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Competencies And Strategies Utilized By Higher Education Leaders During Planned Change

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**COMPETENCIES AND STRATEGIES UTILIZED BY HIGHER EDUCATION
LEADERS DURING PLANNED CHANGE**

by

DAWN M. AZIZ

DISSERTATION

Submitted to the Graduate School

of Wayne State University,

Detroit, Michigan

in partial fulfillment of the requirements

for the degree of

DOCTOR OF PHILOSOPHY

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MAJOR: INSTRUCTIONAL TECHNOLOGY

Approved by:

Advisor

Date

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DEDICATION

This journey would not have been possible without the love of my life and my best friend, my husband, Rodney, and the unwavering support of my children, Emily and Ethan. Their sacrifices were big and small during the seven years of this journey and didn't go without notice. I am so grateful for them and for the love and acceptance of my entire family – my aunt, sister, nephews, and especially my parents. My dad taught me to live every moment to the fullest and my mom showed me by example what it really meant to embody the absolute best version of yourself. I hope to honor their memory and emulate these same principles of a life lived well for my own children.

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CHAPTER 1 INTRODUCTION

The higher education climate continues to experience exponential change. Fiscal challenges, technology, globalization, shifting student and employee demographics, and increasing calls for accountability are but a few of the external drivers of change (Kezar, 2001; Weber & Duderstadt, 2014; White & Eckel, 2008). These drivers are doing more than simply spurring the need for change. They are actually redefining the way in which change occurs in higher education and the processes used to affect it (Kezar, 2014). This poses an opportunity for practitioners in higher education performance improvement to provide guidance. Although much can be learned from the organizational change and leadership domains, applying these concepts in the higher education arena requires an appreciation of the unique cultural context institutional members experience (Boyce, 2003). Despite the high degree of diversity in the types of U. S. higher education organizational structures, e.g., public, private, 4-year, 2-year, research-based, teaching or service-focused, or online, some attributes tend to remain constant:

The concept that best reflects the ways in which institutions of higher education differ from other organizations is (shared) governance, (affecting) the structures and processes through which institutional participants interact with and influence each other and communicate with the larger environment. (Birnbaum, 1988, p. 4)

Linear change approaches and top-down dictates that may be possible in corporate environments simply won't be effective in this industry. Further creating a divide is the perception that academic and non-academic leaders have about their role and the values that underpin them. The loyalties of academic professionals are often considered to be first to their profession or discipline, second to their department or school and last, to their institution. This, coupled with additional organizational characteristics such as a decentralized, fragmented organizational structure (Birnbaum, 1988) with autonomous work styles (Eckel, Green, Hill, & Mallon, 1999) resulting in "loosely coupled systems" (Denis, Lamothe, & Langley, 2001;

Weick, 1976) as well as predominately fixed personnel as a result of tenure practices and collective bargaining practices, and fixed budgets stemming from diminished public funding, impacts the way academic and non-academic higher education change agents guide the process of change. Practical advice and theory abound in the organizational change and change leadership literature; however, little empirical evidence supports a bridge between them in a higher education context particularly in relation to sharing a process and behaviors for how leaders can best guide change (Kezar & Eckel, 2002a).

The focus of this study is the process of change in higher education, specifically what successful change leaders know and do in terms of their competency set and strategies utilized within each of the phases of change.

Problem Statement

There is a lack of empirical data on higher education change leadership as predominate studies currently offer reflections from higher education senior leaders (e.g. presidents) or broad prescriptive strategies (e.g. ‘involve the faculty’ or ‘win the support of key administrators and staff early on’), but don’t specifically share the characteristics needed to enact them or the specific behaviors used to achieve them (Kezar & Eckel, 2002b; Scott, 1999). The focus of this study is to identify competencies and strategies academic and non-academic leaders recognized for success cite as important to implementing planned organizational change within public, four-year U. S. higher education institutions. Academic leaders will include individuals who primarily influence academic administrators, faculty, or academic staff – either by virtue of their title inferring formal authority or as members of the faculty or academic staff community. Non-academic leaders will include individuals who primarily influence non-academic administrators or staff – either by virtue of their title inferring formal authority or as members of the non-

academic community. Participants may self-select as a successful change leader who achieved most of the goals sought with a planned change initiative they helped to lead in the past three years or they may nominate others to participate by virtue of forwarding the survey link to them. Competencies and strategies will be categorized according to what was perceived as most necessary at a key turning point during each of the three phases of a self-described organizational change initiative: mobilization, implementation, and institutionalization (Curry, 1991 as cited in Curry, 1992, p. 8). The aim of this study is to offer empirical support for what a higher education change agent should know and do and specific ways this knowledge and behavior could be applied, acknowledging that each situation is unique and these findings may need to be adapted by a reader in order to fit his/her unique change context. Additionally, this study is expected to contribute to the development of a higher education leadership development competency framework for use in change leader selection and development and to support performance improvement practitioners who partner with these leaders for the implementation of sustainable organizational change.

Research Questions. The purpose of this mixed methods research study is to identify, from the expert higher education change agent's perspective, the competencies and strategies utilized that contributed most to his/her success at a critical juncture in leading a planned change initiative throughout each change phase: mobilization, implementation, and institutionalization. The following research questions will be the focus of this study:

Q1: What were the competencies utilized by higher education change leaders in public, four-year, U. S. institutions during each of the three phases of change: mobilization, implementation, and institutionalization?

- a. Are there any significant differences in competency use by academic and non-academic change leaders?

Q2: What were the strategies utilized by higher education change leaders in public, four-year, U. S. institutions during each of the three phases of change: mobilization, implementation, and institutionalization?

- a. Are there any significant differences in strategy use by academic and non-academic change leaders?

An explanatory, sequential, mixed methods study will be designed (Creswell, 2014) using the critical incident technique (Flanagan, 1954). It will start with quantitatively assessing the level of agreement on competencies identified by a literature review via an online survey then move into to a semi-structured interview phase to explore strategies utilized to exhibit those competencies. This approach addresses one limitation in the current literature – simply stating that one should ‘build support for the vision’ or that one should be ‘collaborative’, for instance, is not specific enough to help an individual actually do something to embody it and adapt their approach in relation to the type of change and organizational setting encountered. A purposive sample will be used to represent the many potential change agents employed within the 657 total four-year, public U. S. colleges & universities, as listed in the 2015 Higher Education Directory, starting with members of the only relevant professional association found, the Network for Change and Continuous Innovation, Higher Education’s Network for Change Leadership (NCCI). Additional participants will be sought as needed to ensure a minimum of 88 respondents needed per leader category for data analysis by seeking senior leader nominations from public, four-year, U. S. higher education institutions in prioritized groups.

Significance of Study

Without a flexible list of competencies, one lacks a starting point for assessing, coaching, developing, and recognizing leaders for the work that is most central to their role - change. Further study in this area of change competency is needed (Higgs & Rowland, 2000; Krummaker & Vogel, 2012; Nikolaou, Gouras, Vakola, & Bourantas, 2007). Nikolaou et al. describes the lack of empirical support for this topic, stating that “the research covering the issue of the appropriate skills and competencies of the effective change manager is quite limited, consisting mainly from theoretical or practice oriented papers” (2007, p. 297). Higgs and Rowland describe the lack of depth of in this topic, stating that change leadership competency definitions were still at a “conceptual level – describing ‘what to do’ [e.g. get sponsor trust, challenge the status quo] but (weren’t at) the behavioural, ‘how to do’ (it level)” (2000, p. 122). Furthermore, exploring differences in competency and strategy use by academic and non-academic change leaders provides a unique look at the full view of how change transpires in higher education. No other study has been located that has contrasted the perspectives of these two groups of change agents.

Theoretical Foundation

The perspectives shared are grounded in a blended theoretical approach, view of change agency, type of problems/opportunities driving change initiation, and perspective on the change process. All of these color *how* the process of change transpires in the higher education setting. The content for change and decision method utilized to undertake change are not addressed in this study, nor are the organizational features required to ensure a climate conducive to change. Each of these areas would offer a more robust picture of higher education change, yet in light of the depth of literature surrounding them, offer future opportunities for subsequent research. Since the role of the leader is central in all of these change-related topics, however, it was felt that this

understanding of necessary leader characteristics and approach toward change offered the most fruitful introduction into this research stream.

A rational view of change was the starting point for this study's theoretical foundation. Any belief that a change agent can influence the direction of change in terms of his/her mindset, behaviors, knowledge, and strategies utilized assumes that change can be planned. This reflects a traditional, scientific management approach toward change – one in which change is considered to be purposeful, linear, and rational (Kezar, 2014). Due to the criticism of this theory, which is largely centered upon the (mistaken) assumption of change unfolding in a linear manner (Whipp et al., 1988 as cited in Buchanan & Boddy, 1992, p. 21), the notion of *flexible* planning and leader influence remains strong in this study. This perspective is complemented with a strong theme of individual and group discourse, sensemaking, and learning arising from both the organizational change literature base in general as well as that depicting leader experiences unique to the higher education setting. For example, Birnbaum (1988) touches upon this as he describes the purpose of organization in higher education as “sensemaking... the process by which people in an organization arrive at acceptable agreements about what is real and important” (p. xvii). Therefore, a social constructivist theoretical perspective also heavily influences the tone and tenor of this work. This belief indicates that “reality is socially constructed” (Berger & Luckmann, 1966, p. 1) and emphasizes learning as part of the change process (Kezar, 2014). Learning to do something new may also involve *unlearning* deeply embedded habits and assumptions (Schein, 2010, italics added). Individuals and groups will need a psychological safe space to navigate anxiety that ensues as part of this learning process – both the “survival anxiety” which indicates if change isn't done something bad will happen to spur motivation for change and the “learning anxiety” associated with “learning new ways of

perceiving, thinking, feeling, and behaving” (Schein, 2010, p. 302). Being a part of a group experiencing this uncertainty can provide emotional support that simply doesn’t exist if an individual alone attempts to make sense of change and modify his/her approach in response. Bushe and Marshak (2015) describe how the field of organizational development can contribute to sensemaking during change, going beyond its conventional focus upon diagnosis with the application of a “dialogic mindset (by) thinking in terms of interpretive meaning-making processes, fostering inquiry, addressing how conversations create social reality, and organizational change as a process of continuous emergence” (p. 25). While this is the predominate leaning of the researcher, it’s acknowledged that other theories are also useful pending the situation. Kezar (2014) described six theoretical approaches that are equally valid as a complement to the process of change, indicating that there is no one right or wrong approach for all situations, including: scientific management (assuming a “rational linear, purposeful” approach toward planned change), evolutionary (assuming an “adaptive, gradual, non-intentional” approach toward change that is unplanned), political (assuming change is generally not transformative and “charged by negotiation and power” among stakeholders), social cognition (assuming change is about “learning, altering paradigms or lenses (and) is interconnected and complex”), cultural (assuming change is “long term, slow, non-linear, [and uses a] symbolic and unpredictable approach), and neo-institutional or institutional (assuming the change process is “an exchange of adaptation and schemas and norms” with an unplanned approach spurred by the external environment) (pp. 24-25). Caldwell (2006) similarly categorizes four “discourses” on agency and change in organizations, utilizing slightly different labels: rationalist, contextualist, dispersalist, and constructionist. His view adds the inclusion of chaos and complexity theory into the mix. Van de Ven and Poole (1995) acknowledged the

“theoretical pluralism” in the literature and indicates that “it is the interplay between different perspectives that helps one gain a more comprehensive understanding of organizational life, because any one theoretical perspective invariably offers only a partial account of a complex phenomenon” (pp. 510-511). Their typology organizes four theories based upon unit of analysis (single or multiple entity) and mode of change (prescribed or constructive). Prescribed change theories include life cycle (a single entity progresses through a necessary sequence of stages) and evolution (multiple entities compete for environmental resources and go through a repetitive sequence of events). Constructive change theories include teleology (“through purposeful social construction among individuals” in a single entity, change progresses through a cycle of goal formulation, implementation, and evaluation) and dialectic (whereby conflicts surface among multiple entities) (pp. 520-521). It is this constructive change theory notion that influenced this study – as planned change infers a level of intentionality. Further, this mode tends to generate what Watzlawick, Weakland and Fisch (1974) termed “second order change, which is a break with the past basic assumptions or framework” (p. 523). One last theoretical contribution comes from Ladkin (2010), who emphasized the contributions to change leadership from a branch of philosophy called “process thinking” (p. 127). Those who lean in this direction believe that “change is seen to occur inevitably as individuals go about their daily routines making small adjustments in response to local conditions” (p. 127). Similar to an evolutionary approach, Ladkin (2010) highlighted the notion of adaptation and the experience of transformation in further describing this concept, indicating “processes of *becoming* are regarded ahead of the distinct *being* of things or substances” (p. 132, italics included). This speaks to the ongoing underlying constructivist possibilities to promote learning throughout the experience of shaping a

new direction, a strong feature discovered in the literature review on competencies and strategies of successful higher education change leaders.

In summary, a change leader's perspective is shaped by the theoretical bias s/he has. This in turn will influence the beliefs and strategies utilized during the change process. The findings from this literature review indicate that one should be open to the viability of all theoretical perspectives holding a place of value in the change process – that no one approach is better than another. This provides a foundation for the competencies required as well as strategies adopted – both will be based upon when a given theoretical approach may be best adopted for a given situation, context, and type of change. Not only was the review grounded in a view toward theory, it also contained a view of agency/leadership as described next.

View of Change Agency/Leadership in Higher Education. Throughout this study, the term 'change agent' will be used simultaneously with the term 'change leader' to emphasize that formal authority is not a prerequisite for initiating and guiding successful change in any industry, including higher education (Bass & Riggio, 2006; Kezar, 2014; Kezar & Lester, 2011). Despite this, there is a lack of research on change leadership by those without formal authority or in structured teams (Ford & Ford, 2012). The majority of findings featured in this literature review, as a result, represent a "focused leadership" perspective (Burke, 2014) – utilizing the lens of a single leader, most often at a senior level, who may have worked independently or with others to plan and lead a change initiative. The scale of organizational change may also play a role in agency. Ford and Ford (2012) found that global, large-scale change relied more extensively upon the use of distributed forms of leadership. Within higher education, Davis (2014) found that only a quarter of the institutions in their study said they used distributed leadership but nearly two-thirds demonstrated actual practice of this form of leadership. Focusing upon distributed

leadership may make it more difficult to isolate the contributions of an individual in guiding change; yet, successful change in higher education may actually be the result of an interplay between what an individual does (focused leadership) within the context of a collective group (distributed leadership). This collective concept of change agency offers an opportunity for further research to broaden the common view of 'heroic leadership' in the literature, counter culture to our traditional sense that "appears to (have) a romance with the idea of (one) individual leader as the key to successful change" (Gilley, McMillan, & Gilley, 2009; Gioia & Chittipeddi, 1991; Kan & Parry, 2004).

In looking at leader competency and strategy, this study blends a trait and behavioral theoretical perspective – looking at specific characteristics found helpful and what leaders actually did to embody them. It acknowledges that other theoretical approaches toward leadership, such as power and influence, contingency decisions, and use of symbols and culture (Birnbaum, 1988) may also be pertinent to guide one's actions toward leading change pending the situation. Focusing upon competency can be controversial and limited. Distilling change leadership behaviors down to a narrow list doesn't easily capture the complexity and nuances associated with various situations and reinforces individualistic leadership practices (Bolden & Gosling, 2006). Furthermore, simply possessing the characteristics doesn't mean one will actually use them at the correct time and/or in the correct manner (Buchanan & Boddy, 1992). For example, Argyris and Schön (1974) discuss differences between espoused theory vs. theory in use and Pfeffer and Sutton (2000) describe the "knowing-doing gap". These are both examples of how one might know to say that they would do the 'right thing', but actually will do something else instead. Therefore, this is a starting point for unraveling the characteristics of higher education change leaders from a 'skill' perspective but it leaves open the dialogue around

‘will’ encompassing motives, values, and other intrinsic drivers of behavior that determine when and how a skill is applied.

Type of Change or Type of Problem/Opportunity Driving Change Initiation. Two types of change are discussed in the research, transactional and transformational change. This literature review initially focused upon transformational change, however no empirical studies on change agent competency or strategy were located within the higher education literature featuring a transformational change leadership frame of reference. This provides an indication that change may be more evolutionary than revolutionary in this industry. In the transactional focus, change is viewed as evolutionary and occurs in a continuous, incremental manner; in the transformational approach, change is viewed as a “big leap” and occurs in a revolutionary manner (Burke, 2014). These terms may be used synonymously with first and second order change. First order change occurs as a result of variations within an existing framework such as information technology modifications or organizational restructuring. These follow a more prescribed approach and typically seek incremental improvement that can be integrated into a stable state. Second order change results when a “complete break from the past” (Watzlawick et al., 1974, p. 523) is sought, such as a merger or acquisition. Although these changes may be planned, they typically evolve over time and have unpredictable outcomes. Diagnosing when each type of change is necessary as well as the methods for achieving each will differ. Dunphy and Stace suggest that for transactional, first order change, incrementalist (OD) strategies apply (1988). For transformational, second order change, more “radical” strategies are necessary as the “organization is markedly out of fit with the demands of its environment or change is needed quickly for survival” (Atwater & Atwater, 1994, p. 151).

This approach to change, from a leader's perspective, may stem from his/her underlying beliefs about the problem or opportunity. Heifetz (1994) describes two kinds of problems – technical and adaptive. Technical problems can be complex and of high value, such as flying an airplane or replacing a heart valve, but they can be solved with a given set of known answers. There is generally one right way to handle these problems. This may be consistent with how one approaches first order or transactional change. Adaptive problems, on the other hand, represent challenges for which there is no known answer and requires one to “mobilize discovery, shed certain entrenched ways, tolerate losses, generate the new capacity to thrive anew.... (and ultimately) change people's priorities, beliefs, habits, and loyalties” (Heifetz, Grashow, & Linsky, 2009, p. 19). This may be consistent with how one approaches second order or transformational change. In this study, rather than dwelling simply on type of change encountered, a stronger focus is placed upon if and how the leader used adaptive leadership as a strategy to approach it.

Change Leader Perspective. A primarily rationalist view is taken in this study toward the change process with a strong appreciation for the non-linear way in which any phase of change will unfold. In the rationalist approach, change agents plan for an initiative by virtue of using a phased implementation approach and taking specific actions within them. Change phases originated with Lewin's action research studies in the 1940s and 1950s and describe a three-step procedure for change: unfreezing, moving, and freezing. Others have expanded upon this framework to delineate in greater detail goals for each of these steps (Schein, 1987) or ways in which it correlates to the inclusion of working with a process consultant (Lippitt, Watson, & Westley, 1958). Perhaps best aligned with the “moving” step is the concept of managing during a time of transition. Beckhard and Harris (1987) describe “transition management (as) the

process of conducting activities such as planning a road map for the change effort” including determining when and how to intervene as well as identifying systems, technologies, and structures to move from the present state to the desired future state (as cited in Burke, 2014, p. 179). Bridges (1986) is known for his three-step model, much like Lewin’s but with an emphasis upon transitions among the steps or phases, whereby individuals experience an ending by letting go of the past and celebrating what was good about it, move into a neutral zone, then reach a new beginning, where they can focus on new goals and behaviors and are psychologically ready to move forward.

A constant in each of these phased approaches to change is the sequential nature of steps. Planned change often infers that change agents strive to move forward along a given path, yet change, particularly organizational change, is often messy and doesn’t always follow a linear approach (Anderson, Anderson, & Marquardt, 2000; Higgs & Rowland, 2005; Gilley et al., 2009; Kezar, 2000; Smith & Graetz, 2011). Planned change has many definitions in the literature (Bennis, Benne, & Chin, 1985; Kanter, Stein, & Jick, 1992; Tichy, 1980); however, one that seems to resonate particularly well with a performance improvement perspective is shared by change consultants, de Caluwé and Vermaak, and states that it is “realizing intended outcomes while recognizing and building on the historical context, by actors who influence each other through a sequence of phases or steps, (utilizing) communication and sensemaking, while the change process is monitored and guided by change agents” (2003, pp. 70-73).

These four guiding principles, incorporating a blended view of theory, change agency, type of problems/opportunities driving change initiation, and the change process itself, have shaped this study in terms of understanding how the higher education change process transpires as change agents apply individual competencies and strategies.

Summary of Literature Review Findings

The literature review for this study began with a consideration of leadership style as it relates to change in general and specifically in higher education. Transformational leadership (Bass, 1985; Bass & Riggio, 2006; Burns, 1978) is the most frequently cited style of leadership as it pertains to influencing change. Although some studies from the organizational change literature looked at elements from this framework (Bommer, Rich, & Rubin, 2005; Carter, Armenakis, Feild, & Mossholder, 2013; Herold, Fedor, Liu, & Caldwell, 2008; Oreg & Berson, 2011; Penava & Sehic, 2014), none in the higher education literature centered upon it. Transformational leadership is most often associated with leading second order change, that which results when a “complete break from the past” is sought, such as a merger or acquisition (Watzlawick et al., 1974, p. 523). Although the organizational change literature explicitly calls out second order change, no empirical studies were found on it in higher education and very little addressed second order concepts. Most looked at first order change, or those requiring incremental improvements, such as information technology modifications or organizational restructuring. As a result, this study more broadly addresses the topic of change competencies and strategies and is not focused specifically upon the application of a transformational leadership style nor on second order change exclusively.

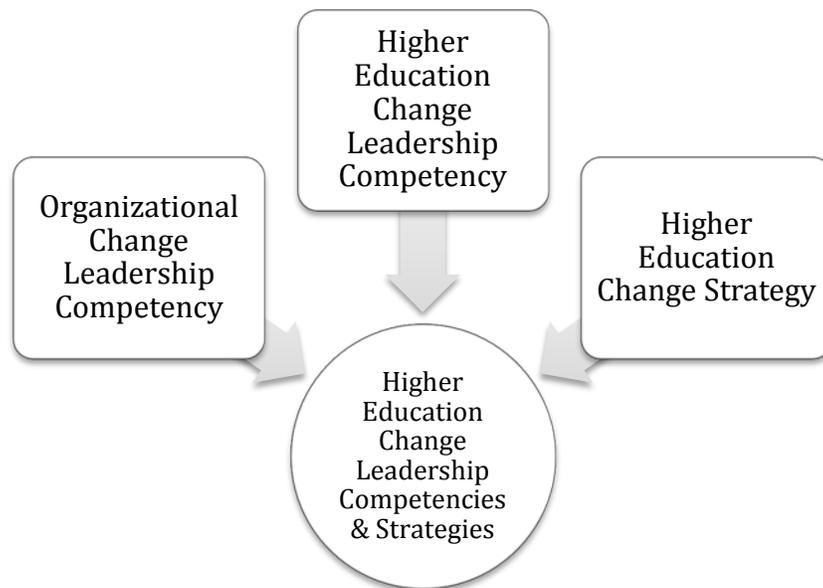
Background and definition was given on competencies to provide context. There isn't one universal definition for competencies, however one example speaks to the heart of their purpose – to describe differentiators for performance success. Boyatzis (2008) defines competencies as an “underlying characteristic(s) of a person that leads to or causes effective or superior performance” (p. 8). Others expand this definition to include not only ‘skill’ but also ‘will’. Krummaker and Vogel (2012) indicate that an individual's readiness to enact in the

“behavior repertoire” for a change process is also part of his/her competency level (p. 281). Clusters of competencies often are used to categorize leader behavior.

The literature review progresses with a review of two main areas of focus – moving from competencies for successful organizational change across industry toward a comparison of how, or if, these were included in the higher education literature. It concludes with a review of change leadership strategies utilized or recommended in higher education in order to embody each of the competency clusters.

Figure 1

Literature Review Elements for Higher Education Change Leadership



Change Leadership Competency Findings. In this literature review, three competency clusters utilized by change leaders emerged, including those needed to lead oneself (personal competencies), lead others (social competencies), and lead the organization (cognitive/tactical competencies). The competencies that surfaced from the organizational change literature findings were consistent with those present in the higher education literature, with slight variations on how they were enacted. Appendix A provides a breakdown of each competency

and literature source comparison. Each competency cluster shared foundational behaviors – those that Marcus and Pringle (1995) described as the “price of entry” for any individual (p. 23). Figure 2 depicts the competencies within clusters that emerged as differentiators for successful change leaders.

Figure 2

Differentiating Competencies for Higher Education and Other Industry-Based Change Leaders



In the personal competencies, presence was described as self-awareness (Higgs & Rowland, 2011; Young & Dulewicz, 2006) and emotion regulation (Smollan & Parry, 2011) in both sets of literature. In higher education, self-awareness surfaced within the studies conducted by Astin and Astin (2000) and Ehrenstorfer, Sterrer, Preymann, Aichinger, and Gaisch (2015) and emotion regulation arose in Scott, Coates, and Anderson’s study (2008). Resilience was primarily found in the organizational change literature (Caldwell, 2003; Higgs & Rowland, 2000; Nikolaou et al., 2007; Krummaker & Vogel, 2012), with only two higher education authors addressing the need to effectively cope with surprise (Hill, Green, & Eckel, 2001) and to have a tolerance for uncertainty (Ruben, 2006). Finally, personal learning was found in both the organizational change literature (Caldwell, 2003; Higgs & Rowland, 2000; Latham, 2013a, 2013b) and the higher education literature (Ehrenstorfer et al., 2015; Hill et al., 2001). These

differentiating competencies build upon the foundational requirements of any change leader, including the need to possess integrity/honesty, equally mentioned in organizational change (Caldwell, 2003; Coetzee, Visagie, & Ukpere, 2013; Higgs & Rowland, 2000; Smollan & Parry, 2011) and higher education literature (Astin & Astin, 2000; Basham, 2012; Bryman & Lilley, 2009; Ehrenstorfer et al., 2015). A stronger emphasis was found in higher education industry on the change leader's ability to persist (Basham, 2012; Ehrenstorfer et al., 2015; Ruben, 2006) and to be perceived as trustworthy (Ehrenstorfer et al., 2015; Hemsall, 2014; Hill et al., 2001).

In the social competencies, emotional engagement was described as connecting at an emotional level and making it safe to say risky things (Higgs & Rowland, 2011) as well as having a sensitivity to the needs of others (Krummaker & Vogel 2012) in the organizational change literature. This competency was defined in the higher education literature simply as having empathy (Astin & Astin, 2000; Ehrenstorfer et al., 2015; Scott et al., 2008), possessing the ability to respectfully disagree (Astin & Astin, 2000), and to manage perceptions (Hemsall, 2014). Supporting others in making sense of the change was equally addressed in both sets of literature, organizational change (Davila Quintana, Mora Ruiz, & Vila, 2014; Higgs & Rowland, 2005; Kan & Parry, 2004; Woodward & Hendry, 2004) and higher education (Kezar & Eckel, 2002a, 2002b; McRoy & Gibbs, 2009; Hill et al., 2001). It was defined as helping others to manage multiple realities (Kan & Parry, 2004), collaboratively create knowledge (McRoy & Gibbs, 2009), and to just think differently (Hill et al., 2001). Finally, the last competency in the social cluster was the need for the change leader to facilitate collective learning. This was explicitly highlighted in a broad manner in the organizational change leadership literature (Yukl, 2012) and defined as creating a context for experimentation (Caldwell, 2003), ensuring insights are used at the group level (Higgs & Rowland, 2000), and embedding learning into the

organizational system (Latham, 2013b). Interestingly, this concept did not surface in the higher education literature, though perhaps it is inferred as part of the sensemaking process and final outcome. The foundational competencies upon which these differentiating capabilities are based include the change leader's ability to communicate – strongly emphasized in both organizational change (Caldwell, 2003; Coetzee et al., 2013; Crawford & Nahmias, 2010; Denis et al., 2001; Kan & Parry, 2004; Krummaker & Vogel, 2012; Van der Voet, Groeneveld, & Kuipers, 2014; Yukl, 2012) and higher education (Ehrenstorfer et al., 2015; Hemsall, 2014; Hill et al., 2001; McRoy & Gibbs, 2009; Ruben, 2006). In the higher education sector, the ability to influence others (Scott et al., 2008; Ruben, 2006) and to be a good orator (Hemsall, 2014; Ruben, 2006) was also specifically identified.

Finally, in the cognitive/tactical competency cluster, a change leader's ability to network and build coalitions was described in the organizational change literature (Caldwell, 2003; Kan & Parry, 2004; Yukl, 2012) and requires political skill (Krummaker & Vogel, 2012), social embeddedness in the organization (Kan & Parry, 2004), plus organizational knowledge (Krummaker & Vogel, 2012). From a higher education perspective, this concept only touched upon the ability to create and utilize a change decision-making group (Hill et al., 2001) and the need for external representation within these groups (Bryman, 2007; Ehrenstorfer et al., 2015). Project management was featured in both the organizational change (Nikolaou et al., 2007; Woodward & Hendry, 2004) and the higher education literature (Ehrenstorfer et al., 2015). The last differentiating skill, being an architect of an organizational culture and an advocate for resources for the change (Higgs & Rowland, 2000; Woodward & Hendry, 2004; Wren & Dulewicz, 2005; Yukl, 2012), was more strongly rooted in the organizational change publications. The need for systems thinking (Latham, 2013a & 2013b) and systems analysis

(Ruben, 2006) as well as providing incentives (Higgs & Rowland, 2000; Gilley et al., 2009) suggest a connection to culture building. The foundational competency requirements for the cognitive skills required were emphasized in the higher education literature and included critical analysis (Wren & Dulewicz, 2005; Ruben, 2006), diagnostic skill (Scott et al., 2008; Ruben, 2006), strategic thinking (Ehrenstorfer et al., 2015; Scott et al., 2008), and decision making/decisiveness (Ehrenstorfer et al., 2015; Hill et al., 2001; Scott et al., 2008). Both sets of literature also placed an emphasis upon the need for the change leader to understand the change process, in terms of having a clear vision/strategy (Astin & Astin, 2000; Basham, 2012; Coetzee et al., 2013; Ruben, 2006; Wren & Dulewicz, 2005) and possessing a knowledge of change theory/tools (Higgs & Rowland, 2000; Hill et al., 2001).

Higher Education Change Leadership Strategies. The last section of the literature review compiles strategies utilized by successful higher education change leaders, grouped by change phase: mobilization, implementation, and institutionalization (Curry, 1991 as cited in Curry, 1992, p. 8). This was done to increase understanding of how competencies may be enacted during each phase, knowing of course that there is no one universal way best way to lead change (Hughes, 2016), however they can offer change leaders options to customize their approach based upon their own unique context and change situation.

In mobilization, several strategies were described, including:

- Gathering groups of individuals to explore the problem/opportunity (Marshall, 2007; Kezar & Eckel, 2002a; Scott, 1999)
- Seeking senior leadership support and establishing alliances (Lane, 2015; Marshall, 2007)
- Supporting sensemaking (Kezar & Eckel, 2002a, 2002b; Marshall, 2007; Slowey, 1995)

- Devising a flexible vision (Kezar & Eckel, 2002a, 2002b; Lane, 2015; Slowey, 1995)
- Establishing fluid goals (Marshall, 2007; Torraco, Hoover, & Knippelmeyer, 2005) with measurable indicators (Lane, 2015; Marshall, 2007; Scott, 1999)
- Communicating (Marshall, 2007; Scott, 1999)
- Pacing of the project (Marshall, 2007)

Implementation strategies included:

- Continuously communicating (Marshall, 2007)
- Team building or creation of a network (Lane, 2015; Marshall, 2007; Scott, 1999; Slowey, 1995)
- Experimenting/action learning (Boyce, 2003; Marshall, 2007)
- Developing staff (Kezar & Eckel, 2002a, 2002b; Lane, 2015; Scott, 1999)
- Creating infrastructure to support the change (Curry 1992; Kezar, 2014; Marshall, 2007; Scott, 1999; Torraco et al., 2005)
- Developing incentives (Kezar, 2014; Lane, 2015; Marshall, 2007)
- Evaluating and ongoing adjustment of change plans (Marshall, 2007)
- Celebrating success (Kezar & Eckel, 2002a, 2002b; Newton, 2002)

Institutionalization strategies included the following elements:

- Ensuring structure and systems are aligned to embed change in culture (Marshall, 2007)
- Continuing learning and evaluation as well as providing resources (Boyce, 2003; Curry, 1992; Lueddeke, 1999; Marshall, 2007)
- Seeking external involvement (Lane, 2015; Scott, 1999)

These strategies benefit from a consideration of overarching change models and frameworks. Three models were reviewed, including one depicted within the organizational

change literature (Burke & Litwin, 1992) and two from higher education (Eckel & Kezar, 2003; Lueddeke, 1999). Several frameworks for assessing change perspectives, devising holistic solutions, and communicating them in an adaptive manner were reviewed, including Bolman and Deal's four frames (2013), de Caluwé & Vermaak's "print thinking" (2003), and Buller's ten analytic lenses (2015).

In summary, two main areas were reviewed in the literature – organizational change leadership competencies and higher education change leadership competencies and strategies. This provides a base for understanding what successful higher education change agents know and do during the change process and how best to help others customize their approach based upon it.

Key Definitions

For the purposes of this study, the following definitions will be used:

Planned Change	A description of intentional change; a deliberate, conscious decision to improve the organization in some manner or perhaps to change the system in a deeper, more fundamental way (Burke, 2014, p. 153).
First Order Change	A type of change that is adaptive and incremental (Kezar, 2014) in which existing systems are altered for continuous improvement (Burke, 2014, p. 153).
Second Order Change	A type of change that is transformational or revolutionary (Burke, 2014, p. 154) in which the deep structure (Gersick, 1991 as cited in Burke, 2014) of how and why an organization operates is altered. This type of change is implemented when a complete break from the past is sought (Watzlawick et al., 1974).
Mobilization Change Phase	Occurs during the preparation and planning stage for organizational change. In this phase, change agents may seek to foster initial awareness of the problem/opportunity, begin mobilizing actors/action, and ultimately lay the foundation for a

	change initiative to be implemented (Curry, 1992; Kezar, 2014).
Implementation Change Phase	Occurs during the transpiration of change activities. In this phase, members may conduct new work but may not have fully accepted the procedure/s (Curry, 1992; Kezar, 2014).
Institutionalization Change Phase	Occurs when change is actively embedded within the culture, processes, and systems of the organization. In this phase, the change initiative is no longer seen as a change as it has become part of the normal behavior in the institution (Curry, 1992; Kezar, 2014).
Competency	An underlying characteristic of a person that leads to or causes superior performance (Boyatzis, 2008), including an individual's knowledge, skill, behaviors, motives, traits, and self-concept (Spencer & Spencer, 1993). A differentiating attribute that is a cause for his/her success.
Change Strategy	The way in which a competency is applied, relating to when and how an individual exhibits it based upon an assessment of the situation and change goals.

Limitations

This study has several limitations, starting with its focus strictly on the change process. Many of the reasons for a change agent's success could rest with variables outside this study, including the change content itself, how the decision to initiate change was determined, and organizational characteristics affecting change readiness and reinforcement. Furthermore, not limiting the focus to one type of change, such as exclusively those who led just first or just second order change, may dilute the findings. An initial desire to target only second-order, transformational change was tempered with the reality of the studies found to date. Of the 16 studies from the organizational change literature, only 24% identified the type of change and of those, only two were strictly examining change competencies for a second order change initiative. Furthermore, since only four studies total in higher education were located, for which

change type was addressed in only half of them, the review was broadened to look at leadership effectiveness in general in this industry, not limited exclusively upon leading change. This, too, adds to the dilution effect and underscores the need for empirical data in higher education settings, particularly in the United States. Additional limitations include the research sample and method. The population is quite broad as the definition of change agency does not require an individual with formal leadership authority. Obtaining a representative sample of all higher education faculty and staff would be difficult and locating this sample would be equally difficult as individuals can't be found to gather all in one location, such as a professional association. Faculty and staff join associations by discipline, not simply by virtue of employment in higher education. Although it would have been possible to limit the sample to one form of change initiation/implementation, for example curriculum change, and focus upon a sample of individuals from a relevant professional association, this would have been less universally useful and generalizable. Furthermore, the perspectives shared by change agents will highlight what worked for their unique situation – others seeking to apply these findings will need to adapt them to their own circumstance. Finally, another limitation addresses the inability to compare and contrast the leader's experiences with those of others s/he may have worked with to lead the change. Gaining the insight of followers and other constituencies could help to validate the change agent's memory of each phase and balance the view and perceptions s/he has of himself. Self-reports can be deceiving – how one views him/herself isn't always how others see him or her (Fleenor, Smither, Atwater, Braddy, & Sturm, 2010). "Self-other agreement" has implications on the leader's performance – the more congruent the leader's perception is with those of others, the more successful s/he is likely to be (Yammarino & Atwater, 1993). Hearing from a follower or constituency perspective, therefore, about the change leadership competencies

and strategies that were most helpful for them could enhance the portrayal given from a change agent's perspective and could also further support the claim of the leader's success. Contrasting self-other reports for a given change in higher education would be a fruitful endeavor for subsequent research.

Summary

In summary, the focus of this study is on the process of change in higher education, specifically what successful change leaders know and do in terms of their competency set and strategies utilized within each of the phases of change and at critical turning points. Practical advice and theory abound in the organizational change and change leadership literature; however, little empirical evidence has been found to support a bridge between them in a higher education setting, particularly in relation to sharing a process and behaviors for how leaders effectuate change (Kezar & Eckel, 2002a). Applying general change leadership concepts in this industry requires an appreciation of the unique cultural context institutional members experience (Boyce, 2003) including features such as shared governance (Birnbaum, 1988), fragmented organizational structure (Birnbaum, 1988), autonomous work styles (Eckel et al., 1999) and relatively fixed personnel as a result of collective bargaining practice and budgets as a result of diminished public support.

CHAPTER 2 REVIEW OF THE LITERATURE

Introduction

One of the strongest differentiators between organizational leaders and managers is the focus on leading change. This is thought to be “one of the most fundamental and enduring roles of leaders” (Ahn, Adamson, & Dornbusch, 2004 as cited in Ford & Ford, 2012, p. 2). Managers are known for their responsibilities of ensuring efficiency and effectiveness – or in other words, managing the status-quo well – with typical activities centered upon short-term planning, budgeting, organizing, staffing, coordinating, and monitoring/controlling resources. Leaders, however, are known for needing forward-thinking and influence abilities, with typical activities centered upon devising strategy with the creation of a vision statement and long-term direction, then motivating, influencing, and aligning stakeholders to rally support for it. Kotter (1999) distinguishes between these roles, emphasizing that both are important and complementary but distinct; “management is about coping with complexity; leadership is about coping with change” (pp. 52-53). Research is available from the traditional, often transformational, leadership literature base (Bass, 1985; Bass & Riggio, 2006; Burns, 1978) or from organizational change literature (Bennis et al., 1985; Burke, 2014; Ford & Ford, 2012; Higgs & Rowland, 2000, 2005, 2011), but there is little empirical evidence of the integration between the two fields when investigating change leader requirements (Herold et al., 2008; Higgs & Rowland, 2011). Even less empirical support has been found to describe change leadership needs in a higher education context (Kezar & Eckel, 2002a, 2002b). In the traditional leadership literature, researchers examine the behaviors of leaders with formal authority, assume that behaviors are stable until change is required (transactional behaviors) and seek to extract those that relate specifically to change (transformational behaviors). Researchers who take an organizational change perspective

assume that behaviors needed to lead change do not need to be stable over time and in fact may change pending different change contexts. Leadership is needed to address both the structural and behavioral enablers of organizational change. Systems, processes, procedures, and organizational structure may all shift to support the new vision, mission and strategic goals required to support the change; and Atwater and Atwater indicate that “schemas or ways of thinking must (also) accompany structural changes” (1994, p. 155).

Transformational leadership is often considered the primary style or approach for which leaders can most effectively guide sweeping positive change and was described as “the single most studied and debated idea within the field of leadership studies during the previous 30 years” (Diaz-Saenz, 2011 as cited in Tourish, 2013, p. 20). Initially featured as a concept in Downton’s sociological treatise entitled *Rebel Leadership* (1973), it was independently introduced by Burns (1978) in his seminal description of transformational versus transactional leadership. Both forms of leadership are considered necessary for leaders, however transactional is more about the maintaining the status quo and ensuring efficiency utilizing an “exchange relationship” between followers and leaders (Burns, 1978, p. 4). Transformational leaders, on the other hand, “seek to satisfy higher needs and engage the full person of the follower...result(ing) in a relationship of mutual stimulation and elevation that converts followers into leaders and may convert leaders into moral agents” (Burns, 1978, p. 4). Bass and various colleagues developed a transformational leadership model based upon Burns’ work as well as that of Robert House and his 1976 theory of charismatic leadership and placed it on a continuum, stating that transformational leadership was more effective than transactional leadership (Bass & Bass, 2008; Bass & Riggio, 2006). The Multifactor Leadership Questionnaire (MLQ) is the instrument they created to measure transformational leadership in terms of “Four I’s” (Bass & Avolio, 1994, pp. 3-4):

- Charisma/idealized influence. Scale items include: acts as a role model for others; is “admired, respected and trusted”; shares risks; consistent; can be counted upon to do the right thing; demonstrates high standards of ethical and moral conduct.
- Inspirational motivation. Scale items include: “motivates and inspires those around them by providing meaning and challenge”; involves team members in envisioning desired future states; displays enthusiasm and optimism; clearly communicates; shows commitment toward shared vision and goals.
- Intellectual stimulation. Scale items include: fosters creativity and innovation; involves followers in problem solving and seeking new ideas by questioning assumptions, reframing problems and approaching old situations in new ways; doesn’t criticize mistakes and different opinions.
- Individual consideration. Scale items include: “pays attention to each individual’s needs for achievement and growth by acting as a coach or mentor”; accepts and recognizes individual differences; listens and delegates tasks as a way in which to offer development opportunities.

Despite the frequent use of this leadership style, for instance Bass’s MLQ instrument was used in three out of five empirical studies in this literature review alone in which a formal assessment was selected to measure transformational leadership, it is not a style without its criticisms. Tourish (2013) indicates this style “comes close to a ‘Superman’ or ‘Superwoman’ view of leadership” with a cult-like following, that when taken to an extreme can lead to an abuse of power resulting in coercion, a general disregard for followers, and ultimately an absence of critical feedback (p. 23). This in turn can lead to a false sense of self, narcissism, and groupthink. He purports that a greater emphasis should be placed on followership as equals with

whom leaders co-construct change and that generic leadership styles must be tailored to the situation and organization. Alternatively, complexity leadership, grounded in complexity theory, broadens transformational leadership “to include catalyzing organizations from the bottom up through fostering the microdynamics of interaction” (Marion and Uhl-Bien, 2001, as cited in Bass & Bass, 2008, pp. 624-625). The focus upon networks, structure, and relationships mirrors what might occur in shared or distributed leadership and the loose coupling feature within higher education organizational structure. Anderson (2000, as cited in Bass & Bass, 2008) shares five leadership skills “of increasing complexity needed by leaders to be transformational: 1) personal mastery to provide for clarity of beliefs and purpose of life, 2) interpersonal communications to build interpersonal relationships, 3) counseling on how to manage problems, 4) consulting about team and organizational development, and 5) versatility in styles, roles, and skills” (p. 625). These five are similar to the literature review findings on higher education change leadership competency and strategy.

From a higher education perspective, no one leadership style emerges as most relevant for leading change, however, two-thirds of a research sample comprising thirty-two presidents indicated that they combine two or three leadership orientations (Bensimon, 1989 as cited in Morrill, 2007). The individuals stating this represented larger and more complex four-year universities and have been a chief executive in more than one institution. This integrative leadership reference illustrates not only the complexity of academic leadership, but also acknowledges the self-awareness inherent in these leaders to notice the multitude of approaches.

Several terms may differ within industry-spanning and higher education literature sources for change leadership, starting with the definition of leadership. “Focused leadership” looks at one individual in a position of authority, “co-performing distributed leadership” looks at a group

of leaders, each of whom is responsible for different roles/tasks to lead a change, and “collective distributed leadership” looks at a specific segment of leaders (e.g. middle management) who may or may not work in concert with one another to enact change (Burke, 2014; Ford & Ford, 2012). A final group of leaders, for whom little research was found, are those without formal authority who emerge to influence the behaviors of others at local levels and in structured teams (Ford & Ford, 2012).

Additionally, the scale of organizational change may also vary in these literature sources. Watzlawick et al. coined the terms first and second order change to distinguish between the variations of complexity possible in organizational change (1974). First order change occurs as a result of variations within an existing framework such as information technology modifications or organizational restructuring. These follow a more prescribed approach and typically seek incremental change that can be integrated into an existing state. Second order change results when “a complete break from the past” is sought, such as a merger or acquisition (p. 523). Although these changes may be planned, they typically evolve and emerge once started and have unpredictable outcomes. In Ford and Ford’s literature review, global, large-scale, second order changes were found to use distributed forms of leadership more extensively (2012). However, these forms distorted the impact of individual leader behaviors and change activities, impacted followers’ assessment of leaders, and generally complemented or constrained the behaviors the behaviors and activities of individual leaders (Lyons, Swindler, & Offner, 2009) making it difficult to study individual behaviors contributing to positive change. It is possible that change may actually be the result of interplay between focused and distributed leadership. This offers an opportunity for further research to broaden what is found in current research, as it “appears to

(have) a romance with the idea of (one) individual leader as the key to successful change” (Gilley et al., 2009; Gioia & Chittipeddi, 1991; Kan & Parry, 2004).

Change Leadership in a Higher Education Context

Within the context of higher education, however, leadership has a different tenor than the corporate framework upon which most leadership and change leadership models are based. Concepts unique to this industry are shared governance and loosely coupled, autonomous and diffused decision making as evident in decentralized structures (Eckel et al., 1999; Morrill, 2007). These characteristics shape the roles and values of leaders in this industry and greatly color their approach to any change initiative. Three broad categories of higher education leadership literature have been identified by Amey (2006): 1) leadership described as a process of learning or doing; 2) leadership attributes focused upon gender, race and ethnicity; and 3) role-based leadership with a significant portion dedicated to the position of the Presidency. The focus in this study will be on the leadership process as well as role-based characteristics for both academic and non-academic leaders. Eckel and colleagues’ research interests complement Amey’s findings with a focus upon second order, or transformational, change leadership strategies utilized in a longitudinal study of 26 institutions in the American Council on Education’s Project on Leadership and Institutional Transformation (1999). Transformational change was defined as “alter(ing) the culture of the institution by changing select underlying assumptions of institutional behaviors, processes and products; is deep and pervasive and affects the whole institution; is intentional; and occurs over time” (Kezar & Eckel, 2002b, pp. 295-296). A major finding in this study was that “deep changes in higher education require people to undergo a meaning of construction process and rethink existing understandings, a process known as organizational sensemaking” (Kezar, 2013; Kezar & Eckel, 2002a; Morrill, 2007). Weick’s

seminal work in this arena refers to organizations as social constructions in which individuals continuously seek to make meaning in their work environment (1995). Perhaps nowhere is this most evident than in the higher education environment, where knowledge and interpretation is their core business. Gioia and Chittipeddi (1991) were among the first to connect sensemaking and change through empirical study with others building upon this work as they explored the role of sensemaking and sensegiving at various leader levels (Balogun & Johnson, 2005; Bartunek, Krim, Necochea, & Humphries, 1999; Maitlis & Lawrence, 2007; Roleau, 2005). Leadership approaches can differ based upon industry and type of change, but this general awareness can lay a foundation for understanding the empirical study findings that follow.

Summary of Empirical Findings

Introduction. A review of empirical studies was conducted in two phases – focusing initially upon broad-based organizational change leadership competencies necessary for leading planned, transformational change in a variety of industries, situations, and geographic locations, then narrowing the focus down specifically to those needed for leading change in a higher education context. Figure 3 highlights the relationships among these findings for this review:

Figure 3

Literature Review Approach



Despite this being an area for which practitioner and conceptual findings feature prominently with little theoretical or empirical grounding (Ford & Ford, 2012; Parry, 2011), a few studies were found in terms of leadership competency and approach to transformational, or second order, change to offer an initial framework for further study. Utilizing search terms for variations of “leadership” (lead, leading, manage, managing), “change” (organizational, transformational, planned) and “competency” (characteristics, skills, attributes), 32 empirical studies across industry were found dating back to 2000. The publication date range was extended from an initial look at the most current findings, as only 9 studies published since 2012 would have been featured. These sources are consistent with other empirically-based change leadership literature reviews and citation rankings (Ford & Ford, 2012; Hughes, 2016) with nearly half of the studies drawn from two primary publications, *The Journal of Change Management* and *Leadership Quarterly*. Of note is the setting in which the studies took place – 59% of them were in locations outside of the United States (19 studies) with only 16% identified as occurring in the United States (5 studies). Of the remaining 25% of the studies transpiring in unspecified locations, more were written by authors located outside of the U. S. (N=5) than inside (N=3). This has implications for generalizability and raises higher level questions about empirical interest and incentive in this topic. For instance, are the findings from private sector settings in the UK, China, New Zealand or Germany culturally significant or might they be similar to what would be found in the U. S. in general, and higher education specifically? Further compounding the concern with generalizability is the predominate focus upon case study as a research methodology – utilized in the majority of the reviewed studies. Furthermore, with such a small sample of total studies, it may be difficult to assess if professionals in one country place a higher priority upon theoretically-based studies versus practitioner-focused prescriptive literature;

however, it is not insignificant that the U. S. is featured in so few empirical studies on this topic. Perhaps the focus upon competencies, in vogue in the late 20th century as evidenced by this topic representing one of the most common themes in change leadership citation rankings from 1985-2014 (Hughes, 2016), is viewed as passé more recently (Kezar, 2014), thus contributing to the small sample.

Only four studies were found to address leader behaviors pertinent for a given phase of change (Battilana, Gilmartin, Sengul, Pache, & Alexander, 2010; Denis et al., 2001; Higgs & Rowland, 2000; Yukl, 2012). The limited number of studies found with this focus highlights this as a potential gap in the literature and a particularly rich area for focus in understanding when given change strategies might be utilized. Change phases originated with Kurt Lewin in action research studies in the 1940s and 1950s and comprise three steps or phases, including unfreezing, moving and freezing. Others have expanded upon this framework to delineate in greater detail goals for each of these steps (Schein, 2010) or ways in which it correlates to the inclusion of working with a process consultant (Lippitt et al., 1958). As the need for change is identified, motivating others to feel a sense of urgency is often highlighted in the first stage. Schein described three key activities in the unfreezing stage to do this, thereby highlighting the role of learning in organizational change: 1) “disconfirmation” – providing data to show that goals aren’t being met, 2) “creating survival anxiety” – helping individuals to see that something bad would happen if change isn’t done, and 3) “creating psychological safety to overcome learning anxiety” – helping individuals to learn new and unlearn old behaviors needed for the change (2010, pp. 300-302). In the moving phase, learning again features prominently through “cognitive restructuring” resulting in individuals learning “new concepts, new meanings for old concepts, and new standards for judgment” through imitation of role models and/or inventing

new solutions and trial and error (Schein, 2010, pp. 308-311). Perhaps best aligned with the “moving” step is the concept of managing change during transition. Beckhard and Harris (1987) describe “transition management (as) the process of conducting activities such as planning a road map for the change effort”, and include the need to determine when and how to intervene as well as the identification of systems, technologies, structures to move from the present state to the desired future state (as cited in Burke, 2014, p. 179). Bridges (1986) is known for his three-step change transition model, modeled after Lewin. He applied it to individuals but it could easily be interpreted from an organizational perspective; it consists of the first step whereby individuals experience an ending by letting go of the past and celebrating what was good about it, moving into a neutral zone, then reaching a new beginning in the third step, where individuals can focus on new goals and behaviors and are psychologically ready to move forward (1991). Finally, in the refreezing step, results are needed to reinforce and stabilize change and help individuals internalize new behavior. Schein (2010) indicates that if the change goals are attained through the new learning of individuals and groups, they will incorporate it into “self-concept(s), identity, and ongoing relationships” (p. 300). If the change was not successful, members of the organization would have new data “disconfirming” the change goals and spurring a new cycle of change starting again with unfreezing (Schein, 2010).

A constant in each of these phased approaches to change is the sequential nature of steps. Planned change often infers that change agents strive to move forward along a given path; yet change, particularly second order change, is often messy and doesn't always follow a linear approach. Planned change has many definitions in the literature (Bennis et al., 1985; Kanter et al., 1992; Tichy, 1980); however, one that seems to resonate particularly well with a performance improvement perspective is shared by change consultants, de Caluwé & Vermaak (2003), and

states that it is “realizing intended outcomes while recognizing and building on the historical context, by actors who influence each other through a sequence of phases or steps, (utilizing) communication and sensemaking, while the change process is monitored and guided by change agents” (pp. 70-73).

A key antecedent for change leadership is his/her view toward this planned change process. Leaders who acknowledged the complexity and emergence of change were found to be most successful, while those who viewed change as following a linear approach were least successful (Higgs & Rowland, 2005; Gilley et al., 2009). Smith and Graetz (2011) indicate that “change is rarely linear (and is) infrequently predictable” (p. 1). Higgs and Rowland (2005), however, do note that the adoption of the right mindset toward change may be contingent upon change type and context. This once more adds a layer of complexity. Just as a change agent shouldn’t expect to simply move through a series of sequential steps during the change phases, s/he should also consider how an expectation of non-linear change might work best based upon his/her own unique change situation. Anderson et al. (2000) highlight that in “conscious transformational change”, that which leaders seek out themselves and isn’t perceived to be forced upon them or the organization, leaders “willingly choose to evolve their companies *and themselves*.... they recognize one will not happen without the other” (p. 34). They, too, agree that mindset is at the core of distinguishing between types of change. In their model, they depict type as ranging from developmental change (seeking an improvement through an established intervention such as training or quality), transitional change (designing and implementing a new state through structures, practices and technology and managing the transition process), and transformation (describing a “radical shift from one state of being to another, where the new state is uncertain until it emerges, and by definition is better able to meet the more sophisticated

demands of the environment)” (Anderson et al., 2000, p. 30-31). The degree of mindset shift moves through this continuum with the strongest focus as being a required element found in transformational change. In addition to change type and context, uncovering a leader’s philosophy, assumptions, and experiences about change will help to assess the degree to which s/he may be inclined to view change as a linear or complex endeavor (Smith & Graetz, 2011; Kezar, 2000).

With an understanding of the phases of change and considerations within each providing a backdrop, the next section describes competencies in general and provides a review of the organizational change leadership competencies found in the literature spanning industry. A review of the competencies and strategies unique to the higher education setting then follows.

Competencies

Competencies are prevalent in large organizations due to the belief that they can be used to predict future successful performance (Boyatzis, 2008; Spencer & Spencer, 1993). Spencer and Spencer (1993) indicate that “motive, trait, and self-concept competencies predict skill behavior actions, which in turn predict job performance outcomes” (p. 12). They are at the heart of competency-based human resources practices, and can form the basis for defining success in a role. Translated in behavioral terms and reflected in a job description, they formalize expectations and provide the basis for recruitment and selection, performance management, development, and reward/recognition decisions. Yet despite the widespread use, Boyatzis (2008) notes that the “academic and applied research literature has trailed application” (p. 5). Empirical findings are often contextual, for example to what degree are certain attributes found to correlate with success in a given role or responsibility, and this can pose challenges with generalizability. Another challenge with the literature is that it doesn’t use a consistent definition or approach to

highlight findings pertaining to exactly what a change agent knows and does. Some authors will use terms pertaining to personal characteristics, others may use behaviors, and still others may simply describe behaviors or activities. Regardless of the labels, Wren and Dulewicz (2005) highlight the value in looking at the role of the leader or change agent when stating “the literature suggests that success in organizational transformation appears to be derived from a combination of leadership competencies and leader activities” (p. 297). In this section, a focus is placed upon unpacking the terminology surrounding competencies and seeking an understanding of their usefulness. It starts with a review of how they came to be and moves to explore what they mean, potential cautions for their use, and how they have been applied to change leadership in terms of given categories or clusters.

