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Factors and considerations for change at James Madison University

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Factors and Considerations for Change at James Madison University

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JAMES MADISON UNIVERSITY

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Abstract

The objective of this qualitative case study was to develop a thematic change model and taxonomy of change factors specifically designed for higher education practitioners at James Madison University (JMU). This research will provide resources to guide future institutional change at JMU while focusing on the practical nature of applying resources and techniques to facilitate organizational change. This study will bridge the gap between academic research and practitioner application by creating a cyclical theoretical framework grounding the exploration of complex higher education change dynamics at JMU. Individual interviews focused on recent change events were conducted with participants identified through the use of purposive and random sampling. The results of this study offer JMU the beginning of a toolkit of resources to assist in facilitation and implementation of change individually and organizationally at the department, division, and institutional level. With possible application across higher education, this study will reshape how organizational and institutional change is facilitated and implemented at JMU. As a result of the emergent coding and data analysis process, a holistic framework of five overarching themes as well as subthemes were constructed identifying key factors supporting and constraining change. These key factors combine to form a thematic model and taxonomy of critical components for those who plan, lead, and facilitate higher education change.

Factors and Considerations for Change at James Madison University

Chapter One - Introduction

Background

When you hear the word change, what thoughts cross your mind? Fear of the unknown perhaps, questions about how your job role, function, or current culture may be affected, or even doubt about the effectiveness of the change itself. You might even think to yourself, great, here we go again. Change is everywhere and in any form you can conceptualize. Our lives and the world we live in exist in a state of continuous change, present in every day. This notion of continuous change permeates our evolving lives because no two days are exactly the same. People's bodies are constantly changing. The weather changes, mountains, rivers, oceans, relationships, friends, they all change. Human beings live through change every single day and have adapted over time. Take climate change for example, a recent CBS News online article highlights a growing public concern with 72% of Americans now feeling impacted (Berardelli, 2019). "Americans are growing more convinced than ever that climate change is having an impact on our world, and the issue is becoming a more important part of their lives" (Berardelli, 2019).

Change affects all people at some level and the same holds true for organizations including higher education (HE). Financial constraints, technology advances, changing demographics, federal policy, teaching and learning evolution, and international competition are but a few of the catalysts that force colleges and universities to adapt and transform in the midst of changing internal and external environments (Baker & Baldwin, 2014; Bruns & Bruns, 2007).

Within the scope of the higher education institution, there are multiple environments coexisting under one umbrella. The academic and nonacademic arms of the college or university

must be present and functioning effectively for organizational balance to exist. However, deep within the operations of both environments are areas that require further examination. Culture, design, behavior, and structure are among the internal factors that might affect the organizational environment in higher education (Bruns & Bruns, 2007). How does change affect each of these higher education arms and what are some of the influential diverse factors that determine how change is important? That question and others will be explored in greater detail throughout this research.

Higher education faces challenges that are no different than those in the corporate sector. The overlapping variable is change. A landscape of constant shifting in response to multidirectional pressure provides a robust example of the complexity affecting change within higher education, and it showcases the need for successful change in the same manner as any other industry (Blackman & Kennedy, 2011). Higher education leaders and administrators are tasked with guiding the college or university through periods of change that takes place in cyclical, non-linear and constantly emerging situations.

Resources to assist campus leadership with cases of planned, transformational and emergent change are available in varying forms. University staff members can enroll in one of two professional development classes offered by JMU Talent and Development, "Leading Others Through Change" (https://www.jmu.edu/events/talentdevelopment/2018/07-31-leading-others-through-change.shtml) or "Our Iceberg is Melting" (https://www.jmu.edu/talentdevelopment/workshops/iceberg.shtml). Senior campus administrators are provided training and resources to lead and facilitate change if they participate in the leadership development program, *Impact3*, designed for employees at the assistant director level and up across disciplines at JMU. *Impact3* includes perspective and resources for

leadership when dealing with change as part of its competency model that is woven throughout the program. Access limits all from using this because participation includes a nomination for *Impact3* from a supervisor and the title of Assistant Director or higher. Further limitations include workshop scheduling, travel to the Wine Price building on campus, and limited offerings. Figure 1, below, displays a detailed view of specific competencies included with regards to change and the *Impact3* program. This figure is included to demonstrate how change is viewed, discussed, and perceived currently with university leadership.

February 21, 2011

7 - Change Leadership

Understands that, at its core, leadership concerns change and that the leader's primary role is to encourage people to progress, growing systematically closer to the achievement of the university's mission and vision.

IMPACT³
JAMES MADISON UNIVERSITY

7A Reflects an openness to unit and university change – Pursues positive growth and change. Demonstrates the ability to vary leadership and management methods and university procedures in response to a changing environment or circumstances. Talks about accepting change and the importance of continual positive change.

Strength	Developmental Need
• Discusses various scenarios when developing solutions to problems. • Reflects a calm and confident demeanor when faced with unexpected change. • Helps challenge others by encouraging them to view change, particularly unexpected change, as an opportunity to succeed. • Alters processes and procedures in response to change. • Adapts well.	• Openly vents frustration concerning change in the presence of those he or she leads. • Uses a one-size-fits-all approach to making decisions. • Moves forward with existing plans even when change renders them ineffective. • Is distracted and inefficient in the face of change.

7B Challenges existing procedures and processes – Analyzes existing unit and university wide systems and is able to effectively identify challenges and hindrances impeding achievement of mission, vision, and objectives. Develops and implements solutions and improvements. Is known as innovative.

Strength	Developmental Need
• Clearly describes the complexities of how the unit works. • Leads others in discussions aimed at determining the motivation for policies, processes and procedures in order to consider improvements. • Articulates the difference between change for change's sake and progress toward greater excellence. • Conceptualizes and develops new ideas, products, processes and procedures.	• Normally tends to ask 'why change?' more than 'why not change?' • Tends to make decisions that prioritize organizational ease and simplicity over customer satisfaction or success. • Takes a laissez-faire approach to analysis and change.

7C Manages risk – Incorporates risk into planning and processes. Makes it safe for staff to try and fail. Develops contingency plans.

Strength	Developmental Need
• Openly encourages subordinates to try new approaches – in the interest of growth. • Speaks in terms of failure as a natural part of organizational life. • Articulates an understanding of the forces that oppose progress. • Creates an environment that is safe for risk and change. • Regularly rewards risk-taking behavior in pursuit of the mission/vision/objectives.	• Nonverbally displays anger when a subordinate attempts a new process or idea and fails initially. • Is slow to make decisions, attempting to find the "perfect" solution for self-protection. • Makes a majority of decisions that reflect a greater concern for personal security/safety than for organizational growth and progress. • Tends to rely only on "tried and true" methods and processes at the expense of personal and organizational development.

Figure 1: Impact3 JMU Leadership Competency Model – Change Leadership

Rationale for the Study

A review of the existing change literature reveals a generous amount of information. Located in pockets relating to specific aspects of change management, the literature scope includes change and leadership, change resistance, organizational change, change models, higher education change, and change theory. The absence of forces acting to bring many of these categories together based on best practices and data collection can be identified as the research gap. Bruns and Bruns (2007) suggest that higher education leaders may be able to spotlight a need for change but fall drastically short in a clear understanding of how this change should be facilitated or implemented. Pollack (2015) takes things a bit further by suggesting that the change management literature provides positive takeaways in the form of models and frameworks but fails to address practitioner concerns with the facilitation and implementation of change projects. In conjunction with exploration of organizational development's new emergent school of thought, this study will attempt to explore what specific aspects support and constrain change at JMU.

Statement of the Problem

How can change be facilitated at the leadership level of any organization without a clear understanding of change itself? Bruns and Bruns (2007) argue that while higher education leaders recognize a fundamental need for change, they often lack clarity of change facilitation and how it should be implemented. This fundamental need can be viewed from two facilitation perspectives, the operational and cultural components of any organizational. Deepening the problem is a lack of research to guide those who practice change management. According to Pollack and Pollack (2014), there seems to be a research deficit with regard to "practicalities of using change management techniques to effect organizational change" (p. 52). This spotlights

the need for a suitable remedy to bridge the research gap between theory and practice. Raineri (2011) argues that while there is a great deal of literature that provides advice for practitioners, there is a lack of research and focus on how to apply change management techniques or even question their effectiveness. With an identified lack of research connecting theory and practice, the second half of this problem shifts to the notion of leaders' understanding of change.

Understanding the change process requires taking a pile of puzzle pieces and fitting them together in just the right way to create something bigger. Fullan (2001) provides additional insight when he posits that change cannot be managed. Changer can be understood and maybe led, but not controlled. One of the underlying concepts from Fullan (2001) is that one must "understand change in order to lead it better" (p. 34). What does that mean exactly? Leadership is complex by itself but add the component of change and the leader requires not only a clear understanding of change, but additional insight, rather than just following the linear steps of a model or action sequence. Culture, resistance, leadership style, and individual impact are all change leadership aspects that require a clear understanding (Fullan, 2001).

The practical nature of a step by step change model is limited. Models work in some situations, but not across the board or they are only successful for a limited time (Fullan, 2001). This research will attempt to fill a gap in the existing research while also connecting theory and practice to provide campus leadership with greater insight and a deeper look at the change process.

Purpose of the Study

The purpose of this qualitative case study is to explore from the perspectives of JMU change leaders and followers, what factors constrain and support change in the higher education context? It should be noted that the scope of this research project does not include examination of current

change models, their usage, perceived benefit, or organizational applicability. Further this research is not examining specific organizational change variables or aspects of the process of organizational change at a granular level. Instead, a holistic view of organizational change was applied to examine this phenomenon within an institution of higher education.

In-depth interviews allow for a deeper examination of leadership challenges, barriers, and recommendations regarding ways to navigate the complexities of change in higher education. It will also explore how change is perceived, acted upon, driven behaviorally, and individual impact at the staff level from those being led through change. As a result of data collected, this study begins the development of a change management toolkit of resources for higher education change facilitators. This includes a higher education thematic model and taxonomy of factors to be used as a reflective and guiding device for individuals who are tasked with facilitating and implementing change. As noted in Pollack (2015), the existing change literature may prove useful in providing models and frameworks for understanding change management's activity, however it neglects to address growing practitioner concern who engage in the management, facilitation, and implementation of change projects within organizations.

This study will bridge the gap between academic research and practitioner application by creating a cyclical theoretical framework grounding the exploration of complex higher education change management dynamics at JMU. By equipping campus facilitators with necessary tools, theories, and guiding skills, theory is in essence put into practice (Bruns & Bruns, 2007). Furthermore, this research will help the institution transition through future planned, emergent, and transformational change while creating a common vision of how change impacts the many extensions that exist under the umbrella of higher education. It would be of interest in the future to measure the negative impacts of organizational change from a holistic perspective looking at

impact to the bottom line, overall culture, organizational and individual performance, and turnover.

Research Question and Sub questions

The main research question for this qualitative case study is: What factors constrain and support change in a higher education context from the perspective of JMU leadership and support at all levels?

Additional sub questions identified as significant to this research include.

- How do change practitioner leaders lead and facilitate change at JMU?

- What determines success and failure as it relates to change events at JMU?

- How does change affect campus leaders, managers, and staff emotionally, behaviorally, and psychologically at JMU?

- How does the political structure of JMU affect change initiatives?

- What specific factors constrain change at JMU?

- What specific factors support change at JMU?

Assumptions

The following assumptions were made in order to conduct this case study:

1. It is assumed that the designated client for this case study are members of JMU who actively or could potentially facilitate some level of organizational change.

2. It is assumed that the developed thematic model and taxonomy of factors as a result of this research study would only have direct applicability to the HE environment at JMU.

3. It is assumed that the research study results will offer JMU the beginning of a toolkit of resources to assist in current and/or future change facilitations.

4. It is assumed that current change efforts at JMU are met with mixed results driven by leadership style, implementation strategy, lack of buy-in from stakeholders, human emotion such as fear, anxiety, anger, communication, motivation, momentum, subject matter experts in the field, change champions, change agents, internal and external environments, organizational structure, resources, culture, technology, behavior, relationships, processes, and goals.

5. It is assumed that current university change occurs in one of three arenas, emergent, planned, and collateral. All three of these terms are defined below in the section labeled: Key Term Definitions.

6. It is assumed that levels of inclusion among employees at JMU during institutional change vary across the organizational hierarchy.

7. It is assumed that JMU lacks standardized tools and resources to facilitate change.

8. It is assumed that the results of institutional change at JMU are not formally assessed or measured in any capacity.

9. It is assumed that perceptions regarding employee voice, inclusion, and involvement are conflicting from those who lead and follow during institutional change at JMU.

Limitations

The following limitations were considered in order to conduct this case study:

1. The applicability of various aspects of this study to other colleges or universities due to the demographics and specific environment of James Madison University.

2. The findings and credibility of this qualitative case study may be subject to alternate interpretations.

Delimitations

1. Qualitative data collection for this research study will be limited to interviews on the campus of James Madison University.

2. The scope of this study will solely be development of a thematic model and taxonomy of change factors for James Madison University based on collected and analyzed data.

Research Significance

The wealth of existing change management resources continues to influence and guide organizational change. These variables are driven by marketplace commercialization and research claims with attached price tags. Taking these variables into consideration, there is a dearth of available research targeted with higher education in mind offering a toolkit of resources to assist college and university leaders in facilitation and implementation of change projects. Available resources would further arm HE facilitators with a deeper understanding of positive and negative change impact perspectives. Further design of a change management program for campus leadership in the form of a workshop series, multi-day retreat, or cohort would provide JMU with a functional starting point. With possible application across higher education in general, this change development program would reshape how institutional change is planned, led, facilitated and implemented at JMU.

Key Terms and Definitions

A multitude of terms will be used throughout this research study to maintain consistency. A list of definitions is included below in Table 1. It should be noted that there are terms used in this research that are interchangeable. For example, constraints could also be viewed as drivers and barriers. Additionally, the terms organizational and institutional change are used interchangeably.

Table 1

Definitions of Terms

Key Term	Definition	Citation
Change	An implied material difference so that an individual or system undergoing the change has transformed from the previous state becoming clearly different from its original characteristics	Lawler & Sillitoe (2010)
Change Management	"The tools, techniques, and processes that scope, resource, and direct activities to implement a change. Change management is less concerned about the transfer of knowledge, skill and capacity to manage change in the future than organization development"	Cummings & Worley (2009, p. 747)
Culture	"the sum of all the individual mindsets rolled into one set of common agreements" Where you will locate the organizations stories, core values, operating principles, norms and legends.	Anderson & Anderson (2001, p. 98) Anderson & Anderson (2001)
Leadership	"leadership was the ability to influence, motivate, and enable others to contribute to the effectiveness and success of the organizations of that they are members"	Bass & Bass (2008, p. 23)
Change Model	A form of process or steps developed through trial and error and based on expert experience	Hiatt & Creasey (2012)
Planned Change	Change that is planned by its members, most often initiated and implemented by managers possibly with the assistance of an organizational development practitioner to solve problems, learn from experiences, adapt to environmental changes, improve performance and potentially influence future change. From a conceptual standpoint this approach views organizational change in terms of a process that travels from a singular fixed state to another in a linear fashion and by means of a series of pre-planned steps that allows for analyzation	Cummings & Worley (2009) Bamford & Forrester (2003)

	by a change model such as Lewin or Kotter.	
Strategic Change	"Strategic change involves improving the alignment among an organization's environment, strategy, and organization design".	Cummings & Worley (2009, p. 12)
Transformational Change	"By definition, transformational change requires that leaders attend to content (external, impersonal) as well as people (internal, personal)".	Anderson & Anderson (2001, p. 19)
Emergent Change	Rapid change involving multiple interdependent interactive elements emerging with a lack of control and centralized planning at both the individual and system level with an emphasis on bottom-up movement in implementation of organizational change.	Jones & Brazzel (2014); Bamford & Forrester (2003)
Change Event	The incorporation of integrated implementation strategies designed to generate targeted results. These strategies create a pathway of change combining knowledge of the conditions encompassing a planned, strategic, transformational, or emergent change situation with an understanding of collaborative impact affecting relationships and culture while managing potential barriers.	Research determined a lack of agreement and direction for defining a change event. The researcher created a definition for a change event based on prior knowledge.

Chapter Summary

  This chapter outlines the identified research gap between theory and practice for those in higher education tasked with facilitating change. The significance of this research explores factors at JMU that support and constrain change. Further exploration into individual employee perceptions behaviorally and psychologically driven by emotions that impact change outcomes, provide a richer understanding of the impact change can have at the individual level. This deep dive into leadership challenges, drivers and barriers of change, and recommendations explore the complexity of change in a higher education environment.

Chapter 2 - Literature Review

Introduction

To better understand the intricacies of the higher education change process and construct the foundation for this study, three overarching themes were explored. This list included individual change, organizational change, and organizational culture. Additional topics explored include resistance to change, behavior and acting in response to change, the psychology of change, change in higher education, an understanding of how higher education operates, the management of change, leadership and its impact, role, facilitation of change, and organizational learning. The literature review method includes a systematic exploration of these themes and topics creating a comprehensive examination of available research.

It should be noted that the scope of this research project does not include examination of current change models, their usage, perceived benefit, or organizational applicability. Further this research is not examining specific organizational change variables or aspects of the process of organizational change at a granular level. Instead, a holistic view of organizational change was applied to examine this phenomenon within an institution of higher education.

Topics such as organizational change, change management, and higher education produce a vast arena of potential literature. Areas of focus were selected to explore the change literature while bridging themes between the analytical and theoretical extensions of this research. Further development of chosen topics constructs a conceptual framework of organizational change's impact on the organization, its culture, and individual employees. In order to examine organizational change within the higher education paradigm, an established understanding is necessary of how the dynamics of academic organizations operationalize this dependent system.

This specific research method was carefully chosen after weighing multiple factors including time, access to research subjects, the depth of research required to bring validity to this study, and previous qualitative research case studies. Three doctoral dissertations from Turner (2017), Basiratmand (2013), and Weiss (2012) all focus on the concept of organizational change in higher education with each examining this phenomenon through various lenses incorporating a unique perspective while collectively influencing this research.

Literature Review Method

The literature review that follows is broken down into the following themes: individual change, organizational change, organizational culture, and theories and practices. Located using JMU libraries' research databases of ERIC, Education Research Complete, Academic Search Complete, Business Source Complete, JSTOR, Google Scholar, Journal of Organizational Change Management, Journal of Higher Education Policy and Management, Journal of Change Management and Perspectives: Policy and Practice in Higher Education, the literature has been peer reviewed and derived from scholarly sources. Keywords and combinations of keyword searches included: *change management models; higher education; organizational change; leadership; organizational culture; organizational learning; management of change; evolutionary theory; development theory; systems theory; chaos theory; change resistance; change behavior; psychology of change; change and higher education; change management; organizational change failure; leadership style; facilitating and leading change; organizational change leadership role; organizational change leadership impact; leadership and organizational culture; organizational learning*.

Conceptual Framework

The conceptual framework represents three primary themes. It also visualizes the degree and depth of possible influence and impact among those who lead and guide change at JMU including those at the individual level who have change dictated to them. The framework represents an examination and deep attempt at understanding how concepts and categories represented in the diagram intertwine and react with the many moving parts of a campus change event and levels of organizational complexity. Within the scope of this research, specific themes were selected for further literature review exploration based on connection with the research question. A synthesis of the many factors supporting and constraining change within an academic organization has the potential to create a rather large and complex collection of literature that could also muddy the waters of an already complex area of study.

With the culminating goal of this study and attention brought to filling a void in the academic research with the construction of an emergent thematic change model and taxonomy of factors for James Madison University and possibly other HE institutions, the focus of the literature review required considerable narrowing considering the breadth of current literature. This review will create a dependent system of organizational change variables focused on how change impacts the individual, the organization, and its culture.

A broad look at the organizational change literature displays a macro-based perspective highlighting strategic areas from the viewpoint of the organization and management (Oreg, Michel, & By, 2013). These macro-based studies focus on managing organizational change strategically. Available texts spend a great deal of effort describing what change looks like, exploration of common change drivers, planning for change, change in its different forms, and finally the leadership and management implications, in other words, how it should be led. The

conceptual framework below represents many of the factors that constrain and support change in

higher education and this literature review will bring forward those necessary to build a cognitive

framework supported by specific theories.
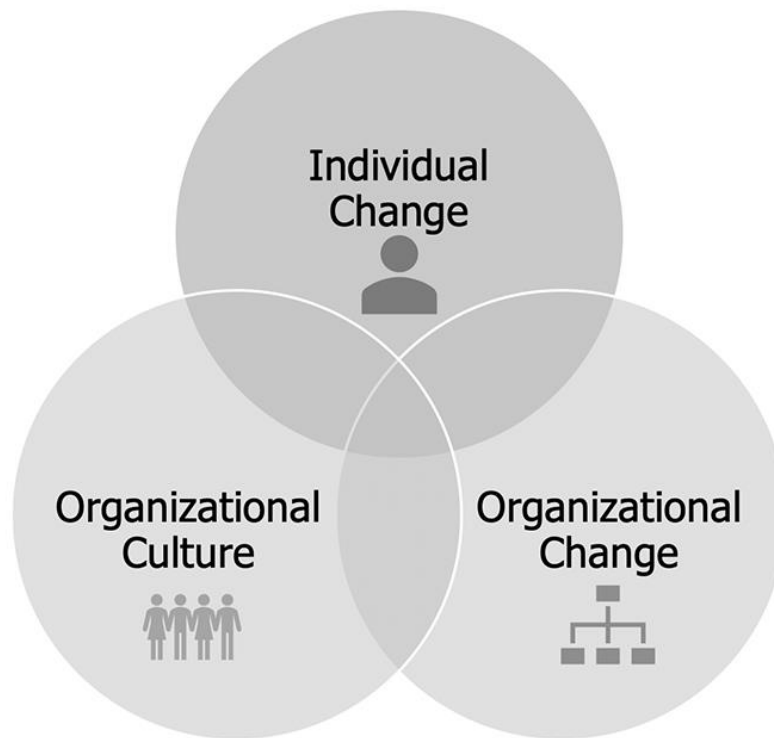
Figure 2: Conceptual Framework diagram

Theoretical Framework

The framework below attempts to connect four independent theoretical underpinnings

woven together to form a narrative examining organizational change through different sets of

lenses including: 1) evolutionary as an evolving process, 2) exploring change as a system, 3)

viewing organizational change as an integration of chaos and complexity through connectivism,

and finally 4) incorporating the perspective of an organization developing and learning as a result

of organizational change events. The theoretical framework in figure 3, provides a visual

opportunity to understand how these theories merge together creating a foundational foothold to

better understand the influential components that drive organizational change.

- **Open System Model/theory** – relationships between internal/external factors and the environment

- **Evolutionary theory** – every organization evolves over time and with evolution comes change

Organization

Evolution

Learning

Change

- **Connectivism** – integration of principles from theories of chaos, network, complexity and self-organization

Organizational Development Theory the connection between implementation theories and change process theories

Figure 3: Theoretical Framework diagram

Theory and Practice

It should be noted that the terms *model* and *theory* are not interchangeable in all cases

even though researchers and scholars tend to blur the lines of separation. *Theory* insinuates

insight or abstract contemplation while the term *model* might be associated with sets of plans or

procedures (Kezar, 2001). In terms of organizational change, disciplines such as business and

psychology prefer to develop models while the sciences and other related fields develop and

debate theories of change (Kezar, 2001). In terms of this research project, change models are not being examined and analyzed, although acknowledgment of their importance for helping to assess change at the macro level that serves as the organizational vantage point for many institutional leaders is necessary. (Kezar, 2001).

This portion of the literature review will examine multiple theories in an attempt to create and connect ideological perspectives about how human beings interact with social organizations during organizational change. Specific areas of influence were selected based on their role in the change process. The basic concept of change evokes thoughts of evolution from a theoretical standpoint. Change cannot happen logically without some form of evolution taking place. In a parallel sequence, if organizational change is to take place, the organization must then develop theoretically in some way shape or form either through climate, culture, learning, or strategical perspectives. As this literature review will discuss later, the concept of learning is integral if any level of sustainability is to occur. A closer look at the relatively modern age learning theory called connectivism reveals its link between change, evolution, and organizational learning. Within the scope of connectivism are the components of chaos and complexity that are both highly visible with any organizational change effort especially in higher education. Finally, viewing the organization as an open system allows a unique look at the whole organization, not its individual components. This allows for closer examination into the interactions and relationships between organizational parts providing a more holistic understanding of the organization, how it functions during organizational change, and its outcomes (Mele, Pels, & Polese, 2010).

Organizational Evolution

Amburgey & Singh (2002), in their research suggest the conceptualization of the organizational process might include the following components: dynamic change over time, present and future trend dependence on prior history (path dependence), multiple levels of analysis, and the interplay of modification and replacement. They continue by informing that the nature of change processes will present differently over time and within the various developmental stages.

The major assumption when examining the many evolutionary theories that exist should be addressed when discussing organizational evolution. Morgan argues that change is dependent on circumstances, situational variables, and the environment (as cited in Kezar, 2001, p. 28). Kezar (2001) continues by suggesting that change occurs because of environmental demands of that most organizations are highly vulnerable to external factors where rapid change, centralization, and extensive coordination are the norm. The higher education environment differs from other organizations from an evolutionary standpoint due to the following factors: differentiation and accreditation, loosely coupled systems, homeostasis, strategic planning, competing forces, differential impact of environmental factors, resource dependency and intentional transformation, external environment moderating forces, and responsive and entrepreneurial institutions (Kezar, 2001).

All theories of evolution contain a common thread with a focus on change, however, when referring to the degree to that analysis takes place creates separation (Amburgey & Singh, 2002). Over time there have been two significant changes in evolutionary thinking. The first is acknowledgement that evolutionary change usually entails concurrent and codependent change at various levels while the second centers around the recognition that causal mechanisms

(modification and replacement of existing entities) not only operate but are inherently independent of each other (Amburgey & Singh, 2002).

Furthering this examination is an attempt to gain insight into the concept of evolutionary phases and what takes place from a behavioral, cognitive, and relationship standpoint. Zollo, Bettinazzi, Neumann, & Snoeren (2016) suggest these capabilities manifest at different stages of the evolutionary process citing the following mechanisms: variation and selection and diffusion and retention. According to Zollo et al., (2016) the variation and selection mechanism entails stakeholder and sustainability issues, searching for potential alternatives, experimenting with possible solutions, and the change initiative selection process while diffusion and retention activities serve as the second mechanism of behavioral, cognitive, and relational elements (Zollo and Winter, 2002).

The relationship between the organization and the environment also takes place within the scope of the evolutionary model of change and its theoretical roadmap. According to Baker and Baldwin (2015), the evolutionary model of change is very similar to the open systems model that is based on systems theory. The correlation between these two models takes place with the relationships and interaction between the organization and environment (Baker & Baldwin, 2015). In order to understand evolutionary change within higher education, Baker & Baldwin (2015) suggest drilling down into what factors trigger and guide the change process while identifying the many forces influencing higher education institutions and the subsequent battle to maintain a sense of balance.

