP?
3. How do management lead negotiators describe the benefits when negotiating CBA HPWP?
4. How do management lead negotiators describe the strategies used to mitigate challenges when negotiating CBA HPWP?

Significance of the Study

This study sought to explore the county government management lead negotiator's experiences with CBAs in the area of negotiating HPWP as defined by Huselid (1995), which augmented their responsibility to maximize productivity in providing critical public services (Streib et al., 2007). To satisfy their responsibilities, management lead negotiators must collectively bargain substantive changes in working conditions such as HPWP for increasing productivity (Carrell & Heavrin, 2012; Gyesie, 2017; Kearney & Mareschal, 2014). This study is significant because it not only explored county government management lead negotiator's efforts to implement HPWP but also advanced both theory and practice and could stimulate positive transformational change in the organization, as described by Anderson and Ackerman Anderson (2010), by advocating for more county government labor and management collaboration resulting in mutual gains.

Significance to Theory

In Posthuma et al.'s (2013) seminal publication entitled "A High-Performance Work Practices Taxonomy: Integrating the Literature and Directing Future Research," the authors developed a taxonomy arranging 20 years of HPWP research. Conducting research involving employee commitment to HPWP is one of Posthuma et al.'s recommendations, which this study addresses by exploring county government leaders' experiences with collective bargaining in the area of HPWP. Because very little research concerning county government collective bargaining for HPWP has been conducted, this study added to the body of knowledge by uncovering new information for increasing local city and county government employees' commitment to HPWP in support of their public service mission. In addition to adding to the HPWP taxonomy, the collective bargaining variable in this study added to labor negotiations theory by uncovering barriers to mutual gains via integrative or interest-based bargaining during county government labor negotiations (Walton & McKersie, 1965). Finally, this study extended the works of Posthuma et al. (2013) and Gyesie (2017) by addressing areas recommended for further study.

Significance to Practice

County government employees who feel a higher sense of engagement with their employer and labor union are more likely to accept productivity initiatives such as HPWP (Gill & Meyer, 2013). This study includes examples of overcoming HPWP implementation challenges and success stories from unionized private and county governments with labor and management trust and collaboration being some of the key success factors (Appelbaum, 2001; Gill & Meyer, 2013). These and other significant

HPWP study findings further extend the work of Gyesie (2017) and Posthuma et al. (2013) by helping identify strategies specific to county government management lead negotiators seeking to implement CBA HPWP in a union environment.

Significance to Transformational Change

The paradox of collective bargaining and a leader's ability to foster productivity is more important than ever in the county government (Chapman, 2003). County government unions face political attacks that place them on the defensive for any initiatives they feel may negatively impact their membership (Freeman & Han, 2012; Genn, 2014). Union survival and productivity pressures tend to suggest increasing labor and management collaboration for the effective delivery of critical public services (Carrell & Heavrin, 2012; Kearney & Mareschal, 2014). This study advances the work of labor and management collaboration and negotiation researchers, such as Barrett (2015) and Hargrove (2010), by uncovering new opportunities for collaboration that reduce adversarial relationships and address management productivity and union survival concerns.

Definitions

The following definitions of terms are relevant to the study. The theoretical and operational definitions (separated where needed) provided additional understanding and background.

High performance work practices (HPWP) theory (theoretical). HPWP are practices that improve an organization's capacity to attract, select, hire, develop, promote, and retain a high-performance workforce (B. E. Becker et al., 2009).

High performance work practices (HPWP) theory (operational). HPWP are employment practices that systematically increase employee satisfaction and commitment to achieving organizational strategic goals (B. E. Becker et al., 2009). Examples of HPWP subject to collective bargaining include, but are not limited to, work schedules, discipline/employee accountability procedures, employee awards and recognition, compensation, benefits, performance management, and education and training.

Human capital theory (theoretical). Human capital theory is a theory of earnings, one of the major determinants of poverty. Developed by G. S. Becker (1993), this theory explains individuals' decisions to invest in human capital (education and training) and the pattern of individuals' lifetime earnings. These levels of investment in education and training can be enhanced by the organization resulting in significant gains in organizational productivity.

Human capital theory (operational). Organizational investments in employee benefits, such as education and training, increase the productivity of workers by imparting relevant knowledge and skills, thereby raising workers' future income, success, and value to the organization.

Labor negotiations (collective bargaining) theory (theoretical). Walton and McKersie (1965) provided a four system/activity theory of labor negotiation, which accounts for much of the behavior found in labor negotiations and collective bargaining. *Distributive bargaining* is the first system of activities comprising competitive behaviors to influence the division of limited resources. *Integrative bargaining* is the second system of activities that increase the joint gain available to the negotiating parties by exploring and acting upon the parties' common interests. *Attitudinal structuring* is the

third system of activities that influence the attitudes of the parties toward each other and affect the basic relationship bonds between the social units. Intraorganizational bargaining is the fourth and final system of activities, which are an integral aspect of the interparty negotiations, involving the behaviors of negotiators to achieve consensus within their organizations.

Labor negotiations (collective bargaining) theory (operational). Distributive bargaining is also known as traditional, positional, and/or adversarial bargaining (Barrett, 2015). Integrative bargaining is also known as principled, collaborative, and/or interest-based bargaining (IBB; Barrett, 2015).

County government entities in California. A California county is the largest political subdivision of the state having corporate powers. The California State Legislature vests the county with the powers necessary to provide for the health and welfare of the people within the county.

County government unions. A county government union is an organization of county government employees formed for the purpose of advancing its members' interests and equitable treatment with respect to wages, benefits, working conditions, and so forth (Carrell & Heavrin, 2012). For this study, the unions represent nonmanagement employees.

Management lead negotiator. county government management lead negotiator is a county employee selected from management to be the person in charge of the county's negotiating team for a specific collective bargaining agreement (CBA).

Delimitations

Delimitations are factors controlled by the researcher that may affect the study (Roberts, 2010). This study was delimited to include only county government management lead negotiators who were also county employees and who were not contract attorneys.

The study was further delimited to management lead negotiators who negotiated CBAs with nonmanagement bargaining groups. In addition, the study was limited to management lead negotiators who had experience administering at least two full-term CBAs.

Organization of the Study

This study used five chapters for structure and organization. Chapter I introduced and framed this study, which included a background synopsis, the problem statement and research questions, the study's significance, the definitions of important terms, and the study's delimitations. Chapter II provides a focused examination of the literature on HPWP and collective bargaining. Chapter III contains the study methodology, including research design, study population, and sample criteria. Chapter IV contains the analysis of study findings, and Chapter V interprets the data and offers conclusions and implications based on the study results and recommendations for further research.

CHAPTER II: LITERATURE REVIEW

County government management lead negotiators face many challenges when engaging in negotiations to produce collective bargaining agreements (CBA). County government management lead negotiators and union lead negotiators have competing interests and responsibilities that become subjects of union negotiations (Katz et al., 2017). Management lead negotiators focus on maximizing productivity and delivery of services to the public through the expenditure of public funds. Union lead negotiators strive to maximize government employee pay and benefits for positions in the union or bargaining unit that provide those public services. These competing interests among management lead negotiators and union lead negotiators present unique challenges and opportunities to resolve conflict and promote productivity.

An emerging area of focus for county government management lead negotiators is promoting high-performance work practices (HPWP) to stimulate individual and organizational productivity (B. E. Becker et al., 2009). According to Huselid et al. (2005), HPWP promoted by county government lead negotiators and driven by human resources (HR) may include meaningful, differentiated selection; evaluation; promotion; incentive; and employee training and development strategies, which lead to individual and organizational productivity and increase employee satisfaction (B. E. Becker et al., 2009). To promote HPWP, management lead negotiators must focus on the human capital component of organizational productivity.

A government entity's human capital is just as important as its other capital assets, such as buildings, equipment, and machinery, and so forth. According to G. S. Becker's (1993) human capital theory, investments in HPWP such as employee

training and development pay large individual and organizational productivity dividends (see also Kessler & Lulfesmann, 2006). The degree of impact of human capital investment initiatives such as HPWP is influenced by a management lead negotiator's ability to effectively implement them through collective bargaining.

When conflicts occur between management lead negotiators and union lead negotiators, collective bargaining is the primary means for resolving conflicts, which usually culminates in a CBA. CBAs, which are a product of county government labor negotiations, can impede or propel productivity depending on the subjects of conflict and the parties' negotiating behavior, as defined by Walton and McKersie (1965), while negotiating the CBA. Typical subjects of collective bargaining negotiations for county government management lead negotiators include conflict resolution over wages, selection procedures, promotions, benefits, work schedules, performance accountability, health, safety, and incentives (Kearney & Mareschal, 2014). Management lead negotiators in a collective bargaining environment face continual divergent relative levels of importance for certain primary bargaining topics. Although increasing union member's compensation is a primary collective bargaining focus for union lead negotiators, increasing productivity and controlling costs remains a primary focus of management lead negotiators (Carrell & Heavrin, 2012).

The value and promotion of HPWP in unionized county government entities (rather than statewide or federal government entities for the purposes of this study) are viewed at opposite ends of the spectrum depending on whether a county government leader comes from management or the labor union (Katz et al., 2017). Management lead negotiators are more likely to advocate for HPWP, whereas union lead negotiators are

less likely to support HPWP in a CBA. Exploring county government management and union divergent interests regarding HPWP in a collective bargaining environment remains a topic for further exploration and may help uncover new opportunities for labor and management collaboration and organizational productivity.

Background

From public safety and court systems to health care and libraries, government leaders have a myriad of critical public service roles and responsibilities. The term *government leaders* within the context of this study include members from all levels of management (including HR). Each of these leader categories plays a crucial role in providing, maximizing, and delivering desperately needed public services to the citizens they govern (Streib et al., 2007).

County Government Leaders' Responsibilities

California county governments provide an example of government leaders' responsibilities as defined by Title 3 of the California Government Code. County government leaders elected or assigned to positions in California counties, which are political subdivisions of the state, have a responsibility to deliver the services mandated by state and federal government regulations (Streib et al., 2007). Services, such as health, welfare, criminal justice, elections, tax collections, document recording, public health inspections, weights and measures, public works, agricultural enforcement, public libraries, and parks and recreation, are but a few of the critical, essential public services provided by government leaders and their workforce (Carrell & Heavrin, 2012; Kearney & Mareschal, 2014).

To deliver these critical, essential public services (especially in times of austere funding), county government leaders must find ways to maximize the productivity of their crucial government employee workforce, the vast majority (up to 65%) of whom are represented by a union (Kearney & Mareschal, 2014). Austere funding is particularly critical in states like California where Proposition 13 reduced sources of revenue and shifted much of the burden for public services to counties (California Budget Project, 1997). To add to the austere funding dilemma in California, unfunded public employee pension liabilities have grown to over \$74 billion in the last 20 years (R. Miller, 2014), which adds to the pressure on government leaders to increase productivity. The use of HPWP for employees maximizes individual and organizational productivity (B. E. Becker et al., 2009; Huselid et al., 2005).

Because employees are represented by unions, implementing any substantive change in working conditions, such as HPWP for meaningful, differentiated selection; promotion; performance management; and recognition processes, requires county government management lead negotiators to engage in collective bargaining with union lead negotiators to resolve conflicts and gain agreements before implementing the proposed changes in working conditions (Katz et al., 2017; Loughran, 1992). Each county government management lead negotiator plays a crucial role in negotiating HPWP for their assigned CBA. These management lead negotiators have the ultimate responsibility for negotiating CBA HPWP with their union lead negotiator counterparts to maximize the efficient and effective delivery of critical county-level public services.

Management employees are distinguished from nonmanagement employees as they represent the levels of county government employees tasked with the primary

responsibility of carrying out the direction of elected and appointed county government officials. A county government management lead negotiator is a county employee selected from management to be the person in charge of the county's negotiating team for a specific CBA. In summary, management lead negotiators use patience, intelligence, integrity, experience, and communication skills to guide, direct, and bind the management negotiating team during CBA negotiations (Kearney & Mareschal, 2014).

Theoretical Foundations

The main theoretical framework for this study was a behavioral theory of labor negotiations as applied to county government collective bargaining environments. Additional theories for human capital and HPWP were synthesized with labor negotiations theory to make the connections supporting the multiple-case study research design as suggested by Creswell and Creswell (2018) and Yin (2018). From public safety and court systems to health care and libraries, government leaders have a myriad of critical public service roles and responsibilities.

Unionism and Collective Bargaining

Deplorable working conditions during the industrial revolution in England created the conditions for employee work groups to organize, strike, and bargain collectively to improve their terms and conditions of employment (Carrell & Heavrin, 2012; Edwards, 1977; Kearney & Mareschal, 2014), albeit not without many violent and bloody confrontations in Europe and the United States (Kearney & Mareschal, 2014). The National Labor Relations Act of 1935 and the Labor Management Relations Act of 1947 (Bula, 2005; Carrell & Heavrin, 2012; Kearney & Mareschal, 2014) provided the early legal foundations for collective bargaining in the United States that has evolved into the

collective bargaining environment faced by government leaders today; however, collective bargaining laws have not stopped the overall steady decline of the private sector and, to a lesser degree, county government unions.

Since the mid-1950s, unionism and collective bargaining in the United States has been under constant attack causing a steady decline in overall union membership from over 40% in the 1950s to just under 16% in 2016 (Dinlersoz & Greenwood, 2016; Kearney & Mareschal, 2014). Anderson and Ackerman Anderson (2010) described change drivers, such as automation, globalization, pressures for productivity and profits, and political climates, as contributing to challenges for organizations. These change drivers are particularly relevant for union survival and organizational productivity in the county government (Dinlersoz & Greenwood, 2016).

According to the U.S. Bureau of Labor Statistics, county government unions and collective bargaining in a few states, such as New York, Alaska, Michigan, Hawaii, and California, remain relatively strong with high public-sector union memberships and robust CBAs (Kearney & Mareschal, 2014). For example, although overall general union membership in California is approximately 18%, public-sector county government union membership in California is approximately 65% (Kearney & Mareschal, 2014). According to the Service Employees International Union (SEIU), it negotiates CBAs on behalf of more than 700,000 members in California.

Although public-sector unions in California county government entities are relatively strong, their survival is challenged by antiunion political change drivers, such as right to work movements (Hogler, 2017), and Republican versus Democrat ideologies (McGhee, 2006), which create a need for unions to prove their value to employees,

employers, and taxpayers, many of whom rely on county government services. The impact of current political forces on union survival is still evolving (Cantwell, 2018); however, because of this union survival dilemma and other labor and management conflicts, government leaders' collective bargaining behaviors during negotiations may be more distributive (positional or adversarial) than integrative (collaborative or interest based) as described by Walton and McKersie's (1965) negotiations theory.

This potential tendency toward more adversarial and less collaborative relationships (Barrett, 2015; Masters et al., 2015) often results in uncertain outcomes for a government leader's efforts to stimulate productivity by negotiating HPWP through collective bargaining. One aspect of these recent attacks that is certain is a renewed emphasis on the part of the union to prove its value by aggressively recruiting new members and negotiating for increased employee compensation and benefits that place additional burdens on government leaders who are trying to increase the efficiency of public service. Understanding collective bargaining, methodologies for conducting collective bargaining, benefits of collaborative collective bargaining, and leadership behaviors and attributes that contribute to successful collaborative integrative collective bargaining is fundamental to negotiating HPWP through collective bargaining.

Collective bargaining evolution. A review of labor relations and collective bargaining in the United States reflects a rather dismal record of collaboration and much of labor and management history characterized by poor relationships punctuated by violence and labor strikes from the 1800s to the 1960s and 1970s timeframe (Bula, 2005). Governmental efforts to control the labor and management relationship range from restricting union influence to expanding employee rights. From the first efforts at

restricting labor organizations through the failed Taft-Hartley Act of 1947 to an era of worker protection law expansions in the 1960s and 1970s, such as the Equal Pay Act, Civil Rights Act, and Age Discrimination in Employment Act (Cascio, 2016), attempts at labor and management collaboration have been elusive.

These worker protection laws, although somewhat mitigating the tendency for union strikes, did not foster collaborative collective bargaining, and distributive, positional, or adversarial methodologies remained the collective bargaining format of choice (Dinlersoz & Greenwood, 2016). In addition, the very labor laws enacted for worker protection (with extraordinarily little noncompliance penalties) were perceived negatively by organizational leadership as being too labor friendly and not considering the business impacts (Burns, 2012). These negative attitudes perpetuated a distrustful labor and management organizational climate present in many business entities, which translates to organizational climates characterized by low trust, low morale, animosity, and low productivity.

It was not until the early 1980s that more progressive leaders began to question the efficacy of distributive and adversarial labor and management relationships, resulting in more collaborative integrative or interest-based approaches coming into consideration for their potential positive organizational impact (Barrett, 2015). However, many of the attempts at labor and management collaboration through integrative bargaining failed because of negative leader (labor and management leader) behaviors, a common perceived lack of power and benefit, and a tendency to quickly revert back to distributive or adversarial collective bargaining (Kearney & Mareschal, 2014). Outlining these two

primary methodologies for negotiating labor agreements helps to inform the positive potential for collaborative collective bargaining.

Collective bargaining negotiation methodologies. The two primary methodologies and/or forums for collectively bargaining a labor contract are distributive bargaining and integrative bargaining (Walton & McKersie, 1965). These methodologies are known as positional or adversarial (distributive) bargaining (Carrell & Heavrin, 2012) or principled or interest-based (integrative) bargaining (Barrett, 2015). Distributive bargaining consists of taking unreasonable, unachievable positions and negotiating down to the least distasteful outcome or best alternative to a negotiated agreement (BATNA), a coined term by early negotiation process professionals (Fisher, Ury, & Patton, 2011), whereas integrative or interest-based bargaining (IBB) emphasizes collaboration, common interests, and mutual gains (Barrett, 2015; Walton & McKersie, 1965).

Research has indicated that distributive collective bargaining has little regard for each side's interests, focusing mainly on extracting maximum concessions from the other side. The declining effectiveness of a distributive approach to collective bargaining gave rise to a more integrative approach in the United States during the 1980s (Barrett, 2015). In contrast to distributive bargaining, taking an integrative approach to collective bargaining, also known as principled or interest-based bargaining, that explores common interests in an effort to improve relationships and overall productivity relies on a climate of collaboration and trust relationships between the negotiating parties (Hargrove, 2010). Current and seminal research on integrative bargaining has revealed its potential for positive collective bargaining outcomes.

Benefits of an integrative collective bargaining methodology. The majority of unionized climates and relationships can benefit from using an integrative approach to collective bargaining (Hargrove, 2010). Unionized private businesses, as well as government entities, can experience improvements in labor and management relationships and productivity through integrative bargaining or IBB. For example, a General Motors manufacturing plant used IBB to stimulate collaboration on implementing HPWP in one factory resulting in new levels of employee satisfaction and organizational productivity (Appelbaum, 2001). In another example, a county government entity used integrative or IBB to overcome reorganization unrest and tensions; implemented HPWP that increased employee input, engagement, and satisfaction; and produced positive outcomes that spread across the department (Brainerd, 1998). Finally, one research study focusing on the Kaiser Permanente health care organization has found that an integrative approach can result in labor and management partnerships that drive implementation of HPWP, which result in productivity increases, reductions in turnover, and positive negotiation outcomes that are mutually beneficial (Kochan et al., 2008). The data indicate there are positive benefits when organizations enter into successful integrative bargaining relationships with a minority of organizations experiencing no benefit from less successful attempts.

Although the research evidences several benefits and positive outcomes when using an integrative or interest-based collective bargaining methodology, integrative bargaining is not without its detractors. Opposing research has framed integrative bargaining as a panacea or snake oil and its level of success highly dependent on the skills and leadership attributes of the negotiating parties with a low overall success rate

(J. K. Miller, Farmer, Miller, & Peters, 2010). Another study has indicated the value of integrative or IBB has been oversold with most attempts at integrative bargaining quickly reverting to a distributive or positional approach (Korobkin, 2008). These and a few other studies paint an unfavorable picture of integrative bargaining. However, the overall body of knowledge concerning integrative bargaining, on balance, favors the positive impact of integrative collective bargaining when approached with the leadership skills (and training time) necessary to facilitate its success. Organizations that have moved successfully from distributive (positional/adversarial) bargaining to integrative (principled/interest-based) bargaining, which enabled implementation of HPWP, recognize that the positive outcomes were in whole, or in part, enabled by transformational leadership behaviors that moved from unhealthy, strained, and confrontational relationships to trustful, respectful, empowered, and collaborative relationships (Barrett, 2015).

Core integrative collective bargaining leadership attributes. Several positive transformational leader attributes, such as trust, integrity, respect, relationship building, humility, empowerment, and collaboration (Ackerman Anderson & Anderson, 2010), on the part of both management and labor union leaders help facilitate the adoption of successful integrative collective bargaining negotiation methodologies that enable HPWP implementation. Although a majority of positive leader attributes are integral to successful integrative bargaining, trust is perhaps the most important (Walton & McKersie, 1965). Collective bargaining participants who decide to work toward an integrative bargaining relationship and organizational climate that improves relationships

and productivity should focus primarily on fostering an environment of trust (Kim et al., 2015).

Trust and integrative collective bargaining. Trust, along with trust elements of integrity, honesty, and transparency, is one of the most important transformational leadership attributes a leader can possess and model whether an organization is union or nonunion (Ross & LaCroix, 1996; Welsh, 2012). The fact that trust is a major, influential, and positive leader attribute and behavior makes it a focus for leaders who wish to enter into an integrative collective bargaining relationship. The word trust is taken from the German word *trost*, which loosely translated refers to comfort or consolation (Shaw, 1997). Therefore, by extrapolation, the ability of a leader to exhibit and model the attribute of trust can have calming, conciliatory, collaborative effects on labor and management collaboration efforts.

Management's ability to create a collaborative collective bargaining negotiating environment through trust is more likely to succeed at integrative bargaining, which ultimately leads to improvements in labor and management relationships and organizational productivity. Trust is composed of many positive subelements, which include integrity, straight talk, loyalty, respect, accountability, and results (Covey, 2006). Shaw (1997) stated, "Trust, however, is not absolute faith" (p. 21). Whereas absolute faith is the belief beyond influence, the concept of trust is more fragile and is a belief in those whom people depend on to meet their commitments and their expectations (Shaw, 1997). This fragile trust dynamic means that trust can easily be broken through negative leader behaviors, such as lack of integrity or not honoring commitments. Therefore, establishing and maintaining a trust relationship that facilitates collaborative labor-

management relationships is an essential element of successful integrative or interest-based collective bargaining that improves relationships and organizational productivity.

The overall research for collaborative labor relations has concluded that approaching collective bargaining negotiations from a position of trust contributes to facilitating an integrative methodology, which will improve employee engagement and commitment to organizational productivity. Trust between the parties negotiating a union bargaining agreement is an enabler of successfully using an integrative bargaining approach to negotiate and implement HPWP in a CBA.

High-Performance Work Practices

HPWP are HR-driven practices that encourage productivity through meaningful, differentiated job candidate selections; employee evaluations; merit increases; promotion processes; training and development; and performance incentives (Huselid et al., 2005). The effectiveness of HPWP remains open for further study because of controversies and incomplete knowledge (Combs et al., 2006; Macky & Boxall, 2007); however, for most organizational applications, HPWP appear to be beneficial to organizational productivity for both private and government leaders.

An emerging area of focus for county government management lead negotiators is promoting HPWP to increase productivity (Gill & Meyer, 2013). According to Huselid et al. (2005), HPWP serve to stimulate individual and organizational productivity and increase employee satisfaction. A county government management lead negotiator's implementation of HPWP for the employees or human capital helps achieve productivity goals necessary to deliver critical public services. Human capital theory, in brief, is valuing and supporting the human capital workforce equally with an organization's

property, plant, and equipment, and investing in human capital in areas such as training, education, and recognition produces dividends greater than the investment (G. S. Becker, 1993).

G. S. Becker's (1993) human capital theory is fundamental for a management lead negotiator's understanding and for promoting HPWP. Government leaders use capital investments, such as new buildings and equipment, to increase productivity, which often minimize the government human capital that provides government products and service to the public. According to G. S. Becker's human capital theory, employees are highly motivated by developmental opportunities. Investments in HPWP that increase employee commitment and motivation, such as targeted and general employee skills training, and other differentiated employment practices, such as meaningful performance appraisals, performance awards, and work–life balance programs for flexible scheduling, pay large individual and organizational productivity dividends (Huselid et al., 2005; Posthuma et al., 2013).

HPWP can provide win-win outcomes for the employer and employee (Appelbaum, 2001; Macky & Boxall, 2007); however, many aspects concerning the implementation of HPWP via collective bargaining in unionized county government entities is still unknown and is often viewed at opposite ends of the spectrum depending on whether a government leader comes from management, pro-HPWP, or the labor union, anti-HPWP (Carrell & Heavrin, 2012; Gill & Meyer, 2013; Gyesie, 2017). County government management lead negotiators tend to view HPWP as productivity multipliers, whereas union lead negotiators view HPWP as a threat to their union members equality and union security.

Collective Bargaining and Government Leaders

With over 65% of the California county government workforce represented by unions (Dinlersoz & Greenwood, 2016; Kearney & Mareschal, 2014), it would be difficult, if not impossible, for county government leaders to avoid collective bargaining. Collective bargaining is mandatory for county government management lead negotiators to implement any substantive changes in the working conditions of employees represented by a CBA (Carrell & Heavrin, 2012; Katz et al., 2017; Kearney & Mareschal, 2014). Within the context of this paper, management lead negotiators in most instances simply cannot effect substantial change without bargaining with the union.

Ackerman Anderson and Anderson (2010) described that developmental, transitional, or transformational changes are possible by engaging in processes that change resistance into commitment. The effectiveness of collective bargaining in relation to producing breakthrough results such as CBAs, which include HPWP, depends heavily on a management lead negotiator's negotiating styles and behaviors when conducting collective bargaining (Carrell & Heavrin, 2012; Walton & McKersie, 1965). Organizational climates in government entities can influence all aspects of county government leaders' processes to include collective bargaining. Turning resistance of HPWP into an employee commitment to productivity may depend on a management and union climate that leans more toward collaboration and less toward confrontation.

Organizational climates drive whether management lead negotiators conduct collective bargaining using an adversarial or collaborative approach. Organizational climates with low trust between management and union lead negotiators generally tend to drive an adversarial approach to collective bargaining. In contrast, organizations that

work to build integrity, trust as described by Covey (2006) and Shaw (1997), open communication, and common interests tend to take a more collaborative approach to collective bargaining that improves relationships between the management and the union and produces more mutually acceptable outcomes (Barrett, 2015; Hargrove, 2010).

