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What is the Experience of Leaders Who Lead Organizational Change: A Case Study

Garry D. Krause

University of St. Thomas, Minnesota

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Running Head: LEADERS WHO LEAD ORGANIZATIONAL CHANGE

What Is the Experience of Leaders Who Lead
Organizational Change:
A Case Study

A DISSERTATION

SUBMITTED TO THE FACULTY OF THE SCHOOL OF EDUCATION
OF THE UNIVERSITY OF ST. THOMAS

By

Garry D. Krause

IN PARTIAL FULFILLMENT OF THE REQUIREMENTS
FOR THE DEGREE OF
DOCTOR OF EDUCATION

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UNIVERSITY OF ST. THOMAS, MINNESOTA

LEADERS WHO LEAD ORGANIZATIONAL CHANGE

UNIVERSITY OF ST. THOMAS

We certify that we have read this dissertation and approved it as adequate in scope and quality for the degree of Doctor of Education.

Dissertation Committee

Eleni Roulis, PhD, chair

Alla Heorhiadi, PhD, EdD, committee member

Steven V. Manderscheid, EdD, committee member

Date

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LEADERS WHO LEAD ORGANIZATIONAL CHANGE

Acknowledgements

My interest in the topic of this dissertation is a result of my work in a broad range of industries with an equally diverse group of leaders. The perspectives of the countless people who have worked with me nurtured my curiosity about the experience of those who lead change. I had frequently heard comments about how individuals had done things they regretted or in which they took great joy. I had heard leaders express frustration with the personal input they had received while leading change. My interest in this area of inquiry grew over the years and encouraged me to further explore leaders' experiences. Having completed this investigation I find myself even more curious about the topic.

I am thankful to the participants in this research for their willingness to give of themselves, and their time, to assist me in my quest for knowledge. I sincerely appreciate the participants' openness and honesty in sharing their experiences and personal reflections with me. Without their openness and honesty in sharing their experiences and personal reflections, this study would never have been completed.

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LEADERS WHO LEAD ORGANIZATIONAL CHANGE

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LEADERS WHO LEAD ORGANIZATIONAL CHANGE

Abstract

This case study investigated the experiences of positional or hierarchical leaders in municipal government who were leading organizational change. The government sector's organizational structure appears to be shifting toward leaner and more efficient operations management. The last two decades of research has focused on the styles and strategies leaders have used to implement change. Little is known about the experiences of positional leaders leading organizational change within the municipal government setting. To gain insight into this experience, I interviewed twelve positional leaders employed by a municipality in the Midwest. The interviews consisted of an in-person, semi-structured, open-ended format. Eligible participants were or recently had been positional leaders employed within the bounded municipal case setting, had held positions on the municipality's leadership cabinet, and had been active in the organization's change-related decision-making process. An analysis of the interview transcripts revealed five emergent themes: (1) the leaders indicated a preference for collaboration, participation, consensus building, and communication approaches; (2) the leaders preferred to use a private-sector business management approach; (3) leading organizational change contributed to long work hours, stress, frustration, exhaustion, and strained relationships for the leaders; (4) the leaders desired their own improvement through more preparation, communication, and listening; and (5) leadership turnover impacted the positional leaders.

LEADERS WHO LEAD ORGANIZATIONAL CHANGE

TABLE OF CONTENTS

Chapter One: Introduction and Background	1
Statement of Problem.....	6
Purpose of the Study	8
Research Question	9
Significance of the Study	12
Definition of Terms.....	16
Organization of the Study	18
Chapter Two: Literature Review	19
Change and Change Theories	20
Change-Related Challenges	25
Leadership Approaches.....	27
Positional leadership	29
Emergent leadership.....	31
Trait leadership	32
Style leadership.....	33
Skills leadership.....	34
Situational leadership.....	35
Transformational leadership	35
Transactional leadership	37
Ethical leadership.....	38
Servant leadership.....	40
Team leadership.....	41
Contingency theory and leadership.....	42
Path goal theory and leadership	43
Leader-Member Exchange (LMX) theory and leadership.....	44
Literature Review Summary	48
Chapter Three: Research Methodology	50
Introduction.....	50
Case Study Research Methodology	50
Municipal case demographics.....	52
Selection of the municipal case.....	53
Selection of participants.....	55
Data collection method	57
Data collection	59
Phase 1	59
Phase 2	68
Phase 3	70
Data Analysis	70
Summary	74

LEADERS WHO LEAD ORGANIZATIONAL CHANGE

Chapter Four: Presentation and Analysis of Data.....	75
Interview Setting.....	76
Findings.....	79
Participants.....	79
Change process effect on leaders.....	107
Leader communications and interactions.....	111
Leadership Cabinet and Chief Administrative Officer turnover impact.....	113
Document review.....	115
Essential Common Themes.....	117
The need for collaboration, communication, and consensus building.....	118
Private-sector management approach.....	130
Leading change caused long work hours, stress, and frustration.....	132
Desired improvement through increased preparation, communication, and listening.....	140
Leadership turnover affected positional leaders.....	146
Summary.....	152
Chapter Five: Discussion.....	156
Summary of the Study.....	156
Limitations.....	176
Implications for Organization Development Practitioners and the Field.....	177
Future Research Recommendations.....	179
Final thoughts.....	182
References.....	184
Appendices.....	213

LEADERS WHO LEAD ORGANIZATIONAL CHANGE

List of Tables

Table 1: Leadership Approaches	46
Table 2: Summary Chart of Municipality Demographics.....	53
Table 3: Summary Chart of Municipality Employment	54
Table 4: Summary Chart of Coding Segments	72
Table 5: Summary Chart of Participants Listed by Age	80
Table 6: Summary Chart of Self-Reported Leadership Style	106
Table 7: Change Process Used.....	107
Table 8: Change Process Effects on Leaders and Their Families.....	111
Table 9: Leader Communications and Interactions	113
Table 10: Leadership Cabinet and Chief Administrative Officer Turnover Impact.....	115
Table 11: Changes Implemented	151

LEADERS WHO LEAD ORGANIZATIONAL CHANGE

APPENDICES

A Letter Stating Purpose of Research.....	213
B Case Study Participant Release Agreement.....	216
C Consent Form.....	217
D Phase One Interview Questions	224
E Phase Two Interview Questions.....	226
F Interview Protocol.....	228
G Explanatory Letter Sent By Electronic Mail.....	230
H Transcriber Confidentiality Agreement	231
I Computer Software Processing Assist. Confidentiality Agreement	233
J Confidential Disclosure Agreement.....	235

Chapter One

Introduction and Background

In the last few decades, there have been significant changes in the operational efficiency and effectiveness of organizational structures. Additionally, process advancements, new technology, taxes, federal and state regulations, health insurance costs, globalization, mergers, acquisitions, lean systems, retaining a quality workforce, doing more with less, systemic economic problems, major events, demographic changes, changes in priorities, conservative arguments about the size and function of government, and downsizing, all have contributed to new and innovative ways of conducting business and government (Holzer, 1986; Pinsonneault & Kraemer, 2002).

Although organization change trends can be observed in both the private and government sectors, organizational patterns within the government sector appear to be moving toward leaner and more efficient operations. Pate, Beaumont, and Stewart (2007) stated that over the last 20 years there has been mounting pressure for the public sector to become more cost efficient, with fewer services, less taxes, and greater accountability. Others indicate there has been a growing call for more value for money (McGuire, Stoner, & Mylona, 2008).

Feldheim (2007) suggested the changes in government began in the 1970s as government management focused on zero growth and cutting back on services and personnel. In the 1970s, managing decline became known as cutback management, and the strategies used to cause reductions were hiring freezes, personnel ceilings, contracting out services, and reduction in employee numbers (Cayer, 1986). Reduction-in-force approaches often included separations, downgrades, or lateral assignments of employees

to decrease the number of individuals employed (Holzer, 1986). Work redesign eliminated some combination of functions, services, and departments to improve efficiency.

The downsizing of the public sector was similar to the reinventing-government phenomenon that had been observed in the public administration literature for over two decades (Carroll, 1996; Schachter, 1995; Hays & Whitney, 1997). Reinvention, revitalization, and reengineering of government were frequently discussed in the public management literature of the 1990s, with the focus being on changing the culture of government operations toward an economic model (Frederickson, 1999). Van Wart (1996) suggested that, in the 1990s, the public sector was focused on reinvention and quality management. The reform of public services led to organizational, operational, and cultural change (Mir & Rahaman, 2003). New technology and the need to drive down costs further encouraged municipalities to address system and process deficiencies (Borins, 2002).

Municipal governments have been forced to cut back operations for a diverse collection of reasons including the declining role of federal government, outmigration of middle-income taxpayers, the socioeconomic decline that eroded tax bases in the inner cities, and state-imposed tax and expenditure limitations (Cooper, 1996). Cohen (1989) and Pammer (1990) suggested that recessions have been significant contributors to diminished local government revenues. On the expenditure side, local government pressures may be linked to federal and state mandates (Kelly, 1992), debt burdens (Bahl & Duncombe, 1993), judicial interventions (Duncombe & Strassman, 1994), public employee unions (Pammer, 1990), demand for services from political and special interest

groups (Clark & Ferguson, 1983), and the needs of an aging infrastructure (Arndt, 1995). With the need for operational reprioritization, municipalities have begun to examine and refine their internal structures in order to deliver the top-quality services demanded by stakeholders (McGuire, et al., 2008).

In many cases, revenue reductions coupled with calls for smaller and more efficient government have led to government budget reductions and shifts in who provides what services to citizens. The changing environment has fueled government restructurings at different levels. State-funded local government aid initiatives have been reduced, and many states have moved the costs associated with government decision making processes closer to the voters. Service delivery responsibilities have shifted to the municipal government level, where locally elected officials have more control over what is offered. The move in budgeting responsibility to the local government level may have created greater taxpayer accountability while generating new leadership responsibilities for municipal leaders.

Municipal positional or hierarchical leaders initiate future planning, develop budgets, implement or eliminate services, hire or lay off employees, purchase supplies, develop staff, and adapt to changing community and elected-official needs and demands. In many cases, municipal positional leaders change the way local government business is conducted and deliver services through alternative means such as privatization, service purchase agreements, franchise agreements, subsidiary arrangements, vouchers, volunteers, self-help programs, and regulatory and tax incentives (Klingner & Nalbandian, 1998). Chamberlin (2010) stated that passionate and strongly committed leadership is key to change. The assigned positional or hierarchical leader is the one who

most often manages and implements change at the local government level. Positional leaders lead organizational change on a daily basis.

The call for greater government efficiency and the tightening of municipal government budgets and operating systems can create unanticipated challenges, stressors, and rewards for the leaders and members of the impacted organization. DeJonge and Dormann (2006) indicated that job stress results from environmental demands. Hobfoll (1989) further suggested that individuals seek to obtain and protect resources and they can experience stress when resources are threatened. Pate, Beaumont, and Stewart (2007) additionally argued that mounting pressures for greater efficiency and cost effectiveness have caused heightened managerialism, tighter financial controls, and more closely monitored performance. Reductions in employee numbers within the public sector can create employee depression, diminished self-esteem, elevated insecurity, conflict, bitterness, a loss of trust, and a decline in employee morale (Lewis, Shannon, & Ferree, 1983). I believe all of the above-referenced factors impact the positional leader by adding stress and increased responsibility to their already busy work role.

Since the 1940s, more than sixty classification systems have been developed to describe the components of leadership (Fleishman, Mumford, Zaccaro, Levin, Korotkin, & Hein, 1991). The last two decades of literature have focused on leadership styles and the strategies used to implement change; additionally, there has been growing interest in the psychological processes involved in employees' experiences with organization change (Oreg, 2006; Schyns, 2004; Van Dam, 2005). Organizational contexts, such as leadership, are likely to affect how change is implemented and how employees react to change (Van Dam, Oreg, & Schyns, 2008). I believe leaders' perceptions of their

experiences merit equal interest and study, as they directly impact an organization's overall reaction to change. In today's world of government change, I believe it is important for positional leaders to be able to examine the experiences of others, and themselves, so they can prepare for, as best as possible, the challenges they may encounter when leading their own change initiatives.

The literature contains research on prominent private-sector leaders and the techniques they used to orchestrate change, as well as research focused on employee experiences. The literature often includes interviews with and discussions about positional leaders' favored approaches and their preferred leadership styles. Some leaders, such as Jack Welch, have written books articulating how they were successful in leading change (Welch & Byrne, 2003). The literature reveals there is limited research available on the actual experiences of municipal positional leaders who have led change.

This case study was intended to further the knowledge of the experiences of positional leaders who were employed by a Midwest municipality undergoing significant change. I examined the top 12 full-time positional or hierarchical leaders of the organization—the mayor, the chief administrative officer, a recently retired chief administrative officer, the city attorney, the director of public administration who was a former chief administrative officer, the police chief, the fire chief, the director of public works and utilities, the manager of human resources, healthcare, and safety, the director of libraries, the director of parks and recreation, and the director of administrative services. A number of the individuals examined had held numerous positions of leadership within the same municipal organization. The research participants had 231

years of combined leadership experience, 106 years of which had been within the context of the municipal government case.

Statement of the Problem

Organizational change may be considered to be a lasting change in the character and performance of an organization, a stand-alone business unit, or a large department. An organizational change attempts to improve two key aspects of the organization's character: the environment relationship and how well the inputs are suited to the organization, and the internal design components and how well they fit together (Rothwell, Sullivan, & McLean, 1995). Bridges (2002) advocated that change is situational and can be related to the new employment site, the new boss, the new team roles, and the new policies that an individual or group faces. Change is external in nature and not internal to the psychological process people go through to come to terms with their new situation.

Large system change can be triggered by both environmental and internal disruptions, and they often can incorporate new organization paradigms. Change most often is driven by hierarchical senior executives and line managers. Within an organizational change process, large-group and small-group dynamics can come into play. Large-group dynamics come into play when a group exceeds 12 members and this can cause fragmentation, increased socializing, less cohesion, less openness, and the potential for regression (Kreeger, 1975). Boyd (2009) suggested that managers need to recognize that large-scale change involves every managerial level within the organization. Top managers, middle managers, and lower-level managers can act as catalysts for change or as stern barriers to its success. Municipal change can involve both

large and small-group dynamics, and these can lead to a broad range of experiences for the positional leaders. Bennis (1989) and Kotter (1996) emphasized that major change needs to be led rather than managed. Berger, Rosenholz, and Zelditch (1980) advocated that high-status organization members have more influence over group decisions than any other members in the group, and Chamberlin (2010) found that an organization reengineering leader must be a senior executive who is passionate about the change and highly committed to it. He indicated that the senior leader must have the authority to implement change. Kotter (1999) indicated that leadership is about motivating, inspiring, and energizing people to overcome major political, bureaucratic, and resource barriers to change. Hierarchical leadership has the ability to produce change and the change it produces can be dramatic and useful.

The literature of the past few decades has not addressed the experiences of municipal positional leaders who have led organizational change. Much of the focus of existing research has been on leadership approaches, styles, and techniques. I believe that in many, if not all cases, leading organizational change can be difficult for positional leaders; I am interested in furthering the knowledge of the experience of positional leaders' in leading change. I am specifically interested in learning the experiences of positional leaders who have led change in the local municipal government setting. I believe that positional leaders who are implementing change in the municipal government setting face more challenges than those who are operating in many segments of the private sector. Municipal leaders' work is directly impacted by elected representatives, federal funding, state funding, local tax base funding, economic downturns, population and demographic shifts, an aging infrastructure system, an internal

employee base, entrenched ways of doing things, vocal community activists, and possibly unions.

The broad range of pressures placed upon municipal government leaders could make leading organizational change extremely difficult for this type of leader. I believe it is important for the literature to reflect an understanding of the experiences of positional leaders who have led change within the municipal government context. Research in the municipal change leadership experience area of inquiry may make it easier to characterize the process of implementing organizational change in the municipal government setting.

Purpose of the Study

The purpose of this study was to understand the experiences of 12 positional leaders who were leading organizational change within a municipal government setting located in the Midwest. I wanted to learn about the experiences of the study's participants for a number of reasons. I believed the intricacies of municipal government leadership may create more challenges for positional leaders than those found in the private sector. My life experience suggested that municipal government leaders need to interact with and respond to elected officials, unions, employees, and community stakeholders. I believed the unique dynamics of having elected representatives involved with municipal government operations creates increased change-related uncertainty for positional leaders in the municipal setting.

In my opinion, budget uncertainty increases the richness of change-related experiences positional leaders have in the municipal setting. I had served as an elected official and my experience caused me to have a heightened interest in this case. I viewed

newspaper articles and television media reports regarding the challenges the city faced. The news sources suggested the municipality was facing financial shortfalls, increased healthcare cost challenges, unfunded employee retirement liability challenges, and organizational restructuring issues. I wanted to learn more about the experiences of the positional leaders who were leading change in the organization.

I selected a case study methodology because it allowed me to investigate the change-related experiences of leaders who were on or had held membership on the municipality's leadership cabinet. The approach allowed me to gain an in-depth understanding of the individual case. As Stake (1995) suggested, the case is a given, we are interested in it because we need to learn about the particular case. We have an intrinsic interest in the case. The selection of the case study approach helped me understand the experiences of the 12 participants.

In my research, I did not want to learn about other cases or develop generalizations for other organizations. I selected the municipality because I had an interest in it and wanted to know the participants' experiences well. I was not interested in how the participants' experiences differed from others. My focus was on the wholeness of the participants' experience. I specifically sought out the essences of the participants' experiences rather than using formal measurements and explanations.

Research Question

My goal in conducting this dissertation study (and my research question) was to discover "What were the experiences of leaders who were leading organizational change in a municipal form of government?" During my career, I worked with many organization leaders and have spent much of my life working in leadership roles. I have

read numerous publications on the principles of leadership and change and found myself wanting to learn more than my readings and life experiences were able to provide me. I wanted to learn more about how the experience of leading change impacted other leaders.

While living through my personal experiences with leading change, I often found myself transitioning through numerous emotions and states of mind, such as joy, feelings of accomplishment, excitement, happiness, a sense of reward, frustration, stress, sadness, worry, feeling misled, feeling betrayed, and at times wondering how some individuals had risen to the level they had within the organization. There had been times when I would return home from work exhausted and I would talk or vent about the experiences I had that day. In reflection, I realized my leadership career had not only affected me, it had affected my family. I wondered if my personal realizations also held true for other leaders and wanted to learn if their lives were impacted in a similar fashion as my own.

When I interacted with leaders in the organizations I was involved with, I noticed we could perceive things differently and that we had different approaches to solving complex problems. At times, we built off of each other's strengths and at other times we experienced frustration that part of our team was not on board with what was being discussed or planned. I wanted to learn whether the positional leaders in this study shared common leadership styles and beliefs. I also had experienced teams that became embroiled in petty disputes over territorial issues and who would be rewarded or would receive increased status due to a restructuring. I wanted to learn if the leaders in this study shared similar experiences.

I believe the more experience I gained working with change, the more accepting of change I became. I wanted to know if my experience held true for other government

leaders in the municipality. I wanted to learn what types of change the participants implemented and what processes they used. With all of the study's participants working in the same municipality, I wanted to learn if they shared commonalities in the approaches they used.

My lived experience indicates that many of the worst organizational change experiences came about because of budgetary shortfalls. Budgetary shortfalls often force individuals to force change whether they want to or not and I believe this elevates change agents' stress levels. By nature, I believe human beings resist change and, when forced into it, wonder what the outcome will be for them. The majority of my professional change-related leadership experiences caused me to reflect on how the change-related activities would impact me. I wanted to explore how the study's participants felt about forced change.

Some of the organizational changes I have led created stressful periods for me and I often found myself reflecting on my interactions with others and how they had acted or reacted toward me. I believe the social interaction component of organizational change is at the heart of most change processes. In conducting this research, I wanted to learn how the social interaction component of leading change impacted the experiences of the participants.

Some of the organizations I worked for experienced ongoing turnover in chief executive officers. I found ongoing top-level leadership turnover created uncertainty in my understanding of my assigned work responsibilities. Repeated shifts in leadership direction caused me to feel frustrated and hesitant when taking on new roles and responsibilities. I did not like starting new projects knowing my hard work probably

would get put on a shelf when a new leader arrived. My personal experiences caused me to want to learn how continual top-level leadership turnover impacted the municipality's leaders. I wanted to know how the organization's top-level leadership changes made the participants feel and how they processed such changes.

I found it helpful to look back and reflect on my experiences. After-action reviews helped me figure out ways I could have done things better. I believe my personal reflections have helped me become a better leader. In conducting this research, I wanted to enhance my knowledge in this area by learning what the study's participants may have done differently if they had the opportunity to lead change all over again. I also wanted to provide the participants with the opportunity to conduct their own self-reflective process on their experiences.

Significance of the Study

Sternberg (1981) articulated that tacit knowledge helps an individual solve real-world problems. To acquire tacit knowledge, an individual must be exposed to it through experience. Avolio (2005) suggested that successful experiences in leadership strengthen the individual's belief in their ability as a leader. Actively reviewing the change-related experiences of others may provide future leaders with indirect experience they can directly apply to their own organizational change initiatives. I believe that leaders' change-agent abilities can be strengthened by studying the experiences of others. I further believe the results of this case study could provide future municipal change leaders with increased awareness and understanding, which would help them prepare for their own unexpected reactions, emotions, and stressors.

Personal interest and bias. During my life, I have participated, worked, and served in many leadership-building roles. As a youth, I was in the Boy Scouts and Civil Air Patrol, where I learned and practiced leadership with my peers. As an adult, I have worked as an electrical construction foreman, union leader, project manager, consultant, and college dean. I have served as an economic development authority commissioner, interstate council transportation commissioner, publicly elected school board member, publicly elected city councilor, and on various private sector boards. Each of my roles has provided me with unique views of leadership attempts at implementing or opposing organizational change at different levels. I have witnessed leaders and organizations reacting and responding to change in unpredictable ways. I have often made note of my personal responses to my own attempts at leading change. All of these things combined sparked my interest in this area of inquiry.

I have not found any entity more complex than local municipal government. Municipal government has not only internal stakeholders, but also very vocal external stakeholders and elected policymakers. Many government segments are unionized, which can produce additional challenges for change agents. Public service organizations operate in complex external and internal environments where vital assumptions tend to change due to dynamic developments in society. Public services have multiple accountabilities, including those to government, ministers, media, and citizens, as well as a need to balance the ongoing power play and influence between them. The public sector is valued not on the basis of its profit-making ability, but rather by its capacity to create sociality for its citizens. The valuation of the amount of social value created in the public sector is more complex and ambiguous. In the local government setting, the active

advocacy of both internal employees and external community activist stakeholders can make it very difficult for positional leaders to bring about change.

During my eight years in elected political office, I observed a number of local government entities as they faced many organizational challenges. The organizational challenges had been partially driven by politics and its related spending. During economically successful times, I believe local municipal government tends to increase the services and offerings it provides to the residents in its geographic region. The new offerings create municipal government employee positions and add to system operations, expectations, management requirements, procedures, and expenditures. The new offerings directly serve employees' and residents' needs. They establish new cultural expectations, appease resident requests, and make elected officials look good.

When the economy experiences a downturn, local municipal government finds itself facing severe funding shortfalls. Municipal leaders find themselves challenged by such things as reduced state aid and reduced revenue streams from local property taxes, industry taxes, sales taxes, and tourist taxes. The income of the local municipal government decreases, but the expectations of residents and employees remain the same or increase to higher levels. I believe the economic reduction of local government revenue, combined with an increased stakeholder desire to maintain status quo, causes government positional leaders to face very stressful situations. I believe that conflicting values and multiple opinions in government, in addition to the variety of stakeholders, causes chaotic change to become the norm within the organization. Positional leaders strive to create strategies that alter the way their organizations operate. Any hint of operational change causes internal employees, their unions, and vocal community

activists to challenge leadership's decisions. In some cases, impacted parties attempt to delay change until an election changes the specific people who provide policy direction to positional leaders. Leaders and employees often view change differently. Leaders on the top level in public service see change as an opportunity to strengthen and renew the organization. However employees do not view change as sought or welcomed. The delay tactics related to the continual shift in local policymakers can make leading change very challenging for positional leaders. I believe that local government change initiatives face greater complexities than other organizations. The local government setting is therefore the ideal environment to learn more about the experiences of positional leaders implementing change.

During my career, I have not heard many municipal leaders articulate the personal experiences that informed their decisions or led them to respond in certain ways. My interest in the area caused me to develop a number of prospective research questions that I believed needed further study. My questions were concentrated on particularization, and as I listened and learned more, I progressively focused my research questions to fit the situationality of the individual experiences.

In concluding the research, I believe that gaining greater insight into various leaders' change-leadership experiences has helped me to become a better leader. The research helped me to better understand what to expect when I am leading change and to further appreciate what my peers may be experiencing.

Definition of Terms

To avoid confusion, this study established the following definitions and delineations to distinguish between approach, models, and theories. Readers of this research may mix the use of terms; therefore it is necessary to define their meanings.

Chaotic change: Changes in an organization where the external and internal complexity and uncertainty is too high to predict or control the future development by management of the organization (Karp & Helgo, 2008).

Disruption: A state of disorder that may occur in an organization in the aftermath of a leadership change (Friedman, & Saul, 1991).

Large-scale change: A change in the character of an organization that significantly alters its performance (Ledford, Mohrman, Mohrman, & Lawler, 1989). Large-scale change is pervasive and involves many aspects of the organization; it is deep and entails fundamental shifts in the ways members understand their organization as well as their beliefs, attitudes, and possibly their values (Mohrman & Mohrman, 1994).

Leader: One who looks into the future and is primarily motivated to create movement or change (Bennis, 1989).

Leadership: A process whereby an individual influences a group of individuals to achieve a common goal (Northouse, 2007).

Position authority: A person's position power depends on that individual's holding a particular office or position in the organizational hierarchy. The power reflects the notion of vertical power between two people. The person may be able to influence a decision because the organization has given that person the authority to make a decision (Bass, 1960).

Position power: A primary source of influence in an organization which includes control over resources, rewards and punishments, information, the work environment, and work procedures (Yukl, 1981).

Positional leaders: Individuals who are leaders because of their formal position in an organization (Northouse, 2007).

Trust: A psychological state comprising the intention to accept vulnerability based upon positive expectations of the intentions or behavior of another (Rousseau, Sitkin, Burt, & Camerer, 1998).

Coding: Classifying observations into files or categories (Stake, 1995).

Data analysis: Processing observations to draw out their meanings (Stake, 1995).

Emic issues: Research questions revealed by actors (Stake, 1995).

Etic issues: Research questions initiated or brought in from the outside by the researcher (Stake, 1995).

Foreshadowed questions: Prospective research issues (Stake, 1995).

Horizontalization: An evaluation method in which every statement is treated as having equal value (Moustakes, 1994).

Intrinsic case study: A study in which the case itself is of primary, not secondary, interest (Stake, 1995).

Leadership: Is the process of persuasion or example by which an individual (or leadership team) induces a group to pursue objectives held by the leader or shared by the leader and his or her followers (Gardner, 1990).

Member checks: Presenting draft materials to actors for confirmation and further illumination (Stake, 1995).

Particularization: Concentration on the uniqueness of the case (Stake, 1995).

Progressive focusing: Improving on research questions as a study continues (Stake, 1995).

Research questions: The guiding ideas underlying investigations (Stake, 1995).

Situationality: The idea that meaning is drawn largely from a case's unique circumstances (Stake, 1995).

Subjectivity: Having meanings at least partly unique to the individual observer (Stake, 1995).

Triangulation: Working to substantiate an interpretation or to clarify its different meanings (Stake, 1995).

Organization of the Study

This dissertation study is presented in five chapters. Chapter 1 includes the background of the study, statement of the problem, purpose of the study, research questions, significance of the study, my personal interest and bias, and definition of terms. Chapter 2 presents a review of the literature that includes change and change theories, change-related challenges, and leadership approaches. Chapter 3 describes the methodology used for this dissertation research study. It includes the municipal case demographics, selection of the municipal case, selection of participants, data collection method, data collection, and data analysis procedures. Chapter 4 presents the study's findings including interview setting, and essential common themes. Chapter 5 provides a summary of personal reflections, limitations, implications for organization development practitioners and the field, future research recommendations, and final thoughts.

Chapter Two

Literature Review

My literature review was conducted in two phases. In the first phase, I reviewed the literature to prepare for research and set the stage for my study. In the second phase, I compared my findings with the existing research. You will find my second phase of research comparisons in Chapter 5. In my examination of the existing literature I used an integrative review approach to note the current state of knowledge on the topic of my dissertation.

This chapter presents an overview of existing literature as it corresponds to change and organizational change theories, change-related challenges, and leadership approaches. I believe this existed knowledge is important for informing the research of this case study. The review of literature helped me to develop an understanding of the components that may come into play when assigned leaders attempt to lead organizational change. It also assisted me in developing an understanding of what this case study's assigned leaders experienced while they were leading their change initiative.

During my first phase of literature review, I wanted to prepare myself for what the participants may discuss by examining the prevalent change theories that are discussed in the literature. I believed that elevated change theory awareness would help me in the formulation of interview and follow-up questions. I suspected that anyone leading organizational change could face some form of challenge. Prior to my conducting interviews with the participants, I felt it was imperative for me to be better informed on some of the challenges that change leaders may experience. I believed that my awareness of change-related challenges that leaders' could face while leading organizational change

would help me to conduct richer interviews, because my enhanced knowledge would enable me to develop sound interview questions and to further ask rich follow-up questions.

I considered that leading change may cause assigned or hierarchical leaders to experience stress. In preparing for the interviews, I felt it was important for me to develop an awareness of potential change-related stress causers, so that I would have a better appreciation of what the participants may discuss. My awareness of the literature's discussions on change-related stressors assisted me in the development of interview questions. Literature review also helped me in the creation of interview clarification questions.

I wanted to ask the study's participants about their leadership approaches. I felt it was crucial for me to prepare for our interviews by learning more about the leadership approaches discussed in the literature. The first phase of the literature review helped me formulate leadership-related interview questions. The first phase also enabled me to ask the participants more focused leadership-related clarification questions.

Change and Change Theories

When looking at change theories, I believe it is important to have an understanding of what I perceive organizational change to be. Van de Ven and Poole (1995) defined organizational change as a difference in form, quality, or state over time in an organization. Van de Ven and Sun (2011) further suggested that change can be measured by observing the same object over two or more points in time, on some determined characteristics, and then observing the differences in characteristics that occurred. If the difference is noticeable, one can say the organizational entity changed.

