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Exploring the Impact of Collective Bargaining Agreements on Employee Performance Management

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Walden University

College of Management and Technology

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Nana Gyesie

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Walden University
2017

Abstract

Exploring the Impact of Collective Bargaining Agreements on Employee Performance

Management

by

Nana Gyesie

Dissertation Submitted in Partial Fulfillment

of the Requirements for the Degree of

Doctor of Philosophy

Management

Walden University

June 2017

Abstract

As of 2014, union density in the United States had dropped compared to union density during the 1950s. Collective bargaining agreements are the foundational agreement for all issues related to salary, benefits, and working conditions. The purpose of this multiple case study was to explore how collective bargaining agreements hindered or enabled managers from creating and sustaining high performance work practices. The conceptual framework included Walton and McKersie's work on behavioral theories for labor negotiations, human capital, and collective bargaining, and Huselid's work on high performance work practices. Fifteen respondents across 5 labor unions in Washington DC were selected through a randomized purposive sampling strategy for face-to-face and telephone semi-structured interviews. Additional sources of data included current and archived collective bargaining agreements, a reflective journal, and personal memos that were analyzed using Yin's 5-step analysis process. The following 5 themes were identified: performance management and accountability, organizational and union culture, intrinsic motivation and performance recognition, management practices, and the future sustainability of unions. These findings may help unionized organizations in the Washington DC metro area consider changing negative hiring and retention practices. Collective bargaining agreements, without a partnership framework linked to organizational sustainability, can hinder the creation and sustenance of high performance work practices in labor unions.

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Dedication

I dedicate this dissertation to my wife, Jaelyn, and my young sons, Gabriel and Benjamin.

Acknowledgments

I dedicate this dissertation, which culminates reaching an important milestone to my two young sons, Gabriel and Benjamin. When I had doubts about having what it takes to earn a doctorate, my wife Jaelyn encouraged me to apply nonetheless. Thank you for all your support.

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Chapter 1: Introduction to the Study

The economic power, membership numbers, and influence of labor unions have been on a steady decline since the 1960s and 1970s. The decline of labor unions could impact the future sustainability of organizations in the near future (Domhoff, 2013; Lichtenstein, 2013). According to the Bureau of Labor and Statistics (2015), union membership at the end of 2014 was 11% of the total U.S. workforce, compared to 35% of the U.S. workforce in the 1960s. Some of the reasons for the decline relate to global economic market conditions, the rise of technology, global migration, and other macroeconomic factors (Vachon & Wallace, 2013). Unions were a mainstay of the U.S. economy with over 35% of the labor force represented by unions during the 1960s (Vachon & Wallace, 2013).

New provisions of the Taft-Hartley law in 1947, as well as recent global macroeconomic shifts and increased public resistance to unions, have contributed to the decline of unions in the last 50 years (Rau, 2012). In my study, I explored whether internal organizational processes in labor unions, such as collective bargaining agreements (CBA), helped or hindered management from creating and sustaining high performance work practices (HPWP). To understand the CB process, in this chapter, I review the history and background of unions, state the problem researched, and provide a purpose for the study, as well as gaps in the research. I also describe relevant research questions, outline a conceptual framework, state the nature of the study, describe the definitions used, clarify my assumptions, as well as the scope and delimitations of the

study. Finally, I review the significance of the study to theory and practice and provide a summary and transition to Chapter 2.

Background of the Study

Labor unions rose because of exploitative labor practices by employers after the industrial revolution (Hipp & Givan, 2015; Levi, Melo, Weigast, & Zlotnick, 2015). In the 19th century, workers were subjected to harsh working conditions, particularly in blue collar jobs, and were threatened with legal action and could be dismissed by their employers for joining a labor union (Compa, 2014), which led to strikes and collective action against employers by workers trying to fight against repressive working conditions (Compa, 2014).

Unions fought for constitutional protections for several years before making significant legal progress in the 1920s (Lichtenstein, 2013). The Railway Labor Act (RLA) of 1926 was a precursor to the National Labor Relation Act, which created constitutional protections for unions (Compa, 2014). The National Labor Relations Act provides workers with protections against exploitative acts by employers on wages, benefits, and working conditions (Estlund, 2015) and was the beginning of legal protections for workers under collective agreements (Estlund, 2015; Levi et al., 2015). Labor unions gained constitutional protections initially through RLA that was later amended to the (NLRA) in 1935 (Estlund, 2015). The NLRA gave employees protections from employers in the event that they took a strike action or did not offer their labor because of a labor contract dispute as described by Estlund (2015). Recently, however,

the influence of labor unions has been waning (Bureau of Labor and Statistics, 2015; Hipp & Givan, 2015).

Labor unions are under assault from legislative attacks primarily led by labor deregulation efforts that have affected unions since the 1980s (Hurd & Lee, 2014). A coordinated effort by right wing politicians, organized through the American Legislative Exchange Council (ALEC), has increased the pressure on collective bargaining rights in some states and weakened the reach of unions (Hurd & Lee, 2014). In addition, the Supreme Court will rule on whether unions have the right to collect fees from nonunion members, called an agency fee, which is a significant source of revenue for most labor unions particularly when teacher union dues are at an average of \$1,000 per annum where nonunion members pay close to \$650 per year (Antonucci, 2016). For large unions, this could cause a significant loss of revenue and could have an impact the loss of current membership and the ability to incentivize and attract new members (Antonucci, 2016). For these reasons, I studied how labor unions use CB in the context of the economic and political shifts described that would affect unions.

The collective bargaining agreements (CBA)s are used by labor unions in the United States to dictate a framework for working conditions, which includes productivity and output (Rolfesen, 2013). When the interests of management and unions are at odds, it creates an environment where CBAs are not constructively used to manage wages, benefits, and working conditions to maximize performance and productivity (Bennett, 2014). In this study, I explored how labor unions use CBAs. Also, I also explored how CB impacted the ability of the management team to create a high performance workplace.

The role of labor unions in society is changing because of global economic trends and advice from the International Monetary Fund to member governments to introduce more free market policies (Nowak, 2015). Scholars have addressed the changing economic landscape for labor unions (Nowak, 2015), the role of CBAs, and interest-based bargaining (Boniface & Rashmi (2013); however, researchers have not explored the link between CBAs and their impact on creating high performance work practices, which is why I conducted this study.

Prior researchers (Aguinis, Gottfredson, & Joo, 2012; Rau, 2012) did not uncover how negotiated performance and standards in collective bargaining agreements affected the sustainability of the organization. Unions primarily negotiate CBAs to protect and enhance the rights of their members to receive better pay and workplace protections (Zhavoronkov, 2015). CBAs provide frameworks for the unions and union members to seek solutions on matters ranging from the egregious to trivial (Jordhus-Lier, 2012). Posthuma, Campion, Malika, and Campion (2013) provided an analysis on how unions can create high performance; however, they did not explore the role of CBAs on high performance. Collaboration between human resources professionals, labor, and management representatives is needed to institute high performance workplaces; yet, there is a gap on how this is instituted even in nonunion organizations (Kim & Sung-Choon, 2013). As the collective bargaining document is the basis for the employment relationship between unions and their employers (Kochan, 2012), it was critical for me to understand its role in helping to sustain unions despite widespread decline in union density. Kochan (2012) and Jordhus-Lier (2012) described the criticality of CBAs to

unions, but did not explore how it impacts organizational efficiency. For this reason, there is a gap in the existing research on how CBAs enable or hinder management from creating high performance work practices.

Economic considerations, such as wages and benefits, are a component of CBAs and can influence negotiations. In some cases, the agreements can override organizational sustainability imperatives, such as performance accountability (Benmelech, Bergman, & Enriquez, 2012). For example, the State of Illinois obligated more than \$139 billion in 2011 for public sector union worker pensions, of which \$85 billion was unfunded and presented a financial risk for the state (Freeman & Han, 2012). Nonetheless, to create HPWP, management needs to establish transparency, act with magnanimity, and act with honesty in all dealings with labor union leadership (Kim, Kim, & Ali, 2015). Achieving HPWP takes effort by management, human resources, and employees (Bozall, 2012; Huselid, 1995). The conditions for creating HPWP are also relevant for labor unions that use CBAs (Gill & Meyer, 2013). Scholars have demonstrated the importance of CBAs (Lewin, Keefe, & Kochan, 2013) and the importance of the establishment of trust between union representatives and management (Kim et al., 2015).

A corollary problem related to how the relationship between management and unions is through the CB process, affecting HPWP in the union workplace. Kim and Sung-Choon (2013) stated that unions primarily exist to protect their members and resort to strikes when there is an impasse on an issue with management. Unions exert influence on management through agreements that sometimes leads to an antagonistic relationship (Kim & Sung-Choon, 2013). The lack of trust created from the dynamic between

management and union members, who are also employees, results in a problematic relationship between unions and management, which can derail HPWP (Gill & Meyer, 2013). The gap in existing research did not provide information on how CB enabled or hindered management from creating high performance work practices.

Problem Statement

All labor unions in the United States face the challenge of an uncertain future. According to the Bureau of Labor and Statistics (2015), union membership dropped from 35% in the 1960s to about 11% in 2015. Additionally, sustained political efforts led by the Republican Party since the 1960s to strip unions of collective bargaining rights in some states, such as Wisconsin, weakened unions and their ability to organize and grow their membership (Domhoff, 2013; Hogler, 2015; Hogler, Hunt, & Weiler, 2015).

Primarily, CBAs in unions negotiate terms for wages, benefits, and working conditions for workers (Levi et al., 2015). The general problem was the lack of understanding as to whether CBAs, which are the legal basis of a labor union, incorporate negotiating parameters, which are designed to not only represent the employee voice, but to help support the sustainability of the union organization. For the specific problem, I explored how CBAs hindered or enabled managers from creating and sustaining HPWP for their employees in private and public sector labor unions that represent various professionals, including lobbyist, labor organizers, and lawyers based in the Washington DC metropolitan area.

Purpose of the Study

The purpose of this qualitative, exploratory case study was to explore how CBAs hindered or helped managers create performance accountability and HPWP for their employees in private and public sector labor unions that represent workers based in the Washington DC metropolitan area. My intent was to explore whether negotiated agreements between union representatives and management hinder or help organizational effectiveness that impact the creation of HPWP by managers in labor unions. For this study, I used the case study approach as described by Yin (2014) and interviewed union members, human resources professionals, and management staff in labor unions across the Washington DC metropolitan area.

My data collection approach was through face-to-face and telephone interviews for a purposive sample of 15 union officials, human resources personnel, and line managers, consistent with qualitative research standards. Seven of my interviews were conducted in-person, and eight conducted over the phone because of scheduling, travel, and availability constraints. The interview technique used by researchers is shaped by the research design, which is why I used standard interviewing compared to cognitive interviewing which focuses on an investigative narrative account of events as described by Condie (2014). Although the telephone is useful as an interview technique, it limits the ability to develop an organic relationship in the way that face-to-face interviews can enable (Codie, 2012; Irvine, Drew, & Sainsbury, 2013). Nonetheless, modern technologies, such as Skype, enable convenient communications between the researcher and the study's participants (Janghoban, Roudsari, & Taghipour, 2014). My primary

interest was to establish in-person contact with my targeted participants through face-to-face and telephone interviews.

Research Questions

The central research question for this study was: How do collective bargaining agreements enable or hinder managers creating and sustaining high performance work practices for their employees in private and public sector labor unions based within the Washington DC metropolitan area? I aimed to explore whether CBAs presented a roadblock for the effective management of staff to benefit organizational sustainability. Further, it was important for me to understand whether the practice of negotiating working conditions through a CBA impeded a manager's ability to create and sustain HPWPs.

Conceptual Framework

The theories that informed the conceptual framework for this study were high-performance workplaces and work systems as discussed by Huselid (1995), human capital theory by Becker (1993), and CB and behavioral theories on labor negotiations as developed by Walton and McKersie (1991). I synthesized all of these elements to enable me to draw connecting themes to support the overall research design, as suggested by Aguirre and Bolton (2014).

High-Performance Work Places/High-Performance Work Systems

HPWP is a theoretical framework used by human capital practitioners across several industries. HPWP serves as a framework for performance management and organizational strategy who describe the conditions necessary for an organization to

unlock maximum performance out its employees (Robineau, Ohana, & Swatson, 2015). Huselid (1995) propounded theories on HPWP; Huselid's work has been cited by more than 7,800 studies as the theory that unifies the management conditions necessary to unlock employee performance for meeting organizational goals. It remains the standard for the implementation of HPWP.

A Behavioral Theory on Labor Negotiations

Walton and McKersie (1991) provided a four sub process for understanding collective bargaining negotiations. These ideas introduced in 1965 are outlined as follows:

Distributive bargaining. The method of agreement starts off with the assumption that the organization is in an interwoven relationship with its workers, although their interests may be opposed (Walton & McKersie, 1991). The workers need the employer for their livelihood, and the employer needs the workers for their labor. Each party may be negotiating on some items related to finite resources where one party's gain is the other's loss. In addition, both sides enter negotiations with an idea of what their bottom line is in terms of money, resources, workforce, or working conditions. If that bottom line is exceeded, either party may leave the table in a stalemate that may result in strikes or lockouts.

Integrative bargaining. Integrative bargaining is a collaborative form of agreement that is used to create a framework based on mutual interest between opposing parties in a negotiation (Walton & McKersie, 1991). This bargaining process is used to generate mutual wins and concessions for all parties in the negotiation process. It is

referred to interchangeably as interest-based bargaining or win-win negotiation. Most of the work occurs in collaborative sessions at the table rather than as in distributive; the majority of work occurs behind the scenes, and each party presents their demands at the table.

Intraorganizational bargaining. The union officials and management representatives, who negotiate on behalf of opposing parties such as labor versus management, need to reconcile their stakeholder needs and ensure that they understand and represent the total of interests of the respective constituents (Walton & McKersie, 1991). Walton and McKersie (1992) proposed that labor and management negotiators engage in an intranegotiation process before engaging in an internegotiation process with each other.

Attitudinal restructuring. Opposing negotiating parties develop perspectives and perceptions about each other, which can dictate the outcome of current negotiations and impact future negotiations (Walton & McKersie, 1991). Further, the inability of opposing parties to resolve differences within their own bargaining units or with their constituents can affect the potential trade-offs or concessions made during integrative or distributive bargaining. Human capital practices are critical to understand the current HPWP status in labor unions.

Human Capital in Labor Unions

Unions spend between 30-70% of their budgets on talent acquisition and retention; yet, a human resources practice, such as performance accountability, remains a challenge (Rau, 2012). Unions advocate to protect their members from arbitrary layoffs

and to provide job security as compared to private sector workers (Tsai & Shih, 2013). Becker (1993) noted that it was critical for employers to view their employees as they would view capital assets. Unions provide due process to their members in a manner that does not exist for nonunion employees, unless agency fee provisions cover such employees where they pay some dues in exchange for union representation (Fisk, 2014). Labor unions organizational dynamics include internal conflicts with management on issues where they are opposed; this disables the development of strategic management practices in unions, in spite of the decline of union density in the United States (Rau, 2013).

It was critical for me to study how CBAs affected hi HPWPs. It is critical for organizational development and human capital practitioners in labor unions to understand how their organizations can institute fair performance standards that sustain both the organization and respective labor unions (Awan, Waqas, & Naqvi, 2013). Based on the literature reviewed, there was a gap on how CBAs helped or hindered managers from sustaining HPWPs in labor unions.

Collective Bargaining

A CBA is a negotiated set of variables between labor representatives and the management of an organization to provide a governing framework for wages, benefits, and working conditions (Lichtenstein, 2013). The International Labor Organization (2016) further defined a CBA as a tenet of all labor relations between unions and management for the purpose of ensuring competitive salaries, congenial working conditions, and legal protections should there be a breach of negotiated terms. Collective

bargaining agreements are a joint labor and management framework for deciding on a contract that provides an employment agreement for a defined period of performance (Rolfson, 2013). Unions use CBAs to negotiate general conditions of employment in unionized organizations (King, 2013). These elements of the conceptual framework enabled me to explore how CBAs hindered or helped managers create performance accountability and high performance workplace conditions for their employees in private and public sector labor unions based in the Washington DC metropolitan area

Nature of the Study

The purpose of this qualitative, research was to explore how CBAs hindered or helped managers create high performance workplace conditions for their employees in private and public sector labor unions based in the Washington DC metropolitan area. As stated by Maxwell (2013), qualitative research is more oriented towards exploring scenarios, individuals, and groups of individuals with an aim of providing exploratory or descriptive context. Some context for using qualitative research includes exploring meaning in a particular context and describing the unexplored phenomena and how it provides meaning and discovering the process through which people or groups of people create meaning (Maxwell, 2013). Conversely, quantitative researchers use experimentation and testing rather than exploration and interpretation, as described by Maxwell. Since my research was consistent with research related to management and social sciences as noted by Yin (2014), the qualitative approach was most relevant. I did not conduct experiments, statistical analysis, or using surveys as proposed for quantitative studies, as discussed by Cope (2014).

I used purposive sampling because of the particular requirements of the type of organization I studied, as well as the characteristics of the target audience, as they primarily interface with CBAs and performance management. I interviewed 15 research subjects who were representative of persons who had direct contact with performance management and CBAs. I also reviewed copies of previous CBA and other union-related human resource (HR) policy documents as a secondary data collection procedure to methodologically triangulate the data. Denzin (2012) suggested that using various data collection and analysis techniques is critical to generating deeper thematic insight related to the research. My study will potentially influence how managers oversee performance and incorporate HPWPs in CBAs.

As a researcher, I was central to the completion of the study, which is why the qualitative method, not the quantitative method, was most relevant. I used the case study approach, as it enabled me to expand my understanding of how CBAs can affect performance management. Several qualitative methods could have suited this study. The grounded theory approach is used to generate new theory; phenomenology is a study of the concrete lives and experiences of people; ethnography is a study of the shared beliefs within distinct cultural group; and the case study approach on a positivist or postpositivist exploration of what is unique and characteristics of a single case or multiple cases (Petty, Thomson, & Stew, 2012). I explored using a narrative design, but I opted not to use it in place of the case study, as I did not study the lived experiences of individuals.

The multiple case study approach was most relevant for my research as I explored phenomena within an organizational context using multiple sources of data, including

interviews and review of CBAs. The purpose of this research, using the exploratory multiple case study method, was to explore if CBAs hindered or helped managers create HPWPs for their employees in private and public sector labor unions based in the Washington DC metropolitan area. A multiple case study approach was the most appropriate for my study as I am not using surveys nor was I studying experiences or shared cultural norms or individual stories per the other qualitative methods of inquiry as described by Yin (2014).

Definitions

Below is an overview of some of the key terms that informed the research.

Collective bargaining (CB): A process through which employees represented by unions negotiate all terms of employment with employers, including wages, benefits, and working conditions for a defined period (AMERICAN FEDERATION OF LABOR AND CONGRESS OF INDUSTRIAL ORGANIZATIONS, 2016).

Distributive bargaining: The process in CB where opposing parties resolve conflict through the distribution of finite resources and where there are winners and losers. The assumption here is that the most aggressive party wins, leaving the counterparts as a loser (Cutcher-Gershenfeld & Kochan, 2015).

High-performance work practices or systems (HPWP): A comprehensive set of HR and strategic management levers designed to unlock peak performance through selective recruitment, well-structured compensation practices, effective talent management, and performance accountabilities all designed to improve organizational performance competitive advantage (Huselid, 1995).

Human capital or human capital theory: The process through which an organizations HR base, when treated like other capital assets, can drive value that enables the organizations to grow or sustain growth (Becker, 1993).

Human resources management: The management process is responsible for managing an organization's human capital base, including talent acquisition, talent management, employee relations and succession planning (Díaz-Fernández, López-Cabrales, & Valle-Cabrera, 2014).

Integrative bargaining: A process of negotiation that focuses on using a collaborative framework for negotiations between labor and management. Too much collaboration and information sharing by one party may be taken advantage of by the opposing party (Cutcher-Gershenfeld & Kochan, 2015).

Interest-based bargaining: A process that uses a mediating presence to drive a collaborative CB process between unions and management (Rashmi & Boniface, 2013).

Joint labor management committee (JLMC): A partnership decision-making process or framework between labor union officials and management representatives on the main issues related to labor relations (Filler, 2013).

The labor union: Organizations of workers to protect workers from exploitative employers with roots in the late 19th century and formalized into law through the National Labor Relations Act of 1935 (Lott, 2014).

Performance management: A process through which organizations set benchmarks for measuring employee output and creating incentives for rewarding peak performance and correcting subpar performance (Posthuma et al., 2013).

Assumptions

I made three assumptions in regards to this study. The first assumption was that all of the participants in the study had engaged in negotiating, administering, or had a direct impact on the CBAs in their respective organizations. The second assumption was that although management and unions were in equal parts of CBAs, both were committed to ensuring organizational sustainability through ensuring employee performance accountability was paramount. Third, I assumed that CBAs in all labor unions provided descriptions for how managers implement HPWPs.

My approach to managing my personal assumptions and biases was to use purposive sampling because it enabled me to select research subjects with criteria who were in a position to provide unique, relevant, and rich information to shape the study as noted by Suen, Huang, and Lee (2014). Purposive sampling, as described by Suen et al., is a nonprobability technique relevant to my study as I primarily interviewed professionals who worked or interacted with labor unions and had direct experience with CBAs. This eliminated the risks of analyzing nonrelevant data. The primary data collection methods I used for this study were one-on-one interviews and archived CBAs. I outlined the scope and delimitations for this study to ensure that the study results were credible, transferable, and the data used were dependable.

Scope and Delimitations

The purpose of this research was to explore how CBAs enabled or hindered management from creating and sustaining HPWPs for their employees in both private and public sector labor unions based in the Washington DC metropolitan area. I

interviewed 15 subjects, including union members, managers, and HR professionals, who interfaced with the CB process. The theories on high performance workplaces I used for this study were influenced by the ideas proposed by Huselid (1995). I posit Huselid's ideas against the parameters that shaped Walton and McKersie's theories on CB.

Understanding performance management practices is critical to organizational sustainability (Aguinis et al., 2012). The conditions necessary for a high performance workplace, as described by Huselid, were more germane to the purpose of my study. Further, Becker's (1993) theories on human capital are critical to understanding the role of employees in effecting and impacting high performance work practices. For these reasons, the conceptual framework of the study centered on the intersection between high performance workplace theories and the CB process.

