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# **FM contract relationships: from mobilisation to sustainable partnership**

**(best practice / case study)**

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## **ABSTRACT**

### **Purpose / theory**

Outsourcing is a fundamental business model for the Facilities Management (FM) industry. To enable sustained mutual success the parties involved must seek to understand the unique, socially constructed, and often highly complex situational realities of the organisational ecologies they are engaged in. The FM industry can unlock improved performance and strategic credibility through an appreciation of the need for different conversations.

### **Design / methodology / approach**

Findings from two recent cases are considered. Data from two different client-contractor relationship situations was collected utilising a critical ethnographic research methodology; a phenomenological paradigm that acknowledges knowledge as socially constructed through language. A variant on Scott-Morgan's unwritten-rules coding method was used to analyse the data and justify the prevalent themes and issues presented.

### **Findings**

Findings include the role of perceptions and assertions in the construction of social realities, change management implications, and how these impact on the traditional view of the client/contractor relationship. Ethnographic findings are typically context specific, therefore generalisations must be carefully considered. The key findings are however substantiated by existing FM outsourcing literature.

### **Originality / value**

Highlights the practical importance of seeking to understand socially embedded realities for improved FM contract performance. Considers the human resource element of change via FM outsourcing. Takes a social constructivist approach to organisational sense-making. Uses examples from focused, critical ethnographies to explore existing FM contracting dynamics. Qualitative investigations into related organisational circumstances are encouraged to further develop an evidence base.

## Keywords

Facilities management, outsourcing, change management, conversations, ethnography, unwritten rules

## 1 INTRODUCTION

Adversarial or exploitative relationships in outsourcing contracts are hardly news to many in FM. The problems that arise and the contrast between the partnership rhetoric and the day-to-day frictions will not surprise practitioners. However research, and in depth studies are hard to find, tend to focus on improvements to the outsourcing process, improvements to service level specification, or better dispute resolution. There is currently little in the way of empirical data in the field of FM contract mobilisation<sup>1</sup> as a change or project management discipline. Many organisational theorists would conceive these as structural-functional approaches (Vischer, 2008; Price et al. 2009) or inquiries into first-order realities (Ford, 1999). We describe here two research cases that reveal the insights which an ethnographic form of inquiry can yield into declared second-order realities, associated unwritten rules (Scott-Morgan, 1994) and the resultant emergence of accidentally adversarial positions (Senge, 1990). The cases illustrate the potential for such studies in FM research and practice.

## 2 BACKGROUND

### 2.1 Case study 1

Owen (2009) undertook an ethnographic examination of the first year of an FM contract resulting from phased strategic outsourcing, where significant and varied conflicts developed. The contract encompassed the provision of integrated FM services to some 20 retail centres UK-wide, between a 'blue-chip' client (RetailCo) and a 'total FM' service provider (TFM1). RetailCo had previously outsourced some of these services individually via other specialised FM single-service providers. Within 14 months the client/contractor relationship had deteriorated to such an extent that the contractual arrangement, originally specified for an estimated five years, was terminated for some services and reduced to remotely managed, single-service delivery for the remainder. In the examination of the mechanistic elements of the process it became clear that rather than simply suffering from a flawed 'plan', as was the initial belief, there were a number of complex, second-order (Ford, 1999) reasons for the conflicts that arose during the contract mobilisation and outsourcing transition. Second-order realities<sup>2</sup> are the socially constructed interpretations of empirical information available, perceived as true, factual and essentially real, by those possessing them (see section 3.2).

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<sup>1</sup> By 'contract mobilisation', the authors refer to the period from which the strategic decision to outsource or procure an FM service is made by the client, to the end of the transitional period whereby the contract 'goes live', and the previously incumbent service or contract has been operationally replaced. However, the case studies demonstrate issues may persist far beyond this specific period.