In their review of approximately 200 articles, Van de Ven and Poole (1995) identified teleological, lifecycle, dialectic, and evolutionary as the four basic types of change theories. Each of these models actively plays into the experience positional leaders may have while leading change.

Graetz and Smith (2005) pointed out that multiple models of change are needed and that change agents must determine where each model can apply. Individual change theories are not likely to explain the unfolding organizational processes leaders may experience. Van de Ven and Sun (2011) noted that every model of change creates its own tensions because each model favors some values and overlooks others. The tensions that are created reflect the choices people have made, either implicitly or explicitly, as they implement the change program (Seo, Putnam, & Bartunek, 2004).

Change agents can create larger organizational problems if they remain locked into a mental model of change (Boal & Meckler, 2010). Van de Ven and Sun (2011) advocated that gifted change agents reflect on their situation and revise their plan to go with the flow. To be effective, change agents must expand their repertoire of conceptual models for managing organizational change and know what models to use in different circumstances. They suggested that possessing multiple mental models for change enables change agents to apply the models and interactions that best fit the given situation. When breakdowns in one model occur, appropriate models can be selected that better fit the new situation.

Teleological or planned change describes organizational change as the result of purposeful and social construction by organization members (Austin & Bartunek, 2006). Teleology views development as a repetitive sequence of goal formulation,

implementation, evaluation, and the modification of an envisioned end state, which is derived from what was learned or intended by the individuals involved. The planned change emerges from purposeful social construction among the organization's members (Van de Ven & Sun, 2011). Teleological change derives its impetus when organization members believe their current activities are not enabling them to reach their goals, and the focus is on processes that enable purposeful activity toward the goals (Austin & Bartunek, 2006).

Teleology celebrates freedom of choice when constructing an envisioned future. Its freedom of choice can be limited to top managers (Van de Ven & Sun, 2011). This theory focuses on processes that enable purposeful activities that lead toward goals. The approach suggests that planned change, which is initiated by managers, can lead toward change in both the organization and its environment (Austin & Bartunek, 2006). Van de Ven and Sun (2011) indicated the model can break down when the group's participants cannot reach consensus on a goal or when the reached conclusions are subject to individual or group biases, recognition error, critical thinking and decision making, ongoing commitment to failing courses of action, and group think.

Others have also articulated that teleological processes breakdown because participants do not recognize the need for change, make erroneous decisions, or cannot reach agreement on their objectives (Burke, Lake, & Paine, 2009; Nutt & Wilson, 2010). When there is a minimal difference between the organization's members current situation and the desired state, the need for change is easily recognized (Greve, 1998).

The lifecycle or regulatory change approach advocates for change as a movement through a determined sequence of stages and activities over time (Van de Ven & Sun,

2011). Van de Ven and Poole (1995) reflected that lifecycle change requires the occurrence of a specific sequence of events. The sequencing of strategic events can be associated with effective leadership planning processes. The model takes into account how proactive individuals can adapt to their environments and make use of rules to accomplish their purpose. The rules that prescribe the change process are based on routines learned in the past for managing efficient and effective change (Cohen & Sproull, 1996; Feldman & Pentland, 2003).

Change may also come from sources outside of the organization (Rogers, 2003). Lifecycle models are good for use in predictable or recurrent change applications. Pressman and Wildausky (1973) found that the model may break down when planners are isolated from implementers. The breakdown can occur because learning fails when events occur and consequences are felt by different people. The approach may also fail when rules are improperly designed and people resist implementing the change.

Dialectic or conflictive change is linked to organizational change which is driven by conflict between opposing beliefs. It fosters an open, bottom-up approach to working with conflict. In this model, stability is produced by struggles and accommodations that maintain the status quo between oppositions (Van de Ven & Sun, 2011). In order for dialectic change to occur, new ideas and values must directly conflict with status-quo beliefs. The conflict between beliefs can be driven by industry change (Bacharach, Bamberger, & Sonnenstuhl, 1996), organization identity change (Dutton & Dukerich, 1991), changes in economic systems (Kostera & Wicha, 1996), and organizational breakup (Dyck & Starke, 1999). Conflict in organizations often remains latent until

dominant individuals mobilize sufficient power to confront opposing parties (Hargrave & Van de Ven, 2006).

Change most often occurs when challengers gain enough power to confront and engage the incumbents (Van de Ven & Sun, 2011). Problem solving and open confrontation between the opposing viewpoints can lead to the successful resolution of differences and conflicts (Jehn & Bendersky, 2003; Peterson & Behfar, 2003). When leading change, leaders must work toward a productive rather than a destructive conflict. Dialectic change processes can fail because of the use of dysfunctional conflict resolution methods or when there are power inequalities which limit confrontations among the opposing groups (Van de Ven & Sun, 2011).

Evolutionary or competitive change occurs over a period of time. This type of change is driven by environmental conditions that create pressures on the organization. Evolutionary change occurs as a recurrent and probabilistic progression of variation, selection, and retention activities (Campbell, 1969). The model emphasizes a need for a heterogeneous group of variations and competition for limited resources (Baum & Rao, 2004; Campbell, 1969). Evolutionary processes apply when multiple units within or between organizations compete for scarce resources. They also apply when units are developing different product methods for a market. The evolutionary change theory applauds open competition and blind market selection among multiple groups while tending to ignore the planned and regulated changes that empower individuals to compete in a market (Van de Ven & Sun, 2011). Leaders must understand the environmental setting of their organization if they are to understand the dynamics of successful evolutionary change. Evolutionary change processes may experience homogeneous

variations and selection criteria, and also a lack of competition for scarce resources (Baum & Rao, 2004; Campbell, 1969). Healthy organizations evolve because of their ability to adapt to the external forces impacting them; they must be able to evolve (Austin & Bartunuk, 2006).

Change-Related Challenges

Leaders often develop an awareness of the need for organizational change when they look at their organization's competitive structure, market position, changing trends, and financial performance (Kotter, 2006). The aforementioned factors can be shaped by the organization's history, environment, resources, and strategy (Nadler, 2006). An organization's history can consist of past events, activities, and crises which continue to affect the way the organization works in the present. Historical practices can create cultural trends which may be difficult for leadership to alter. The organization's operating environment can include its existing strategy, employees, customers, regional communities, competitors, labor unions, suppliers, revenue streams, regulatory restrictions, and technological developments (Nadler, 2006). The strategy of an organization is directly linked to its history and operating environment. Strategy-setting decisions may involve the consideration of its markets, offerings, competitive basis, and performance objectives (Nadler, 2006). An organization's strategy reinforces its historical way of doing things. The strategy sets the tone of the organization.

Organizations often possess limited resources and this contributes to the internal polarization of its demands, opportunities, and environmental constraints (Nadler, 2006). Organization members and external customers develop expectations which are based on historically prioritized items within the organization. A change in historical patterns,

resource allocations, strategic prioritization, or the external environment, challenges the status quo of the organization and this can lead to diminished employee and customer satisfaction.

Nelson and Winter (1982) suggested that organizations develop comfort-zone routines and expected patterns for the way things should be done. They indicated that established patterns enforce stakeholder expectations for current and future actions. The lack of familiarity and reduced employee or community member satisfaction may result in overt stakeholder resistance to change.

In my view, positional or hierarchical leaders have to serve in both the change leader and client role. When initiating the change they are the leader. When working under their supervisor they are the client. Change agent clients may experience mistrust, feelings of marginality, ambiguity or ineffectiveness, and limited or negative feedback (Argyris, 2006). Discomfort can cause them to fear making errors or taking false steps. Uncertainty can cause the change interventionist's clients to feel inept or to lack confidence in their own and their peers' abilities. They may seek to defend themselves by selecting behaviors and values that maintain their existing level of self-acceptance (Argyris, 2006). The stressors created by leading organizational change can be attributed to negative leadership-team dynamics, personal life crises, and personal health issues. In contrast, the stressors placed on clients may also cause them to react positively. Clients can develop the ability to feel confident, maintain an accurate perception of reality, acknowledge and accept attacks and mistrust, and trust in their own experience.

Leadership Approaches

Leadership research began with a search for inborn attributes that differentiated leaders from non-leaders and explained the effectiveness of individuals as leaders (Galton & Eysenek, 1869). Leadership is like beauty, it is hard to define, but individuals recognize it when they see it (Bennis, 1989). Locander (2005) articulated that a wide variety of images are evoked by the word leader such as military commander, football coach, mentor, boss, servant, and steward. Rost (1997) stated that leadership is an influence relationship among leaders and collaborators that intend real changes that reflect their mutual purpose. Wielkiewicz and Stelzner (2005) further suggested that leadership is an emergent process, one that emerges from the interactions and actions of individuals in an ecological system. The role of a leader is to develop an intimate understanding of their organizational culture and then use various mechanisms to promote needed change (Schein, 1992).

Locander (2005) indicated that leadership can be an ambiguous and foggy concept. From the fog he suggested that three roles seem to emerge; they are boss, leader, and follower. He argued that traditional bosses use power to drive people. Kroeger and Theusen (2002) also indicated that leadership involves the use of power. They stated that leaders have both personal and organizational power. In addition to power, the literature suggests that a leader's effectiveness can be predicted by characteristics such as demographics, skills and attributes, and personality traits (Judge, Bono, Ilies, & Gerhardt, 2002; Judge, Colbert, & Ilies, 2004; Mumford, Campion, & Morgeson, 2007).

Locander (2005) emphasized that authority comes with position, and that formal authority may be used to reinforce the commander model of leadership. Research

suggests that power and influence are both important considerations when trying to understand organizational behavior and leadership effectiveness (Mintzberg, 1983; Pfeffer, 1981). A leader's authority to make decisions is often considered to be legitimate and it is the most common basis of power used to influence decisions (Shukla, 1982). Power has a significant impact on organizational decision making (Gordon & Becker, 1974; Pfeffer & Salancik, 1978; Pfeffer & Salancik, 1974; Shukla, 1977). In superior-subordinate dyads, power is often viewed as flowing downward with the superior exerting the influence on the follower (Ragins & Sundstrom, 1989).

Bennis and Nanus (1985) identified that strong leaders have the ability to articulate a clear vision; implant a sense of communication; promote trust; and cultivate a strong sense of self-regard. Gardner (1990) further articulated that successful leadership includes envisioning goals, affirming values, motivating, managing, achieving, uniting, explaining, serving as a symbol, renewing, and representing the group. Leaders must take a broad view of their organization's inner workings and focus beyond their own individual behaviors and relationships with individual workers (Bolman & Deal, 1997; Morgan, 1997; Yukl & Howell, 1999).

Kotter (1990) argued that leadership produces change and movement by establishing direction, aligning people, motivating, and inspiring. He emphasized that direction can be established by creating a vision, clarifying the big picture, and setting organizational strategies. He believed people alignment could occur when leaders actively communicate goals, seek commitment, and build teams and coalitions. He believed leaders could motivate their employees by inspiring and energizing them, empowering them, and satisfying their unmet needs. As Kotter indicated, there are many

ways to produce change movement within an organization, and different approaches can be selected by a leader to fit the organization's specific need. A leader's selected approach can be driven by many factors such as personal preferences, inherent styles, and their ability to shift their approaches to fit specific needs or situations. The most effective leaders work across several areas which can include the cultural frame, the political frame, the structural frame, and the human resource frame (Bolman & Deal, 1997). My literature review suggests that leaders require a multitude of skills.

There are probably as many definitions of leadership as there are of leadership theories. Leaders in positions of authority could theoretically master a wide range of leadership practices and appropriately use them to increase their organizational effectiveness (Graham & Robinson, 2002). Understanding that there are many perspectives on leadership, I reviewed the literature for what I considered to be the most frequently referenced forms. I have included an overview of those works I believed to have the most relevance to the preparation for this case study.

Positional leadership. Wielkiewicz and Stelzner (2005) contended that most leadership theories focus on individuals who are in positions of leadership. They listed leadership examples such as presidents, members of Congress, CEOs, directors, executives, managers, military officers, and chairpersons. Fauqua and Newman (2007) argued that leadership from hierarchically organized positions is one of the essential characteristics that typifies bureaucracies. A number of theoretical perspectives emphasize that positional leaders are directly responsible for organizational success (Boal & Hooijberg, 2001; Chemers, 1997; Zaccaro, 2001). To be successful, leaders need to shape the perspectives of their followers. Meindl (1995) advocated that leadership is a

social construction in which positional leaders manipulate the context of their followers. The objective of positional leaders is not to control their followers' behavior but rather to create the right impression or spin (Salancik & Meindl, 1984).

The literature references that some individuals are leaders because of their formal position within an organization. Group process perspectives suggest that an individual's potential to influence another is derived from their power (Bacharach & Lawler, 1980). The positional or hierarchical leadership perspective is based on individuals occupying positions such as team leader, plant manager, department head, director, or administrator within an organization (Northouse, 2007). They are leaders because of their stature within the organization.

Individuals in an elevated hierarchical position have the ability to control scarce resources and access to the implementation of political strategies. Schein (1992) suggested that leaders, particularly senior leaders, shape the organization's shared beliefs through what they pay attention to, control, and reward. The leader's response to organization events and their employee's actions indicate the types of beliefs and attitudes the employees should have. Leaders also shape the organization's climate by deciding who to attract, select, and discharge from the organization (Schneider, 1987).

Senior leaders set the organization's strategy and policies and they also set the standards for the actions that are rewarded. The leader's strategies, policies, and standards indirectly influence an organization's attraction, selection, and retention policies (Liao & Subramony, 2008). Individuals in elevated hierarchical positions may be influential because they have the ability to mobilize other power bases to influence decisions (Shukla, 1982).

In a hierarchical team, the leader has position power, authority, and legitimacy which are instilled by the organization's structure (French & Raven, 1959). Bass (1990) suggested that position power is structural in nature and is derived from an individual's position within an organization. French and Raven (1959) indicated that in a hierarchical team the leader has position power which is the authority and legitimacy imbued by the organizational structure. The hierarchical position can provide leaders with control of resources and the ability to implement strategies because of their position.

Emergent leadership. Emergent leadership is often considered different from or even in opposition to the assigned leader perspective. The emergent leader perspective is held when organization members view an individual as the most influential member in their group regardless of the individual's position. Emergent leaders can be perceived as more dominant, intellectual, and confident; they can be viewed as more informed, more likely to seek the opinions of others, and more willing to integrate new ideas (Fisher, 1974; Smith & Foti, 1998).

Individual personality and communication methods can impact an individual's emergence as a leader. Leadership emergence may also be attributed to such qualities as being firm but not rigid, being willing to initiate new ideas, a willingness to seek others' opinions, and being informed and verbally engaged (Fisher & Ellis, 1990). Hogg (2001) suggested that leader emergence may be related to how well an individual fits the identity of the group as a whole. Social identity theory (Hogg, 2001) further suggests that similarity to the group prototype can make a leader more attractive to the group, and this may give the leader influence over the group. Leaders who successfully advance their

department's goals and objectives may find their department doing better than those of their counterparts within the organization.

Trait leadership. Leader's traits that are related to both task competence and interpersonal attributes can be important predictors of leadership effectiveness (Derve, Nahrgang, Wellman, & Humphrey, 2011). Mayer, Nishii, Schneider, and Goldstein (2007) found that a leader's traits correlate with their employees' justice-related attitudes. Smith and Canger (2004) suggested that a leader's traits correlated with employee attitudes, which included job satisfaction, organizational commitment, and intentions to leave an organization.

The literature suggests that leader traits and behaviors are embedded in a formal social structure where the leader holds a formal position that comes with an expected set of role behaviors (Biddle, 1979). Traits focus on an individual's standard or representative behaviors (Schwartz & Sagiv, 1995). A leader's attributes influences the choices and decisions they make in their organization (Carpenter, Geletkanycz, & Sanders, 2004; Hambrick & Mason, 1984). The leader's choices and decisions then shape their followers attitudes and beliefs (Berson Oreg, & Dvir, 2008; Schein, 1992; Schneider, 1987).

According to the literature, many leader traits may be structured into three categories; demographics, task competence, and interpersonal abilities (Avolio, Sosik, Jung, & Berson, 2003; Bass & Bass, 2008; Yukl, Gordon, & Taber, 2002). The trait leadership perspective suggests that the trait leader possesses special characteristics or qualities such as personality, ability, or other unique features that make them leaders (Bryman, 1992). Cherulnik, Turns, and Wilderman (1990) found that the physical

appearance in the way of maturity and attractiveness impacted the attributions of leadership emergence and effectiveness. Derve, et al., (2011) submitted that leader traits can influence a leader's effectiveness by way of the attributions that followers can make about the leader and their perceived identification and similarity to the leader. The trait leader approach to leadership is available only to those who have special or unusual innate talents. Distinguishing trait leader characteristics may include items such as physical factors like height.

Trait leadership ability can also be attributed to intelligence, self-confidence, sociability, determination, and integrity (Stogdill, 1948). The literature suggests that followers who perceive a leader to be similar to themselves have a stronger identification with the leader and they will grant the leader with more favorable evaluations (Engle & Lord 1997; Liden, Wayne & Stilwell, 1993). Oreg and Berson (2011) considered the role of the leader's personal attributes such as traits, values, and behaviors to help explain their employees' intentions to resist organizational change. The traits that the leader possesses must be relevant to the immediate situation the organization faces. This type of natural leadership ability can be observed in individuals at varying levels in the organization.

Style leadership. The style leadership perspective is distinguished from the trait leadership model in that its focus is on the behavior of the leader. The style leadership approach can be broken down into two basic types of leader behavior: task behavior and relationship behavior. Task behaviors can include planning and scheduling work. Task behavior assists in goal accomplishment, while relationship behavior helps employees feel comfortable with themselves and others who are working in the related situation

(Derve, et al., 2011). Blake and Mouton (1985) suggested that leaders typically have a dominant leadership style.

Skills leadership. The skills leadership approach views leadership as a set of developable skills (Katz, 1955). The literature suggests that leaders are not born or created; instead their built-in capabilities are shaped by their experiences which enable them to develop the capabilities required to solve significant social problems (Jacobs & Jaques, 1987, 1990, 1991; Lewis & Jacobs, 1992). Effective leadership behavior is dependent upon a leader's abilities and the skills they have to solve poorly defined, complex, novel, or social problems in their organization (Mumford, Zaccaro, Harding, Jacobs, & Fleishman, 2000).

To be successful, leaders require certain skills that allow them to circumvent organizational constraints. They must be able to conceive of organizational problems in practical ways and solve the problems that can be solved, often over long periods of time and in the context of multiple long-term managerial demands (Mintzberg, 1975). The skills based model of leadership advocates that successful skill application requires multiple forms of knowledge such as knowledge of the job, knowledge of the organization, knowledge of the business, and knowledge of people, especially those who execute solutions (Sternberg & Wagner, 1993). The skills based approach to leadership advocates for the leader's assumption of a leader-centered perspective of leadership and places emphasis on the leader's individual skills and abilities, which can be learned and developed. In the skills approach, it is believed that the leader's effectiveness depends on their ability to solve complex problems (Mumford, Zaccaro, Harding, Jacobs, & Fleishman, 2000; Yammarino, 2000). The skills approach to leadership shifts away from

personality characteristics and focuses on technical, human, and conceptual skills. An example of skills leadership could be an individual with an accounting background providing direction to others in the area of municipal finance.

Situational leadership. The situational leadership approach focuses on leadership situations. Hersey and Blanchard (1969) explained that dissimilar leadership situations demand different kinds of leadership. Leaders must be able to adapt their leadership approach to fit the demands of the situations before them. The approach requires leaders to use both directive and supportive components. Situational leaders evaluate their employees and assesses how competent and committed they are to performing a given task. The leader then adjusts their direction and support to meet the changing needs of the individual and the organization. To be effective, situational leaders must be able to adjust their style to match the requirements of their subordinates.

Transformational leadership. Bass's (1985) transformational leadership approach posited that organizational change can emerge as a result of leadership's attempt to develop employees and transform their goals to match the organization's needs. Honesty and integrity can be viewed as an important part of a transformational leader's influence (Avolio, 1999; Bass & Steidlmeier, 1999). Transformational leaders are those who are charismatic, self-confident, visionary, morally inspiring, and able to motivate people to go beyond regular organization expectations (Burns, 1978; Bass, 1985). They focus on communicating a compelling vision, seeking different perspectives, challenging assumptions, and taking risks (Yukl, et al., 2002). Transformational leaders inspire elevated commitment to organization goals and create conditions where followers are more effective. Bennis and Nanus (1985) contend that transformational leaders

highlight the inspirational and vision building nature of their work and communicate a clear vision to their followers.

Transformational leadership's focal point is on improving the performance of followers. It is concerned with individuals' emotions, values, ethics, long-term goals, and standards. The leadership approach comprises assessing employees' motives, meeting their needs, and treating them respectfully (Bryman, 1992; Bass & Riggio, 2006). This type of leader motivates their followers to transcend their personal orientations (Bass, 1985). They guide their followers to identify with a collective goal (Fiol, Harris, & House, 1999). They also reduce their followers' uncertainty with change (Oreg & Berson, 2011).

In the transformational leadership model, the leader engages others and creates a personal connection with them in order to elevate the motivation and morality of both the leader and their followers. Kuhnert (1994) suggested that leaders exhibit a strong sense of inner purpose. They grant autonomy to their followers and develop their capabilities to pursue broad organizational goals. Transformational leaders are believed to transform individuals by raising their followers' understanding of specified and ideal goals, elevating employees above their own self-interest to better the organization, and gaining employee support to address higher organizational needs (Bass, 1985).

Transformational leaders strive to help employees reach their highest potential. This type of leader's behavior may play a role in helping to facilitate employees' acceptance of change (Bommer, Rich, & Rubin, 2005; Nemanich & Keller, 2007). The transformational leader can help their followers reframe their perception of change, viewing change as a new opportunity rather than a threat (Conger & Kanungo, 1998).

Transformational leaders can actively inspire followers by providing them with a compelling vision of the organization's future (Bass, 1985) and by challenging them to adopt innovative solutions to their problems (Berson & Avolio, 2004). Gioia and Chittipeddi (1991) indicated that managerial leadership's efforts to communicate a planned change helps build a cognitive consensus, which enables change to occur. Employee development, goal setting, and effective communication can contribute to successful change initiatives. Transformational leadership styles have been linked to negative health outcomes such as job-related stress (Seltzer, Numerof, & Bass, 1989; Sosik & Godshalk, 2000).

Transactional leadership. Transactional leadership differs from transformational leadership because it focuses on the exchanges that occur between the leader and their follower. In this model, the worker's performance is based upon the leader's ability to hand out punishments and rewards through their positional or organizational power (Graham & Robinson, 2002). Transactional leaders exchange things of value with their employees. Their objective is to advance the leader's and the employee's own agendas (Kuhnert, 1994). Transactional leaders clarify what is expected of employees in the way of task performance and the associated rewards for meeting those expectations; they anticipate task-orientated problems and take needed corrective actions (Derve, et al., 2011).

The transactional leadership approach lacks a focus on the employee's personal development and individualized needs. The transactional leader often limits their engagement with their followers to task related problems or to when challenges emerge. When there are no problems, the leader does not actively engage. The focus is on the

effectiveness of the leader over time (Bass, 1990). The transactional leader's influence appears to be directed in that it is in the employee's best interest to do as the leader wants (Kuhnert & Lewis, 1987). Transactional leadership practices may cause followers to question the sincerity of the positional leader's advocacy. Bass (1995) considered transactional leadership to lead to mediocrity because it is frequently linked to administering punishment and rewarding positive behavior.

Ethical leadership. Kohlberg (1969) indicated that most employees look outside of themselves for ethical guidance. Leaders are in an organizational position that enables them to provide guidance. Yukl (2002) indicated that leadership involves influence. Leaders in a hierarchy are usually observable and they may be able to focus their follower's attention on a particular behavior (Brown, Trevino, & Harrison, 2005). Ethical leaders can gain their followers' attention by making their ethics message salient enough that it stands out in the organization (Trevino, Brown, & Hartman, 2003). They can influence ethical conduct with their followers through modeling. They can also be important sources for modeling because of their assigned role, their status and observed success within the organization, and their power to affect the behaviors of others.

The ability to control rewards also contributes to a leader's modeling effectiveness (Bandura, 1986). Ethical leaders set ethical standards, reward ethical conduct, and discipline employees who do not follow their standards (Gini, 1998). Brown, Trevino, and Harrison (2005) suggested that leaders are in a unique position in that they can deliver justice because of their legitimate power in an organization, control of resources, and the important decisions they make that affect their employees. Leaders have the power and ability to make important employee-related decisions which can

shape work assignments, performance evaluations, pay, and promotional opportunities (Dirks & Ferrin, 2002). Leaders can create a just work environment by making decisions that are viewed by employees to be fair (Yukl, 2002).

A leader's ethical leadership characteristics include honesty and integrity (Hogan, Curphy, & Hogan, 1994). Ethical leadership builds its foundation in the development of justice, honesty, respect, service, and community within the organization (Northouse, 2007). Trevino, et al., (2003) discovered that leader behaviors that reflect a concern for people and the fair treatment of employees added to views of ethical leadership. The perception of ethical treatment may also be considered to extend beyond fair treatment to include principled decision making (Avolio, 1999), setting ethical follower expectations (Trevino, et al., 2003), and using punishments and rewards to hold employees accountable for ethical conduct (Gini, 1998). Ethical leaders are likely to be honest and considerate towards their followers, fair in their decision making, and to use rewards and punishments to promote ethical conduct. They are also likely to make decisions that are based on ethical values (Brown, et al., 2005).

Ethical leaders attempt to focus on issues of fairness and justice. Ethical leaders not only set clear standards, they also hold their employees accountable for following them (Gini, 1998). This type of leader uses a transactional form of influence that includes standard setting, performance appraisals, and rewards and punishments established to hold their followers accountable (Trevino, et al., 2003). The ethical leader strives to treat all subordinates equally. This type of leader endeavors to ensure that no one employee or subgroup receives special treatment. When an ethical leader treats an employee differently, the treatment should be fair and made clear to all individuals involved. The

objective of ethical leadership is for the leader and employees to work together in a common direction. The employee support of their leader may be based on fairness judgments, with their judging the actions of their leader against abstract criteria of fairness (Tyler, 1986).

Servant leadership. Servant leadership is a form of ethical leadership. It is similar to transformational leadership in that both encourage the leader and follower to raise each other to higher levels (Farling, Stone, & Winston, 1999). The difference between the two is that servant leaders are more likely to set the following priorities as their main focus with followers coming first and the organization second, they also place their own needs last (Graham, 1991).

Greenleaf (1977) advocated that servant leadership morally and ethically elevates both the leader and follower. Servant leaders are concerned with the have-nots within the organization. They are attentive to the concerns of their followers and empathize with them. Servant leaders consider employee welfare to be of utmost importance and the servant leader will attempt to remove organizational inequities and social injustices (Graham, 1991). Servant leaders use positive modeling to encourage followers to demonstrate consistency in what they do and say; they exhibit transparency about their limitations and engage in moral reasoning (Barbuto & Wheeler, 2006; Dennis & Bocarnea, 2005; Laub, 2003; Wong & Page, 2003).

Servant leaders encourage their follower's learning, growth, and autonomy (Bass, 2000). They respond to problems by listening first (Spears, 1995, 1998). The servant leader strives to understand and empathize with others, possesses the potential to heal both themselves and others, and develops a general awareness, especially their self-

awareness by listening. They seek to convince others rather than coerce, seek to nurture their own abilities, they dream great dreams, foresee or know the outcome of a situation in the future, care for the well-being of the institution while serving the needs of others, nurture others, and identify a means for building community. This form of leadership strives to reduce power and control while working to shift authority to the organization's employees.

Servant leaders can face three challenges. The first challenge is to consistently remain a true listener and empathetic to others. The second challenge involves being empathetic while being mutually collaborative. The third difficulty involves remaining collaborative when a leader must exhibit strength and perseverance (Tarr, 1995).

Team leadership. Katzenbach and Smith (2005) defined a team as a small number of people that possess complementary skills and are committed to a common purpose, set of performance goals, and approach for which they hold themselves mutually accountable. Team leadership requires the leader to have the ability to work with groups. They may facilitate social integration, efficient processes, and smooth communication within the team (Chen & Kanfer, 2006; Morgeson, DeRue, & Karam, 2010). The leader needs to be flexible and able to adapt to changing situations. Team leaders should provide the team with a wide range of actions and skills to meet the team's diverse range of needs (Barge, 1996).

A team's performance is contingent upon their team leader's developed mental models of the situations before them. The leader must be able to develop a model that describes the problem before the team and then work toward team-based problem solving. The team leader should strive to analyze both external and internal factors before

selecting and implementing the behaviors needed to ensure the team's greatest effectiveness (Fleishman, et al., 1991). Team leadership approaches should vary with the circumstances placed before the leadership team or support team. The leader's method should be dependent on what is needed to make the team most efficient. This type of leader also determines whether or not they need to intervene to solve the team's problems (Zaccaro, Rittman, & Marks, 2001).

Contingency theory and leadership. Fiedler's (1967) leadership effectiveness contingency theory was the first situational theory of leadership to emerge. Both Fiedler and Chemers (1974) considered contingency theory to be a leadership approach; they suggested leadership should match to appropriate situations. Contingency theories often focus on contingent reward behaviors (Waldman & Bass, 1990) and are concerned with organizational conditions, structure, and performance goals (Yukl & Howell, 1999). Contingency theory postulates that when understanding the performance of leaders, it is important to understand the situation in which they lead. Fiedler's contingency theory identified leader behaviors that proved effective in specific circumstances related to the nature of followers, the organization's climate, or the maturity of the organization. A leader's effectiveness depends on how well their leadership style fits the context of the situation they face. Fiedler's original contingency theory posited that a leader's score on his least preferred coworker scale was differentially related to their effectiveness as a leader, and this depended on the favorability of the situation for the leader to exert influence or control over the group. Situational control and favorability can be determined by contingency factors such as the leader's reaction to the group's membership, the degree to which the group's task is structured, and the extent to which

the leader has the ability to reward or punish employees (Schriesheim, Castro, Zhou, & Yammarino, 2001). From this perspective, the leader's performance can be based on the situation in which they lead.

Contingency theory situations are characterized by leader member relations, task structure, and positional power. According to Fiedler and Chemers (1974), leader member relation examples can include the group's atmosphere and confidence, loyalty, and the attraction followers feel for their leader. The group's atmosphere can be considered good when employees like, trust, and get along well with their leader. Task structure relates to the clarity of an employee's work requirements. Graham and Robinson (2002) suggested that leaders in formal positions of authority could master a number of leadership practices and use them in the appropriate context. This would help clarify the employee's task structure. Position power correlates to the amount of authority the leader has to hire and fire employees or to give raises. When viewing the contingency theory approach, a directive leadership style is appropriate when the leader has legitimate power due to their position, and if the job is structured and problems are simple to solve (Fiedler, 1964).

