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University Presidential Transitions: Importance of Leadership

and Culture Change

by

Kathryn Ludwig

A dissertation

submitted in partial fulfillment

of the requirements for the degree of

Doctor of Education in the Department of

School Psychology and Education Leadership

Idaho State University

Spring 2020

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Committee Approval

To the Graduate Faculty:

The members of the committee appointed to examine the dissertation of KATHRYN LUDWIG find it satisfactory and recommend that it be accepted.

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Dear Ms. Ludwig:

Thank you for your responses to a previous review of the study listed above. These responses are eligible for expedited review under OHRP (DHHS) and FDA guidelines. This is to confirm that I have approved your application.

Notify the HSC of any adverse events. Serious, unexpected adverse events must be reported in writing within 10 business days.

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Sincerely,

Ralph Baergen, PhD, MPH, CIP
Human Subjects Chair

Acknowledgements

First, I would like to thank God for the strength and endless counseling He provided me through a very difficult and life changing time. With the knowledge that He was beside me and guiding me through this journey, I am now at the end of an incredible adventure.

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University Presidential Transitions: Importance of Leadership

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Dissertation Abstract – Idaho State University (2020)

In the summer of 2018 at a mid-level northwestern university, a new university president transitioned into the role of the institutional leader. The strategic restructuring began shortly after the President was hired. The nature of change itself within an institution can be challenging, for senior leaders who remained at the institution after the new President transitions into office, there were a variety of responses to change. The purpose of this basic qualitative study was to interview, observe, and report on the impact the change in leadership had on an institutions culture as observed by senior leaders. This was an exploratory study to help find the common meaning of senior leaders lived experiences after the transition of a new President. In-person semi-structured interviews with senior leaders in various colleges, departments and roles within the university provided the qualitative element of the research. Schein and Schein's (2017) model for assessing culture and leading planned change and the Kubler-Ross Change Curve were the guides for the theoretical and conceptual framework.

Chapter 1: Introduction

This chapter begins with a brief overview of the changing roles of the modern academic president, the impact a presidential transition has on the culture within an institution, and the statement of the problem for this study. Next the purpose of the study will be clarified along with the guiding research questions and the need for this type of research. The definitions of terms will be defined followed by the delimitations, limitations, and assumptions of the research; ending with a chapter summery.

Academic Presidents

Leading an institution of higher education is more complex than ever (Gagliardi, 2017). As students continue to grow in diversity and non-traditional students outnumber traditional students in the undergraduate programs, tuition continues to outpace inflation and technology has taken over knowledge acquisition (Gagliardi, 2017). The 21st Century collegiate president is now faced with creating a more vigorous and resilient institution. Some of the many obstacles listed by current presidents as standing in the way of progress are the lack of money, employee's resistance to change, and problems that were not handled from previous leadership (Gagliardi, 2017). Serving students in this century, the President is required to lead the institution through various transformational changes to ensure a prosperous future.

It is said that academic leadership is challenging, particularly in an innovative economy that is constantly changing. Hanna's (2003) study highlights the significance of the constant changes, adjustments and turbulent environments of a modern institution. New presidential leaders will face the challenges of altering an already deep-rooted culture and climate, as well as, individuals and the local community's resistance to change. A viable candidate for the presidential leader operating in a changing environment will need to seek internal and external

constituents buy-in. Although researchers have provided some studies on organizational culture and climate change, there is still a lack of research on academic presidential transitions and how the changes affect the culture. In an effort to provide important analysis for incoming university leaders, this study illuminated the importance of understanding the culture change process and how senior leaders were affected by change.

Statement of the Problem

The American College President survey shows that as the age of president's increase from 52 years in 1986 to 60.3 years of age in 2011, presidents will be retiring. Other surveys and reports speculate that if half of all presidents who are 61 or older retire in the next year, nearly one-third of United States college presidencies could become vacant. While a change in presidential leadership can be positive for an institution and its culture, too much change can cause uncertainty and unrest (Padilla, 2004). As more presidents enter retirement age, it is unavoidable that institutions will experience a change in leadership. How smooth the transition is can have a positive, or negative effect on the institution and its employees.

Jensen and Edmundson (2002) state that the transition can make the difference between success or disruption within the institution. It is imperative that new leaders in universities understand that individuals who remain at work after a change in leadership will have some kind of reaction to change. Transition experts in the field of institutional planning recommend forming a transition leadership team to help set the stage for effective culture change and to foster transparency (Rowh, 2017). Terry Franke, a consultant who specializes in presidential transitions writes that an open transition process and front-line communications with faculty, staff, students, parents, alumni and community leaders will help ease worries by the various groups affected by the change in leadership (Rowh, 2017).

Communication and transparency are key to a smooth transition, and there can be a lot of anxiety with change (Rowh, 2017). There is a need to understand the level of anxiety that employees experience during a change in leadership (Rowh, 2017). As a transformational leader, the incoming president should capitalize on the existing knowledge base within the institution. Rowh (2017) proposed two important elements for an incoming president. The first is to keep the people in leadership who are experienced with the institutions culture and the second is to hire some leaders outside the institution who will be allies with the president on proposed changes. The incoming leader will still need to win the hearts and minds of the employees, students, community partners and other constituents.

The statistics in higher education show that university presidents are going to be retiring in record numbers (ACE, 2012) and new leadership within institutions will be unavoidable. It is estimated that new leadership will create cultural change, change presents challenges for the president and the administrators who were involved in the change process (Rowh, 2017). There was a need to understand the challenges of senior leaders who have experienced change within an institution after a new president was hired. This study can help to prepare future presidents and transition teams for a smooth transition process and prevent unwarranted stress or confusion for the employees experiencing the change (Rowh, 2017).

Purpose of the Study

The transition for a new university president can be challenging; however, understanding the experiences of senior leaders within the institution could help in leading a planned change. It was hoped that this research would provide future presidents and leadership transition teams with valuable insight that leads to calculated culture change. The purpose of this study was to

ascertain senior leaders' experiences after a short-term presidential transition and to help identify leadership strategies for future change.

Research Questions

In order to generate strategies necessary for a well-planned presidential transition, there are three general questions that were addressed by this study. It was hoped that the questions in this study would bring to light the phenomenon of leadership change and the need to understand the experiences of senior leaders after a transition to a new president.

1. How do senior leaders describe a change in culture during a presidential transition?

2. What leadership practices are supportive of senior leadership who are experiencing a presidential transition?

3. What are the observations of senior leadership leading employees through a presidential transition?

Definitions of Terms

The following definitions were provided to ensure uniformity and understanding of these terms used throughout this study. Following a detailed literature review, all definitions will be included that are not accompanied by a citation. These definitions are consistent with the definitions included in similar studies of the transformational leader, cultural change process, and individual's experiences of change.

- Change management – Change management is the process, tools and techniques to manage the people side of change to achieve the required business outcome. Change management incorporates the organizational tools that can be utilized to help individuals make successful personal transitions resulting in the adoption and realization of change.

- Culture – The customary beliefs, social forms, and material traits of a racial, religious, or social group also: the characteristic features of everyday existence (such as diversions or a way of life) shared by people in a place or time popular like Southern culture.

- Emotional reactions – An emotional response or reaction to a particular intrapsychic feeling or feelings, accompanied by physiological changes that may or may not be outwardly manifested but that motivate or precipitate some action or behavioral response.

- Organizational adaptation – The theory generally refers to how a change in the environment dictates changes in groups of organizations, rather than how a specific organization changes to adapt.

- Experiences - Is the organization, identification, and interpretation of sensory information in order to represent and understand the presented information, or the environment.

- Resource optimization - The set of processes and methods to match the available resources (human, machinery, financial) with the needs of the organization in order to achieve established goals.

- Strategic restructuring - is a term increasingly used to refer to a broad continuum of options for organizational partnerships, including but not limited to mergers, asset transfers, joint ventures, administrative or back office consolidations, joint programs, parent-subsidiary structures, and fiscal sponsorships.

- Stakeholders – Stakeholders can affect or be affected by the organization's actions, objectives and policies. Some examples of key stakeholders are creditors, directors, employees, government (and its agencies), owners (shareholders), suppliers, unions, and the community from which the business draws its resources.

- Sub-Culture – a cultural group within a larger culture, often having beliefs or interests at variance with those of the larger culture.

Delimitations

The delimitations or boundaries that were factors imposed by the researcher in this study were:

- The senior leaders who currently work within the university for the semi-structured interviews.

- The timeframe for the study (November 1, 2019 through March 31, 2020).

- The geographical area proximity due to a limited amount of time and expense.

- There are many other stakeholders, such as other key executives, staff, students, industry partners, community members, the board of trustees and other universities employees who were not solicited to participate in this study.

Limitations

In this study the potential limitations were:

- The individuals who participated in the entire process.

- Variance in the individual responses to the interviews.

- The ability of the individuals to reconstruct their experiences and emotions.

- As a student and staff member at the university, I may hold biases related to the change in presidential leadership and the experiences of the change.

One of the limitations of this study was that the participants were located in the same university. Another limitation was potential researcher bias, generalizability, and time constraints. In a different type of study, I may have tried to determine what happened in a particular situation, at this point generalizability may not be relevant (Slaven, 2007). In this

study, generalizability had potential limitations, as I only conducted interviews from one university. My challenge for this study was to avoid generalizability by purposely selecting the participants for the interviews who were most representative of all individuals from within university.

Key Assumptions of the Study

Key assumptions for this study:

- That all participants would respond to each question during the interview honestly and openly.

- Effective, planned, transitional university leadership is necessary to ensure a successful transition for institutional culture change.

Significance of the Study

After a formal change in leadership, resource optimization and organization adaptation should take place; however, there are times when the opposite transpires resulting in reduced productivity with increased direct and indirect cost (Stanley & Betts, 2004). With an increase in presidents retiring and a decrease in the current senior leaders (Provosts and CAOs) available because of pending retirement (Stanley & Betts, 2004), transitions in academic leadership needs to be addressed (Duree, Ebbers, Santos-Laanan, Curtis, & Ferlazzao, 2008). Several other studies (Drumm, 1995; Duree, 2008; Kinel, 2007; Quinn, 2007; Scott, 1975) provide specifics on presidential transitions. It was hoped that this study would fill a gap in the literature by providing the realist and relativist perspectives of senior leader's experiences after a change in presidential leadership at a northwestern doctoral research and teaching university.

It was hoped that this research would benefit new presidents and their transition teams by considering the experiences of senior leaders and their lived experiences of culture change within

an institution. Incorporating an understanding of the experiences of the change process from senior leaders may help to provide insight into the academic culture and the reaction to change from a unique perspective. Another important element to examine is the subcultures that grow from the existing macro culture. As the organization grows and expands, subunits begin to develop. These units or subcultures are a result of the "division of labor, functionalization, divisionalization, or diversification" (Schein & Schein, 2017, p. 211). The larger the organization becomes the more these units develop, and the leader will no longer have the same influence or coordination. This study could help transitioning presidents and their leadership teams, senior leaders, faculty, and staff to understand the need for pre-planning and the implementation of a formal transition process to help eliminate disruption and employee anxiety.

Organization of the Dissertation

This research is organized into five chapters. Chapter one is the introduction that will provide a synopsis of the study, with an emphasis on the current critical trends in presidential leadership transitions. Chapter one will also include the purpose and importance of the research and the guiding questions that were addressed in this study. In chapter two, three main areas of literature were reviewed that were vital to the research topic and questions. There was also a review of Lewin (1947) and Schein and Schein's (2017) model for planned culture change and the Kubler-Ross (grief) change curve (1969). Chapter three includes the methodology for this study and explains how the interviews and data were conducted, collected and analyzed. Chapter three also includes further details about the data that was coded, how themes were identified, and how a theory triangulation process was incorporated into the analysis. Chapter four includes the findings and analysis from the study. Chapter five includes the importance, implications and recommendations vital to the study and the final conclusion.

Chapter Summary

      This chapter was written to provide an introduction for the research, to address the significance of the study, and to present the questions that guide the scope, delimitations, limitations, and assumptions. Defining terms are listed and an overview of the dissertation organization is discussed. Chapter two is for the presentation of the literature that is important to this research, it further provides an in-depth study of Schein and Schein's (2017) culture assessment and leadership change model and the Kubler-Ross (1969) change curve that was used for the conceptual framework.

Chapter 2: Literature Review

Introduction

This chapter begins by describing the essential elements of academic presidential leadership and the changing roles of the president, which then leads to the literature on the current trends in transitional leadership and change. Next, the complexity of organizational culture, climate and the multi levels of subculture that leaders must navigate for effective change will be examined. Literature is then presented on the challenges of transitional leadership, with a focus on the emotional impact that change has on individuals within the institution or organization. Schein and Schein's (2017) model on leading planned culture change and the Kubler-Ross change curve (1969) will be explored for the theoretical and conceptual framework of this study. Finally, the lack of research on the important topic of transitional presidential leadership will be discussed with suggestions on how to fill this void in academic literature.

Academic Presidential Leadership, Changing Roles

In a 2016 article Hill argues that there will be a significant number of university presidential retirements in the near future. His report details that since 1986 regular surveys of college and university presidents indicate that their age demographics have increased. Weisman and Vaughan (2006) predict that by 2016, 84% of college leaders will retire. Another interesting note is that the most common candidate for the presidency is often the Provost or Chief Academic Officer (CAO). Through-out history, the incoming president would often be promoted from the academic ranks of colleges or universities (ACE, 2012; Travis & Price, 2013). What recent research has indicated is that many of the common academic applicants (Provosts and CAO), who would be prime candidates for the office of president, are also within retirement age (Sanaghan, 2015).

Beyond the fact that many of the current academic presidents are reaching retirement age, there are various other reasons that presidential transitions are increasing (Martin, Samels, & Associates, 2006). Institutions are demanding more from the president, presidents are often pulled between two governing bodies (academic and corporate), and new presidents do not always understand the culture and history of the university (Martin, Samels & Associates, 2006; Harris & Ellis, 2016; Nehls, 2012). The new demanding roles of the modern academic president can be distressing. From the role as the administrative head of campus, fundraising activities, to working with the public, the state, and the governing board, the president must personify the institutions values and goals (Harris & Ellis, 2016).

Since the beginning of the twentieth century, academic presidents' roles, tasks and duties have continued to evolve from the head master of a college into a business manager, super-accountant, fiscal agent, and today a multidimensional leader (Gluckman, 2017; Fain, 2010; "Pathway to the university presidency," 2017). Facing an excess of challenges, the multidimensional presidential leader must specialize in finances, strategic planning, budget management and be the operational leader who gets the job done in spite of the institution's collaborative nature ("Pathway to the university presidency," 2017). In a 2017 study conducted at Georgia Tech, of the presidents surveyed, they see their roles as more of a chief executive officer (CEO), not in the sense of governing from the top down, but, "rather a general manager surrounded by a skilled executive team" ("Pathway to the university presidency," 2017, p. 9).

In the Georgia Tech's (2017) study it was found that of the university presidents surveyed, the ones who had been in the office for more than 15 years considered the provost as the likely candidate to fill the office of president. The presidents who were in the office for 10 years or less believed that the role of the president should be filled by a candidate from private

industry ("Pathway to the university presidency," 2017). Fain (2010) reports that in his study, the current trend is that many of the provosts surveyed did not want to be an academic president. The new path for a prospective president is the Dean, thereby bypassing the provost's office (Fain, 2010; Gluckman, 2017; "Pathway to the university presidency," 2017). Many of the Deans now are seen on campus as entrepreneurs and have duties similar to the president such as, administrating decentralized budgets, working with advisory boards and overseeing fundraising activities (Gluckman, 2017; "Pathway to the university presidency," 2017).

Nehls (2012) conducted a study about the change in presidential leadership and how it affected capital campaigns within the institution (Nehls, 2012). A successful capital campaign centers on the success of the Presidents leadership to be the central person on the fundraising team (Nehls, 2012). It is reported that the presidents, "capability of performing effectively in this role and the time they make available for it will be an important element in the size and nature of the [capital] campaign" (Bennett & Hays, 1986, p. 14). Fundraising efforts and capital campaigns used to be reserved for presidents who worked for private institutions not funded by the state. Today most post-secondary institutions are campaigning for philanthropic dollars and the president may take on the roles of chief spokesperson, gift cultivator, and administrator of staff, trustees, and volunteers to solicit donations (Nehls, 2012).

After the 1970s, state and federal dollars that supported institutions diminished and academic presidents became the chief fundraiser for the university ("Pathway to the university presidency," 2017). Of the presidents surveyed in Georgia Techs 2017 study, 65% believe that fundraising and alumni and donor relations are in the top three of important duties for their current role as president and this activity continues to increase in importance. Presidents also believe that their preparedness of philanthropic activities is lacking and that fundraising is the

number one professional development skill that they need to develop ("Pathway to the university presidency," 2017). Supported in the role as chief fund-raiser, the president generally oversees specialized staff who is helping to solicit funds both on campus and off. The president is expected to identify and solicit new benefactors, as well as, continue to honor and court established donors (Martin, Samels & Associates, 2004). Presidents are also required to oversee and work with the public, state, and board of directors.

In combination with institutions demanding more from the president, presidents are often trapped between the academic governing body and the corporate fundamentals of running an institution (Martin, Samels, & Associates, 2006). The president is seen as a symbolic figure and the main executive administrator for internal and external constituents. Outside events and situations often influence the presidential term of office such as the economic, political and social circumstances that are outside of the control of the president's sphere of influence. These elements can cause the president to be overwhelmed and sometimes lead to the president resigning or being forced out (Harris & Ellis, 2016).

A university is governed horizontally instead of vertically like a corporation (McCormack, 2017). Faculty do not view themselves as being employees, but, as leaders within the university. As a president, it is important that he or she defend the educational values of faculty because without valued faculty, the university could fracture. Board members do not always understand or sympathize with the horizontal structure of a university and often put pressure on the president. Some board members are businessmen and women and operate from a corporate point of view so they do not always understand how the president must consider other members before making critical decisions (McCormack, 2017).

As one President stated after a failed attempt to implement a strategic plan on his own, it was important to involve faculty to ensure effective shared governance. Faculty must be included early and often, and the president or leadership team should provide them with factual information that is easy to understand (McCormack, 2017). It takes hard work to build the trust and shared vision between the president and faculty. Then it is crucial for the president to create an alignment between faculty and administration for a shared mission, this then develops into shared accountability, shared responsibility, and valued governance (McCormack, 2017). A final reason presidential transitions are not always successful is that new presidents do not completely understand the cultural DNA or history of the university before they are hired.

Current literature on presidential transitions explains that many of the incoming presidents do not understand the history and institutional culture before they transition into the leadership position (Martin, Samels, & Associates, 2006; McCormack, 2017; Gearin, 2017). The most recent academic presidential survey from the American Council on Educations states that a fifth of the presidents claim that they did not understand key elements before they started at the university (Martin, Samels, & Associates, 2006). It is important for the transitioning president to read through external evaluations, such as regional accreditation reports because sometimes the board and/or faculty may conceal critical information in order to protect the university (Martin, Samels, & Associates, 2006).

Up to 80% of new Presidents in a 2001 study say that they did not discover problems until after they had already started at their current institution (Gearin, 2017). Understanding the history and institutional culture can be complex and takes some effort on the part of the candidate for president. Schein and Schein (2017) describe culture within an organization as being several observable elements. Observing the language people use to communicate on a

regular basis, how people interact with each other and their customers, how they celebrate, what the rituals are, what the rules of the game are, and what their shared meanings are; understanding these elements could help a presidential candidate with the transition.

In a 2015 article that included several presidential dialogs, Hinton says that one of the things she wishes she would have understood before becoming the President of Saint Benedict was the institutional culture. She also would have liked to understand what the beliefs and values were that shaped the institution and what past leaders could share with her that would help effect change. Statistics show that institutions are recruiting from outside of academia and understanding the institutions culture and history is even more important now (Hill, 2016). Many institutions are starting to look outside of higher education to fill the presidency. Hill (2016) states that statistics from 2012 show 23% of all first-time presidents were recruited from outside academia. Many of these new presidents were hired from positions such as military, business, and politics with no experience in higher education. How a new president handles the transition when they are hired, can be a major indicator as to whether he or she will meet the mission and vision of the university and the board of directors' goals. Organizational change and the change process have been the subject of research for many years. Lewin (1947) a social psychologist and an early researcher in group behavior writes that it is especially wise to plan strategies and think of problems in advance before the change happens in the organization or institution.

Change Management and the Change Leader

Transformational leadership theory or the change leader was introduced by James MacGregor Burns in 1978. Burns (1978) proposed that leaders could help their followers rise to a higher level of satisfaction by providing the right motivation and morality. Burns believed that there was no basic theory of leadership and he wanted to understand leadership practices to help

predict what type of leader a person could become. Instead of the concept of leadership based on power and dominations, Burns believed that there is a deeper relationship that exists between leader and follower and it is not just based on power. Burns (1978) referenced works by social scientists such as Adler, Maslow, Piaget, Erikson, Roeach, and Kohlberg (Mulla & Venkat, 2011). One of the frameworks studied by Burns (1978) was Maslow's (1943) hierarchy of needs model.

