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Impact of Change Management on Employee Behavior in a University Administrative Office

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Walden University
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Abstract

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MS, Management, Southern Wesleyan University, 2004

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Dissertation Submitted in Partial Fulfillment

of the Requirements for the Degree of

Doctor of Philosophy

Management

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Abstract

This qualitative case study focused on the effect of a system implementation upgrade on employees' job performance within a central administration department of a major research university in the Southern United States. Review of literature revealed a lack of a specific model or process for system implementation upgrades and its impact on employees' performance in a university administrative office. Guided by Kotter's research on change management models, the research questions examined the attitudes and behaviors of employees involved with the business process project. Data collection was through purposeful sampling and face-to-face interviews with 11 employees. Data were analyzed through pattern-matching technique. The findings were that employees initially felt positive about being a part of the business process project. During the project, employees actually experienced (a) a lack of training, which employees advised to management was very important to a new process; (b) no definitive assistance and a lack of communication for individual concerns; (c) management's increased job duties and responsibilities without increased income; and (d) feeling unvalued in employee meetings. The implications for social change include the potential for positive employee behavior in colleges and universities when management is considering a change model or process involving employees in a system implementation during organizational change.

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Dedication

I dedicate my doctoral dissertation to my Lord and Savior Jesus Christ for the strength my faith supplied to me during this journey. I also dedicate this work to my three wonderful daughters, Jazmin Norwood, Jade Norwood, and Khrystyan Turner, who were instrumental in their patience and resilience of my long hours of writing and reading to gain insight into this dissertation. On days when I felt I could not go on, their vibrant, young minds would remind me about the why of my pursuit and the future opportunities which would yield not only my way but our way after I receive this high honor. Thank you my loves for not giving up on your mother.

To my brother, William Turner II, and my dear friend Timotheus Lee, I dedicate this dissertation to you. Thank you both for being instrumental in getting me through the technical portion of this dissertation and sharing your separate workplace issues with change management in the field of Information Technology. You read my research and realized there is hope in having patience and supplying guidance to your team as you both go through a major change as managers. Thank you for your honesty and willingness to want a better working environment for your staff.

Lastly, I dedicate this work to the management and employees at the institution that was pivotal in my research. Anonymity will not allow me to give specific names, yet I give sincere thanks for your patience, faith, and trust in making this research for me a reality and stepping stone towards change management in the university administration sector. Without you, this dissertation could not have been completed in the truth you freely gave.

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Chapter 1: Introduction to the Study

Introduction

The focus of this case study was to document the impact of change management within the setting of a university administrative office involved in a system implementation upgrade using a business process project in which employees' jobs were affected. Though research has shown that there are successful models and processes for the development and dynamics of managerial change in corporations and organizations to assist employees, particular processes in administration departments in universities seem to be not as publicized in recent literature. Although universities are facing similar growth in organizational change, the focal point of the change is the relevancy of change management processes within corporate environments for universities using these processes for guidance.

When a change occurs in business, sometimes individuals in management usually enlist outside consultants from a firm to aid in the transition of change for its employees (Thor, Scarafiotti, Helminski, 1998). Outside firms utilize some type of change management model or assessment as a guideline when incorporating change (Bouckenooghe, et al., 2009). Chapter 2 includes more details on several models and assessments used by organizations in which employees were part of the change, that were shown to produce a positive employee workforce. The implications for social change include the potential for positive employee behavior in colleges and universities when management is considering a change model or process involving employees in a system implementation during organizational change.

Chapter 1 includes background of the study, problem statement, purpose of the study, nature of the study, research questions, conceptual base, definition of terms, assumptions, limitations, delimitations, sampling and data, and significance of the study.

Background

Change is inevitable and is present in all facets of life, and the management of any change is widely varied and diverse in different forms of business. Negative employee behavior is most often the root of resistance to change. The dynamics of management leading the change can either contribute to the negativity or turn a negative situation into positive with winning results for the organization as a whole (Stensaker, et al., 2012). For managers attempting to help their organization through a major process that will affect employees, it is important for management to be visible in the office environment and measure the attitudes, beliefs, and values of their population, which is usually best done using surveys (Whyte, 1991). The surveys give management a view of how employees currently envision the idea of change before the change is implemented. When there is a change process in an organization, the challenges and the goals to be carried out *may not be fully accomplished* if those who are expected to carry out the goals are not included in the decision making (Whyte, 1991). Sagie and Koslowsky (2000) stated "The gap between the failure of management plans and their success may, therefore, be a function of the gap between worker resistance to and acceptance of these plans" (p. 19). The employee resisting change can be a troubling problem, sometimes more so than the complication of learning new technology. Advancement in technological change and rapid innovation has given rise to further resistance in the corporate culture that makes it imperative for the mitigation of the negative effects of employee reactions in the implementation of change in process, workflow, and technology (Craine, 2007).

The business side of management at universities has become more like the structure of corporate organizations, and this extreme change affects the managing of people. The Business Process Redesign (BPR) originally began as a process to aid in change for Information Technology (IT) within organizations. BPR was reengineered to include a change in Higher Education (Casey, 1995). Adoption of an organizational practice should also lead to the adoption of the change management models and processes used in a corporate organization to prepare its employees, and promote a healthy work environment (Hall, 2003).

In this research study, I examined the effect of a business process on the attitudes and behaviors of employees in the workplace toward change management and how their behavior was affected by the dynamics of management's decision of a system upgrade as it relates to the employee's current job duties. Since this was a system upgrade, employees gave references given to the first system implementation conducted several years ago, within the same administrative office. The outcome of successful change management models or processes used in organizations handling change, can bring confidence to a university administrative office with similar possible successful results. The challenge was to obtain enough employee feedback to choose the right model or process and incorporate it before the change implementation took place, although there are processes that can be included into the change implementation, even after it has begun.

In Chapter 2, I will present a thorough discussion of different types of models and processes successfully implemented in corporate organizations and the consequent impact on the employees' work behavior.

Problem Statement

Bringselius (2014) stated that management viewed obstacles to organizational change as being an issue of employee resistance, rendering the change ineffective. Lawler and Sillitoe (2010) suggested that a change management model might provide a reduction in employees' resistance to change, thereby successfully instituting change management in the universities.

The general business problem in this study was that employees are usually not a part of the process in any new or upgraded system implementation that directly affects their job. When handling organizational change, management usually decides how a change will take place and what method will be used to incorporate the change, without involving the employees (Brenner, 2008).

The specific business problem was the impact of a business process project involving employees in change management on the employees' job performance in a system implementation upgrade in a university administrative office during the initial implementation phase. This study is a qualitative holistic case study and the population of the study is the employees of a major research university administration office in the Southern United States. Emphasis in research was placed on change management and the effect on employee behavior. Change management reviewed in the literature revealed the need to understand if negative behavior and disloyalty to a company can arise under conditions where employees are not involved in the process of change management.

Purpose of the Study

The purpose of this qualitative holistic case study was to interview employees within a major research university administration office in the Southern United States to explore the impact of a business process project on employees affected by change management in a system implementation upgrade. I conducted interviews with a random sample of 12 employees who were present during the initial phase of the business process project of the system implementation upgrade, in an administrative office at a major research university in the Southern United States. The business process project began in the fall of 2014, and I identified employees at this 8-month interval for any involvement in the critical changes affecting their job.