Path goal theory and leadership. Current versions of path goal theory reflect that it is individually oriented and does not address the effect the leader has on the group or work unit (House, 1996). Path goal theory typically correlates leader behavior descriptions which are gathered from subordinates and include outcome measures such as individual subordinate self-reports of satisfaction, role clarity, and organization commitment (Wofford & Liska, 1993). The theory suggests that employee performance and satisfaction can be enhanced by placing a focus on motivation. The leader's

motivational function can involve increasing the subordinate's personal payoffs with work goal attainment and by making the path to the payoffs easier to travel (House, 1971). The easing of employee's personal payoffs can be obtained through a number of leader behaviors such as instrumental and supportive leadership, and participation and achievement orientated leadership (House & Mitchell, 1974).

The leader's behavior can increase subordinate satisfaction to the point where subordinates see such behavior as either an immediate source of satisfaction or leading toward a future satisfaction (House & Dessler, 1974). This theory emphasizes the relationship between the leader's style and the characteristics of both the employee and the work environment. Path goal leaders strive to motivate individuals to accomplish specific goals by providing them with needed information or rewards (Indvik, 1986). Path goal leadership derives components from expectancy theory, which articulates that employees will be motivated in their tasks if they believe their efforts will result in specific outcomes, and if their rewards are worthwhile. In this leadership model, the leader's behaviors can be directive, supportive, participative, or achievement-oriented (House & Mitchell, 1974).

Leader-Member Exchange (LMX) theory and leadership. Leader-member exchange (LMX) is based on the assumption that leaders have different exchange relationships with different employees (Graen & Uhl-Bien, 1995) and should be viewed as a dyadic process (Dansereau, Graen, & Haga, 1975; Graen & Cashman, 1975). LMX theory suggests that leadership is a process that focuses on the interactions between leaders and their followers (Dansereau, Graen, & Haga, 1975). The approach examines

the relationship that develops and evolves between a leader and their followers as a result of their exchange processes over time (Graen & Uhl-Bien, 1995).

Leaders can have different relationships and intentions with each of their followers. Employees within the organization can be divided into those who have high or low quality exchanges with their boss. LMX suggests that employees may become part of an in-group or an out-group. Group member status is linked to how well the individuals work with their leader and how well their leader works with them. Employees who have high LMX appear to invest elevated amounts of effort and personal loyalty into their relationship with their leader, which in turn provides an elevated contribution to the unit and their leader's performance. Leaders often reciprocate their high LMX employees by providing them with increased social support, resources, and rewards (Schriesheim, Castro, Zhou, & Yammarino, 2001). High quality LMX is characterized by things like shared influence and mutual trust, respect, and an obligation between the leader and their subordinate (Graen & Scandura, 1987; Graen & Uhl-Bien, 1995). High quality LMX has been linked with positive work-related outcomes which include elevated subordinate performance, career progress, and job satisfaction (Gerstner & Day, 1997; Liden, Sparrowe, & Wayne, 1997).

In the low LMX setting, employees rely more on the formal exchange parameters present in the organization. They do not exceed normal work expectations and their leaders are less likely to provide them with increased resources or benefits (Schriesheim, et al., 2001). High quality LMX exchanges take time to develop as informal exchanges replace more formal ones. Research indicates that good LMX relationships are more likely to cause employees to experience better communications (Fairhurst, Rogers, &

Sarr, 1987) and increased confidence that their leader likes them (Dockery & Steiner, 1990). The relationship between the leader and follower can be impacted by a number of items, including individual characteristics and personality (Dansereau, et al., 1975).

The 14 leadership approaches are summarized in the following table.

Table 1 – Leadership Approaches		
Leadership Approach	Short Description	Authors
Positional Leadership	Individuals are leaders because of their formal positions within the organization. The leader’s decision-making positions can include legitimate, rewards, and coercive power.	Bass (1990); Fauqua & Newman (2007); Liao & Subramony (2008); Shukla (1982)
Emergent Leadership	Individuals are leaders because other employees perceive them to be influential, regardless of their position. This type of leader is often considered to be the opposite of the positional leader. The leader may be perceived as more dominant, intelligent, confident, informed, and seeking the ideas of others. It can exist within a positional leadership position.	Fischer (1974); Hogg (2001); Smith & Foti (1998)
Trait Leadership	The trait leader possesses special characteristics or unusual natural talents that match qualities highly needed in the specific setting. Traits can include self-confidence, sociability, determination, and integrity.	Bryman (1992); Stogdill (1948)
Style Approach Leadership	Leaders use personal leadership styles. This type of leader is distinguished from the trait approach by emphasis on the personality characteristics of the leader. The leader’s behavior is broken down into task and relationship behaviors.	Blake & Mouton (1985)

Skills Approach Leadership	Leaders possess personal leadership skills. This type of leadership approach is distinguished from the trait approach because of an emphasis on the skills and abilities that can be learned and developed. The leaders' effectiveness depends on their ability to solve complex problems.	Katz (1955); Mumford, et al., (2000); Yammarino (2000)
Situational Leadership	Leaders adapt their approaches to fit their employees' specific needs and the situation before them. This type of leader uses both a directive and supportive approach with employees.	Hersey & Blanchard (1969)
Transformational Leadership	Leaders are concerned with their followers' emotions, values, ethics, long-term goals, and standards. This approach involves assessing employees' motives, meeting their needs, and treating them respectfully.	Avolio (1999); Bass (1985); Bass & Steidlmeier (1999); Burns (1978)
Transactional Leadership	Transactional leadership's focus is on the exchanges that occur between the leader and follower. This type of leader exchanges items of value with their followers. There is limited focus on the employee's development and individual needs.	Kuhnert (1994); Kuhnert & Lewis (1987)
Ethical Leadership	Ethical leaders focus on the development of justice, honesty, respect, service, and community within the organization. The approaches foundation is fairness and justice. All followers are treated in an identical fashion.	Brown, et al., (2005); Gini (1998); Trevino, et al., (2003)
Servant Leadership	Servant leaders are attentive to the concerns of their followers and they empathize with them. Servant leaders take care of and nurture their followers.	Graham (1991); Greenleaf (1977)
Team Leadership	The team leader develops a model of the problem and works towards team-based problem solving. The method varies based on what must be done to make the team the most efficient.	Barge (1996); Fleishman, et al., (1991); Zaccaro, et al., (2001)

Contingency Theory	The leader must understand the situation they lead. The leader evaluates situations which involve member relations, task structure, and position power.	Fiedler (1967); Fiedler & Chemers (1974)
Path Goal Theory	The leader attempts to motivate individuals to accomplish specific goals by providing them with information or rewards. The leader's behaviors may be directive, supportive, participative, or achievement oriented.	House (1971); House & Dessler (1974); House & Mitchell (1974)
Leader Member Exchange Theory (LMX)	LMX focuses on interactions between the leader and follower. There is an in-group and out-group. Group member status is linked to how well individuals work with their leader or how well they like each other.	Dansereau, et al. (1975); Graen & Uhl-Bien (1995)

Source: Based on Northouse's (2007) work

Literature Review Summary

My first phase of the literature review process presented me with an overview of the literature and helped me prepare for participant interviews. My initial literature review enabled me to gain a better understanding of the change theories that exist, the challenges that a leader may face when leading change, and the major leadership approaches that have been studied. The first phase of the literature review aided me in my interview question development and the formulation of subsequent follow up interview questions.

The first phase of the literature review reflected an absence of research on the experience of municipal positional leaders leading organizational change. The broad range of leadership experiences that can be associated with leading organizational change makes this research an important area of inquiry. This case study's exploration provides a needed link between the existing knowledge of leadership and organizational change.

This research adds to the current body of knowledge on leadership and the ways in which it relates to implementing organizational change.

Chapter Three

Research Methodology

Introduction

The objective of this case study was to understand the experience of municipal leaders implementing organizational change. This chapter is organized into seven sections: (a) methodology, (b) municipal case demographics, (c) selection of the municipal case, (d) selection of participants, (e) data collection method, (f) data collection, and (g) data analysis.

Case Study Research Methodology

In conducting this research, I wanted to learn about the experiences of 12 positional leaders who were leading change within a municipal government setting. I wanted to better understand their perception and individual truth of what leading change was like for them. The epistemology of constructionism holds that truth or meaning comes into existence from our engagement with the realities in our world. Meaning is not discovered, but constructed. Different individuals may construct meaning in different ways, even when it relates to the same phenomenon (Crotty, 2005). Reality is socially constructed and does not exist independent of the need of the actors involved in the social world (Burrell, Morgan, & Morgan, 1979). Realities are constructed and sustained by the observation of social rules. Social rules are created by the social interactors involved. Social reality is a function of shared meanings and is constructed, sustained, and reproduced through social life (Greenwood, 1994). Social construction interpretive research is based on the belief that reality is socially constructed by the individuals involved in the social world being studied (Creswell, 1998). Crotty (2005) suggested that

without culture we could not function. We depend on culture to direct our behavior and organize our experience. The 12 participants' experiences were developed through their social interactions with their supervisors, peers, subordinates, families, and the community in which they lived. Their experiences were also influenced by the municipality's culture and the surrounding community's culture. To lead change, each participant had to work in a number of settings with several different people in the municipality. The leaders worked with continually changing supervisors, changing leadership cabinet membership, concerned subordinates, the union, community members, and suppliers. I believe the participants' realities of the world were constructed by the cultures in which they worked and in their interactions with others.

Qualitative case studies are an intensive, holistic, descriptive analysis of a single instance, phenomenon, or social unit (Merriam, 1998). Stake (1995) suggested that case study is the study of the particularity and complexity of a single case, where the researcher comes to understand its activity within important circumstances. For the most part, cases are people and programs. We are interested in them for their uniqueness and commonality. Case study is selected when the researcher is interested in a particular case and wants to learn about the particular case because they have an intrinsic interest in the case. The case study researcher seeks to develop a general understanding and is not seeking to learn about other cases or some general problem.

In conducting this research, I wanted to learn: What is the experience of leaders who lead organizational change? My interest in conducting this research was to develop a deeper understanding of the experiences of the 12 positional leaders who sat on the leadership cabinet of a municipality and were leading change within their organization.

Stake (1995) suggested that case study is not sampling research and that we do not study a case primarily to understand other cases; our obligation is to understand the case. An intrinsic case is preselected. He further indicated that a constructivist view places emphasis on the description of things readers ordinarily pay attention to, particularly places, events, and people, and the interpretations of the people most knowledgeable about the case. I had both familiarity with and an intrinsic interest in the selected municipality because I had previously served as an elected official in a similar type of administration and regularly followed media reports about the challenges facing its leaders. In conducting this research, I was not looking to develop generalizations which would apply to other organizations or leaders. I wanted to learn the interpretations of the municipality's 12 positional leaders. I wanted to focus on thick description and to study the emergent themes that developed from the research participants' interviews. My intrinsic interest in the municipality and its leaders, and what I hoped to accomplish, made case study an appropriate selection.

Municipal case demographics. The municipality studied is located in the Midwest. Based on 2008 U.S. Census Bureau data, the community had a population of just fewer than 90,000 residents with a median age of 35.4 years. The population had only a 2.95% change increase since 1990. The gender of the population was almost equally divided, with there being slightly more females than males; the majority of the population was white. The low risk of personal crime placed the quality of life above the national average. A number of small communities had built up around the community, and there were many individuals who commuted into the city to work. The municipality covers approximately 69 square miles and has an aging infrastructure that needs repair. A

broad range of issues such as street maintenance and sewer repair regularly challenge the municipality's budget. The limited ethnic composition of the selected community may inhibit the number of diversity-related circumstances impacting the municipality's leadership. Table 2 shows a summary of municipality demographics.

Table 2 – Summary Chart of Municipality Demographics	
Community Population	Just Under 90,000
Population Median Age in Years	35.4
Males	48%
Females	52%
Race	93% White 7% Other

Source: U.S. Census Bureau (2008)

Selection of the municipal case. The municipality employed 888 people at the time of the study. During the time of the study 827 individuals were employed full time, 11 were employed part time 13-hour PELRA exempt, 11 were seasonal, 3 were temporary 100-day employees, 25 were temporary 67-day employees, and one student intern. See Table 3 for a summary of the municipal case.

Table 3 – Summary Chart of Municipality Employment	
Full-Time Employees	825
Seasonal Employees	11
Temporary 100-Day Employees	3
Temporary 67-Day Employees	67
Student Intern	1

Source: Municipality's Human Resource Department (2010)

I believe the size and composition of the community made the municipality a good selection for study because a community smaller than the one selected may not have employed enough municipal staff and positional leaders or provided a broad enough range of services to supply a rich base for data collection.

I had an intrinsic interest in the case; it presented me with ease of access and accessibility, and it was easy to get to and hospitable to my inquiry. My ease of access was due to the case's physical location. I possessed an informal relationship with some of the organization's leaders, and this made it possible for me to gain sufficient access to gather data, interview people, review documents and records, and make observations. My relationship with the organization's leadership made the organization hospitable to my inquiry. Additionally, the municipality appeared frequently in the print media with ongoing discussions about the financial and structural challenges it faced. To the general

public and myself, it had appeared there were significant changes occurring or about to occur in the organization.

The municipality was also selected because it operated under what is known as a strong-mayor form of government. In the strong-mayor form of government, the mayor is publicly elected and becomes a full-time employee of the municipality. The mayor acts as the head of the organization and its administration. The mayor sets organizational direction and has the ability to hire and reduce administrative staff. In this organization, the mayor was employed in the top leadership position. The municipality also employed a chief administrative officer to manage the organization's daily operations under the direction of the mayor. The municipality's city council was employed part-time, and their decisions were limited to policy and final budget approval. City councilors were not involved in administrative management decisions. The strong-mayor model clearly identified the leaders of the organization and simplified the understanding of organizational operations.

Selection of participants. During my diverse leadership career, as indicated in Chapter 1, I noted that the majority of organization changes were led by individuals working in formally assigned leadership positions. Similar to my notation, Boyd (2009) suggested that the change message needs to come from a level above that of the population impacted by the change. If the change is intended to occur across an entire organization, at least one change agent needs to be in the highest levels of the organization. If change is to occur in a single department, at least one change agent should be at the supervisory level of the department. I believe these positions include, but are not limited to presidents, chief administrative officers, directors, department heads,

and other managers, or those who may be invited to be a part of the organization's leadership cabinet. This case study's research participants were selected because of their accessibility and because they were or had recently been positional leaders within the municipal organization. The case study's selected participants had all held positions in the organization's leadership cabinet and had been active in the organization's change-related decision-making processes.

I used purposeful sampling interviews because it provided me with the means to investigate the specialized population of positional leaders employed in the municipal organization. Arthur, et al (2004) suggested that the "blind spot" in understanding leadership is in understanding experiences. The interviewing of the selected participants enabled me to obtain an in-depth understanding of the perspectives of all the organization's positional leaders. I sought and received approval to interview all of the organization's positional leaders, if they were willing to participate, from the organization's two top positional leaders—the mayor and chief administrative officer.

Data gathering and analysis also included the organization's budget-related documents, city council meeting minutes, and related news coverage. The mayor and chief administrative officer asked that I provide them with a final copy of the completed dissertation for organizational self-improvement purposes. The chief administrative officer referred me to the human resource department, where I acquired a listing of all department heads and managers who were on the organization's leadership team. I called each potential participant on the telephone and explained the purpose and nature of the study, the organization's anonymity, and their personal confidentiality. Each potential

participant that I contacted agreed to participate in the study. I followed each phone call with a mailing that restated what had been discussed on the phone.

The purposeful sample for this study included 12 participants. The 12 participants were purposefully selected because their positions included the current mayor, current chief administrative officer, a recently retired chief administrative officer, the city attorney, the director of public administration (a former chief administrative officer), the police chief, the fire chief, the director of public works and utilities, the manager of human resources, healthcare, and safety, the director of libraries, the director of parks and recreation, and the director of administrative services. The selected sample provided me with the perspectives of every experienced leader from each department within the organization. All of the research participants had led some form of organizational change within the same government municipal case setting. The sample participants for this case study included organization members with years of diverse experience within the organization as well as a number of new hires with less than two years of organization experience.

Data collection method. Stake (1995) suggested that the two principal uses of case study are obtaining the descriptions and interpretations of others. Each subject is expected to have had unique experiences and stories to tell. A case study's purpose is not to get simple yes and no answers, but rather a description of an episode, linkage, and explanation. The primary instrument used in this case study was in-person semi-structured, open-ended interviews. Merriam (1998) defined semi-structured interviews as interviews that evolve from inquiry composed of a mix of both structured and unstructured questions. McMillan (2004) further suggested that semi-structured questions

do not have predetermined structured choices. Rather, the questions are open-ended yet specific in intent, allowing for individual responses. Open-ended questions allow the respondent more freedom and creativity to respond to the questions asked (Sowell & Casey, 1982). I believe the use of the in-person semi-structured interview approach enabled me to acquire reasonable data across all participants. The semi-structured format allowed me to probe participants' answers more deeply and to gather more information than a structured interview format would have allowed. The semi-structured interview format provided me with the capability to acquire more accurate participant responses because I was able to answer their questions and follow up leads with further probing. The in-person, semi-structured interview approach permitted me to observe participants' nonverbal responses and behaviors and determine the need for further questioning. Careful probing and response clarification increased the study's subjectivity.

The second instrument used in this case study was document and media review. Stake (1995) indicated that documents can serve as substitutes for records of activity that the researcher could not observe directly. Patton (2004) further suggested that documents constitute a rich source of information about organizations. He indicated that documents provide information about things that cannot be observed. He further stated that document review can stimulate paths of inquiry that can be pursued only through direct observation and interview. Document review enables the researcher to ask interview questions that may not have been asked (Patton, 2004). Yin (2003) stated that documentation can provide a stable source of information and is unobtrusive because it is not created as a result of the case study. The information contained in documents can cover many events over a long span of time and can contain exact information. Budgetary

documents, city council meeting minutes, and newsprint media were used to add context and clarification to the statements made by the research participants.

Data collection. The first step in this case study's data-collection approach involved my contacting the case municipality's two top positional leaders, the mayor and the chief administrative officer. The mayor in the municipality's strong-mayor form of government was the full-time elected official charged with leading the administration. The chief administrative officer was the full-time head civil servant who led the administration under the direction of the mayor. During two separate in-person meetings, I explained the purpose and nature of the study. I indicated which positional leaders I wanted to interview and stated that the organization's name would not be revealed. I indicated that the individual participants' responses would remain confidential so that no comments could be linked to a specific individual. I stated that I would need access to meeting minutes and a copy of the city budget. Both the mayor and chief administrative officer approved the municipality's participation in the research. They both agreed to partake in the study. The chief administrative officer directed the human resource department to provide me with a leadership team contact list. The municipality also provided me with contact information for a chief administrative officer who recently had departed the organization.

Phase 1. The first phase of data collection involved the testing of my interview guide. Interview guides and procedures should be tested so as to acquire, as best as possible, unbiased data. I used the test interview to gather data, look for possible communication problems, search for potentially threatening questions, check the wording of the interview questions, note if there was possible limited motivation on the part of the

participant, and to test the tape-recording method I would be employing during the second phase of the study. I also used the test interview results to further refine the interview questions, which were to be used in phase two of the study.

For the test interview, I reviewed the municipality's leadership team listing and selected one potential participant. I contacted the individual in-person, during work hours, to explain the purpose and nature of the case study, participant confidentiality, and municipality name confidentiality, and to describe the obligation and commitment that would be involved with participating in the study. I explained that the study's results would be focused on emergent themes. I shared that I would contact that person later if further questions emerged, to review the transcripts and my final interpretations. I explained that the person's feedback would provide me with a form of member checking and clarified that it is not promised that the participant's version will appear in the final report. The individual agreed to participate in the study and we set up an interview to take place in the participant's office in December of 2009. Prior to our meeting, I mailed the test interview participant a packet containing two copies of the case study participant release agreement (Appendix B). I asked the participant to review the document and contact me with any questions. If the participant had no questions, I asked that one copy of the signed document be mailed back to me in the included self-addressed and stamped envelope. The packet also contained a letter (Appendix A) that restated the purpose of the study, the verified time, the location of our meeting, and a listing of the proposed core research questions.

The specific test interview questions were:

Question 1. How long have you been in leadership positions in your career and in this organization?

Question 2. What positions have you held in this organization?

Question 3. How long have you been involved in the change process?

Question 4. Describe your type of leadership style. How has this affected your leadership decisions?

Question 5. What type of organizational change have you implemented throughout your leadership position here or been involved with? Describe the process you used and the experience. How did this affect you? What would you have done differently?

Question 6. What else would you have done differently?

Question 7. What suggestions would you give others?

Question 8. Has your involvement in leading organizational change had any impact on your family life?

Question 9. What else do you want me to know about leadership, organizational change, and anything else?

Prompts:

Can you tell me a bit more about that?

How did the situation come about?

Tell me what you are thinking.

How did you feel?

Probes:

What do you mean by...?

What was the outcome of the situation?

What did you do?

I provided the test interview participant with core interview questions to enable them to reflect on the topic of interview discussion, so that they could be better prepared, more reflective, and comfortable with the line of interview inquiry. The packet additionally included a consent form (Appendix C). The consent form explained the option for participants to remove themselves from the research process.

In preparation for the test interview, I contacted a transcriptionist who resides hundreds of miles from the case study and contracted her to transcribe all of this case study's interview tapes. I explained that the transcripts were to be transcribed verbatim and what that meant. I explained the need for confidentiality and what that meant. I provided the transcriptionist with two copies of a transcriber confidentiality agreement (Appendix H) and asked that she sign one copy and return it to me in the provided self-addressed envelope. I acquired two high-quality tape-recording machines and tested their audible pickup capabilities. I used two tape recorders during all interviews to ensure the accuracy of sound pickup and to provide a redundant recording method in the event that one of the devices should fail. I created the core list of phase one interview questions (Appendix D) and produced an interview protocol (Appendix F) to help me maintain uniformity in the way I conducted all interviews.

Patton (2004) suggested that an interview guide helps to make sure the interviewer has carefully decided how best to use the limited time available in an interview situation. To mentally prepare for the interview, I set aside an hour prior to my departure for the interview location and engaged in a reflective process. As Moustakes

(1994) suggested, I set aside my prejudgments related to my experiences and beliefs related to the topic of study. I strove for a transcendental state of openness to enable me to view things in an open unfettered fashion. During my personal reflection, I recorded how my prior experiences and perceptions might impact the interview. I further reflected on how these might affect my perception and understanding of what I would hear. I used the personal reflection process to help ensure I did not lead the participant to guided responses. My focus was solely on the research topic and questions.

I arrived at the test interview participant's office fifteen minutes early and was invited in and seated at a large table next to the individual's work desk. I indicated that I would require a little time to prepare for the interview. Stake (1995) suggested that to develop vicarious experiences and a sense of being there, the physical situation should be described. The entryways, the rooms, the landscape, and the hallways should be recorded. I made preliminary written observations about the participant's office and included such items as the date, time of day, weather conditions, the furnishings, lighting conditions, window locations, and view from the window. I recorded the participant's type of apparel and general appearance. I then coded and placed fresh tapes in the tape recorders and checked their functionality. I placed the two tape recorders on the table in between where the two of us were to be seated.

Stake (1995) suggested that the interviewer needs to have a strong advance plan. It can be difficult to get the right questions asked without adequate preparation. In following Stake's recommendations, I placed my interview protocol (Appendix F) and list of interview questions (Appendix D) to one side of me and placed two copies of the research consent form (Appendix C) in between where the two of us would be seated.

When I was prepared, I indicated that I was ready and the participant walked over and sat at the table across from me. We did not have a distance between us greater than four feet.

Patton (2004) indicated that it is important to build rapport with the individuals being interviewed and further suggests it is important for participants to feel the researcher will not judge them for what they say. Rapport is built on the ability to convey empathy and understanding without judgment. McMillan (2004) indicated that proper rapport with the subject can enhance participant motivation and that information can be obtained that may not have been offered. Before the interview began, we chatted for a while about the weather, vacations, and other introductory items to build participant comfort and trust. I strove to develop rapport with the participant. The conversations helped to develop participant comfort, familiarity, and trust. I needed to convey to the participant that their knowledge, experience, attitude, and feelings were important. Rapport was built by engaging in small talk. I turned on the tape recorders and introduced myself. I explained the nature of the study and its purpose and shared that the interview was being tape recorded. The use of tape recordings increased the accuracy of data collection and permitted me to be more attentive. I indicated that the tape recording would be transcribed by an individual who had signed a confidentiality agreement. Geertz (1973) suggested verbatim transcripts assist with the development of thick description of the particular perceptions of the actors. Patton (2004) further suggested that the raw data of interviews are the actual words spoken by interviewees. I explained to the participant that the transcription would be verbatim and would reflect pauses, ah's, um's, clarification questions, and other events to richly reflect the context of the conversation. I indicated the municipality would remain anonymous and participant

confidentiality would be maintained. I explained the procedures by which anonymity would be ensured. I shared that participant confidentiality would be maintained through the use of coding and what that meant. I stated that reinforcing participant quotes would be used in the final dissertation and that the origin of the statements would not be revealed. The purpose of the interview was to record as fully as possible the interviewee's perspective. Note-taking enabled me to formulate new questions, facilitate later analysis, and observe participant behaviors and patterns. Direct quotations from the participant provided me with a basic source of raw data, revealing the respondent's depth of emotion, their experience and perception, the way they had organized their world, and their thoughts about what had been happening. I indicated that individual and department names would not be transferred to the final dissertation quotes. I explained that I would take notes during the interview to assist me with recording my observations. I explained that I would be reviewing the transcripts to look for commonalities which might lead to the development of emergent themes.

Stake (1995) suggested that the search for meaning is a search for patterns existing within certain conditions called correspondence. For evidence critical to my assertions, I isolated the most pertinent repetitions and correspondence. I pointed out what the test interview participant's coding letter would be and asked if there were any questions. I asked the participant to please explain to me their understanding of what the study was, how the data would be used, and what confidentiality meant. When I was certain the participant understood the nature and purpose of the study, I verbally reviewed the research consent form (Appendix C) and we signed and dated all copies. The

participant kept one copy of the signed consent form, and I placed the other in my participant document file.

I asked the test interview participant if they were ready to begin and was informed I could begin. I asked the participant the developed interview questions (Appendix D) and used the prompts and probes listed in Appendix D to further my information-gathering. I followed the interview protocol (Appendix F) closely. During the interview, I periodically looked at the tape recorders to ensure they were functioning properly. Patton (2004) suggested that the use of tape recorders does not eliminate the need for taking notes, but it does allow you to concentrate on taking strategic and focused notes, rather than attempting verbatim notes. In addition to tape recording, note-taking can facilitate data analysis (Gall, Borg, & Gall, 2007). I wrote down my participant observations and thoughts as they occurred to me. When the participant brought new topic information to the interview, I listened intently and asked follow-up probing and clarifying questions. The interview consisted of free-flowing discussion. When the interview concluded, I thanked the participant and explained that I might contact the participant with more questions or to clarify what they had discussed.

McMillan (2004) indicated that reliability can be increased by sending transcripts to each subject and giving subjects an opportunity to add or revise them to increase accuracy. I stated I would send the participant an electronic mailing (Appendix G) with an attachment containing the interview transcript and asked that the participant please review the document for accuracy, the possible need for further clarification, and any additional thoughts. I asked the participant to make any possible transcript updates in red font and to send it back to me via electronic mail as an attachment. I indicated I would be

asking the test interview participant to review the final dissertation to gain an additional perspective on whether or not I had interpreted that participant's comments correctly.

Member checking ensures the emic perspective is represented, that is, reality has been constructed by the individuals studied. Member checking allows participants to make sure the final report is accurate and complete (Gall, Borg, & Gall, 2005). Involving participants in all phases of the research increases validity (Gall et al., 2007). I thanked the participant and gathered up my possessions and excused myself.

Stake (1995) suggested that it is important to provide ample time and space immediately following an interview to prepare interpretive commentary. Patton (2004) further suggested that the immediate post-interview review is a time to record details about the setting and your observations about the interview. Following the interview, I immediately located a quiet area in the building, sat at an open table, and wrote down my post-interview thoughts, perceptions, and observations. I then left the site.

When I returned home, I tested the tape recordings for quality and placed one tape recording in a secure file. I mailed the second interview copy to the transcriptionist for transcription. When I received the transcript from the transcriptionist, I reviewed it and found I had no questions. McMillan (2004) suggested that qualitative reliability can be enhanced by ensuring the accuracy of what is recorded. Stake (1995) further suggested that participants play a major role by directing as well as acting in a case study; they regularly provide critical observations and interpretations, sometimes making suggestions. Participants help to triangulate observations and interpretations. I used participant feedback as a form of triangulation and member checking. I sent the participant, via electronic mail, an explanatory letter (Appendix G) with an attached

interview transcript. The participant reviewed the transcript, made corrections, clarifications, and updates, and returned the revised transcript to me as an electronic-mail attachment. I reviewed the participant's transcript additions, found I had no questions, and saved the updated document as a final transcript.

I reviewed the test interview participant's transcript and found it rich with data. I did not note any interview communication problems, perceived threatening questions, or question-wording errors. The participant was highly motivated and provided information without hesitation. I noted that I had not asked the test interview participant's age and added that to my list of phase two interview questions (Appendix E). I contacted the test interview participant and learned the participant's age. During the interview, the participant spoke at length about personal difficulties in communicating and interacting with a supervisor. The participant elaborated on the impact of interactions with that supervisor. Based on the test interview, I felt it was important for me to explore supervisor communications and interactions with all of the study's participants. I added "What have your communications/interactions been like with your supervisor?" to the list of phase two interview questions (Appendix E).

Phase 2. The first phase involved one test interview participant. The second phase of data collection employed the recruitment and interviewing of eleven positional leaders. Ten were employed by the organization at the time of the study and one was a recently retired chief administrative officer. Participants involved in phase two responded to interview questions that were based on data collected during phase one of the study. Phase two interviews included two additional questions that were not in the phase one test interview. The new phase two interview questions (Appendix E) were "What is your

age?” and “What have your communications/interactions been like with your supervisor?”

I contacted each of the ten employed potential phase two case study participants by telephone. I followed the participant recruitment and information-sharing procedures that were developed and adopted in the phase one test interview. I indicated the obligation and commitment that would be necessary if they elected to participate in the study. All ten of the employed positional leaders agreed to participate in the study, and I scheduled office interviews with them. The interviews occurred during a three-week period in February and March of 2010.