Collective Bargaining in the Area of High-Performance Work Practices

Although much is known about the effects of HPWP (Huselid et al., 2005), much is still unknown about the impact of collective bargaining on HPWP (Gill & Meyer, 2013). Labor unions, and in particular those in county government, strive for CBAs that support a theme of workforce equality in which all employees are equal in terms of productivity and performance (Kearney & Mareschal, 2014). HPWP are those practices that stimulate productivity through HR processes that differentiate the workforce, theorizing that not all employees are equal with each employee requiring different motivations and approaches to maximize individual productivity (B. E. Becker et al., 2009).

The conflict between union collective bargaining desires for equality in the workforce and management initiatives to stimulate productivity through differentiated workforce practices produces challenges and opportunities that are exciting for further exploration (Obeidat et al., 2016). Some studies have shown that collective bargaining and HPWP that improve productivity do not have to be mutually exclusive terms (Appelbaum, 2001).

Government Leaders and High-Performance Work Practices

County government leaders from management provide direct responsibility to the citizens (i.e., responsibilities as defined by Title 3 of the California Government Code)

and strive to provide both critical public services and benefits for employees providing those services. County government leaders from management and HR, who hold positions primarily accountable for the success of the public mission to maximize services to the public, are constantly striving for ways to find work practices that increase individual and organizational performance (Huselid, 1995).

An emerging area of focus for county government leaders is promoting HPWP to increase organizational performance. According to Huselid et al. (2005), HPWP result in higher levels of productivity. HPWP implemented by government leaders and driven by HR, such as purposeful, differentiated selection; promotion; evaluation; and training and development strategies and processes, serves to stimulate individual and organizational productivity and increase employee motivation and satisfaction (Gyesie, 2017).

Government leaders must focus on their human capital to successfully implement practices that stimulate employee commitment and productivity (G. S. Becker, 1993). A government entity's capital assets, such as buildings, equipment, and so forth, are no more important than its human capital asset. According to G. S. Becker's (1993) human capital theory, when leaders invest in an organization's human capital through practices, such as differentiated employee training and development, their investment can result in large organizational performance dividends. Government leaders can use collective bargaining to implement these and other HPWP to increase organizational productivity (Huselid, 1995).

Government Leaders Inclusion of High-Performance Work Practices in the Collective Bargaining Agreement

County government leaders have a responsibility to maximize the efficiency and productivity of their workforce's mission to provide critical public services to their citizens (Menzel, 2003; Raadschelders, 2011). While there are many methods for county government management lead negotiators to implement transformational changes for organizational performance improvement, one proven method for achieving performance increases is to promote HR-driven HPWP that transform individual and organizational productivity (Huselid & Becker, 1996).

Because of the high propensity for union membership of up to 65% or higher union-affiliated employment density (Kearney & Mareschal, 2014) among the county government workforce (Dinlersoz & Greenwood, 2016), county government management lead negotiators cannot implement substantive changes in working conditions such as using HPWP without using collective bargaining processes to include HPWP in the CBA (Carrell & Heavrin, 2012; Katz et al., 2017; Kearney & Mareschal, 2014).

County government management lead negotiators can experience success when collectively bargaining for HPWP (Gill & Meyer, 2013), which include differentiated performance evaluations that encourage and reward productivity, training that improves employee skills and job satisfaction, and work-life balance programs for flexible scheduling. Implementation of HPWP by county government management lead negotiators through collective bargaining can enhance the public mission to provide critical government services for the health and welfare of their citizens (Gyesie, 2017; Menzel, 2003). To maximize the effectiveness of collective bargaining over HPWP, or

other conditions of employment, management lead negotiators may conduct collective bargaining using negotiating behaviors that lean more heavily toward trust, collaboration, and the integration of interests versus a traditional distributive or adversarial approach (Barrett, 2015; Hargrove, 2010).

Efficient, effective, and collective bargaining is a key component of individual employee and organizational health, and the ability to enter into collective bargaining using a collaborative, integrative approach that focuses on mutual gains and improves relationships and productivity supports this key component. Moving beyond the distributive, positional, adversarial union negotiation methodologies that characterized the United States collective bargaining environments in the past to one of a more integrative, principled, interest-based collaborative relationship will result in improved relationships and organizational productivity (Hargrove, 2010). With collaboration, it is possible that collective bargaining, improved relationships, and productivity become synonymous concepts in organizations that choose integrative bargaining.

Collective bargaining and individual or organizational productivity do not have to be mutually exclusive terms if management lead negotiators employ positive leadership attributes and behaviors leading to successful integrative collective bargaining outcomes that improve labor and management relationships and organizational productivity. The primary leadership attribute of trust is an enabler for successfully using an integrative collective bargaining negotiation methodology (Kim et al., 2015). Management lead negotiators who exemplify and model trust (Shaw, 1997) by displaying its many subattributes of integrity, commitment, honesty, and transparency create an environment

for choosing and entering into a successful integrative bargaining relationship that produces positive, mutual-gain outcomes.

Finally, it is undisputed that successful, integrative bargaining supports and principled IBB supports individual and organizational health and vitality. When integrative bargaining is successfully conducted, it will, on balance, result in improved relationships, employee engagement, and employee commitment to productivity and an overall positive impact on organizational productivity as reflected in and supported by the literature (Hargrove, 2010). Although each of the topics central to this study (government leader's responsibilities, collective bargaining, and HPWP) have been extensively researched on their own, a synthesis of the three topics, with a focus on stimulating employee commitment to productivity in heavily unionized local county governments, remains an area ripe for further exploration (Posthuma et al., 2013).

In spite of the potential benefits of HPWP and the use of integrative bargaining, little research has been conducted in the context of county government. While there are hundreds of county government collective bargaining groups operating, there is little knowledge about the challenges, benefits, and strategies that management lead negotiators use to negotiate CBA HPWP. This study provides additional insight for successfully negotiating HPWP in local county government CBAs by thoroughly examining the challenges, benefits, and strategies for negotiating HPWP from a management lead negotiator's perspective.

Summary

This literature review supported an exploration of the influence of county government collective bargaining on HPWP that increase employee and organizational

performance. This chapter began with an introduction explaining the many challenges faced by county government management lead negotiators and points to CBA HPWP as an emerging area of focus for county government lead negotiators to increase employee satisfaction and organizational performance. This chapter covered these leaders' duties, theoretical foundations for this study, a review of unionism, collective bargaining and negotiation methodologies, and important management lead negotiator attributes such as the elements of trust all supported by a literature synthesis matrix. Chapter II concluded with a review of HPWP and county government management lead negotiators' responsibilities in the area of negotiating CBA HPWP that increase employee morale and commitment to delivering critical county government public services.

CHAPTER III: METHODOLOGY

Overview

The focus of this study is to explore the experiences of county government management lead negotiators as they engage in collective bargaining about high performance work practices (HPWP) that systematically increase employee commitment to achieving organizational strategic goals (B. E. Becker et al., 2009). Chapter III illustrates the research design and rationale for the selected research study methodology that best supports this study's purpose statement and research questions. This chapter begins by reviewing the study's purpose statement and research questions. Next, the rationale for the research design is explained. In addition, this chapter presents the population, target population, and sample selection, along with a description of the instrumentation, validity, reliability, data collection and data analysis methods. Finally, this chapter closes with a discussion concerning limitations of the study to further enhance validity and reliability.

Purpose Statement

The purpose of this qualitative multicase study was to identify and describe the HPWP county government management lead negotiators who negotiated in the collective bargaining agreement (CBA). In addition, the purpose of this study was to describe the challenges and benefits of negotiating HPWP in the CBA as perceived by management lead negotiators. Lastly, the purpose of this study was to identify and describe the strategies used by management lead negotiators to mitigate challenges when negotiating HPWP in the CBA.

Research Questions

1. How do management lead negotiators identify and describe the HPWP they have negotiated in their CBA?
2. How do management lead negotiators describe the challenges when negotiating CBA HPWP?
3. How do management lead negotiators describe the benefits when negotiating CBA HPWP?
4. How do management lead negotiators describe the strategies used to mitigate challenges when negotiating CBA HPWP?

Research Design

Three general research designs were considered for this study including quantitative, qualitative, and mixed methods (McMillan & Schumacher, 2010). A qualitative research methodology was determined to be the best fit for this study due to its ability to provide in-depth descriptive information to answer the research questions (Creswell & Creswell, 2018; Patton, 2015). To further support the selection of a qualitative research methodology for this study, I looked for ways to gain a deeper understanding of a phenomenon that is complicated and not well understood. Creswell and Creswell (2018) noted previous researchers have “used an emerging qualitative approach to inquiry, the collection of data that is sensitive to the people and places under the study, and data analysis that is inductive and establishes patterns and themes” (p. 37).

Qualitative Multicase Study Rationale

I considered several prominent qualitative research designs for this study including phenomenology, ethnography, and case study (Creswell & Poth 2018). After

considering the merits of each design, a multicase study qualitative research design was chosen because it captured the in-depth experiences needed to answer the research questions. A case study examines a bounded system, such as an individual or organization, with the researcher determining the case and the boundary (Creswell & Creswell, 2018; McMillan & Schumacher, 2010). A case study was chosen because it enabled me to examine a bounded system such as an individual or organization (Creswell & Creswell, 2018; McMillan & Schumacher, 2010). According to Yin (2018), case study research is most appropriate when trying to answer the “how” and “why” questions (p. 27). I felt that a qualitative multicase study as described by Creswell and Creswell (2018), Patton (2015), and Yin (2018) was the most appropriate method for exploring county government management lead negotiator’s experiences and strategies while negotiating CBAs about HPWP that systematically increase employee commitment to achieving organizational strategic goals (B. E. Becker et al., 2009).

Patton (2015) emphasized that multicase studies use purposeful sampling that allow researchers to understand phenomenon and to use their findings to inform practice and make positive changes in programs, policies, and practices. A qualitative multicase study was chosen because it offered me opportunities to collect in-depth interview and artifact data regarding the benefits, challenges, and strategies that county government management lead negotiators used during collective bargaining about HPWP. I wanted to not only gather interview data from county government management lead negotiators but also gather contextual information about HPWP successes, failures, and mitigations to increase the study’s validity and reliability.

Finally, this study used a case study methodology involving multiple cases to enhance the study's validity and reliability (Yin, 2018). Case study designs allow for an in-depth analysis of elements, such as processes and individuals, to develop a deep understanding of the case under study (Creswell & Creswell, 2018). This study gathered county government management lead negotiators' experiences with nonmanagement employee's collective bargaining for HPWP. The experiences of these county government management lead negotiators were gathered through in-depth interviews and artifacts from specific CBA-cycle timeframes. Based on answering "how," "why," or "what" questions in a system, or cases, bounded by specific organizations, unions, and timeframes, a multiple-case study methodology emerged as an optimal study design (Creswell & Creswell, 2018; Yin, 2018).

Population

McMillan and Schumacher (2010) defined a study's population as a group of individuals, objects, or events that have the same characteristics in common. Similarly, Creswell and Guetterman (2019) described a population as the group of individuals having one characteristic that distinguishes them from other groups. The proposed population of this study was all California county government organizations that engage in collective bargaining with county government unions. Collective bargaining is the negotiation process based on state and federal labor law that prescribes management and employee rights and responsibilities that are discussed between the two parties. The agreements made between labor and management are formally written down and agreed to in a legally binding CBA. This CBA negotiations process is led by management and labor lead negotiators who are responsible for speaking on behalf of their respective

entities as they exchange positions and share interests for each of the items being negotiated. Labor law, codified in the Federal National Labor Relations Act, at 29 U.S.C. sections 151–169, and in the California Meyers-Milias-Brown Act (MMBA) of 1968, specifies that the following types of issues are the subject of mandatory bargaining, wages, pensions, vacations, performance, hours, and working conditions to name a few (Carrell & Heavrin, 2012).

In this study, with the focus on collective bargaining, participants were the county government lead negotiators who speak for the needs and interests of the county government. The county government lead management negotiator is responsible for leading the county's part of the CBA. According to California demographic statistics, California has 58 counties (CSAC, 2021), all of which engage in collective bargaining with multiple public-sector unions. Approximately 1,031 management lead negotiators negotiate an estimated 1,031 CBAs across the 58 California counties within the study population.

Target Population

Creswell and Guetterman (2019) and McMillan and Schumacher (2010) defined a target population as the sampling frame from which the sample will be drawn. A target population for a study is the entire set of individuals chosen from the overall population for which the study data are to be used to make inferences. The target population defines the population to which the findings are meant to be generalized. A target population is identified because of the limits of time, money, and human resources (HR) that make it difficult to study the individuals within the population (McMillan & Schumacher, 2010).

It is important that target populations are clearly identified for the purposes of research study (McMillan & Schumacher, 2010).

The total population for this study of 58 California counties was 1,031 county government lead management negotiators. This number was too large an endeavor for the resources available for this study. Therefore, the study was delimited to target a nine-county region of the North Bay. The North Bay counties were Alameda, Contra Costa, Marin, Napa, San Francisco, San Mateo, Santa Clara, Solano, and Sonoma. I contacted each of the nine county HR departments in the northern California geographic region of the Bay Area to determine the number of CBAs for management and nonmanagement employees. The nine counties had 160 CBAs and 160 management lead negotiators.

The number of lead negotiators to study in this region was still too large for this study, so I further limited the scope of the study to one county and to nonmanagement CBAs only. The selected county government had 19 CBAs of which nine were agreements between county government and the nonmanagement labor units. Therefore, the target population for this study was nine county management lead negotiators for the nonmanagement CBAs.

Table 1 represents the selected target county's 19 labor agreements by representation and management level. Table 1 is further broken down to reflect the study's target and sample, including the CBA artifacts applicable to the sample.

Table 1

County Matrix for Management and Non-Management CBAs (Target and Sample/Artifact Identification)

| CBA (County MOU) | Management Level | | | Target (Non-Mgt) | Sample (Artifacts) |
|--|------------------|-----|-------|---------------------|-----------------------|
| | Sr | Mid | Entry | | |
| Attorneys | X | | | | |
| Correctional officers | | | | 1 | 1 |
| Correctional supervisors | | | X | | |
| Extra help nurses, technical, general service, clerical, probation employees | | | | 2 | 2 |
| General services supervisors | | | X | | |
| Health and social services supervisors | | X | | | |
| Health and welfare service employees | | | | 3 | 3 |
| IHSS public authority | | | | 4 | |
| Law enforcement employees deputy sheriff's | | | | 5 | 5 |
| Law enforcement management association 2 | | X | | | |
| Law enforcement management association 1 | X | | | | |
| Law enforcement supervisors | | | X | | |
| Mid-management employees | | X | | | |
| Nurses, technical, general service, and clerical employees | | | | 6 | 6 |
| Probation officers | | | | 7 | |
| Probation supervisors | | | X | | |
| Professional and technical engineers | X | | | | |
| Stationary engineers | | | | 8 | |
| Union of American physicians and dentists | | | | 9 | 9 |

Note. CBA = collective bargaining agreement; MOU = memorandum of understanding; IHSS = in home support services.

Sample

The sample is a group of participants in a study selected from the target population from which the researcher intends to generalize. According to McMillan and Schumacher (2010), sampling is selecting a “group of individuals from whom data are collected” (p. 129). Purposeful sampling was used to identify the population for this study with the goal to find information-rich cases to answer the research questions (Patton, 2015).

For this study the following purposeful sampling criteria was used for participants to be included in the study:

1. Each county management lead negotiator served on a nonmanagement CBA negotiating team to represent management's interests.
2. Each county management lead negotiator had experience administering at least two full-term CBAs.
3. Each county management lead negotiator had specific experience negotiating HPWP.
4. Each county management lead negotiator served as a CBA lead negotiator and was an employee and not an attorney.

Patton (2015) stated that there are no rules for sample size. Merriam and Tisdell (2016) recommended sampling until a point of saturation of redundancy is reached. They stated that "in purposeful sampling, the size of the sample is determined based on informational considerations. The purpose is for sampling to terminate when no new information is forthcoming from newly sampled units. Thus, redundancy is the primary criterion" (Merriam & Tisdell, 2016, p. 202). In addition, Stake (2008) indicated that the benefits of multicase studies will be limited if fewer than four cases are chosen or more than 10. Stake said that two to three cases do not show enough of the interactivity between programs and their situations, whereas 15 to 30 cases provide more uniqueness of interactivity than the research team and readers can come to understand (Patton, 2015). Therefore, I concluded that six management lead negotiators of nonmanagement CBA (shown in Table 1 along with CBA artifact identification) was a sufficient population to address the study's purpose and research questions.

Sample Participant Selection Process

I was able to contact a sponsor or gatekeeper to assist with sampling (Creswell & Guetterman, 2019). A gatekeeper is defined as a person or organization that can provide entrance to a site or that helps researchers to locate study participants. In this case, the county HR officer was used to gain access to the participants who met the purposeful sampling criteria of the study and to ensure that I was able to gain a deeper understanding of the CBA processes within the county.

County HR officers are responsible for the negotiations process for all county CBAs. Within that responsibility, they meet with union and management lead negotiators and manage the process of negotiating CBAs. In addition, they are aware of the details of each CBA as they work with both parties on interpretations of the collective agreements. Thus, the county HR officer knows whether HPWP are included in each CBA and the cumulative negotiations experiences of each county government negotiator.

The county HR officer served as the sponsor, or gatekeeper, of this study to assist me in finding county government management lead negotiators who met the sampling criteria of this study. I contacted the county HR officer and reviewed the purpose and research questions of this study. Also, the sampling criteria was shared that indicated each management negotiator was a county employee and not an outside attorney, had experience administering and negotiating at least two full-term CBAs, and was familiar with negotiating HPWP (Huselid et al., 2005). I asked the county HR officer to verify that each of the management lead negotiators met the study's participant inclusion criteria. The county HR officer, after reviewing the sampling criteria of the study, verified that each of the county management lead negotiators had met the sampling

criteria. Because only six of the nine potential candidates could be included in the study, the county HR officer randomly chose six county government negotiations leads to be included in the study.

I asked the county HR officer for access to interview CBA management lead negotiators having at least two life cycles of experience with CBA negotiations and CBA life-cycle management. The county HR officer assisted in contacting each of the county government lead negotiators to ask whether they were interested in participating in the study. All six lead negotiators stated their interest in participating in the study. I contacted the six management lead negotiators via email messages and Zoom meetings to confirm their willingness to participate. All six management lead negotiators contacted agreed to take part in the study. This study interviewed six county government management lead negotiators (see Figure 1).

Instrumentation

This study explored the influence of collective bargaining on HPWP and was conducted using a multiple-case study approach to address the research questions (Creswell & Creswell, 2018). McMillan and Schumacher (2010) indicated that researchers can gather three kinds of data when conducting fieldwork:

- observations
- interviews
- artifact reviews

I felt that interviews would provide the most valid and intense information to address the research question and be supported and informed by artifact document analysis and review. Observations of participants during the negotiations process were

too difficult to maintain the needed confidentiality to be included in this study, so observations were not selected for this study. Yin (2016) emphasized that the importance of interviews as the information from the in-depth interviews would better explain the individual lived experiences under study. Interviews, informed by relevant artifact documents, were the primary data collection method selected due to their ability to gather information-rich, deep descriptions of the experiences of government and union lead negotiators as they engaged in collective bargaining about HPWP.

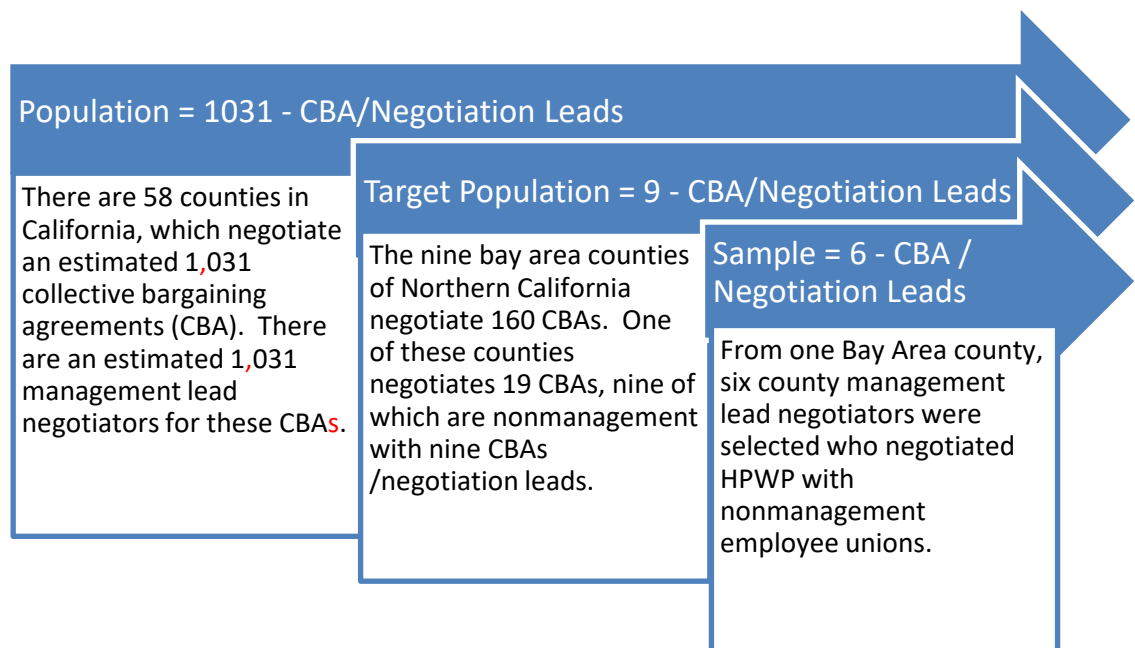


Figure 1. Population/Target/Sample Illustration

Patton (2015) pointed out that a multicase study analyzes a case by collecting data from multiple sources of information that are rich in context. Furthermore, Patton stated that a researcher chooses the appropriate instruments to gather the most appropriate data to address the research questions. The primary instrument used to collect data was the interview. The interviews were based on Huselid et al.'s (2005) model of HPWP.

HPWP are defined as HR-driven practices that encourage productivity through meaningful, differentiated job candidate selections; employee evaluations; merit increases; promotion processes; training and development; and performance incentives.

To ensure that HPWP were identified and discussed during the interview, I constructed six interview questions to inform and address this study's four research questions (see Appendix A). To ensure that the interview questions assessed HPWP, an HR expert, who had a doctorate and experience in conducting qualitative studies, was consulted to verify the validity of the interview instrument. Based on the content expert's review, the research questions were modified to align to the needs of the study. In addition, after the interview instrument review, a mock interview was held to validate the effectiveness of the interview questions and the interview process.

I gathered interview information from each of the six participants in this study regarding HPWP CBA description, challenges, benefits, and negotiation strategies. To help overcome potential participant interview concerns, I intentionally used participatory values, such as integrity, straight talk, loyalty, respect, accountability, and results to establish a trusting relationship with each participant during the interview process (Covey, 2006). Specifically, qualitative interview data were collected in this multicase study, informed by prior artifact document review (McMillan & Schumacher, 2010).

Prior to interviewing study participants, I reviewed relevant current and historical artifact documents, such as CBAs, CBA negotiation minutes, and notes. Furthermore, I looked for HPWP within the artifact documents. Specifically, CBAs were examined to find evidence of HPWP, including, but not limited to, meaningful, differentiated job candidate selections; employee evaluations; merit increases; promotion processes;

flexible work schedules; training and development; and performance incentives (Huselid et al., 2005).

Findings from both the artifact document review and interviews were used to answer the research questions. The data collected were also compared to the literature review conducted in this study. I triangulated the interview findings with the previously collected artifact documents to add validity to the study's findings.

Participant Interview Guide

For this study, an interview guide (Appendix B) was developed using semi-structured questions to capture the county government management lead negotiators' experiences as they engaged in collective bargaining about HPWP (Patton, 2015). The interview guide included an introduction to the purpose of the research study, HPWP definition and examples, and a copy of the interview questions, further customized with a copy of the CBA specific to the participant. Accompanying the interview guide was a four-slide PowerPoint presentation with the study purpose, HPWP terms, and main questions to help keep the participant interview focused. I used this technique to ensure mutual meaning between me and the participant.

I began each interview session introducing the purpose of the study, explaining definitions, asking the participants whether they were familiar with the CBA, and asking the participants whether any further clarification of the provided documents was needed. Next, I reviewed all of the Institutional Review Board (IRB) documentation with the participants, including the Participant's Bill of Rights (Appendix C), the participant agreement form (Appendix D), informed consent form (Appendix E), the audio recording release and consent form (Appendix F), and my human subjects research course

certificate (Appendix G) to reinforce study participant confidentiality. This method was selected because, as noted by McMillan and Schumacher (2010), the researcher must seek direct interaction with “the setting, participants, and documents they are studying” to get an in-depth understanding of the data (p. 322).

The interview guide was developed and provided to participants in advance of the face-to-face interviews using a secure Zoom technology virtual meeting platform. The guide contained an introduction to the purpose of the research study, definitions of key terms such as HPWP, and a copy of the interview questions. In addition, participants was provided with a current copy of their applicable CBA and a copy of the PowerPoint presentation framing the interview.

I engaged with the participants in two warm-up interactions to establish a relationship with them while introducing the topic of collective bargaining about HPWP. Following the warm-up phase, six additional questions were asked about the importance of HPWP, the benefits and challenges in achieving CBA HPWP, strategies used in an effort to mitigate those challenges, and recommendations for negotiating CBA HPWP going forward. Finally, the interview ended with a question about additional thoughts. For each of the three phases, I provided the characteristics specific to it, asked the main interview questions, and then used probing questions if I determined follow-up was necessary. The semistructured interview approach and interview guide/CBA documents were used to reduce the variation between participants’ understanding of the questions. The interview was time efficient and focused due to consistent format and participant preparation, thus leading to richer in-depth analyses.

Artifacts

Artifacts, including current and historical CBAs and bargaining notes and minutes, were collected (Creswell & Creswell, 2018; McMillan & Schumacher, 2010). Creswell and Creswell (2018) explained that artifacts, which include public documents such as meeting minutes or reports (in this case CBAs and bargaining notes), can offer data that are in the language and words of the participants. McMillan and Schumacher (2010) outlined three types of artifacts: personal documents, official documents, and objects. All three types of artifacts can offer a “noninteractive” way for researchers to obtain data relevant to the inquiry with little or no researcher and participant reciprocation (McMillan & Schumacher, 2010, p. 360).

Researcher as an Instrument

Patton (2015) explained that in qualitative research, “The researcher is the instrument of inquiry” (p. 3). For this study, my desire to further understand county government and union leaders’ experiences while collective bargaining about HPWP has its roots in my 20-plus years observing frustrations with the collective bargaining process, particularly in the establishment of HPWP.

At the time of this study, I worked as a county government staff analyst managing the fiscal operations of a multicounty agency. I did not have any responsibilities for fiscal or HR information to any of the bargaining groups. He was a member of a midmanagement union bargaining unit representing managerial and supervisory employees and was not a member of any of the other management or nonmanagement union employee groups. In addition, I did not have any contact or provide information to any of the management lead negotiators or the union lead negotiators.