History of Competency Use. David McClelland is credited with starting the competency movement as a result of a paper published in 1973, *Testing for Competence Rather Than Intelligence* (Spencer & Spencer, 1993). Likely controversial at the time, it marked a turning point in the process of predicting capability. In his work with McBer and Company, he modified the job selection process for Foreign Service Information Officers at the U. S. State Department, moving from a knowledge test to a competency assessment. This was initiated as a result of a State Department report indicating that employees who succeeded on their selection test didn’t necessarily perform better than others who did less well on this test. If this was determined to be true, this would have violated Title VII of the Civil Rights Act of 1964 due to “disparate impact”, which means individuals would have been excluded from consideration for a role due to selection tests that weren’t “job related and consistent with business necessity” (U. S. EEOC, Employment Tests and Selection Procedures). McClelland instead created a competency profile using criterion samples – comparing the best performers in this role against a group of

performers just barely meeting the minimum requirements – and job-holder self-perceptions about what led to their given successes and failures. Their research method, called “behavioral event interviews”, introduced a new way of capturing characteristics of strong performers (Spencer & Spencer, 1993). It built upon Flanagan’s (1954) critical incident approach used for task analysis to explore the behaviors and characteristics used in order to accomplish an activity. McClelland did indicate that this process was dependent upon context. In light of this, he might well agree that leaders of higher education change should be assessed in terms of their ability to succeed with identified characteristics required for success in this setting – not in terms of a generalized list of requirements that could fit any type of leader in any type of organization leading any type of change. Lucia and Lepsinger (1999) describe reasons why they see their clients continue to use competencies, citing it is due to “intensified competition, aggressive cost management and downsizing, and the proliferation of 360-degree feedback systems” (p. xiii). With no sign of these factors slowing in the higher education setting, competency frameworks may still be relevant even today.

Definition. There isn’t a universal definition for competencies that all authors consistently use, however, some common elements include the comparison of deeply embedded characteristics that distinguish superior performers from average performers (Boyatzis, 2008; Spencer & Spencer, 1993). For example, consider the following definition of competencies: an “underlying characteristic(s) of a person that leads to or causes effective or superior performance” (Boyatzis, 2008, p. 8). An abbreviated definition in the context of change leadership competencies is simply “change ability” (Boyatzis, 2008; Krummaker & Vogel, 2012). Ability alone may not be enough for a leader to be a catalyst for change, however. Krummaker and Vogel (2012) expand this notion of competency to include not only ‘skill’ but

also 'will', as they indicate that an individual's readiness to enact in the "behavior repertoire" for a change process is also part of his/her competency level (p. 281). Simply having the ability isn't enough – one needs to be inclined to apply them – and the inclusion of both provides a richer definition for the term change competency. Krummaker and Vogel (2012) go further to distinguish between two key inputs - the "contextual factors" associated with skill application and an individual's "competency potential, or individual attributes, traits, or levels of knowledge" (p. 282). Another input related to successful application of a change competency is intention. Spencer and Spencer (1993) highlight that "competencies always include an intent" (p. 12). One has to be trying to achieve something related to the change leadership process. For example, if a leader embodies one of the change competencies such as 'solicits input from others' and another individual observes this, the question for Spencer and Spencer (1993) is whether s/he is trying to gain insight relevant about a given change effort per se, or just modeling social behavior to build a relationship in general. In other words, what kind of input was sought specifically? To what end was it sought? Spencer and Spencer (1993) reinforce the notion of causality in their definition, with a competency described as "an underlying characteristic of an individual that is causally related to criterion-referenced effective and/or superior performance in a job or situation" (p. 9). An aspect important in this definition is the belief that a competency represents "ways of behaving or thinking, generalizing across situations, and enduring for a reasonably long period of time" (p. 9). They describe five types of competency characteristics, indicating that some could be developed (e.g. knowledge or skill), some are much less easy to change and need to be "selected for" (e.g. motives and traits), and some fall "in between" (e.g. self-concept), as it can be changed but is less easy to do so (p. 11). With these types, it is evident why the term competency is often used interchangeably with other terms such as skills or traits.

This continuum actually highlights that there are core aspects associated with identity and motivation (e.g. self-concept) that could potentially result in outcomes that others could observe (e.g. knowledge or skill).

In understanding what competencies are, it is sometimes helpful to understand what they are not. Marcus and Pringle (1995) distinguish between the two in the below table. Of most interest is their depiction between those characteristics that are the “price of entry” versus those that “differentiate superstars from average performers” (p. 23); some attributes such as teamwork don’t set individuals apart and merely represent the baseline expectations for all employees and therefore shouldn’t be included in a competency framework.

Table 1

Characteristics of a Competency Model

What it is... a tool to:	What it is not:
<ul style="list-style-type: none"> • Define what will be needed to be successful • Provide a common language and understanding of what it will take to work together effectively • Provide a road map for individual and collective development • Raise the bar to where it needs to be • Develop in the client’s language 	<ul style="list-style-type: none"> • An exhaustive list of job-specific skills and tasks • A policy manual dictating how to behave (there’s room for differences in style and personality) • A requirement that everyone be super-human (it’s an amalgam of the best of the best) • Packaged, “off the shelf” or one size fits all

(Marcus & Pringle, 1995, p. 21)

In summary, although terms might be used synonymously in discussions pertaining to leader change competencies, examining what they do, how they do it, and influences impacting their success is a worthwhile endeavor as one could equate a monetary impact that superior performers contribute to an organization versus average performers. The investment in hiring

and developing skills based upon what has been found to lead to success can be investment in organizational performance.

Cautions. The most commonly cited weaknesses of using competencies are that they “portray a fragmented or reductionist approach to a given role; neglect to capture the situational needs of a given task, person, or organization; focus on past performance rather than future requirements; tend to measure qualities more easily measured and exclude subtle factors difficult to objectively assess; and outcomes such as training and development appear more mechanistic when designed with a strict adherence to them” (Bolden & Gosling, 2006, p. 150). Another concern raised by Salaman (2004) is that competencies cannot be a sole predictor for success. This supports a systems-view to organizational change and requires one to look at the interconnections of a leader and other factors pertinent to achieving positive outcomes, such as culture. It helps to explain another concern raised by a focus upon competency – just because an individual possesses one, doesn’t mean s/he will use it or know when and how to use it appropriately based upon the situation. Caldwell (2003) elaborates with “there is a growing disillusionment with the competency-framework as an approach to change agency... as even two managers who appear to possess the same level of competency may use it differently, especially in a context where their roles may change” (p. 287). Finally, there is a philosophical assumption underlying the use of competencies – they reflect a rational science view of management (Bolden & Gosling, 2006) – which can be problematic if not viewing them as part of a holistic solution. To counter these concerns, Grzeda (2004) describes an organic and generic approach to competencies. In the organic approach, competencies are claimed to be social constructions as they are attributes that emerge from social interactions. Of course, in this regard, there is a high degree of subjectivity in the process – as one might perceive an interaction differently from

another. Yukl (2012) cautions that one should be wary of in terms of competency studies: most studies emphasize how the behavior is used, rather than how well it is used; they neglect to examine how patterns of behaviors are employed; they don't identify situations where specific leadership behaviors are most likely to impact performance outcomes; and they focus upon individual leaders, not shared or distributed leadership. All in all, the generalizability of a set of competencies is called into question – what works for one change agent at a given time and place may not work for another, nor is there only one “right” way to do things – the best a framework could do is to provide an overall direction that one could apply and adjust based upon his/her own unique situation. Typically, competencies are grouped into categories. The next section describes how others have approached this and how that background can be used in the proposed framework for this study.

Categorizing Clusters of Competencies. In the 1950s and 1960s, management was considered from a task and person perspective. As such, competencies could have been clustered to consider the differentiating abilities required for each. A leader's underlying capabilities and characteristics relating specifically to change leadership wasn't introduced until 1991, with Ekvall and Arvonen's (1991) factor analysis of leadership behavior questionnaires from 711 middle managers in Sweden, Finland, and the U. S. Perhaps this isn't surprising as it came on the heels of Bass's introduction of transformational leadership style in 1985. Their change competencies addressed behaviors associated with promoting change and growth, exhibiting a creative attitude, risk taking, and displaying vision.

The literature shares competency clusters by change phase and by type of change agent. In terms of change phase, both Yukl (2012) and Higgs and Rowland (2000) contribute findings.

Yukl (2012) built upon three competency meta-categories (entitled “task-oriented”, “relations-oriented”, and “change-oriented” in his taxonomy of leadership behaviors) based upon confirmatory factor analysis conducted by himself and colleagues then added a fourth competency category entitled “external” to focus upon the behaviors required to represent their team across boundaries and monitor/scan the environment. What is unique is that he identifies behaviors for leader initiation of change and for leader facilitation of an emergent change process. Higgs and Rowland (2000) also distinguish between competencies required for change initiation and facilitation, and add competencies required for change execution as a result of case study with 27 HR members in a multi-national company. They also added competencies in their framework for unique change capabilities such as leadership change presence, knowledge of technology, ability to foster change learning and assess/monitor change impact, as well as to generally lead change. Both of these authors provide helpful input into this study as it seeks to understand competency by change phase as well.

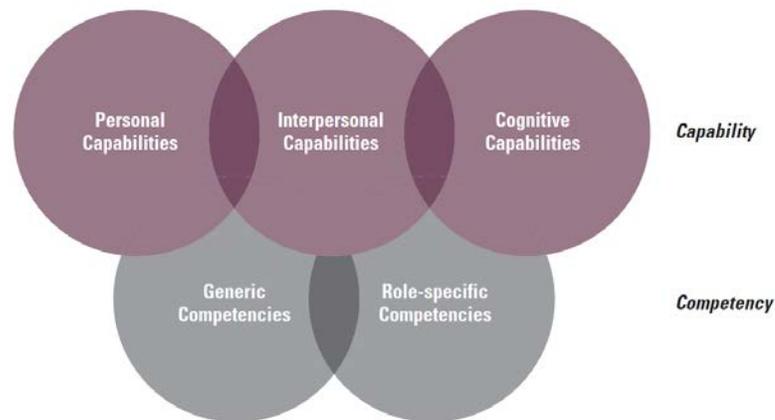
In terms of competencies unique by change agent, Caldwell (2003) sought to distinguish between those required for change leadership versus change management by using a Delphi panel of ten change agent experts (consisting of HR members, consultants, and senior managers) who ranked attributes discovered in job postings. The top five change leader attributes included: inspiring vision, entrepreneurship, integrity and honesty, learning from others, and openness to new ideas. The top five change management attributes included: empowering others, team building, learning from others, adaptability and flexibility, and openness to new ideas. It is interesting to note the distinction in competency by role, and perhaps indirectly by change phase – as the differences between leadership and management might convey leadership as having a stronger role with change initiation and management as having a stronger role with

implementation – though Caldwell acknowledged the “overlapping nature of some of the attributes (e.g. openness to new ideas and adaptability and flexibility) strongly suggest that the roles of leading and managing change are complementary” (2003, p. 289).

From a higher education leadership perspective, not specific to change, Scott et al. (2008) identified competencies as a result of “one of the largest studies of university learning and teaching leaders recently taken across the world” (Fullan & Scott, 2009). Feedback from 513 Australian survey respondents and 600 South African and Canadian workshop participants about capabilities and strategies they considered most important in addressing the key challenges they face helped to shape the following competency framework in Figure 4.

Figure 4

Academic Leadership Capability Framework



(Scott et al., 2008, p. 18)

This competency framework distinguishes between competence, associated more so with management according to Scott et al. (2008), and capability, associated more so with leading and delivering innovation “under testing, uncertainty, and constantly shifting human and technical situations” (p. 11). Although change isn’t called out specifically, it is certainly conveyed in the research question posed to participants as well as their description of leadership. They found that

a “specific set of capabilities around personal and interpersonal emotional intelligence, along with a contingent and diagnostic way of thinking, emerge(d) as being critical to effective role delivery across all of the leadership positions studied” (p. x).

Non-change related competency clusters also provide helpful categories for leadership in general. Boyatzis (2008) describes three categories of leader behaviors: cognitive, emotional intelligence, and social intelligence competencies. Kets de Vries has been cited as introducing categories including cognitive (e.g. conceptual thinking and holistic overviews), social (e.g. empathy, presence, political awareness), and personal (e.g. energy, self-confidence, personal effectiveness), although the original publication could not be located.

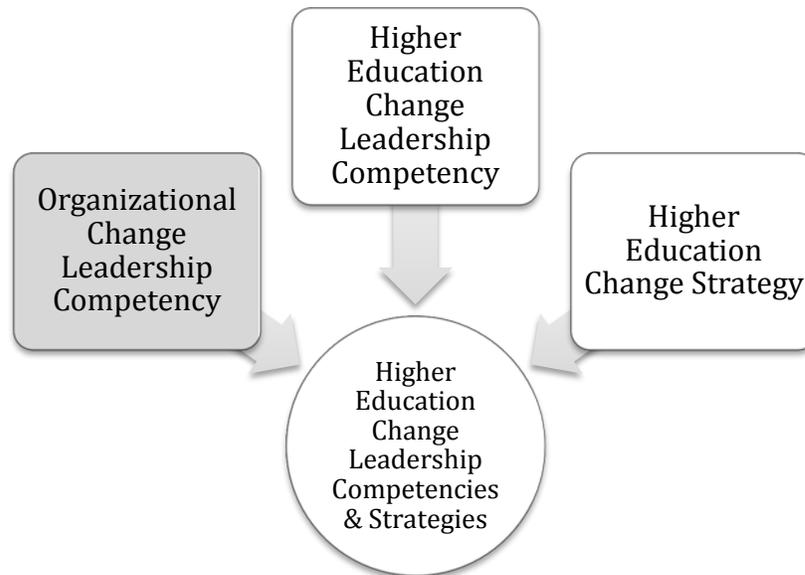
It is acknowledged that attempting to synthesize change leadership competencies and characteristics needed to lead planned change will be an effort fraught with conflicting and converging empirical findings from many disparate studies. There isn't a “straightforward way to capture the ‘expertise’ of change agency, nor is it always possible to translate change agent attributes into competency profiles” (Watson and Harris, 1999 as cited in Caldwell, 2003, p. 292). Yet it is due to this fact that the attempt is made. Practitioners likely encounter difficulty in understanding capability requirements for change leadership when facing the multitude of possible approaches available in the popular press. There is a contradictory stream of views associated with effective change management competencies and the models for them often fail to distinguish between leadership and other roles (Higgs & Rowland, 2000). Yukl, Gordon, and Taber (2002) indicate another concern, that “there has been a bewildering proliferation of taxonomies on leadership behavior” (p. 15). This poses a challenge – not all taxonomies refer to the same concepts or behaviors in the same way. Referencing seven empirical studies of change leadership, Hughes (2016) found the results “discursive, complicated and even at times

contradictory” but despite this preferred it to the more prescriptive practitioner approaches shared, such as that in Kotter’s *Leading Change* (1996), because they “encourage creativity and improvisation” and support the development of change leaders and collaborators as independent learners (p. 211).

In summary, competencies describe underlying characteristics that differentiate high performers from those who are average (Boyatzis, 2008) and go beyond the minimum set of expectations for all employees, or those described as the “price for entry” (Marcus & Pringle, 1995, p. 23). Despite many cautions about their use, frameworks created that call out change leadership specifically, or address higher education in particular, offer a starting point for understanding what it takes for an individual to succeed in guiding planned higher education change. This requires one to adapt based upon their unique situation but helps to bridge the many diverse and often non-empirical suggestions for effective change leadership.

In the search for a deeper understanding of what higher education change agents know and do, a literature review was conducted first within the organizational change and leadership literature, then within the higher education literature. The next section highlights the findings on competencies from organizations spanning industry, as shown in Figure 5.

Figure 5

Literature Review Elements for Higher Education Change Leadership**Change Leadership Competencies: A Synthesis Spanning Industry**

A two-step process was utilized to synthesize competencies on higher education change leadership. The first step was to explore competencies for change leadership across industry. After reviewing these broad based organizational change competencies, a second step looked at this initial framework with a lens on what competencies were found in higher education specifically, in order to explore points of similarity or difference.

The following results depict the findings from the 16 empirical studies on organizational change leadership competencies described at the start of this literature review. These studies spanned industries – they weren't specific to higher education – and countries. All featured a focused leadership perspective. Most featured an unspecified type of change, with only 25% (N=4) identifying the change either as first order (N=1) or second order (N=2) or a combination of both (N=1). All utilized a case study-based research methodology with survey and interviews with the exception of one Delphi study (Caldwell, 2003) and one graduate student simulation

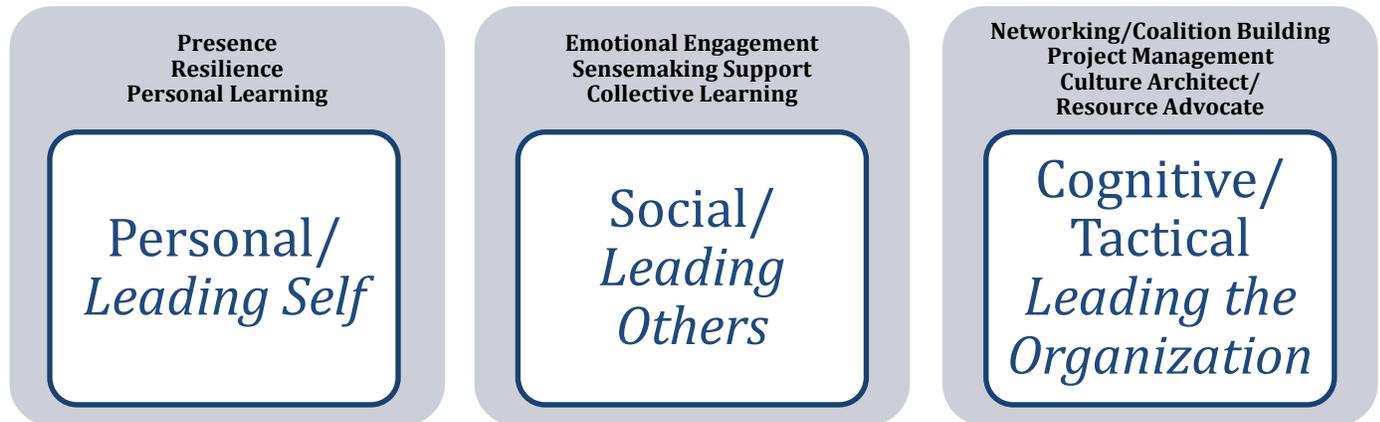
(Nikolaou et al., 2007). Just over half of the studies featured shared a manager's self-report of perceived competencies (N=9), with nearly a third depicting leader/follower feedback from a 360-degree assessment (N=5), and one study focusing upon change recipients only (Smollan & Parry, 2011).

The findings from these studies were organized into a change leadership competency framework with three categories, including:

- Leading Self (personal): Refers to the need for leading and understanding one's self (reflecting Kets De Vries' personal competencies, original citation unknown), emotional intelligence competencies (Boyatzis, 2008), and personal capabilities (Scott et al, 2008).
- Leading Others (social): Refers to the interpersonal aspects associated with leading others and helping them to make sense of the change (reflecting Kets De Vries' social competencies, original citation unknown), relations-oriented and external-oriented competencies (Yukl, 2012), social intelligence competencies (Boyatzis, 2008), and interpersonal capabilities (Scott et al., 2008).
- Leading the Organization (cognitive/tactical): Refers to the cognitive and tactical skills associated with managing the change process (reflecting Kets de Vries' conceptual thinking and holistic overviews' competencies, original citation unknown), task-oriented competencies (Yukl, 2012), cognitive competencies (Boyatzis, 2008), cognitive capabilities (Scott et al., 2008) and business results (Coetzee et al., 2013).

These three groupings are also shown below in Figure 6, featuring examples that surfaced from the organizational change competencies featured in this section. The results of these change leadership competencies from across industry published from 2000 – 2016 were categorized into a matrix and contrasted with higher education findings in Appendix A.

Figure 6

Organizational Change Leadership Competency Matrix

Leading Self (Personal) Competencies. Half of the empirical studies found across industries featured individual characteristics or personal competencies of successful change agents. Some of these competencies could be considered the “price of entry” as Marcus and Pringle (1995, p. 23) would say and as such, are minimum requirements for success. Including them simply wouldn’t provide unique points of leader behavior differentiation. Examples of these are integrity and honesty (Caldwell, 2003; Coetzee et al., 2013; Higgs & Rowland, 2000; Smollan & Parry, 2011), ethics (Coetzee et al., 2013), and fairness (Tyler & De Cremer, 2005). What leader wouldn’t say that these aren’t important attributes to success? Others seem to have a strong relationship to leader readiness and commitment (Coetzee et al., 2013; Higgs & Rowland, 2000; Krummaker & Vogel, 2012; Lyons et al., 2009), an antecedent for change. Three competencies appear connected to a leader’s decision to embrace change – ability to reconcile paradox in one’s own mind (Kan & Parry, 2004), self-awareness (Higgs & Rowland, 2011), and self-efficacy (Paglis & Green, 2002) and four appear to be outcomes of an acceptance of change – courage (Coetzee et al., 2013; Higgs & Rowland, 2000), taking responsibility for a change decision (Wren & Dulewicz, 2005), persistence (Latham, 2013a, 2013b), and purposefulness

(Krummaker & Vogel, 2012; Latham, 2013a, 2013b). The remaining three personal competency themes, as shown in Figure 7, highlight what might be perceived as unique differentiators for successful leadership competencies, presence, resilience, and personal learning.

Figure 7

Differentiating Personal Competencies for Leading Self Through Organizational Change

Foundational Competencies/ Characteristics	Presence	Resilience	Personal Learning
<ul style="list-style-type: none"> • Integrity/honesty, ethics, fairness, self efficacy, courage, taking responsibility for change decision 	<ul style="list-style-type: none"> • Self-awareness, emotion regulation, and ability to be a calm provider of emotional support 	<ul style="list-style-type: none"> • Adaptability/ flexibility, persistence, and hardiness 	<ul style="list-style-type: none"> • Learning from others, openness to new ideas, and self-reflection

Presence. The behaviors described necessary for a change leader to embody presence were described in a range of attributes that result in the ability to provide emotional support to others. Higgs and Rowland (2000) describe successful change leaders as having “change presence”, or being a “non-anxious presence in a sea of anxiety” (p. 125). Their findings are difficult to generalize – 27 HR professionals in one UK organization helped to reduce the competency clusters found from a literature review which they then used in the creation of a 360-degree assessment with 27 participants before and after training. Yet, despite this, the calm presence to which they refer is consistent with the literature on mindfulness and emotional intelligence. Regulating one’s emotions is an outcome of presence and central to Salovey’s five domains of emotional intelligence: knowing one’s emotions, managing emotions, motivating oneself, recognizing emotions in others, and handling relationships (as cited in Goleman, 1995, pp. 43-44). This desired result of presence not only helps the leader and others’ s/he works with,

it has been found to account for 85-90% of the success of organizational leaders (Bennis, Spreitzer, & Cummings, 2001). In interviews with 24 followers representing several industries in New Zealand, some of whom were experiencing first order change (e.g., restructuring or job redesign) and others experiencing second order change (e.g., merger), Smollan and Parry (2011) found that followers who trusted their leader to understand and support them psychologically had a greater sense of wellbeing and were able to meet some of the negative and challenging aspects of the change. A key theme in this study was the authenticity necessary for a leader to handle his/her emotions in order to be trusted to help others' handle theirs. Being present for oneself and others may be a precursor to embodying the needed leader behaviors of vulnerability and connecting to others at an emotional level during change (Coetzee et al., 2013; Higgs & Rowland, 2011). When this happens, Higgs and Rowland (2011) found, as a result of 65 critical incident interviews with senior leaders, that the leader attracted and channeled energy toward to the change purpose and away from individuals, thus freeing them to find meaning during an anxious time.

Resilience and Adaptability/Flexibility. Organizational change is messy. The leader will find him/herself encountering roadblocks and facing the need to alter one's course as a change effort evolves. The ability to bounce back (Nikolaou et al., 2007) and adapt/flex in light of change has been found to be an important change leader attribute. The definition for resilience is closely tied to adaptation; therefore, this competency cluster has joined both concepts. The American Psychological Association (n.d.) defined it as "the process of adapting well in the face of adversity, trauma, tragedy, threats or significant sources of stress" and incorporated a connection to adaptability/flexibility as well as self-esteem, confidence, and regulation of emotions. Adaptability was one of only two threads of competencies determined to be significant

for a leader according to the World Economic Forum (2000, as cited in Gill, 2002) – the other was alignment. In order to reach a desired destination (alignment), a leader must embody the characteristics of adaptability and have “environmental sensitivity, tolerance for contrary views, a willingness to experiment, tolerate failure and learn from it, and the ability to respond quickly and change” (World Economic Forum, as cited in Gill, 2002, p. 310). Caldwell also identified adaptability/flexibility as an important attribute – in fact, in his study identifying change management versus change leadership competencies, this was only one of two competencies pertinent to both. Perhaps this is not surprising since this term appears in “virtually every discussion of change agency” (Buchanan & Boddy, 1992, p. 96-97). In a survey of financial managers on behaviors needed to initiate change, the “ability to ‘fit’ the changed environment” surfaced (Woodward & Hendry, 2004). This may speak to the dual leader responsibility of integration and aligning a change based upon the external environment to the internal environment with cultural changes to ensure embeddedness. Yukl (2012) echoed this need for leaders to be able to adapt to the external environment in his definition of change-orientation. Resilience, the other half of this competency, was featured in two studies of leadership change competencies. First, Higgs and Rowland (2000) included it in their competency framework devised from a literature review and practitioner experience. It was a behavioral indicator associated with two change-related competency clusters, change execution and change presence, and was grouped alongside additional behaviors such as courage, authenticity, and objectivity. Second, Nikolaou et al. (2007) found that “resilient persons can be proved to be more ready to accept and apply change” (p. 306) based upon his study of 105 Athens University MBA students’ disposition to change before and after a business game simulation designed to assess change readiness (entitled ‘The We Can Do Company’). The authors examined the link between

behavioral tendency attitudes to change and resilience and concluded “that a person should have as a prerequisite the resilience trait so as to initiate change and be a change agent... it should not be considered as the only personality factor... but just a sign for change agency” (p. 307). This notion of adaptability/flexibility and the ability to bounce back can be helpful as a personal attribute not only during the course of one’s experience with a given change initiative, but also to manage the multiple change initiatives that tend to occur simultaneously in an organization.

Personal Learning. Going beyond exhibiting an openness to ideas to truly seek learning from others and spur personal growth was highlighted in several studies. In Latham’s qualitative study of 14 CEOs who led organizational transformations resulting in a Malcolm Baldrige National Quality Award (2013b), personal learning “increased the leader’s credibility and reduced resistance to change” (p. 26). Self-reflection was a key aspect of this learning as a part of informal learning endeavors, such as learning from the change experience itself as well as from mentors. Equally noted, and perhaps of no surprise in a quality award context, was the learning that resulted from the formal assessment process (e.g. continuous improvement frameworks, benchmarking, and the strategic management cycle). Learning from others and openness to new ideas was the second characteristic (in addition to adaptability/flexibility) found on both of Caldwell’s lists of key attributes for change leaders and change managers (2003). Caldwell discovered that panel recipients in his study felt that openness “differentiated (successful change leaders and managers) from their change-resistant counterparts” (p. 289). One participant was quoted by Caldwell as describing how it is this characteristic that is so unique for leaders because what helped them to achieve success in the first place was “being dependable and predictable” and that expecting them to be open to new ways of doing things might be difficult as the change leaders/managers would “have a lot to lose” (p. 289). ‘Change learning’

was highlighted as one of the eight change-related competency clusters in Higgs and Rowland's framework (2000). The behaviors in this cluster included one's ability to scan, reflect, and identify learning and ensure insights are used to develop individual, group, and organizational capabilities. A 360-degree assessment featuring all eight competency clusters was devised with results presented as an aggregate profile for the 27 HR professionals in this case study organization. The collective findings indicated that although two competency clusters were high for the group (change presence and change impact), because change learning (along with change execution and change technology) was low, it explained the group's tendency of having 'great talk but no action' when it came to change. This group attribute may not be a surprise. Pfeffer and Sutton (2000) found that there is a "knowing-doing gap" among leaders and this notion of 'talk as a substitute for action' was one of five explanations they discovered for what could prevent a leader's performance despite his/her knowledge. Some leaders might perceive all that talk about change as actual action and feel satisfied with leaving things in the verbal space. Sharp (2002) described learnings from institutionalizing practices to support a "green campus" and highlighted that "working within any university to generate a change... requires a skillful approach to learning through experience and reflection... the learning must involve a deep and bold self-honesty..." (p. 143). Sharp further highlights that a key aspect of personal mastery is "the process of developing a personal vision and sustaining the creative tension that results from the difference between reality and the vision... (and that) a 'practice of deep and personal reflection' can help the individual process the effects of dealing with the inertia, resistance, occasional political backlashing, or territorialism that may be provoked along the way" (p. 143). Beyond personal learning, Yukl (2012) highlighted the need for a leader to spark collective learning in his description of change-orientation. Although the focus of this competency is at the

individual level, collective learning is a central concept in creating learning organizations (Senge, 1990).

Leading Others (Social) Competencies. Perhaps not surprising since leading organizational change is truly a social process, all of the empirical studies found on change competencies across industry featured collaborative competencies of successful change agents. The majority of these, however, highlight competencies that Marcus and Pringle (1995, p. 23) would describe as the “price of entry”, or minimum expectations for a change leader such as effective communication and collaboration to influence others’ motivation to positively enact organizational change. These are described further below with a full listing of findings included in Appendix A. Three aspects, however, appeared to differentiate successful change leadership. These were considered enablers for creating a climate conducive for ultimately achieving influence/motivation, such as creating a safe space for others to engage (Coetzee et al., 2013; Higgs & Rowland, 2000; Higgs & Rowland, 2011) and supporting sensemaking during change (Davila Quintana et al., 2014; Higgs & Rowland, 2005; Kan & Parry, 2004) as well as facilitating collective learning (Caldwell, 2003; Higgs & Rowland, 2000; Latham, 2013a, 2013b; Yukl, 2012). Prior to exploring these differentiating competencies, a description of foundational, or minimum requirements, for interacting with others during change is shared.

Communication. Described an “almost ubiquitous precursor” to a change effort (Kan & Parry, 2004, p. 481), communication can be thought of in terms of three core process during a change initiative: information dissemination, soliciting input, and socialization (Lewis, 2011). To set the stage for considering this foundational competency, Crawford and Nahmias (2010), explored the role of a change leader and change message purpose. They compared three roles (change managers, project managers, and program managers) in three case study organizations

and found that change managers used communication to “primarily engage stakeholders, sell change, enlist champions, facilitate political diffusion, and manage stakeholder expectations” unlike project and program managers – who used communication simply to manage stakeholders (p. 408). Ensuring clarity and assertiveness were two leader characteristics highlighted as key to success of change communication. Clear messages, “achieved through various and regular discussion within the organization... and at all levels” was found to be important for change leaders as they describe a change vision, goals and seek buy-in (Coetzee et al., 2013, p. 250). This appears to be a baseline leader expectation, but it was further emphasized by these authors as they describe “(it is) of great importance to encourage and consistently support employees by clearly indicating the direction and expected outcome (of the change)” (Coetzee et al., 2013, p. 252). This infers the importance not only of the initial change message design, but also of the ongoing reinforcement of it. The way a leader conveys a message, with persistence and assertiveness, is equally important as the message content itself. Frequently touted in the practitioner press, such as Kotter (1996), successful change leaders “elicit urgency for change... (by) presenting a challenging vision, set(ting) clear goals, and intensely communicat(ing) the need and benefits of change” (Krummaker & Vogel, 2012, p. 288-289). Pending the change situation, it might be helpful to consider how to position the degree of change in messaging. Van der Voet (2014) suggests that the focusing on “improvement, rather than replacement” may be more beneficial than depicting a total departure from past success (p. 186). This certainly will be the case in an emergent, first order change, but it may be useful to consider how to apply this concept in true second order organizational transformations as well. The ability to influence was also found to be key for change leadership, but not change management (Caldwell, 2003; Coetzee et al., 2013; Krummaker & Vogel, 2012; Yukl, 2012). It may be important to use

communication not only to encourage initial change support, but also to maintain longer term momentum in the process. Persuasive communication is often described as the starting point in garnering influence. But use of power may be required at some point with some stakeholders. In Caldwell's expert panel Delphi survey, only two of the 10 members endorsed the use of power during change. Most felt that in order to be "self-sustaining, you have to switch from power to persuasion" (2003, p. 290). The ways in which leader influence could vary were perhaps based upon an appreciation of the unique needs of the audience. Krummaker and Vogel (2012) explained that "encouraging subordinates to break with traditional thought patterns" was a part of this process, as they described a strategy utilized by one of their study participants (p. 288) when a division manager described how he dealt with resistance from 100 employees who had to change locations as part of a merger and feared a frosty reception by members of the absorbing organization. This manager used his influential communication style to paint a picture of a cooperative culture and encouraged individuals to lead by example, such as using symbols like role modelling an open-door policy and posting visible graphics that could be used as conversation starters (e.g., pictures of favorite vacation spots). This example strategy illustrated how communication can be used to help individuals envision new ways of viewing a change or empowering them to take a more active role in it. Just who might be more inclined to demonstrate strength in this competency? Battilana et al. (2010) discovered that leaders who were more effective at person-oriented behaviors were more likely than other leaders to focus on the activities associated with communicating the need for change. However, task-oriented leaders were just as able to do this and in fact, a correlation was found with the leader's tendency to communicate the need for change and organizational size. The larger the organization, the more change communication took place. All change-oriented leader behaviors described by Yukl

(2012) center upon communication – it is a precursor for demonstrating the things he found important, including effectively engaging others, advocating for change (or explaining undesirable outcomes if action isn't taken), and influencing others.

Prior to turning to the role of change leader behaviors for sparking engagement, it is interesting to note that communication and leader style may be connected. Two authors explored this link. In a case study comparison of two organizations, one operating with an autocratic leader style and the other with a distributed leadership style, change efforts differed based upon the way communication was used to engage others. Unlike the autocratic approach in which the change message “was limited to rhetoric”, the distributed approach used communication to spark participation by “stressing the need for change and stimulating discussion about (the) change among employees” (Van der Voet, 2014, pp. 187-188). Although this was a descriptive study and not necessarily purporting that a leader should or shouldn't use a particular style, it is consistent with the concept that in order to be effective at engagement, a leader requires effective adaptive communication skills. Higgs and Rowland (2011) created different labels to describe leader style and found that leaders who were more “enabling” in their approach as compared to “shaping” were more effective. Enabling focuses upon the emotional connection in leader-member exchange and is consistent with findings from positive psychology and emotional intelligence. In Higgs and Rowland's “Framcap” model, the enabling strategy is reflected in the “c” of this acronym, depicting the behaviors needed to “create space to enable people to think and act differently, engendering trust, freeing people to new possibilities” (2011, pp. 316-317). This leads one to consider how both communication and empowerment fit within a strategy for engagement as well as the use of timing in employing this strategy. Empowerment was ranked as the highest attribute needed by successful change managers, not change leaders, in Caldwell's

Delphi survey (2003). Higgs and Rowland defined empowerment as “creating ownership and incentives around the work – making sure that ideas and action plans were theirs, that they owned and felt accountable for them, and that there were incentives to deliver on” (2011, p. 326). More references for this foundational change leader skill, engagement, follows.

Engagement/Collaboration. Change as viewed in the humanistic vein often emphasizes participation as a necessary element in order to ensure commitment. Woodward and Hendry (2004) echoed this concept, with “leading change has... to be an active process of engagement” (p. 175). They believed this was needed not from a humanistic perspective, where one assumes positive intent and desire by others for involvement, but rather because “most employees may prefer to keep their heads down and let change roll over them” (p. 175). This reaction to change, often perceived as resistance, could be influenced by a variety of factors, such as the recipient’s change history – how much change has been implemented within this organization before and to what degree were those previous attempts successful? Leaders who have an “involving” style were found to perform statistically better at change leadership than those who don’t engage others (Young & Dulewicz, 2006, p. 392). “Constantly enhancing staff engagement” was also a key change leadership competency determined by Coetzee et al. (2013) and simply ‘engagement’ was included in a set of change leadership competencies by Higgs and Rowland (2011) and Gilley et al. (2009). In a similar view, collaboration was included in a set of change leadership competencies by Latham (2013b). He described this as “leveraging the talents and ideas of a diverse team, resulting in better solutions and strategies, and avoiding the pitfalls of hubris” (p. 23). A key skill to be able do this effectively, he further adds, is listening and “frank two-way communication” (p. 23). In a story featuring toy-maker Lego CEO Jorgen Vig Knudstorp, Lewis (2011) described the importance of listening “not merely to confirm whether stakeholders were

‘getting his vision’... (but) as a means to gather intelligence and put decisions into the hands of those who were best equipped to make them” (p. 151). This prompts a change agent to think about engagement not strictly as a method to help him/her gain what is sought – but as a collective attribute within a culture that promotes group learning, decision making, and co-creation.

In terms of strategy to apply this concept, participation is not the only, nor always the best, approach to affect change, however. Nutt (1986) offers a model for change implementation in which he uncovered four types of change implementation tactics: intervention, participation, persuasion, and edict. ‘Using input from representatives’ had a 75% success rate in their review of 91 case studies, but this was used least frequently as a tactic (only 17% of the time). It is important to note that the scope of involvement in terms of who was asked to participate and what they were asked to do are important variables to this concept. In Nutt’s research, this was often scaled-down in terms of a limited number of participants and a limited request for input. ‘Persuasion’ was used most often by the executives in this study (42% of the time), and this too had a 75% success rate. But, the highest success rate came from those executives who used ‘interventions’; it had a 100% success rate. These individuals assertively controlled planned change by “regulating and controlling social and political issues... (as demonstrated by the way they) created new norms, justified them, and showed how practices could be improved” (p. 255). Interventions may infer a more autocratic, rather than participatory, approach. Lewis (2011) also suggested four change implementation approaches as well to guide the selection of the right approach when communicating with all stakeholders, not just employees: autonomous/adaptive, autonomous/programmed, rule-bound/adaptive, and rule-bound/programmed. Stakeholders are empowered with the autonomous approaches and the implementation team had a higher degree

of control in the rule-bound approaches. A “symbolic style of participation” occurred when change implementers used the programmatic approach, as “they are more in communication that promotes a compliance with implementers’ vision, limits discussion of alternatives; and focuses on instruction and correction not reconsideration or adaptation” (p. 149). This could be the right approach if the change agents seek to inculcate individuals to the change, but not receive input that could alter the direction. If, in fact, openness to the change content is present, the adaptive approach should be utilized. However, it was eye-opening to consider that a participatory approach shouldn’t always be used and isn’t always sought. Lewis added that “we should not assume that stakeholders necessarily want to encourage widespread participatory practices any more than will some implementers” (2011, p. 151). The bottom line seems to be that purposeful engagement and collaboration is needed, but to what end this is sought will shape the needs for this change leader competency. The last foundational competency for leading others is motivation, described below.

Motivation/Mobilization. Several studies featured the importance of a leader’s ability to motivate in organizational change (Davila Quintana et al., 2014; Gilley et al., 2009; Van der Voet, 2014; Wren & Dulewicz, 2005). In fact, it was found to be a key component in predicting leader success along with effective communication and team building. Gilley et al. (2009) identified that 59% of the variance in effectively leading change may be predicted by these leader abilities. In this study, it was employee perception that surfaced the importance of this attribute as 470 graduate students responded to a survey that rated their manager on change implementation in relation to the utilization of six leader behaviors/skills: coaching, rewards/recognition, communication, motivation, decision making involvement, and teamwork/collaboration. Consistent with other reports of change failure, 74% of respondents

indicated that “their leaders never, rarely, or only sometimes are effective in implementing change” (p. 42). In another study, motivation was one characteristic out of three that pertained to how a leader demonstrated emotional intelligence (in addition to social skills and empathy) which in turn correlated with follower receptivity to the change message (Ferres & Connell, 2004). These three characteristics were found to be significantly related to lowered cynicism, with leader motivation being the most important factor. Receptivity to change is a key component of follower intent to change, or their level of motivation. This study highlighted that the leader’s level of motivation may be in direct connection with the follower’s level of motivation and could serve as an antecedent for change leadership. An authentic belief in organizational change and sense of enthusiasm can be infectious – a leader’s response can be a catalyst to spark a desired response in others.

In viewing these foundational leader competencies, it is interesting to note that a leader’s capability to communicate well and his/her intention surrounding it is clearly woven into his/her ability to employ an engagement and empowerment strategy and ultimately, influence follower motivation. As such, communicating well may very well be at the core of leading others through organizational change and has been added to the list of differentiating competencies in Figure 8.

Figure 8

Differentiating Social Competencies for Leading Others Through Organizational Change

Foundational Competency: Communication	Emotional Engagement/Creating a Safe Space	Sensemaking Support	Collective Learning
<ul style="list-style-type: none"> •...As a way to deploy engagement, empowerment, influence, sense making and learning strategies affecting others' motivation to act and to build relationships 	<ul style="list-style-type: none"> •Making it safe to say risky things and creating emotional connections with the change in others 	<ul style="list-style-type: none"> •Facilitating a process of change message interpretation and reconciling paradox 	<ul style="list-style-type: none"> •Fostering and systemically embedding individual, group, and organizational learning at all phases in the change process

Emotional Engagement/Creating a Safe Space. Communication was described as a prerequisite skill for a change leader in deploying various strategies – but if s/he were unable to create the climate in which others felt comfortable being able to share an honest reaction, candidly participate in understanding what a change message means, and potentially shape its direction without repercussion, the overall goal of communication would fall flat. Simply telling recipients that organizational change is coming isn't enough to elicit their buy-in and commitment. There needs to be a safe space and relationship built with others to create an emotional connection (Higgs & Rowland, 2005). This is consistent with Nutt's findings about the use of edicts (1986). Change implementation with edicts resulted in only a 43% success rate, despite 23% of the executives in 91 case studies using this approach. This was the least successful approach out of the four methods Nutt identified. Coetzee et al. (2013) described the need for "emotional engagement" and highlighted that followers are encouraged to persist with change efforts when leaders supply it (p. 250). Higgs and Rowland (2011) indicated the importance of making it "safe to say risky things" and shared two examples from participants in their study about how this could be weaved in to an engagement strategy (p. 327). One was

simply being visible, accessible, and making time for others. A participant spoke about doing town hall sessions for individuals in all shifts and how meaningful it was for three individuals with whom she candidly spoke on the 3rd shift (as not many leaders would be inclined to catch individuals at this time in the day) and wound up staying there four hours with them. Another participant shared how s/he connected with people at an emotional level by asking each individual, “What would make you proud to work here?” (p 326). Not only could this question spark emotional engagement, it could also be highly unifying as individuals envision their desired future state and how they might play a role in it. Communication skills and empathy appear to be the skills of greatest focus to help leaders embody this competency. Higgs and Rowland (2000) described change facilitation, one of their eight change competency clusters, as “the ability to help others, through effective facilitation, to gain insight into the human dynamics of change and to develop the confidence to achieve the change goals” (p. 124). Putting oneself in the shoes of others is also a part of bringing this concept to life. Krummaker and Vogel (2012) described this as “listening to subordinates, taking their perspective, sharing their feelings, and understanding how they perceive change... (and being) sensitive to the needs of those affected by change and aware of their worries” (p. 290). This element speaks to the human side of change, for which employees may ultimately judge organizational change based upon the leader’s capacity to do this. Woodward and Hendry (2004) indicated that one of the key findings in their study was that “employees tend to appreciate the difficulties a manager faces in leading change but also readily punish those managers who neglect the people aspects and put unnecessary pressures on the (employees)” (p. 167). It all comes down an employee’s perception about how change is handled – and in what way it affects them. If they have an outlet to voice concern and a heart- as well as a head-connection to the change, the odds are greater that

commitment will follow. Emotional engagement is the first of three differentiating change leader attributes, creating a process to support sensemaking is discussed next.

Supporting a Sensemaking Process for Others. Providing a forum to support individuals while they interpret change messages or to be aware of trends on the horizon can help them to internalize and make sense of the change. Woodward and Hendry (2004) surveyed 198 UK finance employees on coping strategies for change and found that “communicating with others holding different perspectives... and assimilating and interpreting information” were cited as two of the most helpful [this was in addition to organizing work and managing time effectively, dealing with people, and innovative problem solving] (p. 163). A change leader can provide a climate conducive to this by “inviting conversation rather than commanding and controlling” (Woodward & Hendry, 2004, p. 172). However, discrepancies were found in how managers and employees viewed what was important to support it. Senior managers were asked about the key competencies needed to lead change; managers and employees alike indicated that the degree to which they felt support was provided to help employees cope with change was critical. Other competencies perceived to be important by senior managers included clarity of purpose/mission, generating enthusiasm, involving employees and communicating well (p. 164). These all embodied a “top down” leadership style. However, the most insightful aspect of Woodward and Hendry’s (2004) study was the discrepancy between managers and employees’ perception on support. A majority of managers felt “adequate problem prevention and support (had) been provided to employees to help them cope with changes introduced in this organization”, but only one in four of the employees agreed with this statement (pp. 164-165). The differing views seemed to highlight that both managers and employees were looking for control and autonomy during the change process. Woodward and Hendry (2004) stated, “when

employees don't feel in control, or (perceive) a loss of control, they are likely to be unable to deal proactively with changing expectations" (p. 171). Fostering collective sensemaking is suggested as a strategy to help employees have a sense of control in terms of coming to a personal understanding about the change. Kan and Parry (2004) also found evidence supporting this need to help healthcare employees manage multiple realities, or personal paradoxes, in their study. As they sought to identify differentiating change leadership competencies, they found that "identifying paradox was found to be the highest order category by which all similarities and variation in leadership behaviors and interactions could be explained" (p. 481). This refers to the social process whereby members of the organization representing different cultures or unique perspectives share the contradictions, inconsistencies, conflicts, and misunderstandings they grapple with during a change and leadership helps support a collective process in which these paradoxes are "reconciled" (p. 481-482). Interestingly, this kind of sensemaking was found to be just as important for the change leader as the change recipient – a main finding in this study was the "inability (of the change leader) to reconcile paradox in one's own mind let alone the minds of the target audience" (p. 482). This is an antecedent and part of the personal competencies for change agents mentioned earlier. This cognitive process of interpretation and problem solving is purported to be a social process, consistent with the concepts associated with social cognitivism and constructivism. It should be considered, however, that some change recipients might prefer to move independently through this process. Perhaps personality and fear of being seen as less than confident could prevent one from actively participating with others – representing a "fixed" rather than a "growth mindset" (Dweck, 2008). If this is the case, even if the leader chooses not to learn for themselves, s/he still has a requirement to provide the conditions to facilitate it for others. If this isn't done, Kan and Parry (2004) describe that change would be "legitimized",

whereby the change participant did not “consciously identify the paradox and made the paradoxical argument sound legitimate on the surface” (pp. 481-482). The danger in this could be two-fold – it “represses leadership” and it may also result in true lack of commitment (p. 482). When just a surface agreement exists, participants might find at a later time that they didn’t truly agree with the change argument and may actively resist it. Van der Voet et al. (2014) highlighted that the more successful case study organization they analyzed had leaders that used communication to help employees discuss the content of change and its consequences among themselves. In this sense, “interpretations of the desired change (were) not derived from the management, but from the employees themselves” (p. 184). As such, buy-in to the outcomes was more likely.

In addition to a change leader embodying the qualities necessary to support emotional engagement and sensemaking, s/he also should foster collective learning. This builds upon the personal competencies in which learning should be initiated by the leader him/herself, but now the focus is on the facilitation of this process for others.

Fostering Collective Learning. When change leaders participate in a social process to communicate and involve others in change, a natural outcome – particularly if the leader is open to jointly shaping the change direction and has created a safe space – is to facilitate a collective learning experience. This is important not only as a personal leader competency, but also to improve the overall change direction when possible with the synergy of multiple perspectives. In doing so, the leader’s beliefs and understandings may also be expanded beyond what could be possible in a solo learning endeavor. Three authors found this to be a distinguishing change leader characteristic. Higgs and Rowland (2000) grouped a set of behaviors under the change competency category of “change learning” and described it as the “ability to scan, reflect, and

identify learning and ensure insights are used to improve individual, group, and organizational capabilities” (p. 124). In a study of CEOs recognized for leading change efforts that resulted in a Malcolm Baldrige Award, “learning and improvement was embedded in the system of leadership approaches for transformational change” (Latham, 2013b, p. 22). This collective learning concept was formalized in a cyclical, holistic change model – indicating that once change strategy is planned, implemented, and results are achieved, learning is the next phase to then inform an evolving change strategy. Learning, therefore, might be done on the front or back end of a change process or perhaps might be embedded throughout. It is reflective of a participative leadership concept and illustrates that leaders “don’t create all new ideas – everyone can act as a change agent and be creative” (Caldwell, 2003, p. 290). The leader does, however, “create (the) context in which new ideas emerge, experimentation, prototyping, and learning by practice” (Caldwell, 2003, p. 290). Collective learning is a central concept of learning organizations (Senge, 1990) and can be thought of as working hand-in-hand with the collective sensemaking strategies a leader should foster. Both inform the other in terms of interpreting and refining change efforts. The third differentiating quality, emotional engagement, could be thought of as setting a conducive environment for these two activities to transpire. This concludes the leading others change competency. The next section introduces the third competency cluster in the proposed framework, leading organizational results.

Leading the Organization (Cognitive/Tactical) Competencies. As various sets of change leader competencies were synthesized, it was clear that simply possessing personal and interpersonal characteristics correlated with success was not enough. Tactical activities associated with the change process require unique skills and knowledge. Some pertain to the cognition process, but most identified in the literature centered upon technical skills necessary to

lead through a change process, manage the change project, and utilize organizational awareness and political savvy to create partnerships. Three-quarters of the empirical studies found across industries featured these tactical competencies to lead organization-wide change. A full listing of findings is included in Appendix A. Perhaps not surprising since the studies were focused upon change leadership, knowledge and skills associated with the change process featured prominently. As this appeared to be foundational – all other competencies in this category are dependent upon it and enable its success – knowledge of the change process was listed in this proposed competency framework as what Marcus and Pringle would describe as the “price of entry” (1995, p. 23). An additional foundational concept, cognition, was also included. Three aspects, however, appeared to differentiate successful change leadership in this category. These included the skills needed to build coalitions/partnerships, manage the project, and address organizational culture/resources needed to reinforce the initiative. Prior to exploring these, a review of the foundational competencies is shared.

Cognition. How a leader approaches a change initiative in terms of cognition can influence success. Critical analysis was identified as a key competency (Wren & Dulewicz, 2005) as well as entrepreneurship, risk taking, experimentation, and creativity (Caldwell, 2003). Yukl highlighted the importance not only of a leader demonstrating creativity, but also that s/he encourages innovation and creative thinking in others (2012). These aspects weren’t defined in this change leadership competency literature further, however, they do seem to represent universal understandings that underpin a leader’s thinking during times of organizational change.

Change Skills/Knowledge. Most of the leader competencies in this category of leading organizational results highlight knowledge and skill needs associated with implementing the below phases of change. The findings grouped within these phases may not represent the full

breadth and depth of activity featured in various change models, but are indicative of skill/knowledge needs that surfaced as part of an overall set of competencies in change leadership studies. Higgs and Rowland (2000) took a broad-based view to this concept, and created an overarching competency cluster entitled “change technology”. In it they highlight that a change leader requires the “knowledge, generation and skillful application of change theories, tools, and processes” (p. 124). The remaining findings pertained to specific competencies and activities needed within one or more of the following phases:

Planning. Planning often starts with envisioning where one might go and devising plans to involve and rally others to bring it to life. As such, creating and articulating a clear vision of the change was found to be distinguishing leader skill competency (Coetzee et al., 2013; Woodward & Hendry, 2004; Wren & Dulewicz, 2005; Yukl, 2012). Specific behaviors and strategies associated with exactly how one does this were not defined; however, it seems to be strongly a cognitive process in which the leader scans for opportunities or notices patterns then imagines or crafts a future direction in light of it. With a future direction, goals and strategies then are devised (Coetzee et al., 2013; Wren & Dulewicz, 2005; Woodward & Hendry, 2004). “Creating a clear vision of the future after the change” was found to be significantly related to a change leader’s success in Wren and Dulewicz’s study (2005). Woodward and Hendry (2004) add that one needs an element of “realism” as s/he considers what can be achieved in the “planning, scheduling and milestone setting process” (p. 172). A relative term, it is interesting to consider how a leader balances the pragmatism of a realistic plan with stretch goals to inspire and challenge individuals along the way. Perhaps inspiration is what leaders and others jointly incorporate in the vision and this is balanced with realism in the execution planning.

Launch. Communication and engagement competencies are strongly referenced in the initial change launch. These and related leader considerations were described earlier in the leading others competency section.

Implementation. Ensuring proper implementation and execution of the change plans was cited as an important change leader skill (Coetzee et al., 2013). In doing so, the leader needs to be constantly aware and communicate how these plans are connected to the larger initiative. Higgs and Rowland (2011) found that what distinguished successful change leaders from others was their ability to “remain in tune with the bigger picture within which the change was positioned and ensured that their team considered their actions and plans in light of (it)... they ensured that the change process remained clearly connected to the wider context by drawing the attention of others to (it)” (pp. 325-326). A leader’s ability to keep the big picture in mind during execution was also found to be statistically significantly related to his/her success in Wren and Dulewicz’s study (2005). Some change models describe the importance of generating small successes and early wins. Wren and Dulewicz found this execution strategy to also be statistically significantly related to success (2005). Along the way, invariably change strategies speak to managing resistance. This might be required in the initial change launch phase as well as continue to occur during the implementation phase. Caldwell found this to be a needed change leader attribute (2003) but it should be recognized that this is a term that is in process of being redefined thanks to the contributions of Piderit (2000). Communication, engagement, and sensemaking are all strategies and competencies that play a role in helping one to understand and shape change and may be needed throughout the implementation stage – not just at the initial launch. Additional responses to resistance might include political considerations and negotiation (highlighted later within the coalition building competency discussion). Finally, project

management skills will be required during the implementation. These are also addressed later in as a differentiating competency.

Institutionalization. Few behaviors were noted for this phase, with the exception of the need to “adjust work culture to meet long-term needs of the change” (Wren & Dulewicz, 2005, p. 300). This was one of three competencies found to be statistically significant for a change leader’s success. More on this aspect can be found in the cultural architect/resource advocate competency discussion.

In addition to defining what knowledge/skills a leader requires in these phases, when one deploys them is also a consideration. The appropriate timing of a change agent’s movements within and among these phases has also been addressed (Huy, 2001; Krummaker & Vogel, 2012; Woodward & Hendry, 2004). No prescriptive approach is suggested by these authors, however. They all merely suggest that time to digest change should be embedded throughout the change process.