I contacted the twelfth participant, a retired chief administrative officer by electronic mail. I followed the electronic mailing with a telephone call. I provided the retired chief administrative officer with information and documentation identical to that I had provided the other participants. The former chief administrative officer agreed to participate in the study, and we set up an interview. The interview occurred during the same time period as those of the other phase two participants. All of the participants were mailed the same information and documentation packet as the test interview participant. The interview question list provided to the participants was updated to reflect the two new questions (Appendix E). I prepared for each interview in the same fashion as I had in the test interview.

I arrived at each participant’s interview location fifteen minutes early. The ten employed positional leaders had me sit across from them at their office desks or at tables near their desks. The retired chief administrative officer met with me at an Elks lodge. We sat at a corner table removed from everyone. The Elks lodge was quiet, and there

were only two other patrons in the establishment. I followed the interview protocol (Appendix F) and process identical to that used in the phase one test interview. When I completed each interview, I reminded participants I would be contacting them for transcript review and further questioning and to comment on their parts in the emergent themes to make sure I got what they were saying correct. I thanked them and left the site. I followed the post-interview process I used during the phase one test interview. I secured one set of interview tapes and mailed the second set to the transcriptionist for transcription. I received the transcripts back in four weeks. I reviewed the transcripts for clarity and had participants review and update their transcripts in the same fashion I had used during the phase one test interview. I reviewed the participants' updated transcripts and secured them using the same protocol as in the phase one test interview.

Phase 3. The third phase of data collection included acquiring copies of the municipality's operating budget and related city council meeting minutes from the municipality's administration. Local newsprint media were also collected. Documents can be used to verify or support data obtained from interviews and observations (McMillan, 2004). Documents can be analyzed for *frequencies* or contingencies (Stake, 1995). Newsprint media were collected for a time period that provided a five-year historical context up to and including the time of the study.

Data Analysis

Stake (1995) suggested that the qualitative researcher should concentrate on the instance, trying to pull it apart and put it back together more meaningfully. Themes from the data were compared to existing literature on leadership theory and change theory. Using a constant comparison method (Stake, 1995), all of the participant interviews were

compared to each other to look for similarities and differences. Stake (1995) indicated that researchers should analyze text materials with a sense of correspondence, isolating and coding the most pertinent repetitions. In this case study, I formed categories and coded phrases by writing brief statements in the margins next to the related content. I color-coded similar items to highlight the different themes that emerged from the data. I determined emergent themes for each research question, and compared those themes to each other and across interview questions for further analysis. I strove to derive issue-related meaning from the aggregate.

My primary task was to come to understand the case. I wanted to ensure validity in the way I was investigating the recorded data. I used a rigorous data-analysis design that sought out counter-patterns and the convergence of data themes. Lincoln and Guba (1985) suggested triangulation as a process used to address questions of validity. Denzin (1978) identified three basic qualitative forms of triangulation: data triangulation, investigation triangulation, and theory triangulation. According to Denzin, investigator triangulation is defined as the use of several different evaluators. In this case study, the research participants reviewed their transcripts for accuracy and reviewed my findings to validate my interpretations.

As a second measure to ensure validity, I worked with two University of St. Thomas organization development doctoral candidates, who independently reviewed my work to see what emergent themes they could observe. I did not provide the doctoral candidates with my findings to ensure they independently viewed the information with fresh perspectives. My approach follows Stakes' (1995) recommendation that other researchers be invited to look at the same scene.

In a third measure taken to ensure validity, I entered the interview transcripts into a Qualrus qualitative coding program that allowed for the aggregation and disaggregation of the data according to criteria I identified. While working with the Qualrus software, I received assistance from an individual in the technical support department at Ideaworks Incorporated. The Ideaworks representative and I both signed two separate confidentiality agreements (Appendix I and J). I used the following coding segments with the Qualrus software: accountability, addressing existing problems, age, client relationship, authoritarian leadership, budget, collaboration/involvement with others, comfort level, communication, career, decision making, difficulty/challenges, educating/teaching, employee relations, empowering people, family, inspire/motivate others, intimidation, impact of leadership turnover, knowledge/information, organizational change, participation/collaborative leadership, personal effect, planning, public image, relationship with supervisors, resistance to change, restructuring, self-image, suggestions, time spent in leadership positions, trust, and union issues.

Table 4 – Summary Chart of Coding Segments			
Accountability	Addressing Existing Problems	Age	Client Relationship
Authoritarian Leadership	Budget	Collaboration/ Involvement With Others	Comfort Level
Communication	Career	Decision Making	Difficulty/ Challenges
Educating/Teaching	Employee Relations	Empowering People	Family
Inspire/Motivate Others	Intimidation	Impact Of Leadership Turnover	Knowledge/ Information
Organizational Change	Participative/ Collaborative Leadership	Personal Effect	Planning

Public Image	Relationship With Supervisors	Resistance To Change	Restructuring
Self-Image	Suggestions	Time Spent in Leadership Positions	Trust
Union Issues	n/a	n/a	n/a

The feedback provided by the two doctoral candidates and the Qualrus software was similar to the findings I had derived through my independent coding process. The doctoral candidates and the Qualrus software produced no significant differences from my findings. Quotation sentences were selected which reflected the common themes or that revealed insight into the case. As suggested by Van Manen (1997), core themes were bracketed so that the research was rooted in the case under investigation. As recommended by Moustakes (1994), participant statements were balanced so that each statement was treated equally. Irrelevant items and repetitive overlapping statements were deleted so that only the textual meaning remained. The textual meanings were then clustered.

Data triangulation was accomplished by reviewing data sources beyond the interview transcripts. I reviewed the municipality's budget, city council meeting minutes, and local newsprint media and analyzed the documents for emergent themes, and the convergence or disconvergence of data in relation to the interview transcript data. Stake (1995) recommended that researchers look outside their data to determine if a case remains the same at other times, in other spaces, or as persons interact directly. Data triangulation is used to determine if what is observed carries the same meaning under different circumstances (Stake, 1995). Budgetary data, council meeting minutes, and newsprint articles produced supporting context for the findings articulated by the research

participants. As Denzin (1978) suggested, literature was used in an integrative theory-triangulation-review fashion to note the existing state of knowledge related to leadership, organization change, and their implications to the experience of leaders.

Summary

This chapter described the methodology of this case study. The municipality was selected because of its size, the composition of the community, convenient access, my intrinsic interest in the case, and because it was hospitable to my inquiry. The case also provided me with a rich source of newsprint media documentation. I purposefully selected participants that were or had recently been positional leaders on the organization's leadership cabinet. The methods of data collection were in-person semi-structured interviews and document and local print media review. The phase one test interview, phase two study, and phase three document review process were discussed. Finally, the methods used for data analysis were presented. The results of the data analysis are presented in Chapter 4.

Chapter Four

Presentation and Analysis of Data

The purpose of this case study was to understand the experiences of positional leaders leading organizational change in a local municipal form of government. The question I researched was “What is the experience of leaders who lead organizational change?” To gain a better understanding of the case study’s positional leader experiences, I conducted in-person semi-structured open-ended interviews with 11 of the organization’s top positional leaders and one recently retired chief administrative officer. The selection of the 12 participants required their all having held assigned leadership positions in the organization and its leadership cabinet and their having been active in change-related decision-making processes.

Specifically, I wanted to learn if the case study’s leaders shared common leadership styles, what types of changes they had implemented, and what process(es) they had used. I wanted to learn what they might have done differently and what suggestions they might have for others. I also wanted to better understand how leadership turnover affected other leaders within the case study organization. Additionally, I wanted to learn if the change process affected the participant leaders and their personal lives. I addressed the overall research question by using in-person, semi-structured, open-ended interviews with 12 positional leaders employed or recently employed by a municipal government that was experiencing budgetary shortfalls and significant organizational change. In addition to the participant interviews, I used document and media newsprint review and analysis to inform the research question. This chapter presents the results of the data analysis from the participant interviews and document review. The qualitative analysis

included the analysis of data for emergent themes and differences, coding, categorizing, and constant comparison. Interview text materials were analyzed with a sense of correspondence. Emergent themes were determined for each research question, and those themes were compared to each other and across interview questions. The objective was to understand the case. Two doctoral candidates from the University of St Thomas's Organization Development program independently reviewed the data for noted theme validation. Qualrus qualitative software was also used for secondary coding. The municipality's budget, city council meeting minutes, and local newsprint media provided convergence or disconvergence of interview data.

My intent in conducting this research was to obtain a deeper understanding of the experiences of positional leaders within the bounded municipal case. Following are the responses gathered for each of the research questions. For confidentiality purposes, all of the participants in this study are identified by the alphabetical letters A through L.

Interview Setting

Stake (1995) suggested that the case study setting and physical situation should be described. He indicated that researchers should develop vicarious experiences for readers to give them a sense of "being there"; therefore the physical situation should be described in detail. Stake advocated describing the entryways, the rooms, the landscape, the hallways, and the decor. The case study participant interviews occurred at four different municipality-owned buildings. The majority of the interviews occurred within city hall.

City Hall. City hall is a historic four-story structure that was built in the late 1920s. The building sat in a beautiful courtyard. The building had preserved much of its historic past and had a rich facade constructed of stone and plaster. The main-floor entry

area contained paintings of the municipality's former leaders; upon entry, it gave me the feeling of being in a miniature United States Capitol. The lighting fixtures on the main floor appeared to be from the period of the building's construction, and they produced a low level of lighting. The darkness of the area gave me a somber feeling. The main floor was open and had an almost courtyard like appearance. The main floor had stone stairs and elevators to the upper floors of the building. The upper floors retained much of the appearance of their original period of construction. The walls and ceiling were of plaster construction painted in cream tones. There is a lot of dark wood trim in the hallways. The combination of the dark trim, low light levels and cream paint continue the dark appearance and somber feeling of the main entry.

Fire Hall Number One. One of the participant interviews occurred at Fire Hall Number One, which was located within a block of city hall and had a 1970s construction feel to it. The terrain in the area had a very steep grade. The facility was three stories high, with the north and south entrances located on different levels of the building. The bottom floor of the south side of the building was lined with large fire-truck doors. The north side of the building was also lined with large fire-truck doors, which opened to the second floor of the building. When entering from the north side, I came across a desk and was greeted there by a fire-fighter. The desk area looked like the fire department's version of a reception area and possibly the main telephone answering service for the building. The fire chief's office was located on the third floor of the structure, and I climbed a narrow stairwell to get there. The stairwell was covered with a yellow tile material, and I had the feeling I was in a locker room. At the top of the stairwell, a series

of desks and offices lined either side of a hallway. The atmosphere was somewhat sterile and cramped, and I found myself glad that it was not my work setting.

Main library. The manager of library services interview occurred at the municipality's main library. The library was located within two blocks of city hall and occupied an entire city block. The building's architecture had a modern-art feel to it, created in part by the metal panel siding on its exterior. The building had three levels, with one entrance on the lower level facing south. The main entrance was on the middle level, which faced north and the third floor had no exterior entrances. When I entered the building through the main doors, I found the book security systems typical at many libraries. The building was brightly illuminated by fluorescent lighting and had a cheerful feel to it. The manager's office was located on the first floor of the building, and I had to walk downstairs from the main entrance to reach it. The lower floor of the building appeared to be used for office and storage space.

Municipal community center. The office of the director of parks and recreation was housed within a municipal community center located three blocks from city hall. The facility and park-related open space around the building occupied an entire city block. The community center had a brick exterior and 1970s style construction. The building was two stories high, with main entrances located on the west and north sides. The west entrance was located on the first floor of the building and led to a public gathering space. The north entrance was on the second floor of the building and led to a reception desk and office space. The interior was painted a light cream color and had fluorescent lighting. The front desk was built in place and had a plain look to it. While at the front desk, I could look through a large window and see the community gathering area located

on the floor below. The opening made the entryway and reception area seem larger than it was. The atmosphere had an inviting feel to it, but I sensed there was limited traffic in the area because I had to ring a bell for someone to come out from a back office to greet me. The director of parks and recreation also came out to greet me.

Findings

Participants. Stake (1995) suggested that accounts need to be personal, describing the sensory experiences; researchers should not fail to attend to items as personal curiosity dictates. He indicated that researchers should provide thick description of the things to which readers pay attention, such as places, events, and people. Thick description helps readers understand the interpretations of the people most knowledgeable about the case. I believe it is important for the reader to understand the history and interview setting for each research participant. A rich context helps to build understanding.

Both the mayor and chief administrative officer needed an established form of communication and a leadership distribution model to lead the municipality's 888 employees. The municipality's employees needed to have direction and an understanding of the organization's big-picture strategy and objectives. Goals needed to be communicated and employee commitment needed to be built. In this case study government model, communication and leadership disbursement was accomplished through the use of positional leaders. The mid-to-upper level managers in the organization were positional leaders because of their strategically held positions within the organization. The positional leaders made decisions and recommendations in their organization. They were the direct line of supervision for the organization's employees.

The positional leaders selected for this case study partook in the municipality's leadership cabinet meetings, representing their specific departments within the organization. In one instance, I selected a positional leader who had recently departed the organization, a recently retired chief administrative officer whose perspective added research continuity to the chief administrative officer role.

There were 12 positional leaders included in this case study. The average age of the participants was 49; eight participants were male and four were female. The positions included the mayor, the current chief administrative officer, one past chief administrative officer, the city attorney, the director of public administration, the police chief, the fire chief, the director of public works and utilities, the manager of human resources, healthcare, and safety, the manager of library services, the director of parks and recreation, and the director of administrative services. All of the participants were assigned alphabet letter designations A through L for coding purposes; additionally, the code letters were randomly assigned to each individual participant to ensure confidentiality and remove any links identifying which participant had said what.

Table 5 outlines a summary of the participants by gender, age, position, years of leadership experience, and leadership experience in the organization.

Table 5 – Summary Chart of Participants Listed by Age				
Gender	Age	Position	Years Leadership Experience	Leadership Experience In Organization
Male	61	Retired Chief Administrative Officer	27 Years	1 Year, 9 Months

Male	57	Director, Administrative Services	31 Years	27 Years
Female	55	Director, Public Administration	9 Years	1 Year, 6 Months
Female	55	Manager, Human Resources, Healthcare, And Safety	34 Years	1 Year, 6 months
Female	53	Director, Parks And Recreation	32 Years	26 Years
Male	52	Chief Administrative Officer	16 Years	1 Year
Male	50	Fire Department Chief	13 Years	13 Years
Male	45	Director, Public Works And Utilities	24 Years	10 Years
Female	45	Manager, Library Services	10 Years	10 months
Male	42	City Attorney	15 Years	1 Year, 6 Months
Male	37	Police Department Chief	12 Years	12 Years
Male	36	Mayor	10 Years	10 Years

Participant 1. One participant was a male, age 61. He had been employed as the chief administrative officer for 1 year and 9 months. He had been hired as the chief administrative officer by the mayor prior to the mayor who participated in this study. The participant retired from the position when a new chief administrative officer was appointed by the mayor in office during the time of this study. The retired chief

administrative officer's experience with leading change occurred during his entire tenure in office. Previously, he had retired as the police department's ranking officer and had been brought back by the prior mayor to serve as the chief administrative officer.

We met for the interview at a local Elks lodge. The interview setting was quiet and comfortable. There were only two patrons in the establishment, and they were seated far from our location. The inside of the club had a rustic tan woodwork, and there were large picture windows facing the west. The sun was shining through the windows. The Elks lodge floor covering consisted of a red-and-black-checked tile, and our interview table was spacious and dark brown. We sat within four feet of each other during the interview. The chairs we sat in were burgundy and well padded. The area lighting consisted of black chandeliers with white-colored glass. When the participant came in the front door, he was wearing dark sunglasses; he took them off and walked over and sat down next to me and put his keys on the table. He appeared healthy and fit. He was dressed casually in a pair of pants and a polo shirt. It struck me he must be enjoying his retirement. I noted that while he appeared relaxed, he seemed somber and apprehensive when describing some of his experiences. He initially had been hesitant about participating in the research and again expressed apprehension about being in the study. He indicated he had been dreading the experience. I sensed that his experience as the chief administrative officer had not left him with many fond memories. At times, it appeared he was nearing tears. I was not certain if my perception was correct, but it saddened me because I had always perceived him as a strong man. I never expected to see emotion coming from him. I found myself wondering what it would have been like to have lived through his experiences.

When working with direct reports and at the cabinet level, the participant described his personal leadership style to be collaborative when agreed with. He indicated experience of being viewed as dictatorial and directive when others were not in agreement with the leadership. He also indicated a tendency to accumulate information and perspectives, to understand and agree upon objectives and the need for the objectives, and to solicit input and then set a course of direction and march ahead.

The participant indicated he implemented change by moving the municipality toward contracting out for services. An outside firm was employed to perform bill mailing and the zoo was moved to a zoological-society model of operation. He also indicated the local business community had been making deals with the city that were extremely costly and abusive of their relationship with the city. The participant referenced that he changed the business community's mindset to one where the citizens had a right to expect that somebody was minding the city's business and was caring for the city's long-term interest.

He indicated his greatest change accomplishment was in effecting the union contracts and getting the union to change its mind on free lifetime retiree healthcare. At the time, union contracts provided municipal retirees with free lifetime healthcare. Various retirement groups had retired under different offerings and the municipality was managing multiple retirement policies. Retirees' benefits had not been funded when they were earned and the municipality was using a pay-as-you-go model. Retiree healthcare benefits had been consuming a significant portion of the municipality's yearly operating budget. The participant indicated he was successful in getting the municipality moved to one universal retiree benefit package, which eased the management of multiple policies.

He also reported being successful in beginning an employee contribution procedure for new hires.

The participant indicated his change process involved working to make everyone understand that change had to come about, and that what had existed was an unsustainable formula going forward. He used communication to help others understand that change had to occur. The participant indicated he used a collaborative process to work toward how they could accomplish change. The participant indicated that one thing he would have done differently is not trusted politicians. He referenced he had gotten taken in by a few politicians and would not do that again.

Participant 2. A second participant was a male, age 57. He was employed as the director of administrative services. He possessed 31 years of leadership experience and had worked in leadership positions within the organization for 27 years. Prior to agreeing to participate in the study, he wanted to check with his supervisor to see if it would be all right. His caution made me think he had years of experience in the organization and had learned how to survive and protect his longevity. During his employment with the organization he had previously worked as the city property manager, facilities manager, director of administrative services, city fleet manager, acting director of public works and utilities, and acting chief administrative officer. He had been involved with leading change for his entire 27 years with the municipality.

During the interview, he was well dressed and wore dress slacks, a light blue button up shirt, and a tie. He smiled a lot and appeared very cheerful and friendly. He appeared to be comfortable with being interviewed and was very open during our discussion. We spoke on a multitude of topics in great depth. The interview was

conducted in his office, which was located at the end of a hallway in city hall. There was a waiting room immediately outside of his office. His office was a long and spacious room. It would prove to be one of the largest rooms I would see during the course of the interviews. The office had two windows that faced the north, and the sun was shining through them. The windows were located immediately behind where he sat at his desk. His desk faced the office entry door. The room was well illuminated. We met at a large, glass-covered wooden table located near the office's door. The office had a traditional city-hall look and feel to it. There was cream-colored paint with dark-colored wooden accent trim located on the walls. There were some awards posted on the walls, but the large size of the room made it appear to be empty. The room was quiet; however, we were interrupted a number of times by his telephone ringing. He eventually unplugged his phone so we would not be interrupted. The participant was very apologetic about the telephone ringing.

When working with direct reports, the participant reported a personal leadership style that is situationally driven. At times, he was very hands-on, and at other times the participant was very flexible and provided individuals with freedom to do their work. When working at the leadership cabinet level and above, he reported having a participative leadership style. The participant claimed to possess a lot of knowledge and to be open to sharing perspectives with peers. He suggested he did not try to influence group decisions and discussions, but rather shared information to help the group do due diligence.

The participant indicated he had centralized fleet operations. He reported the centralization of operations increased efficiency because the municipality could better use

its pool of people and resources. He indicated his change process involved listening and talking with customers and suggested it can be easy to not see how others experienced the municipality's service. The participant stated he brought together a team and involved all of his departments in participatory leadership. He involved the individuals being impacted to be part of the decision making process. He stated it was impossible to involve everyone who would be impacted, so he found representatives from the various areas and gave them the opportunity to work through their issues and challenges. When considering what he would have done differently, the participant stated he would liked to have done better at involving stakeholders, and communicating the process and timelines before heading down the change path.

Participant 3. A third participant was a female, age 55. At the time of the interview, she was employed by the municipality as the director of public administration. She possessed 9 years of leadership experience and had 1 year and 6 months of leadership experience within the organization. Her prior occupational experience included being a deputy county administrator and the municipality's chief administrative officer. She had left her county deputy administrator position to take the municipality's chief administrative officer job. The mayor who participated in this study hired her for the chief administrative officer position, and he subsequently demoted her to the position of director of public administration. The interview occurred in the participant's office, which was located in city hall at the end of a poorly lit hallway. The participant's office was large, quiet, and well lit, with plants situated throughout. The office walls appeared freshly painted, and the room looked to have been made as modern as possible considering the age of the structure. As I found to be typical of much of city hall, there

was a lot of dark woodwork in the office. The office had windows facing north, and there was a lot of sunlight shining through them. The participant's desk was located near the rear of the space, facing both the windows and the door. The interview occurred at a table located near the door, and we sat less than four feet apart.

During the interview, the participant made frequent eye contact and used hand gestures while she spoke. She was well dressed and looked professional. She appeared to have thought a lot about the interview questions I had provided her ahead of time, and she had written bullet points to make sure she did not forget any points she wanted to make. She struck me as focused and detail oriented.

The participant self-reported a participative and more collaborative personal style and a goal of moving toward a transformational leadership style to inspire and get people to follow. She indicated she had worked with staff to change the way they approached budgeting. She helped move the organization to an expectation of business planning, so they had to develop a 3-to-5-year business plan with a 2-year budget operating cycle.

The participant indicated her change leadership approach was to provide a new way for the organization to look at things, and it forced people to not just look to the next budget year. She implemented performance measures and staff became held accountable for their actions. She worked to eliminate duplication within the organization and individuals were let go for bad behavior while others were rewarded for stellar behaviors. The participant implemented lay-offs and some employees were furloughed with time off without pay and this had never happened within the organization before. The participant indicated she used communication and participation to facilitate change. Her participative process involved determining who was missing from the table and trying to get

everybody who was affected there. Representatives from various departments were brought in to participate and be involved in the process rather than just having change dictated to them. When everybody was at the table, the participant worked to identify the goal or purpose of the group and what needed to be accomplished. Once the goal was determined, she held discussions about the process to be used and who was going to do what. The participative action was orchestrated. When considering things she would have done differently, the participant indicated she would have liked to have spent more time learning individual councilor expectations. She also indicated she would liked to have spent more time with the mayor to better establish each of their roles, their expectations, and to have developed improved communications.

During the interview, the participant appeared stressed, and there was a notable nervousness in her voice; at times she sounded remorseful as she spoke of her experiences, and I found myself feeling sad.

Participant 4. A fourth participant was a female, age 55. She had been employed as the manager of human resources, healthcare, and safety for 1 year and 6 months. Her experience with leading change occurred during her entire tenure with the organization. She possessed 34 years of change-agent leadership experience and had been previously employed at different organizations including residential treatment centers, Planned Parenthood, a hospital equipment supply company (as office manager), a dental clinic (as administrator), a university health clinic (as manager), and a medical clinic (as manager); and had also served as a medical system human-resource director. We met in her office, which was located in city hall near the end of a poorly lit hallway. The office was well illuminated and had cream-colored walls with lots of dark woodwork. There were large

windows facing east, and they provided a nice view of the surrounding area. It was a sunny day, and the sunlight shined into the office. The room was spacious, and the carpet was a shade of bright blue. We sat at a table located near the office door. Her desk was near the rear of the office and was close to the windows. She was well dressed and cheerful and smiled a lot. It seemed to me she had a twinkle in her eye when I asked her questions. She was very forthcoming and provided me with in-depth details and examples to demonstrate what she was discussing. She indicated she tended to work long hours and seemed comfortable with that fact.

When working with direct reports, the participant self-reported an engaging personal leadership style that supported growth. When working at the cabinet level and above, she referenced having a leadership style like that of a consultant. The participant believed that many in the organization did not understand what the department was, and what it did, and that success depended on whether or not leadership, at the top, understood the role the participant's department played in the organization. The participant reported the human resource department historically had not done well maintaining confidentiality and she worked to change the culture of the department so that what passed through the department remained confidential. The participant indicated she changed their relationship with the union so that they came to appreciate that the human resource department was not going to play games, and that they did not have to file a grievance to talk with the leadership of the department. She referenced she believed she established trust and confidentiality in the human resource department.

The participant indicated her change process used face-to-face communication to facilitate change. She established weekly meetings which enabled team members to get to

know each other. The weekly meetings additionally allowed individuals to talk through issues and follow through with consistent practices. The participant believed the communication meetings provided something that department members could count on as a way to resolve old issues and bring up new issues. When considering what she could have been done differently, the participant said she wished she had more time to ask more questions. She said it would have been nice to have had more time to put together a plan and touch more people in order to find out what was going on out there. The participant struck me as an individual who truly loved her work.

Participant 5. A fifth participant was a female, age 53. She had been employed as the director of parks and recreation for the last 3 years and possessed 26 years of leadership experience in the organization. She had a total of 32 years of leadership experience in her career. She had also worked in the organization as a dietitian, director of the senior dining program and senior recreation program, a manager of office staff, and as associate director of parks and recreation and youth recreation programs, sports athletics, and special-event programs. She had been involved in leading organizational change for 6 to 7 years. The participant was well dressed in slacks, a dress shirt, and a sweater. When she spoke, her face transitioned between smiles and a serious look. At times I sensed frustration in her voice. We met in her office, which was located in a building about three blocks away from city hall. When one entered the building, there was a customer-service desk inside the entry, and her office was located not far beyond the desk. Her office was one of the largest I had observed, but its temperature was cold. The office's east wall consisted entirely of windows, and it was well lit due to both good lighting and sunlight. The desk was near the rear of the office, and there were a lot of file

cabinets. We sat at a table located just inside the office door. There was a large space between the table and office desk. The room was painted in a light cream color, which matched the decor of the rest of the building.

When working with direct reports, the participant self-reported having a lead-by-example personal leadership style coupled with a work-as-a-team approach. When working at the leadership cabinet level and above, she reported holding the personal leadership style of a contributor. The participant indicated she implemented change to make people more accountable and operational processes more accurate and transparent. Duplication was eliminated and detailed records were created. The participant indicated that due to higher level decisions, the department was significantly downsized and staff layoffs occurred. A significant amount of the department's offerings were moved to external entities.

She indicated the change process that was used involved her being brought drafts of things that were to occur and she would provide input after the fact. A lot of the budget cuts were directed toward her department and she went into a survival mode. The participant referenced the change process involved a lot of planning on how to do things and how to ensure the department survived. Her change leadership process involved working with people to keep them sane and to keep stress levels down. There were a lot of meetings directed at working more effectively and changing staffs' mindset on what their jobs really were. There was a lot of encouragement for staff to view their jobs to see how they could do things differently.

Reflecting on what she would have done differently, the participant indicated she would have liked to have found better balance. She referenced she tried to appease

everybody and attempted to help people stay calm rather than getting angry and upset. In trying to smooth the waters, she indicated she worked herself to death and burned herself out. She shared it caused the quality of her work to suffer. During the interview, I was struck with the feeling that the participant was a hard-working person. I sensed that our discussion caused her to seriously reflect on her career. She appeared somber, reflective, and thoughtful. It was clear to me she was very appreciative of the job she had.

Participant 6. A sixth participant was a male, age 52. He had been employed as the chief administrative officer for 1 year and had worked in the organization as the chief financial officer for the previous 6 months. He was hired by the mayor who was in office during the study. He was promoted when the mayor removed a predecessor from the position of chief administrative officer. The predecessor was no longer with the organization. The participant had been involved with leading change during his entire tenure at the organization. He possessed a total of 16 years of leadership experience and had worked as the chief financial officer for other organizations and as a financial-management consultant. His office shared a common receptionist-receiving area with the mayor's office and there was a lot of dark woodwork visible in the entryway. His office was large, and the windows faced the west and overlooked a huge courtyard. The windows were located behind his desk, which faced away from the windows and toward the entryway. The room had a visitor table near the door. We conducted the interview at the reception table. The participant's desk and reception table were of a solid wood construction that matched the time period of the building. The walls were painted a cream color, and the carpet was a light gray. There was a cast-iron heating system located under the windows and encased in ornate slatted-oak woodwork. The participant was well

dressed and wore brown pants with a yellow dress shirt and brown tie. We sat across from each other, within a distance of four feet. The participant appeared very cordial and friendly. He spoke professionally and appeared to be knowledgeable and self-assured. His tone was somewhat matter-of-fact as he explained how this and why that occurred.

When working with direct reports, the participant self-reported a personal style of consensus building that was reason and information-based. When working with a supervisor, he indicated his personal leadership style was more of an educational role, one that worked to explain the rationale behind his actions. The participant indicated he had worked toward creating a different sense of ownership within the organization. He changed the culture so that individuals took ownership of problems and solved them rather than passing them on. He stated individuals were expected to make decisions at their individual level and to provide their supervisors with problem solving solution options when necessary. Organizational reporting groups were streamlined. The participant worked to build more respect for the organization. He indicated internal communication was improved and weekly staff meetings were held to communicate what was occurring in all departments. The participant indicated he tried to build more respect for the organization, both within the organization and through relationships with other bodies and other groups.

The participant indicated he believed communication was key and that he used a collaborative process to help everyone understand that ultimately change had to occur. He stated he brought people together and either led the group or used facilitators to brainstorm ideas. He challenged the status quo and encouraged staff to think outside of the box. The participant indicated he encouraged people to challenge their way of

thinking, challenge their beliefs, and challenge their patterns to find new and creative ways of getting at things. He referenced he wished he would have done more homework and gathered more facts, so as to be able to lay it all out in front of people and explain the direction they were going and why. He would have liked to have done a better job of identifying the change agents that were in the organization and waiting to help. The participant indicated he would liked to have spent more time nurturing and developing change agents and marshaling them to create an environment where it was possible to achieve broader change objectives.

The participant struck me to be a busy man, and in fact there was a department manager waiting to see him as I left the interview. When I left the interview, I reflected that he was still new to the organization and wondered what he would tell me if I were to interview him in a few years.