Researchers often cite personal or professional experience that enables them to empathize with the participants (McMillan & Schumacher, 2010); therefore, I identified myself as someone having experience on both sides of the CBA bargaining table when making introductions to the participants. McMillan and Schumacher (2010) expanded on this phenomenon by describing how qualitative researchers seek direct interaction with “the settings, participants, and artifact documents they are studying” (p. 322). Maintaining proximity to the data is therefore important for the researcher to gain an in-depth understanding (McMillan & Schumacher, 2010; Patton, 2015). Because of my extensive experience with collective bargaining, I remained cognizant of potential biases in data collection and data interpretation.

McMillan and Schumacher (2010) noted that the researcher must remain cognizant of his or her conduct because this may influence participants’ responses. Patton (2015) emphasized that maintaining a nonjudgmental position of “empathic neutrality” (p. 59) is of paramount importance in qualitative research. This includes refraining from sharing personal stories while listening to participants share theirs. It was imperative that I maintained close adherence to the stated methodology and field-testing protocols to minimize biases that could occur during the data collection process. Patton noted that the credibility of collected qualitative data is wholly dependent upon the competence and objectivity of the researcher.

Validity and Reliability

Validity

McMillan and Schumacher (2010) described qualitative research validity: “Validity is the degree to which the interpretations have *mutual meanings* between the participants

and the researcher” (p. 330). In this case, every effort was made to ensure mutual meanings regarding challenges, strategies, and recommendations for collective bargaining HPWP. In essence, McMillan and Schumacher cautioned that observers and interviewers needed to be certain about what they heard and saw. They summarized by saying that “the researcher and participants agree on the description or composition of events and especially on the meanings of these events” (McMillan & Schumacher, 2010, p. 330). The task for the qualitative researcher is to provide a framework within which people can respond in a way that accurately and thoroughly reflects their world view, or for the purposes of this paper, that part of the world encompassed by the study’s parameters.

The concept of validity in qualitative research is quite different from that of quantitative research and that qualitative validity is not a companion of reliability or generalizability (Creswell & Creswell, 2018). Creswell and Creswell (2018) explained that qualitative validity “means that the researcher checks for the accuracy of the findings by employing certain procedures” (p. 199). McMillan and Schumacher (2010) and Creswell and Creswell (2018) outlined several strategies for enhancing qualitative validity. The major strategies used in this study to enhance validity were (a) prolonged and persistent fieldwork, (b) multimethod strategies for triangulation, (c) low-inference descriptors and participant language, (d) pilot/field testing, and (e) member checking and participant review and negative or discrepant data inclusion.

Prolonged and persistent fieldwork. The first validity area described by both McMillan and Schumacher (2010) and Creswell and Creswell (2018) to increase validity is prolonged and persistent fieldwork. I spent over 300 hr reviewing pertinent county, city, and labor union websites and newsletters for artifacts focusing on labor negotiations.

In addition, I gathered historical and current labor and management memorandums of understanding (MOU), also known as labor union contracts or CBA, along with side letters (agreements) and notes of negotiation proceedings. Finally, I gathered verbatim recordings and transcripts from 12 hr of semistructured interviews with the sample population. My extensive and persistent fieldwork provided a rich trove of data for triangulation and increased validity (Creswell & Creswell, 2018).

Multimethod triangulation. Triangulation refers to the use of multiple sources of data that create a powerful strategy for increasing research validity (Merriam & Tisdell, 2016). Patton (2015) identified four types of quantitative and qualitative triangulation: data triangulation, investigator triangulation, theory triangulation, and methodological triangulation. Of these four types of triangulations, a qualitative researcher would be most interested in data triangulation, which is “the use of a variety of data sources in a study” (Patton, 2015, p. 316). Creswell and Guetterman (2019) recommended that the researcher triangulate the data through multiple data sources, which include artifacts, interviews, and field notes. I gathered artifacts, including historical and current MOU, MOU negotiation notes, and published labor relations news articles concerning the status of labor negotiations. In addition, I interviewed six management lead negotiators from six MOU/union contracts (CBA) using semistructured interview protocol. Lastly, I analyzed field notes taken during management meetings concerning labor negotiations.

Low-inference descriptors and participant language. To enhance the validity of the research findings, this study utilized participant language and low-inference descriptors, supported with verbatim electronically recorded data. McMillan and

Schumacher's (2010) strategies in support of this approach to enhance qualitative validity included participant language and verbatim accounts, low-inference descriptors, electronically recorded data, and member checking. Patton (2015) stated that accuracy and objectivity can be enhanced by thorough coding that provides standardization and rigor during the data analysis process. Creswell and Creswell (2018) defined coding as placing information into categories and labeling groups of information with terms grounded in the actual participants language.

Participant language and low-inference descriptors includes the literal statements from interview subjects (McMillan & Schumacher, 2010). I gathered participant language through a combination of note taking and verbatim transcription of recorded interviews. I purposefully used low-inference descriptors, or the participant's own words, during the note-taking process and data-recording protocol recommended by Creswell and Creswell (2018). Creswell and Creswell suggested that researchers separate notes of descriptors from notes of reflection when taking notes in the field.

Pilot/field testing. McMillan and Schumacher (2010) explained how conducting a pilot test can also serve as a way to enhance the trustworthiness of the collected data. During a pilot test, the researcher rehearses the interview with a subject who is not part of the actual study. The goal is to approximate the conditions of the actual interviews to get a sense of the timing and the quality of the data that might be obtained (McMillan & Schumacher, 2010). For this study, I conducted a pilot test prior to engaging the study participants.

For the pilot/field test, a participant with experience as long-term management negotiator over several MOU/contract cycles agreed to be the subject for the interview. I

took great care in choosing a pilot interview participant who met the requirements of the study sample. The pilot/field test included two interview observers, one a social scientist with over 15 years of experience in qualitative interviewing and one doctoral candidate classmate, who agreed to observe and provide feedback for the pilot interview. During a debriefing session that took place after the pilot interview, both the interviewee and the observers were asked to provide feedback using the field-test interview feedback prompts that were designed specifically for the pilot test (see Appendix H). I used feedback from the pilot/field test and a synthesis matrix (Appendix I) cross check to refine interview techniques and consider additional probing questions prior to engaging the study participants to ensure data relevance, accuracy, and enhanced agreement during member checking and participant review.

Member checking and participant review. Participant interviews were recorded using two forms of mechanical and electronic recording devices to mitigate any recording failures (McMillan & Schumacher, 2010). These electronic recordings were captured using a transcription service software to ensure verbatim transcriptions of the interviews. These verbatim transcriptions, as well as my interview notes, were provided to the participants for their review with a request that they modify the interview data for any inaccuracies (McMillan & Schumacher, 2010). In addition, to help mitigate participant interview recording inaccuracies, I used interview techniques, such as rephrasing topics and using probing questions, to arrive at more complex and subtle meanings to further enhance validity and contribute to qualitative data reliability.

Negative or discrepant data inclusion. During the interview, coding, and data collection and analysis phases, I actively searched for, analyzed, and reported negative

cases or discrepant data (McMillan & Schumacher, 2010). Although negative or discrepant data did not ultimately affect the findings in this study, it did present a counterpoint to the findings that emerged. By searching for and including findings not consistent with emerging themes, I bolstered the study's reliability and validity (McMillan & Schumacher, 2010).

Reliability

Reliability is generally described as the extent to which research findings may be replicated (Merriam & Tisdell, 2016). According to Creswell and Creswell (2018), "Reliability refers to whether scoring of items on an instrument are consistent, stable over time, and whether the test was administered and scored consistently" (p. 250). In addition, Creswell and Creswell clarified that in qualitative research, "Reliability means that, regardless of researcher or project the approach is consistent" (p. 199). Bloomberg and Volpe (2018) described qualitative reliability as researchers studying the same phenomenon and coming up with the same observations and conclusions. The authors emphasized that trustworthiness and analysis of the data relies on evidence that the descriptions represent the reality of the situation and the persons studied. Finally, McMillan and Schumacher (2010) similarly defined reliability as "the consistency of measurement—the extent to which the results are similar over different forms of the same instrument or occasions of data collection" (p. 179).

Interview guide for consistency. To achieve higher reliability in this study, I used an interview guide for the semistructured interview questions based on an analysis of CBAs, bargaining notes, and HPWP for triangulation with current and historical collective bargaining artifacts. This interview guide, refined through pilot/field testing,

provided consistency and rigor during data collection. In addition to this detailed interview guide, I used multiple techniques to increase the consistency and dependability and, therefore, the reliability of the study. The strategies I used to ensure consistency and dependability, or reliability, included triangulation and pilot/field testing (McMillan & Schumacher, 2010).

Intercoder reliability. I used a peer review and examination process to confirm the data interpretations during data coding (Creswell & Creswell, 2018). Creswell and Creswell (2018) used the term “intercoder agreement” (p. 202) to describe the process of cross-checking data codes using multiple researchers. Intercoder agreement occurs when two or more data analysts agree on the codes used for the same samples of text (i.e., interview transcriptions and artifact documents). To achieve intercoder reliability for this study, I secured an external coder with a doctoral degree and experience in social science research to examine the data from the data collection phase. I established an 80% reliability level prior to coding (Miles & Huberman, 1994, as cited in Creswell & Creswell, 2018). I used the NVivo™ software to expose initial themes and codes during data analysis. Once the initial list of codes was determined, I provided the raw data to the external coder for analysis. Codes that mutually revealed an 80% or higher level of reliability were used to establish the study’s final patterns, themes, and codes (Creswell & Creswell, 2018; McMillan & Schumacher, 2010).

Audit trail. The detailed study methodology and data collection provide an audit trail of how the data are collected and analyzed, which further contribute to study reliability (Merriam & Tisdell, 2016). The details for data collection, analysis, and findings captured in Chapter III and Chapter IV provided the audit trail necessary to

support reliability. The reliability of qualitative studies is based more upon the researchers' ability to convincingly show how they arrived at their results rather than a strict replicability of the data; therefore, this study's detailed methodologies with field testing and rigorous qualitative data triangulation supported overall study reliability.

Data Collection

I used artifacts and semistructured interviews as primary means for data collection. First, artifacts consisting of relevant current and historical CBAs and bargaining notes were collected and analyzed for references to HPWP, followed by semistructured interviews of the study participants. The purpose of this qualitative multiple-case study (Creswell & Creswell, 2018; Patton, 2015; Yin, 2018) was to identify and describe CBA HPWP. Second, this study identified and described the benefits and challenges perceived by county government lead negotiators when negotiating CBA HPWP. Last, this study identified and described the strategies used by lead negotiators to mitigate challenges when negotiating CBA HPWP. Studying the experiences and perceptions of those intimately involved with the subject being examined has the potential to lead to strategies that could improve labor-management relationships and productivity by achieving HPWP through collective bargaining. To realize the study's purposes, standardized, semistructured interviews were conducted using the encrypted, secure Zoom technology virtual meeting platform (McMillan & Schumacher, 2010).

Human Subjects Consideration

The IRB at UMass Global University approved the design of the study and the interview scripts before data collection was initiated. The IRB policies were put in place to protect human subjects in research, confirm compliance with federal regulations, and

verify that ethical considerations have been met (McMillan & Schumacher, 2010). After approval, the interview subjects were sent an email to invite them to participate in the interview. The email included a letter of invitation, Participant's Bill of Rights, and the informed consent document.

The email communication included my background and contact information, a study overview, an estimate of the time commitment being requested, a statement about the voluntary nature of the interviews, an informed consent form, and a consent form for audio recording of the interviews that included an option for the participant to review the interview transcription at a later date. All six participants consented to a Zoom recording of the interview and fully understood the need to review the transcription for accuracy with an opportunity to edit. Copies of consent forms were supplied to the participants, and I retained and secured the original forms in a secure location.

To further safeguard the privacy of the participants, I secured all data after each interview (McMillan & Schumacher, 2010; Patton, 2015). The participant identities were kept private and known only by me and the dissertation chair. Pseudonyms were used throughout the study to conceal names of participants and their respective municipalities. Electronic files were kept secure along with other data and were destroyed after transcription.

Artifact Collection

To add to qualitative data collected in the study and to further triangulate procedures, artifacts were collected (Creswell & Creswell, 2018; McMillan & Schumacher, 2010). Creswell and Creswell (2018) explained that artifacts, which include public documents, such as meeting minutes or reports (in this case current and historical

CBAAs and bargaining notes), can offer data that are in the language and words of the participants. McMillan and Schumacher (2010) outlined three types of artifacts: personal documents, official documents, and objects. All three types of artifacts can offer a “noninteractive” (p. 360) way for researchers to obtain data relevant to the inquiry with little or no researcher and participant reciprocation.

Interview Procedures

For multicase studies, a standardized, semistructured interview format is recommended (Creswell & Creswell, 2018; McMillan & Schumacher, 2010; Patton, 2015). This study used a standardized, semistructured, open-ended interview format with the Zoom technology virtual meeting platform. This allowed participants to share relevant information related to the phenomenon being studied. No more than six interview questions were developed to ensure that the data were manageable. Participants were sent an overview of the study and consent documentation in advance of the interview. The consent documentation was completed and signed by the participants prior to the meetings.

All six participants consented to the interview and the electronic recording of the interview. All interviews were conducted on the secure Zoom platform to protect participants’ privacy. The same standard procedure was used for each interview as well as the same structured interview questions. Each interview began with an introduction and my background statement, a reiteration of the purpose of the study, followed by a review of the consent paperwork. Last and prior to the commencement of the questioning, I reminded participants of the voluntary nature of the interview. Participants were informed that they could terminate the interview at any time and could pass on any

questions to which they did not want to respond. The recording devices were then turned on and the question-and-answer session began.

The initial interview questions asked participants to share information about their demographics, title, and experience with CBA negotiation and management. McMillan and Schumacher (2010) explained, “Some researchers prefer to obtain this [demographic] data at the beginning of the interview to establish rapport and focus attention” (p. 359). The remainder of the structured questions related to the HPWP model synthesized with human capital and labor negotiations theory models as applied to county government collective bargaining about HPWP. Throughout each interview I took the opportunity to engage in “interview probes” (McMillan & Schumacher, 2010, p. 358) that attempted to elicit further elaboration and detail on select responses. The interviews in this study lasted approximately 60 min. At the close of all interviews, I thanked participants for their time and their willingness to contribute to the body of knowledge regarding collective bargaining about HPWP. I offered all study participant interviewees the opportunity to add any final thoughts and/or comments at the conclusion of the interview.

After all the interviews were conducted, files were transcribed using an independent professional transcription service. Participants who had requested a copy of the interview transcriptions were sent copies via email. Participants who wished to make changes to responses after reviewing transcriptions were allowed to do so. Creswell and Creswell (2018) referred to the process of verification of qualitative findings with interview subjects as “member checking” (p. 200). Member checking, is one way to enhance qualitative study’s validity (Creswell & Creswell, 2018). The analysis of the

transcriptions in this study did not begin until I audited all transcription documents for accuracy and through member checking and comment.

Data Analysis

Patton's (2015) inductive analysis and creative synthesis is important for all qualitative research. Qualitative researchers "begin with immersion in the details and specifics of the inquiry to discover important patterns, themes and interrelationships" (p. 47). The process of inductive analysis involves reviewing data recursively and extrapolating themes from the data (McMillan & Schumacher, 2010; Patton, 2015). Creswell and Creswell (2018) explained that qualitative researchers use themes extrapolated through inductive analysis for multiple purposes, including connecting themes to form a storyline, developing themes into a theoretical model, and comparing themes from one case to another. For this study, inductive analysis was used to examine the multicase interview data—data that reflected the lived experiences of county government management and union leaders with collective bargaining about HPWP.

Collecting and Documenting Data

In qualitative research, the data analysis process is fluid and can take place during multiple stages of data collection (McMillan & Schumacher, 2010; Patton, 2015). Creswell and Creswell (2018) explained that qualitative interpretation can have many forms. The meaning attached to data may be influenced by experiences, the literature, or from participant verbal and nonverbal cues. In many cases, the researcher, as the instrument in the study, adapts the interview questions as new meanings emerge (McMillan & Schumacher, 2010; Patton, 2015). However, for this study, to mitigate bias and ensure validity, precautions were taken to consistently review and apply

standardization to what was an otherwise free-flowing process (Creswell & Creswell, 2018; McMillan & Schumacher, 2010).

I took further steps to enhance the trustworthiness of the data collection and analysis process by recording all interviews and having the interviews transcribed by an external transcription provider. Editing and member checking were used to audit the transcription and to verify accuracy of the verbatim interview records. During the interviews, I also took notes using a note-taking protocol (Creswell & Creswell, 2018). Creswell and Creswell (2018) recommended that descriptive notes should be kept separate from reflective notes. By taking brief notes during the interviews, I was able to refine probing questions as well as document nonverbal cues that were observed (McMillan & Schumacher, 2010; Patton, 2015). I also immediately recorded reflective postinterview notes. The interview transcripts, notes, and documents were recursively studied until enough themes emerged through a saturation point (Creswell & Creswell, 2018).

Coding and Categorizing the Data

Coding of the terms in the participants own language is called in vivo codes, which facilitates the building of themes or categories of codes (Creswell & Guetterman, 2019). These terms or in vivo codes in this study were collected and themed using NVivo™ software (QSRinternational.com) during the data analysis phase facilitating the building of a “framework for organizing and describing what was collected during fieldwork” (Creswell & Guetterman, 2019, p. 243). The themes extrapolated through the coding process can be cross-checked by other researchers to ensure consistency (Creswell & Creswell, 2018). I also used a coding process design, complete with reflexive analysis

and intercoder agreement, to improve the validity and accuracy of the codes and resulting themes and inform the initial pilot/field testing of the interview instrument.

Specifically, after the transcribed data were vetted for accuracy and all revisions were completed, I conducted a more formal coding process extending the initial themes derived during the initial saturation data categorization mentioned in the previous sections. This formal coding process was initiated once all the data were collected. McMillan and Schumacher (2010) explained, “Data coding begins by identifying small pieces of data that stand alone” (p. 370). The coding process for this study began with an initial review of the data to identify segments, or units of relevant information—typically one to three sentences in length—that could stand alone (MacMillan & Schumacher, 2010). The identified segments were analyzed, and themes were extrapolated.

According to McMillan and Schumacher (2010), selecting themes represents the first level of induction in qualitative analysis because the researcher must use inferential reasoning to interpret meaning from data segments.

Use of Coding Software

In this study, I used NVivo™ qualitative coding software to arrange the data segments and determine themes. A frequency table was used to arrange the in vivo codes—the statements of participants—by thematic category (MacMillan & Schumacher, 2010). Once the themes were verified and the data sets quantified, the qualified external coder was enlisted to conduct a separate, independent coding of the data. Themes were verified using an 80% or higher level of reliability (Miles & Huberman, 1994, as cited in Creswell & Creswell, 2018).

During the coding process, I used NVivo™ qualitative coding software for analysis because the software allows researchers to efficiently extract statements from interview transcripts and easily organize the statements by category. According to McMillan and Schumacher (2010), “Categories represent major ideas that are used to describe the meaning of similarly coded data” (p. 376).

As new categories (themes) emerge, extracted statements are assimilated under the categories with which they have been associated. The NVivo™ software allows researchers to effectively visualize which categories most commonly appear in the data. The coding process in this study identified 16 categories of responses.

Identifying and Legitimizing Themes

McMillan and Schumacher (2010) explained that once data segments have been extracted, categories have been selected, and the data have been coded by category, the researchers must look at the data again through multiple lenses of analysis to discover patterns among the categories. As researchers attempt to identify patterns, or relationships among categories, they must shift between their own inductive “hunches” (p. 378) to a deductive analysis of the coded data (McMillan & Schumacher, 2010). This methodical shifting or moving back and forth among the themes, patterns, and codes allowed me to confirm the patterns and data central to the study’s purpose.

Depicting and Displaying Findings

Because of the nature of the study, qualitative multicase, the findings of this study were presented mostly in the form of description because the primary instrument was the interview data collection. Patton (2015) explained that qualitative findings most often take the form of stories that emerge from the data. The stories include the details of time

and place and enjoy “the richness of context and the fullness of thick description” (Patton, 2015, p. 87). The descriptions in this study intentionally included direct language from the interview participants to most accurately frame their HPWP collective bargaining experiences. In addition to the narrative descriptions, I provided a series of tables that offered illustrative matrices of data analysis. Themes, subthemes, codes, and frequency tables show the process of data analysis and provide a supportive foundation for the narrative descriptions.

I developed a frequency table for the themes identified for each research question. Three to four themes were included for each research question, and these themes were listed from highest to lowest frequency. Following the listing of the themes, the number of participants who concurred with each theme were numerically listed. Next, interview frequencies for each theme were listed from highest frequency to lowest. Artifact counts that supported each theme were listed in the next column. Last, the total number of interview comments and artifacts for each theme were listed in the last column. At the end of Chapter IV, the themes for each research question are listed from highest to lowest frequency rates based on the total of interview and artifact incidents per each theme.

Limitations

Patton (2015) explained that validity and credibility in research greatly rely on the accuracy of instrumentation; because the researcher is the instrument in qualitative research, credibility is gauged by the researcher’s skill and the rigor in which the researcher conducts the research. Although I applied multiple strategies to enhance the validity and reliability, I acknowledge the following factors that may limit the transferability of the research findings:

1. The research was limited by a necessary, small sample size, which prohibited generalizability of the findings (Patten, 2014; Patton, 2015).
2. The research was limited by the semistructured interview format, which did not allow for adaptation and fluidity of process once the interviews commenced (Patton, 2015).
3. The research was limited by potential bias. Patton (2015) pointed out that the subjective nature of qualitative inquiry combined with the researcher's role as the primary instrument for data collection makes qualitative analysis much more prone to bias than quantitative analysis. In addition, because the data in this study were extracted from Zoom interviews, participant bias could also be a limiting factor (Patton, 2015).
4. The research study was limited to county government management lead negotiators' experiences with HPWP as they negotiated CBAs with nonmanagement union lead negotiators.

In light of possible limitations inherent in this study, the following safeguards were included in the study's design:

1. I used methods of intercoder reliability during the data coding process as a way to verify themes and frequency counts (MacMillan & Schumacher, 2010; Patton, 2015).
2. Member checking was used throughout the interview process to ensure accuracy of research noted and accuracy of the interview record (McMillan & Schumacher, 2010).

3. Participant language and low-inference descriptors were used during the note-taking and interview processes (McMillan & Schumacher, 2010).
4. A synthesis of theoretical frameworks was used to provide structure to the data recording and analysis process, which, according to multiple sources, can lack direction and structure in qualitative case studies (Macmillan & Schumacher, 2010).

Summary

This chapter outlined the methodology used for the study. The purpose statement and research questions were reiterated as a reminder to readers of the foundation of the study. Next, the research design was presented along with the population and sample for the study. The data collection and analysis procedures were reviewed. Lastly, the limitations and safeguards were explained.

CHAPTER IV: RESEARCH, DATA COLLECTION, AND FINDINGS

Chapter IV reviews the process for the study, including data collection and findings. The purpose statement and research questions are restated, followed by an overview of the current study's population, sample, and demographics. Presenting the data findings is the principal focus of this chapter—specifically, qualitative data exploring county government management lead negotiator's experiences with collective bargaining agreements (CBA) in the area of negotiating high performance work practices (HPWP).

Purpose Statement

The purpose of this qualitative multicase study was to identify and describe the HPWP county government management lead negotiators who negotiated in the CBA. In addition, the purpose of this study was to describe the challenges and benefits of negotiating HPWP in the CBA as perceived by management lead negotiators. Lastly, the purpose of this study was to identify and describe the strategies used by management lead negotiators to mitigate challenges when negotiating HPWP in the CBA.

Research Questions

1. How do Management lead negotiators identify and describe the HPWP they have negotiated in their CBA?
2. How do Management lead negotiators describe the challenges when negotiating CBA HPWP?
3. How do Management lead negotiators describe the benefits when negotiating CBA HPWP?

4. How do Management lead negotiators describe the strategies used to mitigate challenges when negotiating CBA HPWP?

Research Methods and Data Collection Procedures

This study used a qualitative multicase study methodology to gather county government management lead negotiators' experiences with nonmanagement employee's collective bargaining for HPWP. The experiences of these county government management lead negotiators, who met the study criteria, were gathered through in-depth interviews and analysis of artifacts over specific CBA-cycle timeframes. The interviews were conducted virtually via the Zoom technology platform and recorded with the permission of the participants. I securely archived the study data.

Population

McMillan and Schumacher (2010) defined a study's population as a group of individuals, objects, or events that have the same characteristics in common. Similarly, Creswell and Guetterman (2019) described a population as the group of individuals having one characteristic that distinguishes them from other groups. The proposed population of this study was all California county government organizations that engage in collective bargaining with county government unions. Approximately 1,031 management lead negotiators negotiate an estimated 1,031 CBAs across the 58 California counties within the study population.

Target Population

A target population is identified because of the limits of time, money, and human resources (HR) that make it difficult to study the individuals within the population (McMillan & Schumacher, 2010). It is important that target populations are clearly

identified for the purposes of research study (McMillan & Schumacher, 2010). The total population for this study of 58 California counties was 1,031 county government lead management negotiators. This number was too large an endeavor for the resources available for this study. Therefore, the study was delimited to a nine-county region of the North Bay. The nine counties included 160 CBAs and 160 management lead negotiators.

The number of lead negotiators to study in this region was still too large for the purpose of this study, so I further limited the scope of the study to one county and to nonmanagement CBAs only. The target county government had 19 CBAs of which nine CBAs were between county government and nonmanagement labor units. Therefore, the target population for this study was nine county management negotiation leaders for the nonmanagement CBAs.

Sample

The sample is a group of participants in a study selected from the target population from which the researcher intends to generalize. According to McMillan and Schumacher (2010), sampling is selecting a “group of individuals from whom data are collected” (p. 129). Purposeful sampling was used to identify the population for this study with the goal to find information-rich cases to answer the research questions (Patton, 2015).

For this study the following purposeful sampling criteria were used for participants to be included in the study:

1. Each county management lead negotiator served on a nonmanagement CBA negotiating team to represent management’s interests.

2. Each county management lead negotiator had experience administering at least two full-term CBAs.
3. Each county management lead negotiator had specific experiences negotiating HPWP.
4. Each county management lead negotiator served as a CBA lead negotiator and was an employee and not an attorney.

Patton (2015) stated that there are no rules for sample size. Merriam and Tisdell (2016) recommended sampling until a point of saturation of redundancy is reached. They stated that in purposeful sampling, the size of the sample is determined based on informational considerations (Merriam & Tisdell, 2016). I concluded that six management lead negotiators of nonmanagement CBAs was a sufficient population to address the study's purpose and research questions.