Normally, business process projects do not include the *human* side of change, only processes to navigate the technical side of a major system change within a business (Hiatt & Creasey, 2003). In this study, I collected data on employees’ thoughts, attitudes, suggestions, and feeling about the process or model used to implement change and analyzed the data to find patterns and regularities.

Nature of the Study

In this study, I employed a qualitative case study approach, and incorporated open-ended interview questions to address the research questions. This case was a critical case in testing theories that employee engagement in change management yields a happy employee and a productive environment, exploring a qualitative holistic analysis (Yin, 2009). Qualitative case studies, according to Miles and Huberman (1994), focus on the occurrence of a natural or ordinary event, in a natural setting in hopes that data obtained in these studies can provide truth and impact the reader because of the real life context and the emphasis placed on a lived experience.

Research Questions

According to Yin (2009), when using holistic analysis, the main research question is indicative of a critical case in which a well-formulated theory is tested, and the propositions of the circumstances around it are understandable and believed to be true. Further, Yin (2009) stated that testing of the theory can extend, confirm, or challenge the theory if all conditions met the outline.

The foundation question for this study was: What impact has a business process project had on assisting and involving employees with change management in a system implementation upgrade affecting their current jobs in a university administrative office? In addition to the foundation question, four subquestions guided this study:

1. How had the employee been involved in the business process project?
2. What assistance from management provided to the employee as part of the business process project?
3. What major impact did the business process project had on individual job duties?
4. How had this change management initiative affected behavior on the job?

Employees and management are expected to experience more cohesiveness and success during and at the end of the application of the model or process to assist in the facilitation of change management involving a system implementation upgrade. The data that were obtained in this study can be used as follow-up investigative research in how change management continues to be a subject matter for employee engagement in this current year. Further discussion of the implications of the research questions is given in Chapter 3.

Conceptual Framework

The concept change is not considered a linear process that happens in a flat manner from beginning to end. A change model should incorporate skills, strategies, and structures as important drivers for change component initiatives. Carter (2008) listed seven phases in which these drivers can build up employee confidence in preparation of change:

- Set up for success – begin with the end in mind by mapping out exactly what needs to happen; this phase asks what do we want to change.
- Create urgency – change must happen to move the organization forward; this phase shows the first signs of resisting to changes; involving participants and obtaining their ideas is key.
- Shape future – introduction of the vision of change communicated, employees see how they will contribute to the new organization.
- Implement – actual change is now occurring, skills needed to handle the change are communicated and put into force.

- Support shift – identify the lingering resistors and address their issues, consider using an analysis of the stakeholders to provide leverage.
- Sustain momentum – celebrate the success thus far experienced, address positively any bumps in the road and use as platforms for lessons to learn from
- Stabilize environment – continuing to communicate positive change, incentives, and rewards, and promoting new opportunities for professional development.

The author stated using the initiatives of this model will generate a successful and lasting change within the organization. Although incorporating a change management or business process model is ideal for guidance in the successful implementation of change, there are some organizations that would like to know the state of their employees before the change is implemented. The purpose of this logic is to possibly delay any change implementation if the majority of the organization is not prepared (Carter, 2008).

The Organizational Change Questionnaire – Climate of Change, Process, and Readiness (OCQ-C, P R) is a step-by-step procedure involving a 42-item assessment used on more than 3,000 members of public and private organizational settings. The questionnaire's scale was developed to measure the perceptions of the parties leading the change, to provide a valid assessment of employees' readiness for change and the enablers affected by the change, from a human relations perspective. An organization is set to be prepared to embrace change and reduce resistance when employee readiness for change exists. The 10 dimensions of measurement are:

1. Emotional
2. Cognitive
3. Intentional readiness for change
4. Quality of change communication
5. Participation
6. Attitude of top management toward organizational change
7. Support by supervisors
8. Trust in leadership
9. Cohesion
10. Politicking

The sum of the 10 dimensions covers a complex mixture of change that includes change done within a context, how the change was processed, and employee's reaction about the change (Bouckenooghe, et al., 2009). The premise is to prepare all employees for the proposed change within the organization. The questionnaire identifies any problem areas as a prenotification of possible problems which could hinder any successful change. Once the problem(s) are identified, addressed, and resolved, the issue implementation can proceed. Although I was unable to find specific research, I propose universities could benefit from such an instrument and process if there is not a record of previous major change management based on a new business process model.

In my review of literature concerning change management models used throughout the world in various corporations and institutions, I found a very popular model of change used by dynamic management, which is the ADKAR model (Hiatt, 2006). The intent of the model is to be a guide or tool for management to use in coaching employees through a major change process in their organization, regardless of the specific level or department involved in the change.

The acronym ADKAR stands for:

- Awareness – of the need for change;
- Desire – to participate and support the change;
- Knowledge – on how to change;
- Ability – to implement required skills and behaviors; and
- Reinforcement – to sustain the change.

Hiatt (2006) based this notion for management to adhere to major change starting with an individual, not an organization. The ADKAR model is one of the several direct models that can be researched and used by an organization when implementation of a major organizational change is involving its workforce. The model is a directive in showing how employees can be engaged throughout the change management process, giving the employees a sense of worth, and valuing their input in the change that affects their job. Further research in the ADKAR model has shown several universities worldwide implementing its approach in their organizational change (Hiatt, 2006).

Research has not revealed a change management model specifically adapted for a university when a major change has to be implemented by the administration. University administrative offices face issues of change involving the implementation of new systems, or other changes in the functioning of their office; they are faced to decide what approach or model can be drawn upon as a guide to effectively manage employees, their behavior, and the work/job functions directly affected by the change (Buller, 2014).

Another possible approach to change management within a university administrative office is the use of a Business Process model (BPM). Review of literature indicated the BPM is a component used in successful business process management. A business process model maps out an organization's current process to create a baseline for process improvements and to design future processes with those improvements incorporated. Flow-chart like diagrams used, and processes understood by both IT and the business managers (Havey, 2005).

The business side of this model makes no reference to how to manage the people side of change involved with the process of improving business practices. Such a model would need an additional function to assist with how employees will personally handle the change. Scheduling training sessions throughout the process is a warranted feature; however, the structure is not tailored to the employees having a part in the change (Ostenwalder, et al., 2005).

Change process models are a common fixture in organizations worldwide and are used to ease employees into change without compromising important day to day tasks (George, Jones, 2001). The problem addressed in this study involved the decision for organizations to use change management models and/or business process models introduced through consulting firms, which have proven track records of years of success. Specifically, within the university environment, when the administration is faced with handling the upgrade of a major financial system to enhance central operations, the change for employees can be either good or bad. ADKAR is a viable model with lasting results, where the founding company can provide successful results dating as far back as 10 years with local communities, government agencies, and various businesses (Hiatt 2006, p. 143). The latest business models of change process improvement at universities researched are the Total Quality Management (TQM) model, first introduced to higher education in the 1990s, and the promotion of its successor, the Business Process Redesign (BPR) for Higher Education model. The BPR replaced the TQM at participating universities implementing change (Casey, 1995).

The conceptual framework for this study was in part drawn from Kotter's (1995) research on change management models, and the strategies which can be used to implement successful change. Kotter is world renowned for his research in change management and the reaction of the employee to change in organizations. In the study it is stated that graduate schools and organizations use his theory and action steps as part of organizational behavior coursework. According to Kotter (1995), managers and leaders can take eight action steps to facilitate change within their organization. The steps outlined in order of sequential movement, which brings accountability to the organization, the forming of an alliance between management and employees, and the openness of communication in all areas of the organization. In the study Kotter addressed the gap in the amount of successful research for corporations and organizations using his theory in organizational change.