Participant 7. A seventh participant was a male, age 50. He was employed as the chief of the fire department. He possessed 13 years of leadership experience within the organization. He had been involved in leading change for 7 years. Historically he had been employed as a fire fighter, equipment operator, captain, deputy, and fire marshal. The chief was dressed in a well-pressed uniform. His shirt was a bright white with dark navy accents. He had a badge on his shirt and appeared well groomed and professional. He was friendly and seemed happy to have been asked to participate in the case study. His office was located in Fire Hall Number One, which was one block from city hall. The chief's office was on the top floor of the building. The office was small, and his desk took up much of the room's space. The participant sat at his desk at the rear of the office. I sat on the front side of the desk, and the two of us filled much of the room. We were

within four feet of each other for the interview. The office walls were wood paneled and had an old, rustic look to them. There were two windows facing the north, and the overcast rainy day made it feel gloomy in the office. The lighting seemed to be absorbed by the dark color of the walls, and I wondered why they had left the walls so dark.

The chief possessed a lot of seniority and experience in the municipal structure and was able to share many changes that had occurred within the organization. He indicated that it is important to have leadership team members who had a historical record of the organization so they could share how things got to be the way they are, and also to help prevent what he referred to as reinventing the wheel..

When working with direct reports, the participant described an inclusive and communicative style of personal leadership. When working at the leadership cabinet level and above, he self-reported a cooperative and team oriented leadership style. The participant indicated he had changed the way his department was staffed and he had worked to combine some divisions to increase efficiency. He also referenced some divisions were physically relocated to share space with others. The participant stated the operating shift enabled him to save money for his department. To create the change, the participant mentioned he had sat down with staff and talked about the change. He also talked to the union because he wanted to try and prevent problems on the front end. He shared he actively engaged the union to work with them and move forward on items.

When considering what he would have done differently, the participant indicated he would have tried not to be quite so trusting. He would have been a little more cautious on the decisions which had impacts on the organization. He also indicated he would have pushed for more supervisory staff.

The interview with the chief went well. When the interview concluded, I reflected on my changed perception of the participant. I had observed him in the public arena many times and always perceived him as a quiet and guarded man. During the interview, I found him to be knowledgeable, intelligent, thorough, and a great person with whom to conduct an interview.

Participant 8. An eighth participant was a male, age 45. He was employed as the director of public works and utilities. He possessed 10 years of leadership experience in the organization and had previously worked as the municipality's project engineer, chief engineer of transportation, and city engineer. He possessed 24 years of leadership experience total, with a significant portion of that experience gained in military service. He had been involved in the organization's change process for 10 years. The participant had two offices. His main office was at a location remote from city hall. We met at his secondary office, which was located in city hall. The office was located in a hallway in the core of the building. The office had smoked-glass windows. I could not see into the office from the hallway. The interior of the office was cramped, and the office walls were painted an ivory color. The room had exterior windows facing a courtyard located in the center of city hall. The courtyard opening did not go to the ground level, and there was a roof visible below our floor. The sun was shining, but it was barely visible from our location due to the design of the building. The room had a small desk and large round table in it. The furniture was of a modern style, and the carpet was brown in color. The participant's desk was covered with paperwork. I noticed that the wall space behind his desk area contained large U.S. Army Pathfinder and jump-wing logos. It appeared to me the participant was proud of his military service.

During the interview, we sat at the table, directly across from and within four feet of each other. The participant dressed casually in a partially unbuttoned shirt and no tie. His appearance made me think of someone who worked at an engineering firm. He began the discussion by talking about his military career. He maintained a blank expression as he spoke and seemed matter-of-fact in his presentation. He phrased many of his statements in a pattern of, “if this occurs, then that happens,” and he referenced following orders a number of times. I wondered how his engineering and military background shaped the way he leads change.

When working with direct reports, the participant self-reported having a leadership style of leading from the front, setting an example, and involving staff. When working at the leadership cabinet level or with his supervisor, the participant reported having more of a peer-group interaction style of leadership. When considering change, he indicated he had integrated utility and transportation engineering. He said he had brought the two groups together and got them to work as a team. He also referenced being involved in the reorganization where street maintenance and park maintenance were no longer located in the public works and utilities department. The participant indicated that when he had integrated the two segments of the organization together, his intention was to get the two groups working as a team. During the reorganization, which occurred just prior to this study, he worked at the peer-to-peer level. He also developed plans for who was going to do what and what needed to be done to prioritize the various tasks. He stated he worked to make sure things got done. When considering what he would have done differently, the participant indicated he would have gotten together with the incoming director and met with the employees to tell them what changes were occurring

and that the change was an efficiency change and had nothing to do with their performance.

I enjoyed the interview because the participant had such a different approach and communication method from the others I interviewed. Two days after the interview, I received a phone call from him. He said, “You are not going to put my army discussions in there are you, because that will identify me.” I assured him that all identifying factors would be removed from the emergent themes and participant quotes. I indicated that all positional leaders knew the entire team was participating in the study and that my role was to make sure there were no identifiers included in the final report.

Participant 9. A ninth participant was a female, age 45. She was employed as the manager of library services and was relatively new to the municipality. She had 10 months of experience in the organization. She possessed a total of 10 years of leadership experience. Prior to working for the municipality, she had been the director of a public library in another region. She had also worked at other public libraries in varying roles, such as technical services manager, and possessed experience as a broadcast journalist. She was well manicured and groomed, and it appeared to me her appearance was important to her. She wore a white-and-black-flecked blazer, bright red shirt, and black pants. Her office was located at the municipality’s main library, which was about two blocks from city hall. Her office was large and modern. The walls were painted light gray with dark gray trim and the carpet was a dark gray. The lighting was fluorescent, and there were large windows with sun shining in across the entire south wall. The ceiling was constructed of metal slating and was colored dark gray. The participant’s desk had a modern, modular design, and there was lots of desk, counter, and file-cabinet space. The

desk faced the windows to the south and the door area to the east. The room seemed cold and sterile to me. We conducted the interview at a large oval table located near the door. During the interview, there were a lot of distracting banging sounds from the steam lines. The participant indicated that the banging sounds occurred often.

The participant self-reported her leadership style to be collaborative and forward-thinking when working with direct reports. She described having an excellent tier of middle managers and trying to inspire them in their work. When working at the leadership cabinet level and upwards, the participant self-reported having a supportive personal leadership style. When issues involved the participant's department, she explained the department's vision and hoped to get buy-in from other leaders in the organization. She indicated she was always open to feedback. The participant indicated that radical change was not her style. She had been working on exploring a self-service kind of model to increase efficiency. She also had been exploring new technology where customers could check out their own stuff and kiosks where patrons could access their holds wherever kiosk locations were open. When planning for change, the participant indicated she used information gathering and contingency planning. The participant's managers were involved in the process. She reflected the team needed to make sure it was working within the parameters of labor contracts and labor law. When considering what she would have done differently, the participant indicated that when she is the busiest and most stressed, and there is the most change going on, she has not done as well as she would have liked to in terms of communication.

Participant 10. A tenth participant was a male, age 42. He was employed as the city attorney. The attorney's office employed 16 individuals. The participant had 1 year

and 6 months of leadership experience within the organization and had worked in leadership positions for a total of 15 years. During his career he had worked as an associate in a law firm and also for the state attorney general's office. The participant was well dressed and wore a pin-striped suit, white shirt, and tie. His office was well lit and had a window facing south. Outside, it was a dark and overcast day. The participant's office walls were painted a cream color, and the carpet was blue. There was a lot of dark woodwork, which created a drab appearance. The desk was large and faced the entryway. I sat across the desk from the participant; we were within four feet of each other.

When working with direct reports, the participant self-reported a personal leadership style of leading by example. When working at the leadership cabinet level and above, he claimed to not exhibit a leadership style, but rather to provide a service. The participant tried not to direct policy and believed that it could get dicey at times because the different entities active in the work environment could be at odds on things. The participant believed in working to straddle the various relationships and desired not to be coached toward pushing some political agenda forward. He sometimes provided a big-picture context to the group and attempted to connect the different pieces that the group may not see. The participant indicated he had changed the look and operation of his office. The appearance of the department's office was upgraded and the way records were retained was changed. There also was a cultural shift from eight solo practitioners to one where information was exchanged. The participant indicated he had used communication to build connections between staff. He had held weekly staff meetings where everyone exchanged information. He said he invested a lot of time into the development of communication because he felt it was important in improving the services their

department offered. He also indicated he implemented annual reviews to help get people thinking about the big picture. In restructuring his department's physical operation, he referenced using a collaborative process where he set goals without providing direction. The participant believed he empowered his team to make decisions and this had improved buy-in. He referenced that teams need direction and that he tried to provide that. When reflecting on what he would have liked to have done differently, the participant indicated he would not like to repeat the change experience again.

It was hard to schedule an interview with this participant, and I wondered if he was busy or if he was being evasive. It took many reschedules to finally secure an interview with him. During the interview he seemed evasive at times and gave indirect responses to my questions. The questions were all answered in a politically correct fashion. I found myself wondering whether the participant's legal background had developed his evasive nature.

Participant 11. An eleventh participant was a male, age 37. He was employed as the chief of the police department. The participant possessed 12 years of leadership experience within the organization. He had previously been employed as an entry-level police officer, police training officer, investigator, sergeant, lieutenant, and area commander. He also indicated he had leadership experience from various boards and volunteer positions. He shared he had 10 years of experience leading change.

The participant was well dressed; he wore a dark navy suit, white shirt, and dark-colored tie. His hair was well groomed and he was clean-shaven; everything about him seemed to be in its proper place. The interview was conducted in his office. To get to his office, I had to pass through an outer office where a secretary greeted me. The secretary's

office was very cramped, and I noted two doors immediately behind her desk. The door to the right was open, and through it I saw the assistant chief sitting there. The door to the left took me into the chief's office. The chief's office was of a comfortable size and had a light blue and teal paint scheme with a lot of woodwork. There were windows located to the right side of his desk area, and the sun was shining in. We sat at a round table located near the office door. We sat across from and within four feet of each other.

When working with direct reports, the participant self-reported a participative personal leadership style involving communication about issues. When working at the leadership cabinet level and above, he self-reported having a participative leadership style. When considering changes implemented, the participant referenced that in government it is easy to take one day, one month, or one year at a time and create a budget and then survive until the next budget cycle. To address prior budgeting practices, he indicated he administered a public and internal survey to gauge how his department was perceived. Once the survey was completed, he then began a SWOT analysis, business planning, and strategic planning. He prioritized department goals and goal setting and restructured the chain of command in his department to reflect the results of the survey, SWOT analysis, and other planning measures. The participant indicated his change process included providing employees with a lot of face-to-face communications. He referenced the department's leadership team met weekly to talk through issues and to follow through with consistent practices. The participant indicated the meetings established a pattern for people to work through and resolve old issues. The participant referenced he engaged all staff to be part of the planning process through the use of surveys, posting of goals, and a chain-of-command feedback loop. In reflection, the

participant indicated he wished he would have talked less and listened more to people. At the leadership cabinet level, he wished he would have spoken up a little more. He indicated he wished he would have worked more with his managers to make sure they were counseling, guiding, and mentoring staff to their fullest potential.

As I listened to him speak, I felt he was direct and honest, and yet I sensed fear in his voice. He wanted to make sure I deleted titles and other factors which would identify him or his department. I sensed he was afraid of political repercussions. I clarified that the study would use quotes to reinforce emergent themes and that department-specific identifiers would be removed to maintain participant confidentiality. I indicated that job-specific titles like lieutenant and sergeant would be replaced with other terms to prevent the identification of research participants.

Participant 12. A twelfth participant was a male, age 36. He was employed as the full-time mayor of the municipality. The participant possessed 10 years of leadership experience. His leadership experience consisted of being the mayor and a city councilor. He had two years of experience with leading change. The participant was well dressed in a navy sport coat, light blue dress shirt, and pin striped tie. Our interview began fifteen minutes late, and his secretary had me wait on a small sofa in the waiting area. Coffee was available next to the sofa. When the mayor was ready to see me, he came out of his office, shook my hand, greeted me, and personally saw me into his office. The office walls were cream colored, and the carpet was gray. There were windows on both the south and west walls. This was the only office I saw with windows located on two sides. The west windows were behind the mayor's desk, and the blinds were drawn shut. The south windows were uncovered, exposing a view of the city. The view out of the

windows was limited because it was heavily overcast, dark, and rainy outside. The room had lots of oak woodwork, and the lighting fixtures appeared dim and antique. A large municipality seal was located on the south wall; it appeared to be 3 to 4 feet across in diameter. The room also displayed an American flag. We conducted our interview at a large oak table. The mayor's office clearly had a look that a city official would want to convey to visitors. The mayor's interview was different from the others I had conducted. When I indicated it would take me a few minutes to set up, he said "Fine" and sat down across from me with a large stack of papers. He worked through his stack of papers while I prepared for the interview. During the interview, every time we paused he would pick up his papers and work on them. He sat with his body cocked towards his left side so that when I looked at him I observed his right profile. When the mayor spoke, it was very thoughtful; however, he rarely looked me in the face. The mayor stared off into the distance and appeared to be focusing on something on the wall. I wondered if he could not look a person in the eye while processing a concept or idea. I found it discomforting that a seasoned politician would not look me directly in the eye when talking. While I found the interview to be informative, I was distracted by the lack of the face-to-face contact that I had come to expect when talking with others.

During the interview, the mayor self-reported that when he worked with direct reports, he had an analytical leadership style of assessing issues and providing information updates. When working at the cabinet level and upwards, he described himself as being analytical, assessing the issues, and taking into consideration the personalities involved. The participant indicated he implemented a shift toward core services and a reduction in the hours of service provided. His restructuring involved the

elimination of and moving of bussing for seniors from a city function to the local transportation authority, the elimination and movement of senior dining from a city function to a non-profit operation, the privatization of the zoo operation, the elimination and movement of city provided recreational programming in the parks to youth-serving organizations. The participant also indicated he closed down a municipal operated swimming pool. The participant stated his change process involved the setting of high expectations for those that report directly to him. He referenced he expected direct reports to take the same analytical fact-based approach to decision making as he had. The participant referenced he expected his staff to advocate on behalf of the common interests and common good. The participant indicated he set an expectation for the integrity of the work they did. Once trust had been established, he allowed them the freedom to make decisions. When considering what he would have done differently, the participant indicated he thought the administration should have moved more quickly on some decisions, especially when implementing cost saving measures. He indicated he wished he would have been more patient when filling the chief administrative officer position. He would have nurtured the city councils' sense of ownership of the difficulties the administration was facing. He indicated the administration had asked the council to make very difficult decisions without really bringing them in.

Self-reported leadership styles. The 12 participants self-reported a wide variety of leadership styles and often reported a disparity in the style used with subordinates and cabinet-level leaders. Table 6 outlines participants' self-reported leadership style with direct reports and at the cabinet level and above.

Table 6 – Summary Chart of Self-Reported Leadership Style		
Participant	With Direct Reports	At Cabinet Level and Above
Participant One	Collaborative – if not agreed with, then dictatorial/directive	Collaborative – if not agreed with, then dictatorial/directive
Participant Two	Situational – sometimes hands-on and other times flexible, gives freedom	Participative
Participant Three	Participative – more collaborative	Experienced challenges in this area
Participant Four	Engaging – supports growth	Consultant role
Participant Five	Lead by example – work – as – team approach	Contributor
Participant Six	Consensus building – reason – and information - based	Educational role – explain the rationale for action
Participant Seven	Inclusive - communicator	Cooperative – team effort
Participant Eight	Lead from the front – set example – involve staff	Peer – group style interaction
Participant Nine	Collaborative – forward - thinking	Supportive
Participant Ten	Team leader – collaborating – lead by example	Does not lead – provides a service
Participant Eleven	Participative – talks about issues	Participative
Participant Twelve	Analytical – assess issues – provide updates	Analytical – assesses issues – considers personalities involved

Change process used. The 12 participants self-reported ten different change processes they employed in their positions. Table 7 outlines participants' change process.

Table 7 – Change Process Used
Clear consistent information-sharing – Communication – Assurance
Set high expectations and recognize/reward staff
Set goals without direction
Involve appropriate individuals
Identify issues and problems
Orchestrate the process
Challenge beliefs and patterns
Hold regularly scheduled meetings
Involve the union
Some instances of top-down directives

Change process effect on leaders. The positional leaders in this case study indicated they had experienced a range of emotions while they were leading change. A common theme among all participants was the sense of frustration. The leaders' frustrations were caused by a number of factors. Participants indicated they were frustrated by the fact that some organization members simply wanted to keep doing what they had always been doing. They referenced individuals did not know if the old way was

the best, only that it was the way they had always done things. In those instances, the positional leaders indicated they ended up getting the information they needed from the change resisters and planned forward without their further involvement in the group. The leaders mentioned that sometimes they would go back and explore if the change resisters could be reengaged to see if they came to understand the concepts of thinking forward.

Participant frustration also developed because some individuals involved in the change planning discussions did not have the background needed to understand the change concepts being discussed. The positional leaders had to keep their frustrations in check and maintain an appreciation for where others were in the change process. They had to remind themselves that what was being discussed was not experientially natural for some other participants. They indicated they had to keep trying different approaches in order to explain what was being discussed and then lay the topic out in terms the other could understand. When some participants did not understand what was being discussed, leaders had to listen to the others concerns and fears and determine what was warranted. Sometimes the leaders had to realize that some people were not going to be change agents.

Many of the positional leaders in this study had close relationships with their employees and they found their change-related activities led to strain in their relationships. The leaders indicated they had no problem making decisions, but that it bothered them when someone they liked and respected became upset with them. The inability of participants to shut off their emotions and their personalization of feelings made it difficult for them to lead some change initiatives.

Change in the top one or two positional leader positions created its own form of anxiety, challenge, excitement, and frustration for the positional leadership team. Higher-level leader change impacted positional leaders' ability to set, maintain, and work on long-term goals and planning. Participants indicated it was hard for them to understand their supervisor's expectations when their supervisor changed almost every other month. With the arrival of each new supervisor, objectives such as business planning got placed on the back of their desk and some other initiative would be started only to once again be placed on the back of their desk when yet another supervisor arrived. The participants indicated a lot of time was wasted because every time they received a new supervisor they had to train the new supervisor into how their departments operated and also what was going on in their departments.

The participants indicated they felt their voices were not always being heard at the leadership cabinet level. The positional leaders received higher-level management decisions which altered the structure of their departments and they had to deal with the resultant implications and repercussions without their input having been gathered. At times, leaders were only allowed to comment on things that were presented to them. Some leaders felt isolated in their departments and wished they had more say in municipality issues that directly impacted them. Positional leaders' employees often felt threatened that their jobs would disappear and the leaders had to continually try to help their staff believe that their job would not go away without their really knowing if that was true. Leaders found it emotionally draining to try and keep everybody feeling upbeat.

Leading change created stressors which impacted some leaders' health, personal lives, and families. The added responsibility of leading change significantly expanded the

leaders' work roles and many found themselves working 60 to 70 hours per week. The leaders felt their lives were totally consumed by their work and they had sacrificed their personal lives and did not have much freedom. Participants worked late, worked on weekends, and constantly brought work home with them. Many participants indicated their social life had been put on hold and they were not available for family members. The participants emphasized focus on work caused some family members to become resentful. To compensate, one participant noted they tried to stay up late into the night and do their work after everybody went to bed. Trying to work late into the night ultimately affected the participant's home life and work performance and they had to stop that activity.

Participants' indicated their families were impacted because the leaders would go home and discuss what had been occurring at work and their roles in the change process. Leaders indicated they would discuss how the change process impacted them, their peers, their employees, and their leadership. Citizens also approached participants and their families to discuss city related issues when the families were out in the community. A number of leaders reported that leading change efforts had caused them to be alienated by people they had previously worked with. Participants and their families had stopped getting invited to functions and this had an emotional impact on both the participants and their families.

A number of participants indicated the stress of leading change proved physically draining and, depending on the workload they had, some experienced a loss of sleep, increased blood pressure, and a number of other physical ailments. The increased workload also significantly impacted their physical activity.

Table 8 outlines the change process effect on leaders.

Table 8 – Change Process Effects on Leaders
Frustration due to internal resistance and other factors
Had to exercise patience and really listen
Strained relationships
Challenged by top leadership turnover
Valuable time spent retraining each new supervisor
Constant shifts in long-term goals and planning
Uncertain of expectations
Feeling unheard and isolated
Discouraged by top-down directives
Worked long hours
Stress placed on health, personal life, and family

Leader communications and interactions. The participants indicated they had worked with a number of different top-level leaders and found challenges with both mayors and chief administrative officers. Some participants found communications with the mayor to be difficult. It was reported the mayor could be very engaging when discussions were of a political nature; however, it could be difficult to lay out work rules,

boundaries, and working relationship parameters with him. Several noted they perceived that work related relationship discussions did not interest the mayor and this caused individuals to feel uncertain of their job stability.

Positional leaders viewed the chief administrative officer position as being key within the organization. The leadership style of the chief administrative officer directly impacted the participants' work and they referenced the chief administrative officer had the pulse of the day-to-day operations of the city. The participants indicated it was important for them to have continuity in chief administrative officers because they were the ones that guided the implementation of their initiatives. When chief administrative officers changed, positional leader work expectations changed. Many of the participants had experienced both dictatorial and empowering chief administrative officers during their careers.

The relationship that existed between the mayor and chief administrative officer had an effect on the positional leaders. If the mayor and chief administrative officer did not get along everyone knew it. If the two top-level leaders had differences in opinion, it became difficult for the participants because they would be challenged with whom to talk with. Participants indicated they would not speak up because they did not dare cross either the mayor or chief administrative officer. When the municipality had a mayor and chief administrative officer that were getting along, participants indicated they felt an elevated sense of being valued and that their opinions mattered.

Table 9 summarizes leader communications and leadership interactions.

Table 9—Leader Communications and Interactions
The mayor could be difficult to communicate with
The chief administrative officer’s leadership style impacted positional leaders
The relationship between the mayor and chief administrative officer impacted leaders

Leadership cabinet and chief administrative officer turnover impact. The positional leaders indicated they had found themselves challenged by the continual turnover in chief administrative officers and leadership cabinet membership. The participants considered it important to have a core group of people who would spread the change message down throughout the organization. Each time there was a membership change on the leadership cabinet, the participants had to adapt to new people, new personalities, and the resultant new interactions which occurred around the table. Participants referenced that they had to spend valuable time ensuring leadership cabinet members did not get caught up in the changes in cabinet composition and ultimately lose sight of what they were supposed to be doing. Leadership cabinet membership turnover created a form of chaos that needed to be managed and considerable time and energy was spent ensuring cabinet members remained focused.

Positional leaders indicated they experienced confusion and frustration because they were uncertain about who was supposed to be at the leadership table. They indicated some meetings had 15 people and others would have 30 people. The participants indicated each new chief administrative officer restructured the leadership cabinet’s composition and that made it difficult to figure out where the team was going.

Participants also indicated it was hard to know what their role was supposed to be around the constantly changing leadership table.

Participants indicated continual chief administrator officer turnover created anxiety for them because they did not know if their new supervisor would keep them or not. The positional leaders referenced that chief administrative officer changes caused there to be continual alterations in direction and they would have liked to have had stability, known what direction they were headed in, and had continuity in decision making, all of which would have allowed them to settle into their positions. The participants referenced that changes in titles and positions, and reorganizations created resistance, angst, and concern for what the future would hold. The participants indicated that repeated turnover in chief administrative officers caused operational inefficiencies and emotional strain on both individuals and their families.

The positional leaders referenced that turnover in top-level leadership caused them to spend considerable time training each new supervisor. Leaders worked with new chief administrative officers to explain how their individual departments operated and how they were managed. The leaders had to explain their budgets and why each line item was important. The education of each new supervisor consumed a considerable amount of the leaders' time.

Continual turnover of chief administrative officers caused positional leaders to have to repeatedly confirm they had the same understandings as their new supervisor. The participants indicated they had to learn their new supervisor's philosophies and what they thought the leader's role was in the organization. Participants indicated it was important for them to know their new supervisor's approach early on so they knew how

to conduct themselves on a daily basis. Table 10 outlines the impact of leadership cabinet and chief administrative officer turnover.

Table 10 – Leadership Cabinet and Chief Administrative Officer Turnover Impact
Continual need to adapt to new styles, approaches, and directions
Anxiety
Confusion – hard to find consistency and direction
Need for stability
Difficult to set and establish long-term goals
Time spent training each new supervisor

Document review. I reviewed the municipality’s operating budget, city council meeting minutes, and newsprint media. Budget review showed the municipality’s revenues had been steadily declining while its operating expenses increased. The municipality’s budget report supported participants’ statements that they were trying to maintain city operations while working with less revenue. The budget showed that some of the municipal departments received large funding cuts while other departments received minimal cuts. The difference in departmental budget cuts reinforced participants’ statements that they were trying to maintain core services while eliminating less essential services. Targeted department budget cuts substantiated participants’ statements that their departments were reduced to operating in a survival mode.

City council meeting minutes verified the municipality was going through a restructuring and that there were not enough revenue sources available to allow the municipality to continue to do what it had previously done. Meeting minutes contained agenda items that were focused on what to cut and not to cut. The city council had received periodic updates on the municipality's retiree healthcare unfunded liability and the status of ongoing litigation to resolve the issue. The municipality's unfunded healthcare liability placed a considerable financial burden on the organization.

City council meeting minutes indicated there had been numerous changes in chief administrative officers. The meeting minutes also showed that each chief administrative officer brought forward different approaches to deal with the municipality's financial crisis. City council meeting minutes verified the study participants' belief that their chief administrative officer position frequently turned over and that each new supervisor brought new direction. Meeting minutes also indicated there could be a division between the municipality's administration and the city council. The recorded difference of opinion between the city council and administration verified participants' belief that there could have been better communication between the city council and administration.

Newsprint media review indicated the municipality faced significant financial shortfalls and a resultant reduction of offered public services. The newsprint verified participants' statements that the municipality was undergoing a restructuring. Articles showed that city councilors, the union, and local residents opposed some of the positional leaders' recommended changes. At times, different groups held opposition protests on the steps of city hall. A number of published stories reported on the municipality beginning to charge fees for services like street lighting. The service fees had not occurred before.

Numerous published stories verified the participants had been leading change in a number of areas. There had been headline articles describing the municipality's struggles with its unfunded retiree healthcare liability and closely linked debates with union officials. The articles indicated the study's participants had made some progress toward changing the municipality's healthcare policies and how they were funded.

A number of newsprint articles showed that city councilors had pushed for the implementation of new community offerings and that these had led to increased municipal operations and associated costs. The city councilors' advocacy for increased municipal operations verified participants statements that the city council did not have ownership of the financial and operational challenges the municipality faced.

Essential Common Themes

In this section, I discuss my interpretation of the essential emergent themes and findings as they relate to the experiences the leaders had while leading organizational change within the bounded municipal case setting. Analysis of the semi-structured, open-ended interviews resulted in the identification of five emergent themes that were embedded in the experiences of the 12 positional leaders who had led organizational change within the municipality. To protect confidentiality, participant quotes were given an arbitrary letter code. This letter code does not correspond to the participant number code.

The first emergent theme, *The Need for Collaboration, Communication, and Consensus-Building*, describes the positional leaders' preference for the use of collaborative, participative, and consensus-building processes coupled with an emphasis

on communication. The theme reveals the frustrations the positional leaders experienced when attempting to practice their preferences.

The second emergent theme, *Private Sector Management Approach*, describes the preferences of the positional leaders to use traditional private-sector business-management models when working in the government sector. The study's participants strove to remain transparent and improve trust through the use of on-going communication.

The third emergent theme, *Leading Change Caused Long Work Hours, Stress, and Frustration*, describes the ways leading organizational change had caused the positional leaders to gain new responsibilities, work long hours, experience stress and frustration, and strain work and home relationships. The participants' stress and frustration were attributable to many factors, which when combined caused some leaders to experience health problems.

The fourth emergent theme, *Desired Improvement through Increased Preparation, Communication, and Listening*, describes the participants' desire to have had more time to prepare for each change activity. The leaders wished they would have had more time to recruit change agents and involve stakeholders in the change process. They also wanted to improve their listening and communication skills.

The fifth emergent theme, *Leadership Turnover Affected Positional leaders*, describes the effect mayoral, chief administrative officer, and leadership cabinet turnover had on the individual positional leaders working in the organization.

The need for collaboration, communication, and consensus building. The first noted essential theme was the participants' preference for a collaborative, participative,

and consensus-building leadership approach. The participants spoke strongly on how they believed communication, collaboration, and participation were essential when leading their organizational change process. They believed that communication helped to alleviate organization member concerns.

Participant D:

Communication is critical and making certain that we aren't forgetting that there's tons of insecurity when things change.

Participant G:

I try to lead collaboratively where I'm not just dictating to people, "You will do this, you will do that." But I meet with our team and we try to decide what's the best approach and then I try to marshal our forces as best we can to carry out the plans that we put together as a team rather than just me dictating to the group what they're going to do.

The participants indicated that organizational change had to be implemented and sustained through ongoing human communication. They viewed communication to be crucial to the process.

Participant A:

I tried to get out there, get in front of them, give them opportunities to ask questions, "Why are things happening the way they are?" give them as much information as possible.

Clear, consistent, communication and collaborative stakeholder involvement played a critical role in all phases of the change process. The participants believed it was important for organization members to feel empowered and able to take ownership of their problems. To take ownership of problems, organization members had to feel involved and engaged.

Participant C:

What we're trying to do here and what I've been trying to implement here is creating a different ownership sense in, not only the management leadership group, but all throughout the organization, taking ownership of problems, you

know, solving problems rather than passing problems on. The gist of it is taking those issues on and running with it, taking ownership and control and problem solving.

Clear communication contributed to organizational openness, which increased stakeholder access to information, their sense of direction, and the leaders' influence. The participants believed that communication helped increase stakeholders' respect, buy-in and support, which led to an increased incidence of change-related success.

Participant H:

Involve your stakeholders early on, continue to communicate with them on an ongoing basis, progress in a timely fashion, try to, as best you can, achieve buy-in as to the end product.

Participant C:

You can still, I found, motivate people in a union setting. I think people in union settings are still personally motivated by a lot of the same issues: respect, opportunity, a clear sense of direction, a clear sense of purpose.

The leaders attempted to practice ongoing open communication in order to encourage organization's members' acceptance of open discussion, and to foster an attitude where individuals sought and valued input from one another. The leaders believed their employees wanted to know they were valued and that their ideas and opinions mattered.

Participant D:

But in my mind the best way to get the job done is to have people know what their contribution is and to know that that contribution makes a difference and to learn and grow.

To the best of their ability, the leaders tried to encourage full participation in the change process. They tried to involve people in decision making.