Demographic Data

The study included six participants who met eligibility criteria to participate. Each participant signed a consent form. Demographic information was collected to describe the management lead negotiators to include their gender, race or ethnicity, and CBA experience tenure. Table 2 represents demographic data for each participant, numbered 1 to 6.

Intercoder Reliability

To further ensure reliability of the data, I used a peer review and examination process to confirm the data interpretations during data coding (Creswell & Creswell, 2018). Creswell and Creswell (2018) used the term "intercoder agreement" (p. 202) to describe the process of cross-checking data codes using multiple researchers. Intercoder

agreement occurs when two or more data analysts agree on the codes used for the same samples of text (i.e., interview transcriptions and artifact documents). To achieve intercoder reliability for this study, I secured an external coder with extensive experience in social science research to examine the data from the data collection phase. Once the initial list of codes was determined, I provided the raw data to the external coder for analysis.

The codes provided mutually revealed an 85% level of reliability and were used to establish the study’s final patterns, themes, and codes (Creswell & Creswell, 2018; McMillan & Schumacher, 2010). The intercoder reliability for this study was found to be acceptable, and the qualitative results were considered valid.

Table 2

Management Lead Negotiators’ Participant Demographics

| Participant | Gender | Ethnicity/race | Years CBA experience |
|---------------|--------|----------------|----------------------|
| Participant 1 | Male | White | 10+ |
| Participant 2 | Male | White | 10+ |
| Participant 3 | Female | Hispanic | 10+ |
| Participant 4 | Male | White | 9+ |
| Participant 5 | Female | White | 8+ |
| Participant 6 | Female | White | 10+ |

Note. CBA = collective bargaining agreement.

Presentation and Analysis of Data

I collected and analyzed data from six participants to elicit responses that identified and described the HPWP the participants negotiated in the CBA, the challenges and benefits of negotiating HPWP in the CBA, and the strategies used to mitigate

challenges when negotiating HPWP in the CBA. I employed semistructured interviews with open-ended and probing questions guided by the theoretical framework derived from the literature review of HPWP within the context of county government collective bargaining.

Qualitative data from in-depth interviews and artifacts addressed the research questions. The primary qualitative data were collected through face-to-face interviews with six management lead negotiators as well as from artifacts consisting of published county government CBAs (as shown in Table 1), memorandum of understanding (MOU), and policies that supported the interview questions and data. I spent approximately 7 hr in interviews and approximately 5 hr examining artifacts.

Data Analysis for Research Question 1

Research Question 1 for this study asked, “How do management lead negotiators identify and describe the HPWP they have negotiated in their CBA?” All six participants initially struggled with this question because, although there were CBA articles that partially describe HPWP such as performance management, they were not all considered HPWP or articles eliciting high performance by the participants.

HPWP Negotiated The following section discusses the qualitative data elements that were coded into themes from the six participant interviews. The data presented were collected from one of six interview questions. The following subsections outline the responses to Research Question 1. Table 3 shows the themes and frequency counts.

To summarize, all of the participants described negotiating work schedule articles as HPWP. Four of six participants mentioned recruitment/selection articles and policies as negotiated HPWP. The most frequent experience for these management lead

negotiators was describing the work schedule articles as HPWP. As previously stated, this information regarding participant experiences was gathered from the first interview question. A qualitative data analysis for the themes in answering the first research question with participant experiences is outlined in the following section.

Table 3

Themes, Participants, Sources, and Frequency (Highest to Lowest): Research Question 1

| Theme | Participants | Interviews | Artifacts | Total |
|-------------------------------|--------------|------------|-----------|-------|
| 1. Work schedules HPWP | 6 | 8 | 6 | 20 |
| 2. Recruitment/selection HPWP | 4 | 7 | 6 | 17 |

Note. HPWP = high-performance work practices.

Theme 1: Work schedules HPWP. The research question for this study asked how management lead negotiators identify and describe the HPWP they have negotiated in their CBA. Analysis of the data collected resulted in the emergence of the most frequent theme for this research question of work schedules HPWP, with a frequency of 20. All participants stated that they negotiated work schedules HPWP in their CBAs. This theme was evidenced from six face-to-face interviews and triangulated with artifact reviews, with a frequency of 20 (Table 4).

Table 4

Theme 1: Work Schedules HPWP—Participants, Sources, and Frequency

| Theme | Participants | Interviews | Artifacts | Total |
|------------------------|--------------|------------|-----------|-------|
| 1. Work schedules HPWP | 6 | 8 | 6 | 20 |

Note. HPWP = high-performance work practices.

All management lead negotiators described the negotiated work schedules article as HPWP. A recurring sentiment of all six of the participants was concisely captured in a comment by Participant 6:

We negotiated nine alternate work schedules, and telework agreements, you know, and trying to, in the teleworking arena, determine the jobs that are amenable to telework versus those jobs that are not is the most difficult thing and remains open for negotiation. Having a greater flexibility of an alternate work schedule and the potential for telework is a HPWP and retention tool.

In other words, negotiating alternative work schedules and telework agreements as HPWP contribute to quality of work–life and retention.

Participant 3 described work schedules as an HPWP that increases productivity and saves money:

Well, some may think they cost money because some alternate schedule, can cost money for example, 12-hr schedules, they can cost money because you incorporate some automatic overtime. So, some [work schedules] may cost money to implement, but again, what you got to look at, is there a benefit to it, which there normally is because the benefit is it reduces absenteeism and helps morale, which saves more money in reduced overtime [to cover absences] so there is a net cost savings. We look at the benefit not only for the employee, but we see what the benefit is for the employer causing a significant cost savings compounding effect and you can have that data before you go into negotiations.

Participant 3 deftly pointed out the fact that negotiated HPWP can not only have benefits for the employee but also have a compounding effect on cost savings for the organization.

Participant 5 indicated in the last round of negotiations “we gave [back] an additional holiday in the work schedules article and added additional flexibilities to more employee classes, which improved morale and made negotiations more productive.” All six participants agreed that negotiating the HPWP work schedules article provided an additional boost to employee satisfaction and morale and promoted CBA ratification at a low to no county cost.

Theme 2: Recruitment/selection HPWP. The research question for this study asked how management lead negotiators identify and describe the HPWP they have negotiated in their CBA. Analysis of the data collected resulted in the emergence of the second most frequent theme for this research question of recruitment/selection HPWP, with a frequency of 17. Four of the six participants expressed that they negotiated recruitment/selection HPWP in their CBAs. This theme was evidenced from six face-to-face interviews and triangulated with artifact reviews, with a frequency of 17 (Table 5).

Table 5

Theme 2: Recruitment/Selection HPWP—Participants, Sources, and Frequency

| Theme | Participants | Interviews | Artifacts | Total |
|-------------------------------|--------------|------------|-----------|-------|
| 2. Recruitment/selection HPWP | 4 | 7 | 6 | 17 |

Note. HPWP = high-performance work practices.

Four of the six management lead negotiators described the negotiated recruitment/selection processes as HPWP. A recurring sentiment among the four

participants was concisely captured in a comment by Participant 4: “What it’s [recruitment and selection process] doing is it’s allowing us to bring high-quality people into the into the work environment, so that makes it one of the high-performance work practices is a differentiated recruitment and selection procedure.” In other words, negotiating recruitment and selection processes that result in the best possible candidate are HPWP.

Participant 6, in discussing negotiating changes to civil service rules affecting the recruitment process, provided an additional enhancement to HPWP:

Along with the recruitment and selection/promotion articles, we also negotiated a job fair process to overcome the labor market, which was incredibly tight, very difficult to find people ... challenged me slash the recruitment time to have a hiring event where we could hire people in 1 day ... so we negotiated changes to the civil service rules that would allow us to forgo the 5-day minimum job posting as long as we advertised the event in advance.

The process of negotiating changes to civil service rules made the recruitment and selection process an HPWP that was more responsive and effective with regard to filling positions in a competitive recruiting environment.

Participant 5 discussed negotiating recruitment and selection articles as HPWP: We negotiated things [enhancements to the recruitment/selection processes] to help us promote and retain employees to try to get the best internal and external candidates. We structured different selection and pay systems for medical professionals to try to attract and retain them.

Negotiating flexible/differentiated recruitment and selection systems, with additional incentives to recruit and retain the best candidates, was categorized as an HPWP by 67% of the study participants.

Data Analysis for Research Question 2

Research Question 2 for this study asked, “How do management lead negotiators describe the challenges when negotiating CBA HPWP?” The first part of the data analysis discusses the major challenges in negotiating HPWP. The second part of the data analysis presents the data for which challenges were the most challenging and why when negotiating HPWP.

Challenges The following sections discuss the qualitative data elements that were coded into themes from the six participant interviews. The data presented were collected from two of the six interview questions. The first interview question asked participants about challenges in general, and the second interview question asked which of the challenges mentioned were considered major challenges and why.

The following sections outline the responses to Research Question 2. Table 6 shows the themes and frequency counts for each of the two interview questions pertaining to Research Question 2.

To summarize, all of the participants described trust as a challenge in negotiating HPWP. In addition, all of the participants described politics as a challenge in negotiating HPWP. Furthermore, 83%, or five of six, of participants described transparency as a challenge in negotiating HPWP. Finally, 67%, or four of six, of participants described equity as a challenge in negotiating HPWP. The most frequent experiences for these management lead negotiators were trust and politics. As previously stated, this

information regarding participant experiences was gathered from the second interview question. A qualitative data analysis for the themes in answering the second research question for participant experiences is outlined in the following sections.

Table 6

Themes, Participants, Sources, and Frequency (Highest to Lowest): Research Question 2

| Theme | Participants | Interviews | Artifacts | Total |
|-----------------------------|--------------|------------|-----------|-------|
| Challenges (general) | | | | |
| 3. Challenge–Trust | 6 | 17 | 0 | 23 |
| 4. Challenge–Politics | 6 | 14 | 0 | 20 |
| 5. Challenge–Transparency | 5 | 13 | 0 | 18 |
| 6. Challenge–Equity | 4 | 5 | 6 | 15 |
| Challenges (major & why) | | | | |
| 7. Major challenge–Trust | 6 | 20 | 0 | 26 |
| 8. Major challenge–Politics | 6 | 16 | 0 | 22 |

Theme 3: Challenge–Trust. The research question for this study asked how management lead negotiators describe the challenges when negotiating CBA HPWP. Analysis of the data collected resulted in the emergence of the most frequent theme for Research Question 2: the challenge of trust. All participants expressed that trust was a challenge when negotiating HPWP in their CBAs. This theme was evidenced from six face-to-face interviews and artifact reviews with a frequency of 23 (Table 7).

Table 7

Theme 3: Challenge–Trust—Participants, Sources, and Frequency

| Theme | Participants | Interviews | Artifacts | Total |
|--------------------|--------------|------------|-----------|-------|
| 3. Challenge–Trust | 6 | 17 | 0 | 23 |

All management lead negotiators described trust as a challenge in negotiating HPWP. A recurring sentiment of all six of the participants was concisely captured in a comment by Participant 4:

There is an underlying presumption that we are, are starting from disagreement and lack of trust, and will end up disagreeing, and the best that we can achieve is some compromise due to lack of trust. That doesn't make us like each other too much ... and we did [not trust] and we failed to achieve trust for several bargaining seasons that led to strikes, and I think the strike is the manifestation of not achieving that goal of trust.

In other words, failure to achieve trust when negotiating HPWP manifests in undesirable outcomes of damaged and poor relationships, failure to agree, and strikes.

Participant 3 expressed frustration with the lack of honesty and truthfulness at the bargaining table resulting in a lack of trust:

I think each party thinks that the other party is not being honest and truthful ... I think what's lacking is [honesty and truthfulness] in explaining things [positions] ... Those are two basic fundamentals ... that's what I noticed, is like we didn't we didn't do very well, at least from a management standpoint of explaining why we couldn't do something or why we could do something ... everything was so secretive.

Participant 3 concisely pointed out that lack of trust has a severe negative impact on negotiating HPWP by limiting the flow of information and creating negative perceptions.

Participant 1 indicated that mixed messages and backtracking at the bargaining caused trust issues early in the bargaining process when negotiating HPWP, resulting in a lack of trust:

When folks don't understand the expectation, and there's a change, it can seem arbitrary or can be perceived as being arbitrary ... and that's when that's when all hear about it as the collective bargaining table ... which hurts trust. ... I don't I don't want to deal with a position of having to backtrack because it can create bad feelings [hurts trust], right? I'm hurting labor practices and trust and kind of ruin the relationship, which is not, you know, which is not a good thing.

Participant 1 described trust as being negatively impacted by lack of understanding of positions and a potential waffling (backtracking) of positions directed by HR when negotiating HPWP.

Participant 2 indicated that even if there is a small level of trust between the manager and union representative, there is often a lack of trust with HR:

So typically, the biggest challenge is trust, you know, typically that's actually that's a common theme. The unions typically don't trust management or HR, and sometimes they'll defray like, you know, either. Even if they trust our department management, they many times may not trust HR ... so I'd say that's probably one of the biggest issues."

Participant 2 described trust as the biggest challenge, especially when combined with the lack of trust in HR.

Theme 4: Challenge–Politics. The research question for this study asked how management lead negotiators describe the challenges when negotiating CBA HPWP.

Analysis of the data collected resulted in the emergence of the second most frequent theme for Research Question 2: the challenge of politics. All participants expressed that politics was a challenge when negotiating HPWP in their CBAs. This theme was evidenced from six face-to-face interviews and artifact reviews with a frequency of 20 (Table 8).

Table 8

Theme 4: Challenge–Politics—Participants, Sources, and Frequency

| Theme | Participants | Interviews | Artifacts | Total |
|-----------------------|--------------|------------|-----------|-------|
| 4. Challenge–Politics | 6 | 14 | 0 | 20 |

All management lead negotiators described politics as a challenge in negotiating HPWP. A recurring sentiment of all six of the participants was expertly captured in a lengthy comment by Participant 6:

I think, you know, the some of the biggest problems at the table ... is the political influences. So I think that, you know, you've got boards and councils and all of that and when the unions are successfully able to work politics into the process, then I think that's where things really kind of go south because you have a board [board of supervisors or BOS] that is there giving you direction as a group, they're giving you direction, but they say [different] things to the union that they don't say in closed session [BOS meeting with management negotiators]. When they're telling us, you know, to stick to the hard line, and then they're saying something else to the union, or at least the union is purporting that they said something different, and I would, I would believe the union because I really would think that they're telling me the truth that they're saying a board member

said this and the board members like oh no, I never said that. I'd say like yeah, I kind of believe in them and because of politicians [and my long experience as a chief management negotiator]. So I think the political nature of collective bargaining in the public sector is something I could certainly do without, and what makes it difficult is I have found myself as the chief negotiator taking on the company line ... and you know I talked about marching up the hill [to the bargaining table] right now, come on team and like, I've got the board of supervisors, I've got management behind me and then I get up there and I'm like, where's everybody and then they're changing their mind ... and then they're wanting to do something else, because politically [the original position(s)] gets uncomfortable and I try to have those conversations, but you know, depending on where you are in your career, you can only be so direct, right? ... and I say, look, if, if you're going to if you're going to change your mind, then do it now. Just do it now. Don't make me go out there [and look like a fool], and, you know, sometimes you're battling both sides and I could really do without it. I mean, it would really be nice to have the support of the organization [county administrative officer, human resources director, and BOS] when you're when you're kind of going head to head and trying to do what's in everyone's [organization and employees] best interest or you think what's in the best interest to protect management rights or for the organization's productivity and then it gets a little uncomfortable for them politically, and so they change their mind.

In other words, politics and political influences can have a negative impact on management's ability to bargain when negotiating HPWP.

Participant 5 expressed frustration with the political challenge of negotiating HPWP in a very concise manner leading to the reason she eventually left the county during the time of this study:

Um, I think the biggest challenge was actually getting the BOS and the CAO to politically agree to some of the ideas that we [management negotiators] had okay ... so I think that's my perceived challenge, because oftentimes, we would have these [HPWP] ideas that would help [benefit the County and employees] but we would get shut down ... we could drop in thoughts or ideas, or like language we thought could be cleaned up, and most of the time it was rejected. With HPWP you can recruit people much more easier. People want to come and work there. I mean, the fact that you're showing your employees that you care enough to provide these different benefits and provide these different, high-performing work practices, like that alone is so valuable. I don't understand political opposition to negotiating HWP ... how you cannot see the return on investment. It's a huge reason why I left the county.

Participant 5 pointed out that politics often caused a discounting or outright rejection of HPWP initiatives, which eventually contributed to Participant 5's decision to leave the county.

Participant 2 expressed frustration with the political challenge of negotiating HPWP in a very concise manner leading to the reason he eventually left the county during the time of this study:

The county negotiations is almost entirely driven by the board of supervisors' politics. The board had a tendency to give different messages to management and

the union which caused negotiating problems. Many issues were secret and could not share the why. We didn't have any authority to, you know, to [negotiate HPWP] because you know, that there's so many unions [in the county], right, I think there's just a natural tendency to not trust, you know, HR [HR's political influence] ... but I'd say [not trusting] the CAO [CAO's political influence] is more than more than anything ... Well, I think that just comes down to your management style you know you try to you try to, to be open as open as possible in terms of your management style and leadership style but you are often stopped politically by higher leadership, and that sets the tone. So there's some fundamental issues, I think, fundamental flaws in the in the system ... the political aspect of collective bargaining ... that's just a fucking problem based on ... my experience.

Participant 2 expressed a clear frustration with politics and political influence when negotiating HPWP in the CBA.

Participant 1 concisely stated a clear negative effect of politics on the HPWP bargaining process:

It's always fairly too clear to me some leaders play politics and tell the union what they want to hear and tell us to hold the line which hurts [trust, transparency, negotiation process]. I, you know, either get direction, from the HR director or the CAO or the board of supervisors. I think the challenges ... it's very important to have clarity from that and in fact, I try to clarify insist [on clarity] before I go [and am still affected by political changes/statements].

Participant 1 was clear that politics was often the cause of mixed or unclear messaging when attempting to negotiate HPWP at the bargaining table.

Theme 5: Challenge–Transparency. The research question for this study asked how management lead negotiators describe the challenges when negotiating CBA HPWP. Analysis of the data collected resulted in the emergence of the third most frequent theme for Research Question 2: the challenge of transparency. Five of the six participants specifically expressed that transparency was a challenge when negotiating HPWP in their CBAs. This theme was evidenced from six face-to-face interviews and artifact reviews with a frequency of 18 (Table 9).

Table 9

Theme 5: Challenge–Transparency—Participants, Sources, and Frequency

| Theme | Participants | Interviews | Artifacts | Total |
|---------------------------|--------------|------------|-----------|-------|
| 5. Challenge–Transparency | 5 | 13 | 0 | 18 |

Five of the six management lead negotiators described transparency as a challenge in negotiating HPWP. A recurring sentiment of five of the six participants was expertly captured in a succinct comment by Participant 1:

I think probably the most challenging part of the each getting buy in from the other side and so clear complete information sharing [transparency] is incredibly important. ... It's so easy on either side of the table to potentially misunderstand ... so I think the biggest issue is to be completely candid to the extent that you know, to be candid or transparent with the other side of the table ... personalities and transparency at the table matter.

In other words, transparency opens the door to understanding when negotiating HPWP.

Participant 3 indicated the current lack and benefits of being more transparent when negotiating HPWP:

I think it becomes adversarial [negotiations] because everybody's holding back [no transparency] on, on what can be done moving forward. And so everybody feels like they're not being truthful ... not being honest [transparent]. That's the basis of why it's adversarial or not. Yeah, and the only other thing that I forgot to mention that just came to mind was, you know, when I said transparency, sometimes the direction from the board of supervisors would be helpful to be more transparent and have a clearer direction. And that would eliminate, I think, some of the adversariness that people the lack of trust, is because everything is top secret, and they're always like, well, we don't know what the board is approving or what authority the board is allowing us to have that that that actually added to the lack of transparency and the secretive nature as well.

Participant 3 tied transparency to clarifying directions, reducing adversarial relationships, and increasing trust when negotiating HPWP.

Participant 4 expressed the lack of transparency when negotiating HPWP leading to broader frustrations:

There is little transparency ... they'll have been other counties that have been through it, it is very easy to look at those other counties and see what the prevailing COLA is going to be, you know, some kind of range very broadly it's going to be between 2% and 5%. ... Now, 2% in a recessionary cycle, 5% in a boom cycle, usually settles at 3% or 4% per year. You already know that, because history has proven that that's what it's going to be, you know going in

that you're going to end up having to offer what the others around you are offering, or you're going to be eventually taking [with mediators] and shouldn't be negotiating in bad faith. So why in the world do you start with an offer of a half a percent. In what world is that even a reasonable thing to do, but it's done, because management expects the labor to come in with a 10% request, and they want to end up at three or four, knowing that they're going to start apart and they have to work their way to get fits in game, it's a stupid black box dance that both sides willingly engage in, knowing full well that they will waste months fruitlessly ultimately ending up at the very number they would have ended up with as they just looked at the surrounding. So, to me, those ulterior motives to look like you're victorious I believe contaminate what could otherwise be a far more positive negotiation experience. Why not just be transparent from the onset?

Participant 4 expressed a clear frustration with the lack of transparency when negotiating HPWP in the CBA.

Participant 5 concisely tied transparency to trust during the HPWP bargaining process:

I think sometimes when bargaining [HPWP], like one side may think that the other side is not being transparent and so then the trust you know, definitely goes away [no transparency = no trust] ... which directly affects the ability to bargain HPWP.

Participant 5 was clear that transparency (or the lack thereof) directly affects the level of trust between management and union negotiators when bargaining HPWP.

Theme 6: Challenge–Equity. The research question for this study asked how management lead negotiators describe the challenges when negotiating CBA HPWP. Analysis of the data collected resulted in the emergence of the fourth most frequent theme for Research Question 2: the challenge of equity. Four of the six participants specifically expressed that equity was a challenge when negotiating HPWP in their CBAs. This theme was evidenced from six face-to-face interviews and artifact reviews with a frequency of 15 (Table 10).

Table 10

Theme 6: Challenge–Equity—Participants, Sources, and Frequency

| Theme | Participants | Interviews | Artifacts | Total |
|---------------------|--------------|------------|-----------|-------|
| 6. Challenge–Equity | 4 | 5 | 6 | 15 |

Four of the six management lead negotiators described equity as a challenge in negotiating HPWP, whereas six, or 100%, of the artifacts mentioned “equity” as a goal in the preamble of their MOU (also known as negotiated agreements or labor contracts). A recurring sentiment of four of the six participants was captured at the end of a comment by Participant 4:

The other thing that goes along with it, it’s ... equity adjustment. So all of the contracts that were negotiated that year had COLAs that were similar, right, the county tries to apply the same cost of living adjustment to all of its members [equal not equitable] ... the means for achieving HPWP is going to be [difficult] the government sector and government is by its design, incentivize to mediocrity [equal not equitable], not to excellence.

In other words, the government sector with a focus on equality makes achieving equity when negotiating HPWP a more difficult process.

Participant 1 indicated the lack of equity (and focus on equality) disincentivizes HPWP:

Pay based on performance [or lack of the pay for performance HPWP] is an example of difficulty being equitable. ... I think the [focus on equality vs. equity] is bad for morale, because at that point, the high performers look at the lowest performers and understand that they're all getting the same increases no matter no matter what. So that's an HPWP area of challenge ... labor perceives attempts at equity as favoritism which is a big perception issue to overcome across the table.

Participant 1 outlined the trend to seek equality over equity, which negatively impacts the ability to negotiate HPWP.

Participant 3 tied the challenges of achieving equity to a lack of good data prior to negotiating HPWP such as with alternative work schedules:

The whole process and that is a negotiating tool when they want to come forward with alternate work schedules that are distributed equitably in the workforce ... and we look at the benefit not only for the employee, but you guys see what the benefit is for the employer such as reduced overtime and absenteeism ... so if you go back and look at some of their asks ... but if you start studying it looking at the trends, so if you have a bit hashmark or if you know average sick time is this, but then you implement a schedule and you review it at a later date, let's say 3 months, 6 months down the road. Ideally, you should see some reduction and absenteeism. Right? And hopefully you have that data before you go into

negotiations so we can present proposals that are equitable for that bargaining unit.

Participant 3 indicated that the challenge of equity in negotiating HPWP may be influenced by data.

Theme 7: Major Challenge–Trust. The research question for this study asked how management lead negotiators describe the challenges when negotiating CBA HPWP and to further describe which of the challenges mentioned were considered major challenges and why. Analysis of the data collected resulted in the emergence of the most frequent theme (major & why) for Research Question 2: the major challenge of trust (and why the participants considered trust a major challenge). All of the study participants expressed that trust was a major challenge when negotiating HPWP in their CBAs. This theme was evidenced from six face-to-face interviews and artifact reviews with a frequency of 26 (Table 11).

Table 11

Theme 7: Major Challenge–Trust—Participants, Sources, and Frequency

| Theme | Participants | Interviews | Artifacts | Total |
|--------------------------|--------------|------------|-----------|-------|
| 7. Major challenge–Trust | 6 | 20 | 0 | 26 |

All management lead negotiators described trust as a major challenge in negotiating HPWP. A recurring sentiment of all six of the participants was outlined in the opening comments by Participant 1:

[As far as major challenges], trust and transparency both are potential challenges, the biggest problem in our negotiating is trust. New managers and new HR leadership [can] and all of a sudden change the rules ... and new expectations are

set ... when folks don't understand the expectation, and there's that change, it can seem arbitrary or can be perceived as being arbitrary ... when that happens, I'm [chief negotiator] no longer trusted [or trust is damaged].

To put it succinctly, actions (management) that harm the trust relationship becomes a major challenge when negotiating HPWP.

Participant 2 immediately identified that the biggest challenge at the bargaining table was trust between management and the labor union:

So typically, the biggest challenge is trust, you know, typically that's actually that's a common theme. The unions typically don't trust management or HR ... and sometimes they'll defray like, you know ... even if they trust our department management, they may not trust HR ... and so I'd say that's probably one of the biggest issues. ... The board [board of supervisors] had a tendency to give different messages to management and the union which caused negotiating problems ... so, yeah, I would say the biggest the biggest challenge was, was trust. I just, you know, I think there's just a natural tendency to think that to not trust, you know, HR and the CAO more than anything. I also think that you need to not have individuals, particularly on the union side, that have agendas. So that was something that I saw where you had like one or two members of an association that had an individual agenda, and so they got themselves on the bargaining team, so they could push their one agenda and then the rest of the bargaining team, you know, didn't they didn't really agree with what this one individual is was saying or doing, you know, so that's, you know, that's an important factor [that harms trust].

Participant 2 described trust as a major challenge in negotiating HPWP as a result of mixed messaging from leaders external to the negotiating team and agendas on the part of the negotiating teams (particularly union negotiators).