  Hierarchy of needs. Maslow's hierarchy of needs theory was designed to study the stages of human growth and motivation. Portrayed in the shape of a pyramid, Maslow (1943) created the model to illustrate that humans most basic needs were at the bottom and as they became more motivated, they would reach a higher level of satisfaction (Maslow, 1943). The base of the model, first stratum of the pyramid, is composed of basic physical needs (water and food) and as that need is satisfied, the individual moves up to the next level. As a person progresses up the pyramid, the needs start to get more difficult to fulfill. The other stratums on the pyramid are: safety needs, social needs, esteem needs, and finally at the top self-actualization; reaching a level of fulfillment (Poston, 2009). Maslow (1943) began his research into the stages of human grown and motivation by observing monkeys in a controlled environment.

  When observing the monkeys, Maslow (1943) noticed that they displayed a unique form of behavior or motivation as they set priorities based on their distinct needs. The research was started by observing how the monkeys would react when they had to decide between two basic needs: food verses play and then food verses water. When the monkeys were given a choice of which they could have, food or play, they always picked food and then between food and water, they picked water. As the studies progressed, Maslow (1943) noticed that a pattern

emerged and if all the physiological needs of the monkeys were met at the most basic level (food, water, warmth, rest), they were less aggressive than if they had water or food taken away. Later transitioning these studies to observing human behavior, Maslow (1943) formed the hierarchy pyramid that represents the levels of progression for humans. Starting at their most basic needs at the bottom of the pyramid, psychological needs in the middle and finally reaching the top of self-fulfillment.

Burn's (1978) agreed with Maslow's (1943) theory of motivation based on the conception of fulfilling human needs for leadership. When leaders and followers are located at different levels of needs, the leader can serve as a guide and help to elevate the follower to a higher level by motivating them. He believed that the transformational leader should engage with others so that the leader and the follower work together to reach a higher level of motivation and morality. Burns (1978) ultimate belief was that the change leader or what he termed as the transformational leader, would strive to shift followers to higher levels of Maslow's (1943) needs pyramid by motivating them to reaching the top, self-actualization.

Moral development was the distinguishing characteristic of Burn's transformational leadership theory, yet the few attempts to prove empirical validation, has led to questions of what, or how, to measure the characteristic. Attempts were made from other scholars (Shamir, House, and Arthur, 1993; Dvir et al, 2002; Bass, 1985) to validate moral development because it is hard to measure followers moving from one stage to another as it may take years depending on the individual. Burns (1978) believed that transformational leadership would add value and create positive change in the follower, in hope that, the followers would then become transformational leaders. The concept of transformational

leadership proposes a process in which the leader and follower help each other to develop a higher level of morale and motivation.

Burns (1978) identified the differences between leadership and management and believes the differences were between behaviors and characteristics. The two concepts he established were a transforming leader and the transactional leader. The transforming leader should create a significant change in the people and organization and the transactional leader does not usually try to change cultural, but works with the cultural that is currently in place. Bass in 1985 extended the work of Burns by adding ideas to help explain how to measure the transformational leader and how this leadership impacts followers in the area of motivation and performance. The survey that Bass used to measure transformational and transactional leadership is called the Multifactor Leadership Questionnaire (MLQ). There have been several revisions, but, the final outcome is to measure whether the leader has influenced the followers to trust, admire, be loyal and have respect for the leader and to work harder than what was anticipated. The transformational leader helps to transform and motivate followers through his or her charisma by providing intellectual stimulation and individual consideration and can help in the process of change (Bass, 1998).

Change Theory. Lewin (1947) developed the concept of *force-field analysis*; analysis that transformational leaders can use to help plan and manage change in organizations. Lewin's (1947) philosophy was that the behaviors in the organizations are composed of two vigorous contrasting forces. Organizational change could occur, when and if, the driving forces that affect positive change and the restraining forces, or obstacles to change, are balanced (Lewin, 1947). A supporter of Lewin's (1947) change theory and a former professor at MIT Sloan School of Management, Schein (1996) writes that Lewin's life work and the assumptions that lay behind it

are deeply rooted in my own work and many of my colleagues also practice the art of

"organizational development" (p. 59). Schein (1996) found Lewin's change model to be a

fundamental essential tool to help explain the phenomena of change that he had personally

observed in his clinical and social psychology work.

Planned change, stated by Schein and Schein (2017), starts with some recognition of a

problem, a recognition that something is not going as expected. Lewin's (1947) planned

approach to change has a uniting theme and most of his work is the view that the group that an

individual belongs to is a reference for his or her experiences, his or her feelings, and his or her

actions. The planned change approach had four parts: field theory, group dynamics, action

research, and the 3-step model of change. Lewin (1947) was a humanitarian who specialized in

resolving social conflict through behavioral change. In an effort to understand group behavior,

Lewin (1947) believed that individual behavior is a part of the group environment or field in

which the group is part. Any changes in behavior, no matter what size, are from within the field.

He believed that the field was continuously adapting and that life in a group is always changing

(Burnes, 2004).

Field theory. Lewin (1947) projected that if a leader could understand, map out, and

establish the strength of the forces in a group, then it would be possible for the leader to

understand the group dynamics. When the leader is able to understand the dynamics of the

group, it would help to either diminish or strengthen certain forces to help with change. Lewin

(1947) understood that behavioral change could be very slow; however, he recognized that under

certain conditions, such as a personal, administrative or societal crisis, "the various forces in the

field can shift quickly and radically" (Burnes, 2004, p 982). Therefore, within an organization or

institution, the individual's behavior is a direct function of the group environment or *field*, and

any changes, big or small, stem from the forces of the group within that field. Lewin's (1947) view was that if the leader could identify, plan and understand the strength of the group forces, then he or she could figure out their group behavior and possible influence positive change (Burnes, 2004). After field theory, the second concept in Lewin's (1947) approach to planned change is for the leader to understand the dynamics of the group, referred to as group dynamics.

Group dynamics. Dynamic is a Greek word that means *force* and *group dynamics* refers to the forces operating within a group. Lewin's (1947) research of group dynamics was the first study to focus on the forces within a group and how these forces shape its members group behavior (Burnes, 2004). Group dynamics was established by Lewin (1947) to help understand the nature and characteristics of specific groups of people and to discover what causes them to respond or act in a certain way. The leader can then use these forces to shift the followers to the leaders desired form of behavior. The overall thought was that the forces within the group, not the individual's behavior, should be the main focus in change management (Bernsten, 1968; Dent and Goldberg, 1999).

Lewin (1947) believed that if the individual within the group was constrained by pressures to conform, it would be better to focus on change from the group level. The focus should be on the "group norms, roles, interactions and socialization process to create 'disequilibrium,' and change" (Burnes, 2004, p. 983). Burnes (2004) stated that there were two questions that Lewin wanted to address in his study of group dynamics: "What is it about the nature and characteristics of a particular group which causes it to respond (behave) as it does to the forces which impinge on it" (p. 982) and "how can these forces be changed in order to elicit a more desirable form of behavior" (p. 982). Because Lewin (1947) established that to understand the group was not enough, he later developed *Action Research* and the *3-Step model of change.*

Action research and 3-step model of change. Lewin's (1947) action research included two parts to the process; one was to understand that change requires action. The second one was that successful action is based on accurate analysis of the situation. For the change to be successful, there also had to be a feeling that change was necessary. After concerns that culture change would not be permanent, Lewin (1947) decided that a change toward a higher level of group performance does not last passed the initial honeymoon phase. Life within the organization or institution quickly returns to the prior level before the change. This indicates that it does not serve to define the objective of a planned change in group performance as the reaching of a different level. The objective should include permanency for a desired period (Burns, 2004). It was at this point in his career that he developed the 3-Step model of change. Lewin's (1947) 3-Step model was designed to work with his planned approach to change and included field theory, group dynamics, and action research and he worked with change in groups, organizations, and in social settings. The 3 steps included: Unfreezing, Moving, and Refreezing.

Studies have highlighted a need to include organizational or institutional culture assessment in leadership change models (Schein & Schein, 2017; Dumdum, Lowe, & Avolio, 2002; House & Aditya, 1997; Lowe & Gardner, 2000, Pillai, Scandura, & Williams, 1999). Assessing the culture, highlighted in the next section under culture and change, is based on the embedded personal expectations and principles of people and their perspective subunits or groups. Hence, culture can be used as a yardstick to determine what creates a better place and what establishes *right* and *wrong* (Mulla & Krishnan, 2009). Therefore, growth and development must imply that movement from a lower state to a higher state are more favored to be in line with the ethics and ambitions of a group of people. Burns (1978) also believed that human needs can vary depending on the culture of an organization. Schein and Schein (2017) propose a diagnostic

approach for the change leader to assess the culture and plan change. Unless there is an exact and tangible notion of the kind of change the leader wants, there is no point in assessing the culture.

Understanding Culture and Change

The culture of an organization or institution is known to have a powerful influence on positive operational processes (Hogan & Coote, 2013). The culture within an institution has also led to a greater contribution to effectiveness and knowledge management rather than relying only on strategy and structure (Zheng, Yang, & McLean, 2010). Many definitions of organizational culture exist, however, organizational culture generally refers to the organizational or institutional values linked through norms and artifacts, and are observed in patterns of behavior (Homburg & Pflesser, 2000, Schein, 1992). Schein's (1994) definition of culture is the process where a group resolves its problems of external variation and internal incorporation. This process has worked well enough to be considered effective and, therefore, to be taught to new members as the correct way to perceive, think, feel, and behave in relation to their problems.

This collected learning is a pattern or system of beliefs, values, and behavioral norms that come to be taken for granted as basic expectations and eventually drops out of mindfulness (Schein, 1994). The basic use of values is to act as a catalyst for social principles and philosophies that direct behavior and set the framework for the institution's practices and routines (Hatch, 1993; O'Reilly et al., 1991). The importance of values is demonstrated in how senior administrative leaders can influence expected behaviors by embedding what they believe are the norms into the instruction's culture (Mumford, Scott, Gaddis, & Strange, 2002). These behaviors can then be manifested into artifacts and can be seen in the institution's rituals, stories and physical configurations.

In Schein and Schein's (2017) book on culture and leadership, they describe the structure of culture at 3-levels: artifacts (visible and feelable phenomena, observed behavior, difficult to explain), espoused beliefs and values, and taken-for-granted underlying basic assumptions. They describe the levels as, "the degree to which the cultural phenomenon is visible to you as participant or observer" (p. 17). The levels can be tangible manifestations or they can be embedded, unconscious assumptions that make up the institution's cultural DNA or the basic taken-for-granted assumptions of the organization or institution. Between the DNA layers, are the "espoused beliefs, values, norms, and rules of behavior" that give meaning to the individual or group within the institution (p. 17). In organizations or institutions, this often means that to stabilize the change it would require changing the organizational "culture, norms, policies and practices" (Cummings and Huse, 1989).

One important point for the change leader to understand before implementing change, is that when the elements (beliefs, values, and desired behaviors) of the institutions cultural DNA have been embedded over a long period of time, it is the groups source of stability. In order to implement a change to the cultural DNA, the leader must consider how to change the entire group. To change the groups cultural DNA, Schein and Schein (2017) recommend that the leader engage in and understand the culture, and the change problem, by conducting a culture assessment. There are three premises proposed for the qualitative approach to culture assessment. First there must be an assessment to help the change leader move the change process forward. Second the change leader must engage in an assessment process to help expose certain elements that bring to light the change problem. Finally, the third premise is if a consultant or human resource professional is brought in to help, it is not necessary for them to understand the internal culture, but it is vital for the change leader to understand it (Schein, 1994).

Does a strong culture make a productive organization or institution? This question is interesting and worth examining as one would reason that if the leader was able to build a well-developed, strong organizational culture, organizational performance would also be high. This is not always true according to Ibidunni and Agboola (2013). In an effort to understand changing organizational culture and the effects that change has on performance, Ibidunni and Agboola's (2013) conducted a study and found that when an organization's culture does not line up with the environment, it will be difficult for the organization to serve its customers and satisfy them. Another interesting note from the study is that if there is a sub-culture within the organization and the group disagrees with the overall culture, it would be difficult to nurture and align with changes in the environment.

In order to more clearly identify the DNA of an organization, it is recommended to study the macro culture, which should include the official mission statements of each occupation. If organizations are under macro cultures, what are the proportions of those cultures that might be most relevant to understanding the beliefs, values, and norms of the organization or institution as a whole? Studying the work of ethnographers and researchers such as Geert Hofstede can go far in helping to understand the macro culture of the organization or institution and the leader must first understand the organizations DNA. Hofstede (2010) a Dutch social psychologist developed the cultural dimensions theory that has five basic dimensions of culture: individualism, power distance, masculinity, tolerance for ambiguity and uncertainty; short-run vs. long-run.

Individualistic societies are defined by roles of personal competition and accomplishment and they reward ambition. The power distance is the greater or lesser degree of controlling others behavior in an institutional setting or hierarchical situation. Often times the power control is set up and regulated by the organizations or institutions policies and procedures. The masculinity in

the society is measured by the degree in which gender roles are linked to work and family. A tolerance for ambiguity and uncertainty is seen when members of a society feel comfortable in circumstances that are not certain and there is a need for clear rules and structure. The short-run verses long-run is measured by how society members plan for the distant future and are not concerned about the near future (Hofstede, 2010). Hofstede's (2010) work on the different dimensions of culture also include the study of macro cultures.

      Macro Cultures. Hofstede (2010) worked at IBM international was a major contributor to the introduction of employee opinion surveys. Traveling through Europe and the Middle East, Hofstede gained first-hand knowledge of individual's behavior and collaboration within large organizations. What he learned from the survey data was that there were clear differences between cultures in various organizations, but, not always among the different countries at the macro level. This was the beginning of his research on cultures and the different dimensions. Leaving IBM because his opportunities to conduct his research was limited, he published his first book in 1980, *Culture's Consequences*. Schein and Schein (2017) studied Hofstede's (2010) research and describes the importance of his work and provides a simple explanation of the macro cultural analysis.

      Schein and Schein (2017) believed that Hofstede's (2010) comparative studies were a unique way of establishing that certain counties (United States, Canada, Australia, United Kingdom) are seen as individualistic societies and the collections of other counties (Pakistan, Japan, Colombia, Indonesia, Venezuela, Ecuador) are more collectivist in their behaviors. Why this is important is that without a deeper understand of the macro culture in counties like the United States and Australia, it may seem like both societies demonstrate individualistic behavior;

however, Australia still shows strains of collectivism, which is often seen in their interactions in group activities.

In an international article House et al (2004) conducted a "massive study" of "17,500 middle managers" within industries in "25 counties" (Schein & Schein, 2017, p. 84). Adding on to the Hofstede five diminutions model, House et al (2004) added four more dimensions that provided important analysis for organizations in the area of "Performance Orientation, Assertiveness, and Humane Orientation" (p. 84). While there is important information in the surveys that were used to gather data, Schein and Schein (2017) believe that just using the survey data would not complete the study and by observing participants, group interviews and using ethnography the, "shared beliefs, values, and norms" (p. 85) would become much more valuable. In Castillo, Fernandez, and Sallan (2016) article they highlight the importance of focusing studies on individual's emotions during the change process. Oreg et al (2011) advises other researchers to study the emotional changes that individuals have during organizational change.

The literature that was studied during the Castillo, Fernandez, and Sallan (2016) review shows a direct relationship between the emotions of individuals and how the individuals react to change. Based on the article by Castillo, Fernandez, and Sallan (2016) there is a gap in the literature that still needs to be filled on the emotional impact felt by individuals after a presidential transition. Another important element to examine is the subcultures that grow from the existing macro culture within an organization or institution. As the organization grows and expands, subunits begin to develop. These units or subcultures are a result of the "division of labor, functionalization, divisionalization, or diversification" (Schein and Schein, 2017, p. 211). The larger the organization becomes, the more these units develop and the leader may no

longer have the same influence or coordination as when the organization was small. Each

organization is different and in a university the subunits may be areas such as the individual

colleges, facilities, finance and administration, and the office of the President.

The Stages of Cultural Growth

The subunits of distinct departments, product groups, levels of hierarchy, or teams may

also reflect their own exclusive cultures (Cameron & Quinn, 2006). It is common to hear about

conflicts between subunits within the same organization such as accounting and purchasing,

human resources and diversity resources, and academic affairs and marketing. The different

individuals in the subunits develop their own perspective on processes, and they set values and

culture. Several studies have been written about the culture clashes within subgroups (Van

Maaen & Barley, 1984, 1985; Jerimier, Slocum, Fry, and Gaines, 1991). This is why it is so

difficult to make effective change happen with lasting results.

How do new Presidents in universities identify and change the organizational culture

without identifying the unique subcultures to make the change? Cameron & Quinn (2006) state

that the target level is at whatever culture level is required for organizational performance to

improve. Find the "underlying glue" that holds the organization together (p. 18). The leader can

focus on the whole organization or look at different subunits and aggregate them. Combining this

analysis can provide the leader with an approximate view of the overall organizational culture.

When making the change, the leader should analyze the culture and subculture and from this

analysis learn how the employees within the individual subunits may react to change.

A leader, who wants to make lasting change, in addition to considering the culture and

subcultures in the organization, should also consider how the change is affecting senior

leadership. There are several books and articles written on organizational change describing the

many emotions employees have during change (Brennan and Skarlicki, 2004; Cascio et al., 1997; Kotter and Schlesinger, 2008; Castillo, Fernandez, & Sallan, 2016; Tombaugh and White, 1990). If the purpose of organizational change is to improve the current state of the organization, why then has it had the opposite effect of reducing productivity and shareholder value and increasing cost? If leaders and administrators do not consider employees reaction to change, they may experience more cost because of employees leaving work, low production or calling in sick (Brennan and Skarlicki, 2004).

In an interesting review of 79 data driven empirical studies, Oreg et al. (2011) reviewed published research that was conducted between the years of 1948 and 2007 to analyze employee's reactions to change within organizations. The main factor the authors highlighted was the employee's emotional reaction to change; positive or negative. They determined that the reaction from the employee depended on the employee's outlook on the change (Lines, 2005; Elias, 2007). When change happens, uncertainty could generate job insecurity in employees (Rafferty and Griffin, 2006). If there is job stress, it could lead to employees resisting change (Hobfoll, 2002). First Lewin (1947) and then Schein (1996) provide a 3-step model for change management to help avoid employee's job stress and resistance to change.

Change Theory, Lewin & Schein

Lewin's three stage model for change is based on the psychological process that requires prior learning to be rejected and replaced. Like Lewin (1947), Schein (1996) expanded on the model by providing a more inclusive concept, which he referred to as cognitive redefinition. Schein and Schein (2017) state that successful action is based on the accurate cultural assessment of the institution or organization. In order for the change to be effective, there has to be a feeling that change was needed. There needs to be a desire for change and the yearning for change,

"always begins with some kind of pain or dissatisfaction" (p. 122). Based on a theory that the behavior in humans originates by observations and cultural influences from their past, new forces have to be added, or the removal of particular existing factors should be completed that have contributed to the behavior that needs to be changed (Wirth, 2018).

The first step in Schein and Schein's (2017) change model was expanded from Lewin's (1947) concept of unfreezing (motivation for change) and listed the readiness for change as four processes: disconfirmation, the creation of survival anxiety, the thought that learning anxiety causes resistance to change, and that there will be a creation of psychological safety to help overcome the learning anxiety. Disconfirmation is any type of evidence or data that is recognized by individuals within the institution whose goals are not being met (Schein, 1996). When anyone within the institution is hurting or in pain. This type of information can be generated from an economic, social, personal, or political source and can be in the form of a scandal or humiliating leaks of information (Hogan & Coote, 2013; Wirth, 2018). A good example is in 2015 there were allegations of discrimination and turmoil that plagued the University of Missouri and eventually led to the resignation of their President. In this case the students were in pain and were asking for change by protesting against the current administration (McLaughlin, 2015).

Disconfirmation may not be enough to trigger the motivation to create change, members may deny the validity of information that is being generated. It is only when the disconfirming information creates a "survival anxiety or guilt" that members will acknowledge that there needs to be a change in the institution. Survival anxiety or guilt would have to be manifested in the form of an important value or goal that is not being met or is compromised (Schein, 1996). An example of an important value compromised is when the Adams State President (2018) dressed in inappropriate clothing and mocked working class people that was then published in the local

newspaper. The President's behavior caused the administration to ask her to resign after two years in office (Whaley, 2018). If the disconfirmation survives the members denial, there may still be some learning anxiety that causes resistance to change (Schein & Schein, 2017; Wirth, 2018).