Participant H:

Well, it was actually bringing in representatives from the different departments in the different areas, involving the people as part of the process rather than dictating to them, “This is going to be the outcome, you can get on board or not but it’s going to happen.” So allowing the customer, in this case those people being impacted, to be part of the decision making was important; to me it was critical.

The participants indicated it was important for them to listen and to ask more questions of their employees in order for them to get closer to what organization members were experiencing. They believed their employees knew more about proposed change-related ramifications than they did. They felt it was important to have key individuals that they could talk with to gain other opinions.

Participant F:

I try to let them tell me how the changes would affect the job responsibilities they had and have them come up with a scenario that would work in light of the new situation we were going through. They know their job better than I do and they could offer better suggestions on how to change it than I could.

Participant A:

The thing that really helped me was to find people whose opinions I valued and trusted just to kind of bounce things off of, people who have worked here for a while who know sort of the way things operate and the politics and all of that sort of thing. And I found those people and worked closely with them and asked them for their opinions often. Listen, listen, listen. Lots of people, um, I think sometimes leaders tend to talk more because leadership is about expressing what you want to have happen but it’s also critical to listen.

The participants recognized that participatory leadership approaches invited stakeholder input. Participatory leadership helped to ensure more diverse opinions were brought into the discussions.

Participant H:

That was something that I was tasked with was to bring together a team and so we, in effect, basically involved all the departments in a process of participatory leadership and trying to work with them to identify the benefits of centralizing functions that ultimately would be of benefit to the city.

The participants felt that consistent communication, collaboration, and participation were strongly linked. They recognized it was important for the leadership team to work together cohesively in a united fashion and that positional leaders needed to present a united front to the organization. They felt it was important to display clear management thinking and consistency.

Participant C:

Gain consensus and pull as many people together as quickly as possible to implement the change and keep pounding those messages.

Participant C:

I tell my managers here is the message I had to get across to them and what they had to just believe and absorb into their very being.

The participants indicated communication was crucial at the leadership cabinet level to ensure that all leaders shared a mutual understanding. Communications needed to occur in ways that extended beyond the formal meeting structure. Informal meetings helped to build an understanding and appreciation of each other's perspectives.

Participant C:

It's kind of interactive. It goes back and forth. Both of us are walking into each other's offices at different times. We have our regularly scheduled meetings but I generally find the most useful and productive interactions are those that are not the Tuesday meeting. It's more sit down, often at the end of the day, where you're not faced with what's next on my schedule and you can just kind of talk about stuff and say, here's what's working, here's what's not working, where you going with this thought, what are you thinking?" "Well, have you thought about this because here's why I don't think that that would work, but this might work." And so we go back and forth on those sorts of things, ah, informally all the time And I think those are more useful than the formal sit-down.

Participants felt that inadvertently excluding anyone from the process could have led to resistance to change. In working toward collaboration, the participants reinforced that communication was imperative and that it needed to be clear and consistent without

their sending any mixed messages. They claimed it was essential for them to appreciate they could not lead change on their own and that change agents needed to be recruited throughout the organization.

Participant C:

Do a better job of identifying who the change agents that are there and waiting, and it's not always the same management level. Sometimes they're deeper in the organization.

Participants supported an equal information dissemination approach by attempting to canvass all levels of the organization. The leaders felt that the more they involved stakeholders in the process, the more positive they would be toward the recommended changes and the more likely they would be to commit to change.

Participant H:

Having people involved in the process without a doubt the end product or the end result will be better. It may not be perfect but if you're going to expect buy-ins by people with organizational change then you need to have them part of the process.

Participant A:

We engaged all the staff to be part of the planning process, through the survey, through postings of goals and we would go down through the chain of command. Managers would engage their people and the supervisors would engage their people and bring that feedback back, um, back to the table.

The participants believed that well communicated change-related goals would help to display clear management thinking and consistency. The study's participants indicated it was important for them to get the right people involved in the process.

Participant J:

I'm a strong believer in the need to get the right people in the, ah, right positions in order to move the organization, ah, forward; and I've made some difficult decisions on that front, ah, to get the right person.

They also acknowledged there were times when a decision needed to be made and that participative collaboration was not a viable option. Participants suggested that when necessary they had broad powers to intervene in lower-level decisions.

Participant I:

I don't expect my employees to do something I wouldn't do. Set the example, involve subordinate staff to help gather facts, provide input, and make recommendations, knowing that the ultimate decision is mine and I'm responsible and accountable for that decision, but not making that decision in a vacuum unless time doesn't permit that or resources don't permit that.

Participant F:

I try and involve staff as much as possible, realizing that you can't involve your staff in every decision that's made or you know, you can't rule by committee.

The participants expressed frustration with their communication, collaboration, and consensus-building activities because they sensed a need for immediate decision making. Their frustrations were linked to their pressing budget shortfall concerns or top-level down leadership decisions.

Participant H:

We have lost a lot of talented people in the system, people who have chosen to move out to the private sector or elsewhere because they had issues with the bureaucracy, the system, the environment. Some of the people that could contribute probably significantly to the organization have chosen to leave the organization.

Participant F:

My recollection is that I had very positive interactions at the leadership cabinet and I felt my opinion was valued and respected and I felt that I made a contribution. I did not feel I always knew or understood all of the information and all of the ramifications because in any leadership cabinet there's usually one level

higher and there were things that were discussed above my level and so I don't feel I had all information, but I don't know I needed that information either.

While the participants acknowledged the importance of collaboration, participation, consensus-building, and communication, there was expressed frustration regarding the state of their peer communication, limited group participation, collaboration outside of the individual departments, and stakeholder involvement.

Participant K:

I think everybody was out to protect only themselves and there's no one that was looking at the big picture and, um, how we affect each other and how we're dysfunctional because, um, another division doesn't have enough resources and it's affecting us and we never saw that. It just, everybody just kind of protected their own, budget time came and they kind of kept their heads down and they hoped there was no big disaster.

Participant H:

I think we can do better in involving, well, involving stakeholders and also communicating the process and timelines.

The frustration experienced by the participants was the product of many factors. The municipality had experienced numerous turnovers in the leadership cabinet's membership. Participants indicated they wanted an enduring leadership team which had stable relationships that helped hold the group together. The participants had to work to build the group's stability.

Participant K:

You've got to, again, reinvent that process because we are; each department is dependent on each other. So it's a training thing to bring them back up to speed but it's, so it slows things down more than anything else.

The participants' satisfaction with the leadership cabinet was also impacted by the composition of the team, group processes within the team, the nature of the team's work, and trust.

Participant J:

We'd have a group, a small leadership team meeting on an issue that had emerged that morning and we were problem-solving and from that very small group, somebody went to their office and called the media. So there is always a question of who's on board, are we on the same team, who can we trust, and if you can't talk honestly about issues and concerns, then everybody is holding things close to the vest.

The participants were challenged with the fact that everything was political.

Politicians and organization members brought their own personal interests to each issue.

The participants had to accept that no matter what the organizational level or who the stakeholders were; individuals advocated positions that were to their own advantage.

Participants had to be aware that there would always be some organization member who did not appreciate or agree with the proposed change.

Participant B:

And so, for example, to get one department leader to recognize the need to convince their staff and the union to affect change was difficult. To get a different department head, for example, to act against what they considered to be their own interest, to argue against their own interests could be difficult. And that same argument could be made for any director, and not just the directors but the manager staff as well and there were, and some of them, you know, truly believed that, ah, they were still union members, that they were just union people with a big title.

Historically, the municipality's leadership team avoided disagreements and members worked around each other to get their projects up and running. Uncertainty caused individuals to promote their own interests or the interests of their group over the overall organization's priorities.

Participant E:

We feel the one thing that creates stress among department heads and departments is resources, fighting for resources.

The participants indicated their desire to have had better communications with city councilors, the mayor, some of the chief administrative officers, and between top level management and their level. The participants indicated it was important for them to feel they were an extension of the executive team. They wished they would have engaged more with others.

Participant E:

Spoken up a little more, and, you know, I sat back a lot and I observed and listened too much. I should have spoken my mind a little more and, um, spoken up sooner.

Participant D:

I have to be able to look in the mirror and know that I'm doing the right thing and I'm supported to do the right thing in my job. You know, you have to feel like you're on board with that leader and that it makes a difference.

They wished they had increased openness and information sharing with the city council and felt openness and information sharing may have built greater trust with the council.

Participant A:

I think working with the council was a little bit more of a challenge for me because I don't have good political sense. I mean I do in terms of what people may be interested in, but um, I probably didn't spend as much time with each individual councilor finding out what they expected of me.

The participants needed to have a clear sense of where they were going and why. Participants indicated it was important for them to get their supervisor's clear direction and an understanding of their expectations, and then strive to follow through with those directives. The leaders wanted to have their own questions answered in a timely fashion

so that they could lead change. It took relationship-building and time to develop an understanding of their supervisors' expectations.

Participant D:

It takes some effort as I mentioned to try to be certain that philosophically you understand the individual and from a practical perspective how are you going to work day-to-day with them. Yeah, it can take a fair amount of time.

Participant H:

Timing is important as well. Often we head down a path even knowing that, you know, we have a process and for whatever reason priorities or our time is redirected and then time goes by and people are waiting. Changes have direct impact on everybody, them, their families, their friends, and relationships.

The participants suggested there is a positive relationship between leadership behavior and job satisfaction. In this study, the mayor set high expectations for subordinate leaders, while the development of personal relationships appeared limited. Participants found it difficult to communicate with the mayor when they were trying to establish their work rules and expectations.

Participant E:

We talk probably once every couple weeks and it's almost always by me reaching out.

Participant A:

Communication is kind of difficult with the mayor in terms of, like for me to sit down and have a discussion about something with him.

There had not been enough time invested in establishing what the mayor's role was and what the positional leaders' roles were. The participants were not always clear on what the mayor wanted delivered. Positional leaders found themselves having to reach upwards to communicate with their supervisor.

Participant K:

For me, most times it's me reaching up unless there is an issue or hot topic, they will call me and say they want to talk.

In some instances, the communications between the mayor and participants were weakened to the point that participants felt a sense of betrayal.

Participant B:

My supervisor was the mayor and in some respects I was hung out to dry. I was given a direction to follow and when it got challenging he was not there to support me.

The municipality's city council was asked to vote on difficult topics which they were not involved in. The administration had not involved the city council in their decision-making process, and the council did not have ownership of the issues before them. The differences of opinion between the administration and city council led to long drawn out public debates. At times, the city council made budget line-item changes which contradicted the administration's operational plans. The difference of opinion between the administration and city council made implementing change difficult.

Participant J:

More communication, just as with the city council. Bringing them in and asking them to accept ownership of the problem instead of only asking them to be part of the solution on the point of sacrifice.

Participant K:

Often it requires some council action or it requires mayoral approval and anytime those things are involved the politics can get involved through the union or through the community might get involved. So that makes change difficult.

While the participants articulated an appreciation for, and understanding of, the need for stakeholder involvement and communication, there appeared to be a tendency of the group to fall back on the use of less inclusive models.

Private-sector management approach. The second emergent theme indicated that positional leaders tended to use traditional private-sector business management approaches when leading organizational change within their municipal government setting. I noted that a number of the positional leaders had attended some form of business management training or school and that their development was directed towards the use of private-sector business management models. Many of the participants' change initiation approaches appeared to be focused on private-sector business management techniques rather than on the use of organization development principles.

Participant A:

We went to an expectation of business planning for all of the departments and divisions so they had to develop a three to five year business plan. Um, that was a new way of looking at things and the purpose was to force people to not look just to the next budget year but to think about OK, this is my business, how do I want to run this business?

During my career, I noted many public sector employees often had different values and motivators than private sector employees, and yet, the municipality's leadership endeavored to drive efficiencies and improve effectiveness through the use of private-sector business management principles. The organization's leaders emphasized the use of performance indicators, performance management, and customer responsiveness. The participants' responses indicated that the budget related cost-effectiveness pressures which were placed on the municipality led to heightened levels of managerialism, tighter financial controls, and the monitoring of employee performance.

Participant G:

And the city has gotten into performance management in which my department has been a part of. We've also implemented annual reviews for our staff members and that's been very helpful and effective in getting people thinking about the big picture, about what they're doing in the big picture and how they can change and

improve and do what they're doing better and to recognize the things that they are doing well because that's important too.

The articulations of the study's participants suggested that their modern-day public management practices included the proliferation of targets, measurements, and compliance. SWOT analysis, strategic planning, and business planning became common practice in the various departments of the municipality.

Participant H:

We've spent time more recently dealing with areas such as doing business plans and SWOT analysis.

Participant J:

We're undertaking a very significant strategic planning effort. We started with having each department and division do a SWOT analysis. We then moved into having each department and division create a business plan that addressed operations as well as strategic planning and implemented the analysis that they did on the SWOT into their business plan.

Trust was an explicit competency standard for the public-sector leaders and they believed it assisted them in achieving organizational effectiveness and efficiency. They sought transparency and open communication while implementing accountability, duplication reductions, long-term planning, performance measures, and SWOT analyses.

Participant K:

I think building relationships and building trust with your team whether it's your internal team or with the city. There has to be a trust level for any change to happen. Everybody is going to protect what they have if they don't trust everybody else. If they think everybody else around the table is going to stab them in the back or go after part of their budget, it's not going to work. There's got to be trust there and they've got to see themselves as one unit as the city and not one division or one department.

Participant D:

I've sort of built trust enough that people can come and say, "You know, we're scared about this or we're not certain about that," and I'm able to play that role

with leadership to say, “We need to be managing some of this stuff. Here is what is going on out there.”

The establishment of trust helped to make it possible for the participants to contract out services.

Participant B:

There were a number of events, small events, that were instrumental in ultimately making it possible to consider actually doing what has been done, which is to contract out some of the, some of the functions of, ah, the city workers that are just inappropriate for them to perform, for example, an operating golf course. But we had to do it in such a way that it didn't provoke a response from the union.

Leading change caused long work hours, stress, and frustration. The third emergent theme indicated that leading change caused positional leaders to have to work long hours, and experience stress, frustration, exhaustion, and strained relationships at both work and home. Ongoing occurrences of reduced revenues, resultant budget reductions, department mergers, hiring freezes, and other cost cutting measures brought pressures that increased workload responsibilities for the organization's leadership team.

Participant D:

It takes a lot of energy. I have to say it takes a lot of energy.

Participant B:

Well it affected me for about a year and a half by the fact that I was in the office probably 60 or 70 hours a week and totally consumed by it for nearly all of the remaining hours.

The increase in demanding work situations and high workload contributed to participant stress. The more involved the participants became in the change process, the more they were worn down and experienced elevated tension, role overload, and the sense of fatigue.

Participant G:

Leaders are like a pair of tires, there's only so much tread on them and, you know, those fights and that work takes some of the tread, it wears you down, it's hard work and I like doing it but you go home and you sleep well and you're exhausted and mentally it takes a lot out of you but that's OK, I enjoy it.

The participants indicated they had their regular job duties to complete plus those attributed to the additional workload created by the change initiative. Each activity related to the change process consumed participants' time. Simple activities like communication slowed their progress down.

Participant L:

So I think the information flows back and forth that way from me through middle management to the staff and then from staff through middle management to me. Being collaborative doesn't necessarily make leadership decisions a quick process sometimes.

Participants had to shift their work-roles from their traditional technical skill areas to more generalist managerial ones. Leading organizational change caused the study's participants to acquire the added workload of planning new initiatives at both the organization and individual department level. Participants had to develop new organizational models, budgets, and other related planning documents. The participants were continuously concerned with their resources and when their resources were lost, depleted, or threatened, they experienced stress.

Participant K:

A lot of the change has been driven by financial constraints over the last seven years. There's been other changes as well but it started right, I got thrown right into the fire. I had to come up with a plan that was going to be able to meet the budget and yet still provide the services that we want to provide.

Participants had to work with individuals to address process concerns, make adjustments for past activities, and support individual stakeholder concerns. They worked

on continuous improvement and conducted surveys, developed and used feedback loops, and increased interactions and communications within their departments. The leaders informed and involved employees with what was occurring in the organization. The study's participants labored to alleviate employee confusion, frustration, and fear.

Participant F:

All the staff then felt very threatened that their jobs would disappear so I was constantly having to help people try to believe that their job wasn't going to go away without me really knowing if that was true or not.

Participants realized that the higher you were in the organization, the more disconnected you may be with what is being experienced by the front-line workers and service recipients. The participants worked to keep their leaders abreast of what was occurring at the end-user level of the organization, and this added to their workload and hours.

Participant H:

Sometimes in a large bureaucracy such as ours, we really don't see the reality of how others are experiencing the services and the relationships that are occurring.

The participants and their employees suffered from stress and concern which was related to uncertainty, threat of job loss, changes in responsibility, and transfers of authority.

Participant D:

There have been several things that have been done in this organization that I wished hadn't been done or said, and um, but I also, you know, know that it's my job to be supportive, to help them learn and to fix it, um, to the best of our ability.

Participant F:

Several changes were very traumatic for the staff and left them with a great deal of frustration and again, I tried to be the calming factor for them and to listen to them, let them vent to me and then find a way that we could positively move forward.

Frequent top-level leader turnover caused the study's participants to spend significant amounts of time informing each of their new supervisors about their role as well as those of their departments.

Participant I:

It becomes more problematic. When you've got the revolving chief administrative officer door, that person has to be fairly well rounded on everything each director does and it's difficult enough for me to know everything just within my department, so there's a bit of a learning curve to get him or her up to speed on my particular tasks and I'm just one of many directors. So it's not very efficient to have that revolving door at that level.

Leadership cabinet member turnover altered leadership team dynamics and contributed to the emergence of new group expectations. The ongoing changes created uncertainty in the organization's reporting structure when participants reflected on who needed to be included and involved in what activities. At times, the leadership cabinet's members lacked the specific skills required to lead organizational change, and this created additional leadership team member stress. Participants also found themselves being asked to take on new roles without appropriate training and their insufficient development contributed to team-member stress.

Participant E:

Some of our managers were there because they'd been good employees over the years and really hadn't ever gone to management training or had any management education, so watching the strategic planning from some departments, it was obvious that some of them, the training was not there and the knowledge of how to go about it was not there.

Some departments were more heavily impacted by organizational change initiatives than others. In those cases, changes were rolled out in a top-down fashion where the positional leader was told what predetermined changes would occur in their department. The participants had not been involved in the change-related decision-making process. The impacted leaders tended to feel unheard or isolated, and this contributed to their stress and frustration. High levels of work related-stress caused individuals to devote more of their resources to coping behaviors and this contributed to a reduction in the effectiveness of the organization, lowered morale, and reduced job satisfaction.

Participant F:

A lot of the change at the leadership table occurred kind of at a higher level than the table that I sat at and we would be brought drafts of things and you could tell that a lot of decisions, or a lot of things had already been discussed and some decisions made.

The positional leaders had to work within the confines of their department deadlines to share information, and alleviate concerns and employee fears. In some instances, positional leaders did not know the answers to their employees' concerns, and this elevated stress and lowered organization morale.

Participant H:

Whenever you have change, changes in titles, positions, and reorganizations, there is a lot of; there is going to be resistance to change and also there is going to be a certain amount of; would the term be angst? and concern by people within the organization not knowing what the future holds.

Historically, the municipality's culture had never experienced layoffs, and the positional leaders had to lay off long-term employees. The process of terminating long-term employees created stress and anxiety for the positional leaders.

Participant J:

It did affect me on a personal and physical basis. I was constantly worn down; it was difficult for me to maintain mental acuity and sharpness and during that year I had to make the decision to lay off over 150 employees. I had a hard time sleeping. I had a hard time not concentrating.

Participant F:

It was challenging because there were a lot of hard feelings after the layoffs and a lot of beliefs that it was temporary and once it happened everything would go back to the way it was, and because they kept thinking that way, there was resistance to make too much change.

Some of the municipal employees who had been friends with the positional leaders strongly disagreed with the changes being implemented. The disagreement of participants' friends had both personal and professional effects on the leaders.

Participant E:

I am a social person, I have many friends in the organization and when someone is upset with me at a change I'm making, it bothers me.

Participant B:

One of the things it did was it alienated my former coworkers and I'd been a part of that family for many years and I am no longer. I'm not, I don't get invited to their social functions. I'm pretty much erased from the rolls.

In some instances, the leaders were verbally threatened.

Participant A:

It was difficult. I had some threats; people were threatening me personally. I wasn't scared but I felt very bad for what had to be done, but we really had no choice at that point, the budget was getting to the point where there was just no more you could get out of it and we can't just use one strategy to repair a budget.

New directives and projects were mandated each time the mayor or chief administrative officer position turned over. The participants' SWOT analyses, planning documents, and individual goals were put on the shelf to begin new initiatives. The participants' inability to complete assignments elevated their frustrations.

Participant H:

You can be heading down one path and then with the change of chief administrative officers, you could be changing direction the next day.

Long work hours impacted the participants' personal lives. Positional leaders frequently did not go home until late in the evening and they often took their work home with them.

Participant J:

I have sacrificed my own personal life completely because of work and I don't have much free time.

Holidays, vacations, and important family functions were affected by the participants' increased work-load. Some leaders attempted to go home at a reasonable time so they could spend time with their family. They tried doing their office work late in the evening after everyone else retired.

Participant F:

It was probably the worst time period of my life, so to speak, because it was a huge amount of work, an overwhelming amount of work so I felt like that was all I ever did was work, worked evenings, worked weekends, worked holidays, and I never got a sense of accomplishment or sense that I was doing something in a positive; it was just kind of all that work causing negative feelings.

Participant F:

I tried to do it all. So you'd stay up later at night when everybody is asleep or something and try to do the work then so you still have the time to do the family things.

The extended work day caught up with participants and it affected both their work performance and family relationships.

Participant G:

You don't have limitless amounts of energy and so if you're spending a lot of mental and physical energy on work issues you have less mental and physical and emotional energy to bring home to your family and that impacts them.

Leading organizational change and the workload and stress associated with it caused some alterations in the participants' blood pressure, weight, and sleep patterns.

Participant B:

It was physically very difficult, it was taxing. It caused me to increase blood pressure and decrease physical activity and all of those things that one would expect.

Participant J:

And so I had a lot of comments about, you know, from folks on how beat up I looked and I felt beat up but I didn't want to hide that especially given the circumstances.

Participant F:

So that was very difficult for me personally. Lots of sleepless nights and lots of physical things that were all stress-related and difficulty for me coping with that kind of emotional stuff. On a personal note, just take care of yourself better. I mean I didn't do that very well and my health suffered because of it and luckily I didn't end up getting sick enough to go to the hospital or anything like that, but there were many days where you just drag yourself through the day and you have

migraine headaches and you have other ailments that are going on and you haven't slept and you're sleep deprived and that's just not a good situation. It's hard to be an effective leader when your body and brain and everything are working against you like that.

The high visibility of municipal government change impacted participants and their families beyond their household setting.

Participant H:

I'm fairly well known throughout the community and so there is no question that when I or my family is out in the community people ask if they have questions of me and they will ask of my family members as well about city related type of issues that may be of interest to the individual or may be of interest in general that they heard about. So, yes, there's no question that my role here at the city has had an ongoing direct impact on family members and their activities outside of my role here.

Desired improvement through increased preparation, communication, and listening. The fourth emergent theme demonstrated that participants would like to have had more time to prepare for change, involved more individuals in the process, and improved their individual communication and listening activities.

The participants acknowledged that change occurs slowly in government and that it is important to have a well planned path before heading down a specific direction. They shared that organization members appreciate a sense of stability.

Participant A:

Change takes time, it doesn't happen overnight, especially in government. Change has to be a well-planned and well-controlled process.

Participant H:

Before we head down a path, be comfortable, and as sure as we can we're going to follow in that direction, that you know, when we have that vision, we're going to head in that direction and stay down that path, some stability on where we're headed, you know, we need to know what we want for the end product organizationally, operationally, and communicate that.

Participant D:

I think there's always the sense that, um, you wish you'd had more time to ask more questions before you started down the path. You know, I think that's a pretty common thing. We're always, we're always short staffed, we're always moving too quick. In any change situation it's always nice to have more time before you put together your plan, be able to touch more people to find out what's going on out there.

The positional leaders' traditional work-load, coupled with the organization's urgent need to implement change, created so much pressure on the participants that they did not allow enough time for proper planning and preparation. The public-sector leaders indicated they had to rapidly scan multiple environments, plan for new realities, and create a sense of separation from the organization's past. They had to convincingly articulate the need for change, quickly define the parameters of the change, change organizational values, and remain highly involved throughout the entire change process. To accomplish their goals, the participants appreciated their need to capitalize on and use the intelligence of their organization's members.

Participant G:

I like to think of myself as a smart guy but there's a lot of smart individuals in this office and we need to combine our intelligence and skills to approach some of these very difficult problems that we deal with and the city is dealing with.

The study's participants would like to have invested more time to bring people on board with their change process and to secure greater buy-in. The participants understood that resistance to change could have been overcome by involving more people in the process, and that employee participation would have allowed organization members time to work through their resistance.

Participant H:

I think we can do better in involving, well, involving stakeholders and also communicating the process and timelines.

Participant A:

You can't do it on your own, you've got to build kind of that base. It's almost like doing an experiment. You decide on what the issue or the goal is, you garner support for that, bring people in, and figure out what role each person is going to play in the decision-making process and data-gathering process and garner the support for change that way.

The participants indicated they were aware that employee involvement and empowerment positively influenced organization members' attitudes and behaviors.

Participant H:

I've seen over the years where people have been informed without being involved and their reaction, their attitudes, are not very positive and I've seen where people have, as part of organizational change, been brought into the discussion from the inception, at least there have been people who have represented them.

The participants articulated they understood that not every member of their organization may choose to be involved in the change process, but that it was important for all groups to have had involved members and for every individual in the organization to have had the opportunity to provide their input. The participants indicated that the recruitment of change agents which were strategically located throughout the organization could have greatly aided them in the disbursement of information.

Participant C:

Try to do a better job early on of identifying, as I said, there are those that are real change agents right away, there are those that dig in their heels, and then there's that middle gray ground. And it's not always at the same management level; sometimes they're deeper in the organization.

Strategically located change agents would have helped the positional leaders to reduce their workload and shorten the time needed to create buy-in within their organization.

Participant A:

Well I think large scale change, um, you can't do it on your own, you've got to build kind of that base.

Participants stated that communication proved important in their process and that during times of crisis and fear, people needed more communication than normal. The participants suggested that communication helped them alleviate organization member speculation and uncertainty.

Participant H:

The biggest thing I think would be communicating to those stakeholders, those people involved, the people being impacted on an ongoing basis, involving them as best you can within reason and then communicating and continuing to update them. I just think that a little better process would be helpful in minimizing the impact and the anxieties within the organization because one of the things I've seen is a lot of time spent speculating by staff and others, and it can be at all levels, as to where we are going, where we are going to end up, how is it going to impact me, where am I going to be at when this is all said and done.

The participants indicated that their communication needed to be personal and face-to-face. They referenced that improved communication between each of the individual leadership cabinet department heads might have increased collaboration within the organization's leadership team. They realized that the leadership team had to work together to determine when items overlapped. They understood that each manager had to have a clear understanding of the organization's big picture.

Participant F:

Now it's just different now because we have shrunk so much and so much of what we do has now become interdependent upon other divisions that we can't work as independently as we used to – which I think is a good thing because we all tended

to be stuck in our silos or on our own island so to speak and doing our own things and I think we need to work cooperatively better across all aspects of the city.

Participant G:

There are manager meetings on Tuesday mornings and I think the main thrust of those meetings is to get a chance to go over the city council agendas that are coming up because it's like we talked about, everybody has their own little area and you need to have a discussion of the whole group to figure out where those areas intermix and to make sure that the city is thinking about these issues on a holistic basis.

Participants indicated enhanced communications between the mayor, chief administrative officer, and department heads may have made change-related department rollouts easier for the leaders to implement. Participants wanted to be involved in the decision making process and felt that top-level leadership should have involved them in an interactive feedback loop so that the higher-level decision-makers could have possessed a better understanding of the individual department's issues.

Participant F:

I would have liked to have, I don't know. I would have liked to have been able to maybe participate in some of the decisions that were made about what was going to happen to my department but I wasn't asked to do that. They just kind of said, "These are the cuts that are going to be made, how are you going to deal with them?" I wasn't asked what cuts, "What cuts do you want to be made?"

Participant F:

Again, I think there was a predetermined way that things were going to happen but the people who sometimes make those decisions don't always know how that's going to play out on a lower level and maybe I could have given them some better insights or something and maybe they would have made different decisions, I don't know.

The municipality's city council was asked to vote on important issues immediately after the administration briefed them on their operational plans. The participants indicated that consistent communication with the city council and their

regular involvement in the administration's decision-making process may have improved the city council's understanding and ownership of the issues facing the municipality.

Participant J:

Part of the difficulty that we face is not having a strong enough relationship with our city council to be quite honest and that had, you know, we were asking them to make a series of very difficult decisions and yet I don't think we brought them in.

Some participant responses suggested that the administration may have had ulterior motives for why the city council was not brought into the administrative decision making process.

Participant B:

Don't trust elected politicians. Their interest is ultimately going to be their own.

Top-level leadership's directives and change-related plans filtered down to the organization's front-line workers and left employees feeling worried, scared, and uninformed. The participants recognized there was a need for them to have done more listening and employee engagement.

Participant G:

I always, um, I always regret not listening more and keeping my mouth shut more. I would have focused more on my role, it's hard.

Participants further recognized that well-developed feedback loops where they restated the input they received from their front-line workers could have helped the organization's members feel more involved in the change process. Participants believed improved organization member interaction may have alleviated or reduced their employees' concerns.

Leadership turnover affected positional leaders. The fifth emergent theme suggested that changes in mayors, frequent turnover in chief administrative officers, and leadership cabinet membership changes significantly challenged the positional leaders. The participants needed to have consistency in direction.

Participant H:

Some consistency and some stability, to me, are very critical in organizations, ah, once change has occurred.

The voids left by departing top-level leaders and the uncertainty of what new ones would bring led to instability and insecurity in the organization. Top-level leadership turnover could impact the morale of the positional leaders.

Participant F:

I was basically hired at the whim of the mayor and chief administrative officer. That was very unnerving for me to be in that kind of precarious position and that was with the former administration, so then when a new administration comes on board, you don't know if they're going to keep you or not.

Participants indicated that the social environment of their workplace and individual careers could be influenced by mayoral and chief administrative officer succession. Election cycles created the potential of bringing in a new mayor into the organization. New mayors often arrived with their own unique set of directives and priorities. The municipality in this case study had experienced a number of chief administrative officer changes during a short two-year period. High rates of top-level leadership turnover created disruption for the participants and their employees, because they had to continually adapt to frequent changes in behavioral norms and leadership styles.