With these foundational competencies in place, a review of the differentiating characteristics is now shared in Figure 9. Note that these rely more heavily on attributes helpful for exercising a politically- and culturally-based change strategy whereas the previously stated characteristics in leading self and others helped to embody more of a social cognition approach toward change (Kezar, 2014). Taken together, they provide a more complete set of competencies necessary to guide intentional change.

Figure 9

Differentiating Cognitive/Tactical Competencies for Leading the Organization Through Change

Foundational Competencies, Characteristics	Networking/ Coalition Building	Project Management	Culture Architect/ Resource Advocate
<ul style="list-style-type: none"> • Cognition (e.g., critical thinking, objectivity, entrepreneurship); change process knowledge 	<ul style="list-style-type: none"> • Political skill, organizational knowledge, ability to activate/mobilize others, negotiation 	<ul style="list-style-type: none"> • Tactical change project execution skills 	<ul style="list-style-type: none"> • Systems thinking; culture adjustment; provision of incentives, resources

Networking/Coalition Building. Networking/building coalitions was one of three differentiating competencies found in leaders of successful change (Caldwell, 2003; Kan & Parry, 2004; Krummaker & Vogel 2012; Yukl, 2012). This overarching concept may be particularly pertinent in flatter organizations. Studies describing this characteristic centered upon three related, potentially prerequisite, attributes: the possession of political skill, negotiation skills, and organizational knowledge. Krummaker and Vogel (2012) indicated a need for a leader to “identify, understand, and handle political issues... (in order to) detect promoters and opponents of change” (p. 288). They cited influence and negotiation skills as important in this process of developing supportive coalitions and networks. The foundational characteristic of communication skill and possessing a proactive nature to seek out potential partners and initiate a discussion to validate where others stand on an issue all seem critical to embody this competency. It infers a willingness to put one’s self out there, to take expansive temperature checks, and to actively pursue points of agreement – all skills that are consistent with internal selling. It is always easier to make warm sales calls – or to reach out to individuals with whom one has an established connection or knows the inner workings of the organization. Kan and Parry (2004) highlight the importance of a change leader having “social embeddedness” or “the degree to which leaders become involved in richly interconnected social networks within their

organization and acquire tacit knowledge about how things are done” (p. 826). In doing so, this paves the way for political insight and relationships as well as supports “stability in leadership constellations” (Kan & Parry, 2004, p. 826). It was described almost as a being a part of the in-group, where leader behavior was judged by the expectations of long-time employed physician leaders. New leaders needed to “learn appropriate behavior patterns and gain trust of powerful groups” before initiating change or they would be “rebuffed” (Kan & Parry, 2004, p. 826-827). Latham (2013b) referred to the concept of organizational connectivity and awareness in his definition of “systems thinking (whereby) participants demonstrated a deep understanding of how the various enterprise functions worked together as a system” (p. 24). This may infer not only how organizational units fit, but how people within them connect. When networking or forming coalitions, it is helpful to leaders to see how each individual or group works together for the larger whole and to achieve the collective purpose. By doing so, they’ll be better positioned to see the robust ways in which change benefits or impacts others.

Being able to network, partner, and negotiate is all a part of an end goal of mobilizing or activating others. Davila Quintana et al. (2014) highlighted the role of a leader in influencing change as being open to jointly shaping the change direction with stakeholders. They indicated the importance of a change leader’s ability to “mobilize the capacities of others, to make your meaning clear to others, to negotiate, to question your own and others’ ideas, to come out with new ideas and solutions” (p. 523). The connection to the communication, sensemaking, and collective learning strategies described earlier is clear in the development of satisfying and fruitful partnerships. Yukl (2012) echoed this need to network and negotiate and also indicated the need for change leaders to perform external monitoring. This infers that successful change leaders scan their organization internally as well as externally not only for change ideas, but also

for change relationships. As they do, they may advocate for and seek to energize activity around their team, their change initiative, and others who are positioned to support it. Who might be more inclined to perform these skills? Battilana et al. (2010) found that leaders who were more effective at task oriented behaviors were more likely to focus upon mobilization activities. These competencies were the first of three differentiating leaders for change success in terms of leading organizational results and leveraging cognitive capability. The next section describes a tactical capability needed to lead projects, as any change is a project in and of itself.

Project Management. Despite this characteristic having relatively small interest in the literature review, it is one that depending upon the change agent's role, requires focus for successful change execution. Senior leaders are anticipated to initiate change more so, but middle managers are thought to have a higher responsibility for implementing change. Therefore, project management may have a higher degree of prominence in this category of change agents. In the most relevant study pertinent to this topic, Nikolaou et al. (2007) contrasted the requirements of project managers, program managers, and change managers. Interestingly, only project management was found to correlate with an improved attitude of change recipients toward the change and with overall team performance. Perhaps this was due to the nature of the subjects in this study – graduate students in a change simulation as opposed to the senior level leader's perceptions more often depicted in these articles. This finding is coupled with one additional study in which both managers and employees in one UK financial organization cited 'poor project management' as a contributor to change failure (Woodward & Hendry, 2004). Although the number of empirical studies that feature this competency is small in the literature featuring organizational change across industry, it is strongly focused upon the execution skills needed in order to implement change activities. This speaks to the blend of leader skills and

knowledge needed throughout all phases of change and incorporates the tactical requirements along with the personal and social attributes. With networking/coalition building and project management skills identified as two of the three differentiating change leader qualities for leading successful change, the remaining competency addresses the requirements for sustaining the change.

Culture Architect/Resource Advocate. Organizational change requires a systems perspective (Latham, 2013a). No matter how skilled a leader is at mobilizing others toward an initiative, resources, and a wider perspective on how change fits and will be reinforced within the organization are also needed. Initially during the change process, a leader must seek and provide organizational resources to others for change support (Higgs & Rowland, 2000; Woodward & Hendry, 2004; Wren & Dulewicz, 2005; Yukl, 2012). Advocating for needed resources shows a leader's commitment and helps "create a climate in which employees may be willing to change and actively to bring about change in their area of responsibility" (Woodward & Hendry, 2004, p. 171). However, beyond the initial set-up for change, additional resources will be needed to embed the change within the organizational systems and processes to ensure sustainability. Behaviors need to be reinforced within people processes, organizational structure may need to be altered to formalize how individuals work, and the partnerships required among roles and systems need to be in place (e.g., to provide ongoing needed performance data to monitor progress and/or a performance appraisal and reward/recognition system). Incentives were called out as a specific area of focus (Higgs & Rowland, 2011; Gilley et al., 2009) and one that leaders could use to create an informal or formal process to support behavior or outcomes sought during the change. An effective change leader is the catalyst for embedding organizational change into these processes and systems, and ultimately, as an architect needs to design a supportive

organizational culture to achieve the change in a longstanding way. Systems may be internal, like those described earlier, or may be external. All organizations are impacted by the community in which they operate. Having an awareness of this can help leaders to plan change or alter approaches during the implementation to be responsive to their external context. Nearly all of the leaders recognized for Baldrige success in Latham's study (2013b) exhibited this systems mindset and "demonstrated a world view of organizations as open dynamic systems that can be created and recreated to improve performance for multiple stakeholders versus (considering them to be) fixed systems and a zero sum game" (p. 27).

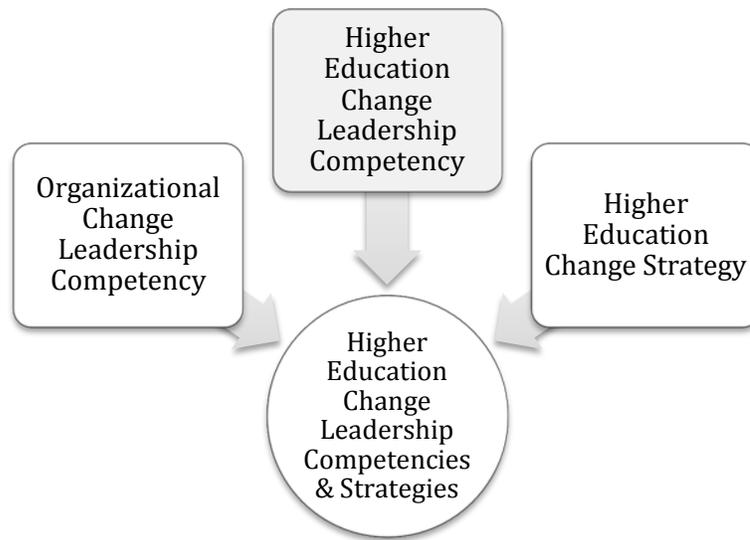
These three differentiating competencies – networking/coalition building, project management, and being a culture architect/resource advocate – describe what was found in the literature across industry for successful organizational change leaders in terms of leading organizational results and displaying cognitive capabilities. Cognitive skills are just one category of leadership change competencies that differentiated successful leaders. Additional categories were proposed in this competency framework, including those centered upon personal capabilities to lead oneself with presence, resilience, and personal learning and interpersonal capabilities to lead others with emotional engagement by creating a safe space, providing sensemaking support, and facilitating collective learning. Since these results feature what was done by leaders outside the higher education to guide change, they offer a starting point for considering to what degree, if any, they relate to the unique context that higher education leaders operate within as described in the next section that follows. Below competencies are reviewed for successful change leaders followed by a description of specific strategies utilized. It is the purpose of this study to gain deeper insight into both what leaders know, and what they do, to affect successful first and second order change in higher education.

Higher Education Change Leadership: Competency Synthesis

In a database search using terms “higher education”, “change”, “leader” and “competency”, only four empirical studies were found published since 2000. To expand upon these findings, studies featuring competencies for general higher education leadership effectiveness (N=5) and strategies for leading higher education change (N=5) were also included. Interestingly, these findings were pretty mixed in terms of setting – with the United States featured in two of the change leader competencies studies, and Australia and the United Kingdom featured in the remaining studies. When it came to general leadership effectiveness and strategy, no one country was featured predominately – of those in which the setting was identified, locations included the United States, the United Kingdom, Austria, Australia, Spain, the Philippines. This may have implications for generalizability in terms of applying the findings as external drivers of change may be unique, yet it is anticipated that some attributes of higher education/further education may be considered transferrable, such as the widespread acknowledgment of the need for a distributed leadership approach. To round out these studies, several books were included that highlighted case studies or qualitative interview data of leader perceptions as well as frequently referenced publications from the empirical studies.

The focus in this review was to compare and contrast the findings in this industry against the larger pool of information from the organizational change literature that spans industry. As shown in Figure 10, higher education change leadership competencies follow.

Figure 10

Literature Review Elements for Higher Education Change Leadership

Higher Education Leading Self (Personal) Competencies. Of the three competency categories, personal characteristics had the richest amount of insight shared in the higher education change leadership literature review. All of the studies validated the findings of organizational change leaders across industry, with certain nuances appearing to be relevant for this setting.

Across industry, four categories of personal attributes were found important for change leaders in general. One category addressed foundational competencies, or those for which Marcus and Pringle (1995) would describe as the “price of entry” for any leader to apply, related to one’s character such as honesty, integrity, and courage (p. 23). Three additional groups of attributes stood out as unique, or characteristics that differentiated leaders all things being equal on the foundational attributes – these were presence, resilience, and personal learning. Below are the findings as it relates to these clusters from the higher education literature.

Foundational Personal Competencies. In studies featuring higher education leaders, the foundational qualities of integrity/authenticity (Astin & Astin, 2000; Basham, 2012; Bryman &

Lilley, 2009; Ehrenstorfer et al., 2015) and honesty (Bryman & Lilley, 2009) were raised as important factors leading to an overall desired trait of being trustworthy (Ehrenstorfer et al., 2015; Hill et al., 2001; Hemsall, 2014) in higher education leaders in general as well as for change leaders in this industry. As it relates to change specifically, this rose to one of the highest ranked attributes of Basham's (2012) Delphi study in which U. S. university presidents described the need for one to be true to oneself when leading change, or having "authenticity... so that there is consistency between actions and most deeply felt values and beliefs" (p. 346). Scott et al. (2008) echoed this finding. They defined "being true to one's personal values and ethics" as one aspect of a leader's "decisiveness" (p. 22), one of three personal capabilities that were uncovered in their study of Australian leaders. In another study of general leadership competencies, Ehrenstorfer et al. (2015) indicated that a substantial majority of the 42 Austrian academic leader respondents in their study also highlighted personal integrity as a required trait. Bryman and Lilley (2009) concurred – as integrity was the one aspect mentioned by more than one-third of their 24 higher education researchers of leadership and the authors noted the interconnectivity between integrity, honesty and trustworthiness. Others' ability to trust the leader really appears to be the ultimate goal. Hill et al. (2001) agreed as they reflected upon distinguishing characteristics of change leaders from their American Council on Education project on Leadership and Institutional Transformation with 23 U. S. institutions. They stated, "we repeatedly realized the central role of trust in the change process and ways in which leaders created or failed to create reservoirs of goodwill through the values and principles they lived rather than merely pronounced" (p. 31). This all raises an interesting perspective about a leader's ability to unearth and articulate his/her own values as well as live them. Hemsall (2014) furthers this dialogue by highlighting the complexities of public leadership and trust by describing that

“many (interviewees) commented about how difficult it is to be a leader (in a) publically funded entity because its leaders tend to play out their roles on the front page of the main regional or sometimes national newspaper – their role is much more public and this changes the way the leaders approach and do their job” (p. 387). One interviewee summed it by proclaiming, “trust is really the trump card of leadership” (p. 387). Trust is important in all industries, but Hemsall’s reference requires one to consider if leaders in public institutions have an even stronger vested interest in being ethical and transparent. This resonates with the frequently used descriptor of higher education leaders being stewards of their public organization. Other leaders in public and non-profit industry may also feel strongly about the responsibility inherent in using community resources. Trust goes two-ways. While the leader seeks to earn it, s/he should also possess the ability to demonstrate faith and trust in his/her staff. Ehrenstorfer et al. (2015) mentions the importance of a leader exhibiting trust in staff and their skills in two separate areas of their model of skills and competencies of manager-academics.

In summary, these foundational competencies of integrity and honesty were the same for higher education change leaders as what was found for leaders of organizational change across industries although contextual application of them may differ. It is interesting to note, though, that trustworthiness and credibility weren’t explicitly stated as a leadership competency in the organizational change literature as it was in higher education. Appendix A shares a comparison of foundational competencies identified in the organizational change and higher education literature. Additional points of similarity in both sets of literature were found in terms of ethics and self-efficacy (Ruben, 2006) and persistence (Ehrenstorfer et al., 2015; Basham, 2012; Ruben, 2006). Additional areas of distinction for higher education leaders were the need for a focus on the common good (Hill et al., 2001) and enthusiasm (Ruben, 2006). Finally, aspects not

addressed in this literature on higher education change leadership but representative of items included in the organizational change literature were fairness, the ability to reconcile paradox in one's own mind (Kan & Parry, 2004), courage, and taking responsibility for the change decision (Wren & Dulewicz, 2005). With such a small number of studies highlighting each of these competencies, it's not sufficiently clear that some foundational characteristics are more important in the higher education industry than in others. However, all of these competencies appear to be equally valid at face value. The only aspect that seems potentially different in a distributed leadership context is taking responsibility for the change decision (Wren & Dulewicz, 2005). If one individual isn't solely responsible for this decision, it may be less likely that s/he will embody this characteristic. The next section looks at three categories of differentiating personal competencies identified originally in the organizational change leadership literature and how the content from higher education compares, starting with presence.

Presence. As described earlier, presence is the ability to tune in to how one is reacting in a situation, attempt to see the full picture, and to calmly respond. Aspects pertaining to self-awareness, self-regulation, and emotional intelligence were included in this organizational change competency cluster across industry and reference was given to each of these items in the higher education literature. Geoff Scott, student of Michael Fullan and academic change leader researcher and teacher, outlined three capability categories of successful change leaders: stance, way of thinking, and performance skills and professional knowledge (1999). His view of stance, which illustrates the "affective or emotional side of the top performer", parallels this concept (p. 153). Scott elaborated on the need for a leader to demonstrate stance by stating:

People who find it difficult to tolerate ambiguity and uncertainty, who panic when things go wrong, who always want to win a point or have their own way, people who are unwilling to acknowledge and learn from their errors, who find it difficult to treat staff and clients in a sensitive and supportive fashion will consistently be rated by their

colleagues as ineffective when change is in the air. (p. 153)

In a study described by Scott, Deans in an Australian case study organization described attributes for successful academic change leaders that Scott categorized as stance, including: tolerance for uncertainty and ambiguity, sensitivity to others, commitment to collaborative relationships, risk taking and perseverance, a secure sense of self, and perspective (Scott & Kemmis, 1996 as cited in Scott, 1999, pp. 154-165).

Self-awareness and reflection were attributes found to be representative of required and ideal competencies of higher education leaders in general (Ehrenstorfer et al., 2015). Astin and Astin (2000) also included self-knowledge as one of their five individual qualities of transformative leadership. They described it as being strongly interconnected with authenticity – mentioning how hard it would be to be true to one’s values and beliefs if one’s not aware of them. Empathy, or the capacity to put oneself in another’s shoes was included as a needed quality by Astin and Astin (2000) and described as enhanced by strong self-knowledge. Self-regulation was found to be a needed capability for academic change leaders by Scott et al. (2008), which included six items on a scale measurement: deferring judgment and not jumping in too quickly to resolve a problem, understanding personal strengths and limitations, admitting to and learning from mistakes, maintaining a good work/life balance and keeping things in perspective, and remaining calm under pressure or when things take an unexpected turn (p. 22). They also referred to “tolerating ambiguity and uncertainty” as an item in their scale measuring another personal capability, decisiveness (Scott et al., 2008, p. 22). Hemsall (2014) reinforced self-regulation to some degree with the statement that “all interviewees stressed... that emotional competencies set leaders apart from each other” (p. 387). This competency category had the same number of authors citing it as a change leader attribute in the organizational change and

higher education literature, yet, it had a richer degree of elaboration in this higher education setting. The next differentiating personal change leader competency category, resilience, is described below.

Resilience. Within the higher education literature, resilience as a term was not included. However, it was referenced in general descriptors given or in the definition for other competencies. One example of this was given by Hill et al. (2001) as they described the ability to bounce-back with the finding that “successful change leaders didn’t allow (surprises, conflicts) to knock them off balance; they found ways to resolve conflicts or at least hear all parties and keep moving” (p. 21). Scott et al. (2008) defined self-regulation, one of their personal capabilities of effective higher education leaders, as the ability to “bounce back from adversity” (p. 22). They also defined commitment, another personal capability, as “persevering when things are not working out as anticipated” (p. 22). Adaptability and flexibility is also often referenced in relation to the concept of resilience. Buller (2015) speaks to this, not in terms of behavior, but rather from the perspective of the change leader antecedents including leader’s mindset and one’s readiness for change. He shares, “the more flexible one’s mindset is, the more palatable the entire idea of change tends to be” (p. 35). He then elaborated by describing how it’s easy to become invested in something when one helps to create it – however, this can be detrimental to change leaders. Those who consider outcomes to be flexible – not rigid and standing in permanence for eternity – are more likely to be responsive to changes in the environment. He suggests that we strive to be an owner of process, more so than of product, and uses general education curriculum as an example. If we thought of an intact curriculum as a product – it would be tough to change it. A stronger emphasis would need to be placed upon answering questions such as ‘why change?’ and ‘why now?’ to do so. However, if the change agents were

committed to a process of continuous improvement – it would be easier to regularly assess and monitor progress and the leader would expect that the curriculum would be adapted over time. The last of three differentiating personal competencies, personal learning, is described next.

Personal Learning. This competency cluster incorporated openness, self-reflection, and learning from others as part of the findings from the organization change leadership literature collected. In an industry that supports others' learning, it's interesting to note that this didn't come up much in the higher education literature as a characteristic for its own successful change leaders. The strongest reference for it came from Eckel, Green, and Hill (2001) as they described the challenge of individuals who considered themselves an expert to adopt the role of learner during transformational change in their institutions. Hill et al. (2001) highlighted that of those same institutions who were successful in this American Council on Education longitudinal study, it resulted from four habits of mind of the leaders, two of which pertained to this competency: leaders who "were reflective about their change endeavors and (who) learned from their actions and adjusted their plans" (p. 19). This role reversal of an expert leader now assuming the role of a learner spotlights the importance of vulnerability. Eckel et al. (2001) highlighted how much it easier it is to spur personal learning with the infusion of outside ideas by describing that change leaders who were "successful in creating new ways of thinking benefit(ted) from the ideas, comments, suggestions, and challenges from interested outsiders who challenged key institutional beliefs and assumptions" (p. 22). They noted that outsiders could do this better than insiders or campus leaders – suggesting the strategy of hosting a lecture series from external experts or leaders giving public presentations – and indicated that leaders must be open to hearing these messages (p. 22). Furthermore, these authors shared that they saw the importance of "openness (and) modeling behaviors" in successful leaders of transformational organizational

change (p. 31). Openness to ideas is one thing; openness to people is another. Ehrenstorfer et al. (2015) echoed this in stating the need for effective leaders to have an “open mind about actively approaching people and accepting their diversity” (p. 192).

In conclusion, of three differentiating personal leadership competencies of successful change leaders – there was little difference between the organizational change and higher education literature. Both sets of information supported the notion that leaders should have presence, resilience, and foster personal learning. The next section looks at the competency comparisons in the literature for leading others.

Higher Education Leading Others (Social) Competencies. Leading change in a collaborative climate is highly dependent upon interpersonal leader capabilities. The higher education literature confirms this and the competency clusters shared previously as a result of the organizational change findings across industry, yet it does not elaborate as much upon these concepts comparatively speaking as it did in the personal characteristics. Skill sets were identified for instance, but definitions and descriptors weren’t always shared. It is anticipated that how leaders embody these characteristics will surface much more strongly in the strategies utilized by leaders during change in this industry. Findings were grouped into foundational competencies, comprising communication/influence skills and engagement/collaboration skills to motivate/mobilize others as well as competency clusters that appeared to differentiate change leaders from others all things being equal on the foundation skill sets. These differentiating skill sets included creating a safe space/supporting emotional engagement, fostering sensemaking and spurring collective learning.

Communication/Influence. Several studies highlighted the importance of communication as a higher education change leader competency, yet little was shared in terms of

exactly what this means. For instance, study participants would simply say good communication skills were needed (Ehrenstorfer et al., 2015; McRoy & Gibbs, 2009) or that an effective leader is one who can take a common message and develop a variety of approaches to communicate it to different stakeholders (Hempsall, 2014; Hill et al., 2001). Clearly a leader's communication ability is important regardless of industry; however, it was anticipated that the level of skill one would need to compel and engage a higher education audience would need to be higher. The intellectual background and critical nature of faculty and staff likely creates a stronger demand for one to be well-spoken, polished, and evidence-based. Being a good orator was specifically called out as a descriptor of an effective higher education leader (Hempsall, 2014) whereby one study participant described a successful change communicator as an individual who is a "savvy rhetorician... but not a disingenuous one" (p. 387). This highlights the interconnectivity between the personal capability of integrity and authenticity and one's communication approach. Of the 57 total behavioral items in Scott et al.'s (2008) scales for effective higher education leadership, the number one ranked capability was "being transparent and honest in dealings with others" and the number two ranking was "being true to one's personal values and ethics" (p. 74). Both of these were necessary in order to be perceived as credible and trustworthy – and both must be represented in a change message. In doing so, it brings to mind the need to balance the content of a change message as well as the style and tone of the delivery approach. In the author's experience after working in higher education for 15 years, delivery requires one to be particularly well prepared and mindful of not coming across as if one is talking down to highly educated individuals or utilizing a manipulative tactic, such as aggressively persuading others or creating an urgency for change that is not backed up by evidence nor a process that helps others come to this decision on their own. Members in this community would be more apt to see

through a sales-oriented approach to change and be turned off. A collegial climate requires one to embody the definition of leadership as a “mutual influence process” shared by Hallinger (2003, p. 346). Scott et al. (2008) thoroughly defined the scale of higher education leader influence capability with seven behavioral items, including: influencing people’s behavior and decisions in effective ways, understanding how the different groups that make up the university operate and influence different situations, working with very senior people within and beyond the university without being intimidated, motivating others to achieve positive outcomes, working constructively with people who are resistors or are over-enthusiastic, developing and using networks of colleagues to solve key workplace problems, and giving and receiving constructive feedback to/from work colleagues and others (p. 23). In all, this capacity to communicate and influence was consistent with organizational change literature findings. The next foundational competency for leading others, engagement/collaboration, is described below.

Engagement/Collaboration. Higher education is unique in the degree to which decisions are made collaboratively as compared to other industries. Shared governance underpins most, if not all, key directions taken in a College or University and grassroots or bottom-up change is frequently discussed as a valid strategy. Change simply doesn’t flow downward in this setting as it might in private sector. As a result, faculty/staff engagement is required (McRoy & Gibbs, 2009). Collaboration was described as the “cornerstone of effective group leadership processes” and considered a more effective approach (than top-down change) because “it empowers each individual, engenders trust, and capitalizes on the diverse talents of the group members” (Astin & Astin, 2000, p. 11). Additionally, Bryman (2007) reinforced the need for a leader to foster a collegial, positive work environment and McRoy and Gibbs (2009) reminded leaders that to be effective, one needs to “cultivate relationships” (p. 700). This characteristic seems to fit well

with the need to foster a collegial work setting. The last foundational competency for leading others, motivation, is shared next.

Motivation. Communication and engagement help to ultimately motivate and mobilize others. The ability to motivate was only found to be an important characteristic in one leadership competency study in higher education (Ehrenstorfer et al., 2015). It was also found however, in a study of 15 government and university executives in the Philippines on leadership development needs to create a research culture (Calma, 2015). The findings represented a pretty traditional view of change management, including a desire for learning how to create a clear sense of direction for others to follow, resulting in the ability to set achievable goals, engage staff, motivate them, lead them, and manage their work. This may be an area that is less important in higher education based upon the two studies explicitly highlighting it as compared relatively speaking to the four studies in the organizational change literature (Appendix A). Perhaps if the appropriate communication and engagement transpires in this setting, then motivation naturally follows and there isn't a leader skill needed to fill any gap. Further research would be needed to explore this. The next section depicts the three differentiating competencies highlighted in the organizational change literature and compares the findings within the higher education arena. These three competency clusters were: fostering emotional engagement/creating a safe space, providing sensemaking support, and facilitating collective learning.

Emotional Engagement/Creating a Safe Space. As much as effective skills are needed to communicate and engage, creating an environment in which one feels a part of the conversation and able to express one's views candidly is just as needed in higher education. Hemsall (2014) found the need for leaders to "manage perceptions with respect" (p. 387) and Astin and Astin (2000) highlighted the need for a leader to encourage "disagreement with

respect” (p. 13). They emphasized that “disagreement (controversy, conflict, confrontation) can often lead to creative new solutions to problems, particularly if it occurs in an atmosphere of respect” (Astin & Astin, 2000, p. 13). Although this speaks closely to the ability of a leader to see the positive aspects of resistance (Piderit, 2000), the point here is that it is the leader’s responsibility to create the space where individuals can feel comfortable to express their own values and beliefs. Also included is the necessary ability of a leader to empathize or see and appreciate other points of views. Scott et al.’s (2008) study found that empathy was a necessary higher education leader capability defined with the following scale items: empathizing and working productively with students from a wide range of backgrounds, listening to different points of view before coming to a decision, empathizing and working productively with staff and other key players from a wide range of backgrounds, developing and contributing positively to team-based programs, and being transparent and honest in dealings with others (p. 23). “Empathizing and working productively with staff and other key players from a wide range of backgrounds” was ranked number four out all of 57 leader behaviors from their 513 Australian higher education leader survey respondents. These item rankings were also confirmed at workshops with over 600 participants with individuals from other countries when participants were asked to “identify the distinguishing characteristics of the best academic leader they had encountered” (p. 74). The top twelve rankings were found to be consistent with other studies as well as the conversations held in the UK Foundation for Leadership in Higher Education in 2006. When all twelve rankings were considered together, the author highlighted that “taken as a whole, the results (in Table 2) give a powerful message – they indicate that key aspects of emotional intelligence (both personal and interpersonal) are perceived by these respondents to be critical to effective performance across all (leader) roles” (p. 73):

Table 2

Top Twelve Ranking Leadership Capabilities

Capability	Competency Organizational Framework	
	<i>Scott et al. (2008)</i>	<i>This Author</i>
1. Being transparent and honest in dealings with others	Interpersonal	Leading Self & Leading Others (Honesty, Communication)
2. Being true to one's personal values and ethics	Personal	Leading Self (Integrity)
3. Remaining calm under pressure or when things take an unexpected turn	Personal	Leading Self (Presence)
4. Empathizing and working productively with staff and other key players from a wide range of backgrounds	Interpersonal	Leading Others (Emotional Engagement)
5. Understanding personal strengths and limitations	Personal	Leading Self (Self-Awareness)
6. Being able to organize work and manage time effectively	Skills and knowledge as part of role specific and generic capabilities	Leading Results (Project Management)
7. Energy and passion for learning and training	Personal	Antecedent (Commitment)
8. Identifying from a mass of information the core issue or opportunity in any situation	Cognitive	Leading Results (Critical Analysis)
9. Making sense of and learning from experience	Cognitive	Leading Self and Leading Others (Personal & Collective Learning)
10. Admitting to and learning from errors	Personal	Leading Self (Personal Learning and Authenticity)
11. Thinking creatively and laterally	Cognitive	Leading Results (Creativity)
12. Diagnosing the underlying causes of a problem and taking appropriate steps to address it	Cognitive	Leading Results

(Scott et al., 2008, p. 74)

In summary, this differentiating competency for leading others, fostering emotional engagement and creating a safe space, was equally mentioned in both sets of literature – organizational change at large as well as within higher education. The next differentiating characteristic of change leaders when guiding others entails helping them to understand and personalize the change, or supporting the sensemaking process.

Sensemaking Support. In a collaborative, shared decision-making environment, it seems particularly crucial that leaders can facilitate experiences to help others interpret the need for, and implications of, change. Four authors cite this as a differentiating higher education change leader characteristic as well, but little elaboration is shared about how one goes about it. It is anticipated that the strategies successful change leaders have utilized will help to expound upon this topic. Kezar and Eckel (2002a) described, as a result of the case study research on transformational leadership with the American Council on Education (ACE), that leaders who were successful had a collaborative leadership approach with sensemaking. Hill et al. (2001), in describing the same ACE study, stated that effective leaders helped people to think differently through “new patterns of interactions and conversations within and among key stakeholders” (p. 18). This is consistent with McRoy and Gibb’s (2009) finding that a collaborative knowledge creation process was needed by higher education leaders. Additionally, Scott et al. (2008) found the need for leaders themselves to “make sense of and learn from experience” (p. 74). Although the collective aspect of sensemaking was not a part of their findings, it is possible that once leaders find their own mental map for understanding change, they may support this process for others. In working with others, all of this speaks to the need of leaders to not directly state what they want others to know and think, but rather to create experiences that help them to come to conclusions on their own – and in the spirit of collaboration, to shape the outcomes of change

together when the change direction allows. One aspect of this that struck me as most impactful is the connection of this with leader mindset and approach toward change (described earlier in the leading self competencies). A leader must be open and flexible in how change proceeds in order to effectively support others in making sense of change and then later use their input as part of a final solution. Holding too tightly to preconceived notions about how the change should transpire will lead to sure failure. The last differentiating competency for leading others, enabling a collective learning process, is closely aligned with sensemaking and described below.

Collective Learning. In a summary of the American Council on Education's study of 23 institutional leaders guiding transformation change, the researchers state "in the final analysis, change is about combining learning with action" (Hill et al., 2001, p. 19). This provides support for the concept of action learning and reinforces the value of it despite the small reference to it in the leadership competency literature. Only one additional author explicitly described the need for a higher education leader to create an environment that sparks ongoing learning. Astin and Astin (2000) shared that "the most effective group leadership effort is the one that can serve as a collaborative learning environment for its members (where) members come to see the group as a place (not only) where they can learn about each other, themselves, and the leadership effort but also acquire the shared knowledge, interpersonal competencies, and technical skills that the group will require to function effectively" (p. 12). Fostering collective learning may be correlated with the leader's personal learning competency – if s/he is actively seeking to learn from experience (Ehrenstorfer et al., 2015; Scott et al., 2008), it is possible that s/he is more likely to foster an environment that supports others in doing so. A more transactional approach to learning was conveyed in Scott et al. (2008) as they described the need for leaders to "be able to help staff learn how to deliver necessary changes effectively" (p. 26). Although an exhaustive

review of the literature wasn't sought about this topic – it was limited strictly to the context of leadership competency – it seems a bit ironic that little was found surrounding this topic, as higher education leaders work in a field that is created for the purpose of learning. This is an area for which further research would be helpful. One additional characteristic for change leaders in supporting others during the change was found pertaining to time protection. This is noted below.

Time-Protection. Unique to the literature in higher education, this concept was raised by Bryman and Lilley (2009) as they described the need for effective leaders to “protect staff” and help them to work autonomously, unhampered by bureaucracy and distracting dialogue and activity (p. 335). Despite being mentioned by only one higher education-focused author studying leadership in general, it seems pertinent that this could be a strong consideration for change leaders in this context. In the author's personal experience, this factor strongly arises in personal decisions of how and when to bring team members in to a change initiative. It can be assumed that this even more strongly surfaces for academic leaders who desire to support the autonomous working conditions that faculty require. Further research is needed to understand the implications of this and the degree to which it leads to a competency or simply strategy.

In summary, the same competencies for leading others during change found in the organizational change literature were also found in the higher education literature. Both highlighted foundational skill needs for communication, influence, collaboration/engagement, and motivation/mobilization of others. Furthermore, support was found to a lesser degree for two of the three differentiating competencies of fostering emotional engagement/creating a safe space and supporting sensemaking. Although no higher education reference was found to corroborate the third competency of facilitating collective learning, it was inferred in related comments of the

need for personal learning and sensemaking. The next section explores the higher education findings for leading results and the cognitive capabilities necessary for guiding change.

Higher Education Leading the Organization (Cognitive/Tactical) Competencies. Of the three competency clusters, this grouping had the least amount of higher education findings to support it. This might be related to how the cluster was comprised. One focal area pertains to leader cognition; it may be assumed that highly educated, research-oriented professionals already contain the foundational aspects of critical analysis, decision making, and creativity. The other focal area pertains to tactical competencies associated with achieving change strategy. It may be that the skill and knowledge associated with implementation will come out more clearly in the review of given successful change strategy in higher education. In addition to the foundational set of competencies, which also included change process knowledge, this category also included differentiating characteristics of successful leaders from the organizational change literature featuring networking/coalition building, project management, and being a culture architect/resource advocate. This section begins with a comparison of the competencies found in higher education literature for those noted in the foundational areas discovered in the organization change literature, including critical analysis and entrepreneurship.

Critical Analysis/Strategic Thinking. Strategic thinking was cited as a needed leader competency – both in terms of guiding change as well as for general effectiveness (Ehrenstorfer et al., 2015; Scott et al., 2008). This is an outcome, though, of first coming to an understanding of the root cause of a problem and sensing new opportunities. Scott et al. (2008) described this “process of reading the signs and situation” as one in which the leader would benefit from possessing a “set of ‘diagnostic maps’” (p. 24). Scott (1999) further indicated that for managers to develop these maps, they first needed to have had previous, similar experiences and to have

reflected upon this experience in terms of what worked and what didn't, mirroring Schön's reflection-in-action concept (1983). It was anticipated that those leaders in their role for a considerable period of time would be more likely to succeed in creating the necessary diagnostic maps (Scott et al., 2008). Diagnosis was found to be one of three needed cognitive capabilities for effective higher education leaders – along with strategy and flexibility – and was defined by the scale items of: diagnosing the underlying causes of a problem and taking appropriate action to address it, recognizing how seemingly unconnected activities are linked, recognizing patterns in a complex situation, and identifying from a mass of information the core issue or opportunity in any situation (p. 24). Once a leader has made these diagnostic connections, devising a strategy incorporated seven behavioral scale items according to Scott et al. (2008): seeing and then acting on an opportunity for a new direction; tracing out and assessing the likely consequences of alternative courses of action; using previous experience to figure out what's going on when a current situation takes an unexpected turn; thinking creatively and laterally; having a clear, justified and achievable direction in the leader's area of responsibility; seeing the best way to respond to a perplexing situation; and setting and justifying priorities for my daily work (p. 24). It is interesting to consider how a leader might foster collective strategic thinking with these items in mind, as the distributed leadership model of higher education might warrant change decisions being made collectively rather than individually. Hill et al. (2001) referred to this a bit when they described that one of the strategies successful higher education transformational change leaders utilized was to develop decision making processes within existing and newly created groups on campus. This speaks to the need for strong organizational knowledge as well as a commitment to shared decision making. The final cognitive attribute described by Scott et al. (2008) relates to an antecedent, the leader's approach to change, and to a personal

competency, flexibility and responsiveness. No matter how strong the diagnosis and strategy – the leader must be adaptable to the sequence of events during change and to the input from others. The scale items for this measure from Scott et al. (2008) included: adjusting a plan of action in response to problems that are identified during its implementation, making sense of and learning from experience, and knowing that there is never a fixed set of steps for solving workplace problems (p. 24). In a comparison of the organizational change leadership competency literature, this foundational competency of critical analysis and strategic thinking was equally addressed yet nuanced somewhat differently. Organizational change broadly spoke to critical analysis (Wren & Dulewicz, 2005) and action based upon it with creativity (Yukl, 2012), and experimentation and risk taking (Caldwell, 2003). In the higher education leadership competencies, a stronger definition was given to what it meant to diagnose opportunities for change (Ruben 2006; Scott et al., 2008), strategically think about it (Ehrenstorfer et al., 2015; Scott et al., 2008), make a decision (Ehrenstorfer et al., 2015, Hill et al., 2001; Scott et al., 2008), then maintain a stance of flexibility and responsiveness once a decision was made and begun to move forward (Scott et al., 2008). To pick up a bit more on the concept of risk-taking and experimentation, below is the literature found on this foundational concept of entrepreneurship from the higher education literature.

Entrepreneurism. Mentioned only once in the higher education findings as it relates to change leadership, entrepreneurship is a notion that may gain increased traction as the structure of a traditional institution of higher learning becomes managed less like a public entity and more as a hybrid organization – one not distinctly public nor private – due to its continued changing funding model (Marshall, 2007; Slowey, 1995). Possessing an entrepreneurial spirit was cited as “ever more important” in what was felt to be the more managerially-focused higher education

setting of today (Ehrenstorfer et al., 2015). This seems to be a trait that many academic leaders might naturally possess as it is inherent in leading one's own business – what's described as autonomously leading teaching, scholarship, and service in one's field – and may be an area for which more research would be helpful. A remaining foundational competency category from the organizational change literature was knowledge of the change process.

Change Process Knowledge. Similarities were found in the higher education literature for this requirement, including knowledge overall about change theory, tools, and process (Hill et al., 2001), and the need for having a clear vision and strategy (Astin & Astin, 2000; Basham, 2012; Ruben, 2006). Unlike organizational change findings, stakeholder analysis (Ruben, 2006) and the concept of a change leader utilizing principle-based leadership or leading with principle was addressed (Ehrenstorfer et al., 2015; Hill et al., 2001). Aspects found in the organizational change literature, but not within this industry, were the need to stay focused upon the big picture, to utilize realistic planning, and to manage resistance. These aspects may be also necessary in higher education; however, they weren't explicitly mentioned in the literature. The first of the three differentiating competencies for leading results of successful leaders in terms of the higher education literature is described below, networking and coalition building.

Networking/Coalition Building. Although this was a concept found in the organizational change leadership literature at large – no specific reference to this term was found in the higher education competency studies found. It does require a strong understanding of how the institution operates, though, and this was one area that was found to be important for effective higher education leaders in general. Scott et al. (2008) described it with the following six scale measures: understanding the role of risk management and litigation in the leader's work, understanding how universities operate, understanding industrial relations issues and

processes and how they apply to higher education, being able to help staff learn how to deliver necessary changes effectively, an ability to chair meeting effectively, and having sound administrative and resource management skills (p. 26). Being able to apply this knowledge of how the institution works to proactively build partnerships seems to be an aspect important in distributed leadership settings though more research is needed in this competency area. Other related competencies, particularly when it comes to navigating relationships and power bases, are negotiation (Ruben, 2006; Scott et al., 2008) and conflict resolution (Astin & Astin, 2000; Ehrenstorfer et al., 2015). These were both addressed in the higher education and organizational change literature in equal measure – identified, but not elaborated upon. The second of three differentiating competencies, project management, is described below.

Project Management. Only one author found project management to be an important competency for change leaders in higher education (Ehrenstorfer et al., 2015) and it was grouped with other functional knowledge areas and skill sets, including organizational development, marketing, and finance knowledge as well as time management. A leader's ability to self-organize was one of the role competency clusters found by Scott et al. (2008) as they referenced general higher education leader effectiveness including the ability to “manage one's work and time effectively” (p. 26). This feels like a fruitful area for future research, as many leaders in this author's higher education experience express development needs associated not with planning change, but rather with executing it. Implementation is only as effective as the commitment to take action and monitor progress and project management may be one particular approach to make this happen. The third differentiating competency for leading others is next, being an architect of culture and an advocate for resourcing.

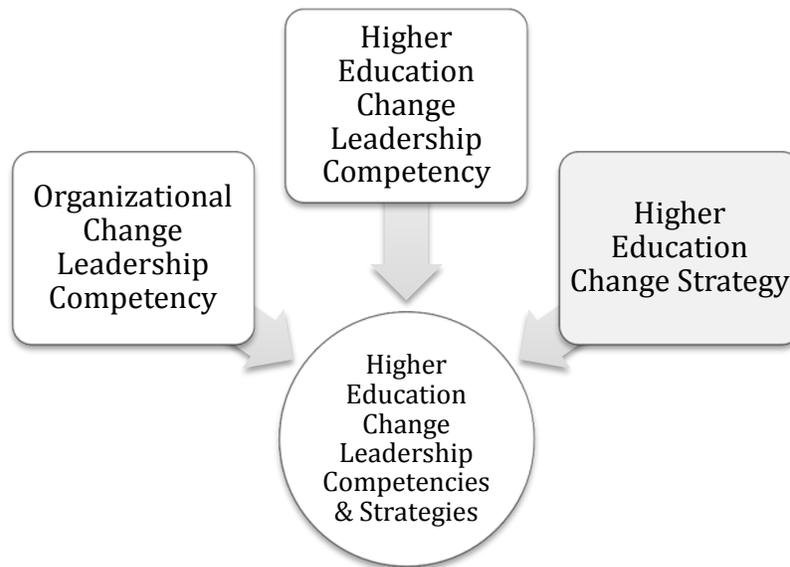
Culture Architect/Resource Advocate. Several authors in the higher education literature described a need for a leader to “inculcate values” (Bryman & Lilley, 2009), to lead through values/principles (Ehrenstorfer et al., 2015; Hill et al., 2001) and to ensure “shared purpose with vision and values for clear, consistent direction” (Astin & Astin, 2000; Basham, 2012). These all form a foundation for crafting culture and give rise to the need for a leader competency in creating and sustaining this focus. Specific skill sets for doing this, however, were not described in the higher education literature. Only one aspect of systems thinking and taking a long-term perspective was offered (Hill et al., 2001). In the general change leadership literature, having a systems perspective was included in this cluster, as it would be expected that a leader would need an appreciation of how various change levers work together in an organization when devising an appropriate strategy. This concept, however, was not raised explicitly in the higher education literature. Also included in this cluster is the need for a leader to have skill in securing resources and embodying the role of an external advocate or representative (Bryman, 2007; Ehrenstorfer et al., 2015). In a distributed leadership model, it seems particularly pertinent that one stands up for ideas, for others, and for the best utilization of public/others’ resources. Yet no explicit mention of internal resource advocacy was included in the higher education literature even though stewardship of external resource is a common term representing leaders in this industry.

These competencies which distinguish change leaders in a higher education context offer an important starting point to understanding how to successfully influence higher education change. However, it’s equally important to know when and how to use these competencies (Scott, 1999). Merely possessing these attributes won’t be enough. Heifetz (1994) describes technical and adaptive problems and responses. Building these skills can provide technical

proficiency, but the art is in applying them in the appropriate manner based upon the situation at hand. Furthermore, the change agent must be willing to adapt them and the workplace must offer appropriate incentive for this application. This speaks to a larger consideration of capacity versus competence. A change leader who has capacity for applying change leadership competence may or may not utilize it, or may not do so in an appropriate manner. To break down the topic of when and how to apply these competencies as shown in the sequence of this literature review in Figure 11, below is a review of strategies and tactics utilized by successful higher education change leaders.

Figure 11

Literature Review Elements for Higher Education Change Leadership



Higher Education Change Leadership Strategies

When considering how successful change transpires in higher education, there is a need to consider both the specific strategies utilized in this setting as well as the underlying knowledge and skill requirements to bring them to life. It is an interrelated concept – to look only at competencies and not how they are enacted through strategy would be incomplete. Likewise,

to look only at strategy and not at what skills and knowledge it takes for a leader to successfully implement it also seems like providing a partial view. Organizational factors could also be an element in this exploration, however, this study focused only upon these competencies and strategies as these are much more in the span of a change agent's control. Future research in this area would be a fruitful addition to round out these findings. A synthesis of strategies perceived to be helpful to higher education change leaders was developed, organized by change phase, as a result of a literature review of nine empirical articles addressing various strategic themes and four books highlighting personal accounts of change leaders dated 1996 to 2016. Due to the low quantity of studies found, and high degree of variation among them in terms of change type featured and leadership scope, additional perspectives were shared with the inclusion of six non-empirical articles and five non-empirical books. The majority of publications centered upon either a U. K. or U. S. higher education setting. Prior to sharing these strategies, a brief context is provided in terms of how change works in this industry and a description of change phases and change theories underlying them.

How the Change Process Works in Higher Education and Causes of Failure. What is unique about the change process in this industry? A key finding pertains to the cyclical nature of activity that occurs in change phases with a strong acknowledgement that these phases will not unfold in a linear fashion (Buller, 2015; Iveroth & Hallencreutz, 2016; Scott, 1999). Unlike the organizational change practitioner literature which purports, for example, a sequential 8-step change model (Kotter, 1996), the literature from this industry strongly acknowledges the inherent complexity involved in this process and cautions change agents against applying a set of prescribed techniques, such as creating an urgency for change, as these may be perceived to be manipulative in a highly collaborative workplace (Buller, 2015). Another difference pertains the

suggestion that responsiveness toward change may increase if it were prompted as a result of an external requirement (Buller, 2015). This may be in light of the strong base of tradition inherent in this industry and the debates that ensue about when change is truly warranted for institutions that have stood the test of time and weathered many a call for reform. This also pertains to the suggestion that change may be better received if shown to enable the institution to continue on its path and build upon success rather than have change be positioned as a complete departure from all it has already accomplished (Buller, 2015). The following reasons for higher education change failure all center upon the leader's approach during the change process itself:

- Ignoring the change process or making false assumptions about it (Fullan & Miles, 1992; Kezar 2014) and focusing instead only on the content of the change.
- Not identifying the time, money, and energy required for successful change in advance. The business case for senior leaders should include not just start-up funds but also the resources needed for ongoing maintenance (Lueddeke, 1999).
- Not conveying the reason for the proposed change or describing the substance or content of change clearly enough for all stakeholders to understand (Elmore, 1996 as cited in Kezar, 2011; Senge, 1990).
- Not discussing, deliberating or consulting with stakeholders, resulting in their lack of motivation/interest and displaying a lack of respect for staff or faculty competence (Newton, 2002). This lack of commitment may be a contributor to another reason for change failure – inability to devise a unifying vision and a process for personalizing it and the values it would depend upon (Newton, 2002). In one instance of academic change, a faculty member shared the irony of having, but not consulting, in-house

experts. Being an expert in your own land can create commitment concerns when not consulted.

- Not appreciating the degree of change that has occurred in the past or the number of simultaneous changes happening in the present and the impact this can have on change recipient perception. It can result in receiving conflicting messages and the sense that the change is just another “flavor of the month” (Newton, 2002).
- Utilizing a managerial, as compared a collegial, approach in one’s leadership style (Allen, 2003). A managerial approach was found to be more likely to create an insecure environment leading to demotivated, cautious staff and higher resistance. A collegial approach, however, resulted in a higher degree of openness and information sharing, leading to greater cognitive conflict, more positive interpersonal relationships, and decisions more likely to be made based upon consensus. As a result, these decisions from a collegial environment had a greater degree of widespread understanding and commitment (Allen, 2003). It is interesting to note that higher education environments with a lack of trust, distinct subunit cultures, and strong boundaries between them were found in Allen’s study (2003) to also be more likely to operate in a climate of insecurity.
- Neglecting to incorporate a needs assessment, an audit of change readiness, a contract outlining desired outcomes, and an evaluation plan (Torraco et al., 2005).
- Mandating a change implementation process and displaying short term thinking (Torraco et al., 2005).
- Displaying poor interpersonal skills including a failure to listen, arrogance, preoccupation with one’s own importance, and neglecting to adapt the change to the culture of higher

education in general and the institution in particular (Trachtenberg, Kauvar, & Bogue, 2013).

- Ignoring the context in which the change occurs (Kezar, 2014).
- Utilizing simplistic change models (Fullan and Miles, 1992; Kezar 2014). Rather than using a change model, Buller (2015) suggests using change maps or descriptions because they are non-linear and lend themselves to more customization and fluidity.

Change Models. One could choose between change models created and used in non-education sectors, or from models used in K-12 education, or higher education. In a new U. K. University, the Burke-Litwin (1992) Causal Model of Organizational Performance and Change model was selected for use – one not specific to education – because of its strong incorporation of the external environment as an element driving change (Torraco et al., 2005). In this country, the secondary education environment funding model had been completely changed and no longer relies upon the government, so it seemed appropriate to have such a strong focus on environmental factors, which Burke and Litwin (1992) believed to be the most important driver for change. Heavily dependent upon a systems approach, it is believed that a change in one driver will impact all other factors.

Fewer change models were found when it comes to a specific focus upon education or higher education. In K-12 education, for instance, Fullan (2016) features a simplistic change model offering three phases and depicts factors associated with each. Even fewer models were found addressing change in higher education specifically. Lueddeke (1999) concurs, stating that there are “few useful models to share a rationale for the types of change implementation strategies required in higher education” (p. 239). His “Adaptive-Generative Development Model” (1999) looks at both decisions needed throughout higher education change as well as the

change process itself using a “shared construction of meaning facilitated by an interactive team” (p. 248). For each of the six phases, including needs analysis, research and development, strategy formation and development, resource support, implementation and dissemination, and evaluation, he outlines thought-starter questions to help a change agent work with others in addressing key factors associated with introducing change and avoid making decisions in haste (p. 249).

Only one model was found to address transformational change in higher education; it came about as a result of the American Council on Education’s Project on Leadership and Institutional Transformation, a five and a half-year long longitudinal study. This model was created to depict the strategies utilized by six out of twenty-three participating institutions who successfully achieved transformational change by virtue of having met their measurable goals; experienced a change in values, underlying assumptions, behaviors, processes, products, and structures; provided evidence of the change within the institutional culture; and demonstrated sustainability or embeddedness of the change, such as creating new roles or divisions (Eckel & Kezar, 2003). Their “Mobile Model” represents the five key strategies they found distinguished successful participating institutions from non-successful participants and the supporting strategies for each that enabled their success, including 1) senior administration support, 2) collaborative leadership, 3) flexible vision, 4) visible action, and 5) staff development (p. 148).

These models depict how change strategy may be crafted in light of internal and external drivers of change (Burke & Litwin, 1999), phases of higher education change (Lueddeke, 1999), or with interconnected tactics to achieve transformational change in this industry (Eckel & Kezar, 2003). Coupled with an appreciation for some of the causes of change failure in higher education, these models could lay a foundation for a change agent to begin mapping a proactive

strategy. Any strategy used should be considered in light of how it fits within typical change phases and how it can best be applied based upon the unique situation for each institution and change initiative. Although some strategies may fit more than one phase, the way in which they are used may need to flex to suit the goals associated with where one is at in the change process. These phases help to lay out these goals.

Change Phases and Their Underlying Theories. Planned change has been said to move in three phases, according to change pioneer Kurt Lewin: “unfreezing the present level, moving to the next level, and freezing group life on the new level” (1947, p. 34 as cited in Lippitt et al., 1958, p. 129). Others have built upon this concept, such as Bridges’ focus upon the transitions individuals and groups experience throughout these phases within the process of endings, explorations, and new beginnings (1986). Lippitt et al. (1958) broadened Lewin’s three phases and scope to more prominently feature the importance of relationship building for the internal or external consultant/s leading the change and key organizational decision makers as well as to incorporate a stronger focus on diagnostic activity, highlighting a connection with foundational organizational development (OD) principles (not surprising as Lippitt is one of the field’s founding fathers). Bullock and Batten (1985) also highlight change phases from an organizational development perspective and appear to break out the first phase with a more distinct focus upon problem determination, with their four stages: analysis, planning, action, integration. Finally, Burke (2014), too, described four organizational phases, including pre-launch, launch, post-launch, and sustaining change but with a deeper incorporation of the leader’s influence as well as ongoing change integration. Activities in the pre-launch phase include an assessment of the leader in terms of self-awareness and motive as well as of the external environment in order to establish if there is a need for change and if so, to provide for a clear vision and direction.

Activities in the launch phase include communication, engagement activities, and dealing with resistance. Activities in the post-launch phase include consistency and perseverance in repeating the change message as well as looking for ways to reinforce the change in the organization. Activities in the sustaining phase include openness to unanticipated consequences, seeking ways to build upon the momentum, choosing successors, and linking new changes to the change that has been adopted. The OD-focused approaches to change frequently emphasize relationship building (either from an external or internal consulting engagement perspective) and assessment. Another way of looking at change phases is to consider the model of innovation diffusion (Rogers, 1995). An innovation is defined as “an idea, practice, or object that is perceived as new by an individual or other unit of adoption” (Rogers, 1995, p. 12). He offers two key stages for the innovation in an organization: initiation and implementation. These are sequential, unlike the previously described models which highlighted non-linear movement among the phases. Rogers describes that the second stage cannot begin until the first has been completed, as the culmination of the first stage results in the decision to adopt the innovation. Within the initiation stage are agenda setting and matching activities, where “all of the information gathering, conceptualization, and planning of an innovation, leading up to the decision to adopt” transpires (1995, p. 421). After stakeholders choose to adopt, the implementation stage is comprised of redefining/restructuring activities to customize an innovation to fit within the organizational culture, clarifying activities to spur widespread use through social construction vehicles such as communication and meaning making, and routinizing activities whereby the innovation loses its identity and is absorbed and integrated into the organization.