There are several examples of learning anxiety that are valid reasons to resist change. Learning anxiety may cause defensiveness and resistance because of the pain associated with having to unlearn the norm within the institution (Wirth, 2018). Argyris and Schon (1974) write about the problems with hierarchy and how some employees, generally old-school managers, can flip the institutional system upside-down in order to protect themselves from the new learning programs and new techniques. Senge (1990) referred to this resistance to change as "skilled incompetence" (p. 182). Senge (1990) five discipline theory was developed to help organizations learn through the change process. Resistance to change is basically learned from early childhood where children learn from their parents and other small groups, Casey (1993) referred to these small groups as learning places. Because humans are social and naturally crowd together to work, play, shop, and relax, most people spend the majority of their time in groups. In these groups is where humans learn from each other, some conscious and other times unconscious learning (Casey, 1993). It is in these group settings that positive change can take place. Within a working environment an employee will learn the cultural (values, attitudes, and rules) from other employees, team leaders and managers.

Like organizations, private and public institutions exist and operate based on goals and the target is revenue and profits, if an institution cannot change the ingrained systems (managerial and executive), the institution will not change (Coto, 2012). For institutions that have many cultural levels, executives need to first buy into a new systems approach of thinking

so there will be a top-down approach to change (Coto, 2012). In Schein's (1996) approach to change, he states there are three stages that members will go through in response to the change process: denial or telling ourselves that the disconfirmation is not valid, dodging or telling ourselves that the disconfirmation does not apply to our program or college, and bargaining by wanting to know how the change can benefit our program. The survivor guilt or anxiety must be greater than the learning anxiety to initiate the change.

Learning anxiety must be reduced in order to lower survivor guilt and/or anxiety by providing an environment of psychological safety. The change must be presented as possible and beneficial for the institutional members. There are several activities that Schein and Schein (2017) list as necessary for the members to feel safe, the leader must create a positive vision, provide necessary training, involve the learner in the training, provide training to whole groups of members or subcultures, provide the necessary resources, put positive role models into place, provide support groups, remove any barriers and build support systems. All these activities have to be put in place before real culture change will be achieved. Two additional concepts are recommended by Schein and Schein (2017) to help with culture change and to develop an understanding and the ability to work across cultural boundaries: 1) Teach skills in *cultural intelligence* to expand the knowledge of the individuals in the institution during the culture change, and then 2) develop *temporary culture islands* for employees to learn about leadership and group dynamics.

Cultural intelligence and temporary culture islands. The term cultural intelligence is growing more popular as the focus on solving cultural issues within organizations and institutions continues to expand (Thomas & Inkson, 2003; Earley & Ang, 2003; Peterson, 2004; Plum, 2008; Ang & Van Dyne, 2008). A learning approach to help solve multicultural issues

among subunits such as differing social order, biased cross culture norms, and assumptions, is the technique of teaching cultural intelligence to all the units and subunits within the institution. The main problem with various levels of subunits throughout an institution is that each member within the subunits carries an opinion and/or bias about the others, even if they know individuals within the group personally, they will hold a premise that their own culture is the "right" one (Schein & Schein, 2017). The main capacities introduced to help develop compassion, understanding and the skills to work between subunits are: 1) knowledge of the other subunit's basics norms, 2) an understanding about culture, 3) the motivation to learn about the other subunits culture, and 4) learned skills in behavior and the willingness to learn a new way of doing things (Earley & Ang, 2003; Thomas & Inkson, 2003).

Unfortunately, not all individuals within the institution or subunits will have the learning capacity to develop the skills of cultural intelligence. The skills of cultural intelligence are required in order to develop a common ground where the individuals within each unit will be willing to temporarily suspend some of the rules of social order. Another way to introduce cultural intelligence is to create temporary culture islands. A culture island is set up as an "experiential" gathering where members must learn from each other on how to become a group (Schein & Schein, 2017). The groups are arranged so that none of the members know each other and no one has a specific identity. The facilitators of the training groups do not provide any agendas or structure, which forces the members to create their own social (culture) values, norms, and beliefs and ways of working together. Members in these training groups quickly discover that there is no right way of doing things, and they have the ability to set up their own group norms (Schein & Schein, 2017).

While members of these temporary islands discovered that they do not have to like each other to work together, they do need the capacity to show empathy for others in order to be accepted and work together. It takes time to develop these culture islands and the learning takes place under relaxed conditions where the members do not feel the need to defend their own cultural assumptions because they are among strangers. These learning groups quickly grow into a micro culture where collaborations develop between the members. These members in time can help each other to understand and share the assumptions of the macro culture of the institution and learn to empathize with other subunits. These temporary cultural islands should always provide a psychologically safe "container" where the members can share without fear or anxiety. The trainers also have to set up a focused dialogue so that the members are able to feel secure enough to contain their need to win arguments, to clarify what they say or to challenge each other if they disagree (Schein & Schein, 2017). It is hoped that this process of group learning can help the members to embrace the change, so they are able to move into the second stage of change with little or no resistance.

The second stage in Schein's (1994) model is what Lewin (1947) considered moving or the learning process. New behavior, beliefs, and values are learned by mentally identifying with a person we respect or by coming up with our own solutions by observing our environment or by trial and error we will figure out what works. The change leader can decide whether he or she wants to provide a role model or let the members figure out the new way of doing things on their own. For an organization to accept the changes, it is necessary to have effective leadership (Ikinci, 2013). Lewin's (1947) three stages of behavior analysis describes that during the transition stage or learning process, the leader must consider the institution as a whole and then

determine how the change will affect the organization and share the results of change with the employees.

The transformational leader as written by Ikinci (2013), finds a way for the employees to feel confident in their leader. Some of the techniques used by the transformational leader are providing a clear set of goals, creating an encouraging environment, and providing individual support for the employees (Ikinci, 2013). A charismatic or transformational change leader can sometimes convince members to change by modeling the new beliefs and values (Schein & Schein, 2017). Some of the examples that can be used to move the change forward are: simulations, role-playing, movies, new concepts, and branding. The new learning can be manifested through identification or scanning but must involve redefining the core concepts for the learner. The change leader must also develop new ways to evaluate and create new standards.

The final stage of the change model is refreezing. Refreezing described by Lewin (1947) is when the institution has seen actual results and the change has then become stable. If the correct diagnosis was defined by the change leaders in the beginning, the new behavior will produce good results and be confirmed by the members. If the behavior is rejected and doesn't produce good results, disconfirmation may re-surface and create a new need for change. Culture change is not always involved in the process. The change leader must be clear about the change goals and then a culture assessment can be completed if needed (Schein & Schein, 2017). An additional instrument and importance concept for leadership to consider when implementing culture change is to somehow calculate individuals' reactions to change. By using the Kubler-Ross (1969) change curve as a guide, leaders can learn to gage where their employees are in relation to change on the change curve.

Kubler-Ross Change Curve

The evolved version used in this study of the Kubler-Ross (1969) change curve was first created as a grief model based on the work of Dr. Elisabeth Kubler-Ross (1969) and later published in her book titled *On Death and Dying.* The initial research was initiated by four students at the Chicago Theological Seminary who had approached Kubler-Ross for assistance with their project. Kubler-Ross and her students were focused on the different phases that individual pass through when transitioning from a terminal illness into death. The five phases were identified as: denial, anger, bargaining, depression and acceptance (Elrod and Tippett, 2001), although there are many various versions of the grief curve. The next significant work on the change model was Coch and French's (1948) research that identified ways to overcome employee's resistance to change.

Although there were several other researchers that studied and furthered the data on the grief cycle (Imara, 1975; Parkes, 1979; & Menninger, 1975), it was Adams et al (1976) model that extended and developed a more modern change approach. They added some elements to further consider by studying the development of individuals from childhood to adulthood, from school to work, being single to married, a move in location and bereavement or grief (Elrod & Tippett, 2001). In Harvey's (1990) organizational research he compared any change to a loss and believed it was critical that administrators understand that during proposed or actual change, someone is going to experience loss (Elrod & Tippett, 2001).

Some of the loss that Harvey (1990) provided as an example was: the loss of a co-worker, the loss of expert knowledge, or when individuals feel a loss of power in a major reorganization or in people or projects. Deal and Kennedy (1982) wrote that barriers or resistance may be elevated by the employees if administrators do not recognize that any change is a loss and there

has been a death to the old program, process or people. Levy and Merry (1980) studied change

and transformation in several different fields using Lewin's (1969) change model. They found

that in three of the five cross-disciplinary models there was always a temporary state of

distortion, crisis, or confusion. In an important expansion of the grief theory, in the 1990s several

authors (Grensing, 1991; Perlman & Takacs, 1990; & Henderson-Loney, 1996) extended the

Kubler-Ross (1969) model to include the experiences of individuals dealing with change in an

organization or institution.

Henderson-Loney (1996) believed that any change within an organization, planned or

unplanned, contains an element of loss and if the loss is not acknowledged by the administration

or by the employees, it may later be manifested through negative behaviors causing resistance to

the goals of the change leader. Leaders and administrators who have been trained to facilitate

their teams' transition through change, while also recognizing and acknowledging the emotional

responses to change, will be able to reach peak team performance more quickly (Henderson-

Loney, 1996). Some of the ways that individuals resist changing from their initial state, can be

displayed as confusion, denial, anger, non-compliance, depression, and silence. To navigate

through the "death valley of change," Elrod and Tippett (2001) provide leaders with specific

actions to follow in order to keep the disruptions of change to a minimal. The first action is for

the leader to set the course and to navigate the change. The second action is to communicate

realistic expectations and the third action is to establish stability and security while moving

through the change.

Although Kubler-Ross (1969) was one of the first researchers to write about the process

of grief (change), she was not the first to document it. In 1975 Imara, one of Kuber-Ross's co-

workers, recognizes writings about the change process found in the Old Testament, in the book

of Isaiah. Taken from the sixth chapter in the book of Isaiah, Imara (1975) provides the prophets stories of experiencing shock and denial, then moving to other emotions such as awe and guilt, followed by bargaining and depression and finally acceptance. In Iamara's (1975) study he writes about two periods of "regression and negative growth" during the change process. The first is in the stage of denial and the second is during depression. During these two stages, the individual "is less effective than normal in dealing with life's routine challenges" (Elrod & Tippett, 2001, p. 275). Kubler-Ross's (1969) change curve illustrates an example of the human response by adapting, accepting and/or addressing change.

Chapter Summary

This chapter began with the changing roles of the president. Literature on the current trends in transitional leadership was examined followed by the study of the multi levels of culture, climate, and subculture that leaders must navigate for effective change in an organization or institution. Next literature was presented on the challenges of leading change and the emotional impact change has on individuals within the institution or organization. The chapter then continued by examining the literature on the emotional impact on individuals who chose to stay after a presidential transition. Finally, Schein and Schein's (2017) leadership model and the Kubler-Ross (1969) change curve was clarified for the theoretical and conceptual framework of the study. This study brings to light the lack of research on the important topic of transitional leadership and culture change and then proposes to fill this void in academic literature. Chapter 3 highlights this study's methodology, which includes the design of the study and the data collection processes. The data analysis procedures are discussed, which includes the coding and theme identification. After some discussion on the ethical considerations and the subjectivity of the researcher, Chapter 3 concludes with a summary.

Chapter 3: Methodology

The purpose of this chapter is to explain the research methods that I used for my study. In this chapter, I will also discuss the process of data collection and data procedures. In the data collection section, the criteria for the site and participants is described along with the interview protocol and test pilot process. The data analysis section includes the theoretical framework, coding procedures, techniques in theme identification, and the process of member checks. Any other areas relevant to this study is also included in this chapter with a brief summary at the end. I have conducted a qualitative study into the phenomenon of culture change after the transition of a new academic president. In most cases when there is a new president, there will also be changes within the university. A transitioning president who is not trained in change management, may view changes as insignificant, but any variation away from the norms, values, and beliefs (culture) can have a profound impact on the employees. In order to understand the impact that culture change had on my participants, I chose a method that involved an interactive process of qualitative interviews.

The General Perspective

This qualitative inquiry provides a rich narrative of the experiences of senior leaders after a presidential transition and then illustrates a clear example of how a change in culture affected those leaders and their employees. In qualitative research, the world is turned into a sequence of illustrations, "qualitative researchers study things in their natural settings, attempting to make sense of or interpret the phenomena in terms of the meanings people bring to them" (Kincheloe & McLaren, 2000, p. 3). Therefore, during this qualitative inquiry senior leaders were interviewed who had experienced a presidential transition. Their stories and descriptive interpretations were recorded and analyzed for the bases of my study. When I researched articles for the literature review, I found that not only were more universities hiring new presidents at an

increasing rate due to attrition, but many of the new presidents were coming from industries outside of education and with no prior knowledge of the academic culture.

It was communicated through the literature that transitions can be disruptive, or synergetic, depending on the leader. A transformational leader is known to be charismatic and able to inspire and move her or his followers through the change process by creating a vision for change. This type of leadership is recommended during a transition to help lower the anxiety of employees and to guide the institution through the changes. Lewin (1947) and Schein (1996) recommend that leaders first evaluate the culture of the institution and then plan the change process by following a three-stage model for change. Without culture assessments and a crafted strategic plan for transitioning, employees, constituents, and industry partners may be negatively impacted.

The Research Context

The main institution that was the focus of this study was a northwestern university that was founded in the early 20th Century. The university is a Carnegie-classified doctoral research and teaching institution. The institution enrolls students both domestic and foreign and has several locations other than the main campus. Like many other mid-level institutions in the united states there are several thousand students, with an average population percentage of 55 % women and 45% men. The institution is located in the mid northwestern section of the United States (US). The university has a student population representing 58 foreign countries and 40 domestic states. Like most other universities throughout the United States after 2008, this university experienced budget cuts throughout a 5-year period.

Beyond the decrease in state and federal funding, the university also suffered from a continued drop in enrollment from 2014 to 2016. In 2014 several programs within the university were part of a yearlong evaluation, called program prioritization. This was part of a cost-saving plan implemented by the state. The colleges within the university had to close programs to stay

within budget and tighter financial controls were imposed on others. The 2018 enrollment remained steady, although there was another projected decline for 2019. New leadership seemed plausible and with the enrollment instability, a transformational leader could prove to be very beneficial to the university, its employees, it's students, and the community.

These institutional demographics provided a framework for the study of university presidential transitions and the process of culture change. Because the majority of the existing studies in the area of change management are specific to corporate or private industry, this study will help to expand the knowledge base for change within an institution and can greatly contribute to this important field of research. This study is unique in that it includes the lived experiences of senior leaders within an institution of higher education. The importance of conducting a qualitative study was that I could translate the experiences of senior leaders into a sequence of illustrations that provided a rich narrative. I could then tell the story to, "see, view, approach, and experience the world and make meaning of their experiences as well as specific phenomena within it" (Yin, 2018, p. 7).

It was communicated through the literature that leadership transitions can be disruptive or synergetic, depending on how the new leader approaches change (Jensen and Edmundson, 2002). Bridges (1980) stated that, "it isn't the changes that can do you in, it's the transitions" (p. 3). Humans tend to react to change by showing certain emotions such as excitement, anxiety, fear, anger or even confusion and trauma (Lawrence, Ruppel, Tworoger, 2014). Because of this heightened level of emotions often seen in transitions, this study was based on Schein and Schein's (2017) three-stage model of change and the Kubler-Ross (1969) (grief) change curve. Schein and Schein's (2017) theory of planned change is an elaboration of Kurt Lewin's theory from 1947. Lewin phrased the term "quasi-stationary equilibrium" when referring to the human system. He believed that, "there are always many forces acting toward change, many other forces acting toward maintaining the present, and that the system is always seeking some kind of

equilibrium" (p. 322). Because humans are involved in, or part of, their social and physical environment, they are influenced by their environment, and are therefore trying to influence their environment (Schein and Schein, 2017).

In this mid-level university where there are multiple levels of cultures and sub-cultures where senior leaders, faculty and staff are influencing the environment, it is important to run assessments on the culture before, during and after the change. When using an assessment tool like the Kubler-Ross (1969) change curve to measure employees' emotions, leadership can determine how to communication information, decide the level of support needed, and when the time is right, implement change. The change curve is based on the original grief model of Elisabeth Kubler-Ross (1964) who studied terminally ill patients to understand their journey through the death and dying process. The emotions felt by the patients were grouped into a five-stage process. Commonly known as a change model in organizations or institutions, Kubler-Ross (1980) stated that, "this model could be applied to any dramatic life changing situation" (p. 1).

When a new university president transitions into leadership, often times he or she must rely on the senior leaders to help implement change. While there are several research studies on change management within organizations, there is a very limited examination of the experiences of senior leaders in a university, during the change process (Clarke et al., 2007). By combining Schein and Schein's (2017) model of planned change and the Kubler-Ross (1969) change curve (Figure 3.1), I was able to assess the senior leaders' experiences during a critical period in time. This helped to determine what stage and cycle of learning the participants were experiencing and what level of loss or change they were going through. My study demonstrated that Schein and Schein's (2017) three stage theory of change and the Kubler-Ross (1969) change curve worked in unison to provide a useful tool for future leaders to gain insight into a culture change.

As demonstrated in the data analysis section and shown in Table 3.1, the first stage of the 3-stage change process in Schein and Schein's (2017) model is when the change leader has fully

proven that change was needed in order to unfreeze the culture and implement the change. It was during this stage of the change cycle that most employees experienced the initial feeling of loss or grief and it showed up on the Kubler-Ross (1969) change curve under the first stage of shock and denial. In the second stage of change, the leaders had moved on to implementing new learning and many of the processes were trial and error learning. At this stage in the change curve employees were still experiencing some anger and depression, but most had moved into experimentation. Although these two models, Schein and Schein (2017) and Kubler-Ross (1969) change curve, are in unison in the stages of change, the employees would often move between different stages simultaneously depending on the communication level used during the transition. In stage 3 when the new learning has been completed, the institutions culture can be refrozen. This is when employees have reached the place on the change curve of accepting the new culture and they are ready to integrate into a new way of working. According to my interviews, this institution has several more years before they can refreeze the culture.

The Research Participants

The institution selected for this study was a mid-level northwestern university that recently went through a presidential transition. The population asked to participate in this study included both men and women senior leaders who were currently working within the university. The participants were informed about the research through selected gatekeepers or administrators within the university. After the initial introduction, telephone call or email, I sent a follow-up email with an attached letter (Appendix A) explaining the study, an informed consent form (Appendix B) and a participant demographic survey (Appendix C). I also sent the participants information about the pending research asking for information on how to formally contact them to set up a day and time for the 30-minute interview. The participants included in this study were all those in the population who responded to the introductory email and who volunteered to participate in the interviews. My introductory email explained the purpose of the research and

included a description of the interview process. I sent this form in the hope that the participants would understand that their interviews were anonymous. For this study the site and the participants were purposefully selected based on the problem and research questions. There were over 40 senior leaders that were contacted and asked to participate in the study, out of the 40 contacted, 25 agreed to participate.

Because this study was designed to identify the lived experiences of senior leaders after a transition, the university organization chart was used to pinpoint level 1, 2, and 3 senior leaders. These leaders were identified as either under the direct management, level 1, of the new president or level 2 managed by the level one senior leader or level 3, managed by the level 2 senior leaders. The collection of demographic information allowed both myself and a selected gatekeeper a way to identify the senior leaders level of authority and to determine how long they had been in leadership within the university. Appendix D details the interview protocol, and Appendix E is the table of interview questions with the two theories linked to this study. My research identified, quantified and provided rich details of the lived experiences of senior leaders going through a culture change after a president transition.

Instruments Used in Data Collection

An important concept that I considered when conducting this study was what methodological choices I would make to acknowledge, address, and account for any researcher bias I may have (Ravitch & Carl, 2016). The interview protocol instrument I developed for this study was purposely set up to account for my predisposed bias, I wanted to critically and vigorously examine the lived experiences of senior leaders. By aligning each interview question with the research questions and in correlation with Schein and Schein's (2017) model and the Kubler-Ross (1969) model, the questions were based on the experiences of senior leaders after a transition and not my opinions or experiences. In table 3.1 and before I began to code the data, I set up columns to help me make sense of the two theories and people's basic reactions to change.

Table 3.1

Relationship Between Theories and Individuals Common Reactions to Change.