Participant H:

I have to adjust to the leadership style of each chief administrative officer, dependent upon what their expectations are. Some of the chief administrative officers want to be more hands-on and aware, some want to be just made aware only in certain circumstances.

The participants felt that fair, consistent, and predictable behavior was needed in order for their employees to have trust in the organization's leadership. Each new chief administrative officer brought a different approach, and set of priorities, for dealing with the municipality's challenges. The organization's membership experienced immediate disruption after each mayoral or chief administrative officer succession. The amount of disruption experienced was determined by the actions of the new top-level leader and this created an ongoing sense of instability and insecurity.

Participant H:

The reorganization now has, you know, gone in different directions in a short period of time which isn't healthy for an organization and that's one of the things that I heard from peers, subordinates, a variety of people that they would like to see some stability, we'd like to know what direction we're headed and follow that path and have some stability and have decisions that will enable us to settle into our positions, into our jobs, and I think it's been, some of the changes in leadership and some of the changes in direction have created some inefficiencies.

Participants indicated that disruption occurred when new top-level leaders changed the organization's structure, enforced new behavioral norms, and enacted new values that were inconsistent with past management practices. Turnover in the municipality's mayor or chief administrative officer position forced positional leaders to continually adjust and adapt to new supervisor approaches, directions, and styles. The changes caused the study's participants to experience anxiety, confusion, frustration, and a need for consistency in direction.

Participant H:

It's been a roller coaster ride; it's been a roller coaster ride. I've experienced highs and lows, anxiety, frustration, excitement, enjoyment and I guess that's one of the things that has occurred as a result of the continued change in both administration and chief administrative officers. I've probably experienced a wide range both individually, personally, over time with what's happened organizationally and operationally here in the city.

Top-level leadership succession upset the participants' perceived possibility of goal attainment and depressed their sense of confidence. Top-level leadership turnover further hindered the participants' implementation of divisional and business unit goals because their employees did not take many change-related initiatives seriously.

Participant C:

Leaders come, leaders go and an organization, if it's a lot of platitudes and just rah-rah change and yes we're going to do it but there's no follow through and there's no good message of what it is you're trying to accomplish and they don't see examples that you're serious about doing this and you're going to carry through on it, they're very good at waiting people out. The whole organization will just sort of wait you out and, "He'll be gone in a year and then we can get back to doing what we know how to do."

Each new top-level leader arrived with their own set of fresh perspectives on how the organization should be run. Continual top-level leadership turnover made it difficult for the study's participants to maintain and work on their long-term goals.

Participant K:

As a department head, it was difficult when your direct supervisor was changing literally almost every other month. It's hard to set long-term goals; it's hard to understand your supervisor's expectations when it's a moving target.

Ongoing top-level leadership turnover affected the participants' morale. The participants indicated that the arrival of a new supervisor often meant their initiatives and projects would get put on a shelf and forgotten.

Participant K:

We've done a lot of things like business planning, all the stuff is good. But we get it and then someone; we do it, and then we have a new leader and then all of a sudden it's just kind of thrown on the back of the desk again and we do something new and it gets thrown on the back of the desk. So I think a lot of time was wasted.

The participants found themselves spending a significant amount of time educating their new supervisors on how their departments operated.

Participant E:

None of them had any direct experience with managing or overseeing my department's type of operations. So there's a learning curve and each one you had to sit down with and explain why this has happened, why this has happened and kind of like in your role as a councilor you have your idea of how things are before you get on and then when you kind of understand their workings it makes a little more sense and so that was more work on my part and obviously you want them to understand clearly how the operations work.

Participant K:

Um, frustrating because every time I get a new supervisor I have to train them. I have to, um, explain to them how my department works, how it's a little different. Once you teach them once, it's good. There's no more hold-ups on things and you can get things done but it's like retraining over and over and over again.

During the period studied, the municipality's leadership cabinet size varied between 15 people and 30 people. The size of the leadership cabinet was dependent on the philosophy of each new chief administrative officer. Turnover in the mayor or chief administrative officer position caused ongoing alterations in the leadership cabinet's composition. The disruption caused by top-level leader replacements resulted in lower organization performance and reduced employee productivity. The participants of the study were challenged with uncertainty.

Participant F:

So you know, sometimes you'd go to leadership meetings and there'd be 15 people and sometimes there would be 30 people. It was kind of hard to figure out where everybody was going and it tended to be confusing. I didn't have a clear

understanding of who my supervisor was because the organizational chart was in flux and the chief administrative officer kept changing. So that was challenging. So you ended up not knowing what your role is supposed to be around the leadership table.

The study's participants found that continual management turnover led to their having to deal with the ongoing restructuring of their work relationships.

Participant C:

So it changed with who the people were and so I had to adapt to new personalities, new people, new interactions around the table.

Participants indicated that each new top-level leadership turnover caused the remaining organization members' fears to increase. They articulated that high rates of top-level leadership turnover escalated individuals' concerns for their job security, status, and power within the organization. The positional leaders found themselves continually readjusting to their new leadership cabinet's composition and its shifting group dynamics. The participants stated that a shared vision had to be redeveloped each time a new member entered the leadership team. They referenced that the group's shared vision had to be reinforced through intense interaction with new cabinet members. They also had to develop new relationships in an ongoing fashion. At times, new cabinet member perspectives challenged the group's dynamic.

Participant H:

The individuals have their agendas at the cabinet and on down the ranks, people have their agendas and their preferences and their priorities and so with continued change, it's a learning experience and you start fresh in developing relationships and sometimes you may be able to come to an understanding of the path and direction you're headed and it becomes a very comfortable and positive relationship and sometimes you may encounter situations where the leadership or as you call a cabinet member or a director or a division manager, they have other ideas and agendas as to the direction they'd like to go, especially during a time when you have a lot of organizational change and so it can become more challenging working with some if they are more aggressive in what they would like to see occur.

A lot of the study's participants' time and energy was spent on orienting new leadership cabinet members to the operations of the organization's individual departments, and the challenges that were facing the overall organization. New cabinet members had to be brought up to speed on what change activities had been implemented or were in the works, and what was being considered for future action.

Participant K:

I have a history of stuff that's happened and we've had a lot of change over in the city over the last two years or so, so there's a lot of people that haven't lived some of the things, they're seeing problems come up again that we've already been through, so I tend to serve as like an anchor of what's happened in the past.

Table 11 summarizes the changes implemented by the participants.

Table 11 – Changes Implemented
SWOT analysis implemented and strategic planning conducted
Budgeting moved to business-planning model
Performance measures and accountability implemented

Organization duplication eliminated
Employees rewarded or let go for performance
Communication improved
Functions contracted out
Shift towards core service offerings and service hours reduced
Moved toward one universal retiree benefit package
Human resources maintained confidentiality and trust was built

Summary

In this chapter, a presentation and analysis of the data described the purpose of the study, the interview setting, my findings, and the essential common themes. Thick description was used to portray the settings of the participants' work environments. Information on the 12 research participants' demographic backgrounds was given to provide a better understanding of the individuals interviewed. Each research participant's self-described leadership style, in the context of working with direct reports and at the leadership cabinet level and above, was provided to build an understanding of how the individual leaders viewed themselves. Individual participants' self-reported leadership styles added context to the interview transcripts. The change process used by each individual was discussed to add context to the participants' experiences.

The results from the qualitative research revealed that the positional leaders experienced a sense of frustration which was attributable to factors such as resistance to

change, individuals not having the necessary background needed to help in the change process, continual top-level leadership turnover, not having had their voices heard, and having to implement or advocate for change-related items without knowing whether or not they were accurate. The positional leaders indicated they had worked long hours while leading change and this had impacted their family and social lives. Extended work hours caused the participants' adult family members and children to express concern and frustration. Leading change led to the alienation of some of the participants' coworkers, and they felt they had let down some of their employees.

When recalling their experiences, the positional leaders indicated they would like to have done some things differently. Most positional leaders indicated they would like to have worked on improving their communications. Participants wanted to improve their relationship with the municipality's elected city councilors. Enhanced city council interactions would have helped to ensure that the city council was more involved with and connected to the administration's change process. The participants' indicated that listening was important, and they would like to have improved their listening skills during the change process. Participants suggested that change-related preparation activities were important and that they should have dedicated more time to prepare for their change process. They indicated that it was crucial for them to find key change agents early in the preparation process. They also suggested it was important to convince people that change was necessary. There were indications that the municipality's civil-service system and union seniority requirements created challenges for the participants.

The study's participants referenced that ongoing change in top-level leadership positions amplified their challenges. Top-level leadership turnover forced the positional

leaders to have to continually adapt to different leadership styles, approaches, and directions. Ongoing top-level leadership turnover made it hard for the participants to remain focused and this created additional organizational confusion and anxiety. The participants found it difficult to maintain certainty in what their work roles were. It was also challenging for them to set long-term goals. The lack of top-level leadership stability caused the participants to have to manage a lot of chaos. The participants had to invest significant amounts of their time training in new supervisors on how their departments functioned.

In this case study's municipal government model, the mayor was the highest ranking full-time employee and the chief administrative officer was second-in-command. The chief administrative officer ran the operations of the organization. The positional leaders worked for both the mayor and chief administrative officer, and they were supervised by the chief administrative officer. The mayor was politically oriented and administratively this created operational communication problems and challenges for the positional leaders. The relationship between the mayor and chief administrative officer had a direct impact on all of the organization's positional leaders. If there were poor communications or interactions between the mayor and the chief administrative officer, the rest of the leadership team felt it. Disagreements between the mayor and chief administrative officer placed the study's participants in awkward positions.

The participants indicated that they had to continually remind themselves that everything was political. The participants had to remain solution-minded. They felt that it was important for them to surround themselves with smart people. The participants sought clear direction from their supervisors and wanted to know exactly what their

supervisors wanted from them. They indicated that once they knew what was expected of them, it was important for them to set clear goals and maintain consistency. The participants felt it was important for them to build an active support base for the change initiative. They recognized they needed to listen and keep stakeholders informed. The participants also highlighted the importance of allowing time for change to happen.

The next chapter will present and discuss my personal reflections and discussions, limitations, implications for organization development practitioners and the field, future research recommendations, and my final thoughts.

Chapter Five

Discussion

Summary of the Study

When I reflected on the discussions and experiences I had with the study's participants, I realized they faced a number of complex challenges. Many of the participants' difficulties were driven by the organization's budgetary shortfalls, continual turnover of top-level leadership, the participants' use of business management model approaches in a culture with a long-established service orientation model, limited preparation time, long work hours, and individual personal issues.

Stakeholder involvement. During the interviews, the participants expressed their appreciation for, and understanding of the need for open communication and stakeholder involvement. The participants' articulations reinforced Mann's (2000) assertion that organizations have learned the importance of communications during change. They also support findings that indicate organizations have learned it is important for communication to be open and for members to have full participation (Cascio, 2005; Giffords & Dina, 2003; Toepler, Seitchek & Cameron, 2004). The study's participants' acknowledged it was important for them to get close to their employees and for them to listen to and ask more questions of their employees in order to facilitate change. Their understandings support Nicholson's (2009) finding that it is important for leaders to listen and ask more questions to get closer to what individuals are experiencing.

The participants referenced they needed to involve as many people in the change process as possible and that there needed to be open communication between them and their supervisors, management peers, and direct reports. I believe the participants'

comments support Lewis, Hamel, and Richardson's (2001) findings that implementers may choose to take an equal-dissemination approach by canvassing all levels of the organization. The participants indicated it was important for them to hear from and involve as many people as possible. They indicated that during periods of change, their communications needed to be greater than when the organization was in a stable state. The participants emphasized they wanted the municipality to work collaboratively. They stated they wanted to involve as many stakeholders as possible.

The participants' felt it was important for them to gain their employees trust. Lawrence (1954) suggested that managing change participatively helps to build trust in the change agent and also stimulates employees. Pugh (1993) further referenced that individuals who are more deeply involved in the change process tend to exhibit a more positive attitude toward the change, and that employee participation can assist in the development of two-way communication, which can create employee motivation and commitment to change. In listening to the participants, it was clear that they understood what needed to be done to create employee buy-in and involvement. The participants wanted to involve those who would be impacted by the change and they wanted to build employee trust. The participants' comments support Russ's (2008) assertion that change needs to be implemented and sustained through human communication. They further support Kettl and Fesler's (2005) suggestion that communication creates openness and this increases access to information and leader influence. Their comments also support Stone's (1988) suggestion that communication increases stakeholder group support and Risberg's (2001) indications that communication builds buy-in which in turn leads to greater change success.

To me, it was apparent that the participants understood they could not operate in a vacuum. They appreciated that they had to interact with their employees on a one-to-one basis, in order for them to get their message across and create stakeholder buy-in. The participants understood they had to have healthy interactions with their peers and supervisors to ensure everyone was on the same page. They appreciated that the only way they could influence change was through the use of ongoing interactions. The participants' beliefs support Allen, Jimmieson, Bordia, and Irmer's (2007) assertion that communication plays a critical role in the implementation phase of change. Each participant articulated their desire to conduct change preparation processes which involved as many individuals as possible. They shared that they believed communication, collaboration, and participation were closely linked and that they needed to have member involvement in order to learn stakeholder perspectives. The participants' articulations support Russ's (2008) suggestion that participatory leadership approaches invite input by employing involvement and empowering methods to gain the insights of stakeholders.

Leader involvement. I noted that a number of participants experienced frustration with their change-agent experience because they felt they had limited control over their circumstances. Some participants were mandated by their supervisors to make specified cuts in their departments. Some were not involved in the decision making process which determined what cuts to make in their department and this impacted their motivation.

Communication and participation can aid in the motivation of people to accept change. Since participants were not involved in their departments' restructuring decisions, they lost some of their motivation and job satisfaction. They struggled with

trying to figure out what to do and how to answer their employees' questions. Mann (2000) found that leaders are expected to lead people through change, so they need to have a clear sense of where they are going and why; as such, they need to have their own questions answered. The top-level leadership directives on how many employees to cut from participants' departments did not provide them with their needed structural answers. The impacted participants shifted their focus toward retaining resources and keeping their department operational. Operating in a survival mode created stress for the participants. Bolino, Valcea, and Harvey (2010) found that when individuals are concerned with resources; when resources are lost, depleted, or threatened, they experienced stress. The participants lack of involvement in the decision making process troubled them. I believe they would have been happier with their work if they had felt they had true involvement in, and ownership of their department's restructuring process.

Hinkin and Tracey (1994) suggested that there is a positive relationship between leadership behavior and job satisfaction. I believe the participants would have been more satisfied with their work if their supervisors would have invested more time in involving them in the decision making process. Trignano (2010) suggested that leaders should practice continual open communication to encourage acceptance of open discussion and to foster an attitude where individuals sought out and valued input from one another. Trignano further suggested that people want to know they are valued and that their opinions and ideas mattered. I believe these findings pertain to all levels of the studied municipality. Within the municipality's leadership team, there were periods where limited communication existed between top-level supervisors and their direct reports and this inhibited employee engagement within the leadership ranks. Top-level leadership

made some crucial departmental decisions and did not allow lower levels of the leadership team to be involved in the decision-making discussions. I believe the municipality's top-level leadership needed to use all of the assets available to them in order for them to achieve success in their change initiative.

Pinchot and Pinchot (2002) suggested that to be fully intelligent, an organization needs to use the intelligence of its members well. I believe the study's department heads would have transitioned through change more smoothly if they had been involved in the strategy development process. At times, some participants felt devalued and also uncomfortable answering their employees' questions because they did not have the answers themselves. The participants found themselves trying to address their employees' concerns without having had their own questions answered.

Employee empowerment. Participants indicated that their employees experienced periods of depression, frustration, and anger over the changes that had been occurring in the organization. Some participants experienced verbal threats from their employees. Many of the participants' and employees' frustrations could be attributed to poor communications and the overall lack of involvement in the decision making process. At times, the participants felt uninformed and their frustration with the lack of communication transitioned down to their departments' membership. If the participants and their employees had been engaged and more involved in the decision making process, I believe the participants would have received a more enthusiastic response to their change initiative.

Sternberg (1992) suggested that empowerment positively influences employee attitude and behavior; and Cohen and Brand (1993) further suggested that while not every

member of an organization may choose to be involved in the change process, it is important for all groups to have involved members and for every individual in the organization to have had the opportunity to provide input. There were times when the organization's employees learned of their department's proposed cutbacks through local media sources. Employee stress and fear was heightened by the fact that they learned about their jobs on the news. Nicholson (2009) indicated that in times of fear and crises, people need more communication than normal. He further suggested that communication needs to be personal and face-to-face. Kirchmer and Scheer (2003) referenced that individuals have to be informed of change, after which their feedback is needed, and then intense communication starts. In this study, some participants, and their employees, found themselves being provided with few communication opportunities beyond their reactionary response to information.

Risberg (2001) found that the involvement of stakeholders in the decision making process tends to increase organization members' acceptance of the decisions being made. Coch and French (1948) suggested that member exclusion can lead to resistance to change. In this study, it appeared that the overall lack of communication contributed to organization members' resistance to change.

I found it interesting that all of the study's participants indicated how important good communications were. They referenced it was vital for them to develop and maintain good communications with all of the leadership team, their supervisors, and direct reports. The participants indicated the leadership team needed to work closely together to build trust and to present a united front to the municipality's membership. The participants' articulations support Pate, Beaumont, and Stewart's (2007) assertion that

openness and a willingness to share ideas builds trust. The participants stated they believed they needed to work together closely so that their employees felt confident in their ability to lead the organization out of its financial difficulty. Their beliefs support Franken's (2009) findings that communication increases stakeholder confidence in their leaders' ability to deliver change.

The municipality's top-level leaders stated they needed to work together closely with their department heads and managers because they could not lead change solely on their own. They felt the leadership team had to work together in unison to be successful. The participants' statements support Van Wart's (1996) findings that in order to be effective in implementing change, mid-level managers must feel they are an extension of the executive team.

Member involvement. Even though the study's participants indicated their understanding and appreciation of the need for good communication and member involvement, each expressed their desire to have done a better job at communicating and involving members of the municipality. Theme analysis of this research has raised questions as to why do individuals who acknowledge the importance of good communication and member involvement rely on less inclusive methods of operation. While all of the study's participants indicated their appreciation of the importance of open communication and employee inclusion, many did not practice what they advocated.

When administrative directives were pushed down to the positional leader level, the participants worked hard to address their employees' concerns and tried their best to answer employee questions and concerns. Some participants put their full effort into

trying to help their employees deal with the organization's changes and massive employee layoffs. Charan's (2008) research advocated that communication must be sincere and intense. Some of the participants in this study were so intense in their desire to help their employees that they ended up overextending themselves and placing their own health at risk.

Involving the right people. The participants of this study indicated they believed it was important for them to get the correct individuals involved in the change process. They referenced they had the ability to involve whoever they thought was important to their change process and if necessary they could intervene and change what the individuals were doing. If a particular change strategy did not seem to fit their specific need, they readily redirect their staff. The participants' approach affirms Milgrom and Roberts (1990) findings that executives have broad powers to intervene in lower-level decisions. While the study's participants indicated they had broad powers in which to implement change, they sometimes found themselves challenged in getting the right individuals involved in the change process. The participants referenced having frustration with the organization's civil service system, union seniority, and the practice of promoting individuals who had good technical skills but not necessarily good management skills. The participants felt their civil service system prohibited the best candidates from being selected for specific jobs and this hindered the municipality's change process. Participants indicated there were some individuals on the leadership cabinet that tended to view themselves as part of the unionized workforce and this affected their team interactions and team member satisfaction.

Existing research has suggested that team member satisfaction can be determined by the composition of the team, group processes within the team, and the nature of the team's work (Campion, Medsker, & Higgs, 1993). This study's findings support Campion, Medsker, and Higgs work. It appears the participants' satisfaction was directly related to who they worked with in their departments and at the leadership cabinet level.

Personal interest issues. Participants reported that some leadership cabinet members occasionally advocated positions which were to their own or their department's best interest. Kotter and Schlesinger (1979) found that uncertainty with change can cause individuals to promote their own interests or the interests of their group over the overall organization's priorities. Mann (2000) further suggested that supervisors may resist change because it can make them look bad, and Maurer (2004) argued that many teams avoid disagreements, and that individuals will work around each other.

I believe that the uncertainty of the municipality's continual leadership turnover caused leadership cabinet members to strive to appear non-confrontational at the cabinet level. I further perceive the participants did not know how to deal with some of their issues and they wanted to maintain their professional image with the group. Some participants may have found it easier or less risky for them to work around the leadership cabinet rather than potentially put their own status at risk.

Service orientation. My personal experience, derived while working in both the government and private sectors, has shown me that government employees can have different motivators than their private sector counterparts. I have found that many government sector employees are driven by a strong sense of service. The participants in this study used business management tools that I do not believe fit the service orientation

nature of their organization's employees. Existing research has suggested that public services have endeavored to drive efficiencies and improve effectiveness by adopting private sector principles (Radnor & McGuire, 2004). Van Wart (1996) further indicated that management principles are one of the greatest areas of change occurring in the public sector as it tries to copy successful private sector restructurings.

In this study, I believe the municipality's abrupt switch to a business management model shocked the organization's employees. The participants attempted to re-engineer the way their organization operated in a fashion which supports Ustuner and Coskun's (2004) findings that government process re-engineering has been frequently implemented in attempts to change government structure, management, and the culture of public administration. The municipality in this study had a long history of slow change implementation and the leadership's push for rapid organizational change met with resistance at all levels of the organization. Had the participants attempted to lead a slow change process, I suspect they would have experienced less stakeholder resistance.

Business management model. The participants in this study articulated they emphasized the use of SWOT analysis, strategic planning, tightened financial controls, performance indicators, monitoring individual's performance, outsourcing, and the prioritization of consumer responsiveness. To me, it appeared as though the municipality's leadership was attempting to use management approaches which had already been explored by other government entities. Hall (2002) indicated that planning has been part of public management for a long time and McGuire, et al., (2008) observed that new public management practices have been noted to include the proliferation of targets, measurements, and compliance with regard to regulatory standards. Coyle-

Shapiro and Kessler (2003) suggested that cost-effectiveness pressures placed on the public sector have led to heightened managerialism, tighter financial controls, competition, and the monitoring of performance. Bryson (2010) found that strategic planning has become a common practice in government, and Hendrick (2003) indicated that strategic planning can be used successfully in cities. Boyne and Walker (2010) further noted that the main elements of the new public management reform movement emphasize performance indicators, performance management, and consumer responsiveness. I believe the municipality explored the use of tools that had been previously used in other government entities with varying success.

The participants indicated they chose to implement private sector business management models because of three main reasons. One reason was that private sector employers located within the municipality's jurisdiction continually called for municipal management models that made sense to them. The business community advocated that the municipal government should be run like a business. A second reason was that many of the participants had attended business management schools and this provided them with models for use. A third reason was that the municipal leaders attended municipal government conferences and learned ideas from other participants in attendance. The participants heard a lot about models being used around the country.

The study's participants encountered a number of challenges when they attempted to implement business management measures during their change process. Some of the challenges they experienced were due to the fact that a number of the organization's leaders and higher-level direct reports had not received any formal business management training and this limited their ability to manage the organization's change-related

objectives. Some of the municipality's key leadership had not received formal business management training because the organization had promoted them through the ranks without management skill development. Expecting untrained organization leaders to conduct SWOT analysis and strategic planning may have provided too much stretch for some of the organization's leaders.

Hellriegel, Slocum, and Woodman (2001) found that organizational change can be viewed as the greatest source of stress on the job and perhaps in an employee's life. Some of the municipality's leaders' business management skill deficiencies had been noted by their peers. The deficiencies may also have been recognized by the organization's employees. Participants that were asked to lead change without the appropriate training felt their sense of self-worth challenged. Municipal employees trust in leadership may have been undermined when it was demonstrated there was a lack of proficiency in managing change.

Denial and cultural clash. The participants implemented a number of traditional business functions through the use of a corporate restructuring model. The organization possessed a long established tradition of doing things a certain way and the implementation of business and performance measures clashed with the culture of the service organization. Participants mentioned the organization's employees had an established mentality where employees had learned to wait the administration out until an election changed direction. I believe the election cycle pattern of municipal government had taught the case study's employees that stalling would enable them to bypass the implementation of processes and initiatives they did not support. The leadership's rapid move toward massive layoffs shocked and traumatized the organization's employees and

this caused the leaders to spend significant amounts of time dealing with the emotions and fears of those employees that remained. The leaders had to affirm what their employee's jobs were and that they were stable. Participants indicated that employees believed that those who had been terminated would soon be returned to the organization. There was denial in the organization's membership. The participants' experiences reinforce the findings of McHugh and Brennan (1994) which suggested that after an organization changes, employees suffer from stress brought on by uncertainty, threat of job loss, changes in responsibility, and transfers of authority. I believe the stress and emotional drain that the participants experienced was partially related to the fact that they were the front-line question answerer and pacifier within their departments.

Change-related stress. Russ-Eft (2001) indicated that an increase in demanding work situations and high workload causes stress. Bolino and Turnley (2005) and Grant (2008) suggested that employees who are proactive in their work can experience higher levels of stress, role overload, and work-family conflict. The participants not only had to do their regular daily work, they also had to implement new policies and deal with the fears and emotions of those that worked for them. Trignano (2010) indicated that occurrences such as budget reductions, hiring freezes, mergers, and reduced revenues that lead to organization-wide cost-cutting measures can bring pressures that increases stress on the organization's leadership team. In a number of instances, the participants in this study did not have their own questions answered and this added to their burdens and further contributed to their tension.

Insufficient time. The participants in this study indicated they would like to have had more time to plan, communicate, and involve stakeholders in their change process.

The municipality's budget shortfall crises caused the participants to operate at an accelerated pace and this caused them to have to work long hours. The participants indicated they had their regular job duties to perform, plus the new tasks attributable to the change initiative. Balogun (2003) found that middle managers are often made responsible for the implementation of change and this held true for the participants of this study. Floyd and Lane (2000) referenced that the addition of the change-related role can cause individuals to experience high levels of related pressure. Brewster and Soderstrom (1994) suggest that excess workloads can lead to feelings of incompetence among line managers. I believe that many of the study's participants felt pressure and at times feelings of incompetence. The addition of new responsibilities can cause leaders to have to shift their roles from their more traditional technical skill areas to ones that are more generalist and managerial (Dopson & Neumann, 1998). The participants indicated they had to deal with their regular ongoing work plus the addition of new responsibilities directly related to the change process. The participants' new responsibilities often took them out of their traditional skill comfort zone.

More change-related training. Some participants suggested some of their peers were uncertain with how to proceed with leading change. They indicated it was obvious that some struggled and did not know what to do. To me, it appeared that the organization's top-level leadership did not invest in its leaders by providing training for the leadership team. Participants were asked to conduct a SWOT analysis, strategic planning, and to lead organizational change without any formal preparation or life experience. Longenecker, Moore, Petty, and Palich (2006) noted that managers are often asked to take on new roles without associated training. Insufficient training can heighten

the impacted leaders' stress levels. Many of the participants indicated their additional roles created stress for them. Some of the participants helped their peers complete the tasks they were not familiar with. While helping peers created more work for some participants, it did enable them to learn from their experience because it caused them to reflect on how they do things.

Top-level leadership turnover impact. Participants indicated they had spent significant amounts of time keeping their supervisors informed of the progress they were making with the change process. The organization's repeated top-level leadership turnover forced the participants to have to inform their new supervisors about their occupational roles and how their departments operated. Top-level leadership turnover continually challenged the study's participants. Friedman and Saul (1991) suggested that the voids left by departing top-level leaders and the uncertainty of new ones leads to instability and insecurity in an organization. They further suggested that the social environment of the workplace and individual's careers can be influenced by CEO succession. Their observations appear to have held true for this study's participants. Each new election cycle presented the possibility of there being a new mayor at the head of the municipality. New mayors often meant new chief administrative officers would soon follow. Some participants found themselves concerned about their continued employment within the municipality, and others just wondered what their jobs would look like. Each new mayor or chief administrative officer brought with them their own unique set of priorities and directives. The municipality in this study experienced a number of chief administrative officer turnovers during a brief two-year period. Top-level leadership turnover caused the participants to continually adjust to new supervision expectations and

directives. Each of the organization's chief administrative officers brought with them a unique approach and personal set of priorities for dealing with the municipality's challenges. The study's participants and their employees experienced disruption after each mayor or chief administrative officer succession. The participants' experiences reinforce Gordon and Rosen's (1981) findings that high rates of leader succession can be disruptive because individuals have difficulty adapting to frequent changes in behavioral norms and leadership styles. Clark and Payne (1997) noted that fair, consistent and predictable behavior is needed in order for there to be trust in leadership. I believe the participants found it difficult to develop trust and an understanding of their supervisor's expectations because the continual turnover of supervisors limited their ability to establish comfort with who they were working for. While each of the new supervisors may have had predictable behaviors, the continual turnover of supervisors caused the study's participants to have a sense of unpredictability.

The participants rarely knew what their long-term goals were because their supervisors kept changing. Friedman and Saul (1991) suggested that the amount of disruption experienced is determined by the actions of the new top-level leader and that their actions can create a sense of instability and insecurity. Research suggests that disruption can occur when top-level leadership changes the organization's structure (Meyer, 1975), enforces new behavioral norms (Koch, 1978), and enacts new values that may be inconsistent with past management (Tushman & Romanelli, 1985). Each of the organization's new chief administrative officers created their own structures, which caused the participants to find the organizational chart to be in continual flux. Structural changes caused the leadership cabinet's membership to vary in size and this forced the

participants to continually develop new relationships. Each chief administrative officer brought a different perspective of how the organization and its leadership should operate. Changes in behavioral expectations caused uncertainty for the participants and they found themselves adjusting the way they conducted themselves. Each of the chief administrative officers brought different organizational values with them. Some chief administrative officers micro-managed their staff and wanted to know every aspect of each department and others only wanted to hear need to know items. The broad range of perspectives of each chief administrative officer made the participants uncertain in their jobs.