I used a purposive sample for my study, as described by Maruyama and Ryan (2014). The purposive sampling strategy enables the elimination of any union management or staff member who does not directly interact with the CB process. My target organizations were labor unions in both the public and private sector in the Washington DC area.

Limitations

The purpose of this qualitative, case study was to explore how CBAs hindered or helped managers create performance accountability and HPWPs for their employees in private and public sector labor unions based in the Washington DC metropolitan area. As a result, I did not review or analyze data for a sample size outside the Washington DC area. In addition, my focus in this study was on the link between CBAs and the creation

of high performance workplaces in unions. I did not include nonunion workplaces since they do not collectively negotiated agreements as provided by the National Labor Relations Board (2016).

It was possible that union representatives may be reluctant to provide feedback during my data collection since they may view performance accountability as a way for management teams to exert control over union members, who are also employees of the organization. Finally, since unions are under legislative and economic attack as described by Luce (2014), it was my assumption that some union representatives would be reluctant to provide authentic feedback on performance accountability as they may view my study as antiunion.

A potential limitation of the study included the lack of quantitative data to inform my data collection and analysis. One of the assumptions I made about labor unions was the lack of comprehensive performance management data as labor unions wield influence over strategic organizational practices because of the CB process, as discussed by Kim and Sung-Choon (2013). For this reason, I assumed that performance management data might not be readily available to inform a quantitative analysis, which is another reason why I chose the qualitative approach.

Significance of the Study

The purpose of this qualitative case study was to explore how collective bargaining agreements hinder or help managers create performance accountability and high performance workplace conditions for their employees in private and public sector labor unions based in the Washington DC metropolitan area. My research is significant

because I explored how management can create high performance work practices, and sustain them in nonprofit labor unions, as described by Gill and Meyer (2013). The outcome of this study could influence the manner in which unions and management negotiate performance management. Researchers have explored high performance work practices in unions without understanding how CBAs and performance standards are negotiated and implemented (Gill & Meyer, 2013). Labor unions have been a positive organizational framework for union workers because they ensure fair wages and safe working conditions (Rolfesen, 2013). In the existing research on HPWP in labor unions, scholars had not explored how negotiated working conditions can enhance or inhibit organizational output or what alternate processes can create better sustained collaboration for shared outcomes and organization sustainability. The absence of a collaborative process can create an antagonistic relationship between labor and union representatives (Kim et al., 2015).

The antecedent of current management practices rooted in the philosophies of Frederick Taylor assumed that workers are not responsible for performance (Kim et al., 2015); therefore, management needs to institute checks and balances to ensure optimum performance (Kim et al., 2015). The relationship between unions and management are fraught with subjective expectations of trust, which when some perceive as breached, can be viewed as a psychological contract breach and then lead to employee behaviors that are misaligned with HPWP (Braekkan, 2013). Scholars have explored the history of CB and how distributive and integrative bargaining was used in labor negotiations (Sebenius, 2014).

One purpose of my research was to uncover the barriers to high performance workplaces in labor unions. The literature I reviewed showed a significant gap in studies regarding how CBAs hindered or enabled HPWP. The taxonomy for high performance workplaces includes HR practices, such as recruitment and talent management, linked to organizational practice,s such as competencies and business strategy, can unlock peak performance (Posthuma et al., 2013). Posthuma et al. (2013) researched the role of culture but did not address the link between high performance systems and CBAs in labor unions. An efficient labor and management framework, with solid HR practices and frequent communication between parties, could create high performance workplaces, even when organizations face economic challenges (Hassan, Nawaz, Abbas, & Sajid, 2013). There is a gap in the scholarly literature I reviewed regarding how bargaining agreements impede or create high performance workplaces.

Although CBAs empower unions and give their members a voice, it is not always a guarantee of smooth union-management cooperation (Marginson & Galetto, 2016). The conditions for employment and working conditions are negotiated in some detail and provide union members with recourse, such as a grievance hearing, in the event of a breach of the contract (Gil & Meyer, 2013). Additionally, I found literature regarding organizations without unions with better employee relations that equated to better employee performance as compared to unionized workplaces. It is anathema to the idea that unions promote empowered employees, which leads to a high performance work environment negotiated through CBAs (Gil & Meyer, 2013). Collectively negotiated agreements are a joint labor and management framework for negotiating wages,

performance expectations, and working conditions for the defined contract period (Rolfesen, 2013). Although high performance is possible in labor unions (Gill & Meyer, 2013), there is a gap in the literature in regards to the impact of CBAs on high performance work practices (Braekkan, 2013; Gill & Meyer, 2013). It is important to clarify the role of CBAs in labor unions.

CBAs were a moderating framework to address worker concerns and reduce strikes and acrimony between labor and management and to drive productivity (Marginson, 2015). A corollary, interest-based bargaining is a constructive approach to CB that includes using a cooperative and mutually beneficial approach, which shares wins and losses on negotiated variables between labor and management (Boniface & Rashmi, 2013). It was important to understand the distinction between integrative bargaining and distributive bargaining. Integrative bargaining was designed to ensure the best possible outcome for all parties concerned, whereas distributive bargaining is competitive and oriented towards negotiation around materials (Sebenius, 2014). Theoretically, management would use interest-based bargaining to prevent contentious distributive bargaining (Wheeler, 2012).

Significance to Practice

Empowered employees in labor unions tend to be more oriented towards working hard (Gill & Meyer, 2013). There are challenges to implementing high performance work practices in various types of organizations (Robineau et al., 2015). Braekkan (2013) researched the link between high performance work systems and the psychological perception of contract violations by management towards employees. Job satisfaction,

based on the sustenance of high performance work practices, requires cooperation between unions and management for successful implementation (Gibbs & Ashill, 2013). This may also inform general practices on how sustainable talent management can be incorporated into future CBAs

Significance to Theory

My research may be significant as one purpose was to better understand how high performance work practices can be created and sustained in nonprofit labor unions, as described by Gill and Meyer (2013). The outcome of this study could impact the manner in which performance is negotiated through labor unions. Researchers have explored how high performance work practices can be implemented without understanding how CBAs and performance standards are negotiated and implemented (Gill & Meyer, 2013). Labor unions have been a positive organizational framework for union workers because representatives ensure fair wages and safe working conditions (Rolfesen, 2013). My research could contribute to new or existing human capital theories germane to talent management and organizational effectiveness in labor unions.

Significance to Social Change

Researchers have not yet explored how negotiated working conditions can enhance or inhibit organizational output or what alternate processes can create better sustained collaboration for shared outcomes and organization sustainability (Huselid, 1995; Pfeffer, 1996). The absence of a collaborative process creates an antagonistic relationship between labor and union representatives (Kim et al., 2015). It is my hope that

my study creates further understanding on how high performance workplaces drive sustainable firm-level performance in labor unions.

Summary and Transition

Labor unions have been a force in the United States for more than a century and have legal provisions that protect their members, such as the National Labor Relations Act of 1935 (NLRB, 2016). As stated by the Bureau of Labor and Statistics (2015), membership in labor unions has declined from about 14 million workers, which are about 12% of the total workforce as described by Vachon and Wallace (2014). Nonetheless, Gill and Meyer (year) indicated that the relationship between union officials and management is often tenuous, which leads to distributive bargaining and a zero sum game related to finite resources (Walton & McKersie, 1991). Distributive bargaining is problematic because the focal point of CBAs is on wages, benefits, and working conditions, rather than high performance workplaces. High performance practices are possible in unions, but not prevalent, which may be partly why such organizations are in decline (Awan et al., 2013). The purpose of my study was to explore how CBAs hindered or enabled management from creating high performance work practices for their employees in private and public sector labor unions based in the Washington DC metropolitan area.

Chapter 2 is a literature review of the topic; I explored how high performance workplaces are created and maintained in organizations. I trace the roots of CB in labor unions and how they are used to mediate the relationship between management, unions,

and performance accountability. I also detail the literature related to the conceptual framework to support the overall research question and problem statement for my study.

Chapter 2: Literature Review

In the literature review, I explore the history of labor unions, CB, human capital theory, and theories related to how CBAs are negotiated. The purpose of the research was to explore how collective bargaining agreements enable or hinder management from creating and sustaining high performance work practices in both private and public sector labor unions based in the Washington DC area. First, I provide details on the three components of the conceptual framework, including the work of Huselid (1991) on high performance work practices. This is followed by Becker's (1993) theories on human capital. Next, I discuss the CB and behavioral theories on labor negotiations by Walton and McKersie (1991). Finally, I explore the functions and history, rise, and decline of labor unions to support the literature review and conceptual framework. I ensured that only relevant, useful, and germinal academic literature supported the study.

Literature Search Strategy

I used a mix of sources, including academic databases, books, peer-reviewed journals, Internet resources, and existing CBAs to inform the study. Walden University databases used included ProQuest Central, CQ Search, ABI/INFORM COMPLETE, Business Source Complete, SAGE Premier, ProQuest for dissertation and theses, Google Scholar linked to the Walden Library, and Academic Search Complete. I accessed articles from the databases using search terms and key words including *high performance work places*, *high performance work systems*, *CBAs*, *labor union*, *labor unions*, *performance management*, *strategic negotiations*, *behavioral theory on labor negotiations*, *integrative bargaining*, *distributive bargaining*, *interest-based bargaining*, *employee accountability*,

alternate dispute resolution, HPWP, HPWS, high performance, high performance work places, high performance work practices, Huselid performance, unions HPWP, high performance, and negotiations. Variations on terms such as *trade union, unions, negotiations, and CBA* enabled access to articles that I otherwise would not have found.

I shaped my research to the central concepts of the study, which included labor unions, collective bargaining, high performance work practices, strategic human resources, and the behavioral theories on labor negotiations. The core design of my research was to use Walden University's library. I accessed several databases to include EBSCO, PROQUEST, ABI/INFORM Complete, SAGE Premier, Business Source Complete, ProQuest Central, and Academic Search Complete. In addition, I used the journal search capability in Walden's library to access journals which included Sage Publications, *Industrial and Labor Relations Review, Collective Bargaining, Employee Relations Law, Labor Studies Journal, Employee Rights and Employment Policy, Negotiation Journal, Journal of Management, Journal of Conflict Resolution, Journal of Ethnographic and Qualitative Research, Journal of Labor Research and Industrial Relations,* and the *Journal of Economy and Society.* Further, I linked Google Scholar to the Walden Library to access articles from the journals that appeared in my search.

I used a variety of search combinations in the text boxes to ensure I was accessing the widest possible results for my study. For theories on high-performance workplaces, I used keywords such as *HPWP, HPWS, high performance, high performance work places, high performance work practices, Huselid performance, unions HPWP* and *high*

performance. For my research on labor unions, my search terms included *labor unions, trade unions, and unions, history of labor unions, unionization* and *American labor*.

For my search on collective bargaining agreements, the search terms I used were *CBA, collectively bargained agreements, collective bargaining agreements, labor negotiation, interest-based bargaining, labor negotiations, joint labor management, negotiations and labor unions, distributive bargaining* and *labor union negotiations*.

In addition to using the Walden University library, I accessed books on the historical roots of labor unions and CB using the Arlington County and Georgetown University libraries. The resources accessed at both libraries were all books for which I used the following search terms: *union management, future of unions, collective bargaining, labor movement, labor, labor relations, union wages, organizational effectiveness labor and wages, qualitative research, and unions*.

Conceptual Framework

The conceptual framework for my study included exploring HWPWs (Huselid, 1995), human capital theory (Becker, 1993), CBAs (Kaufman, 2013a; Muller-Jentsch, 2014), and the behavioral theories that advance CB (Walton & McKersie, 1991). It was critical to explore these three concepts and link them to the overarching purpose of this study, which was to explore how CBAs enabled or hindered management from creating and sustaining HWPWs for their employees in private and public sector labor unions based in the Washington DC area.

Employees are a foundation of any organization's success, and the manner that employees are developed has a direct impact on business performance. Becker (1993)

first introduced theories regarding the HR base of an organization as capital assets, in the same way an organization may treat land, equipment, and other tangible assets such as buildings. The presence of a HWPW presumes that organizational leadership views its employees a human capital. It is for this reason that Becker's theory was important to my study.

Becker's studies were rooted in the economics of labor. Initially there was some ambivalence towards using the term human capital because of the assumption that if economic capital colonizes and uses labor, human capital might do the same. There may seem to some incongruence between human capital theory and unionization as it relates to industrial democracy, job security, and high wages. HWPWs, human capital theory, the history and current state of labor unions, what they do, how they use CBAs, as well as Walton and McKersie's (1991) theories on behavioral negotiation were all components towards addressing the problem statement and purpose of my study.

Huselid (1995) found that unionization did not affect organizational output in spite of the potential power of unions to disrupt business operations through strikes and other types of work stoppages. Huselid did not explore the impact of CBAs on high performance work practices in unions. Pfeffer (1996) asserted that unions have an effect on implementation of HWPWs because HWPW arrangements are not antifragile and disintegrate when organizations or the wider economy enters a period of crisis. It is also important to introduce human capital theory to support the preceding points on high performance work practices. Figure 1 illustrates the interplay between the various

components of my conceptual framework to highlight the factors necessary for successful implementation of HWPW in labor unions.

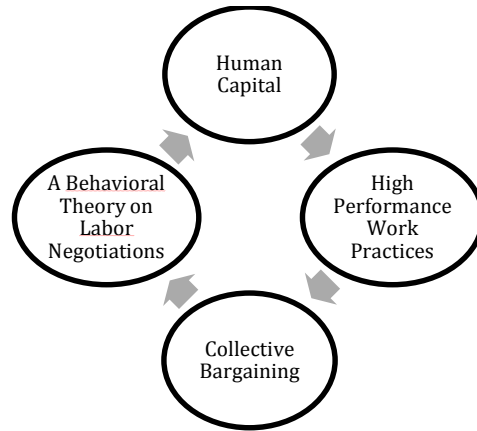


Figure 1. Conceptual framework.

The objective of this multiple case study was to explore how collective bargaining agreements enabled or hindered management from creating and sustaining high performance workplace work practices for their employees in private and public sector labor unions based in the Washington DC metropolitan area. The primary components used in the study included CBAs, labor unions, and a conceptual framework that addressed theories related to HWPWs and performance accountability. Since the 1980s, CBAs have been less about performance and more about increases to worker salaries and power politics between labor and management (Marginson, 2015). Labor representatives use the CB process to get wage concessions from management in return for increased performance output (Marginson, 2015). Unions use salaries as a negotiation tactic to extract maximum value from employers for salary levels above market pay rates and for lower skilled work (Grimshaw, Bosch, & Rubery, 2014).

Literature Review

As previously noted in the conceptual framework, the key themes in this study relate to high performance high performance work practices as described by leading theorists such as Huselid (1995) and Pfeffer (1994). The studies proposed by Huselid were mainly in the context of organizations that did not have a collective bargaining agreement in place. I reviewed other themes related to human capital theories (Becker, 1993), history and purpose of labor unions, and behavioral theories on collective bargaining (Walton & McKersie, 1991), in the subsequent sections as part of the literature review for my study.

High Performance Work Practices

There are variants on the definition of HWPWs; yet, the most concise conceptual contribution is attributed to Huselid (1995), who defined HWPWs as the systematic creation of HR practices designed to align employees to an organizational mission. Posthuma et al. (2013) noted that HWPWs happen when employment practices are designed to develop employee potential to unleash maximum output for organizational productivity. When organizations put in place applied performance practices, such practices drive productivity, it leads to output that contributes to an overall HWPW (Patel, Messersmith, & Lepak, 2013). I subsequently reviewed employment practices needed for the creation of a high-performance work place.

Huselid (1995) identified two categories with 13 factors as necessary for the analysis and creation of a HWPW. The categories were employee skills and organizational structures and employee motivation. Huselid proposed that these two

categories inform the kinds of HR that influence how organizations use HWPWs. The factors that dictate HWPW conditions under the employee skills and organizational structures category are as follows. It is critical for organizational leaders to hire selectively, ensure proper job alignment, implement 360 feedback surveys, provide equitable access to incentive programs, provide a labor relations channel to manage workplace disputes, and provide adequate training and development opportunities for staff members.

For employee motivation, Huselid (1993) added that performance management and compensation are critical. Performance management standards, enforced by management, ensure that only well qualified candidates identified make the selection criteria for positions in an organization. Becker (1993) stated that the employees of an organization are assets, which when categorized as human capital, contribute to the delivery of high performance work that can lead to sustainable business practices and organizational competitive advantage. Other conceptual theories about HWPWs include Pfeffer's proposals, which are explored further.

An organization's competitive advantage includes a robust human capital practice that effectively aligns staff to work. Pfeffer (1994) espoused the necessity of the development of human capital practices as a means to gaining or maintaining market share. Pfeffer identified 13 practices that ensure organizations can develop and sustain a competitive advantage. These included competitive salaries, variable pay and bonuses for meeting organizational goals, employee investment in company through stocks, and other benefits that ensure employees have a stake in the organization's success. Other factors

identified by Pfeffer were autonomous work, cross-functional work exposure, meritocracy, equal pay, use of applied analytics, and a relevant organizational strategy. Pfeffer noted organizations with learning agility and HR policies that promoted career development were tantamount to HWPWs. Other research I uncovered on high-performance work systems are highlighted to provide a balanced view.

Unions, according to Rau (2012), are generally resistant to HWPWs in spite of the documented advantages such practices add to organizational sustainability. Unions have not adapted to changing market realities, notions of management resistant, and modifications to the Taft-Hartley act, as well as the impact of globalization (Rau, 2012). Performance management and other talent management practices described under HWPWs, when properly accepted and implemented, have a positive effect on organizations as well as the broader economy (Kim & Sung-Choon, 2013). Although unionization has a positive effect on workplace output, additional research is required on an industry-by-industry basis (Toubol & Jensen, 2014). Some negative effects of unionization on high performance include the impact of strikes, high wages on profitability, grievances, and arbitrations on firm operations (Toubol & Jensen, 2014). The impact of workplace practices, such as CBAs and HWPWs, impact whether an organization views its HR base as assets to be further developed into human capital.

Human Capital Theory

Becker (1993) propounded on human capital starting in 1964. Becker noted that the skills of an organizations HR base, if treated like other capital assets, could drive value that enables the organizations to grow or sustain growth. Becker noted that

economic and sociological factors were necessary in the consideration of the knowledge, skills, and abilities (KSA) of workers; how the market sets wages for the KSAs; and how organizations created an investment framework that harnessed, developed, and unleashed the KSAs of its human capital base to drive aggregate value. Some of the attributes Becker viewed as essential components of a person's capital included education, relevant experience, health and wellness, as well as personality traits to include conscientiousness and the values of the individual.

Other parts of Becker's (1993) theories on human capital provide additional clarity on the conditions necessarily to nurture HWPWs. Some of the factors that Becker uncovered included training and experiential learning a worker receives that empowers the employee to deliver maximum output. In regards to alignment of human capital attributes to market conditions, Becker noted that when the abilities and output of a worker exceed or is equal to the salary he or she receives, there is benefit to both the worker and the organization and no need for redundancies even when a firm experiences loss of revenue. Becker suggested that the marginal and total utility of workers is dependent of how much they contribute to the total value of the organization. The concept is contrary to the principles of CB, which seeks protections on wages, benefits, and working conditions for all workers, regardless of skill level (Freeman & Han, 2012; Muller-Jentsch, 2014). To further Becker's theories on human capital, it is necessary to understand how human capital theory is defined and used from other perspectives.

The importance of congenial conditions that enable organizations to develop and nurture their employees is important to creating and maintaining a sustainable and

competitive advantage. The proper nurturing of an organization's HR base can create benefits for an organization related to employee stability, innovation, and profits (Campbell, Coff, & Krycynski, 2012). Wright, Coff, and Moliterno (2014) viewed human capital from three key perspectives. The first perspective is on the characteristics of an individual that enables him or her to imbibe a firm's culture and as such turn that into value that benefits the organization. The second perspective is the characteristics of an employee that predisposes him or her to provide maximum value based on congenial environment conditions that unlock and unleashes his or her ability. Third, Wright et al viewed human capital as an aggregation of the knowledge, skills, and abilities of an organization's HR base. At this stage, some practical views on human capital practices are important to furthering my research on how CBAs hinder or enable high performance workplaces.

McLean and Kuo (2014) made counter arguments to human capital theory and stated that although rooted in the foundations of HR, human capital theory was advanced from the perspective of economists and not human resources practitioners. Although labor protections in an economy are helpful in preventing arbitrary layoffs, they do have a negative impact on the competitive abilities of employee, create labor market inelasticity, and negative financial impact on organizations. With an increase in employment protections for workers, flexibility for firms to be agile decreases and can lead to inefficiencies in output (Simintzi, Vig, & Volpin, 2015).

Unions enable market inelasticity of labor by protecting workers regardless of their contribution to the organization's efficiency (van Dalen, Henkens, & Wang, 2014).

Tan (2014) found that although there was resistance to human capital theory, there has not yet been a new theoretical framework that discounts its relevance in regards to how an organization might develop competitive advantage. It is important to explore the role and function of labor unions for their members and their impact on firm-level activities.

A Primer on Unions

Before exploring what CB is, it is important to explore and understand what unions do, why they do it, and how they do it. Bennett and Kaufman (2007) contended that there is one positive and one negative view of what unions do. The negative view is that unions are self-interested and motivated by self-preservation; the positive view is that unions present a united front in representing the interests of their members in dealing with employers (Rosenfeld, 2014). Depending on labor market conditions and other economic factors, there are significant costs, optimization tradeoffs, and the potential for a brain drain to organizations if workers leave when they are dissatisfied with working conditions (Rosenfeld, 2014). There is a pragmatic and economic benefit to management and unions to resolve workplace issues. Unions provide other advantages to their members.

Unions act as a countervailing voice to negative overtures by employees and represent the collective interests of their members (Hipp & Givan, 2015; Keane, Pacek, & Radcliff, 2012; Rosenfeld, 2014). Hipp and Givan (2015) conducted a detailed analysis to provide clear insights into what unions represent. Hipp and Givan (2015) found that unions had a significant impact on wages, benefits, wage parity amongst their members, job security, protections afforded in CBAs, positive wage externalities on nonunionized

workers, strained relationships with management, longer job tenure than nonunionized workers, high wages resulted in lower profits for organizations, influenced labor laws, are egalitarian, may be outdated, and have declined in density over the last few decades. Some of the negative aspects of unions previously outlined have created economic and political problems for unions.