Kreysing (2002) suggested The Georg-August-University in Goettingen was involved in a university reform project in Germany in July 2000, to promote performance through responsibility and autonomy. It has since given way to the Goettingen University reform of *controlled autonomy* which is based on the idea of there being a balance of power between the central board and its basic units, such as departments and institutes. A controlled autonomy model utilizes contract management between the two parties to accomplish specific vocal change with the University for academic and managerial reform, for budget allocation, and restructuring. The limitation of this model is that it does not mention its use or impact within an administrative department at the University where change was an indirect result of the issues between the central board and its basic units.

As noted by Gebelein et al. (2004), managers need a model to lead and manage change for their vision, which enables employees to get on board with change, endure and work through any issues dealing with implementation of the change, and to have successful execution of the change. The advice given by Gebelein et al. (2004) to organizations may be transferable to the central administrative department of colleges and universities since managed with businesslike qualities. One such model used successfully by organizations is the ADKAR model, noted at the beginning of this section. The basis of the action step within the ADKAR model concentrates on change awareness, desire, knowledge, ability, and reinforcement. There are also steps within the model that identify preparing employees and managers for change (Hiatt, 2006). One such process is cycle of change (Craine, 2007), which is a four-step cycle acknowledging emotions individuals experience when faced with change. Reactions are dynamic, and management's awareness of how to overcome in this area will assist in bringing meaningful change in college and university administration.

Colleges and universities worldwide are experiencing the implications of change management, whether it is within administrative units, or academic/faculty units (Karlsen, Pritchard, 2013). The culture is different from a corporate culture, yet change is synonymous, no matter the sector. Although the Kotter model is the most highly researched, there are other models and processes I introduced in Chapter 2 that can be researched beyond Kotter to find more gaps in theory which yields to organizations, and are weak in colleges and universities when faced with change management.

Definition of Terms

The terms defined below are for the purpose of this study:

Change management: Change management is the human factor in applying principles of change. A critical consideration for any initiative, yet the psychological implications of change are overlooked or ignored (Brenner, 2008).

External consultants: External consultants are expert professionals that are from interest groups, large consulting firms, and agencies specialized in the consultancy of higher education and research institutions (Serrano-Verde, 2010).

Assumptions

My first assumption was employees' behavior would be positive and employees' actions more engaging when they were informed of possible change affecting their jobs, and when they had the opportunity to take part in all aspects of the change. The dynamics of management is a major component in the establishment of a model or process to monitor the change implementation with employees and provide support in the case of possible employee resistance to implementation.

My second assumption was that using the interview method would give a direct description of how employees felt and what value they could bring to change in their administrative departments. The following were related assumptions specifically to the interview method:

1. All participants electing to answer the questions in the focused interview session did so in a complete and honest manner.
2. All participants had present or past exposure to a major change enacted by the administration/organization.
3. Participants participating in the focused interview session gave additional responses to interview questions when prompted to do so.
4. Employees voiced their concerns to be included in change directly affecting their job functions.
5. Management personnel had enough interest in the focused interview sessions results to make inquiries within their units concerning change management during a system implementation upgrade.

Limitations

The following limitations bounded this case study: The limitations of this qualitative case study centered on the possibility of not having enough employees respond to the invitation to take part in the open-ended interview invitation. Not having enough employees could have had a definite impact on obtaining needed saturation for assessment of how the employees' behavior had impacted during the business process project. There were 12 participants who responded to the email invitation to participate in the research study.

Another limitation was having accessibility to employees at the university to be able to interview during a time frame most convenient for them, such as their lunch break. Each employee was comfortable enough to speak with me in a conference room during their lunch break at the research site of the University.

A further limitation of the study was possible additional interview questions which allowed for additional conversation and expansion of some answers, although a few employees at times were not willing to grant further insight. There was further prompting of extended responses to the interview questions which gave added and crucial information to additional questions that did arise. The additional information was of value for the study, although some did not answer specific questions asked during the interview process. Also, all employees approved to have their interview responses recorded via a microcassette recorder

The stated assumptions included in the limitations were for questions not being answered completely and honestly, and employees' answers on what might happen if they were involved in major change within university administration.

Delimitations

The delimitation of this case study was as of the result of the purposeful sampling method used. The criterion for sampling was explicit to personnel involved in the major change to current business practices with the university administrative office. Personnel selection was varied between employees to gain a perspective from different views and different job titles. Some employees were salaried professionals and others considered as administrative help.

Sampling and Data

I used a purposeful sampling of employees interviewed for data collection from a major research university in the Southern United States in which a significant change in an administration office has occurred due to a system implementation upgrade. I collected data that were expressed as raw reactions of employee experiences thus far with the business process project, since the project's introduction in the Fall of 2014, and the impact it has had on employees' behavior with the invitation to be involved in the change.

I asked six open-ended interview questions (Appendix D), formulated by me based on literature review research from theorists seeking ways for employees to speak about their concerns with change management. I used a recorder to tape in audio the responses to all interview questions asked of the employees. An incentive for participating in the focused interview was a $10.00 VISA gift card given at the completion of the focused interview session. The use of the gift card was at the discretion of the employee.

The focused interview session is when each participant had a chance to provide short answers needed for the study without a prolonged question and answer session. However, the response rate to all questions was 100%. The open-ended interview questions used also gave participants an option to expand responses beyond the initial questions asked. There were respondents who voiced more than a quick interview question answer. The final results stated in Chapter 5 have given a good indication of the views of all respondents concerning change management during a system implementation upgrade at their campus, and if the difference made in their limited and some, non-involvement during this change. Saturation of data was obtained based on 12 employees responding to the invitation to interviewed, which meant new participants were not required, nor were there any new themes which emerged.

Significance of Study

The goal of this study was to research change management models and business processes used successfully in corporate organizations, where major managerial change without any input from the affected employee, could have a negative effect on the employee's job, and behavior as they resist the change. The model or process used in organizational change by management can provide a guide to management to actively engage the employee through all stages of the system implementation upgrade to promote positive attitudes for change and a sense of value and worth for the employee to continue to aid the organization in success for the business, all in the midst of the change. First, in this study I identified the gaps in the literature regarding university administration that are facing similar organizational change, and the negative reactions from employees who are not involved in the change affecting their current positions, when a system implementation upgrade is the result of the change. These institutions were not recognized as using a specific model or process of change for employee effectiveness as was noted of the corporations that used a specific model or process of change to assist employees. Moreover, the employees in these settings expected to be involved in the implementation, yet were not involved as they thought they would be. Second, in this study it was determined the successful use of models and processes in corporate organizations, and how a few employees' involvement aided in a smooth transition of change management within the organization, thereby showing a positive impact on behavior simply because these employees were involved in some way by management in the change process.

A further goal of this research study was the revelation of employee's feeling valued and worthy enough to be included in a critical change affecting their jobs, in that their behavior would be supportive of the change. The employees showed a willingness to continue to aid in the transformation of the administration without employee resistance. A model or process in university administration for the improvement of human work and social conditions that would promote feelings of value and worthiness to the employee is needed to fulfill this goal. The model or process used in organizations incorporate the employee in the change that will ultimately affect them, thereby reducing feelings of ineffectiveness.