Organizational Development Theories and Practices

A simple review of the literature for a comprehensive definition of organizational development theory will offer a swath of topics focused around three main components: the

environment, design, and change. For the past decade organizational development (OD) has

become increasingly popular from a research standpoint and benefits from a multitude of

organizational change models and theories while helping to develop practitioner-based change

methodologies (Austin & Bartunek, 2003). Procuring change, however, can prove more

challenging. From a behavioral standpoint, OD can influence change without much difficulty,

however change is far more challenging when it must break through underlying issues including

beliefs, values, and unconscious assumptions (McLean, 2006).

OD is defined by McLean (2006) as:

Any process or activity, based on the behavioral sciences, that, either initially or over the

long term, has the potential to develop in an organizational setting enhanced knowledge,

expertise, productivity, satisfaction, income, interpersonal relationships, and other desired

outcomes, whether for personal or group/team gain, or for the benefit of an organization,

community, nation, region, or, ultimately, the whole of humanity. (p. 9).

Porras & Silvers (1991), define OD as a set of techniques, strategies, values, and

behavioral science theories focused on organizational planned change with the intent to generate

individual cognition creating better relationships between capabilities and demands thus

preparing the organization for future change.

A closer examination reveals that approaches to OD are driven by two main theories,

change process and implementation. Change process theory focuses on the change dynamics

that determines how and why change occurs, while implementation theory is concerned with

how actions lead to change and that actions help initiate and guide change (Austin & Bartunek,

2003; Asumeng & Osae-Larbi; 2015). In order to view the connections between implementation

motors, interventions, and change processes, a road map is necessary depicting the OD

interventions that potentially apply (Austin & Bartunek, 2003). The below table outlines this

relationship roadmap.

Table 2

Potential Change Process and Implementation Model Relationships:

Change Process Motors	Implementation Models			
	Participation	**Reflection**	**Action Research**	**Narrative**
	Often used in appreciative inquiry, large group interventions, learning organizations, empowerment	Often used in appreciative inquiry, large-group interventions, learning organizations	Often used in learning organizations, empowerment	Often used in appreciative inquiry, large-group interventions, learning organizations
Teleological (strategy, cognitive framing, change momentum, continuous change)	**X**	**X**	**X**	
Life Cycle (punctuated equilibrium/transformation)		**X**	**X**	
Dialectic (schema change, communication change)			**X**	**X**
Evolutionary (internal change routines, institutional change)			**X**	

Source: Austin & Bartunek (2003, p. 321).

The barriers existing between these two theoretical starting points are segregated further

by the available literature with academic scholars paying little attention to change facilitation

practices and knowledge transfer barriers limiting flow between process and implementation

(Austin & Bartunek, 2003).

From a holistic perspective, OD focuses on changing the organizational work setting to either adapt to the current environment or improve strategically for the future adopting a planned approach to change (Porras & Silvers, 1991). Theoretically speaking, process and implementation development has happened independent of the other. The research indicates large gaps between the two theoretical networks even with potential overlaps indicating a lack of information sharing occurring between those practitioners in the field tasked with refining implantation theories and academic researchers altering change process models limiting further development (Austin & Bartunek, 2003).

Connectivism, Chaos, and Complexity

Helping to connect the theoretical framework is Connectivism. This modern learning theory brings together components of chaos, network, complexity and self-organization theories (Siemens, 2005). Learning in this case takes place in shifting environments not under the control of a single individual and from the organic decision-making standpoint based on rapidly changing platforms (Siemens, 2005). Many of these same tenants are present during organizational change. As the core elements of change evolve over its many stages, learning to some degree would occur in theory. Regardless of sustainability or retention, learning may occur outside of the individual and take place at the organizational level. With a focus on connecting information, the emphasis is placed on the connection itself, that facilitates learning (Siemens, 2005). This modern-day learning theory is driven by decision making based on shifting foundations with new information acquisition happening continuously and a need to prioritize information (Siemens, 2005). The below figure presents the major tenants of connectivism in visual form.
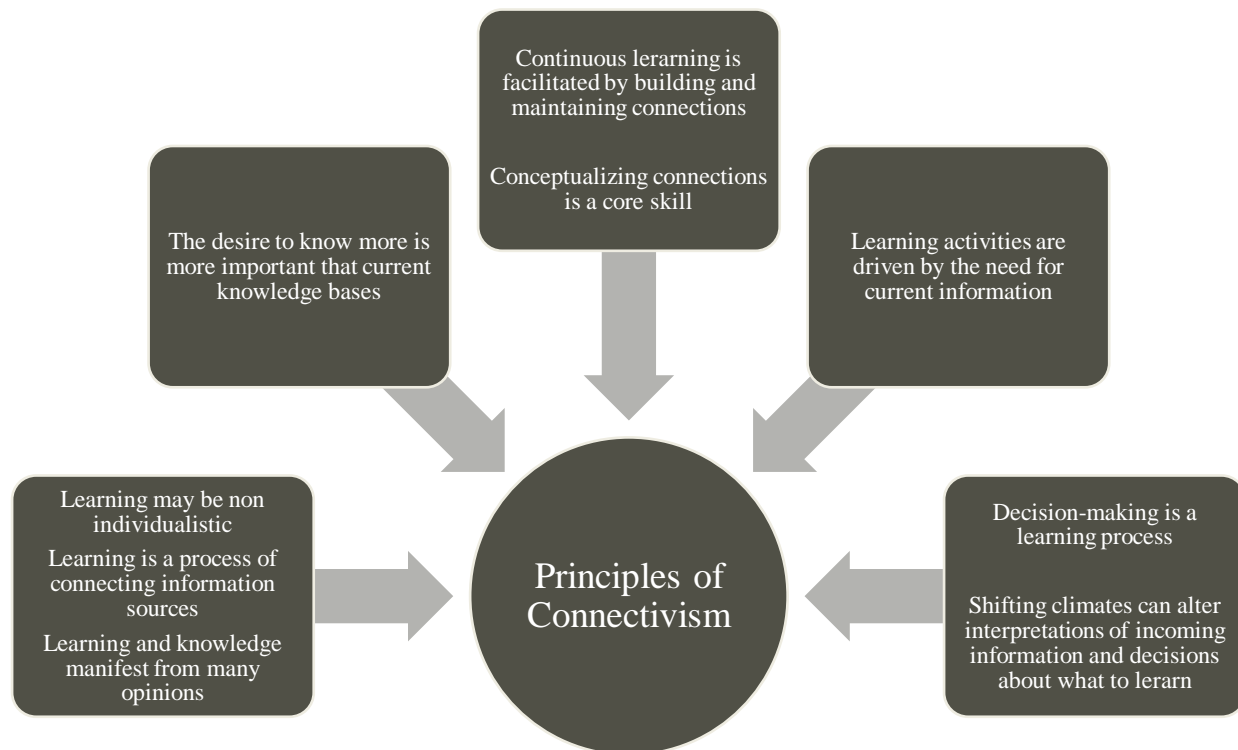
Figure 4: Principles of Connectivism

Source: Siemens (2005, p. 5).

A secondary interpretation of connectivism portrays the theory as networked social

learning and a reflection of our rapidly changing society (Duke, Harper, & Johnston, 2013).

Personal knowledge is another point of emphasis with connectivism suggesting it contains a

network of systems supplying the organization that then gives back to the system or network and

acts as a learning portal for the individual to continue current growth (Duke et al., 2013;

Siemens, 2005).

Unlike early learning theories like behaviorism, cognitivism, and constructivism,

connectivism addresses organizational knowledge and knowledge management along with the

challenge of connecting database knowledge with the right employees and context to be

considered learning (Siemens, 2005). The implication for organizational change is vital when

reflecting on skillsets necessary to plug into a variety of sources as the need for additional knowledge growth and evolution increases. Connectivism in this case bridges the points of the theoretical framework between learning, change, evolution, and the organization.

Before looking at what impact complexity theories may have on organizations and change, it is important to note their concern with "the emergence of order in dynamic non-linear systems operating at the edge of chaos" (Burns, 2005, p. 77). While complexity theory derives itself from mathematics, chaos theory originates from the study of weather and looks at organizations as dynamic systems constantly transforming themselves trying to locate the underlying order from randomness (Jacobs, 2007; Burns, 2005). Applying aspects of both theories, one could argue an institution of higher education acts as the dynamic non-linear system operating near the border of chaos and transforming or changing on a continuous cycle thus evolving from one state to another.

Burns (2005) argues that because organizations are complex unpredictable systems with small changes causing unforeseen ripple effect outcomes, top-down change cannot achieve a state of continuous innovation needed for survival. He continues by suggesting that an organization can only achieve continuous innovation by operating at the edge of chaos (Burns, 2005). Another perspective of how chaos theory can be applied to organizational change takes a systems approach to viewing the organization. Jacobs (2007) suggests that while predicting what a system will do next may be not be achievable consistently, measures can be put into place to help facilitate and perpetuate positive change by considering the initial conditions for change. To avoid chaos, the organization must produce just enough momentum to move things forward toward an environment of continuous improvement (Jacobs, 2007).

Open Systems Theory and Organizational Change

In an effort to better understand an organizations structure, many are beginning to adopt an open systems perspective. However, this approach is not the norm in OD with practical application creating barriers (Brock, 2012). From a systems perspective, an organization can be viewed as simultaneously involved in current environmental transactions (Jacobs, 2007). A quick review of the literature offered three unique perspectives.

Brock (2012) argues that approaching OD and change from a systems perspective is important for practitioners and forward momentum. Caldwell (2012) takes a different perspective looking at the system as processes that are open to change through two internal channels, self-regulation and interactive environmental feedback. Finally, Jacobs (2007) argues that when examining organizational change or improvement, the planning and monitoring phases become most important as each aspect of the open system and its environmental connection points should be considered. This risk assessment takes each element of the open system into consideration when evaluating and developing a plan (Jacobs, 2007).

Further Exploration

Additional perspectives requiring further theoretical exploration include Maslow's hierarchy of needs and the potential impact with change. Maslow (1954) discusses his theory of motivation and five stages of basic human needs, visually represented in the below figure, as a guide for contemplation of human motivation to achieve certain essential components of life. This five-stage model is often depicted as a pyramid with hierarchal levels.
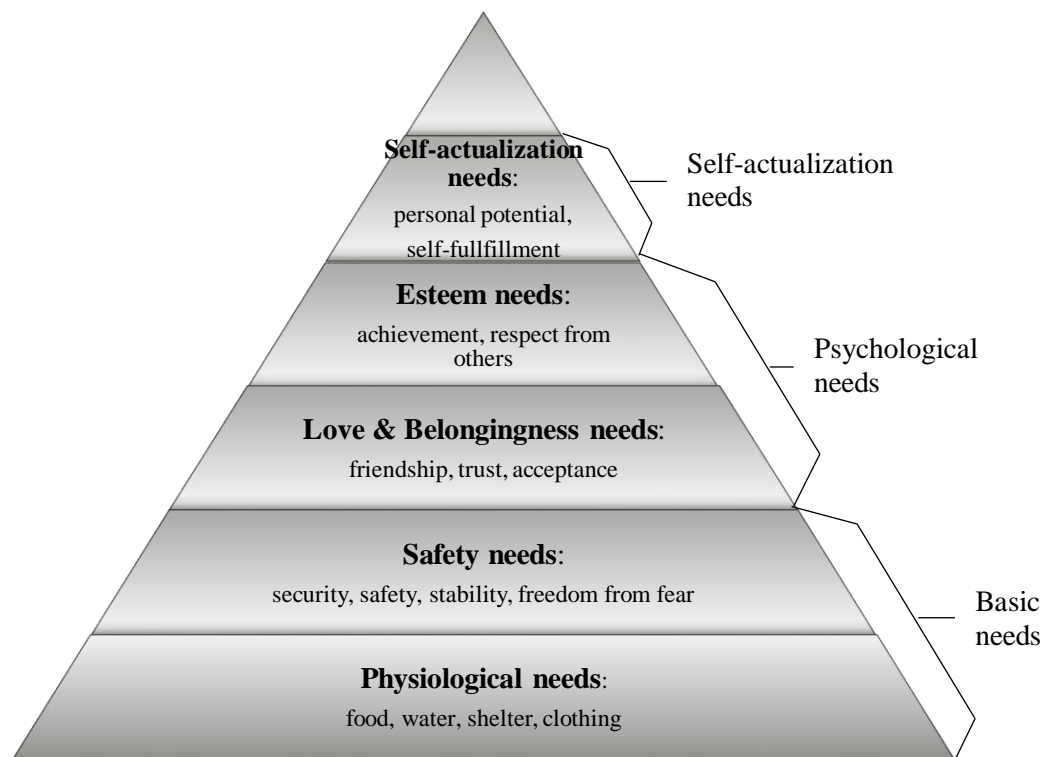
Figure 5: Hierarchy of needs

Source: Maslow (1954).

This hierarchy and its five stages are certainly applicable when analyzing the feelings

people encounter when faced with some degree of organizational change. At the lowest levels

are basic needs which have the potential to manifest as job security, financial impact, and

knowledge and skill set stability. Employees may face fear and uncertainty with any level of

change as a result of stress resulting from perceived lack of basic need support. The next two

levels may find employees concerned about long-term success and trust levels impacting

motivation and behavior. At the highest level, professional growth opportunities as a result of

change, may be questioned by the individual who desires knowledge and understanding.

The following themes are organized systematically to form relationships between the individual, organization, and its culture exploring relevant topics to create a holistic understanding of factors perceived to constrain and support change at a granular level.

Individual Change

Any form of organizational achievement no matter the size or scope is directly influenced by individuals changing in some capacity (Cameron & Green, 2012). As noted by Judge, Thoresen, Pucik, & Welbourne (1999), there was a departure from the systems-based literature approach towards organizational change, and a shift towards an individual led path, citing the success of any change effort is directly dependent on the individuals who make up the organization.

A review of the organizational change literature explores a myriad of relationships and connections between the variables of individual change, organizational change, and organizational culture. Human factors as they relate to organizational and individual change may fall under the category of predictable. Verhulst & Lambrechts (2015) placed specific emphasis on resistance, communication, empowerment, and organizational culture creating connection points between bottom-up and top-down management approaches. Resistance, organizational behavior, and psychology represent three main pillars of individual change with an identified goal of understanding what change looks like from the perspective of the change recipient (Oreg, Michel, & By, 2013).

This section attempts to take a more micro approach to the individual, or in this case, the employee and how they react to organizational change. Much of the current literature focuses on the organization and how the complex topic of change affects its management and development. As Oreg et al., (2013) informs, there is a current shift towards consideration and understanding

of the recipient's perspectives. The current body of literature has further recognized an increase

in attention given to change recipient characteristics and how these influence their reactions to

organizational change (Cullen, Edwards, Casper, & Gue. 2013). This may include, commitment

to change, reactions, attitudes, and adjustments to change.

In some ways these reactions could represent the collective whole of the organization, not

the individual employee. Within social interactions, individuals to some degree become

governed by the norms of the groups they choose to belong with and grouped further through

connection points forming a system of groups interconnected through habits (Cameron & Green,

2012). It is within these systems where change impact is often overlooked from the perspective

of change recipients according to Oreg et al., (2013) who explains that these perspectives require

acknowledgement even if their consequences do not impact the overall success or failure of the

change or organization. Whether it is the introduction of new technology into the workplace, a

change to a business process, change in leadership or personnel, or perhaps the reorganization of

a department, change impacts the lives of those within the organization across all organizational

levels. Organizational change affects individuals differently in terms of how they respond to

change. This idea will be explored further within the realm of resistance to change. Oreg et al.,

(2013) further adds that change affects people's livelihood and overall well-being. "Once

individuals have the motivation to do something different, the whole world can begin to change"

(Cameron & Green, 2012, p. 11).

Change Resistance

A review of specific resistance to change literature brings to light a rich history of

academic study and examination following a timeline of theorists from Kurt Lewin to Coch and

French (Burnes, 2015). This deep collection of research attempts to shed light on a vast swath of

interpretations from understanding resistance, personality, context, ambivalence, individual differences, perceptions, justice, and multidimensional view of attitudes, (Burnes, 2015; Oreg, 2006; Piderit, 2000; Georgalis, Samaratunge, Kimberley, & Lu 2015; Oreg, 2003; Chu & Hsiu, 2015).

Within the scope of this case study, it was imperative to understand the resistance narrative timeline with regards to how these responses to change (Piderit, 2000) are viewed from multiple research perspectives. Secondarily, it was vital to create a more complete understanding into how change affects the individual and subsequent impact. Areas of focus will emerge including the idea of moving away from the concept of the phrase *resistance to change* with more emphasis placed on what this means currently (Dent & Goldberg, 1999), how individual differences interact with resistance, and the role of the change agent.

Defining Change Resistance

One area of specific focus related to change implementation is resistance. Resistance permeates the change process in a spiderweb of interactions from perceptions of employees to context-specific antecedents that can be further broken down into groups focusing on change outcomes and change implementation (Georgalis, Samaratunge, Kimberly, & Lu, 2015).

In terms of academic advancement according to Dent & Goldberg (1999), the body of literature has not advanced significantly over the past 30 years causing some to rethink the research future. With conflicting viewpoints of the future focus around the resistance literature comes conflicting analysis in terms of definitions of *resistance* and *resistance to change* suggesting differentiating and continuously evolving definitions. Ford, Ford, & D'Amelio, (2008) define resistance as, "an unwarranted and detrimental response residing completely 'over there' and arising spontaneously as a reaction to change" (p. 362). Dent and Goldberg (1999)

present a unique difference between resistance and organizational outcomes (the change itself) and individual outcomes (loss of the status quo) including income and environment arguing these cause negative organizational outcomes.

A final perspective from Piderit (2000) suggests highlighting the positive intentions of resistance but also suggests that resistance may also involve a sense of ambivalence in that the employee's thoughts, feelings, and behaviors may not overlap (Oreg, 2006). This creates a multi-dimensional view taking into account how individuals react and respond to change placing these responses in three distinct areas, affective (how you feel about change), cognitive (what you think about change), and behavioral (your actions in response to change) (Erwin & Garman, 2010; Piderit, 2000; Oreg, 2003).

Individual Disposition to Resist Change

Holistically, the available literature on organizational change contradicts itself in many ways. According to Schweiger, Stouten, & Bleijenbergh (2018), there are some in academia who see resistance as a "hindrance to successful change (traditional paradigm)" (p. 658), where others view this from a value perspective (modern paradigm). This battle ground unfolds below taking a critical examination of both the positive and negative viewpoints of resistance and the corresponding impact on human capital.

Oreg (2003) proposed generating an instrument capable of assessing an individual's disposition to resist change and listed the resistance sources that could be extracted from an individual's personality. The six sources and justifications presented by Oreg (2003) are listed in the below table.

Table 3

Sources of Resistance:

Source	Relationship to resisting change
Reluctance to lose control	Changes that are imposed rather than self-initiated can cause resistance because the individual may feel a loss of control with the situation (Oreg, 2003).
Cognitive rigidity	Rigidity and a predisposition to being close minded may indicate an individual who is less likely to adjust to change. We can therefore deduce that cognitive rigidity can be connected to an individual's resistance to change (Oreg, 2003).
Lack of psychological resilience	Oreg (2003) concluded that less resilient individuals are more resistant to change for fear of admitting faulty past practices.
Intolerance to the adjustment period involved in change	Psychological resilience equivocates to an individual's ability to adapt to new situations. New concepts, tasks, and processes require an adjustment period that some may be more accepting of than others (Oreg, 2003).
Preference for low levels of stimulation and novelty	Oreg (2003) deduces that people who resist change display a weaker need for novelty while at the same time those who seek lower levels of stimulation may also resist change.
Reluctance to give up old habits	New stimuli introduced as part of the change process trigger familiar responses. In a situation where a lack of familiar response exists, stress is produced and thus becomes associated with this new stimulus (Oreg, 2003).

The *Resistance to Change Scale* created by Oreg (2003), could predict a person's affective response to change and highlighted the fact that those who were dispositionally predisposed to resist change were met with effective work deficiencies and negative feelings. The concept of the scale predicting resistance behavior across a multitude of different settings indicates that resistance explanations should include a collection of change-related antecedents from a behavioral standpoint and move beyond the contextual setting.

This next section focuses on the positive dynamic and attempts to bring attention to individual reactions to change and their underlying causes. This approach takes into

consideration change-related antecedents or input in the form of person and situation, a person's

cognitive appraisal of change, and the output or in this case, employee reactions (Oreg et al.,

2013). The below figure displays these variables incorporating a systems-based approach

outlined by Oreg et al., (2013).

Processes

- (Person Factors)
- Positive change orientation
- Positive psychological capital
- Employability
- (Situation Factors)
- Change-related fairness
- Trust in Management
- Percieved Organizational Support

Inputs

- Harm
- Threat
- Challenge

- (Employee Reactions)
- Employee emotions
- Retrospective & prospective - Employee withdrawl
- Absenteeism, Intentions to quit, & voluntary turnover

Outputs

Figure 6: Systems approach to organizational change

As Schweiger, Stouten, & Bleijenbergh, (2018) determined, the role of strategies

encouraging employee participation plays a major role in helping organizations tackle resistance

to change. Given the complexity surrounding resistance to change, Schweiger et al., (2018)

concludes that neither paradigm, traditional or modern, cannot account for this organizational

phenomenon. The current collection of research explores the cognitive, affective, and behavioral

dimensions at great lengths attempting to explain the outcomes of resistance to change and

explore the influential variables from perceived threats to trust in management (Erwin &

Garman, 2009). As the research depicts, resistance to change can be depicted both positively and negatively from a practitioner and research perspectives. Positive or negative change outcomes are ultimately a product of relationship strength and impactful constructive criticism (Schweiger et al., 2018).

Resistance and the Change Agent

Although academic research has spent a great deal of time exploring resistance, there remains differentiating views on how organizational resistance is perceived and further operationalized (Erwin & Garman, 2009). A key player in this equation is the role of the change agent. For the purpose of this research study the term *change agent* is defined as, "anyone who has the skill and power to stimulate, facilitate, and coordinate the change effort" (Lunenburg, 2010, p. 1). Change agents can manifest internally as managers selected to oversee the change process or externally in the form of outside consultants.

Perceptions may differ between recipients of change and agents as the change literature suggests noting that most studies include a one-sided approach (Vos & Rupert, 2018). Ford et al., (2008) criticize change agents as contributors of resistance through disruption. This often-overlooked interplay results in the change agent themselves contributing to the resistance. This analysis of the agent-centric view could open the door for additional study into whether resistance manifested as unexplained variables leads to improved change outcomes when leadership and change agents shift perception, energy, and resources into examining the nature of the resistance instead of labeling and dismissing.

Within their study, Ford et al., (2008) further criticize resistance recipient responses perceived as a one-way that diminishes any form of interaction between participants and their subsequent relationships. They further argue that agent responsibility for resistance as a

byproduct of their own actions and their role in the process allowing the agent to make sense of employee reactions to change. As noted by Schweiger et al., (2018) the role of employee participation organizationally perpetuates positive relationships and outcomes with organizational change.

Perceptions and interpretations pose significant challenges for agents and recipients faced with overcoming resistance. Within the scope of their study, Vos & Rupert, (2018) inform that change agents perceive resistance levels to be higher than the employees and further fail to mitigate and reduce resistance levels between resistance to change and influential behaviors of leadership. This scenario however could be influenced by a myriad of variables including strength of relationships, trust in leadership, and agent credibility. Relationships can become unpredictable during organizational change occupying a complete representation of the spectrum. It is the change agent who assumes responsibility for relationship building with those involved, maintaining dialogues investigating the source of resistance while moving forward with change implementations (Ford et al., 2008).

When viewed from a systems perspective, the agent-recipient relationship occupies a single point within the matrix network of open systems operating independently of each other at the same time relationally dependent on the other matrix systems that form the whole representing organizational change.

Resistance to Change and Higher Education

Organizational resistance to change impacts colleges and universities much in the same manner as the corporate sector with a few glaring differences. This includes governance and assumptions about power, influence, role, status, and locus of control (Lane, 2007). From an

outside perspective, universities appear slow to change while mitigating a sea of variables including tradition poised as roadblocks for implementation (Caruth & Caruth, 2013).

From an academic organizational standpoint, the literature suggests many factors causing change to become bogged down at both the individual and organizational levels. A recent study by Lane (2007) broke down these variables looking at contributory resistance factors and secondarily examining change resistance factors with the field of medical education. The following figures display these barriers of change.
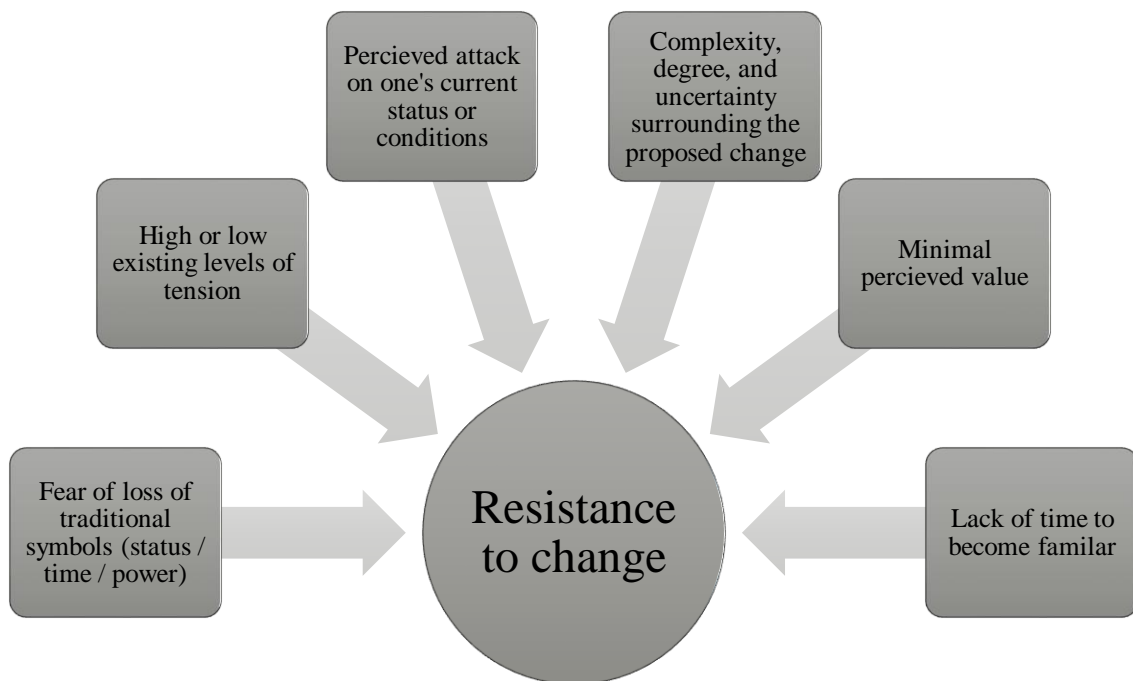
Figure 7: Resistance to change factors with individuals & organizations

Resistance to Change in Higher Education

Strong existing traditions Lack of percieved need Individual autonomy and independence Faculty professional and disciplinary identification Protection of curriculums	Conservative educational practices Educational theory skepticism or alternate pedagogical viewpoints Percieved attack of current teaching practices Lack of data to support the proposal Lack of rewards	Lack of time to study or implement changes Ineffective curriculum structure Fear of loss of resouces Fear of loss of accreditation Fear of negative impact on students

Figure 8: Resistance to change factors in academia

There are certainly other factors to consider when discussing organizational change and institutions of higher education. As Lane (2007) suggests, accreditation standards have the potential to become significant political and practical change barriers. She continues by suggesting that the effort put forth by higher education to preserve tradition, culture, and values should be considered a strength in resisting changes lacking sustainability. Perhaps reasoning with regard to decision making systems according to Kezar (2005) implies that campuses are underprepared to manage complex organizational change. This phenomenon takes place according to Caruth & Caruth, (2013) because the faculty arm of the institution, not the administrative, controls the governance and practices of the university and further suggests that persuading professors to engage in significant change is challenging.