Critics of unions view them as ineffective, expensive, bad for competition, and outdated in the labor market demands of the 21st century. Using the model of self-preservation, unions exert undue influence leveraging the labor of union members to force employers to raise wages or risk losing money due to strikes or other acts of dissension by the unions (Rosenfeld, 2014). In addition, unions did not affect wage imbalances, particularly for African American and women workers who still received a substantially less wage than their White colleagues regardless of the fact that African American presence in unions grew significantly in 1973-2007 (Rosenfeld & Kleykamp, 2012). In an economy with low unemployment, wages tend to be stable because unionized and nonunionized employees have more options (Blien, Dauth, Schank, & Schnabel, 2013). Nonetheless, unions do provide protections related to job security and employment representation for their members (Rosenfeld & Kleykamp, 2012). Despite the preceding negative view of unions, I discuss the positive role of unions in the next paragraph. I stopped reviewing here due to time constraints. Please go through the rest of your chapter and look for the patterns I pointed out to you. I will now look at Chapter 3.

The ability of labor unions in gaining higher wages for their members, without aggregate commensurate economic value for organizations, has generated criticism from

economists who believe this is harmful to the broader labor force in the United States (Gallaway & Robe, 2014). Other labor market and economic theorists proposed varied ideas regarding the role of unions in society. Gallaway and Robe (2014) researched unionism and wages and found that unions created *deadweight loss* because they artificially raise wages, which lag behind economic output and retard broader macroeconomic progress. As a result, unions contributed to wage inequality, taking into consideration existing wage imbalances that existed on an intra-industry basis (Gallaway & Robe, 2014).

The issue of wage imbalances is directly related the use of collective bargaining to impact wage negotiations on behalf of union workers, which has a negative effect, even if marginal, for the wider labor market (Kaufman, 2012). Further, unions have strongly opposed developments in trade agreements, which could influence workers in the United States who lose jobs and wages to overseas workers (Beladi, Chao, & Hollas, 2013). Unions have not efficiently adapted to changing market and social conditions, which has resulted in a steady decline in union density over the last fifty years (Domhoff, 2013). Nonetheless, unions have a strong, albeit declining, role in the American labor force (Lichtenstein, 2013).

The role of unions in society coupled with declining membership in unions needs further examination. Hipp and Givan (2015) concluded that (a) unions are beneficial to workplace efficiencies and higher salary and benefits for their members; (b) although they reduce the net income for organizations because of higher wages, the net income reduction only affects highly compensated members of management; and (c) unions can

be a positive force for social justice and worker rights. As collectively bargained agreements or contracts are the basis of the employment agreement between unions and employers, it is necessary to explore the concept with some detail.

Collective Bargaining

The advent of collective bargaining is rooted in the general idea that workers bound together through negotiated agreements create a balance of power with employers. Collective bargaining agreements represent meeting the general desires between employers and union employees in regards to agreements on wages, benefits, and working conditions (Marginson & Galetto, 2016). The parties and counter parties in a labor negotiation include representatives of management and representatives of the labor unions (Marginson & Galetto, 2016). To understand how collective bargaining is used and how it came to be, I discuss the historical developments that birthed it.

Beatrice and Sydney Webb (Muller-Jentsch, 2014) defined the term ‘collective bargaining’ in their magnum opus on labor titled *Industrial Democracy*. Collective bargaining was a mechanism for establishing employment conditions and as a vehicle for representing the voice and interests of workers (Muller-Jentsch, 2014). Collective bargaining borrowed concepts and theories from politics, economics, psychology, and sociology to form cohesive paradigm for the how workers bargain with their employers. It provided a framework for understanding how unions can develop an employment agreement, much like any kind of partnership, for a defined period of performance (Freeman & Han, 2013). The collective bargaining agreement is a documented agreement for dictating wages and benefits, as well as other issues for which arbitration

or grievances are necessary (Compa, 2014). The process of negotiating contracts is a tedious one and requires certain prerequisites for a successful conclusion.

Labor contracts require adequate preparation by union and management representatives in a manner that produces results that support worker and organizational sustainability. Prior to collective bargaining agreements, unions and management representatives generally engage in pre-bargaining arrangements to dictate the form and structure of the negotiation process (Walton & McKersie, 1991). Freeman and Han (2012) provided a blueprint for labor negotiations, which requires the following. Before the bargaining process, managers need to develop an overall plan and ensure that they make contingency arrangements to adhere to provisions of the NLRA. During the bargaining process, Freeman and Han emphasized the need for management to understand how to bargain over economics to include wages as well as health and other benefits.

Significant portions of Freeman and Han's work focused on negotiating based on past precedent, economic concerns, and areas of mutual benefits between labor and management. Freeman and Han's work does not appear to include clear guidance for performance standards, performance expectations, or other conditions for sustainable performance management. Critical voices against collective bargaining are necessary to understanding the challenges to the process in current market conditions.

Lewin et al. (2012) made three core arguments against collective bargaining. Lewin et al stated that it would give unnecessary power to public workers who are hired to perform services guaranteed for the public good. Second, collective bargaining had the

potential to provide public sector workers undue coercive power over elected politicians circumventing democratic ideals. Finally, the potential threat of strikes used when there is an impasse in the negotiating process could harm the public who rely on essential services provided by the specific agency where workers are striking. These previous points seemed to propose that collective bargaining agreement was a powerful tool that could be misused or have adverse impact on secondary stakeholders in the event of a negotiation stalemate (Lewin et al., 2012). These three factors lead to some states creating special arbitration rules, particularly for essential services like the police and fire services. Historical precedent has shown that Calvin Coolidge used force and permanent workers to replace union workers during the Boston Police strike of 1919, and this influenced President Reagan when he fired Professional Air Traffic Controllers (PATCO) workers who went on strike in 1981 (Walker, 2016). In case of an impasse during a collective bargaining process, unions have several options to include mediation and arbitration (Domhoff, 2013).

Compared to non-unionized organizations, unions can threaten strikes and withdraw their labor in the event that there is not an agreement or general concessions, which are based on the collective will of management and union representatives (Muller-Jentsch, 2014). The primary objective of unions during labor negotiations is to maximize opportunities to increase wages, benefits, and improve working conditions (Freeman & Han, 2012; Lewin et al., 2012). In cases where the union has significant bargaining power over employers, the wages negotiated will exceed market rates, noting that there could be a negative impact to the employer if the union strikes (Marginson & Galetto, 1980).

There are significant costs to negotiated contracts dictated by the bargaining position and leverage held by the unions or employers (Gallaway & Robe, 2014). Unions may go on strike or employers may lock out employees from work when there is no collective agreement (Scott, 2014).

The lack of a collective bargaining agreement may have consequences to organizational efficiency. As the NLRA provides protections for labor unions to organize to advance collective bargaining, unions may strike in an effort to coerce or encourage employers to negotiate favorable conditions (Lehr, Akkerman, & Torenvlied, 2014). Management may seek flexibility in bargaining agreements to replace staff, assuming there is a lack of alignment between expected output and current competencies of the staff (Marginson & Galetto, 2016). When there is an impasse, the bargaining party that took the initiative to initiate re-bargaining may lose power (Walton & McKersie, 1991). Some alternatives to avoiding or abating strikes and lockouts include arbitration and mediation.

Mediation and arbitration are techniques that, when properly implemented, have an impact in resolving disputes during the collective bargaining process. Intervention by a third party in the event of an impasse during the negotiation process can help realign the bargaining parties to the core issues for labor negotiations (Winograd, 2015). The outcomes of an arbitrated agreement can be binding to the negotiation process compared to mediation or reconciliation (Winograd, 2015). The purpose of mediation is to restore objectivity and good faith as part of ensuring the aggrieved party participates in the negotiation process towards (Lewin et al., 2012). These tactics can be useful in restoring

confidence in the negotiation process, with the assumption that all parties are willing to arrive at a constructive settlement. Based on the preceding context, the theories proposed by Walton and McKersie are useful in examining frameworks for conducting labor negotiations.

A Behavioral Theory on Labor Negotiations

Walton and McKersie were the first to put theories regarding labor negotiations into a comprehensive and widely accepted framework in a seminal study entitled *A Behavioral Theory on Labor Negotiations* (Walton & McKersie, 1991). It is important to explore the full context and definition of the collective bargaining process before considering the contributions Walton and McKersie made to defining and codifying the sub-processes that drive negotiations in labor unions. The four sub-processes defined by Walton and McKersie (1991) were integrative bargaining, distributive bargaining, intra-organizational bargaining, and attitudinal restructuring. It is important to note that not all labor impasses result in strikes and lockouts since public sector unions typically result to forced arbitration to resolve labor disputes in collective bargaining (Epstein, 2013). This requires that unions and management cooperate on key issues related to the collectively bargained agreement in the context of the behavioral theories proposed by Walton and McKersie (1991). The behavioral theories on labor negotiations noted strategies and tactics for distributive bargaining, integrative bargaining, attitudinal structuring, and intraorganizational bargaining as critical to the model for collective bargaining (Walton & McKersie, 1991).

Distributive Bargaining

Distributive bargaining is the traditional bargaining approach where opposing parties bargain to gain advantage over the other in relation to economics, wages, and other issues. Some tactics used specific to the distributive bargaining approach included controlling the opponents' options, using perception management to create a desired impression, and using intimidation tactics to gain commitment. Walton and McKersie described distributive bargaining as a zero sum approach to negotiations.

Integrative Bargaining

Integrative bargaining is possible when organizational conditions and cooperation between management and unions are collaborative or oriented towards an industrial democracy (Muller-Jentsch, 2014). Using the integrative bargaining approach, there is not a winner-take-all situation, but rather a bargaining framework where there is the minimization of conflict towards an agreement based on mutual benefits for union and management. Integrative bargaining is identified as representing the outcome of trust, respect and cooperation between management and unions to achieve a desired outcome during the negotiation process (Walton & McKersie, 1991).

Attitudinal Restructuring

The existing relationship between union and management informs the types of attitudes, posturing, baggage, and approach used to inform the bargaining process (Walton & McKersie, 1991). This may cause the need for attitudinal restructuring. Some tactics used to influence and restructure attitudes in bargaining include retribution for bad behavior, as well as giving concessions to acknowledge and affirm good

behavior. The overarching theme for attitudinal restructuring is based in the ability of one negotiating party's ability to influence the attitude of the other (Walton & McKersie, 1991). Finally, since a significant part of negotiation is based on trust and leverage, opposing parties may push or pull hard when there is a perceived advantage that could impact trust or develop confidence and inform the overall collective negotiation.

Intraorganizational Bargaining

An important point is the notion that union officials are elected to office for a defined period where their constituents can exert pressure on them (Walton & McKersie, 1991). Within this context, during the bargaining process, both unions and management designate a head negotiator who must use an intra-organizational process to adequately represent the interests of his or her stakeholders at the bargaining table. It is the role of the head negotiator to successfully mediate and negotiate constituent interests before meeting the union-management bargaining table. All these preceding points inform the theories on labor negotiations as proposed by Walton and McKersie. Before exploring how unions and management teams cooperate, I researched other factors related to the labor negotiation process.

Although Walton and McKersie provided a sound framework for labor negotiations, general practice during CB did not make for mutual interests, trust, and transparency between labor and management. In fact, Walton, McKersie and Crutchfield (1994) noted that negotiations often include factors that inhibit collaboration or 'fostering' and enable what they termed 'forcing' the other negotiating opponents to a desired outcome for one party.

Sebenious (2015) stated that although the work by Walton and McKersie informed labor negotiations, in some ways, some of their concepts, specifically related to attitudinal restructuring and intraorganizational bargaining, may have remained largely academic with minimal impact to the practice of bargaining. This point by Sebenious underscored the complex factors that inform labor negotiations. In spite of this, Cutcher-Gershenfeld and Kochan (2015) agreed that it remains the most important book published on labor negotiations based on the number of times it has been cited and Walton and McKersie's ability to create a framework of understanding the interdisciplinary nature of labor negotiations. Effective labor negotiations are not possible until there is some level of cooperation between unions and management. I reviewed this concept is reviewed in the subsequent section.

Union and Management Cooperation

It is necessary for labor representative and management to cooperate, despite opposing viewpoints related to the philosophical growth and basis for unionism in organizations. There is significant evidence, which showed that union management cooperation could take several forms (Chambers, 2013). These forms of cooperation were (a) through federal level management committees such as what were developed during the Kennedy, Nixon, and Ford presidencies, (b) at the industry level, (c) at an inter-industry level, (d) at the geographical level, (e) for workplace safety, (f) joint labor and management committees, (g) on workplace productivity, and (h) committees to improve work-life balance (Chambers). Zhou, Hong and Liu (2013), stated that cooperation

between unions and management was critical to effective firm-level performance. The relationship between labor and management is important and investigated further.

Ultimately, managers are responsible for managing the dictates of the collective bargaining agreement in a union environment. Organizations exist to (1) foster an organizational framework where individuals can do meaningful work and (2) rally its employees under a mission statement, and lobby the government towards favorable legislation that sustains organizational sustainability (Chambers, 2013).

The type of relationship between unions and management has a direct impact on organizational sustainability. Rosenfeld (2014) did note that union members did report contentious relationships with management compared to employees in nonunionized organizations. Devinatz (2012) researched and uncovered that cooperation between management and unions were critical for organizational sustainability. A winner-take-all contentious relationship is indicative of negative distributive bargaining tendencies described by Walton and McKersie (1991). Union-management collaboration may take the form of mutually beneficial framework based on clearly defined roles between labor and management, thereby entrenching a two-class system (Marginson & Galetto, 2016). With the industrial democracy model described by Muller-Jentsch (2014) and Kaufman (2013a), the organization has an environment that fosters transparency, respect and trust, with both union and management working towards the common goal of sustainability for the organizational and all of its stakeholders (Muller-Jentsch, 2014). On this basis, the history of labor unions and how they came to existence informed the research on how

collective bargaining agreements shape performance standards in unionized organizations.

Labor unions were central to this study so it was important to explore how unions came to be, what led to the rise of unions, causes of the decline of unions, and the current of labor and trade unions in the context of today's labor market. Previous studies on labor unions by Lucy (2014) and Martyn (2015) studied internal dynamics and the role of leadership in labor unions but did not fully explore the impact of collective bargaining agreements on work process and achieving high-performance. Both studies by Lucy (2014) and Martyn (2015) used a quantitative and qualitative approach respectively, which indicated broad scope research methodology based on the specific phenomena being studied.

Historical studies on unions such as Rivers' (2014) research examined the reasons for declining union membership. Rivers used a literature review that researched the history of unions and juxtaposed it with the current political, economic, and social reasons for the decline in membership. Martyn's (2015) literature similarly explored the recent history of unions and linked it to the other concepts that drove the central argument of the paper. It appears that the aforementioned research studies used appropriate research designs for the study of specific phenomena. Also the study of the historical context of labor unions was of great importance to understanding the current state of the phenomena being explored (Lucy, 2014; Martyn, 2015; Rivers, 2014).

Workplace Conditions Between the Early 19th and 20th Centuries

The historical context, rise, and mainstreaming of labor unions in the United States is critical to this research study. At the turn of the 19th century, workers primarily wanted unions to protect themselves from predatory practices of employers and to assert democratic values they also expected from the wider society (Domhoff, 2013).

Lichtenstein (2013) asserted that this led to various insurrections of workers against employers such as the United Mine Workers agitation from 1920-1924 and other labor actions of workers in the railroad, machinist, carpentry, garments, and other industries. During the 1920s, additional political and socioeconomic factors, such as the advent of the Great Depression, led to the need for further unionization and workplace protection demands of American workers (Lichtenstein, 2013).

During the twentieth century, new methods of working driven by rapid industrialization and the need for workplace efficiencies based on the management theories of Frederick Taylor developed (Grachev & Rakitsky, 2013). Frederick Taylor proposed a new paradigm of management and organized these theories into a body of work known as *scientific management* (Jeacle & Parker, 2013). The theories of *scientific management* were opposite to the early influences of Karl Marx's theories of a classless society on the early labor movement of the late 19th and early 20th centuries (Crowley, 2015). The purpose of scientific management was to drive production efficiencies, gain more value out of worker productivity, promote effective division of labor, and not expect the worker to use independent thought, but rather follow strict instructions from a manager or supervisor on how the work should be done (Jeacle & Parker, 2013). These

work conditions necessitated an exploration into how it affected employers and employees.

Scientific Management

In this section, I examined scientific management in its full context for the conditions it created for workers and owners of industry. The growth and acceptance of scientific management and mass production in the early 20th century created a stable economy in the United States and prosperity, especially for owners of the factors of production (Zeigler & Gall, 2002). Scientific management or *Taylorism* was a dictatorial form of management that required total obedience from the worker and mirrored the general social conditions of the era of the early twentieth century (Lichtenstein, 2013). According to Lichtenstein (2013), *Taylorism* relied on strict hierarchies, and a ‘command and control’ organizational framework, similar to the military.

Rapid industrialization at the turn of the 20th century required a management framework that could harness the collective output of workers (Grachev & Rakitsky, 2013). After the First World War, Taylor’s views against worker independence made *Taylorism* possible and acceptable by employers who were seeking to get more production from their workers. This approach to management was not congenial to workplace democracy or workers organizing under a union (Grachev & Rakitsky, 2013; Nyland, Bruce, & Burns, 2013). For example, early attempts by workers to strike against workplace conditions, such as the 1919 strike by 350,000 steel workers, were unsuccessful (Nyland et al., 2013). Rather, *Taylorism* influenced how union officials view management as unnatural allies at best and adversaries at worst.

Taylor made clear distinctions between those who conceptualized work from those who implemented work (Caudhill & Porter, 2014). Taylor's philosophical leanings, required a separation between management and unions, but did not necessary always guarantee that managers wielded complete power and influence (Lichtenstein, 2013). Taylorism was unpretentiously partisan with a primary interest in garnering the consent of the labor force towards generating maximum output (Nyland et al., 2013). Organizational systems for generating productivity were more important than individual concerns of workers (Nyland et al., 2013). Such preceding descriptions of Taylorism disavowed collective bargaining rights of workers and may be attributed to the rise and mainstreaming of unionism in America.

The Post-War Recession and the Great Depression

By 1920, an economic depression, attributed to the end of World War 1, destroyed the American economy (Lichtenstein, 2013). The iron, coal, and steel industries were decimated by this recession according to research by Lichtenstein. More than 5 million Americans were out of work. During the late 1920s, employers cut salaries as a cost-savings measure; nonetheless, workers were able to withstand the economic pressures of unemployment because of the saving reserves built in previous cycles of economic boom (Domhoff, 2013). After the recession of 1922 and a period of prosperity in the mid-1920s, The Great Depression occurred, which started in 1929 and lasted until 1939 (Kaufman, 2012). The US economy from 1900-1929 was largely driven by big industries, steel, railways, and mechanized production and morphed into one based on advanced industrialization, which facilitated consumerism (Lichtenstein, 2013). The links

between economic depression and the conditions for a federal act that protected America's labor force were critical to this study.

The Great Depression had a significant impact on American Labor for many reasons. As a result of the stock market crash of 1929, the economy entered a severe recession, which left many Americans in poverty, without jobs, and stagnated the economic gains from mass production in the 1920s (Lichtenstein, 2013). Unemployment was at 25% by 1932; people could not afford to feed themselves and relied on collectivism within the family unit as well as on relief agencies and charities for survival (Kaufman, 2012). Unions and citizens organized protests in many large cities around the country to combat police who were conducting evictions, but also to agitate against the perceived policies of the Hoover administration that led to the depression (Kaufman, 2013b). Labor unions such as the American Federation of Unions, United Mine Workers, and others did exist across the United States and represented workers for many years (Lichtenstein, 2013).

As of 1900, only 7% of workers were part of labor unions, with this number increasing to nearly 35% by the early 1950s (Lichtenstein, 2016). Previous acts such as the National War Labor Board of 1918 and the National Industrial Recovery Act of 1933 provided American Labor with some protections against employers (Kaufman, 2016). It was not until the National Labor Relations Act that American labor unions were given constitutional rights for fair labor standards, union representation, and collective bargaining standards protected by law (Lichtenstein, 2016).

The National Labor Relations Act

The National Labor Relations Act (NLRA) of 1935 provided workers with the right to organize and to negotiate pay, working conditions, and benefits with employers (Domhoff, 2013). As a result, more than 30% of the workforce joined unions between 1935 and the Second World War (Domhoff, 2013). Union membership remained steady until sharp declines in union density begun in the 1960s (Bureau of Labor and Statistics, 2015). The political and economic conditions of the Great Depression created the necessary conditions for the Democratic Party, led by Franklin Delano Roosevelt, to push through the NLRA, which ensured workers' rights and won the party critical votes in elections during that period (Domhoff, 2013).

The new democratic president, Franklin Roosevelt, inherited an economy that was in a depression, plus a contentious political framework (Domhoff, 2013). In fact, previous bills such as the National Industrial Recovery Act were met with fierce opposition by conservatives because of what they viewed as serious concessions to the fledgling American Labor Movement (Domhoff). The Supreme Court initially struck down Roosevelt's proposal for the National Labor Relations Act until he threatened to replace the court with justices more amenable to his ideas for economic recovery (Lichtenstein, 2013; Zeigler & Gall, 2002). These social and political factors created the conditions for the reforms Roosevelt needed to improve the economy.

The momentum of the New Deal and previous constraints with the National Industrial Recovery Act acted as precursors for the successful passing of the NLRA (Neumann, Taylor, & Taylor, 2012). The NLRA, also known as the Wagner Act, was

proposed in congress by Senator Robert Wagner, a democrat, and became law after President Roosevelt ratified the act in the summer of 1935 (Neumann et al., 2012). The National Labor Relations Act provided American unions with significant protections that did not exist in previous labor acts and precipitated the rise of labor (Lichtenstein, 2013). Although the Wagner Act gave labor significant protections, the Taft-Hartley act of 1947 restored some balance by providing some equal restrictions to labor unions as it did to employers (Domhoff, 2013). Labor unions in the United States continued to grow and flourish after the passing of the NLRA, which included modifications to the act in 1947 (Domhoff).