When it comes to higher education change, the process and these phases aren't all that different in scope from what has been found across industry. Despite Nordvall's belief over 30

years ago that, “there is clearly no comprehensive, verified theory of how change takes place in higher education”, he summarized activities for higher education planned change as occurring within three major steps addressing, “what do you want to do, how are you going to do it, and how will you measure it if you did it” (1982, p. 26). His ten steps in the change process in higher education highlight assessment and planning but lack inclusion of activity centering around stakeholder communication and engagement. They include 1) stating clearly the goals and objectives of the institution, 2) gathering and analyzing data about how these are currently being met, 3) describing the programs now in use to meet the goals and objectives, 4) discovering the problems and opportunities that face the institution, 5) outlining the resources currently available to the institution, 6) revising the goals and objectives, 7) determining the resources that will be needed to meet the new goals and objectives and how to obtain these resources, 8) devising specific plans to reach the new goals and objectives, 9) implementing these plans, and 10) evaluating the success of these plans (p. 26). The Leadership Foundation for Higher Education in the United Kingdom runs a variety of leadership development programs including one dedicated to organizational transformation as well as sponsors an annual award for higher education leadership development called, THE (Times Higher Education) Awards. Marshall (2007) edited a compilation of personal change accounts experienced by 25 Fellows in this U. K. program. Each participant was selected by competitive process and given a monetary award in 2005 to support a nine-month institutional change project. The Fellows in this program experienced development and coaching around a three-phase change process, including planning, actioning, and monitoring and evaluation, with 13 activities occurring within them (2007, p. 6). Within the planning phase, seven change leadership activities are highlighted including 1) identify what needs to change, 2) determine leadership and the ability to state the goal clearly, 3) deliver a

clear vision, 4) identify significant steps in the change process, 5) avoid undue haste, 6) determine how to align people behind the change – identify change agents and resisters, and 7) inspire confidence by forestalling problems (planning for contingencies) and determining the means of monitoring and regular communication. Four additional activities are included in the auctioning phase, including 8) provide leadership and build the team – develop trust, show compassion and understanding to casualties, be(ing) as open and honest as possible, 9) communicate throughout – explain, listen, ensure understanding, question, guide, acknowledge feelings and seek feedback, 10) involve people – seek and develop commitment, participation, motivation and ownership, and 11) seek and celebrate early successes. Finally, two activities remain within the monitoring and evaluation phase 12) learn from experience, and 13) plan for continuous improvement. These steps provide a distinctively collaborative flair with balanced caution at the outset in terms of recommending change leaders avoid haste. Kezar (2007) found concurrence for using change phases as a result of interviewing 27 U. S. college presidents. “College presidents acknowledged the importance of understanding the institutional(ization) phase before moving forward with any activities or plans... and described using distinctive strategies within the different phases of the (change) initiative” (Kezar, 2007, p. 422). Three broad phases often referenced in the higher education literature include: mobilization, implementation, and institutionalization (Curry 1991 and Miles & Louis, 1986 as cited in Curry, 1992, p. 8). These are quite similar to the terms used in Fullan (2016) for K-12 education change: initiation, implementation, and institutionalization. Activities within these phases interrelate in both change contexts, with Fullan describing it as “events at one phase can feed back to alter decisions made previous phases” (2016, p. 57). In mobilization, the system is prepared for change (inherently assuming due diligence was given to determining the necessity for change);

in implementation, the change is introduced; in institutionalization, the system is stabilized in its changed state. Though the terms may differ, there appears to be similarity in the kinds of activity that is done as a higher education change agent prepares for change, launches it, and seeks to embed it ultimately in the fabric of the institution. Curry (1992) placed strong emphasis on the institutionalization aspects of innovation and, unlike prior authors who identify substantial activity needs for planning and implementation, doesn't call out specific strategies for any of the phases per se, but rather reinforced what it meant when institutionalization (or termination of a change) occurred. As each process method highlights, the change agent's activity and approach within each of these phases may differ slightly depending upon context, but regardless, the phases provide an organizational framework around which to loosely plan around. In the examples provided below from others, these activities and the labels for the three phases of change seem to merge. Below are examples for other terms used to describe these three change phases (Curry, 1992 as cited in Kezar, 2007, p. 415-416):

1. "Critical mass building, quality building, (and) sustain(ing) institutionalization"
2. "Beginning work, emerging work, (and) systemic work"
3. "Exploring, transitioning, (and) transforming"
4. "Capacity building, widespread use and support, (and) systemic integration"

Consistent with the strong emphasis in the earlier section about not following these phases in a linear manner, Blaschke, Frost, and Hattke (2014) found that not only is there movement among phases but also within them. They found micro patterns of activity occurring within each cycle of change in higher education, including agenda setting, devising, debriefing, and reflecting. This could open the door to exploring more effective ways of developing change

competencies, for if these micro patterns consistently reflect what successful higher education change leaders do, they may offer a great framework for looking at cyclical skill building.

Any planned change approach, no matter how loosely organized around non-linear phases, implies a rational approach to leading change. Kezar (2014) describes six “schools of thought and constellation of related theories that have guided the study of change” and indicates that not only can they be used to drive strategy, but all six theories can play a role in successful change – no one theory is necessarily better than another. All should be considered, with the appropriate approach selected upon careful assessment of the situation and applied pending the unique context one is operating within and the phase of change one is in (pp. 22-23). Some theories are more descriptive than prescriptive, however, and so are helpful for analysis but less so in terms of describing specific strategies or change agent activities. Others are more prescriptive in nature, and can offer more explicit suggestions for strategy. The six theories include:

- Scientific management. Leaders are key in this theory, and it is their intentional planning around internal organizational features that brings about change. A variety of prescriptive strategies are available for leaders in this approach, including those that address strategic planning, incentives/rewards, restructuring, professional development, communication, and evaluation.
- Evolutionary. The external environment and interaction among situational variables and systems are key in this theory, and change is driven less by people than by an environment which requires it order for survival. Change is generally unplanned and responsive to imposed external demands, such as being on the receiving end of a

merger/acquisition, although proactive scans of the external environment can be helpful to initiate organizational adaptation.

- Social cognition. Often attributed as a way to consider resistance to change in a new light, this school of thought considers how individuals experience, interpret, and personalize change as a way to help them to make sense of change it. Resistance may occur simply because one does not know enough about it (Piderit, 2000). Strategies and concepts such as organizational learning (Senge, 1990), double loop learning (Argyris, 1976), “theories of action” vs. “theories-in-use” (Argyris & Schön, 1974), and sensemaking (Weick, 1995) are offered to support individual and group engagement, personalization, and ultimately build commitment toward a change that members help shape as a result of their individual and collective sensemaking efforts.
- Cultural. Change is a long-term endeavor and involves modifying deeply rooted values, beliefs, myths, and rituals for second order change. Schein (2010) described three levels of culture, comprising artifacts, such as observed behavior and visible structure; espoused beliefs and values, such as goals and ideologies; and basic underlying assumptions, including “unconscious, taken-for-granted beliefs and values that determine behavior, perception, thought, and feeling” (p. 24). Efforts must work within the context of the organizational culture in order to succeed (Kezar & Eckel, 2002a). One approach for looking at higher education culture is the concept of the “four cultures of the academy” (Bergquist, 1992). He describes attributes of the collegial, managerial, developmental, and negotiating types of institutional cultures. Knowing this can inform the best strategy for attempting to effect change to ensure it fits within the established structure and processes and with individual expectations held within the institution.

- Political. Change led by those with power is a belief held by individuals utilizing this approach, therefore, understanding and aligning with a powerful coalition is encompassed in change leadership strategies. Negotiation, networking, coalition building, agenda setting and alignment of change are all tactics that may be used by individuals to influence power bases.
- Institutional. In longstanding institutions like higher education, change may happen without planning, or through drift, as societal needs require. Isomorphism, or mimicking others to lessen points of distinction, is a commonly held belief of individuals in within this approach, as is focusing upon managerialism and institutional entrepreneurship.

In considering one's approach toward change, these different theories help to shed light on how we view our role as change agents or leaders, how we expect individuals or the organization to respond, and what change agents might do in given phases of change. Kezar (2014) highlights this connection when she states that there is a "need to utilize different strategies when a (change) initiative is new to an organization (rather) than when it has already begun to be incorporated or has been institutionalization" (p. 168). This adaptation speaks to how certain theories or schools of thought on change may be more or less relevant pending the phase of change one is in. If in the mobilization phase, leaders might benefit from "drawing upon social cognition and cultural theories where they seek to support meaning making and fit within the organizational context" (p. 168). If in the implementation phase of change, leaders might benefit from utilizing "scientific management and political theories as they incentivize participation and plan to overcome obstacles" (p. 168-169). If in the institutionalization phase, leaders might benefit from social cognition and cultural theories as individuals "modify norms and structures to

integrate the change” (p. 169). In this way, all theories have a place in the change process – some may just be more relevant than others pending the timing of the change initiative.

Others have also used theory to underpin their exploration of change in higher education. Lueddeke (1999) featured constructivism as a lens to understand to the change process. Alternatively, politics was an underlying theory found to influence a top management team’s perception of their desired future image in another study (Gioia & Thomas, 1996). Rutherford, Fleming, and Mathias (1985) described three change models – all of which utilized a political frame of reference. Additionally, Berg and Ostergren (1977, as cited in Curry, 1992) also identified power (or the political frame of reference) as the most important of all theoretical frameworks. It is interesting to note that there has been a swing away from utilizing a rational approach toward change – which was the predominate focus in the 1990’s – with Fullan and Miles (1992) recommending a complete avoidance of rational planning models for complex educational change and emphasizing instead what they call systemic change, or developing interrelated components of the system simultaneously to address the deeper issues of culture. Kezar and Eckel (2002b) did, however, use a planned change frame of reference in their study because it suggests there are sets of strategies that can be used to facilitate change. Their study emphasizes a lack of linearity in moving through these strategies, though, as they outlined what successful transformational change leaders in higher education did to achieve it.

In conclusion, change has been found to move within three phases in higher education and although terms may vary, the labels for these phases selected for this study are: mobilization, implementation, and institutionalization (Curry 1991 and Miles & Louis, 1986 as cited in Curry, 1992, p. 8). These phases will be guided by the work of change agents. Six theoretical frameworks were shared – all as viable schools of thoughts that may underpin change strategies

within each of the phases. Some theories may be more pertinent based upon the phase and based upon the culture of institution (Bergquist, 1992), but all may have a place at one point or another during the life of a change initiative. These phases and theories offer a foundation for considering specific strategies and competencies utilized by change agents during each of the three change phases.

Higher Education Change Agent Strategies & Competencies Utilized by Phase

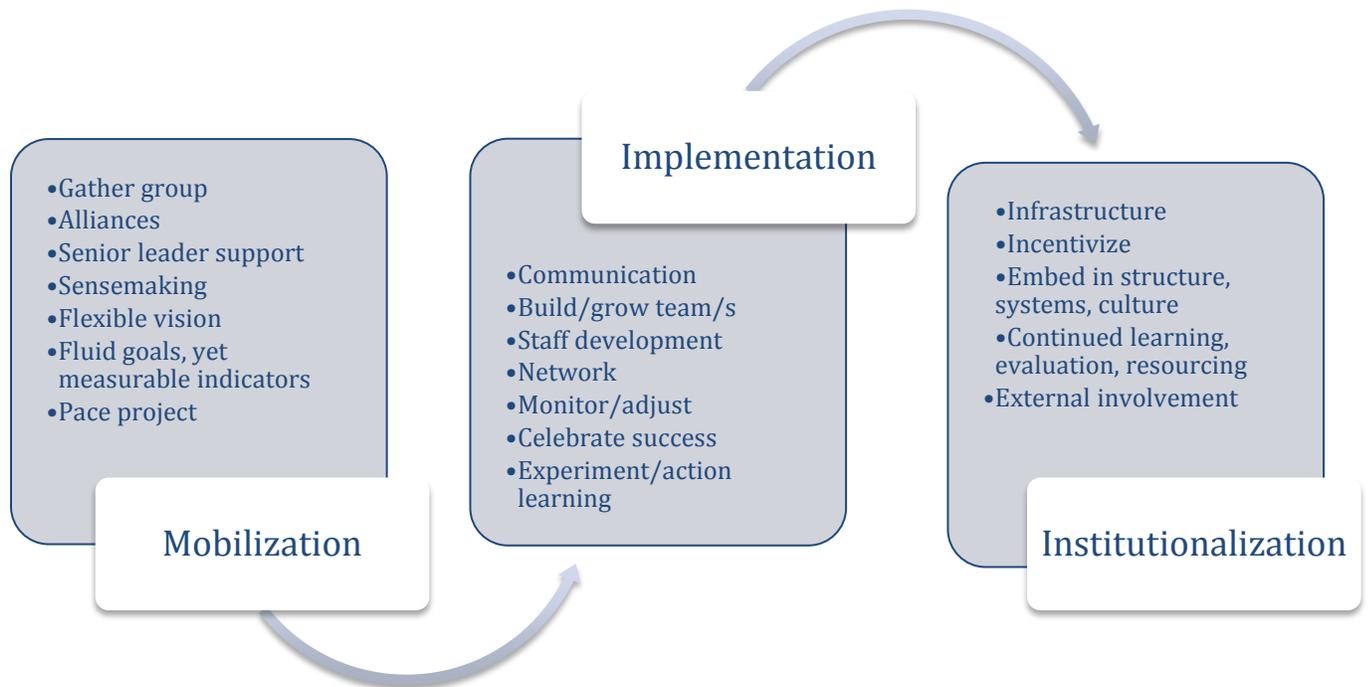
Although there is no one universal best way to lead change (Hughes, 2016), outlining strategies that other higher education change leaders have found successful may provide examples for others to customize based upon the type of change, context, and situation they face. These also provide a glimpse into what might be more predominately done in this industry as opposed to others. It's important to recall that these phases and strategies aren't meant to be used in a linear or sequential manner, but rather should be customized and fluidly applied as needs require. In Kezar and Eckel's institutional transformation study (2002b), they found that higher education leaders used strategies simultaneously or in clusters as opposed to sequentially. The following strategies and competencies were directly shared by higher education change leaders from their personal accounts focused upon both first- and second-order change and organized according to Curry's three phase change model (1991, as cited in Curry, 1992, p. 8). The number of strategies and tactics in the first two phases is higher than in the last, however, the depth of discussion generally decreases progressively as one moves through each phase. In other words, much more is written about mobilization, than implementation, and certainly much more than institutionalization. The number of tactics is greatest in implementation, although it should be acknowledged that they lack a robust description. In this study, it will be interesting to see if findings suggest that successful change agents adopt a common view toward strategy selection

and application, or an underlying theoretical philosophy, that shapes their approach. These theoretical preferences may be inherent in the description of the strategy utilized or represent an underlying concept associated with how a competency was applied. Should these strategies incorporate all six theoretical concepts, it would offer support for Kezar belief that all are viable options for how one should approach change in higher education (2014). It is this author's contention, however, that particular theories may be more prevalent in one phase than another.

In the section that follows, a review of the change strategies utilized by higher education change agents in each phase of the change initiative is provided as well as a discussion about how these strategies may relate to the need for certain competencies to be applied in order to enact them. Figure 12 summarizes the key strategic elements by phase. Strategies and competencies follow as described for the mobilization, implementation, and institutionalization phases.

Figure 12

A Synthesis of Higher Education Change Leadership Strategy Elements by Change Phase



Higher Education Change Strategies During the Mobilization Phase. A myriad of strategies described as occurring in the initial change phase were identified as helpful for framing problems, determining if a solution is required, and if so identifying how best to address it. Kezar (2014) described two main activities happening in this phase: “galvanizing members toward action through raising awareness” and “disseminating information and ensuring initial structural changes to the organization” (p. 167). In simply looking at the volume of information shared on strategy, this is the phase that seems to consistently have a lot written about it. Yet, Scott (1999) cautioned leaders to strike a balance in this area – avoiding procrastination as much as haste. He

states, “It cannot be overemphasized that both too much and too little planning for action is counterproductive” (p. 130). Below are strategies described for this phase:

- Gather group/s. These may be “slice” groups comprised of individuals in various roles across the organization (Marshall, 2007; Slowey, 1995), ideally including an external member (Marshall, 2007). The group is brought together to explore a compelling cause, problem, or opportunity. In doing so, the change leader may ask if a change is warranted, and if so request that they devise a rationale for it. This process responds to one of the causes for change failure cited by Scott (1999) – neglecting to consult with all the people necessary for the change success early enough in the process. He suggests that the convener clarify why individuals were consulted or invited to participate in shaping change. Though it may seem apparent that individuals might be selected based upon their unique knowledge area, role, or perhaps due to the perception that they may be influential opinion leaders, the discussion of who to invite in this process was not included in any of the higher education change literature. One tactic described was to have the change agent advocate for their position and invite others to confront or dispute it. Publicizing position papers was a strategy conducted in one UK higher education institution, not with the intent of seeking alternate perspectives, but more so to describe senior leader perspectives about newly defined organizational values and to invite a dialogue about others’ perspectives. This concept seems uniquely situated in the higher education context. Collaboration, as a central part of the change process, was also one of five core strategies utilized by institutions successfully achieving transformation (Kezar & Eckel, 2002a), however, the way it which it was enacted differed by institutional culture. In a managerial culture, individuals were invited to participate and comment, representational planning

team were formed, and structured dialogues occurred. In this setting, 'draft' had to be written on everything sent out from a central source due to the lack of trust built between administration and the academic core. In a collegial setting, cross unit interest groups were formed and fear of losing institutional competitive standing was used as a motivator for individuals to participate. The work of this group may result in a business case for change. Buller (2015) calls this a needs case and suggests that any argument for change should follow a format like a policy debate because resistance can be a result of faculty responding as trained critical thinkers/debaters.

- Senior Leadership Support/Alliances. Beyond the concept shared that senior leader support is needed, this strategy addresses the ongoing networking needed with senior level supporters as well as establishing alliances/coalitions (Marshall, 2007). Some tactics shared include building political support with informal meetings with influencers (Marshall, 2007), plugging in to the right networks (Scott, 1999), creating learning networks (Marshall, 2007), and canvassing the notion of the change among colleagues prior to introducing it in a group setting (Slowey, 1995). In the latter case, the change leader felt confident when a majority of individuals, though not all, accepted the change initiative. In the group meeting, however, he felt it necessary to concede to review the change in a year's time to temper the response of those who weren't in favor of moving forward in order for them to be OK with a trial start. In another case, the change leader modified the organization's governance structure to support a newly created decision-making body. In still another situation, different networking groups were formed around the change topic, for example diversity groups. Lane (2015) indicates that more than a few key people are needed in terms of support to create influence, suggesting that the

leader should go beyond considering how to sway opinion leaders only and broaden the base of potential constituents. Specific political tactics recommended by Hargreaves (1995, as cited in Lueddeke, 1999, p. 18) include trading favors, influencing power brokers, lobbying for support, planting seeds of a proposal before presenting it in detail, and finding out how what you want meets the interests of others.

- Sensemaking. Creating an environment where individuals could learn, discuss, and become engaged with the change topic helps them to interpret meanings about it for themselves. This supports sensemaking, defined as the “reciprocal interaction of information seeking, meaning ascription, and action” (Gioia & Chittipeddi, 1991; Weick, 1979 as cited in Thomas, Clark & Gioia, 1993, p. 240) and as “the collective process of structuring meaningful sense out of uncertain and ambiguous organizational situations” (March, 1994 & Weick, 1995 as cited in Kezar & Eckel, 2002a, p. 314). In one situation, the change leader took individuals on a “field trip” to experience first-hand underrepresented high school students as s/he wanted to explore how to prepare to serve them when they got to college (Marshall, 2007). This is one example of prompting others’ thinking, or inspiring them to explore an issue, without directly bringing all the parameters of it to them. Another tactic includes gathering data, such as performing internal and/or external benchmarking and discussing the implications as a group (Slowey, 1999). One change leader found it useful to spotlight internal models of good practices in the beginning of the change initiative rather than featuring only external role models during this benchmarking (Slowey, 1999). Focusing upon student feedback as a mode for problem solving seemed to carry more weight in one institution than simply addressing how the change was tied to accreditation compliance (Marshall, 2007). This

may be an example of finding different ways to address what is important to others. In this case, if the change agent were to apply these strategies to Bolman and Deal's (2013) four organizational frames, students could be representative of the change agent using the "symbolic frame" perspective, whereas benchmarking could be representative of the "structural frame". Inquiry and dialogue – key attributes of sensemaking – were described as the most important activity in the change process in two accounts described in Marshall (2007) and Boyce (2003). Testing and validating inferences and evaluating the ideas and actions of others were additional tactics described for helping individuals come to new understandings about a change topic. The overall purpose in gathering individuals to help them create meaning illustrates a guiding principle shared about maintaining an openness to decision outcomes and sharing power in the resolution of common problems (Slowey, 1995). This participatory process was emphasized in Slowey (1995) as a cautionary tale in which "change agents need to avoid contributing to a sense of prescription and imposition from the top by being seen to offer solutions to problems and ways for staff at the coal face to deal constructively with new terms and conditions and diminishing resources" (p. 104). Social constructivists highlight the connection of sensemaking and resistance – the more individuals are engaged in making meaning, the less likely they will be to resist. One additional perspective to resistance shared came from a personal account where the leader learned "it's not necessarily conservatism that leads some people to wish to retain what is demonstrably outdated, it is that the meeting provides a platform for their voice" (Slowey, 1995, p. 44). This begs the question of how much individuals in the institution feel heard – and if they don't, the change initiative may offer an opportunity for this to take place. Of the five core strategies found utilized

by institutions achieving successful transformation, sensemaking arose as a superordinate strategy as it was found to be an element in four of those five strategies (Kezar & Eckel, 2002a). They found that “a central component of transformation that emerged across these cases is providing vehicles for people to alter their mental models leading to a different set of meaning and activities consistent with the new realities of the changing institution” (p. 303). This was found occurring at three levels in this study – at an individual level through staff development, at a group level through dialogues and symposiums, and at a campus wide level through retreats and town meetings.

- Flexible Vision. Of all the strategies described thus far, this and sensemaking were perhaps the most distinguishable as uniquely fitting a higher education setting. The literature highlighted that having a flexible vision (Lane, 2015; Slowey, 1995) enables others to see themselves in crafting a final direction. Scott concurred, stating that a vision shouldn't be set in concrete (1999). Langer (1982, as cited in Lane, 2015), in a famous lottery ticket study, found that people are more invested in what they create themselves. So, leaving room for individuals to create and help shape a direction only makes sense that it will lead to greater commitment. In one instance, a top management team in a higher education institution intentionally created a goal of ‘being in the top 10’. This was purposefully vague – as many knew that there were different lists of ‘10’ and criteria for achieving them. They purported greater success as result of this vague yet flexible vision, however, as individuals gravitated toward their personal interpretations. This strategy is an example of creating robust design, one of five core strategies utilized by successful institutions during transformation (Kezar & Eckel, 2002b). It was described as having “leaders develop a desirable and flexible picture of the future that is clear and

understandable... (and) the picture of the future and the means to get there are flexible and do not foreclose possible opportunities” (p. 441).

- Fluid Goals Yet Measurable Indicators. Consensus on aspirational, plausible, and fluid vision statements and goals was described as an important strategy at the start of a change. The vision should be unifying, but open enough that it recognizes the differences in schools and colleges represented within the institution (Marshall, 2007). Linking the change agenda to the wider organization’s agenda, to institutional review/accreditation, and/or to other agendas within the institution helps to increase credibility (Marshall, 2007; Torraco et al., 2005). For example, one successful change initiative was introduced as fitting with the University’s goal for a positive work environment (Marshall, 2007). Only one instance of creating a business case was described, whereby a strategy document was created and others were consulted for input on the rationale for change, tangible outputs sought, and an action plan was devised (Marshall, 2007). In a transformative change scenario with many external stakeholders, Lane described in one case the importance of first agreeing on goals and measures prior to the change launch (2015). Doing this differentiated their work from other collaboration efforts and was attributed to the group’s success. In another personal account from Lane (2015), the group’s first big lift came when members gathered all available data and condensed it into a readable report so that they could prioritize desired outcomes and publically share them. Having a written plan containing agreed upon measures was also described by Marshall (2007). In it, the data collection process and involvement of stakeholders should be mapped out. Using stakeholders to select measurable outcomes was also highlighted in Lane (2015). Scott (1999) echoed this also, indicating that everyone should use a shared

language and vision of success and that the assessment that is built in should include different outcome indicators for different stakeholders to align with their interests.

- Pacing. When possible, Marshall (2007) recommends providing participants with time to participate – referencing an incentive strategy of altering responsibilities in some way so that individuals can be dedicated to the initiative without competing demands. Additionally, when mapping out implementation timeframes, there should be some flex and slack within it in order to free individuals up to capitalize upon new opportunities (Marshall, 2007).
- Communication. Frequently sharing the change vision and adjusting it to the interests of different stakeholders is an oft-described strategy not unique to higher education. Scott (1999) suggests ensuring a change message speaks to what individuals care about – and highlights that change recipients typically care about four things: “is it feasible, relevant, desirable, and clear?” (p. 15). The vehicles for communication and the use of language, though, do differentiate this concept for this industry. One institution described having open meetings over a series of months to seek input on their change strategy and allow others to have a voice in it (Marshall, 2007). And, when it comes to the labels or words used, change leaders in higher education should be aware that they can create instant imposition (Buller, 2015; Torraco et al., 2005). One recommendation was to avoid using the word change (Buller, 2015) or organization development (Torraco et al., 2005). Another was to share that the strongest argument for the desirability of a change comes often when a beneficial impact to a student is made (Slowey, 1995). Finally, a third suggestion pertained to reframing change in order to view the change not as a “replacement, but as the most appropriate next step in evolution” (Buller, 2015, p. 31).

Three frameworks are available for assessing change perspectives, devising holistic solutions, and communicating them in an adaptive way. One is referenced in the higher education literature, one is utilized in the organizational change literature, and one is referenced in both. Bolman and Deal's (2013) four frames has been referenced in both literatures. It enables one to see more broadly how all four frames apply to the way organizations are structured so that as a change is explored, it might be viewed from all four perspectives. The four frames include:

- Structural – mirrors a rational approach to change. This frame views the organizational processes as ones that be controlled, monitored, and corrected.
- Human resource – mirrors a humanistic approach to change. This frame views the organizational processes as participatory and developmental.
- Political – mirrors a power-based approach to change. This frame views the organizational processes as based upon structures of influence (e.g., coalitions, networks).
- Symbolic – mirrors a cultural approach to change. This fame views the organizational processes as rituals and opportunities to express values.

Messages, interactions, and overall change approaches may be crafted to holistically include each of the four perspectives when conveying change.

Another framework outlines five ways of thinking about change and has been referenced in organizational change literature broadly (de Caluwé & Vermaak, 2003). It too breaks down categories or approaches to change in a way that mirrors the theoretical foundations of change, with:

- Yellow-print thinking – depicts the political aspects of the change process, highlighting socio-political concepts including power and conflict. This is similar to power-coercive

strategies where by change is generally enforced from a legitimate source of power from the top-down (Bennis et al., 1985).

- Blue-print thinking – depicts the planned aspects of the change process in which the change is described, the desired outcome is defined in advance, activities are planned and the effort is continuously monitored with predetermined indicators.
- Red-print thinking – depicts the humanistic and human resource aspects of the change process giving consideration to management style, competencies, processes and systems to reinforce desired behaviors.
- Green-print thinking – depicts the learning organization aspects of a change process with principles from action-learning theories (e.g., Argyris & Schön, 1974) and learning organizations (Senge, 1990). In this approach, change is not compelled, rather individuals are supported throughout it with collective learning and sensemaking.
- White-print thinking – depicts the view of evolutionary change and complexity theory. Stacey's (1996) description of the “legitimate” and “shadow” networks that operate within an organization and define how things are done utilize this concept as its foundation. The boundaries of an organizational chart are one way to look at how influence is gained and change might occur, but the “informal links between people in an organization” is another and this may be just as powerful (p. 28).

Finally, the last framework through which change and messaging may be viewed is written from a higher education perspective. Buller (2015) brings both an academic and a practitioner's perspective to the topic, is an author of an extensive array of college administration publications, and a senior partner in an academic leadership consulting group, shares from his experiences ten analytic lenses through which to view a change and corresponding questions to

explore it more deeply. For instance, a change leader could guide a group to adopt each of the following lenses by asking the questions shared, as in total they would provide a full picture of the implications and opportunities the change presents (2015, p. 52):

1. 20/20 lens – “provides clarity and objectivity” of the change when inquiring about things such as “what are the facts?”, “what is indisputable?”, and “what does the data indicate?” This mirrors the rational view of change.
2. Concave lens – “corrects for myopia” when considering the change by inquiring about “what is the big picture?” and “how might we get too caught up in the details?” This is similar Reigeluth’s elaboration learning theory (1979) by offering a zoom-out perspective on the change.
3. Convex lens – “corrects for hyperopia” when considering the change by inquiring about “what details do we need to see before we can proceed?” and “how might we get too carried away by remote possibilities?” Like Reigeluth (1979), this offers a zoom-in perspective on the change.
4. Telephoto lens – enables one to “scan distant horizons” of change possibilities when inquiring about “what is far off in the distance?”, “what is the territory like between here and there?”, and “how can we sharpen our view of what lies ahead of us?” This is much like the strategic planning notion of external scanning, reminiscent of the rational approach to change.
5. Bifocal lens – “permit(s) close analysis” of the change by inquiring about “what has been right in front of us all along?”, “what resources and assets do we see around us?”, and “what information do we need to see clearly before we proceed?”

6. Rose-colored glasses – enables one to “take an optimistic view” of the change by inquiring about “what’s the best-case scenario?” and “what benefits might occur because of this idea?”
7. Sunglasses – enables one to “take a dim view” of the change by inquiring about “what could wrong?” and “what problems might we encounter along the way?”
8. Rearview mirror – “bring(s) the unseen into view” by inquiring about “where have we come from?”, “what is looming behind us?”, and “what might we be overlooking?”
9. Contact lenses – “enhance(s) social interactions” by considering the perspectives of others involved the change. Questions to explore this include “who are the people around us?”, “what do they want and need from us?”, and “what do we want and need from them?”
10. Wide-angle lens – enables one to “take in the whole picture” by considering “how do all these views fit together?”, “how do we feel about the overall (change) landscape?”, and “based on what we see, should we proceed?”

The key with any of these frameworks is that they may be used to consider change more broadly, not from just one or two perspectives that we may have a bias toward. This supports the sensemaking process as well as the communications efforts by providing a more holistic view and approach toward the change. Crafting messaging by speaking to all elements helps others who may have a natural inclination toward one way of thinking to see their view represented. Sharing a compelling story is often a part of any change model, but Lane (2015) describes that this is often done by what motivates the change leader, not the change recipient. When talking about what great benefits will ensue for the institution, for instance, only 20% of the change

audience will favorably respond. This simply doesn't motivate everyone. Lane speaks to research that shows that there are "at least four other sources of meaning and motivation that can be tapped into create energy for change: impact on society, impact on the customer, impact on the working team, and impact on 'me' personally" (p. 32). He goes on to say that these five motivators for change – for which communications should address – are evenly split across change stakeholder audiences. When a change agent taps into all of these and tells "five stories at once", s/he will more fully speak the language of concerns of others (p. 32). Lane goes on to share a personal example of working with a large U. S. financial services organization who, upon adopting this concept to their change messages, saw an increase in employee motivation from 35.4% to 57.1% in one month and 10% in efficiency improvements as a result of the change in the first year (beyond the change target). Although this example lacked the empirical evidence to back up their claim of success, the concept of broadening change messages to incorporate more widely held views, biases, and intrinsic motivators is one strategy that any change leader in higher education could consider.

These strategies highlight what's been done specifically in this industry as a change initiative gets underway. In the next section, competencies higher education change agents utilized during this phase of change are described in an effort to keep the connection between what is known to guide change as well as how it's done.

Mobilization Strategy Connection to Higher Education Change Competencies. Each of the strategies above may draw upon the competency framework already shared in this literature review, however, a few distinct characteristics were highlighted in these publications depicting strategy, including:

- Leading Self/Mindset. The change agent should be a process helper “providing a plan for a guided journey and not a blue print for change” (Lueddeke, 1996, p. 245) and possess an authentic desire to share power/lessen status difference (Bensimon & Neumann, 1993). Other personal attributes needed include: “reflective openness” (Lueddeke, 1999, p. 243), a personal reorientation whereby one moves from an autonomous perspective to a shared/collective approach (Slowey, 1995), not easily put off by challenging people or dismissive of their potential (Marshall, 2007), willingness to suspend judgment and knowledge of when to intervene (Scott, 1999), and openness to feedback and active solicitation of it (Lane, 2015).
- Leading Others/Interpersonal Skills. Competencies in this area include: facilitation skills in order to spark “need sensing” conversations with stakeholders (Marshall, 2007, p. 163-164); guiding teams in reflective dialogue and sensemaking with relational and interpretive abilities (Bensimon & Neumann, 1993); fostering deliberation and discussion (Kezar, 2011); role clarity (Marshall, 2007); and an ability to read and match (Scott, 1999). This “reading and matching” was the most prominent theme in Scott’s (1999) experiences with higher education change leadership and describes the contingent responses change agents follow to adapt to the situation once they sense a need for change, uncover what the true problem/opportunity is, then match an action plan to it (pp. 122-132).
- Leading the Organization/Cognitive and Tactical Skill. Competencies in this area require a problem solving approach (Lueddeke, 1999); political abilities (Hargreaves, 1995 as cited in Lueddeke, 1999, p. 18); sustained lobbying and creating internal and external networks (Kezar, 2011); networking across units/divisions to connect people (which

requires greater knowledge of the organization to integrate change agenda within existing development plans and according to existing priorities (Marshall, 2007); project management (Marshall, 2007); and contingent thinking associated with “reading and matching” the situation and best response in light of it (Scott, 1999).

These strategies and competencies may be used in the first of three change phases, mobilization. Next, a review is shared for what higher education change leaders know and do in the second phase, implementation.

Higher Education Strategies During the Implementation Phase. Activities within this phase are designed to propel the change forward with the collective effort of teams and an orientation toward ongoing assessment and learning. To motivate individuals to sustain their effort, networking is called out as a support system as well as a recognition system of providing incentives and celebration. Kezar cautions that in this phase, members may be conducting new work but they may not have fully accepted new procedures (2014). This phase is often focused on procedures and behaviors (Kezar, 2014). Scott (1999) indicates that “implementation is not an event, it becomes a long and challenging learning (and unlearning) process... (and one in which) leaders are significantly underdeveloped (for applying these strategies)” (p. 56). This literature review highlighted the vast amount of content on planning, and in light of the literature available in this phase, it can be tempting to consider that leaders are better prepared for the initial phase than execution (and even less so for the institutionalization as we shall soon see). Below are the specific strategies described as pertinent in this phase:

- Continuous communication. In the spirit of a simultaneous and non-linear use of strategies, communication carries over into the implementation phase with a cascade of the change message through a variety of vehicles (Marshall, 2007). In one personal

account, a caution against overreliance on electronic communication was shared, highlighting instead how an institution used open meetings and an interactive Q&A-based live webcast (Marshall, 2007).

- Build/grow team. Action teams were devised in one example of providing ongoing cross functional focus on the change (Lane, 2015). In it, members were surprised that they were actually supposed to work in this forum – they met for two hours every two weeks to perform functions and not just report out on progress. One method for building trust that they utilized was asset mapping and data sharing, where they shared information about available resourcing across boundaries. Building team capacity and sharing tools for team change through coaching and mentoring was cited in another example (Marshall, 2007). Successful change initiatives had a dedicated leader (Marshall, 2007) so it may be safe to assume that project teams also required this same leadership focus with an understanding of team dynamics and ability to facilitate a group through them. Clarifying member roles was specifically called out as a needed activity in this context (Marshall, 2007). In addition to change work groups, Slowey (1995) highlighted the value of having informal support network options available to help individuals through the emotional side of change. The network could be comprised of internal or external members (Scott, 1999). A professional association, for instance, could help an individual see that s/he isn't alone in what s/he is going through and provide outside perspective on ways of adjusting and responding. In another case, a monthly leadership forum was created for strategic conversation and informal networking (Marshall, 2007). It was so successful that a mid-level management forum was requested and also created. This was

one way to keep the focus on the change while also beginning to break down silos in the organization.

- Experiment/action learning. Many practitioner books described the need for achieving small wins. In the higher education setting, it was interesting to note that this concept didn't surface, but that continuous use of action learning did (Boyce, 2003; Marshall 2007). This strategy helps individuals move from talking to doing. Piloting a change, disseminating outcomes and key learnings, and pushing to gain more recruits (Marshall, 2007) is a traditional concept approach of starting small and learning/growing/evolving as one moves forward. However, it is the subtle focus on learning through visible action that resounded in these change success stories rather than tangible wins.
- Staff development. Both the process of delivering development as well as the content was briefly touched upon in the literature with an understanding that those who are implementing the change should possess the skills necessary to deliver and be clear on exactly what they need to do in order to be successful (Scott, 1999). This development should not be a one-time workshop (Lane, 2015; Scott, 1999) but rather should be like a field and forum where learning and fieldwork application are interspersed (Lane, 2015) and provide "time and encouragement for individuals to exchange tips, war stories, encouragements, complaints, worries, and requests for help" (Fullan, 1986, p. 9 as cited in Scott, 1999). Lane (2015) further shared a belief that "employees are what they think" and need a balance between technical skill building and focus on shifting underlying mindsets to enable those technical skills to be used to their fullest (p. 48). Staff development was one of five core strategies utilized in institution's achieving successful transformation (Kezar & Eckel, 2002a). Institutional culture played a role in how this

strategy was enacted. In the institution with an informal, trusting culture, internal staff delivered the development and it was much more unstructured. In the managerial culture, self-reflection was highly valued and was the dominant change strategy. In the collegial culture, development was handled differently in each of the autonomous colleges and schools and provided primarily by external sources (Kezar & Eckel, 2002b).

- Infrastructure. Team and instructional support systems were briefly addressed as needed in the implementation change phase. From a team perspective, a written plan and dedicated staff resource to be the project manager was described as helpful (Marshall, 2007). An additional mechanism described that may require some formal or informal team process dedicated to it was the need to keep an executive sponsor involved (Scott, 1999). From an institutional perspective, updating relevant policy was mentioned (Marshall, 2007) as one tactic as well as creating new centers or positions, realigning roles and reallocating resources (Curry, 1992; Kezar, 2014). Much of the organizational systems and process that would require change in order to reinforce the change is highlighted in the institutionalization phase, however, mention of it during this phase simply underscores the non-linear concept of a change model and simultaneous strategy use (Kezar, 2014). Some of these changes would need to happen at the outset as well as during change in order to bring others to the point of action. An additional strategy is the creation and use of an oversight team – this would be interrelated concept associated with evaluation in general but shows that simply highlighting a necessary activity may not be enough without dedicated, formal structures and processes in place to assess and support it (Scott, 1999; Torraco et al., 2005).

- Network. Creating social networks is a key aspect for fostering ongoing support for change, continued learning (Mohrman, Tenkasi, & Mohrman, 2003) as well as to spur change agent “sustained lobbying” (Marshall, 2007, p. 156). In a longitudinal case study of eight (non-higher education) organizations, it was found that the existing hierarchical network was not sufficient to achieve the “level of organizational learning necessary to implement fundamental change” (Mohrman et al., 2003, p. 307) because managers tend to cascade change messaging in a directive, one-way fashion. However, those organizations that created lateral and intra-unit knowledge sharing opportunities were found to be more successful. Furthermore, establishing external networks was also found to help promote schema building as exposure to ideas outside the organization enabled new learning to transpire. This was done with links out to external customers and subject matter experts (in one case with university researchers) as well as leveraging discipline networks and friendships. Ongoing networking throughout the institution as well as beyond its borders helps to not only spark continuous learning, but the frequent communication and interaction/personalization opportunities can also help to keep the change agenda at the forefront and ultimately broaden ownership.
- Incentivize. The importance of providing incentives was recognized by Marshall (2007) in the personal accounts shared throughout her book. Various tactics used to incentivize faculty and staff include computer upgrade, summer salary merit increases, conference travel money, and public recognition and rewards (Kezar, 2014); however, not surprising, just providing money outright was identified to be the most expensive and least effective tactic (Lane, 2015). In a study exploring the impact of culture on an institution’s change

strategy, it was found that in a collegial setting in particular, incentives were relied upon more often as a major strategy.

- Monitor/adjust. Ongoing evaluation and broad communication (Marshall, 2007) of the change progress was highlighted as a necessary element of implementation and speaks to the fluidity of strategy and change phase, as it is completely dependent upon the shared measures of success identified in the mobilization phase. One tool an institution found helpful in Marshall (2007) was the development of a scorecard with 30 agreed-upon indicators. Despite the seemingly high volume of metrics, what made this case so interesting was that the Schools and Colleges within the institution shared this scorecard and their role in it on a regular basis at the local level. This commitment to the institution's success on a change initiative and personalization of it within the unique pockets across Campus truly speaks of shared ownership.
- Celebrate success. Mentioned in only one instance in the literature found on higher education strategy (Newton, 2002), this strategy is consistent with change practices in other industries and represents an opportunity to formally recognize change progress. This mirrors the incentive strategy previously described and also was called out in terms of core strategies, such as promoting visible activities and advances in the change process, utilized by institutions achieving successful transformation (Kezar & Eckel, 2002a).

These strategies require higher education change agents to possess certain competencies in order to enact them. Below is a description of what it takes to lead strategies during this change phase.

Implementation Strategy Connection to Higher Education Change Competencies.

Fewer characteristics were called out as supports during the implementation phase from the literature about higher education change strategy than what was found to support the mobilization phase, however, they did seem balanced among the three competency categories previously established:

- Leading Self/Mindset. Maintaining a sense of humor and being pragmatic and persistent was highlighted as a leadership strength (Marshall, 2007) as well as the ability to check one's ego and not require individual recognition (Slowey 1995). This was described in reference to an organization change initiative whereby an academic unit was seeking to be recognized as an interdisciplinary research center. The leader described one of the reasons he believed he received faculty support for the change was because he didn't require his name to be on all publications and grants. This lack of self-focus emphasized his authentic desire to see others be recognized for their own work and helped to increase his credibility.
- Leading Others/Interpersonal Skills. A carryover from the mobilization competency of group facilitation skills previously mentioned, Marshall (2007) highlighted the need for a leader to be able to use a consultative process and allow time for counter views to surface. Additionally, a change leader needs to be familiar with how to foster action learning (Boyce, 2003; Marshall, 2007) and workplace action research (Scott, 1999).
- Leading the Organization/Cognitive and Tactical Skill. Evaluation capabilities and political skills featured prominently as needed in this leader skill set. From an evaluation perspective, having the ability to "focus less on objective data and more on the process of involving change participants in discovering whether or not the change initiative was

worthy based upon their personal experience” was described as one needed capability (Lueddeke, 1999, p. 252). This speaks closely to his suggestion for leader skill in formative and contextual evaluation as well as summative evaluation (Lueddeke, 1999). The knowledge and ability to build upon existing good practices within the institution was highlighted as one political requirement. Generally having the skill to handle micro politics as well as the ability to reflect-in-action and be good with on-the-spot negotiation was also described as necessary (Scott, 1999).

Higher Education Change Strategies During the Institutionalization Phase. The final change phase, institutionalization, requires one to “know more about the way (the change) takes shape within (the) organization” (Curry, 1991 as cited in Curry, 1992, p. 8). This means looking at the outcome of the change, the behaviors of individuals, and the practices within the institution. Curry further described the features of this change phase, but first acknowledged that terminating a change is also a possibility within this phase. The change is either discontinued or it is institutionalized in the final stage. Should the change continue forth, it would be institutionalized when it has been determined that a “causal relationship” exists – that the change led to “far reaching and lasting” results and wasn’t isolated but rather influenced the whole organization (Curry, 1992, p. 10). Therefore, evaluation is a key activity that transpires in this phase. Another feature is that the change in this phase no longer appears like a “special project” but instead is a part of “routinized behavior of the institutional system” (Berman & McLaughlin, 1974, p. 16 as cited in Curry, 1992, p. 10-11). The change in this phase should be “virtually indistinguishable from the rest of the institution” (Kezar, 2014, p. 168). Finally, institutional culture would represent this change in behavior through norms, values, stories, and

organizational structure and procedures (Curry, 1992). Below are the specific elements described in the strategies utilized by higher education change agents in this phase:

- Structure, Systems, and Culture Embeddedness. Little is described here in the cases of successful change beyond the need to challenge traditional structures and incorporate expectations when possible in performance management systems (Marshall, 2007).
- Continued Learning, Evaluation, and Resourcing. This strategy represents the continuum of activity that occurs throughout mobilization, implementation and then this final stage. Continued learning is necessary to sustain change (Boyce, 2003; Curry, 1992) and to do this one should continue to “reason, examine, and (foster) dialogue”; however, “it’s a challenge in implementation to sustain opportunities within an institution for an authentic conversation to occur because new ideas and actions (for other changes) can emerge” (Boyce, 2003, p. 131). Perhaps if Curry’s definition were followed strictly, this challenge is because the change no longer is distinct – it’s a non-discussion because the change is already integrated. Yet, Boyce (2003) does raise an interesting perspective, that over time things do change and it is helpful to review the implications of new people, new ideas, environmental changes, etc. on the change initiative itself and see how this might relate to additional change considerations. Furthermore, the change should be integrated with each new change initiative that arises. As evaluation continues, Marshall (2007), suggested that one refer back to the planning decisions to ensure that buy-in at this phase continues to exist. Finally, much discussion typically ensued about obtaining start-up resources, but once a change is proven successful and seeks continuation, funding it in an ongoing manner to maintain momentum usually is more difficult to obtain (Lueddeke, 1999). This was a reminder to not lose sight of the need to budget for change maintenance.

- External Involvement. A brief mention, but one that seems particular to this industry, was given to the need to extend involvement with others outside the campus (Lane, 2015; Scott, 1999). This might be pertinent in terms of sharing best practices, seeking learning partners, or seeking support from others through vehicles such as a professional association.

The strategies described in the literature for higher education change institutionalization are fewer in number as compared to the mobilization and implementation phases, and consistent with the lack of linearity among change phases, share commonalities with the other strategies, such as fostering learning. In order to seek a deeper understanding of the competencies require to affect higher education change, below is a description of a failed attempt to locate them in relation to this phase.

Institutionalization Strategy Connection to Higher Education Competencies. No specific discussion was provided in the higher education change leadership strategy literature found on competencies unique to this phase. Those already provided in the higher education change leadership competency framework may suffice to address the strong focus upon cognitive and political/networking skills and knowledge sets required in this phase as a change agent seeks change integration, resources, and connection to external networks.

In summary, since change moves throughout the phases in a non-linear manner, so too will needed competencies and strategies blur the lines among what is needed throughout the life of a new initiative. Across the change's lifespan, an encompassing need exists for the change agent to be familiar with, and able to manage the dynamics of, the change process (Scott, 1999). Kezar (2014) indicated that this is one the key mistakes for higher education change leaders – focusing upon the content of a change but ignoring the process for change or utilizing an overly

simplistic process model. This study is uniquely focused upon the process of higher education change, and the competencies required in order to enact strategies successful change agents have found helpful.

This literature review organized findings from the organizational change leadership literature into a competency framework that then was tested for viability against the literature from higher education change. The framework for leading self, leading others, and leading results/the organization and the competencies within them were found to be consistent with the needs of change agents in this industry. Finally, phases of change were explored and strategies utilized in each were shared from the higher education arena. Each of these three elements builds upon one other to create a more holistic picture of what successful higher education know and do to influence positive change. These will provide a platform for a mixed methods study exploring nominated change leader perspectives on a critical incident of a successful change they had a role in leading, and defining the competencies and strategies utilized by change phase utilized to achieve this success.

CHAPTER 3 METHODOLOGY

Introduction

The purpose of this mixed methods research study was to identify, from the expert higher education change agent's perspective, the competencies and strategies utilized that contributed most to his/her success in leading an identified change throughout each change phase: mobilization, implementation, and institutionalization. From a quantitative perspective, research participants were asked via an online survey to rate their level of agreement on a proposed change leadership competency framework devised from the literature review in relation to what contributed to a self-reported successful change effort. Analysis sought to determine whether any competencies or strategies were uniquely situated in, or more prominent within, any of the three change phases and/or utilized more frequently by a given leader demographic – academic or non-academic. The survey concluded with an invitation to participate in a semi-structured phone interview to inquire about how the competency was applied in terms of the strategies utilized as well as general lessons learned. Snowball sampling was unsuccessfully used to request participants to forward the study invitation to nominees of successful higher education change leaders, either involved in their own change initiative or another distinct change endeavor. Use of the critical incident technique (Flanagan, 1954) was used in both the quantitative and qualitative phases.

The results of this study can be used to guide the selection and development of U. S. higher education change agents as well as help those who coach them to support improved change leadership. The mixed methods research sought to answer to the following research questions:

Q1: What were the competencies utilized by higher education change leaders in public, four-year, U. S. institutions during each of the three phases of change: mobilization, implementation, and institutionalization?

- a. Are there any significant differences in competency use by academic and non-academic change leaders?

Q2: What were the strategies utilized by higher education change leaders in public, four-year, U. S. institutions during each of the three phases of change: mobilization, implementation, and institutionalization?

- a. Are there any significant differences in strategy use by academic and non-academic change leaders?

This study is unique in its consideration not only of higher education change – but also with its focus upon change phase and leader demographic. In personal experience, it has been found that change agents may spend an inordinate time planning for an initiative, but less intentional effort may be given to implementation and institutionalization. Identifying in a pragmatic way the underlying knowledge and skills necessary and strategies utilized for all three phases helps one to prepare equally well for each. Additionally, distinguishing between requirements in change phase also supports those who may have a higher degree of responsibility in one phase as compared to another. For instance, senior leaders may be more apt to plan change; front line leaders may be more apt to implement change; and individuals in human resources or organizational development may be more apt to guide and reinforce the institutionalization of change. No empirical studies have been found to date with this emphasis inside the higher education industry. Although some practitioner-based prescriptive strategies have been found featuring strategies for a given change phase, such as what one should do across

industry to sustain change, little research has been located spanning industry that specifies competency by change phase. Another positive attribute of this research was the broadening of participants beyond one case study organization as found in many other studies in the literature review. Finally, examining the similarities and differences in competency and strategy use by academic and non-academic leaders' sheds light on the full spectrum of leadership requirements within higher education. No study has been found to date that looked at each of these leadership populations together in the pursuit of exploring success in higher education change.

Research Design

A mixed methods approach was selected to gather a more robust dataset on change agent competency and strategy. Quantitatively assessing level of agreement on competencies by change phase via an online survey provides one picture of change agent attributes needed to successfully lead second order change in higher education. Combining this with critical incident (Flanagan, 1954) qualitative data on exactly what a leader did to bring the competency to life at a critical juncture during a given phase within the change initiative (or his/her strategy) further informs the initial data set and enhances the final results in a more pragmatic way for those seeking to apply the findings. This addressed one limitation in the current literature – simply stating that one should ‘build support for the vision’ or that one should be ‘collaborative’, for instance, is not specific enough to help an individual actually do something to embody this best practice in relation to his/her goals within his/her own institution. Therefore, an explanatory, sequential, mixed methods study was designed (Creswell, 2014). It started with the quantitative research, then used these findings to craft the interview questions for the qualitative research. The interview protocol in the qualitative phase was customized to reflect the participant’s survey responses to ensure that the specific change initiative, competencies, and strategies provided

were all referenced. This ensured a more personal interview experience and fulfilled the goal of bringing the participant's competencies to life in the context of when and how given strategies were utilized by change phase.

Critical Incident Technique

A core concept utilized in both the quantitative as well as the qualitative data collection was the use of critical incident technique (Flanagan, 1954). Defined as “a set of procedures for collecting direct observations of human behavior in such a way as to facilitate their potential usefulness in solving practical problems and developing broad psychological principles” (Flanagan, 1954, p. 327), this method has been used in other leadership studies ranging from a look at gender in the Royal Navy (Dunn, 2015), determination of effective and ineffective behaviors of Korean managers (Chai, Jeong, Kim, & Hamlin, 2016) and of non-profit leaders (Hamlin, Sawyer, & Sage, 2011), and with followers to identify how leaders fostered creativity (Hemlin & Olsson, 2011). First introduced by Flanagan in 1954 to select and classify U. S. Army Air Forces aircrews, it has been judged reliable and valid by Andersson and Nilsson in 1964 and Ronan and Latham in 1974 (as cited in Butterfield, Borgen, Amundson, & Maglio, 2005). This technique traditionally involved a trained observer assessing an individual in terms of an activity's objective and expectations for a successful outcome. Over the years, one of the ways this research method evolved was to include retrospective self-reports (Butterfield et al., 2005). It is through this lens that research participants provided their perceptions of competencies and strategies that led to success within the context of a self-identified change initiative. Utilizing a self-description of an incidence of change can have limitations, however, these may be offset if the self-report is “full, clear, and detailed, the information is thought to be accurate” (Flanagan, 1954 and Woolsey, 1986 as cited in Butterfield et al., 2005, p. 481). Some of the limitations

include the lack of literature on one standard way to establish trustworthiness or credibility (Butterfield et al., 2005; Kain 2004). Contrasting self-reports with others' views through member checking would offer a more robust determination of change success – this is just one example among others suggested to increase trustworthiness (Butterfield et al., 2005; Kain, 2004). Other options include the use of a reliability panel or other independent raters, cross-case analysis across two groups, and asking experts to sort incidents into categories (Butterfield et al., 2005). In this study, the nomination of participants was sought to counter the potential negative implications of this method. If another individual outside the change initiative felt the individual achieved success, this would help to corroborate the critical incident story. Should resources allow with future research using this method, independent coder/s would be utilized to assess at least 25% of the critical incidents in order to calculate the level of agreement as well as an expert panel would be utilized to review coding categories and interview transcription, as recommended by Butterfield et al. (2005). Another limitation with this method was the lack of one standard way to analyze data (Butterfield et al., 2005). However, this study treated the data much like any other qualitative responses; it was coded as part of a grounded theory approach (Strauss & Corbin, 1990) looking for categorical themes and frequencies in the use of higher education change leader strategies and contrasting them by change agent demographics.

Population

A purposive sample was used to represent the many potential change agents employed within the 657 total four-year, public U. S. colleges & universities, as listed in the 2015 Higher Education Directory. Individuals in this population can comprise any member of these institutions who has lead planned change, including all faculty and staff regardless of title and formal responsibility for leadership. As such, the population size is comprised of the total

number of faculty and staff employed within each of these 657 institutions. According to the U. S. Census Bureau, as many as 121,069,944 individuals were employed in post-secondary institutions in 2014, using the NAICS code 6113 for all colleges, universities, and professional schools (“Industry Statistics Portal”). It is unknown exactly how many of these individuals were employed only in public, four-year institutions.

Sample

In this study, two key sources were utilized to comprise a representative sample, resulting in a minimum of 1,143 invitations to participate in order to comprise an expert panel. Additional invitations were sent to senior leaders in public, four-year, U. S. higher education institutions in prioritized groups to target at least 88 respondents, the minimum number required by virtue of power analysis for data analysis. This created a maximum invitation list of up to 9,684 total higher education change agents and leaders. Individuals could self-nominate based upon the following criteria or forward the invitation to another individual considered better suited to share higher education change success experiences. Criteria for participation included:

- Current employment in higher education. Participants do not need a formal title of 'leader'.
- Responsibility for leading a change initiative within the past three years. Participants do not need to have had sole responsibility for leading this initiative. Change initiatives may comprise those that resulted in continuous improvement of an existing process, system or structure (such as technology enhancement, process improvement, curriculum enhancement, or restructuring) or one that required a complete break from past processes, systems, or structures (such as program discontinuation or introduction or a merger or acquisition).

- Attained change success by virtue of realizing most, if not all, goals sought.

The first source for this sample included members of a professional association, the Network for Change and Continuous Improvement (NCCI), Higher Education's Network for Change Leadership. The second source comprised a mix of academic and non-academic senior leaders from prioritized sampling groups of the total 657 public, four-year, U. S. higher education institutions.