<sup>2</sup> For a more extensive discussion, see EFMC conference paper by Price et al. (2009). <http://shura.shu.ac.uk/912/>

## 2.2 Case study 2

Ellison (2008) examined the narratives of employees involved when a UK-based ‘blue-chip’ client (TechCo) began a first generation three-year outsourcing agreement with a major ‘total FM’ service provider (TFM2). The decision to outsource the hitherto in-house FM elements followed a protracted period of market testing, feasibility studies and negotiations. As is typical the arrangement left a small ‘intelligent client’ contract management function on the client side. The majority of staff transferred under UK legislative protection: Transfer of Undertakings (Protection of Employment) Regulations (TUPE). Ethnographic research over a four-month period involved observations of, and interviews with, individuals and groups. Participants included:

- TUPE-transferred TechCo staff
- a limited number of personnel from pre-existing TechCo sub-contracts
- TFM2 staff involved in the contract (both existing within TFM2 and newly recruited for the TechCo account)
- TFM2 staff employed elsewhere within the business.

## 2.3 Comparisons

In the absence of any robust outsourcing or mobilisation plan, Owen (2009) observed localised adversarial client/contractor relationships from the outset, despite the best intentions of TFM1 and the centralised RetailCo corporate FM function. The author’s initial belief was that the development of such a schedule would help facilitate cooperation and partnership, and mitigate the challenges witnessed during new FM contract mobilisation. During the course of his research, however, he identified that an effective plan was only one aspect required for effective and sustained change success.

Conversely, Ellison (2008) witnessed a robust mobilisation project plan, which TFM2 used regularly as the procedural basis for the transition. Despite this, he found a striking complexity of different conversations, stories, beliefs, and resulting attitudes and behaviours within the affected population. This led to the conclusion that a linear project approach to the change management of FM outsourcing, even with the inclusion of human resource (HR) considerations, is limited in its ability to affect and sustain organisational change and performance improvement.

Common to both case studies were the various reactions of members of the incumbent workforces to ‘imposed’ organisational change. The reactions led to complex, often unpredictable operational issues and situations. Given that the majority of FM industry outsourcing decisions are strategic, ‘top-down’ decisions (Lines, 2005) it is unlikely that decisions to outsource FM functions are generally consensual or democratic. Yet a vast proportion of change management literature (for example Ulrich, 1997; Kotter, 2007) condones successful change through engendering choice and ownership. This clearly has profound implications for an industry whose primary method of growth is through contract outsourcing.

This paper therefore aims to suggest improvements that can be made through change management which acknowledges the need for a robust, methodical transition approach, but which also aims to support the varied and complex ‘lived experiences’ (Smith, 2001) of the

staff involved in the contracting relationships as they progress and develop. Fundamentally, *'people are any organization's principal enablers or disablers of change. Not processes. Not technology.'* (Maira and Scott-Morgan, 1996).

### 3 LITERATURE REVIEW

Studies of this type and scope tend not to be focused on one specific academic area. Consequently, the following brief, scene-setting literature review explores the key topics most pertinent to the findings and discussion presented in this paper.

#### 3.1 Outsourcing and contract mobilisation

In the context of the resource-based view (RBV) of the firm, and the core competencies paradigm (Barney, 1986; Prahalad and Hamel, 1990), where information and knowledge are key enablers for success (Bell, 1973; cited in Farrell and Mavondo, 2003), outsourcing can be defined as: *'a strategic decision that entails the external contracting of determined non-strategic activities or business processes necessary for the manufacture of goods or the provision of services by means of agreements or contracts with higher capability firms to undertake those activities or business processes, with the aim of improving competitive advantage.'* (Espino-Rodríguez and Padrón-Robaina, 2006, p.52).

The vast majority of literature encountered discusses the advantages and disadvantages of outsourcing from strategic and tactical organisational perspectives. Indeed, a comprehensive summary of outsourcing trends and developments throughout the 1990s presented by Kakabadse and Kakabadse (2000) makes only a single study reference to the human resource dimension of outsourcing. It is such people-centric, social considerations that are of primary relevance here, in terms of the effect on those involved, and also the nature of the relationship between the client and contractor. A progression in some client/contractor relationships from traditional outsourcing, with cost, efficiency and flexibility focal points, to transformational outsourcing, where innovation and business improvements are sought is noted (Rebernik and Bradac, 2006).