Stage I - Unfreeze	Common Reactions	Kubler-Ross
Disconfirmation	Leader must create a desire for change	Shock or denial
Creation of survival anxiety or guilt	"It is only the bad people who are leaving, the ones we don't want anyway"	Lack of information Fear of the unknown Fear of looking stupid
Learning anxiety produces resistance to change	Fear of loss of power Fear of temporary incompetence Fear of punishment	Fear of doing something wrong Feeling threatened Fear of failure
Creation of psychological safety to overcome learning anxiety	Provide vision Provide training Involve the learner	Communication is key to reassurance and support
Stage II – Learning	**Common Reactions**	**Kubler-Ross**
New concepts, meanings & standards	Imitating a role model by identifying with that person	Anger and depression
Identifications with role models	Scanning our environment and using trial and error learning	Suspicion, skepticism, frustration Change is genuine
Trial-and-error learning	We keep inventing our own solutions until something works	Apathy, isolation, remoteness Low morale Low work performance
Stage III – Refreeze	**Common Reactions**	**Kubler-Ross**
Actual results from new learning	New way of learning works better	Acceptance and integration
Concrete goals	Leader clearly articulates goals	Acceptance, hope & trust
Old cultural elements destroyed	Alpha employees show change is satisfying and worthwhile	Exciting new opportunities Relief that the change has been survived
Perpetual change	New beliefs, values and behaviors have been adapted or a perpetual way of doing business	Impatience for the change to be complete Individuals respond well to given tasks

Note: *The first and third column was replicated from Schein and Schein's (2017) 3 stages of change and the Kubler-Ross (1969) change cycle. In the center column, I set up the descriptions of an individuals' common reaction to change or loss as described by the stages of change model. I wanted to understand if the two theories had a common concept or relationship in each stage of change.*

It became clear to me after setting up table 3.1 that the two theories worked in collaboration and it helped me to start forming my questions based on my preestablished theoretical concept. I also wanted to avoid social desirability bias, by forming my questions to ensure that truthful answers were given. Because the participants tend to respond to the interviewer by saying or thinking what the researcher "wants to hear or to give answers that put themselves in the best possible light" (Slaven, 2007, p. 110). The first five interview questions from the protocol matrix (Appendix D) were based off of the current literature on leadership, presidential transitions, change management, employee's resistance to change, and overcoming learning anxiety from Stage I of Schein and Schein's (2017) change model.

The Kubler-Ross (1969) change curve was included in the interview protocol, Appendix G displays the graphic illustration of the change curve that I used in my interviews. The participants were asked to refer to the change curve when describing experiences with change and at what state they or their subculture were experiencing during the interviews. The next two questions were based on Stage II of Schein and Schein's (2017) model. I explored the area of new learning and leadership practices that were accepted by employees during the transition. The final three questions were in Stage III of Schein and Schein's (2017) model and were about leaders' experiences guiding their subunits through the transition. They were also asked if they believed the culture change was complete and could be refrozen.

In the next section, I will describe my procedures that I followed to ensure a valid and rigorous process of data collection and analysis. I assured the participants that there are no right or wrong answers. I felt like this helped them to know that any response they gave was perfectly acceptable without worrying about coming up with a socially acceptable answer. Another technique that I used to ensure success was to provide the participants with statements that other participants made regarding the topic and then ask them to choose one that they identify with the

most. This again reinforced the fact that there was no 'acceptable' or 'unacceptable' response (Slaven, 2007).

Procedures Used

This section outlines the procedures that I used to maintain transparency of the data collection processes and to ensure that the study could be repeated by other researchers. The areas included in this section are the interview protocol, member checks, and pilot process. The main qualitative component for data collection in this research was semi-structured interviews. Creswell (2007) recommends that the interviews, "involve unstructured and generally open-ended questions that are few in number and intended to elicit views and opinions from the participants" (p. 181). I also engaged in various observations and used an observational procedure to record the information while conducting the interviews (Creswell, 2007).

As is recommended by Bradford (2011) I used "two digital recording sources to ensure that the interview would still be captured in the event of a technology failure" (p. 50). One of the digital recording instruments was an audio recorder located on my laptop computer. The second instrument that I used was a hand-held recorder that I could plug into my computer, via a port, and upload the recorded interviews. I was able to download the second recording into software (dragon) on my computer that transcribed the audio interview onto a word document. I was then able to open the script, listen to the audio version of the interview and clean up any discrepancies in the downloaded copy. I also at this time removed identifying information that refer to the participants.

Part of Creswell's (2007) interview protocol includes taking notes to capture information from the observations of the interview, as well as "a reconstruction of dialogue, a description of the physical setting, and accounts of particular events, or activities" (p. 181). After each interview, I wrote memos to reconstruct the dialogue. Another important piece of information that I noted was the demographic descriptions of the participants, date of the interview, their time

in leadership, their level of authority and the place and environment where my observations were conducted. It was recommended from prior qualitative studies to run a expert or peer review in order to refine the interview questions and to ensure that they adequately addressed the study questions (Ravitch &Carl, 2016; Creswell, 2013). Yin (2018) suggests running a pilot test to refine data collection plans and develop relevant lines of questions.

Creswell (2013) wrote that the pilot test would provide me with an understanding of the meaning from the people involved in the study, "people's ideas, meanings, and values are essential parts of the situations and activities you study, and if you don't understand these, your theories about what's going on will often be incomplete or mistaken" (p. 67). I conducted pilot tests with one representative from each of the three stratum levels of the participant groups. I identified three senior leaders from the university site who had experience in leadership and understood the transition process and asked them to be in my pilot study. The first leader was a senior leader level 1 and had been within the institution for more than thirty years with college level leadership. The second leader was level 2 and was at the institution for more than twenty years and had multiple years of experience with faculty and staff. The third expert was in the financial sector and had experience in several academic units throughout the institution for more than five years. The pilot study helped me to understand myself and my research techniques in order to "hone interview skills and work on modes of interpersonal engagement, including how" I would frame and approach my study with the participants (Ravitch & Carl, 2016).

The 25 participants identified for the study were emailed the informed consent document and the demographic survey to review and sign prior to meeting for our interview. I assigned each participant a number at the time of their interview so that their anonymity was preserved. I also explained the interview protocol, which included a script, permission to audio record the interview, and permission to take notes allowing for a precise transcription. I asked the participants at the time of the interview if they would like a copy of their transcript, and if they

would want to be part of the member check group to provide a "participant validation" (Ravitch & Carl, 2016, p. 197). Member checks are useful to provide a participant centered approach to challenge the researchers understanding of the transcribed interview and to establish credibility. Lincoln and Guba (1985) consider the member check to be the "most important validity measure used to establish creditability" (p. 314).

I offered all participants an option to be included in the member check process and to have a copy of their transcribed document. There were four participants that agreed to participate in a member check, or as Merriam and Tisdell (2016) referred to as a "respondent validation" (p. 246), to provide me feedback on my preliminary or evolving results from the interviews. It was also one of the most important ways to rule out or misinterpret what the participants experiences were and to help eliminate any bias or misunderstanding (Merrial & Tisdell, 2016). After I completed all the transcriptions, I coded the four participant interviews that had volunteered for member checking and sent them their transcribed interview, their coded interview, and a memo of my analysis for their interview. I also sent a validation form (Appendix H) with suggested questions from Ravitch and Carl (2016) that could help them in the evaluation of my findings.

Data Analysis and Coding. The process that I followed during the data analysis was to first to record the interview and then transfer the interview. I used dragon software to transcribe the audio recording from the interviews. I then went back through to make sure the interview was correctly transcribed. I listened to the actual recorded interview and re-typed or spoke into a microphone to clean up the transcribed document. I also removed all identifying names, titles, or information so the institution and participants would remain anonymous. After transferring the interviews into a word document, I used coding to help me establish a clear pattern as I transcribed the interviewed data that was "repetitive, regular" and "consistent" (p. 5) and that appeared consecutively throughout the interviews (Saldana, 2016).

I hoped that because this study was based on the experiences of senior leaders, using codes would help me to confirm the descriptions of the senior leader's culture (norms, values, routines, and relationships) and then discern through my observations the meaning of their lived experiences. There are several methods for coding that involve either inductive (from the data) or deductive (from theory or other research) processes. I found that by using inductive coding, I was able to make sense of the transcribed data. I used the participants actual words to help me label segments of the data instead of creating my own words or phrases from the interviews. As a part of my preliminary coding process, I set up a provisional list of codes (Appendix G) before I went out into the field to conduct the research. Ravitch and Carl (2016) suggested to begin with a "start list" of codes that come from the "conceptual framework, research questions, and areas of interest" (p. 249) in the study. One of the two main elements that helped me to determine what type of coding to use for this study came from the design of my theoretical framework and the review of literature that was relevant to this study.

Because this study was based on two formal or established theories in the area of change management, my research questions, interview protocol and finally the coding method was formulated based on the conceptual framework established at the beginning of my study. The two theories shown in figure 3.1 proved to be unified in the stages of change and a key instrument for me to refer to during all phases of this study. Because the two theories were based on a planned approach to change and the individuals reactions to change, the coding method used would be the key to capturing the "natural coding," "indigenous coding," and the "participant-generated words from members" of the senior leaders I interviewed for this study (Saldana, 2016, p. 105). I started the coding by using an *open coding* process where I read through each of the transcribed interviews and highlighted sections by using different colors of highlighters. I first highlighted the descriptive nouns or noun phrases of each of the senior leaders' interviews. Blue was for the sentences in the interview when the experiences had to

do with descriptive nouns such as shock or denial, yellow described nouns of frustration, depression, or experimentation, and green was for decision, or integration. I also used magenta to indicate any outliers to be examined later in greater detail.

Figure 3.1
Schein & Schein (2017) and Kubler-Ross (1969) Stages of Change Relationship Model
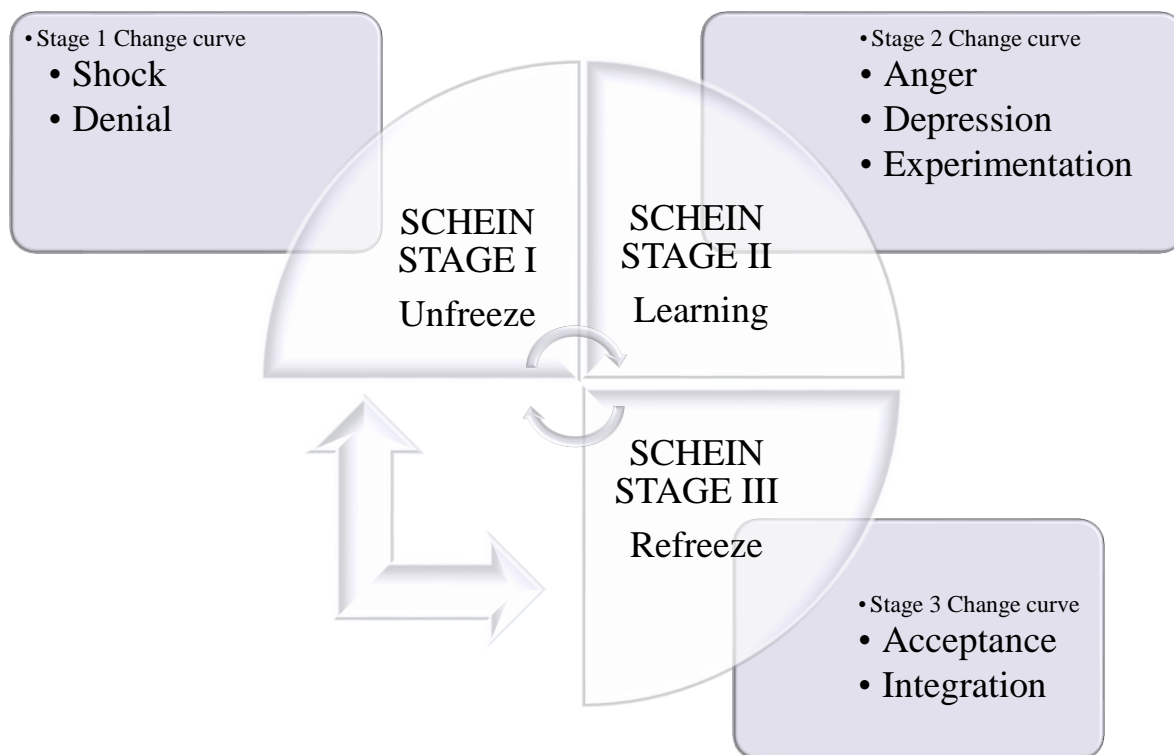
Note: *This model is based on the theorical framework and conceptual design of this study. The model clearly demonstrates the amalgamation of Schein and Schien's (2017) 3-stage model of change and the Kubler-Ross (1969) change curve. It provides an illustration of how they work together to provide a tangible guide to examine the different stages of change and the emotional reactions to loss demonstrated on the (grief) change curve.*

After going through all the transcribed interviews using open coding and highlighting chunks of data, I then chose the first cycle of coding. By matching the type of study (qualitative interviews) to a code that would be appropriate for my study or, "because each qualitative study is unique, the analytical approach used will be unique" (Saldana, 2016, p. 69). In qualitative research coding is used to "fracture" (Strauss, 1978, p. 29) the data and then rearrange them into groups that simplify the comparison between items in the same group. This regrouping aids in

the development of similar concepts (Maxwell, 2013). The first coding cycle that I chose was

under the elemental method called *In-Vivo Coding* (Saldana, 2016). I used in-vivo coding so I

could tune in to the participants perspectives and actions (Saldana, 2016). Often times in-vivo

coding is used by researchers when they want to precisely represent the participant's story or

their description of an event or experience. I felt it was important to record the participants exact

account and lived experiences prior to the presidential transition and then after the transition. By

using in-vivo coding, I believe that I captured the true meanings inherent to the senior leaders'
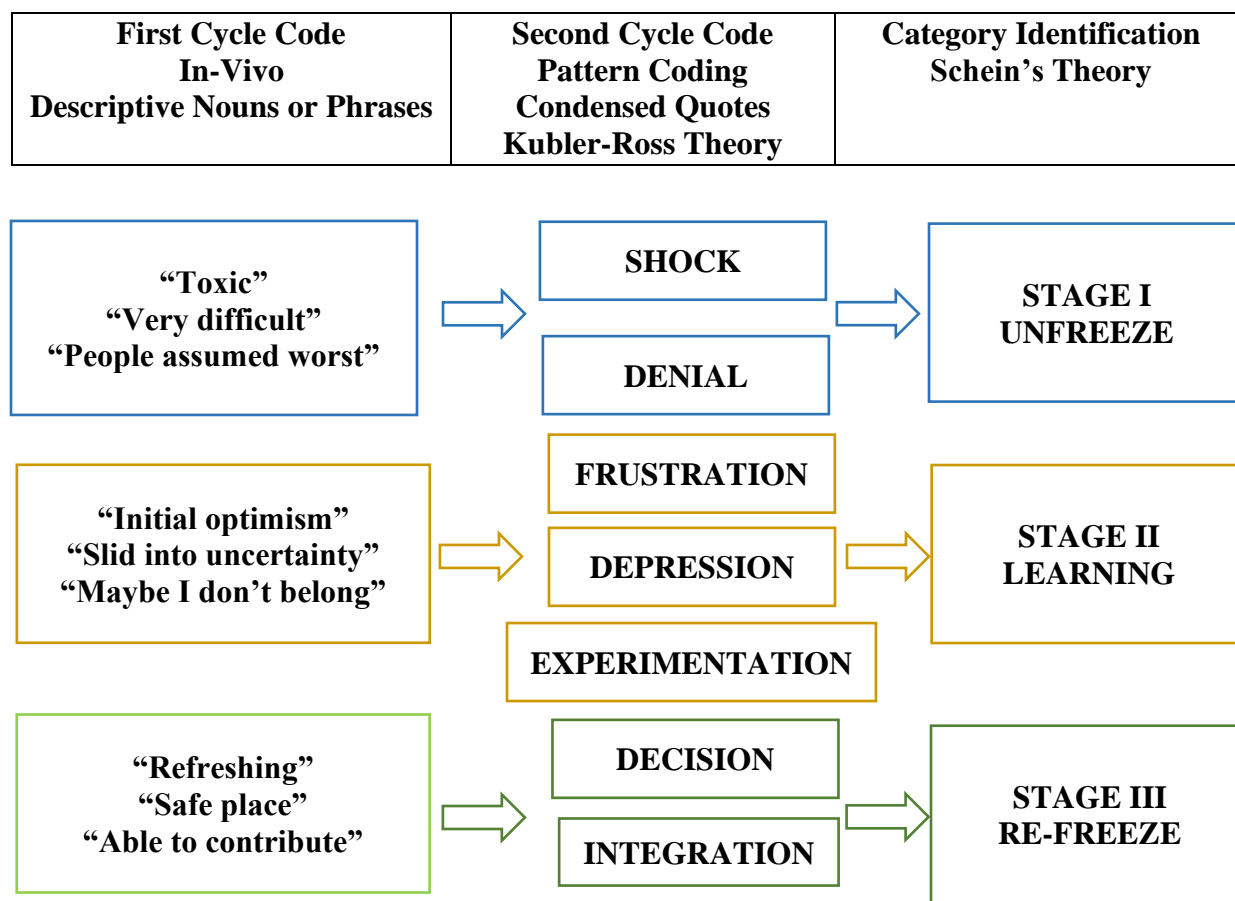
experiences (Saldana, 2016).

The second coding cycle I used was called "pattern coding," I used pattern coding to

"identify an emergent theme configuration or explanation" (Saldana, 2016, p. 236) and to

condense the large amount of participant data into a smaller number of chunked units for my

analysis. The use of pattern coding helped me to condense the large amount of data that I

gathered through the in-vivo coding into a more meaningful smaller number of units to help me

develop my major themes. I found that this second coding cycle helped me to start seeing the

patterns emerge of senior leaders pre-established subcultural and their relationships with other

senior leaders. Common themes also started to emerge from this second coding cycle, and it

helped me to move forward in my analysis (Saldana, 2016).

I was able to use a software program (MAXQDA) to help me make sense of the data and

then to analyze the patterns that emerged. First, I imported the two hundred and seventy nine

pages of transcribed interviews into the software and then pre-loaded the in-vivo codes and the

pattern codes into the program. After the two codes were programed into the software, I was able

to run analysis to help me make sense of the data. I chose the program to run the in-vivo cycle

coding with three different colors of highlighting (blue, yellow and green). First the in-vivo code

pulled large chunks of data that I could then condense and re-enter for my second level of

analysis for the pattern coding. I bought the qualitative analysis software to help me speed up

and ensure the accurate translation of the coded data from the interviews and to help me quantify the raw data. The second coding cycle was set up in the software to search for the in-vivo groups of data and group them by the themes that I entered in for the pattern coding. The themes that emerged from the data, I then grouped into categories to help answer the questions for my study. In figure 3.2 is an example of how I entered the codes, themes and categories into the MAXQDA software program:

Figure 3.2
Figure of the In-Vivo and Pattern Codes with Theorical Category's

First Cycle Code In-Vivo Descriptive Nouns or Phrases	Second Cycle Code Pattern Coding Condensed Quotes Kubler-Ross Theory	Category Identification Schein's Theory

"Toxic" "Very difficult" "People assumed worst"	SHOCK / DENIAL	STAGE I UNFREEZE
"Initial optimism" "Slid into uncertainty" "Maybe I don't belong"	FRUSTRATION / DEPRESSION / EXPERIMENTATION	STAGE II LEARNING
"Refreshing" "Safe place" "Able to contribute"	DECISION / INTEGRATION	STAGE III RE-FREEZE

Note: This is an example of the initial in-vivo coding cycle and the descriptive nouns and action verbs that were entered into MAXODA. The second coding was pattern coding and entered into the software to triangulate with the theory of Kubler-Ross (1964). After coding all the transcripts there were a vast amount of descriptive words that I entered into the software to help make sense of the data. The categories ingratiated smoothly with the theorical concept of this study: Schein and Schein's (2017) Theory of Change and the Kubler-Ross (1969) change curve.

After thoroughly examining the highlighted phrases, I used analytical theoretical triangulation to help me look closer at how the data challenges or supports Schein and Schein's

(2017) stages of change and the various stages on the Kubler-Ross (1969) change curve. I wanted to make sure that I viewed all the data and data sources in order to analyze what was going on with each segment and how to methodically answer my research questions. I chose to use a top-down approach to make meaning of the data by using a deductive process to analyze the findings with my two preestablished theories and my initial conceptual design. By using this deductive process, I carefully considered other sources, such as preestablished theories, past research and researched literature (Ravitch & Carl, 2016).

Theme Identification Techniques. Analytic themes or categories were developed from the codes after the interactive process of data analysis was complete. Some categories had groups of data that had been coded but, needed to be further divided into subcategories for more clarification (Saldana, 2016). The second coding cycle of pattern coding helped me to "identify an emergent theme configuration or explanation" (Saldana, 2016, p. 236) to condense the large amount of interview data into a smaller number of units. From the pattern coding, I developed themes and a code list (Appendix F). Ravitch & Carl (2016) describe data displays as a matrix or a way of displaying the information to help the researcher establish conclusions. A sample of the process that I followed was to first read all of the coded data, combine, revisit and recode the data with themes then develop memos from the coded data and write the story (Ravitch & Carl, 2016).