The democracy of the higher education environment has given faculty a precedent and voice in organizational change initiatives (Caruth & Caruth, 2013). This would indicate as Zell (2003) informs, that without buy-in from faculty members in fundamental practices, the change

will not occur. In Zell's (2003) study examining faculty resistance to change in higher education

the researcher concludes the change process from the perspective of faculty members closely

resembles that of death and dying citing Kubler-Ross's study on terminally ill patients.

Attempting to convince faculty to make fundamental changes poses huge roadblocks for

academic organizations because of the amount of time invested in careers formed by

foundational beliefs and structure (Zell, 2003). As Lane (2007) suggests, faculty resistance to

change is a natural byproduct of the uncertainty surrounding higher education and organizational

change.

Behavior (Acting in Response to Change)

This next section explores an individual or employee's behavior during organizational

change events and change recipient reactions. This may shed light on what causes individual

employee reactions impacting change outcomes. A review of the literature will reveal

overlapping concepts as puzzle pieces representing resistance, behavior as a result of change or

planned change, and the psychology of why certain behaviors exist. The overall impact of these

concepts begins to take shape building a holistic view of what organizational change actually

looks like internally and externally.

Expanding further on how these concepts of individual change created connection points

with the current research study, it was necessary to build upon our understanding of resistance,

that plays a crucial but measured role in this equation. Further exploration into how employees

react to change and perceive change helps build a foundation of knowledge and deeper

understanding into why individual employee feelings, thoughts processes, and behavior exist

towards organizational change. These ideas are all based on a fundamental premise according to

Vakola, Armenakis, & Oreg, (2013), that creates a unique cause and effect relationship between

a change recipients' embracing of organizational change that directly defines their explicit reactions and organizational outcomes.

Reactions to Organizational Change

A recent study conducted by Oreg, Vakola, & Armenakis (2011) examining 60 years of quantitative study surrounding reactions to change reveal a complex matrix of links between antecedents, pre-change antecedents, explicit reactions, and change consequences. Further investigating change reactions conceptualized as tridimensional attitudes, the researchers sought to provide a big picture look at change recipient reactions and organizing structure for further research (Oreg et al., 2011). The below figure from Oreg et al., (2011), attempts to recreate the complex network of possible connections between antecedents, reactions, and consequences while representing only a small slice of possible variables.
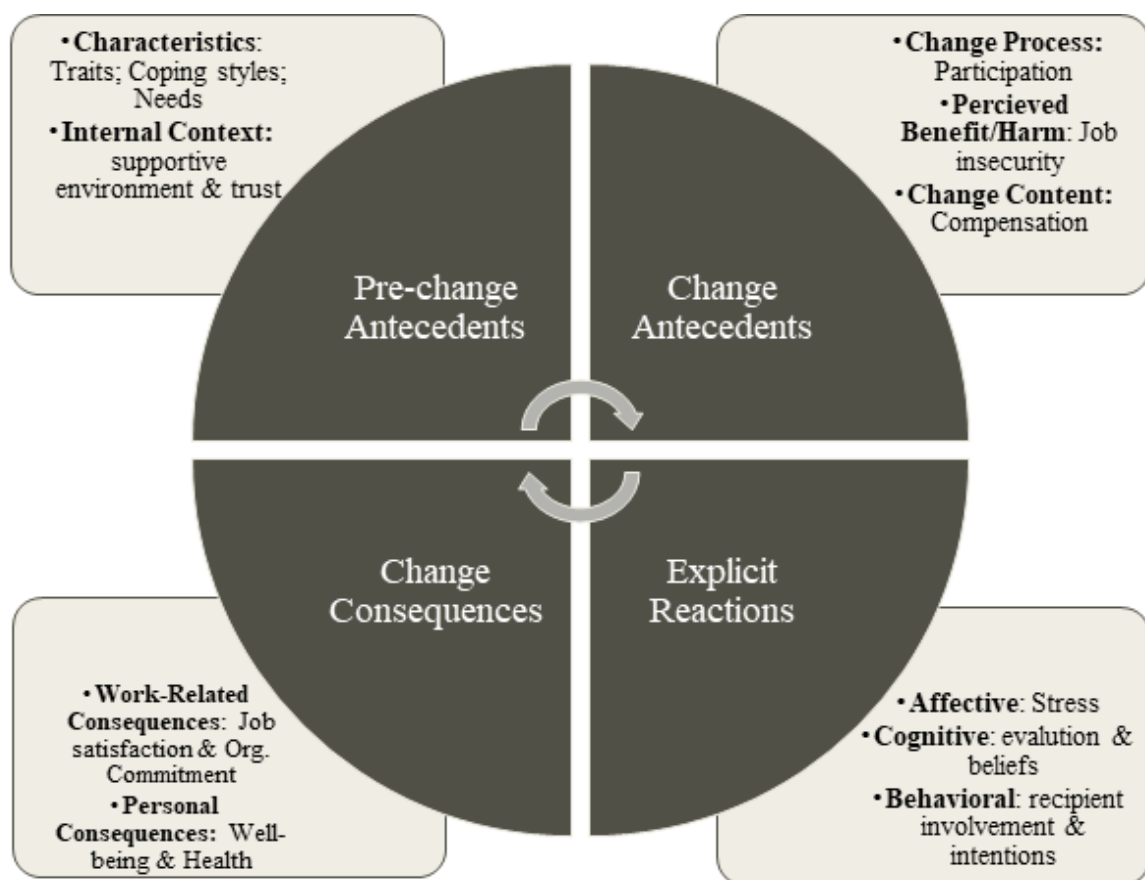
Figure 9: Antecedents, explicit reactions, and change consequences

A second study by Vakola, Armenakis, & Oreg, (2013) builds on the model constructed by Oreg, Vakola, & Armenakis, (2011) representing relationships between change variables including, outcomes or consequences, reactions, and antecedents. Vakola et al., (2013), provides a holistic view of change recipients reactions to change from a granular set of lenses examining change recipient characteristics that may act as indicators of reactions to change. Prior studies have established the idea that different people will react differently in a specific situation. It is these reaction-based differences caused by factors within an individual that propagate bias towards reacting in a specific way (Vakola et al., 2013).

A thorough understanding of these cause and effect relationships are necessary to assess organizational change. As Oreg et al., (2011) suggested as a result of their comprehensive qualitative review, the information provided within their review is essential for any researcher attempting to design a comprehensive assessment of an organizational change event. Taking this a step further, it is not without reason to conceptualize this research as a springboard to develop a similar assessment tool specific for the higher education environment.

Oreg et al., (2011) further informs that researchers need to avoid confusion when including terminology referencing antecedents, reactions, and outcomes noting that variables such as job satisfaction and organizational commitment could be viewed as either and both an outcome of change and a pre-change antecedent.

Change Agent responses to recipient reactions

The goal of any change initiative or project is ultimately success. This however depends on many variables aligning themselves to form positive outcomes. The role of the change agent is vital to organizational change progress and success. How the agent responds to the reactions

of change recipients directly impacts perceived success or failure (Oreg et al., 2011). After a review of studies pertaining to change recipients' reactions, the consensus seems to place blame on the participant and further perceive them as an organizational obstacle for the change agent. As noted by Oreg et al., (2013) and previously raised by Dent & Goldberg (1999), the collective of research and use of the term *resistance to change*, fails to take into consideration the possibility of the change agent or the change itself assuming responsibility for a portion of the emerging resistance during organizational change not the employee.

This interaction between the change agent, interpreted reactions, and organizational outcomes hinge on the perspective of the change recipient. The impact of neglecting to consider recipient perceptions of change or understanding and incorporating their perspectives in the design phase can produce unhealthy organizational consequences (Oreg et al., 2011).

Psychology of Change

This next section will be broken down into three areas exploring organizational change psychological factors including commitment to change, psychological empowerment, motivation, readiness, and practical considerations. Readiness for and commitment to change, openness to change, and cynicism about organizational change often serve as attitudinal constructs that depict employee attitudes (Choi, 2011). The researcher adds these construct interpretations provide valuable insight into individual appraisal of organizational change including stressors.

Adding to this discussion is the construct interpretation of employee change attitudes from Bouckenooghe (2010), who added to the above list with resistance to change, acceptance of change, coping with change, and adjustment to change describing each as interchangeable. Change is very much an individual experience with possibilities for both positive and negative

outcomes (Bouckenooghe, 2010). Interpreted similarly in terms of potential outcomes is the argument that attitudinal constructs are easily influenced by situational variables that based on individual experiences may evolve over time (Choi, 2011).

Many forces can emerge influencing this section of the organizational change paradigm. Possible contextual factors include: leadership effectiveness, history of organizational change, and perceptions of support, participation, and trust among employees (Choi, 2011). In light of recent research into the topic of employee attitudes toward change, Bouchenooghe (2010) suggests a lack of clarity amongst those in the field with regard to concept relationships and differences.

Commitment to Change

At the core of all psychological reactions are drivers or constructs reflecting a belief structure. A recent study examined both psychological empowerment and affective commitment to change as complementary but separate psychological reactions to organizational change (Morin, Meyer, Bélanger, Boudrias, Gagné, & Parker, 2016). A second study identified six organizational factors that impact employee perceptions of and commitment for change (Maheshwari & Vohra, 2015). These factors include culture, leadership, cross functional integration, training, communication, and technology. The researchers identified the importance of positive employee perceptions noting the factors mentioned earlier and the results of their collision with perceptions and employee commitment to change (Maheshwari & Vohra, 2015).

As noted by Bouckenooghe, Schwarz, & Minbashian (2015) and Herscovitch and Meyer (2002), a model was created that differentiated between three commitment to change types. Affective commitment to change (ACC) that exists on the inherent benefit belief driving support for change. Normative commitment to change (NCC) suggests an obligation to provide change

support. Last is continuance commitment (CCC) where change support is reflected through identifying negative impact associated with change failure (Choi, 2011; Bouckenooghe, et al., 2015; Herscovitch & Meyer, 2002). Common conclusions amongst the commitment literature suggest all three instances of organizational commitment share a negative relationship with turnover intent and other outcomes (Choi, 2011).

The initial study by Morin et al., (2016), identifies affective commitment to change and psychological empowerment as two options for managing change. The researchers noted the first pathway derived from top down methodological approaches attempting to justify the change process while the second option was the result of a bottom-up approach involving managerial support for employee autonomy when troubleshooting change scenarios. These results continue to build upon the previously established theme supporting value with employee participation and involvement with the organizational change process (Lane, 2007; Choi, 2011).

Change Motivation

What motivates an individual to venture away from the safety of the status quo into a den of risk and uncertainty? What would motivate an employee to foster work place change and an alternate outlook triggered by a self-initiated effort? Insight into what motivates these individuals is certainly of great value to any organization faced with the uncertainty surrounding organizational change (Chrusciel, 2007).

From an individual and organizational perspective, the concept of being proactive or making things happen is a self-triggered action bringing change to the desired environment (Parker, Bindl, & Strauss, 2010). The researchers cite the goal-driven process consisting of proactive goal setting and attempts to achieve the goal along with motivational states prompting goal generation and sustainability as key factors in this proactive process. This self-driven

motivation identified by Parker et al., (2010) originates from three states: Can do, Reason to, and Energized to.

Rewards serve as a form of motivation as researched by Buch and Tolentino (2006) who revealed four reward categories (intrinsic, extrinsic, social, and organizational). Conclusions included favoring intrinsic and social rewards as more valuable amongst change participant's even though all four were perceived to have value (Chrusciel, 2007). Bush and Tolentino (2006), build on this by noting that the relationships between perception of rewards is dependent upon employee participation levels adding that in order for rewards to motivate employee involvement, there must be an established link between these variables with the rewards being communicated prior to employee involvement.

From the perspective of both Change Agent and Change Champion, motivation can manifest in many forms. Two recent studies examined motivational factors of those assuming this role and predictors of organizational change looking at change agents' meaningful project work experience and organizational identification (Chrusciel, 2007; Specht, Kuonath, Pachler, Weisweiler, & Frey, 2017). Chrusciel (2007), adds that champions appear as team players not star performers and gain reward from team success. They believe there is an organizational benefit from the change while seeking to increase their value and respect. In the second study, intrinsic motivation was linked to task performance perceptions for change agents through meaningful experiences (Specht et al., 2017). The researchers further inform that motivation to benefit others holds equal importance for change agent effectiveness and is fueled by a climate teaching change through organizational identification. Specht et al., (2017) further suggests that change agents could bring great value to university implementation of change.

Change Readiness

Within the scope of the organizational change literature, employee attitudes toward organizational change gain as much if not more attention than any other topic. According to Rafferty, Jimmieson, & Armenakis (2013) even with this depth of behavioral and psychological study we still have limited understanding of change readiness. Readiness can be viewed as an employees' beliefs, attitudes, and intentions in terms of identified need for the change and the organization's ability to actually make those changes (Armenakis, Harris, & Mossholder, 1993). Essentially, readiness can increase organizational change effectiveness by acting as a roadblock to resistance. It should also be noted that readiness differs from intentions that are formed as motivation influencing behavior (Rafferty et al., 2013). This might indicate how much effort a person is willing to exert or the lengths they will travel.

From the perspective of the change agent or champion it may be organizationally beneficial to approach change from a proactive standpoint in terms of readiness and play the role of coach than monitoring for resistance (Armenakis et al., 1993). The researchers suggest that readiness implementation should be based on the urgency of the change and levels of employee readiness. They also add that readiness needs to be maintained throughout large scale change conducting readiness efforts throughout avoiding insufficient levels for the overall project.

Organizational Change

Within the context of the change process, the individual employee and organization merge together forming a complex co-dependent relationship equally reliant on the other to achieve potentially beneficial outcomes. In order for this phenomenon to occur, a myriad of impactful variables must first join, then align themselves for perceived success to transform into measurable success.

From a systems perspective, the output might entail many questions about the organizational change. Key concepts develop to help answer these questions form a framework from that to operationalize change. Answers to the Why, What, and How of change can provide great insight for those involved, however, any shift in variables can drastically change outcomes. Kezar (2001) identifies examples of each: forces and sources that inform the *why* of change; First and second order, scale, foci, timing, and degree all pertain to the *what* of change; Adaptive/generative, proactive/reactive, active/static, and planned/unplanned refer to the *how* of change; and finally, these outcomes are linked with the *target* of change. Answering these similar questions about change and understanding that ones to ask accomplishes step one, the analysis (Kezar, 2001).

A review of available management textbooks in an attempt to define *organizational change* reveals the absence of a universally accepted definition. The definition varies depending on what model is used for examination (Kezar, 2001). Organizational change might be described as not happening without environmental forces first triggering awareness and action (Anderson & Anderson, 2001). Perhaps it should be defined taking more of an organizational development approach and could be viewed as, "a set of testable ideas and practices about how social and technical systems can coexist to produce individual satisfaction and sustainable organizational results" (Cummings & Worley, 2009, p. 17).

In order to understand the relationships connecting organizations and change, focus should be placed in the realization that specific outcomes associated with change are directly tied with people (Hiatt & Creasey, 2012). Organizations cannot change unless the individuals within the organization also change. In order to achieve desired organizational outcomes, the organization must leverage framework connections including leadership, vision, and

communication to link the individual with change. Lending a perspective from academia, there

is a need to emphasize and underpin the theoretical aspect of change management to help guide

involved change agents from conception to conclusion (Exter, Grayson & Maher, 2013).

The current organizational change narrative according to Pollack (2015), shows a divide

between change management practice and theory. Exter et al. (2013) tell us that much of the

existing change management literature forms a rear-view approach in an attempt to explain the

emerging change process. According to Pollack (2015), the existing change literature may prove

useful in providing models and frameworks for understanding change management's activities.

However, one key connection point is still missing. The literature neglects to address a growing

concern of practitioners who engage in the management, facilitation, and implementation of

change projects within organizations, (Pollack, 2015).

More often than not, practitioners must choose from a group of existing change models as

guideposts. John Kotter's eight steps of change is one such model that has proven popular both

inside and outside of higher education. Specific instances include, curriculum changes, learning

environments, organizational change in response to an aging workforce, and identification of

project gaps to promote long-term change survival. Pollack & Pollack (2014) however, cite a

lack of specific research instances analyzing application of Kotter's eight stage change

management model. Application of Kotter's model provides real world examples that provide

key takeaways in varying organizational change scenarios. While Pollack & Pollack (2014)

confirm the linear process of Kotter's eight steps, they further observed multiple instances of the

change process overlapping other stages each moving independently of the other. Chowthi-

Williams, Curzio & Lerman (2016) note that while using Kotter's model as a guidepost

throughout their management analysis, they observed a lack of leadership among guiding teams,

a vision that failed to reach the front lines, and failed communication strategies. In a secondary study incorporating blended learning environments, Quinn, Yousef, Lonie, Blackmore, Thompson & Pettigrove (2012) suggest that further emphasis is placed on Kotter's model as a road map for future change.

This section examines organizational change from the perspective of higher education. Building on the platform of academic institutions as unique organizational structures and attempts to understand these organizations must first take place. Further review of change in higher education identifies critical ingredients for effective change management including: the forces of higher education change; power, authority, and decision making; shared governance, faculty and responses and finally individual involvement and learning. The importance of managing the many complexities of organizational change directly impacts perceived success and failure. This portion of the literature review adds to the organizational change equation with specific attention and consideration given to the higher education environment attempting to support this study's research question with previous research.

Change in Higher Education

From a macro perspective, the current education focus at both national and international levels is change, transformation, and transition (Govender et al., 2005). A description of higher education change might include "collegiality, extended dialogue, consensus, an emphasis on educative excellence, and respect for academic tradition" (Storberg-Walkert & Torraco, 2004, p. 816). The researchers add that the pace of higher education change is much slower than private sector noting the complex governance structure, distinct higher education culture, and diverse constituencies and collaborations. Govender et al., (2005) adds that a sound process takes an

organized and planned approach with elements of strategy, structure, and training visible to facilitate change.

On a more micro level, a key component of the organizational change process is engagement of those tasked with creating actual change. The following list noted by Kezar (2001), should undergo some level of consideration and represent key variables higher education institutions must wrestle with in negotiating organizational change. Consideration should also be given to the idea that these distinct characteristics will vary from one school to another.

Table 4

Institutions of higher education unique features:

Interdependent organization	Relatively independent of environment	Unique culture of the institution
Institutional status	Values-driven	Multiple power and authority structures
Loosely coupled systems	Organized anarchical decision-making	Professional and administrative values
Shared governance	Employee commitment and tenure	Goal ambiguity
	Image and success	

For higher education there becomes an identified need for understanding that change can be both unpredictable and chaotic (Storberg-Walkert & Torraco, 2004). Therefore, the approach to change for higher education should be one of caution accounting for existing values and structure (Kezar, 2001).

Understanding the Nature of Higher Education

The foundation of any university is a professional or disciplinary system functioning as an interdependent self-contained collection of parts (Bruns & Bruns, 2007). Organizational change can become a slow process due to tension between the faculty and administration. Stress between these higher education governing components originates most of the time from rumors,

miscommunication, and conflict, that are all forces working against effort needed to make

organizational change successful (Bruns & Bruns, 2007).

At this stage it is important to acknowledge a familiar higher education paradigm

simultaneously acting as a barrier for any university change initiative. As Hotho (2013)

explains, the established link between tradition and a new system of change reluctance, leaves

the academic side of the institution trapped in an alternate dimension of inadequate managerial

effectiveness.

Critical Ingredients and Forces of Change

Storberg-Walkert & Torraco, (2004) identified three major forces of change within the

scope of their multidisciplinary approach to evaluating change in higher education, *fiscal and*

budgetary constraints; information technology growth in higher education; and *market forces*

and increased competition for students. They conclude that the identifying objectives in higher

education are shaped simultaneously by these forces adding that these cause significant

operational and management change in traditional business.

Fiscal and budgetary constraint concerns have been raised about the quality and access

of higher education as a result of rising costs from higher education during times of stagnant

economic growth and declining public support (Storberg-Walkert & Torraco, 2004). The

researchers add that *information technology growth in higher education* continues to be a key

force for change with its rapid transformation of learning while *market forces and increased*

student competition reveal additional scrutiny among educational program selections and greater

competition for students among higher education institutions.

Kezar (2001) developed a core set of principles noting change as a human process taking

into consideration higher education distinctive characteristics, a context-based balancing act of

internal and external forces, while also leveraging change and being open to creativity. The

figure below provides select portions of Kezar's change principles (2001).

Table 5

Key principles of change:

How institutional culture affects change	The political nature of change in higher education	Open to a disorderly process
Articulate core characteristics	Focus on image	Connect the change process to institutional and individual identity
Create a culture of risk	Different organizational levels will need different change models	Strategies for change may vary by change initiative

Power and Authority Structures

Although power has been defined many different ways, it is generally accepted that

power is the ability to influence, control the activities of, and produce change in others

(Birdbaum, 1988). Of the five different forms of power within social groups mentioned by

Birdbaum (1988), colleges and universities rely on referent and expert power instead of coercive

(prisons), reward, or legitimate power (businesses) (Kezar, 2001). Referent power results from

the willingness to be influenced by someone else because of one's identification with them,

while expert power is displayed when one person accepts another's persuasion and influence

based on some special knowledge (Birdbaum, 1988; Kezar, 2001). Kezar (2001) adds that

faculty are likely to be influenced by referent power through other trustworthy community

members who share core values such as academic freedom and ethics rather than salary increases

or administrative sanctions (Birdbaum, 1988).

A recent study brought many of these core power structures into play in an attempt to

investigate how new university presidents manage institutional dynamics. The results suggested

that presidents who employed coercive power were met with more resistance with some attempting to offset resistance through reward implementation (Gearin, 2017). Additionally, in situations where presidential power was challenged there were instances where presidents abandoned transparency attempts retreating to their own cognitive biases consequently increasing resistance (Gearin, 2017). These displays of power have the potential to cause alienation with various forms of power causing problems for higher education administrations (Birdbaum, 1988). These representative examples of short-lived success using coercive and reward-based power according to Gearin (2017) further suggest that earned referential and expert power builds momentum for complex future change initiatives.

On the opposite side of the power equation lies individuals and groups who lose institutional power and influence. In essence, they undermine change efforts. By increasing their ability to assert their status and influence they escalate institutional conservatism acting in veto blocks (Birdbaum, 1988). In other words, they act to maintain the status quo. The status quo is the only organizational change outcome that cannot be prevented.

An additional wrinkle in this equation lies with academic institutions and their competing authority structures (Kezar, 2001). In most organizations, strategic planning is directed and coordinated by the administrative function with those ranking highest on the organizational chart relying on administrative authority to direct others (Birdbaum, 1988). A different source is academic authority, that is maintained by faculty and distributed amongst subgroups further complicating the issue of power (Kezar, 2001). These experts according to Birdbaum (1988), rely on professional authority, grounded in autonomy and individual knowledge, to deliver specialized knowledge and judgements that are not governed by others. While these power processes are incorporated by faculty and administrators there is additional evidence of power

and authority levels among trustees, the state, and internal charismatic individuals (Kezar, 2001). Dual systems of power and authority attempting to create change face numerous challenges including wide spread collaboration, higher education politics, and a process that can take months or even years.

Decision Making

Conflicting viewpoints emerge from the literature when taking a deep dive into the decision-making process within the higher education environment. On one hand according to Bruns & Bruns, (2007), bureaucratic authoritarian relationships operate in the context of one office having authority over another. This might include formal chains of command or office hierarchies whose practices are dictated by policy specifying institutional relationships (Bruns & Bruns, 2007). Examples of a bureaucratic office may resemble Professor, instructor, and graduate student or dean, provost, and president (Bruns & Bruns, 2007). At the same time this structure might also resemble Vice President, Assistant Vice President, and Director or Director, Coordinator, and Assistant. While each of these sets of examples represents a different governing extension of the university, sources of power appear clear in the administrative arena while this might be unclear for other parts of the institution.

Kezar (2001), informs that ambiguity surrounds the question of who holds authority at academic institutions. Trustees hold the final authority however, over time faculty and administrators have developed some level of authority (Kezar, 2001). She continues with the idea that large amounts of time are spent in committees and task forces where policy, procedure, and decision making are the topics of conversation.

In some cases, a complete sub culture is born based on the locus of decision making. At larger and more complex schools, individual departments gain a level of decision-making

autonomy reinforced by management philosophy in that the department is responsible for its own affairs (Birdbaum, 1998). Birdbaum continues by informing that without the ability to influence the administrative core, faculty will retreat to smaller groups in an effort to defend their influence and status (1998).

An alternative approach to decision-making is the collaborative approach using an action framework where the management role takes the form of facilitator and facilitation instead of the traditional top-down dictatorial process (van Rhyn & Holloway, 2004). Incorporating this approach, the change affected employees form groups empowered to build outcomes and engage actively in the change process from both management perspectives (top-down and bottom-up) (van Rhyn & Holloway, 2004). The researchers added that senior managers and employees are considered equal change process participants resulting in enhanced engagement, outcome ownership, resistance reduction, and more effective organizational change.

Faculty Involvement

The current higher education landscape has yet to fully embrace faculty involvement in institutional decision making (Bruns & Bruns, 2007). Faculty in general seem non-receptive to innovation, technology advances, strategies, and new university initiatives. Many faculty who resist change are unwilling to accept a role in the decision-making process presenting a continuous challenge for higher education institutions (Bruns & Bruns, 2007). Bruns & Bruns (2007) add that both faculty resistance and lack of change process involvement present a gap for higher education between what is expected to be accomplished and what is actually being accomplished.

Bruns & Bruns (2007), contend that the lack of faculty higher education decision making involvement is a result of how institutions are managed across the board with many schools

facing faculty members who are not receptive to innovations, strategy, and planning. Adding to this scenario is a desire among higher education institutions to develop a consensus within an individual department or campus wide that can also carry damaging side effects slowing the change process and sometimes grinding it to a standstill (Bruns & Bruns, 2007).

The participative change management approach is presented in the change literature as an alternative pathway in hopes of delivering a greater level of change success by involving employees from the beginning encouraging active involvement, complete participation, and psychological ownership of the change process (van Rhyn & Holloway, 2004).