Rise of Labor Unions

Although unions existed in the 19th century and early 20th century, it was not until the 1930s that they gained mainstream growth and legal protections via the National Labor Relations Law (Zeigler & Gall, 2002). According to Piper (2013), the initial rise of unions was because of the economic effects of the Civil War and Reconstruction and the great railway strike of 1877. This railway strike was the real beginning of workers organizing under formal structures or early versions of unions (Piper, 2013). By the 1930s, labor unions had expanded from craft unions to include recruits from mechanized production and other professions (Lichtenstein, 2013). American labor unions added more than five million members from 1933-1937, showing remarkable growth after the signing of the National Labor Relations Act (Lichtenstein, 2013). By the Second World War, an additional 4 million workers joined the ranks of American Labor (Lichtenstein, 2013). Some of the reasons for the ascent of labor unions were not only because of rapid

industrialization but also by demographic changes to the workforce to include African-Americans, new immigrants from Europe, as well as women (Lichtenstein, 2013).

The growth of labor was in direct relation to the social justice movements of the 1930s related to poverty, fighting unfair work conditions, what were perceived as predatory practices by property owners who tried to forcibly evict tenants who could not pay their rents because of the depression, and wage cuts and exploitation of worker by employers (Kaufman, 2016). Importantly, the corporations in the economy were now mass producing items such as cars, houses, and electrical appliances that did not exist on this scale before the 1920s and 30s (Lichtenstein, 2013). This ‘overproduction’ required a consumer class; the fair wage fights by the earlier unions were in direct relation to these economic conditions. The passing of the NLRA was a part of President Roosevelt’s plan to boost the economy for corporations as well as workers (Domhoff, 2013). Further, with new entrants to the formal workforce, the Ladies’ Garment Workers, Black Workers, Miners, and others agitated for better work conditions and fair wages (Lichtenstein, 2013).

By the end of the Second World War, American unions had grown their membership to approximately 15 million members (Lichtenstein, 2013). Unions exerted their power through strike actions, lockouts, lengthy contract, and negotiations- all of which gave unions a public image of it being an effective force for workplace democracy (Lichtenstein, 2013). As described by Lichtenstein, such strikes by unions and union leaders created enemies in corporate America and the War department, particularly for strike actions during the Second World War.

Decline of Labor Unions

The legal framework of the United States provides the least amount of protections related to exploitative actions; sickness, health, injuries, and employment redundancies compared to other Western and developed countries (Dixon, Fullerton, & Robertson, 2013). The labor movement is partly to blame for this, as it never developed a collective voice to agitate for legal reform beyond workplace democracy (Pope, 2016). In his seminal book on the American labor movement and labor law, Friedman (2013) found that by the late 19th century, the court system had become a central arbiter of labor disputes, with an expanded role in ruling on key labor disputes where the labor movement had abdicated its responsibility for agitating for broader worker and human rights protections. As a result, the boycotts and strikes of the 1920s were suppressed by court decisions and, in many ways, informed and affected the labor movement's view of itself as it evolved into a collective force.

According to Kaufman (2013b), the Great Depression provided unions an opportunity to gain prominence. Workers had successfully organized themselves into a collective force, where entrepreneurs and owners of capital and industry had not (Kaufman, 2013b). The impact of the courts and the American legal system and social choice theory, as described by Friedman (2013), limited labor leaders to agitate solely on the basis of economics using collective bargaining agreements, lockouts, and strike actions to further their interests for improved conditions for workers. In fact, most of the legal precedents set late in the 19th century were by judges, who were supportive of American individualism against what they viewed as monopolistic tendencies exhibited

by the unions when they organized workers to strike.; the judges did not foresee how powerful corporations would become in contrast to worker rights (Friedman, 2013). The judges viewed workers organizing under a union to protest as tantamount to the kind of concentration of power and capital of the corporations of which they were up against (Pope, 2016). This is why the labor movement in America has not succeeded in fully incorporating human rights and workers' rights into the legal framework as European unions have done successfully (Pope, 2016).

The political conditions of the 1930s were the most favorable for labor unions in the United States (Lichtenstein, 2002). Unions and employers have been at odds from the beginning of unionism because they seek employment certainty, workplace democracy, and higher wages, whereas employees seek profit, flexibility to cut the workforce when needed, and cost containment (Domhoff, 2013). These were the roots of the power of labor unions, particularly in an era where workers did not have such protections against exploitative practices by their employers (Ziegler & Gall, 2002). Nonetheless, several factors such as new laws, agencies, racial politics, Vietnam War, gender rights, affirmative action, and the civil rights movement began to precipitate the decline of labor unions (Lichtenstein, 2013)

When President Kennedy took office in the 1960s, he made strategic appointments to the National Labor Relations Board, with specific liberal-minded appointees who began to exert pressure on corporations to be more open to unionization of their employees (Domhoff, 2013). This created enemies for the labor movement amongst power brokers who viewed Labor's influence on politics and the NLRB as

inimical to management practices around sustainability and profits (Kaufman, 2013a). The political climate of the 1960s precipitated and accelerated the decline of unionism.

American labor's foray into politics is important to note as labor rose, became mainstream, and eventually declined. Labor politics had traditionally sided with anti-Communist elements, which alienated young people particularly in the 1960s, as mass protests in the United States over the Vietnam War seem to overshadow union issues (Lichtenstein, 2013). Public perception of unionism suffered when the largest unions such as the American Federation of Labor and Congress of Industrial Organizations (AMERICAN FEDERATION OF LABOR AND CONGRESS OF INDUSTRIAL ORGANIZATIONS) publicly provided funds and supported US government policies against communism in Vietnam (Lichtenstein, 2013).

Labor representatives headed by the political machine of the AMERICAN FEDERATION OF LABOR AND CONGRESS OF INDUSTRIAL ORGANIZATIONS, supported the candidacy of John F. Kennedy in the 1960s, as they did previously with candidates who promoted New Deal initiatives such as Harry Truman (Kaufman, 2012). By 1968, the public perceived unions to be special interest movement rather than a social justice movement as it was in the 1930s, 1940s and 1950s (Lichtenstein, 2013). The Civil Rights era was also another important factor in shifting the attention from the labor movement to other social justice causes.

Racism and discrimination against African-Americans became a central political issue by the 1960s and trumped the arguments made by labor about income distribution and the labor movement as a whole (Lichtenstein, 2013). Civil Rights leaders such as Dr.

Martin Luther King, although progressive on labor issues, succeeded in bringing the Civil Rights agenda into the public's consciousness, which resulted in the signing of the Civil Rights Act of 1964 (Lichtenstein, 2013). The Civil Rights act also included Title VII that made provisions for Equal Employment Opportunity Act under the Equal Employment Opportunity Commission (EEOC), which stated that employers were obligated to use fair recruitment, selection and, promotion practices (Lichtenstein, 2013). The Civil Rights Act as well the creation of the EEOC took away from some of the issues that Labor had traditionally fought for, in regards to fair employment, wages, and working conditions (Lichtenstein).

Workers in the late 20th and early 21st centuries are more empowered than ever before. Lichtenstein (2013) proposed that because of the gains of the Civil Rights, Women's Rights, and other movements, public opinion sharply shifted from supporting unionism representation to supporting employee empowerment. This is in sharp contrast to the working conditions workers faced in the 19th and early 20th century, when there was minimal recourse under the law for employees; joining a union provided protection against discriminatory practices by employers (Kaufman, 2016).

Current State of Labor Unions

American Labor has steadily declined since the 1964 as indicated by the Bureau of Labor and Statistics (2016). According to the data from the Bureau of Labor and Statistics (BLS), union density or union membership is now at a low of 11% of the total working population in the United States. This decline presents clear imperatives for labor unions to drive sustainable practices so they can survive (Antonucci, 2016). Epstein

(2013) made a distinction between labor unions in the private sector and public sector. Private sector labor unions are less than 6% of the working population, compared to 35% in the 1950s. Although, union membership in public sector has remained steady, new right-to-work laws in states like Wisconsin and Indiana amongst others have prevented unions from using automatic paycheck withdrawals to collect membership dues (Antonucci, 2016; Lichtenstein, 2013). Further, unionization in the private sector has continued to decline from 37% in 1947 to 6% as of 2014 (Matheny, 2014). Public opinion on the salary and benefits of labor unions has further cemented the perception of labor unions as self-interested and only interested in self-preservation (Epstein, 2013). For example, the pensions received by union members in states like California and Illinois have created political tensions in state politics and legislation because these pension benefits are market liabilities which ultimately cost the tax payer more money and profit the union employees who are beneficiaries of such benefits (Epstein, 2013). Wisconsin Governor Scott Walker passed legislation in his state that substantially weakened the power of unions to organize workers around collective bargaining agreements and, in effect, undermined the power of unions as a countervailing force to employers (Walker, 2016).

Another major hurdle that could impact the long-term sustainability of labor unions is the pending Supreme Court case between Friedrichs and the California Teachers Association also known as *Friedrichs v CTA* (Antonucci, 2016; Bruner & Suires, 2013). In the *Friedrichs v CTA* case, the issue is in regards to an agency fee. An agency fee is a required payment that non-union members have to pay unions in

exchange for 'equal representation' on issues related to wages, benefits and working conditions (Antonucci, 2016; Fisk, 2014). If the US Supreme Court rules in favor of Friedrichs, unions risk losing revenue from non-union members in states with legal collective bargaining provisions. The potential impact could extend to some members who are part of the union because of the minimal disincentive to being a non-union member and paying a 'fair share' contribution, compared to being a full union member.

Member's dues are a critical imperative for the economic survival of unions. According to Antonucci (2016), the average annual cost a teacher's union member pays is \$1000, compared to a non-member who pays \$650 in agency. For \$350 more, which is marginal in the context of the full membership cost; the non-member who becomes a member gains additional collective bargaining rights to include legal representation when charged with dismissals or suspensions (Antonucci, 2016). As stated by Fisk (2014), there are current union members who may consider leaving the union assuming the Supreme Court rules in favor of Friedrichs in the Friedrichs v CTA case. The potential impact of the Friedrichs v CTA case may be one of many lawsuits that could affect the overall sustainability of unions.

The historical rise of labor unions may have something to do with why it is no longer a mainstream concept. The symbol of the working, independent white male of the 19th century came to symbolize the roots of unionism, contrasted with other populations such as the 'weak and dependent woman' and the servile and docile black male, who at the time was a slave or, at the very least, a marginalized part of society (Pope, 2016). At its roots, unions were not inclusive as they sought to represent the rights of working class

white males (Ferguson, 2016). Further, Pope argued that the laws during the early to mid-20th century caused and entrenched racial divisions in the United States, and prevented cross-racial collaboration, between blacks, whites and other ethnicities for mass labor and social justice reform.

By the 20th century, mass industrialization, rising costs of living, and mass immigration of new workers from Europe and other parts of the world meant that black workers, women, and other non-whites saw the value in creating or joining unions (Zeigler & Gall, 2002). As unions grew, this meant that the traditional white male leaders of unions such as Gompers and Hillman had to be inclusive (Lichtenstein, 2013). It is important to point out that they could not necessarily fully represent the interests of their constituents beyond wages, salary, and working conditions. The preceding point explains why shifts from traditional union jobs, globalization, and other factors precipitated the decline of unions (Goldfield & Bromsen, 2013).

Despite the decline of labor unions as stated by Lichtenstein (2013), the economic and social climate indicates that unions could still be potentially relevant. Pope (2016) argued that the gap between the rich and poor in the United States is wider than any other country in the developed world and is somewhat attributed to the inability of American Labor to look beyond representing their members and in the interest on their own self-preservation (Pope). Nonetheless, unions have several legal hurdles to contend with (Friedman, 2013), which is why it was critical to understand how unionism and collective bargaining agreements enabled or inhibited managements from creating and sustaining high performance work practices.

HPWP in Labor Unions

Although high performance work practices affect firm performance, there are circumstances where it does not change performance and may even decrease it (Fleetwood, 2014). In addition, Fleetwood stated that the introduction of unionization to an organization might have a neutral, positive, or negative effect on wages. On the contrary, research by Hassan et al. (2013) found that there is a direct link between employee satisfaction on a firm's performance level, based on creating HPWP. When workers did not feel empowered, they desired more empowerment, which unions seek to provide through advocating for the employee's voice (Markey, Ravenswood, Webber, & Knudsen, 2014). Such empowerment is consistent to components of HPWP related to information flow, information transparency, and the maintenance of a meritocratic work environment (Huselid, 1995; Pfeffer, 1996). A study by Awan et al. (2013) suggested that unionization hinders management from using flexible practices to engender HPWP.

Unions can play a strong role in implementing HPWP in organizations where there are positive labor and management relations. For this to be possible, unions and management needed to have a favorable view of each other to enable positive HPWP (Gill & Meyer, 2013). The preceding view is consistent with the integrative bargaining strategy suggested by Walton and McKersie (1991), which required honest partnership from both parties. It is important to recognize that unions have historically viewed management practices such as HPWP and strategic HR with suspicion; this is rooted in the early years of human resources and management using spies in union ranks

(Kaufman, 2013b). It is for this reason I sought to review the collective bargaining process and its impact on HPWP.

Gap in the Literature

Walton and McKersie (1991) analyzed and created an effective framework for effective labor negotiations. Importantly, I reviewed the behaviors that hinder or enable effective bargaining (Walton & McKersie, 1991). Integrative bargaining does not include a discussion whether collective bargaining agreements impede or enable high performance work practices. Similarly, although cooperation by labor unions and management is critical for organizational dynamics, Rau (2012) did not expand on how collective bargaining agreements may affect high performance practices. Human capital theorists analyze and provide a paradigm for which organizations can treat their employees as assets (Becker, 1993), but do not investigate how collective bargaining agreements factor into this process. All of this indicated a gap in the research in exploring whether collective bargaining agreements enabled or hindered managers from creating and sustaining high performance work practices. I did not explore factors such as employee ownership, quality management, and employee empowerment may negate the need for unions.

Summary and Conclusions

Previous research on labor unions by Martin (2015) and Rivers (2011) did not explore the impact of collective bargaining agreements on high performance work place practices in labor unions. Data from the Bureau of Statistics (2015) indicated that union density has declined substantial by nearly 25 percentage points from the 1960s to 2013.

The modern history of labor unions came about because of the exploitative work place practices of the late 19th and early 20th centuries (Rosenfeld, 2014). The economic conditions of the Great Depression enabled President Roosevelt to pass the National Labor Relations Act of 1935 (Lichtenstein, 2013). The National Labor Relations Act provided unions with protections to organize (Lichtenstein, 2013).

As labor unions matured, Walton and McKersie (1991) developed an integrative framework to help unions and management to negotiate effectively. Rau discovered that although unions used collective bargaining agreements to dictate working conditions, they have been slow in embracing the concepts of high-performance work places as proposed by Huselid (1995). This indicates a significant gap between the existing research studies on HPWP in Labor Unions that justifies the purpose of my study. My objective in Chapter 3 was to demonstrate how a qualitative research design effectively enabled me to explore how collective bargaining agreements enabled or hindered the creation and sustainability of high performance work practices.

Chapter 3: Research Method

In Chapter 2, I presented an analysis of the literature relevant to high performance work practices, the use of collective bargaining agreements in labor unions, and performance accountability. The literature reviewed in Chapter 2 affirmed a gap regarding whether collective bargaining agreements enable or inhibit the sustenance of a high-performance in labor unions. In Chapter 3, I detail the research approach used to collect data to inform the problem statement and research questions stated in Chapter 1. The areas discussed in this chapter include the research design and rationale, the role of the researcher, methodology, and issues of trustworthiness to include ethical procedures used to guide the study. I used the case study methodology as my research design of choice, which is consistent with the philosophical approach of my study, as congruent with social science research.

Research Design and Rationale

As stated in Chapter 1, the purpose for this study was to explore how collectively bargained agreements hindered or enabled managers from creating and sustaining high performance work practices for their employees in both private and public sector labor unions based in the Washington DC metropolitan area. The qualitative mode of inquiry is most relevant to my research as qualitative research is oriented towards exploration. In addition, I used the multiple case study approach as described by Yin (2014) and interviewed subjects from various private and public sector labor unions in the Washington DC metro area. Yin described the case study approach as research on a phenomenon to generate insights on causal factors and the effects of a kind of phenomena

on people within the bounded system. For this reason, I interviewed no more than 15 people using purposive and snowball sampling as it enabled me to reach data saturation, as described by Fusch and Ness (2015). It is important I clarify why I chose the qualitative method of inquiry rather than a mixed-methods or quantitative research approach.

The purpose of my study was to explore how CBAs in public and private sector labor unions influenced the creation and sustenance of HPWP conditions. CBAs are critical to the function of labor unions as they form the basis of the employment relationship between labor union members and the employer (Boniface & Rashmi, 2013; Compa, 2014). The concept of the study is informed by the social change in the traditions of social science research, as described by Elo et al. (2014). I described my justification for selecting the qualitative research approach in the next section.

Selection and Justification of Qualitative Approach

Maxwell (2013) stated that it is important for researchers to be clear regarding their research goals and to use a research paradigm that enables the researcher to reach the stated objectives for the study. For these reasons, I considered other modes of inquiry, namely, qualitative, quantitative, and the mixed-methods approach. Researchers typically select the mixed-methods approach because it enables effective triangulation, ensures the research includes both qualitative and quantitative aspects of the topic being researched, and enhances the scholar's ability to use various data collection approaches to gain more insight into the phenomena being explored (Maxwell, 2013; Mertens & Hesse-Biber, 2013). The mixed-methods approach requires both quantitative and qualitative study data

collection and analysis; as a result, the qualitative research design is best for my study. Further, it is incumbent on the researcher to determine whether the study can be completed with a qualitative or quantitative approach rather than applying the mixed-methods methodology.

Quantitative researchers primarily use statistical analysis to test and prove hypotheses through surveys, experiments, content analysis, and structured observations (Maxwell, 2013; Yilmaz, 2013). A quantitative method is most useful in the sciences and other disciplines that require tests, experimentation, and absolute empiricism (Yin, 2014). My study centered on exploration; therefore, hypotheses and statistical analysis, hypotheses testing, and experimentation were not applicable to my qualitative study. A qualitative approach was more relevant to my study as it enables researchers to use a social scientific method of inquiry to exploring a phenomenon and how people ascribe meaning to the researched phenomena. Since I could use multiple data collection approaches, as consistent with qualitative research, the multiple case study design was most relevant for my study.

I chose the case study methodology for the qualitative research because I explored how CBAs enabled or hindered management from creating and sustaining HPWPs in public and private sector labor unions in the Washington DC area. Yin (2014) stated that the case study design is useful when a researcher is exploring phenomena, has no influence on the dynamics or people in the case studied, and ensures the topic of the study is based on current and relevant issues. As described by Boblin, Ireland, Kirkpatrick, and Robertson (2013), a case study is a research design used to study an

organizational setting within a time period using data collection techniques that incorporate multiple sources of data. The multiple case study approach was most relevant to my study because of my interest in private and public sector labor unions in the Washington DC area and my research on how CBAs enabled or hindered HPWP conditions. My case study design was consistent with similar dissertation research about labor unions conducted by Martyn (2015).

I did not select other qualitative research approaches, such as ethnography, phenomenology, narrative, and grounded theory. Ethnography is an approach used by researchers to study the shared experiences of a culture and is inconsistent with my study, which seeks to explore relation to phenomena in a bounded setting as described by Yin (2014). Additionally, as I did not design my study to create and uncover new theories, the grounded theory approach was not suitable. Further, I did not use a biography or biographies of anyone and so the narrative approach was not germane to my study. I did not choose phenomenology because it would have restricted me to research the shared experiences of a limited group, whereas I focused on exploring an organizational phenomenon within a closed organization setting. For these reasons, the multiple case study methodology was the most appropriate design for my research.

Multiple Case Study

My research design was a qualitative, multiple case study. As my study was about exploring how CBAs impact HPWP conditions across labor unions, the case study approach was most germane. For my study, I collected data from more than one labor union as each union organization used CBAs that are different and specific for their

contexts. Further, as Yin (2014) stated, multiple case designs are generally replicable, whereas single case studies are usually not. Moreover, multiple case studies are more rigorous than single case studies because of the potential of the comparative nature, potential for theoretical replication and empiricism from retrieving, and analyzing information from more than one case study (Yin, 2014).

Role of the Researcher

As the researcher, I was central to this study because the role of the researcher is indicative of qualitative research design as opposed to quantitative research. I used an interview protocol based on the research question and subquestions outlined in Chapter 1. I used this as the basis of my semistructured interviews with the research participants when I started collecting my data. The semistructured interview approach was useful as it enabled dialogue that generated additional insights beyond the scope of the documented interview protocol, as suggested by Maruyama and Ryan (2014). My interview protocol included details on the scope, purpose, and context for the interview (see Appendix A).

My personal interest in this subject was because of my work as a human capital practitioner. Prior to my role at a large private sector labor union in Washington DC, I worked for a number of mission-driven blue chip management consulting organizations, such as Deloitte and Booz Allen Hamilton and, most recently, for the largest and most prestigious international public sector organization, The World Bank Group. In these organizations, I observed and helped implement talent acquisition and talent management practices designed to recruit, align, and develop highly motivated and well-qualified candidates to carry out the mission of these organizations.

After leaving these positions, I joined a large labor union where I was responsible for creating the conditions necessary to induce strategic HR practices. I was enamored with the mission of the organization, its history, and union traditions. I noticed that the high performance conditions I observed in my previous workplaces were not ascribed the same level of urgency that I observed in the private sector and in the World Bank. This is despite the fact that CBAs indicated the need for performance accountability.

I recognized that my previous experiences might induce personal bias; however, I recognized the importance of unions as a part of the U.S. labor force. I hoped to uncover how CBAs, which are the basis for the existence of labor unions, enable or hinder HPWP culture. The people I interviewed were labor union employees in both private and public sector labor unions based in the Washington DC area with which I do not have a binding personal relationship. This was a step in mitigating bias in the data collected and other issues related to power relationships, which can skew the content of the feedback provided from participants in the study, as noted by Maruyama and Ryan (2014).

Mitigating Researcher Bias

I mitigated my personal biases through using robust interview questions (Appendix B) and a strict use of scholarly research, credible data, and historical records on CBAs, in concordance with Hoque, Covaleski, and Gooneratne (2013). I used a personal journal for reflection; this is a technique to assist researchers in keeping track of key themes, observations, as well as their own feelings during the data gathering phase for key parts of the research process (Everett, 2013). The process of journaling is important because the researcher is central to the research process in a qualitative

process, so it is critical to keep track of intangible elements of the researcher's experience to engender new insights and themes (Cope, 2014). For these reasons, I kept an active journal and field notes to mitigate my own bias.