The Network for Change and Continuous Improvement (NCCI), Higher Education's Network for Change Leadership, was founded by professionals in higher education in 1999 and is known for sharing best practices and advancing higher education change. A survey link was sent to its 1,143 members, inviting them to participate as well as requesting that they forward it to another known higher education change leader expert. This was the only organization found in the U. S. centered upon higher education change leadership. Permission to distribute a survey to NCCI professional association members was received from the President. The past president also endorsed this study and offered her endorsement of this process for Board members (C. Lilly, personal communications, October 10, 2016). Other higher education associations were considered, such as the American Council on Education (ACE) or American Association of University Administrators (AAUA), but these less clearly zeroed in on change specifically.

Additionally, senior leaders from 656 of the 657 public, four-year, U. S. higher education institutions were invited to participate or nominate participant/s known for change leadership success (excluding the one institution with whom the PI is employed). An invitation was extended to the President, Provost, Chief of Staff, Chief Financial Officer, Chief Information Officer, Teaching and Learning/Faculty Development leader, Human Resources leader and, when available, Organization Development leader as well as a random sample of five Deans

within the Schools and Colleges. A balance was sought between academic and non-academic senior leaders in the hopes that participants might also reflect this same balance. An initial group of 38 institutions was the first sample selected, representing research-intensive, urban, public, four-year, U. S. higher education organizations. Additional invitations were sent to leaders to target the minimum number of participants for the survey, 88, identified by virtue of a power analysis using G*Power to ensure data analysis would be possible using a medium effect size, .05 significance level, and .80 power level. The minimum sample size for the interview, 10, was obtained as a result of a statement by Fraenkel, Wallen, and Hyun, “in qualitative studies, the number of participants is usually somewhere between 1 and 20” (2012, p. 103).

Survey Instrument Design

The survey instrument began with a demographics section to provide data comparison for academic and non-academic change agent experiences. The instrument then requested a description of the change initiative and phase it was in currently. Herein lies the use of the retrospective self-report critical incident technique. Analysis of this change initiative helps to ascertain change type – first order or second order – and helps ground the research participant’s responses on competencies and strategies in relation to something specific. The survey then included two distinct sections to inquire about competencies and strategies utilized by change phase. Competencies were listed in terms of the three-category framework proposed as a result of this literature review – leading self, leading others, and leading the organization. Respondents were asked to rate competencies using a seven-point Likert scale (no importance to essential importance) to indicate which were most critical to success in the mobilization, implementation, and institutionalization phases. Finally, open-ended responses were sought from respondents to describe a specific strategy utilized to apply the most critical competencies. The results from this

survey then provided a foundation for a more detailed follow up on strategy selection, use, and effectiveness in the interview phase with volunteer respondents. Participant responses were coded to ensure any participant who volunteered to complete both the survey and the interview could be grouped, as the interview will reference his/her survey responses. A thank you email was sent upon completion along with a link to forward to other nominees and a request to share deeper experiences via a 20-minute phone interview. As part of the recruitment strategy, participants received a copy of the final results if interest was indicated on the survey.

Survey Validity. A pilot of the instrument was conducted to provide face validity; for open ended comments in this instrument, member checking and triangulation was sought to establish survey credibility (Lincoln & Guba, 1985, pp. 301-307). Participants were asked to review summary statements of open ended comments as needed to ensure accuracy (member checks) and to share relevant documentation, e.g. website link or other evidence about the change outcome, to ensure a deeper understanding about the change itself could be gained (triangulation). Peer debriefing was considered, however, since the PI had been employed in this industry for fifteen years, it was felt that this would be done only if the PI was unsure about responses. A volunteer from NCCI offered support in this role if needed.

Survey Reliability. To ensure internal consistency, Cronbach's alpha was computed to determine the mean inter-item correlation for variable pairs. Reliability can be increased by increasing the number of items in each competency variable, yet, with nine differentiating competency variables total that will be featured in the competency framework included in this survey devised from the literature review, caution is given to just how many times the same item (competency) can be rated without causing survey fatigue by the responder. Each item was rated

a total of three times, for a total of 27 questions in contained in this survey. A minimum of .70 is sought to ensure the reliability of this survey.

Survey Pilot. The survey was piloted with at least three volunteers from the Michigan College/University HR/OD Roundtable, comprised of approximately 20 members total. Each of the members have had experiences leading change in terms of HR innovation diffusion with performance management, succession management, and employee and leadership development practices. The purpose of the pilot was to obtain feedback about instrument ease of use, timing, and the degree to which questions were understandable.

Survey Communication. The following schedule was proposed to motivate survey completion (modeled after a successful similar sequence shared by Dillman, Smyth, and Christian [2014, p. 22] in which each subsequent contact produced an increased response rate):

1. Day 1: Send initial invitation, comprised of an email request with an appeal to learn from his/her insights into higher education change leadership or that of someone s/he recommends based upon their track record of success with a recent change initiative.
2. Day 4: Send email follow up thanking him/her for considering participation and a more detailed description of study purpose and types of questions contained with an approximate time frame for completion. An offer to share the findings will be extended as well as sharing the targeted number of study participants sought and total received to date to provide additional encouragement (Dillman et al., 2014, p 30).
3. Upon survey completion: a thank you email was sent with a survey link that could be forwarded to other nominees as well as invitation will be extended to participate in a brief 20-minute phone interview.

Interview Protocol

Semi-structured, 20-minute phone interviews were conducted with individuals who have completed a survey and volunteered to share a more detailed account of the strategies utilized by change phase. The protocol explored strategy use during all phases of change experienced to date for the featured initiative in the survey. Referencing the strategies provided in the survey for each change phase enabled the interview to take a more reflective tone, with prompts including: ‘why was that strategy selected?’, ‘what led to its success?’, ‘please tell me more about how the competencies selected were applied in this strategy?’, ‘what advice do you have for others considering this strategy?’, ‘what is the outcome of the change today?’, and ‘in retrospect, what would you have done differently?’ Question topics were sent to the participant in advance along with a reminder of the time/date of the interview to help him/her prepare. Upon completion, a thank you email was sent to the participant along with an offer to make the final results available should s/he find it of interest as well as a link to the survey to forward to any other nominees. The outcomes from these interviews will enable change agents and practitioners to better understand the nuances associated with strategy selection and use in order to better apply them in their own circumstance.

Interview Validity. Member checking and negative case analysis were used to establish credibility in qualitative interview data (Lincoln & Guba, 1985, pp. 301-307); a pilot of the interview protocol was also conducted to provide face validity. Just as with the survey open-ended responses, participants were asked to review summary statements of initial interview results to ensure accuracy (member checks). Furthermore, the PI was work with the same peer debriefer as with the survey process to confidentially share data vignettes and seek new ways of perceiving it if needed. Data was reviewed for examples that support and don’t support the

findings (negative case analysis). Finally, the interview protocol was piloted to ensure face validity.

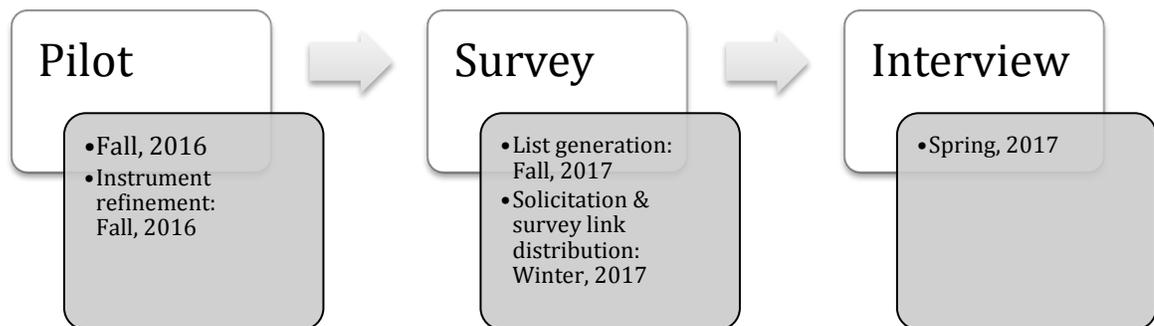
Interview Protocol Pilot. The interview protocol was piloted with volunteers who completed the survey pilot from the Michigan College/University HR/OD Roundtable, comprised of approximately 20 members total. Each of the members have had experiences leading change in terms of HR innovation diffusion with performance management, succession management, and employee and leadership development practices. The purpose of the pilot was to obtain feedback about the degree to which questions were understandable and to validate process timing.

Data Collection Timeline

The data collection process unfolded in the phases shown in Figure 13.

Figure 13

Data Collection Process



Data Analysis

The below table summarizes the key information to be analyzed in this research design.

Table 3

Summary of Research Questions, Data Sources, Collection Methods, and Data Analysis

Research Questions	Variables/ Key Factors	Sample/ Participants	Data Collection	Data Analysis
Q1: What were the <i>competencies</i> utilized by higher education change leaders in public, four-year, U. S. institutions during each of the three phases of change: mobilization, implementation, and institutionalization?	Competency (DV, ordinal 7-pt. Likert scale) Change Phase (IV, categorical – three: mobilization, implementation, institution- alization)	Nominated academic and non-academic change agents from 4 year, public, U.S. based institutions	Survey & Interview	Demographic Frequency: Measures of Central Tendency Most Critical Competencies: Measures of Central Tendency
1a: Are there any significant differences in competency use by academic and non-academic change leaders?	Demographics (IV, categorical – two: academic and non-academic)			1a: Comparison of Competency & Leader Demographics: Independent samples 2-tailed t-test (minimum sample size requirement = 64 [*]) Qualitative data coding using grounded theory

Research Questions	Variables/ Key Factors	Sample/ Participants	Data Collection	Data Analysis
Q2: What were the <i>strategies</i> utilized by higher education change leaders in public, four-year, U. S. institutions during each of the three phases of change: mobilization, implementation, and institutionalization?	Strategy (DV, categorical) Change Phase (IV, categorical – three: mobilization, implementation, institution-alization)	Nominated academic and non-academic change agents from 4 year, public, U.S. based institutions	Survey & Interview	Strategy Frequency by Change Phase: Measures of Central Tendency
2a: Are there any significant differences in strategy use by academic and non-academic change leaders?	Demographics (IV, categorical – two: academic and non-academic)			2a: Comparison of Strategy & Leader Demographics: Chi square (minimum sample size requirement = 88*) Qualitative data coding using grounded theory (with provided protocol from literature review)

* *G*Power*, a statistical power analysis program, was used to estimate sample size requirements with the following parameters:

- Effect size: medium (.5 for t-test and .3 for chi square)
- Significance level: .05
- Power: .80

Survey Data Analysis. Survey items and statistical method for analysis are shared above in Table 3, with further description of variables below:

- Demographics. Measures of central tendency was used to summarize leader type (academic or non-academic). While additional data was gathered, such as leader title (contributor, faculty member – tenured, faculty member – not-tenured, supervisor/manager/director, executive/dean/chair), change type (first- or second-order), and institution size (number of enrolled students) to provide a deeper profile on who leads what kind of change and how inside higher education, these were analyzed as a follow up to this initial study focusing strictly on academic and non-academic leader competency and strategy use for leading any type of higher education change.
- Competencies Most Frequently Utilized by Change Phase. Survey respondents indicated the most critical competencies utilized and which were used in a given change phase. This data was analyzed with frequency statistics.
- Competencies Most Critical to Achieving a Critical Change Turning Point by Change Leader Type. Survey respondents rated each competency using a Likert scale, enabling the mean for competency use by leader type to be computed. An independent samples, two-tailed t-test was then conducted to ascertain any statistically significant differences between the means for academic or non-academic leader use by competency, with a significance set at .05 and effect size at .50. Furthermore, the frequency of competencies selected were shared in total, as well as by leader type.
- Strategies Most Used to Enact Essential Competencies by Change Leader Type. Survey respondents descriptively shared strategies utilized to enact the highest ranked competency contributing to overall change success and/or to support resolution of a critical turning point

in the change process with an open-ended essay box enabling a fixed amount of characters. The top ranked competency selections were analyzed utilizing a chi-square goodness of fit test with a significance level of .05.

At the conclusion of the survey, participants were invited to take part in an interview to share deeper insight into their experience as survey responses alone can be difficult to capture all of the nuances of the change situation and their strategies.

Interview Data Analysis. Survey participants were asked to volunteer for a 20-minute, semi-structured, phone interview to share more about the use of change strategies and how the competencies were embodied within them. Additionally, an inquiry into advice for others considering the strategy, general lessons learned throughout the change, and the current status on the outcome of the change initiative was also made. Open-ended feedback about strategy use was coded using the constant comparative method of grounded theory (Glaser & Strauss, 1967) using the findings from the literature review to devise an initial coding protocol. Patterns and frequency of strategy use by change phase and by competency cluster were shared.

Summary

In conclusion, this explanatory, sequential, mixed methods study (Creswell, 2014) was designed in two phases – first seeking feedback on a higher education change leadership competency framework and strategy use for each change phase via a survey, and second, seeking deeper insights on how the strategies were employed and competencies were embodied via semi-structured, phone interview. A purposive sample of U. S. public, four-year, higher education change agents was used, seeking nomination (self and/or others) of successful change leaders to form an expert panel. The outcomes of this study will share not only the underlying skills and capabilities required for change success in higher education, but what can be done in each

change phase to embody these competencies. Although it may be difficult to generalize findings, as change can be unique to the individuals, institution, and type of change being led, it is hoped that this study will support the selection, development, and coaching of higher education change agents to enable them to build a deeper toolkit in guiding meaningful, sustainable change.

CHAPTER 4 RESULTS

This study explored the differences among academic and non-academic leaders in the competencies they perceived to be important and strategies utilized when leading a self-reported successful change initiative that occurred within the past 3 years. Invitations to participate in a survey and optional follow-up interview were sent to 1,500 members of the professional association, Network for Change & Continuous Improvement (NCCI), and to 561 senior leaders representing 62 U. S. public 4-year institutions (peers to a Midwestern public urban research university) in a researcher-created mailing list using website contact information between March 29, 2017 and June 7, 2017. Up to thirteen individuals per institution received an invitation to participate, including the President, Provost, Chief of Staff, CIO, CFO, HR, Organizational Development, and Office for Teaching & Learning Leaders as well as up to six Deans from Liberal Arts, Engineering, Libraries, Business, Graduate School and Medical School (as applicable). The total survey response rate was 2% with 47 completed survey responses out of 2,061 invitations to participate; however, 53% of the 47 survey participants (N=25) also completed the follow up interview. NCCI members were a small portion of the total survey response rate, with .53% of members participating (N=8) but had 100% participation in the follow up interview (N=8). The survey response rate from the senior leaders in the researcher-created mailing list was higher at 5% (N=28), 68% (N=17) of whom participated in the interview. Just under a quarter of all survey respondents (N=11, 23%) did not share an email address and therefore could not be attributed to either source, the NCCI or researcher-created mailing list. The timing of year likely impacted survey responses (March - June, 2017) as end of semester and graduation activities transpired as well as summer departures. In an attempt to increase survey responses, the researcher distributed hard copy invitations to participate (see

Appendix B) and verbally requested support at the NCCI annual conference in July, 2017. No additional survey completions were obtained as a result of this promotion.

An independent-samples 2-tailed t-test was conducted to compare the mean differences among academic and non-academic leader survey responses in displaying the proposed personal competencies during a successful change. Chi-square was conducted to compare differences in competency use among these two categories of leaders. Frequencies were computed to highlight differences among leader categories in terms of their top ranked competencies and in which phase of change those competencies were most critical. Finally, interview responses elaborated upon when and how given competencies and strategies were used in relation to Bolman and Deal's four frames model (2013) and why each category of leader found them to be effective.

Survey Findings

The survey was distributed to 2,061 individuals in March-June 2017 and had a 4% open rate, with 90 individuals clicking on the survey link. Twenty-three percent of those who accessed the survey did not provide permission to participate in compliance with IRB (N=20), 4% indicated that were not a part of a U. S., 4-year, public institution (N=4), and 20% of responses were incomplete (N=18). Survey findings represent input from 47 unique completed survey responses; 17% of which were from NCCI members (N=8) and 60% were from the researcher-created mailing list (N=28) with 23% not providing an email in the optional demographic section and therefore not attributed to either group (N=11). Despite the NCCI President's endorsement of the study and distribution of the email invitation from NCCI directly, the response rate was .53% (8 known participants out of 1,500 invited). The researcher-created mailing list had a higher success rate with 5% of invited senior leaders participating (28 known participants out of 561 invited).

The survey (instrument located in Appendix C) contained four main sections, including a description of a self-reported successful change initiative in less than 200 words and respondent views on:

- **Competency.** Perception of the importance of a given set of proposed competencies necessary to lead the participant-identified change was sought, with the use of a 7-point Likert scale, the provision of optional write-in competencies for individuals who didn't feel the proposed list captured the competencies they felt important to their self-selected change, and the request to participants to rank their top 3 competencies ratings from the proposed list, including write-in's. Respondents completed this section three times, once for each of the three competency cluster groupings (leading self, leading others, and leading the organization).
- **Change Phase.** For each of the sets of three "top 3" ranked competencies, respondents shared the phase of change in which they were most necessary during their self-reported change initiative (during planning, implementation, and/or institutionalization).
- **Strategy.** For each of the respondent's "#1 ranked competencies", respondents shared a description of a strategy in 200 words or less that was utilized to bring the competency to life during a critical turning point in the change initiative.
- **Demographics.** Participants shared their title and role in the institution at the time in which the change transpired, institutional size, years of employment in the institution in which the change took place and years of employment within higher education in total, as well as gender, age, and cultural background. This optional information was collected to put responses in context broadly and may benefit future data analysis for items outside the scope

of this study (e.g. comparing use of competencies and strategies against gender, position, employment length, or institutional size).

Below are survey findings, starting with a demographic profile of respondents, then sharing competency survey selections and strategies employed broadly as well as a comparing them among academic and non-academic leader responses.

Demographic Profile of Survey Respondents

Survey respondent role affiliation within either academic or non-academic communities within a U. S., four-year, public higher education institution is noted below as well as their years of employment and demographic profile, comprising age, gender, and cultural background. In addition, the size of the institution worked within at the time of the change is provided as well as a description of the successful change initiative that the respondent led.

Role Affiliation. Respondents selected from a drop-down menu of seven options to depict their role, highlighting all that applied, and were prompted in an optional follow up question to share their position title. Of the 47 respondents, 98% (N=46) selected at least one formal leadership designation (either academic leader, non-academic leader, or the selection of both leader types to self-identify as a leader of both academic and non-academic members). One respondent indicated “other affiliation with a college or university” and stated the position title as ‘contract consultant’. Eighty-seven percent of respondents included their position title (N=46) as shown in Table 4.

Table 4

Survey Respondent Titles

Title	N	%
Academic Leader (N=24)		
Provost, Assoc. Provost, Vice Provost	3	6.3%
Dean	7	14.8%
Associate Dean	4	8.5%
Director, Teaching & Learning	4	8.5%
Academic Director	2	4.2%
Sr. Learning Specialist	1	2.1%
Not Provided	3	6.3%
Non-Academic Leader (N=23)		
President	1	2.1%
Chief Financial Officer	1	2.1%
Chief Information Officer	1	2.1%
Chief of Staff	2	4.2%
Associate Vice Chancellor HR	1	2.1%
Assistant Controller	1	2.1%
Vice President, Sr. AVP, Assoc./Asst. VP	4	8.5%
Head, Resource Acquisition & Mgmt.	1	2.1%
Director/Associate Director	5	10.6%
Manager	2	4.2%
Lead	1	2.1%
Contract Consultant	1	2.1%
Not Provided	2	4.2%
Total	47	100%

Most study participants were in a Dean (N=11), Director (N=11), or Cabinet (N=10) role. Furthermore, 23% of respondents selected faculty or staff affiliations in addition to an academic or non-academic formal leader affiliation (N=11). This shed insight into the identities of survey participants, yet did not play a role in the survey results as only the academic or non-academic affiliation was noted for these survey results, not title. For instance, two respondents, an AVP and a Director of Quality Improvement, also indicated that they were non-academic staff members. An Associate Provost and a Dean indicated that they were also ESS academic staff

members. For the purposes of this analysis, only the respondent's leadership role was considered. In an example of selecting multiple roles, 11% of respondents (N=5) highlighted a role of tenured faculty in addition to being a formal leader, with all but one indicating that they led academic members. The one who self-selected a non-academic leader designation had a title of Center for Teaching & Learning (CTL) Director (typically considered a role on the academic side of an institution as individuals provide faculty development). Finally, 15% of respondents (N=7) highlighted that they were leaders of *both* academic and non-academic members. For the purposes of conducting an independent samples two-tailed t-test, survey respondent roles were re-categorized to reflect one leader designation based upon the researcher's assessment of the respondent's primary functional area representation inferred from their title. Thirty-four percent of respondents' initial role selections were changed to assign them to just one of two categories, academic leader or non-academic leader (N=16). For instance, individuals with titles of Associate Provost, CTL, Dean and Associate Dean who initially selected non-academic leader were reassigned the role of academic leader based upon their traditional focus of serving predominately members of an academic community. Individuals with titles of President, AVP, Associate Vice Chancellor of HR, Associate Director of Quality Improvement, Assistant VP of Finance & Talent Management, CIO, CFO, and AVP/Chief of Staff who initially selected academic leader only or indicated that they were leaders of both academic and non-academic members were reassigned the role of non-academic leader based upon the traditional focus of predominately representing the staff side of the institution. The decision to re-categorize respondent original role selection was confirmed by 69% of the individuals who were reassigned (N=11) during the follow up interview. A table highlighting respondent role selection, title, and reassignments can be found in Appendix D. Survey responses were evenly distributed among

academic and non-academic leaders, with 51% (N=24) reflecting individuals with an academic affiliation and 49% reflecting individuals with a non-academic affiliation (N=23).

Years of Employment. Relatively little variation exists among academic and non-academic leader survey respondents in terms of their years of experience as shown in Table 5, with academic leaders employed at their institution an average of 11.55 years at the time of the self-reported successful organizational change and non-academic leaders employed an average of 12.22 years. Academic leaders had just slightly higher total experience in the higher education industry, with 23.38 years on average as compared to non-academic leaders with 19.04 years total. This might be explained by the number of years academic members spend in roles like graduate assistant, as one participant completing the survey indicated two different numbers for total number of years, one with their graduate assistant experience and one without. The researcher utilized the total with graduate assistant experience as this background serves to provide useful higher education knowledge that could be applied in an organizational change context.

Table 5

Survey Respondent Average Number of Years of Experience

	Average Years at Current Institution at Time of Change	Total Number of Years in Higher Education at Time of Change
Academic Leader	11.55	23.38
Non-Academic Leader	12.22	19.04

When looking at industry employment, it may be interesting to note that just under a third of survey respondents were in their role 2 years or less at the time of the change, with 29% of academic leaders (N=7) and 22% of non-academic leaders (N=5) potentially considered new

institutional members. This could be a contributing factor to others' receptiveness to their initiated change.

Demographics. Just over 90% of survey respondents completed the optional demographic questions. An introductory statement to the questions was provided to ease respondent comfort in sharing personal data which may have contributed to the relatively high response rate. Overall findings show that respondents were roughly split in terms of gender, had a mean age of 55.31, and were predominately white. In terms of gender, respondents were encouraged to check all options that applied, with 6 options noted in a drop-down menu, including female, male, female to male transgender, male to female transgender, gender-non-conforming, and other. Table 6 depicts the number and percentage of respondent selections; note that only two forms of gender were selected when respondents completed this question.

Table 6

Survey Respondent Gender

	N	Percentage
Male	23	48.9%
Female	20	42.6%
Missing	4	8.5%

The age range was 42 (minimum) to 71 (maximum) with a mean score of 55.3 years of age. To select the race/ethnicity with which they identified, respondents were encouraged to check all options that applied from a drop-down menu, including African American, American Indian or Alaskan Native, Asian/Asian American, Hispanic or Latina/o, Native Hawaiian or Pacific Islander, White, Other. Table 7 depicts responses with four races/ethnicities selected in total.

Table 7

Survey Respondent Race/Ethnicity

	N	Percentage
White	40	85.1%
African American	2	4.3%
Asian American	1	2.1%
Other	1	2.1%
Missing	3	6.4%

Institutional Size. The average size of the institution in which the change transpired was an enrollment size of 34,963 students (N=44). Two respondents noted explicitly that the featured change affected only a portion of the whole institution, just a College within the University, and likely inserted the student population size for that portion and not the full institution.

Change Type. Responses were roughly split among respondents in sharing the type of change of led in their institution as shown in Table 8. Nearly half of respondents indicated that their successful change was best described as first order, or one that continuously improved an existing process, system, or structure (44.7%, N=21) and just over half indicated that their successful change was best described as second order, or one that sought to completely break away from the past with the introduction of an entirely new process, system, or structure or the discontinuation of one (55.3%, N=26). Just over half of academic leaders (58%, N=14) shared an example of a successful change that was self-reported as first order and about two-thirds of non-academic leaders shared an example that was self-reported as second order change (65%, N=15).

Table 8

Type of Successful Change Featured by Leader Demographic

	Academic Leader		Non-Academic Leader	
	N	%	N	%
First Order	14	58%	8	35%
Second Order	10	42%	15	65%

The majority of respondent change initiative descriptions correlated with their change type selection. For example, culture transformations were respondent self-rated as second order, with examples including sparking “design thinking across the university” or “seeking input on how our campus can be more welcoming for students, faculty, staff, alumni and community members... the implementation of which particularly through a campus-wide innovation fund, will improve our culture”, and “I came in as dean to merge two colleges and a number of departments. My main goal was to begin to change the culture and to create a new identity for the college”. Process improvements were respondent self-rated as first order, with examples including “change the College’s promotion and tenure guidelines to reflect modern faculty practices including inventions and patents, industry research funding and multi-author papers and proposals”, “reorganization of academic programs to better serve students and enhance research programs”, and “streamline the staff scholarship process”. There was great variety in the change initiatives shared, however, Table 9 categorizes the most frequently described examples of organizational change. Groupings were devised to capture the essence of the type of change initiative. Respondent descriptions in 50 words or less were shared and in parentheses is a (‘1’) for first order or (‘2’) for second order to depict the respondent’s selection of change type as well as an (‘NL’) or (‘AL’) to indicate the respondent’s role affiliation (with ‘NL’ being non-academic leader and ‘AL’ being academic leader). Even though some examples don’t appear to

match perfectly with the definition in the survey for first and second order, it is possible that the work behind the scenes involved the type of activity as described in the definition. No researcher-changes were made to reassign original change types.

Table 9

Successful Change Initiatives Featured by Survey Respondents

Change Descriptions Shared By Researcher-Defined Categories	
Second Order	Culture Transformation, Values
	<ul style="list-style-type: none"> • <i>Design thinking across the university (2, NL)</i> • <i>Seeking input on how our campus can be more welcoming for students, faculty, staff, alumni and community members, our team developed recommendations, the implementation of which, particularly through a campus-wide innovation fund, will improve our culture (2, NL)</i> • <i>To shift the culture of and faculty practice around STEM teaching (1, AL)</i> • <i>We created a culture of sustainability involving staff with the University Agricultural Experiment Station. A group of 12 individuals were empowered to come up with way to improve extensive operations including staff well-being, reduced costs and reduced carbon footprint. (2, AL)</i> • <i>The institution was in the process of converting from primarily a commuter campus to a more full-service University. This required we institute a culture of national and international recruitment to increase the number and preparedness of applicants. (2, AL)</i>
	New Organizational Process, System or Elimination of a Process, System
	<ul style="list-style-type: none"> • <i>Implementation of a new campus-wide Human Resources (HR) system - known as "HR Design" - through a process of community engagement and partnership with key governance and stakeholder groups (2, NL)</i> • <i>My goal was to eliminate gainful employment programs and reporting requirements at the university (2, NL)</i> • <i>Converted from an outsourced internal audit function to one that was staffed by university staff (2, NL)</i> • <i>Implement and electronic graduate admission system. We were currently using CollegeNet ApplyWeb for our application. We added on Prospect and Admit to enhance recruitment (Prospect) and to make the admission process electronic and streamlined. (2, AL)</i> • <i>We implemented a Faculty/Staff Activity Reporting System (Digital Measures) (2, AL)</i>
	New Organizational Structure/Reorganization

	<ul style="list-style-type: none"> • <i>The vision is to create greater effectiveness and efficiency in the business functions of Finance and Accounting, Human Resources, Information Technology and Procurement (2, NL)</i> • <i>I came in as dean to merge two colleges and a number of departments. My main goal was to begin to change the culture and to create a new identity for the new college (2, AL)</i>
	<p>New Student/Community Program, Service</p> <ul style="list-style-type: none"> • <i>Provide residents access to educational broadband through our LTE broadband system. Create highest educated rural citizenry in the U.S., improve community educational opportunity, connect students from K through 20 and lifelong learners, and close the "Homework Gap"... (1, NL)</i>
	<p>New Personnel Practices, Programs, Services</p> <ul style="list-style-type: none"> • <i>To implement a more inclusive, equitable hiring strategy (2, NL)</i> • <i>The goal was to create a space where faculty could try innovative teaching strategies for active learning classrooms (missing, AL)</i>
First Order	<p>Process Improvements</p> <p>Improve Existing Organizational Process, System</p> <ul style="list-style-type: none"> • <i>Redesign the process for revising a student's academic record (2, NL)</i> • <i>Process efficiencies through technologies (2, NL)</i> • <i>Goal was to standardize load setting, load assignment and annual performance measures among tenured and non-tenured faculty (2, AL)</i> • <i>Streamline the staff scholarship (a HR benefit for employees and their dependents) process (1, AL)</i> • <i>Change the College's promotion and tenure guidelines to reflect modern faculty practices including inventions and patents, industry research funding and multi-author papers and proposals (1, AL)</i> • <i>The strategic initiative sought to increase enrollment, attract more research funding, and enhance the academic quality of the engineering programs (2, AL)</i> • <i>To provide greater access to more students, while containing cost and using technology (2, AL)</i> • <i>We develop a strategic plan that focused on increasing enrollment, attracting more research and scholarship funding, and enhancing the academic curriculum in the College of Engineering (1, AL)</i> <p>Improve Existing Student Programs, Services</p> <ul style="list-style-type: none"> • <i>Improve the collection and analysis of assessment and evaluation data (1, NL)</i> • <i>This change initiative involved a three-phased approach to collect necessary student learning assessment information from more than 400 academic programs (2, AL)</i>

	<ul style="list-style-type: none"> • <i>To improve maintenance of the library collection at (institution's) Library by unifying aspects of collection maintenance (missing, NL)</i> • <i>Ours primary goals were to have comprehensive architectural and organizational changes to our library's service points to improve user experience (2, AL)</i> • <i>Increase retention and graduation of undergraduate honors students (1, AL)</i> • <i>Alignment of library staffing resources with user needs (1, AL)</i> • <i>Reorganization of academic programs to better serve students and enhance research programs (2, AL)</i>
	<p>Improve Existing Personnel Practices, Programs, Services</p> <ul style="list-style-type: none"> • <i>To engage faculty in meaningful assessment of student learning and academic program review activities. (2, NL)</i> • <i>Peer observation of teaching as formative assessment as a prelude to required summative evaluation for promotion. This gives faculty a chance to improve their teaching, consider HIP assignments, etc. and also foster collegiality across campus (1, AL)</i> • <i>Goals were to improve administrative processes institution-wide and improve the culture among staff vis a vis change, flexibility and innovation (1, NL)</i> • <i>Improve the value, efficiency and effectiveness of the contracts and grants accounting services offered to the researchers (1, NL)</i> • <i>Increase the number of faculty using blended learning techniques as part of their class sections (2, AL)</i> • <i>Our institution, though my leadership has sought to increase the support for adjunct faculty and to create greater student success (2, AL)</i> • <i>Expansion of the College of Engineering faculty (1, AL)</i>
	<p>Professional Development/Leadership Development</p> <ul style="list-style-type: none"> • <i>The Voices of Staff Embracing Change team at [institution] instituted a change leadership speaker's series designed to showcase campus change leaders and experts and teach change practitioners (2, NL)</i> • <i>To change the leadership practices among management from a culture of command and control to one of coaching and collaboration both within and between departments. Provide a common language of management at all levels from supervisor to VP. (2, NL)</i> • <i>Enhance leadership development (1, NL)</i> • <i>The goal of the Leadership Standards Initiative (LSI) is to establish clear, consistent and transparent leadership expectations for all supervisors of the university, in order to preserve and strengthen (institution's) strong community culture. The LSI provides a framework for employee recruitment, orientate... (1, NL)</i>

	<ul style="list-style-type: none"> • <i>To introduce and integrate strategic leadership development into a reactive culture. The goals were to address strategic thinking, developing relationship-building and enhance self-awareness and leadership orientation to senior level staff and faculty leaders. (missing, NL)</i> • <i>Providing improved professional development for early career faculty (1, AL)</i> • <i>Separate supervisory skills from leadership skill, enhance the learning experience (1, AL)</i>
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Change Initiative Status. Three options were available for survey respondents to select from to share the current state of the featured change: planned, but not implemented, implemented but not institutionalized, and institutionalized. Planned was defined as preparation activities having been conducted, implementation was defined as organizational members conducting new work but not necessarily fully accepting of the procedure, and institutionalization was defined as the change being embedded within the culture and no longer seen as a change since it is now part of normal behavior and expectations. Of the 47 unique change initiatives shared, about half were in the implementation phase (51%, N=24) and half were in the institutionalization phase (47%, N=22). Only one was in the planning phase (2%).

With the above description of survey respondent role, years of employment, demographics, institutional size, change type and change status highlighted, three key concepts were explored: 1) what competencies and strategies were perceived to be important in leading successful change, 2) what differences, if any, existed in competency perceived importance/strategy use by academic and non-academic leaders, and 3) when in the change process were these competencies and strategies utilized.

Competencies Perceived Important to All Higher Education Change Leaders

Of the nine averaged competencies, all were rated highly and had little variance among scores, as shown in Table 10. On a 7-point scale, with 7 indicating the competency was

extremely important to the leader's ability to achieve successful higher education change, the means ranged from 5.41 (5 represented moderately important) to 6.21 (6 represented very important). Of note are the highest rated competencies of resilience, personal learning, and emotional engagement and the lowest rated competency among all leader populations, being a culture architect/resource advocate.

Table 10

Perceived Importance by Averaged Competency

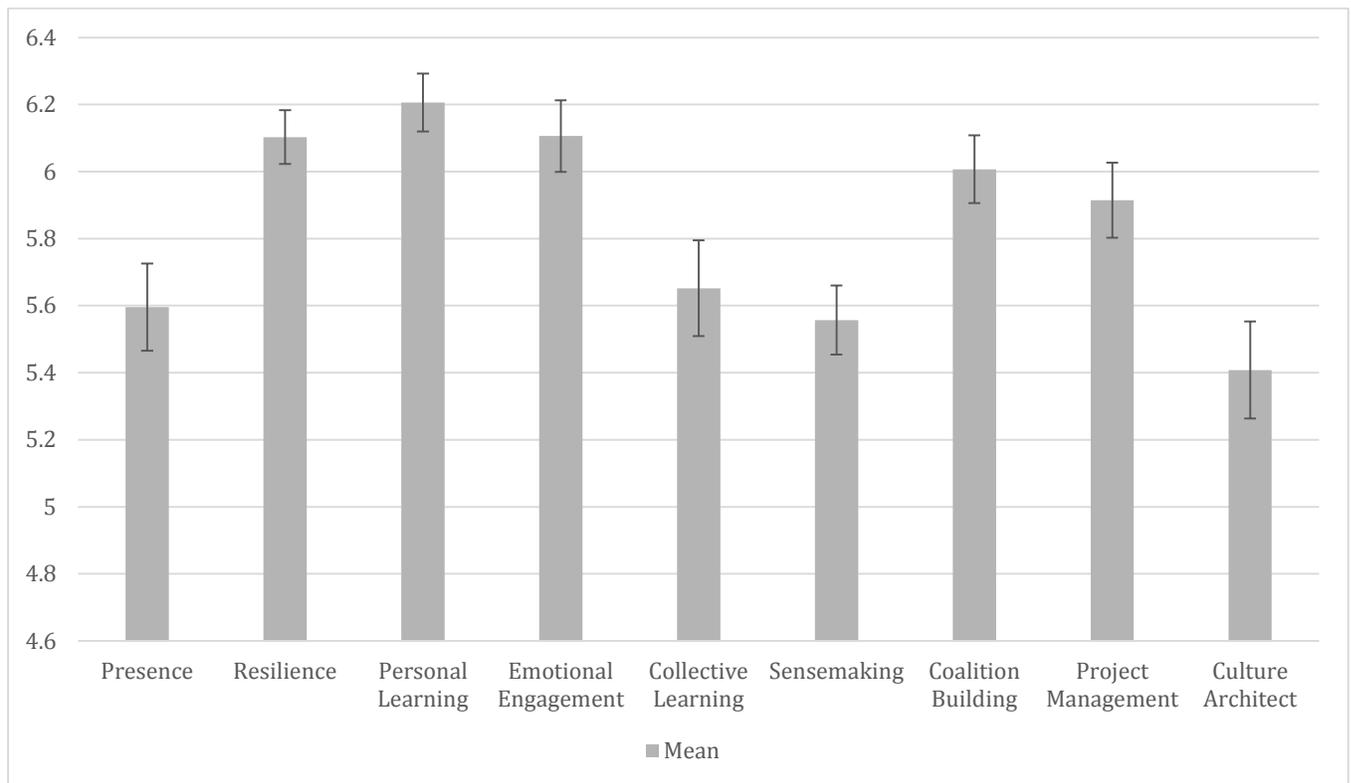
Competency	Averaged Competency Means and Standard Deviations						
	All Leaders (N=47)			Academic Leaders (N=24)		Non-Academic Leaders (N=23)	
	Mean	SD	Range Min, Max	Mean	SD	Mean	SD
Presence	5.60	.89	3.33, 7.00	5.54	1.05	5.65	.71
Resilience	6.10	.55	4.00, 7.00	6.05	.59	6.16	.51
Personal Learning	6.21	.59	4.00, 7.00	6.26	.57	6.14	.62
Emotional Engagement	6.11	.74	3.67, 7.00	6.11	.77	6.10	.73
Collective Learning	5.65	.98	1.67, 7.00	5.57	.84	5.74	1.11
Sensemaking	5.56	.71	4.33, 6.67	5.44	.75	5.67	.65
Coalition Building	6.01	.69	4.33, 7.00	5.83	.76	6.19	.58
Project Management	5.91	.77	3.67, 7.00	5.94	.63	5.88	.90
Culture Architect/ Resource Advocate	5.41	1.0	3.00, 7.00	5.29	1.13	5.53	.85

Two of the three highest rated competencies were clustered in the leading self category (resilience and personal learning). When the three averaged competencies within each cluster were again averaged, the leading self category appeared to be rated more highly (M=5.97) as

compared to the leading others and the leading the organization categories ($M=5.77$ for both). However, a one-way repeated measure ANOVA determined that there was no statistical significance among the average scores for these three clusters, $F(2, 82)=2.86$, $p=0.06$, although there was a statistically significant difference between the nine proposed competencies, $F(8, 368)=9.84$, $p<0.00$. The means and one standard error (shared in brackets) for each competency using a one way repeated measure ANOVA are provided in Figure 14.

Figure 14

Repeated Measure ANOVA for Differences Among Perceived Importance of Competencies



In a follow-up pairwise comparison with Bonferroni correction for which all findings are listed in Table 11, statistically significant mean differences were found among the following competencies:

- **Resilience** was rated significantly higher in perceived importance than presence (with a mean increase of .51, SE=.10, $p<0.001$), sensemaking (with a mean increase of .55, SE=.12, $p=.001$), and being a culture architect/resource advocate (with a mean increase in perceived importance of .70, SE=.15, $p=.001$).
- **Personal learning** was rated significantly higher in perceived importance than presence (with a mean increase of .61, SE=.11, $p<0.001$), collective learning (with a mean increase of .55, SE=.138, $p=.008$), sensemaking (with a mean increase of .65, SE=.09, $p<0.001$), and being a culture architect/resource advocate (with a mean increase of .80, SE=.15, $p<0.001$).
- **Emotional engagement** was rated significantly higher in perceived importance than presence (with a mean increase in perceived importance of .51 SE=.15, $p=.04$), sensemaking (with a mean increase in perceived importance of .55, SE=.122, $p=.002$) and being a culture architect/resource advocate (with a mean increase in perceived importance of .70, SE=.14, $p<0.001$).
- **Coalition building** was rated significantly higher than being a culture architect/resource advocate (with a mean increase of .60 SE=.10, $p<0.001$).
- **Project management** was rated significantly higher than being a culture architect/resource advocate (with a mean increase of .51, SE=.14, $p=.036$).

When the proposed competencies were compared, four were found to be statistically higher than the others and rated highest individually overall in terms of mean rating for perceived importance (resilience, personal learning, emotional engagement/creating a safe space, and coalition building). Four were found to be statistically lower than the other competencies

with being a culture architect/resource advocate rated the lowest overall (presence, sensemaking, collective learning, and being a culture architect/resource advocate).

Table 11

Mean Difference and P-Value for Each Pairwise Comparison among Important Competencies

	Pres.	Res.	Pers. Lrng.	Em. Eng.	Coll. Lrng.	Sense- making	Coalition Building	Project Mgmt.	Culture Architect
Presence		-.51, .00	-.61, .00	-.51, .04	-.06, 1.00	.04, 1.00	-.41, .17	-.32, 1.00	.19, 1.00
Resilience	.51, .00		-.10, 1.00	-.00, 1.00	.45, .12	.55, .00	.10, 1.00	.19, 1.00	.70, .00
Personal Learning	.61, .00	.10, 1.00		.10, 1.00	.55, .01	.65, .00	.20, 1.00	.29, .14	.80, .00
Emotional Engagement	.51, .04	.00, 1.00	-.10, 1.00		.45, .12	.55, .00	.01, 1.00	.19, 1.00	.70, .00
Collective Learning	.06, 1.00	-.45, .12	-.55, .01	-.45, .12		.10, 1.00	-.36, .50	-.26, 1.00	.25, 1.00
Sensemaking	-.04, 1.00	-.55, .00	-.65, .00	-.55, .00	-.10, 1.00		-.45, .02	-.36, .23	.15, 1.00
Coalition Building	.41, .17	-.10, 1.00	-.20, 1.00	-.10, 1.00	.36, .50	.45, .02		.09, 1.00	.60, .00
Project Management	.32, 1.00	-.19, 1.00	-.29, .14	-.19, 1.00	.26, 1.00	.36, .23	-.09, 1.00		.51, .04
Culture Architect	-.19, 1.00	-.70, .00	-.80, .00	-.70, .00	-.25, 1.00	-.15, 1.00	-.60, .00	-.51, .04	

Differences in Competency Importance by Academic/Non-Academic Affiliation

An independent-samples 2-tailed t-test was conducted to compare the mean differences among academic and non-academic leader survey responses on the perceived importance of a set of nine competencies defined from the literature review. These nine were divided into three competency clusters, including three personal competencies grouped under the heading leading self, three social competencies grouped under the heading leading others, and three cognitive/tactical competencies grouped under the heading leading the organization.

The following assumptions were met for the use of this form of analysis:

- **Scale data** was used to measure the dependent variable, perceived importance of each competency in achieving a successful organizational change.
- **Random selection** was utilized to obtain the independent variable comprised of two groups leaders, academic and non-academic. Two samples were taken of two independent populations of leaders in U. S. public, four year institutions. No leader was included in both groups; thus, the two groups were independent. Samples were roughly equivalent among academic leaders (N=24) and non-academic leaders (N=23).
- **Competency scores followed a normal distribution curve and assumption of equal variances between the two groups were met** (assessed by Levene's test). Four outlier scores were found, however, therefore to check whether the results were affected by them three tests were conducted – one with the outliers, one without them, and one reassigning them to the 5th percentile score.
- Each average competency rating was associated with only one independent group of leaders.

One significant limitation, however, was that the sample size of each participant group was below the minimum required by G*Power of 64 leaders in each of the two groups (academic leader and non-academic leader) to achieve an effect size of .5.

Results. Each of the three competency clusters comprised three competencies, and for each of those three competencies, three behavioral indicators were rated in terms of perceived importance for leading successful change. The mean score for the three behaviors were averaged for each competency. For instance, in the personal competency cluster, three competencies were proposed (presence, resilience, and personal learning). Survey respondents were given three

behaviors per competency to rate [e.g., for presence, this included 1) the ability to tune in to one's reactions and calmly respond, 2) to be a non-anxious presence in a sea of anxiety, and 3) to connect with others involved in the change at an emotional level, showing vulnerability and allowing others to do the same]. The importance ratings were averaged by respondent across these three behaviors to create one average score for presence utilized in this study. This is an example of one out of nine total averaged competency scores, the outcome measure used in these t-tests. Averaging the behavior scores across each competency increased the variance within each competency cluster but decreased the number of total tests run and thus decreased the false alarm rate, or the potential for testing error. Additionally, Z-scores were calculated for each competency to identify if outliers were present. Any score outside of the desired range of one standard deviation point, $|\pm 3.29|$, was considered an outlier. Four outliers were found in total across all survey responses for these 9 averaged competencies: resilience (4.0), personal learning (4.0), emotional engagement (3.67), and collective learning (1.67). On a 7-point rating scale of importance, the averaged scores of 4 indicate a neutral rating and 1.67 indicate a low to not at all important rating. T-tests were calculated using SPSS version 24 for each of the nine averaged competency scores three times: once with the outliers, once excluding the outliers, and once reassigning scores using the Winsorized approach. In each case, there were no significant findings.

T-Test Including Outliers. There was not a significant difference in the t-test scores for the nine averaged competency raw scores *including* outliers as shown in Table 12. Levene's test showed that equal variance assumptions were met, $p > .061$.

Table 12

Independent Samples Test on Raw Data Including Outliers

Competency	Academic Leader (N=24)		Non-Academic Leader (N=23)		T Test	
	Mean	SD	Mean	SD	T	p
Presence	5.54	1.05	5.65	.71	t(45)=-.42	.68
Resilience	6.05	.59	6.16	.51	t(45)=-.69	.50
Personal Learning	6.26	.57	6.14	.62	t(45)=.69	.50
Emotional Engagement	6.11	.77	6.10	.72	t(45)=.04	.97
Collective Learning	5.57	.84	5.74	1.11	t(45)=-.59	.56
Sensemaking	5.44	.75	5.67	.65	t(45)=-1.12	.27
Coalition Building	5.83	.76	6.19	.58	t(45)=-1.80	.08
Project Management	5.94	.63	5.88	.90	t(45)=.27	.79
Culture	5.29	1.13	5.53	.85	t(45)=-.81	.42

T-Test Excluding Outliers. Independent sample t-tests showed that there was not a significant difference for the nine-averaged competency raw scores *excluding* outliers as shown in Table 13. The outliers for each averaged competency score were detected based upon cutoffs of $|Z|$ over 3.29. The following cases were detected as outliers: row 10 on average resilience (score 4.0), row 38 on average personal learning (score 4.0), row 9 on average emotional engagement (score 3.67), and row 9 on average collective learning (score 1.67). In the current analysis, these cases were excluded in a listwise manner. Levene's test showed that equal variance assumptions were met, $p > .145$.

Table 13

Independent Samples Test on Raw Data Excluding Outliers

Competency	Academic Leader			Non-Academic Leader			T Test	
	N	Mean	SD	N	Mean	SD	T	p
Presence	24	5.54	1.05	23	5.65	.71	t(45)=-.42	.68
Resilience	23*	6.14	.40	23	6.16	.51	t(45)=-.16	.87
Personal Learning	24	6.26	.57	22*	6.26	.41	t(44)=.15	.89
Emotional	24	6.11	.77	22*	6.21	.50	t(44)=-.52	.60
Engagement								
Collective Learning	24	5.57	.84	22*	5.92	.69	t(44)=-1.55	.13
Sensemaking	24	5.44	.75	23	5.67	.65	t(45)=-1.12	.27
Coalition Building	24	5.83	.76	23	6.19	.58	t(45)=-1.80	.08
Project	24	5.94	.63	23	5.88	.90	t(45)=.27	.79
Management								
Culture	24	5.29	1.13	23	5.53	.85	t(45)=-.81	.42

Note: * Group impacted by the exclusion of an outlier score.

T-Test with Winsorized Approach. There was not a significant difference in the t-test scores for the nine-averaged competency *reassigned* scores as shown in Table 14. The four outlier scores were first changed to reflect the 5th percentile. This then created a cascade effect whereby four additional scores became outliers because they too fell below the 5th percentile score. In total eight scores were changed to reflect the 5th percentile score. Specifically, in average resilience row 10, score 4.0 and row 38, score 5.0 were changed to reflect the 5th percentile score of 5.13. In average personal learning, row 38, score 4.0 and row 35, score 4.67 was changed to 4.93. In average emotional engagement, row 9, score 3.67 and row 10, score 4.10 was changed to 4.27. And in collective learning, row 9, score 1.67 and row 17, score 3.67 was changed to 3.8. Levene's test for equal variance assumptions were met, $p > .061$.

Table 14

Independent Samples Test Using Winsorized Approach

Competency	Academic Leader (N=24)		Non-Academic Leader (N=23)		T Test	
	Mean	SD	Mean	SD	T	P
Presence	5.54	1.05	5.7	.71	t(45)=-.42	.68
Resilience	6.10*	.45	6.16*	.50	t(45)=-.50	.62
Personal Learning	6.27*	.54	6.19*	.49	t(45)=.59	.56
Emotional Engagement	6.12*	.73	6.13*	.64	t(45)=-.03	.98
Collective Learning	5.58*	.83	5.83*	.81	t(45)=-1.08	.29
Sensemaking	5.44	.75	5.67	.65	t(45)=-1.12	.27
Coalition Building	5.83	.76	6.19	.58	t(45)=-1.80	.08
Project Management	5.94	.63	5.88	.90	t(45)=.27	.79
Culture	5.29	1.13	5.53	.85	t(45)=-.81	.42

Note: * Group impacted by a score reassigned to the 5th percentile.

In summary, independent t-test findings on nine averaged proposed competencies for leading change in higher education were not significant. With four outlier scores found out of the 47 total survey respondent averaged competency scores, three tests were conducted: one with the outliers, one without them, and one reassigning them to the 5th percentile. Therefore, this study shows that survey respondents did not perceive a significant difference in the perceived importance of the nine proposed competencies based upon their role affiliation (leader of predominately academic members or leader of predominately non-academic members). This is likely due to the small sample size of each participant group, with N=23 for non-academic leaders and N=24 for academic leaders, these groups were well below the minimum required by G*Power of 64 leaders in each group to achieve an effect size of .5.

Differences in Top Ranked Competency Clusters

For each of the three competency clusters, personal competencies, social competencies, and cognitive/tactical competencies, a comparison using chi-square test of independence was run to identify if there were any significant differences in the top rankings by higher education change leader affiliation (academic or non-academic). With a sample size of 47, however, a significant limitation existed in that the minimum sample requirement of 88 was not obtained – this was needed for a medium effect size, .05 significance level, and .80 power as indicated by G*Power. Despite this, chi-square testing commenced, having met the following assumptions necessary for this 2 x 4 crosstabulation:

- **Two Nominal Variables were Utilized.** Leader role, academic and non-academic, and competencies were both nominal variables. A separate crosstabulation was run by competency cluster, each reflecting three proposed competencies as well as one additional reference for respondents who selected the optional other write-in category. Note: respondents ranked their top 3 competencies, but for the purposes of this test, only the #1 ranking was referenced. There was a total of 11 possible behaviors for each of the three competency clusters - three behaviors defined each of the three competencies per cluster – plus two additional ‘other’ write-in options provided.
- **Independence of Observations.** Survey respondents were referenced only once, in either the academic or non-academic role. No participant was included in the data set for both roles.
- **Cross Sectional Sampling.** Data collection for all survey respondents occurred during the same timeframe.

- **Expected Counts Greater Than or Equal to Five.** This assumption was *not* met. To increase the likelihood of higher expected counts, competencies were reduced down to 4 instead of the up to 11 options available per cluster, including the 3 competencies per cluster plus one additional option to reflect the total ‘other’ write in category. This meant that for 23 non-academic leaders and 24 academic leaders, at first glance there was a one in four possible chance of selecting a competency (or 5.75 expected count), however, SPSS analysis determined that 50% of cells had expected counts that fell below 5. The findings in this section do represent this 2 x 4 framework. As an experiment, however, the test was run again with the removal of the fourth, ‘other’ competency and left those cells as missing values. This did not increase the number of expected counts as hoped – SPSS analysis determined that 33.3% of cells had expected counts that fell below 5. The sample size is a significant limitation to the ability to generalize findings from this analysis to the larger population.

The null and alternative hypothesis for this chi square test of independence was:

- H_0 : Leader Role and Competency Selection are independent
- H_A : Leader Role and Competency Selection are not independent

Differences in Personal Competency Use by Leader. A chi-square test of independence was conducted between leader role and top ranked personal competency used to influence the survey respondent’s successful change outcome as shown in Table 15. Fifty-percent of expected cell frequencies, however, were below 5, with a minimum expected count of 3.91. There was a statistically significant association between role and personal competency, $\chi^2 (3) = 8.713$, $p < .033$. The association was large (Cohen, 1988 as cited in Laerd Statistics, 2016), Cramer’s $V = .431$. The null hypothesis can be rejected and the alternative hypothesis can be accepted for this

competency cluster. Of note is the relatively large frequency of selection by non-academic leaders of the resilience competency, which was selected by 43.5% of survey respondents in this role and higher than the expected count of 7.8, and the use of the ‘other’ write-in competency category by academic leaders, which was selected by 33.3% of survey respondents in this role and much higher than the expected count of 4.6 as well as personal learning with little variation between observed and expected counts.

Table 15

Crosstabulation of Leader Role and Top Personal Competency

Type of Leader	Personal Competency Options			
	Presence	Resilience	Personal Learning	Other
Academic Leader	2 (-1.6)	6 (-1.3)	8 (.5)	8 (2.5)
Non-Academic Leader	6 (1.6)	10 (1.3)	6 (-.5)	1 (-2.5)

Note: Adjusted residuals appear in parentheses below observed frequencies, other counts represent ‘write-in’ competencies.

The write-in personal competencies shared in the two ‘other’ categories are listed below, with the first 8 representing those that were top ranked and the remainder shared to illustrate the concepts respondents felt important but not included in the proposed competency framework up to that point in the survey (only the nine personal competencies were shared at this juncture, therefore some competencies were duplicative of those proposed later in the survey, such as project management):

1. Innovation
2. Ability to collaborate effective with many constituencies

3. Persistence
4. Project management knowledge & experience
5. Passion & belief in the purpose of the initiative
6. A thorough understanding of the formal & informal structure of the university
7. Caring
8. Understanding that individuals & groups are in different stages of readiness for change and being flexible to accommodate where they are
9. Take time to learn the history of other projects
10. How/when to tell leadership when I needed help
11. Creativity
12. Ability to use humor
13. Execution to strategic priorities
14. Strategic alignment
15. Humility
16. Commit to personal values & integrity – building trust
17. Communicative
18. Empowerment? Trust?

Differences in Social Competency Use by Leader. A chi-square test of independence was conducted between leader role and top ranked social competency contributing to the survey respondent's successful change outcome as shown in Table 16. Fifty-percent of expected cell frequencies, however, were greater than 5, with a minimum expected count of .98. There was not a statistically significant association between role and social competency, $\chi^2 (3) = 2.282$, $p = .516$. The association was moderate (Cohen, 1988 as cited in Laerd Statistics, 2016), Cramer's V

= .220. Of note is the relatively large frequency by both leaders of the emotional engagement/creating a safe space competency, which was selected by 52.2% of academic leader and 47.8% of non-academic leader survey respondents. Both observed counts were just slightly higher than expected counts (11.7 and 11.3 respectively).

Table 16

Crosstabulation of Leader Role and Top Social Competency

Type of Leader	Social Competency Options			
	Emotional Engagement	Sensemaking	Collective Learning	Other
Academic Leader	12	3	9	0
Non-Academic Leader	11	2	8	2

Note: Numbers represent observed frequencies, other counts represent 'write-in' competencies.

The write-in social competencies shared in the two 'other' categories are listed below, with the first 2 representing those that were top ranked and the remainder shared to illustrate the concepts respondents felt important but not included in the proposed competency framework up to that point in the survey:

1. Reiterate the vision
2. Business acumen
3. Results focus
4. Leadership team consistent message
5. Provide structure
6. Showcase faculty leaders who have already made the change

Differences in Cognitive/Tactical Competency Use by Leader. A chi-square test of independence was conducted between leader role and top ranked cognitive/tactical competency

used to contribute to the survey respondent's successful change outcome as shown in Table 17. Fifty-percent of expected cell frequencies, however, were greater than 5, with a minimum expected count of .98. There was not a statistically significant association between role and cognitive/tactical competency, $\chi^2(3) = .122$, $p = .989$. The association was small (Cohen, 1988 as cited in Laerd Statistics, 2016), Cramer's $V = .051$. Of note is the relatively large frequency by both leaders of the coalition building/networking competency, which was selected by 50% of academic leader and 52.2% of non-academic leader survey respondents in this role and with a very similar expected count of 12.3 and 11.7 respectively.

Table 17

Crosstabulation of Leader Role and Top Cognitive/Tactical Competency

Type of Leader	Cognitive/Tactical Competency Options			
	Coalition Building	Project Management	Culture/Resources	Other
Academic Leader	12	7	4	1
Non-Academic Leader	12	7	3	1

Note: Numbers represent observed frequencies; other counts indicate missing values.

The write-in cognitive/tactical competencies shared in the two 'other' categories are listed below, with the first 2 representing those that were top ranked and the remainder shared to illustrate the concepts respondents felt important but not included in the proposed competency framework up to that point in the survey:

1. Be an active participant and role model in the change
2. Consistently communicating and often to constituents and incoming or new stakeholders

3. Proficiency in a change approach or methodology
4. Assessment of change fatigue issues
5. Rewarding those who offered supported – as in, brownies

In summary, only the personal competencies were found to be statistically significant in the association between leader role and top ranked competency, with non-academic leaders selecting resilience most frequently and academic leaders opting to write in a competency and select personal learning most frequently. The write-in competencies were diverse and ranged from skills and characteristics in innovation, collaboration, project management, persistence, passion/belief in the change initiative, organizational knowledge, and flexibility. Some of these were included in the proposed framework (e.g. persistence and flexibility already were personal competencies, collaboration was a social competency in the leading others cluster, and project management was a cognitive/tactical competency in the leading the organization cluster) and some were new concepts such as innovation, passion, and organizational knowledge.

Differences in When Top Ranked Competencies Were Needed in the Change Phase

To determine when each type of leader used their top ranked competency in each competency cluster, frequencies or counts were provided based upon the survey respondent's selection of one or more change phases in which the top ranked competency was most critical. The three behaviors for each competency were individually ranked on the survey, however were combined into the one competency to ensure the frequencies in this section were consistent with the chi-square results provided earlier. Up to seven combinations of phases could have been selected for a given top ranked competency, indicating it was most critical during any combination of the planning, implementation, or institutionalization phases. Table 18 illustrates the phase of change in which the top ranked personal competencies were most critical.

Table 18

Frequency & Percentage of Top Ranked Personal Competency Occurrence by Change Phase

Change Phase	Top Ranked Personal Competency							
	Presence		Resilience		Personal Learning		Other	
	N	%	N	%	N	%	N	%
Planning	1	12.5%	3	18.8%	3	21.4%	2	22.2%
Implementation	2	25%	3	18.8%	0	0	1	11.1%
Institutionalization	0	0	1	6.3%	1	7.1%	1	11.1%
Planning & Implementation	4	50%	0	0	4	28.6%	2	22.2%
Implementation & Institutionalization	1	12.5%	3	18.8%	3	21.4%	0	0
Planning, Implementation & Institutionalization	0	0	5	31.3%	3	21.4%	2	22.2%
Planning & Institutionalization	0	0	1	6.3%	0	0	1	11.1%
Total	8	100%	16	100%	14	100%	9	100%

A total of 8 leaders selected presence as their top ranked personal competency, 75% of whom had a non-academic affiliation. The phase of change this competency was most critical to be utilized within for academic leaders (N=2) was split between just the implementation phase (50%) and jointly in the planning and implementation phase (50%). Non-academic leaders (N=6) indicated this competency was most critical most often in jointly the planning and implementation phase (50%) as well as in planning phase (16.67%), implementation phase (16.67%), and jointly in the implementation and institutionalization phase (16.67%). A total 16 leaders selected resilience as their top ranked personal competency, the largest of any personal

competency, 62.5% of whom were non-academic (N=10). Forty percent of non-academic leaders spoke of this competency as being critical in all three phases of change. The phase of change this competency was most critical to be utilized within for academic leaders (N=6) was most frequently implementation (33.33%) as well as planning (16.67%), institutionalization (16.67%), jointly implementation and institutionalization (16.67%), and all three phases of change including planning, implementation, and institutionalization (16.67%). A total of 14 leaders selected personal learning as their top ranked personal competency, 57% of whom were non-academics. The phase of change this competency was most critical to be utilized within for academic leaders (N=8) most frequently occurred jointly in planning and implementation (37.5%) as well as in planning (25%), institutionalization (12.5%), jointly implementation and institutionalization (12.5%), and jointly within all three phases including planning, implementation, and institutionalization (12.5%). Finally, 9 leaders selected the 'other', write-in competency, 89% of whom were academic. The phase of change this competency was most critical within included planning (25%) and all three phases of change jointly (25%) as well as in implementation (11%), institutionalization (11%), and jointly in planning and institutionalization (11%).

The timing for when these three proposed personal competencies for leading oneself were utilized tended to be more often in the planning and/or the implementation phase and least often in the institutionalization phase. This was the highest scenario for the competency of presence whereby 75% of respondents who ranked it as a number one competency for this cluster used it in either or both the planning and implementation phases, with none selecting all three change phases and none selecting just the institutionalization phase. Personal learning was selected by 50% of respondents who ranked it as a number one competency for either or both the planning

and implementation phase, with 21.4% of respondents selecting all three change phases and 7.1% selecting institutionalization. Finally, resilience was nearly evenly split in terms of respondents who used it in either or both just the planning and implementation phases and those who selected all three change phases, with 37.6% and 31.3% respectively, and 6.3% selecting just the institutionalization phase.

Table 19 illustrates the phase of change in which the top ranked social competencies were most critical.

Table 19

Frequency & Percentage of Top Ranked Social Competency Occurrence by Change Phase

Change Phase	Top Ranked Social Competency							
	Emotional Engagement		Sensemaking		Collective Learning		Other	
	N	%	N	%	N	%	N	%
Planning	1	4.3%	0	0	0	0	0	0
Implementation	4	17.4%	0	0	3	17.6%	0	0
Institutionalization	1	4.3%	0	0	1	5.9%	0	0
Planning & Implementation	6	26%	3	60%	4	28.57%	1	50%
Implementation & Institutionalization	0	0	0	0	3	23.5%	0	0
Planning, Implementation & Institutionalization	11	47.8%	2	40%	6	35.3%	1	50.2%
Planning & Institutionalization	0	0	0	0	0	0	0	0
Total	23	100%	5	100%	17	100%	2	100%

A total of 23 leaders, nearly evenly split among the two role categories, selected emotional engagement/creating a safe space as their top ranked social competency. This was the highest selected competency within the social cluster. The phase of change this competency was most frequently found to be critical to be utilized within for academic leaders (N=12) was jointly in all three phases of change including planning, implementation and implementation phase (58%) as well as within planning (8.3%), implementation (8.3%), institutionalization (8.3%), and jointly within planning and implementation (16.7%). Non-academic leaders (N=11) indicated this competency was most critical in two primary phases, planning and implementation (36.4%) and all three phases of change jointly (36.4%) as well as within implementation only (27.3%). Sensemaking was least often selected as a primary social competency, occurring most often for academic leaders (N=3) in all three phases of change jointly (67%) and jointly in planning and implementation (33%). Non-academic leaders (N=2) selected this competency as critical within only the planning and implementation phase (100%). Collective learning was selected by 17 leaders, nearly evenly split among the two leader categories, with academic leaders (N=9) most frequently indicating that it was most critical in all three phases of change (44%) as well as within implementation (22%), institutionalization (11%), and planning/implementation (11%) and implementation/institutionalization (11%). Non-academic leaders (N=8) most often selected planning/implementation (37.5%), implementation/institutionalization (25%), and all three phases of change (25%) for when this competency was most critical, as well as within implementation only (12.5%). Only two non-academic leaders selected the 'other', write in competency, with one indicating that it was critical in the planning/implementation phase (50%) and one indicating that it was critical in all three phases of change (50%).

The timing for when these three proposed social competencies for leading others were utilized tended to be equally in the planning and/or the implementation phase or the combination of all three phases and least often in the institutionalization phase. This was the case for both the emotional engagement and the collective learning competencies, with ratings of 47.7% and 47.8% respectively by respondents who selected emotional engagement as the number one competency out of this cluster and ratings of 46.2% and 35.3% respectively for those who ranked collective learning the highest. The change phase of institutionalization only was selected by 4.3% for emotional engagement and 5.9% for collective learning. Sensemaking, however, had a little more variance, with 60% of respondents who ranked it as a number one competency determined it was used in either or both the planning and implementation phases and 40% selecting all three change phases from this menu, with none selecting the institutionalization phase.

Table 20 illustrates the phase of change in which the top ranked cognitive/tactical competencies, the last competency cluster, were most critical.

Table 20

Frequency & Percentage of Top Ranked Cognitive/Tactical Competency Occurrence by Change Phase

Change Phase	Top Ranked Cognitive/Tactical Competency							
	Coalition Building		Project Management		Culture/ Resources		Other	
	N	%	N	%	N	%	N	%
Planning	3	12.5%	1	7.1%	1	14.3%	0	0
Implementation	2	8.3%	0	0	0	0	0	0
Institutionalization	2	8.3%	1	7.1%	0	0	0	0
Planning &	5	20.8%	4	28.6%	1	14.3%	0	0

Change Phase	Top Ranked Cognitive/Tactical Competency							
	Coalition Building		Project Management		Culture/Resources		Other	
	N	%	N	%	N	%	N	%
Implementation								
Implementation & Institutionalization	1	4.2%	2	14.3%	1	14.3%	0	0
Planning, Implementation & Institutionalization	11	45.8%	6	42.9%	4	57.1%	0	0
Planning & Institutionalization	0	0	0	0	0	0	0	0
Total	24	100%	14	100%	7	100%	0	100%

The most frequently selected top cognitive/tactical competency was coalition building/networking, evenly split among both leader categories. This was identified to be most critical to academic leaders (N=12) in all three phases of change (50%) as well as within the planning/implementation phase (17%), implementation phase (17%), planning (8%) and institutionalization (8%). Non-academic leaders (N=12) selected this competency as critical with all three phases most frequently as well (42%) and also in the planning/implementation phase (25%), planning (17%), and institutionalization (8%) and implementation/institutionalization (8%). A total of 14 leaders, evenly split among the two role categories, selected project management as their top ranked cognitive/tactical competency. The phase of change this competency was most frequently found to be critical to be utilized within for academic leaders (N=7) was jointly in all three phases of change (57%), as well as within institutionalization (14%), planning/implementation (14%), and implementation/institutionalization (14%). Non-academic leaders (N=7) found this competency critical most often in the planning/

implementation phase (43%), implementation/institutionalization (14%), and all three phases of change (29%). The competency of being a culture architect/resource advocate was least frequently selected, as academic leaders (N=4) shared it to be most critical in all three phases of change (50%) or in planning (25%) or planning/implementation (25%). Non-academic leaders (N=3) selected it as critical in all three phases of change (67%) and in implementation/institutionalization (33%).

The timing for when these three proposed cognitive/tactical competencies for leading the organization were utilized tended to be equally in the planning and/or the implementation phase or the combination of all three phases and least often in the institutionalization phase. This was the case for both the networking/coalition building and the project management competencies, with ratings of 41.6% and 45.8% respectively by respondents who selected networking/coalition building as the number one competency out of this cluster and ratings of 32.7% and 42.9% respectively for those who ranked project management the highest. The change phase of institutionalization only was selected by 8.3% for networking/coalition building and 7.1% for project management. Being a culture architect/resource advocate, however, had a little more variance, with only 28.6% of respondents who ranked it as a number one competency determined it was used in either or both the planning and implementation phases and 57.1% selecting all three change phases from this menu, with none selecting the institutionalization

In summary, most number one ranked competencies were needed either in the planning and/or implementation phase or in the combination of all three phases. Only four competencies had a less equitable distribution favoring one or the other of these two options. Presence, personal learning, and sensemaking were more often used in either or both the planning and implementation phases and being a culture architect/resource advocate was used most often in

the combination of all three change phases. Institutionalization-only as a change phase in which the competency was used was selected significantly less often. The combination of planning/implementation/institutionalization change phase was selected 51 times or an average of 17 times per competency cluster. The second most selected phase was the planning/implementation phase (when respondents selected both of these phases), as it occurred 34 times or an average of 11 times per competency cluster. Both had a significantly higher than average expected occurrence out of the 7 possible change phase options, with all three phases selected 37% of the time by participants and the planning/implementation phase selected 25% of the time. The phase least likely to be selected was institutionalization (N=8, 5.7% of participants selected it across all three competency clusters) and the planning/institutionalization combination (N=2, 1.4% of participants selected it across all three competency clusters). Among all participants, the combination of all three change phases was selected most frequently by academic (N=29, or 40% of the time it was selected out of the 72 total academic leader responses across all three competencies) and non-academic leaders alike (N=20, or 29% of the time it was selected out of the 70 total non-academic leader responses). However, when looking at respondents who selected either the planning or implementation phase in addition to both of these phases, the numbers equal out in terms of how many selected these in comparison to how many selected all three change phases.

Interview Findings

At the conclusion of the survey, respondents were asked to volunteer to participate in a 20-minute follow-up phone interview. Nearly three quarters of individuals affirmatively responded (74%, N=35) with 25 study participants scheduling a twenty-minute phone interview during May – June, 2017. The time of year may have prevented the remaining 10 individuals

from participant with invitation emails distributed during Spring Break, Graduation, and the start of the Summer semester. Of these 25 participants, 32% were affiliated with the professional association NCCI and 68% were individuals from the researcher-created mailing list. The demographic profile of participants is noted below.

Interview Participant Demographic Profile

Role Affiliation. The distribution of participants was fairly even in terms of how they self-identified on the survey and how they were reassigned based upon functional area representation (see Appendix D). When completing the survey, 48% of interview participants (N=12) selected academic leadership (self-reporting a status of “leader of primarily faculty and/or academic staff [provost, dean/assistant/associate dean, chair, chief, administrator, other]”), 32% (N=8) selected non-academic leadership (self-reporting a status of “leader of primarily non-academic administrators and/or staff [vice president, director, manager, other]”), and 20% (N=5) selected leader of *both* academic and non-academic members. About a third of interview participant role affiliations were changed based upon their position title and confirmed in the interview thus enabling interview responses to be consistent with survey responses (36%, N=9), including the 5 individuals who selected ‘both’, 3 individuals who selected academic leader but had titles of President, AVP & Chief of Staff, and Associate Director, Quality Improvement, and 2 individuals who selected non-academic leader but had titles of CTL Director and Associate Dean. The final role designation for interview participants in this study ultimately comprised 44% academic leaders (N=11) and 56% non-academic leaders (N=14). Twelve percent (N=3) of interview participants identified as both faculty members as well as leaders (only one of whom indicated that s/he was tenured). Titles for participants are listed in Table 21. Although the survey inquired about their role in the institution at the time of the change, it is

probable that at least individual highlighted their role in the change initiative as opposed to their role in the institution (with “lead”).

Table 21

Interview Participant Titles

Title	N	%
Academic Leader (N=11)		
Provost	1	4%
Associate Provost	1	4%
Dean	3	12%
Associate Dean	3	12%
Director, Teaching & Learning	3	12%
Non-Academic Leader (N=14)		
President	1	4%
Chief Financial Officer	1	4%
Chief of Staff	2	8%
Associate Vice Chancellor HR	1	4%
Assistant Controller	1	4%
AVP	1	4%
Director/Associate Director	4	16%
Manager	2	8%
Lead	1	4%
Total	25	100%

Years of Employment. Participants had a deep background working in higher education. The mean was 20 years of experience, ranging from 2 – 40 years. Nearly half (48%, N=12) of participants had 20+ years of experience and this same percentage (48%, N=12) had 10-19 years of experience in higher education at the time of the change initiative. Nearly one-third of individuals had the same number of years of experience in higher education as they did in working at their institution at the time of the change (32%, N=8) and nearly one-third of individuals were relatively new at their institution at the time of the change (28%, N=7) with new defined as working in the institution 2 years or less.

Demographics. The mean age of participants was 54 years (N=24) with gender nearly evenly distributed (44% female, N=11; 56% male, N=14). All but one individual identified as white.

Institutional Size. The mean size for the institutions represented by interview participants was 27,360 enrolled students, with 9 being of a relatively large size of 30,000 students or more and 4 being of relatively small size at less than 10,000 students. It is suspected that at least one of these smaller institutions is the size of the participant's unit and not the entire institution.

Change Type & Status. Survey responses of interview candidates indicated that 40% of participants had successfully led first-order change (N=10) and 60% successfully led a second-order change initiative (N=15). Most initiatives were in the implementation phase (40%, N=10) or institutionalization phase (56%, N=14) at the time of study participation, with only one participant indicating that the selected change was still in the planning phase.

Change Impetus. How the change arose for interview participants was noted as this may influence one's approach. In nearly three-quarters of the cases, the leader initiated the organizational change (N=8 academic leaders, N=10 non-academic leaders). This is contrasted with the remaining participants who led an initiative that wasn't of their choosing, but one that they spoke of supporting and helped to realize. Examples of these internally and externally imposed changes included those sparked by technological system requirements, a desire for stronger STEM support by senior leaders, and desire for revamped performance management experience supported by a senior leader, and an internally and an externally imposed restructuring requirement.

Conducting the Interview – Key Learnings. One of the learnings during the interview process was the need for letting participants speak broadly about their change at the start of the interview. In the first interview, the participant had difficulty recalling what she wrote on the survey and struggled to begin (A2). Patton (1990) described the need for descriptive analysis as the first step in both data collection and analysis indicating that questions about *why* this change was needed should be asked first (e.g. “What were the goals of the change?”, “Who was involved?”, and “What were the primary change leadership activities?”) as they provide context to the interview purpose and help support later interpretation of *how* participants led the change (the purpose of this study).

Data Analysis Codes

Participant feedback provided insight into individual competencies, values, and attributes necessary to lead oneself during a successful change in higher education as well as the overarching leadership strategies utilized to plan, implement, and institutionalize change within the institution. Theory-based codes were developed prior to data collection, featuring individual competencies and change phases; however, upon review of participant responses using the constant comparison method, the prevalence of strategies shared that mirrored Bolman and Deal’s four frames (2013) prompted the researcher to add these into the coding scheme and map them onto the competency clusters of leading others and leading the organization. Of Bolman and Deal’s four frames (2013), two represented strategies for leading others (symbolic and HR) and two represented strategies for leading the organization (political and structure). Individual transcriptions were coded in N*Vivo 11.4.1, utilizing the below coding scheme and reviewed once more as a group to explore frequently occurring themes and nuanced examples of embodying the proposed competencies and Bolman and Deal strategies as well as examples

featuring the opposite of them. The description for each coding was refined, utilizing two criteria (Patton, 1990): does the information confirm current theory (from Bolman and Deal and the proposed competency framework) and does the information offer new insight into and interpretations of these theoretical categories? The codebook was then finalized, as shown in Table 22, utilizing the following components featured in deCuir-Gunby et al. (2011): a code name/label, a full definition, and an example. Inherent in the full definition is an explicit description of inclusion criteria and an implicit reference to exclusion criteria (by virtue of anything not falling in the scope of inclusion).

Table 22

Interviewing Findings Codebook

Competency Cluster Code	Bolman & Deal Frame (2013)	Description	Example
Leading Self	N/A	Participant makes direct/indirect reference to how s/he embodied the competencies of presence, resilience, personal learning and/or other <i>personal attributes, beliefs, or values</i> and the role these had in affecting a successful change outcome	“I told myself to hang in there” (N8)
Leading Others	Symbolic	Participant describes a value placed upon <i>emotionally engaging others</i> in the change process. Strategies include framing inspirational communications to illustrate who is ultimately being served by the change, to highlight what’s in it for the change recipient, to reduce fear of job loss, and/or to envision future possibilities.	“I made sure my message highlighted that this change was not done to cut jobs” (A3)
	Human Resource	Participant describes the role of <i>empowering others</i> to attain change success. Strategies include fostering collective sensemaking and/or learning, having a flexible vision, providing a call for emergent change content ideas, and utilizing collective	“I empowered others to come up with the plan” (A4)

Competency Cluster Code	Bolman & Deal Frame (2013)	Description	Example
		decision making whether in formal or informal project teams.	
Leading the Organization	Political	Participant expresses the value of <i>partnerships, networking and coalition building</i> in attaining change success. Strategies include obtaining and/or leveraging senior leader support for “back up”, working with trusted peers and/or “scheming”, building and/or leveraging political capital, bringing in credible others, tying the change to external drivers, and fostering new networks among change constituents.	“I socialized the plan” (A4)
	Structure	Participant describes the role of <i>project management and project teams</i> in attaining change success. Strategies may include utilizing and communicating a given change model, monitoring/setting goals, and providing resourcing to set teams up to succeed and/or embed change in institutional culture.	“We put a team together... had an active sponsor who attended nearly every meeting... I was open to who was on it” (N2)

The interviews were analyzed utilizing using case analysis – looking at transcripts from each individual participant. This is appropriate “where variations in individuals are the primary focus of the study” (Patton, 1990, p. 376). To protect the anonymity of participants, identifying codes were created with the sequence A1-A11 to represent the 11 academic leader participants and N1-N14 for the 14 non-academic leader participants. Data analysis continued then to look at patterns among these individual cases, or a cross-case pattern analysis, in order to identify the variations in approach to the four Bolman and Deal strategies and highlighting any similarities and differences by academic or non-academic leader demographic.

Interview Findings

Participants were prompted to share their experiences leading the self-described successful organizational change that transpired within the past three years that they described in their completed online survey. Permission to participate was incorporated in the survey. Interview questions (Appendix E) were framed in a manner to distinguish among themes of what was most critical to their change success in the three competency categories of leading oneself, leading others, and leading the organization and when these strategies were most important within the three phases of change consisting of planning, implementation, and institutionalization. In reality, however, participants had difficulty distinguishing among given behaviors/strategies at different phases in the change. It was a much more natural conversation to simply allow participants to describe all strategies and behaviors and not force them into given categories of when these strategies were employed. These broad-based strategies and behaviors were then considered in light of demographic affiliation in order to determine if differences existed among academic and non-academic leaders in the preponderance of lines coded as well as to assess similarities and differences in terms of unique statements and characteristics. The four stages of constant comparison were used as part of a grounded theory approach to analyze interview responses, including: 1) comparing incidents applicable to each competency and to Bolman and Deal's four frames (2013), 2) refining and integrating categories and their properties, 3) reducing and synthesizing elements by Bolman and Deal frame, and 4) writing the theory or definition and lived examples for each Bolman and Deal frame (Glaser & Strauss, 1967, pp. 105-115).

To support validation of findings, triangulation was attained in cases where participants could send links and documents to further share evidence about their change (N=4). This did not

speak to the behaviors or strategies utilized; however, it did reinforce key concepts described about the change process during the interview. Participants were sent a copy of the draft findings for member checking to validate participant views were accurately reflected. Finally, researcher bias was continually reflected upon through journaling.

To support reliability, interviews were recorded using a purchased app, TapeACall and transcribed manually into NVivo. The researcher transcribed participant's responses verbatim from the phone interview to compare and contrast against the recorded call. A total of 113 pages of transcription representing appx. 12 hours of interviews was reviewed over a period of more than 6 months. All coding was done by the researcher, as this independent study didn't lend itself to involving and training multiple raters. To offset this, the coding definitions were rigorously used and refined and coding sessions were done over multiple sessions, but during intense durations, so that all 25 interview transcripts could be viewed with the same lens and common focus during each setting.

Strategies Utilized by All Higher Education Change Leaders

Using constant comparison, participant responses were viewed in waves, beginning with all responses and contrasting academic and non-academic leader strategies. The five coding categories emerged, which were then viewed in total as well as for themes by leader affiliation. Transcripts were then viewed with an eye to just the four competencies perceived most important by respondents that were statistically higher in comparison to the others in total and by leader affiliation. What follows are the responses that relate to the five coding themes, including:

- **Leading Oneself** (represented by three proposed personal competencies as a result of the literature review: presence, resilience and personal learning)

- **Leading Others** (represented by three proposed social competencies as a result of the literature review: emotional engagement/creating a safe space, sensemaking, and collective learning. These competencies were mapped onto Bolman and Deal's symbolic and human resource frames to reinforce a strong focus upon emotionally engaging others in the change process and empowering others to attain success.)
- **Leading the Organization** (represented by three proposed cognitive/tactical competencies as a result of the literature review: networking/coalition building, project management, and culture architect/resource advocate. These competencies were mapped onto Bolman and Deal's political and structure frames to reinforce a strong focus upon partnerships/networking/coalition building and project management/project teams to attain success.)

Differences in Strategy Use to *Lead Oneself*

Eighty percent (N=20) all interview participants expressed some reference to characteristics that were important in leading him/herself as a contributor to their change success, most often when asked the question about a critical turning point in the change process, with slightly more non-academic (N=12, 86%) than academic (N=8, 73%) leader reference to it. Examples were shared for all but one of the nine behavioral indicators for the proposed personal competencies to lead oneself (presence, resilience, and personal learning) and several new concepts surfaced, including the role of setting expectations as the change leader and the validation of the proposed foundational competencies including integrity, self-confidence, and courage. Of these, comments most frequently centered upon aspects of resilience (N=13) including the connection of setting one's expectations as a change leader (N=10), with much less

shared on personal learning (N=6), and presence (N=4). What did not emerge was participant-initiated conversation highlighting the role of self-reflection as an aspect of personal learning.

Resilience included three proposed behavioral indicators: the ability to persevere and bounce back from setbacks, tolerating/adjusting to contrary views, and adapting/flexing to the needs of others and the situation in the face of adversity. The largest themes pertained to perseverance (N=10) and tolerating/adjusting to contrary views (N=6). Perseverance was described as a “stick-to-it-ness” (N8, N14) with the ability to do this well strongly connected to the expectations the change leader had set for him/herself about the change process. These expectations ranged from assuming goodwill (A7) and trust (N13) in those s/he was working with during the change creation, to the need for more frequent communication than one might have anticipated (N6), and to a longer timeline for execution than one might initially hope (N12). One mindset created by the expectations a participant set related to this timeline when s/he stated, “...change is a continuous process – there will be new players who have new questions/new concerns and you’re continuously needing to recommit to (the) change because people are willing to undo it” (A8). Another echoed this sentiment when sharing, “setbacks forced delays and caused the project to take a shape different from envisioned...(it’s) important to accept... changes in the timeline and to not see minor disappointments as detrimental to the whole” (N12). The largest theme surrounding a change leader’s expectations, however, related to agenda-setting and his/her belief that so long as the change is directionally correct, exactly what it is and how it transpires can be different than what s/he would have done (A2, A4, A5, A11, N5). This belief may be a critical prerequisite to enacting the proposed behavioral indicator for personal learning, exhibiting an openness to new ways of doing things for oneself, for others, and for the organization, as well as the proposed behavioral indicator for collective learning in

the leading others competency cluster, having a flexible change vision, an openness to exactly where and how the group moves forward ultimately in the pursuit of a positive change outcome. An example of this expectation was described as, “you need to realize you can’t always get what you want, so you need to be flexible” (A4). It was exemplified by a strategy used by one leader whereby he would write things up for faculty champions to enable them to refine it and take their version of the proposed change to the academic senate. He stated, “it’s not always what I hope for (as an outcome), but it’s change” (A5). He continued by sharing that his biggest challenge in his self-identified successful change was:

...The ability to divorce myself personally from solving these problems. Faculty are used to telling you their opinion and wanting it to be final – (you) need to listen to all of it and find pieces of it you agree with without putting your agenda together and to listen and find common ground. There’s a lot of places and initiatives on campus where people (are) starting with a specific agenda and not focused on the problem – *the key is to not make up my mind too early in the process about exactly how this here thing should go and listen and let criticism roll off my back.* (A5)

Setting expectations was one way in which a change leader might be better able to stick with a change, and another way could be related to self-talk – as highlighted by one participant, “I jotted down the phrase (to remind myself to), ‘hang in there, we’re changing the program, this is a pilot’ (so) we’re going to revamp the whole thing” (N8). The need for tolerating and adjusting to contrary views was described by several participants as necessary for successful higher education change (A1, A2, A5, A11, N5, N13) with one non-academic leader explicitly stating that it was this act that gave him credibility during the change process (N13). Often this was described as a needed leader approach to respond to what might be perceived as resistance to change (A2, A5, A11), however, two leaders highlighted that they used this concept to foster a rich set of diverse change initiation concepts through crowdsourcing (A1, N5). A foundational competency to being able to do this well was the ability to listen (A2, A5, A8, A10, A11),

particularly “with the intent to understand” (A11). This is closely connected to being able to put aside one’s agenda in order to really listen and hear others’ views. A participant shared a strategy used to do this was to simply look at the person and repeatedly say to herself, ‘what is he saying?’ as the individual spoke (A2). One’s expectations/mindset and listening appear to be a connective thread in terms of how one manages him/herself during the change process and shapes not only his/her openness to the change outcome but also the influence s/he has on others.

Presence was described with three proposed behavioral indicators: the ability to tune in to one’s reactions and calmly respond, to be a non-anxious presence in a sea of anxiety, and to connect with others involved in the change at an emotional level, showing vulnerability and allowing others to do the same. The largest area of participant-initiated discussion occurred around the need to be calm (A10, N13) and to be able to share a “no in a calm way” when necessary (N4). Exuding calm was highlighted during a critical turning point by one leader when he shared, “when others get upset, I get calm. Not that I really am calm, I just don’t believe reflecting that energy in the moment is helpful” (A10).

Personal learning had three proposed behavioral indicators: self-reflection, actively seeking out learning from others and modifying one’s approach and exhibiting an openness to new ways of doing things for oneself, for others, and for the organization. Openness to how the change unfolds and to setting aside one’s agenda was the largest theme of input, as highlighted above in the setting expectations discussion. Openness to *who* was involved in the change, not just *what* the change was, was described by one non-academic participant who shared she wasn’t sure why a recommended member was needed, but found he ultimately was the most beneficial part of the team because of the process improvement topic. She stated that she “had to be open to letting other voices in” (N2). Seeking out learning was shared only by two academic leader

participants. One participant indicated that he “honor(ed) staff concerns, complaints (because) it’s a multi-dimensional learning connection” (A11). Another highlighted that one should “value (the) process... you can fail all the time but as long as you’re learning from it, the process is still a value” (A7).

In addition to these proposed personal competencies, support for two foundational competencies surfaced. The literature review prompted the inclusion of personal attributes such as honesty, integrity, ethics, fairness, self-efficacy, courage, and taking responsibility for the change decision. Listening was a foundational competency in the leading others competency cluster, but may be added to this cluster’s foundation as well as shared above in the discussion on resilience. Several participants supported the need for courage to make mistakes (N3, N14) and to take a risk (N11). One participant brought to life the need for having confidence or self-efficacy. He indicated that many in his field are introverted and might not even be able to raise the idea for a change, stating that “if I had been in the first 10 years in my career, I probably wouldn’t have had the confidence to even consider the idea of approaching senior administration about (proposing this change)” (N10). These foundational competencies set the stage for a change leader to exhibit the three proposed personal competencies. In summary, there was support for all three proposed competencies with a special callout to resilience and the role that setting one’s expectation and listening played to embody this characteristic.

With such a small sample, it’s difficult to distinguish strong variation among leaders in these two academic and non-academic demographic groups. However, predominately academic leaders highlighted the importance of not telling others about what the change should be, but rather listening to their ideas about the change possibilities and to a desire to generate personal learning throughout a change. Only non-academic leaders spoke of the importance of remaining

calm, having a “stick-to-it-ness” to persevere with the change, not being afraid to make mistakes and take a risk, and having the prerequisite self-confidence to bring change ideas to senior leaders. Both academic and non-academic members spoke of setting expectations to shape their mindset during the change process.

Differences in Strategy Use with *Symbolic Frame References*

Sixty-eight percent of all interview participants referenced the proposed competency of emotional engagement/creating a safe space and symbolic frame attributes as having a role in their successful change leadership strategy, with 73% of academic leaders (N=8) and 64% of non-academic leaders (N=9) highlighting elements associated with the proposed foundational competencies of communication and engagement. The essence of the symbolic frame change leadership strategy (Bolman & Deal, 2013) is emotionally engaging individuals and crafting inspiring communications. This is in contrast to other strategies that may be used to lead others, including empowerment and collective decision making, as those were included in the human resource (HR) frame classification in the next section.

Findings highlight that both academic and non-academic leaders most frequently spoke of the importance of inspiring communication during successful higher education change (N=16), including utilizing a strategic approach, ensuring their credibility as a change leader, creating and communicating guiding principles, and devising messages that utilized data in a compelling manner and sought to reduce fear related to job loss. Leaders across affiliation shared that their communication of the change was intentional and strategic with broad references to the importance of communicating more frequently than one would expect (N6, N13) and utilizing a variety of vehicles and gatherings to foster communication so that the change leader could always say to individuals that they were invited to learn about the change, even if they chose not

to participate (A8, N9). Distilling the change message into something “digestible” and targeted to the needs of the audience was shared (A2) as was the value in partnering with the actual communications department when preparing messaging. One participant said that that she “always developed strong relationships with strategic communication people – you can use existing channels, don’t have to create (messages) from scratch (and can) leverage what they do well” (N5). Several participants shared that the change message should inspire others “to a larger purpose” (A3, A11, N1, N12). To do this, one might include the ‘why’ for the change, such as when one leader said, “the most critical part of my initial success was to connect with our core business for teaching and learning and with student success” (N1). Relating the change to something greater was echoed by another participant who shared, “the goal was to make sure the (unit) is still a valuable part of the university – it’s not about today – it’s about 20 & 30 years from today... I got them to explore (change visioning) solutions and (did) not force my ideas on them” (A11). Finally, a non-academic leader provided an analogy for sharing the ‘why’ as he spoke about tying the change to their accreditation process, “it’s OK to tie it to a stick – it’s a good motivator, put us on a timeline, (but) it’s not the carrot – not *why* we’re doing this. Without that, when accreditation is done, you’d lose momentum” (N12). Two leaders highlighted the need to proactively and explicitly address that the change initiative was not designed to reduce jobs (A3, N4). In doing so, it was hoped to reduce change recipient fears about the change and spark openness. Another aspect associated with this is genuine listening as described in the personal competency section. Several leaders highlighted the importance of listening with one emphasizing that his desire to demonstrate “earnest listening (was) to assure people that he is taking something as personal as (this change) seriously in order to gain (the) confidence (of others)” (A10).

Perhaps not surprising, several non-academic leaders sought to be seen as credible during the change process (N3, N4, N14) by stating things such as, “(I) continue to teach so I won’t be seen as an admin who thinks up ways to make faculty life difficult” (N10) or emphasizing a desire to ensure that the change was not presented as another “dumb idea” from administration (N1, N5). Only one academic leader acknowledged the importance of already having credibility prior to initiating a change (A8).

Emotional engagement and creating a safe space was described less often as a secondary symbolic frame strategy (N=6). Sparking inclusion (N13) and bringing groups together to envision the future (A11) were examples of the collective learning proposed competency in action. One participant shared a personal belief in engagement when stating “it comes from my belief if you can get smart people together to talk really good things happen” (A7). A strategy for engagement that appeared to be effective was utilizing data. A non-academic leader spoke of how data can spark a competitive spirit by sharing, “when we did rollouts, we reached out to some key deans and showed them the dashboard report. When they could see that everyone could see their data, and that they could compare themselves to the University – it sparked some engagement” (N9). Another leader spoke of using data to support unbiased decision making, “at the end, agreeing on a final recommendation required looking at data from focus groups and research... (this) took away some of the perception (that the change was) a member of the group’s pet project” (A9).

In summary, the symbolic frame reference (Bolman & Deal, 2013) addressed inspiring communication and emotional engagement strategies. With a small sample, the variances in approach based upon leader affiliation are not be generalizable; however, it should be noted that both leader groups equally spoke to the importance of communication most prominently as well

as to the need to engage others with data and to create safety by focusing communication on how the change was not designed to reduce jobs. What was unique among strategies for leaders was the non-academic leaders' explicit mention of strategies to gain credibility with their stakeholders (N=5). No participant, however, initiated a discussion about how they made it safe to say risky things.

Differences in Strategy Use with *Human Resource* Frame References

Sixty-four percent of all interview participants (N=16) referenced human resource frame attributes (Bolman & Deal, 2013) and the remaining two proposed competencies for leading others, sensemaking and collective learning, as having a role in their successful higher education change leadership strategy. These attributes were confirmed, as well as a strong reference made to the proposed foundational competency of empowerment, by 64% of academic leaders (N=7) and 64% of non-academic leaders (N=9).

The essence of this frame is *empowering others* to shape the change vision and facilitating learning and development during the process. A strong focus in this frame is on the people affiliated with the change – how to honor their voices and ensure they have a climate to succeed. This differs from the symbolic frame shared previously in the sense that one can inspire individuals to an exciting future state and engage them in dialogue – but if there isn't a true focus on allowing individuals to be heard and openness to how change unfolds grounded in trust and positive relationships – the people side of change won't fully be realized. Additionally, this frame includes participant references for the proposed behavioral indicators for collective learning, including facilitating group learning experiences, having a flexible change vision, and spurring ongoing learning/experimentation; however, no individuals initiated a discussion about the proposed competency for sensemaking.

Empowerment was the most frequently referenced theme in this frame. Some spoke to broadly as being important (A3) while others integrated it into a structured change approach that convened individuals and empowered them to shape the change vision (N=7). For example, one participant indicated that they “tapped 16 people across campus who were generally recognized as competent managers and people who bled maroon and gold... presented the concept to them and spent 15 months letting them come up with (the change)” (N1). Another highlighted that a key behavior was to “be willing to have your ideas shaped by what you’re hearing by the campus community... to do that, we had enough opportunities for facilitated/mediated conversation” (N5). Finally, one participant empowered campus members to “co-create” and initiate the organizational change:

I realized I should get a conversation with faculty, not to tell them what to do, but to hear what they wanted to do. We never told people what to do, we created the space for innovation and collaboration and provided the tools that allowed people to make it happen. I think this whole concept of co-creation – we didn’t as administrators come up with ideas – we co-created with faculty and students, taking *co-creation* seriously from the very beginning (was critical). Just ask questions, don’t provide answers. (A1)

In creating a space of empowerment, several participants spoke of the need to build trust (N12, N13) and relationships (A8) by providing empathy (N4, N13) and offering to be available to talk about the concerns of others (N4, N6) including both staff and other leaders impacted by the change. For example, one individual shared that “something that has helped with Deans, Vice Chancellors, and other administrators is we’ve been willing to meet with them individually or in groups about their concerns about change” (N4). Exhibiting an openness to how change unfolds is a behavioral indicator for the collective learning competency. It was described in the personal competency section and is an important precursor to effectively unleashing the power of others to shape an organizational change with many participants speaking to its importance (N=6).

Finally, embedding learning opportunities with intact change project teams was done by several participants (N9, N13), as one described, “Working with this (project) group to drive the change was critical. We did working sessions with case studies, sharing of best practices in their units as a way to begin thinking about how this change was going to go over” (N9). Another leader emphasized that “training was one of (their) primary strategies for introducing change” (A2). As part of a collective learning process, a willingness to experiment may contribute to identifying what works and what doesn’t in change. One leader spoke to this as an uncomfortable aspect of the change for “hardcore project managers” in her change project team but they “kinda flew by the seat of (their) pants... what was critical to our success (was) our willingness to not be afraid to take a risk and try something new” (N11). Another leader in one of the most senior roles in an institution shared that that he “like(s) to experiment... why not try things in a pilot way and see what’s going to work or not?” (N7).

In summary, the human resource frame reference (Bolman & Deal, 2013) reinforced the proposed foundational competency of empowerment as well as collective learning to shape a change initiative. With a small sample, the variances in approach based upon leader affiliation are not be generalizable; however, it should be noted that both leader groups equally spoke to the importance of empowerment and fostering group learning experiences. What was unique was the higher proportion of academic leaders describing the need for a flexible vision (N=5) and the non-academic leaders’ explicit mention of strategies to share empathy, be accessible and to build relationships and trust (N=5).

Differences in Strategy Use with *Political* Frame References

Ninety-two percent of all participants (N=23) referenced a political approach with 91% of academic leaders (N=10) and 93% of non-academic leaders (N=13) sharing strategies that were

associated with Bolman and Deal's political frame (2013) and two of the three proposed competencies for leading the organization, networking/coalition building and being a culture architect/resource advocate. The largest areas of feedback were centered upon the importance of senior leader endorsement and back up as well as partnering or "scheming" with others. Themes were organized into two change phases – those needed during initiation/planning and launch/communication.

Collaboratively Initiating, Shaping, and Planning the Change. Several themes surfaced surrounding the initiation of change, the most of prominent of which included "scheming" and socializing change ideas with senior leaders to seek their endorsement and resources. Prior to even raising an idea for change, though, an awareness of political timing was shared as important. One participant described it with an analogy of "knowing when to run" (A5). He shared a story about playing ultimate Frisbee with a gentleman who was always where he needed to be without running a lot. When asked how he did it, the gentleman shared, 'you run when it's your turn to run – you don't run just to run'. This example was related to the need for assessing when the time is right to raise a change idea; although no other participant surfaced this concept, it is one for consideration before engaging others in the change initiation strategies that follow.

Scheming. Four leaders spoke about partnerships, political capital, and "scheming" among friends and in back channels in terms of how their change initiative came to be (A7, N1, N11, N14). Change didn't just happen for them, it grew out of the trust and relationships built among colleagues over time. This coming together with peers was something that another participant encouraged – not for a specific reason such as influencing others to join in on a change – but to simply get to know what's important to them and within the institution so that

change ideas might surface naturally. This was done informally by one participant who shared that a small group would gather “over a beer on a Friday afternoon to talk about what’s possible... (and) all of that sets the stage for thinking about institutional change – we have this incredible 8-year history of brainstorming together” (A7). However, in other cases, participants explicitly sought to build and leverage relationships with political allies, such as giving favors in the hopes that others might reciprocate (A11, N11) or cultivating a relationship with faculty champions who might represent a change initiative at the senate committee. In the latter, one participant shared how he wrote up a change initiative for a faculty member who had an interest in the topic and requests his/her input as well as representation. He shares, “it’s not always what I write or what I hope for (that is given to the senate, but) it’s change” (A5). Seeking informal support for change ideas might be sought with peers through scheming as just discussed, or by reaching out to senior leaders as described next.

Socializing Change with Senior Leaders. In a resource-poor environment, surprisingly only a few participants highlighted a need to intentionally plan for ways to obtain senior leader support and funding for a change initiative. One leader called this “socializing your (change) plan (by) following the field quite a bit with people with have resources” (A4). In order to do this, one needs to “know where the decision lies” (N3), whether it be writing a white paper for key decision makers in order to gain support or simply leaving space in a change proposal for senior leader input. For example, in a new leadership development curriculum that was introduced, one participant “left topics up to the provost to decide” (N8). Another aspect of socializing change shared was keeping individuals informed; one participant highlighted that as part of their process improvement efforts, he met with executive leaders three times per year to share continuous improvement suggestions received and also “for political purposes, runs them

past the VP Student Affairs and VP of Research since we want to be an R1 institution” (A6). Finally, knowing that resources were scarce, participants sought central funding to “eliminate objections people had to (participate in the change) and show benefits” (N8) or support for “bolting on” the change to an existing offering rather than creating something new (N11). Socializing change ideas with senior leaders first helps to obtain their endorsement, which sets the stage for more robust planning with others as described next.

Identifying Key Influencers. Knowing who to engage early in the change process was pivotal for several participants. In fact, it was exemplified by one when he requested that his partner in leading the change initiative join the interview (N1). Together they shared how their unique backgrounds and skills provided a complementary approach and resulted in success as well as intentionally sought out key influencers that could be leveraged for the change, emphasizing the need to “go through the right channels... knowing who to inform first” in order to “get access to their star power (because) what they do and what they say matters (to others across campus)”. Knowing the organization well enables an opportunity to seek support from individuals who have credibility with different pockets of change recipients. In the higher education context, this speaks to the unique underpinnings of shared governance and unions and was evident when one non-academic leader shared, “I think you use governance in a very positive way to enable them to participate in the conversations... (and focus that conversation on) what’s going to best enable student success” (N7). An academic leader acknowledged the need for “permission” by the faculty senate (A1) while others highlighted the interconnections among decentralized groups and that vetting was required (A9, N2). Finally, organizational knowledge enables change leaders to establish connections among diverse groups of individuals. In one change context that utilized a bottom up focus of generating proposals for change, a

leader shared that “when I saw a connection (in change proposals) between members – I brought them together with a phone call to let them know other people were thinking about (the same or similar idea)” (A1). In another example during the formation of teams, a leader described that they benefited from engaging faculty as team members because “in some cases, they spoke to their colleagues and said it was a good approach and they spread the word a bit” (N14). In a final example, the leader highlighted the importance of also engaging customers. This required not only knowledge of internal organizational members but also of those who are impacted externally, as shared by one leader, “at the start of the change, the behaviors that made it most successful were being able to collaborate with customer and look at things from their perspective” (N6). In contrast, a lack of partnership was described as causing a critical juncture in the change process for two participants (N1, A8) perhaps because as one participant shared, knowing who to involve when was one of the hardest parts of the process (N2). Organizational knowledge helps to not only determine who to engage in the planning phase, but also supports the communication phase which follows next.

Communicating During Launch. Knowing who would be most compelling to share change messages was one of three key strategies shared by participants, coupled with responding to ambivalence/resistance, and relying upon senior leaders for “back up” as well as cascading change messaging within the institution.

Knowing Who to Share Change Message. When selecting credible spokespersons for a change, it can be helpful to begin knowing that “admin are suspect” (A8) and shouldn’t be relied upon as a sole voice during the launch. Furthermore, having the change endorsed by senior leader/s was found to be helpful in garnering participation at the start of the change. Two participants highlighted that they could put a program together, but it was the visible

endorsement of a senior leader who encouraged others to attend (A9, N8). Others supported the value of a senior leader introduction to change and alluded to diversity of delivery vehicles for sharing this messaging. One participant shared that it was helpful that the change effort “was introduced by the Provost & me (the President) in a start-up meeting with each of our colleges” (N7). Another participant indicated that when relying upon email, it was important that the “email didn’t come from HR – the president sent out (a message) first to supervisors of supervisors, then those supervisors sent (the change) message” (N1). Other participants, lastly, spoke to the value in having an external partner support the initial change communication. The diversity in external partners varied – including bringing in a vendor to speak to the change (A8), a lawyer to dispute myths about the ability of the change to transpire (A5), a credible businessman to “energize the Deans and the students around this (change) concept” (N7), and working with students (A5). This last example was shared by a participant who reminisced about a time when a change effort was unsuccessful. He took a proposal on behalf of students to the academic senate and requested that faculty be required to post their syllabus in the learning management system. It “went up in flames in senate” and was voted down 13-0. He described that in retrospect, he should have insisted students come themselves and that he could have coached them behind the scenes. Because it came from him, this change became something some faculty thought administration was forcing. Inevitably, regardless of who introduces it, when change is shared one should be prepared for dialogue and potentially passionate debate. This could come in the form of what might be perceived as resistance, or ambivalence (Piderit, 2000), as described next.

Responding to Ambivalence. A large number of participants highlighted that ambivalence can occur during change and that if senior leaders provide back up, one can more

confidently navigate this critical turning point in a change effort. One response to what could be perceived as resistance would be to go with a majority-rule approach as utilized by one participant who had faced a Deans Council vote in which all but one supported the change (A8). Another response would be to stand one's ground and notify the senior leader that s/he might receive contact from an individual who wasn't convinced that the change should proceed as introduced (A8). Senior leader back up was echoed as helpful by another participant who indicated that when a member on her project team said that they couldn't proceed that "previously her statements were never challenged... (but) because we had President & Provost (support for this change) – 'back up' was in place (and this enabled us to move forward despite her concerns)" (N14). Finally, other responses to ambivalence included a strategy of deferring discussion until additional input was collected from others and the use of academic leader discretion. A participant shared a few examples of this last approach in an experience at a faculty senate (A10). He indicated that when the group was unwilling to make a decision to proceed with the change because of one vocal participant, he suggested collecting faculty input with the use of a survey. He knew most wouldn't likely complete it, but that by suggesting this, it avoided the "melee" and "public spectacle" of ambivalence by the one individual that was arising. In another situation in that same meeting, he introduced the strategy of adapting to the concerns of others and embedding chair discretion into one's change strategy to customize it for unique circumstances. He shared:

One faculty (member) said, 'I really don't like this approach of counting student credit hours. I'm distrustful of any neo liberal counting mechanisms and don't want teaching to be about counting credit hours and averages really tell us little. I'm uncomfortable with the number.' He was a statistics faculty member. In this case, I said I would meet with chairs, look at distribution across all faculty, and look at data to see if numbers were skewed and chairs would look at it too to see if it was. Someone comfortable with data would be happy to know we're relying on data to make decision. His other concern about

bean counters running the school (reinforced that it) was important to reference the chair leadership role (to offset concerns about administration)". (A10)

Academic leader discretion was mentioned by one other academic participant. He, too, enabled Chairs to provide exclusions to the change by writing a policy that enables faculty to request an exception by submitting a memo of understanding to his/her Chair (A5). On an aside, he mentions the key for policy acceptance was ensuring that it minimized the need for faculty to do anything. With these strategies in mind, a leader might consider how to engage as many people as possible throughout an institution in the change through cascaded messaging as described next.

Cascading Change Messaging. Only one participant highlighted the opportunity of finding ways to introduce the change to secondary populations. She shared that it was important to align the change with larger institutional goals and that it was due to positive connections built with others that she could use new ways to bring her message to faculty. For example, two individuals who came to her faculty development workshop invited her to speak with faculty members in their unit highlighting that "one was a chair & she brought us in to talk in faculty meetings about (the change) and another (workshop participant) brought us in for 10-15 min every other staff meeting (to speak about the change)" (A7).

In summary, the political frame reference (Bolman & Deal, 2013) addressed partnerships, networking and coalition building to garner support and commitment for change. Strategies to achieve this included having an appreciation of organizational knowledge and leveraging senior leader connections to shape the change initiative, communicate and socialize it with others, and to provide back up when others pushed back. Of them, the proportion of academic and non-academic leaders was pretty equivalent among all topics with the exception of academic leaders surfacing the need to honor the need for academic leader discretion during change.

Differences in Strategy Use with *Structural Frame* References

Three-quarters of all leader participants highlighted the inclusion of a structural frame element in their successful change strategy, with 76% of academic leaders (N=8) and 79% of non-academic leaders (N=11) describing the influence of project management, project teams, and utilizing a structured approach toward change initiative plans. Of the three proposed competencies to lead the organization (networking/coalition building, culture architect/resource advocate, and project management), this frame zeroes in on project management as well as includes references the planning aspects of being a culture architect/resource advocate. The feedback from participants below begins with how teams were set up to succeed – including how they were formed, structured, and staffed; their charge and other key activities; their resourcing; their use of a change model; and efforts they undertook to institutionalize the change.

Team Formation, Structure & Staffing. Before a team is created, it is helpful to have senior leader endorsement as described previously within the political frame. One participant described that it was this endorsement that distinguished their successful change from previous attempts that were “equally sincere” because the initiative finally got the right attention (N12). Many participants referenced the need to have a plan for their change initiative (N3) and the value of forming a team to devise it (N=6). The team structure may have contained one functional or cross functional group only, or it may have comprised a network of taskforces aligned to pieces of the change efforts (N4, N13).

Team Members. A cross functional team working on a given change initiative was highlighted as helpful by many participants, for example “the important thing we did was get a group of representatives from a lot of different areas across campus, different academic departments...” (A9). This was supported by others who spoke of their “multi-functional team”

facilitated by a member of their Quality Improvement unit (N2) and the need to “build team comprised of subunit leaders and seconds in command” (A4). One participant highlighted the need to balance “involving people from across campus” with “not relying on same people over and over” and to ensure a mix of “academic and non-academic members” (N14). Another participant shared the need to consider executive sponsors (N13). Finally, one individual spoke of the importance of not having the project team leader be a process owner associated with the change. In examples of process improvement, if the owner of the existing process were the team lead, he found that individual was more likely to “justify” why the current state was in existence rather than embody an openness to a new future state (A6). Regardless of how the team was formed or structured, however, it was necessary to empower members (A3) and in the words of one leader, not “micromanage (the process)” (A4). Creating shared purpose may be done throughout the planning. Although no participants described it occurring prior to the formation of the team by the sponsor, many highlighted the need for it to align the team around a given charter and set of goals as described next.