The significance for positive social change of this research study is creation of a healthy work environment for employees engaged in the workforce of university administration when there is a business process change, new system implementation, or system implementation upgrade. When employees resist change, it can become very unhealthy at work, and the issue can ultimately be carried home. Tvedt, et. al. (2009), suggested in their research that "the healthiness of change processes make an important difference, potentially helping both the individual health of the employees and the productivity of organizations as the goals of the change may be reached" (p. 95). Using the general findings of the research study to present to university administration at professional development seminars can reiterate the need for the university administration to employ such models or processes specifically aimed at assisting the employee through the personal side of change, which is the goal of change management.

A major change occurs worldwide within universities as they strive to stay abreast of new technological changes, increased student enrollment and increased chances to embark on medical research. The promotion of a model or process to give administration in these institutions a foundational start to implementation of change is less hindering and stressful for the overall administrative department. The impact of the positive social change in worldwide institutions involved in change management and business processes in their department can have a lasting maximum effect of better health and happier family and friends of employees outside the work environment as well.

Summary and Transition

University administration is faced with improving processes and technology to enhance employee job performance and the functionality of the offices. Change accepted in the work environment has major implications for how such change introduced and carried out amongst the employees. While the ADKAR model introduced by Prosci (Hiatt, 2002) seems to be the best model for change with a large global following of successful organizations, and a discouragingly minimal number of university administration offices listed, there are other models and processes which could provide equal success involving change management. Research has conducted on many corporate environments along with what is the best practice to facilitate major change that will allow management to promote system implementations while involving the employees in all aspects of the change.

In some instances, external change management consultants are funded with large sums of money to visit these environments and lead the employees to change. University administration has also touched on using external consultants when in the midst of dealing with change management involving system implementation upgrades. Technology and the transformation of how university administrative offices conduct business outside of academics are forcing the administration to look at similar processes of management for their employees to become and stay successful.

This study focused on the attitude, thoughts, feelings and behavior of employees when the dynamics of change management during a system implementation upgrade does include or involve them in key processes of change, where their current positions are affected. Employees helped identify just how much of an impact and the effect they experienced and what added value they chose to give by being involved. The interview results will be used to assist in presenting administration in college and universities with potential models and processes to use in the face of change management. Also, there is hope in possibly working with an existing change management firm to adopt such a model or process specific to the university administration environment may be of a large relevance worldwide, with interchangeable components fitted for the particular change or need.

In this chapter, I introduced the background of the research study by discussing change management and its effect on employee attitudes and behavior when the employee resists change. I presented the conceptual base of the use of change models and processes in assisting employees with a change in an organization. I outlined assumptions, limitations, delimitations, and significance of the study. The literature review in Chapter 2 contains theories on organization history, understanding the cycle of emotions normally experienced by employees in organizational change, various processes and models used to assist employees in change, and the experiences of national and international colleges and universities involved in change at their institutions. Chapter 3 is a detailed description of the actual data used and the methodology incorporated into the research. Research study findings are described in detail in Chapter 4. Chapter 5 includes a discussion of the findings, conclusions, and recommendations for further study.

Chapter 2: Literature Review

Introduction

The purpose of this qualitative case study was to interview employees within a major research university administration office in the Southern United States to explore what impact a business process project possibly had on employees affected by change management in a system implementation upgrade. An examination of research in managerial change and organizational dynamics revealed employees have a high preference when involved in major change in the organization. Most employees view change as the possibility of facing a new and different way of performing current job duties, which will impact their normal flow of work (Alasadi, Askary, 2014). The changing opportunities and demands of a dynamic environment make organizational change essential for there to be a long-term success (Conceicao, Altman, 2011). Brenner (2008) noted that one CEO thought that, even in the face of change, the organization's stakeholders should show a commitment to their work duty and value for the change initiatives to be successful.

Research involving organizational change models dates back to the early 1950s. Exposure to this information in the world of colleges and universities may be the answer in a specific model or program assisting their administration with a managerial change. Organizational change occurs when there is a need to reorganize a current business process within a corporation (Whyte, 1991). The focus of this study was change within a major research university administration office in the Southern United States. With so much of an emphasis on systems and programs for corporations, my examination of these practices focused on possible success in using the same framework for colleges and universities.

Management often looks to what will be the most effective way to present change, with minimal resistance from employees. Organizational change is propelled by the primary roles of psychological and organizational dynamics. The motivation for the necessity of change initiated by management is usually in one of the following three categories:

1. The denial phase is no longer valid on the decrease of company performance, and leaders must adopt a process for correcting the negative.
2. Competition has the organization in a threatening mode.
3. The organization is on a constant path of change to keep customers happy, and for the growth of the business. A process where change is always inevitable, keeping employees alert and prepared (Brenner, 2008).

The human factor of the employee will always be the most critical initiative to consider in change, yet is the most often overlooked, thereby making resistance dominant (Brenner, 2008). Although the setting differs, these three aspects are the same in a college or university.

This chapter includes a more thorough review of organizational change. I examine several processes explored by companies when faced with a change in their organization, and its effect on the employee. I also discuss how colleges and universities have experienced change and how the institution managed the change. Most organizational changes occur because of some form of implementation (Kotter, Schlesinger, 2008). I conclude the chapter with a clear indication of the gap in knowledge for specific situations in change management for university administration. The chapter concludes with an analysis of the current literature concerningdministration in a system implementation upgrade in, the current study's limitations, and a brief introduction to to Chapter 3.

Literature Search Strategy

I used several databases from Walden University's library to search for literature. These databases included Sage Journals Online, Academic Search Complete/Premier, Business Source Complete/Premier, Emerald Management Journals, ABI/INFORM Complete, Google Scholar, ProQuest Central, EBSCO. The keywords used in the search included *managerial dynamics, employee involvement, models used in implementations, university business models, university management business models, managerialism in colleges and universities, change management, organizational change, organizational management, change management models, employee engagement models, organizational dynamics, management dynamics, employee behavior in organizational change, and employee engagement, college and university administration, change in higher education*, and *change in institutes of higher learning.*

I identified many peer-reviewed journal articles about change management within corporate, government, or organizational structures that were published between 1993 and 2014. Specific literature for college and university administrative change mainly dealt with the issues of faculty involved with the change in their respective academic departments. Several peer-reviewed articles I discuss in this chapter is are about results of managerial and implementation changes in colleges and universities in other countries. I discuss how researchers conducted research in other countries on the effect of change management in administration and reported that there was an overall impact on employees, students, and faculty involved in some form of organizational change. Three specific models, Strategies, Skills and Structures Model, the Top Down Model, and the Kotter Model, are discussed in the chapter for engaging employees in change at university institutions that were not specific to central administration. Each article used for the purpose of this research had individual notations and underlining points to the main ideas to reference in the literature review. Finally, I synthesized the literature reviewed based on similar studies conducted to implore an overall collaborative transition from one section to another.

Change Management

Definition

Regardless of the sector, size, or age of the business or corporate entity, change is a common all-embracing phenomenon and impacts all organizations (Bouckenooghe et al., 2009). Survival of the fittest in the marketplace determines if the organization did or did not manage the change well (Kennerley et al., 2003). Change management is a concept which denotes how businesses manage the people side of change, and if they are successful at doing so (Hiatt, Creasey, 2003). Management of change is contingent upon the people involved, the type of business conducted, and lastly the actual action of the change taking place.

Understanding

The reviews in this chapter are based on decades of organizational studies used in researching change management in organizations as a major theme. An essential question I have of these studies is: Why do organizations change? Business and organizations experience upward growth, decrease or downsizing. The response to the change can affect the system, strategy, mission, and structure of the organization. There is a trend toward less bureaucratic and more participatory and flexible structures used for change.