Participant 3 described trust as a major challenge that was mostly affected by a lack of honesty and truthfulness at the bargaining table:

I think each party thinks that the other party is not being honest and truthful which harmed trust between the negotiating parties. I think what's lacking is [honesty and truthfulness] in explaining things [positions]. ... Those are two basic fundamentals ... that's what I noticed, is like we didn't we didn't do very well, at least from a management standpoint of explaining why we couldn't do something or why we could do something ... everything was so secretive ... oh yeah, I think the number one challenge is trust.

Participant 3 concisely pointed out that trust became a major challenge in negotiating HPWP mainly because of limited or secretive information flow, and a lack of truth and honesty has a severe negative impact on negotiating HPWP:

Participant 4 believed that there is presumption of disagreement and lack of trust: As I have witnessed and heard about negotiations with other unions, there is an underlying presumption that we are, are starting from disagreement and lack of trust, and will end up disagreeing, and the best that we can achieve is some compromise due to lack of trust. That doesn't make us like each other too much ... and we did, and we failed to achieve trust for several bargaining seasons that led to strikes, and, and I think the strike is the manifestation of not achieving that goal of trust, you know the compromise. I think that it is actually very

unfortunate that we start with the presumption of confrontation because, you know, each negotiation builds on the next one, a bad experience from a prior negotiation results in a bad place to start the next negotiation, and it comes down to two competing, very subtle but very real factors. One is politics on the BOS [board of supervisors] with mixed messages to the union and the other is the relationship between human resources [HR], and the bargaining units, and as that sours negotiations become more problematic, and that's almost always wrapped up in the personality of the players, I mean it's rarely the actual positions taken by either side, as much as how those positions are perceived by the players themselves, the individuals, and a change in HR leadership goes a very long way toward resetting that baseline of trust. Another is for the board to give the same message to the union and negotiators, which is a problem. But the other is what I consider to be an intentional artificial use of the bargaining process by labor, and by management, to achieve goals using that mechanism that are not strictly speaking necessary to be in that mechanism.

Participant 4 described trust as a major challenge in negotiating HPWP because of underlying assumptions and influence by external management parties.

Participant 5 described the HR director and/or the HR labor relations manager as influencing, whether or not trust became a major challenge in negotiating HPWP:

Like we've had a labor relations manager that the union loved and so the end they had so much trust in that person. That made negotiations go a lot smoother and even like, side letters, and, you know, being affirmed as everything kind of went a little bit smoother, because they felt like they have that trust. However, most

often, the union did not trust HR [either the HR director or labor relations manager or both] and it made negotiations difficult.

Participant 5 homed in on the fact that HR personnel can directly contribute to trust becoming a major challenge (or not) when negotiating HPWP.

Participant 6 indicated that trust was a major challenge in negotiating HPWP because of the prior labor strikes in the county and that the strikes happened because of lack of trust in the HR director:

I'd say that probably the trust issue is really the bigger challenge in dealing with the others because if they the two strikes in our county, and I think they happened to be because of trust in the first one [first strike] and then the leftover hard feelings that kind of were residual, that that people just didn't trust the HR director at the time. Right. I mean, depending on who you're talking to, style can be a big thing, like the union I know had a real problem. ... I'll just say with the HR director and they did not trust him, and they thought he was condescending ... and when you have that when you have that, that acrimony at the table because of some history, you know, lack of trust, you're not appreciating someone's style. It breaks down the communication because they want to hear a certain thing or believe they're hearing a certain thing from the HR director ... so if somebody is saying something, I could say the exact same thing, and they would trust it from me, but they wouldn't trust it from [the HR director].

Participant 6, similar to Participant 5, identified trust as a major challenge in negotiating HPWP principally because of the actions of HR leadership.

Theme 8: Major Challenge–Politics. The research question for this study asked how management lead negotiators describe the challenges when negotiating CBA HPWP and to further describe which of the challenges mentioned were considered major challenges and why. Analysis of the data collected resulted in the emergence of the second most frequent theme (major & why) for Research Question 2: the major challenge of politics (and why participants considered politics a major challenge). All of the study participants expressed that politics was a major challenge when negotiating HPWP in their CBAs. This theme was evidenced from six face-to-face interviews and artifact reviews with a frequency of 22 (Table 12).

Table 12

Theme 8: Major Challenge–Politics—Participants, Sources, and Frequency

| Theme | Participants | Interviews | Artifacts | Total |
|-----------------------------|--------------|------------|-----------|-------|
| 8. Major challenge–Politics | 6 | 16 | 0 | 22 |

All management lead negotiators described politics as a major challenge in negotiating HPWP. Participant 1 tied politics to trust when negotiating HPWP:

It’s always fairly too clear to me some leaders play politics and tell the union what they want to hear and tell us to hold the line which hurts trust. I, you know, either get direction, from the HR director or from CAO [county administrative officer] or the board of supervisors [BOS]. I think the political challenges and sometimes [I have to] tell the union members on the other side of the table that I’m not here just negotiating with you [because of the influences of HR/CAO/BOS]. ... Ultimately, I’m negotiating with the union and its very important to have clarity, and in fact, I try to clarify [with HR/CAO/BOS] and

insist on where they go because I don't I don't want to deal with a position of having to backtrack [because HR or CAO or BOS told the union something different due to political pressure] because it can create bad feelings, right? I'm hurting labor practices and trust and kind of ruin the relationship, which is not, you know, which is not a good thing.

Participant 1 expressed frustration with politics as a major challenge and the negative impact on trust by changing management positions midstream when negotiating HPWP.

Participant 2 colorfully expressed frustrations with politics as a major challenge primarily because of changing directions from the BOS when negotiating HPWP:

The county level pay is almost entirely driven by the board of supervisors' politics. The board had a tendency to give different messages to management and the union [bowing to political pressure(s)] which caused negotiating problems ... the political aspect of collective bargaining ... right, right. Yeah. It's, it's, you know. Yeah, that's just that's, that's just a fucking [major challenge] based on [political] discussions between union members and the BOS.

Participant 2 clearly and colorfully described politics as a major challenge in negotiating HPWP due mainly to influences on and from the BOS.

Participant 3 described politics as a major challenge affecting information sharing (transparency) in negotiating HPWP:

The board of supervisors [BOS] sometimes gives the union a different message and we don't [always] know what the board is approving or what authority the board is allowing us to have that that that actually added to the theme of

transparency [lack of] and the secretive nature as well, I've heard it from both about the board of supervisors and the CAOs office. Sometimes I had to tell the union I can't explain things to you is because it's above my pay grade and I have not been given authority to release that information ... but what I found when I did provide explanation they understood ... politics [causing a lack of transparency] ... kind of knit things in growing into be a big mess, when it doesn't have to be.

Participant 3 tied the influence of politics on information sharing thereby negatively impacting HPWP negotiations.

Participant 4 reiterated that politics was a major challenge in negotiating HWPW due to the political pressures from members of the BOS and the County Administrator's Office (CAO):

One problem is politics on the BOS with mixed messages to the union ... the board [does not always] give the same message to the union and [we as] negotiators which is a problem ... I believe, opinion, my opinion that it is important to labor unions to seem powerful, so that their members will feel in some manner beholden to participating in the because they're not required to join, and so they need to demonstrate to their members the ability to achieve goals [political pressure on BOS/CAO] that only they can achieve. I believe so here's the problem when you ask me your question about how anything goes over in the county is that there's a drastic difference between what would go over well with people at the department head level and below [vs. above at] the BOS and CAO. Okay. So, department head level and below would absolutely embrace all of the

things we're talking about because they would see the real-time value in doing it, they would see the higher quality of service, they would see the impact on the community, [however] the BOS and CAO would not see the political gain and would only see money going out the window.

Participant 4, like the majority of study participants, found politics to be a major challenge in negotiating HPWP due to political influences at the BOS and CAO level of the organization.

Participant 5 expressed frustration with politics as a major challenge when negotiating HPWP, which caused her to eventually leave the county during this study:

Um, I think the biggest challenge was actually getting the BOS and the CAO to politically agree to some of the ideas that we [management negotiators] had okay ... so I think that's my perceived challenge, because oftentimes, we would have these [HPWP] ideas that would help [benefit the county and employees] but we would get shut down ... we could drop in thoughts or ideas, or like language we thought could be cleaned up, and most of the time it was rejected. With HPWP you can recruit people much more easier. People want to come and work there. I mean, the fact that you're showing your employees that you care enough to provide these different benefits and provide these different, high-performing work practices, like that alone is so valuable. I don't understand political opposition to negotiating HWP ... how you cannot see the return on investment. It's a huge reason why I left the county.

Participant 5 pointed out that politics often caused a discounting or outright rejection of HPWP initiatives, which made politics a major challenge in negotiating HPWP.

Participant 6 expressed the actions of governing bodies for causing politics to become a major challenge in negotiating HPWP:

I think, you know, the some of the biggest problems at the table ... are the political influences. So I think that, you know, you've got boards [board of supervisors] and all of that and when the unions are successfully able to work politics into the process, then I think that's where things really kind of go south because you have a board that is there giving you direction as a group, they're giving you direction, but they say [different] things to the union [due to political pressure especially in an election cycle] that they don't say in closed session [with the management team]. When they're telling us, you know, to stick to the hard line, and then they're saying something else to the union, or at least the union is purporting that they said something different and I would, I would believe the union because I really would think that they're telling me the truth that they're saying a board member said this and the board members like oh no, I never said that. I'd say like yeah, I kind of believe in them and because of politicians [and my long experience as a chief management negotiator]. So I think the political nature of collective bargaining in the public sector is something I could certainly do without and what makes it difficult is I have found myself as the chief negotiator taking on the company line ... and you know I talked about marching up the hill [to the bargaining table] right now, come on team and like, I've got the board of supervisors, I've got management behind me and then I get up there and I'm like, where's everybody and then they're changing their mind ... and then they're wanting to do something else, because politically [the original position(s)]

gets uncomfortable and I try to have those conversations, but you know, depending on where you are in your career, you can only be so direct, right? ... and I say, look, if, if you're going to if you're going to change your mind, then do it now. Just do it now. Don't make me go out there [and look like a fool], and, you know, sometimes you're battling both sides and I could really do without it. I mean, it would really be nice to have the support of the organization [county administrative officer, human resources director, and board of supervisors] when you're when you're kind of going head to head and trying to do what's in everyone's [organization and employees] best interest or you think what's in the best interest to protect management rights or for the organization's productivity and then it gets a little uncomfortable for them politically, and so they change their mind.

In other words, politics and political influences are a major challenge, having a negative impact on management's ability to bargain when negotiating HPWP.

Data Analysis for Research Question 3

Research Question 3 for this study asked, "How do management lead negotiators describe the benefits in negotiating CBA HPWP?" The first part of the data analysis discusses the benefits in negotiating HPWP. The second part of the data analysis presents the data for which benefits are the greatest and why in negotiating HPWP.

Benefits The following section displays the qualitative data elements that were coded into themes from the six participant interviews. The data presented were collected from two of six interview questions. The first interview question asked about benefits in general, and the second interview question asked which of the benefits were considered

the greatest and why. The following subsections outline the responses to Research Question 3. Table 13 shows the themes and frequency counts.

Table 13

Themes, Participants, Sources, and Frequency (Highest to Lowest): Research Question 3

| Theme | Participants | Interviews | Artifacts | Total |
|---------------------------------------|--------------|------------|-----------|-------|
| Benefits (in general) | | | | |
| 9. Benefit–Morale/Retention | 6 | 16 | 0 | 22 |
| 10. Benefit–Productivity | 5 | 10 | 0 | 15 |
| 11. Benefit–Positive relationships | 4 | 10 | 0 | 14 |
| Benefits (greatest & why) | | | | |
| 12. Greatest benefit–Morale/Retention | 6 | 20 | 0 | 26 |

To summarize, all of the participants described morale/retention as a benefit in negotiating HPWP. It is important to note that for Themes 9 and 12 in Table 13, the individual benefits of morale and retention are combined as one morale/retention benefit because the study participants considered them inextricably intertwined, using the terms in combination when answering the research question. Furthermore, 83%, or five of six, of participants described productivity (individual and organizational) as a benefit in negotiating HPWP. Finally, 67%, or four of six, of participants described positive relationships as a benefit in negotiating HPWP. In answering the question, which of the previously identified benefits that would be considered the greatest benefit, all of the study participants indicated morale/retention would be the greatest benefit in negotiating HPWP. As previously stated, this information regarding participant experiences concerning the benefits in negotiating HPWP was gathered from the third interview

question. A qualitative data analysis for the themes in answering the third research question with participant experiences is outlined in the following sections.

Theme 9: Benefit–Morale/retention. The research question for this study asked how management lead negotiators describe the benefits when negotiating CBA HPWP. Analysis of the data collected resulted in the emergence of the most frequent theme for Research Question 3: the benefit of morale/retention. All participants expressed that morale/retention was a benefit when negotiating HPWP in their CBAs. This theme was evidenced from six face-to-face interviews and artifact reviews with a frequency of 22 (Table 14).

Table 14

Theme 9: Benefit–Morale/Retention—Participants, Sources, and Frequency

| Theme | Participants | Interviews | Artifacts | Total |
|-----------------------------|--------------|------------|-----------|-------|
| 9. Benefit–Morale/Retention | 6 | 16 | 0 | 22 |

All management lead negotiators described morale/retention as a benefit in negotiating HPWP. A recurring sentiment of all six of the participants was concisely captured in a comment by Participant 1:

I think HPWP is a broad concept, but there are ways to explain ... that it can be beneficial to labor ... Right? That ultimately [HPWP results in] a higher morale and achieving workforce ... creating a lot better working conditions [in the organization] that boosts retention.

In other words, a benefit in negotiating HPWP is higher morale and retention (of the workforce).

Participant 2 linked morale and retention as a benefit of negotiating HPWP:

I would say, yeah, if you're if you consider that high-performance work practices, [such as] good solid foundation of recruitment standards can certainly create productive workforce [with] satisfaction and morale and keep people that would have a positive impact on our loss rate [retention].

Participant 2 gave an example of an HPWP benefit (recruitment practices) that positively impacts morale/retention.

Participant 3 equated negotiating HPWP with a focus on workforce well-being, resulting in the benefit of higher morale/retention:

Well, the benefit for me anyways, when you incorporate [negotiate HPWP] that is you have a workforce that is ... happy to be there, obviously... and for me, the most one of the most important [aspects] is retention ... where you have people that want to come to work.

For participant 3, HPWP equated with workforce well-being (high morale) and retention as a benefit of negotiating HPWP.

Participant 4 described negotiating HPWP as a morale/retention benefit by making employees feel valued and more in control of their work:

[Employees] they need to feel valued. Well, these [HPWP] these practices help make them feel valued, they need to have good morale, these practices help with good morale and retention ... a sense of control over your environment ... a sense of actually making a difference, is actually a more powerful incentive [than pay alone], and HPWP ... allow you to do that.

Participant 4 stated morale/retention is a benefit of HPWP by making employees feel valued and having more of a sense of control over their work environment.

Participant 5 described succinctly that morale/retention are a direct benefit of negotiating HPWP:

Negotiating HPWP can break the never-ending cycle of trying to hire people and retain people. ... HPWP can help make people happy [morale] and help retention ... yeah, that's, I mean, it's the whole basis of high performance work practices [HPWP]. They might cost a little bit, but the benefits far outweigh the costs ... yeah, you can become an employer of choice and it's like, some of the things like even telework, right?

Participant 5 described morale/retention as a benefit of negotiating HPWP that helps an organization become an employer of choice.

Participant 6 outlined a range of HPWP that, if negotiated, would benefit morale/retention:

When you're talking about [negotiating HPWP such as] performance evaluations, and you're talking about teleworking or alternate work schedules, those things I think can help as a reward as well for people to say you're really valued employee and because you're really valued you have higher morale and retention ... for example I know that working at home 1 day week is going to really help you ... you can be more productive, you can have that quiet time so it's a I hate to use the win-win, but it truly can be a benefit to both parties involved that increases morale and retention ... you enhance your benefit as an employer.

Participant 6 stated morale/retention is a benefit of negotiating HPWP by enhancing the organizations benefits and attractiveness as an employer.

Theme 10: Benefit–Productivity. The research question for this study asked how management lead negotiators describe the benefits when negotiating CBA HPWP. Analysis of the data collected resulted in the emergence of the second most frequent theme for Research Question 3: the productivity. Five of the six participants expressed that productivity was a benefit when negotiating HPWP in their CBAs. This theme was evidenced from six face-to-face interviews and artifact reviews with a frequency of 15 (Table 15).

Table 15

Theme 10: Benefit–Productivity—Participants, Sources, and Frequency

| Theme | Participants | Interviews | Artifacts | Total |
|--------------------------|--------------|------------|-----------|-------|
| 10. Benefit–Productivity | 5 | 10 | 0 | 15 |

Eighty-three percent of management lead negotiators described productivity as a benefit in negotiating HPWP. A recurring sentiment of five of the six participants was captured in a comment by Participant 1: “In my view, creates an environment that incentivizes everyone to perform ... is going to produce more, even when potentially even when they don’t have to ... they have ownership of the success of the organization.” In other words, a benefit in negotiating HPWP is increased individual and organizational productivity.

Participant 2 named productivity as a benefit of negotiating HPWP: “A good, equitable, fair set of HPWP would go a long way towards ... productivity ... I think productivity.” Participant 2 succinctly stated that productivity in general is a benefit of negotiating HPWP.

Participant 3 aligned negotiating HPWP with reduced absenteeism resulting in the benefit of increased productivity: “Negotiating HPWP [can] reduce absenteeism ... and increase productivity by not having to backfill absent employees.” For participant 3, negotiating HPWP reduced absenteeism thereby providing the benefit of increased productivity.

Participant 4 described negotiating HPWP as a productivity benefit by improving performance:

I think clearly, the benefit [of negotiating HPWP] is that it improves excellence of performance in the job [productivity] ... it allows people to do better with whatever resources we have, because it incentivizes an individual to look within themselves, to find the ethical core of why they're in this job in the first place, and it allows them to do what they want to do well. You know, there, there is no if you look at the employees who populate our workforce, they are in no way shape or form inferior to those in the private sector. They are in many cases far more brilliant and far more passionate and far more caring, and so the, you know a good set of HPWP will actually allow a person to shine [be more productive] to become the giver to the community that they want to be.

Participant 4 stated that productivity is a benefit of HPWP by helping employees to shine and give incentives to be productive.

Participant 5 described productivity as a benefit of negotiating HPWP:

Yeah, that's, I mean, it's the whole basis of high performance work practices ... they might cost a little bit, but the benefits far outweigh the costs [through] the

productivity increases ... people proved that they could do their job from home [telework] and be productive.

Participant 5 described productivity as a benefit of negotiating HPWP through employment options such as telework.

Theme 11: Benefit–Positive relationships. The research question for this study asked how management lead negotiators describe the benefits when negotiating CBA HPWP. Analysis of the data collected resulted in the emergence of the third most frequent theme for Research Question 3: the benefit of positive relationships. All participants expressed that positive relationships were a benefit when negotiating HPWP in their CBAs. This theme was evidenced from six face-to-face interviews and artifact reviews with a frequency of 14 (Table 16).

Table 16

Theme 11: Benefit–Positive Relationships—Participants, Sources, and Frequency

| Theme | Participants | Interviews | Artifacts | Total |
|------------------------------------|--------------|------------|-----------|-------|
| 11. Benefit–Positive relationships | 4 | 10 | 0 | 14 |

Sixty-seven percent of management lead negotiators described positive relationships as a benefit in negotiating HPWP. A recurring sentiment of four of the six participants was captured in a comment by Participant 2:

“[Negotiating HPWP] would frankly, get us a point where we can address with their concerns ... maybe and we may not be on the same page by eye on every issue that comes with that ... typically my experience has been the labor organization is going to ... come with their priorities and if both sides can reach a

compromise that is acceptable and see it progress in a positive direction which improves relationships and reduces after the fact grievances also.

In other words, a benefit in negotiating HPWP is improved relationships and reduced grievances.

Participant 3 named improved relationships as a benefit of negotiating HPWP:

I think that's probably the number one is when you start collaborating [when negotiating HPWP] with you know these individuals ... you develop trust you build you develop a partnership, and it and hopefully mitigates any adversarial [tendencies] ... creates a climate to resolve [issues] at the lowest level that we can which reduces formal grievances.

Participant 3, like Participant 2, tied improved relationships to reduced grievances as a benefit of negotiating HPWP.

Participant 5 aligned negotiating HPWP with the combined benefit of improved relationships that resulted in an overall improved work climate:

Including [negotiating] those types of thoughts and ideas [HPWP] ... so this is what you can do to you know, these are free things that you can do that will help ... make a better relationship climate and less grievance. I don't know how to even phrase this but the vision of the organization, right, and how management can kind of projects positive [by negotiating HPWP] that I think is a huge culture [improvement].

Participant 5 aligned the benefit of positive relationships through negotiating HPWP with improvements in organizational culture.

Participant 6, like Participants 2 and 3, described the benefit of negotiating HPWP as improving relationships resulting in fewer grievances:

I guess [by negotiating HPWP] the idea that both parties have come up with something they can live with ... [results in] improved relationships [also] results in fewer grievances formal or informal ... and I think that [while negotiating HPWP] communication can help ... you can have a deeper understanding and a better working relationship.

Participant 6 described improved relationships and fewer grievances as a benefit of negotiating HPWP.

Theme 12: Greatest benefit–Morale/retention. The research question for this study asked how management lead negotiators describe the benefits in negotiating CBA HPWP and to further describe which of the benefits mentioned were considered the greatest benefit and why. Analysis of the data collected resulted in the emergence of the most frequent theme (greatest & why) for Research Question 3: the greatest benefit of morale/retention (and why the participants considered morale/retention the greatest benefit). All of the study participants expressed that morale/retention was the greatest benefit of negotiating HPWP in their CBAs. This theme was evidenced from six face-to-face interviews and artifact reviews with a frequency of 25 (Table 17).

Table 17

Theme 12: Greatest Benefit–Morale/Retention—Participants, Sources, and Frequency

| Theme | Participants | Interviews | Artifacts | Total |
|---------------------------------------|--------------|------------|-----------|-------|
| 12. Greatest benefit–Morale/Retention | 6 | 19 | 0 | 25 |

All management lead negotiators described morale/retention as a greatest benefit in negotiating HPWP. A recurring sentiment of all six of the participants was outlined in the opening comments by Participant 1:

Negotiating HPWP can be beneficial to labor as well. Right? That ultimately [results in] a higher morale and achieving workforce. ... Frankly, creates a lot better working conditions ... [and a] workforce to have a strong morale is going to produce more, even when potentially even when they don't have to eat, they have ownership of the success of the organization. And they are happy to be there [retain employees]. I don't I don't think you can underestimate morale.

Participant 1 considered morale/retention to be the greatest benefit of negotiating HPWP such that it cannot be underestimated.

Participant 2 quickly identified morale/retention as a greatest benefit of negotiating HPWP:

I would say, yeah, if you're if you consider that high-performance work practices, [such as] equitable work practices and good solid foundation of recruitment standards can certainly create [a] productive workforce [with] satisfaction and morale and keep [retain] people that would have a positive impact on our loss rate [positive impact on attrition].

Participant 2 described morale/retention as a greatest benefit of negotiating HPWP.

Participant 3 described morale/retention as a greatest benefit in negotiating HPWP by focusing on workforce well-being:

Well, the benefit for me anyways, when you incorporate [negotiate HPWP] that is you have a workforce that is ... happy to be there [high morale/retain employees],

obviously ... and for me, the most one of the most important [aspects] is retention ... where you have people that want to come to work [high morale].

For participant 3, negotiating HPWP results in creating high morale and high retention rates making morale/retention a greatest benefit of negotiating HPWP.

Participant 4 described morale/retention as a greatest benefit in negotiating HPWP by making employees feel valued and more in control of their work:

[Employees] they need to feel valued. Well, these [HPWP] these practices help make them feel valued, they need to have good morale [to be retained], these practices help with [create] good morale and retention ... a sense of control over your environment ... a sense of actually making a difference, is actually a more powerful incentive [than pay alone] and negotiating HPWP ... allow you to do that.

Participant 4 stated morale/retention is a greatest benefit in negotiating HPWP by helping to make employees feel valued and have more of a sense of control over their work environment.

Participant 5 described morale/retention as a greatest benefit of negotiating HPWP in terms of cost/benefit:

Negotiating HPWP can break the never-ending cycle of trying to hire people and retain people. ... HPWP can help make people happy [high morale] and help retention [reduce attrition] ... yeah, that's, I mean, it's the whole basis of high performance work practices [HPWP]. They might cost a little bit but the benefits far outweigh the costs ... yeah, you can become an employer of choice and it's

like, some of the things like even telework [which costs nothing but increases morale], right?

Participant 5 described morale/retention as a greatest benefit of negotiating HPWP that helps an organization become an employer of choice.

Participant 6 outlined a range of HPWP that would benefit morale/retention:

When you're talking about [negotiating HPWP such as] performance evaluations, and you're talking about teleworking or alternate work schedules, those things I think can help as a reward as well for people to say you're really valued employee and because you're really valued you have higher morale and retention ... for example I know that working at home 1 day week is going to really help you ... you can be more productive, you can have that quiet time so it's a I hate to use the win-win, but it truly can be a benefit to both parties involved that increases morale and retention ... you enhance your benefit as an employer.

Participant 6 stated morale/retention is a greatest benefit of negotiating HPWP by enhancing the organizations benefits and attractiveness as an employer.

Data Analysis for Research Question 4

Research Question 4 for this study asked, "How do management lead negotiators describe the strategies used to mitigate challenges when negotiating CBA HPWP?" The data analysis discusses what strategies were used by the participants in an effort to mitigate challenges when negotiating HPWP.

Strategies. This section displays the qualitative data elements that were coded into themes from the six participant interviews. The data presented were collected from one of six interview questions. The interview question asked what strategies were used

in an effort to mitigate challenges when negotiating HPWP. The following subsections outline the responses to Research Question 4. Table 18 shows the theme and frequency counts.

Table 18

Themes, Participants, Sources, and Frequency (Highest to Lowest): Research Question 4

| Theme | Participants | Interviews | Artifacts | Total |
|---|--------------|------------|-----------|-------|
| 13. Strategy–Building trust | 6 | 22 | 0 | 28 |
| 14. Strategy–Clarifying positions | 6 | 12 | 0 | 18 |
| 15. Strategy–Finding mutual gains | 5 | 10 | 0 | 15 |
| 16. Strategy–Using subject matter experts | 4 | 7 | 0 | 11 |

To summarize, all of the participants described the themes of building trust and clarifying positions as strategies to mitigate challenges in negotiating HPWP.

Furthermore, 83%, or five of six, of participants described finding mutual gains as a strategy to mitigate challenges in negotiating HPWP. Finally, 67%, or four of six, of participants described using subject matter experts (SMEs) as a strategy to mitigate challenges in negotiating HPWP. As previously stated, this information regarding participant experiences concerning the strategies used to mitigate challenges when negotiating HPWP was gathered from the fourth interview question. A qualitative data analysis for the themes in answering the fourth research question with participant experiences is outlined in the following sections.

Theme 13: Strategy–Building trust. The research question for this study asked how management lead negotiators describe the strategies they used to mitigate challenges when negotiating CBA HPWP. Analysis of the data collected resulted in the emergence

of the most frequent theme for Research Question 4: the strategy of building trust. All participants expressed that building trust was a strategy used to mitigate challenges when negotiating HPWP in their CBAs. This theme was evidenced from six face-to-face interviews and artifact reviews with a frequency of 28 (Table 19).

Table 19

Theme 13: Strategy–Building Trust—Participants, Sources, and Frequency

| Theme | Participants | Interviews | Artifacts | Total |
|-----------------------------|--------------|------------|-----------|-------|
| 13. Strategy–Building trust | 6 | 22 | 0 | 28 |

All management lead negotiators described building trust as a strategy to mitigate challenges in negotiating HPWP. Participant 1 identified building trust as a strategy in mitigating challenges in negotiating HPWP by focusing on open and honest communications:

I think probably the most challenging part is getting trust and buy ... yeah, that's interesting. ... One [way to build trust] is a sidebar [off the record conversation to open communication and build trust] some time when the conversation across the table is really close, but we're not quite there. I think it's important. The leaders at that table whoever is identified on either side, be able to step outside, not have the record issue, and have a very frank [open/honest communication] conversation about each party's interest and maybe express a little bit of emotion and you know, maybe some heat right. ... Sometimes it means pausing and maybe taking a break from that meeting, and rescheduling to a later date providing the union with a bit more information [to build trust] so that things become clearer. I think it's very important on the management side. Also, I'm

sure I'm quoting on the union side as well. To listen to listen very carefully [communication builds trust] because ... there are smart people on both sides of the table. Nobody should have to prove that they're the smartest person there and sometimes listening really carefully [communication] to acknowledge the positions and to build trust.

In other words, a good strategy for mitigating challenges in negotiating HPWP is building trust through open and honest communications both on and off the record.

Participant 2 described building trust as an important strategy to mitigate challenges in negotiating HPWP by focusing on consistency and honesty before, during, and after HPWP negotiations:

I think [we must] build trust; I think you got to have you got to have good rapport. Good trust, to be is honest, and forthright in negotiations ... be upfront and, transparent and, build good trust. I also think that you need to not have individuals, particularly on the union side, that have agendas. So that was something that I saw where you had like one or two members of an association that had an individual agenda, and so they got themselves on the bargaining team, so they could push their one agenda and then the rest of the bargaining team, you know, didn't they didn't really agree with what this one individual is was saying or doing, you know, so that's, you know, that's an important factor [to overcome agendas to build trust]. I think [building trust before/during/after negotiations] that just comes down to your management style you know you try to you try to, to be open as open as possible in terms of your management style and leadership style. And, and set that tone [of building trust] ... and, and then if, if that's how, I

feel like if that's how you're perceived as a manager, then when you're when, when you're in the collective bargaining session, you know, that's going to shine through, they're going to know hey, [the management negotiator] is a pretty straight shooter. [The management negotiator] is not going to blow any smoke up your butt and, and just try to keep the same, you know, the same attitude in negotiation ... and, you know, acknowledge [the union's] concerns and let's see what we can let's see what we can do to sort them out. ... I always tried to build that trust over time between contract negotiations. ... If that were enhanced, it would be easier to negotiate high performance work practices, and would it be easier to include things in the contract it would be maybe no cost but beneficial to both management and employees.

Participant 2 described building trust as an important strategy in mitigating challenges in negotiating HPWP by working on it before, during, and after negotiations and having it be an ongoing process.

Participant 3 described building trust as an important strategy to mitigate challenges in negotiating HPWP by focusing on partnerships and trust over time:

I do it between [between contract negotiation sessions], I do in between because I like to nip things before they become an issue because I don't like waiting till the end when things potential are adversarial. It's like an issue comes up or I need to work with the union and get them involved. I pick up the phone. You know I? I provide that as part of my management style, leadership style. It's like, hey, let's talk about things. Let's resolve it at the lowest at the lowest org or the lowest level that we can, as a strategy for increasing trust. ... I think that's probably the

number one is when you start collaborating with you know these individuals or when you get to that position, you do you develop trust, you build you develop a partnership with so then when you do come to the table, it and hopefully mitigates any adversarial [issues], you know, situation because you've already built that level of trust and partnership. I tried to develop a partnership with our you know, our labor negotiator negotiators. In this case, you know, outside of formal contract negotiations between contracts.

Participant 3 described building trust as an important strategy in mitigating challenges in negotiating HPWP by building partnerships outside of contract negotiations, and that building trust is a constant process.

Participant 4 succinctly described building trust as an important strategy to mitigate challenges in negotiating HPWP by avoiding bad faith bargaining, agendas, and ulterior motives in bargaining HPWP:

[When] you already know what it's [a position] is going to be, you know going in that you're going to end up having to offer what the others around you are offering, and shouldn't be negotiating in bad faith [by offering something that cannot be offered]. ... So, to me, those ulterior motives to look like you're victorious ... contaminate [harm trust]. What could otherwise be a far more positive negotiation experience ... both sides have to trust that the end product is justified ... and I think that that's hard, unless you have a trusting relationship that really requires a good trusting relationship between labor leaders, and county leaders.

Participant 4 described building trust as an important strategy in mitigating challenges in negotiating HPWP by seeking to avoid bad faith bargaining, agendas, and ulterior motives that harm trust.

Participant 5 concisely described building trust as an important strategy to mitigate challenges in negotiating HPWP by having trusted negotiators at the bargaining table and being transparent:

We've had a labor relations manager that the union loved and so the end they had so much trust in that person ... that made negotiations go a lot smoother ... because they [the union] felt like they have that trust [in that negotiator]. ... And then I would say another strategy is to be as transparent as possible to build trust, and to know what you're talking about [because] the other side is like, just jumping down their throat because they're like, what are you talking about? Right, and so then their trust [was harmed]. So ... having trusted negotiators, being transparent, I think is huge. And then knowing and being knowledgeable of exactly what you're receiving I think is very important.

Participant 5 described building trust as an important strategy in mitigating challenges in negotiating HPWP by having trusted, knowledgeable negotiators, and transparency during negotiations.

Participant 6 quickly described building trust as an important strategy to mitigate challenges in negotiating HPWP by focusing on taking the time to establish trusted relationships:

Well, you know ... it's important to having some time to establish [myself] in an organization and develop a [trusted relationship] ... but I do think trying to

establish a relationship of trust with the other party right out the get go is [very] important. That doesn't mean that you know, they [the union] always will, and I recognize that, you know, at the at the table, there's other dynamics, [but] like you could have a really reasonable relationship with the representative.

Participant 6 described building trust as an important strategy in mitigating challenges in negotiating HPWP by taking time to establish trusted relationships.

Theme 14: Strategy–Clarifying positions. The research question for this study asked how management lead negotiators describe the strategies they used to mitigate challenges when negotiating CBA HPWP. Analysis of the data collected resulted in the emergence of the second most frequent theme for Research Question 4: the strategy of clarifying positions. All participants expressed that clarifying positions was a strategy used to mitigate challenges when negotiating HPWP in their CBAs. This theme was evidenced from six face-to-face interviews and artifact reviews with a frequency of 18 (Table 20).

Table 20

Theme 14: Strategy–Clarifying Positions—Participants, Sources, and Frequency

| Theme | Participants | Interviews | Artifacts | Total |
|-----------------------------------|--------------|------------|-----------|-------|
| 14. Strategy–Clarifying positions | 6 | 12 | 0 | 18 |

All management lead negotiators described clarifying positions as a strategy to mitigate challenges in negotiating HPWP. Participant 1 identified clarifying positions as a strategy in mitigating challenges in negotiating HPWP by focusing opportunities to clarify positions on and off the record:

I think it's important to have side-bar conversations [off the record discussions to clarify positions]. The leaders at that table whoever is identified on either side, be able to step outside, not have the record issue, and have a very frank conversation about each party's interest and maybe express a little bit of emotion and you know, maybe some heat right.

In other words, a good strategy for mitigating challenges in negotiating HPWP is to find opportunities to clarify positions both on and off the record.

Participant 2 described clarifying positions as an important strategy to mitigate challenges in negotiating HPWP by giving and receiving clear directions (positions) at the bargaining table: "It is important to give/receive clear directions and not say one thing at the table and another outside the table [side bar conversations] I think ... [be] forthright [clear] in negotiations ... be upfront." Participant 2 described clarifying positions as a strategy in mitigating challenges in negotiating HPWP by giving and receiving clear directions (positions) at all times.

Participant 3 described clarifying positions as an important strategy to mitigate challenges in negotiating HPWP by clear directions (positions) and explanations: "[It] would be helpful to ... [provide] clearer directions ... What are we, what's our bottom line? ... it's very beneficial for us to be able to explain [our positions] ... I found when I did provide explanation they [the union] understood." Participant 3 described clarifying positions as a strategy in mitigating challenges in negotiating HPWP by giving clear directions (positions), and explanations.

Participant 4 briefly described clarifying positions as an important strategy to mitigate challenges in negotiating HPWP by giving clear up-front positions:

It, it is very easy to look at those other counties and see what the prevailing COLA is going to be, you know, some kind of range, very broadly it's going to be between two and 5%. Now, in a recessionary cycle, 5%. In a boom cycle, usually settles at three or 4% per year. You already know that, because history has proven that that's what it's going to be, you know going in that you're going to end up having to offer what the others around you are offering. ... So why in the world do you start with an offer of a half a percent ... [it's best] to clarify positions up front ... [rather than engage in] a stupid black box dance that both sides willingly engage in, knowing full well that they will waste months fruitlessly.

Participant 4 described clarifying positions as a strategy in mitigating challenges in negotiating HPWP by clarifying positions up front rather than engage in fruitless negotiations.

Participant 5 briefly described clarifying positions as an important strategy to mitigate challenges in negotiating HPWP by giving clear up-front positions:

So definitely [clarify positions] by using your resources and asking questions before you get done [stop negotiations] ... affirmed [positions clarified] as everything kind of went a little bit smoother ... seek clarify with, you know, a member of the union or a steward and saying, hey, this is what's going on. Like, what's your perspective?

Participant 5 described clarifying positions as a strategy in mitigating challenges in negotiating HPWP by asking questions and clarifying positions with union chief negotiators.

Participant 6 briefly described clarifying positions as an important strategy to mitigate challenges in negotiating HPWP by having off the record discussions:

To clarify positions ... I have off the record discussions. I have discussions with the representative ... just to have a conversation to say, look, this is this is where I think you guys need to get to, this is where I think I can get to [clarify positions].

Participant 6 described clarifying positions as a strategy in mitigating challenges in negotiating HPWP by off the record discussions.

Theme 15: Strategy–Finding mutual gains. The research question for this study asked how management lead negotiators describe the strategies they used to mitigate challenges when negotiating CBA HPWP. Analysis of the data collected resulted in the emergence of the third most frequent theme for Research Question 4: the strategy of finding mutual gains. Five of the six participants expressed that finding mutual gains was a strategy used to mitigate challenges when negotiating HPWP in their CBAs. This theme was evidenced from six face-to-face interviews and artifact reviews with a frequency of 15 (Table 21).

Table 21

Theme 15: Strategy–Finding Mutual Gains—Participants, Sources, and Frequency

| Theme | Participants | Interviews | Artifacts | Total |
|-------------------------------------|--------------|------------|-----------|-------|
| 15. Strategy – Finding Mutual Gains | 5 | 10 | 0 | 15 |

Five of the six management lead negotiators described finding mutual gains as a strategy to mitigate challenges in negotiating HPWP. Participant 2 identified finding mutual gains as a strategy in mitigating challenges in negotiating HPWP by focusing on win-wins: “It’s sometimes difficult to find win-wins. But anytime that you can find a

win-win ... I think that's beneficial. So yeah, I think that that's a huge goal." In other words, a good strategy for mitigating challenges in negotiating HPWP is to focus on finding mutual gains.

Participant 3 described finding mutual gains as an important strategy to mitigate challenges in negotiating HPWP by striving for more collaboration:

We felt more the approach that we dealt more with was trying to be collaborative where each party would come to the table and present their wishes ... it should be more collaborative [rather than adversarial] ... [find] the top 10 asks of the parties ... and be more collaborative and discuss the [gains] rather than just [be] adversarial.

Participant 3 described finding mutual gains as a strategy in mitigating challenges in negotiating HPWP through more opportunities for collaboration.

Participant 4 described finding mutual gains as an important strategy to mitigate challenges in negotiating HPWP by finding benefits for both sides:

Finding benefits for both sides works but they come with a risk to management; management has to give more autonomous control to decision making at all levels that it may otherwise be comfortable with, and it comes with a risk to the union, because it has to swap out simple pay for a better working environment, you know, both sides have to trust that the end product justifies what they are giving up at the bargaining table.

Participant 4 described finding mutual gains as a strategy in mitigating challenges in negotiating HPWP through more opportunities for collaboration.

Participant 5 described finding mutual gains as an important strategy to mitigate challenges in negotiating HPWP by integrative or interest-based bargaining (IBB):

What would have been more or less beneficial at the table or I definitely think integrative bargaining or IBB would be more beneficial [in finding mutual gains] ... but I think there are some issues that would be more adversarial because you just see totally different sides of the coin, right? But that doesn't mean that you can't still have that more integrative style because you can go to them and say, I completely do not understand the perspective that you're coming from. And this makes zero sense to me. I need you to explain it to me and I don't see what you see so, help me see it [so we can maybe find mutual gains].

Participant 5 described finding mutual gains as a strategy in mitigating challenges in negotiating HPWP through IBB.

Participant 6 described finding mutual gains as an important strategy to mitigate challenges in negotiating HPWP by using IBB after IBB training:

I've done the traditional bargaining and I've done interest-based bargaining and I've not had a tremendous amount of success with IBB without training, oddly enough, but there just were a bunch of other factors at play like trust and leadership support for IBB. When it [IBB] works, it works well. I think you can take elements of IBB where you can explain your position and when you are asking questions, and you're trying to understand okay, what really is the issue? What is causing this, tell me your story and you have that desire to understand. ... With regard to IBB that can be difficult or not always work [without training] at it

takes a longer relationship time before you actually sat down and have a longer training time for IBB.

Participant 6 described finding mutual gains as a strategy to mitigate challenges in negotiating HPWP through IBB after sufficient IBB training.

Theme 16: Strategy–Using subject matter experts. The research question for this study asked how management lead negotiators describe the strategies they used to mitigate challenges when negotiating CBA HPWP. Analysis of the data collected resulted in the emergence of the fourth most frequent theme for Research Question 4: the strategy of using SMEs. Four of the six participants expressed that using SMEs was a strategy to mitigate challenges when negotiating HPWP in their CBAs. This theme was evidenced from six face-to-face interviews and artifact reviews with a frequency of 12 (Table 22).

Table 22

Theme 16: Strategy–Using Subject Matter Experts—Participants, Sources, and Frequency

| Theme | Participants | Interviews | Artifacts | Total |
|---|--------------|------------|-----------|-------|
| 16. Strategy–Using subject matter experts | 4 | 8 | 0 | 12 |

Four of the six management lead negotiators described using SMEs as a strategy to mitigate challenges in negotiating HPWP. Participant 1 identified using SMEs as a strategy in mitigating challenges in negotiating HPWP by using SMEs to explain the benefits of HPWP: “[HPWP] can be a tough concept. But there are ways to explain [by using] experts to explain the benefits from the beginning, that it can be beneficial to [both management] and labor as well.” In other words, a good strategy for mitigating challenges in negotiating HPWP is to use SMEs to explain the benefits of HPWP.

Participant 3 described using SMEs as an important strategy to mitigate challenges in negotiating HPWP to explain technical positions: “We use experts and experienced people when discussing [technical/data driven positions such as] work schedules and costs and trends for example.” Participant 3 described using SMEs as a strategy in mitigating challenges in negotiating HPWP to better explain technical concepts and positions.

Participant 4 described using SMEs as an important strategy to mitigate challenges in negotiating HPWP to leverage internal organizational expertise to explain concepts and positions: “Using experts and comparisons with private sector health organizations, which is so big that it has a union most private sectors ... and can speak to health care processes for example.” Participant 4 described using SMEs as a strategy in mitigating challenges in negotiating HPWP by providing external comparative information.

Participant 6 described using SMEs as an important strategy to mitigate challenges in negotiating HPWP to leverage internal organizational expertise:

I think using and kind of leveraging the subject matter experts in your organization. It's not uncommon to bring in other people to talk about a money situation if that's the issue, but just trying to explain it [without SMEs] is difficult. ... I have done this many times.

Participant 6 described using SMEs as a strategy in mitigating challenges in negotiating HPWP by leveraging internal organizational expertise to explain difficult concepts and positions.

Summary

Chapter IV provided a recap of the purpose statement, research questions, methodology, data collection, population, and sample. Chapter IV included a detailed analysis of the findings gained from artifact data and six participant interviews. This study was designed to identify and describe the HPWP county government management lead negotiators who negotiated in the CBA, to describe the challenges and benefits of negotiating HPWP in the CBA, and to describe the strategies used to mitigate challenges when negotiating HPWP in the CBA. Sixteen themes surfaced from the interview questions and artifact data that identify and describe management lead negotiators who negotiated HPWP and HPWP negotiation challenges, benefits, and strategies to mitigate challenges (Table 23).

Chapter V contains an overall summary of the research study. This summary provides major findings supported by the themes in Table 23. Chapter V also contains unexpected findings, along with study conclusions. Chapter V ends with my recommendations for action, suggestions for further research, and final remarks and reflections.

Table 23

Themes, Participants, Sources, and Frequency (Highest to Lowest): Summary

| Theme | Participants | Interviews | Artifacts | Total |
|---|--------------|------------|-----------|-------|
| Research Question 1 | | | | |
| 1. Work schedules HPWP | 6 | 8 | 6 | 20 |
| 2. Recruitment/Selection HPWP | 4 | 7 | 6 | 17 |
| Research Question 2 | | | | |
| Challenges (general) | | | | |
| 3. Challenge–Trust | 6 | 17 | 0 | 23 |
| 4. Challenge–Politics | 6 | 14 | 0 | 20 |
| 5. Challenge–Transparency | 5 | 13 | 0 | 18 |
| 6. Challenge–Equity | 4 | 5 | 6 | 15 |
| Challenges (major & why) | | | | |
| 7. Major challenge–Trust | 6 | 20 | 0 | 26 |
| 8. Major challenge–Politics | 6 | 16 | 0 | 22 |
| Research Question 3 | | | | |
| Benefits (in general) | | | | |
| 9. Benefit–Morale/Retention | 6 | 16 | 0 | 22 |
| 10. Benefit–Productivity | 5 | 10 | 0 | 15 |
| 11. Benefit–Positive relationships | 4 | 10 | 0 | 14 |
| Benefits (greatest & why) | | | | |
| 12. Greatest benefit–Morale/Retention | 6 | 20 | 0 | 26 |
| Research Question 4 | | | | |
| 13. Strategy–Building trust | 6 | 22 | 0 | 28 |
| 14. Strategy–Clarifying positions | 6 | 12 | 0 | 18 |
| 15. Strategy–Finding mutual gains | 5 | 10 | 0 | 15 |
| 16. Strategy–Using subject matter experts | 4 | 8 | 0 | 12 |

CHAPTER V: FINDINGS, CONCLUSIONS, AND RECOMMENDATIONS

The final chapter of this research study contains findings, conclusions, and recommendations. After a brief review of the study methodology, key findings and unexpected findings are discussed, followed by conclusions extrapolated from those findings. Furthermore, implications for action suggest strategies that can be used when local county governments engage in collective bargaining concerning high-performance work practices (HPWP). In addition, Chapter V recommends areas for future research that will add to the body of knowledge concerning the influence of collective bargaining on HPWP. Finally, Chapter V concludes with my reflections.

Methodology Review

A qualitative multicase study was used to identify and describe county government management lead negotiators' experiences and strategies while negotiating collective bargaining agreements (CBA) about HPWP. The methodology was designed to answer the following research questions:

1. How do management lead negotiators identify and describe the HPWP they have negotiated in their CBA?
2. How do management lead negotiators describe the challenges when negotiating CBA HPWP?
3. How do management lead negotiators describe the benefits when negotiating CBA HPWP?
4. How do management lead negotiators describe the strategies used to mitigate challenges when negotiating CBA HPWP?

A qualitative multicase study as described by Creswell and Creswell (2018), Patton (2015), and Yin (2018) was used for exploring county government management lead negotiators' experiences and strategies while negotiating CBAs about HPWP that systematically increase employee commitment to achieving organizational strategic goals (B. E. Becker et al., 2009). I conducted in-depth interviews with six management lead negotiators with extensive experience in negotiating county government labor agreements. The six qualitative face-to-face interviews were conducted and recorded virtually using the Zoom virtual meeting platform with the research participant's permission. I recorded and securely stored the study data.

The population of this study was all California county government organizations that engage in collective bargaining with county government unions. Because of the size of the population, I narrowed the population to one of nine northern California counties. The initial target population consisted of nine management lead negotiators who negotiated nonmanagement CBAs in the selected county. During the course of this study, three of the initially identified study participants became unavailable to participate; therefore, six of the nine study participants were interviewed.

Key Findings

To establish key findings for this study exploring a county government management lead negotiator's experiences and strategies while negotiating CBAs about HPWP, the qualitative data sets were compiled, analyzed, and aligned into themes. The qualitative data consisted of data from six virtual face-to-face, in-depth interviews with artifact review. Within the body of the collected qualitative data, I established that only

data having 12 or more occurrences with at least four of six participants in the collected responses were considered a theme.

Key Finding 1: Very Few Negotiated Collective Bargaining Agreements High-Performance Work Practices

The first major finding of the study is that there are very few HPWP successfully negotiated in county government CBAs.

Although beneficial for the employee and organization, HPWP are notably absent in the CBAs examined during this study. As discussed in Chapter II, HPWP are employment practices that increase employee satisfaction and commitment to achieving organizational strategic goals (B. E. Becker et al., 2009). Although lacking in this study's CBAs, there are several potentially positive examples of CBA HPWP, which include, but are not limited to, work schedules, discipline, employee accountability, awards, recognition, compensation, benefits, performance management, education, and training.

Of the 10 or more potential CBA HPWP negotiation opportunities, only two were identified and described by the participants in this study. Participants referred to the work schedules CBA article and the recruiting and retention CBA article repeatedly as HPWP in interviews that were validated by a high frequency count of 20 in Theme 1 and a frequency count of 17 in Theme 2, supported by CBA artifact data. All six participants described the negotiated work schedules article as one HPWP, and four of the six participants described the recruitment and selection article as a second HPWP. A recurring sentiment of all six participants was concisely captured in a comment by Participant 6: "We negotiated nine alternate work schedules, and telework agreements. ...

Having a greater flexibility of an alternate work schedule and the potential for telework is a HPWP and retention tool.” In other words, participants indicated that negotiating alternative work schedules that are HPWP contributes to quality of work–life and retention.

A recurring sentiment among four participants was concisely captured in a comment by Participant 4: “What it’s [recruitment and selection process] doing is it’s allowing us to bring high-quality people into the into the work environment, so that makes it one of the high-performance work practices is a differentiated recruitment and selection procedure.” In other words, negotiating recruitment and selection processes that result in the best possible candidate are HPWP.

Although there were only two HPWP identified by the participants in this study, management lead negotiators can promote many other HPWP to increase employee satisfaction and individual and organizational productivity. Therefore, a management lead negotiator’s emphasis on negotiating CBA HPWP is critical to achieving the individual and organizational productivity goals necessary to deliver critical county government public services.

Key Finding 2: Trust is a Major Challenge

The second major finding of the study is that lack of trust is a major challenge in negotiating CBA HPWP.

Participant interviews indicated that trust is largely absent, elusive, and easily damaged, making trust a major challenge in negotiating CBA HPWP. This key finding follows a general pattern of distrustful interactions throughout the history of labor–management relations as expressed in Chapter II. For example, from the first efforts at

restricting labor organizations through the failed Taft-Hartley Act of 1947 to an era of worker protection law expansions in the 1960s and 1970s (Cascio, 2016), attempts at trust and labor and management collaboration have been elusive. These negative attitudes perpetuated a distrustful labor and management organizational climate characterized by low trust, low morale, animosity, and low productivity.

Participants referred to trust repeatedly (with a high degree of emotion) as a major challenge in interviews that were validated in Themes 3, 5, and 7 and best illustrated by a high frequency count of 26 in Theme 7. All management lead negotiators described trust as a major challenge in negotiating HPWP. A recurring sentiment of all six of the participants was outlined in the opening comments by Participant 1:

Trust and transparency both are potential challenges [however], the biggest problem in our negotiating is trust. New managers and new HR leadership [can] and all of a sudden change the rules ... and new expectations are set ... when folks don't understand the expectation, and there's that change, it can seem arbitrary or can be perceived as being arbitrary ... when that happens, I'm [as the chief negotiator am] no longer trusted [or trust is damaged].

Participant 2 stated,

So typically, the biggest challenge is trust, you know, typically that's actually that's a common theme ... they may not trust HR ... and ... the board (board of supervisors) had a tendency to give different messages to management and the union which caused negotiating problems ... so, the biggest the biggest challenge was trust.

Participant 3 indicated,

I think each party thinks that the other party is not being honest and truthful which harmed trust between the negotiating parties. I think what's lacking is [honesty and truthfulness] in explaining things [positions]. ... Those are two basic fundamentals ... that's what I noticed, is like we didn't we didn't do very well, at least from a management standpoint of explaining why we couldn't do something or why we could do something ... everything was so secretive ... oh yeah, I think the number one challenge is trust.

In addition, Participant 4 believed there was presumption of disagreement and lack of trust:

As I have witnessed and heard about negotiations with other unions, there is an underlying presumption that we are, are starting from disagreement and lack of trust, and will end up disagreeing, and the best that we can achieve is some compromise due to lack of trust ... [due to underlying assumptions].

Participant 5 described the human resources (HR) director and/or the HR labor relations manager as influencing whether or not trust became a major challenge in negotiating HPWP:

Like we've had a labor relations manager that the union loved and so the end they had so much trust in that person. That made negotiations go a lot smoother ... because they [the union] felt like they have that trust. However, most often, the union did not trust HR [either the HR director or labor relations manager or both] and it made negotiations difficult.

Therefore, lack of and/or damaged trust is a major challenge in negotiating CBA HPWP. A collaborative trust relationship is an essential element of successful integrative or interest-based collective bargaining to negotiate and implement CBA HPWP.