More often than not, universities openly favor the top-down managerial approach to decision-making that is usually instrumental in senior leadership appointments (van Rhyn & Holloway, 2004). Stewart (1997), as cited in van Rhyn & Holloway (2004), brings attention to the fact that:

University decision making structures encourage lots of fights about little things, while the important decisions - such as shutting down departments or opening a campus in Bangladesh – are made by senior managers who may or may not know what they are doing. (p. 36)

Bruns & Bruns (2007), identify another variable causing resistance to change and lack of faculty involvement with institutional decision making. This may be a byproduct of individual agendas or faculty members desire to pursue knowledge within their disciplines maximizing rewards and opportunities for mobility instead of addressing university-wide issues with minimally perceived intrinsic gain. If faculty did become more involved in the decision-making process, institutions of higher education might be better prepared for future changes (Bruns & Bruns, 2007). The challenge lies within the process.

Shared Governance

Kezar (2001), claims that institutions of higher education are loosely connected systems with a decentralized decision-making power structure obtained through shared governance. This decentralization of decision making and decrease in administrative authority is a direct result of an increase in faculty specialization (Birdbaum, 1988). The governance structure is formed with trustees and board of regents who are given authority over institutional areas such as finance (Kezar, 2001). The operational functions of the university are then shared between the faculty and administrators.

As a result of this shared governance structure, the administration on many campuses is separated from the remainder of the university. (Birdbaum, 1988). Birdbaum (1988), points out this creates a state of isolation between faculty and senior leadership and a likelihood to communicate only within similar working groups. Within this isolated subculture, member interaction reduces differences allowing for greater involvement and power operating through influence with broad buy-in necessary and the veto power option available (Kezar, 2001; Baldridge, Curtis, Ecker, and Riley, 1977).

Kezar (2001), claims that in terms of facilitating higher education organizational change, it may be helpful to rely on political models of change in environments where power is spread. She continues by noting that shared governance varies from school to school and by institutional type and provides the example of community college systems that tend to have less institutional governance involvement.

Over the last decade, shared governance is the most singled out factor and root cause of slowing organizational change that results from collective and collaborative decision making and length of time required to gain buy-in (Collins, 1996; Johnstone, Dye, and Johnson, 1998; Kezar,

2001). As Kezar (2001), points out, this dynamic symbolizes the "nature of the institution" and the "professional orientation of faculty" (p. 74).

The Management of Change

Change management at face value involves a collection of interventions to facilitate the change process requiring consistency and proper execution (Raineri, 2011). For most organizations this includes a set of programs or practices put in place to mitigate external or internal forces in anticipation of, or in reaction to, some form or organizational change. There exists a breadth of academic and professional literature focused on these change management practices that support the change process (Raineri, 2011).

For higher education institutions, this can present as a formidable challenge for senior administration (Brown, 2013; McMurray, 2001). As already mentioned, there are forces appearing as shared governance, decentralized decision making, faculty involvement, and power structures all acting as potential roadblocks. Additionally, there are the institutional dynamics surrounding how change is managed by the different university extensions. In other words, change on the administrative side has the potential to be managed quite differently than change from the academic realm.

As Hotho (2013) informs, academics are seen as reluctant to change, resistant to management, bound to collegial and professional obligations that includes loyalty to academic freedom thus limiting management effectiveness in future department head or dean level management roles.   The collegial system in this case acts to maintain the status quo. Academic managers are viewed as suspicious of change initiatives that directly collide with their academic independence and lack of desire to impose any form of changes to this unique environment (Hotho, 2013).

From a Human Resource Development perspective, the literature surrounding change management tends to reside under two umbrellas. The academic literature leans toward being conceptually oriented while practitioner literature is case driven (Raineri, 2011). This section looks at the management of organizational change in three stages, the preparation, the implementation, and outcomes.

Change Preparation

The preparation or planning of change coupled with the implementation and inevitable outcomes create what is referred to as the change process.   This process can be broken down into two affected groups. The *change strategists* or those in charge of planning the change and the *change receptors* or those who receive the impact of the change (Raineri, 2011; Jick, 1992). Attempting to define a change strategist, Raineri (2011) informs of the responsibility to incorporate change management practices and outlines the potential for bias when analyzing the implementation of an organizational change program.

The internal biases of those planning change could be explained by perceptions. If an accountability reporting line exists, the potential increases for reporting a higher use of change practices in preparation stages. This meets a desired threshold that might suggest intent to implement practices that may or may not ever reach their intended target (Raineri, 2011).

Multiple approaches should be considered when planning for large scale change with consideration given to potential impact individually, organizationally, and culturally. In most cases a top-down (management driven) or bottom-up (emerging and participatory-driven) management approach is adopted. Brown (2013) suggests that top-down approaches work with consensus formed, confident, and predictable outcomes but can encounter opposition with lack of agreement with the changes or resistance opportunities. Top-down change must be efficient

to be perceived as successful and includes control over change outcomes (Brown, 2013). The researcher continues by suggesting that this creates a unique scenario where this change management approach might control project outputs, for example procedures, while managing time and resources but is unable to control project outcomes.

Another pathway toward the management of change may lie with *distributive leadership* or what (Keppel, O'Dwyer, Lyon, & Childs, 2010) describe as an alternative approach. The focus revolves around collaboration, shared purpose, responsibility, and recognition of leadership minus the influence of organizational role with a central concept that solid leadership is essential for learning and practice (Keppel, et al., 2010). With the individual still the focus of most leadership approaches in higher education, the distributive leadership and collective approach alternative has been systematically slow in gaining any momentum (Jones & Harvey, 2017). The researchers argue for a change in mindset towards a new multilevel distributive leadership approach claiming this change supports an effective higher education response to external pressure.

The concept of distributing leadership may provide additional deliverables as a result of organizational change by increasing trust and knowledge sharing (Lee, Gillespie, Mann, & Wearing, 2010). Shared or distributive leadership can be described as a team process where instead of solely relying on one individual holding the position of team leader, leadership responsibilities are conducted by a group of team members deemed capable (Ensley, Hmieleski, & Pearce, 2006; Lee et al., 2010).

The final change management preparation practice borrows from HRD.   The organizational diagnosis requires high level analytical skills from managers who are usually specifically trained with interpersonal and political skills to communicate the change plan,

implement change, and managing the cultural impact. These practices according to Raineri (2011), highlight navigation of a managerial pathway filled with potential in higher education for irregular distribution of change management approaches.

Change Implementation

Organizational status and credibility of higher education project leaders and managers is a key factor for effective project work (Carter & Halsall, 2000). Taking into consideration the complexity of any academic institution, this would suggest the importance of selecting the proper personnel with wide implication for implementation success and embedding development initiatives (Carter & Halsall, 2000). A recent study by Hotho (2013), reveals that contrary to the popular and widely accepted perspective that higher education is heavily change averse, the research presented a complex interface between the management of the change agenda. Hotho (2013) describes a scenario where academic middle managers attempted to align aspects of both academic and corporate platforms. This blended approach and middle of fence position allowed middle managers to facilitate organizational change through management practices constructed to align objectives effectively (Hotho, 2013).

Change management success in higher education according to Carter & Halsall (2000) is dependent upon development leaders two-sided roadmap to leadership blending participative and consultative approaches to create productive outcomes transitioning from pilot programs to widespread institutional implementation. In conjunction with the soft management tools of distributive leadership that includes stakeholder involvement, team-based management, and visual evidence of moving forward together, this management approach is widely used and recommended as a catalyst for organizational change (Hotho, 2013). This range of implementation approaches suggests a dilemma for the academic middle manager who is faced

with commitment to the change process through a portal of collegial and corporate intersections creating a framework of uncertainty that allows them to pick and choose between discourse and practice (Hotho, 2013).

Finally, Lawler & Stilltoe (2010) argue that an organizational learning approach operating in conjunction with some level of change management could allow for all stakeholders to provide feedback, learn from the process, and increase future change initiative effectiveness. However, facilitation of learning organizations requires existing conditions between academic leaders and staff resulting in organizational silence to be resolved requiring support, training, and open feedback (Lawler & Stilltoe, 2010).

Outcomes

Raineri (2011) concluded that evidence suggests the use of change management practices directly impacts the outcomes of organizational change. The change literature spends a great deal of time addressing the change process from the perspectives of planning and management but offers little in terms of change outcomes segmenting this further into success and failure. Even in the case of the academic literature, little is written about positive organizational change results, however entire journal articles are focused on reasons why change fails and how the popular concept that 70% of all change initiatives fail achieved blanket acceptance (Hughes, 2011; Burnes, 2011).

A recent study by Mosadeghrad (2014) conducted a comprehensive research review and revealed a list of the main obstacles impeding successful implementation of organizational change programs (p. 211). This list is compared in the table below with the "eight mistakes" Kotter (2012) reveals as change errors common to organizational change efforts and their consequences (p.16). Kotter takes a more granular approach focusing on the change vision and

small victories while the opposing group of obstacles looks more holistically at common change

barriers leading to negative outcomes.

Table 6

Comparison of key findings contributing to change failure:

Mosadeghrad's list of main obstacles	Kotter's "Eight Mistakes"
Lack of top management support	Allowing too much complacency
Insufficient education and training	Failing to create a sufficiently powerful guiding coalition
In-appropriate organizational culture	Understanding the power of vision
Employees' apathy and resistance	Under communicating the vision
Poor leadership	Permitting obstacles to block the new vision
Poor communication	Failing to create short term wins
Lack of financial support	Declaring victory too soon
Lack of a plan for change	Neglecting to anchor changes firmly in the corporate culture

Kotter (2012) adds that these common transformation errors directly lead to slowing of

new initiatives, creation of unnecessary resistance, employee frustration, and in some cases

stifling needed change. A comprehensive understanding by management into why these barriers

exist and how to overcome resistance to change needs to be replaced with willingness to change,

strong leadership, planning, training, and culture development for any positive impact to occur

(Mosadeghrad, 2014; Kotter, 2012).

Organizational Culture

The term "culture" is an anomaly of ambiguity. It means different things covering a wide

range of ways of thinking and representing the true nature of the word is complicated. The

power of culture lives in the specifics and various interpretations of commitments, assumptions,

symbols, and artifacts that frame organizational identification (Dull, 2010).

Culture can be defined as a set of group shared assumptions about how the world is and should be and determine group predictions, thoughts, feelings, and at some level, overt behavior driving actions and responses (Schein, 1996; Bowers, Hall, & Srinivasan, 2017). A secondary definition provided by Schein (1984) defines organizational culture as:

the pattern of basic assumptions that a given group has invented, discovered, or developed in learning to cope with its problems of external adaptation and internal integration, and that have worked well enough to be considered valid, and, therefore, to be taught to new members as the correct way to perceive, think, and feel in relation to those problems. (p. 3).

From a leadership perspective it would appear imperative to have a historical cultural understanding prior to engaging in any form of organizational change. The below table outlines key factors of the three distinct organizational cultures derived from (Bowers et al., 2017, p. 555) including the hierarchy culture, clan/adhocracy culture (Kinicky & Fulgate, 2012), and the elitist culture (Wiener, 1998).

Table 7

Organizational Cultures:

Hierarchy	Clan / Adhocracy	Elitist
Rigid and tiered structure	Contain very few rigid and formal processes	Resembles a dictatorship
Core values are strictly defined	Entrepreneurial spirit and empowered workforce	Intrinsic qualities or perceptions of worth
Compliance driven by detailed processes and systems	Willing to take risks	Power is spread amongst a few
Risk averse	Risks can become a detriment in crisis situations	Organization believes it has special privileges and responsibilities
Culture filled with policy and regulations		Believe that rules applying to other organizations do not apply to them
Individual creativity limited		

Attempts at understanding the change process can manifest as micro-level data dives. The problem with micro approaches occurs with specifics that may not be of much help to others (Kezar & Eckel, 2002). The challenge lies in locating a balanced middle between identification of practical findings to guide the change process with an option available to incorporate the cultural perspective (Kezar & Eckel, 2002). The researchers add that little has been offered to the body of literature from the perspective of institutional culture affecting organizational change variables with a literary assumption that culture is somehow related to the change process.

This portion of the literature review adds to the organizational change equation with specific attention and consideration given to the role of organizational culture operating independently of and within a higher education environment. This examination of organizational culture and its impactful relationship within the larger scope of change in higher education will connect this study's research questions with previous research. The influence of leadership and leadership style play an equally important role in the success and failure of organizational change and will be explored within this section presenting its individual piece of the puzzle. Finally, a look into organizational learning and the impact this can have on the change process especially within the landscape of higher education.

Behavior, beliefs, perception, fear, and trust are just a few of the many building blocks associated with organizational culture. Harrison (1994) tells us that organizational culture can shape beliefs and assumptions that focus people's attention and channel their efforts that in turn creates beliefs about how change occurs. Building on this idea is a definition from Arif, Zahid, Kashif, & Sindhu (2017), who inform that organizational culture originates from internal stakeholder traits and beliefs that allow them to perceive about their internal environment while coping with external issues.

Trust can be identified as an essential issue in leadership. The ability to gain employee trust helps tremendously with improving organizational performance and commitment (Lee, Gillespie, Mann, & Wearing, 2010; Hao & Yazdanifard, 2015). While leadership may shape culture, culture in turn is formed by trust between the employees and organizational leadership (Hao & Yazdanifard, 2015). In order for any change process to be viewed as successful, the dynamic between employees and leadership must include trust and development of a positive organizational culture.

Climate and Culture

At first glance, these terms seem somewhat interchangeable and could easily be used out of context citing their complementary nature. However, organizational culture and organizational climate represent different psychological aspects of every organization (Bowden & Russo, 2017). Climate represents the status quo or safety, the way things have always been done around here, reflecting an understanding of environment from an operational standpoint. This might include employee perceptions about reward and compensation systems, leadership, organizational structures, autonomy, and creating new positions (Bowden & Russo, 2017). The researchers continue suggesting that organizational culture represents the norms and expectations that create workplace behavior.

In other words, organizational climate represents the conditions employees experience while culture represents the collective values and beliefs generating and reinforcing behavior that in turn create a cause and effect relationship with climate and outcomes (Bowden & Russo, 2017). Bowden & Russo (2017) further inform that organizational climate improvement directly relates to change in behavioral norms while organizational culture change depends on time and effort.

From the higher education perspective, the organization includes a collection of cultures representing diverse perspectives and agendas. A recent study focused on institutions that violated their culture during change and ultimately negative outcomes. These examples bring credibility to the notion of change process missteps and often avoidable cultural misunderstandings had leadership ascertained a greater depth of understanding regarding the surrounding culture (Kezar & Eckel, 2002). Fundamental for success in any change process is the ability to interpret and understand institutional culture in order to match change strategies (Kezar & Eckel, 2002). In order for culture changes to take hold reflecting environmental changes, the values, norms, and cultural dimensions must allow for flexibility (Duse, Duse, & Nemes, 2011).

This brings to light a secondary concept for higher education that considers how to measure the success of cultural change initiatives given that successful outcomes can become subjective perceptions that do not guarantee cultural change initiatives to be viewed positively by all organizational levels (Gover, Halinski, & Duxbury, 2016). This unique situation adds a level of complexity to any attempt to measure not only the success of organizational change but cultural impact as well.

Attempts in higher education to change or manipulate the operational norms of the climate are usually met with resistance as this would mean a departure from the safety of the status quo. The bleed over in higher education from the traditional influence of the academic extension creates an environment slow and resistant to change of any kind leaning on the well-established benchmark of, well that is the way we have always done it.

Leadership and Organizational Change

The greatest amount of attention has been directed towards leadership, involvement, and how employees are treated during change (Herold, Fedor, Caldwell, & Liu, 2008). A review of the available leadership literature attempts to narrow the focus to include examination into leadership effectiveness during change, leader skills and abilities positively associated with successful change implementation, positive relationships between leadership and change variables, the role of communication and motivation, and finally the role and impact of leadership behavior and style in the organizational change process.

Perception is a word heard often in the change literature. Scenarios including some level of perception look at success and failure, resistance and buy-in, commitment and participation, and the importance of specific skills and abilities. Gilley, McMillian, & Gilley, (2009) argue that organizational implementation of change initiatives cultivating success occurs as a result of management's carefully constructed actions. Gilley, Gilley, & McMillian, (2009) add that effective leaders rely on their communication and motivation skill-sets translated appropriately into behaviors that positively influence change.

As cited in both Gilley et al., (2009a) and Gilley et al., (2009b), there is a group of specific leader skills and abilities that have been previously identified and associated positively with successful change implementation including, the ability to coach, communicate, involve others, motivate, reward and build teams (Burke, 1992; Conner, 1992; Gill, 2003; Gilley, 2005; Sims, 2002; Ulrich, 1998). Gilley et al., (2009b) added to this research and confirmed positive relationships between change effectiveness and specific leadership skills. The researcher further identified positive relationships between rates of change success and leaders' behaviors.

While specific leadership behaviors are important, success may ultimately reside with a leader's ability to communicate, motivate, and build teams incorporating a model of interpersonal skills to grow change success (Gilley et al., 2009a). Adopting an integrated approach to organizational change and climate creation filled with active involvement may be a key factor for successful change according to recent findings (Rogiest, Segers, & Witteloostujjn, 2015). However, according to Rogiest, Segers, & Witteloostujjn (2015), the effect of exceptionally clear, concise, and timely communication and information during organizational change might be more important for increasing employee attitudes and change buy-in.

The connection between motivation and leadership provides encouragement on a macro level for the organization to adapt to changing environmental conditions and achieve sustainability (Hao & Yazdanifrad, 2015). On a more micro level, the study by Gilley et al., (2009a) confirms that allowing teams to thrive by creating positive environments, communicating effectively, and motivation of employees are all associated with effectively leading change. The researchers also conclude that motivation is directly affected by the employee experience as a result of work environment and leadership.

The literature indicates a need for leadership development in these vital change process areas of motivation, communication, and teambuilding that are all interrelated and complement each other (Gilley et al., 2009a). While most leadership development programs focus on developing the leader's capabilities in terms of style and role, there is an identified need for future knowledge, building behavioral development with idea generation, development of knowledge networks, feedback, and expertise integration to build and facilitate trust amongst employees (Lee, et al., 2010)

Navigating change successfully for leadership requires a playbook filled with knowledge, skills, and abilities to facilitate the change process. This would involve adaptability and include the concept of belief structures that are difficult to address because of their internal nature. Adaptability is defined by Miller (2001), as "the ability of individuals to navigate change successfully" (p. 362). Some find it easier to cope and adapt than others with some finding the ability to thrive in periods of change. This same mentality applies to leadership except with a much higher threshold. Leaders require advanced adaptability levels during organizational change to account for their own individual change with those displaying low levels more likely to slow change efforts (Miller, 2001).

A recent study observed various leaders during change and categorized them into four groups according to belief structure. Of the four stages described, the final stage represented a preferred set of beliefs for three reasons. According to Miller (2001), leaders gravitated towards this style because of their previous change experiences, career development occurs by embracing tough challenges, and finally a degree of situational application in the form of flexibility to incorporate change tools and the insight to understand when. Table 8 below briefly describes each of the four stages.

Table 8

Leadership Change Beliefs:

Stage	Description
1	Leaders believe that employees will change once they understand the logic of the case for change.
2	Leaders believe that employees can be changed by using powerful communication and symbolism.
3	Leaders believe that to some degree, employees are not ready, willing, or able to change and enlist specific staff to build a change plan.
4	Leaders are concerned about employee's ability to absorb the change and understand that some employees are not ready, willing, or able to change.

Source: Miller, (2001, p. 364).

Change impacts through a variety of lenses and from a leadership perspective, this includes behaviors, skill sets, beliefs, and change methodologies. Lawrence (2015) took an individualistic approach examining what exactly change leaders do in a narrative that focuses specific attention to comparisons and contrasts between traditional change approaches and more modern emergent change insight. The results showed that leaders vary in their approaches to change with both the traditional and modern approaches represented throughout the change literature (Lawrence, 2015). The emergent change process thus connects leadership with organizational and individual components of change. Lawler (2011) suggests that change management and leadership are woven through the emergent change process. This emergent school of thought as it relates to change allows for greater insight into how change happens and allows people to make sense of change through dialogue (Lawrence, 2013).

The impact of leadership on any organizational change endeavor inevitably leaves a lasting footprint. In order to effectively lead an organization through change, leaders require a toolbox of skillsets. Motivation, interpersonal skills, communication, team building, adaptability, behaviors, and internal beliefs can alter the direction of change resulting in positive

or negative outcomes. External pressure forces constant change upon employees with influences rarely minimized that are inevitably replaced by others (Miller, 2001). The deliberate and disciplined actions of a skilled leader can mitigate those forces and ultimately enable effective change (Gilley et al., 2009).

Leadership Style

According to Alavi & Gill (2006), while leadership plays an important role in the overall big picture of managing change, the researchers stress the critical nature of understanding what this means for the organization. This literature review has addressed many of the variables forming a comprehensive understanding of what this role might include. However, in order to obtain a greater level of comprehension, some attention must shift towards the underpinning of leadership styles and their contribution.

There are many approaches the leadership role adopts in shaping follower's responses to change (Herold, Fedor, Caldwell, & Liu, 2008). These approaches might be characterized as a signature style describing their approach to organizational leadership (Bowers et al., 2017). This list might include charismatic, transformational, directive, cognitive, and transactional. All of that could become applicable during any of the many stages of change depending upon one single variable, who is leading the change?

According to Holten & Brenner (2012), leadership style directly and significantly impacts an employees' appraisal of change with long-term effects. If an organizational change process is broken into stages, leadership style appears to carry greater influence during the initial phases more so than the final phases (Holten & Brenner, 2012). In other words, different styles have proven to be more effective in certain situations (Bowers et al., 2017).

The overwhelming consensus leans toward transformational leadership as an effective methodology and a pathway for increased positive change assessment with both short and long-term benefits enhancing the entire change process (Holten & Brenner, 2012). The ability to engage and motivate employees to support and buy-in to leadership's choice of path is perceived as a critical ability of transformational leaders during change (Herold et al., 2008). The transformational leadership style can also directly impact employees' commitment to change positively but only if the leader is also committed (Abrell-Vogel & Rowold, 2014). Self-assured, adaptive, and logical are all traits associated with the transactional leader who seeks input to make informed consensus decisions (Bowers et al., 2017). Bowers et al. (2017) adds that transformational leaders draw from experiences, think strategically, are detail-oriented, and can see the big picture.

Authentic leadership styles rely on influence of values to increase commitment and learning by increasing transparency, promoting ongoing development, and encouraging idea sharing (Alavi & Gill, 2017). This might lead to a conclusion that authentic leadership processes promote positive organizational change outcomes. Alavi & Gill (2017) build on this adding that hope, trust, resilience, optimism, and self-efficacy might impact commitment to change, cynicism about change, and promote change readiness.

Bowers et al. (2017) describes the transactional leader as focused on details, intelligent, and a by the book leader who gets the job done. This leader is leveraged by rules and regulations and not a good fit for managing the dynamics of crisis situations (Bowers et al., 2017). The researchers continue by describing the directive leaders as strong and decisive with a take charge approach, possessing well-defined expectations with clear communication. This style may hinder change initiatives that require flexibility and innovation. Finally, Bowers et al. (2017)

describes the cognitive leader as perceptive and imaginative with knowledge and specific expertise who is a big-picture strategic thinker and participative decision maker.

When an employee makes the internal decision about whether they are supporting the change initiative and how much effort they will put forth they rely heavily on their view of the leaders making the request (Herold et al., 2008). Leadership style would certainly influence this decision as the employee attempts to assess their views of the leader, communication efforts, influential voice, and support levels (Herold et al., 2009). The researcher further suggests that it would seem logical that the degree to that these assessments are conducted would depend on how the employee's job is being impacted.

Organizational Learning

From a strictly logical standpoint, based on the established link between the individual and organization from a change perspective, learning outcomes are dependent on each other. Organizational learning can take place as a result of change or even within the individual stages of change. Within the field of organizational learning, opportunities for change take residence in both individual and collective learning (Blackman & Kennedy, 2011).

In order to gain an understanding of how these components work together, an examination is required into the complexity of change and learning, including the evolving language that can become confusing to those who are unfamiliar. Abyad (2017) describes organizational learning simplistically as "the way an organization learns and adapts" (p. 31). Cummings & Worley (2009) provide additional insight informing that organizational learning "enhances an organization's capability to acquire and develop new knowledge" while knowledge management "focuses on how that knowledge can be organized and used to improve performance" (p. 538).

Learning organizations as described by Senge (1990) include situations where learning cannot take place because the organization assumes learning is part of the daily life. He adds that learning organizations contain groups of individuals who continuously desire to increase capacities of creativity (Abyad, 2017). Cummings & Worley (2009) define learning organizations as possessing the ability to constantly learn and change on their own where employees are proactive and empowered to take the initiative and change the organization. From a theoretical perspective, if organizational change attempts are to be perceived and measured as successful and sustainable, then regardless of change methods, some form of shift must take place within the collective of employees thinking and behavior (Blackman & Kennedy, 2011).

According to Cummings & Worley (2009), there is a growing movement amongst researchers and practitioners with regard to specific features of a learning organization that fall into five interrelated categories shown in the below table.

Table 9

Learning Organization Characteristics:

Characteristic	Description
Structure	Organizational structure emphasizes teamwork, internal and external networking, promotion of information sharing, and involvement in decision making, systems thinking, and empowerment (Cummings & Worley, 2009, p. 542).
Information systems	Organizational learning includes gathering and processing information as information systems for learning organizations provide an infrastructure (Cummings & Worley, 2009, p. 542).
Human resource practices	Includes appraisal, rewards, and training while knowledge development reinforces the acquisition and sharing of new skills and knowledge (Cummings & Worley, 2009, p. 542).
Organizational culture	This would include having a strong culture that promotes openness, creativity, and experimentation among members. The cultural values and norms provide social support for successful learning (Cummings & Worley, 2009, p. 543).
Leadership	Both organizational learning and knowledge management depend on effective organizational leadership. Learning organization leaders display the openness, risk taking, and reflection necessary for learning (Cummings & Worley, 2009, p. 543).

One of the criticisms from the organizational learning literature is the optimistic perspective that all learning is positive and leads to positive outcomes (Blackman & Kennedy, 2011). However, when adding the individual to this equation, knowledge transfer, management, and retention may not fit with their current mental models and the idea rejected. I this instance, learning reinforces the status quo instead of acting as a catalyst for effective change (Blackman & Kennedy, 2011).

Cummings & Worley (2009) add that the following factors must be visible for learning to be considered organizational: it achieves an organizational purpose, it is shared throughout the organization, and learning outcomes are cemented within the organization's DNA including systems, structure, and culture. Lack of positive outcomes fueled by doubt can also alter the effectiveness of both organizational and individual learning. Instead of absorbing, synthesizing,

and applying knowledge to promote and support change, the learning process may exist strictly

to maintain the status quo (Blackman & Kennedy, 2011).