The expectation of change is to have a positive impact on the development of individuals and the organization as a whole. This positive expectation is hardly ever the case in the beginning and throughout the change process. A design can have a complete plan for change and still fail from assisting the organization with change. There are four important criteria for management of change to be successful:

1. Changes linked to the motives of the organizational members.
2. The internal and external sources of change must identify to the organization.
3. It is necessary to examine the extent to which organizational change associated with organizational unity, consensus, and order.
4. Finally, organizational change must be considered over time (Song, 2009).

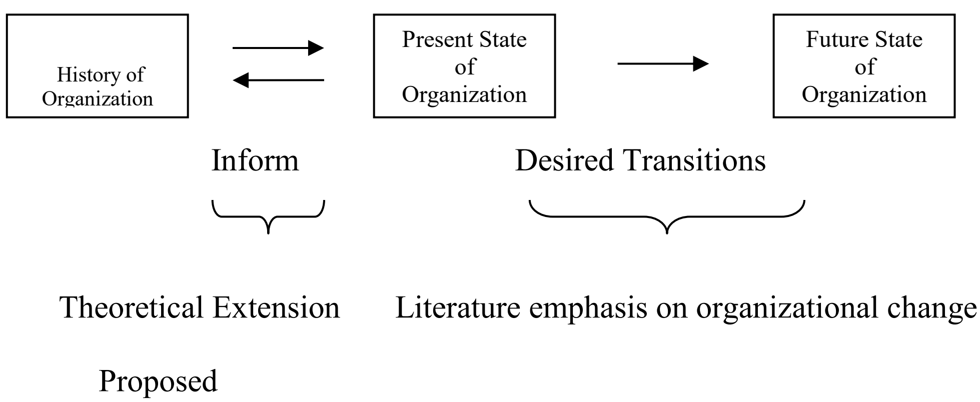
A clear understanding among employees concerning all aspects of change if the organization is ready for the change envisioned from management or leadership is optimal. and management must ask questions if there are proper resources in place to monitor the implementation of change through until completion. Change has to be monitored to ensure fixing mounting business problems. Change drivers, which are behaviors or determinants facilitating the implementation of change, are used by management to help in this instance. The examples of these change drivers include vision, communication, training, new systems for better productivity, participation, and leadership models, and changes in human resource practices. An essential question for leadership to define is what gave birth to the initiative for a change? Change management can be complex and challenging, and the pace of change within the organization may become greater each year (Whelan-Berry& Somerville, 2010).

Change management processes go through phases that require time. All managers and leaders have to be ready. Erwin (2009) stated that initial planning and accountability on this level is critical. It is up to management to foster a culture of change amongst the organization and lend new ways of thinking. Management can establish if this is the first change the organization has incurred, or if past changes occurred by which a previous lesson was learned. Sustaining change in successful implementation is part of organizational change.

Organization History

Management can seek the organization's change history before major change occurs. Organizational leaders embarking on the history of an organization's change can possibly make a significant difference in the current organizational change becoming successful. It is important for current management to find out why and how the current organizational change process started. Historical organizational change increases when there is continuous organizational development by management in efforts of improving the company. It is a record of the life cycle or age of the organization. The history of an organization can help management to understand what previous processes were, and how to change the efforts for the future.

Prywes (2011) advised that failure to acknowledge the past could be one of the biggest and most important aspects of change recognition in the need for organization history. Leaders and managers involved in change must know the previous ways in which their organization facilitated change and its sensitivity to employees, in order to be able to handle future change implementations. Figure 1 makes explicit the link between the present and the past of an organization based on Prywes (2011) change model of a holistic organization.



Current literature on organizational change emphasizes that the transition between the present states of an organization be contingent on its future state. A theoretical extension is proposed recognizing how the present state of an organization's history is informed.

Figure 1. Change model of a holistic organization

Effect of Change on the Employee

The effect of change on the employee can have lasting effects on the organization if the change is negative (Appelbaum et al., 2007). The vision of organizational change should be accepted by employees and other stakeholders for the organization to move forward in a positive manner. Often organizational vision is not accepted by the employees in their current work assignments and the change initiative within the organization usually fails. Management communication to the employee about upcoming organizational change before the onset of change is crucial, not just in the beginning of the implementation change process, but continuous communication throughout the process. Employee participation in the implementation of planning or being involved in a pilot program can increase commitment and deepen knowledge of what the organization is doing (Whelan-Berry& Somerville, 2010). Organizational members can expect to enjoy the benefits of organizational change when they contribute to the change. There must be positive employee behavior changes, or the change implementation will not succeed. The behavior changes embed into the structure of the organization (Song, 2009). The behavior of the organizational environment has a major role in the productivity of the employee. The workspace possibly changing can upset the feeling of belonging that was previously there (Haynes, 2007). It is important for management to respect the employee and their contributions and ideas to the organization. Without the benefit of respect, the threat of the organization suffering is imminent. Respect by leaders of the workers they manage fosters a nurturing environment and brings a culture of success (Simplicio, 2011).

People automatically resist change, and this negatively affects implementing anything new in processes, technology, and/or workflow. People resist change because it makes them uncomfortable and negatively affects their confidence in being able to learn a new system or accept new responsibilities. Craine (2007) introduced a cycle of emotions entitled *the change cycle* (p. 44), which is a four-step cycle explaining the emotions employees are likely to experience in the face of change, which are the *comfort zone, no zone, the chasm,* and *the go zone.*

The comfort zone. This term refers to the *before* change zone, where an employee is comfortable with the way things currently are. They have control of their lives and their workspace. The change introduced to the employees disrupts this control and comfort.

The "no" zone. Craine (2007) stated that the most common reaction to change from an employee is the word "No." This reaction signifies the beginning of change and the end of recurring processes. Several forms show in this zone:

- Shock: In this state, the employee's psychologically paralyzed, and reasoning is no concern to the employee; listening is good first aid for this reaction;
- Denial: The employee feels the change will not affect them. They wait a few months and believe it will pass, and thereby look for another opinion to the change;
- Anger: This association happens when denial can no longer be acted out by the employee. It affects other people working with the angry person;

> and resentment, frustration, and sabotage by the employee – the combination of all three of these feelings - is manifested at the onset of anger, leads to an employee doing nothing for the job, and producing erroneous information is frequent.

The “No” Zone is a delicate and difficult phase for managers to handle during change management.

The Chasm. *How do I make this work for me* - is the response of the thoroughly confused employee. The chasm is a term used when employees have the opportunity to grow and build; if they are accepted and possible commitment lost. Bargaining will happen where the employee tries to ease back into their comfort zone and old roles. Depression felt if there is a possibility of being reassigned, or may become overbearing causing necessary overtime. Anxiety shown by the employee since the employee does not know if they will keep their job if they are unable to keep up with the changes.

The “Go” Zone. When management and employees have agreed with the change management implementation, the organization is in the “go” zone. There is acceptance organization-wide, with high levels of expectation in a positive sense. Everyone is supportive of the change and of assisting each other through the change. There are excitement and clarity, and communication at every step of the way (Craine, 2007).

Bartels, Pruyn, and Jong (2009) believe when employees strongly identify with their organization, they tend to have a positive attitude towards the organization, are less likely planning to leave, are satisfied with their current job, and are very cooperative with other members of the organization. The dynamics of how an employee views the premerger of their company or new implementation will greatly contribute to the view and success of the post item. The authors conducted their study at a Dutch university during a time of major organizational restructuring within the institution.

The discouragement of negative behavior as a result of how an employee views their organization before, during, and after organizational change can possibly give the organization a successful implementation. Workplace behaviors that contribute to the wellbeing of the organization are imperative to the organizational goals. The reevaluation of the norm's, social values, and attitudes of the organization are vital for the survival of employees with deviant behavior. Empowering employees with innovation and making organizational goals and strategies accessible to the employees will possibly bring positive behavior for the long term of the organization. The message that management sends to the employee is that it is okay to accept and engage in change, as the organization attempts to stay ahead in its industry (Appelbaum, Iaconi, & Matousek, 2007). Bhatti and Jinnah (2008) implicated employees are becoming key factors in the decisions of strategy at an organization, which was an indisputable fact in Pakistan. Employee commitment is vital to the overall organizational effectiveness at a time of competition when the workforce has to be strong. Growth and high performance must involve employees, which will increase employee satisfaction, decrease turnover, and increase productivity and employee commitment. Employees incorporated in the change management process at a Pakistinian organization must, like their U.S. counterparts, have a desirable place to work, and feel their skills can still be enhanced, both personal and technical.

Employee inclusion for change management can hurt or help the organization as a whole. The effects of employees not being included could be detrimental to the employee if the assessed change is just about the organization, and not also about the welfare of the employee. When organizations support the employee, change can be successful. No organization, college or university should implement change without the input and step progression of the employee working on the front line (Alasadi, Askary, 2014).

Possible Models for Organizational Change and Dynamics

Change models that can be found can assist in the implementation of change as being important in identifying the reason for the change. The models also represent a level of communication from management to employee. These models usher the change through all parts of the organization, and reveals the vision to groups and individuals, teams, and departments, and coincide the process for all (Whelan-Berry & Somerville, 2010).

Strategies, Skills, and Structures Model

One of the first organizational change models introduced was by Kurt Lewin, a social psychologist, in 1947. He described a *three-stage* process, in which stage one was called *unfreezing:* prepare the mind for the change by setting to the side of an old way of thinking. The second stage is when the change occurs and causes a period of transition and confusion. Moreover, stage three is *freezing:* solidify the new mindset and go back to their comfort zone before the change happened. The staging process was a type of strategy to ease the organization into change using a definite model that used skill and was a structured process. Based on Lewin's model, the author embarked on a change model incorporating seven phases for strategy, skill, and structure.

1. Set Up for Success: Hailed as the umbrella phase for the initiative for change, it starts with the end in mind and maps what needs to happen. Organization-wide communication of this phase is done as soon as possible
2. Create Urgency: This phase will identify and address any resistance to change which may be revealed. Negative behaviors are encountered and managed since there is a proactive approach at the beginning.
3. Shape Future: Share the change with all employees and staff involved. If the members of the team know what will be happening, they are more likely to engage in the change. Vision statements should be printed and placed all over the organization, which show long and short term goals.
4. Implement: Change occurs; the new process is to begin. Here, the skills needed to go forward in change are required and addressed.
5. Support Shift: Identifying factors of support and resistance is critical and addressed in the organization. There may be something in the implementation phase that did not show progress as management thought it would.
6. Sustain Momentum: Positive behaviors are reinforced at this stage. Milestones during implementation, whether big or small, are celebrated. Productivity is recognized, and leaders showed employees the possibilities of bright reflections of the future ahead.

7. Stabilize Environment: This phase is the capstone phase of the entire process. The new change is important and is here to stay. There are incentives and rewards in place for future career advancement. At this stage, job descriptions are created, modified or eliminated (Carter, 2008).

Top-Down Model

This was a model used on Employment Reform at a university in Mainland China. The reform was to launch a new personnel system within the university, based on contract and performances, with competition and emphasized rewards. The administration was clearly at the front of all change implemented at the University. There was no involvement in decision making about organizational change with faculty and staff, who voiced complaints of unhappiness (Lai, 2010). The *Top Down* model refers to all decisions made at the top of the organizational level and flows down to the employee as to what decision management will decide. I included this model as information only to expose to the reader how critical having a model of change which includes the employee is vital to the success of the organization.

Kotter Model

John Kotter, a renowned researcher in organizational change, has developed and helped corporations worldwide implement his change models within their organizations. His eight steps to change introduced in his book *Leading Chang*e, was written in 1995. The author lists the eight steps and the actions needed to make the model successful in the organization:

1. Establish a sense of urgency:

- Analyze environment for potential crises and opportunities.
- Convince 75% of managers status quo is more dangerous than the unknown.

2. Form a powerful guiding coalition:
   - Assemble groups with commitment and power to lead the effort.
   - Encourage them to work as teams outside the hierarchy.
3. Create a vision:
   - Create a vision which guides the transformation.
   - Develop strategies for turning vision into reality.
4. Communicate the vision:
   - Communication is multi-channeled and continuous.
   - Coalition managers model the new behaviors/actions.
5. Empower others to act on the vision:
   - Change or eliminate processes and factors impeding transformation.
   - Encourage risk-taking, innovations, and action.
6. Plan for and create short-term wins:
   - Define and proactively promote visible improvement successes.
   - Recognize and reward employees positively involved.
7. Consolidate improvements and produce more change:
   - Build on credibility from early successes to advance more implementation plans (e.g., removing barriers, getting additional resources).

- Promote/hire individuals who support and can enact the vision/implementation plans.
- Energize the process with additional targets.

8. Institutionalize new approaches:
   - Be proactive with explanations connecting new approaches and transformation successes.
   - Succession plans should be created to identify individuals who can carry the vision forward in the long-term (Kotter, 2007).

This model introduced by Kotter is to provide a basic framework for management to build upon, rather than use for action plans on a step-by-step basis. Managers must be visible role models who are also positive, and available to provide instruction and explanations when there is confusion during the change. Leadership carries the key which will unlock all the benefits of transformational change within any organization (Stragalas, 2010).

Corporate Change and Dynamics

There are difficulties in making changes in the organization when there is no profound vision from management of what the change should be or encompass (Woodman, 2008). A successful medium-sized company in South Korea failed to implement an electronic workflow system through its Internal Technical department that affected the entire organization. There were internal factors and power shifts among management, as well as the poor design of this system. The failure of the system was more than just a technical issue. Users of this new system could not perform their jobs better. New management's inclusion of the system, where even they did not have proper training, was also a major factor to failure. Moreover, one of the main barriers to success was the culture between Eastern and Western countries and having to adapt to ways and processes not normally done in the organization. The importance of the culture aspect is there are more and more countries implementing global operations, and the barrier of cultural differences can lend a detrimental effect on not just an IT implementation, but any implementation affecting an organization (Warren & Myungsin, 2007).

An organizational change study researched by Waweru (2008), viewed 31 Canadian manufacturing companies that implemented changes to its management accounting and control systems. The changes were to perform the following:

- The organizational capacity to learn is great
- The increase in size
- Decentralized organizational structure
- More intensely competitive environment
- Higher reliance on technology
- High emphases on differentiation strategies
- High emphases on low-cost strategies

Changes in the new systems suggest that organizations with the greatest number of management accounting systems will more likely have changes made to their management accounting practices. There should not be such a high reliance by management on technological aspects of change; rather it should be on the employees involved in the organizational change. The main hindrance to the changes was the lack of accounting staff. With any new implementation, there will possibly be a need for more staff. Employees should not feel the weight of the world is on their shoulders. Hence a shortage of staff would bring longer than normal work hours, and additional responsibilities, which were factors for resistance by employees to the change (Waweru, 2008).

In Corporate organizations, change and dynamics are the framework and responsibility of leadership, regardless of what type of implementation is being considered. There should be greater stability by leadership to the organization before, during, and after the change. Employees have success in their effort, costs of change implementation in assisting employees with change are minimized, and the future of the organization can include creative-competitive endeavors, and enhanced profitability for the global economy (Cangemi, et.al., 2011, p. 32).

Scenes of Change in Colleges and Universities

Although we have just read about many corporate stories of change with positive and negative conclusions, the focus of this study is on pertinent scenes of change in colleges and universities, involving its administrative staff/employees and the management/leadership teams who hold the key to organizational success or failure.

Administrative

The pressures of increasing student enrollment and decreasing resources resulted in a negative effect at a university in London, England. Changes no doubt had to be implemented fast in the administrative offices. Staff had become completely overworked and was performing double duties, with more hours beyond their normal work time because of the increased enrollment. High turnover within the administrative department rose considerably as a result. The Business Process Re-engineering (BPR) model was looked at by university management for guidance and possible ideas during this time. Usually, a committee is nominated to oversee exact changes, and they communicate their decisions and recommendations. The changes that management decided were the hiring of additional staff for the front office to serve as customer service, in order for the back office staff to be free to handle other administrative issues as they arise. Management communicated new office hours to the staff and students. Some duties of the office completely moved to another office better suited to handle some of the incoming inquiries from students. There was a “secret shopper”, person who is part of administration yet is unknown to the staff, put into place to verify if the proposed changes within the office were working. The success of this change was in part by having a team to specifically oversee the organizational changes needed, and the results of receiving input from the stakeholders of how to make the office better (Child & Lander, 2008).

Other Divisions

Research administration at Penn State had been under heavy expansion within the past few years. To manage the change effectively, the university begins designing training programs to enhance the knowledge and level of expertise for newly hired employees in the administrative office. The training programs included self-paced, computer-assisted learning modules and packets about the office environment and positions. There was also a series of workshops promoted using “team teachers” to review the objectives learned in the computer programs. Participants gave positive feedback to leadership that they had learned a great deal and were better prepared for the changes in the new office environment with the in-house training program (Eyerly et.al., 1993). A university in South Australia ventured out to using a university-corporate education partnership to train their employees for the changes at the institution. This partnership gives employees a wide-range of change implementation topics to study and to also possibly give them a chance at course-work for better job performance and production. The attraction of training retains employees and makes them feel valued in their work environment (Ryan, 2009). The scenarios at Penn State and the University of South Australia included preparatory techniques for the employees involved in change, as a tool to combat any dissension from the employees.

Managerial Change and Dynamics in International Colleges and Universities

European institutions are adopting more private corporate sector techniques to manage change, termed as *managerialism*, and it is taking up a new place in higher education. The institutions have not fully agreed on the acceptance and use of the managerial changes brought in from the corporate environment into these institutions. Universities are beginning to be held more and more accountable for the quality of their performance by their Board of Trustees to improve their administrative quality. Managerialism as defined by the authors is "the trend of adopting organizational characteristics, such as organizational forms, technologies, management instruments and values that originate from the private sector organizations" (Smeenk, et.al., 2009, p. 591). While this is most prevalent in colleges and universities in the U.S., I will now give examples of how institutes globally compare with the issue of managerialism, and allowing their employees to have a voice during organizational change.

Germany

In the case of academia in Germany, Serrano-Velarde (2010) noted there is a history of such a shift in the dynamics of managerial change. Consultants from corporate organizations are becoming prevalent in higher education institutions. Universities are increasingly calling upon the external expertise of consultants in management, where there is more structured knowledge to implement change and process change within an organization. Mid-sized to large-sized colleges and universities with a student enrollment of over 10,000 has made consultancy a common phenomenon. Management gives a common reason for the employment of consultants at a college or university as having a need for an "objective third person, an impartial outsider that would help us carry out a specific change project". The firms who employ management consultant teams are knowledge-intensive, and usually enter into an organization where there are problems with a top-down management model. Academics define themselves as experts, which mean to have an outsider come in and break them down in their organization seems to be almost an insult. It is the job of upper leadership to bring in consultants as an addition to the change and often communicate with the entire organization as to the consultants' role. Collaboration between all parties involved would make for better organizational change success.

Serrano-Velarde (2010) also advised that few German universities have suggested that successful radical change in organizational management is necessary for the organization to develop change measures suitable that will be revolutionary for their goals to be achieved. The German Government is responsible for all planned change measures, which reveals an influence of dominance in the management of the universities. The specified goals listed were the reasons for radical organizational change enacted within the universities:

- More publications in top-tier journals
- More autonomy for junior faculty
- Reduction of the entry age for full professorship
- A higher percentage of qualified international researchers

Fiedler, et al.(2010) conducted extensive reviews of literature in reference to their argument of when radical organizational change will occur (Greenwood & Hinings, 1996 as cited by Fiedler, et al, 2010). Radical change in organizations happens when those affected by the change are not satisfied with the way their current interests served while being coupled with their commitment to value alternatives. There must be leadership support by adequate knowledge of which actions to take when faced with radical organizational change, as well as the power to take the action.

Institutions demanded the German government respond and establish normal measures of institutional change: introducing junior professorship and abolishing the authority of when one can teach at a university (termed *venia legend)*. The purpose of these measures was to reduce the time necessary for all junior professors to meet tenure qualifications, while at the same time allowing an increase in the independence of the junior faculty from the role of academic advisor, to create a more international environment in Germany for research and teaching. The dynamics of evolutionary-developed change measures to bring about a radical change in educational institutions are viable to reaching organizational goals. The study revealed that planned change measures could serve as a catalyst for radical change; in so much as the planned change measures are the reasons for the movement for change (Fiedler, et al., 2010).

Kenya

Leadership adoption of corporate models by colleges and universities within the past few decades have brought about much debate over the surge of higher education being for the good of public interest or private corporation. The authors, Johnson and Hirt (2011) examine how staff at two public universities in Kenya, Africa viewed the intersecting of development and marketization. Since public higher education is viewed by most as social institutions, there are thoughts from citizens and government that the development process of public higher education is an act of agents of the public. There has been pressure by the public in recent decades for educational reform: the reformation of transformation of public institutions to be more of a market agent instead of the traditional agent of development. The shift would possibly bring more private financing to the institution instead of reliance on public funding, there would be initiatives for quality assurance, and programs would go through reallocations. Scholars are standing firm on the historical model of public good, thereby not accepting the current trends in academic restructuring. The debates of reform frequently turn faculty against the administration.

The model foundation for public good for which it stands is that:

> ..higher education is a social institution devoted to functions such as 'the development of individual learning and human capital, the socialization and cultivation of citizens and political loyalties and the preservation of knowledge and the fostering of other legitimate pursuits for the nation-state'…..producing both knowledge for the public benefit and educated citizens (p. 484).