Lowering the morale of permanent employees, generating internal fears and employee resistance, and detrimentally affecting the existing social structures and culture are all cited as disadvantages, the impacts of which are yet to be fully appreciated. Employee perceptions of contemporary serfdom and detrimental organisational loyalty may also result (Kakabadse and Kakabadse, 2000). It is suggested that a comprehensive plan detailing objectives, expectations, requirements and anticipated benefits should be formulated prior to outsourcing implementation, alongside work to allay fears associated with job loss and the uncertainty of change (Elmuti and Kathawala, 2000).

Lämsä (1999) considers organisational downsizing from an ethical perspective, aiming to describe the action based on the reality of the experiences of the managers involved, recounting that the RBV of personnel as a valuable and important strategic resource is easily replaced by a more traditional and mechanistic Taylorist view when cost becomes a factor. In essence, utilitarianism prevails over deontological considerations.

### 3.2 Culture, change, conversations and realities

It is important to appreciate the context for change that is created through both the history of an organisation and its resultant culture. From a postmodern perspective, it is likely that complex subcultures will exist within an organisation rather than a single uniformity (Hatch, 1997). Culture can therefore be a fundamental organisational resource, yet also affected by national, societal and sub-cultural influences.

The cultural aspects of change must be managed, and indeed a culture *of* change must be instilled for success (Ulrich, 1997). However, this managerialist approach can be considered paradoxical, given considerations of planning versus cultural inimitability (Barney, 1986; Bate *et al.* 2000). To achieve culturally sensitive change, culture should be positively discriminated for in the short term, and organisational learning should be the basis for any change programme.

It is also crucial to appreciate the importance of language and dialogue with respect to cultural evolution, and subsequently organisational change. Ford (1999) presents the postmodern, constructivist proposal that we make sense of our world via our own realities constructed through conversations. The world cannot be known directly. Failure to distinguish between the measurable, empirically verifiable first-order facts, and our second-order interpretations, heavy with meaning, and their interconnection, can lead to self-fulfilling prophecies of representational ‘facts’. Essentially, without critical awareness, people regard their second-order conversations as true and factual reports on an existing world: *‘Stories and storytelling are common activities that individuals in all organizations use to make sense of their world and their life at work ... In general, stories in organizations are told as if they depict real events, and they are heard and repeated as representations of real events ... The continual narration of organizational stories can shape and re-shape the way the individuals experience their organization.’* Schwartzman (1993, p.43-44).

Conversations are therefore both process and product, where change unfolds through ongoing dialogue. The challenge for the change agent is to create dialogues which create the willingness for people to speak and listen differently, enabling second-order reality shifts: *‘There is a particular coherence given by the background conversations such that within that reality, everything is appropriate. This means that it is very difficult to challenge one reality from the point of view of another.’* (Ford, Ford and McNamara, 2002, p.109).

## 4 RESEARCH METHODOLOGY

### 4.1 Ethnography: exploring the ‘lived experience’

Ethnography is an anthropological approach employed to study people holistically and contextually in their natural settings: *‘ethno (‘folk’) and graphy (‘description’), a ‘description of the folk’, if you will’* (Boyle, 1994, p.161; citing Schoepfle, 1987). It refers to both the process of undertaking the fieldwork and the final written product (Bryman and Bell, 2007), and should be theoretically informed, yet represent the irreducibility of human experience in its own terms (Willis and Trondman, 2000). *‘Ethnographic field researchers [acquire] a type of data that is simply unattainable using other modes of enquiry. In particular, field-workers*

*using ethnographic approaches convey vivid, dynamic and processual portrayals of lived experience.*' (Smith, 2001, p.229).

Immersion in an ethnographic study creates a narrative which recognises and reflects upon the subjectivity of both the researcher and the participants (Dey, 2002). Subsequently, the context-heavy second-order realities in existence can be recognized and explored. *'Much like the social world that it seeks to portray, ethnographic writing is 'home' to multiple realities – the truths of our informants, the truths of the ethnographer's experience, and the disciplinary truths of concept and theory.*' (Grills, 1998, p.200).

Successful ethnography requires an appreciation of 'plurivocality': situations contain multiple embedded meanings, as participants create their own interpretations (Boje, 1995). An interesting consideration here is the prevalence of rational binary duality in western culture, and the drive towards non-contradiction. If one point is right, the other must be wrong (Carr, 1999). But does this have to be the case? Ward and Werner (1984) suggest seeking different and dissonant epistemological windows through which to gain insight. In essence, the researcher has not delved deep enough until they find contradictions in participant perspectives: *'A cultural domain is fully explored if and only if the data is rich enough so that it contains controversies, or disagreements among consultants in relation to a particular cultural domain.'* (Ward and Werner, 1984, p.233; citing Werner and Manning, 1979).

Ethnography is therefore one way to articulate and understand the often-marginalised employee use of 'voice'. Voice is fundamentally different to resistance, in that while it may challenge prevailing management perspectives, the reasons for doing so may not necessarily be negative (Bryant, 2006).

## 4.2 Case study approach

The original studies, key findings of which are discussed here, are both examples of focused (on a topic-oriented, small group), critical ethnography (acknowledging that the researcher is inevitably a subjective participant throughout the process, which must be realised and declared). Data was collected over extended periods via a broad range of active and passive methods including observation, discussion, interview, and documentary review, alongside iterative, critical researcher reflection. Furthermore, an ethical rationale similar to Brannan *et al.* was taken, positioning ethnographic research not just in terms of pure observation and description, but also as a tool to catalyse potentially emancipatory change: *'Do we have a duty to ensure that we leave the workplace in the state in which we found it? Or should we seek to bring about change and improvement, irrespective of whether this distorts the field during the research process itself, or later through publication?'* (2007, p.401). *'Critical social researchers subscribe to the view that it is not enough merely to observe the world we live in, merely to understand it; the point is to change it. Otherwise, why be critical?'* (Ferdinand *et al.* 2007, p.532).

Critics of ethnography cite subjective limitations, lack of rigour, unreliability, and that results may not be meaningful at a generalised level (Robson, 2002). This paper's authors propose that subjectivity in social science is largely unavoidable, yet through critical reflection by the researcher, honest, powerful and robust 'real-world' research is possible. Furthermore, as demonstrated, the findings are substantiated by existing academic research.

### 4.3 Distilling meaning: unwritten rules analysis

One challenge of ethnography is managing the sheer volume of data gathered and deriving subsequent meaning. Mitchell and Charmaz (1998) advocate identifying and coding recurrent themes to facilitate pattern identification. Both the current authors elected to utilise coding structures (table 1) derived from Scott-Morgan's (1994) unwritten-rules organisational improvement methodology, which has been independently verified (McGovern, 1995).

Essentially, by identifying *what* is important to employees (motivators: the real-life carrots and sticks); *who* is important in order to achieve these (enablers: the real power structure of an organization); and *events* whereby employees access motivators (triggers), it is possible to make causal links which identify unwritten rules. These are sensible ways to behave which are neither good nor bad, but appropriate or inappropriate to organisational aims. They make perfect sense to the workforce, but they *may* be misaligned with organisational objectives.

*'The point is that, when it matters to us, we are all politically correct. The unwritten rules reflect enlightened self interest.'* (Scott-Morgan, 1994, p.23).

While the complete unwritten rules methodology was beyond the scope of both studies, coding the primary data accordingly afforded rich insights into the complex tapestry of issues, both positive and negative, that existed within the participant populations. Two contextually significant themes revealed in both cases were the condition of the client/contractor relationship and the impact of this on operational success, and also a preoccupation with process.

Table 1: Coding descriptions and explanations used by authors	
Source: Ellison (2008), adapted from Scott-Morgan (1994)	
Description	Explanation
Motivator	<i>What</i> is important to the participant – a real-life carrot or stick
Enabler	<i>Who</i> is important to the participant – the people who can award or penalise
Trigger	<i>How</i> the participant is measured – how (and where) people succeed and get what they want
Positive result	An outcome deemed to be positive or beneficial to the organisation or participant
Negative result	An outcome deemed to be negative or detrimental to the organisation or participant
Observation	If known by the participant as a fact
Assertion	If perceived to be a fact or the truth by the participant
Unwritten rule	Sensible ways to act, given the 'written' rules and management behaviour

## 5. DISCUSSION

From the complexity of thoughts, ideas, beliefs and opinions that exist in these case studies, it is almost impossible to locate or conclude simple right/wrong dualities (Carr, 1999) from the data. What might be ethically acceptable from a utilitarian (for the benefit of all) organizational perspective may contravene more deontological (you would accept the same yourself) individual considerations (Lämsä, 1999). We have therefore sought to represent this complexity in terms of antecedents and consequences, both intended and unintended, and resultant unwritten rules enacted. Figures 1 and 2 below demonstrate summarised potential causal linkages existing within the data captured. They should be regarded as static 'photographs' of complex, dynamic, evolving organisational ecologies.

### 5.1 Client/contractor relationships

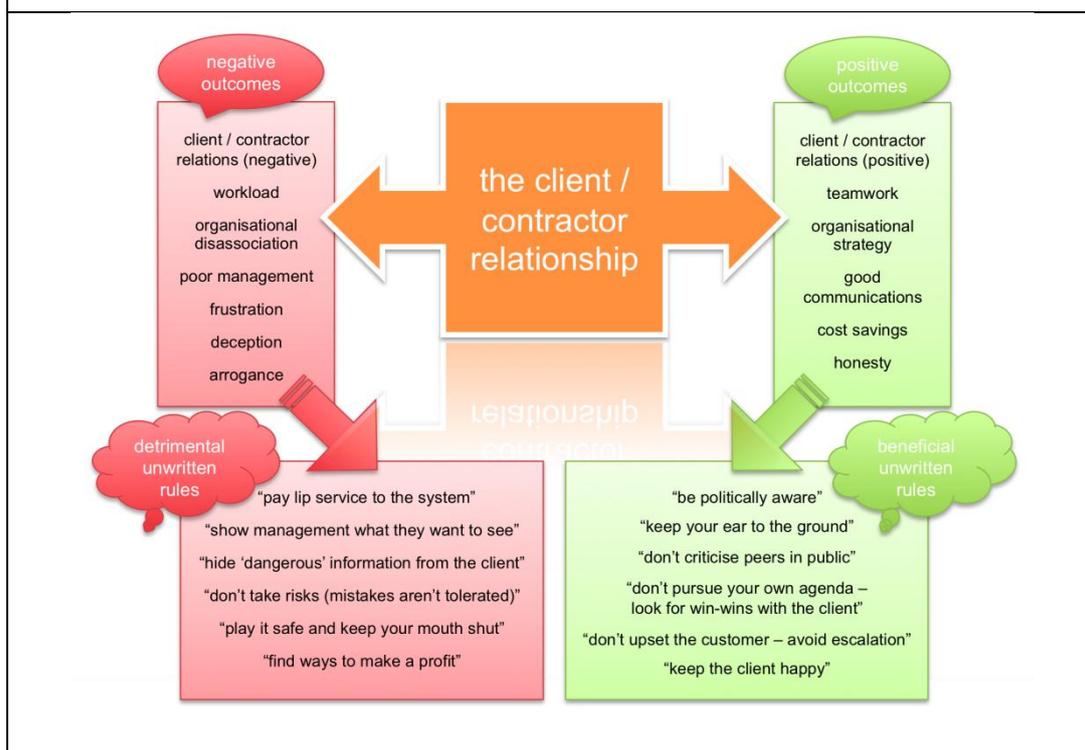
In both cases, the condition of the client/contractor relationship was evident as both an ongoing issue and also a key enabler for success. The demand on the FM contractor to always get everything right first time, and the very real negative consequences of underachievement, fundamentally contradicts both the typical outsourcing partnership rhetoric and the potential for true organisational learning which is often borne out of making mistakes, reflecting, and sustaining iterative improvements. This is an ongoing paradox in the commercial client/contractor environment; partnership demands mutual understanding and patience. Behavioural and attitudinal blind spots clearly frustrated clients and contractors alike, and evidence of information asymmetry and bounded rationality (Simon, 1957) limited service delivery performance in these cases. For example, the lack of trust evident in local RetailCo management clearly affected the client/contractor relationship and led to non-disclosure or even subversion at times. The ongoing effect of this was to produce a number of negative reinforcement loops (Senge, 1990) which perpetuated the conflict dynamic.

It is easy to say that better collaboration, two-way information exchange, and trust (in its various commercial forms) will result in a more productive partnership approach, yet the evidence suggests this is extremely challenging to achieve. Embedded assertions and perceived realities were prolific (figure 1). Elements of a more humble, Socratic approach to dialogue and subsequent collaboration may be useful (Skordoulis and Dawson, 2007).

Furthermore, Owen (2009) also identified distinct differences between the attitude and behaviour of the RetailCo centralised 'parent' client, who actioned the outsource strategically, versus the 'local' clients engaging operationally with TFM1 on site. This finding has ramifications for achieving sustained contract mobilisation and partnership, particularly where the change manager is unaware that they are working to one set of formal rules (the parent) when, in fact, local unwritten rules prevail. This oversight can exacerbate negativity, as the local culture believes the impositional parent and the unwelcome contractor are joining forces to attack the status quo.

Figure 1: Intended and unintended outcomes: the client/contractor relationship

Source: Ellison, 2008

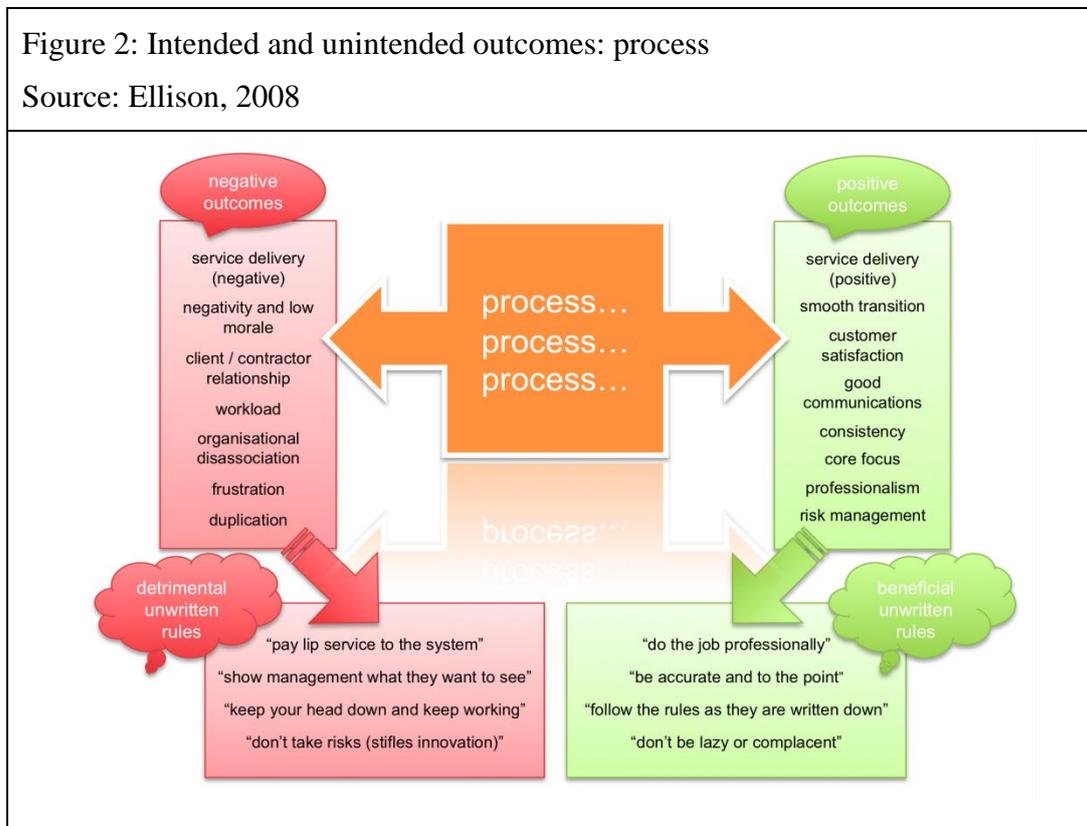


## 5.2 A preoccupation with process

Again in both cases, a growing reliance on process and particularly performance measurement was evident. While there are clear benefits of adopting procedural approaches to both support and measure FM service delivery, for example with respect to health and safety and risk management, the authors caution against its 'conventional' (Waddington, 1977) application, particularly in the context of a progressively adversarial client/contractor relationship (figure 2). Effectively, process solutions implemented to monitor, or even police (under)performance focus managerial resource on service delivery symptoms, rather than the relational and systemic causal factors further upstream.

To illustrate, Owen (2009) witnessed the frustrating dynamic where local client/contractor adversarial relationships, plus perceived and actual service delivery underperformance led to the implementation of increasingly complex contract-wide performance measurement requirements from RetailCo. This led to workload increases for TFM1, with significant time spent reporting on the job to the detriment of actually doing it. This became a reinforcing cycle, with the distorted perception on both sides that 'performance measurement equals penalty'. In this unhealthy situation, a further risk is the effect of 'Goodhart's Law': as soon as something becomes a performance measure it ceases to have any real value, as the attention turns to impressing only on measured indicators, shifting other crucial service elements towards service delivery blind-spots. The process focus therefore masked more fundamental issues, including lack of partnership, embedded detrimental second-order realities, a fundamental RetailCo local objection to the outsourced contract and subsequent

client obstruction. In this situation, despite the best efforts of the RetailCo parent and TFM1 management, the resultant emergence of accidentally adversarial positions (Senge, 1990) was inevitable.



## 6 CONCLUSIONS

### 6.1 Towards 'humanistic' contract mobilisation and partnership?

Both case studies have demonstrated the benefits of ethnography and unwritten-rules methodologies to both uncover and understand the hidden challenges that arise in organisations as deeply held but ultimately socially constructed convictions by all parties. The primary point however is the powerful complexity of second-order realities, and the localised cultural, emotional, behavioural and relational impacts they can have. The authors emphasise the need to appreciate that this is the case, and derive an approach to change management, particularly in an FM outsourcing contract mobilisation context, that is both sympathetic and progressive.

Boje (1995) likens organisational experience to the long-running Los Angeles' play Tamara, where the story an audience member experiences is influenced by which of the 12 characters and 12 stage sets they choose to follow or visit, in any order, combination, or permutation. Ford (1999) uses the analogy of improvisational jazz with respect to change, where the theme of the music is defined, but the outcome of the journey cannot be predetermined as the process must, by default, be an experiential process. The challenge for the change agent is to

create dialogues which create the willingness for people to speak and listen differently, enabling second-order reality shifts.

Evolving these concepts, the authors propose a new analogy for FM contract mobilisation. Consider a staged, interactive murder-mystery event, where different players come together to participate experientially, ultimately to solve a challenge. The stage is set by the organisers. The endgame is fixed inasmuch as there is a theme and a mystery, a tangible outcome, to be solved by the participants. This is the intended contractual arrangement identified for organisational success. Perhaps a loose script keeps the players on track, with further information to be provided when appropriate. This should be a flexible change transition schedule. Yet the event is in the hands of the participants, and all of the beliefs, emotions and behaviours comprising the different, infinitely variable conversations. No mechanistic structure can force the improvisation which must take place for success; it can only carefully and compassionately guide. Ultimately, despite initially selfish intentions, the only way the players really all succeed is by partnership, mutual collaboration, iterative inquiry and ultimately enjoyment. In this way, the authors believe a more 'humanistic' perspective on outsourcing, and in particular mobilisation journeys, can be envisioned.

## **6.2 Opportunities for further research**

Both case studies exposed far more fascinating information than could be captured within the scope of this paper. Further work, embracing humanistic contract mobilisation and partnership will potentially explore this. Interestingly though, both authors note a current lack of similar research to draw upon, an observation also echoed by Ridley-Duff (2008) concerning TUPE.

There may be various reasons for this. Perhaps the commercially sensitive, potentially harmful nature of such engagements drives organisations towards secretive, mechanistic actions, limiting researcher access. Perhaps during such times all energy is directed towards operational success, with robust research for the good of the FM industry being an unaffordable luxury. Alternatively, perhaps we must strive to generate a groundswell of awareness of the potential for improved effectiveness through such alternative enquiry and approaches.

Nonetheless, the authors believe that such academically informed, ethnographic evidence-based studies, have great potential in the field of social ecology focused FM research, and wholeheartedly encourage further exploration in this area.

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