With this framework built, organizational learning can be separated from individual

learning. In other words, it is possible for an individual employee to gain knowledge and learn

while the organization does not (Cummings & Worley, 2009). For example, an employee may

figure out how to improve a business process critical to operations and never share that

information with anyone. The opposite is also possible for the organization to gain knowledge

and learn without the employee learning (Cummings & Worley, 2009).

Organizational Learning and Higher Education

The literature clearly reveals a connection between organizational learning and change to

the degree that college and university administrators comprehend the difference between

planning, implementing, and sustaining change (Boyce, 2003). Boyce (2003) continues by

suggesting that until recently, higher education has lacked focus with regard to organizational

learning with limited emphasis. A recent study by Blackman and Kennedy (2011) take this a

step further and dispute the consistent optimistic approach from the organizational learning

literature suggesting that individual and group learning could negatively impact the organization

both from a knowledge and capability standpoint. Their research looked at institutional

knowledge flow during change and found that employees presented with ambiguous information

gave them the opportunity to assess perceived important information as unreliable and invalid

(Blackman & Kennedy, 2011).

The challenge for successful change to take hold in higher education according to Boyce

(2003) is a reduction of planning and implementation and an increase in development and

sustainability. She continues by suggesting that in order for institutions to alter consequences,

outcomes, and inquiry, the collective must reach a threshold of learning to produce successful change. The question remains, can institutions sustain a learning environment and reach an acceptable threshold of learning to produce actual change that can be measured and deemed sustainable.

Chapter Summary

The relationships created as a result of the proposed theoretical framework designed for this literature review allow the reader to consider four unique perspectives of organizational change. The very concept of change suggests states of existence shifting from one reality to another. This evolutionary underpinning connects the outcomes of organizational change and considers that in order for any change to occur, not only must the organization evolve, but so must its individual parts. A great deal of emphasis is placed on the interaction between the organization and the environment both internally and externally during organizational change.

While process and implementation are the two key areas of focus with organizational development, change can expand well beyond even these parameters. Organizational change could certainly be described as a process filled with shifting environments not controlled individually where learning occurs. Connectivism and its integration with complexity and chaos theory offer a modern-day theoretical look into the many transactions occurring independent of one another. These may seem insignificant, but collectively offer a wide-angle view at the multitude of information connections allowing the organization to walk the line of chaos. The circle closes as the many environmental forces and their relationships are analyzed allowing for a roadmap to materialize in an effort to guide the organization through the turbulent waters of change.

From a practical standpoint, those in professional fields may look to theories and models in an effort to ascertain a working understanding of organizational change only to find a sea of contradictory arguments and lack of solid information. The body of change literature leans more in the direction of describing why change takes place but falls dreadfully short in providing a knowledge base for facilitating or creating change (Kezar, 2001).

Chapter 3 - Methodology

This section focused on the methods used for this study. This includes, the research design, population and sample, instrumentation, data collection and procedures, data analysis, and the protection of the human subjects. This study took place at James Madison University and was the focus for the case study. Data collection and analysis from this research has the intended outcome of informing a thematic model and taxonomy of change factors for this situated context.

Research Design

This study utilized a qualitative case study that explored and examined the factors that constrain and support change in a higher education context from the perspective of JMU leadership and support at all levels.

In his report, Golafshani notes that qualitative research incorporates a naturalistic approach that attempts to make sense of phenomena existing in specific contextual settings (2003). Further, the researcher makes no attempt to manipulate the desired phenomena. In this specific research the phenomenon is organizational change existing within the specific contextual setting of higher education. This qualitative case study additionally incorporates core principles and methods of grounded theory including analytical code development from the data and simultaneous data collection and analysis involvement (Charmaz, 1996). This study focuses on how the participants subjectively view organizational change at JMU and further what factors and constraints do they perceive as positively and negatively affecting change.

The Role of the Researcher

From the onset of my journey through this master's program my focus has remained on organizational change and more specifically its impact within the higher education environment.

As I navigate the complexity of this research endeavor, I rely on my own experience in Human Resources at James Madison University. This includes leadership and facilitation of a departmental migration from paper to electronic records.

The role of the researcher in any qualitative study should include engagement with the data collection, analysis, and synthesis of the information that form conclusions. My years of experience as a student, staff member, and instructor in conjunction with a former career in broadcasting have helped in the collection of data, awareness, and attempted removal of personal assumptions and bias. My current role in Human Resources provides opportunity to develop and work with high level administrators organizationally. Therefore, it is my desire to reduce internal bias as much as possible considering my working relationship with some participants being interviewed. I have incorporated an openness and awareness mentality to this research process in an effort to prevent personal bias from influencing the direction of the findings and conclusion.

I conducted this qualitative case study research to bring light to a void of directly applicable change for higher education, an absence of tools and resources for those tasked with facilitating change at James Madison University, and an inability to measure the results of organizational change at James Madison University. The absence of these resources prevents the university from building an integrated framework for organizational change, development, and measurement for effectiveness.

Methodology for Research

For this research I used a qualitative case study method, focused one-on-one interviews, and integrated data analysis to generate informed results and conclusions. In an effort to explain how and why organizational change takes place in higher education and more specifically at

James Madison University, the researcher chose this approach. The need for clear understanding of this social phenomenon within the scope of the university is vital for construction of a thematic model and taxonomy of change factors. In this case, the research question attempts to explain "some contemporary circumstance" (Yin, 2018, p. 4). Additional relevance for a case study approach is evident through the interview questions and desire to construct a thorough description of this complex organizational and social phenomenon (Yin, 2018).

From a technical standpoint, the case study research method is defined by Yin as an "empirical inquiry that investigates a contemporary phenomenon within its real-life context, especially when, the boundaries between phenomenon and context are not clearly evident" (1994, p. 13). The case study inquiry "copes with the technically distinctive situation in that there will be many more variables of interest than data points. One result relies on multiple sources of evidence with data needing to converge in a triangulating fashion. Another result benefits from the prior development of theoretical propositions to guide data collection and analysis" (Yin, 1994, p. 13).

This comprehensive research strategy brings together data collection and analysis to form an inclusive method (Yin, 1994) and an avenue to form a holistic understanding of organizational change in higher education and JMU.

The process began with approval from the IRB following successful submission of the IRB application and an expedited protocol number of IRB-19-0109. The next phase included filtering of sample groups from Table 12 incorporating an inclusion/exclusion five-year threshold. This included a completed query request form with the Human Resources office asking for name, position, department, number of employees supervised, and start date for all current JMU employees. The query results were filtered to remove those employees who did not

meet the five-year inclusion and exclusion criteria and finally sorted into the final sample groups from Table 12. Purposive and random sampling techniques were applied to determine that employees were contacted to participate in this study. Once confirmation of participation through phone and email communication was secured, participants were scheduled for one on one interviews in late November and December of 2018 and were conducted through January of 2019.

Population and Sample

The population to be examined in this study consist of faculty and staff (full-time) at James Madison University, a mid-size university in the south. In 2018, James Madison had a total of 1,466 full-time and part-time instructional faculty of that 78% of faculty have a doctoral or terminal degree (James Madison University, Facts and Figures, 2018).

Full-time classified staff in 2018 included 576 males and 810 females employed in a variety of positions encompassing the following categories: administrators and managers, office and clerical, professional non-faculty, service/maintenance, skilled crafts, and technicians and paraprofessionals (James Madison University, Statistical Summary 2018). Ethnicity of the population is displayed in Table 11.

Table 10

Full-Time Classified Staff Ethnicity Demographic Breakdown:

Ethnicity	Total Classified Staff	Percentage of Full-Time Classified Staff
American Indian	0	0%
Asian	15	1.06%
Black or African American	36	2.55%
Hawaiian/Other Pacific	0	0%
Hispanic	32	2.26%
White	1,241	88.01%
Multi-race	16	1.13%
Non-Resident	8	0.56%
Unreported	62	4.39%
Totals:	1,410	100%

For the purposes of this study, Table 12 below has broken down the overall JMU population into five categories with descriptions of each. Each of these categories represents a specific sample of the larger population. Included within these categories are current and former faculty and administrators with varying levels of instructional responsibility.

Table 11

Categorical samples for this study:

Sample	Description
1) **Campus President, Vice Presidents, Provost, and Vice Provosts**	This group would include the President, Senior Vice Presidents and Vice Presidents, Provost & Senior Vice President, Vice Provosts, and additional Senior leaders including: • Brian Charette (Special Assistant to the President for Strategic Planning & Engagement) • Art Dean (Executive Director for Campus & Community Programs for access and Inclusion) • Susan Wheeler (University Counsel and Special Assistant)
2) **Campus Assistant Vice Presidents and Deans**	This group would include Assistant Vice Presidents and Deans
3) **Campus Directors and Academic Department Heads**	Described and defined in this study as supervising more than 10 employees or having the title of Director, Department Head or Associate Vice Provost.
4) **Campus Managers**	Described and defined in this study as supervising less than 10 employees.
5) **Campus Support Staff**	Described and defined in this study as supervising zero employees.

The samples for this study are also subsets of the target and available population that will include inclusion and exclusion criteria. Participants are assumed to have experienced in some capacity, either from a leadership or follower standpoint, a HE change event. A further reduction of potential samples will include a benchmark point of five full-time years of service at JMU. Sample sizes will be determined using query results based on the above criteria from PeopleSoft, the Human Resource Management Information System used at JMU. Because of the amount of perceived potential employees within samples, a purposive sampling technique was chosen and applied to Groups 1 and 2 from Table 12.

The remaining groups have the potential to display much greater sample sizes even after application of the inclusion and exclusion criteria. Once this portion of the population was divided, a cluster random sampling technique was used in conjunction with a random number generator, www.randomnumbergenerator.com. Further examination of these remaining groups lacked significant strata capable of altering the representativeness of the population thus eliminating this technique. For this research study and with regards to Groups 3-5, a cluster random sample process ensured that all individuals within the population had an equal probability of being chosen (Trochim, 2006).

Further, the reduction in sampling size with regard specifically to Group 1 and 2 may provide results below an acceptable threshold if stratified random sampling was incorporated. Careful consideration was given to using stratified random sampling with Groups 1 and 2, however, because of the potentially small sample sizes, purposive sampling was chosen to allow the researcher to incorporate what is already known about the population. The total number of participants was 25.

Trochim (2006) defines purposive sampling as sampling "with a purpose in mind" (p. 56). In this case the researcher accumulated as much insight as possible into how change effects these two specific groups after filtering with the established five-year inclusion and exclusion criteria. Sampling for proportionality was not the primary concern. This sampling methodology used for Groups 1 and 2, layer multiple techniques borrowing from expert, non-proportional quota, and heterogeneity. This research specified the number of sample units at five within each group with these individuals having known demonstrable experience based on leadership role within the universities organizational hierarchy, and a desire to include all opinions and views of

these individuals as it relates to the scope of this research without concern for proportional representation (Trochim, 2006).

These sampling techniques will also provide an adequate representation of how change impacts leadership across the James Madison University campus and all divisions. Divisions at James Madison University are broken down to include the following: Academic Affairs, Access and Enrollment Management, Administration and Finance, Student Affairs and University Advancement. A careful review of university and divisional organizational charts will assist in identification of all categorical employees.   JMU is a typical HE institution and provides adequate samples representative of a university that has experienced change in the past and currently experiencing change with senior administration leaders retiring.

The proposed sampling techniques will allow a link to be established between the samples and the initial research question. Groups 1 and 2 will provide insight into how JMU change practitioners and leaders plan and facilitate change and what determines success and failure of change events. Groups 3, 4, and 5 will shed light on how change effects staff emotionally, behaviorally, and psychologically. They are a typical representation of a campus cross section of leadership and followership where change has been dictated. These subgroups of the overall population will provide unique perspectives into what factors constrain and support change at JMU.

Finally, prior to selection of candidates from Groups 1 & 2, the researcher sought opinions from two JMU employees in Director Positions who are familiar with the majority of the potential candidates. During the final process of selection, the researcher carefully considered factors including, previously obtained opinions, race, sex, and years of service at JMU.

Instrumentation

Data collection for this research was comprised of in depth semi-structured retrospective one-on-one interviews with all of the groups represented in Table 12. Data was provided directly from the participants involved in this study. In determining both the data collection method and instrument, it became clear as with all qualitative studies that some if not all of the data would manifest from interviews (Merriam & Tisdell, 2015). Relying heavily on the foundation of this method with the absence of observable behavior, feelings, and people's interpretation of the surrounding world adds difficulty in replication of past events and interviewing becomes a clear pathway of collecting data (Merriam & Tisdell, 2015). The interview method of data collection was further selected as being the preferred technique for conducting intensive case studies and further to represent a wide range of ideas from a small sample size (Merriam & Tisdell, 2015).

Semi-structured interview schedules were utilized to conduct individual interviews and the responses were audio recorded. Two interview schedules were utilized, one for Groups 1 and 2 and another for Groups 3, 4, and 5. Interviews in qualitative research studies tend to be more "open-ended and less structured" (Merriam & Tisdell, 2015, p. 90). Data collection was conducted in a one-on-one setting allowing for probing and follow up questions to be asked of participants.

Selected and relevant questions with Groups 1 and 2 were incorporated to gain an understanding of how change is facilitated and communicated from a senior leadership perspective at JMU. These two groups provided direct insight into the psychological and political structure of change, the drivers and barriers that can derail change, and the factors that constrain and support change across the JMU campus.

This same data collection technique was incorporated with Groups 3, 4, & 5 using relevant questions specific to recipients of change directives at JMU. These groups provided rich and valuable insight into the individual impact and human factors of change. Investigating the impact of attitudes, motivation, emotions, resistance, culture, perceptions, and communication are a few of the areas that will be researched through open-ended questioning.

Instrument questions for all groups were developed after researching existing instruments and including additional relevant questions. The final interview schedules consisted of foundational questions from three doctoral dissertations included in Appendix D from Turner (2017, p. 133.), Appendix F&G from Basiratmand (2013, p. 180-182), and Appendix A from Weiss (2012, p. 193). Additional questions as noted were added and both protocols were reviewed by both the researcher and thesis chair. Final versions of questions were altered slightly to reflect the current higher education environment at James Madison University. These previously used instruments were incorporated into this study because of not only their use in previous research studies but also their scope and coverage of the research topic.

Interviews with all sample groups were recorded with consent from each interviewee using an audio recording application. Interviews were audiotaped and transcribed for accuracy ensuring that everything that was said during the interview was preserved for transcription and analysis (Merriam & Tisdell, 2015). Below is a sample of interview questions used during this research study. The complete instruments are outlined in Appendix C and Appendix D.

Sample Interview Questions:

1. How would you describe organizational change at James Madison University?

2. What is the role of leadership and/or management before, during and after an organizational change? What is the importance of each role?

3. How were changes implemented? When did they occur and what was your

    involvement? Who else was involved in the change implementation? How would

    you describe the implementation process from beginning to end?

Reliability and Validity

There are noted differences of opinions within the collective body of research on the

topic of the relevance or irrelevance of validity and reliability within a qualitative research study.

Golafshani (2003), notes the difference in purposes when discussing evaluation of quality of

studies in both qualitative and quantitative research. Golafshani (2003), further suggests that

because of these differences, "the concept of reliability is irrelevant in qualitative research" (p.

601). The counterargument made by Golafshani (2003), and Patton (2002), revolves around the

notion that both validity and reliability are factors that any qualitative researcher should be

concerned about with study design, results analyzation, and examining the quality of the study.

According to Trochim (2006), the subject of qualitative validity is perceived from a

variety of lenses and perspectives relying heavily on the philosophical beliefs of the qualitative

researcher. Trochim added that many qualitative researchers reject the "framework of validity"

(2006, p. 1), arguing that different standards should be incorporated to measure qualitative

research quality. Guba and Lincoln proposed four alternative criteria for judgement of

qualitative research quality that take the form of credibility, confirmability, dependability, and

transferability (Golafshani, 2003). Application of the criteria cited by Trochim (2006, p. 2), and

proposed by Lincoln & Guba (1985) are present in the design and exploration of this research

that took place applying each alternative criterion.

Table 12

Criteria for Judging Qualitative Research Quality:

Traditional Criteria for Judging Quantitative Research	Alternative Criteria for Judging Qualitative Research
Internal Validity	Credibility
External Validity	Transferability
Reliability	Dependability
Objectivity	Confirmability

Note: Adapted from "The Research Methods Knowledge Base", by William Trochim and James P. Donnelly, 2006, p. 163.

Credibility

Credibility of this research will be judged by the participants who according to Trochim (2006) are the only ones who can legitimately reflect upon the believability of the results guided by the premise that the purpose of this research is to explain the phenomenon of change at James Madison University from the perspective of those who are directly involved and affected. Credibility can be defined as, "the methodological procedures and sources used to establish a high level of harmony between the participants' expressions and the researcher's interpretations of them" (Given, 2008, p, 138).

Transferability

A definition of transferability, "implies that the results of the research can be transferred to other contexts and situations beyond the scope of the study context" (Given, 2008, p. 886). Generalizing may be carried out after this study has concluded by other HE change practitioners who are interested in the results. This theoretical generalization as noted by Fraenkel, Wallen & Hyun (2015, p. 435), incorporates the process of transferability that may be applicable to other higher education institutions in the future. The higher education thematic model and taxonomy of change factors developed as a result of this research will have the potential to impact campuses across the globe. Conclusions from this research, while applicable to change within

the scope of the environment at JMU, may not be applicable elsewhere. While these shared ideas will be made available, transferability might require modifications to the thematic model and application of the change taxonomy realizing that each HE environment is unique. Every effort will be made to increase transferability by describing the research context in as much detail as possible and further any assumptions critical to this research. Any judgement made in terms of the sensibility of the transfer according to Trochim (2006) is left to the individual who desires to transfer the results to a context outside of this research.

Dependability

A working definition of dependability for qualitative research, "recognizes that the research context is evolving and that it cannot be completely understood a priory as a singular moment in time" (Given, 2008, p. 208). Moving away from the traditional quantitative view of reliability, Trochim (2006) argues that the assumption of replicability or repeatability is based on the notion of whether the same results would be generated if the same thing, a higher education change event in this case, could be observed twice. However, Trochim (2006), goes on to argue that we cannot measure the same thing twice because by definition we would be measuring two different things or two separate change events with potentially differentiating characteristics. Accounting for those changes that take place within the scope and context of the research and recording how these changes affected the research approach provide a level of dependability according to Trochim (2006).

Confirmability

Confirmability is defined as, "the degree to that the results of the study are based on the research purpose and not altered due to researcher bias" (Given, 2008, p, 112). Finally, according to Trochim (2006), by documenting the procedures used for checking and rechecking

the data from this research and conducting a data audit at the conclusion examining data

collection and analysis procedures along with diligence given to potential bias and distortion a

level of confirmability would be established with the results being affirmed by others.

As noted earlier, large portions of both interview instruments had previously been used

citing three dissertations from Appendix D from Turner (2017, p. 133), Appendix F&G from

Basiratmand (2013, p. 180-182), and Appendix A from Weiss (2012, p. 193). Each of these

research studies focused on some aspect of change in higher education. After careful

examination of these validated instruments and consideration given to the research questions

included in this study, I chose to incorporate questions from each of these sources along with

originally developed interview questions to compose both of the protocols being used for all

twenty-five individual interviews.

Data Triangulation and Collection

I collected all data using a single interview instrument and two schedules. This single

form of data collection was intended to uncover all of the complexities of organizational change

and the process of change within the scope of a higher education setting. Based on interview

responses the open-ended research questions for this study were answered. To increase and

improve the validity of the data analysis, triangulation was incorporated in this case to involve

peer researchers. This process included peer researcher's interpretation of a slice of data in an

effort to search for convergence among multiple perspectives to form themes and categories for

this study (Golafshani, 2003).

Additionally, I used a notebook to record information and thoughts not part of the initial

interview process. This information along with the interview data was all transferred to an

NVivo 12 case study database. All of the interviews were recorded using a mobile audio

recording application after consent and approval of each interviewee. This included all participants signing a written consent form prior to each interview. The recordings serve as tangible evidence of the raw data collected during the interview process and "ensures that everything said is preserved for analysis" (Merriam & Tisdell, 2015, p. 109). Sonix, a transcription service, was incorporated to expedite and transcribe all of the interview recordings into text. These transcriptions allow for further review to ensure accuracy before downloading the data into NVivo 12.

Individual interviews were conducted at the convenience of the interviewee. These took place during a period from the end of November 2018 through January of 2019. All of the interviews took place in a private office or private conference room. Each interview used one of the two interview schedules and a set group of pre-designed and peer tested open-ended questions that was sent in advance. The instrument used during interviews with participants in Groups 1 and 2 contained 14 questions and the instrument for Groups 3, 4, and 5 contained 13 questions. All data was stored securely and according to IRB procedures and protocols.

Each interview took between 30 and 60 minutes to complete. Questions focused on recent change interventions in that the interviewee had participated, facilitated, and or implemented change highlighting positives and negatives. These questions also covered topics that took place before, during, and after the change took place providing additional context and timeline. Appendix C and D contain a complete list of questions that were used during all interviews. Unique perspectives of change representing each of the five sample groups brought together a well-represented collection of data points.

There was no direct cost associated with conducting interviews for this research. Interviews however did prove time consuming with planning involved for the interview and

transcription. Further, the NVivo 12 software platform that already existed at JMU was used to code and analyze qualitative interview data. Access to potential subjects and participants was high as all parties work at James Madison University. Interviews allowed for one-on-one conversations with identified campus sample groups and deep dives into research subjects.

Data Analysis

This study focused on one specific research case examining organizational and individual change at James Madison University. This intrinsic case study examined the many variables and characteristics of organizational change and converged to produce a holistic understanding of the higher education change phenomenon. The iterative and comparative data analysis reduction process supports construction of a higher education thematic model and taxonomy of change factors. The beginning stages of analysis required revisiting the initial research question. What factors constrain and support change in a higher education context from the perspective of JMU leadership and support at all levels?

This process began with transcription all twenty-five interviews incorporating the software platform, Sonix. Each transcription was reviewed carefully to correct any inaccuracies. This process allowed the researcher to become intimately familiar with the data collected (Merriam & Tisdell, 2015) while providing ideas and data interpretation (Charmaz, 2006). This data collection process created a direct relationship with the final coding framework through multiple analyses, recoding efforts, and exploration of theoretical sampling of new categories (Charmaz, 2006). Final transcription of all interviews consisted of over 165,000 words.

Data collected for this research from multiple sources encountered multiple cycles of coding (Saldaña, 2013). These multiple rounds of data interaction allowed the active coding process to procure differentiating questions to be asked of the data (Charmaz, 2006). Saldaña

tells us that, "Virtually all researcher-developed coding schemes are never fixed from the beginning – they evolve as analysis progresses" (2013, p. 29). With a developed thematic model and taxonomy of change factors as the penultimate goal of this project, it was imperative to incorporate this grounded theory approach in order to link data collected from the two interview instruments with the research questions. The grounded theoretical approach is a suitable method for question centric coding and thematic emergence of data.

As a result of the data analysis, key issues and categories emerged instead of being forced into predetermined classifications. As noted by (Charmaz, 1996), the essential principle of grounded theory drives the analytical component of the research. Incorporating these grounded theoretical methods provides the researcher with "systematic procedures for shaping and handling rich qualitative materials" (Charmaz, 1996, p. 28). Charmaz (1996) provides additional explanation noting that grounded theory methods also assist with structure and organization of data-gathering and analysis.

The complexity of this study and large quantities of qualitative data provide a parallel connection with grounded theory. This study is underpinned by many of its methodological principles. While there is a distinct differentiation between development of theories and models, this specific research reflects an absence of theoretical development relying instead on thematic model and taxonomy construction. Data was collected through individual interviews with twenty-five participants representing the full spectrum of organizational positions within the university. Those twenty-five participants were selected on the basis of factors including employment within the desired population, leadership and employment status, application of a five-year threshold criteria, and multiple sampling techniques.

This study incorporated a qualitative exploration using in-depth interviews. Exploration of this naturalistic approach connects the desire to allow the data collected to drive this research process and remain as pure as possible. This would indicate according to Golafshani (2003), that specific research methods like interviews include a prevailing presence with the naturalist or interpretive paradigm with additional presence visible within the positive paradigm. The inclusion of these paradigms allowed the researcher to embrace inclusion and involvement with this process.

After identifying what factors constrain and support change, analysis and synthesis allowed the data to drive the emergence of a new paradigm and evolution of development of the thematic change model and taxonomy of change factors. A clear understanding of these factors, characteristics and interpretation provided justification for this qualitative approach.

Qualitative questions and transcribed interview responses were read multiple times and recordings listened to thoroughly throughout the transcription process. A question centric focus was adopted for the analysis as themes emerged. These emergent themes incorporated with a complete review of the data assisted in identifying themes. Coding the data into these emergent themes allowed for rich analytics forming patterns and connections.

Application of grounded theories' multiple phases of coding allowed the researcher to mine the data initially for analytical ideas to be investigated during further inquiry while remaining open to synthesized and data driven theoretical directions (Charmaz, 2006). Phase two included focused coding to identify the most relevant categories. This theoretical integration included all remaining analytical phases of data analysis (Charmaz, 2006). Through discovery of recurring themes embedded within the data, categories defined after working directly with the

data emerged (Taylor-Powell & Renner, 2003). Coding the data into emergent categories reinforced analytic connections within the data (Williams, 2012).

Protection of Human Subjects

Measures were put into place with this study to ensure ethical protection of participants and confidentiality of research data. As referenced in Fraenkel, Wallen & Hyun (2015), to protect individuals from any kind of harm, informed consent was obtained in the form of a signed consent form for those participating in interviews. A copy of this consent form can be located in Appendix B. Further, the names of participants were removed from survey forms during data collection to protect confidentiality.

This study required approval from the university's Institutional Review Board (IRB) whose focus is to protect research study participants. The IRB committee's mission is "to oversee and review all research projects that involve research with human subjects" (IRB Mission Statement). This study was eligible for and was granted an expedited review given the minimal risk involved for participants.

Chapter Summary

This research project incorporated a qualitative single case study research strategy (Yin, 1994; Creswell, 2014) designed to investigate what factors support and constrain organizational change at James Madison University from the perspective of all leadership levels with the intent of designing a specific HE thematic change model and taxonomy of change factors from the analysis and synthesis of data collected. This research design was deemed appropriate for this qualitative research methodology given the researchers lack-of control over events that focused on the phenomenon of organizational change within the context of the higher education environment at JMU. This design and methodology allowed the researcher to gain valuable

perspectives from the participants into how organizational change at JMU impacts the many organizational layers.

A total of twenty-five participants were interviewed using two different interview schedules based on the participant's leadership role within the organizational hierarchy of the university. In an effort to increase the validity of data collected, data triangulation techniques were included with the assistance of peer researchers. The methods outlined in this chapter include the research design and justification, my role as the researcher, reliability and validity of the research, data collection, triangulation, and analysis process and components. In the next section, I will present the findings of this study.

Chapter 4 - Results

The purpose of this qualitative case study was to explore from the perspective of JMU change leaders and support at all levels, what factors constrain and support change in the higher education context? The findings of this case study are discussed in this chapter and are presented as a narrative discussion of the results. There are five major findings identified. Each of the findings directly addressed the research question and can be viewed as either supporting or constraining change that is explored below in greater detail. It should be noted that the resulting data analysis produced an uneven distribution of supporting and constraining factors of change at JMU. Noticeable in this analysis was a void of factors supporting change.

Interview responses revealed the complexity of change within a higher education environment including how change is led and facilitated throughout the institution, what determines success and failure, the impact of organizational structure, and the emotional, behavioral, and psychological effects of change. Further insight gained from respondents forms a clouded picture of change methods and practices resulting in varying levels of perceived success. As a result of an identified lack of resources to facilitate change and assessment and measurement components to analyze outcomes, organizational change at JMU is in some ways left to chance. This chapter will discuss the data analysis relating to the overarching research question and determine what factors specifically support and constrain change at JMU.

Data was collected by conducting semi-structured individual interviews with a sampling of university employees to explore how institutional change affects the individual, the organization, and the culture. This detailed process provides a framework for additional scrutiny of the research design and implementation. Data was collected as a result of two interview schedules consisting of thirteen and fourteen open-ended questions.

Throughout this chapter various terminology is incorporated. In specific cases for example, constraints, drivers, and barriers can all be used interchangeably to describe and reference the same change variables. In other instances, keywords are used to represent change factors that are represented visually in the below table providing context for frequency of use. It should be noted however that within this table of referenced keywords include references by the researcher embedded in interview schedule questions, dialogue, and follow-up questions that may inflate these figures.

Table 13

Emergent coding keyword references:

Theme keyword	Reference count
Organizational Culture	342
Organizational Structure	294
Leadership	205
Individual Impact	104
Communication	94
Culture	69
Structure	21

Demographics

The demographics of the research participants varied in terms of their university role, department, and division. 25 individually selected employees using multiple sampling techniques were contacted via phone and email to ask for their participation. Consideration was given to the ratio of men versus women, however any difference in scale between these groups was not a factor. Consent to participate in this research was obtained from each interviewee. Table 15 provides information about university role, years of experience, and interview schedule used to interview those who participated.

Table 14

Formal interviews by Role and Years of JMU Service:

University Role	Years of JMU Service	Instrument Version used
Executive	10 plus	Instrument A
Coordinator	10 plus	Instrument B
Manager	9	Instrument B
Director	10 plus	Instrument B
Executive	10 plus	Instrument A
Specialist	6	Instrument B
Professor	10 plus	Instrument B
Director	10 plus	Instrument B
Executive	10 plus	Instrument A
Vice President	10 plus	Instrument A
Director	10 plus	Instrument B
Assistant Director	10 plus	Instrument B
Vice Provost	10 plus	Instrument A
Manager	10 plus	Instrument B
Associate Vice President	10 plus	Instrument A
Manager	8	Instrument B
Director	10 plus	Instrument B
Associate Vice President	10 plus	Instrument A
Assistant Director	10 plus	Instrument B
Dean	10 plus	Instrument A
Specialist	10 plus	Instrument B
Director	10 plus	Instrument B
Dean	10 plus	Instrument A
Assistant Director	7	Instrument B
Executive	10 plus	Instrument A

Note. Instrument A contains 14 questions. Instrument B contains 13 questions.

From an analytical standpoint and review of data collected, the qualitative research study reveals a multitude of overarching relationships between the many variables and components of organizational change. From the perspective of factors that support and constrain change, culture directly impacts all of the hierarchal factors including organizational structure, communication, and leadership. At the same time, each of those factors, in turn also impacts organizational culture creating an intriguing phenomenon and a holistic approach.

Theme 1: Organizational Culture

Organizational culture is examined in the chapter 2 literature review and can be described as a shared set of values, beliefs, assumptions, interpretations, thoughts, feelings, and commitments that shape and determine behavior and influence individual and group actions and responses. This becomes the internal fabric of what the culture determines to be valid based on challenges from the past that have formed the current DNA structure. Culture has a unique ability to influence individual beliefs and assumptions about how change is perceived to unfold. This becomes the point of separation between climate and culture within these individually held beliefs. Climate represents the operational conditions of change and the process of moving from one state to another that directly impacts the status quo. To some degree culture defines its own status quo and determines what is perceived as safe. Organizational change represents a disruption to the status quo generating feelings and emotions of fear, anxiety, and confusion resulting in potentially negative outcomes.

Individual respondents referenced culture multiple times identifying a link with communication, speed of change, outcomes, collaborative nature of change, resources, and the current culture of change at JMU. Within the multitude of nodes created as a result of the data analysis in NVivo 12, the word culture was referenced among 16 of the 25 respondents or 64% of total interviewees. The following is a more detailed review of participant responses to support the analysis. Participants are referenced using a numeric identifier and connected to the overarching emergent themes as a result of this grounded theoretical approach. These references support and confirm a relationship to this case study theory of factors that support and constrain change at JMU. The below figure displays the taxonomy subthemes identified surrounding

organizational culture as a result of the grounded theoretical approach incorporated with the data

analysis and coding sequence.

Figure 10: Organizational Culture taxonomy subtheme visualization

Confirming the concept of the status quo as a potential roadblock with institutional

change is the response from Interviewee 1. Change may happen from an operational standpoint,

meaning something tangible has transformed from one state to another, however, the question

then becomes from a cultural standpoint, is the change sustainable and can it become part of the

organizational DNA.

Subtheme 1.1: changing culture

I think that is one of the biggest hurdles to get over is changing culture absolutely

because people have always done it one way and when you've always done it one way for

25 or 30 years and it doesn't even have to be that long trying to get people to buy into

doing it a different way is more challenging than you think (Interviewee 1).

Further analysis and a holistic viewpoint of the current culture of change at JMU regarding university initiatives uncovers a recurring thematic process where university wide initiatives are driven by upper administrators that fail to permeate the many organizational layers of the university. What begins as a passionate level of excitement slowly erodes over time only to be pushed to the side as the cycle begins again.

Subtheme 1.2: overarching culture of change

In order to preserve the context of the below exchange between the interviewer and interviewee, this quote is presented within a table format including comments from the interviewer to provide a deeper understanding of how this conversation unfolded.

Table 15

Transcript Excerpt:

Interviewer	A lot of assumptions are made. And when you start making assumptions about things, you're veering down a chaotic path.
Interview	I think you've helped me think and you're right on, that the model is just same, that full time staff are going to take care of it and the new analysis engagement office at JMU started in April bringing these people, it's a huge, we're going to be the model for the engaged university. So, we hired staff to it. The problem is there's never, we want everyone to do this. There's never a president mandate to say I want every person to be involved with this. I want every supervisor to sit down with someone and say what can you take away from your current responsibility so you can make this a priority. Never seen that happen in any way. And what JMU has done, so the first one was environmental stewardship and our president just had a personal passion for environmental sustainability and made it an initiative and a number one thing. So, everyone tried like hell. But then he eventually had to hire a person I can't remember her name now because it's gone to the back burner. She was up front and center. And oh my god this is the biggest thing, and everyone was excited. She presented all these things and went around, and we built a lead we started, and we've done a lot of great things right to stay in sustainability. But the problem was we hired this person and said oh she's going to do it. And then President Rose left, and it was his baby and his passion and that was the problem it was really his. So, she's still here still in that position. I don't even know her name. I don't even know what we're doing. And 8 key questions was the next one and oh my god it's tied to

	funding and there was a great push to put it in your initiative it's a priority. But then we hired people and now they're the ones taking off with it again. It started up here, its headed way down and now the new one is engagement saying now we're going to be the engaged university getting everyone excited. It didn't jump that way so now we've hired a whole new office, the Office of Civic Engagement. So now the thought is these people will do it. It's a constant model of passion exciting this initiative. Well it's not taking off on its own, so we hire very high-level people and spend a lot of money. And then I think everyone says well they'll do it. That's clearly the JMU culture for big stuff (Interviewee 8).

Cultural perspectives vary amongst the various organizational layers in terms of individual responsibility during any level of change. The overarching emergent theme of communication, that will be discussed in greater detail later in this chapter, impacts culture in various positive and negative ways. As a result of communication during change is there an inherent level of responsibility to increase organizational learning and does this actually take place? The answer to these questions can be found within the various fibers of the organizational culture. Organizational learning, collaboration, and communication can all be viewed as factors that support change as noted by Interviewee 6.

Subtheme 1.3: collaboration, communication, & knowledge sharing

It's a validation of a lesson learned that major change requires constant communication with university senior leadership. It's part of our culture. We meaning people within the institution and the organization may think that we know what is best and how to do something. But our institution doesn't work that way. We don't operate in silos. I think we still believe that we are all part of a single thing. And what comes with that, if you're gonna be a part of something, is responsibility to communicate responsibility to collaborate. Responsibility to share (Interviewee 6).

The outcome of these positive factors that support institutional change is a change to the

cultural imprint of the organization. The battle for sustainability, while remaining the ultimate

end-goal for the organization, proves extremely challenging from analysis of respondents. A lack

of sustainability with change results in negative cultural outcomes. While the operational

climate may have changed the cultural battleground determines whether behavioral impact

positively affected individual beliefs and perceptions. The alternative becomes a behavioral

reversal back to the previous state of operating prior to the change. Interviewee 1 expands on

this concept and presents a valid perspective of how non cultural change can open the door for

resistance while change that becomes part of the organization is more challenging to dissect.

Subtheme 1.4: the goal of change and sustainability

It becomes far greater of a challenge to behaviorally resist against the organizations

shared set of values and beliefs or even an individual department's culture because this

becomes the operating model and is engrained within. When a proposed change has yet

to become part of this shared set of values and beliefs the outcome is yet unknown from a

cultural standpoint and barriers can emerge from all directions.

Well establishing things like permanent budgets and positions. In other words, making

engagement part of the organizational structure of the university, it's not going anywhere.

You know investing in it, making it part of the vernacular of the university it's resourcing

it. All those things take it from being an outside thing to being part of who we are. And

that's really the goal of change is to make positive that becomes part of the value of the

organization. And then from that value launches future change for greater value. So, I

think making it part of the culture baking it in. Change it's out there and its sort of

defensible from out there and I can push back against it. But when it becomes part of the

thing one it's harder to identify because it's not a planet orbiting now it's part of you and

second it just becomes second nature (Interviewee 1).

While evidence displays factors supporting cultural change at JMU the data analysis also

included multiple references to the contrary. Communication, speed, and tools, and resources

were all discussed as constraints for potentially negative change outcomes with specific cultural

references. Examining current methods and tools for change at JMU, 7 of 10 respondents, or

70% of those who received interview schedule A and originated in Groups 1 and 2 felt the

university lacked available resources, tools, and standardized methods for change. A recurring

theme from respondents created a scenario where those tasked with leading and facilitating

change at JMU are left to their own devices that may include tapping into existing organizational

knowledge, prior change methodologies, and advice from others. However, the lack of a toolkit

of resources or playbook for organizational change was mentioned repeatedly. Both

interviewee's 8 and 1 discussed the cultural impact of this resource void.

Subtheme 1.5: methods and tools for change

I think what's missing is there's not this is JMU's culture. Let's look at our playbook of

how we've introduced things in the past and let's learn from it. Let's look at our steps

because I think they could say here are steps that I think very quickly they could say

here's a pattern of us not spending enough time here and here's a problem where we went

wrong here. Because it's not consistent. We missed this step. Like with engagement.

Where was the buy in? So, I would say it's a combination. I think the problem is it is not

a written down systematic step that people say here's the model JMU uses and let's look

at this. It's everyone intuitively knows that models. So, they follow the leaders who are

bringing these big things are doing it but they're probably missing steps or not

intentionally doing it. I think that's a huge gap. We need to say here's some change

models and here's our culture and let's create our own playbook for what works and what

doesn't. And let's use it to examine where we're at with environment with ethical

reasoning and with engagement. And here's the new one. Let's not make these mistakes.

Here's our model that you should all be using. There is no intentionality in that detail of

where it should be (Interviewee 8).

So JMU does change we do go from point A to Point B and we do innovate and develop.

But you're not asking that you're asking more about whether there is a an overarching

culture of change where people have resources and tools to think about change and to

reflect on change so that so that there's some uniformity in the way we approach it not in

a negative sense but there is a culture where this is how we do change and this is how we

make sure we do the best we can at changing. And this is how we learn from one change

to be better at the next one. So that as far as I know something at that level does not occur

(Interviewee 1).

The cultural impact of communication during change also has the potential to constrain

change effectiveness. Negative outcomes such as silence and ultimately turnover begin with a

lack of transparency that propagate negative conversations internally. A recurring message from

the data analysis included communication gaps that when left unattended are populated by the

individual and more often than not these perceptions erode the organizational culture severely.

Interviewee 12 confirmed this concept by discussing how communication specifically affects

organizational culture.

Subtheme 1.6: the cultural impact of communication

If communication isn't really clear and effective and even when a leader believes that

communication has been clear and effective there is no controlling for how it is heard,

perceived, and received. When change occurs and there are things that cannot be fully

transparent about what is going on, the void that is left in that silence about things

depending on organization culture can cause a narrative to begin to circulate that may or

may not have anything to do with what happened or what was going on (Interviewee 12).

Finally, the speed of change can constrain cultural transformation. The difficulty

individual employees face with rapidly developing change impacts their ability to adapt quickly.

The status quo or current culture represents a safe environment for individuals of an organization

and any disruption to the status quo can infuse feelings of fear, anxiety, and confusion

manifesting as resistance to change. Interviewee 11 makes mention of this individual and

cultural impact with regards to recent institutional change.

Subtheme 1.7: the pace of change

I think sometimes it seems like then when there are those quick changes people have a

hard time. People are either resistant or they have a hard time adapting quickly perhaps

because they become so accustomed to this other culture. I would imagine in the business

world people are more adaptable quickly. I'm even thinking about the logo change at

JMU. To me it seems like something that happened all of a sudden. And I imagine that

I'm just not privy to all the conversations in the years or months or whatever planning

that took to make that logo change. But I had heard through the grapevine that we had a

certain you know six months or whatever to change all our logos. And the response to

that I've noticed has been a little bit of resistance. It's funny, something like a logo, I

think it speaks to how much people don't like change (Interviewee 11).

Theme 2: Organizational Structure

Change in higher education is discussed at length within the Chapter 2 literature review

and can be described as unpredictable and chaotic. Navigation of institutional change should

adopt a cautious approach taking into consideration the factors of organizational structure and

values. The organizational structure of JMU could be viewed as a collection of puzzle pieces

that appear self-contained while operating interdependently of each other. Within these layers

are a series of roadblocks acting much in the same way as friction to slow the change process.

The relationship between university administration and faculty, power and authority structures,

decentralized decision making, conflicting viewpoints, faculty involvement, shared governance,

and the management of change all serve as potential hurdles during any institutional change

process. The below figure visualizes the taxonomy subthemes that emerged under the main

theme of organizational structure.

Figure 11: Organizational Structure taxonomy subtheme visualization

Individual respondents referenced the organizational structure at JMU repeatedly during

the interview process with themes focused on decentralization and faculty, middle management

buy-in, champions, locus of control and bottom-up change, and the depth of the organizational

layers emerging.   These links create a holistic view of the current impact of the organizational

structure of JMU and the change process. Within the NVivo 12 data analysis, the word structure

was referenced among 11 of the 25 respondents or 44% of total interviewees. This percentage

may seem low however the term organizational structure was not a key reference point in either

of the interview schedules. In this case, themes centered around the impact of organizational

structure emerged to define individual factors that support and constrain change.

Decentralization at JMU creates a clouded picture of inconsistencies and constrains the

change process. This lack of cohesion by itself can be viewed as a change barrier but

simultaneously occupies a significant role in the higher education organization. Interviewee 1

explains how decentralization can immediately thwart change. Additional perspective is

provided within this subtheme by exploring the notion of faculty as independent contractors of

the university and how this relationship impacts change. Finally, Interviewee 2 provides an

alternate viewpoint with regards to the role faculty play during change.

Subtheme 2.1: decentralization and the role of faculty

I go back to the engagement vision. There were some deans that were right on board and

their departments really flew with engagement and casting vision and supporting it and

there they're really engaged. College of Arts and Letters said this is bad change. Their

Dean said this is bad change and declared it as such. And the dean was one of the great

greatest opponents. So, because of the nature of decentralization. I would bet that it's

almost always inconsistent (Interviewee 1).

These inconsistencies prove extremely challenging when attempts to gain faculty buy-in

for institutional change are attempted. The unique role of faculty during any change sequence

offer a multitude of conflicting viewpoints. Analysis of the data collected for this research

provide support for this phenomenon.

I think also the bigger problem is that whatever the top down suggestion is it's going to

meet a negative reaction. It really doesn't matter what it is. The eight key questions right.

It's a very nice idea. Yeah but no one wants to be told that you need to take these 8 key

questions and make them part of your curriculum (Interviewee 2).

One of the challenges in Higher Ed is you've got a whole classification of employees and

instructional faculty and many consider themselves independent contractors. They don't

really consider themselves part of the unit. And so that makes change a little bit different.

And so sometimes when a faculty member considers himself an independent contractor,

they don't really pay attention until they realize it might affect them and then once they

realize it might affect them then they object and push back (Interviewee 1).

Within the layers of the institutional organization are a rather large group of middle

managers. This strategically important group is tasked with not only absorbing top-down change

from above but funneling the plans of upper administrators on to support staff. In many cases,

these managers are not on board with planned change from above and are then left with how to

present this to their staff while maintaining a positive appearance. This middle management

battleground serves as a critical institutional barrier and constraint for successful change. This

analytically supported sub-theme was referenced by multiple interviewees and brings to light the

challenges of ascertaining buy-in among the various layers within the organizational structure.

Subtheme 2.2: middle management buy-in

I think in my role like I'm a middle manager and so I have to take what's being told to me

and I have to figure out how to present it in a way that I support. If I don't support it, I

don't support this change, I have to still share that. This is a great thing, it's gonna benefit

students, it's going to benefit the institution regardless of what we think (Interviewee 17).

I think that's part of the biggest thing is you've got to get to key people because there's

certain people at any organization who just this person has enough power and influence

where they squash it immediately. Especially if I need this entire division or this

department.   I've got to go to the leader and get them on board. So that's what I've seen

that squashes things and people who don't have the savvy and been around long enough

to know how to navigate that. I think that's key at JMU (Interviewee 8).

The expectation I think from a top down standpoint is that those VP's are communicating

clearly with their direct reports and then their direct reports this key middle layer really

plays a critical role in casting vision for the change and encouraging people about the

change. So, I think that's there's a real dependence on that middle management layer to

make change happen. I think a lot of macro big picture JMU change sinks or swims on

that middle layer but that depends on the vice president's empowering their middle

managers informing their middle managers making sure they understand why the change

is happening and everybody's role in it (Interviewee 1).

The depth of an organization the size of JMU presents unique challenges with buy-in

among employees at all levels and how these layers interact with the organizational change

process. Involvement and inclusion while viewed at face value as being positive contributors to

change can also grind change to a halt as accountability lines become blurred. Interviewees

made reference to excitement and communication becoming watered down as they travel from

the top of the organization to the bottom. Adding to the existing puzzle pieces representing

decentralization and middle management buy is the challenge of implanting change within an

organization the size of JMU. These constraints result in an organizational disconnect between

the top and bottom.

Subtheme 2.3: depth of the organizational layers

There is a disconnect and we have so many employees who are so busy. I think the

problem I see is everyone is excited and creative and so it's just doing someone else's

thing. And the more layers it is outside of your thing, it's not my boss even It's my boss's

boss's boss's boss. You don't get a commitment (Interviewee 8).

And on a college campus you've got to be really careful that you don't allow the

resistance and the failure to meet deadlines to pull you back to the point that you say well

I guess we can't go because then people will see that as a means to an end. What I mean

by that is, if you're if you're leading and I'm responsible for a couple of processes and I'm

not doing my due diligence and I'm not bringing forward data or infrastructure to make

the change happen and you can see that. Then ultimately, I think it's the responsibility of

the leader in this case. It's ultimately on me I've not gotten us to this point, but he hasn't

gotten us what he needed. And the infrastructure is not going to be in place, and we're

going to crash and burn. And I think responsible leadership has to do that sometimes.

And on a college campus that is where things get bogged down sometimes especially if

you have to rely on folks that you don't have a direct reporting line to. We have many

layers of this organization (Interviewee 6).

Working to support change from the perspective of organizational structure are

champions and bottom-up change as a result of an individual's locus of control. These factors

act as a catalyst to facilitate institutional change amongst the layers of the organization. The

term champion was referenced by 10 of the 25 respondents or 40% while the term bottom up was referenced by 9 of the 25 or 36% of total respondents.

Change champions are not a term you will hear throughout the JMU community however this specific role certainly exists within the organization. Champions occupy a critical role for the implementation and sustainability of any institutional change regardless of size. The ability to motivate and generate commitment for change has the potential to act as a catalyst for positive outcomes and organizational benefits. Change effectiveness is contingent upon the champion adopting a proactive approach creating a state of readiness for organizational change. Interviewee 12 discussed the importance and role of the champion within an institution the size of JMU to build momentum and essentially connecting the organizational layers during change.

Subtheme 2.4: champions

It's complicated because no matter that direction it's coming from. You've got so many parties typically that have to buy in. Having individuals who can champion the change and grow the consensus around the need for change or the benefit of the change. Let's use diversity & inclusion, I think that you need people throughout the organization but certainly at the top of the organization who bring that into the conversation on a regular and collegial basis that it's not the only flag that that one carries. If you're doing that but it is a consistent flag and it is a reminder at every turn are we thinking about our desire to be a more diverse an inclusive organization? And the important role of having more than one but having people at senior leadership with that on the front burner. And then bringing that down to the different divisions. Where it's on the front burner. It's a constant normal part of the conversation, that kind of leadership begins to infuse, and it helps the

people who have been carrying the banner believe it. It can't just be in words on a piece

of paper or that we mentioned it just when we're doing something. It needs to come up in

the everyday and the people who have the capacity to actually ensure that it's happening.

You have to be the one saying it on a regular basis (Interviewee 12).

Interviewee 14 provided an interesting perspective regarding champions and raised an

Interesting debate between individuals who are assigned to the champion role versus a genuine

desire to lead the effort. This supports the logic behind the institution's need for this role while

emphasizing the underlying importance of having an individual who is fully vested in these

efforts. Change effectiveness can only become hindered and diminished by those who occupy

the role of champion without full commitment.

We assign a lot of people to be in charge of those things and then they do it because

they're good at their job, but they don't do it in the same way. I also get the sense with

those people that people who are assigned to do it, once they've achieved whatever the

goal was, they're gonna move on to something else. The people who are really into that

issue once they've achieved it, they say how do we add something else to it. How do you

keep going? How do we become the best at it? And I think the things you look at on

campus where we are the real leaders in it is because there was some champion who

every day was willing to ask what can we do now to make it better? What do you do now

to make it better as opposed to setting a bar and being like here's what we want to do?

I think the programs that fail on campus are ones where the champion's goal was to

establish the program because I think that once you established the program, you have to

then run it, or your passion wasn't backed. You fought so hard to get it on the books and

then once it was on the books, you need more energy to do more. Whereas I think the real

champions the people who are doing good work every day. You know and maybe looking

10 years down the road even (Interviewee 14).

A secondary supporting factor for institutional change is formed organically as is gains

momentum from the bottom-up resembling a grass roots movement. This type of change

originates at the departmental level and is guided by a locus of control not present with top-down

change. In this specific scenario, power and control reside internally and change resembles a

shape completely different than those driven from the top. Interviewee 17 described how this

level of change originates from an identified internal need with the potential for lasting impact.

Subtheme 2.5: locus of control & bottom-up change

I think within my office I think there's a difference in organizational change where that

power comes more organically. I think yes there are some things that I know that I say

like this has to change because of X Y and Z. But then I can think of examples where as a

group we've had come up with change options because it's been needed and necessary or

I can think of times when people below I've said we're going to make this change because

this isn't working for students. I think as an institution it's top down but then in offices it

happens more organically because your locus of control is very different (Interviewee

17).

The very concept of bottom-up change evoked a contradictory perspective among those interviewed for this research. Upper administrators from Groups 1 and 2 mentioned multiple times their viewpoints and perceptions that the majority of change at JMU emanates from the bottom of the organization while those occupying lower roles from Groups 3, 4, and 5 within the organization disagreed and view change as a top-down phenomenon. This imaginary line of organizational division and disconnect is supported by the data analysis. While 21 of 25 respondents mentioned top-down in some capacity, this number may be skewed by additional researcher mentions. When asked to describe organizational change in an overarching question included on both interview schedules, 7 of 25 specifically described organizational change at JMU as top down or 28% of total respondents.

Interviewee 4 suggested that the majority of change at JMU originates from the bottom of the organization while Interviewees 17, 2, and 21 described change at JMU as top-down driven. These conflicting viewpoints confirm the level of organizational division and disconnect between senior administrators and support staff surrounding organizational change. The below table provides further context.

Table 16

Conflicting perspectives of Top-Down versus Bottom-Up Change:

Bottom-up	I don't think we're the type of institution where a lot of times it is top down. I think we really try to. Look at the people who are actually doing the things and saying how do we make it better. You know what would make your job better or easier whether it's a resource we need to provide or training that we need to do, or you know what it is. So, I think there's some better opportunities for people to have a say sometimes in what that change is. When we can. Can't do that all the time (Interviewee 4).
Top-Down	I've been at JMU for 13 years and so I think as the middle person I definitely see things that happen. A lot of things happen top down. And so, I think that would be how I describe organizational change at JMU is more top down (Interviewee 17).
Top-Down	I think from the faculty side organizational change generally has a negative connotation. It is usually regarded as a top down phenomenon that the upper administration decides. The university now needs to reinvent itself in some way. And the question is how to get everyone to take part (Interviewee 2).
Top-Down	I think that to talk about change that's organizational that encompasses everything. It's very difficult for someone down in the organization to affect any kind of organizational change unless it is dictated to them (Interviewee 21).

Theme 3: Individual impact

As referenced in the chapter 2 literature review, any level of change success is directly dependent upon the collection of individuals that form the organizational whole. Change affects each individual employee differently with human factors such as resistance, organizational behavior, and psychology helping to frame what change looks like from the individual perspective including reactions and subsequent consequences.

Four subthemes were highlighted from the data analysis and emergent coding process in NVivo 12 under the main theme of individual impact and included the organizational divide, impact of decisions, lack of role, and resistance. These subthemes represent common outcomes of change for JMU employees supported by data analysis. Within this specific theme there were

zero supporting factors of individual impact. Change constraints or forces working to produce

negative outcomes are displayed using the below taxonomy visualization.

Figure 12: Individual Impact taxonomy subtheme visualization

     The classifications of employees at JMU including wage, classified, AP Faculty, and

Instructional Faculty provide loose divisional barriers among employees that is further magnified

by institutional change and the subsequent impact. Interviewee 15 provided additional

perspective suggesting that those at the bottom of the organization are treated far differently than

those higher on the organizational hierarchy during change.

     Subtheme 3.1: the organizational divide

     In order to preserve the context of the below exchange between the interviewer and

interviewee, this quote is presented within a table format including comments from the

interviewer to provide deeper understanding of how this conversation unfolded.

Table 17

Transcript Excerpt:

Interviewee	One area where I think I really struggle with how change happens is with some of our more support staff members. That's an area where I have observed through the years that change is dictated. I'm thinking about housekeeping staff ground staff some administrative folks. It seems to me that things are told to them. And that to me that's actually my biggest complaint about working at JMU is that it feels like there is a very different perspective from AP and faculty and that type of staff position from more of our wage staff it feels like things are handled very differently.
Interviewer	Would you say there's a definitive line of demarcation between the classifications of employees.
Interviewee	Yes, I would say that that's a very clear line that I've been aware of since I started. And it's something that is probably the main thing that I'm not proud to say about working here is seeing that significant difference. And so I think when I answer a question like the one that you're asking I want to be careful to say my experience has been much more of my opinion matters but I have observed that for others specifically more of the wage staff it doesn't seem like their opinions have a place at all (Interviewee 15).

A secondary subtheme from the data analysis revealed a disconnect as a result of those making the decisions about institutional change and the employees who are tasked with carrying out those changes. Lack of perspective concerning how those decisions impact individual employees was referenced multiple times by interviewees. Interviewees 16 and 17 discussed the granular components of this change barrier expressing the impact of transitioning job tasks.

Subtheme 3.2: impact of decisions

Usually upper management, they're making all the decisions, but they are not the people that are in the trenches doing the job. So, they don't really know all that really encompasses somebody's job or how these changes can affect a person's job. It may make their job more difficult more time consuming. You know it's hard for us. Another

thing for management to really understand how change impacts somebody's job when they don't actually do that job (Interviewee 16).

I think that's where it feels as though sometimes that you think upper administrations like we have, we just have to make this just for the image of the university but we don't care what it takes for the people left to make it happen because they're not the ones who are making it happen at all (Interviewee 17).

Individual roles and level of involvement during change vary across departments and divisions at JMU with a defined lack of consistency. After coding and analyzing the interview data, it became clear that while some in leadership positions make great efforts to include and inform individuals at lower organizational levels of present and future change, these efforts are not echoed across the university. From a holistic big picture perspective as noted by Interviewee 18, these individuals become an afterthought.

Subtheme 3.3: lack of role

Historically I don't think they've had a role unfortunately and we often don't even intentionally inform them of the impact of the change or when the change will occur. If something's going to become effective at a certain time, we don't necessarily tell them (Interviewee 18).

The intentional or unintentional dismissal of employee voice regardless of organizational role or position can act as a catalyst for negative organizational outcomes as referenced in the literature review. Lack of voice and role during any level of change can have significant

emotional and psychological impact. Interviewee 14 expands on this concept suggesting that this void directly impacts organizational turnover.

> The best units are the ones where the administrative assistant has as much power to suggest the change as the tenured faculty member. If your voice is not heard. And you feel like you don't make an impact, why would you stay (Interviewee 14).

The final subtheme that emerged from the data analysis under the larger individual impact theme is resistance to change. This behavioral and psychological change factor severely diminishes employee motivation and commitment. Resistance can begin as a single voice influenced by a multitude of factors. Among those interviewed for this research, 16 of 25 respondents or 64% referenced fear as the single greatest cause of resistance. Lack of buy-in was also significantly referenced covering multiple questions from both interview schedules. In one instance, 9 of 25 interviewees or 36% mentioned buy-in as a key factor of resistance while a separate question yielded 8 of 15 respondents or 53% referencing lack of buy in as a key barrier for change. Within the scope of higher education and organizational change, resistance can quickly gain momentum as noted by Interviewee 18.

Subtheme 3.4: resistance

You have a level of comfort in higher education with people just saying well this will not stand and outright questioning that I think reinforces all the people who are quietly sitting and not supporting the change. I think once those little seeds start to spread it's really challenging to stop them. And the other piece I'll add is that in my experience we have an example like that that's been able to kind of consume an organizational team or

department or even a big chunk or group of people on campus we might navigate that

moment and the seasons might change and we might find ourselves in a similar or maybe

not even that similar change moment in the future. And we have a lot of emotional

baggage that we bring. I think once you begin to be the person that withdraws at the first

sign, I think you're a little more predisposed to do that again (Interviewee 18).

Data analysis also revealed an interesting resistance phenomenon or the status quo

that ultimately acts as a huge barrier for any institutional change. The use of the status quo as an

excuse not to change or a safety net is a common theme among higher education institutions as

noted in the literature review and JMU is no exception. This phenomenon occurs as a result of

disruption to the status quo and change of any form. Interviewee 14 expands on this concept and

discussed this deep seeded barrier at JMU in more detail.

I think the biggest problem here at JMU is that we've done things a certain way for so

long and that becomes the reason not to change and seems like a terrible reason not to

change for me. It seems like people are like Well we've done it this way for 20 years as a

group. You have people on the other extreme too I think there's a lot of people who are

like well we've always done that, let's change. No, let's figure out what actually makes

the most sense. I guess it's fear. Right it's fear of the unknown because something else

could work. I think it's a risk aversion (Interviewee 14).

Theme 4: Communication

Communication plays an extremely large role in any organizational change and creates a

dependent relationship with leadership behavior. The ability of the leader to communicate

directly impacts perceived success and failure. As discussed in the chapter 2 literature review

and supported by this research and data analysis, leaderships ability to communicate clearly, concisely, and timely during institutional change at JMU is directly connected to individual buy-in and attitudes toward change.

Supports and constraints of communication during change at JMU include gatekeeping information, trickle down and watered-down messages, email and verbal forms of communication, transparent and open communication, and the value of communication. These subthemes all emerged during the coding process to reflect factors that influence change at JMU. These subthemes that will be discussed individually are represented in the below visual taxonomy representation.
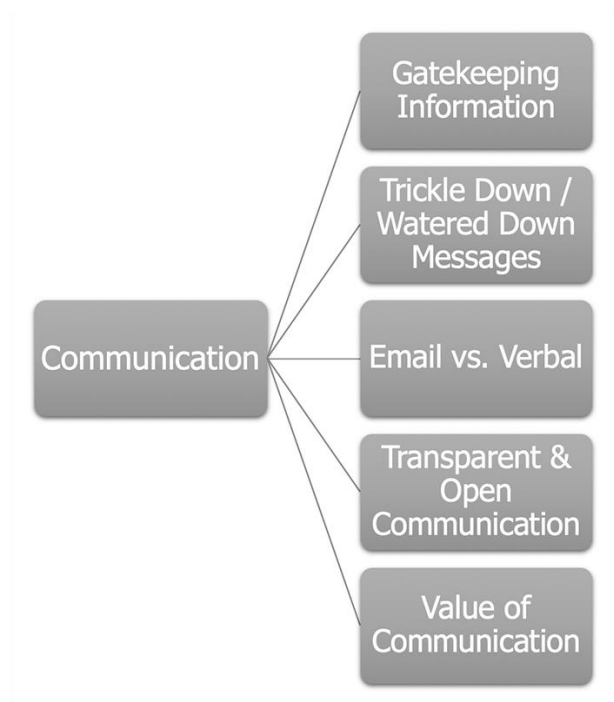

Figure 13: Communication subtheme taxonomy visualization

Interviewee 18 addressed an interesting communication scenario that connects the planning and communication pieces of change. Timing becomes critical with communication to avoid potential voids being filled by employee perceptions. Regardless of leadership intent,

adopting a reactive approach to planning and communicating during institutional change versus a proactive approach limits the effectiveness of communication. This communication phenomenon can present in multiple ways and Interviewee 22 presents an alternate look at the timing of planning and communication acting as a constraint of change at JMU.

Subtheme 4.1: gatekeeping information

I think unfortunately staffers sometimes are an afterthought. We believe and we act in a manner that it's you'll know the information when you need it. We'll tell you. I don't believe that's the intent. It's not something that is purposeful we don't know ahead of time so well we'll just deal with it later if we aren't explicit enough in the planning. I don't think that at JMU we sit down enough. We don't do this enough. We don't sit down and say, ok here we need to think about this organizational change. What are the overriding needs? Who are the people that we need to attend to throughout the process and then have these check-points? What about staff? Have we communicated with staff at this point and then later, we don't do that, and I wish I had. I think it was just in time knowledge (Interviewee 18).

We appreciate your input, but we couldn't do it and I can't tell you why. Even if that was sincerely communicated, I think that would be well received. I don't think we do that a lot of times I think the leaders will go; well you know I understand where they said that, but we just can't do that. We can't. We're not ready to develop the whole picture of what this change may look like in the end. And I think that's very difficult because it's difficult for the leaders and it's difficult on everybody else (Interviewee 22).

Communication among layers of an organization the size of JMU presents a myriad of challenges for those tasked with ensuring the original message reaches the desired audience without losing its shape and form during the journey. Emerging within the data analysis was the concept of trickle-down and watered-down communication as a subtheme and constraint of change at JMU.

Messages and excitement levels at senior leadership levels face a path of uncertainty as they travel the road toward the bottom of the university hierarchal ladder. Interviewee 8 provides perspective and discussed how this unfolds. Further complicating the communication path is articulated by Interviewees 9 and 19 and the assumptions made by those planning change at JMU. In this case, communication messages are handed off to those at lower organizational levels with expectations that the message will be passed along to the proper recipients. Relying on the organizational layers to act as a communication conduit can support and also constrain change. Trickle-down communication and messages were referenced multiple times throughout the data analysis coding process.

Subtheme 4.2: trickle-down & watered-down messages

I think the challenge is when it gets watered down after many levels down to that person it loses the original message and loses the original excitement and passion to where it might be oh the president loves it the VP loves it even though the Dean says oh this is pretty good. Then it starts getting watered down and then one person says oh here we go again another thing. So then when they present it to the masses. Because that person says, sorry about this we got another thing. What are you talking about? You've just totally ruined all the excitement in an instant (Interviewee 8).

Well like I said at the beginning for some things it's not communicated until it's all final and done and already in place. And for other things it seems to me if it's something that everyone on campus needs to know that they might send out a mass e-mail or it's something that's a little more individual than they would it seems to me expect the people under them to share it with whoever needs to be and maybe not specifically saying all you need to go and tell everyone in your office about this but yeah, they're assuming that it's going to be spread (Interviewee 9).

I think the way we presented it to folks was very positive. We had a cross divisional university committee that researched this. This was what we viewed as best practices this will be the benefits for us. So, this is why we're moving forward. I think all of that was done in a very positive way and a very informative way. What didn't happen was we left it in the hands of other people to communicate our change down in a way that we probably, that we should have been out there either with them or in some kind of partnership with them (Interviewee 19).

Organizational change requires communication from leadership and is secondarily impacted by the form and vehicle chosen to disperse that message. The most common forms of change communication at JMU from the data analysis and interview transcriptions appear in the form of both email and meetings that were referenced by those in Groups 3.4, and 5. In each case, 10 of 15 respondents or 66% indicated these were the chosen form of communication from leadership during change with one on one communication referenced by 7 of 15 respondents or 46% and trickle-down communication referenced by 33% or 5 of 15 respondents. Interviewee

11 noted the conundrum that emerges when relying too heavily on email as the preferred method of change communication and the potential negative outcomes. This highlights the need for thoughtful consideration of communication during institutional change taking into consideration how it will be received, perceived, and presented.

Subtheme 4.3: email vs verbal communication

Knowing that faculty are going to have a lot of questions and they're going to want to discuss things and they're going to want to be heard, you're going to want to problematize, and they're going to want to analyze things. If information is just given in an email, they don't have an opportunity to do that. I've noticed that it's less effective when some kind of major change is just communicated through e-mail also because that doesn't feel like someone's autonomy is being valued right. They're just being told something. But I've noticed occasions where upper administration shows up, comes to a meeting, and then says here's what's happening, let's talk about it. That tends to go over better because then faculty have that opportunity to discuss and think through and talk through all of that (Interviewee 11).

As the narrative of the research results winds its way towards a conclusion, there are many of these themes that begin to overlap and re-emerge as influential factors supporting and constraining institutional change at JMU. Transparency was referenced by 7 of 25 interviewees or 28% total. However, this may be slightly misleading as many more who were interviewed eluded to this same change subtheme. Transparency overlaps the change process with leadership and trust that will be discussed in the final thematic section. Interviewees 5, 10, and 19 all

referenced some aspect of transparent and open communication as factors that both support and constrain change at JMU.

Subtheme 4.4: transparent and open communication

I think you have to communicate. You've got to counsel people that report directly to you if they have some subordinates that are going to be involved in the change. You have to say you know here's why we're doing it. Here's what we want to accomplish (Interviewee 5).

I come back to communication being really clear and consistent with what you know and can share with what you might know but cannot share. That I know gets tricky. I know there's a reason for that and I'm trying to think on the fly what I would say but I think there's a spectrum of information and if we can talk freely about where some pieces are because so often change might involve things like personnel decisions (Interviewee 10).

I'm big on talking to people about what the change is. Here's why it's happening. Here's the benefits that we see. Here's the check in process that we have in place because we know this is going to be a challenge. We know this is new and this is different. It feels uncomfortable, so we want to make sure that you have an opportunity to circle back and tell us how it's going and then doing that checking in with folks and saying how's it going. What's working what's not working. What do we need to continue to tweak? (Interviewee 19).

The final subtheme spotlights the value of communication that was repeated among the data collected as a lesson learned from past institutional change. From the 15 interviewees who received interview schedule B, 7 directly referenced the value in communicating or 46%. A collection of multiple references is presented in the below table to display repetition and thematic saturation.

Subtheme 4.5: the value of communication

Table 18

Collection of interviewee references:

I would say the lessons learned for me are just the importance of continuing to maintain open communication. I think during times of change there are feelings of uncertainty that come up there is kind of a sense of loss of control and that can start to make people very worried. That can start to be those times where you start to make up stories in your head and you start to feel uncomfortable. And I'm more talking about change within the workplace we're talking about career and financial security. I mean these are very basic to people's human needs and we can sometimes get a little bit desperate if we're worried about any of those being negatively impacted. I think the more open communication that happens the better. Just to give back that sense of security and control and ownership (Interviewee 15).
You can't communicate too much. Even to people that you think have no dog in the fight at all. Because it will surprise you (Interviewee 22).
I would say over communicating. I would say if you've proposed a change somewhat unilaterally then try to work through the process before you actually get into the process. If that makes sense (Interviewee 7).
To me communication can be your biggest advocate or can be your biggest stumbling block because you send out e-mails and you think you've communicated but if people don't read them or they read it and interpret it differently than what you meant, sometimes you can just create more mush (Interviewee 4).

Theme 5: Leadership

The final emergent theme from the data analysis anchors the entire change process. Leadership creates relationships with each of the other themes forming a holistic framework and thematic model for organizational change in higher education. While this theme serves to bind

the many supports and constraints previously reviewed in this chapter, it also presents a myriad of complex challenges.

As noted in the chapter 2 literature review, leadership creates relationships with many critical variables as these individuals guide support staff through the many stages of change. Leadership style, behavior, communication and motivation, and skills that help build teams and involve others are directly linked with the effectiveness of leaders during change.

From the data analysis and coding process, specific emergent subthemes presented themselves as critical variables and will be addressed individually below including planning, change process inclusion, decision making, transparency and trust, and assessment and measurement. These subthemes of leadership that support and also constrain change are represented in the below visual taxonomy.

Figure 14: Leadership subtheme taxonomy visualization

Both interview schedules included references either by the interviewer or interviewee to each of the subthemes except for assessment and measurement that was only specifically

included in interview schedule A. The below table provides a breakdown of subtheme

references and associated percentages.

Table 19

Leadership subtheme reference frequency:

Subtheme keyword	Reference count	Reference percentage
Planning	17/25	68%
Inclusion	3/25	12%
Decision	19/25	76%
Transparency	7/25	28%
Trust	12/25	48%
Assessment	7/10	70%
Measurement	8/10	80%

Planning for change at an institution the size of JMU can present unique challenges and

connects many of the subthemes already mentioned in this review of the data results. Within the

data analysis emerged conflicting viewpoints from all aspects of the university exposing

differences in perception and reality between the various institutional divisions. The below table

of interviewee references represent these conflicting viewpoints. For the purpose of context,

Interviewee 10 is responding to a question that asked if there was a time when anyone specific or

a team was assembled to address concerns and barriers during organizational change.

Subtheme 5.1: planning

Table 20

Conflicting perspectives of planning for change:

In ones that I've dealt with it has always been upper management. They know the changes are coming, they're planning for the change. So, the people that work underneath them aren't really incorporated in the planning process. It was all done at upper management level (Interviewee 16).
I think as a part of your planning. I do think that again if you're creating a good plan that definitely has to be one of your considerations. What is it that people are not going to like about this or what is it that's going to be seen as detrimental or as a con or as something that people are just going to flip out and say what were they thinking? I think that's a part of your planning that you have to come concentrating on what some of those things might be. That again you might not have all the answers because to me some of those barriers are the things that you go to people to say hey, we've thought about this, what are some of the ideas that you have so that we could avoid that. And that again helps them to think, OK they recognize that that could be a problem. I'm gonna get to help solve that. Sure. To me that's an important part of the involved aspect. And having people buy in basically (Interviewee 4).
When you involve people in planning things that impact the unit and the organization, you're going to get a far better outcome than if you don't because if you don't you bring in all the other things that are negative and counterproductive (Interviewee 6).
I thought that question was interesting because it made me think about how usually the change processes that I've been involved in have been shepherded by the same group the whole time. And so even reading that question I was like oh yes, an external group may have helped. So, I can't think of a time when a planning or a change facilitating group stepped back and said OK you know we're going to have representatives from the stakeholders or maybe some externalize take a look and see what they can see (Interviewee 10).
Change that's top driven and not just one leader being capricious but the top of the organization maybe myopic in terms of how the change will impact people down the line. They have good reasons for implementing the change, but they don't ask the right questions or enough of the right questions to learn how it's going to impact people (Interviewee 1).

Inclusion and voice can make or break the outcome of change at any college or university and are fueled by individual perceptions about leadership. The data analysis revealed variables including speed and pace, trust, and timing of employee voice and suggestions as key variables for potential outcomes. These key variables residing under the subtheme of inclusion were referenced and expanded upon by those interviewed for this research. Interviewee 22 presented a scenario in that the speed and pace of change at JMU directly impacts inclusion levels

Subtheme 5.2: change process inclusion

If it's something that has to be done quickly, I think decisions can be made quickly. And

they turn around pretty quick. Now it may be that if you're not in the loop on those fast

changes you may feel that you should have been and that you didn't get heard. But

sometimes the environment doesn't allow for that. So, based on that, it's handled with the

people that management feels that at the time has the most knowledge or the most access

or the most to lose or gain by way or when change is going to be. If it's a change where

there's plenty of lead time, I think they do try to do a pretty good job of bringing

everybody in. It may go from the top down and then back up to the top, but I do think

there's an attempt made to get everybody's voices heard (Interviewee 22).

Individual employee suggestions and feedback are a secondary change process variable

that directly impacts outcomes.   Relationships are formed with previous themes discussed within

the holistic framework including culture, organizational structure, and individual impact. These

relationships emerged as a result of the data analysis and emergent coding process suggesting

that timing is critical. Feedback and suggestion tools such as surveys form a bridge with

transparency and trust and can be viewed as positively impacting and supporting the change

process. These can also be viewed as token gestures by leadership with a lack of transparency

negatively impacting culture and trust. Interviewees 10 and 25 offered intriguing perspectives

about how employee feedback is viewed at JMU during change processes.

Sometimes at the exact wrong moment when everything is already fully formed. I think

it's really easy to say well let's get some feedback to kind of put the final check or tick the

final checkbox. I think that's far too late, but I've seen it happen a lot. There's an office

for this person they're not hired yet but there's an office and what do you guys think if we got a position that did this, well you've already planned it. And I think there's nothing that erodes trust more quickly than that. I think people are always able to tell when their feedback is landing on a plan that's already in motion (Interviewee 10).

I hate to say it, but usually after it's already decided. I'm thinking my department and somebody on this side of campus might say the complete opposite, but I think it's usually this is what we've decided is what we're doing, now here we go. I don't know that's always the best way to do things (Interviewee 25).

Decision making process involvement was a question included in interview schedule B. The data analysis and emergent coding process revealed 12 of 15 respondents or 80% were involved in the change process based on their university role. In other words, involvement is relationally dependent on organizational status, position, and role. Those at the bottom of the organizational hierarchy were severely limited in change process decision making. Interviewee 14 provided unique insight and suggested that those in upper administrative positions rely to some degree on guesswork to inform change process decisions that supports this research.

Subtheme 5.3: decision making

I think if everything's working well that I don't know if it is or not, the people who are on the ground could be your most valuable resource because they see something and say why don't we do this differently? Like how do we stop runoff down by the stadium? The people who are doing the landscaping work down there see it, right. How do we increase recycling? Ask the housekeepers, right. So, it's people who are there but we

don't ever see them. I think too often we we're like, well that person's job is to empty the

trash and that's what they're supposed to do. We don't say is there a better way? Is there

a more efficient way to do this? Is there a more efficient or better way or more humane

way however you want to find it, but is there another way to do it? And we often make

all these guesses. Like I said all this means is people get paid way too much money and

they're always like well we should do it this way and so why don't we ask people who are

actually doing that if that's the right way to do it (Interviewee 14).

Transparency and trust are themes that emerged repeatedly during the emergent coding

and data analysis process. Interviewees provided a deeper understanding into the importance of

remaining transparent during the change process and how the lack of transparency is directly

linked with communication voids, individually formed perceptions, erosion of culture, and

negative outcomes. Trust issues are difficult to recover from and can damage an organization

silently creating challenges for leaders and followers during change. Interviewees 3 and 22

provided big picture transparency perspectives supporting this emergent theme.

Subtheme 5.4: transparency and trust

Well I just think sometimes and this is probably any organization I don't think a lot of

organizations understand the value and I know sometimes they can't be transparent but

sometimes I don't think they really understand or value their employees enough to let

them know even if this is not going to happen, you just say this could be a possibility. I

just think they undervalue a lot of people or think at that point they don't need to be

involved. But it does involve them (Interviewee 3).

You can't always be transparent. I think that is something that we could work on or we

should work on is how to relay those concerns when we can't be transparent. How do

you still relay the concerns of others? We appreciate your input, but we couldn't do it

and I can't tell you why. But even if that was sincerely communicated, I think that would

be well received. I don't think we do that a lot of times. I think the leaders will go, well

you know, I understand where they said that, but we just can't do that. We can't and you

know we're not ready to develop the whole picture of what this change may look like in

the end. And I think that's very difficult for the leaders and it's difficult on everybody

else (Interviewee 22).

At a more granular level Interviewee 2 provided an example of how organizational trust

is damaged as a result of a lack of transparency resulting in a negative outcome. In this specific

case an excerpt of this interview is presented in the below table to protect the context.

Table 21

Transcript Excerpt:

Interviewee	I was on this task force for two years and that whole task force it was all people who are interested in multidisciplinary stuff. And it was people who are excited, and we thought it was great and we had lots of meetings and lots of ideas. In the end there was absolutely no funding put towards it at all.
Interviewer	And that killed it?
Interviewee	Absolutely killed it and pissed off everyone involved
Interviewer	Had you known at the beginning before the process started that there was no funding?
Interviewee	No, the thought was that there would be funding would materialize depending on dot dot dot. It wasn't. There was none. It was decided not to spend on that area. So, it wasn't like oh yeah you worked for two years. It was, well actually we're not really sure about this and so you have a bunch of people who have spent two years of their lives very excited coming up with a massive report and doing all this stuff and at the end absolutely nothing changed. And that is the kiss of death. Not only is it the kiss of death for that but all of those people are like Okay I'm never doing that again (Interviewee 2).

The final subtheme identifies a gap within the institutional change process at JMU.

Analysis of the data overwhelmingly identified an absence of assessment and measurement as a

result of institutional change at JMU. 70% of those interviewed or 7 of 10 supported this gap

with an additional 2 of 10 or 20% unsure. Interviewees 13 and 14 supported the data analysis

subtheme and conclusion that the university is incapable of reviewing prior change sequences

from a formal measurement perspective.

Subtheme 5.5: assessment and measurement

I think that a lot of times the things that are the biggest changes are not things they

measure. I think we measure smaller initiatives that we think are change. You know we

institute new academic program, new scholarship programs, we measure the effect of

those. But when we bring in a new V.P. or cut this program over here, we don't do a lot

of measurement of that sort of thing. I think we do a lot of measurement when it's

something that we're used to measuring. When I was thinking about change, all of the examples that immediately came to my mind were ones where somebody left and someone else came in and I think we don't ever measure those (Interviewee 14).

Well let's just say, yes, we make change, well designed changes, and then we just keep going. So, I don't know if there is anyone who monitors our change initiatives and follows them. I don't know if for example in the corporate world or other kinds of settings if more of that happens and I guess this is maybe one thing that you're thinking about too with the study is that if someone did do that in an organization could it yield some good results and things that you could actually use as you make future change, and avoid pitfalls if they were there or mistakes or learn to do it a different way. I think we all just kind of operate properly based on what we know and our history and our experience and others too but then I think again I think we'll just keep rolling. I don't think it's like held anywhere and that way. If someone said pull up the change initiatives in the Starr report, maybe you can go in and you can pull up things that are connected to diversity or engagement or something you can pull that up, but I don't think if someone said well yeah let's go let's look at JMU's changing issues for the last 10 years, I don't know that anyone would know where to go first. Interesting, I guess each division rather could probably figure it out, but I don't know that you know anyone can push a button and go Oh here's that report. No measurement results (Interviewee 13).

Chapter Summary

The findings in this chapter are based on data collected from 25 interview participants using two different interview schedules to answer the main research question of what factors support and constrain change from the perspective of JMU change leaders and support at all levels of the higher education context?

This narrative exploration of emergent themes and subthemes form a holistic framework of variables for change practitioners, a thematic model, and taxonomy of change factors for consideration. The relationships formed between themes and subthemes suggest the complex nature of institutional change. As evident by the analytical data from this research, organizational culture permeates and impacts each of the remaining main change themes including organizational structure, individual impact, communication, and leadership. During institutional change all of these factors simultaneously impact culture positively and negatively.

Chapter 5 – Discussion, Limitations, Recommendations, and Conclusions

Introduction

Change in higher education presents a multitude of challenges and none greater than a complete understanding of change itself. The cultural phenomenon that cultivates between the organizational layers acts to bind them together during the change process and leaves lasting impact for planning, implementation, and sustainability of institutional change. It is apparent that while higher education change practitioners recognize an identified gap in terms of need for change and facilitation clarity, the overarching research deficit connecting theory and practice serves as somewhat of a stumbling block (Bruns and Bruns, 2007 & Pollack and Pollack, 2014). While the wealth of advice for practitioners serves to inform those tasked with facilitating change in higher education, what lacks is a narrowed focus connecting the application of techniques and tools to determine their effectiveness (Raineri, 2011).