In order to enhance the validity of this study, I incorporated the process of data perspectival triangulation by including a diverse variety of perspectives from senior leaders throughout campus (Ravitch & Carl, 2016). I purposefully chose a range of leaders with different levels of authority and relationships who were in a variety of colleges, departments and programs within the university. I wanted to also intentionally include branch sites located in other cities to make sure I engaged in a rigorous pursuit of reliable qualitative interviews (Ravitch & Carl, 2016). Patton (2015) defines triangulation as the increase of "creditability and quality" by

dispelling the concern that a study, in any form, is only an artifact of one method, "or a single investor's blinders" (p. 245).

Reliability and validity. To make sure that my research was both reliable and valid, I set up a three-step reliability processes based on Creswell's (2009) recommended documentation procedures. First by recording the interviews using a special recorder, I was able to upload the interview onto my personal computer, open the dragon software and with a click, the interview was automatically transcribed onto a word document. I then used a headset with a micro-phone so I could correct any errors from the raw transcription that were not copied correctly. Next, I asked four participants to read through their transcribed interviews to make sure I did not make any obvious mistakes (Creswell, 2009). Third I wanted to make sure that my coding method was trustworthy. I went back to the transcribed interviews and compared the highlighted in-vivo codes and the descriptive codes that I had written and computed with the software. I then wrote memos about the coded data with the interpretations that I had assigned to each (Creswell, 2009).

To ensure that this study was credible, trustworthy and authentic, I also set up several strategies (Creswell, 2009). Creswell (2009) recommends using multiple strategies in order to "enhance the researcher's ability to assess the accuracy of findings as well as convince readers of that accuracy" (p. 191). Part of my strategy was to use member checks, rich, thick descriptions in the narratives and to clarify bias (Creswell, 2009). Member checks were conducted for accuracy of the interviews and the rich, thick descriptions were to share the recorded lived experiences of senior leaders during and after the transition (Creswell, 2009). I wanted to guard against researcher bias by including self-reflection and addressing bias throughout the methodology section so I could create an open and honest story that the readers could relate to.

Ethics, relational quality, and participants. When approaching this research project, I wanted to make sure that the participants were treated with a relational approach so that the they would feel comfortable talking openly during the interview. Ravitch and Carl (2016) writes

about the relational approach as a way to allow the researcher to be "open to critical self-reflection and change" (p. 34). This type of approach allowed me to be open and to acknowledge if there were differences between the experiences of myself and the participants in the study. I needed to allow myself to "become reflexively engaged in interactions with others" (p. 345). I emailed the informed consent form to the participant one day before the interview and included a letter of participation and the demographic survey. I wanted to make sure that the participant was comfortable with the research topic, that they were volunteering for the study and that they could stop the interview at any time.

I also believed it was important to make sure that the participants understood that ethics and anonymity was important to me and that all identifying information would be redacted from the transcribed interviews. Because the changes within the institutions were at a volatile point, I wanted to make sure I did not interfere in any current change processes or cause any discomfort for the participants. It was important to me to emphasize that the participants would not be identified by their name, position or role and that the institution would be kept anonymous. I also used careful security measures to protect the transcripts, recordings, coding, analysis and detailed study. All of the interviews were transcribed by myself and password protected on my laptop. Any identifying information or printed documents were kept at my home office and no other person had access. I plan to destroy all transcribed data and identifying information within a reasonable time after my dissertation defense in complete.

The role of the researcher. As the researcher in this qualitative study, I viewed the participants as experts in relation to their lived experiences (Jacoby & Gonzales, 1991; van Manen, 1990). I also believed that positionality and social locations were two vital mechanisms to enhance my study and it was central to understanding my role in the research and throughout the research process (Ravitch and Carl, 2016). Because I am a student within the university and I had access to senior leaders to conduct the interviews, I wanted to make sure that I paid careful

attention to my research processes. In order to guard against any biases and prejudices on my part I made sure to check in with the participants and to have an external auditor review my project who could provide an objective assessment of my entire study, including the coded data and themes.

Chapter Summary

The goal for this qualitative study was to discover the lived experiences of senior leaders who had participated in a recent presidential transition within a university. As most university presidents are nearing retirement (Stanley & Betts, 2004), this research can help to educate future transitioning presidents and their leadership teams. With the current studies (Jensen & Edmundson, 2002, Rowh, 2017) that provide details on how the university should provide leadership teams for presidential transitions, this study can add to the literature by painting a vivid picture of the experiences of these leaders after a transition. Senior leaders' experiences can go far in helping to identify strategies for incoming presidents and the transition teams who are affected by changes after new leadership.

My coded data was generated from senior leaders' interviews that took place during the months of November and December, 2019. Themes were then identified, and the data was loaded into a software program that helped me to quantify their responses and generate data analysis for the study. After creating a table with the codes and themes, a graph (Figure 4.1) was developed to identify the relationship between the senior leaders' experiences from Schein and Schein's (2017) model and the Kubler-Ross change curve (1969). This graph helped me to pinpoint what stage of culture change the institution was currently engaged in and what the senior leaders and their employees were experiencing at each stage on the change curve.

Chapter 4: Analysis and Results

As mentioned in the previous chapters, this basic qualitative study, which included 25 in-depth interviews, was conducted to document the lived experiences of senior leaders going through a culture change; after a university presidential transition. In this chapter I will provide a review by first explaining the significance of this study. Second, I will present the process of data analysis and third I will present the results. The themes, categories, theories and theory triangulation will be discussed throughout the results section. Finally, I will provide a conclusion of my findings.

Significance of the Study

This study is significant because without current qualitative data, academic transitioning presidents and their leadership teams would not understand how dramatically senior leaders, faculty, staff, and community partners can be affected by change. In any organization or institution, changes are inevitable, particularly when a new top executive is hired to lead the institution. In a capitalist economy such as the United States that is driven by free enterprise, change is constant (Hanna, 2003). Current Presidents leading universities face an increasing demand of their time and leadership expertise. The roles of the academic president have change dramatically and the modern president is now required to be a multidimensional leader. The new academic president must be skilled in the areas of business, communication, culture, politics, fundraising, industry, and transformational leadership (Gluckman, 2017; Fain, 2010). Weisman and Vaughan (2006) state that the current presidents that were born in the baby boomer (1946-1964) generation are retiring in large numbers at 84%. This will leave a big gap in this critical leadership role.

What this indicates for institutions is that there will be many new presidents in academic leadership. The participants in my study reported that all of the presidents in their state were new and have transitioned in within the past two years (Level 2 Senior Leader). During a presidential

transition it is inevitable that change or disruption to the normal processes, procedures, and/or human capital may cause individuals to experience emotions such as: shock, fear and anxiety. For an incoming president to carry out a smooth presidential transition, there is a need for her or him to understand how the institutions DNA, macro cultural and micro subcultures provide meaning and stability to their environment (Schein & Schein, 2017). The qualitative data from this study provided rich narratives and illustrated how difficult it can be to change an institutions deep embedded culture. There needs to be more research in this important area of presidential transitions and planned change.

Research Questions

The research questions for this study were triangulated with two formal theories and were carefully constructed to provide future transitioning presidents and their leadership teams with strategies to carry out a smooth well-planned transition. The questions in this study brought to light the phenomenon of culture change and a deeper understanding of the experiences of senior leaders after a transition to a new president.

1. How do senior leaders and deans describe a change in culture during a presidential transition?

2. What leadership practices are supportive of senior leadership and deans who are experiencing a presidential transition?

3. What are the observations of senior leadership and deans leading employees through a presidential transition?

Process of Analysis

I approached the process of data analysis with a planned and orderly examination of the data at various stages and times during the research process (Ravitch & Carl, 2016). By employing a general qualitative analysis technique, I was able to analyze the data as I collected it and then write memos after each interview, which included a brief analysis of my findings

(Ravitch & Carl, 2016). I wanted to interview the participants in their offices and in their daily work environment within the university. I thought this would help them to feel more relaxed and at ease with me as the interviewer. I also wanted to observe their culture (values, norms, artifacts) and the overall atmosphere within their units. I told each of them that I was going to ask the questions and try to listen to their experiences without interrupting them.

I noticed with most, but not all, at the beginning of the discussion they were a bit reserved; however, as the interview progressed, they began to open up and become more relaxed when describing their experiences. I began taking mental notes from the start of each interview as I observed each participant's overall stature and how open and/or how hesitant they were to answer my interview questions. Because I had gathered intentional data from my pilot studies, I was aware that the previous culture before the new president seemed model of hierarchy and tight control, I wasn't sure if the senior leaders would be comfortable speaking openly during the interviews. I wondered since the presidential transition had only taken place a short time before my study, if I would be able to observe a shift in the culture at the time of the interviews. These observations and field notes proved to be very helpful in the overall analysis of my study.

Because I wanted to examine the experiences of senior leaders during a presidential transition, my questions for the research and subsequent interviews were based on a 3-stage model of change (Schein & Schein, 2017). The interview questions were set up (Appendix D) following each stage of the change process. I knew before the interviews that the new president had transitioned into the role of executive leader only a short period of time before my study. When I interviewed the participants, I had approximated what stage of change the institution might be in. What I wanted to understand is what the experiences (based on the 1969 Kubler-Ross change curve) were of the senior leaders, faculty and staff during or after each stage of change. I also wanted to understand where the senior leaders thought they were in the change process based on Schein and Schein's (2017) change theory.

After the interviews, and as I began reading through and highlighting the transcribed documents, field notes, memos and codes, I was able to quickly set up a table that help me to make sense of the data and then triangulate the data with my two theories. In order to import all of the transcribed interviews into the qualitative software, I first had to combine them into one Microsoft word document. I could then import the completed transcribed document into the software on my computer. I started the data analysis by manually highlighting phrases or a string of descriptive phrases for the first round of in-vivo coding. I was searching for sentences and words or phrases that described the emotions and/or descriptions of the experiences of the senior leaders, faculty, staff and/or the community during each stage of change. Because I had two formal theories, I had pre-established categories, I just needed to establish the coded themes to help quantify my data.

Table 4.1 provides an example of how the second coding cycle was entered into the software; it was at this point during my analyses that I started noticing themes. According to Saldana (2016) the pattern coding helped me to find common elements among the chunks of data, which I then was able to transfer to the table that helped me to organize and match up the two change theories. Next, I entered the categories into the software based on the theories. I wanted to triangulate and fracture the data so I could then set up a graph. Table 4.1 helped me to pinpoint where the senior leaders, faculty and staff were in the change process based on the descriptions of their experiences and how they observed culture changes during the months of November and December 2019. The table also provided me with a simple way to match the data with the various stages of change and grief or loss that the participants described during the interviews.

Table 4.1

Table Identifying Themes and Descriptive Codes with Theoretic Categories

<u>Theme</u>	<u>*Descriptive Codes*</u>	<u>*Theme*</u>	<u>*Descriptive Codes*</u>
STAGE I - UFREEZE			
Stage 1 CC Shock	Tense, mistrust, upset, attacked, unfair, telling, animosity, tension	*Stage 1 CC Denial*	Defiance, not heard, blatant, anger, shock
STAGE II – LEARN			
Stage 2 CC Frustration	Hugh change, disbursed, setting a tone, tension, fear, jockeying	*Stage 2 CC Depression*	Silent, losing, critical, anxiety, horrible, negative
Stage 2 CC Experimentation	Intently watching, changing their tone, changing viewpoint, optimism		
STAGE III – RE-FREEZE			
Stage 3 CC Decision	Challenge, learn, nervous, curious, hang on, backup, struggles	*Stage 3 CC Integration*	Positive, communicate, supportive, heard

Note: *This is a small sample of the second coding cycle and the descriptive nouns and action words that I entered into MAXODA qualitative software. After coding all the transcripts there were hundreds of descriptive words entered into the software to help categorize the quantify the data. This table also illustrates the relationship between the two theories used in this study. Schein and Schein (2017) 3-stages of planned change and the Kubler-Ross (1969) change curve.*

After setting up the table, I thought it was important to quantify the data by providing a

graph that would pinpoint the current stage of change based off of the responses from the senior

leaders' experiences. While this study was limited by measuring a limited fraction of time

(November & December) during the change process, it still provided a vast amount of rich data

that could be entered into the qualitative software. I then copied the data out of the software and

entered it into an excel table and formed a graph (Figure 4.3). With the data from the table, the

interviews, memos and the graph, I had enough analysis that I was able to start writing up the

results for the study. The findings from the interviews and data analysis will be discussed in the

next section.

Discussion of the Results

The 25 senior leaders that agreed to participate in the interviews were located in various colleges and levels of authority throughout the university. Although I schedule a thirty-minute interview with each of the participants, some of my interviews were sixty to ninety minutes long, depending on the leader's level of frustration with the change process. I wanted to make sure that I used stratification when I selected the participants so the true proportion of the population were represented. I will first provide a Table 4.2 with a summary of the 25 participants that I interviewed before reporting the findings. It is important to note that because this study took place only a short time after the presidential transition, and changes were still being implemented, that the identities and leadership roles would be anonymous. Although there have already been many changes within the university, I realized as a student, there were still feelings of fear and apprehension among the employees. As the researcher and an outsider to the participants subculture and/or structural stability, I did not want the participants to feel vulnerable or be adversely affected by this study. I took great care to keep a high level of anonymity and to protect the participants identities. (Schein & Schein, 2017).

While it could possibly have been more confidential to use a quantitative survey for this study, it would not have provided the in depth understanding of the individuals, groups, and phenomena in their natural setting. The thick, rich description from the interviews helped me to contextualize and reflect on the meanings of their lived experiences of change during and after the transition (Ravitch and Carl, 2016). The stratification and levels of authority for the senior leaders interviewed were: Vice Presidents, Associate or Assistant Vice Presidents, Deans and Interim Deans, University Business Officers, and Directors. Some of the leaders were in interim positions and I will refer to the positions of leadership as stratum level 1,2 or 3 in table 4.2. I initially identified the senior leaders through an institutional organization chart with the help of a gatekeeper who was also a stratum level 3 leader. I wanted to make sure I included leaders that

were in the stratum levels 1, 2 or 3 and that they were spread out within the university by varying

levels of support, authority and departments. While one leader may supervise faculty, staff and

student employees another leader may supervise only staff and student employees or just staff.

Table 4.2

Table of Participants – Senior Leaders

Hierarchy	Gender	
	Men	**Women**
Stratum Level 1	7	*1*
Stratum Level 2	6	2
Stratum Level 3	4	5
Totals	17	8

Note: *This is a table listing the statistics of participants that volunteered to be in my study. I contacted over 40 senior leaders at different stratum levels of authority through the university for the overall population sample.*

I wanted to interview enough senior leaders that were diversified in their supervision to get a complete picture of the experiences that represented the majority of employees within the institution. Another interesting note is that the senior leaders that did agree to participate in my study were more men than women, by just over 50%. When I originally contacted the 40 senior leaders to ask for their participation in my study, I made sure to invite an equal number of women and men leaders. Because this study is based on a cultural phenomenon, it may or may not indicate an unnatural event. I speculated before I began my study whether I would have more men or women leaders who would be willing to participate.

Once again, I questioned if there would be a hesitation based on the remnants of the previous authoritative culture not only for leaders that are women, but for leaders that are men as well. I had also received feedback from my initial pilot studies that there may be some hesitations of senior leaders talking opening or even agreeing to the interview. However, when I conducted my interviews, I found that both the women and men leader participants were equally expressive in the stories and narratives when describing their experiences. In the next section I will provide in more detail the themes and categories that emerged in my study.

Themes and Categories

During each interview, I noticed that the participants took their time responding to the questions and it depended on the type of question that I was asking. Some of the leaders during certain questions provided a more complete or thorough response than others. It seemed to depend on what kind of change they and/or their department were currently experiencing or had already completed. Because the actual transition of a new president had taken place only a short time prior to this study, some of the participants provided more detail about their experience before the transition, and others talked more about what they were currently experiencing. During each interview, I wanted to make sure that I paid special attention to, and engaged with, each participant as an expert in his or her professional position. It was important for me, as the interviewer, to pay careful attention to the leaders as individuals and the way they expressed their opinions, feelings, and ideas (Ravitch & Carl, 2016).

In order to gain their trust and secure an open line of communication, I began each interview by explaining the two theories for my study and clarifying that my questions were designed around Schein and Schein's (2017) theory of culture change. I also explained that we could stop the interview at any time if they did not feel comfortable with the questions. I thought it was more important to gain the participants trust during the interviews, rather than collecting data for my study (Ravitch & Carl, 2016). The leaders' experiences were mostly optimistic; however, some of them that were currently in the middle of change, shared comments about their frustration and uncertainty. All of the leaders believed that the institution was heading in a positive direction and they expressed an overwhelming sense of loyalty to the institution, to the individuals in their subunits, and for the overall goal of serving students. Even during the highest amount of anxiety and stress voiced by the leaders, they all articulated confidence and took personal responsibility to help move the university and their subunit forward.

The three research questions for this study are what guided me to ask certain semi-structured interview questions based on Schein and Schein's (2017) change theory. Also examined were what senior leaders have experienced, or are currently experiencing, as leaders through the change, and how those experiences relate to the Kubler-Ross (1969) change curve. The first interview question was designed around the experiences of senior leaders before and after a presidential transition. This first research question was based on Schein and Schein's (2017) Stage I of the process of change or unfreezing the institution. It was clear in these interviews that there was disconfirmation, described by Schein (1996) as a desire or call for change. The new president had already transitioned into his role, but the old culture still loomed and employees showed signs of not having "the option to leave," and there was some "turnover," and people "were so burnt out."

Stage I Unfreeze - Shock and Denial

Before transition. Many of the participants described the institution before the transition as not having a clear direction and everyone following their own path with no clear rules or regulations. One of the most telling accounts of the prior atmosphere on campus was when one leader described it as treading water and not drowning or being adrift on a lifeboat and "we all dig in and paddle like crazy with our hands and then we just went back to drifting until we got to the next place" (Level 2 Senior Leader). Martin, Samels and Associates (2004) write about the signs that clearly indicate that there is a need for a change in a university president. They list a couple of the signs as being simple and absolute but they do not often become obvious until it's too late. The first indication is when the president is at a visible age of retirement and the second is when he or she has reached a state of exhaustion. Neither one of these signs are easy topics of conversation for leadership and can go unnoticed until it is too late.

Other indicators of a need for presidential change is when the burdens of university improvement and innovation cause obvious fatigue and projects are delayed. A decline of trust

for presidential leadership from faculty causes tension, and the pressure of philanthropic activities required of the president causes apathy (Martin, Samels & Associates, 2004). During this part of the interview, it was clear that before the transition, the senior leaders believed that faculty were angry, and they felt like their voices had been silenced by the prior president. Prior to the transition, there was a feeling on campus that the departing president was on his way out so he "is far removed from our issues" (Level 3 Senior Leader). Many of the participants indicated that the Provost was making many of the day to day decisions on campus and that "shared governance wasn't supported" (Level 3 Senior Leader). The president had dissolved the faculty constitution and senate and there was a "feeling of discontent with our faculty" (Level 3 Senior Leader). There didn't seem to be a lot of optimism for the future and many of the faculty and staff "adopted a wait-and-see attitude" (Level 2 Senior Leader).

After transition. Many of the participants said that there was such a desire for change that after the new president was hired and transitioned into office, there was a "sense of optimism and hope on campus that we're moving in the right direction" (Level 2 Senior Leader). It was believed at this time that not all faculty were fully on board, but the level of communication had greatly improved and the message coming from the new president was transparent. The participants talked a lot about how the faculty and staff were watching and listening to see what changes the new president was going to make. During one of the interviews a senior leader talked about how the conversation around the community had changed after the transition and instead of the negative questions and remarks people usually made, there were mostly positive questions, "I think that's a good indicator that people's perception, negative perceptions of the institution may be tipping the other way" (Level 3 Senior Leaders).

After the transition and during the time of this interview, not all senior leaders were happy with the new changes. If they were negatively affected by the current changes there were comments like, "I think it started off good, now I'm seeing cracks in the dam" (Level 3 Senior

Leaders). Most of the comments were the leader's reactions to a change in their reporting structure, or new project reports that they did not fully understand or they were no longer being included in meetings that they had once attended. So, the dissatisfaction was due to something personal affecting them, their job, job structure or something that had affected their subunit that was a big change. It is important to note here that for many individuals or leaders going through institutional change, they may be experiencing several parallels of the change that are overlapping each other.

With more change being implemented before they had time to process the first cycle, it can be overwhelming and lead to anxiety. A second element to consider is that the emotional cycle that the leaders or employees were experiencing at work can cross over into their personal lives. One leaders' comment was, "I went through physical illness and I know others got sick, physically sick, others that were not able to sleep at night, I was not able to sleep at night, because I'm not doing what they want" (Level 3 Senior Leaders). Theories on organizational effectiveness stress the importance of teaching culture intelligence and setting up *culture islands* (p. 120) so that the communication remains open vertically and laterally. Most important is to set up cultural boundaries from and between individual units within the institution (Schein & Schein, 2017). The importance of teaching culture intelligence and developing training programs with psychologically safe places like culture islands will be discussed in the implications section in chapter 5.

Shock and denial. The reoccurring themes that emerged from the data in Stage I were: anger, toxicity, and fear. It was not a surprise to observe those type of descriptive words and phrases surface in stage I of Schein and Schein's (2017) model of change. When the new president was hired common preliminary changes, such as the president's cabinet, forced the institutions culture to unfreeze. There had been such a desire for change from internal and external constituents (senior leaders, faculty, staff and community) that a call for new leadership

created enough disconfirmation and motivation for change, the resistance to the culture change was minimal. It was during this stage in the transition that the leaders described experiences related to shock and denial.

Shock and denial as described by Kubler-Ross (1969) are usually noticed during the first stage of change within an institution. Often times individuals will express anger, anxiety, apprehension or even high motivation during this stage of change. The interview questions in Stage I were framed around understanding the culture before and after the president transitioned. Was there a need for change? Was there a desire for change? What about after the new president took office, what was the culture like now? In order to understand if there was enough motivation for change, there needs to be disconfirmation or a desire for change. Without hesitation most of the senior leaders said that there was a desire for change within the institution. When describing the culture prior to hiring the new president, a majority of the interviewees said that the atmosphere was "toxic," "very difficult," and people were "angry" (Level 2 Senior Leader).

Because this study was conducted a short time after the new president transitioned into the role of academic leader and during the time of this interview, there didn't seem to be a lot of shock and denial that still remained in the units after unfreezing the culture. The literature shows that during the first stage of change is when individuals usually experience shock or denial and it is usually not for very long. Most individuals put on a temporary defense mechanism and they take time to process disturbing news (Schein and Schein, 2017). They may not want to believe that the change is taking place and it can affect work relations and the ability to think or act. After the initial shock is gone, the individuals may focus on the past and some people may stay in the shock and denial phase for a long time or lose touch of reality (Kubler-Ross, 1964).

Several of the senior leaders said that they believed there was such a desire for change that by the time the new president took office, most of the employees were optimistic and

hopeful and ready to move on to Stage II: learning new concepts, meanings and standards (Schein & Schein, 2017). However, there were a few instances when the employees experienced shock and/or denial even a year and a half after the transition occurred. One leader talked about a long-time employee that had either retired or left for unknown reasons. The leader's comments about the employee's reactions after losing a long time college was, "the initial optimism and happiness and even joy, I would say, gave way to a lot of fear and uncertainty." "It made them angry because these people that they knew and cared about and had been in the trenches with," (Level 2 Senior Leader) were gone. The leader said that "losing some of those people had to happen, but the collateral pieces of that, the people affected by that, deeply affected them" (Level 2 Senior Leader).

Often times during presidential transitions, the people in the positions closest to the president are replaced by someone new. Martin, Samels and Associates (2004) wrote that when a new president transitions into the office, it is imperative that they establish a power base to separate incompatible colleagues, even if they are high-ranking administrators. They also advised the new president to build a strong power base and not be afraid to dismiss people during the earliest part of their presidency. When asked about the current culture after the president transitioned into the role as the academic leader, the majority of leaders said that the change was positive and that there was a new hope, optimism and even joy within the units and subunits. During Stage I of change there is sometimes a learning anxiety that can cause resistance to change.

Because the new way of thinking, behaving, and feeling may be difficult to learn, employees may resist change (Schein & Schein, 2017). When asked if the leaders had noticed any resistance to change in their faculty, staff, or other senior leaders, a few of them said they did notice some resistance. One leader said that there was some resistance because the new president was "doing new and different things. I mean from the people that he's hiring to some of the

changes internally that he's made" (Level 2 Senior Leader). Some of the other responses were that "people are just afraid of change" and it is "just a little confusing because everything has not been laid out or explained" (Level 1 Senior Leader). Other leaders said that they did not notice any resistance to change within their unit or subunit. In an article by Levine (2017) he writes about how leaders must not be afraid to share information with their employees and to make sure that the message is repeated several times. Levine notes that it generally takes at least seven times for people to hear the message before they remember it.

Stage II Learning - Frustration, Depression and Experimentation

The second research question was designed to understand what leadership practices were most supportive of senior leaders who experienced a presidential transition. The interview questions were formulated based on Schein and Schein's (2017) Stage II level of change: learning new roles, trial and error learning and leadership practices during the transition. At the time of this interview, the new president had been in his role for only a short period of time. It was clear by the analyzed interview data that most of what these senior leaders were (during the day of their interview) experiencing was hope, trial and error learning, and learning to trust the new leader. In this stage, a senior leader talked about how people "were encouraged" and felt "a ray of sunshine," but when change happened their joy gave way to "a lot of fear and uncertainty" (Level 2 Senior Leader) in some cases.

According to the Kubler-Ross (1969) change curve it is important to support the employees in the process of change especially when the individuals are going through a traumatic transition in which they are losing a lot of power or status issues. It is also imperative to understand that most of the employees do not move through the stages of change in a linear direction or step by step or at the same time as the executive leaders. As with grief, changes in an institution can cause the employees going through the change to move into the different stages in a random and unpredictable order. Communication is the most important piece of any change.

For the leaders that are initiating the change, they are usually further along than the followers in the emotional, behavioral, and intellectual stages. Generally, the leaders have already moved into the acceptance phase; however, their employees may just be entering the transition phase and may be at a different emotional place along the change curve (Schein & Schein, 2017).

When asked about the leadership practices that were most accepted by faculty, staff, and senior leaders, the first answer was the new communication from the president. One of the first changes the president made after he transitioned into his leadership role at the university was to start a new branding campaign through the marketing department. "Very clearly a priority of the president when he came in" was to introduce the importance of "branding not only to staff, faculty and students, but to outside stakeholders" (Level 3 Senior Leader). The participants also talked about how the president was making himself available and sending out a weekly communication by email and holding open forums. Figure 4.3 provides a graph and a snapshot in time of the senior leader's experiences as grouped data gathered and analyzed from the interviews conducted during the months of November and December, 2019.

Although this graph represents the experiences and emotions of senior leaders during a culture change, it is the unification of two distinct formal theories in change management. As noted in Appendix G on the Kubler-Ross (2969) change curve, depression, experimentation and decision are often seen at the bottom of the graph and during the low morale and firmly in the middle of the change process based on time. In my analysis and in relationship with Schein and Schein's (2017) 3-Stage theory of change, the data shows a steep positive jump into the experimental stage of the change curve and very clearly into stage II of Schein and Schein (2017) change model. While this could possibly be predictable based on the period of time that had already lapsed since the transition, it may also show a positive move toward higher moral and eventual movement into the final stage of change.

Figure 4.1

Graphed Responses from the Participants
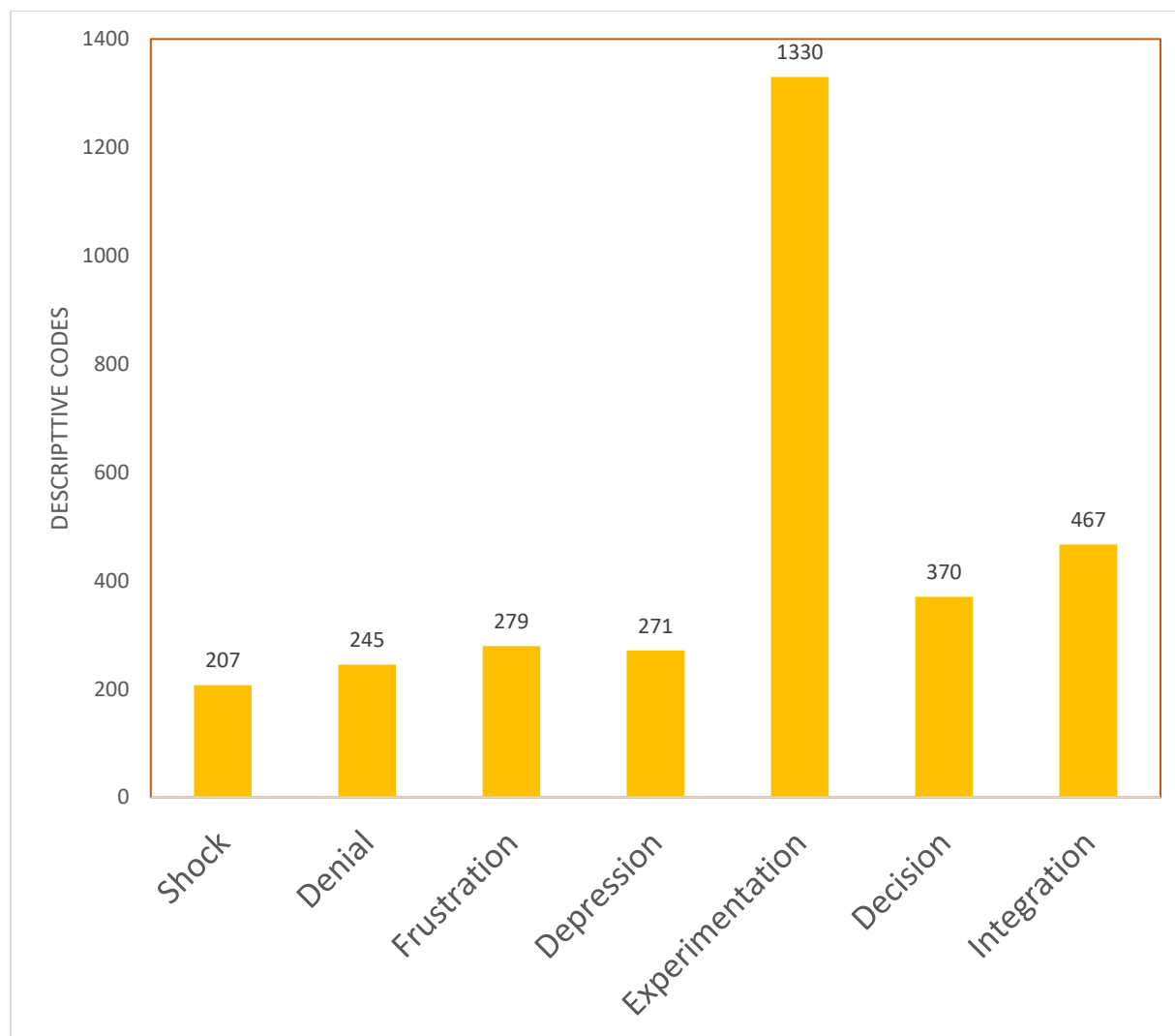
Note: *This is a example after the second coding cycle and the action verbs that were entered into MAXODA. After coding all the transcripts there were hundreds of words that were entered into the software to help categorize the data. I then loaded the data into excel and graphed the results.*

Frustration and depression. As you can see from the graph, the experiences of the

senior leaders after the presidential transition was the most pronounced in Stage II of Schein and

Schien's (2017) model of change. At this institution, the transition to a new president had already

taken place and many of the experiences from Stage I were not as noticeable. Most of the lived

experiences were under the experimentation level of the Kubler-Ross change curve and firmly in

Stage II. Some of the descriptive nouns or noun phrases used to define the current environment

were: "we're changing the way we do business in a lot of ways," "a little bit entrenched sometimes," "to provide some stability is the right thing to do for our students" (Level 1 Senior Leader). There are two mechanisms Schein and Schein (2017) suggest during Stage II when individuals are learning new culture (behavior, beliefs, and values): 1) they tend to psychologically identify with a role model in order to imitate their behavior, and 2) then by observing their environment they repeatedly invent solutions for learning by using trial and error techniques.

The two questions that were asked during the interview for stage II were centered on leadership practices that were most accepted by senior leaders and trial and error learning tools or techniques implemented during the change process. It is during this stage of change Kubler-Ross (1969) explained, that employees finally realize that change has hit them and they understand the significance of the situation. It is in this stage of change that the individuals may become angry or look for someone to blame. The anger may be manifested in irritability, frustration, depression or even short tempers. Although there were more descriptive phrases expressed by senior leaders of frustration than depression, these two experiences seemed to be evenly observed. When describing the senior leaders' experiences with frustration before and after the transition, they talked about how their faculty, staff or other senior leaders felt like they were not being heard by the administration during the implementation of some changes.

One of the most frequently noted changes that was a source of frustration and depression for most of the senior leaders came early on after the new president was transitioned into office. There was a major remodel or reorganization of executive personnel. The biggest frustration voiced from the senior leaders was when key personnel were moved out of their current location and "dispersed into their units" (Level 1 Senior Leaders). Many of the senior leaders said that this change affected a lot of individuals within the university and there was a lot of shock and frustration because they didn't understand what was happening or why, and that the change

happened very fast. An important note as observed by Elrod and Tippett (2001) is that during any change process, someone loses something, and the example of the loss can include breaking ties with co-workers through a relocation. One of the senior leaders expressed that, "in all those cases, the executives are not near the president physically, where they used to be, they've been dispersed into their units. So, I think that's setting a tone of the president wanting those executive positions to be in full control of what's happening in their areas" (Level 1 Senior Leaders).

In this part of the change process, there seemed to be a perceived lack of communication. One of the comments was that "people do feel better and change is better accepted and received if people understand the connection to the mission and when it is perceived as being this is necessary for the health of the institution as a whole" (Level 2 Senior Leader). Another senior leader explained how not having the "luxury of time, sometimes change just has to happen and that blunt force, it's difficult, sometimes it's necessary, but it is difficult for people" (Level 2 Senior Leader). At times the frustration would lead to depression in some individuals and under certain circumstances.

Depression was usually manifested when an individual was experiencing fear and/or anxiety, when they did not understand what change was going to happen, when the full picture of change was not clear or when they felt like they were going to lose their job. One leader explained that when changes are significantly different than the way individuals were used to doing business, sometimes the shock and denial causes them to become depressed even when administration has "explained why" (Level 1 Senior Leaders) the change had to happen. Other times depression manifested itself when the change happened within a specific department. The closer the change was to the affected departments, the higher the frustration and depression was. There were often feelings of "wondering, is this job really for me" (Level 2 Senior Leader) when the change affected the individuals directly.

Throughout the change process, frustration and depression were most noticeably present when a big change took place and people were not fully prepared, felt as though they were not in on the planning, or felt like their individual departments were affected. Although the majority of the individuals in the university seemed to be in Stage II, the experimentation stage, there are times that they go back and forth to shock, denial, frustration and depression. This depends on how close the change is to their department. If change does not affect them directly, they do not seem to experience frustration or depression. The majority of the senior leaders expressed that individuals in the university seemed to be operating in the experimentation stage. New processes and procedures have been implemented and people are learning and experimenting with the change.

Experimentation. In the institution when individuals are at the experimental stage they are learning new processes and ways of doing things and may not always be comfortable at this stage of change. Often stuck between stage 3 and 4 on the change curve, they may believe that there is no way out of the situation, which can prove to be difficult (Kubler-Ross, 1964). Some may be ready to move ahead and give their best but, could still have low energy and there may at this stage be signs of low production. There may be other individuals that show signs of embracing change and have new hopes and aspirations. At this point administrators may possible see signs of moving forward and production could start to improve (Kubler-Ross, 1964). Caution should be exercised by the change leaders during this time as any new or sudden change may cause the employees to fall back into shock and/or denial, depending on the type of change.

In my analysis and under the experimental category of Schein and Schein's (2017) Stage II change model, the theme of communication emerged as the most significant current leadership practice accepted by senior leaders, faculty, and staff after the transition. Martin and Samels, et al (2004) stress the importance of communication during a presidential transition. They advise that leaders should have talking points planned out and developed in advance by the incoming

president and his or her team, and in cooperation with the public relations officer. It is during this critical time that everyone associated with the institution (faculty, staff, students, and the community) will be talking about what is happening. These communications are designed to address the uncertainty that all constituencies are feeling before and after the transition (Martin & Samels, et al, 2004).

The following were the most prevalent examples of new communication strategies after the transition: coffee with the president, coffee with the VP, a monthly letter sent out from the president to all of campus, a weekly digest that is sent out by email, marketing and budget communications. One comment from a senior leader about these communications was, "we are getting this idea of regular communications from the new president, it's something that we're all growing accustomed to and appreciating" (Level 3 Senior Leaders). One leader also commented that sharing the message through faculty to upper administration has become very important so that the lines of communication continue to become more transparent and clearer. "Transparency seems to be a big buzz word for people to feel comfortable with the change" (Level 2 Senior Leader) and too much information can also be debilitating, so the change and the communication has to be a slow process.

Another theme and reoccurring topic of change under experimentation was *positivity*: "positive tools," "positive change," and "it showed a positive light." Even during the more difficult changes, the senior leaders mentioned that the president "conveyed his message of change positively" (Level 2 Senior Leader). One of the first and most talked about changes that seemed to make a substantial impact across campus was when the president set up project charters. Mentioned by the participants as, "now a part of our job" (Level 1 Senior Leaders) are the college or departmental projects. The projects were set up by the administration to make a "substantive change to the university and will move us forward and impact our students" (Level 1 Senior Leaders). The projects are goals assigned to various units within the university that have

specific timelines and priorities. "We have to analyze and complete a project charter of all our steps, our key points, our deliverables, our estimated date and we have to meet those dates, so we spent a lot of time analyzing and reporting" (Level 2 Senior Leader). "So, this is different, it's a hard change I think, because I can see the usefulness of it, but it takes a lot of time too" (Level 1 Senior Leader).

A second experimental and/or trial and error learning change was in payroll processing for employees. The senior leaders in this study suggested that this process or procedural change did not seem to distress any one department, was positive and seemed to be an easy fix that did not take a lot of work to implement. This type of procedural change seemed to be easily accepted by most employees, if it made sense and was a positive fix for the overall health of the institution and its employees. It should be stressed here that the department that managed payroll was not interviewed in this study and they may have a different experience with this change than other departments. The change in processing payroll was considered by one leader as taking care of the "low hanging fruit" (Level 2 Senior Leader). Another comment was, "we report our time and we don't have to prove anything, wow that made our life easier, that's a good thing, I can go, that made me feel like I was trusted more, that's a good change" (Level 3 Senior Leader).

A third theme that emerged from the category of experimentation was *openness*: "we are open to listen," "we are open to change," "open door policy" and "open communication." These were a few of the many phrases that senior leaders used to describe some specific departmental changes that impacted faculty, staff and senior leaders. This is another example of how change can first cause shock, frustration, depression and lastly experimentation. Another one of the first changes the president identified was a process and procedural change to the travel system. The change in the travel system caused some shock, frustration and depression upon the initial announcement of the change specifically for the individuals that worked in the department.

Prior to the president being hired, the travel department had already gone through, "three different travel implementations" (Level 3 Senior Leader). When it was announced from the president that, "there was a serious problem on travel" (Level 3 Senior Leader) and a consultant was hired to oversee the travel system, it was a bit of a shock that manifested into some frustration and depression for the employees who had been managing the travel system for many years (Level 3 Senior Leader). Following the Kubler-Ross (1969) theory under the different stages in the change cycle, when the employees are undergoing change or trying to adapt to something new, they may need time to adjust and may even deny that the change is happening.

With time and communication from their manager, the situation starts to settle in and reality may turn to fear, anger or resentment. They have enjoyed a zone of comfort for a long period of time and it is a natural reaction, with time and constant communication this stage can transition into the experimental period where the actual learning takes place. Although not easy for all employees, the learning stage, if provided with training, can move the employees forward. Finally, in the last stage of the Kubler-Ross (1969) change curve, the employees start to feel hope and embrace the change and with the guidance and open communication from their managers, there is positive improvement to the morale of the team and overall productivity improves (Kubler-Ross, 1969). The positive outcome of the new travel system was that the department leaders and off campus hired consultants met with the employees and focus groups on campus and everyone felt like they were being listened to and were in on the changes. The perceptions of resistance transformed to "willing to make adjustments" and the changes were then accepted university wide (Leve 3 Senior Leader).

Another difficult change that many of the leaders talked about was a restructuring of the financial and budget department and a new budget model. A lot of change happened quickly and beyond the strategic restructuring of the finance and budget department, the entire budget process was under reformation. When explaining the situation in the finance department one

leader expressed that "they were further down the rabbit hole than everybody else, they were so entrenched in their processes, it's going to be harder for them to move forward" (Level 3 Senior Leader). The old system did not provide all academic units with a budget so many of the leaders believed there should be a change in the budgeting process. During this phase of the change process one of the senior leaders commented that because the president communicated openly about the budget, it was easier to accept. "The new president took responsibility for something that wasn't really his area. He said I'm held responsible because we did not communicate that we don't have budgets" (Level 3 Senior Leader).

Schneider and Goldwasser (1998) stress the importance of the leader being upbeat, enthusiastic and engaged; by showing how important the change initiative is to them as leaders, they "can be sure that it will become a top priority for employees as well" (p. 1). Although the president did send out a detailed message that the budgets were going to be restructured, it seemed like people were still a bit frustrated by the process. When the changes did start happening with the budgets, it seemed to be a very painful process and many leaders, were once again experiencing some frustration. One senior leader commented that in the particular department that oversees the budget they were frustrated with the new model: "the subculture within the budget area thought that the previous way was the right way to do it and this change is new and scary too. No," they thought, "it's wrong" (Level 2 Senior Leader).

The president also is also restructuring the yearly budget proposals and moving them away from the business officers and more to the Deans of the colleges as he wants to make them responsible for their budgets. "They propose the budget to the president for his approval, didn't want it to be just a small select group" (Level 3 Senior Leader). They also bought software that would help create finance reports so that all colleges would be able to pull the same report. A lot of the change has been positive, but there were still a lot of emotions during the experimentation stage of change. There seems to be no way to avoid the anguish of change as all programs will

experience some loss. The best way for an institution to transition into stage III is for leaders to provide the right kind of communication, information and motivation and hopefully within time the employees will move into the final stage III of decision, integration and acceptance (Schein & Schein, 2017).

Stage III Re-freeze - Decision and Integration

Question three was: What are the experiences of senior leaders leading employees through a presidential change? Stage III is generally when new learning has taken place and the employees are not experiencing the emotions of change on a daily basis. Have the senior leaders internalized the new concepts, meanings and standards, has the culture been accepted and is it firmly in place so it can be refrozen and maintained? During this interview, it was clear that the institution was not ready to refreeze and refreezing may be a few years off. "I feel like we're still unfreezing just because there's so many things that are in motion that we're undoing" (Level 3 Senior Leader). Several leaders reported there has been a lot of progress at the subunit level and trust has firmly been stabilized, which has led the way to new norms and values. Although some of the leader's subunit changes are complete, at the institutional level there are still many changes happening on a daily basis, such as the final complete overhaul of the budget department, budgets and budget processes for the university.

Although most of the leaders' experiences reflected stage II as expected, there were some experiences that could be interpreted as stage III: refreezing after changes, adopting the new culture, and learning agility (Schein & Schein, 2017). This is the category (acceptance and integration) that I highlighted as outliers during my analysis because it was unforeseen to me as the researcher. I did not anticipate pieces of the culture to be in stage III of the change process and ready to be refrozen. Lewin (1947) believed that any new learning was not stabile until leadership could document actual results. One of the participants stated, "what you have to build is a repulsive culture" (Level 1 Senior Leader). "You build that culture and you get it strong

enough, pretty soon it is repulsive to negative things that will tear it down" (Level 1 Senior Leader). It is important that leadership does not celebrate too soon until the actual results are firm. Schein and Schein (2017) explained that if the new learned behavior does not show better results and it is perceived as disconfirming, it may lead to starting over with a new change process. Because human systems are hypothetically in continuous flux, the more energetic the environment, the more there may be a call for change and new learning processes on a continual basis.

In stage III of the change model and stages 4 and 5 on the Kubler-Ross (1969) change curve, administrators are finally comfortable with introducing new changes continually into the workflow. The employees are embracing change and they are starting to build new hope and optimism. In this stage it is time to celebrate and expect to see an increase in yields. In some of the interviews, it was clear that as a subunit, the leaders had already made changes and were refreezing segments of their department's new norms. "I would say the vast majority of them at this point are ready to go and they are past that point of being frustrated and uncertain. They're really on board with how can we contribute" (Level 2 Senior Leader). The interview questions were geared toward how the leaders had guided their subunits through the change, what the employees' reactions to learning new concepts were, and how leaders' relationships to their faculty, staff or other senior leaders had changed after the transition to a new president?

In this section of the interviews, under the category of decision and integration, there were themes such as *talking:* "we talk every day," "we e-mail every day," "just go talk to him," "here's what we talked about," and "I'm trying to reach out and talk to them." Most of these senior leaders had already been working on building up, or had built up, their subunits so that they had an established an open line of communication. Many of them had already gone through change in their department and had shared experiences in which they built trust as a team. One

would speculate that these experiences were then transformed into a belief, value and norm because of a repeated positive outcome (Schein & Schein, 2017).

A final outlier or unexpected result that seemed to be embraced by employee's campus wide, was the open-door policy established by the new president. Many of the participants said that from the first day the president took down all the security in the presidential suite and "opened his door and jammed one of those door stoppers to show that his door was open" (Level 3 Senior Leader) we started to feel optimistic. This one act was interpreted as a positive action taken by the president and "I heard multiple buildings away that that had happened. I was not working in that building at the time, but I had heard about it within days" (Level 3 Senior Leaeder). As described by Schein and Schein (2017) none of the change will lead to a permanent culture change unless the new norms, values and beliefs are accepted and work better than before the change; then the new shared experiences can be accepted as conclusive.

Conclusion

It was clear from the senior leaders' interviews that the presidential transition within this institution impacted the faculty, staff, senior leaders, and community in multiple ways. Culture within an institution and/or organization is comprised of a macro culture at the university level and many subcultures within divisions, therefore culture change is not an easy process. Looking through the lens of Schein and Schein's (2017) change model and the Kubler-Ross change curve helped to explore the experiences of 25 senior leaders and their subunits during the months of November and December, 2019. While this study consisted of interviews from a small fraction of time in comparison to the entire transition process, it contains rich details about the lived experiences of senior leaders and their teams of faculty and staff.

It is important to understand that culture change within an institution affects senior leaders and their subunits and they will be experiencing varying degrees of reactions during the change process. Sometimes even when the leaders prepare for change and communicate the

change in advance, individuals will react and experience various stages of grief. It was clear that all of the senior leaders in this study experienced all five of the stages of grief at one time or another during the short time after the president transitioned into the role of senior administrator. In all of the interviews, senior leaders referred to communication as being the most important leadership tool to help in a smooth transition. In almost all instances when the leader was going through shock and/or frustration it had something to do with a lack of communication or not enough communication.

Chapter 5: Conclusions, Discussion and Implications

In this chapter I will provide a summary of my study including the problem statement, the methodology, and a synopsis of the results of the study. I will discuss the importance and implications of the study and how Schein and Schein's (2017) change model and the Kubler-Ross (1969) change curve impacted, enriched and completed the study. These two theorical models can be easily incorporated into future research and the size of the institution is not significant. Because these two theories were based on culture assessment and planned culture change, it is not the size or financial structure (private or public) of the institution, but the examination of the change process. I will also discuss the impact that change has had on senior leaders, faculty and staff at this institution. Finally, I will conclude by suggesting further research and how this study contributed to the field of academic transformational leadership and change management. I will also make recommendations for future presidents and transition teams based on the data from senior leaders' lived experiences during this specific presidential transition.

Statement of the Problem

With academic presidential retirements on the rise and many of the new presidents coming from outside of academia, it is imperative that transitioning presidents understand the value of a well-planned out strategy when facing ensuing culture changes. Although there is some literature on organizational change processes, there is very little studies that have addressed the change process within higher education. There were a few studies that addressed presidential transitions in community colleges, but there were no qualitative studies that focused on the experiences of senior leaders after a short-term change in presidential leadership. Without this valued data and new knowledge of how the senior leaders and their subunits were affected by the

change, incoming presidents may experience problems of low production and high employee turnover.

Review of Methodology

The main purpose of this study was to explore senior leaders' experiences during a culture (artifacts, values, and assumptions) change after a presidential transition. When setting up the questions for my research, it was important for me to establish a link to the theoretical concept of my study so I could get the most intrinsic data from the leader's experiences. Because the questions were based on Schein and Schein's (2017) change model, I projected that by asking questions triangulated with the theory, I would be able to identify what stage of change the senior leaders and their subunits were, during the interview, experiencing. Also, during the interviews, I included the Kubler-Ross (1969) change curve to gauge the leader's reactions or emotional responses to the change that they, faculty, staff or other senior leaders were experiencing during each stage of the change process.

In order to find the answers to my questions, I decided to use a basic qualitative study, which involved asking semi-structured questions of senior leader's during a culture change. In order to ensure validity in my study, I wanted to choose a stratified sample of senior leaders. I used the university organizational chart to select more than 40 senior leaders that I could then contact for participation. I asked one of my pilot study volunteers if he would act as a gatekeeper to help me pinpoint and locate each senior leader, or their administrative assistant, to recruit them to participate in my study. I reached out to multiple stratified levels of senior leaders including: Vice Presidents, Assistant Vice Presidents, Deans, Interim Deans, Directors, and Interim Directors. Of the 40 senior leaders I contacted, 25 agreed to participate in the study. I then sent them an email with an informational letter (Appendix A) explaining my study and

asked if we could set up a day and time for the 30-minute interview. Some of the interviews were more than 30 minutes (60 to 90) and a couple of the interviews were only 20 minutes. It seemed to be linked to the level of frustration the senior leader was currently experiencing. After completing my transcription there were 450 pages of transcribed interviews.

At the beginning of each interview, I begin my analysis by observing the senior leaders in their natural work environment. I wanted to understand if the participants were comfortable enough to talk to me openly about their current culture after a change in presidential leadership. Even though the actual change in presidential leadership had taken place a year before my study, I was aware that the old culture of fear and anxiety could still be present during the interviews. I worked hard to gain the participants confidence by making good eye contact and listening to them at the beginning of each interview. I also explained that I would keep all their information private and protect their anonymity. As the participants talked about their experiences, it became clear that the prior research and the change theories that I used in my study were proving to be very relational and accurate.

Summary of Results

Although there were certain questions during the interviews when the senior leaders reported that they had experienced all stages of the change curve, most of their responses were located under the experimentation category in stage II of Schein and Schein's (2017) change theory. This was somewhat expected because the actual presidential transition happened a year and a half prior to this study. In order to measure stage, I of the model, I asked interview questions that related to unfreezing the culture such as, what was the culture like prior to the new president being hired? What was the culture like after the president was hired? There were a few of the participants that had been hired after the new president started at the university; however,

they were still able to give accounts of the previous culture that they had picked up from their employee's accounts.

Most of the senior leaders' experiences during stage I of change (unfreeze the old culture) was limited to a memory of what the old culture was like, which all of them described as a campus with no direction, everyone doing their own thing and just paddling to stay afloat. There was overwhelming support for a change in leadership before the transition. I wondered during this phase of my analysis if my findings would have been different if the prior environment and culture was not in a state of crisis? Schein and Schein's (2017) model of culture assessment and planned change was designed to fit any type of organization and/or institution. Because this institution was experiencing internal turmoil, it could have made stage I easier for the leader to prove disconfirmation. Without the leader creating enough motivation and readiness for change, there might not have been enough disequilibrium to unfreeze the culture and any suggested change could be met with resistance.

After the transition the participants (at the time of the interview) said everyone was very happy and joyful until a change happened and then people would experience shock and sometimes depression. During the first year when the incoming president started in the leadership role, most of the changes were in simple processes, communication and marketing. One of the first open forums from the president was coffee with the president where everyone was invited to share their ideas, concerns and/or frustrations. It was from these open forums that the president started sending out messages of change and provided a plan for future projects.

Most of the senior leaders commented that it was during this early part of the new administration that a branding campaign was initiated and a university artifact was going to be restored that provided faculty, staff and students a reason to celebrate. One of the first projects

the incoming president announced as a top priority was to restore a university icon on a hill that overlooked the campus. This voiced by the participants represented a symbol of unity and pride in the university and showed that the president was listening. The president setting a priority on the university icon project seemed to be an easy win and what many of the senior leaders identified as the honeymoon period, when many of the simple changes took place and everyone was happy. Another quick change that the president made that impacted everyone across the campus was when he announced an open-door policy for the president's office. Taking down all the locks and barriers that had been constructed by the prior administration, seemed to set the tone for what the participants said was a transparent and open presidency. This one act was so impressive that it swept across campus and everyone was talking about it.

One of the most talked about changes was when the president moved key personnel out of his office and dispersed them out to their perspective colleges and/or departments to set up their offices. Many of the participants in the study commented that they thought it was a good change to have these key senior leaders in direct contact with their subunits so they could connect with their direct reports on a deeper level. By the time of these interviews, it seemed as though people had gotten used to this change and were starting to move forward. During the interviews, I observed that the senior leaders were visibly more frustrated after a change when they didn't know that the change was coming, or they were not offered a buy-in before the change. They talked about feeling frustrated when the change directly affected their unit or their employees within the unit. The experiences that they talked about were feeling that they were not respected anymore and that they had lost expert power in their field of knowledge. Into the second year of the new president and around the same time of the interviews for this study, there was another major shift within the university in the financial structure. The direct reporting

structure was changed in the finance department and two new key leaders were hired from outside of the institution. With these two new administrators there were also more major restructuring.

Some of the more intense conversations that I had with the senior leaders was when they expressed feelings of frustration after a second major remodel and change to the reporting structure of the financial and business department. A new budget model was rolled out for the new fiscal year. Many of the financial officers did not have their budget for their college or department for the new year and they expressed feelings of vulnerability. They couldn't give their superiors or their direct reports assurances about the department budgets. It was frustrating and fearful for the business officers because they felt like they were not doing their job efficiently. There were many changes after the first year and there was a lot of experimental, trial and error learning and processing of new structures. The leaders felt like most of their faculty and staff were moving forward with the learning, although there were a few comments about employees who had resisted change. Usually it was change that directly affected the employees or their departments because they didn't understand why the change had to happen, or they took it personally because it affected a process or procedure that they had initially implemented.

It was voiced by most of the senior leaders that when the change transpired, they would talk their employees through the processes and wanted them to understand that the change was for the betterment of the university. On a sub note and something I highlighted as a positive leadership assessment was that throughout the interviews all the senior leaders said they acted as a buffer between upper administration and their employees, and they talked about how leaders take care of their team. Even when they had experienced some level of shock and frustration, they remained positive about moving forward with any changes that the president deemed

necessary for the betterment of the university. During several of the interviews, the leaders talked about how they had already worked with their subunits to establish trust, transparency, good communication and an open environment.

Not only was this act of management part of their leadership philosophy, but they wanted to ensure that when changes did happen, they were able to work through the change process with their employees. Many leaders gave examples of helping to move their employees through the change process and into stage III of re-freezing the culture. Another example of a quick change that was positive and became a new norm was the open-door policy that the president displayed on his first day. By taking down all the security in the presidential suite and opening the main door so that anyone could walk through, he was demonstrating that the university was going to be doing business differently. This open-door policy has proven to validate transparency and gain trust from the employees and the community and has become a new norm and added value to the institution.

Discussion of the Results

Importance. Although the results were not completely surprising due to the short amount of time between the presidential transition and this study, there were three main concepts that were valuable that emerged from the interviews. First communication was key to a smooth transition, second, a transformational leader was critical, and third group dynamics are significant for transitions and change management. Throughout every interview, the transition was described as going well when there was communication such as the president's open forums, or poorly when the lack of communication caught the senior leaders and their departments off guard (Martin, Samels & Associates, 2006). During the interviews the most effective means of gaining trust and support from the senior leaders, faculty and staff was a direct, open and

transparent line of communication from the president. When asked about the leadership practices that have been most accepted by senior leaders, one of the participants explained that there had been a major shift in the amount of communication coming from the new president.

There has been a clear message from the president about the importance of branding, "not only to the staff, faculty and students, but to the community. I think that's a smart decision to do right up front" (Level 3 Senior Leader). Elrod and Tippett (2001) wrote an insightful article describing the human response to change and transition. They believed that there were certain actions that leaders should take to lessen disruptions from change after a transition. First, a leader should set the path and lead through the change; second, he or she must communicate real expectations to everyone that will be impacted. As long as an individual's reality matches their expectations, they can remain in their comfort zone; however, when reality and expectation clash, it will cause confusion, frustration and a drop-in performance.

During the interviews and specifically in the first stage of change when I asked the participants what the most accepted leadership practice was after the transition, they all responded by referring to the president's communication style. "Communication is going out from the president, he has his monthly newsletter, that budget letter that was all about the budget. He's very big on making sure everybody has all the information" (Level 2 Senior Leader). The participants stories exhibited a kind of optimism as they described their experiences in witnessing the communications that were coming from the president. I sensed a level of respect and trust and I felt they might be experiencing hope. The participants talked about how the president's communications were giving faculty and staff an opportunity to be included in the changes. Martin at al (2004) wrote in their book on president transitions that when it comes to

faculty and staff, they want to have access to the presidential transition process: they can be champions for change or they can be negative, resisting if there is a lack of communication.

One of the interview questions I asked during stage I of the change process was if they could describe any resistance to change after new leadership, either in other senior leaders, faculty or staff. There were several responses, but one leader in particular said that there was a lack of communication during the budget reset process and it caused individuals within the department to become uncomfortable because of the timing of the implementation. It was introduced at the beginning of a new fiscal year when the budgets should already be in place and the leader's department had been following the same budget process for "10 or 12 or 15 years" (Level 2 Senior Leader). "So, I think there's resistance there because of timing and lack of communication and understanding of what we're doing" (Level 2 Senior Leader). While many of the changes a new leader implements only require new learning, for employees that have been working on the same processes for years, it will be very difficult for them to give up their routine and there may be some resistance (Schein & Schein, 2017).

A couple of the other leaders explained that it wasn't that they didn't hear about certain changes, but that they did not have buy-in or completely understand the detail of what the changes were. One leader explained it as when faculty "understand a change and why it's being made, and I say faculty, but any smart person, once they understand why and the rationale behind it, I think they fall in line and accept it" (Level 2 Senior Leader). Communication isn't just as easy as sending out messages about the change. It is also about the leader being able to clearly "articulate and reinforce the rationale for initiating the journey and taking each incremental step toward the goal" (Elrod & Tippett, 2001, p. 288). A second participant said that an email was sent out about the budget change, but some of the people were complaining

because they did not understand. The email didn't explain in detail so then the people were a "little antsy and frustrated and nervous and scared" (Level 2 Senior Leader). Beyond communication, the leadership style of the transitioning president is critical to a smooth transition.

Transformational leadership. Transformational leadership has been defined by Burns (1978) as a method of leadership that produces a valuable and constructive change in followers and social systems. The transformational leader is commonly known as the ethical model of working towards the betterment of the institution and community. He or she connects the follower's identity and self as a role model so they take greater ownership for their work. Throughout the interviews there were examples of the new president turning over authority to leader's teams or units so that they may be empowered to then transform and motivate their followers. Often the transformational leader will inspire others by providing a mission and vision to give them an identity. One of the senior leaders said that the president has been "focused on building a culture of support, a culture of trust, trying to push decision making down to the lowest level possible" (Level 2 Senior Leader).

By restructuring and redistributing the "control at the top" (Level 2 Senior Leader) the senior leader said that the president's strategic approach was to disperse the current reporting bodies into their respective areas so they can work alongside their team. This president is "very big on making sure everybody has all the information that they need for their job and that they are included in the loop as early as possible" (Level 2 Senior Leader). The transformational leader will inspire their followers, challenge them, and want to understand their strengths and weaknesses to optimize their overall performance. Because the president is taking the time to write his own message that is going out to the campus, he is inspiring others, "he really wanted

to be genuine and, in his voice, and in his, with his tone" (Level 2 Senior Leader). One of the tools that the president provided for his leadership team was a strength finders instrument that measured the individual's strengths, which "builds teams that have multiple sets of strengths; it's been pretty positive for all" (Level 2 Senior Leader). By inspiring others to follow, the transformational leader will encourage the development of dynamic groups to help in the change process.

Group dynamics. Throughout the interviews there were stories of situations where the leaders and individuals in their subunits had already experienced enough trust that they had established a dynamic working environment. When change did come to their department, they were able to work through it without a lot of effort. The study of group dynamics, or the force of a group, began with the 1939 theory of Kurt Lewin, a psychologist that wrote about the importance of how groups shape the behavior of its members. This theory stresses that group behavior, not the individual, should be the focus of change because the individual is constrained by pressure from the group to conform (Burnes, 2004). One leader talked about the people report that to her and as a group they have built a solid foundation, "I believe they have seen enough of my advocacy of them as staff. In several different situations in each of my departments, I have been able to solve a critical problem for them, identify a resource for them, or go to bat for them" (Level 2 Senior Leader).

By establishing a solid group dynamic, this leader expressed that if there is a change that comes down from the president, and even if it is a big change in a short amount of time, "they are behind it and they're willing to consider it, because of the things we have built" (Level 2 Senior Leader). One leader explains how most of the staff has been in the department for a long time so they are usually able to roll with most changes. "The biggest thing I do is try to include

them in the decisions to make them feel like they're part of it" (Level 3 Senior Leader). This leader also talked about each individual and how each one is important and needs to be included in the decision-making process. Most of the leaders that had an impressive group dynamic made a point of meeting with their team on a consistent basis and included them in on any new change. "I'm trying to include them in the process, they're on the front line, doing the work and they know a lot more of the issues than I do, so I try to make sure I have all the information before I make any decisions that are going to affect them" (Level 3 Senior Leader).

Implications of this study. This study provided insight on the belief that understanding and assessing the institutions culture is essential in change management before making any changes. Throughout this study, it was noted that communication is the number one factor in good or bad change for the employees that are working through the change. There are several methods that presidents and their transition teams can incorporate to make sure that the changes are well managed. One is to set up transition leadership teams that can act as a liaison between leadership and employees. Two is to train these transition teams as transformation leaders and train them in the necessary skills to lead employees through change. Three is to set up temporary culture islands where all employees can be trained in transformational leadership, cultural intelligence and group dynamics. An important note is that during this study, at this institution, there was a grief team set up for senior leaders going through constant change. It is important for leadership to remember that "we are grieving all the time, it might not be related to a death, but we are always, there's change happening all the time, there's resistance happening all the time" (Level 2 Senior Leader).

It is important to cultivate and train transformation leaders within the institution so that they can help during the change processes in their own department and throughout the university.

One of the strengths in several of the individual subunits was that they had leaders that had already development a strong level of cultural intelligence and group dynamics and when any kind of change was announced, it was not difficult for them to work through the changes as a team and with minimal disruption to the production in that unit. These leaders created an environment of trust and open communication where their employees could discuss any change and not be negatively impacted by the change. Most of the leaders had weekly and monthly meetings to discuss any changes that had been announced and they also asked for input from their employees, so the employees felt like their opinion mattered. One leader explained that "you should know everyone on your team and you should know them by name." "You should know where they're from, and you should know a little bit about each one of them." You should be able to engage in a conversation with them" (Level 3, Senior Leader).

Culture islands. After cultivating leadership teams and trained transformational leaders, whether at the presidential level or at the subunit level, the incoming president should then recruit them to set up culture islands. The concept behind the temporary culture island is to teach others about leadership, culture intelligence and group dynamics. The groups are set up so that all members are strangers to each other and no one has a specific identity in the group. The leaders of the group do not set an agenda, way of working, or any structure. The members are then forced to create their own social norms and ways of working together. When the group confronts their own assumptions and those of others, it can help them learn how they are different from each other. In this type of learning environment there is no best way to do things so it must be discovered by the group.

These groups within a day or two form a micro culture and learn to work together. The group members learn to be empathetic to one another and accept others and work with them

without a preestablished culture bias. The key to these groups is that they are strangers to each other and do not need to defend their already established culture. In this type of group learning, like in grief support groups, the individuals are more relaxed and are able to feel psychologically safe (Schein & Schein, 2017). The important implications from this study was the need to first analyze and understand the culture within the institution before writing up a strategic plan for change. It is important for the transitioning president to set up transition teams that are trained in the skills of transformational leadership. These teams can then set up culture island where various groups of employees gather to feel psychologically safe and become trained in cultural intelligence and group dynamics.

Suggestions for Additional Research

Because my interviews of the participants were conducted over a brief two-month period, a study consisting of a 5-year time span (longitudinal study) could help to shed light on the shifts and/or experiences of loss among each stage. A longitudinal study could also provide a clear picture of how long it takes for a large institution to move into the final stage III (refreeze) in which leadership could then measure results from the culture change. It was obvious from the interviews that after only a year and a half into this transition, the senior leaders did not believe that the changes within the university were complete, and that the institution was not ready to enter stage III. They all believed that they had several more years of change and that it was not going to be easy, but it was for the betterment of the university and its people. These studies do not have to be limited to only presidential leadership or culture change; studying change in general within an institution would be helpful for future presidential or executive leaders.

Conducting research involving multiple universities undergoing a presidential transition within the same state or in other states with the same demographics, could prove to be very

informative. Documenting senior leaders' descriptions during a transition and then comparing them to other senior leaders, in different universities either over a short period of time or a longitudinal study, could be very interesting and could reveal rich data about culture change. Researchers could explore how various transitioning presidents and their transition teams approached culture change and if or how they prepared their employees for change. Another suggested study could involve faculty, staff, students, community and/or industry partners in the interviews to document their experiences during the change process. The ripple effects of change can be felt by many and may affect the revenue and profits by a decrease in tuition from students and/or donations from external sources coming in. People communicate whether they like the change or not and word of mouth is a powerful.

A mixed methods study could be beneficial as well. The researcher could send surveys out to all the employees in an institution after a presidential transition. Based on the feedback, he or she could then conduct interviews to follow up on what the survey participants described about the change and/or the process of change. It would be interesting to find out how the students are affected during a presidential transition. If they noticed or heard about any disruption in classes or daily activity or, if they have any comments about positive or negative messages from the president, faculty and/or staff. A quantitative study could prove to be interesting in order to measure how the presidential transition and ensuing changes affected the expenses and/or revenue of the institution. In the methodology section the researcher could create an instrument to measure how much human capital value is lost when a long-time faculty or staff member leaves, or is forced out, of the institution when they are unhappy or resist change. In this same study the researcher could also include the cost in dollars when employees call in sick or they are not producing because they are depressed about the change? Even more

extensive would be to include the loss, if any, in donations or volunteer service if an industry partner or community member is unhappy about the culture changes or the leadership of the new president.

It would also be interesting to run a study comparing carefully planned out strategies of change during a presidential transition to presidents that transitioned without any formal strategy. A final suggested study could be to generate data on a successful presidential transition and then compare the data to an unsuccessful transition. The measurement of success could be based on an early dismissal of the incumbent president. It would be beneficial to incorporate the cost, revenue or expense, for any of these studies of change during a presidential transition. Any of these suggested studies could help academic leaders, transitioning presidents, faculty and/or staff to understand the effects of change so there is minimal disruption to the university.

Conclusion

This research can go far to help other transitioning presidents, their leadership teams, senior leaders, faculty and staff to manage an effective change process within an institution. Running a smooth transition can help maintain a stable environment, as well as, ensure positive employee morale. What was apparent throughout this study was that one person's experience with change does not affect others in the same way, whether that person is a senior leader, faculty member, or staff. The closer the person is to the change, the more they are affected by the change. While the executive leaders who are executing the changes understand why the change is needed, the employees may not. It is imperative to deliver a clear message of why the change is necessary and the reasons for the change. The message should be communicated correctly and constantly to all areas within the institution and especially to the department directly affect by or implementing the changes.

One of the smoothest changes reported in this study was when a consultant was brought in to facilitate brainstorming sessions with employees. By asking for participation or buy-in of this one process change, it seemed to create a level of trust and inclusion for the employees. Another important component that helped with the change process was when the president had open forums to listen so everyone felt like they were being heard. Open communication was the number one theme that came up throughout all of the interviews and was designated as a positive benefit to help move all changes forward. It is clear that a well-planned out change policy is profitable and predictable. Care in planning can determine whether the change will move forward or the employees will resist the change.

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Appendix A
E-mail to Solicit Individual Participation in the Study

From: Ludwig, Kathryn
To: Representative Idaho State University Senior leadership and deans
Subject: Research Request from Kathryn Ludwig, College of Education Doctoral Student

Recently I contracted Dean XXXXX seeking his permission to contact selected administrators to participate in my research.

I am a doctoral student at Idaho State University in Pocatello majoring in Higher Education Leadership. The purpose of my study is to identify senior leaders' experiences before and after a university presidential transition and to provide strategies for future presidential transitions. I want to interview 30 senior leadership and deans at your institution. The senior leadership and deans for this research are: President, Chief of Staff for the President, Executive Vice President and Provost, Vice President of Finance and Business Affairs, 5 Associate Vice Presidents, 10 Directors or Interim Directors, 10 Deans.

If you are interested in participating in my research which will involve an in-person interview that I hope to have completed before November 29, 2019, please complete the attached survey and return it to me by October 15, 2019.

All information provided via the survey and subsequent interview will be kept anonymous. If you have any questions about the process, please do not hesitate to contact me via email or phone.

Thank you for your consideration,

Sincerely,

Kathryn Ludwig
Doctoral Candidate, Idaho State University
ludwkath@isu.edu
208.317.0064

Appendix B
Informed Consent Form

Thank you for agreeing to participate in this study that will take place from November 1, 2019 to January 31, 2020. This form outlines the purpose of the study and provides a description of your involvement and rights as a participant.

I consent to participate in a research project conducted by Kathryn Ludwig, a doctoral student at Idaho State University located in Pocatello, Idaho. I understand that this study is tentatively titled "University Presidential Transitions: Importance of Leadership and Culture Change." The purpose of the study is to identify senior leaders' lived experiences before and after a presidential transition to help future presidents' and transition teams.

I understand that my participation will consist of one audio-taped interviews lasting approximately 30 minutes in length. I understand that I will receive a copy of my transcribed interview at which time I may clarify information. I understand that my participation is voluntary and can be discontinued at any time without prejudice until the completion of the dissertation.

I understand that only the researcher, Kathryn Ludwig will transcribe the audio recording after the interview and I will have access to the transcripts and taped recordings from the interview in which I participated. The audio recording will be loaded into DragonBar software and then transcribed by the researcher. No identifying information will be used during the interview such as the participants name, personal information and/or the institution of employment.

The word document files will be stored in the researcher's home office and destroyed after the research is complete. After all audio recordings have been downloaded from the DragonBar software, the recording will be deleted.

I understand that the results of this study may be published or otherwise reported to scientific bodies, but my identity will in no way be revealed. I understand there are no anticipated risks or benefits to me, no greater than that encountered in daily life. Further, the information garnered from the study will be of benefit to new university presidents, internal administrators and the larger higher education constituency.

I understand that in the event I have questions or require additional information, I may contact the researcher: Kathryn Ludwig, 430 Crescent Drive, Pocatello, ID 83201. (208) 317-0064. Email address: ludwkath@isu.edu.

If you have any concerns or questions before or during participation that you feel have not been addressed by me, you may contact my Primary Advisor and Dissertation Chair: Dr. Richard Wagoner, Idaho State University, 921 S. 8th Ave Stop 8059, Pocatello, ID 83209, (208) 282-3358; Email address: wagorich@isu.edu.

Participant's Signature _____Date _____

Researcher's Signature _____Date _____

Appendix C
Participant Demographic Survey

School: <u>Idaho State University</u>

Job Title: _____

Number of Years at or in partnership with Institution & Job Description:

_____
_____
_____

Number of Years in Current Position or enrollment: _____

Contact Information
Phone Number: _____

Email Address: _____

Please return electronically to ludwkath@isu.edu

Appendix D
Interview Protocol Matrix

Script prior to interview:

(Review consent form with participant)
Can you please read the consent form that gives me your permission (or not) to audio record our conversation? Are you willing to allow me to record (or not) our conversation today? ____Yes ____No

If yes: Thank you! Please let me know if at any point you want me to turn off the recorder or keep something you said off the record.

If no: Thank you for letting me know. I will only take notes of our conversation.

Before we begin the interview, do you have any questions? [Discuss questions]

If any questions (or other questions) arise at any point in this study, you can feel free to ask them at any time. I would be more than happy to answer your questions.

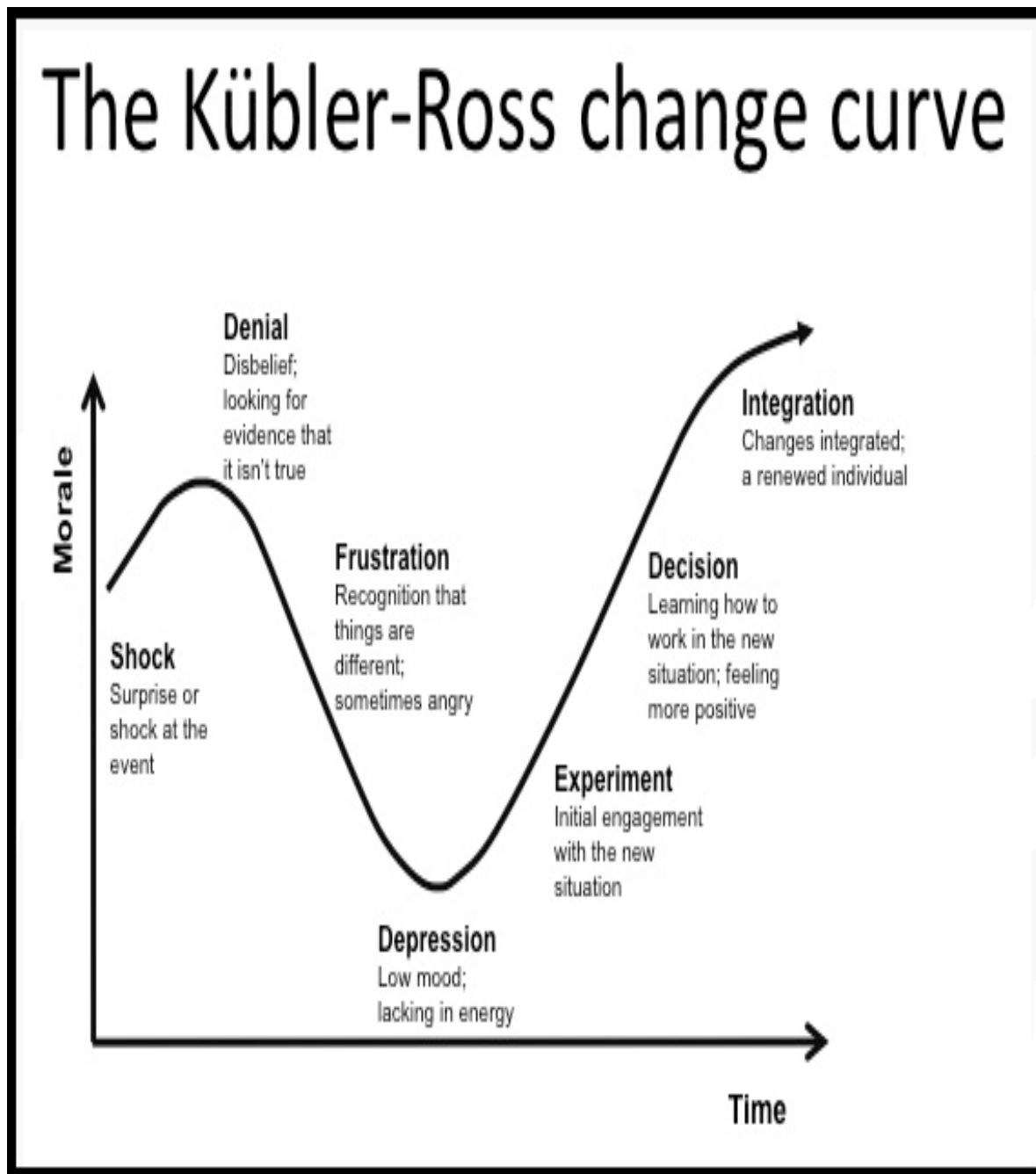| Research Questions	Interview Questions	Stage 1
What are the experiences of senior leaders before and after a presidential transition?	1) What is your leadership experience in higher education? 2) Looking back one year before the new president was hired, how would you describe the culture or atmosphere? 3) Was there a desire for change within the university, if so, can you describe why? Within your subculture? 4) How would you describe the current culture after new leadership? 5) Can you describe any resistance to change after new leadership from senior leaders, staff, and /or faculty?	STAGE 1 Disconfirmation – Was there a desire for cange? Can you explain any Survival Anxiety or Guilt? Did you see a resistance to Change? Was there any Psychological Safety to Overcome Learning anxiety?
What leadership practices are most supportive of senior leaders who are experiencing a presidential transition?	6) Can you describe leadership practices that have been most accepted by administrators during the transition? 7) Can you describe any trial and error learning, solutions and/or learning tools that have been implemented after a change in leadership? 8) Can you describe how you have guided your staff, faculty, other leaders through a change?	STAGE 2 Were you able to identify with role models? Was there solutions and trial-and-error learning?
What are the experiences of senior leaders leading employees?	9) Can you describe your staff, faculty, other leaders' reacted to learning? 10) How has your relationship with your staff, faculty, other leaders changed, if at all as a leader since a transition to a new president?	STAGE 3 Was there an incorporation into self-concept and identity?

Appendix E
Guiding Interview Questions

Relationship Between Guiding and Interview Questions		
Guiding Questions	Interview Questions	Research Questions
STAGE 1 Disconfirmation – Was there a desire for change, a dissatisfaction, goals not being met, poor moral, employee unrest? 1. Can you explain any Survival Anxiety or Guilt that leaders felt? Did you see a resistance to Change? Was there any Psychological Safety to Overcome Learning anxiety?	2. What is your leadership experience in higher education? 3. Looking back one year before the new president was hired, how would you describe the culture or atmosphere? 4. Was there a desire for change within the university, if so, can you describe why? Within your subculture? 5. How would you describe the current culture after new leadership? 6. Can you describe any resistance to change after new leadership from senior leaders, staff, and /or faculty?	What are the experiences of senior leaders before and after a presidential transition?
STAGE 2 Were you able to imitate and identify with role models? Was there solutions and trial-and-error learning?	7. Can you describe leadership practices that have been most accepted by administrators during the transition? 8. Can you describe any trial and error learning and/or learning tools that were provided by leadership?	What leadership practices are most supportive of senior leaders who are experiencing a presidential transition?
STAGE 3 Internalizing new Concepts, Meanings, and Standards Was there an incorporation into self-concept and identity? Was there an incorporation into ongoing relationships?	7. Can you describe how you have guided your employees through a change in culture and leadership? 8. Can you describe your employee's reactions to learning new concepts, meanings, standards? 9. How has your relationship with your employees changed, if at all as a leader since a transition to a new president?	What are the experiences of senior leaders leading employees through a presidential transition?

Appendix F
Provisional Pattern Codes

Category-Change	Descriptive Code
Shock	Toxic, difficult, fear, uncertainty, assumed worst, dog eat dog, very competitive
Denial	Very competitive, very siloed, not collaborative, not collegial, out for self
Frustration	Causing some difficulties, what to expect, difficult, wait a minute, angry, raise concerns, took focused effort, struggling, criticism, seismic change, external factors, heavily regulated, not experts, frustrating, lack of trust, not machines, communication, affect my job, moving people's cheese, significant changes, blunt force, difficult, entrenched,
Depression	Fear, uncertainty, don't belong, scary, intensified, eroded trust and stability, reassuring and reaffirming, get staff back to baseline, feel beaten down, overwhelming, erodes trust, difficult, change has to happen,
Experimentation	Hope and optimism, felt hope, encouraged, ray of sunshine, optimism, happiness, joy, happy, personnel changes, safe, positive, day to day stability, translator, get on board, focus groups, open forum, opportunity to be heard, ably to contribute, atmosphere of excitement, positive, move forward, successful, dreams, thoughts, interpretations, buy-in,
Decision	Health and wellness, sensitive to and recognize signs, people matter, guiding principle, health of the institution, safe place, recognize their humanity, object or agree, hopeful, on board, contribute
Integration	Baseline level of trust, meet weekly, agreement and input, not waiting, reach out, talk one-on-one, proactive, reach out, publicly apologized, measure of stability, united front, hope, stability,

Appendix G
Kubler-Ross Change Curve

The Kübler-Ross change curve

Denial
Disbelief;
looking for
evidence that
it isn't true

Integration
Changes integrated;
a renewed individual

Morale

Frustration
Recognition that
things are
different;
sometimes angry

Decision
Learning how to
work in the new
situation; feeling
more positive

Shock
Surprise or
shock at the
event

Experiment
Initial engagement
with the new
situation

Depression
Low mood;
lacking in energy

Time

Appendix H
Member Check Form

Thank you for agreeing to participate in this study that will take place from November 1, 2019 to January 31, 2020. This form is for a member check or a participant validation strategy. This is a process by which the researcher will "check in" with you as a participant to help verify the interpretation and analytical concept in the analysis phase of this study.

Potential validation questions:

1. Does this transcript reflect and resonate with your perspective? How might it differ and why?

2. Is there anything that this transcript does not capture?

3. Is there anything problematic in the interview and/or the transcript?

4. What have I misunderstood?

5. Is there anything you would like me to consider in my analysis?

6. Is this how you would categorize this idea/concept/comment?

7. Do these codes make sense/resonate with you?

8. Do my descriptions feel appropriate and accurate? If no, can you tell me more about whatever it is that I have not described well?

9. Are there assumptions and/or biases that you see underneath anything I have written or said that you feel I should challenge?

Thank you so much for taking the time to help me make sure my study is rigorous and valid. I understand that in the event I have questions or require additional information, I may contact the researcher: Kathryn Ludwig, 430 Crescent Drive, Pocatello, ID 83201. (208) 317-0064. Email address: ludwkath@isu.edu.