Key Team Activities. Leaders spoke of what was accomplished within the team, with goals guided by the charter, as well as *how* the team operated with the creation of agreed upon norms and values. Team members benefit from having a clear, agreed upon picture of where the team is headed. This surfaced in one participant’s comments about key learnings when she shared, “one thing we should have done was clarify what problem are we trying to solve... what is the question that we need to answer?” (N9). Three leaders indicated that having a charter added to their success by providing content for the change initiative and goals (N7), direction for when “scope creep” occurs (A9), and metrics for evaluating change success (N13). Project management activities helped to define what was being done and establishing norms and

utilizing facilitators and agendas helped to ensure an effective process for how the change work transpired. This was a lesson learned from one leader, who shared, “setting up key milestones, making assignments, and tracking the work – that’s the part that started to lose it a bit... (members) needed project awareness” (N9). This focus upon execution activities was highlighted by another non-academic leader as important as he elaborated upon his lessons learned with “people were asking about (a documented work breakdown structure) from the beginning... if someone had a stronger project management background that would have been nice” (N1). Another aspect shared by leaders was the need for intentional consideration to the norms and values that guided team members (N13) and that simply having a “structured agenda” (A9) would help to distinguish group meetings as having a productive process. Finally, two common actions that were mentioned as occurring within teams were benchmarking their change initiative against peers (A5, A9, N3, N10) as well as utilizing a change model to guide their efforts (A2, A7, N4, N13). As one leader shared, “this program was designed to challenge institutions... how can you shift practice (without) a theory or model for change? You have to think about how it can happen” (A7). Another echoed, “the first thing we did was recognize that we were about to introduce a really big change (and we) thought about how to execute it... actually, (we) reviewed some change models (to guide our process and) wound up utilizing the 8-step John Kotter model” (N4). As change models were described, most centered upon the initial activity that’s done to spur an urgency for change, this helped one leader to “put a business case together to have a basis for saying what was needed now” (A2) and acknowledge and empathize with change recipients around the need for them to do something differently. One participant blended two change models to accomplish this, stating “Kotter does a good job to talk people through change – what he doesn’t speak to as fully is the internal transitions (such as William Bridges) –

I tend to rely on Bridges as a way to frame this” (N13). With processes in place to focus upon what the change is about and how the team might work best to achieve it, the remaining area of focus shared by participants was the need for team resources (A1, A3, A6). Participants shared a variety of resources provided to teams that contributed to their success, ranging from “administrative support so they take the (team’s) minutes, etc. (and a) small office” (A6) to the requirement and provision of dedicated project managers to support the execution of bottom up change ideas that were selected in a crowdsourcing process by the campus community (A1). This project manager was a new concept on the academic side and one that participants initially didn’t see the value of, but ultimately couldn’t “live without them” (A1). Once the team had what they needed to succeed with planning and implementing for change, a few leaders addressed strategies utilized to embed this change within the institution.

Institutionalization. The last area in the structural frame centered upon institutionalizing change with a systems perspective, a proposed behavior in this study to enable one to be a culture architect. Four participants explicitly described efforts to embody this goal. One participant shares her belief in the value of this concept when she described, “we need to look at systems, procedures and policies that shape the experiences we have so we maximize the chances we’re supporting faculty, the community – all the things we want that either make it help or hurt what we want” (A7). This mindset was one way a leader could guide activity. Another way of accomplishing institutionalization was to put a formal system in place to keep the change alive, as one leader shared, “we’re in 3-4 years into this – accreditation (is) no longer the impetus – we’ve set up a foundation (which) helped to embed (the) change in our culture” (N12). Another leader spoke of what he could do to reinforce the change when he shared, “I inspired, I shared their stories. I recognized their effort and gave awards it” (A3). Finally, the

same business man who came to speak as an external member of the community to inspire new thinking on a change as described in the political frame section also established an academy to keep the change alive (N7).

In summary, the structural frame reference (Bolman & Deal, 2013) addressed project management and activities to focus on what and how teams work to effect change success. It also included strategies for structuring an ongoing focus on the change to embed it within the organization. Academic and non-academic leaders alike spoke to the importance of forming teams and utilizing a project management approach. Small variations were found in terms of a stronger non-academic leader emphasis upon ensuring a project charter and norms were in place to guide activity. Conversely, only academic leaders spoke about the importance of funding change. Both leaders addressed cross functional team member representation, however only non-academic leaders spoke about a network of teams, or taskforces created to simultaneously address associated elements of the change. With such a small sample, it's difficult to know how representative these findings are of the larger population, but it's telling that both leaders do address this frame as a contributor to their successful change effort.

Summary

Interview participant feedback on the behaviors and strategies they used to lead successful higher education change were coded based upon three proposed competency clusters and four "frames" depicting types of leadership strategies from Bolman and Deal (2013). In Table 23 below, differences among academic and non-academic leaders were highlighted in terms of total references made as well as those who spoke of strategies embodying a given frame with a high degree of frequency. With 11 academic leaders and 14 non-academic leaders, the sample size prevents generalizability and differences among leaders are relative, however it is

interesting to note that all proposed competencies and Bolman and Deal (2013) strategies were reflected in participant responses as well as in an additional category for personal strategy.

Table 23

Differences in Competency & Strategy Use Among Higher Education Leaders

Competency & Strategy			All Leaders	Academic Leaders		Non-Academic Leaders	
Competency Cluster	Proposed Competencies	Bolman & Deal Frame	Average %	Utilization Rate			
				N	%	N	%
Leading Self	Personal	-	80%	8	73%	12	86%
Leading Others	Social	Symbolic	68%	8	73%	9	64%
		Human Resources	64%	7	64%	9	64%
Leading the Organization	Cognitive/ Tactical	Political	92%	10	91%	13	93%
		Structure	76%	8	73%	11	79%

The political frame strategies were most frequently used by both academic and non-academic leaders, with 92% of all interview participants equally employing strategies associated with scheming/partnering (N=6), leveraging senior leader support (N=6), strategically sharing change messaging (N=8), and responding to ambivalence (N=5). Strategies for leading oneself and for employing structural frame strategies, utilized by 80% and 76% respectively of all participants on average followed behind. What was of note was the high mention of strategies to support resilience (N=13) in the personal competency discussion with academic and non-academic leaders alike speaking about the need for perseverance (N=2), setting one's expectations (N=10), and tolerating/adjusting to contrary views (N=6). Team formation strategies (N=6) and key activities to plan for change, such as staffing (N=6), creation of a

charter (N=4), benchmarking (N=4), and use of a change model (N=4) were also highly discussed in the structural frame. Project management, however, was minimally referenced (N=2). Much discussion ensued on the initiation and planning phase for the change (N=20), with communication being the primary strategy described at launch (N=10) and some reference given to planning for embedding the change into the culture during the institutionalization phase (N=4). Relatively less focus was given to the symbolic and HR frame strategies, with 69% and 64% of all participants respectively on average describing them as contributing to their successful initiative. Of those who did, inspiring communications (N=9), empowerment (N=7), seeking to be viewed as credible (N=5), and having a flexible vision was most often mentioned. Non-academic leaders sought to be viewed as credible and academic leaders described the value in having a flexible vision.

All foundational and differentiating competencies in this proposed framework were described as contributing to successful change by participants with the exception of just four out of the twenty-seven proposed behavioral indicators, including self-reflection as part of the personal learning competency, making it safe to say risky things as part of creating a safe space/emotional engagement, sensemaking as part of collective learning, and incentivizing change activity as part of being a culture architect/resource advocate. However, two themes strongly represented in the interview findings introduced new elements for inclusion in the proposed competency framework, including obtaining and leveraging senior leader support and setting one's expectations in the spirit of protecting one's resilience.

CHAPTER 5 DISCUSSION

The purpose of this mixed methods study was to identify the competencies and strategies higher education change leaders perceived to be most important for leading a self-reported successful organizational change, when during the change process these were used, and to identify if differences existed among academic and non-academic leaders in their use. Descriptive statistics were utilized to share the competencies perceived to be most important as well as those that were ranked highest to enable change success overall and/or to help the change progress through a critical turning point. To distinguish if differences among academic and non-academic leaders were statistically relevant, inferential statistics comprised of independent samples t-test and chi-square were computed. Finally, grounded theory enabled a more robust view of interview themes in terms of how and when strategies were applied and by whom. The interview themes were closely aligned with Bolman and Deal's four frames (2013), therefore it emerged as the organizing framework for sharing results.

Significant Findings

Leading higher education change is highly political and personal. These themes surfaced as the most frequently described competencies and strategies to enable participant self-described success. This study builds upon the relatively little industry-specific empirical findings (Eckel & Kezar, 2003; Marshall, 2007; Slowey, 1995; Scott et al., 2008) – echoing the need for higher education change leadership strategies discussed in the literature such as collaboration, empowerment, communication, and senior leader support and adding support for new leader considerations during change planning and implementation, including the use of nuanced political tactics (e.g. scheming and knowing who in the organization to partner with) and highlighting the value of a change leader's personal learning and resilience during the process

(e.g. being open to new ways of doing things and setting one's expectations low at the start of change). Furthermore, this study adds a new dimension to previous literature by identifying that strategies and competencies were equally important to both academic and non-academic participants as well as were predominately used during only two of the three change phases, planning and implementation. This infers a short-term change focus which may not be surprising given the senior leader status for half of the study participants (with titles of Dean, Provost, President, CFO, Chief of Staff or AVP). These individuals are often rewarded for quick turnarounds and may not be in their role long enough to be incentivized for promoting long-term gains that are embedded into the institution's culture. Two recommendations are offered as a result of this study: 1) utilize this revised competency framework for both academic and non-academic change leaders and align people processes in order to hire, develop, and coach leaders to attain change success, and 2) ensure change leaders have support from higher education central units such as human resources or organizational development and/or external consultants for areas outside their typical scope, such as evaluating change progress and modifying infrastructure, systems, and processes to embed change into the institution's culture. Use of the latter recommendation supports one definition of planned change indicating that it can be a partnership to: "realize intended outcomes while recognizing and building on the historical context, by actors who influence each other through a sequence of phases or steps, (utilizing) communication and sensemaking, *while the change process is monitored and guided by change agents*" (de Caluwé & Vermaak 2003, pp. 70-73, italics added).

A summary of the change leadership competency and strategy results follows, including aspects that were unique to predominately academic or non-academic participants as well as attributes that were highly rated in just the survey or interview results. Within the survey

responses, personal learning was rated the most important competency to enable change success but little discussion was initiated within the interviews. Within the interview findings, a description of the two primary themes that contained both survey and interview support – politics and resilience – is shared as well as findings that surfaced within the interviews alone, the need for inspiring communications and empowered collaborative change planning teams. These results led to the development of a revised competency framework for higher education change leadership and list of most frequently used strategies. Lastly, change phase reflections are provided as well as implications for practice and further study, acknowledging the limitations that existed in this research endeavor.

Competency Results

To identify the competencies utilized by successful higher education change leaders, survey respondents selected from a list of nine proposed differentiating competencies derived from a literature review to select those that were perceived to be most important and those that were highest ranked to enable success overall and/or to help navigate a critical turning point during the process.

Perceived Importance of Proposed Competencies. Personal learning was rated highest on average in terms of importance overall and had strong support particularly among academic participants. It was the most important competency to enable change success for academic leaders, who were also the only ones to raise discussion about it during the interview, whereas non-academic leaders rated it as their third most important competency. Three behavioral indicators were used in this study to define it, including the ability to self-reflect, to actively seek out learning from others and modify one's approach, and to exhibit an openness to new ways of doing things for oneself, for others, and for the organization. Organizational change literature

supports the inclusion of this change competency (Caldwell, 2003; Higgs & Rowland, 2000) as does higher education literature (Ehrenstorfer et al., 2015; Hill et al., 2001). The strong focus upon this competency appears strongly related to the industry in which these leaders operate – higher education is likely one that attracts critical thinkers who are reflective and interested in personal growth. It should be noted, though, that when asked what they would have done differently in retrospect during the interview, all but one participant spoke only of change content-related topics – not actually demonstrating any personal learning gained during the process.

The average rating of this competency was largely driven by the perceived importance of being open as it had the highest rating of all twenty-seven behavioral indicators included in this study; however, it surfaced in the interviews as a strategy by only 20% of participants, predominately academic members. Openness was cited as a necessary leadership characteristic in both the organizational change (Caldwell, 2003; Higgs & Rowland, 2000) and the higher education literature (Hill et al., 2001; Ehrenstorfer et al., 2015). Burke (2014) elaborates upon a related concept, self-reflection, by reinforcing the importance of leader self-examination during his pre-launch phase of change, indicating that “leadership is personal” (p. 303). Although self-reflection was only rated of moderate importance, the strong value placed by respondents on the full scope of personal competencies addresses the need for a change leader to be aware of and intentional during change as his/her preferences, disposition, and values color every behavior that others will see during a change initiative and in turn influence their own behavior. Therefore, reflecting upon the degree to which one has a need for being seen as *the* expert and in control as well as how one typically reacts when challenged or living in the space of ambiguity can all be helpful prior to change (Burke, 2014) as well as during the implementation process.

These all influence one's openness, the absence of which has been described as self-sealing behaviors (Argyris & Schön, 1996). Connections may be drawn broadly to openness utilizing Dweck's "growth mindset" (2006) or embodying an "externally open" state of leadership (Quinn & Quinn, 2015), but no research has been found to link these concepts specifically to leading planned organizational change. Openness can be viewed in the literature as an aspect pertinent to followers, such as readiness for change, openness to change, or openness to experience, but little has been written about the leader's *own* embodiment of openness during change beyond the need for it in change-ready leaders (Krummaker & Vogel, 2012), aspects that can foster it (Devos, Buelens, & Bouckennooghe, 2008), and the impact of it on follower dispositional resistance (Oreg & Berson, 2011). Two examples of ways a change leader might display openness could include feedback seeking approaches that avoid seeking only confirming input during change, such as listening to individuals who reflect a variety of viewpoints to provide input throughout change, and using message sidedness (Lewis, 2011) to communicate evidence both in support for and against the change.

One additional survey finding in terms of perceived importance was that five of the proposed competencies were found to be statistically significantly higher in perceived importance in comparison to the others, including (listed in order): personal learning, resilience, emotional engagement/creating a safe space, networking/coalition building, and project management. These were also the top five highest rated competencies in terms of perceived importance on average. Only a small variation existed in terms of academic and non-academic leader preferences for these as it pertained to their fourth and fifth most important competency. Academic leaders placed project management higher in importance than networking/coalition building whereas non-academic leaders placed networking/coalition building higher than project

management. However, the behavioral indicator of performing project management was overall rated second lowest out of the proposed twenty-seven indicators. For this reason, it could be considered of moderate relative importance to higher education change leaders and reflect an area in which central support may be given to assist leaders. No other significant differences, however, were found in terms of leader affiliation and average competency importance ratings although the small sample size is a likely contributor to this finding. Four of the nine proposed competencies were statistically significantly lower in their perceived importance than the others – presence, sensemaking, collective learning, and being a culture architect/resource advocate – despite receiving ratings of moderate to very important on average in terms of enabling the participants' self-reported successful change. The two lowest rated competencies in terms of perceived importance were sensemaking and being a culture architect/resource advocate. Sensemaking, however, was rated the highest competency of the leading others cluster and ranked twice as often as presence and being a culture architect/resource advocate, and more than three times as often as collective learning.

The lowest rated competency, by both academic and non-academic leaders, in terms of perceived importance for leading successful higher education change was being a culture architect/resource advocate. It was defined by the behavioral indicators of incentivizing change activity, advocating for resources, and maintaining a systems-focus. All three indicators were examples of embedding change into an organization; all were rated moderately important on average but incentive provision rated the lowest of all twenty-seven proposed behavioral indicators. This may not be surprising since these behaviors were not found in higher education change literature and were only found in organizational change studies (Higgs & Rowland, 2000; Gilley et al., 2009; Latham, 2013; Woodward & Hendry, 2004; Wren & Dulewicz, 2005) and

may actually be ones that fall outside of the scope of a typical leader's ability to influence. Further study may be needed to explore what is fair to expect from a change leader in terms of institutionalizing change (the phase of change that received minimal focus in this study) and what should be done by a partner with expertise and access to implement changes, such as modifying the rewards system to allocate incentives.

Highest Ranked Competencies. One competency was ranked highest by respondents as an enabler to attain successful change and/or to navigate through a critical turning point in each of the three competency clusters: leading oneself, leading others, and leading the organization. Networking/coalition building was ranked most frequently the top competency for the cognitive/tactical aspects of leading the organization, emotional engagement/creating a safe space followed closely behind in frequency as the top competency for leading others, and resilience trailed behind in frequency as the top competency for leading oneself. Both networking/coalition building and resilience will be described later in more detail as they had significant support also in the interview results.

Emotional engagement/creating a safe space was only found to be a significant finding among survey respondents – little discussion about this concept emerged in interview findings. This competency supports the need for creating psychological safety during change and is consistent with studies conducted in the organizational change literature (Higgs & Rowland, 2000, 2011; Krummaker & Vogel, 2012) as well as in higher education change literature (Astin & Astin, 2000; Ehrenstorfer et al., 2015; Hemsall, 2014; Scott et al., 2008). It is comprised of three proposed behavioral indicators including making it safe for others to say risky things (Higgs & Rowland, 2011), being visible and accessible to all impacted during change, and listening and empathizing. It is the last behavior, being able to listen and empathize, that was

rated highest; of the twenty-seven proposed behaviors, it was rated the third most important. Listening in general is necessary to build a relationship of trust and emotional engagement (Coetzee, et al. 2013) and was identified as a foundational skill in this study for effective communication. Empathy and fostering psychological safety go beyond listening to propel a leader to acknowledge the anxiety individuals feel during change, which is necessary to move through the unfreezing phase of change (Schein, 2010) and to support the creation of new beginnings during change (Bridges, 1986). A safe space is needed to facilitate sensemaking (a behavioral indicator of personal learning which received little support) and requires an openness to new ways of doing things in order to be able to reframe the concept of resistance. If a change leader views it instead as ambivalence (Piderit, 2000), acknowledging that a range of possible change recipient responses can be constructive during change and s/he were open to exploring these responses, there may be a higher likelihood of trust built among change recipients as well as psychological safety to spur co-creation. No participants in this study utilized an alternative description for resistance, nor were strategies for psychological safety shared in the interview findings. The aspects that go into creating psychological safety, such as a leader's view of resistance, could be an area for further research; this may be particularly helpful in connecting both the impact of psychological safety on change outcome as well as the influence of leader readiness on the creation of psychological safety, since a leader's view of resistance is one determinant of his/her readiness for change (Armenakis, Harris, & Mossholder, 1993; Krummaker & Vogel, 2012).

Academic & Non-Academic Leader Preferences for Competencies. Several authors have categorized competencies for leading change (Higgs & Rowland, 2000; Yukl, 2012) and for leading in higher education in general (Scott et al., 2008), but none have shown evidence of one

cluster being more important to a given population of leaders in higher education when leading change than another. In this study, the ratings of competencies in terms of perceived importance as well as highest ranked enabled a pattern to emerge – two of the four most important competencies pertained to leading oneself, personal learning and resilience. Furthermore, leading self was found to have a large association of statistical significance in terms of academic and non-academic leader respondent differences in highest ranked competencies, $\chi^2 (3) = 8.713$, $p < .033$. This was the result of higher than expected ratings by non-academic leaders for the resilience competency and the use of the ‘other’ write-in response category for the leading self cluster by academic leaders. One of the reasons for the high number of write-in’s could be attributed to survey format. Leading self was the first section of competencies to be rated, therefore respondents only knew of nine proposed behavioral indicators at this juncture and didn’t have access to the remaining eighteen. Yet, when viewing the write-in responses, only approximately one third of them pertained to behaviors attributed to leading others or leading the organization. Additionally, foundational competencies weren’t explicitly stated in each cluster. About half of the write in comments pertained to these and/or to other leader readiness attributes, such as “take time to learn the history of other projects”, “understand that individuals & groups are in different stages of readiness for change and be flexible to accommodate them where they are”, “(knowing) how to tell leadership when I needed help”, and “caring”. These additional characteristics may support further research in understanding higher education change leader readiness.

Competency Summary

Five of the nine proposed higher education change leadership differentiating competencies received the highest support (resilience, personal learning, networking/coalition

building, emotional engagement/creating a safe space, and project management); one competency received the least, being a culture architect/resource architect. Table 24 outlines the revised competency framework including these and their behavioral indicators as well as foundational competencies and characteristics. Bolded items reflect those perceived to be most important and statistically significant in comparison to the others – these may be prioritized as areas for incorporation into leader selection, development, and succession; grey items reflect those perceived to be least important – these may require further research to validate inclusion. Prominent change leader themes from the interview were also included for inclusion in the final revised competency framework. Some activities emerged as strong themes in the interviews, e.g. inspiring communications, empowerment, and knowing who in the organization to engage. Further research is needed to determine if they should move from the foundational competency section and into the differentiating competencies. Academic and non-academic leaders predominately agreed upon these competencies; therefore, the same framework is proposed for both populations.

Table 24

Revised Higher Education Change Leadership Competency Framework

	Leading Self	Leading Others	Leading the Organization
Proposed Differentiating Competencies	Resilience <ul style="list-style-type: none"> • Persevere and bounce back from setbacks • Tolerate and adjust to contrary views • Adapt/flex to the needs of others and the situation in the face of adversity 	Emotional engagement/creating a safe space <ul style="list-style-type: none"> • Make it safe for others to say risky things • Be visible and accessible to all impacted during change 	Networking/coalition building <ul style="list-style-type: none"> • Network and develop supportive coalitions; form new groups and/or leverage existing groups/social networks • Identify, understand,

	Leading Self	Leading Others	Leading the Organization
		<ul style="list-style-type: none"> • Listen and empathize 	<p>and/or handle political issues in order to detect promoters and opponents of change</p> <ul style="list-style-type: none"> • Negotiate with various change constituents
	<p>Personal learning</p> <ul style="list-style-type: none"> • Self-reflect • Actively seek out learning from others and modify one's approach • Exhibit an openness to new ways of doing things for oneself, for others, and for the organization 	<p>Sensemaking support</p> <ul style="list-style-type: none"> • Support collective sensemaking, helping groups interpret or personalize the change • Foster group experiences for understanding different perspectives on the change • Create space for individuals to manage multiple realities and/or reconcile paradox 	<p>Project management</p> <ul style="list-style-type: none"> • Perform project management • Plan, monitor, and/or adjust change execution activities • Communicate project status and results in accordance with initial and evolving goals
	<p>Presence</p> <ul style="list-style-type: none"> • Tune in to one's reactions and calmly respond • Be a non-anxious presence in a sea of anxiety • Connect with others involved in the change at an emotional level, showing vulnerability and allowing others to 	<p>Collective learning</p> <ul style="list-style-type: none"> • Facilitate group learning experiences • Have a flexible change vision, an openness to where and how the group moves forward ultimately in the pursuit of appositve change outcome • Spur ongoing group learning, experimentation, 	<p>Be a culture architect/resource advocate</p> <ul style="list-style-type: none"> • Incentivize change activity • Advocate for resources • Maintain a systems-focus, appreciating that a change in one area of an institution affects other areas

	Leading Self	Leading Others	Leading the Organization
	do the same	prototyping, and/or learning by practice	
Foundational Competencies	<ul style="list-style-type: none"> • Ethics/integrity/honesty • Self-efficacy • Courage • Active Listening 	<ul style="list-style-type: none"> • Communication • Empowerment 	<ul style="list-style-type: none"> • Cognition/critical thinking/objectivity • Entrepreneurism • Change process knowledge
Additional Characteristics	<ul style="list-style-type: none"> • Ability to realistically set expectations 	<ul style="list-style-type: none"> • Ability to foster psychological safety 	<ul style="list-style-type: none"> • Organizational knowledge • Scheming

* Bolded competencies reflect those that were statistically significant in comparison to the others

** Bolded behavioral indicators denoted by bullets reflect the most important behavior for the competency

*** Grey behavioral indicators reflect those that were rated least important overall

It is anticipated that leader competencies are transferrable across this industry – what it takes to successfully lead change isn't unique to higher education – but that the strategies utilized to apply them could differ based upon context. This leads to the findings of the next research question, strategies used and differences among them with academic and non-academic higher education leaders.

Strategy Results

Interview themes depicting specific examples of higher education change strategies were classified using Bolman and Deal's four frames: political, structural, symbolic, and human resources (2013). This organizational framework was selected over other possible change models, predominately due to the strong results associated with political strategies. Of the models considered, Kotter's Eight Stage Model (1996) was not selected despite it having the largest number of citations (Hughes, 2016) because it infers a more linear approach and utilizes language and concepts that portray a more manipulative approach than anticipated acceptable in

a collegiate setting (Buller, 2013). It has also been criticized for “failing to really deal theoretically with power and politics” (Hughes, 2016, p. 88). Burke-Litwin’s Causal Model of Organizational Performance and Change (1992) was not selected because leadership was just one of many elements associated with change and it lacked a robust description of the many strategies possible to enact it. Lueddeke’s Adaptive-Generative Development Model (1999) was not utilized as findings supported only one element, strategy formation and development. Finally, the closest alternative model was based upon a higher education transformational change study, the Mobile Model (Eckel & Kezar, 2003). Many of the model strategies were depicted in the interview findings, however, it ultimately was not selected due to the lack of robust political strategies and omission of symbolic references. Bolman and Deal’s Four Frames likewise wasn’t a perfect match either – it is more of a leadership framework than a change model and it too omitted the inclusion of strategies for leading oneself. It did, however, provide a stronger alignment to the political as well as engagement strategies for the empowerment, inspiration, and team structure strategies that emerged. As a result, it was selected and personal change leadership strategies was added.

Political Frame Strategies. The political frame strategies were most frequently used by both successful academic and non-academic change leaders. Bolman and Deal (2013) described this frame as mirroring a power-based approach to change with individuals viewing organizational processes based upon structures of influence, e.g. coalitions and networks. Senior leader support was found to be critical to successful higher education change as was collaboratively initiating (or “scheming”), planning, and shaping the change. Higher education literature addresses strategies for senior leader support (Eckel & Kezar, 2003) as well as political alliances and collaborative change planning teams (Eckel & Kezar, 2003; Marshall, 2007;

Ruben, 2006; Scott et al., 2008; Slowey, 1995). Underpinning these concepts is a base of political theory (Mintzberg, 1983; Birnbaum, 1988; Cohen & March, 1983) and practitioner literature (Gilley, Quatro, Hoekstra, Whittle & Maycunich, 2001; Kanter et al., 1992; Kotter, 1996). This section describes these two primary interview themes and summarizes the political findings overall in this study (combining survey responses as well as interview findings).

Obtaining and Leveraging Senior Leader Support. In a corporate environment, it is often discussed that change must be led from the top, generally the senior management team (Beer & Nohria, 2000; Kanter et al., 1992; Kotter, 1996). The findings from this study indicate that change benefits from *support* from the top but that it is led by a team of influencers. One of the first key activities for 16% of participants – equally representing both academic and non-academic change leaders – was to socialize the change concept with senior leaders to gain commitment and resources, consistent with Eckel and Kezar’s study (2003). In a resource-scarce environment, it makes sense that those who are in a position to invest are engaged at the start. However, senior leader support was a theme contributed by participants in this study and not described in the literature; it benefited participants in terms of the ability to request senior leader help with change communications as well as the back-up they could provide when resistance occurred. These findings are unique and complementary to Eckel and Kezar’s study (2003). Over a quarter of participants, nearly all academic, referenced the reassurance they had in being able to say “no” to powerful nay-sayers, knowing that they could count on those senior leaders to have their back. This benefit of senior support was also found by 88% of participants spanning industry in a Linkage study (Carter, Giber & Goldsmith, 2001), who also counted upon senior leaders as a vehicle to counter resistance. Another quarter of participants in this study, equally

distributed by leader type, relied upon those senior leaders to share or reinforce change messaging with others.

Scheming & Collaborative Change Planning. Just over a third of interview participants described how change proposals emerged – citing the need for “building political capital and building allies” (A11), creating “champions in the community” (N13), or “scheming” (N14) with one example described as:

At the start, we developed a coalition of key people who reported to (the) exec’s – I was one of them. We focused on the three key executives, CFO and CIO, but the Provost was also one who jumped in whole heartedly. With the help of *scheming* (emphasis added) from the three of us we got support. (What led to our success?) How we strategically partnered with each other in our coalition to convince them. (N14)

Nearly all of these participants highlighted an authentic and positively-intentioned desire to establish partnerships for the organization’s benefit. They were more apt to describe their “social embeddedness” (Kan & Parry, 2004) and the trust and credibility they developed over time with partners rather than behaviors that may be negatively perceived, such as manipulation or power. Only one participant explicit noted that he provided favors in the hopes to build allies who would support him when resources were needed in return. This may be due to the research design, however, whereby only leaders shared input, not those they worked with. To develop and advance change plans, just under half of all participants, predominately non-academic leaders, engaged key influencers in some form of a functional, cross-functional, or more elaborate project structure version of a team. They highlighted the need for knowing who to engage across a decentralized institution structure as critical. One participant summarized a key benefit of why this was done with the mention that “admin. are suspect” (A8) and therefore, the inclusion of others provides credibility. Others highlighted the benefits of “taking advantage of their star power” (N1) when key influencers shared the change in their networks. This reflects the essence

of how change happens in higher education. Wheatley put it best when she shares the following from an organizational change perspective based upon “new science” with themes depicting evolutionary and chaos theory, “it is not the law of large numbers or critical mass that creates change, but the presence of a small disturbance that gets into the system and is then amplified through the networks” (2006, p. 87). Literature from higher education leadership concurs – indicating that plugging in to the right networks (Scott, 1999), establishing alliances/coalitions (Marshall, 2007), and collaborating (Kezar & Eckel, 2002a) are core change strategies. Other forms of achieving this mentioned in the higher education literature that were confirmed in this study included informal meetings with influencers (Marshall, 2007) and canvassing the change among colleagues before introducing it (Slowey, 1995). This is actually an element in several models within the organizational change literature (Gilley et al., 2001; Kanter et al., 1992; Kotter, 1996) whose authors delve more deeply upon who constitutes a key influencer. Kotter (1996) shares that a group “with enough power to lead the change” is needed when creating a “guiding coalition” (p. 21), describing that individuals should comprise a collection of power bases including those with position and expertise power as well as those with credibility and the ability to lead and that ultimately, there should be an even mix of managers as well as leaders. Kanter adds that coalitions should contain “holders of important supplies necessary to make change work and stakeholders – those who stand to gain or lose from the change” (1992, p. 384). Finally, Buchanan and Badham (2008) validate the need for “peers and colleagues from different social backgrounds” and “senior management support” in a change coalition (p. 189). Participants in this study didn’t elaborate upon the demographics of change planning team members; however, indicated that alliances were sought with peers and trusted colleagues and teams were devised based upon member expertise and credibility.

Other Political Tactic Findings. Power, politics, and change are inextricably linked (Pettigrew, 1973). In a collaborative space such as higher education, it is not surprising that the proposed coalition building/networking competency was most highly ranked competency by 51% of survey respondents and political frame strategies were referenced by 92% of interview participants, equally emphasized by both academic and non-academic leaders. Politics during organizational change is perceived to be more necessary than ever, particularly in the public sector (Buchanan & Badham, 2008). This may correlate with the continued industry focus on doing more with less resources and could be why nearly every participant (with the exception of two) referenced planning strategies used to shepherd issues through the organizational “shadow sides” (Egan, 1994). Additional tactics described here were raised predominately by academic participants and include the use of timing, working back channels, political favors, embedding academic leader discretion into the change design, and approaches to respond to resistance/ambivalence. First though, a word of caution. Words matter to individuals in higher education and one of the first forms of feedback that was insightful in relation to this finding was the negative connotation associated with this term as shared by one participant:

The other thing is, I do (it) naturally and not realized it's a skill, is paying attention to the big picture so you (can) ask 'how does this work?' and 'what do people care about?'. People characterize it as politics and describe it as something negative... I've never had an experience where it's political in a negative way. We do operate in a system and it has particular kinds of rewards, incentives, personalities, and if you can understand what those are you (can) exploit them. But I don't think of it that way. If I want my boss to care about it (a change initiative), I have to understand what he cares about... (A7)

Higher education change political tactics and strategy is an area for further study as it tends be neglected by academics (Hughes, 2016) and most advice either ignores the topic or advises against it (Buchanan & Badham, 2008); however, some evidence was found to support these strategies, including a positive view of politics (Egan, 1994), timing (Pfeffer, 1992), use of

back channels and favors (Egan, 1994) in the organizational change literature and responses to ambivalence within the higher education literature (Anderson, 2011). What is unique in these findings is the intentional integration of academic leader discretion into the design of a change initiative.

Planning strategies begin with understanding political timing. Only two academic participants spoke of this but it can be a critical consideration (Pfeffer, 1992) both for knowing when to initiate change, or “knowing when to run” (A5) as one participant described, and for knowing when and how to deploy delay tactics (Pfeffer, 1992). In the latter, the participant diffused a naysayer in a faculty senate setting and the continued escalation of concern by suggesting that a survey be launched to garner additional faculty views on a topic rather than continue debate in a public setting. In doing so, he anticipated that many wouldn’t participate. A few examples from this study that expand upon the strategies already discussed for forming alliances include working back-channels for change support, seeking political capital, and providing favors. Only one mention of support for these was found in the higher education literature (Hargreaves, 1995 as cited in Lueddeke, 1999), however they are seemingly more commonly accepted practices within the organizational change literature. For instance, working back-channels, described by one non-academic participant, is just one way to practice “issue selling” in order to garner support for the change in light of other competing initiatives (Buchanan & Badham, 2008; Dutton, Ashford, O’Neill, & Lawrence, 2001). Other primary political strategies included methods for responding to resistance (or ambivalence). Although “overcoming resistance” is prevalent in practitioner literature, it was expected that this concept would come across as manipulative and lacking authenticity in a collegial environment. However, 20% of participants – all but one of whom were academic – described resistance using

this term, not alluding to the more positive benefits of receiving feedback such as viewing it as participant engagement, acknowledging it as an “organic response or reaction to change agency” (Anderson, 2011, p. 32), or addressing the range of possible reactions others may have to change including “ambivalence” (Piderit, 2000). Higher education case studies featured some examples of how resistance was handled in other institutions. These tactics are noted below with reference to the degree to which these were described by participants in this study (Anderson, 2011):

- **Prevent resistance by including involving resisters in work groups.** Although 64% of all study participants (equally representing academic and non-academic affiliations) spoke of identifying who to engage and/or staffing work groups with carefully selected members, only half of the participants who brought up resistance spoke of this indicating it may not have been used solely as a tactic to counter resistance.
- **Present counterarguments and reason with resisters.** All participants in this study who spoke of resistance described doing this and highlighted that this occurred at a critical turning point in their change launch process; half of these participants (both academic and non-academic) spoke of the need to ultimately stand firm and say “no” in a calm way. When this occurred, participants spoke of the need for having senior leader back up in order to have confidence that the “no” would be supported.
- **Meet with resisters and listen to their concerns.** One non-academic participant in this study shared this as a particularly helpful strategy with a small but highly vocal contingent of stakeholders from one unit.
- **Build a coalition of support.** Twenty percent of participants identified this as a planning strategy but only one participant who did so also spoke of approaches utilized to address

resistance. This again confirms that planning teams/networks/coalitions may all used for purposes beyond countering resistance.

What wasn't found as a tactic to address resistance in this study but was found in the literature was: ignore resisters, coerce support, withhold rewards, blacklist/encourage the departure of dissenters, and/or make deals or incentivize individuals with professional development or monetarily (Anderson, 2011). What was unique to 12% of participants in this study was their use of embedding academic leader discretion into change designs and reference to it when resistance was received. The two academic and one non-academic leader who spoke of this indicated that it diffused concerns.

The findings of this study were consistent with Bolman and Deal's findings that the political frame was the highest utilized frame by higher education administrators by virtue of self-reported critical incident reviews in contrast to the frame preference by administrators who led American and Singapore K12 schools (1991). Additionally, with the high number of senior leader participants included in this study, the result of this study is also consistent with Bolman and Deal's finding that political and symbolic frame use were representative of leadership success, but that structural and human resource frame use was representative of managerial success (1991). These findings can pave the way for additional research on the contextually-appropriate and positive aspects associated with the political element of this competency and to validate the additional strategies of academic leader discretion and senior leader back up found in this study.

Personal Frame Strategies. Strategies that the change leader utilized to intentionally guide his/her own behaviors and influence during the process were the second largest theme of interview feedback. This was not one of the four frames in the organizing framework selected

(Bolman & Deal, 2013), but rather a proposed addition. This is consistent with findings that indicate the need for change leaders to be self-aware and conscious of how their motives and values influence through approach (Burke, 2014) and embodies the “fundamental state of leadership” in which leaders are *internally directed* as well as other-focused, externally-open, and purpose-centered (Quinn & Quinn, 2015, italics added). With the additional strong survey feedback for two of the three personal competencies, these strategies surfaced as the second strongest theme from this study. Personal learning was rated the most important competency to enable change success and resilience was the highest ranked personal competency as well as was rated the third most important in enabling change success.

Resilience. Seventy-six percent of interview participants described the need for resilience and an additional 40% of participants described a strategy they used to bolster it, setting expectations. This introduces a new foundational competency for inclusion in this study’s proposed competency framework. Non-academic leaders were more apt to initiate conversation about attributes such as having an openness to how the change unfolded, seeing the change as an experience to learn, setting one’s expectations and attitude to support perseverance, and embodying a presence of mind and sense of calm during what could be perceived as resistance. This could be related to power perceptions– academic leaders may be so used to operating in a space of critique that it does not feel necessary to explicitly call them out – and context, non-academic leaders might be more deferential to academics in a higher education setting.

Both academic and non-academic leaders highly rated this competency. Academic leaders selected this competency as the second most important contributor to their success and non-academic leaders selected it as their third most important, but were more likely to rank it as the highest competency within the leading self cluster. This was the only statistically significant

difference found in terms of leader affiliation. Conceptualized as a “state” in the field of positive organizational behavior, it has been coupled with hope and optimism and studied with a lens on individuals in the workplace (Youssef & Luthans, 2007). It is also included in the field of positive organizational scholarship and referenced as part of one’s psychological capital. The proposed behavioral indicators used in this study to define it include a bias toward persisting through what could be perceived as negative aspects of change, including the ability to persevere and bounce back from setbacks, tolerate and adjust to contrary views, and adapt/flex to the needs of others and the situation in the face of adversity. Luthans, however, adds that it could be needed in positive times as well, such as when a leader grapples with additional responsibilities upon being selected for leading a change because of confidence in his/her abilities. He defines it as capacity that can be developed to support individuals in rebounding from negative circumstances or positive events (2002, p. 702). Interview themes from this study only addressed the negative aspect, however, with comments such as “setbacks forced delays and caused the project to a shape different from envisioned... it was important to... not see minor disappointment as detrimental to the whole” (N12), “going from one failure to the next was demoralizing” (A2), and “there’s bumps and you can feel defeated...” (N14). It is an important trait for both leaders and followers because resilient individuals have been found to have a higher readiness to accept as well as apply change (Nikolaou et al., 2007).

Organizational change literature spoke to resilience at large without definition (Higgs & Rowland, 2000; Nikolaou et al., 2007) and in terms of hardiness (Krummaker & Vogel, 2012) and adaptability/flexibility (Caldwell, 2003). Of the twenty-seven proposed behavioral indicators, adaptability/flexibility was rated the sixth most important enabler for survey participants and reinforced by 16% of interview participants. An example of how this came to

life was when several non-academic participants indicated that the change was introduced as a pilot and that they knew they would need to be flexible to changes what would inevitably result. This is reminiscent of a higher education finding with institutions who achieved successful transformation change – that individuals in this industry benefitted from broadcasting work in its draft form to promote an openness to feedback and intention to flex based upon it (Eckel & Kezar, 2003). Further research may be done with this aspect in relation to what exists on individual adaptability (Smith, Ford & Kozlowski, 1997; Ployhart & Bliese, 2006) with a focus upon the leader instead of the change recipient. In contrast, higher education literature defined resilience as the ability to cope with surprise (Hill et al., 2001) and tolerate uncertainty (Ruben, 2006), neither of which were discussed by participants.

The main finding that emerged in this study related to the need for a leader mindset based upon perseverance, openness to contrary views, and the expectations s/he sets for the change process. Perseverance was broadly mentioned by 40% of interview participants, predominately non-academic, with two describing it as a necessary stick-to-it-ness. Openness to contrary views, mentioned by 24% of interview participants who were predominately academic, was described as a need to “listen and let criticism roll off my back” (A5) and that the value in doing so was the “way to test assumptions” (N7). These appear to be a precursor to one’s ability to adapt and flex and are both areas that may benefit from additional research, particularly framed as a potential contributor to positive change leader coping strategies (Elkington & Breen 2015; Fletcher & Sarkar, 2013). Finally, this study introduced the notion of setting expectations during change with 40% of participants raising it with comments such as, “you have to expect that it’s not going to go the way you want” (A11) and going in to a change assuming the worst:

When I looked at my career and the first (change) project I ever did and this (one, the difference was) attitude... In the first project, I’m a pretty logical person and was more

open to change and so I assumed everyone would feel that way and that when I told you, you heard it. Now I just accept that I have to tell you 12 times... (N6)

Setting expectations may be a method for displaying two aspects that were found to enhance resilience, facilitated positive self-talks and internalized controls (Youssef & Luthans, 2007). This may be an area for further study, drawing upon achievement motivation theory which explores the role of persistence. For example, if a change leader attempts to set a low bar on his/her views on how others will respond during change, s/he won't be surprised when this occurs and may be more likely to persist. Expectancy value theory has been discussed as one's perception of probable success and the value that s/he placed upon that success. These findings highlight probable responses to change – the first value in the expectancy value equation – and may contribute to further research on leader readiness for change with this theory influencing one's view of the change process.

Studies focusing upon the extraordinary outcomes of some individuals' resilience during exceedingly difficult times can foster deficit-thinking about this characteristic, in other words lead to assumptions that only some special folks can exhibit it (Masten, 2001), but this is a capacity that can be developed in all individuals (Berstene, 2014; Bonanno, 2005; Smith et al., 1997). Change leaders can proactively strive to develop this capacity in recipients before and during organizational change (Fletcher & Sarkar, 2013) and can systematically embed it within human resource management practices at large (Bardoel, Pettit, De Cieri, & McMillan, 2014). One last consideration relates to the influence of other factors that could impact a change leader's resilience, such as the success rate of past experiences with change leadership. If a leader has had a poor track record of success, it is possible that s/he may be less able to bounce back and lead again. In addition to resilience, a strong theme of feedback pertained to the change

leader's intention to learn throughout the change process as described previously in the competency results.

Structural Frame Strategies. Structural frame strategies were third most frequently discussed by interview participants. Bolman and Deal (2013) describe these as reflecting the view that change processes can be controlled, monitored, and corrected and addresses change planning, goal and role clarity and a procedural, rational, and mechanistic approach to the change process, such as use of project management. Change leaders that formed planning teams and spoke of key activities that transpired within them embodied characteristics that resembled this rational perspective of change. The highest frequency of strategies were those that pertained to forming and staffing a team, employed by 48% of all interview participants, two-thirds of whom were non-academics. Less emphasis was given to the myriad of team activity – from setting a team up to succeed with resources (12% of participants), creation of a team charter (16%), norms/values and use of agendas (8%), benchmarking conducted to explore change content options (16%) and use of a change model (16%). Much less discussion ensued about the use of project management – shared only by 2 individuals. A strong connection can be made with gathering coalitions/groups (e.g. Kotter, 1996) discussed in the political frame and the creation of a change planning team. The difference here is in the project team concept and ways that individuals approach the implementation of it. Higher education literature speaks of the need to gather slice groups (Marshall, 2007; Slowey, 1995) but no support was found for considering who to include on them.

Symbolic Frame Strategies. This was the fourth most frequently discussed theme by interview participants, driven largely by feedback that inspiring communication was needed during change and with the use of symbolically-rich strategies for emotionally engaging

individuals and groups. This is consistent with Bolman and Deal's use of this frame to refer to organizational rituals and other opportunities for expressing or reinforcing values (2013). Emotionally connecting with individuals with symbols and experiences for creating and implementing change requires credible leaders and a credible process for meaningful participation. Non-academic leaders, particularly, addressed this need for being seen as credible. Only one of the 28% of participants who initiated a discussion about this exhibited confidence that s/he was perceived as credible and knew this was a benefit to the change process. The process can be just as important as the individual leading it to ensure individuals feel safe to speak freely without repercussion. A climate of team psychological safety is needed for this, one "characterized by interpersonal trust and mutual respect in which people are comfortable being themselves" (Edmondson, 1999) despite no participant in the interviews explicitly referencing this or the proposed behavioral indicator of make it safe to say risky things. The top two ranked capabilities (out of 57 total) in Scott et al.'s study of higher education leadership was the ability to "be transparent and honest in dealings with others" and "be true to one's personal values and ethics" (2008, p. 74). These factors may help leaders to build credibility and trust. Tactics described that speak to the process utilized included the 36% of participants who sought to inspire change recipients to a larger purpose (such as sharing the "why" for change and proactively addressing the fears that individuals may have about job loss) and the 24% of participants who sought to emotionally engage individuals in the change process (such as visioning ideal futures and using data to spark friendly competition). Social constructivism provides a framework for the collective meaning making in safe spaces. Much in the higher education literature and organizational change literature at large confirmed the importance of communication, as shared by 64% of leaders; however, less speaks to the value of creating

emotional connections during change. Storytelling offers one example of this although no participants in this study used this tactic. The symbolic frame has been found to distinguish effective higher education administrative leaders from others who are less effective and was used more often by leaders than managers (Bolman & Deal, 1991).

Human Resource Frame Strategies. The human resource frame was the least frequently discussed theme. Bolman and Deal (2013) refer to this frame for addressing participation and learning opportunities. In this study, strategies that reflected the people elements of change, including empowerment, training and development, as well as collective sensemaking and decision making were all categorized into this frame. The most frequent participant refrain was to empower others, most often project teams, to ensure higher education change success with 28% of participants highlighting this strategy. Yet, only two participants initiated a discussion about equipping individuals to utilize new skills or insights during the change. Perhaps for the 40% of participants who worked on a first order change this was less necessary, but may be a missed opportunity for the 60% who featured a second order change, as “learning is critical within a transformational change process” (Eckel & Kezar, 2003, p. 80). In the higher education literature, fostering collective learning was shared as a strategy (Eckel & Kezar, 2003; Hill et al., 2001, Astin & Astin, 2000); however, the two participants who spoke of this referenced a more transactional form of skill-based training. This is contrasted with strategies featured in five case studies of U. S. institutions experiencing transformational change in which “staff development was often linked to outside perspectives, communication, and connections and synergy” (2003, p. 122). Creating a space for this learning is one attribute a change leader requires, another is the openness to others’ views as described in the personal strategies section above. Finally, it is of note that two participants shared a unique method for bringing groups together to foster

collective sense making and decision making, crowdsourcing. No reference of this was found in the literature collected.

Strategy Summary

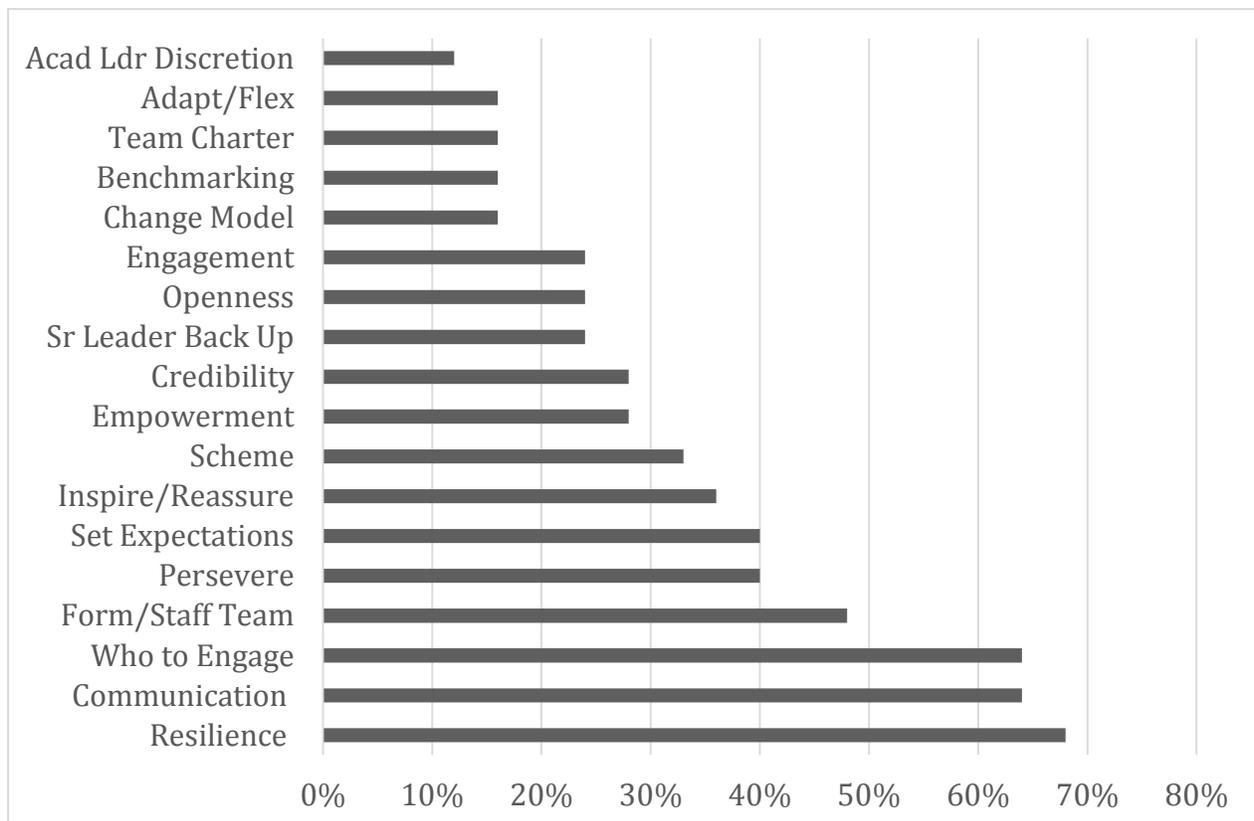
At the start of this study, it was anticipated that many higher education change leaders may embody a strong focus upon communication and help others to make sense of the change drivers and opportunities for response – consistent with one definition of planned change: “realizing intended outcomes while recognizing and building on the historical context, by actors who influence each other through a sequence of phases or steps, (utilizing) communication and sensemaking, while the change process is monitored and guided by change agents” (de Caluwé & Vermaak 2003, pp. 70-73). Findings instead highlight that change was highly political and personal. Little discrimination was found among academic and non-academic leader affiliation preference and use during each of the three change phases. The most frequent strategy themes in descending order were:

- **Personal Strategies**, including resilience, perseverance, setting expectations, establishing credibility, openness, adaptability/flexibility
- **Political Strategies**, including knowing who to engage, scheming, sr. leader support, academic leader discretion
- **Structure Strategies**, including forming/staffing a team and team activities such as benchmarking, use of a change model, creating a team charter
- **Symbolic Strategies**, including communication, inspiration, and emotional engagement activities

Academic leaders were more likely to speak to the opportunity for personal learning, openness to involving others with a flexible change vision, integrating academic leader

discretion into their change strategy, and options for navigating ambivalence or resistance. Non-academic leaders were more apt to share the need for perseverance and portraying a sense of calm, establishing oneself as credible, providing empathy, utilizing structured team and project management activities, and scheming. It is notable that institutionalization strategies were not frequently mentioned. Table 25 shares the percentage of the most frequently referenced strategies. It may be unrealistic to expect higher education leaders to initiate and launch change as well as to manage the project and modify institutional infrastructure as well. As a result, leaders would do well to partner with others in central units such as organizational development and/or human resource professionals to set change goals, monitor and evaluate progress, and embed the change into organizational structures, systems, and processes.

Table 25

Percentage of Strategy Theme Frequency

Change Phases Reflections

Focusing upon change phases allowed for a better appreciation of the non-linear manner in which activities occur during change (Higgs & Rowland, 2005; Gilley et al., 2009; Smith & Graetz, 2011) and was expected to provide a better map for how change actually transpires in this industry (Buller, 2015). Despite wide recognition for organizational change unfolding in typically three phases (mobilization, implementation, and institutionalization), participants in this study predominately focused upon competencies and strategies relevant to only the first two – planning and implementation. Very little focus was given to institutionalization by both leader affiliations. This may be due to the study design as participants were requested to select a successful change that occurred within the past three years and it takes longer than this for change to be embedded in the culture in this industry (Eckel & Kezar, 2003). This finding could also be related to the senior leader status of respondents and the inductive approach taken in the research design. Senior leaders may have a need to obtain higher returns on a change effort in a short amount of time since their tenure is often short; therefore, investing in long term institutionalization activities for a change initiative is not rewarded.

Half of all survey participants indicated that their featured change was still in the implementation phase and therefore would have been unable to highlight what it took to embed changes in their culture. Most discussion highlighted change initiation activities and the use of communication and the creation of change planning teams as the primary launch strategy. Little was shared on other implementation strategies including staff development, change planning team learning, and using action learning/experimentation as model for change launch. Minimal variation existed among the use of the proposed competencies by both academic and non-

academic leaders during all three phases with the exception of three that were more often embodied in either planning and/or in implementation: presence, personal learning, and sensemaking. In the early juncture, leaders need to make sense of the change for themselves.

Nearly half of participants, however indicated that their change was in the institutionalization phase and yet they were largely silent on activities such as modifying organizational infrastructure to reinforce the change as well as providing incentives; promoting ongoing learning, evaluation, and celebration; and sharing learnings with external collaborations. Participants spoke of only one competency, being a culture architect/resource advocate, as being more prevalent during institutionalization than in planning or implementation. This may be an indicator that reinforcing change in the culture is after-thought and could be an opportunity for further research; if higher education change is largely driven by leadership focus on the first two phases of change – initiating and communicating the need for it – but is not strongly in tune with ways to support “cognitive restructuring” and stabilization in the culture, what are the consequences associated with not providing organizational members time and space to learn, practice, and internalize new behaviors? Schein speaks to expected outcomes associated with incomplete change highlighting that the change would not be fully successful, resulting in members of the organization receiving new data “disconfirming” the change goals and spurring a new cycle of change starting again with the second phase of unfreezing (2010).

Limitations and Delimitations

This mixed methods study sought insight from self-identified successful higher education change leaders on the competencies and strategies they perceived to be most important. Several limitations existed as a result of the research design, including the sample size, participant input sought, and other instrument design considerations. Among the delimitations of this study were

the decisions to proceed with the response rate, invited study participants, and the data analysis approach.

Sample. The low survey response rate hindered data analysis and generalizability. The professional association audience was assumed to be the bigger participant base and therefore the mailing list of senior leaders was not as robust as what was needed. A key learning was the unexpected positive response from the senior leader population. If this were the only population invited, the response rate would have been higher. By keeping both groups, however, there was greater diversity in the participant base based upon title as the professional association had a stronger mix of front-line and mid-level leaders. With a greater response rate, it may have been possible to look at nuances in findings such as breaking out preferences in competency, strategy, or their use during change by participant title and/or in terms of supervisory, mid-management, and senior-leadership categories.

Invited Participants. A key limitation was the participant self-report of competencies and strategies for successful change, which is not generally considered to be an accurate predictor of effectiveness (Fleenor et al., 2010). Overconfident individuals, for instance, are more likely to have a self-enhancement bias (Atwater, Ostroff, Yammarino & Fleenor, 1998). The findings for this study could have been improved with input from change recipients and other stakeholders about what leaders actually did and the impact of these competencies/strategies to balance out the inaccuracies of self-report and/or overconfident participants. Additionally, having some external criteria for the leader to define their change as successful or high performing beyond simply “having met most of its initial goals” could have provided participants a framework for a more accurate perception of capability that led to the initiative’s success that would be congruent with others’ ratings (Church, 1997). One attempt to

achieve this was a request in the study invitation for individuals to forward the survey to others that they would nominate for successful leadership of higher education change. It is unknown if this occurred; it is possible that among the individuals who didn't identify themselves some might be nominees, but all who did include their name and institution could be traced back to the invitation list. Therefore, due to the high inclusion of participants utilizing self-report, findings may be inflated based upon leader perception.