A great number of studies have identified granular causes of change variables impacting the individual, organization, and culture. This includes deep dives into the behavioral and psychological impact of change, the underlying power of culture in higher education, the impact of leadership style and approaches, and navigating the waters of institutional change. However, the spotlight still remains on critical missing links between those researching these topics and those who must plan, implement, and sustain change in higher education.

The purpose of this qualitative case study explored from the perspectives of JMU change leaders, what specific factors constrain and support change in the higher education context and more specifically at James Madison University? The exploration of complex higher education change dynamics at JMU informs and shapes a thematic model and taxonomy of change factors acting as a guidepost for future change.

Discussion

Five overarching themes emerged as a result of this qualitative case study analysis including organizational culture, organizational structure, individual impact, communication, and leadership. Within each of these themes emerged subthemes or specific factors supporting and constraining change at JMU indicating the complexities and relationships among the many variables and components of organizational change at an institution of higher education. Organized in a hierarchal framework each of the themes directly impacts the next leading to positive and negative outcomes. From a holistic standpoint, the impact of culture acts to bind the remaining themes creating a unique operational phenomenon. Adding to this equation is the decentralization of the university in that the parts of the whole operate interdependently under one umbrella. When faced with large scale change at a university the size of JMU an organizational development framework guiding cultural organizational change acts in much the same way as a lighthouse. In this case, it guides those who are tasked with planning, implementing, facilitating, and sustaining change at any level whether its institutional, divisional, or departmental and regardless of its origins of origination. The glue in this case is a taxonomy of variables and a cognitive comprehension of the granular cause and effect relationships that emerge as a result of these interactions.

Organizational Culture

Every organizational culture defines its own status quo and environment that forms the framework of day to day existence. Change represents a disruption to the status quo and triggers emotional, behavioral, and psychological responses among individual members of the established culture. A summary of the major findings under this theme highlighted specific cultural outcomes resulting from change. As part of an individual's role within the culture

becomes a level of responsibility from the perspective of the organization to communicate, collaborate, and share knowledge during all forms of change. This notion of a learning organization is present in some but not all cases across an organization the size of JMU and becomes constrained by existing culture. The belief that an individual has an inherent responsibility to further the organizational cause during organizational change hinges on their emotional and psychological disposition.

Another finding from this theme rests with the cultural impact of communication. When communication gaps emerge, employees are left to fill those voids. Their perceptive interpretations more often than not cause deep and lasting cultural erosion as a result of their inconsistent connections with reality. Trust and relationships are compromised at this stage further damaging organizational culture, change success, and positive outcomes.

A third finding impacting the individuals who form the organizational culture is their level of adaptability in rapidly changing environments. The pace of change can happen as a reaction to environmental stimuli. For example, a change in federal regulations or as a result of litigation. In these cases, it can be challenging for individuals requiring time to process the impact of change to adapt quickly.

The final finding under the subtheme of organizational culture highlighted an absence of methods and tools for JMU change facilitators. A lack of change uniformity across campus places leadership in a challenging position. These individuals must rely on their own perceived methods for leading individuals through change that is met with mixed results.

These findings support the research by Blackman & Kennedy (2011) from the perspective that on one side of the organizational divide resides an optimistic outlook that all learning pathways lead to positive outcomes. During organizational change however, retention

and sustainability of knowledge in many cases does not match with established mental models from those positioned organizationally on the opposite side of the division line. Instead of change occurring, the status quo is substantiated (Blackman & Kennedy, 2011). In many cases the status quo becomes an excuse not to change acting as a reverse catalyst and change barrier. The results of this study further substantiate the idea purposed by Blackman & Kennedy (2001) that communication gaps and ambiguous information produce a breeding ground for employees to interpret communicated information during institutional change as non-transparent and lacking validity further complicating change efforts.

Conclusions drawn from this research project mirror to some degree what Boyce (2003) had suggested when claiming that less emphasis should be placed on the operational aspects of higher education change, and more emphasis placed on sustaining change and development. Kezar & Eckel (2002), suggested during their research that little has been offered in terms of how institutional culture affects organizational change variables relying on the strength of a literary assumption. I would argue that this research begins to fill this identified void with the development of the change taxonomy of factors supporting and constraining change in higher education and an established emphasis on the impact of culture with any level of institutional change.

Organizational Structure

The organizational structure of any institution of higher education appears pre-disposed to change challenges because of decentralization. The academic arm of the institution operates as a collection of independent contractors with disciplinary expertise loosely formed and includes a level of shared governance with the administrative side of the university. This complex organizational framework presents its own unique challenges for successful outcomes.

Key findings under this theme include the difficulty with ascertaining faculty buy-in when navigating institutional change. The very nature of decentralization and conflicting viewpoints between the academic and administrative university subsections causes friction that ultimately slows any change process. University faculty are trained to question and analyze any level of change adding to this degree of difficulty of gaining their buy-in.

Remaining findings focus on a more holistic perspective of the institutions structure and begins with the layers of middle management. This battleground emerges as a key ingredient for perceived success with change. As plans are filtered from the top, this layer is tasked with processing and repackaging to the bottom of the organization. Without buy-in from those who are tasked with facilitating change among the universities departments, internal conflict acts as a barrier for change. This is magnified by the depth of the organization and includes a secondary key finding. There is a disconnect between those who reside at the top of the organizational hierarchy and traditionally plan change versus those at the bottom where change is dictated creating a significant barrier for success.

Another finding under this theme included bottom up change and the levels of individual power and control that emerge as a result. Change that begins within the department is perceived at the individual level far more positively than change traveling from the top down. This locus of control allows the individual's role to be perceived in a far greater capacity with lasting positive impact behaviorally and psychologically. Individual inclusion and voice with this level of change are key variables.

The final finding from this theme supports the disconnect among organizational leaders and followers. Conflicting viewpoints from campus leadership who view change as inclusive with opportunities for individual feedback and voice are not shared by those whose positions fall

below an imaginary line across the organizational hierarchy. At this level change is viewed as driven from the top down with a noticeable absence of involvement and voice.

The analysis from this research project supports prior studies conducted by Collins (1996), Johnstone, Dye, & Johnson (1998), and Kezar (2001). The data confirms that conflicting viewpoints and friction generated between the academic and administrative institutional extensions represented as governance, acts as a natural barrier slowing the change process. Further supporting the scope of the literature examined in chapter 2, is the significance of middle management buy-in and the connection to studies by Bouchenooghe (2010) and Choi (2011). Positive and negative outcomes are heavily dependent on this individualized group of employees with opinions constructed by a multitude of situational variables and contextual factors hindering buy-in. The taxonomy of change factors generated as a result of this study adds to the research highlighting many of these variables in the higher education environment.

Individual Impact

The individual employee plays a significant role with any level of institutional change at JMU breathing life into the reflective outcomes. Findings from this theme included a noticeable difference in the treatment of employees during change sequences. In many cases the foot soldiers of the university are an afterthought during planning as the upper administrative snowplow moves them to the side.

The decisions of leadership emerge as another key finding with their impact felt by those left with completing tasks that have now changed in some capacity. This perceived disconnect in terms of how these decisions affect the individual employee presents a wide gap between the top and bottom of the university.

Another finding under this theme focused on inconsistencies among change involvement levels. In some cases, inclusion and voice are carefully incorporated with change however this is not echoed across the university.

The final finding from this theme suggested that resistance in the form of fear of the unknown and lack of buy in present significant barriers for successful change outcomes at JMU. Adding to this equation is the status quo. The findings suggest that the university as a whole operates within a state of perpetual resistance from the status quo offering a departure from this state as an inherent reason to resist change.

The scope of this research adds to the existing body and unveils specific change factors which influence the reactions of change recipients during organizational change in higher education (Cullen, Edwards, Casper, & Gue, 2013). Further, while Oreg et al., (2013) suggests a current shift towards higher levels of consideration and understanding towards the perspectives of change recipients, that is not reflected at JMU. The results of this study do support prior research by Cameron & Green (2012) and Oreg et al., (2013) confirming that while change may be viewed from a social systems standpoint, the individual impact of change is often overlooked. The data analysis confirms that while the individual may not affect the overall outcome of change their unique perspectives require honest acknowledgement not token gestures.

Supporting research by Schweiger et al., (2018) and Erwin & Garman (2009), this study further emphasizes the importance of employee participation and role during organizational change in higher education. The cognitive, affective, and behavioral results of perceived exclusion are established in chapter 4 and manifest as employee threats including mistrust and withdrawal as a result of decision making and the organizational divide.

Finally, from a resistance perspective, the findings from this research support many of the contributory resistance factors identified by Lane (2007) including buy-in or perceived value and fear of the unknown directly related to status, power, and condition. The status quo often become a change roadblock and resistance barrier as indicated by the findings with this study and supports existing research from Lane (2007), Caruth & Caruth (2013), and Zell (2003). The data analysis from this study supports the notion that convincing faculty to buy into fundamental change is both challenging and impacted by their status as independent consultants with specialized foundational frameworks of beliefs.

Communication

The relationship formed between a leader's ability to communicate clearly, concisely, and timely during change at JMU and the eventual outcomes of individual buy-in and attitudes toward change were supported within these findings. The findings suggest that adopting a reactive communication approach during change severely limits effectiveness. During the planning and implementation phases of institutional change, the timing and flow of communication are critical to avoid potential voids being filled with employee perceptions.

A secondary finding under this theme follows a path of communication uncertainty. As messages and excitement levels are formed at the top hierarchal levels of the organization, they must travel the depth of the organizational layers and are dependent upon those in middle-management positions to remain in-tact. The findings suggest these messages become watered down as they pass from one layer of the university to another losing excitement along their journey until they reach the bottom.

Email and verbal communication were the preferred vehicles from those in leadership positions during change processes. The findings from this research study indicate that relying

too heavily on email communication can lead to negative outcomes.   Those who construct and send email lack the ability to control how individuals receive and perceive information. Thoughtful consideration should be given to communication methods during change with verbal one on one conversations serving as an alternate method.

Overlapping the entire change process is transparent and open communication. According to the findings, potential exists for both support and constraint of change at JMU as a result. Consistent and clear communication are key variables during institutional change from all levels of leadership to avoid damaging trust between leadership and individual employees.

The final finding under this theme emerged as a result of lessons learned from those who received interview schedule B. This group of participants overwhelmingly agreed in the value of communicating often to avoid potential change pitfalls.

The results from this portion of the taxonomy support prior research by Kotter (2012) & Mosadeghrad (2014) highlighting the importance of effective communication during change and placing emphasis on poor communication as a contributing factor of perceived change failure. The results of this study add to the existing literature and identify from a micro perspective, specific higher education communication barriers. Secondarily, while the environment of shared governance described by Kezar (2001) and Birdbaum (1988) are visible within the fibers of the JMU organizational culture, this study adds an additional layer of complexity.   The path of initiative driven change by university administration and the chosen methods of communication and feedback are met with immediate resistance by some portion of faculty.

Leadership

The final emergent theme of leadership acts as an anchor for the entire change process. Furthermore, it forms relationships with the other themes while forming a holistic framework for

change practitioners. The findings indicated significant conflicting viewpoints from organizational members with regard to how change is planned. Planned change from the top of the organization must include some level of relational synthesis of how this will impact individual employees. While this may be perceived to be occurring by those above an imaginary organizational threshold, it is perceived completely opposite below this line.

A secondary finding under this theme focused on inclusion and voice. Variables including speed, pace, trust, and timing of change can influence individual perceptions regarding leadership. It becomes essential for leadership to carefully consider these variables when planning change.

The relationally dependent relationship between organizational role and change process decision making acts as a driving force to widen the gap between the top and bottom of the organizational hierarchy furthering the disconnect between these organizational levels at JMU according to this research. The findings also suggest and link the lack of transparency with negative change outcomes and erosion of trust within individual departmental and divisional cultures.

Finally, the findings from this research highlight an absence of assessment and measurement components to determine change effectiveness or provide data and metrics for the university from past change building actionable trends over time. These findings create a taxonomy of factors that support and constrain change at JMU from a diverse cross-section of leadership and support levels. Furthermore, this forms a thematic model for practitioners tasked with facilitating change at JMU and will be discussed at greater length in the conclusion section.

The results from this research support those of Brown (2013) in terms of planning change and the impact individually, organizationally, and culturally. Additionally, the findings from this

study build upon the literature from Raineri (2011) highlighting specific higher education change outcomes as a result of irregular approaches and lack of uniform resources. Hortho (2013) outlined a framework of commitment uncertainty with middle manager change implementation in higher education. This study not only supports this claim but adds to the body of research through construction of the taxonomy citing specific contributory factors, barriers, and roadblocks.

From a cultural perspective this research study adds significantly to the absence of literature as noted by Kezar & Eckel (2002). The established literary assumption that culture is somehow related to the change process is expanded upon during this study constructing a taxonomy of specific factors supporting in detail the impact of institutional culture. This also highlights the cultural phenomenon which takes place between the cultural layers of the organization.

Finally, the results of this study support previous research from Gilley et al., (2009a), Rogiest et al., (2015), Hao & Yazdanifrad (2015), and Miller (2001) which form connections between leadership behaviors, abilities to communicate and motivate, and foster sustainability of change. This also supports the claim from Lee et al., (2010) that managers and administrators lack a playbook or roadmap comprised of knowledge, skills, and abilities to successfully navigate and facilitate the change process. Supplementing the body of literature is the fundamental concept that change facilitators, planners, and administrators develop the ability to cognitively comprehend the granular cause and effect relationships developed during any level of organizational change.

Limitations

Although this research brings to light the complexity of navigating change in higher education there are definitive limitations with this study that should be discussed. The first limitation is related to the time to pilot both interview schedules. Although both were peer reviewed, because of the rapid time frame to complete this research, an opportunity did not present itself to pilot the instruments prior to interviews with participants. A second limitation was the difficulty in removal of my personal bias and the participants. From my perspective, every effort was made to exclude opinions from this research process however during interview sessions and in an attempt to create dialogue and comfort between myself and those being interviewed there were times when the conversation included opinionated conversation that could have influenced responses. It was also challenging to remove all bias from the participant level having no concept of past history or current environmental conditions. Therefore, both of these limitations impact validity and make these results difficult to generalize with other institutions of higher education.

Other limitations were related to the amount of data collected and the amount of time required to transcribe, code, and analyze. The limited time frame hindered my ability to synthesize the results on a deeper level. The amount of data collected almost acted as a double edge sword in this specific case. On the one hand, collecting the amount of data I did allowed for a complete permeation of university perceptions covering all leadership and support levels while also creating an increased need to move quickly through the coding and analysis phases. These limitations therefore affect the validity of the results with an increased time frame allowing for greater interpretation, reflection, and presentation of this case study. Finally, with

regard to the additional sub questions outlined in chapter one, the time limitations encountered

with this study prevented attempts at answering each of those individually.

Recommendations for Future Research

Based on the results from this study, there are several recommendations for future

research. First it an effort to eliminate many of the limitations mentioned above a much greater

time frame should be allocated for any replication of this study. The amount of qualitative data

by nature requires adequate time for the analysis and synthesis process to unfold completely.

Second, in order to compare the findings from this study against other institutions of higher

education in an effort to produce a uniform set of change supports and constraints additional

research would be required from peer institutions creating depth from the results and presenting

the opportunity to comparatively analyze data forming deeper permeation of higher education

change factors. Results from this study might allow for the construction of a more

comprehensive higher education thematic change model with uniform applicability. Third, while

this study outlines factors supporting and constraining institutional change at JMU it does not

formulate specific resources for facilitation of change. This might take the shape of specific

training for those in higher education leadership positions in an effort to fill an identifiable void

and create a toolkit of resources for those tasked with leading change. It should also be noted

that consideration should be given to the multitude of variables driving change in higher

education, reactive versus proactive change, and the many levels of organizational starting points

for change. Finally, and most important is the need for some form of assessment and

measurement tool to help create a university narrative and resource to increase organizational

learning at JMU. The ability to assess the effectiveness of change and pinpoint missteps could

alleviate considerably both negative outcomes and individual impact while increasing employee retention, attitudes, and organizational behavior.

Conclusions

Three major conclusions can be formed from this study. First the lack of uniform change resources including tools and methods for leading and facilitating change opens the door for ambiguity and inconsistencies. Those tasked with leading change at any level of the university are currently left to their own methodology and individual determination of the best path to proceed that creates a patchwork quilt of options and solutions. Change effectiveness is heavily dependent on these chosen methods and is further hindered by an absence of assessment and measurement to provide guidance for future improvement. This study brings to light the debate between making the change happen from an operational standpoint and realization that the university will continue to function regardless of change outcomes versus consideration for facilitator assistance. Negative change outcomes leave unfortunate cultural scars and incorporating specific organizational development guidance surrounding change enhances the universities ability to navigate these waters while promoting successful cultural and individual outcomes.

The second conclusion focuses on the disconnect between the organizational layers and the need for a much deeper understanding of how change impacts the individual employee and further how culture can impede change effectiveness and structural saturation. Many of those who participated in this study "said the right things" in terms of approach to change, impact, vision for the individual employees, contributory value, current status in terms of what was working and what was not, staff involvement, currently perceived measurement tactics, and employee voice and autonomy to create solutions while building trust and respect. Many of

these themes were echoed repeatedly amongst the participants. However, after reviewing the

data, an imaginary line began to form between the organizational layers. In other words, what

was being mentioned about organizational change by those who reside above this organizational

divide did not resonate with those below and change appears to take on a much different shape

and form. Instead of creating positive outcomes from change, in many cases the opposite is

taking place. While the intentions of those at levels above this organizational divide may be

sincere, the vast depth of the organization itself acts as a sea swallowing messages and

excitement levels as they become misshaped during their journey encountering layers of waves

until they wash on shore resembling barnacle filled driftwood. The unfortunate result creates

disconnected perceptions between these layers resulting in cultural erosion and mistrust. This

barrier is fully embedded across the university and does not specifically reside in any one

division or department. As this gap widens and the disconnect grows, the negative cultural

results rarely make it back to their ultimate point of origination. Instead they slowly erode away

at the many institutional cultural layers creating silence, resentment, anger, confusion,

uncertainty, stress, anxiety, and in some cases turnover. These implications are far reaching and

part of the answer to bridge this gap lies within the many middle-management layers of the

university. It is within these layers where institutional change is accepted or rejected and begins

a journey toward success or failure. As these waters begin to become clouded with uncertainty

and individual perspectives of middle management, the lack of resources, knowledge, skill sets

and abilities to successfully lead departments through change events directly impacts the ultimate

outcome. The operational mentality of the university including those in leadership positions and

embedded fear of change has created a culture of perfectly formed barriers making successful

change extremely challenging and complex. An increase in education surrounding this

phenomenon in conjunction with changes in mindset and perceptions act to counter these barriers and bring balance to the change process for those tasked with leading and facilitating change. Further, resources are much needed for individual employees who are facing uncertainly and fear. Currently they are left to their own devices to deal with the individual effects of change. Some form of institutional outreach and engagement would act positively in this case to circumvent these potentially negative scenarios. Resources are available on campus for students dealing with potential individual barriers and this should be no different for employees.

The final conclusion focuses on the reactive approach to change at JMU. The strategic nature of change upon careful examination spends a great deal of resources operationalizing the process with more focus residing with making the change happen and less concern for the individual impact. This evidence was overwhelming while examining the cultural phenomena taking place from follower behavior and perceptions about their interpretations of change outcomes. Planning is a critical ingredient with any level of change. At the institutional level, regardless of whether it is planned or in reaction to environmental stimuli, those below the organizational divide are tasked with implementing the plan and essentially making it happen. Questions concerning individual impact, barriers and drivers, opportunity and threats, are not uniformly considered with information concerning details, goals, and objectives arriving in bits and pieces. Absent from this process is a toolkit of resources for how to make any of this happen on a divisional, departmental and even an individual level.

The primary goal of any change is sustainability and true cultural change within the institution is positively altered. When this does not take place, the efforts of the university unfortunately fail to cement themselves within the culture and ultimately prior behavior erodes the cultural DNA until individuals revert back to the way things were done prior to change

attempts. Implications for future change efforts at JMU hinge on change sustainability efforts. The gap can be narrowed and the disconnect erased, however a great deal of commitment must take place first to educate, facilitate, and understand the complexities of institutional and organizational change. As we dig deeper to understand this phenomenon in greater detail, I purpose a single question. Is it time for change?

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Appendix A: Email to participate in a Research Study

From: zaepferp@jmu.edu
To: *Participants*
Subject: Permission to conduct an Interview

Dear *Participants*

My name is Bobby Zaepfel and I am a Masters candidate in the College of Education and Adult Human Resource Development program. My thesis topic is the design and development of a change management model for James Madison University: A Case Study. I would ask for your support and unique perceptions of change at JMU through a one-on-one interview. You have been selected for this research study based on your years of service at JMU and position in the organizational structure of the university. The interview will consist of open-ended questions that I will send ahead of time and range from 60 – 90 minutes. I understand your time is valuable and I am willing to meet with you at your convenience in your office or another location. All information provided will be kept confidential and the researcher will not use your personal information for any purposes outside of this research. I appreciate your willingness to participate and look forward to hearing from you. My email address is zaepferp@jmu.edu or my office phone on campus is 568-6179 if you wish to contact me with questions comments or concerns

Thank you sincerely for your time,

Bobby Zaepfel
University Records Officer
HR Projects Coordinator
James Madison University
Human Resources
752 Ott Street – MSC 7009
Harrisonburg, VA 22807
540-568-6179 Phone
540-568-7916 Fax

Appendix B: Consent to Participate in Research

Consent to Participate in Research

Identification of Investigators & Purpose of Study

You are being asked to participate in a research study conducted by Bobby Zaepfel and Dr. Noorie Brantmeier from James Madison University. The purpose of this study is to explore from the perspective of JMU change leaders, what factors constrain and support change in the higher education context. This study will contribute to the researcher's completion of his master's thesis.

Research Procedures

Should you decide to participate in this research study, you will be asked to sign this consent form once all your questions have been answered to your satisfaction. This study consists of an interview that will be administered to individual participants in person. During this interview, you will be asked to be recorded for data collection purposes.

Time Required

Participation in this study and one-on-one interview will require approximately one hour of your time.

Risks

The investigator does not perceive more than minimal risks from your involvement in this study (that is, no risks beyond the risks associated with everyday life).

Benefits

Potential benefits from this study overall include a greater understanding and assessment of change management at James Madison University and development of a change management model for the university.

Confidentiality

The results of this research will be presented to a departmental research committee. The results of this project will be coded in such a way that the respondent's identity will not be attached to the final form of this study. The researcher retains the right to use and publish non-identifiable data. While individual responses are confidential, aggregate data will be presented representing averages or generalizations about the responses as a whole. All data will be stored in a secure location accessible only to the researcher. Upon completion of the study, all information that matches up individual respondents with their answers to include audio recordings and transcripts will be destroyed. The participation in this study is not required and has no bearing on course grades. The proposed research study will use a coding scheme to keep your interview responses anonymous.

Participation & Withdrawal

Your participation is entirely voluntary. You are free to choose not to participate. Should you choose to participate, you can withdraw at any time without consequences of any kind.

Questions about the Study

If you have questions or concerns during the time of your participation in this study, or after its completion or you would like to receive a copy of the final aggregate results of this study, please contact:

Bobby Zaepfel
M.S. Ed Candidate, Adult Education/Human Resource Development
James Madison University
zaepferp@jmu.edu

Dr. Noorie Brantmeier
Learning, Technology and Leadership Education
James Madison University
brantmnk@jmu.edu

Questions about Your Rights as a Research Subject
Dr. David Cockley
Chair, Institutional Review Board
James Madison University
(540) 568-2834
cocklede@jmu.edu

Giving of Consent

I have read this consent form and I understand what is being requested of me as a participant in this study. I freely consent to participate. I have been given satisfactory answers to my questions. The investigator provided me with a copy of this form. I certify that I am at least 18 years of age.

☐ I give consent to be (*video/audio*) taped during my interview. _____ (initials)

_____
Name of Participant (Printed)

_____   _____
Name of Participant (Signed)   Date

_____   _____
Name of Researcher (Signed)   Date

Appendix C: Instrument A Interview Question Schedule

1. How would you describe organizational change at James Madison University?

2. How does the university document and/or measure the effects of its change initiatives?

3. What behaviors from a follower and leaders standpoint positively and negatively influence change?

4. What are the primary reasons causing change resistance?
    a. (Fear of the unknown, a lack of understanding for the change, poor communication, lack of input, mistrust with leadership, loss of job security/control, poor timing, a predisposition to change)

5. What are the primary symptoms of change resistance?
    a. (Anger, Withdrawal, Indifference, shock, Denial, Frustration, Depression)

6. Does the university incorporate standardized methods and tools for change management when dealing with large scale change? How does leadership help move teams forward during change projects?
    a. If yes, please describe those methods and tools

7. How did the campus leadership team prepare the university for the change event and convince university staff that change was necessary?

8. What role did change champions, people, and teams play during the change event and what was the impact of each group?

9. Was there time set aside to address barriers including political and organizational obstacles? Could you provide a list of specific examples where these hurdles were addressed?

10. In your opinion, to what extent were the concerns raised by faculty and staff addressed?

11. How was the change vision and direction described, portrayed, and communicated to faculty and staff? Was there a strong and positive excitement created about this new vision and change? If so, was it consistent across the board? How would you describe the overall atmosphere before, during and after the change?

12. As a result of the change, was a strong and positive environment created? If so, was it consistent across the university or do you feel some areas were more resistant?

13. How has momentum been sustained to introduce more change or pave the way for additional change in the future?

14. Describe any post change event sustainability efforts to secure longevity with this new change.

Appendix D: Instrument B Interview Question Schedule

1. How would you describe organizational change at James Madison University?

2. To what extent were the barriers and concerns about the change event identified and raised by faculty and staff addressed? Was anyone specific or a team put together to address those concerns or barriers?

3. What are the primary reasons causing change resistance?
   a. (Fear of the unknown, a lack of understanding for the change, poor communication, lack of input, mistrust with leadership, loss of job security/control, poor timing, a predisposition to change)

4. What are the primary symptoms of change resistance?
   a. (Anger, Withdrawal, Indifference, shock, Denial, Frustration, Depression)

5. How do leaders and supervisors (Yours specifically and others you have observed) positively participate in the change process? How does their participation help boost the morale of employees?

6. How does JMU Senior leadership/Your Director/Your Supervisor communicate with employees regularly through change projects?

7. To what degree were you involved with the decision-making process in your department or area regarding significant change?

8. At what point are employee suggestions solicited when major change is planned at JMU?

9. How were changes implemented? When did they occur and what was your involvement? Who else was involved in the change implementation? How would you describe the implementation process from beginning to end?

10. As a result of the change, was a strong and positive environment created? If so, was it consistent across the university or do you feel some areas were more resistant?

11. What could have been done better during this period to make the change process smoother or possible more successful?

12. Were any "lessons learned" communicated throughout the University as a result of the change?

13. How has momentum been sustained to introduce more change or pave the way for additional change in the future?