As postulated by Maruyama and Ryan (2014), the social sciences differ from other sciences because researchers use them to study people and their engagement with and ascribe meaning to phenomena. This creates potential researcher ethical issues, mitigated through following the ethical guidelines provided by Walden University's Institutional Review Board (Walden, 2016). I only interviewed private and public sector union employees in the Washington DC metropolitan area. I discussed key considerations related to the development of the methodology of this research in the next paragraph.

Methodology

This was a qualitative study using the multiple case study design, as described by Yin (2014). Important components of this case study research included the sampling strategy; participant selection; and procedures for recruitment, instrumentation, data collection, data transcription, and data analysis. In the following paragraphs, I explained my logic and process for using the qualitative research process.

Participant Selection Logic

My study was primarily on private and public sector labor unions across all industry types in the Washington DC metropolitan area, where I explored the impact of CBAs on HPWPs. Because I used the multiple case study design, as described by Yin (2014), I engaged with a number of private and public sector unions in the Washington DC area. My recruitment approach included engaging with the DC chapter of the Labor

and Employment Relations Association, websites of labor unions, LinkedIn searches to target potential participants, as well as broad online searches for potential participants in the Washington DC area. I primarily used e-mail as the first point of contact and follow-up with phone calls to confirm and schedule in-person interviews.

My primary criteria was that the participants needed to have been involved in at least one CB process, be a union member, currently or previously manage staff using a CBA, or work in a HR department where there is responsibility for implementing a CBA. Besides the requirement for participating in a CBA, the other requirement was that the participants should have worked in a labor union for at least 2 fiscal years. I confirmed this through reviewing LinkedIn and other public access information to establish participant eligibility. It was my estimation that this requirement would have indicated that the participants had enough experience and insight into the culture and organizational realities of using or working with a CBA.

Fusch and Ness (2015) noted that there is no single sample size for achieving data saturation as this varies from study to study. The sample size to achieve data saturation depends on the study approach; yet, 15-30 interviews is one benchmark for potentially saturating the data (Marshall, Cardon, Poddar, & Fontenot, 2013). My consideration for the right sample size was based on a realistic assessment of the variability of the target population; the level of experience of the research; and the timeline for the study, as discussed by Dworkin (2012). All of these factors informed the sampling strategy used in my study.

Purposive sampling, as described by Maruyama and Ryan (2014), was my sampling strategy as it enabled me to select a demographic using a nonprobability approach to maximum impact to my research design and research problem. My sampling approach required a demographic made up of union members; management; and other stakeholders who have a direct involvement with the CB process, as indicated by Lewin et al. (2012). A nonprobability sampling technique was most useful. Purposive sampling enabled me to select staff members; managers; union officials; and HR staff who negotiate CB agreements, represent staff for whom CBAs are negotiated, or implement and abide by the provisions of the CBA.

In addition, I used snowball sampling, as described by Elo et al. (2014), to access additional union and nonunion staff to provide feedback. This is because of one of my assumptions stated in Chapter 1 in regards to how my study might make union stakeholders reticent to participate based on the historical antagonistic disposition of unions to management techniques and approaches, as documented by Lichtenstein (2013). Snowball sampling was useful in my research; Elo et al noted that it helps to navigate social sensitivities in recruiting participants for a study. A number of factors (the maturity of the research, the purpose of the data collection, as well as the manner in which the data are collected) can impact and influence the sampling strategy chosen (Elo et al., 2014). The process through which I selected participants had to be purposeful as it informed the quality and type of data collected.

Instrumentation

My primary data collection approaches included face-to-face and telephone interviews and a review of historical CBAs. Englander (2012) found that interviews are central to the qualitative research process and enable the researcher to gather useful information and generate additional insights. My research included one-on-one, in-person interviews in the natural setting of the subject such as meetings in their offices, or a public location of their choice, and telephone interviews, when interview subjects were not available. It was important that I recognized that well-conducted semistructured interviews require that the researcher establish a reasonable bond with the subject; have a list of interview questions; have a schedule; and demonstrate sound listening skills, as discussed by Honan (2014) and Knight (2012). I provided transcripts and copies of my written documentation to participants to review; validate; and provide feedback, as recommended by Houghton, Casey, Shaw, and Murphy (2013).

A significant portion of my research relied on reviewing previous CBAs to understand the provisions negotiated and to explore how these agreements enabled or hindered HPWPs. I accessed the George Meany Special Collection at the University of Maryland (2016) for archival data on expired CBAs and, where possible, requested copies of CBAs from some of the interviewees I met. This method of data collection is consistent with social science research (Siedman, 2013).

Developing an interview protocol does not guarantee the researcher will gather relevant and useful data. Effective data gathering requires the researcher to have a well-scripted interview guide, but also the ability to develop rapport with the research

participants (Jacob & Furgerson, 2012). Pilot studies of interview questions are useful but not a requirement for interview data collection. Pilot studies are useful because they may provide useful contexts that the researcher may not otherwise have. Pilot studies provide additional opportunities for researchers to test and practice structuring their interview questions but are not required as part of a qualitative research study (Yin, 2015). My use of a semistructured interview approach ensured that I would be able to glean additional insights beyond the interview guide; as a result, I did not field test my interview protocol.

Procedures for Recruitment, Participation, and Data Collection

Once the sample strategy and size are determined, the next key step is to engage with the target demographic to inform the research study. Robinson (2014) suggested a couple of recruitment strategies, including snowball sampling as well as active outreach to the target sample population. For my study, I relied on gaining access to and recruiting from the DC chapter of the Labor and Employee Relations Association as the membership targets union professionals. Second, I conducted a search to find and contact managers, HR professionals, and union members in the DC metro area. Third, I conducted a search online through Google, the online membership list for the DC chapter of the National Labor and Employee Relations Association, and used other previously stated resources such as the George Meany Archive to find and contact potential members to reach my sample size. I stopped reviewing here due to time constraints. Please go through the rest of your chapter and look for the patterns I pointed out to you. I will now look at Chapter 4.

I contacted former colleagues to connect me with professionals they knew who fit the characteristics of my target sample group. I was the only interviewer during the data collection process. I scheduled each interview for a period not to exceed one hour for each participant. During the interviews, I member checked information collected to provide each interviewee an opportunity to confirm alignment of my recording of their input with the feedback they shared. Finally, I adhered to all the tenets and procedures outlined in the consent form provided by the IRB.

Data Analysis Plan

Yin (2014) researched and proposed the importance of gaining permission from the research subjects to use a number of devices to include recording instruments -or detailed notes, if an interviewee objects to being recorded to capture interview information for later transcription. I used the MacBook version of NVivo 11 software to support my data coding and analysis. NVivo enables researchers to enter data, develop themes from the data and analyze the data to support the original purpose of the research (Woods, Macklin, & Lewis, 2015). In addition, Denzin (2009) described four distinct approaches for establishing triangulation. Denzin (2009) suggested data triangulation for establishing parallels between the subjects with longitudinal approaches to study within a defined space, investigator triangulation for comparing and interrelating the results from several researchers in a particular study, theory triangulation to correspond and interlink several theoretical strategies in a study, and methodological triangulation for establishing correspondence between various sources of data collected for a study. The methodological triangulation method described by Denzin (2009) was most relevant for

my research as I triangulated data collected from interviews against archival documents such as historical collective bargaining agreements. My coding approach relied on the following steps.

Miles, Huberman, and Saldana (2014) proposed that the primary data collected by researchers through handwritten and typewritten notes, audio recordings, as well as gathering of archival research sources. I used a CAQDAS to facilitate effective analysis of the data collected. My data entry process for field notes and archival documents included expired collective bargaining agreements, my interview notes, and audio recordings, and assigned codes to the data entered into NVivo. Miles et al stated that assigning codes enable the research to assign meaning or shorthand to the entered data to facilitate later analysis. Coding also enabled me to organize structure, collate, and easily access the data in NVivo using what et al described as in vivo coding. After this important step, I proceeded to ensure that the data I collected was credible, transferable, dependable, and duly informs the research design and purpose of the study.

Issues of Trustworthiness

Establishing trustworthiness of the research was critical to the design and methodology of this study. Critical components of trustworthiness of the data and content used for this qualitative research include ensuring the data is credible, transferable, dependable, and subject to complete veracity (Elo et al., 2014). Establishing trustworthiness is critical to ensure the research is rigorous (Maxwell, 2013). As previously stated, I used methodological triangulation to support my data analysis and NVivo for my data entry and coding.

Credibility

Establishing credibility was critical to my research as it is central in ensuring that the findings, results, and conclusions of my study met the rigors of academic research and scholarly content as noted by Maxwell (2013) and Street and Ward (2013). Some strategies I applied to my research included a purposive sampling strategy that was designed to ensure that I received thorough information that lead to effective data saturation as described by Fusch and Ness (2015). The purpose of data saturation is to reach the point in the research processes where there is no new additional information to warrant additional data collection; in other words, the data is saturated to the point of demonstrating both rich and thick data (Fusch & Ness, 2015). In addition, I immediately validated recorded details of information documented during interviews with my interview participants to ensure the information is accurate, credible, and representative of the feedback they shared as recommended by Harper and Cole (2012).

My purposive sample included a mix of managers, union members, human resources professionals in unions, and others who interact directly with the bargaining process to ensure that others who may want to replicate the study within the same context can do so. In addition, I juxtaposed the information gleaned from interviews with archival documents to include previous collective bargaining agreements. As suggested by Bekhet and Zauszniewski (2012), this ensures methodological triangulation and support the credibility of the data collected.

Transferability

To establish transferability, it is important that the researcher provide a comprehensive description that enables readers to determine whether one can replicate the study under a similar context (Houghton et al., 2013). As previously discussed, the participants I selected ensured I had a mix of people who engage in the collective bargaining process. I selected human resources professionals because of their primary responsibility for interpreting and implementing the tenets set forth in collectively bargained agreements. Moreover, as stated by Huselid (1995), significant portions of HPWP are managed through human resources. Management staff were part of my sample because they are responsible for managing union staff for who are protected by collective bargaining agreements. In addition to management staff, I interviewed union members to ensure I represented the perspectives of employees who were subject to collective bargaining. My data collection steps adhered to the research standards established by the Institutional Review Board (IRB).

Dependability

The data I collected is stored and managed in NVivo, which enabled me to manage coding and thematic analysis. In addition, I kept a reflective journal, which I have kept as part of the audit trail to counterbalance the data already created and stored in NVivo as discussed by Houghton et al. To ensure methodological triangulation, I used my journal, interview notes, transcripts, member checking notes, and audio recordings to ensure that my data was complete and consistent as recommended by Carter, Bryant-Lukosius, DiCenso, Blythe, and Neville (2014) and Horne and Hogan (2012). Multiple

sources of data enables researchers to gain deeper insights into the phenomena being studied (Bureau & Andersen, 2014). In addition, I ensured the same data collection methods I employed are consistent with what other research use for multiple case studies, as described by Heale and Forbes (2013). Finally, I have stored and protected the data with passwords in accordance to research standards and recommendations set forth by Walden's IRB.

Confirmability

I maintained detailed notes in a journal in which my thoughts, observations, and feelings document part of my data collection process. As recommended by Houghton et al, I compared the notes from my research with the text entries and codes I created in NVivo. In addition, I created an audit trail to ensure that all thought processes that duly impact the study and data collections methods are fully documented as discussed by Houghton et al. (2013). I documented detailed quotes from the participants. I also ensured all interviews were recorded on an audio recorder. The purpose of this step was to ensure confirmability for the study, should evidence of this be required at any point in time (Cope, 2014).

Ethical Procedures

Ethics in qualitative research is critical to maintaining the integrity of the study so that the results can be used to effect social change. Seidman (2013) noted that the ethics review process set forth in the Belmont Report from 1974 requires researchers to do no harm and take precautions to protect the rights of their research participants. Significant steps in maintaining ethics in qualitative research include gaining consent of participants,

the form, nature, and timing of the consent, and adhering to research standards as set by an Institutional Review Board (Miller, Birch, Mauthner, & Jessop, 2012). IRB permissions included completing the project information template and completing the research ethics planning worksheet that is e-mailed to the IRB (Walden, 2016). All materials included the recruitment outreach letters. As recommended by Seidman (2013), it was incumbent on me as the researcher to ensure that all participants were given a consent form that detailed the purpose of the research, proof of Institutional Review Board approval, and the option to opt out of the research at any point, should they decide to.

I identified the participants in the study by an alphanumeric code, and not their names, to protect their identities, as the nature of the study is potentially contentious to labor unions as described in Chapter 2. Consistent with the standard of ethics review policies set forth by Walden University's IRB (Walden, 2016), I took specific precautions to (a) secure data collected for at least 5 years at which time it was to be destroyed permanently, (b) protect the identity of the research participants, (c) actively manage potential risks and potentially negative exposure that could harm the participants in my study, and (d) keep detailed documentation to ensure transferability and reliability of my research results are validated upon request. The subsequent paragraph outlined my approach.

My research study included conducting interviews with 15 participants. The purpose of the interviews was to gather information from participants on how collective bargaining agreements enabled or inhibited high performance work practices in their organizations. I recognized that for union members, specifically, the collective

bargaining process, is an important component of how unions negotiate wages, working conditions, and benefits. My purposive sample was made of labor union employees who work for public and private sector unions, and are located in the Washington DC metro area.

Summary

The purpose of my research was to explore whether collective bargaining agreements enable or hinder management from creating and sustaining high performance work practices. Since my approach was an exploratory study, I used qualitative research as described by Yin (2014). I also used purposive sampling, as described by Maruyama and Ryan (2014). For this purpose, I recruited 15 participants, as I determined this specific number would help me reach data saturation as described by Fusch and Ness (2015). To ensure I had full access to additional subjects, I also used snowball sampling to recruit additional interview subjects when I did not get responses from others I had previously contacted. I entered all the data I collected into NVivo after using methodological triangulation to ensure validity, credibility, and transferability of the data as described by Houghton et al. In Chapter 4, I focused on collecting and analyzing the data for the study.

Chapter 4: Results

The purpose of this qualitative case study was to explore how CBAs enabled or hindered management from creating and sustaining high performance work practices in both private and public sector labor unions based in the Washington DC area. I used a semistructured interview approach guided by 12 semistructured questions that I developed, informed by the problem and purpose statements for my study. The interview questions used were designed to explore the nature of how CBAs were used in the respective organizations of the respondents I interviewed . Additional research questions included exploring how performance was managed through the CBA and how the provisions in the CBA enabled or hindered supervisors from creating and sustaining HPWPs.

Finally, I used the interview questions to inquire into the employee perceptions of the CBA and how the organizations for which my subjects worked were HPWPs, the CBA notwithstanding. My focus in this chapter is on the data collection process, the setting for my interviews, a review of evidence of trustworthiness, and the results of my analysis. I also provide a demographic description of the 15 respondents from the purposive sample I interviewed for the study. My interview questions were reviewed in detail by my committee chair as well as my second committee member for the efficacy and relevance of the questions to support my study.

Research Setting

At the time I started collecting data, Donald Trump, the Republican candidate, was elected president of the United States. The Republican Party has been committed, in

recent years, to reducing the tax burden of the very rich, thereby consolidating their power and reducing the influence and relevance of unions (Fukuyama, 2016). Holger (2015) detailed historical precedent of Republican hostilities to labor unions since the later 1960s, which have accelerated in recent times. These factors legitimized the concerns of the interviewees I spoke to about the future of unions in the United States. The preceding point is particularly important as I focused my study on examining the impact of CBAs on HPWP practices. I interviewed 15 participants in various public and private sector labor unions based in the Washington DC area, some of whom expressed concerns about the potential crisis unions may face with the incoming administration.

The actual settings for the interviews varied as seven were conducted in person and eight via telephone. All seven in-person interviews were scheduled, coordinated, and conducted at offsite locations to accommodate the availability of the interviewees. I used the same interview protocol (Appendix A) to structure and moderate both in-person and telephone interviews with all of the participants. I conducted all of the interviews in the month of November in 2016, and as a result, I did not record any impact to the organizational conditions beyond the political change described in the preceding paragraph. The interviewees were representative of labor union members, management in labor unions, HR professionals in labor unions.

Demographics

I interviewed 15 participants for my study from a cross section of functional roles in one quasi-public sector and four private sector unions. My primary inclusion criteria were that they had at least 3 years of tenure in a labor union where they interacted

directly with the CBA and CB process. Other criteria I set for inclusion was that the interviewees had to be representative of HR professionals, union members, and managers of union members. I confirmed this information through open source records via searches on LinkedIn and Google, particularly for participants for which I had no prior exposure or familiarity. One participant was uncovered through snowball sampling, and I verified her qualifications with the referrer, on LinkedIn, and during our telephone interview.

Table 1

Demographic Data of Respondents (N=15)

	Male	Female	Total	% of Total
Human Resources	0	3	3	20%
Union Member	2	2	4	27%
Management	7	1	8	53%
Total	9	6	15	100%

As shown in Table 1, 20% ($n=3$) in human resources, 27% ($n=4$) union members, and 53% ($n=8$) management-level staff all selected from labor union professionals I recruited located in the Washington DC metro area. In addition, nine of the participants were male compared to six females. I did not use gender distribution of my respondents as a variable for this study as my focus was to obtain a cross-section of professionals in unions that interacted with the CB process. I verified their experiences through public available information on LinkedIn and organizational websites and verified this in my interviews with them. Table 2 provides more insight on the professional profile of my respondents.

Table 2

Professional Profile (N=15)

Respondent	Title	Education Level	Years of Union Experience
Respondent TH	Manager	Bachelor's Degree	17
Respondent TD	Regional Director	Bachelor's Degree	15
Respondent SC	HR Business Partner	Bachelor's Degree	17
Respondent AS	Associate Director	Master's Degree	3
Respondent JO	Finance Spec.	Master's Degree	
Respondent SA	Sr. Accountant		9
Respondent AC	Lobbyist	Juris Doctorate	14
Respondent HL		Master's Degree	
Respondent CN	Director, CB	Bachelor's Degree	23
Respondent KB			
Respondent JV	Director	Bachelor's Degree	28
Respondent MMH	HR Manager	Bachelor's Candidate	4
Respondent PS	IT Specialist	Associates	3
Respondent ACC	Sr. Director	PhD ABD	20
Respondent SE	Director, PES	PhD	20

Data Collection

A variety of data collection techniques, including interviews and archival records and documents, are relevant to data collection in qualitative research (Yin, 2014). For my study, I used in-person and telephone interviews as the primary data collection process. I also had access to current CBAs for one organization and retrieved archived CBAs from the Department of Labor's Office of Labor-Management Standards. All interviewees for this study lived or worked in the Washington DC area. The purposive sampling strategy I used targeted union employees who had at least 3 years of experience working for labor

unions. As Yin (year) suggested, I also gathered archival CBAs and partnership agreements to support methodological triangulation of the in-person and telephone interviews I completed.

Number of Participants and Type of Data Collected

I targeted more than 50 potential participants who worked for various labor unions in roles aligned to the purposive sampling strategy previously discussed. From this target group, I was able to successfully recruit and interview 15 participants for this research study. Of the 15 participants, three worked in various HR management roles where they implemented the tenets of CBAs. Four participants were active union members at the time of the interviews, and eight worked in management roles where they directly supervised union members. Also, 10 of the participants were recruited using my e-mail template (Appendix C) through LinkedIn e-mail solicitation (Appendix D): one was recruited in person, and one was recruited through snowball sampling from an earlier participant in my interviews. This cross-section of participants was relevant to the research design as my aim was to explore whether CBAs enabled or hindered management from creating and sustaining HPWPs in private and public labor unions based in the Washington DC metro area.

Varied data collection methods, within method, as a mode of triangulation is vital to establishing credibility and reliability in a qualitative research (Bekhet & Zauszniewski, 2013; Gorissen, van Bruggen, & Jochems, 2013). I used various archival CB and partnership agreements to methodologically triangulate data gleaned from my interviews. I accessed historical CBAs from the Department of Labor's Office of Labor-

Management Standards (n.d.). One of the participants in my interview process also provided me with copies of the most recent bargaining agreements used in their organization.

Location and Logistics of Data Collection

Once I received approval from the IRB (approval number assigned is 10-21-16-0413395), I actively recruited potential interview participants. I used my e-mail invitation form (Appendix D) for participants for whom I already had an e-mail address and the LinkedIn invitation form (Appendix E) for those I found through LinkedIn searches. The research participants were all Washington DC-metro area based professionals and my original intent was to conduct in-person interviews with all of the participants. Because of scheduling constraints, eight of the 15 interviews were conducted over the phone. I conducted seven in-person interviews with research participants at offsite locations because the interviews were conducted after work hours. I scheduled each of the interviews for 60 minutes as outlined in the interview protocol (Appendix A). Before each interview, I e-mailed each interviewee a copy of the consent form and my sample semistructured interview questions (Appendix B).

I spent the first 10 minutes building rapport with the participants and providing an overview of my research study, asking for signed copies of the consent form for my in-person interviews or requesting e-mail replies indicating consent. A part of the introduction also included a discussion of the consent form and the opportunity to withdraw from the study at any point. The actual interviews, both on the phone and in

person, lasted between 30-45 minutes. I also member checked each interview and so there was no need to conduct follow-up interviews.

How the Data Were Recorded

A variety of recording instruments informed the data collection process. I used the Voice Recorder application on my iPhone for all of my audio recordings. I saved each audio recording into an m4a file format. In addition, I took written notes during each interview to capture key points gleaned from the discussion. After each interview, I put my notes for each participant and consent forms into a brown paper envelope labeled with an identifier for each interview and saved it under lock and key in a file cabinet in my home office. I also maintained a hard copy research journal where I recorded my thoughts and reflections in relation to research decisions and my perceptions of the data collection process. In addition, I used the memo function in NVivo 11 to record some of the research, coding, and analyzing decisions I made while uploading, organizing, coding, and analyzing my data in the tool. Following this step, I saved all of my NVivo 11 data onto a hard drive, secured and maintained for 5 years. Finally, I maintained a journal to record my thoughts, perceptions, and observations during the interview process.

Variations from Data Collection Plan

The primary variation from the data collection plan was to use phone interviews to supplement in-person interviews. My original data collection plan was to only conduct in-person interviews. I had to incorporate phone interviews to widen the scope of my purposive sample so I could reach data saturation. This was informed by the delimitations

of my study related to the geographic area of focus and types of organizations and professionals I targeted for my interviews.

Unusual Circumstances Encountered in Data Collection

During the interview process, I noted the following unusual circumstances. Three participants in my study who were now in management had unique perspectives on the CB process based on their previous experiences as union members. They had risen through the ranks and could provide perspectives useful to my data collection from their current position as managers and from their previous roles as union members.

As I previously worked for a labor union in the Washington DC area, I was able to recruit 11 people from that organization. One of the 11 was a former colleague in the HR department; though, it is important to note that we supported and managed different functions and functional areas in the organization. The other non-HR members were mostly management staff, of whom I had no direct or indirect influence based on my previous role as senior workforce planning specialist at that organization.

Data Analysis

There are varying methods for organizing and analyzing the research data from the collection phase. One such approach is recommended by Yin (2015) who recommended a five step process for organizing and analyzing research data. My process for analyzing the included following Yin's process of (a) compiling representations including categories and themes into NVivo 11, (b) disassembling the data by conducting word frequency and text search queries, (c) reassembling codes based on common strands emerging from the research, (d) making sense of the merging patterns through

interpretation, and (e) making some conclusive results presentations based on the data analysis. Saldana (2016) also noted that coding may include several cycles of review and categorization to enable the researcher to identify meaningful themes to shape the overall study.

Coding informs and shapes the epistemological perspective of a qualitative research study. The coding process is the primary step that enables the researcher to make sense of the data; but, it is not analysis (Saldana, 2016). To effectively use NVivo 11 for data analysis and consistent with Yin's data analysis approach, Al-Yahmady and Alabri (2013) proposed that researchers should (a) effectively collate their interview data; (b) organize their thoughts and use them to interrogate the data; (c) effectively use queries to uncover themes, patterns and categories; (d) use the advance visualization options to view data; and (e) report findings. My process for mastering how to use NVivo 11 included reading the manual for the tool and learning its functionalities; otherwise, data analysis in the tool will not be effective, as stated by Al-Yahmady and Alabri. These steps enable the researcher to determine the best analysis protocol to use in NVivo.

There is no set standard for coding practices; rather, there are guidelines to help the researcher make sense of the myriad data collected from interviews, archival records, and other data sources (Given, 2008). Coding enables researchers to reduce the myriad of data into component parts. It is, however, incumbent on researchers to avoid creating too many codes, which can complicate the process of data analysis further (Bernauer, Lichtman, Jacobs, & Robinson, 2013). The process of gathering, coding, and organizing qualitative data into codes is complicated, and researchers need to interrogate the data in

detail to uncover new the trends and themes that will inform the analysis and findings of the research study (Al-Yahmady & Alabri, 2013).

Process Used to Move from Coded Units to Larger Representations

The conceptual framework used for the study informed the initial coding process from study. As discussed in Chapters 1 and 2, the theories that informed the conceptual framework for this study were high performance workplaces and work systems as discussed by Huselid (1995); human capital theory by Becker (1993); and CB and behavioral theories on labor negotiations, as developed by Walton and McKersie (1991). These elements of my conceptual framework informed some of the initial coding I created to include organizational culture, union culture, performance management, high performance, grievance process, partnerships, sustainability, and egalitarian rewards.

Emergent Codes and Themes from Data

I proceeded to upload all of my interview transcripts, which I transcribed in Microsoft word, into NVivo 11. I saved all interview transcripts under the internals section of NVivo to facilitate easy analysis of the data captured. I assigned initials to each interview document to enable me to determine the source of the data. After all of the interviews were uploaded, I proceeded to inductively use the text search feature in NVivo 11, using terminology such as union culture, performance management, organizational culture, and performance accountability. I saved these searches under the queries functionality in NVivo 11 and created nodes to reflect these emerging themes. In addition, I created a mind map in NVivo linked to my conceptual framework to help develop a framework for further coding.

interrogation of the interview transcripts, I proceeded to create broad categories and placed the existing nodes under these categories. I cleared all my nodes, re-read analyzed the data, and finally, recalibrated my analysis of the interview data and to reflect the categories, themes, and codes represented in Table 3.

Table 3

All Categories, Themes and Nodes

Category	Theme(s)	Node (s)
A Behavioral Theory on Labor Negotiations	Organizational and Union Culture and Practices	Benefits and Entitlements Collective Bargaining Hinders HPWP Lack of Performance Accountability Organizational Culture Performance Equality Union and Management Partnership Union Culture Union versus Management Work Rules Change Culture
Collective Bargaining	The Future of Unions	Performance Improvement Political Environment Sustainability
High Performance Work Practices	Intrinsic Motivation and Performance Recognition	Performance Rewards Self-motivation
Human Capital	Management Practices	Hiring and Promotion Practices Management Accountability Management Creativity Management Inertia Employee Retention Practices High Performance Stigma
	Performance Management	Low Performance Expectations Bar Performance Accountability Professional Development
Total	5	24

Description of Discrepant Cases

Respondent CN confirmed that his organization actually had a department dedicated to high performance work practices. In fact, CN was the only participant in my interview that was familiar with HPWP and understood the implications, based on his exposure to HPWP in his organization. CN stated the following:

Actually, from our perspective we work through developing what's called HPWO, High Performance Work Organization, probably about 20 years ago. And we actually had a department called the HPWO Department. And we do training down in our training center on companies that are entering in and also sustaining. So currently, we have probably – just thinking off the top of my head – a good probably dozen corporations across the United States that are active in the High Performance Work Organization in partnership process.

Respondent CN's description of HPWP was discrepant from information gleaned from the other 14 respondents during my data collection process. Based on the data collected and analyzed, in the next section I demonstrate how I established trustworthiness and credibility in my study.

Evidence of Trustworthiness

As qualitative research uses other tools other than quantitative research tools such as statistical analysis, testing and other empirical techniques, it is vital for qualitative researchers to establish rigor in their studies. Qualitative research is a mode of inquiry in social sciences that is shaped by specific methodological and philosophical assumptions about specific phenomena, which researchers have to prove through establishing dependability, credibility, confirmability and transferability of the study (Moon, Brewer, Januchowski-Hartley, Adams, & Blackman, 2016). Some strategies for establishing trustworthiness of a qualitative study include member checking, using third party reviewers, methodological triangulation and maintenance of a research journal (Hays,

Wood, Dahl, & Kirk-Jenkins, 2016). I outline my approach to establishing trustworthiness in my study with the following strategies.

Credibility

I used member checking before the conclusion of interviews and methodological triangulation, using archived collective bargaining agreements to establish credibility in my study. Credibility of a research study encompasses ensuring the design, methodology, data collection, analysis and interpretation are transparent and believable (Houghton et al., 2013). Member checking is an effective and credible technique for ensuring qualitative rigor as it enables the subjects of a research study to have sole proprietorship on the veracity of the interpretation of their input to a study (Birt, Scott, Cavers, Campbell, & Walter, 2016). Triangulation of research data enables the researcher to demonstrate the completeness and accuracy of the data used, by accessing and comparing two or more sources of information (Houghton et al., 2013). Despite the strengths of member checking as a tool of establish rigor, researchers need to be aware and manage some of this risks to member checking such as causing stress to participants in sensitive interviews and avoiding confirmation bias (Birt et al., 2016).

My process for member checking was to share interview transcripts as well as member check during the interview. I recorded all of my in person and telephone interviews using a voice recorder application on my iPhone smartphone. During the interviews, I took notes on key points and checked my interpretation of such points with the interviewees, where appropriate during the interview or before the conclusion of the interview session. In addition, all interviewees received transcripts of the interview via e-

mail where I requested they confirm or provide additional information if any documented points were inaccurate on inappropriately documented to which I received minor corrections from one respondent. My process for methodological transcripts was to review current and historical collective bargaining agreement provisions on work rules, performance management, training and the grievance process, as these were germane to my study. My process on member checking was to validate all information collected in my personal journal noting consistency with the questions I asked, and the original intent of the responses my participants provided. The primary purpose was to ensure that I captured the meaning of what was said and that my interpretations aligned with the meaning.

Transferability

Transferability is the process through which the qualitative researcher uses thick descriptions to demonstrate the applicability and replicability of the study by other researchers based on the context, timeframe, sample size and other inclusion criteria used in the particular study (Yas et al, 2016). Establishing transferability is important because the results and recommendations of a particular study can be relied on practitioners, academics and policy makers to effect change or solve problems germane to a study (Moon et al., 2016).

My strategies for establishing transferability included using a purposive sampling strategy which requires a researcher to establish inclusion criteria to a non-random population, based on prior assumptions made by the researcher that provides that best access to information to shape the study (Robinson, 2014). For this reason, the primary

inclusion criteria for my sampling strategy was to target employees of unions who had at least 3 years of tenure and worked in roles specific to management, union employees and human resources. Second, I targeted unions and union employees in the Washington DC metro area to put some geographic constraints on the sample size and case study scope. My interview protocol (Appendix A), sample semistructured questions (Appendix B) and recruitment e-mail templates (Appendix C) and LinkedIn recruitment template (Appendix E) are all part of my established audit trail to ensure transferability.

Finally, I maintained a memo trail in NVivo 11 to document my thought processes as I coded interview data. My initial process for coding was to read all 15 interview transcripts to get an initial grasp for the information gathered. After that, I began the initial coding process, first by conducting a word frequency query in NVivo, followed by text search queries to uncover themes, patterns and codes, which I gathered into nodes. I also saved my search queries as part of my audit trail to establish transferability.

Dependability

Cope (2014) noted that a consistent and replicable audit trail contributes to establishing dependable study. The purpose of the audit trail is to ensure that when the study is subject to review or scrutiny, the same results established can be established with similar outcomes, if conducted by another researcher in another study. Some methods for establishing dependability include using the query capabilities in NVivo 11 to establish themes across multiple interviews, maintain a reflective journal as part of documenting

the personal decisions, biases and thought processes that influenced specific components of the research study (Houghton et al, 2013).

For my research study, I maintained a reflective journal in which I documented my general thoughts, biases and perceptions on all 15 interviews I conducted. My reflective journal also included some general thoughts on unions and the collective bargaining process. In addition, I used the text query function in NVivo 11 to find relevant themes and data points to inform my analysis. These queries were saved in a file, downloaded to a thumb drive and are saved in a secure file cabinet in my home office.

Confirmability

The process of confirmability is critical to ensuring that the data collection and analysis process retains neutrality and dispassion. Qualitative research requires the researcher to be central to the study and for this reason, the burden on proving personal biases and other factors do not impact the credibility of the responses received from interview participants is critical (Hays et al., 2016). I maintained a reflective journal to document my thoughts and perspectives and decision-making process on data gathering and analysis for my study. Another strategy I used to enable confirmability of my study was methodological triangulation.

Methodological triangulation as used for my study was consistent with Denzin's (2012) assertion that qualitative experiences are difficult to capture and validate, so triangulation is used to provide a varied approach to validating phenomena within its context of occurrence. I used archived and historical collective bargaining agreements

received from one interviewee, accessed archived copies of collective bargaining agreements stored with the Office of Labor-Management Standards (n.d.).

Study Results

My conceptual framework included high performance work practices (HPWP), a behavioral theory on labor negotiations, human capital theory, and collective bargaining. My reason for using this conceptual framework was to support the central research question which was to explore how collective bargaining agreements enable or hinder managers from creating and sustaining high performance work practices. For this reason, it was important to investigate theories on HPWP in organizations. The integrated processes of HPWP by management and human resource are directed at transforming employees into a human capital base where they are aligned to providing maximum output for organizations as well as develop their careers through training and other development activities (Asmawi & Chew, 2016). My memos in NVivo 11 demonstrate my thought process at arriving at the themes informed by my data analysis, research and interview questions, and conceptual framework.

Research Questions

My central research question was as follows: How do collective bargaining agreements enable or hinder managers creating and sustaining high performance work practices for their employees in private and public sector labor unions based within the Washington DC metropolitan area? I supported The central research question with 12 semistructured additional interview questions (Appendix B). The five key themes that emerged from the study were (1) performance management and accountability, (2)

organizational and union culture, (3) intrinsic motivation and performance recognition (4) management, and (5) the future sustainability of unions. I address the findings the themes in the subsequent paragraphs. Table 4 illustrates the number of union organizations my respondents worked for.

Table 4

Total Number of Respondents by Union (N=15)

Union	HR	Management	Union Members	Total	% of Total	Management with Union Member Experience
Union 1	1	7	3	11	73.33%	6
Union 2	1	0	0	1	6.67%	0
Union 3	1	0	0	1	6.67%	0
Union 4	0	1	0	1	6.67%	1
Union 5	0	1	0	1	6.67%	1
Total	3	9	3	15	100%	8

Emergent Theme One: Performance Management and Accountability

I discovered this theme during my analysis and documented the emergence in my memos in NVivo11 and reflective journal. Performance management is a formal process of establishing and managing employee output through performance accountability with measurable outcomes (Knies, Boselie, Gould-Williams, & Vandenabeele, 2015). When performance management ties directly to strategic human resource practices, it can result in a high performance work practices (HPWP) and maximize employee output (Huselid, 1995). HPWP when well executed as interrelated practices or a single well-executed strategic human resources initiative has direct correlation and impact on positive employee performance (Obeidat, Mitchell & bray, 2016).

The impact of HPWP, if included in the CB process by management in unions can be positive, despite management viewing unions as inimical to high performance and performance accountability or exploitation (Gill & Meyer, 2013). I categorized performance management and accountability under the human capital category. Table 5 illustrates the number of respondents to the theme related to performance management and accountability, which links directly to Huselid's theories on HPWP, as, discussed in Chapter 2. In the literature review related to my conceptual framework, Huselid stated that performance management systems are crucial to maintaining performance accountability based on individual employee performance, which impact firm performance.

Table 5

Theme and Codes for Performance Management and Accountability Theme

Codes	Number of Sources	Number of References	% Total References for Performance and Accountability Category
High Performance Stigma	7	12	28%
Professional Development	10	19	44%
Low Performance	6	12	28%
Total	24	43	100%

My interview questions included uncovering how performance is managed in unions:

IQ: In what ways are general employee performance standards included in collective bargaining agreements in your organization?

IQ: How is performance and performance accountability managed in your organization?

IQ: What role do you play in managing performance in your organization?

When asked about how general employee performance standards are included in collective bargaining agreements (CBA), all respondents noted that the CBA in their respective organizations made provisions for work rules, and general terms of employment between the union, union membership and employer. It is important to first view this from the perspective of the 4 union members I interviewed. Respondent AC intimated that the performance management process was a subjective one, which management did not strictly enforce. The second union respondent, SA, remarked that the collective bargaining agreement contained some general description of how performance should be managed. Union Respondent PS noted that his work was mediated through a department level service level agreement, which is separate from the CBA. Respondent JO, a union member noted that there was not a direct correlation between performance standards and the collective bargaining agreement because the grievance and arbitration process outlined in the CBA tended to provide job security, rather than performance accountability. Respondent JO noted the following:

I don't think that anything... I don't think that the performance... I don't think the collective bargaining is tied. Maybe I don't know as well, or I haven't read the handbook as well, but I don't think it's really tied. [But it has been] (ph), because

there are some people who, you know, you for lack of a better word, you can see that, probably recruitment errors. (pause) But they hold onto their job. They get paid, you know.

The 3 union human resources professionals I interviewed offered a bit more of a different perspective. Respondent KB noted that the most recent CBA she implemented included provisions for training and development of employees and not necessarily, performance standards. Respondent MMH indicated that some general performance standards were included in the CBA but were balanced with an employee guidebook in her organization. The final human resources respondent stated that general guidelines for performance were negotiated by unions and management during the bargaining process; however, the actual performance management framework was outsourced and developed by an external consulting organization.

The consensus of the 8 management respondents was that the performance management system was referenced in the CBA, but it did not make full provision for performance management standards. The references made in the CBA on performance included the frequency of performance reviews, how it should be conducted and the general conditions for how the performance standards should be implemented. On performance accountability, my analysis of the data revealed there was not an organizational expectation to effectively manage high performance output from employees. Some of the constraints to managing performance were related to amendments to negotiated performance standards with every new collective bargaining process. Respondent TH shared that performance accountability was difficult to manage,

because unions negotiated fixed hours of employment for their staff, with general expectations of each role or rank, so managers could not ask their employees to do more. The impact was that employees could get away with doing the very minimum. Also, 44% of the coded references in Table 5 illustrated a negative stigma of performers who stood out above other employees in unions.

In a review of the ASSOCIATION OF FIELD SERVICE EMPLOYEES-NEA (2014) agreement for the performance period of 2014 to 2017, article 12 has detailed provisions for how to terminate an employee, a process that requires extensive documentation from the manager. The ASSOCIATION OF FIELD SERVICE EMPLOYEES-NEA agreement, however, makes no explicit provision for performance management. Article 8 of the same agreement makes provisions for expectations of professional work and self-scheduling, but no allusion to detailed performance accountability. The collective bargaining agreement for NEASO (2015) for the 2015 to 2018 performance period makes provisions for a performance review process in article 25, where the performance process and performance improvement is described, and union members are given the recourse to contest any components of the process in section 1(b) of the NEASO agreement. My review of these provisions supports the previous data received from management in regards to the constraints to maintaining performance accountability in their organizations. The preceding point is important as all 15 respondents indicated that the collective bargaining is driven by the organizational and union culture, as well as by the people who negotiate the actual agreements.

Emergent Theme Two: Organizational and Union Culture

Although the focus of my study is a multiple case study, and not an ethnographic or phenomenological study, organizational and union culture appeared as a recurring theme in my data analysis. Nonetheless, culture is very important to the success of high performance work practices because it entails a singular or interrelated set of strategic human resources activities to transform organizational culture into one of peak performance (Huselid, 1995). From this perspective, it is important to analyze some general aspects of the organizational culture of unions before exploring the specific themes unearthed in my data analysis. Table 6 shows an overview of respondents to the theme on organizational and union culture. Emergent Theme Two is connected to the collective bargaining and Walton and McKersie's theories on labor negotiation, where attitudinal restructuring and distributive bargaining, as discussed in Chapter 2, have a direct impact on whether the CB process is adversarial, winner-take-all, or integrative. Specifically, Walton and McKersie stated that attitudinal restructuring determines the level of congeniality between unions and management and largely informs organizational culture in labor unions and has a direct impact on how issues are negotiated.

Table 6

Codes for Organizational and Union Culture Theme

Codes	Number of Sources	Number of References	% Total References for Organizational and Union Culture
Union Culture	15	31	27%
Hindrances Related to Collective Bargaining	12	18	16%

Work Rules	10	11	10%
Lack of Accountability	8	15	13%
Union and Management Partnership	7	9	8%
Benefits and Entitlements	5	8	7%
Organizational Culture	5	9	8%
Union versus Management	5	7	6%
Performance Equality	4	6	5%
Total	71	114	100%

Organizational culture is a critical part of firm performance and output and it is important to understand how it enables or hinders high performance. Organizational culture is defined as a set of patterns, behaviors and assumptions that determine how a particular organization engages, aligns with or protects itself from external and internal phenomena (Martinez, Beaulieu, Gibbons, Pronovost, & Wang, 2015). Further, culture determines the shared values and beliefs that have evolved over a specific time period and is accepted as a shared practice by employees and dictates organizational behavior (Al-Murawwi, Behery, Papanastassiou, & Ajmal, 2014). All 15 respondents indicated that union culture- with 31 references and 27% of the total number of references- played a key role in enabling or hindering high performance. Respondent SE who stated the following, supports the preceding points:

What I would – the extent to which I would characterize the – I don't know if I can put the hindrance of the actual CBA as much as I would put it on a broader organizational culture of which the CBA is a part. That significantly hinders managers from being able to develop the kind of high performance work plan.

From this context, it is important to understand and explore union culture in a bit more detail. Lichtenstein (2013) stated that democratic values and egalitarianism are important parts of union culture based on the history of labor union emerging as an antithesis to exploitative work practices of employers at the end of the 19th century and early 20th century. This phenomena of equality emerged in my data analysis were a number of respondents indicated the importance of equality of the perception of equality in the workplace.

Respondent AC noted that the union culture in his organization shunned any kind of recognition of individual accomplishment, as collectivism was more valued. Performance equality was an emergent theme in my analysis, as number of sources (n=4) stated that high performers sometimes neglected their own performance expectations to help out underperforming members, even when it worked against their own interest, using a conventional or non-union view of performance management. Respondent TH stated that in regards to compensation increases, employees received standard raises that were applicable to the anniversary of their hire date or commensurate with standard cost of living adjustments applied to all employees, hence high performers were generally not rewarded above and beyond what other union employees received. As stated by respondent SC, managers provided salary raises for their top performers by working around the systems to promote them. In other words, the primary way to provide salary raises was to promote employees regardless of if they were prepared to take on the next level of responsibility. From this context, I review the decision-making culture and process in labor unions.

Collective decision-making is part of the decision-making process. A formal example of the collective decision-making process is collective bargaining, which includes representatives from both management and union representatives (Walton & McKersie, 1991). Several other slightly less formal examples of collective decision-making on issues related to work rules include joint labor-management committees, the grievance process, and the role of shop stewards. Respondent SC noted that joint labor-management committees were formed to make decisions related to work rules, outside regular bargaining. Respondent AS noted that such joint labor meetings, depending on who was part of the committee required time investments, which, depending on the issue being discussed by stakeholders, took away from productivity. As part of the workplace democracy underpinnings of unions, employees are provided protections to grieve decisions they do not agree with.

Union members are empowered to voice their opinions through the grievance and arbitration process. Grievances as provisioned in collective bargaining agreements provide union members an avenue to voice their disagreement with decisions that may not be favorable to them (Colvin, 2013). In theory, grievances are a powerful tool for protecting workers that aid workplace equality, although there is the issue of the abuse of grievances which hinders effective management.

According to input from some of the respondents, collective bargaining agreements tended to ensure equal measures for all employees regardless of high performance. Respondent TD noted that managers could not reward high performers with

exemplary output beyond what their salary and benefits as described by the collective bargaining agreement. Respondent TD went on to state:

Everyone's performance evaluation has to be set up the exact same way. And it leads to very little room – space I should say – than to perhaps describe what the employee is doing that's ...beyond, with the expectation that with that comes some kind of reward, some kind of benefit to that employee. I mean the way the system is set up as far as I can tell is that the rewards come from the staff, of course him or herself, by knowing I have gone out and done this great job in this project. And that's my reward, knowing that I've done outstanding work. My supervisor may have said I've done outstanding work. The results are there. But there's no other reward for the result that comes through the organization by way of collective bargaining agreement.

Performance accountability tended to be a bit of an issue within the context of labor unions. Respondent JV stated that the collective bargaining agreement tended to be a hindrance to him in managing employee performance because of the lack of historical performance accountability or documentation of performance issues by previous managers. The preceding point is linked to the social justice and egalitarian beginnings of the labor movement as a counter measure to exploitative management practices (Lichtenstein, 2013). As part of my analysis, and noting the organizational and cultural constraints to high performance work practices, the conditions that determine employee motivation as discussed by Huselid, and discussed as part of my literature review on HPWP in Chapter 2. Employee motivation is critical to positive organization

performance, because it determines the disposition of employees to provide high or marginal output (Huselid).

Emergent Theme Three: Intrinsic Motivation and Performance Recognition

Intrinsic motivation is the internal driving force and satisfaction a person gains from engaging and completing a task or specific initiative (Cerasoli, Nicklin, & Ford, 2014). On this basis, intrinsic motivation is directly linked to things that drive employee commitment and engagement in a specific endeavor such as the mission of an organization or the satisfaction and employee gets from being aligned with purpose-driven work (Marsden, Ma, Deci, Ryan, & Chiu, 2014). Although organizations may provide a congenial environment for HPWP leading to high performance; intrinsic motivation and the desire of the employee to do high output is important (Sarikwal & Gupta, 2013). Consistent with the preceding statement, I unearthed emergent codes from my analysis related to self-motivation of employees and the presence of lack of performance awards illustrated in Table 7. Intrinsic motivation is a key component of HPWP as discussed in my conceptual framework in Chapter 2 and documented during my data analysis in my NVivo 11 memos and reflective journal.

Respondent SC illustrated an example of how managers were constrained to reward high performance work as follows:

A lot of people try to reward their high-performing employees with classification. Moving to the next rank. Like, “I’m going to give this person higher level work because I know they can do it, and then therefore, they will get reclassified.” The

problem is the other colleagues on your team are saying, “Well, I never even got that opportunity to get higher level work. She never offered it.”

Respondent TD indicated a key issue with managing top performers by offering that managers could not make excessive demands of their employees since collective bargaining agreements made clear provision for (a) how many hours an employee could work a week, (b) how much of a pay increase they could receive and when, and, (c) no provision for monetary performance rewards, all illustrated in Table 8 My review of the ASSOCIATION OF FIELD SERVICE EMPLOYEES (2014) and NEASO (2015) collectively bargained agreements supported the preceding points made by Respondent TD.

Table 7

Codes for Intrinsic Motivation and Performance Management Theme

Codes	Number of Sources	Number of References	% Total References for Intrinsic Motivation and Performance Recognition
Self-motivation	8	17	48%
Performance Rewards	9	18	52%
Total	17	35	100%

Also, collectively bargained agreements at all the unions my respondents worked for, with immediate footprints in the Washington DC area, did not offer performance awards to their employees. Respondent AC said”...one huge lacking incentive is the lack of any monetary incentive or opportunity incentive as a result of a good review.”

Respondent SA who described the lack of rewards as by offering, “for good performance, there’s not a reward separately corroborated this. You don’t get anything extra than what you’re currently getting.”

Table 7 shows 52% of the nodes coded were in reference to issues on performance rewards for high performing employee. As management staff are an integral part to staff management and the collective bargaining process, I reviewed the theme related to management practices in unions. I reviewed article 4 of the ASSOCIATION OF FIELD SERVICE EMPLOYEES agreement that stated that management had the right to manage their employees and the ability to set standards for work, based on the provisions of the ASSOCIATION OF FIELD SERVICE EMPLOYEES CBA for the period of performance. Next, I discuss management practices in labor unions, as it emerged as a theme in my data analysis of the interview transcripts in NVivo11. I also provide my thoughts on this emergent pattern in my reflective journal.

Emergent Theme Four: Management Practices

I wanted to clarify how managers in unions maintained accountability for their employees. To maintain some performance accountability, respondent SE stated that he went “outside the negotiated performance agreement” because it was an 18-month cycle, which did not really help him manage output and accountability. Respondent TH provided input suggestion that maintaining performance accountability was a “balancing act” between union and management because the unions in his organization viewed any attempts at accountability and demands for higher performance as disruptive to equality and egalitarianism among the regular union members for a specific job. I presented codes

related to the management practices in Table 8. In response to IQ 4 on how collective bargaining agreements enabled performance accountability, Respondent TD stated the following:

I don't know how to get around...the collective bargaining agreement. It doesn't, in my opinion, promote high performing teams because the collective bargaining agreement prohibits management from perhaps...the freedom to assign staff in a way that's a reward.

Table 8

Codes for Management Practices

Codes	Number of Sources	Number of References	% Total References for Management Practices
Management Accountability	9	19	31%
Hiring and Promotion Practices	6	15	24%
Management Inertia	8	12	19%
Retention Practices	6	10	16%
Management Creativity	4	6	10%
Total	33	62	100%

The hiring and promotion and retention practices in some of the unions was another theme I uncovered in my analysis. For example, in regards to retention and job security, respondent SE stated that when he joined the organization, he was told that as long as he did not get into a fight or steal any organizational material, he was essentially guaranteed a job. This point was supported by responded JV who stated that the process to terminate an employee with performance issues was tedious and required significant documentation and was subject to arbitration, if the employee decided to dispute that process, so much that managers would rather ignore a performance issue than take the steps necessary to terminate an employee. Respondent MMH noted that the provisions in the collective bargaining process gave protections to employees based on seniority so much so that it was quite difficult to begin the process of terminating a tenured employee with performance issues. A review of the NEASO (2014) collective agreement document

clearly details the importance of seniority based on hire date, even for temporary employees hired into a bargaining unit. As one of the respondents historically worked for Kaiser Permanente AFSCME/NUHHCE, I retrieved an archived collective bargaining agreement from the Department of Labor's Office of Labor-Management Standards (n.d), for 2005-2010 and article 11 of that agreement clearly stated that seniority was a key factor in staffing decisions to include decisions around staff layoffs. According to the aforementioned Kaiser Permanente agreement, staff with more tenure, which equated to seniority, received better job protections, in layoffs, than more recently hired employees. As described in my conceptual framework, the role of management is an integral part of HPWP because management sets the strategic direction, selects and hires, dictates standards for performance, and is responsible for motivating employees to produce optimum performance (Huselid).

Another key part of management practices is in the hiring practices noted during my data collection process. I documented 15 references related to the hiring practices in unions and how it affects the potential for high performance work practices. Respondent JV stated "We.... should focus just on the qualifications of the individual and not the other reasons why people fire or don't fire." For RQ10, I asked how high performance can be unlocked and Respondent SC who noted:

I...think recently, we've been – there's been more turnover, probably, than there ever has been. And we are hiring people with the skills that we need. We've also, just in the past two months, we've let go of two probationary employees, which is something that – I mean, again, because terminating someone when they're

regular employees is so difficult that we really have been focusing with the managers on paying attention to that employee during the probation period. I mean, you can start giving them work and turn around, next thing you know, nine months has gone by.

An emergent data point from 4 respondents who provided 6 references was related to the need for manager creativity to bypass some of the constricting provisions in collective bargaining agreements to managing performance. These responses were mapped to RQ3 where I asked how performance is managed in the organization. Respondent SE noted he managed performance outside the provisions of the current agreement, which provided for an 18 month performance review cycle. Respondent SE's approach to managing outside these parameters was to set up his own review systems for a given calendar year. Respondent HL offered that "I don't know that there is a standard of performance management, I think it is left to the device and the creativity of the manager." Respondent JV also added that "So my job descriptions demand that employees who want these jobs have to be performing at a high level. After that, it's all about managing them, and that's not really part of the agreement. How do you motivate them? "With this context related to management practices, I reviewed and discussed results from data related to the future sustainability of unions, noting the decline in union density since the 1950s as indicated by the Bureau of Labor and Statistics (n.d.).

Emergent Theme Five: The Future Sustainability of Unions

Data from the Bureau of Labor and Statistics (2015), shows union membership at the end of 2014 was 11% of the total American workforce, compared to 35% of the

American workforce in the 1960s. Table 8 illustrates details on the number of respondents and their corresponding feedback that maps to the theme on the future of unions. Eighty percent (n=12) of all the respondents referred to the challenges of sustainability facing unions. The preceding responses on sustainability were in response to IQ 11, where I asked for feedback on the respondents' view on the future sustainability of unions. Further, 45% of the coded references indicated that future sustainability of unions was an issue as shown in Table 9.

Table 9

Codes for the Future Sustainability of Unions

Codes	Number of Sources	Number of References	% Total References The Future Sustainability of Unions
Sustainability	12	17	45%
Change Culture	7	9	24%
Political Environment	6	7	18%
Performance Improvement	4	5	13%
Total	29	38	100%

Despite the decline of unions as a significant part of the labor force in the United States, 8 of the 15 respondents clearly articulated that they believed unions had a relevant role to play in society. For example, Respondent AH stated that unions played an important role in ensuring employment protections, sound communities and the basis for economic stability in the country. Respondent JV supported the preceding point by stating that unions helped ensure that employees were not disposable. Respondent JO argued that despite the shortcomings of the unions, they provided stability for the

members they represented. Respondent PS proposed that unions were responsible for many of the benefits and employment protections that employees in the private sector enjoy. All these positive points notwithstanding, all 15 respondents noted clear concerns, about the future of unions.

There were several reasons uncovered in my data collection for the threat to the sustainability of unions in the future. Respondent TH intimate that one of the reasons why unions were at a threat over their sustainability is because historically, they largely represented manufacturing and blue collar jobs, and have not adapted to the changing role of work from manufacturing to knowledge based or technology-related jobs of the current and the future.

Another issue that surfaced was around collective bargaining and benefits. Respondent AC noted that the period where unions solely focused on bargaining on issues related to benefits and working conditions were over. Respondent AC added that unions had to ensure they had a value proposition that was appealing to millennials or risk becoming obsolete. Respondent AS supported Respondent AC's preceding point by stating that unions had to review the job standards and output of their employees as a means to managing sustainability in the future. To do so, Respondent JV added that unions had to increase their partnerships with employers to ensure that the members they represented were adding value to help sustain the health of the organizations that employed them.

I conducted most of my interviews right after the 2016 presidential elections; therefore, concerns around republican policies against unions surfaced. Respondent JO

stated that the election of President Donald Trump was a real disappointment to labor unions and could precipitate the demise or significant weakening of labor unions in the United States. Respondent CN stated the following:

I think as far as the Labor Movement with all Republicans being in the offices now it's going to be really tough, because they're going to want right-to-work and then the union is faced with you have to provide services for freeloaders. And that's what they are. And I mean the tactic of the – on the Republican side as far as trying to break the unions is, hey, they're going to try breaking the unions through the money, right? And at the end of the day we're back to 150 years ago or whatever it's been now since the Labor Movement started, where people are going to be fighting in the streets again. So you know, maybe, I don't know. I'm just saying.

Respondent SC stated the future of unions was even more ominous because of increased attacks by republican politicians. Respondent SA, also believed that republican attacks could significantly weaken unions. Despite the bleak future of unions compared to their historical influence in the economy over 50 years ago, one respondent worked for a union that had fully embraced HPWP and this is discussed in the subsequent paragraph.

Discrepant and Nonconforming Data

In response to IQ 3 and IQ10 where I asked about high performance work practices, a respondent noted such practices already existed in their organization. Respondent CN worked for a labor union that unlike the other respondents, had a department dedicated to ensuring high performance work practices for his organization as

well as for the broader constituents they represented across the country. CN's organization had an employee base in the Washington DC area, but also represented collective bargaining for over 25,000 employees who did not work directly for his organization, but represented in collective bargaining by CN. This process of broader collective bargaining conducted through a master bargaining agreement used by Respondent CN and his various stakeholders.

Respondent CN worked for a union that created collective bargaining agreements customized at the local level. This was different from the breadth and scope of the other unions represented in my multiple case study. Respondent CN also noted that before bargaining, the unions and management developed a partnership agreement that was designed to discuss how the unions in concert with the management could develop a collective bargaining agreement that would ultimately help to improve the business.

Finally, Respondent CN worked for a union that had a dedicated department focused on implementing high performance work practices. None of the other respondents had organizations that had distinct high performance work practices or a department dedicated to implementing high performance work systems. Below is an example of how Respondent CN described HPWP in their organization:

Actually from the [organization's] perspective we work through developing what's called HPWO, High Performance Work Organization, probably about 20 years ago. And we actually had a department called the HPWO Department. And we do training down in our training center on companies that are entering in and also sustaining. So currently we have probably – just thinking off the top of my

head – a good probably dozen corporations across the United States that are active in the High Performance Work Organization in partnership process.

Summary

In Chapter 4, I provided my purposive sample approach towards interviewing the 15 respondents for my study. My respondents were union professionals in roles related to management, human resources and ordinary union members, from private and public sector unions, and based in the Washington DC metro area. Further, I detailed interview process, location, and settings for the interviews, and the data analysis process I used to arrive at my results, informed by Yin's approach to coding and analyzing qualitative data. Further, I detailed my approach to establishing evidence of trustworthiness through using methodological triangulation, maintaining an audit trail and a reflexive journal.

In response to my research question on whether the collective bargaining agreement made provisions for performance accountability, I gathered data on how performance is managed in the unions my respondents worked for. I analyzed additional data on whether the collective bargaining agreement hinders or enables management to provide and sustain high performance work practices. In Chapter 5, I will present my findings on whether collective bargaining agreements hinder or enable management in public and private sectors unions in the Washington DC area, from creating and sustaining high performance work practices.

Chapter 5: Discussion, Conclusions, and Recommendations

The purpose my multiple case study was to explore whether collective bargaining agreements enabled or hindered management from creating and sustaining high performance work practices in public and private sector unions based in the Washington DC area. Based on the problem statement, research question, and nature of the study, I used a purposive sampling strategy to identify, recruit, and interview 15 respondents who had at least 3 years of experience working in unions and were in roles specific to HR, union members, and management staff in unions. The purpose of this cross-sectional demographic was to ensure balanced feedback on the CB process and high performance. Based on the primary research question and study design, I used an interview protocol and semistructured approach using 12 questions as the basis of my data collection. The interview questions linked to the conceptual framework I outlined in Chapters 1 and 2, and they were designed to solicit feedback to unearth themes related to whether the CBA hindered or enabled management to create and sustain HPWPs.

The findings from my data analysis helped me to corroborate the gaps in my literature review on the impact of CB on HPWPs. Unions have been tepid about including strategic HR practices, such as HPWP (Rau, 2012). Scholars have not explored CB, which is the basis of establishing an employment agreement between labor and management, and whether it enabled or hindered HPWP. The findings from my study provide insights into CB barriers to HPWP.

Interpretation of Findings

I discuss the results of my study linked to the themes I uncovered in Chapter 4, which were (1) performance management and accountability, (2) organizational and union culture, (3) intrinsic rewards and performance recognition, (4) management practices, and (5) the future sustainability of unions. I discuss whether my findings support, debunk, or add to the existing body of knowledge on high performance work systems and human capital practices. In relation to my conceptual framework, my findings were consistent with the factors necessary to create a positive labor negotiation framework, per Walton and McKersie. Becker's theories on human capital were posited against the themes I uncovered related to management and performance accountability practices. I reviewed and confirmed the existence of CB as the basis for labor unions. I affirmed the necessity for the behavioral theories proposed by Walton and McKersie. Finally, I reviewed and extended the singular or integrated practices that lead to HPWP, as proposed by Huselid (1995).

Employee empowerment through work autonomy and other HPWPs leads to higher output (Markey et al., 2014). For employees to extract maximum output from employees, they need to view their employees as assets, as they would other capital assets, and provide a performance development and accountability framework to enable peak performance (Becker, 1993). Nonetheless, in organizations where there is no trust between unions and management, any attempt at extrapolating top performers is viewed with suspicion. In fact, management is known to have used spies within union ranks to extract information on how to better manage their employees (Kaufmann, 2013b). A

well-defined performance management framework was critical to HPWP in organizations (Huselid, 1995).

What I found from my analysis was that in the unions my respondents worked for, performance management was generally a provision that was referenced in the CBA. The CBA did not, however, make provisions or describe the standards for performance accountability as much as it did provide timelines for the completion of a performance management process. Respondent CN was divergent in regards to this preceding point in that he worked for an organization that used partnership agreements to denote the key points for organizational sustainability and performance as a precursor to the actual CB process. Also, Respondent CN oversaw a department in Washington DC that represented CB as a consulting or representational service for over 25,000 union member, who largely worked in the auto industry, in blue collar roles, and somewhat divergent from the geographic focus of my study.

From the proceeding inferences, I conclude that CBAs do not provide measure for performance accountability as much as they do for references to what the performance management process should look like and how it should be conducted. As discussed in Chapter 2, the CBA, in concert with provisions in the NLRA, is the most important employment document in a labor union (Freeman & Han, 2013; Marginson & Galetto, 2016; Muller-Jentsch, 2014). The CBA, unlike in the private sector or nonunionized environments, is the primary basis for work rules, as corroborated by all 15 respondents in my study.

The nature of how CBAs hinders the ability for managers to create HPWP as conditions for HPWP are not negotiated or mentioned in CBAs. Respondent AC said “If you give away your power to a CBMA and you end up just sitting on opposite ends of the table – I’m labor, you’re management – they can be terrible. They can be huge obstacles and you hide behind them.” In response to RQ5 on how CB enables high performance, Respondent HL said, “I think how it inhibits it.” From this context, I now present my interpretation of the findings on how organizational and union culture, as aligned with the CBA, can enable or hinder management from creating and sustaining HPWPs.

To understand union culture, I discussed a primer on this history of labor unions in the literature review. Unions rose as a means to empower employees and introduce workplace democracy through negotiated agreements between labor and management and protected by law in the NLRA of 1935. Through CB, unions had a significant impact on (a) salaries, (b) job benefits, (c) wage parity amongst their members, (d) job security, (e) protections afforded in CBAs, (f) positive wage externalities on nonunionized workers, (g) strained relationships with management, (h) long tenure and seniority for unionized works, (i) high wages resulting in lower profits for organizations, (j) influencing labor laws, and (k) workplace egalitarianism (Antonucci, 2016; Hipp & Givan, 2015).

This has resulted in positive benefits for union employees, creating a generalized union culture informed by the CB process, protecting workers, but in some cases, working against the broader interests and sustainability of the organizations they work for. In regards to protecting workers, seniority, which equates to tenure, was protected in

the event of reduction in force initiatives, promotions, and other hiring and promotion practices within unions. I found this in my review of the seniority and hiring provisions in the ASSOCIATION OF FIELD SERVICE EMPLOYEES's, NEASO's, and Kaiser Permanente's CBAs referenced in Chapter 4. All of the respondents indicated that to unlock high performance, labor unions need to have hiring, promotion, and retention practices that are tied to performance, as well as the knowledge skills and abilities of the employees under review.

The respondents noted that people, and not always the best people as stated by Respondent AS, negotiates the CBA. This results in labor and management being involved in negotiations, negotiating agreements from their self-interested perspectives. Respondent CN and KB noted that when partnership agreements were used as a precursor to labor negotiations, where the focus was more on organizational sustainability, and less on wages and benefits, there tended to be more positive outcomes to labor negotiations that could potentially promote high performance. The preceding point was consistent with the behavioral theories on labor negotiations proposed by Walton and McKersie. So in theory, the CB process could be used to engender HPWPs where there is trust and collaboration, as well as a unified view of a partnership agreement prior to negotiations. The view that unions had become self-interested in only protecting their wages and benefits, as described Bennett and Kauffman (2007) and Rosenfeld (2014), was supported by a number of respondents in my study. The preceding point informs the necessity to discuss how intrinsic rewards and performance recognition work in labor unions my respondents worked for.

I analyze the two primary factors related to this theme: performance rewards and self-motivation. As discussed in Chapter 2, employee self-motivation is a component of HPWP and supports organizational efforts, such as performance rewards to drive high performance (Becker, 1993; Huselid, 1995; Pfeffer 1996). Intrinsic motivation, or self-motivation, is internal to the employee based on his or her values, skills, and desires; but, it can be unlocked by an organization to drive high performance (Cerasoli et al., 2014).

The respondents in my study noted that even when there were issues with a lack of performance accountability per negotiated bargained agreements, there was a critical mass of employees who were dedicated to doing high quality work. Respondent AL described such employees as “mission-oriented” and was supported by feedback in my analysis provided by Respondents SE, TD, SC, CN, MMH, PS et al. Specifically, Respondent PS offered that union employees who were passionate about their work did so without paying attention to the constraints of the CBAs. Respondents SE and HL noted, for example, that one CBA in their organization made provisions for employees to work no more than 37.5 hours per week. This became a challenge for managers to demand extra performance because those hours described in my review of the NEASO agreement. Demanding more from employees was more of a challenge because of the lack of provision for performance rewards or any other type of rewards that distinguished between top performers and average or low performers per provisions in the CBAs.

Wage equality based in the ranks and salary bands is linked to the need for workplace democracy and equality, as traced to Beatrice and Sidney Webb’s work on defining CB (Kauffman, 2013a). With the exception of Respondent CN, I did not find

evidence that performance rewards for high performance was used in the unions my respondents worked for in the Washington DC area. According to the human capital theories by Becker and by Pfeffer, as reviewed in Chapter 2, performance rewards and recognition is an intrinsic part of driving high performance.

Without a CBA that supported rewards for sustaining high performance, and with the absence of mission-driven and committed workers, creating and sustaining HPWP in labor unions can be a challenge. I conclude that CBAs with provisions for performance recognition related to high performance may drive HPWP; however, this was not the case in the unions my respondents worked for in the Washington DC area. As management is responsible for the strategic direction of any organization, I discuss my interpretation of management practices in the labor unions my respondents worked for in the Washington DC metro area.

The majority (54%) of my respondents worked in management roles and directly managed their employees using CBAs. The themes I found in my analysis of management practices in the labor unions my respondents worked for included management inertia, management accountability, hiring and promotion practices, retention practices, and management creativity used to manage their employees. Management was an important component in labor relations, particularly in ensuring that the strategic direction of the organization was significant in all decisions related to bargained agreements (Lichtenstein, 2013). Several factors inhibited management from universally exerting positive influence over the strategic direction of the organization while avoiding strife with unions.

Unions could resort to positive dispute resolutions, such as mediation and arbitration (Domhoff, 2013). Conversely, unions could resort to protected and potentially disruptive behavior, including workplace strikes, violence, and sabotage of managers (Rosenfeld, 2014; Toubol & Jensen, 2014). The potential for such events led to management making decisions that were induced by inertia to dealing with conflict when it came to union issues. For example, based on provisions in a CBA, unions could challenge management decisions, whether merited or unmerited, according to Respondent AC and supported by Respondents SE, HL, and SC. Respondent AS argued that because managers had high demands to deliver on work, it became easy to pivot from dealing with performance issues because ignoring such issues was less controversial than confronting the union employees. Respondent AC stated that this inertia had nothing to do with the knowledge, skills, and abilities of managers; rather, provisions and protections, and interpretations of such protections, related performance issues of an employee and the review and remediation process described in a CBA.

To deal with the worker-friendly provisions in a CBA, for example a lengthy and ineffective performance review timeline, some of the manager respondents noted that they resorted to creative practices, such as having off-cycle performance review, created team accountability, where team member held each other for performance accountability, and a review and updating of outdated job descriptions. The managers were not eager to engage in confrontations with unions, even if they had documented evidence that union employees were underperforming. To bypass such conflict, they offloaded additional work to mission-oriented work and rewarded them with promotions through the

classification system in unions, regardless of whether the employee was ready for the next level or not, thus potentially hindering organizational sustainability.

Several factors emerged as themes that challenge the future sustainability of labor unions, as illustrated in Emergent Theme 5. As stated by the Bureau of Labor and Statistics (2015), unions are about less than 11% of the U.S. workforce, compared to 35% in the 1960s. This is evidence that unions are a waning force and no longer have the social relevance they did, between the creation of the NLRA in the 1930s to their peak in the 1960s. Some of the themes from my analysis that contribute to the decline in the unions my respondents worked for included the political environment, the need for a culture change and performance improvement, and sustainable practices.

Union practices that lead to self-preservation on issues such as higher wages and job security (Rosenfeld, 2014), and less about sustainable value creation is contributing to their demise and making them more susceptible to attacks from Republican politicians who seek to weaken unions. The preceding point I discussed in Emergent Theme 2 of the study results in Chapter 4. The election of Donald Trump as president was a concern for a number of the respondents in my study. For these reasons, a change in the culture of unions I discussed, including the negotiating of agreements that promote sustainable practices that lead to organizational sustainability.

As technology changes the nature of work, value creation, and the nature of productivity (Kearney, Hershbein, & Boddy, 2015), unions need a new value proposition beyond protection of the middle class. CBAs can be used to provide work rules on peak performance, manage behavior that contributes to organizational sustainability, support

workplace democracy while empowering managers to manage, and drive high performance in the labor unions in the Washington DC area. I stopped reviewing here. Please go through the rest of your chapter and look for the patterns I pointed out to you. I will now look at your references.

Limitations of the Study

The limitations I identified in Chapter 1 included possible issues accessing quantitative performance management data from unions, reticence of some union members to submit to a research study, and, my geographic focus on labor unions and union employees based in the Washington DC metro area. Despite these initial limitations, I was able to structure a qualitative study subject to rigorous standards for establishing evidence of trustworthiness. That fact notwithstanding, I propose the following as possible limitations to my study to include a review of the research design, and access to qualitative performance management data.

One of the key findings from my study was that collective bargaining agreements were negotiated by people, and such agreements were not abstract from the people who negotiated them, as suggested by Walton and McKersie. Since the collective bargaining agreement has a direct impact on performance management and accountability; all processes managed by people, a phenomenological study may have yielded additional information on why such agreements hinder the creation and sustenance of high performance work practices. I did not benefit from spending a significant amount of time in the organizations where my respondents worked, with the exception of one, which was a former employer of mine. I also did not have the opportunity to observe an actual

collective bargaining processes for the purpose and benefit of my research. These limitations notwithstanding, I was still able to uncover information indicating that the collective bargaining agreement, as negotiated from the perspective of the respondents I interviewed, does indeed, hinder management's ability to create high performance work systems or practices.

Recommendations

I focused my multiple case study research on exploring how collective bargaining agreements enabled or hindered management from creating and sustaining high performance work practices in public and private sector labor unions based in the Washington DC area. I used a purposive sample of 15 respondents who worked in roles mapped to union management, human resources in unions, and union members. Based on the themes related to my data analysis, the multiple case study approach was very effective in reaching data saturation in support of my conclusion that the collective bargaining agreement can enable management to sustain HPWP, where there is trust, partnership and sustainable practice. What I found was that collective bargaining agreements, as currently negotiated were not effective in enabling managers to create and sustain HPWP.

I used a semistructured interview approach guided by central research question to gather data on performance management practices, and provisions for high performance practices in current collectively bargained agreements. Using the multiple case study approach, I triangulated my interview data with current and archived collectively bargained agreements to study the phenomena outlined in my purpose for this study in

Chapter 1. Nonetheless, the limitations of my study may provide grounds for further research using an alternate research design such as a phenomenological study of the collective bargaining process and how its implementation impacts HPWP. Also, a quantitative study on management accountability linked to collective bargaining and management and human resources practices may further the findings from my study.

Future researchers may use a phenomenological study to the lived experiences of various subgroups such as a purposive review union leaders and organizational leadership. In my study, I collected data from three subgroups that are representative of demographics in labor unions. Future researchers may want to study the lived experiences of union leaders and organizational leaders who set the agenda for negotiating collective bargaining agreement. This approach would be consistent with my use of Walton and McKersie's work on behavioral theories on labor negotiations.

As discussed in Chapter review, and using one element of my conceptual framework on behavioral theories on labor negotiation, phenomenological researchers may be able to glean experiences from labor and management on elements of Walton and McKersie's framework on labor negotiations. Future researchers might explore how the lived experiences of bargainers impacts the outcome of negotiated agreements. This might provide data on what factors influence union and management negotiate to produce agreements which hinder HPWP. I review the elements of Walton and McKersie's framework for labor negotiations as follows.

Distributive bargaining, integrative bargaining, attitudinal restructuring, intraorganizational bargaining are the key elements for the labor negotiations framework

as proposed by Walton and McKersie. Distributive bargaining is a winner takes all approach to bargaining and typical of organizations where there is limited trust between labor and management. Using this framework, phenomenological researchers may glean insights on the perspectives and lived experiences that influence union management and organizational management to negotiate terms that may be inimical or supportive of management's ability to create and sustain HPWP. Integrative bargaining is a more constructive form of distributive bargaining and requires trust between labor and management. Opportunities may exist for researchers to uncover how distributive bargaining may support negotiated agreements supportive of HPWP. Attitudinal restructuring and intra-organizational may be of significant importance in a phenomenological study as it may require researchers to explore the internal dynamics that constitute a collective live experience that may influence management and unions to take certain positions in labor negotiations, influenced by input by the constituencies they represent.

Finally, a researcher using a phenomenological study may benefit from observing actual collective bargaining sessions. In this study, the researcher may benefit from participant observation, and other inputs that may shape the overall outcome on how lived experiences through collective bargaining may impact the final outcome of how implemented collective bargaining agreements enable or hinder management from creating or sustaining HPWP in labor unions. This study may be limited to a geographic area or be more broad based than my study and could provide additional information on how collectively bargained agreements can be used to enable sustainable HPWP in labor

unions. In addition, to my recommendations for a phenomenological study, there may be opportunities for quantitative researchers to conduct a comparative study on whether the collectively bargained agreement enables or hinders HPWP in labor unions across geographies, and may include a review of non-unionized organizations.

Researchers using a quantitative methodology can test, compare and analyze statistical data and form data-driven conclusions on the relation between collective bargaining agreements or the lack thereof. The themes reviewed in Chapter 4 are congruent to the conceptual framework discussed in Chapter 2. An opportunity for qualitative researchers would be to review the use of partnership agreements as a precursor CBAs, noting the impact or lack thereof on HPWP. I make this point because my analysis and literature review of Walton and McKersie's behavioral theories did not account for the use of partnership agreements as noted separately by Respondent CN and KB. Certainly, when trust is established in the CBA process, it can lead to positive integrative bargaining and may result in HPWP as described by Rau (2012). Noting the preceding key points, I now discuss other recommendations for improving HPWP in labor unions.

Use of Partnership Agreements Prior to Collective Bargaining

Partnership agreements surfaced in my data analysis of feedback from Respondent CN and KB related to the performance management and accountability theme (Emergent Theme One). Partnership agreements, if used transparently, can be used to reduce the adversarial nature of negotiations between labor and management, where both parties, using the partnership agreements, may move from entrenched positions, to

integrative bargaining (Ji, 2016; Walton, & McKersie, 1993). The partnership agreement may be used to establish trust and cooperation between unions and management, an important precursor for improved relations, and the HPWP (Rau, 2012).

Separate from CBAs, strategic communication and agreements in regards to organizational performance and position between unions and management is critical to establishing trust. It is important to note that internal and external forces contribute to the dynamic nature of the relationship between unions and management and may contribute to adversarial relationships that impact implementation of HPWP (Shin, 2014). There is significant evidence that positive relations between unions and management, where sustained, may create work environments suited for the implementation of HPWP (Gill, & Meyer, 2013; Rau, 2012). The demonstration of cogent employee representation practices that create transparency, enhance employee voice and partnership between management to unions has a positive impact on the establishment of HPWP (Laroche & Salesina, 2015). The details of a partnership agreement should support organizational sustainability.

A sample agreement from the IAMAW Union (n.d.) suggested that partnership agreements should include information on how to improve business functions, an integrated communications strategy, business planning with input from unions and monitoring and evaluation of how the high performance partnership agreement supports CB and CBAs. Labor-management partnership agreements have proven to improve the work environment, save labor cost, and improve organizational performance, particularly in healthcare unions (Lazes, Figueroa, & Katz, 2012). Union leadership and members

seldom plays a role in the strategic decision of organizations, yet there is a significant role unions can play in helping management to sustain HPWP (Rau, 2012).

Improved Hiring and Retention Practices

I unearthed data related to Emergent Theme Four which highlighted issues related to the hiring and retention employees who did not necessarily possess the skills to deliver high performing work output. As discussed in Chapter 2, selective hiring of a capable employee is important for organizations to sustain high performance (Becker, 1993; Huselid, 1995). My review of the data from Chapter 4 shows that some of the unions did not hire qualified staff, and managers were not motivated to terminate employees with performance issues, because the previous manager may have not documented it, or the unions through the grievance process challenged a termination decision made by the manager. As a result, because of the tenure provisions in some CBAs such as the one I reviewed for NEASO (2015), low performing employees were not terminated. Nonetheless, hiring the right employees can yield performance dividends for organizations.

Recruitment of the right people in the unions my respondents worked for was a recurring theme in Chapter 4, and affected who joined labor negotiations, management employees and implemented the work. The right talent management and organizational practices can attract the right type of talent to help organizational sustainability (Schiemann, 2013). As discussed in Chapter 2, selective hiring practices are a key component for ensuring the successful implementation and sustenance of HPWP (Huselid). The right hiring practices coupled with effective talent management practices

such as employee training and development, and performance accountability, transforms employees into human capital that can deliver high output for organizational sustainability (Becker, 1993).

Revamped Performance Management Accountability

In Chapter 4, data from my analysis Emergent Theme One (Performance Management and Accountability), indicated a significant issue with performance accountability in the unions my respondents worked for. Some of the issues in Emergent Theme One related to stigma on high performance, the union culture of performance equality, and certainly management accountability on managing performance. Other issues unearthed in my analysis related to the lack of performance awards, per Emergent Theme Three (Intrinsic Rewards and Performance Recognition). As reviewed in Chapter 2, high performing organizations instituted performance management mechanisms that developed employees and aligned them to strategic organizational priorities (Becker, 1993; Huselid, 1995; Pfeffer, 1996). Although my data analysis in Chapter 4 revealed that unions and management made performance management provisions in CBAs, there were weak organizational structures in place to fully implement performance accountability in the unions my respondents worked in.

It is my recommendation that unions either make explicit provisions for performance accountability, or ensure that there is a credible and usable performance management framework, where managers are trained to manage performance. It is important to note that organizations such as Accenture and GE have revamped their performance management systems to ensure that it is practical, avoids flaws with the old

way of performance management, engages employees in a meaningful way, and is updated to reflect 21st century work practices (Chandler, 2016). For the preceding reason, unions need a performance management framework that utilizes organizational realities highlighted in a partnership agreement and CBA, ensures the best fit are hired, and is attuned to the history of unions as bastions for workplace democracy, while attuned to new ways of working in the 21st century. This will ensure that unions have a workforce that is reflective of market conditions in the 21st century, and attuned to the technological and demographic changes that influence the way organizations function.

Implications

The potential implications of my study are germane to practice on the potential of HPWP in unions, performance management in unions, and finally, sustainability of unions in the face of significant challenges to how they affect social change. The impact of HPWP on positive organization performance is reviewed on how it positive affects practitioners, theory, and social change. The declining state of unions requires unions to rethink their value proposition to their various stakeholders, noting the impact of CBAs to the creation and sustenance of HPWP. Managers are responsible for setting the business strategy for their organizations, creating a congenial environment for high performance, and hiring employees who can deliver on management objectives (Huselid).

Significance to Practice

The CB process, CBAs, implementation of CBAs and how they might hinder or enable HPWP may enhance performance and talent management practices in labor unions based in the Washington DC area. My study indicated that better use of

integrative pre-bargaining strategies such as partnership agreements, which detail the financial and strategic health of the organization, might inform CB to ensure that negotiated agreements protect both employee and organizational sustainability without undue distributive bargaining advantages to one side over the other. As reviewed in Chapter 1 and 2, distributive bargaining and negative attitudinal restructuring may negatively influence CB (Walton & McKersie), with outcomes not supportive of sustainable HPWP.

Future collective bargaining agreements may benefit from the presence of human capital practitioners as well as other business operations stakeholders, to ensure labor negotiations incorporate sustainable interests beyond labor and management (Kauffman & Tarras, 2015). As discussed in Emergent Theme Two, results from my data analysis indicated that the actual collective bargaining process did not include the right people to negotiate sustainable agreements that protected employee rights, management obligations and organizational sustainability. The results from my study demonstrated the importance of having human capital practitioners, and not only labor relations experts, to provide input on the importance of incorporating sustainable talent management practices in collective bargaining agreements, consistent with Huselid's theories on HPWP.

The role of managers in setting the tone for organizational and union culture, as well as using integrative bargaining practices cannot be understated. As discussed in Emergent Theme One, the use partnership agreements is important to setting the right tone for CB, and it is the responsibility of management in labor unions to use partnership agreements. Where relevant, partnership agreements inform credible labor negotiations

that do not solely focus on job entitlements such as salary, benefits and job security as discussed in my literature review of collective bargaining in Chapter 2 and in my discussion of such agreements in Emergent Theme Two. Such partnership agreements might create the transparency and trust necessary to inform an integrative bargaining approach that provides for the interests of unions, and management (Walton & McKersie), and with a focus on organizational performance and sustainability.

Significance to Theory

My review of existing literature discussed in Chapter 2 showed a gap in exploring the impact of CBAs on HPWP in labor unions. My analysis and results support the need for management and unions to establish a congenial environment that supports successful implementation of HPWP. My study confirmed that the implementation of HPWP through CBAs can be implemented (Fleetwood, 2014; Gill & Meyer, 2013; Hassan et al., 2013; Rau, 2012). Although performance management existed in the unions as discussed in Chapter 4, significant issues related to the implementation of practical implementation of performance management in unions need to be reviewed and analyzed in detail. The final analysis of my study demonstrated that the CBAs have a direct impact on management's ability to create and sustain HPWP in the labor unions where my respondents worked.

As a result, labor relations and collective bargaining experts may study the importance of incorporating HPWP provisions in CBAs to ensure that organizational sustainability, noting the decline of unions, is accounted for in such agreements. The incorporation of HPWP into unions is critical to ensuring such organizations remain

sustainable and competitive in a fast changing economic market (Kornelakis, Velizotis, & Voskeritsian, 2016). The impact of HPWP on union performance may provide practitioners additional opportunity to create linkages between the CB process, organizational culture, and firm output. As noted by Huselid, organizations with mature HPWP are more likely to perform better than those without it. The preceding point is increasingly important with the context of declining union density in the United States.

Significance to Social Change

The rise of unions was significant in giving employees a voice in the workplace (Lichtenstein, 2013). Unions continue to serve as important agents for social justice in the Washington DC metro area and the United States at large. The results from my study may inform the hiring practices in labor unions to consider engaging millennials, the largest and most technology savvy demographic in the United States (Fry, 2016), to help them fill competency gaps from old recruitment practices. This would help increase the employment rate for millennials who potentially face dimmer job prospects than previous generations (Ross & Rouse, 2015).

Historically, unions were agents for social change. As discussed in Chapter 1, the rise of unions was because to the exploitative practices of employers and management. Unions provided employees with a voice and created a platform to protect workers and their interests (Kaufmann, 2007). Unions have been agents for social change by protecting the middle class, and wages for their members (Lichtenstein). The core values of unions influenced the sociopolitical landscape and led to the creation of the NLRA. The rights, protections, and benefits many American workers enjoy, such as the five-day

work week can be attributed to unions (Union Plus, 2016). Just as the Great Depression accelerated the mainstreaming of unions, and the creation of the NLRA (Lichtenstein), so can the recent political developments, and election of a republican-dominated government to the legislature and executive in 2016, influence the impact unions can have in the United States.

Some additional implications for future research might include comparisons between private and public sector unions, unions versus non-unions, and interest-based bargaining as compared to collective bargaining. Organizational dynamics in private sector unions, where profitability and efficiencies are valued, might be compared to public sector unions to explore whether CBAs and their impact on HPWP vary. In addition, a review of HPWP in unions and nonunion environments might impact the operations of such organizations. Finally, my study might impact the use of interest-based bargaining compared to CBAs as a means to impact HPWP, which can lead to better cooperation between managers and unions.

Conclusions

The new Republican presidential administration in the United States is bound to do further damage to accelerate the decline of unions (Fukuyama, 2016). Unions have no alternative but to become sustainable, add value to all their stakeholders, and adopt sustainable market practices, despite their historical aversion to business practices and perceptions of management domination. As discussed in Chapter 4, the lack of performance accountability, negative organizational and union cultural practices, lack of performance awards, inconsistent management practices have all contributed to CBAs

that have not always supported the future sustainability of unions, in light of changing sociopolitical and economic realities. Labor unions have become focused on self-preservation of their union members and leaders by negotiating higher-than-average salaries for their members and leaders (Epstein, 2013; Rosenfeld, 2014). With waning market salaries, the global recession of 2008, unions no longer have the public and political support they once enjoyed (Antonucci).

New market trends such as the election of Donald Trump, the republican majority in congress and legislation passed by politicians such as Scott Walker (Walker, 2016) indicates unions need to change and imbibe sustainable practices that make them viable. For this reasons, it is important for unions in the Washington DC area to understand how to use CBAs to enable HPWP in their organizations. Nonetheless, the economic conditions that gave rise to unions may shape the future of unions with current economic realities.

Economic and political conditions of the 1930s influenced the passage of the NLRA by President Roosevelt (Lichtenstein). The Great Depression and exploitative labor practices of the later 19th and early 20th century influenced the rise of the labor union movement and turned it into a strong organizing force against bad management practices (Piper, 2013; Zeigler & Gall, 2002). During the peak rise and peak of the labor union movement, adversarial CB practices were useful and appropriate based on the working conditions that workers faced in the before the NLRA (Lichtenstein). Since the 1960s, the density of unions has waned from over 35% to 11% as of 2014(Bureau of

Labor and Statistics). Unions need to incorporate HPWP to remain viable in the 21st century and beyond.

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Appendix A: Interview Protocol

Interview: _____

Interviewee: _____

Date and Time: _____

Location: _____

Format

- Introduction
- Context and purpose for the study and notice indicating an interview time not to exceed an hour
- Discuss format of interview
 - Documented questions to guide discussion
 - Use follow-up to validate or gain additional context
- Give interviewee a validated copy of the informed consent form and re-review confidentiality agreement per IRB standards
- Gain consent to use recording devices in interview as well as the need for the researcher to take notes during interview
- Gain acquiescence to member check information during interview and provide guidance on the provision of transcripts after the interview

- Conclude interview and inform participant of how the data gleaned from the interview will be used for future research as well as publications in scholarly and non-scholarly media

Appendix B: Interview Questions

1. Describe how collectively bargained agreements are used in your organization?
2. In what ways are general employee performance standards included in collective bargaining agreement?
3. How is performance managed and performance accountability managed in your organization?
4. How do collective bargaining agreements enable supervisors and managers to create high-performance workplaces?
5. In what ways do collective bargaining agreements hinder supervisors and managers from creating a high-performance work place with performance accountability?
6. What are some of the key challenges to using a collective bargaining agreement to manage performance?
7. How is the collective bargaining agreement used to manage employee performance?
8. How do employees view the collective bargaining process?
9. In what ways is your organization a high-performance workplace?
10. In what ways can high-performance be unlocked in your organization?
11. Discuss your impressions on the current state of organizational sustainability in your organization.
12. What role do you play in managing performance in your organization?

Appendix C: E-mail Invitation

Dear (interview participant),

I am conducting interviews as part of completing my doctoral dissertation at Walden University to explore the impact of collective bargaining agreements on high performance work practices in labor unions. Based on your job in your organization as a [insert title], you are well positioned to provide valuable first hand input from your experiences with the bargaining process.

The interview will take no more than 30 minutes. Your responses will be kept confidential. I will affix codes to each interview to ensure the information you share is privileged and confidential throughout the data collection and analysis.

Your participation will be non-compensated. Nonetheless, your input will be very important to the overall focus of this research study.

Kindly let me know if you are interested and available to participate in this study.

Many thanks in advance for making time to support my research study.

All the best.

Nana Gyesie

Appendix D: LinkedIn Invitation

Dear (interview participant),

My name is Nana Gyesie and I found your profile on LinkedIn. I am conducting interviews as part of doctoral dissertation at Walden University to explore the impact of collective bargaining agreements on high performance work practices in labor unions. Based on your current job in your organization as a [insert title], you are in an ideal position to provide valuable first hand input from your experiences with the bargaining process.

The interview will take no more than 30 minutes. Your responses will be kept confidential. I will affix codes to each interview to ensure the information you share is privileged and confidential throughout the data collection and analysis.

Your participation will be non-compensated. Nonetheless, your input will be very important to the overall focus of this research study.

Kindly let me know if you are interested and available to participate in this study.

Many thanks in advance for making time to support my research study.

All the best.

Nana Gyesie