Another consideration is that if individuals were indeed experts at leading change, they may have difficulty recalling all that they know and do and could have inadvertently not included some key characteristics (Schön, 1983). Additionally, participants spoke of a change that occurred within the last three years, thus, memory may have impeded an accurate recollection of competencies and strategies utilized as well as when they were applied during the change phases. An attempt to minimize this was the use of critical incidents. These were found to be highly energizing to interview participants, who could vividly share a painful moment or one marked by high emotion. Additionally, invited participants comprised internal change agents and generalizability may be difficult for those who work in an external change agent capacity. It also represents the views of one independent party in what was likely a shared change leadership approach. Only one interview participant spoke to this concept when he invited his change initiative co-lead to join the conversation. Finally, although the invitation specified that individuals didn't need to have a formal leadership role, most did and therefore it may be difficult to generalize to the experiences of those who lead grassroots higher education change.

Other Data Collection and Analysis Limitations. The use of a deductive approach to survey design with regards to competency ratings may have influenced this study's findings. With the relatively high number of write-in competencies by academic leaders, there may have

been support for considering an inductive approach. If done, foundational competencies and others not included in this study may have surfaced with higher prominence. Additionally, enabling participants to select all that apply when it came to academic or non-academic affiliation was not conducive to the independent samples t-test method of data analysis with such a small sample. Likewise, this rating selection option also made it difficult to determine which competencies were most critical by change phase. Finally, rigor could have been improved if additional coders were utilized for the qualitative findings.

Implications for Future Research

This study provides a helpful starting point for higher education change leaders in any role to consider the needed characteristics and strategies for success. However, since the perspectives shared in this study reflect just the change leader's perception, which can be subject to error (Atwater et al., 1998; Fleenor et al. 2010), further research might add feedback from change recipients. Exploring differences in competencies they perceived most helpful during the change process from a particular vantage point such as impact of competency on recipient openness to change could help to determine prioritized competencies by desired outcome. This could also potentially be linked to the concept of resistance such as unraveling leader definitions for the term in a future study and how they address it in contrast to change recipient preferences for leader behavior and the impact of it on the recipient's commitment to change.

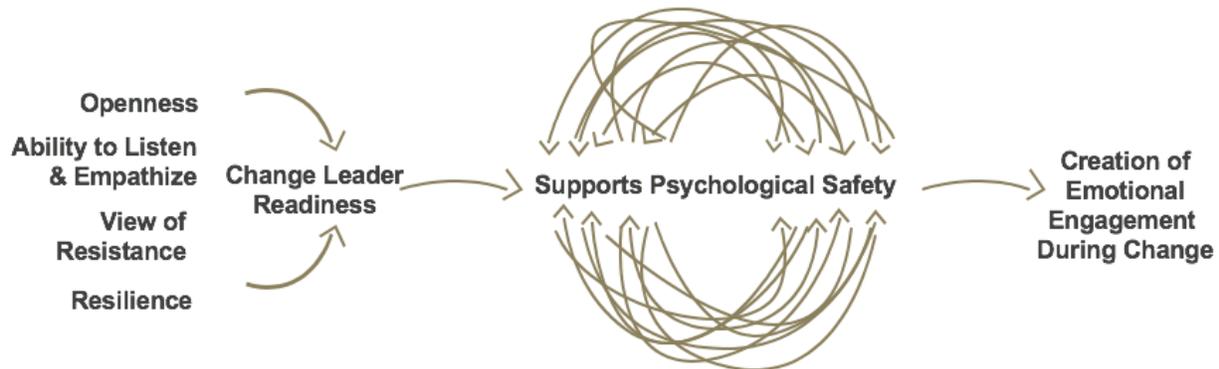
Furthermore, with a larger sample, leader responses might be contrasted by title, tenure, and the strategies they utilized by change phase to identify who really needs what competencies when. For instance, is it an accurate assumption that senior level leaders more often plan higher education change and mid-level leaders implement change – and if so, what are the unique competencies and strategies required by each? Likewise, the role of leader employment tenure

may also be considered in future studies to identify if the way that new leaders initiate organizational change is significantly different from established leaders and if approach or tenure has an impact on recipient openness and commitment to change. Other potential focus areas pertaining to study participants include looking at competencies and strategies utilized by members of a full change planning team to identify the degree to which they vary and complement one another and the selection of just external change agents and/or just individuals without a formal title to examine differences in their approach to guiding others' to lead change or to lead grassroots change in contrast to the preferences of internal change agents with formal authority to lead change. Additionally, change might be examined more in terms of who is most often initiating first order or second order change and what strategies and competencies are necessary to lead each. It was evident that all leaders in this study infrequently referenced the institutionalization change phase – this may be an area for additional exploration to understand if it is a fair assumption that leaders should do this or if others in a central support unit may be more likely to be responsible for this activity and if so, what the central support unit's function is and the challenges they encounter in doing so.

With the strong focus upon leading oneself during change in these findings, it may also be helpful to explore leader readiness for change or leader openness to change as an antecedent to this competency study. A potential model for further research could include the following highly rated characteristics from this study and the proposed links to readiness and creation of psychological safety for attaining emotional engagement during change as shown in Figure 15. Further research on defining the attributes of higher education change leader readiness could be helpful as well as determining if change agent readiness contributes to change readiness through the creation of psychological safety.

Figure 15

Potential Areas for Further Study: Connecting Leader Readiness with Creation of Psychological Safety and its Impact on Engagement



Finally, complementing the individual enablers to success found in this study with other institutional enablers could broaden the dialogue beyond individual traits in order to attain desired collective change outcomes.

Implications for Practice by Stakeholder

The identification, selection, and development of higher education leaders are “generally not well managed” (Fullan & Scott, 2009) and yet with 80% of an institution’s costs driven by people expenses (Weber & Duderstadt, 2004), there can be no better investment than in these processes in order to attain strategic priorities through successful leaders who rally support from engaged faculty and staff. Competencies can be used to clarify agreed upon expectations for *how* a leader achieves performance goals; focusing upon both what is done and how it is done can increase the likelihood of success for individuals in any role (Lucia & Lepsinger, 1999; Spencer & Spencer, 1993). This study supports a competency-based higher education change leader recruitment/selection, coaching/development, performance management, and succession

management process – one that is the same for both academic and non-academic leaders. This model could be customized to address other characteristics needed for current and anticipated future performance success beyond change capability (e.g. those linked to an institutions' values for instance and other specific role requirements) or it could be used as a tool to engage others in the organization in prioritizing these proposed competencies based upon their unique operating environment. Since change-capable higher education institutions are driven by change-capable members (Fullan & Scott, 2009), individuals who are politically-savvy as well as possess the proven ability to persevere and learn throughout the process may be particularly more likely to succeed. The ideal higher education change leader would possess the additional proposed differentiating competencies as well as the foundational competencies – all of which provide a complete picture of necessary characteristics for change capability success.

Hiring managers would benefit from incorporating these competencies into hiring practices as they “provide a complete picture of job requirements, increase the likelihood of hiring people who will succeed, minimize investment in people who do not meet expectations, ensure a more systematic interview process, and help to delineate trainable competencies” (Lucia & Lepsinger, 1999, pp. 22-26). Analyzing jobs and embedding them into the job descriptions and postings for those that require change leadership enable expectations to be set up front for job candidates on the necessary characteristics of success.

Recruiters and selection committees could utilize competency-based behavioral interviewing questions to assess job candidates in terms of what they have *done* to embody these change competencies in the past, which is a higher predictor of success than simply relying upon a candidate's opinion about how they *might* approach a given challenge (Gangani, McLean, & Braden, 2006). Many candidates can often say socially-acceptable answers to interview

questions, such as the value they place upon navigating politics in a decentralized environment, but it is harder to ‘make up’ specific examples of what they actually did to obtain and leverage senior leadership support, for instance. A theoretical underpinning that speaks to the success rate of competency based interviewing rests with the inherent inaccuracy of individual self-reports and the disconnect between what we say we do (our espoused theories of action) versus what we actually do, or our theories in use (Argyris & Schön, 1974). Ratings for interview questions could be weighted to assign a higher value to those change competencies most needed such as those for which more support was given in this study or those most important based upon a unique operating context.

Finally, **assessment centers** that provide simulation exercises featuring the use of these competencies would provide an even more credible method for validating high stakes job candidate capability; one study found the criterion validity of assessment centers ($r=.65$) to be the highest in contrast to competency based behavioral interviews ($r=.48-.61$), work sample tests ($r=.54$), personality tests ($r=.39$), references ($r=.23$), and non-behavioral based interviews ($r=.05-.19$) (Smith, 1988 as cited in Spencer & Spencer, 1993).

Leaders could embed these competencies into the performance management process for individuals who have a need to lead change as well as embed it into their ongoing coaching and mentoring practices. Setting performance expectations for members to utilize these change competencies as they go about achieving their goals creates a shared understanding of how to attain success. This can be especially helpful as many leaders, particularly those with an academic affiliation, don’t often receive much preparation or clarity around the leadership expectations of their role. Furthermore, appraising performance at the end of a period against them fosters accountability and helps to embed the competencies into the operating structure of

the institution. Benefits of including competencies in performance management include a mutual “understanding of what will be monitored and measured, focus for the performance appraisal discussion and for gaining information about a person’s behavior on the job” (Lucia & Lepsinger, 1999, pp. 29-32). Clarifying expectations is linked to goal achievement theory and can help individuals to feel more engaged and motivated. Success likelihood will also increase if the individual is in a work environment where others are also demonstrating the competencies and shared language/expectations. For example, if his/her leader is role modeling them and ideally reaping benefits from doing so, social cognitive theory would purport that the act of observing the behaviors in action and seeing positive consequences would promote an individual to think through these behaviors for him/herself helping to establish one’s goals, beliefs and values. As the behaviors are lived, ongoing reflection about them and the consequences received will help to influence his/her confidence. Leaders of change leaders can promote this goal setting, reflection, and ongoing practice by asking questions in a spirit of humble inquiry (Schein, 2013). Intentionally setting aside time to guide individuals in strategies and behaviors that will help lead to change success by first listening to their goals and experiences and being open to new ways of achieving them can help to build trust as well as honor the process – everyone’s path to success can look different. Merely focusing upon it in an ongoing way, not just annually during a performance review, can help to promote an environment of ongoing informal learning and dedicating time to focusing upon the competencies throughout the year helps individuals to see that it really is important and not just some values/desired traits on a poster. Finally, other consultants and external partners to the higher education industry may also benefit from incorporating these competencies into their coaching practices.

Central units in a higher education institution for academic and non-academic human resources, organizational development, and professional development functions could utilize these competencies to identify opportunities for formal learning as well as career development planning or succession management. The benefits of including competencies in development are that they “enable people to focus on the skills, knowledge, and characteristics that have the most impact on effectiveness; ensure that training and development opportunities are aligned with organizational values and strategies; make the most effective use of training development time and dollars; and provide a framework for ongoing coaching and feedback” (Lucia & Lepsinger, 1999, pp. 26-29). In addition to informal feedback and self-reflection/goal setting, formal assessment to identify gaps in current and desired change competency capability may be done using a tool such as a validated, customized 360° assessment aligned to these competencies. Gaps allow for input into action planning and learning interventions. This traditional training and development approach, focusing upon gaps showing weaknesses, runs counter to positive psychology and strengths-based development (Hodges & Clifton, 2004) who find that allowing individuals to do what they do best and not investing heavily in shoring up areas they don’t excel in results in increased productivity and engagement. In this way, one example of formal learning would be to design a change leadership curriculum around each of the differentiating change competencies and feature individuals who excel in displaying strategies to share their experience and spark meaning-making for others. In a study of more than 600 academic leaders, this kind of practice-based learning was preferred, in addition to learning on the job, having ad hoc conversations with others in similar roles, participating in peer networks within and outside of the university, studying real life problems, and undertaking self-guided learning – all of which could be designed around the effective use of these competencies (Fullan & Scott, 2009). Central

learning units may provide opportunities for leaders to learn from others about these competencies through informal dialogue as well as a formal speakers' series, case study reviews, and/or self-guided just-in-time learning applied for individuals who are working on change teams/projects. Finally, assessments of competency capability can support the identification of readiness for different roles within career development planning and succession management processes. Knowing what is expected for success in other roles helps to create a "pipeline" of individuals who possess these traits and may be ready to fulfill a role when vacant (Charan, Drotter, & Noel, 2011); distinctions can be made between what it takes to succeed at six key transitions for leaders who may journey from individual contributor to managing others, managing managers, and managing functions, businesses, groups, and enterprises. The proposed change competencies may be weighted differently for individuals in different roles – for instance, leading oneself may be foundational across roles but prompting sensemaking or being a culture architect may be more pertinent for individuals leading businesses as a way to foster a long term, externally driven strategic perspective. Although this study found little difference among academic and non-academic affiliation, looking at the competencies by leader level could be an area for further study as this wasn't an approach found in the literature. In general, the benefits of a competency approach to succession planning is that it can "clarify the skills, knowledge, and characteristics required for the job or role in question; provide a method to assess a candidate's readiness for the role; focus training and development plans to address missing competencies; and allow an organization to measure its bench strength or number of high potential performers" (Lucia & Lepsinger, 1999, pp. 32-35). Defining how change capability looks in different roles in the institution helps an individual to assess where s/he is at currently, define where s/he may like to go and begin to plan a development experience to get

there. These competencies also help senior leaders define future needs of high-stakes roles according to each of these proposed clusters and behavioral indicators and through strategic workforce planning, assess who in the organization may be ready and/or what they need to get ready to fill those roles. As more and more retirements occur, for instance, doing this accelerates an institution's ability to quickly fill these needed roles and remain aligned with desired performance outcomes. Finally, central units like organizational development might apply these findings – particularly the strategies – to develop a more proactive set of support resources so that they can help leaders devise a change plan in general, develop strategic communications for the change grounded in data, provide project management assistance, and institutionalize change initiatives into the culture of the institution by incorporating it into their people processes as well as key operational processes such as finance/budget, policy, etc. Since most participants did not focus upon evaluation and embedding these competencies into their culture, the central units would be well positioned to take the lead in doing so and allow leaders to focus upon the content and process for just the planning and implementation phases.

Implications for Learning Design and Technology Professionals and Performance

Improvement Consultants

Change is inevitable for the individuals, groups, and organizations served by professionals in the learning design and technology and performance improvement fields (also called human performance technology [HPT], human performance improvement [HPI], and performance technology). Therefore, one might argue that any learning or performance intervention also requires change planning to assure successful execution and sustainability. Simon (1969) would call professionals in these fields – and in many others – designers, as he describes them as anyone “who devises courses of action aimed at changing existing situations

into preferred ones” (p. 111 as quoted in Visser, 2009). Both design and performance practitioners as well as the participants in this study working as change agents sought to create a new, preferred situation, therefore they share commonalities – they both were problem solvers, working in uncertainty as they grappled with ill-structured/adaptive challenges lacking just one right answer, and relying upon a non-linear process to move toward resolution.

This appears to be an underdeveloped concept by virtue of the few publications that actually embed the change process as an enabler to effective instructional design, learning, and performance improvement. For instance, the Association for Educational Communications and Technology’s (AECT) definition of educational technology omits reference to change although they do have a division entitled “systems thinking and change” for conference proposals. I believe if change were included in definitions for these fields, it would create a more intentional focus upon oneself as a change agent, highlight a need to ensure one’s consulting approach embeds change best practices, and underscore the ultimate goal sought as a result of any intervention – a positive change for individuals, groups, and/or organizations. Currently, one HPI practitioner text indicates that expertise as a “change manager” is needed (Rothwell, Hohne, & King, 2007) and one performance improvement model features change as part of the implementation activities for interventions (Van Tiem, Moseley, & Dessinger, 2012).

Practitioners in these fields could apply the findings from this study by:

Adopting a Change Mindset. This might be done with active reflection by exploring their intentions for seeking commitment for the interventions they propose and by building their own competencies as a change agent. To begin, learning and performance practitioners may examine their intentions, goals, and influence as a change agent prior to and throughout the learning and change consulting process, particularly as they navigate critical turning points in gaining

acceptance for proposed interventions from others. Participants in this study spoke most frequently to competencies and strategies to lead oneself, including resilience and personal learning. This could mean that learning and performance practitioners might benefit from understanding the degree to which they persevere and seek out/exhibit an openness to new ways of doing things and have a flexible vision – or in other words, have a willingness to be OK with not getting everything they want, the ability to listen and use input from others, and a knack for setting realistic expectations knowing that the content/timeline/individuals involved may all change. Reflecting upon and seeking to build these attributes can help him/her avoid going on “auto pilot” during the learning or performance intervention design, development, and implementation process. In doing so, practitioners will recognize the role they play in gaining acceptance from others and not merely expecting to “do change” to others or simply to manage it. This study highlights change agents need to look inward as much as they display outward strategies and tactics. Part of looking within also means assessing one’s view of resistance. If one views it as a negative outcome – as something to be overcome – s/he may be adopting behaviors counter to having a flexible vision. Finally, learning and performance practitioners may seek to build the proposed competencies featured in this study as additional characteristics needed to support the effective execution and sustainability for learning and performance interventions or recognize that they would benefit from working with others who have this expertise as partners during the consulting process, featured next.

Embedding change strategies in the consulting strategy. Many in this study highlighted the need to be politically-savvy during the planning and implementation phase of change. Learning and performance practitioners would also benefit from the same appreciation of who to engage, when, and how, in order to create an “engaged” consulting relationship for change

(Jamieson & Armstrong, 2010). For instance, the strategies and tactics associated with design thinking – such as employing empathy and user-focus – may be coupled with tactics featured in this study associated with strategically partnering with change recipients in the early design phase in order to create a better product as well as to obtain early buy-in for solutions.

Communication strategies shared in this study, particularly those that seek to create an emotional engagement, psychological safety, and link to an agreed upon desired future state, could provide inspiration for learning and performance practitioners as they consult with clients in helping to prepare for a successful launch of the intervention. Additionally, leveraging leader endorsements for interventions and building in ways in which they can use their managerial discretion during the implementation of interventions could help to reinforce desired changes as a result of learning and performance interventions. Finally, as consultants, practitioners may emphasize the need to plan for embedding the intervention into the fabric of the organization early on. This could include devising a plan for monitoring/evaluating/communicating intervention progress; creating incentives, rewards and recognition; and promoting ongoing learning and experimentation post-launch.

Add Change-Specific Interventions to Learning and Performance Design Execution Strategies, such as Assessing Readiness and Building Resilience. Many times learning and performance practitioners simply focus upon designing a really great product or service and leave it up to the client to roll it out into the organization. With such a great number of changes occurring at once in an organization, individuals may be weary of yet another intervention launch and clients may be unequipped to respond. Consultants in learning and performance could benefit from developing knowledge and skills and/or partnering with those who change expertise to support clients with execution strategies focused upon assessing organizational readiness for

change and for building organizational capacity and resilience. Readiness has been studied, and although findings weren't included in the scope of this study, it may provide an area for additional exploration. Resilience, however, was a key finding of this study, and it has already been shown to be something that can be developed in others (Bardoel, et al., 2014; Berstene, 2014; Bonanno, 2005; Smith et al., 1997). As such, practitioners may be better prepared to complement learning and performance design interventions with a proposed change plan, encompassing the concept of readiness and resilience not only for the recipients of interventions, but also for the leaders as well.

In conclusion, this study featured concepts for preparing for and launching successful change. Learning and performance practitioners who have an appreciation of the change process and strategies to affect it (within themselves, when consulting with others, and when proposing approaches for building organizational wide readiness and resilience) would be better positioned to ensure the execution and sustainability of their interventions.

Summary

In conclusion, this study confirmed that there was little difference among academic and non-academic leaders in their approach to successful change beyond that found in terms of non-academic preference for resilience and an academic preference for personal learning. Both leaders showed high agreement for the nine proposed competencies, with four competencies more prominently featured as statistically higher in perceived importance than the others. Although the small sample prevents generalizability, it can be helpful to consider these characteristics as universally important to higher education change leadership. This counters the prevailing assumption that these two leadership spheres are highly unique. People are people, and the competencies needed to influence them may be the same. *How* these competencies are

applied, however, may be contextually-specific. The strategies shared by participants offer individuals the opportunity to more clearly envision how to bring the competencies to life and what they might do different in their own setting to embody the essence of a holistic change approach – one that features all four frames (Bolman & Deal, 2013) perhaps with a stronger emphasis upon the political lens – plus a key focus upon leading oneself. These were found to be differentiators beyond the typical higher education change activities of empowered change teams and inspirational communication. With participant focus on the planning and implementation phases of change only, these findings support the creation of partnerships with other central areas of expertise to institutionalize change, or reinforce and embed it in the culture. It may be unfair to expect individual change leaders to take full responsibility for all that is needed to create a climate that sustains their change effort, but if they simply adopt a mindset that it is required and partner with others to achieve it, they may be able to accomplish this as well as create a sense in those they seek to influence that the change is ‘here to stay’ and not a ‘flavor of the month’. This could lead to higher levels of trust and stronger openness to the next proposed change concept coming down the pike. By looking at five perspectives for leading change and forging stronger strategic partnerships with central units for communications, implementation, and integration of the change into the culture of the institution, all higher education change leaders will be better positioned for success.

APPENDIX A: COMPETENCY FRAMEWORK SUMMARY

Cluster	Competency	Organizational Change Publications	Higher Education Publications
Leading Self	Foundation: Integrity, Honesty	Caldwell, 2003 Coetzee et al., 2013 Higgs & Rowland, 2000 Smollan & Parry, 2011	Astin & Astin, 2000 Basham, 2012 Bryman & Lilley, 2009 Ehrenstorfer et al., 2015
	Ethics	Coetzee et al., 2013	Ruben, 2006
	Fairness	Tyler & DeCremer, 2005	
	Ability to reconcile paradox in on one's own mind	Kan & Parry, 2004	
	Self efficacy	Paglis & Green, 2002	Ruben, 2006
	Courage	Coetzee et al., 2013 Higgs & Rowland, 2000	
	Taking responsibility for change decision	Wren & Dulewicz 2005	
	Persistence	Latham, 2013	Ehrenstorfer et al., 2015 Basham, 2012 Ruben, 2006
	Trustworthiness		Ehrenstorfer et al., 2015 Hill et al., 2001 Hempsall, 2014
	Credibility		Ruben, 2006
	Focus on Common Good		Hill et al., 2001
	Enthusiasm		Ruben, 2006
	Presence	Higgs & Rowland, 2000	
	Self awareness	Higgs & Rowland, 2011 Young & Dulewicz, 2006	Astin & Astin, 2000 Ehrenstorfer et al., 2015
	Emotional regulation	Smollan & Parry, 2011	Scott et al., 2008
	Resilience	Higgs & Rowland, 2000 Nikolauou et al., 2007	
	Hardiness	Krummaker & Vogel, 2012	
	Adaptability/flexibility	Caldwell, 2003	
	Cope with surprise		Hill et al., 2001
	Tolerance for uncertainty		Ruben, 2006
	Personal Learning	Latham, 2013	Hill et al., 2001
	Openness	Caldwell, 2003	Hill et al., 2001 Ehrenstorfer et al., 2015
	Learning initiation	Higgs & Rowland, 2000	
	Learning from others	Caldwell, 2003	
Self-reflection		Ehrenstorfer et al., 2015	

Cluster	Competency	Organizational Change Publications	Higher Education Publications
Leading Others	Foundation: Communication	Caldwell, 2003 Coetzee et al., 2013 Crawford & Nahmias, 2010 Denis et al., 2001 Kan & Parry, 2004 Krummaker & Vogel, 2012 Van der Voet et al., 2014 Yukl, 2012	Ehrenstorfer et al., 2015 Hempsall, 2014 Hill et al., 2001 McRoy & Gibbs, 2009 Ruben, 2006
	Good orator		Hempsall, 2014 Ruben, 2006
	Influence		Scott et al., 2008 Ruben, 2006
	Engagement	Coetzee et al., 2013 Higgs & Rowland, 2011 Gilley et al., 2009 Woodward & Hendry, 2004 Van der Voet et al., 2014 Young & Dulewicz, 2006	Hempsall, 2014 McRoy & Gibbs, 2009
	Collaboration	Latham, 2013	Astin & Astin, 2000
	Collegial environment fostered		Bryman, 2007
	Motivation/Mobilization	Davila Quintana et al., 2014 Gilley et al., 2009 Van der Voet et al., 2014 Wren & Dulewicz, 2005	Calma, 2015 Ehrenstorfer et al., 2015
	Empowerment	Caldwell, 2003 Wren & Dulewicz, 2005	Ruben, 2006
	Emotional Engagement/ Creating a Safe Space	Higgs & Rowland, 2000	
	Connects at emotional level	Higgs & Rowland, 2011	
	Makes it safe to say risky things	Higgs & Rowland, 2011	
	Respectful disagreement, perception management		Astin & Astin, 2000 Hempsall, 2014
	Sensitive to needs of others	Krummaker & Vogel, 2012	
	Empathy		Astin & Astin, 2000 Ehrenstorfer et al., 2015 Scott et al., 2008
	Sensemaking Support	Davila Quintana et al., 2014	Kezar & Eckel, 2002

Cluster	Competency	Organizational Change Publications	Higher Education Publications
		Higgs & Rowland, 2005 Woodward & Hendry, 2004	
	Manage multiple realities	Kan & Parry, 2004	
	Collaborative knowledge creation		McRoy & Gibbs, 2009
	Help people think differently		Hill et al., 2001
	Facilitate Collective Learning	Yukl, 2012	
	Create context for experimentation	Caldwell, 2003	
	Ensure insights used at group level	Higgs & Rowland, 2000	
	Embed learning in the system	Latham, 2013	

Cluster	Competency	Organizational Change Publications	Higher Education Publications
Leading Results	Foundation:	Wren & Dulewicz, 2005	Ruben, 2006
	Critical analysis		
	Creativity	Yukl, 2012	
	Experimentation	Caldwell, 2003	
	Entrepreneurism	Caldwell, 2003	Ehrenstorfer et al., 2015
	Risk taking	Caldwell, 2003	Ruben, 2006
	Diagnostic skill		Scott et al., 2008 Ruben, 2006
	Strategic thinking		Ehrenstorfer et al., 2015 Scott et al., 2008
	Decision making, decisiveness		Ehrenstorfer et al., 2015 Hill et al., 2001 Scott et al., 2008
	Flexibility with strategy, responsiveness		Scott et al., 2008
	Relationship Management		
	Conflict resolution	Caldwell, 2003 Nikolaou et al., 2007	Astin & Astin, 2000 Ehrenstorfer et al., 2015
	Negotiation	Nikolaou et al., 2007	Scott et al., 2008 Ruben, 2006
	Change Process Knowledge		
	Clear vision/strategy	Coetzee et al., 2013 Wren & Dulewicz, 2005	Astin & Astin, 2000 Basham, 2012 Ruben, 2006
	Values/principle based leadership		Ehrenstorfer et al., 2015 Hill et al., 2001
	Inculcate values		Bryman & Lilley, 2009
	Change theory/tools/process	Higgs & Rowland, 2000	Hill et al., 2001
	Focused on big picture	Higgs & Rowland, 2011 Wren & Dulewicz, 2005	
	Realistic planning	Woodward & Hendry, 2004	
	Stakeholder analysis		Ruben, 2006
	Manage resistance	Caldwell, 2003	
	Networking/Coalition Building	Caldwell, 2003 Kan & Parry, 2004 Yukl, 2012	

Political skill	Krummaker & Vogel, 2012	
Social embeddedness	Kan & Parry, 2004	
External representation	Yukl, 2012	Bryman, 2007 Ehrenstorfer et al., 2015
Organizational Knowledge	Krummaker & Vogel, 2012	
Decision making group creation/utilization		Hill et al., 2001
Culture Architect/ Resource Advocate		
Resource advocate	Higgs & Rowland, 2000 Woodard & Hendry, 2004 Wren & Dulewicz, 2005 Yukl, 2012	
Systems thinking	Latham, 2013	
Systems/organizational/ technology analysis		Ruben, 2006
Provide incentives	Higgs & Rowland, 2000 Gilley et al., 2009	
OD, marketing, finance knowledge		Ehrenstorfer et al., 2015
Long term perspective		Hill et al., 2001
Project Management	Nikolaou et al., 2007	Ehrenstorfer et al., 2015

APPENDIX B: HARD COPY INVITATION

Seeking to Learn from Your Change Leadership Experience

A Wayne State University survey approved by the Institutional Review Board for a doctoral dissertation on what *leaders knew and did to advance successful higher education change*

Participation Criteria

- Current employment in a **public, four-year, U. S. higher education institution**. Individuals do not need to have a formal position title of 'leader'.
- Responsibility for leading a change initiative in higher education that occurred anytime within the past **three years**. Individuals may have led this change in partnership with others or independently and do not need to have had the responsibility for making the decision to embark upon the change.
- Attained change success by virtue of **realizing most of the initial goals sought**.



To access the survey, scan the QR code at the left with a QRC reader app on your phone or use the link below:

<https://goo.gl/U8acUK>

Contact dawn.aziz@wayne.edu with questions

APPENDIX C: SURVEY INSTRUMENT

Leading Change in Higher Education Survey Instrument

Introduction

Thank you for sharing your experiences leading planned change in higher education. Your input will help to shape my doctoral dissertation findings on what leaders knew or did along each of the three phases of change that led to their success overall as well as at key turning points during the process.

Getting Started

Criteria for participation includes:

- Employment within higher education in the past three years - a formal title of 'leader' during this time is not necessary.
- Responsibility for leading a change initiative* in higher education within the past three years – either in partnership with others or independently.
- Attained change success at this stage of the change implementation process by virtue of realizing most of the goals sought.

* Not sure what change might be appropriate to select to feature? Consider sharing a successful experience that resulted in **continuous improvement** to an existing process, system or structure (such as technology enhancement, process improvement, curriculum enhancement, or restructuring) or an experience that led to a complete break from how things were done in the past with the introduction of a **new** process, system, or structure or **discontinuation** of a process, system, or structure (such as new degree program offerings/program discontinuation or a merger or acquisition).

What to Expect

This survey should take approximately 20 minutes to complete and seeks a:

1. Description of your experience with one successful change initiative you helped to lead within higher education.
2. Rating on the importance of a given set of personal competencies, behaviors, and characteristics that were most critical to your success.
3. Description of a strategy you used that was particularly effective during a key turning point during the change process.

All responses will be kept confidential and shared as part of a group summary only in the support of this dissertation study. Should questions arise during the completion of this tool, please contact me at dawn.aziz@wayne.edu. The first question will seek your informed consent to participate in this study.

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...WAYNE STATE UNIVERSITY

1. Informed Consent

The purpose of this study is to investigate what sets successful higher education change leaders apart in terms of what they knew and did to advance and achieve an intentional change initiative within the last three years. This IRB-approved study is being conducted at Wayne State University, by Dawn Aziz for her doctoral dissertation.

You are being asked to respond online to a series of questions that will take approximately 20 minutes to complete. You may choose to not respond to any question, however several questions are required for participation. Participation in an additional, optional 20-minute phone interview will also be requested.

Participants will be identified in the research records by name until such time that s/he chooses to volunteer for an interview or upon completion of data analysis. This is necessary to match survey responses to create customized interview questions. Upon completion of the interview, all names will be replaced with a code. Personal identifiers will not be released without written permission and audio transcripts of interviews will be destroyed upon completion of data analysis. When the results of this research are published or discussed in conferences, no personally-identifying information will be shared. However, the study sponsor, the Institutional Review Board (IRB) at Wayne State University, or federal agencies with appropriate regulatory oversight may review your records upon request.

No costs will be incurred as a result of participation beyond the total investment of approximately 40 minutes of your time. No compensation will be provided as a result of study participation. Findings from this research may indirectly benefit others now responsible for change leadership in higher education or in the future through a deeper understanding of the specific competencies and strategies utilized by change phase. Participation in this study is voluntary. You may choose to not participate or to withdraw from it at any point for any reason. If you do decide to participate, you have the right to change your mind and later request to withdraw. Your decision will not change any present or future relationship with Wayne State University or its affiliates or other services you are entitled to receive. Completion of this survey indicates your informed consent to participate.

If you have any questions about this study now or in the future, you may contact Dawn Aziz at (313) 682-6502 or dawn.aziz@wayne.edu. If you have questions or concerns about your rights as a research participant, the Chair of the Institutional Review Board can be contacted at (313) 577-1628.

1. I understand that responding to this survey provides my agreement to participate in this research:

- Yes
 No

Mandatory question. Insert skip logic, if response is 'no', conclude survey with a thank you.

About Your Selected Change Initiative

Consider a successful planned change initiative that you were a part of leading in higher education in the past three years...

1. Was the institution in which this change took place a four-year, public institution located in the United States? (yes/no)

Mandatory question. Insert skip logic, if response is not 'U. S., four-year, public', conclude survey with a thank you.

2. In 50 words or less, please describe the goals sought as a result of this change initiative (open essay, text box with number of characters limitation)
3. Would you describe this change as: (drop down, check all that apply)
 - One that **continuously improved an existing** process, system, or structure
 - One that sought to completely break away from the past with the **introduction of an entirely new** process, system, or structure or the **discontinuation** of one
 - Other (please describe)

Mandatory question.

4. What is the current status of this change? Please note: the change example should have progressed successfully through some stages of implementation in order to be used for this study. (Select one) (drop down menu)
 - Planned, but not implemented.** Preparation activities were conducted including fostering initial awareness of the problem/opportunity, mobilizing actors/action, and laying the foundation for a change initiative to be later implemented.
 - Implemented, but not institutionalized.** Organizational members conduct new work but may not have fully accepted the procedure; policy and behaviors related to change become incorporated into the standard operating procedure.
 - Institutionalized.** Change is embedded within the culture of the organization; the change no longer seen as a change because it is part of the normal behavior and expectations within the institution.

Mandatory question.

5. Please highlight your role in the institution at the time of this change (check all that apply):
 - Leader of primarily faculty and/or **academic** staff (provost, dean/assistant/associate dean, chair, chief, administrator, other). Insert your title below: (open essay)
 - Faculty member (tenured or non-tenured)
 - Academic staff member (ESS or non-ESS)

- Leader of primarily **non-academic** administrators and/or staff (vice president, director, manager, other). Insert your title below: (open essay)
- Non-academic staff member
- Other affiliation with a college or university (If 'other affiliation' was selected, please describe. Open essay)
- Not affiliated with an institution of higher education

Mandatory question.

6. At the time of this change, I had been at my current institution for: (insert open essay for number of years)
7. At the time of this change, I had been in higher education for: (insert open essay for number of years)
8. The student population of the institution in which this change transpired is: (insert open essay for number of students)

Key Change Competencies

Using the change initiative example described previously, please rate the importance of a given set of personal competencies needed to lead it and highlight up to one or two that contributed most to your success.

The competencies will be divided into three sections:

- Personal attributes needed to **lead oneself** during the change initiative
- Social attributes needed to **lead others** during the change initiative
- Cognitive/tactical attributes needed to **lead organizational results** during the change initiative.

For the purposes of this study, competencies are defined as underlying characteristics of an individual (his/her knowledge, skill, motives, traits, and self concept) that led to or caused superior performance. While the list could be long to capture all possible competencies important to leading change, what is shared below are just a few examples of attributes that might be found to *differentiate* one leader from another based upon the change context.

Leading Oneself (Personal Competencies)

9. Please rate the *importance* of the following personal competencies in terms of what was most needed for you to successfully lead the change you previously described.

This will be the first of three sections requesting your input on rating competencies. Competencies related to *leading others* and *leading the organization* follow this section.

Rating Scale:

- 1 – Not at all important
- 2 – Low importance
- 3 – Somewhat important
- 4 – Neutral
- 5 – Moderately important
- 6 – Very important
- 7 – Essential, extremely important

Competency	Rating Scale						
<i>The ability to...</i>							
<input type="checkbox"/> Tune in to one's reactions and calmly respond (data analysis code: presence)	1	2	3	4	5	6	7
<input type="checkbox"/> Persevere and bounce back from setbacks (data analysis code: resilience)	1	2	3	4	5	6	7
<input type="checkbox"/> Self-reflect (data analysis code: personal learning)	1	2	3	4	5	6	7
<input type="checkbox"/> Be a non-anxious presence in a sea of anxiety (data analysis code: presence)	1	2	3	4	5	6	7
<input type="checkbox"/> Tolerate and adjust to contrary views (data analysis code: resilience)	1	2	3	4	5	6	7
<input type="checkbox"/> Actively seek out learning from others and modify one's approach (data analysis code: personal learning)	1	2	3	4	5	6	7
<input type="checkbox"/> Connect with others involved in the change at an emotional level, showing vulnerability and allowing others to do the same (data analysis code: presence)	1	2	3	4	5	6	7
<input type="checkbox"/> Adapt/flex to the needs of others and the situation in the face of adversity (data analysis code: resilience)	1	2	3	4	5	6	7
<input type="checkbox"/> Exhibit an openness to new ways of doing things for oneself, for others, and for the organization (data analysis code: personal learning)	1	2	3	4	5	6	7
<input type="checkbox"/> Other #1 (Optional): Another competency that contributed most to my approach to leading my personal growth during this change initiative was: (open essay)							
<input type="checkbox"/> Other #2 (Optional): Another competency that contributed most to my approach to leading my personal growth during this change initiative was: (open essay)							

10. Based upon your experience with this change, please reflect on the competencies that contributed **most** to your success. These may be general differentiators of what led to your success in general or these attributes may have been what was needed most when it came to a key turning point in the change process.

From the list below, **rate in prioritized order the three most critical competencies for leading oneself during this change.** Type the numbers 1, 2 & 3 in the boxes next to your top three choices.

Leading Oneself (Personal Competencies)

The ability to....

- Tune in to one's reactions and calmly respond
- Persevere and bounce back from setbacks
- Self-reflect
- Be a non-anxious presence in a sea of anxiety
- Tolerate and adjust to contrary views
- Actively seek out learning form others and modify one's approach
- Connect with others involved in the change at an emotional level, showing vulnerability and allowing others to do the same
- Adapt/flex to the needs of others and the situation in the face of adversity
- Exhibit an openness to new ways of doing things for oneself, for others, and for the organization
- Other #1 (from previous section, open essay)
- Other #2 (from preview section, open essay)

Mandatory question.

Leading Oneself (Personal Competencies)

11. In what phase of the change process was demonstrating these top three competencies most important? Check all that apply:
- **Preparation/planning**, the phase in which initial awareness of the problem/ opportunity is fostered, actors/action is mobilized, and the foundation for change implementation is laid
 - **Implementation**, the phase in which organizational members are supported in conducting new work and the change is incorporated into standard operating procedures
 - **Institutionalization**, the phase in which the change is embedded within the culture of the organization

	Preparation/Planning	Implementation	Institutionalization
(insert #1 competency from response to #10)			
(insert #2 competency from response to #10)			
(insert #3 competency from response to #10)			

Mandatory question.

12. You selected (insert #1 competency from response to #10) as your #1 top priority when **leading oneself**. How did you bring this competency to life? In 50 words or less, please share one example of what you specifically did or said to embody it and achieve success in general or during a critical juncture in the change process. (open ended essay, limited character text box)

Mandatory question.

Leading Others (Social Competencies)

13. Please rate the *importance* of the following social competencies in terms of what was most needed for you to successfully lead the change you previously described.

This is the second of three sections requesting your input on rating competencies. Competencies related to *leading the organization* follow this section.

Rating Scale:

- 1 – Not at all important
- 2 – Low importance
- 3 – Somewhat important
- 4 – Neutral
- 5 – Moderately important
- 6 – Very important
- 7 – Essential, extremely important

Competency	Rating Scale						
<i>The ability to...</i>							
<input type="checkbox"/> Make it safe for others to say risky things (data analysis code: emotional engagement/creating a safe space)	1	2	3	4	5	6	7
<input type="checkbox"/> Support collective sensemaking, helping groups of individuals interpret or personalize the change (data analysis code: sensemaking)	1	2	3	4	5	6	7
<input type="checkbox"/> Facilitate group learning experiences (collective learning)	1	2	3	4	5	6	7
<input type="checkbox"/> Be visible and accessible to all impacted during the change (data analysis code: emotional engagement/creating a safe space)	1	2	3	4	5	6	7
<input type="checkbox"/> Foster group experiences for understanding different perspectives on the change (data analysis code: sensemaking)	1	2	3	4	5	6	7
<input type="checkbox"/> Have a flexible change vision, an openness to exactly where and how the group moves forward ultimately in the pursuit of a positive change outcome (data analysis code: collective learning)	1	2	3	4	5	6	7
<input type="checkbox"/> Listen and empathize (data analysis code: emotional engagement/creating a safe space)	1	2	3	4	5	6	7
<input type="checkbox"/> Create space for groups of individuals to manage multiple realities and/or reconcile paradox (data analysis code: sensemaking)	1	2	3	4	5	6	7
<input type="checkbox"/> Spur ongoing group learning, experimentation, prototyping, and/or learning by practice (data analysis code: collective learning)	1	2	3	4	5	6	7

Competency	Rating Scale
<input type="checkbox"/> Other #1 (Optional): Another competency that contributed most to my approach to leading others_during this change initiative was: (open essay)	
<input type="checkbox"/> Other #2 (Optional): Another competency that contributed most to my approach to leading others_during this change initiative was: (open essay)	

14. Based upon your experience with this change, please reflect on the competencies that contributed **most** to your success. These may be general differentiators of what led to your success in general or these attributes may have been what was needed most when it came to a key turning point in the change process.

From the list below, **rate in prioritized order the three most critical competencies for leading others during this change.** Type the numbers 1, 2 & 3 in the boxes next to your top three choices.

Leading Others (Social Competencies)

The ability to....

- Make it safe for others to say risky things
- Support collective sensemaking, helping groups of individuals interpret or personalize the change
- Facilitate group learning experiences
- Be visible and accessible to all impacted during the change
- Foster group experiences for understanding different perspectives on the change
- Have a flexible change vision, an openness to exactly where and how the group moves forward ultimately in the pursuit of a positive change outcome
- Listen and empathize
- Create space for groups of individuals to manage multiple realities and/or reconcile paradox
- Spur ongoing group learning, experimentation, prototyping, and/or learning by practice
- Other #1 (from previous section, open essay)
- Other #2 (from preview section, open essay)

Mandatory question.

Leading Others (Social Competencies)

15. In what phase of the change process was demonstrating these top 3 competencies most important? Check all that apply:

- **Preparation/planning**, the phase in which initial awareness of the problem/ opportunity is fostered, actors/action is mobilized, and the foundation for change implementation is laid
- **Implementation**, the phase in which organizational members are supported in conducting new work and the change is incorporated into standard operating procedures
- **Institutionalization**, the phase in which the change is embedded within the culture of the organization

	Preparation/Planning	Implementation	Institutionalization
(insert #1 competency from response to #14)			
(insert #2 competency from response to #14)			
(insert #3 competency from response to #14)			

Mandatory question.

16. You selected (insert #1 competency from response to #14) as your #1 top priority when **leading others**. How did you bring this competency to life? In 50 words or less, please share one example of what you specifically did or said to embody it and achieve success in general or during a critical juncture in the change process. (open ended essay, limited character text box)

Mandatory question.

Leading the Organization (Cognitive/Tactical Competencies)

17. Please rate the *importance* of the following cognitive/tactical competencies in terms of what was most needed for you to successfully lead the change you previously described.

This is the last of three sections requesting your input on rating competencies.

Rating Scale:

- 1 – Not at all important
- 2 – Low importance
- 3 – Somewhat important
- 4 – Neutral
- 5 – Moderately important
- 6 – Very important
- 7 – Essential, extremely important

Competency	Rating Scale						
<i>The ability to...</i>							
<input type="checkbox"/> Network and develop supportive coalitions; to form new groups and/or leverage existing groups/social networks (data analysis code: networking/coalition building)	1	2	3	4	5	6	7
<input type="checkbox"/> Perform project management (data analysis code: project management)	1	2	3	4	5	6	7
<input type="checkbox"/> Incentivize change activity (data analysis code: culture architect/resource advocate)	1	2	3	4	5	6	7
<input type="checkbox"/> Identify, understand, and/or handle political issues in order to detect promoters and opponents of change (data analysis code: networking/coalition building)	1	2	3	4	5	6	7
<input type="checkbox"/> Plan, monitor, and/or adjust change execution activities (data analysis code: project management)	1	2	3	4	5	6	7
<input type="checkbox"/> Advocate for resources (data analysis code: culture architect/resource advocate)	1	2	3	4	5	6	7
<input type="checkbox"/> Negotiate with various change constituents (data analysis code: networking/coalition building)	1	2	3	4	5	6	7
<input type="checkbox"/> Communicate project status and results in accordance with initial and evolving goals (data analysis code: project management)	1	2	3	4	5	6	7
<input type="checkbox"/> Maintain a systems-focus, appreciating that a change in one area of the institution affects other areas (data analysis code: culture architect/resource advocate)	1	2	3	4	5	6	7
<input type="checkbox"/> Other #1 (Optional): Another competency that contributed most to my approach to leading the change project during this change was: (open essay)							

Competency	Rating Scale
<input type="checkbox"/> Other #2 (Optional): Another competency that contributed most to my approach to leading the change project during this change was: (open essay)	

18. Based upon your experience with this change, please reflect on the cognitive/tactical competencies that contributed **most** to your success. These may be general differentiators of what led to your success in general or these attributes may have been what was needed most when it came to a key turning point in the change process.

From the list below, **rate in prioritized order the three most critical cognitive & tactical competencies to lead this change.** Type the numbers 1, 2 & 3 in the boxes next to your top three choices.

Leading the Organization (Tactical/Cognitive Competencies)

The ability to....

- Network and develop supportive coalitions to form new groups and/or leverage existing groups/social networks
- Perform project management
- Incentivize change activity
- Identify, understand, and/or handle political issues in order to detect promoters and opponents of change
- Plan, monitor, and/or adjust change execution activities
- Advocate for resources
- Negotiate with various change constituents
- Communicate project status and results in accordance with initial and evolving goals
- Maintain a systems focus, appreciating that a change in one area of the institution affects other areas
- Other #1 (from previous section, open essay)
- Other #2 (from preview section, open essay)

Mandatory question.

Leading the Organization (Tactical/Cognitive Competencies)

19. In what phase of the change process was demonstrating these top 3 competencies most important? Check all that apply:

- **Preparation/planning**, the phase in which initial awareness of the problem/ opportunity is fostered, actors/action is mobilized, and the foundation for change implementation is laid
- **Implementation**, the phase in which organizational members are supported in conducting new work and the change is incorporated into standard operating procedures
- **Institutionalization**, the phase in which the change is embedded within the culture of the organization

	Preparation/Planning	Implementation	Institutionalization
(insert #1 competency from response to #18)			
(insert #2 competency from response to #18)			
(insert #3 competency from response to #18)			

Mandatory question.

20. You selected (insert #1 competency from response to #18) as your #1 top priority when **leading the organization**. How did you bring this competency to life? In 50 words or less, please share one example of what you specifically did or said to embody it and achieve success in general or during a critical juncture in the change process. (open ended essay, limited character text box)

Mandatory question.

21. Would you be open to scheduling a brief, 20-minute phone discussion to share the strategies utilized that led to your success with this change in more detail? Yes / No [skip logic, if yes: boxes to provide name, organization, phone, & email]

22. Is there anyone you'd recommend this survey also be sent to who was a part of this change initiative or another successful change process within higher education over the last three years? Would you be willing to forward this survey link to him/her? Yes / No

Demographics (Optional)

Our unique backgrounds may influence the competencies and strategies we find most helpful to influence successful change. If you're open to sharing demographic information, this information will be used only to identify if patterns exist in relation to competency/strategy use. This section is purely optional.

23. With which of the following gender(s) do you identify? Check all that apply. (female, male, female to male transgender, male to female transgender, gender-nonconforming, other)
24. What is your age? (insert open box to type number)
25. With which of the following races/ethnicities do you identify? Check all that apply. (African American, American Indian or Alaskan Native, Asian/Asian American, Hispanic or Latina/o, Native Hawaiian or Pacific Islander, White, Other)

Thank You

Thank you for taking time to share your experience and competencies/strategies that led to your success.

I truly value your insights and the contribution it will make in the higher education change leadership literature. Thank you!

APPENDIX D: SURVEY RESPONDENT ROLE RECATEGORIZATION

Self-Identified Role	Title	Recategorized/Final Role Used in Study	Interview? Yes/No	Change? Yes/No
Academic Leader	President	Non-Academic Leader	Yes	Yes
Non-Academic Leader, Faculty (Tenured), Academic Staff (ESS)	CTL Director	Academic Leader	Yes	Yes
Academic Leader	Director Adjunct Faculty & Academic Support Program	Academic Leader	No	No
Academic Leader	Associate Dean Management & Planning	Academic Leader	Yes	No
Non-Academic Leader	(Not Shared)	Non-Academic Leader	Yes	No
Academic Leader	Dean, Engineering	Academic Leader	Yes	No
Leader of Both Academic & Non-Academic Members	Project Lead, HR Design	Non-Academic Leader	Yes	Yes
Academic Leader	Dean, Honors College	Academic Leader	No	No
Leader of Both Academic & Non-Academic Members	AVP	Non-Academic Leader	Yes	Yes
Academic Leader, Tenured Faculty	Director, CTL	Academic Leader	Yes	No
Academic Leader	Associate Dean, Graduate School	Academic Leader	Yes	No
Non-Academic Leader	Assistant Controller	Non-Academic Leader	Yes	No
Non-Academic Leader, Non-Academic Staff	IT Lead	Non-Academic Leader	Yes	No
Non-Academic Leader	Manager, Organization Development	Non-Academic Leader	Yes	No
Academic Leader	Director, Instructional Design & Technology	Academic Leader	Yes	No
Non-Academic Leader	Chief of Staff	Non-Academic Leader	Yes	No
Academic Leader, Academic Staff	Associate Provost	Academic Leader	Yes	No

Self-Identified Role	Title	Recategorized/Final Role Used in Study	Interview? Yes/No	Change? Yes/No
(ESS)				
Leader of Both Academic & Non-Academic Members	Associate Vice Chancellor HR	Non-Academic Leader	Yes	Yes
Leader of Both Academic & Non-Academic Members	Associate Director HR	Non-Academic Leader	Yes	Yes
Non-Academic Leader	Sr. Director, Information Security	Non-Academic Leader	No	No
Non-Academic Leader, Non-Academic Staff	(Not Shared)	Non-Academic Leader	No	Yes
Academic Leader, Non-Academic Staff	Associate Director, Quality Improvement	Non-Academic Leader	Yes	Yes
Academic Leader	(Not Shared)	Academic Leader	Yes	No
Academic Leader	Associate Vice Provost	Academic Leader	No	No
Other Affiliation with Higher Ed	Contract Consultant	Non-Academic Leader	Yes	Yes
Leader of Both Academic & Non-Academic Members	Assistant VP Finance & Talent Management	Non-Academic Leader	No	Yes
Academic Leader, Faculty (Tenured)	Associate Dean	Academic Leader	No	No
Leader of Both Academic & Non-Academic Members	CIO	Non-Academic Leader	No	Yes
Non-Academic Leader	Manager, Professional Development	Non-Academic Leader	Yes	No
Non-Academic Leader	Associate Dean	Non-Academic Leader	Yes	Yes
Non-Academic Leader	AVP, Student Affairs	Non-Academic Leader	No	No
Academic Leader	Dean	Academic Leader	No	No
Academic Leader	(Not Shared)	Academic Leader	Yes	No
Non-Academic Leader	Dean, Graduate School	Academic Leader	No	Yes
Non-Academic Leader	VP, Finance & Administration	Non-Academic Leader	No	No
Non-Academic Leader	Associate Provost, CTL	Academic Leader	No	Yes
Non-Academic	Head, Resource	Non-Academic Leader	No	No

Self-Identified Role	Title	Recategorized/Final Role Used in Study	Interview? Yes/No	Change? Yes/No
Leader	Acquisition			
Academic Leader	Dean	Academic Leader	No	No
Non-Academic Leader	Director, CTL	Academic Leader	No	Yes
Academic Leader, Faculty (Tenured)	Director	Academic Leader	No	No
Academic Leader, Non-Academic Staff	Sr. Learning Specialist	Academic Leader	No	No
Academic Leader, Faculty (Tenured)	Dean	Academic Leader	No	No
Leader of Both Academic & Non-Academic Members	CFO	Non-Academic Leader	Yes	Yes
Non-Academic Leader	(Not Shared)	Non-Academic Leader	No	No
Academic Leader	(Not Shared)	Academic Leader	No	No
Academic Leader	AVP & Chief of Staff	Non-Academic Leader	Yes	Yes

APPENDIX E: INTERVIEW QUESTIONS

1. Please consider two key strategies you utilized that helped you to achieve success.
2. Why did you choose them?
3. What led to your success?
4. In what way did the competencies you highlighted as important from the survey portion of this study help?
5. What advice do you have for others considering this strategy?
6. In reflection, what, if anything, would you have done differently in terms of leading this change initiative?

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ABSTRACT**COMPETENCIES AND STRATEGIES UTILIZED BY HIGHER EDUCATION LEADERS DURING EACH OF THE PHASES OF PLANNED CHANGE**

by

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In a mixed methods study designed to explore the competencies and strategies utilized by self-described successful leaders of public, four-year U. S. institutions, this study confirmed that there was little difference among academic and non-academic leaders in their approach to successful change beyond that found in terms of non-academic preference for resilience and an academic preference for personal learning. Both leaders (N=47) showed high agreement for the nine proposed competencies, five of which were statistically higher in perceived importance (personal learning, resilience, emotional engagement/creating a safe space, networking/coalition building, and project management). Adapting Bolman and Deal's four frames (2013) as an organizing framework for interview responses (N=25), the most frequent strategy themes in descending order were: personal strategies (including resilience, perseverance, setting expectations, establishing credibility, openness, adaptability/flexibility), political strategies (including knowing who to engage, scheming, sr. leader support, academic leader discretion), structure strategies (including forming/staffing a team and team activities such as benchmarking, use of a change model, creating a team charter), and symbolic strategies (including

communication, inspiration, and emotional engagement activities). This study supports the creation of a competency framework that could be used for the recruitment/selection, coaching/mentoring, and ongoing development of both academic and non-academic higher education change leaders. Planning and change launch with communication were the primary phases referenced; institutionalization was minimally featured. Leaders would do well to partner with others in central units such as organizational development and/or human resource professionals to set change goals, monitor and evaluate progress, and embed the change into organizational structures, systems, and processes.

AUTOBIOGRAPHICAL STATEMENT

“Don’t push change down, let it bubble up.” This was the advice I was given fifteen years ago when seeking to introduce a leadership development process for administrators in higher education as a new staff member in this industry – and the start of my interest in learning about how to effectively lead change in this industry. While there seems to be some truth in that advice, I’ve learned from personal experience that there can be more to change than this. With so little empirical research available on organizational change and even less featuring what works in U. S. public higher education, this research stream benefits members seeking to learn from the experiences of others in crafting a custom solution for proactively guiding positive change. This is important in light of external drivers requiring organizational change in this industry, the lack of an agreed-upon model or framework for leading change in general, and in unraveling the role that personal change agent characteristics can play in influencing change readiness, co-creation, commitment, and sustainability.

With twenty-five years’ experience as an internal and external performance improvement consultant (fifteen in higher education), I feel uniquely well served to explore this research stream and to leverage a bias toward utilizing theoretical approaches grounded in positive psychology and social constructivism. My background in organizational development and human resources grounds my preference for having a systems-view of change, one that acknowledges change lever connections and interdependencies. Recognizing this desire both as an asset and a liability will be important in this study. It is my hope that an appreciation of others’ paths and how they leveraged their strengths during critical turning points in the change process can foster a more intentional and proactive change leadership approach in others, focused as much on the process of change as on the content of the change goals themselves.