Key Finding 3: Building Trust is an Overriding Strategy

The third major finding of the study, which extends the second key finding, is that building trust is an overriding strategy for overcoming challenges in negotiating CBA HPWP.

As a compliment to Key Finding 2, Key Finding 3 is refreshing in that all the participants agree building and maintaining trust is essential and foundational to successfully negotiating CBA HPWP. To review, trust is composed of many positive subelements such as integrity, straight talk, loyalty, respect, accountability, and results (Covey, 2006). Shaw (1997) stated, “Trust, however, is not absolute faith” (p. 21). Where absolute faith is belief beyond influence, the concept of trust is more fragile and is a belief in those whom people depend on to meet their commitments and their expectations (Shaw, 1997). To put it succinctly, this fragile trust dynamic means trust can easily be broken through negative leader behaviors, such as lack of integrity, lack of honesty and transparency, and not honoring commitments.

Participants referred to building trust repeatedly (with great emphasis) in the interviews as a top strategy for overcoming challenges in negotiating CBA HPWP that were validated in Themes 13, 14, and 16 and best illustrated by a high frequency count of 28 in Theme 13. All six management lead negotiators described building trust as a top strategy to mitigate challenges in negotiating HPWP. Participant 1 identified building

trust as a strategy in mitigating challenges in negotiating HPWP by focusing on open and honest communications:

I think probably the most challenging part is getting trust ... One [way to build trust] is a sidebar [off the record conversation to open communication and build trust] ... The leaders at that table whoever is identified on either side, be able to step outside, not have the record issue, and have a very frank [open/honest communication] conversation about each party's interest ... and maybe taking a break from that meeting, and rescheduling to a later date providing the union with a bit more information [to build trust] so that things become clearer. I think it's very important on the management side. Also, I'm sure I'm quoting on the union side as well. To listen to listen very carefully [communication builds trust] ... and sometimes listening really carefully [communication] to acknowledge the positions and to build trust.

Participant 2 stated,

I think [we must] build trust; I think you got to have you got to have good rapport. Good trust, to be is honest, and forthright in negotiations ... be upfront and, transparent and, build good trust. I also think that you need to not have individuals ... that have agendas ... that's an important factor to overcome agendas to build trust ... [building trust before/during/after negotiations] be open as open as possible in terms of your management style and leadership style. And, and set that tone [of building trust] ... then when you're when, when you're in the collective bargaining session, hey, [the management negotiator] is a pretty straight shooter ... acknowledge [the union's] concerns and let's see what we can let's see

what we can do to sort them out. ... I always tried to build that trust over time between contract negotiations. ... If that were enhanced, it would be easier to negotiate high performance work practices, and would it be easier to include things in the contract, it would be maybe no cost but beneficial to both management and employees.

Participant 3 indicated,

I do it between [between contract negotiation sessions] I do in between because I like to nip things before they become an issue because I don't like waiting till the end when things potential are adversarial. It's like an issue comes up or I need to work with the union and get them involved. I pick up the phone ... Let's resolve it at the lowest at the lowest org or the lowest level that we can, as a strategy for increasing trust ... I think that's probably the number one [trust] is when you start collaborating ... you do you develop trust you ... develop a partnership [with the union] so then when you do come to the table, it and hopefully mitigates any adversarial [issues] ... because you've already built that level of trust and partnership. I tried to develop a partnership with our you know, our labor [union] ... outside of formal contract negotiations between contracts.

Participant 4 succinctly described building trust as an important strategy to mitigate challenges in negotiating HPWP by avoiding bad faith bargaining, agendas, and ulterior motives in bargaining HPWP:

[When] you already know what it's [a position] is going to be, you know going in that you're going to end up having to offer what the others around you are offering, and shouldn't be negotiating in bad faith [by offering something that

cannot be offered]. ... So, to me, those ulterior motives to look like you're victorious [which] contaminates [harms trust]. What could otherwise be a far more positive negotiation experience ... both sides have to trust that the end product is justified. ... and I think that that's hard, unless you have a trusting relationship that really requires a good trusting relationship between labor leaders, and county leaders.

Participant 5 concisely described building trust as an important strategy to mitigate challenges in negotiating HPWP by having trusted negotiators at the bargaining table and being transparent:

We've had a labor relations manager that the union loved and so the end they had so much trust in that person ... that made negotiations go a lot smoother ... because they [the union] felt like they have that trust [in that negotiator]. ... And then I would say another strategy is to be as transparent as possible to build trust, and to know what you're talking about [because] the other side is like, just jumping down their throat because they're like, what are you talking about? Right and so then trust [was harmed]. So ... having trusted negotiators, being transparent, I think is huge. And then knowing and being knowledgeable of exactly what you're receiving I think is very important.

In addition, Participant 6 quickly described building trust as an important strategy to mitigate challenges in negotiating HPWP by focusing on taking the time to establish trusted relationships.:

Well, you know ... it's important to having some time to establish [myself] in an organization and develop a [trusted relationship] ... but I do think trying to

establish a relationship of trust with the other party right out the get go is [very] important ... like you could have a really reasonable relationship with the representative.

As explained in Key Finding Number 2, management's ability to create a collaborative collective bargaining negotiating environment through trust is more likely to succeed at integrative bargaining, which ultimately leads to improvements in labor and management relationships and organizational productivity. In essence, a key strategy to mitigate challenges when negotiating CBA HPWP is establishing and maintaining a trust relationship that facilitates collaborative labor–management relationships. Therefore, building a collaborative trust relationship between management and the union is a constant process and an essential element of successfully negotiating CBA HPWP.

Key Finding 4: Morale/Retention is the Greatest Benefit

The fourth major finding of the study is that morale/retention is the greatest benefit of negotiating CBA HPWP.

To understand the positive impact of HPWP with regard to morale (and retention), it is important to review the concept of HPWP in the context of human capital theory. HPWP, such as work schedules, awards and recognition, performance management, and education and training, increase employee satisfaction and commitment to achieving organizational strategic goals. G. S. Becker's (1993) human capital theory explains individuals' decisions to invest in human capital (i.e., education and training) and the pattern of individuals' lifetime earnings. HPWP, such as education and training, is an investment in human capital that results in significant gains in individual and

organizational productivity by increasing employee motivation, commitment, morale, and retention.

To summarize, all of the participants described morale/retention as a greatest benefit in negotiating HPWP in interviews that were validated in Themes 9, 10, and 12 and best illustrated by a high frequency count of 26 in Theme 12. It is important to again note that for Themes 9 and 12, the individual benefits of morale and retention are combined as one morale/retention benefit because the study participants considered them inextricably intertwined, using the terms in combination when answering the research question. A recurring sentiment of all six of the participants was outlined in the opening comments by Participant 1:

Negotiating HPWP can be beneficial to labor as well. Right? That ultimately [results in] a higher morale and achieving workforce. ... Frankly, [HPWP] creates a lot better working conditions ... [and a] workforce to have a strong morale is going to produce more, even when potentially even when they don't have to eat, they have ownership of the success of the organization. And they are happy to be there [retain employees]. I don't I don't think you can underestimate morale [and retention].

Participant 2 stated,

I would say, yeah, if you're if you consider that high performance work practices, [such as] equitable work practices and good solid foundation of recruitment standards can certainly create [a] productive workforce [with] satisfaction and morale and keep [retain] people that would have a positive impact on our loss rate [positive impact on attrition].

Participant 3 described morale/retention as a greatest benefit in negotiating HPWP by focusing on workforce well-being:

Well, the benefit for me anyways, when you incorporate [negotiate HPWP] that is you have a workforce that is ... happy to be there [high morale/retain employees], obviously ... and for me, the most one of the most important [aspects] is retention ... where you have people that want to come to work [high morale].

In addition, Participant 4 described morale/retention as a greatest benefit in negotiating HPWP by making employees feel valued and more in control of their work:

[Employees] they need to feel valued. Well, these [HPWP] these practices help make them feel valued, they need to have good morale [to be retained], these practices help with [create] good morale and retention ... a sense of control over your environment ... a sense of actually making a difference, is actually a more powerful incentive [than pay alone] and negotiating HPWP ... allow you to do that.

Participant 5 described morale/retention as a greatest benefit of negotiating HPWP in terms of cost/benefit:

Negotiating HPWP can break the never-ending cycle of trying to hire people and retain people ... HPWP can help make people happy [high morale] and help retention [reduce attrition] ... yeah, that's, I mean, it's the whole basis of high performance work practices [HPWP]. They might cost a little bit but the benefits far outweigh the costs ... yeah, you can become an employer of choice and it's like, some of the things like even telework [which costs nothing but increases morale], right?

Participant 6 continued Participant 5's theme and outlined a range of HPWP that would benefit morale/retention:

When you're talking about [negotiating HPWP such as] performance evaluations, and you're talking about teleworking or alternate work schedules, those things I think can help as a reward as well for people to say you're really valued employee and because you're really valued you have higher morale and retention. ... I hate to use the win-win, but it truly can be a benefit to both parties involved that increases morale and retention ... you enhance your benefit as an employer.

Therefore, a major benefit of CBA HPWP is increased workforce morale, retention (reduced attrition costs), and productivity. HPWP that emphasize the value of the organization's human capital result in multiple benefits to the employees and to the organization, the greatest of which is morale/retention.

Unexpected Findings

Upon analysis and review of the qualitative interview and artifact data, two unexpected findings emerged from the study.

Unexpected Finding 1: Politics Pose a Major Challenge

The first unexpected finding was that organizational politics pose a major challenge in negotiating CBA HPWP.

Although I had extensive experience in labor negotiations and was rarely, if ever, impacted by political influences, it was surprising and unexpected to observe the degree in which politics impacts county government labor negotiations. A county government union is a political organization of county government employees formed for the purpose of advancing its members' interests and equitable treatment with respect to wages,

benefits, working conditions, and so forth (Carrell & Heavrin, 2012). As evidenced by participant interviews, county government union leaders often use politics to ensure their survival and advance member interests. Union lead negotiators often view HPWP as a threat to the union and its members' survival and thereby use politics to further their own agendas.

In interviews, participants referred to politics repeatedly (with great emphasis) as a major challenge in negotiating CBA HPWP that were validated in Themes 4, 7, and 8 and best illustrated by a high frequency count of 22 in Theme 8. All management lead negotiators described politics as a major challenge in negotiating HPWP. Participant 1 tied politics to trust when negotiating HPWP:

Some leaders play politics and tell the union what they want to hear and tell us to hold the line which hurts trust ... from the HR director or from CAO [county administrative officer] or the board of supervisors [BOS] ... I don't want to deal with a position of having to backtrack [because HR or CAO or BOS told the union something].

Participant 2 expressed frustrations (colorfully with expletives) with politics as a major challenge primarily because of changing directions from the board of supervisors (BOS) when negotiating HPWP and stated it was "driven by the board of supervisors politics. The board had a tendency to give different messages to management and the union ... which caused negotiating problems."

Participant 3 described politics as a major challenge affecting information sharing (transparency) in negotiating HPWP:

The board of supervisors sometimes gives the union a different message and we don't [always] know what the board is approving or what authority the board is allowing us to have that that that actually added to the theme of transparency [lack of] and the secretive nature of well, I've heard it from both about the board of supervisors and the CAOs office ... kind of knit things in growing into be a big mess, when it doesn't have to be.

Participant 4 reiterated that politics was a major challenge in negotiating HWPW due to the political pressures from members of the BOS, and the County Administrator's Office (CAO): "One problem is politics on the BOS with mixed messages to the union ... the board [does not always] give the same message to the union and [we as] negotiators, which is a problem."

Participant 5 expressed frustration with politics as a major challenge when negotiating HPWP, which caused her to eventually leave the county during this study:

Um, I think the biggest challenge was actually getting the BOS and the CAO to politically agree to some of the ideas that we [management negotiators] had okay ... we would have these [HPWP] ideas that would help [benefit the county and employees] but we would get shut down.

Participant 6 expressed the actions of governing bodies for causing politics to become a major challenge in negotiating HPWP:

I think, you know, the some of the biggest problems at the table ... are the political influences ... you've got boards [board of supervisors] ... when the unions are successfully able to work politics into the process, then I think that's where things really kind of go south because you have a board that is there giving

you direction as a group, they're giving you direction, but they say [different] things to the union.

Therefore, politics and political influences are a major challenge for management lead negotiators in negotiating CBA HPWP.

Unexpected Finding 2: Finding Mutual Gains is a Strategy

The second unexpected finding was the participants identifying the finding of mutual gains as a desired strategy for mitigating challenges in negotiating CBA HPWP.

Based on the labor–management relationships expressed during participant interviews, it was surprising and unexpected to hear participants express a desire to engage in finding mutual gains when negotiating CBA HPWP. Participant negotiating experiences to date have mainly focused on adversarial bargaining. In contrast to distributive (adversarial) bargaining, using an integrative or interest-based bargaining (IBB) approach that focuses on mutual gains can improve relationships and positive outcomes in negotiating CBA HPWP. Integrative bargaining relies on a climate of collaboration and trust relationships between the negotiating parties (Hargrove, 2010).

In interviews, participants referred to finding mutual gains frequently as a major strategy to mitigate challenges in negotiating CBA HPWP that were validated in Themes 15 and 16 and best illustrated by a high frequency count of 15 in Theme 15. Five of the six management lead negotiators described finding mutual gains as a strategy to mitigate challenges in negotiating HPWP. Participant 2 indicated, “It’s sometimes difficult to find win-wins. But anytime that you can find a win-win ... I think that’s beneficial. So yeah, I think that that’s a huge goal.” Participant 3 stated,

We felt more the approach that we dealt more with was trying to be collaborative where each party would come to the table and present their wishes ... it should be more collaborative [rather than adversarial] ... be more collaborative and discuss the [gains] rather than just [be] adversarial.

Participant 4 indicated,

Finding benefits for both sides works but they come with a risk to management; management has to give more autonomous control to decision making at all levels that it may otherwise be comfortable with, and it comes with a risk to the union, because it has to swap out simple pay for a better working environment, you know, both sides have to trust that the end product justifies what they are giving up at the bargaining table.

Participant 5 indicated, “What would have been ... beneficial at the table or I definitely think integrative bargaining or IBB would be more beneficial [in finding mutual gains].”

Participant 6 described her experience:

I’ve done the traditional bargaining and I’ve done interest-based bargaining and I’ve not had a tremendous amount of success with IBB without training ... when it [IBB] works, it works ... it takes a longer relationship time before you actually sat down and have a longer training time for IBB.

Although IBB can work very well, it was unexpected to find participants suggesting mutual gains (integrative/IBB) bargaining as a strategy to mitigate difficulties in negotiating CBA HPWP. A review of participant interview and artifact data indicates little to no attempts to conduct mutual gains, integrative bargaining, and IBB for CBA HPWP and the majority of negotiating being distributive or adversarial. Therefore,

seeking more positive labor–management relationships and finding mutual gains through IBB (with sufficient training) is a good strategy for mitigating challenges in negotiating CBA HPWP.

Conclusions

A combination of the four key findings and two unexpected findings resulted in five conclusions based on six county government management lead negotiator’s experiences with collective bargaining in the area of negotiating HPWP. The five conclusions are supported by qualitative data and literature evidence.

Conclusion 1: Collective Bargaining Agreements High Performance Work Practices Are Seldom Used in Practice

Based on Key Finding 1, as supported by the literature and frequency data, it is concluded that management lead negotiators recognize both the lack of CBA HPWP and the need to negotiate HPWP in county government CBAs.

The following evidence supports this conclusion:

1. Participants struggled to identify CBA HPWP, ultimately referring to two CBA HPWP, which were work schedules and recruiting and retention in interviews that were validated by a high frequency count of 20 in Theme 1 and a high frequency count of 17 in Theme 2. In addition, artifact data listed only two HPWP in each of the six CBAs supporting the participant interviews.
2. Participants also mentioned that several additional CBA HPWP could be cost neutral. Participants indicated these additional CBA HPWP should be attempted during contract negotiations.

Conclusion 2: Trust is Foundational for Successfully Negotiating Collective Bargaining Agreements High Performance Work Practices

Based on Key Findings 2 and 3, as supported by the literature and frequency data, it is concluded that management lead negotiators recognize that building trust is a key essential strategy for successfully negotiating CBA HPWP. In addition, management lead negotiators realize they must recognize the fragility of trust relationships and make every effort to build, maintain, and model trust and avoid behaviors that harm trust.

Management's ability to create a collaborative collective bargaining negotiating environment through trust sets the stage for successful CBA HPWP bargaining, ultimately leading to improvements in relationships and productivity. Building a collaborative trust relationship between management and the union is a constant process and an essential element of successfully negotiating CBA HPWP.

The following evidence supports this conclusion:

1. Participants referred to trust repeatedly as a major challenge in negotiating CBA HPWP with a high frequency count of 22 in Theme 3 and a high frequency count of 26 in Theme 7. The difficulty in establishing and maintaining trust was a common participant experience.
2. Participants particularly mentioned the difficulties in establishing and maintaining trust because of mixed messaging and changing positions and lack of transparency in management ranks above the level of management lead negotiators. This negative dynamic caused an erosion of trust and difficulty in negotiating CBA HPWP.

3. Participants referred to building trust as an overriding strategy in negotiating CBA HPWP in Themes 9, 13, 14, and 16 and a high frequency count of 28 in Theme 13. Participants additionally expressed that when trust was achieved, negotiations were more successful and grievances outside of contract negotiations were reduced.
4. Participants emotionally expressed that building trust should happen before, during, and after CBA HPWP negotiations. In addition, participants stated that additional strategies such as transparency, honesty, clarifying positions, challenging hidden agendas, and finding mutual gains (integrative/interest-based bargaining) are complementary components of building trust.

Conclusion 3: Collective Bargaining Agreements High Performance Work Practices Boosts Morale and Retention

Based on Key Finding 4, as supported by the literature and frequency data, it is concluded that management lead negotiators recognize that the greatest benefit in successfully negotiating CBA HPWP is workforce morale and retention. Management lead negotiators considered morale and retention inextricably intertwined as the greatest benefit of CBA HPWP.

HPWP, such as work schedules, awards, recognition, and education and training, increase employee satisfaction via investments in the human capital component of the organization. These morale-enhancing investments in HPWP increase employee commitment, motivation, and retention and pay large productivity dividends (Huselid et al., 2005; Posthuma et al., 2013). CBA HPWP that emphasize the value of the

organization's human capital result in multiple benefits to employees and the organization, the greatest of which is morale and retention.

The following evidence supports this conclusion:

1. Participants referred to morale and retention repeatedly as a greatest benefit in negotiating CBA HPWP with a high frequency count of 22 in Theme 9 and a high frequency count of 26 in Theme 12. Intertwining and equating morale with retention was a common participant experience.
2. Participants expressly mentioned the additional flexibilities negotiated in the CBA HPWP work schedules articles as contributing to employee morale and thereby retention. Participants indicated that, although in many instances work schedule flexibilities were not consistently applied (depending on the manager), employees evidenced increased satisfaction and retention when work schedule flexibilities allowed for a better work–life balance.

Conclusion 4: Politics Will Undermine Efforts to Negotiate CBA HPWP

Based on Unexpected Finding 1, as supported by the literature and frequency data, it is concluded that management lead negotiators recognize that organizational politics pose a major challenge in negotiating county government CBA HPWP. In addition, participants frustratingly expressed that trust and relationships are harmed by elected and appointed leaders and directors who send mixed messages by telling the union what they want to hear for political support and then asking management lead negotiators to hold the line harming the ability to negotiate CBA HPWP.

As evidenced by participant interviews, county government union leaders often use politics to ensure their survival and advance member interests. This dynamic is due

to the fact that union leaders often view HPWP and other management initiatives as a threat to union survival and their members security and equality (Carrell & Heavrin, 2012). This dynamic of top organizational leaders communicating mixed messages because of union political influence creates major challenges for management lead negotiators in negotiating CBA HPWP.

The following evidence supports this conclusion:

1. Participants referred to politics as a major challenge in negotiating CBA HPWP in Themes 4 and 8, with a high frequency count of 22 in Theme 8. Participants additionally expressed the mixed messaging from top organizational leaders because of union political pressure caused an erosion of trust through a perceived lack of transparency, lack of clarity, and potential dishonesty on the part of management lead negotiators.
2. Several participants emotionally expressed extreme frustrations with the politics of the organization, which often severely harmed management lead negotiators' ability to successfully negotiate CBA HPWP. As a result of the organizational politics (among other) and the frustrations affecting union contract negotiations during the course of this study, three of the six participants either found or sought employment outside of the organization.

Conclusion 5: Creating Mutual Gains is a Desired Collective Bargaining

Agreements High Performance Work Practices Negotiation Strategy

Based on Unexpected Finding 2, as supported by the literature and frequency data, it is concluded that management lead negotiators identified the finding of mutual gains as a strategy for mitigating challenges in negotiating county government CBA

HPWP. In addition, participants expressed, with a degree of optimism, the potential for mutual gains through the use of integrative or IBB in negotiating CBA HPWP.

Although integrative or IBB can work very well, a review of participant experiences and artifact data indicate little to no attempts to seek mutual gains through integrative or IBB for CBA HPWP with the majority of negotiating sessions being conducted as distributive or adversarial. However, despite a lack of IBB to date, participants expressed a desire to increase trust, transparency, and collaboration and continue to seek mutual gains through IBB as a strategy for mitigating challenges in negotiating CBA HPWP. IBB relies on this climate of collaboration and trust relationships between the negotiating parties (Hargrove, 2010).

The following evidence supports this conclusion:

1. Participants referred to seeking mutual gains through integrative or IBB as a strategy to mitigate challenges in negotiating CBA HPWP in Themes 15 and 16, with a high frequency count of 15 in Theme 15. In addition, participants expressed that finding mutual gains or win-wins could improve the overall labor-management relationship and increase the chance of successfully negotiating CBA HPWP.
2. Despite the fact that participants expressed failure when attempting to engage in IBB, they also expressed the desire to continue trying to find mutual gains when negotiating CBA HPWP. Four of the six participants alluded to several causal factors, including strained relationships and lack of sufficient IBB training, to explain failure when attempting to find mutual gains through IBB.

Implications for Action

Implication for Action 1: Make Negotiating Collective Bargaining Agreements High Performance Work Practices a Priority

Based on the conclusion that management lead negotiators recognize both the lack of CBA HPWP and the need to negotiate county government CBA HPWP, it is recommended that management lead negotiators place a high priority on negotiating CBA HPWP, which includes first understanding the positive HPWP impact on the human capital (employee) component of the organization. It is also essential that management lead negotiators prioritize negotiating, not just one or two but multiple CBA HPWP concurrently, to maximize the positive impact.

Both the literature and the study data show that county government management lead negotiators should promote multiple HPWP to stimulate individual and organizational productivity (B. E. Becker et al., 2009). These HPWP may include meaningful, differentiated selection; evaluation; promotion; incentive; and employee training and development strategies, which lead to individual and organizational productivity and increase employee satisfaction (B. E. Becker et al., 2009). Management lead negotiators must study and understand that a government entity's human capital is just as important as its other capital assets, such as buildings, equipment, machinery, and so forth. Concurrently, management lead negotiators must understand that, according to G. S. Becker's (1993) human capital theory, investments in HPWP, such as employee training and development, pay large individual and organizational productivity dividends (see also Kessler & Lulfesmann, 2006).

Management lead negotiators in a collective bargaining environment face continual divergent relative levels of importance for certain primary bargaining topics (Carrell & Heavrin, 2012). Although there may be reluctance, or fear of negotiating CBA HPWP, the positive impact of human capital investment initiatives such as HPWP is wholly dependent upon the management lead negotiator's ability to effectively negotiate CBA HPWP.

Therefore, to effectively advocate for and negotiate CBA HPWP, management lead negotiators must study, understand, and communicate the HPWP positive impacts on the human capital component of organizational productivity. In addition, because of the potential for divergent topics of negotiation, management lead negotiators must place a high priority on negotiating multiple CBA HPWP and tirelessly advocating for HPWP outside of CBA negotiations.

Implication for Action 2: Model Trust as a Core Tenet in Negotiating Collective Bargaining Agreements High Performance Work Practices

Based on the conclusion that management lead negotiators recognize that establishing and maintaining trust relationships with union representatives is essential for successfully negotiating CBA HPWP, it is recommended that management lead negotiators place a high degree of emphasis on understanding the leadership elements of trust and modeling those elements as a core leadership tenet when negotiating CBA HPWP. In addition, it is recommended that management lead negotiators place a primary holistic focus on building trust with union lead negotiators during the entire CBA contract cycle, both inside and outside of CBA HPWP negotiations. Finally, management lead negotiators should educate, advocate, and model trust attributes for all

leaders during labor–management interactions as a best practice for county government management representatives to emulate.

Management lead negotiators must take the time to train in, understand, and create a collaborative collective bargaining environment through trust to set the stage for successful CBA HPWP bargaining, ultimately leading to improvements in relationships, employee morale, and individual and organizational productivity. Trust is composed of many positive subelements, such as integrity, straight talk, loyalty, respect, accountability, and results (Covey, 2006). Shaw (1997) stated, “Trust, however, is not absolute faith” (p. 21). When absolute faith is the belief beyond influence, the concept of trust is more fragile and is a belief in those whom people depend on to meet their commitments and their expectations (Shaw, 1997). Gaining an understanding of trust elements and understanding the fragile trust dynamic (whereby trust can easily be broken through negative leader behaviors, such as lack of integrity, clarity, and transparency, and by not honoring commitments) will allow management lead negotiators to develop and maintain a culture and climate of trust.

Management lead negotiators must also understand that building a collaborative trust relationship between management and the union is a constant process and an integral element of successfully negotiating CBA HPWP. Creating a culture of trust is a primary requirement for successfully using an integrative or IBB mutual gains collective bargaining negotiation methodology for implementing productivity improvements such as HPWP (Kim et al., 2015).

Therefore, management lead negotiators must model and advocate for positive trust attributes, creating a culture of trust to successfully negotiate CBA HPWP. These

modeled trust attributes of honesty, integrity, respect, clarity, transparency, straight talk, and honoring commitments must be authentically practiced during the entire contract or CBA cycle. In addition, it is the duty of management lead negotiators to model, teach, and challenge other county managers to build trust during labor–management interactions. This constant focus on building trust as a core tenet of leadership for labor–management relations will ensure CBA HPWP negotiation success.

Implication for Action 3: Promote Workforce Morale/Retention Through Collective Bargaining Agreements High Performance Work Practices

Based on the conclusion that that management lead negotiators recognize that the greatest benefit in successfully negotiating CBA HPWP is workforce morale/retention, it is recommended that management lead negotiators understand, analyze, and publish the positive cost and benefit equation of negotiating CBA HPWP.

Once again, human capital theory provides context to understand the positive impact of HPWP regarding morale and retention. HPWP are employment practices, such as work schedules, recognition, and education and training, that systematically increase employee satisfaction and commitment to achieving organizational strategic goals (B. E. Becker et al., 2009). Employees are highly motivated by developmental opportunities (G. S. Becker, 1993). Investment in these and other CBA HPWP by the organization can result in quantifiable increases in employee morale and retention and reductions in attrition rates.

Research has indicated that these employee morale and satisfaction-enhancing investments in HPWP increase employee commitment, motivation, and retention (reduced attrition) and pay large productivity dividends (Huselid et al., 2005; Posthuma et

al., 2013). CBA HPWP that emphasize the value of the organization's human capital result in multiple benefits to employees and the organization, the greatest of which is morale and retention.

Therefore, a management lead negotiator's understanding, analysis, and publication of the CBA HPWP's positive cost-benefit equation will engender organizational support for reducing attrition while boosting employee morale and retention. The research study data have confirmed that negotiating a quantifiable low-cost or cost-neutral CBA HPWP such as work schedule flexibilities result in large gains in employee morale and corresponding reductions in absenteeism and attrition, which are quantifiably much more costly than HPWP to the organization in terms of backfilling and hiring, training, and seasoning new employees.

Implication for Action 4: Challenge Political Agendas When Negotiating Collective Bargaining Agreements High Performance Work Practices

Based on the conclusion that management lead negotiators recognize organizational politics can pose a major challenge in negotiating CBA HPWP, it is recommended that management lead negotiators practice the leadership attributes of moral courage and political intelligence by firmly challenging political agendas. Management lead negotiators must challenge political agendas by reminding political leaders of the negative impact of mixed messaging (taking one position with the union and a different position with management) and insist on clarity and consistency of messaging from county government political leaders when negotiating CBA HPWP.

County government elected and appointed leaders and directors often send mixed messages by telling the union what they want to hear for political support, especially

during county government election cycles, and then asking management lead negotiators to hold the line during CBA negotiations. These mixed messages and positional waffling do irreparable harm to management lead negotiators' ability to negotiate CBA HPWP.

A county government union is an organization of county government employees formed for the purpose of advancing its members' interests and equitable treatment with respect to wages, benefits, working conditions, and so forth (Carrell & Heavrin, 2012), and county government union leaders often use politics to ensure their survival and advance member interests. Union lead negotiators use political influence to affect CBA negotiations because they often view HPWP and other management initiatives as a threat to their union members' security (Carrell & Heavrin, 2012). This political influence dynamic often results in mixed messages coming from top organizational leaders seeking union leader support, ultimately creating major challenges for management lead negotiators in negotiating CBA HPWP.

Therefore, it is incumbent upon management lead negotiators to practice political intelligence and moral courage in challenging political agendas by clearly communicating the need for clarity and consistency of messaging from elected and appointed county political leaders when negotiating CBA HPWP. In addition, management lead negotiators should educate political leaders on the detrimental effects of inconsistent, unclear, mixed messaging, which includes eroding trust through perceived dishonesty and lack of transparency and clarity and ultimately harming management lead negotiators' ability to find mutual gains and successfully negotiate CBA HPWP.

Implication for Action 5: Use Integrative Bargaining When Negotiating Collective Bargaining Agreements High Performance Work Practices

Based on the conclusion that management lead negotiators highlighted finding mutual gains as a strategy for mitigating challenges in negotiating CBA HPWP, it is recommended that management lead negotiators learn IBB techniques, practice during joint IBB labor and management training sessions, and set the stage for using integrative or IBB in negotiating CBA HPWP.

According to Walton and McKersie's (1965) negotiations theory, integrative bargaining is the second system of activities that increase the joint gain available to the negotiating parties by exploring and acting upon the parties' common interests. However, to date, the bulk of management leader negotiation experiences are largely conducted via Walton and McKersie's first system of activities, which is distributive or adversarial bargaining where there are losers and winners with little regard for mutual gain.

In contrast to distributive or adversarial bargaining methodology, taking an integrative approach to collective bargaining, also known as principled or IBB, that explores common interests in an effort to improve relationships and overall productivity relies on a climate of collaboration and trust relationships between the negotiating parties (Hargrove, 2010). Taking an integrative, IBB, or mutual gains approach to labor negotiations requires a significant, albeit rewarding, time commitment on behalf of both labor and management. IBB training and practice sessions should be conducted jointly well before actual CBA HPWP negotiations using outside consultants to develop a deep understanding of the concept of IBB mutual gains, exposing and eliminating hidden

agendas, and deepening the relationship and trust between labor and management lead negotiators.

Therefore, to complement and build upon Implications for Action 2 and 3, management lead negotiators can further their efforts to create a climate of collaboration, trust, and high morale and retention by taking the time to train in and select integrative or IBB as the preferred methodology not only in negotiating CBA HPWP but also in day-to-day labor–management issue resolutions. By their very nature, HPWP provide mutual gain benefits to both employees and the organization. By using IBB to highlight these mutual gains, management lead negotiators can further enhance a collaborative organizational climate that is responsive to successfully negotiating CBA HPWP.

Recommendations for Future Research

This study adds significant findings and conclusions to the literature regarding the influence of collective bargaining on HPWP. Although this study was a snapshot of a county government management lead negotiator’s experiences with CBA in the area of negotiating HPWP, it has the potential for future researchers to explore collective bargaining in the area of HPWP from perspectives beyond county government management lead negotiators as well as presenting opportunities for further research on additional methodologies for conducting CBA HPWP negotiations. Based on the data from the study, the following are recommendations for future research:

1. Replicate this study to expand the findings of the six participants to search for further trends.
2. This study design used a multiple case study, which gathered qualitative data from the experiences and perspectives of county government management lead

negotiators. Conduct a future mixed methods, multiple-case study that includes qualitative and quantitative data from both management and union lead negotiators to add data breadth and depth and further support study validity.

3. This study's primary focus was on county government organizations in the Bay Area of northern California. By expanding this study to additional populations, it would potentially add validity and strength to this study's conclusions and implications. Additional populations to consider would be state and county government organizations outside of California, city government organizations, federal government organizations, and unionized private industry.
4. Conduct a qualitative case study examining the factors that engender trust in the labor-management relationship when negotiating CBA HPWP and how that trust dynamic can be nurtured, or damaged, during the course of collective bargaining contract cycles.
5. Conduct a qualitative and quantitative mixed-case study examining the influence of HPWP on motivation, satisfaction, morale, and retention from both human capital and organizational perspectives. The quantitative portion of this recommended study could include employee and leader survey data and empirical HPWP cost/benefit data.
6. Conduct a qualitative study exploring leaders' successes and failures in setting the stage for and using an integrative or IBB methodology when negotiating CBAs. This study could be further extrapolated to identify which topics were most conducive to IBB and why.

Concluding Remarks and Reflections

I close this multiple-case study with a few concluding remarks and reflections from my dissertation journey. As a long-time student, observer, practitioner, and teacher of labor and employee relations, embarking on this journey gave me the exciting opportunity to explore an emerging area of interest: exploring the influence of county government collective bargaining on HPWP. Despite the challenges I faced with multiple cancer surgeries, heart surgeries, and challenging treatments, the support of my spouse, mentor, dissertation committee, cohort, family, friends, and university staff gave me the motivation and strength to complete my dissertation journey.

Although I have always been a life-long learner, this dissertation journey has allowed me to study a topic of interest at a deeper level than my prior learning experiences and gave me confidence that my work will advance the body of knowledge for labor relations and collective bargaining in the area of HPWP. While there were many times I felt too tired to continue, my support group pulled me through. Again, I owe a huge debt of gratitude to my wonderful spouse, mentor, family, friends, professors, and colleagues who made my dream of completing this dissertation a reality.

Because I have been a labor and employee relations mediator, practitioner, negotiator, and instructor for over 30 years, I kept an open mind as I embarked on my doctoral journey. However, I was unsure whether I would learn anything new during the dissertation process; I could not have been more wrong. The level of thinking required for dissertation research has expanded my consciousness more than I ever thought possible. From researching to writing, each chapter of my dissertation journey presented me with new opportunities to deeply think and analyze labor and employee relations

dynamics on a level heretofore unknown to me. As a 28-year retired military officer and commander, I felt I had a pretty good grasp on understanding people, the root cause of problems, and how to craft solutions. However, once again, this dissertation journey has given me new, deeper lenses from which I view relationships, opportunities, problems, and solutions and allowed me to develop a deep appreciation for the dissertation research process.

Despite some apprehension and slight fear of organizational backlash, the final participants selected for this study were forthright, honest, and passionate about their answers and dedication to wanting to do the right thing for the employee and the organization. These management lead negotiators sometimes faced impossible odds, including adversarial bargaining climates, adverse organizational climates, and undue political pressures but nevertheless chose to serve on the county government negotiating team. They were driven by a common desire to negotiate the best contract for the employees and the organization with the goal of providing critical public services to the population they serve despite increasingly austere funding.

The simple fact that HPWP benefit both the employee and the organization and have a positive cost/benefit ratio, intuitively indicates that negotiating HPWP in a CBA should be relatively easy. This could not be further from the truth. Negotiating CBA HPWP requires a deep understanding of the labor–management climate and dynamics of trust and mutual gains (to name a few), human capital theory, negotiations theory, and the political influence on negotiations, well before any attempts are made at negotiating CBA HPWP.

Although research to date has indicated it can be difficult to negotiate county government CBA HPWP, I am optimistic this study will create new opportunities for successfully negotiating CBA HPWP because it is the right thing to do for the employee, the organization, and the population they serve. I conclude my final thoughts with two of my favorite quotes. The first quote, highlighted in my introduction is from Harry S. Truman: “A pessimist is one who makes difficulties of his opportunities, and an optimist is one who makes opportunities of his difficulties.” The second quote is from my hero Abraham Lincoln as stated in his 1860 Cooper Union speech: “Let us have faith that right makes might, and in that faith, let us, to the end, dare to do our duty as we understand it.” Seize the opportunity ... negotiating county government CBA HPWP is the right thing to do!

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APPENDICES

APPENDIX A

Purpose, Research Questions, and Interview Question Alignment

| Purpose | RQ | Interview Questions (#) <i>(not in specific script sequence #)</i> |
|---|---|--|
| | | <p style="text-align: center;">Warm Up</p> <p>We are going to study high performance work practices (HPWP) negotiated in your collective bargaining agreement (CBA).</p> <p>Are you familiar with the term HPWP?</p> <p>I will now ask some questions regarding CBA HPWP that you negotiated with your union.</p> |
| <p>The purpose of the qualitative multi-case study was to identify and describe the high-performance work practices (HPWP) County government Management lead negotiators negotiated in the collective bargaining agreement (CBA).</p> | <p>1. How do Management lead negotiators identify and describe the HPWPs that they have negotiated in their CBA?</p> | <p>1. Can you share with me, HPWP that you have negotiated into the CBA?</p> |
| <p>In addition, it was the purpose of this study for County Management lead negotiators to describe the challenges and benefits of negotiating HPWP in the CBA.</p> | <p>2. How do Management lead negotiators describe the challenges when negotiating CBA HPWP?</p> | <p>2. Please describe the challenges you perceived when negotiating CBA HPWP?</p> <p>3. Of the challenges you shared, which were the most challenging and why?</p> |
| | <p>3. How do Management lead negotiators describe the benefits when negotiating CBA HPWP?</p> | <p>4. Based on the discussion we just had about challenges now can you tell me what are the benefits of negotiating CBA HPWP?</p> <p>5. Of the benefits you shared, which were the greatest benefits and why?</p> |
| <p>Lastly, it was the purpose of this study to identify and describe the strategies used by Management lead negotiators to mitigate challenges when negotiating HPWP CBA.</p> | <p>4. How do Management lead negotiators describe the strategies used to mitigate challenges when negotiating CBA HPWP?</p> | <p>6. What strategies did you use in an effort to mitigate challenges when negotiating CBA HPWP?</p> |
| | | <p style="text-align: center;">Wrap-Up</p> <p>Thank you for participating in this study!</p> |

APPENDIX B

Interview Script

“My name is Jay Peno, and I am an organizational leadership doctoral candidate at Brandman University. First, I would like to express my undying gratitude for your willingness to participate in this study. Your experience, expertise, and input are invaluable. Thank you again for participating! For this study, I am conducting research to explore county government lead negotiator’s experiences with collective bargaining in the area of negotiating high performance work practices (HPWP) that systematically increase employee commitment to achieving organizational strategic goals.

This study will help address both union survival concerns, and management productivity concerns affecting the delivery of critical public services in an era of austere funding. Ultimately, this study seeks to uncover potential areas of labor and management collaboration that will positively affect both employee engagement and public program and service delivery by better understanding county government lead negotiator’s experiences with collective bargaining in negotiating high performance work practices.

I am conducting approximately 7 interviews with well-regarded, experienced, county government lead negotiators like yourself. The information you provide, along with artifact documents, will provide a clear picture of the challenges and strategies that lead negotiators use during HPWP collective bargaining and will add to the current body of research, of which there is very little in this area. I will be reading most of what I say to help me ensure all interview consistency.

Informed Consent (required for Dissertation Research)

I would like to remind you that we are recording our interview session and any information that is obtained in connection to this study will remain confidential. All data will be reported without reference to any individual(s) or any institution(s). After I record and transcribe the data, I will send it to you via electronic mail so that you can check to make sure that I have accurately captured your thoughts and ideas. You received the Informed Consent and Brandman Bill of Rights in an email and responded with your approval to participate in the interview. Before we start, do you have any questions or need clarification about either artifact?

We have scheduled an hour for the interview. At any point during the interview, you may ask that I skip a particular question or stop the interview altogether. For ease of our discussion and accuracy I will record our conversation as indicated in the Informed Consent. When reflecting on questions about collective bargaining in the area of high-performance work practices, please consider your overall experiences. Do you have any questions before we begin? Okay, let's get started, and again, many thanks for your time.

Before we begin, I would like to review some operational terms pertinent to this study:"

High Performance Work Practices (HPWP)

HPWP are employment practices that systematically increase employee satisfaction and commitment to achieving organizational strategic goals. Some examples of HPWP subject to collective bargaining include, but are not limited to, work schedules, discipline/employee accountability procedures, employee awards and recognition, compensation, benefits, performance management, and education and training.

Collective Bargaining – Distributive and Integrative Negotiation Methods

- **Distributive** (collective) bargaining is also known as traditional, positional, and/or adversarial bargaining is comprised of competitive bargaining behaviors to divide limited resources.
- **Integrative** (collective) bargaining is also known as principled, collaborative, or interest-based bargaining is comprised of behaviors that focus on joint gains by acting on common interests.

Warm Up Phase

- During our preliminary discussions you identified as a county government lead negotiator representing Management, with experience negotiating and administering non-management collective bargaining agreements through two or more collective bargaining agreement contract cycles. Is this accurate?
- We are going to study high Performance work practices (HPWP) negotiated in your collective bargaining agreement (CBA). I will ask some questions regarding CBA HPWP that you negotiated with your union. Are you familiar with the term HPWP?

Interview Questions

1. Can you share with me the HPWP you negotiated into the CBA?
2. Please describe the challenges you perceived when negotiating CBA HPWP?
3. Of the challenges you shared, which were the most challenging and why?
4. Based on the discussion we just had about challenges now can you tell me what do you perceive are the benefits of negotiating CBA HPWP?
5. Of the benefits you shared, which were the greatest benefits, and why?
6. Can you share with me the strategies you use in an effort to mitigate challenges when negotiating CBA HPWP?

Closure Phase

- Thank you and many thanks and appreciations for participating in this study!

“Again, thank you very much for your time. Your contributions will add to the body of knowledge exploring the influence of county government collective bargaining on high-performance work practices. I will send you a copy of my study findings if you like!”

Potential Prompts for Questions 1-6

- Can you tell me about a time when...?
- Could you tell me more about that challenge, benefit, strategy...?
- How did you feel about the outcomes of...?
- What do you think prompted that challenge?
- How did you address that specific challenge?
- Why do you recommend...?

APPENDIX C

Research Participant Bill of Rights



BRANDMAN UNIVERSITY INSTITUTIONAL REVIEW BOARD

Research Participant's Bill of Rights

Any person who is requested to consent to participate as a subject in an experiment, or who is requested to consent on behalf of another, has the following rights:

1. To be told what the study is attempting to discover.
2. To be told what will happen in the study and whether any of the procedures, drugs or devices are different from what would be used in standard practice.
3. To be told about the risks, side effects or discomforts of the things that may happen to him/her.
4. To be told if he/she can expect any benefit from participating and, if so, what the benefits might be.
5. To be told what other choices he/she has and how they may be better or worse than being in the study.
6. To be allowed to ask any questions concerning the study both before agreeing to be involved and during the course of the study.
7. To be told what sort of medical treatment is available if any complications arise.
8. To refuse to participate at all before or after the study is started without any adverse effects.
9. To receive a copy of the signed and dated consent form.
10. To be free of pressures when considering whether he/she wishes to agree to be in the study.

If at any time you have questions regarding a research study, you should ask the researchers to answer them. You also may contact the Brandman University Institutional Review Board, which is concerned with the protection of volunteers in research projects. The Brandman University Institutional Review Board may be contacted either by telephoning the Office of Academic Affairs at (949) 341-9937 or by writing to the Vice Chancellor of Academic Affairs, Brandman University, 16355 Laguna Canyon Road, Irvine, CA, 92618.

APPENDIX D

Participant Agreement Form

INFORMATION ABOUT: County government management lead negotiator’s experiences with collective bargaining in the area of negotiating high performance work practices (HPWP) that systematically increase employee commitment to achieving organizational strategic goals.

RESPONSIBLE INVESTIGATOR: Jay Peno, M.B.A., M.S., Doctoral Candidate

PURPOSE OF STUDY: The purpose of this qualitative multi-case study was to identify and describe the high performance work practices (HPWP) county government management lead negotiators negotiated in the collective bargaining agreement (CBA). In addition, it was the purpose of this study for county management lead negotiators to describe the challenges and benefits of negotiating HPWP in the CBA. Lastly, it was the purpose of this study to identify and describe the strategies used by management lead negotiators to mitigate challenges when negotiating HPWP in the CBA.

This study is significant not only because it will explore county government management lead negotiator’s efforts to implement HPWP and their positive effects on human capital and organizational productivity but will also advance both theory and practice. In addition, this study may stimulate positive transformational change in the organization, by advocating for more county government labor and management collaboration resulting in mutual productivity gains and improved relationships.

AGREEMENT: By signing below, I am agreeing to be invited to participate in this study which will take approximately one hour of my time.

I understand that if I have any questions, comments, or concerns about the study, I may write or call the Office of the Vice Chancellor Academic Affairs, Brandman University, 16355 Laguna Canyon Road, Irvine, CA 92618 Telephone (949) 341-7641. If I have any questions, comments, or concerns about the study, I am encouraged to contact Jay Peno at xxx-xxx-xxxx or jpeno@mail.brandman.edu; or Dr. Tim McCarty, Advisor, at tmccarty@brandman.edu.

County government Management Official

Date

APPENDIX E

Informed Consent Form

INFORMATION ABOUT: County government lead negotiator's experiences with collective bargaining in the area of negotiating high performance work practices (HPWP) that systematically increase employee commitment to achieving organizational strategic goals.

RESPONSIBLE INVESTIGATOR: Jay Peno, M.B.A., M.S., Doctoral Candidate

PURPOSE OF STUDY: You are being asked to participate in a research study conducted by Jay Peno, a doctoral student in the Organizational Leadership program at Brandman University. The purpose of this qualitative multi-case study is to identify and describe the high-performance work practices (HPWP) county government Management lead negotiators negotiated in the collective bargaining agreement (CBA). In addition, it was the purpose of this study to describe the challenges and benefits of negotiating HPWP in the CBA as perceived by Management lead negotiators. Lastly, it was the purpose of this study to identify and describe the strategies used by Management lead negotiators to mitigate challenges when negotiating HPWP in the CBA.

By participating in this research study, I agree to participate in a virtual audio/video (Zoom)-recorded, semi-structured interview. The interview will take place, online, at a predetermined day and time, and will last approximately an hour. During the interview, I will be asked a series of questions designed to answer the purpose of the study.

In addition, I agree to select and provide artifacts such as agendas, planning documents, or other non-private documents to be reviewed by the researcher. Completion of the interview and artifact review will take place between July and August 2021.

The researcher will not publish artifacts and will keep the information protected for the privacy of the participants. All artifacts and identifying information will be coded to protect anonymity and kept in a secure location.

ACTIVITIES: By participating in this study, occurring in July 2021, I agree to the following:

- 1.) Participate in an individual interview lasting approximately 60 minutes in a private virtual audio/video Zoom meeting.
- 2.) Although not required of me as a participant in this study, the sharing of notes, texts, or email correspondence with this researcher that are artifacts for negotiating CBA HPWP may provide greater depth. The researcher will also be gathering publicly available artifacts, such as current and historical CBA's, memorandums of understanding, side letters, negotiation minutes, and notes. Please let the researcher know if you would like to voluntarily share any such correspondence or artifacts with him. I understand that:

- a) The possible risks or discomforts associated with this research are minimal. It may be inconvenient to spend up to one hour in the interview. However, the interview session will be held at an agreed upon date/time, to minimize this inconvenience.
- b) The researcher will protect my confidentiality by keeping the identifying codes and research materials in a locked/encrypted location that is available only to the researcher.
- c) The interview will be audio/video recorded. The recordings will be available only to the researcher and professional transcriptionist. The audio recordings will be used to capture the interview dialogue and to ensure the accuracy of the information collected during the interview. All information will be identifier-redacted, and my confidentiality will be maintained. Upon completion of the study all audio recordings will be destroyed.
- d) All other data and consents will be securely stored for three years after completion of data collection and confidentially shredded or fully deleted.
- e) If you have any questions, comments, or concerns about the study or the informed consent process, you are encouraged to contact Jay Peno at jpeno@mail.brandman.edu or by phone at xxx-xxx-xxxx; or Dr. Tim McCarty, Advisor, at tmccarty@brandman.edu.
- f) I will not be compensated for my participation. The possible benefits include adding to the body of knowledge for negotiating CBA HPWP and a potential for improved labor and management collaboration.
- g) My participation is voluntary. I may refuse to participate in, or I may withdraw from this study at any time without any negative consequences. Also, the investigator may stop the study at any time.
- h) No information that identifies me will be released without my separate consent and that all identifiable information will be protected to the limits allowed by law. If the study design or the use of the data is to be changed, I will be so informed, and my consent obtained. I understand that if I have any questions, comments, or concerns about the study or the informed consent process, I may write or call the Office of the Vice Chancellor Academic Affairs, Brandman University, 16355 Laguna Canyon Road, Irvine, CA 92618 Telephone (949) 341-7641. I acknowledge that I have received a copy of this form and the Research participant's Bill of Rights.

ACKNOWLEDGEMENT: I acknowledge that I have received a copy of this form and the "Research Participant's Bill of Rights." I have read the above and understand it and hereby consent to the procedure(s) set forth.

Signature of Participant

Date

Signature of Principal Investigator

Date

APPENDIX F

Audio Recording Release & Consent Form

INFORMATION ABOUT: County government management lead negotiator’s experiences with collective bargaining in the area of negotiating high performance work practices (HPWP) that systematically increase employee commitment to achieving organizational strategic goals.

RESPONSIBLE INVESTIGATOR: Jay Penno, M.B.A., M.S., Doctoral Candidate

RELEASE: I understand that as part of this study, I am participating in an interview which will be audio recorded as a digital file, per the granting of my permission. The digital audio recording will only be used for this research. Only the researcher and the professional transcriptionist will have access to the audio file. The digital audio file will be destroyed at the end of the study. The written transcription of the audio file will be stored in a locked file drawer and destroyed three years following completion of this study.

I understand that I may refuse to participate in, or I may withdraw from this study at any time without any negative consequences. Also, the investigator may stop the study at any time. I also understand that no information that identifies me will be released without my separate consent and that all identifiable information will be protected to the limits allowed by law. If the study design or the use of the data is to be changed, I will be so informed, and my consent obtained.

I understand that if I have any questions, comments, or concerns about the study or the informed consent process, I may write or call the Office of the Vice Chancellor Academic Affairs, Brandman University, 16355 Laguna Canyon Road, Irvine, CA 92618 Telephone (949) 341-7641.

I acknowledge that I have received a copy of this form and the Research Participant’s Bill of Rights.

CONSENT: I hereby give my permission to Jay Penno to use audio recorded material taken of me during the interview. As with all research consent, I may at any time withdraw permission for audio recording of me to be used in this research study.

Signature of Participant: _____ Date: _____

Signature of Principal Investigator: _____ Date: _____

APPENDIX G

CITI Program – Human Subjects Research Course Certificate



Completion Date 04-Jul-2021
Expiration Date N/A
Record ID 43438417

This is to certify that:

Jay Peno

Has completed the following CITI Program course:

Not valid for renewal of certification through CME.

Human Subjects Research
(Curriculum Group)
Social-Behavioral-Educational Researchers
(Course Learner Group)
1 - Basic
(Stage)

Under requirements set by:

Brandman University



Verify at www.citiprogram.org/verify/?wf5900141-f429-49fa-b375-70faa4b23239-43438417

APPENDIX H

Field-Test Interview Feedback

Interviewee Feedback Questions:

1. How did you feel about the interview? Do you think you had ample opportunities to describe what you do as a leader when working with your team or staff?
2. Did you feel the amount of time for the interview was ok?
3. Were the questions by and large clear or were there places where you were uncertain what was being asked?
4. Can you recall any words or terms being asked about during the interview that were confusing?
5. And finally, did I appear comfortable during the interview...(I'm new at this)?

Observer/Self-Reflection Questions

1. How long did the interview take? _____ Did the time seem to be appropriate?
2. How did you feel during the interview? Comfortable? Nervous?
3. Going into it, did you feel prepared to conduct the interview? Is there something you could have done to be better prepared?
4. What parts of the interview went the most smoothly and why do you think that was the case?
5. What parts of the interview seemed to struggle and why do you think that was the case?
6. If you were to change any part of the interview, what would that part be and how would you change it?

What suggestions do you have for improving the overall process?

APPENDIX I

Synthesis Matrix

| TOPICS, THEMES & VARIAB LES | Collective Bargaining and Unionism (Focus on Local Calif. County Government) | Labor Union History, Labor Law and Statistics | Labor Negotiations Behavioral Theory Positional or Collaboration | Labor/Management Collaboration and the Importance of Trust | Human Capital Theory and the Importance of Recognizing Employee Value | Investing in Employee Motivation Practices to add Value to the Organization | High Performance Work Practices (HPWP) for Increasing Organizational Output | Increasing Employee Commitment with Differentiated HPWPs | Local Government Leader's (mgt and union) Responsibilities | Change Drivers - Politics of Financial Stress and Union Survival for Leaders |
|--|--|---|--|--|---|---|---|--|--|--|
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