The organization's turnover of chief administrative officers caused the participants to adjust and adapt to new supervisor styles, approaches, and directives. Leadership turnover caused the participants to experience anxiety, confusion, frustration, and a desire for consistency in direction. Schwartz and Menon (1985) found that new top-level leaders often arrive with fresh perspectives on how to run an organization. Friedman and Saul (1991) indicated top-level leadership succession can upset organization members' perceived possibility of goal attainment and this can depress the individual's sense of confidence. D'Aveni (1990) asserted that top-level leaders' succession can affect morale and Kasurinen (2002) found that leadership changes may hinder the implementation of divisional and business unit goals. The participants indicated that each new supervisor's arrival meant their initiatives and projects got put on a shelf and forgotten. They indicated that top-level leadership turnover made it difficult for them to maintain and work on their long-term goals. The participants became demoralized when they had to abandon their hard work. It proved difficult for some to remain excited with

their work when their direction was constantly changing. To me, it appeared many of the participants were worn out and tired with the continual turnover of supervisors. Many of the participants possessed an upbeat tone; however, there was a less-excited undertone in many of their expressions. I believe that top-level leadership turnover was wearing the participants out.

Changing group dynamics. The participants spent a lot of their time educating their new supervisors on how their departments worked. Changes in the mayor or chief administrative officer also caused alterations in the leadership cabinet's composition and this impacted the group's performance. Each time there was a cabinet change, the team had to back-track and bring the new members up to speed with what the group was doing. Grusky (1963) suggested that the poor performance that follows top-level leader succession results from attendant disruptiveness which reduces employee productivity. The participants reported that the leadership cabinet's membership varied between 15 and 30 people, depending on the philosophy of the chief administrative officer at the time. The change in cabinet membership caused the participants to continually readjust to new group dynamics.

Greenberg and Baron (2000) found that successful and enduring teams must have a stable structure. Ongoing leadership cabinet member turnover meant that new relationships had to be established among the cabinet's members. The long-term unity and continuity of the group was impacted. Laszlo, Laszlo, and Johnsen (2009) advocated that a shared vision must be communicated when new members enter a team. They further suggested that the shared vision must be reinforced through intense interaction and the development of deep relationships. In their research, Kesner and Dalton (1994)

found that higher levels of management turnover led to the elevated restructuring of relationships. They also found that the fears of the remaining organization members could be increased and that high rates of top-level executive change escalates the surviving organization members' concerns over security, status, and power. Many of the participants commented on their concern for their occupational job security within the organization. I sensed a lot of apprehension and uncertainty. The participants in this study found themselves continually adjusting to new leadership team members. They spent significant time developing new peer working relationships and this slowed down their overall change progress. Each time the participants felt comfortable with their new team members there was another change.

Lindsay (1980) suggested that stress could be relieved by developing more open relationships with coworkers and supervisors. It was difficult for the participants to develop close relationships with their peers because of the ongoing leadership cabinet turnover. The turmoil of leadership cabinet turnover made the participants uncertain of their roles within the organization. Some participants expressed concern over their careers and I believe this affected their moral, job performance, and the end-result of their change process.

Personal life impact. The participants extended work hours impacted their personal lives. They often did not get home until late in the evening or they brought their work home with them. Some tried doing their work late in the night after everyone in their home went to bed. Working late into the night impacted their sleep. The participants worked through holidays, vacations, and other important family functions. They regularly

received e-mails on their smart phones while at home and the crisis of the moment caused them to disconnect from their families.

When the participants were out in public with their families they were approached by residents with questions, concerns, or suggested guidance on how to deal with the municipality's challenges. Participants indicated their partners or spouses received unsolicited commentary while they were out at social functions. Some participants coached their significant other on how to respond to unsolicited citizen input. The participants indicated their significant other spent time correcting residents' inaccurate perceptions or misinformation.

The participants acknowledged they did not have limitless amounts of energy and that their occupational experiences affected their family interactions. They indicated their mothers, fathers, partners, spouses, children, and friends told them they worked too hard and that they needed to cut back. Some of the participants' children expressed strong concern over their parent's extended absence and this troubled the participants. I noted that a number of the participants found leading change to be difficult for them. They were unaccustomed to the stressors they received from the change process. They did not like laying people off and getting pushback from their employees and friends. Participants indicated they had many sleepless nights and that physical ailments began to manifest themselves. I believe the participants change-related extended work hours combined with their own personal challenges affected the participants' private family life, and this in turn impacted their work related experiences and job performance. Both the work environment and family environment provided feedback loops to the other.

Limitations

Before I discuss this study's limitations, I want to be clear about my assumptions.

This study included the following assumptions:

- The selected participants responded to the interview questions honestly and shared all of their perceptions related to the interview questions.
- The selected participants understood the terminology and concept topics referenced in the interview by me.
- The questions asked and data collected accurately gathered the perceptions of the experiences of the research participants.

This case study has a number of potential limitations. The case involves participants from a single municipality located in the Midwest; therefore the results may not be generalizable to other organizations. The values, issues, and approaches of leaders and organizations located in the Midwest may be different than those located in other areas. According to this case study's design, all of the study's participants were from the same organization. If participants had been selected from dissimilar organizations, with each individual being a separate case, I may have gained different insights. The case was selected because of my intrinsic interest in the municipality's leadership experiences and because of my ease of access to the participants. The case's accessibility was due to my having been an elected official within a municipal structure which resulted in my having contacts in many municipalities. My elected experience may have cause me to have unknown etic issue biases. Prior to this study, I had met or known many of the research participants. The informal relationship between the participants and me may have impacted the participant's emic issue perspectives. Furthermore, my elected experience may have impacted the way participants responded to my interview questions.

The participants' participation in the research was approved by two gatekeepers; they were the mayor and chief administrative officer of the municipality. A number of the participants felt they had to gain approval from the mayor or chief administrative officer before participating in the study. Participants indicated they had talked with each other about the study. Supervisor approval and peer cross-talk may have altered the way participants responded to my interview questions. Organizational documents used in this study were not specifically designed for academic research and may have presented incomplete or inaccurate information. Newspaper articles related to the case study's municipal issues may have contained reporter biases and inaccuracies attributable to the paper's editing process.

Implications for Organization Development Practitioners and the Field

I believe that organization development practitioners need to be certain there is a stable leadership team present before they enter a municipal government setting and assist in a change-related process. In this study, top-level leadership turnover caused repeated shifts in direction and this challenged the participants and their employees. If an organization has a significant amount of leadership turnover during a change process, organization development practitioners may want to invest in leadership team relationship building exercises. An organization's leadership team should be comfortable with each other and with the expectations of their supervisor.

It is important for municipal government leaders to be aware of, and prepared for, the challenges that leading change may create for them and their families. Organization development practitioners may want to consider conducting preparatory training sessions for leaders that describe and explain how leading change can add to their workload and

how it may impact their family life. I believe it would be beneficial for organization development practitioners to provide coping skill training to municipal government leaders, so that they are better prepared to deal with the emotions and experiences they may have while leading change.

In this study, many of the participants rose through the ranks without their having received any formal business management training. If a municipality wants to integrate business management tools into its change process, I believe organization development practitioners should ensure that everyone on the leadership team has had the appropriate training, and that they are all aware of how to conduct a SWOT analysis, strategic planning, and business planning. If some municipality leaders are deficient in business management skills, it would be beneficial for the organization to get them trained prior to their starting their change process.

In this research, the municipality had a long history of operating with a service orientation culture. Activities were accomplished the way they had always been done. The organization had limited exposure to traditional business management measures and business planning. The participants' rapid infusion of business management measures into the organization, such as SWOT analysis, strategic planning, multi-year business model planning, and multi-year budgeting and restructuring, shocked the organization's members. Organization development practitioners may want to encourage municipalities to gradually introduce business management measures into their organization, if members have had limited prior exposure. In the studied municipality, the change processes' rapid infusion of business management practices into the culture appeared to add more stress to the organization and it made the implementation of change more difficult.

This case study revealed that many of the participants appreciated the importance of communication and organization member involvement. Each of the participants indicated they wish they had communicated more and involved more individuals in their change process. It may be beneficial for organization development practitioners to remain involved with the municipal change leaders to help them invest the time necessary to communicate properly and involve stakeholders. Organization development practitioners may want to act as a form of communication and organization member involvement mentor to assist the leaders in maintaining their focus on good communication and member involvement. At times, the sense of change urgency may cause leaders to cut corners in their change process and this could lead to more challenges and time being invested later in the process.

Future Research Recommendations

I recommend further investigation into why positional leaders may understand the importance of collaboration, participation, consensus-building, and communication yet they follow a different path when they lead change. Each of the aforementioned categories could be studied independently, in partial combination, or as a whole.

The participants in this study indicated they did not feel they had enough time to build collaborative relationships, gain increased participation, build consensus, or recruit change agents within their organization. They indicated their desire to have spent more time communicating and listening during their change process. I encourage further research into the effects of well-planned timelines on leading change and how it may impact building collaborative relationships, increasing stakeholder participation, building consensus, recruiting change agents, and improving communication and listening skills.

A well-scheduled change process that is designed to allow time for each of the just-referenced activities may improve the inclusion of all these items.

The participants in this study were charged with leading and managing unfamiliar change-related tasks. I encourage future research into the effects that change-related implementation training may have on municipal leaders' experiences while leading organizational change. Positional leaders that are well versed in the intricacies of leading change may find their uncertainty and frustration levels reduced.

The participants in this study exhibited a preference for the use of private-sector business management models while leading their municipal government's change process. Literature suggests that the municipal government sector exhibits a different culture and different employee motivators than the private sector. I encourage future exploration and study of change-management models specifically designed to address the culture and motivators found in the municipal government setting. It may be beneficial to conduct a study that compares the results of a government-tailored change management model to one using a traditional private sector business management model that is being implemented in the municipal government setting.

I believe it would be beneficial to conduct research into the effects change agent preparatory stress-management training may have on positional leaders' work and their home lives. Preparatory training could include informing the leaders of what they may expect to experience while leading organizational change and how to emotionally prepare for it. The change process could begin after the leaders' training is completed and their coping and stress management capabilities could be studied. Such a study may involve

positional leader support groups and the impact they have on the participants' stress management.

This study suggested that leading change in the municipal government setting impacted the participants' personal relationships at home. Future research into the effects of work-related stress which is brought home and the resultant home life stressors' feedback loop to the work setting could be studied. I believe it would be beneficial to learn if the continuous negative spiral between home and work stress significantly impacts a change process.

Municipal government elections brings potential turnover in mayors and chief administrative officers. In this study, ongoing top-level leadership turnover contributed to participant uncertainty. It is possible that continuous top-level leadership turnover creates uncertainty in other municipal settings. I believe it would be beneficial for organization development practitioners to research potential methods that assist positional leaders with transitioning through the turmoil of top-level leadership turnover.

When considering the experiences of the participants I interviewed, I believe the phenomenon of positional leader alienation merits further study. In this study, the participants developed relationships within their organization. When they were charged with leading change, they upset the organization's status quo and found themselves being blamed for the changes that occurred. It would be beneficial for organization development practitioners to research how work relationship alienation affects the overall performance of positional leaders, the change initiative's outcome, and the change leaders' health.

Final Thoughts

I believe this research makes an important contribution to the literature and furthers the understanding of positional leaders' experiences when leading organizational change within a Midwest municipal government setting. I hope the information I have gathered helps the study's participants in continuing to improve the way they operate. Through interviews, theme analysis, and my personal reflections on the participants' stories, I gained an increased appreciation and understanding of their experiences. My newfound understanding helped me to realize how difficult leading change can be for positional leaders in the municipal setting. I appreciated the amazing degree to which participants were interested in my research and in the way they were open with me while sharing their stories. During all but one interview, I was impressed with the positive attitudes of the participants.

I hope this research helps future positional leaders understand the importance of stable leadership while leading organizational change. The participants in this study faced both the challenge of extreme budget reduction requirements and the constant turnover of top-level leadership. Continual turnover of the municipality's top leadership positions created stress and frustration for the organization's other positional leaders. Repeated leadership cabinet restructurings added frustration and increased workloads to the participant's lives. Supervisor and leadership cabinet turnover made it difficult for the participants to achieve their long-term goals and objectives, because each supervisor established unique directives, and new leadership cabinet members required orientation time and relationship-building before they could be an effective part of the team.

The statements of a number of participants revealed the hurt and frustration they experienced while leading municipal change. I was deeply moved by what the leaders

experienced and found myself saddened when I left several interviews. Some participants experienced supervisor betrayal when they were assigned jobs and later found that their supervisor would not stand behind them. Some participants were removed from their positions without their having been made aware of performance concerns. The participants in this study received limited professional development and performance feedback. I believe the participants needed to be mentored, informed, and coached on their job performance. The participants worked long hours and the more their departments were impacted by change, the less they were able to go home and spend time with their families. I felt empathy for the participants' and the many personal losses they experienced. I was happy that peer review and Qualrus qualitative software analysis of the interview transcripts found the same essential themes I did, which I believe validated the findings of this study. My dissertation experience provided me with an unbelievable learning opportunity and advanced my knowledge of the experience of positional leaders leading municipal change.

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Appendix A

Letter Stating Purpose of Research

Date:

Dear:

Thank you for your interest in my dissertation research on the experience of leaders who lead organizational change. I value the important contribution that you can make to my study and am excited about the possibility of your participation in it. The purpose of this letter is to restate some of the things we have discussed and to secure your signature on the participation release form that is attached. I am conducting a qualitative case study in which I am seeking a comprehensive description and depiction of your experience. Through this research, I hope to illuminate or answer my question: "What is the experience of leaders who lead organizational change?" With your participation, I hope to understand the essence of implementing organizational change as it reveals itself through your experience. In the research, you will be asked to recall situations, feelings, experiences, and/or events that you experienced during the change process. I am seeking accurate, detailed, and comprehensive descriptions of what your experiences were like for you. I will be asking for your thoughts, feelings, and behaviors related to your experience. I will also be looking for descriptions of events, situations, and people connected with your experience. I will meet with you on (day, date, and time) at (place). I will interview you and will tape record the interview and transcribe it. The transcribed data will be analyzed for essential themes which emerge. During the data analysis, I may contact you to conduct a follow up interview, or to ask for further clarification on points

you have made. Once the analysis is complete, I will contact you to verify that the information is captured accurately and depicts your experience. Upon verification, I will write my findings and share the completed research with you. You are guaranteed confidentiality and I will not identify you in the research findings, or in the completed document. In preparation for your interview, please reflect on your experience while leading your organization through change. The areas I will explore with you are:

- What is your age?
- How long have you been in leadership positions in your career, and in this organization?
- What positions have you held in this organization?
- How long have you been involved in the change process?
- Describe your type of leadership style. How has this affected your leadership decisions?
- What type of organizational change have you implemented throughout your leadership position here, or been involved with? Describe the process you used and the experience. How did this affect you? What would you have done differently?
- What else would you have done differently?
- What have your communication/interactions been like with your supervisor?
- What suggestions would you give others?
- Has your involvement in leading organizational change had any impact on your family life?

- What else do you want me to know about leadership, organizational change – and anything else?

I value your participation in this study and thank you for your time and effort. If you have any questions before signing this release form, I can be reached at 218-391-6930.

Respectfully,

Garry D. Krause

Appendix B

Case Study Participant Release Agreement

I agree to participate in the case study research of “What is the experience of leaders who lead organizational change?” I understand the purpose and nature of this study and am participating voluntarily. I grant permission for the data to be used in the process of completing a doctor of education degree, including a dissertation and any other future publication. I understand that a brief synopsis of each participant, including myself, will be used and include the following information: occupation, length of employment in the current position, length of employment in the organization, prior work experience, length of residence in the area, age, gender, marital status and any other related information that will help the reader to better come to know each participant. I grant permission for the just-referenced personal information to be used. I agree to meet at the following location _____ on _____ at _____ FOR AN INITIAL INTERVIEW OF APPROXIMATELY TWO HOURS. If necessary, I will be available at a mutually agreed upon time and place for an additional one to two hour interview. I also grant permission to tape record the interviews.

Research Participant/Date

Primary Researcher/Date

Appendix C**Consent Form****University of St. Thomas****What Is The Experience of Leaders Who Lead Organizational Change?****A Case Study****[IRB # B10-190-02]**

I am conducting a case study about what the experience is like for leaders leading organizational change. I invite you to participate in this research. You were selected as a possible participant because you are in, or have recently been in, a positional leadership role within an organization that is implementing organizational change. Please read this form and ask any questions you may have before agreeing to be in the study.

This study is being conducted by: Garry D. Krause, Eleni Roulis (Chair),
Department of OL & D.

Background Information

The purpose of this study is to conduct a qualitative case study into what is the experience of leaders leading organizational change. There has been considerable research into what leadership is and how important organizational change is, but there has been little discussion on how the experience of leading change may impact leaders. It is beneficial for leaders to be prepared for what to expect when they take on change initiatives. This research will document what the experience perspectives are of positional leaders that have, or are, leading organizational change. This research will expand the existing body of literature knowledge, increase the understanding the participants have of

their experience, and it will further my personal knowledge of the topic and lead to my conducting future research in question areas that develop.

In this case study, the objective is to search for the meaning's essences rather than formal measurements and explanations. Hypotheses will not be used in the qualitative case study. I will be using in-depth informal interviews. The formulated questions reflect my personal commitment and interest on the subject. The interviews will be tape recorded and transcribed. The interviews will consist of open-ended questions. I will follow an interview protocol. The questions will be topically guided and aimed at learning factual meanings of the participant's experience. The questions are aimed at better understanding: What is the experience of the interviewed positional leaders who are leading organizational change?

The proposed interview questions to be asked are: What is your age? How long have you been in leadership positions in your career, and in this organization? What positions have you held in this organization? How long have you been involved in the change process? Describe your type of leadership style. How has this affected your leadership decisions? What type of organizational change have you implemented throughout your leadership position here, or been involved with? Describe the process you used and the experience. How did this affect you? What would you have done differently? What suggestions would you give others? What else would you have done differently? Has your involvement in leading organizational change had any impact on your family life? What else do you want me to know about leadership, organizational change – and anything else?

When conducting interviews, I will not reference my leadership experience. During the interviews, I will take notes regarding the participant's non-verbal actions, facial expressions, and other manners. I will record the topic discussed at the time of the action and will use my personal notes when analyzing the data. I will also write my thoughts and feelings down as each topic is discussed. I will record which topic my observations notes were about. Immediately following each interview, I will leave the site and tape record my thoughts and observations of the interview. My tape recorded thoughts will be transcribed for cross-reference with the transcribed interviews. The interview transcripts will be reviewed by participants for accuracy and possible clarifications and additions. The participant's names will be coded to maintain their confidentiality. During the theme analysis stage, I will bracket my pre-understandings derived from my lived experience. I will suspend my beliefs, opinions, and theories of the phenomenon. I will maintain my focus on the articulated experiences of the participants. I will use meditative reflection and conversations with friends in leadership positions to make me aware of my existing understandings of leading organizational change. Through the reflective process, I will prepare myself for the interviews. I will strive to limit my physical expressions which may cause participants to respond in a less than open fashion. I will review the transcribed data to observe what essential themes emerge. I will select sentences that reflect common themes, or reveal insight into the phenomenon. I will organize the data by emergent themes and will bracket core items so the research is rooted in the phenomenon under investigation. All participant statements will be horizontalized so that each statement is treated equal. Irrelevant items and repetitive overlapping statements will be deleted so that only the textural meanings remain.

Textural meanings will be clustered. Once thematic reduction has been completed, I will vary my frames of reference and will move data forward and through reversals. I will approach the data from divergent perspectives and different roles and functions. My aim will be to arrive at structural descriptions of the experience. I will seek the underlying factors that account for the experience. I will strive to determine how the phenomenon came to be what it is. I will systematically vary the possible structural meanings which underlie the textural meanings. I will recognize the underlying themes that account for the emergence of the case's phenomena. I will consider the structures that perpetuate feelings and thoughts related to the phenomenon and search for examples that vividly illustrate the structural themes that facilitate the description of the case's phenomena. I will use intuitive interpretation to lead to a united statement of the essences of the experience. I will develop a synthesis of the textural and structural meanings of the essences of the experience and will support the themes with actual statements from the participants. There has been extensive discussion on what leadership and organizational change are, but little on what the effects of leading change have been on leaders. There are important implications that can be derived from this study. This research may help leaders to better understand what they may experience if they choose to consider implementing organizational change in their organization. Leaders can be better prepared for their future experiences if they prepare in advance for the challenges they face. This research could help them do that.

Procedures:

If you agree to be in this study, I will ask you to do the following things:
Participate in a two hour tape recorded interview. You may partake in a follow-up

interview to clarify questions that may develop. Once the tape recorded interviews are transcribed, you will be asked to review the transcripts for possible errors, omissions, or corrections. You will be asked to return the transcripts to Garry Krause with your written in comments. Your organization will be provided with a copy of the final dissertation for self-study purposes.

Risks and Benefits of Being in the Study:

You will be asked of your personal experiences and how they may have impacted your physical body and significant others. Your confidentiality will be maintained through the use of coding. The study will only elaborate on common emergent themes and this practice will mask any specific information as it relates to you specifically.

The Direct Benefits of Being in the Study:

You will benefit from from this study because of your personal reflective process. Your final review of the completed research may enable you to better understand the common experience themes that all participants have shared. Reflection on the documented research and open discussion could prove useful for you and your co-leaders while the team works to move your organization to new levels. Participants may find themselves better prepared for future challenges.

Confidentiality:

The records of this study will be kept confidential. In any sort of report I publish, I will not include information that will make it possible to identify you in any way. The types of records I will create include tape recordings, transcripts, personal notes and computer records. The data records will only be available to Garry Krause. Participant identities will be coded to prevent the identification of specific individuals. Participant

names, tape recordings, written notes, and related code keys will be secured in a location within the researcher's home that is separate from other stored research documents. All items will be kept in locked files in the researcher's home. Computer documents will be password protected.

Research documents will be erased and/or deleted January 1, 2017.

Voluntary Nature of the Study:

Your participation in this study is entirely voluntary. Your decision whether or not to participate will not affect your current or future relations with your current/past employer, or the University of St. Thomas. If you decide to participate, you are free to withdraw at any time up to and until *March 31, 2010*. Should you decide to withdraw data collected from you will be used. You are also free to skip any questions that may not pertain directly to you.

Contacts and Questions:

My name is Garry D. Krause. You may ask any questions you have now. If you have questions later, you may contact me at 218-391-6930. My research committee chair is Eleni Roulis 651-962-5341. You may also contact the University of St. Thomas Institutional Review Board at 651-962-5341 with any questions or concerns.

You will be given a copy of this form to keep for your records.

Statement of Consent:

I have read the above information. My questions have been answered to my satisfaction. I consent to participate in the study. I am at least 18 years of age.

Signature of Study Participant

Date

Print Name of Study Participant

Signature of Researcher

Date

Appendix D

Phase One Interview Questions

- How long have you been in leadership positions in your career, and in this organization?
- What positions have you held in this organization?
- How long have you been involved in the change process?
- Describe your type of leadership style. How has this affected your leadership decisions?
- What type of organizational change have you implemented throughout your leadership position here, or been involved with? Describe the process you used and the experience. How did this affect you? What would you have done differently?
- What else would you have done differently?
- What suggestions would you give others?
- Has your involvement in leading organizational change had any impact on your family life?
- What else do you want me to know about leadership, organizational change – and anything else?

Prompts

- Can you tell me a bit more about that?
- How did the situation come about?
- Tell me what you are thinking.
- How did you feel?

Probes

- What do you mean by...?
- What was the outcome of the situation?
- What did you do?

Appendix E

Phase Two Interview Questions

- What is your age?
- How long have you been in leadership positions in your career, and in this organization?
- What positions have you held in this organization?
- How long have you been involved in the change process?
- Describe your type of leadership style. How has this affected your leadership decisions?
- What type of organizational change have you implemented throughout your leadership position here, or been involved with? Describe the process you used and the experience. How did this affect you? What would you have done differently?
- What else would you have done differently?
- What have your communications/interactions been like with your supervisor?
- What suggestions would you give others?
- Has your involvement in leading organizational change had any impact on your family life?
- What else do you want me to know about leadership, organizational change – and anything else?

Prompts

- Can you tell me a bit more about that?
- How did the situation come about?

- Tell me what you are thinking.
- How did you feel?

Probes

- What do you mean by...?
- What was the outcome of the situation?
- What did you do?

Appendix F

Interview Protocol

Interviews will be conducted in a private setting.

The tape recorder will be placed in a central location between the researcher and participant.

Tape recorder operation will be verified.

The researcher will maintain a state of neutrality.

The participant will be briefed on the purpose for the meeting.

A brief description of the research process will be verbally provided.

The research question will be stated.

Interview questions will be reviewed.

The researcher will be prepared to write down comments and personal observations/reflections.

When necessary, the researcher will seek greater understanding with follow up questions such as:

- Can you tell me a bit more about that?
- Tell me what you are thinking?
- How do you feel?
- What do you mean by...?

The researcher will maintain focus on the participant.

Conclude the interview.

Gather tape recorder, tapes, notepads, pens, etc...

Thank the participant.

The researcher will dictate interview observations on tape immediately after each interview concludes.

Appendix G**Explanatory Letter Sent By Electronic Mail**

Date:

Dear:

Thank you for meeting with me in an extended interview and sharing your experience. I appreciate your willingness to provide your unique and personal thoughts, feelings, experiences, and situations. I have attached a transcript of your interview. Would you please review the entire document? Be sure to ask yourself if this interview has completely captured your experience of implementing organizational change. After reviewing the interview transcript, you may realize that some important experiences were neglected. Please feel free to add written comments that would further elaborate your experience(s), or if you prefer, we can meet again and tape record your additions or corrections. Please do not edit grammatical corrections in the transcript as the way you told your story is important. When you have completed reviewing the attached transcript and have had the opportunity to make changes and additions (in red), please e-mail me the reviewed transcript as an attachment. I greatly appreciate and value your participation in this research study and your willingness to share your experience. If you have any questions or concerns, do not hesitate to call me at 218-391-6930.

Respectfully,

Garry D. Krause

Appendix H**Transcriber Confidentiality Agreement****University of St. Thomas****What Is The Experience of Leaders Who Lead Organizational Change?****A Case Study****IRB # B10-190-02**

I, _____ [name of transcriber], agree to transcribe data for this study. I agree that I will:

1. keep all research information shared with me confidential by not discussing or sharing the information in any form or format (e.g., disks, tapes, transcripts) with anyone other than _____ [name of researcher], the primary investigator of this study;
2. keep all research information in any form or format (e.g., disks, tapes, transcripts) secure while it is in my possession. This includes:
 - using closed headphones when transcribing audiotaped interviews;
 - keeping all transcript documents and digitized interviews in computer password-protected files;
 - closing any transcription programs and documents when temporarily away from the computer;
 - keeping any printed transcripts in a secure location such as a locked file cabinet; and
 - permanently deleting any e-mail communication containing the data;

3. give all research information in any form or format (e.g., disks, tapes, transcripts) to the primary investigator when I have completed the research tasks;
4. erase or destroy all research information in any form or format that is not returnable to the primary investigator (e.g., information stored on my computer hard drive) upon completion of the research tasks.

_____	_____
Signature of transcriber	Date
_____	_____
Signature of researcher	Date

Appendix I**Computer Software Processing Assistant Confidentiality Agreement****University of St. Thomas****What Is The Experience of Leaders Who Lead Organizational Change?****A Case Study****IRB B10-190-02**

I, _____, agree to assist in the data software processing for this study. I agree that I will:

1. keep all research information shared with me confidential by not discussing or sharing the information in any form or format (e.g., disks, tapes, transcripts) with anyone other than Garry D. Krause, the primary investigator of this study;
2. keep all research information in any form or format (e.g., disks, tapes, transcripts) secure while it is in my possession. This includes:
 - closing any software programs and opened transcription documents when temporarily away from the computer;
 - permanently deleting any e-mail communication or other information containing the data;
3. give all research information in any form or format (e.g., disks, tapes, transcripts) to the primary investigator when I have completed the research tasks;

4. erase or destroy all research information in any form or format that is not returnable to the primary investigator (e.g., information stored on my computer hard drive) upon completion of the research tasks.

Signature of assistant

Date

Signature of researcher

Date

Appendix J**Confidential Disclosure Agreement****What Is The Experience of Leaders Who Lead Organizational Change?****A Case Study****IRB # B10-190-02**

This Agreement is entered into this ____ day of _____, 20____ by and between _____ with offices at _____ (hereinafter "Recipient") and _____, with offices at _____ (hereinafter "Discloser").

WHEREAS Discloser possesses certain ideas and information relating to _____ that is confidential and proprietary to Discloser (hereinafter "Confidential Information"); and

WHEREAS the Recipient is willing to receive disclosure of the Confidential Information pursuant to the terms of this Agreement for the purpose of _____;

NOW THEREFORE, in consideration for the mutual undertakings of the Discloser and the Recipient under this Agreement, the parties agree as follows:

1. Disclosure. Discloser agrees to disclose, and Receiver agrees to receive the Confidential Information.
2. Confidentiality.
 - 2.1 No Use. Recipient agrees not to use the Confidential Information in any way, or to manufacture or test any product embodying Confidential Information, except for the purpose set forth above.

2.2 No Disclosure. Recipient agrees to use its best efforts to prevent and protect the Confidential Information, or any part thereof, from disclosure to any person other than Recipient's employees having a need for disclosure in connection with Recipient's authorized use of the Confidential Information.

2.3 Protection of Secrecy. Recipient agrees to take all steps reasonably necessary to protect the secrecy of the Confidential Information, and to prevent the Confidential Information from falling into the public domain or into the possession of unauthorized persons.

3. Limits on Confidential Information. Confidential Information shall not be deemed proprietary and the Recipient shall have no obligation with respect to such information where the information:
- (a) was known to Recipient prior to receiving any of the Confidential Information from Discloser;
 - (b) has become publicly known through no wrongful act of Recipient;
 - (c) was received by Recipient without breach of this Agreement from a third party without restriction as to the use and disclosure of the information;
 - (d) was independently developed by Recipient without use of the Confidential Information; or
 - (e) was ordered to be publicly released by the requirement of a government agency.
4. Ownership of Confidential Information. Recipient agrees that all Confidential Information shall remain the property of Discloser, and that Discloser may use

such Confidential Information for any purpose without obligation to Recipient. Nothing contained herein shall be construed as granting or implying any transfer of rights to Recipient in the Confidential Information, or any patents or other intellectual property protecting or relating to the Confidential Information.

5. Term and Termination. The obligations of this Agreement shall be continuing until the Confidential Information disclosed to Recipient is no longer confidential.
6. Survival of Rights and Obligations. This Agreement shall be binding upon, inure to the benefit of, and be enforceable by (a) Discloser, its successors, and assigns; and (b) Recipient, its successors and assigns.

IN WITNESS WHEREOF, the parties have executed this agreement effective as of the date first written above.

DISCLOSER

RECIPIENT

(_____)

(_____)

Signed:

Signed:

Print Name:

Print Name:

Title:

Title:

Date:

Date:
