

Steven F. Freeman

Telephone: (215) 898 6967
Fax: 215-898-8934

Center for Organizational Dynamics
3718 Locust Walk
Philadelphia, PA 19104-6286

stfreema@sas.upenn.edu
sf@alum.mit.edu

CURRICULUM VITAE

Academics: Professor of organization, strategy, and entrepreneurship

- Teaching: Six years experience educating undergraduates, MBAs, and executives at leading institutions of the US and Latin America; authored awarding-winning teaching cases and teaching notes
- Research: Grant awards; publication in a broad range of fields and forums, recipient of three national Academy of Management Best Paper awards and the Case Research society best case-based research award
- Outreach: Research articles, cases, course notes, and essays for general audiences; research applications through consulting, presentations and workshops

Business: Experience in new ventures, corporate management, and knowledge applications

- Entrepreneurship: Initiated four new business ventures and one not-for-profit organization
- Corporate Management: Helped build an international contract research firm comprising 500 professionals
- Knowledge Applications: Independent consulting practice applies systemic approaches to developing organizational resilience, adaptation and innovation.

ACADEMIC AFFILIATIONS

Academic Positions

University of Pennsylvania, School of Arts & Sciences 2003-present
Center for Organizational Dynamics Philadelphia, Pennsylvania
Research, teaching and development for experimental center dedicated to a broad understanding of organizational processes for a broad range of managers and leaders.

Universidad de San Andrés 2002
Karel Steuer Chaired Professor (Visiting) in Entrepreneurship Buenos Aires, Argentina
The Universidad de San Andreas is an innovative, enterprising, private college on the outskirts of Buenos Aires. The Karel Steuer chair is the only chaired professorship of entrepreneurship in Latin America.

University of Pennsylvania, Wharton School 2000-2001
Visiting Assistant Professor of Management Philadelphia, Pennsylvania
Taught and conducted research in Entrepreneurship.

INCAE (Central American Institute of Business Administration) 1998-2003
Professor of Management Alajuela, Costa Rica & Managua, Nicaragua
INCAE was founded by Harvard Business School and the Organization of American States to serve as a Spanish language version of the HBS program. It is Latin America's only international business school, attracting top students from throughout the region and interchange students from around the world. The executive education program is among the world's largest, training regional leaders from all professions.

Education**Massachusetts Institute of Technology, Sloan School of Management**

Ph.D. in Organization Studies, June 1998

American Association of Collegiate Schools of Business Scholarship Award Winner (1994-98)

Research Assistantships in the *MIT Center for Coordination Science* and the *MIT Organizational Learning Center*

University of Pennsylvania, Wharton School

M.S. Social Systems Sciences, June 1987

Anheuser Busch Fellowship, Research Assistantship in the Wharton Entrepreneurial Center

University of Pennsylvania, Arts & Sciences

B.A. Political Philosophy, June 1985 (University and Departmental Honors)

Professional Affiliation

Helped organize the Third International Conference on Systems Thinking in Management: "Transforming Organizations to Achieve Sustainable Success" (Philadelphia, May 2004)

Academy of Management: Organizational Development & Change, Managerial Cognition, Organization Management Theory, and Entrepreneurship divisions

ACADEMIC AWARDS**Research / Teaching Awards**

- 2004 CASE Association Fellow's Award for Outstanding Field Based Case Research: *Vegetales Cortados*, *SA Start-up Strategy* selected as the 2004 Best Business Teaching case; *Mastitis at Lácteos Pacíficos* was also selected as one of five finalists for the 2004 Best Business Teaching case
- Best Practice Paper, Academy of Management 2003, Organizational Development & Change
- Showcase Symposium, Academy of Management 2000 annual meeting.
- Best Student Paper, Academy of Mgmt 1998, Managerial and Organizational Cognition
- Best Paper Overall, Academy of Management 1997, Organization Development & Change

Scholarships and Grants

Center for Organizational Dynamics (2003-present) University of Pennsylvania, School of Arts & Sciences (Graduate Division) Center Scholar

Rochester Printing Industry Project (2003- present): Grant to study printing industry responses to adverse economic and technological conditions

TRIAD (2001-02): Grant to study the organizational consequences of the September 11th attacks; extended to conduct a case study explaining the astounding recovery of one hard-hit firm

Centro Latinoamérica para la Competitividad y el Desarrollo Sostenible (an international research project sponsored by the Harvard Institute for International Development and the AVINA foundation): Grant awarded 1998-99 for the cross-cultural studies of factors affecting values and attitudes; extended 1999-2000 for the study of cooperation

International Motor Vehicle Project (an industry consortium managed at MIT Sloan), Principal investigator managing projects on organizational effects of adversity: Grant awarded 1996-97 to study organizational change in the US auto industry; extended 1997-99

American Association of Collegiate Schools of Business Award: Ph.D. scholarship providing tuition and stipend for doctoral study at institution of student's choice (1994)

COURSES TAUGHT

Organization and Strategy

- *Creativity and Innovation in Work and Organizations*
- *Organizational Resilience and Crisis Management*
- *Planning and Managing Organizational Change*
- *Organization Theory & Behavior* (MBA core course using three perspectives – strategic design, politics, and culture – to understand organizations)
- *MBA Consulting Project* (MBA capstone course: a consulting project involving field research)

Entrepreneurship

- *New Venture Initiation* (MBA introductory course on Entrepreneurship)
- *Entrepreneurial Decision Making* (Undergraduate introductory course on Entrepreneurship)

Lectures/Workshops

- *A Systems Approach to Change:*
- *Insights on Leading and Following derived from Improvisational Dance (Argentine Tango)*
- *Developing a Strategic Plan*
- *Introduction to Entrepreneurship*
- *Employee Motivation*
- *Writing a Research Paper*

PUBLICATIONS

Freeman, Steven F., Marc Maltz and Larry Hirschhorn (In Press) “The Power of Moral Purpose: Sandler O'Neill & Partners in the Aftermath of September 11, 2001” *Organizational Development Journal* (scheduled for publication November 2004)

-- 2003. “Moral purpose and organizational resilience: Sandler O'Neill & Partners in the aftermath of September 11, 2001.” In D. Nagao (Ed.) *Academy of Management BEST PAPERS 2003*

Freeman, Steven F. (2001) “Cómo manejar la pérdida y el cambio” (How to manage loss and change). *Revista INCAE*

-- 2000. “Tres perspectivas para entender las organizaciones” (Three perspectives to understand organizations). *Percepción Gerencial* 3(2) reprinted in Kettlehorn, (ed.) *Forjando el Futuro* (Forging the future) p. 159-176. Alajuela, Costa Rica: INCAE Press

-- 1999. “Identity maintenance and adaptation: a multilevel analysis of response to loss.” In B.M. Staw and R.M. Sutton (Eds.) *Research in Organizational Behavior* Vol. 21:247-294 Greenwich, CT: JAI Press

-- 1998. “Good decisions: reconciling human rationality, evolution, and ethics.” In B. Keys and L.N. Dosier (Eds.) *Academy of Management BEST PAPERS 1998* (Madison, WI: Omnipress)

- 1997. "Organizational loss." In B. Keys and L.N. Dosier (Eds.) *Academy of Management BEST PAPERS 1997*, pp. 264-68 (Madison, WI: Omnipress)
- 1988. *Notes to a friend who is planning to start a business* (Philadelphia, PA: Wharton Press): Problems of marketing, financing and managing a start-up firm
- 1987-88. "The world as it should be." A column published in the *Philadelphia Welcomat* and the *Albuquerque Tribune*

Dissertation (1998)

Title: The problem of identity in organizational behavior and human decision processes.

Committee Members: John Carroll (chair), Lotte Bailyn, Maureen Scully, and John Van Maanen

Why did it take the American auto industry so long to respond to Japanese advances in design and production? I studied what Chrysler and GM paid attention for a 25-year period, concluding that they attended primarily to threats made widely public on mass media, while ignoring those that had been quietly transforming their industry. Once the threat was acknowledged, several other impediments to change ensued. I document similarities between individual and organizational resistance to change.

To explain both attention patterns and resistance to change, I utilize theories of identity and structural niches. I explore different understandings of how identities and group identifications emerge and how they affect decision-making, attention, and change. The "problem of identity" is that identity under stress is often little more than a loosely coupled collection of conflicting impulses.

Research Reports

Success under Adversity: Differentiating Leaders from Laggards during Hard Times in the Printing Industry (October 2004) with Sandy Rothenberg

Reconciliando Cultura y Metas en la Superintendencia de Bancos, Bolivia (July 2002, Superintendencia de Bancos, federal government of Bolivia) with Javier Diez de Medina and Luis Fernando Avila: An attempt to reconcile organizational ends with organizational culture

Reconciliando Cultura y Metas en la Superintendencia de Bancos, Bolivia (July 2002, Superintendencia de Bancos, federal government of Bolivia) with Javier Diez de Medina and Luis Fernando Avila: An attempt to reconcile organizational ends with organizational culture

Diagnostica de Cultura Organizacional, Superintendencia de Bancos, Bolivia (January 2002, Superintendencia de Bancos, federal government of Bolivia) with Javier Diez de Medina and Luis Fernando Avila. An analysis of the organization culture with emphasis on explaining aspects of behavior that management believes to be maladaptive.

Comparing Out-Group Cooperation in Latin America with Out-Group Cooperation in the US (January 2000, AVINA Foundation): In contrast to received theory (Hofstede), evidence suggests that Latin Americans are fundamentally *less* cooperative than North Americans and that this underlies many problems of Latin America.

Estrategia y el Web: oportunidades en Latinoamérica with C. Cortéz (November 1999, AVINA Foundation): Opportunities for web-based business development in Latin America

A Program for Research on Work and Community (February 1999, AVINA Foundation)

Emerging Visions in Organization Studies: An Introduction for Colleagues and Collaborators (October 1998, AVINA Foundation)

Quantifying Qualitative Data: Coding Techniques and Software to Measure Organizational Attention (November 1997, MIT Organization Studies Group)

Reasoning Used in Important Life Decisions (March 1997, MIT Organization Studies Group): Results of interviews designed to elicit the use of utilitarian and deontological reasoning processes in important individual decisions.

Toward A Handbook for Organizational Decision-Making (June 1996, MIT Center for Coordination Science): Alternatives for representing decision-making processes, explores the gulf between prescriptive and descriptive decision making literatures

Why Do They Call Them Salespeople Anyway? (January 1995, MIT Organizational Learning Center): Report using ethnographic methods on the work of FedEx salespeople

Reynolds, Paul D. & Steven F. Freeman. 1987. *The 1986 Pennsylvania new firms study: four volumes and an executive summary*. Washington, DC: Appalachian Regional Commission

Cases

Vegetales Cortados, SA Startup Strategy (2004): (A) Differences in marketing and development strategy between a new enterprise and an established firm, and (B) The small firm as counter-puncher: What to do when a powerful new competitor enters your market niche (Selected as the Best Business Teaching Case for 2004, by The CASE Association)

Mastitis at Lácteos Pacíficos (2003): A batch of soured product is delivered. (1) What to do in a crisis, and (2) How to avoid crisis (Selected as a finalist, CASE Association Best Business Teaching Case)

Jugos Tropicales (2002): The importance of market segmentation and focusing on *under-served* markets

Datatex (2001) with L.M. Garcia: Compares startup experiences in the US and Nicaragua

Comercializadora de Madera Costarricense (2000) with C. Cortéz: Making a sustainable development business vision in the tropics a reality

Clean Pets (2000) with A. Bailey: Things go awry when the founders are not there. Leads to discussion of how to systemize and operationalize tacit founder knowledge and practice

Teaching Notes

Guide to Developing and Writing a Research Paper (2004)

How to Come up with Good Business Ideas: Ideas and the New Venture (2004): How to generate, select, and develop new business ideas

How to Research a New Venture Opportunity (2001)

Entrepreneurship and Venture Initiation (2001): Introductory material outlining the steps in developing a business plan: (1) identify an opportunity, (2) develop the concept, (3) determine the resources required, (4) determine how to acquire required resources, and (5) evaluate risks and planning for contingencies

The 80-20 Rule of Entrepreneurship (2001): Large, established firms go after the mass markets; an entrepreneur must look for an underserved niche. For use with *Jugos Tropicales*

The Variety of New Ventures (2000): For use with *Vegetales Cortados*

Numerical Presentation in a Business Plan (2000): Basics of numeracy, accounting, and presentation; how to prioritize; and how to clarify and improve estimates

Management Education Notes

A Rubric for Evaluating Research Papers (2004)

A Guide to Evaluating Class Discussion (2004)

A Proposal for Establishing an Entrepreneurship Curriculum in Small Business Schools (2002)

The Opportunity for Experimental Social Science Research in Latin America (2001)

WORKING PAPERS AND PRESENTATIONS

U. Penn Graduate Division, School of Arts & Sciences, Center for Organizational Dynamics

WP#04-05: September 7, 2004: *Finding Connectedness in Buenos Aires: Argentine Tango as Antidote to 'the Human Condition'* (Manuscript submitted to *The New Yorker Magazine*)

WP#04-04: August 27, 2004: *The Role of Moral Purpose in Sandler O'Neil's Post-9/11 recovery* with L. Hirschhorn & M. Maltz August 10, 2004 presentation at the Academy of Management national meeting (Manuscript in preparation for submission to *Administrative Science Quarterly*)

WP #04-03, June 18, 2004: *Developing Capabilities of Resilience to Enhance Safety on NASA Space Programs* (Manuscript in preparation for submission to *Research Policy*)

WP#04-02, June 11, 2004: *Beyond Traditional Systems Thought: Resilience as a Strategy for Security and Sustainability* (Manuscript in preparation for submission to *Systems Research and Behavioral Science*)

Research papers in process:

A literature review of research conducted on ESOP organizations. Target completion date: November 2004

A multi-level analysis of resilience: situational influences; characteristic practices, attitudes and skills with Marc Maltz (Manuscript in preparation for submission to *Journal of Applied Behavioral Science*) Target completion date: November 2004

Organizational Leadership Lessons from the Improvisational Arts with P.L. McLeod (based on Improvisational INSEAD presentation) Target date: December 2004

Organizational Resilience through Moral Purpose: Sandler O'Neil & Partners in the aftermath of 9/11/01 (Implications for Practice) with L. Hirschhorn & M. Maltz. Target date: January 2005

Ensuring rigor in the case study through a split team approach (Manuscript in preparation for submission to *Organizational Research Methods*) Target date: January 2005

INCAE Working Papers

June 2000. *The Effects of Situational Cues on Values* (AVINA Foundation, 2001) Experimental manipulation of values through minimal situational cues; illustrates the fundamental malleability of values that economic modelers often take to be fixed goals guiding behavior

February 2000. *The Coordination Game*. A game designed to test abilities necessary for cooperation. My aim was to try to explain in part a lack of cooperation among Central Americans.

Massachusetts Institute of Technology, Sloan School Working Papers

July 2000. *Patterns of executive attention in us auto industry letters to shareholders 1963-1987*. No. American automaker (lack of) response to Japanese advances in design and manufacturing.

June 1998. *The problem of 'identity': a review and typology of perspectives on identity*

June 1998. *Good decisions: reconciling human rationality, evolution, and ethics*. Why findings from behavioral decision research diverge from decision analysis prescriptions

Selected Research Presentations

The Role of Moral Purpose in Sandler O'Neil's Post-9/11 recovery Academy of Management annual meeting. (New Orleans 2004)

Organizational Leadership Lessons from the Improvisational Arts with P.L. McLeod (The 2nd Improvisational Conference, INSEAD School of Business, Fontainebleau, France July 8, 2004)

- Resilience as a Strategy to Secure Safety for NASA's Next Generation Launch Technology (NGLT) Program.* Conference on Organization Design sponsored by the National Science Foundation's Innovation and Organization Change Program (New York University, June 5, 2004)
- Beyond Traditional Systems Thinking: Resilience as a Strategy for Security and Sustainability.* Presented at the 3rd International Conference on Systems Thinking in Management Session on Sustainability, Philadelphia, May 20, 2004)
- Cases -- *Startup Marketing Strategy for Vegetales Cortados and Mastitis at Lácteos Pacificos* Best Business Teaching Cases 2004. The CASE Association (Providence, RI, May 12, 2004)
- Resilience in the Printing Industry.* Rochester Institute of Technology Printing Industry Center (Rochester, November 5, 2003)
- The Art and Science of Organization: Resilience and Moral Purpose.* Keynote speech for the Center for Organizational Dynamics New Students Orientation: (Philadelphia, September 13, 2003)
- Organizational Resilience and Moral Purpose: Sandler O'Neill Academy of Management* annual meeting. Best Paper Award, Organizational Development and Change (Seattle, August 2003). Also presented at Case Western Institute Organizational Behavior Department (Cleveland, November 6, 2003)
- Entrepreneurship, Crisis, and Resilience.* Keynote speech for Universidad de San Andrés conference: "Oportunidades en la crisis" (Buenos Aires, Argentina, April 11, 2002)
- Individual and Organizational Resilience.* University of Virginia (Charlottesville, VA February 18, 2002)
- Patterns of Executive Attention in US Auto Industry Letters to Shareholders 1963-1987.* Academy of Management annual meeting (Washington DC, August 9, 2001). Also presented at INFORMS International Conference and to the International Motor Vehicle Project Research Conference.
- Biological bases for behavior in organizations: Human evolution and its implications for organization theory and management practice.* Academy of Management annual meeting (Toronto, August 9, 2000)
- Evolutionary theory and organization theory: parallels and cross-field contributions.* Academy of Management annual meeting Showcase Symposium (Toronto, August 9, 2000)
- Experiments in culture and behavior.* Cross-cultural factors affecting cooperation & conflict, goals & values, and attitudes toward innovation. INCAE research workshop (Costa Rica, Oct 17, 1999)
- Organizational identity and change.* Conference on Corporate Reputation, Identity, and Image (San Juan, Puerto Rico, January 5, 1999)
- Good decisions: integrating behavioral decision research, evolutionary psychology, and ethics.* Academy of Management annual meeting (Boston 1998) *Best Papers*, Managerial and Organizational Cognition division. Also presented at the Society for Business Ethics annual meeting.
- Identity maintenance and adaptation: a multilevel analysis of response to loss.* Academy of Management annual meeting. Best Paper Award, Organizational Development and Change (August 1997).
- Decision processes: exploratory research on reasoning used in important life decisions.* Results of interviews designed to elicit the use of utilitarian and deontological reasoning processes in important individual decisions. MIT Organization Studies Group Colloquium (Cambridge, MA 1997)

BUSINESS EXPERIENCE

NEW VENTURES

Puente (2000-02). Developed business plans providing modern communications and financial management options to Hispanic foreign nationals in the US: *VerLos*, Internet-based videoconferencing for Latin American workers in the US and their families in Latin America, and *VerDar*, remittance and credit options for Latin American workers in the US. Worked with Hispanic community groups obtain grants to provide computer training and Internet access.

Compass Management Consultants (1990-94). Accounting and management information systems for government contractors

Aurora Acres Bed & Breakfast (1990-93). Established, operated and sold B&B.

Co-op & Condo Connection (1986-87). Real estate information firm, using new database technology to try to reduce real estate transaction costs.

Housing Development (1982-86). Bought and refurbished old houses for rental and resale

CORPORATE MANAGEMENT

Applied Research Associates, Albuquerque, NM (1988-90) Managed corporate office for contract research firm. Direct responsibilities included financial management, MIS, budgeting, policy development, and marketing support. Oversaw accounting, contract administration, and personnel functions. Helped put systems in place that enabled growth from 50 to 500 professionals and from 6 to 30 locations.

CONSULTING AND CONTRACT RESEARCH

Bolivian Contrólaria (national audit agency): Conducted training seminar on understanding organizations and organizational change; helped agency develop organizational mechanisms to promote integrity, transparency, and incorruptibility

Bolivian Superintendencia de Bancos (national banking regulatory agency): Helped elaborate the agency's primary responsibilities and develop methods to best fulfill them

TRIAD Organizational Research: Research on the organizational consequences of the September 11th (2001) attacks; extended to conduct a case study explaining the extraordinary resilience of one hard-hit firm, Sandler O'Neill and Partners

Past Consulting Positions

Compass Management Consultants, Albuquerque, NM (1991-94). Founder. Installed and developed accounting and management information systems for government contractors, and advised on general management issues. Clients included contract research firms, the U.S. Bureau of Indian Affairs, United Way Agencies, and contractors providing support for Sandia National Research Laboratory and Kirtland Airforce Base.

Institute for Interactive Management, Philadelphia, PA (1987-88). Worked with three Wharton faculty founders to facilitate major organizational redesign projects at Eastman Kodak, Metropolitan Life, Anheuser Busch, and the University of Pennsylvania