Higher education is believed to be necessary for "economic sufficiency", and for the correlation of cultural, community, and civil life. Within the past 25 years, more nations are shifting higher education to a managerial model, which consists of effectiveness, economy, and efficiency in the institution. The pressure of shrinking budgets from state governments leads to the decrease of spending for colleges and universities, forcing most institutions to look to more private funding sources. More and more market forces are being reflected to obtain privatization at public universities. Some of these forces are:

- Quality assurance initiatives that purportedly ensure accountability
- Influx of management language to describe functions of the institution (i.e. students as customers, deans as vice presidents)
- Reorganization of academic units or adjustments in product lines to reflect current market demands
- Faculty entrepreneurship, where faculty recasts supplicants of research dollars, and prioritizing revenue generation over teaching students
- Administrators become brokers negotiating transactions with private industry for University products

These transformations bring the perceptions of higher education from what was classified as a public good, to now a private good, which only benefits students who can afford an education, and to bring in industries willing to afford the funding of research. Many citizens perceive this new business adoption of higher education as a betrayal to the students, the faculty, the staff, and largely the society. On the end of extreme opinion, critics have agreed upon this statement: "..that these reforms threaten intellectual independence (of faculty and students), cultivate obedience (in students), and decrease critical inquiry and access to knowledge, in effect undermining the traditional values of the public university" (Johnson & Hirt, 2011, p. 485). Funding research at institutions should not require the institution to change its normal operations. There should not be such a large stake of change demanded by the organization.

Administrators and faculty view the contributions of development by their particular university differently. The two institutes of higher learning that were reviewed are (actual names not used) the University of Kenya (UK) and Kenya National University (KNU). The early and mid-nineties brought about market-oriented reformation in Kenyan public education in the form of stages from the government, especially since funding from the government was steadily decreasing. The most notable launch of a new program handed down to the universities by the government was in 2001 entitled "Strategy for Performance Improvement in the Public Sector", with the goal of improving service delivery and increasing productivity. This transformation process includes implementing a Performance Contract – a memorandum of understanding between each public institution and the government. The requirements of the contract are:

- Improve service delivery to the public, ensure managerial accountability and build a culture of accountability that pervades all levels of the public sector;
- Ensure that resources focus on attainment of national policy priorities;
- Institutionalize a performance-oriented culture through an objective performance appraisal system;
- Measure and evaluate performance
- Link rewards to measurable performance and results.

International Standard Organization (ISO) certification also had to be attained to ensure corruption minimized, and institutions were being held accountable for their management practices. The authors note that as of this 2008 study (although the study wasn't published until 2011), UK and KNU had completed three of these performance contracts with the Kenyan government. The development received as positive change, and the quality of life for the people overall has improved. This article referenced from Kenya was included to bring awareness to the government's imposition within its universities (Johnson & Hirt, 2011).

Russia

Enlightening of university reform in Russia, among its administration, and if whether the university systems were ready to handle the transition of what the challenges of large-scale transformation were bringing, was the focus of research. The essential question was: How does a university system determine readiness for this solution? The author defines readiness "as the degree to which the social positions and the communicative relations of significant participants in decision making and the coordinating role of the personified agent of administration are in harmony" (Eliseeva, 2010, p. 40). Results of research confirmed there must be good communication for adequacy in the area of social communication between all involved in the transformation process, for there to be a success. The parties related to the problems among administration have to establish communication for there to be readiness before the state transformation which has to take place.

Saskatchewan, Canada

The Employee Assistance Programs (EAP) at the University of Saskatchewan in Canada introduced in 1989. The purpose of the program was to provide for employees a referral for assistance based on assessments taken, and short-term counseling, who requested such assistance based on concerns within their job and/or personal issues. The employees' abilities to function in their work duty performances could effectively may be impaired. These services were provided for all employees of the university and their respective family members. However, since the university was undergoing other organizational changes, pressure had been applied for a change in this program as well, and if the model from 1989 was still serviceable to faculty, staff, and the university as a whole. Initially, the service had no mandates and was constituted as confidential and voluntary, with management referring employees or peers to the service.

To answer the question if the program was still needed, a senior administrator of the university and two external evaluators sat on a formal panel to discuss the needs of the organization. The formal review from the panel would consist of the following:

1. Review and assess services provided by the EAP according to objective evaluation standards within the EAP field;
2. Assess effectiveness of the EAP against its mandate regarding meeting current and future needs of the University and to identify an appropriate level of financial support for the program;
3. Identify options and services that would provide an EAP based on best practices in the context of the University of Saskatchewan Strategic Directions; and
4. Identify an appropriate level of resources, financial, human and facilities, required to deliver and support an EAP program based on best practice for 2005 and forward.

With the review conducted in the midst of major change within the university, adequate preparation still did not lessen the stress employees were feeling about the changing environment. The EAP was an important program the staff welcomed at the University and it was considered to be doing what it was purposed to do. To enhance the program and provide more staff would be exceptional if administration saw it as wonderful of a service as the employees.

The review of the panel and input from employees, staff, and faculty led to the decision to increase staff at the EAP. Three counselors who would work on site full time would better serve staff and families of the program. Also, to bring the EAP up to current organizational standards, time would be needed by management to devote better administrative, developmental, and educational functions to the program. Once the new program was in place, there was an orientation set up to introduce all employees to the new EAP. The process was very involved and there were plenty of painful moments of adjustment initially, yet it shows change can happen when there is a process, and all employees and management are involved (Csiernik, Hannah, & Pender, 2007).

Australia

As stated by and Van Gramberg (2007), in Australia there has been a long history of the involvement of employees and unions in decision-making in the workplace of industrial organizations. The clause titled Termination Change and Redundancy (TCR) in Australian rewards in 1984 started this mechanism for the employee to be involved in organizational change in the workplace. Enterprise Bargaining Agreements (EBA) is how operations are currently administered. Over the past two decades, the university system has experienced an increase in a focus on managerialism for productivity and efficiency in the administrative offices. A study has been conducted to examine the extent of the TCR clause and its evolution in the universities of Australia. The Australian Higher Education sector is comprised of two private and 37 public universities affected by the changes. Strategies involving the employee in change have dominated as a proactive form of domination in industrial relations strategies and human resource management. And while there is no specific change model for all situations, employee involvement in organizational change of some sort is needed.

Two types of worker participation initiatives are listed in this study to improve productivity and efficiency:

- *Participative management* refers to employers using workers to enhance the effectiveness of operations in an organization, and can also include participative decision-making where employees advocate for driving enhancement of their participation.
- *Industrial democracy* refers to shared or direct control in decisions made in the workplace provides benefits to both employers and employees. The thesis in the book *Participation and democratic theory*, by Carole Pateman, gave as a key underpinning in the sharing of workplace power; decisions only made by management is not legitimate.

A type of form of employee involvement is very important when considering its use in the organization, specifically because of the timing of employee involvement. The essential and continued shift to managerialism by the Federal Government of the Higher Education Workplace Reform Requirements required the universities to amend their EBAs. The penalty for the institutions not complying would be a lost in Commonwealth funding between 2.5% and 7.5%. The basic clause of the TCR Decision state: “that sound management of workplace change implies the timely involvement of the people who will be directly affected by that change” (p. 177). The expectation with this mandate will be a shift in the level of employee involvement in Australian universities (Weller & Van Gramberg, 2007).

The relationship and work parameters of managers and academics in Australian universities, are discussed by Kenny (2009) stating they both play an important role in ensuring the effectiveness of the modern university. Corporate models of compliance and control should dissolve and the use of more inclusive management practices are brought forward. If additional promotion systems and incentives can be used as part of the organizational restructuring, it would be a positive to reward the promotion of good change outcomes in the organization, thereby having such ideas as part of the change implementation.

United Kingdom

To help facilitate change in higher education institutions (HEI), organizational development tools for corporations can also be used at these institutions. The Higher Education Funding Council for England (HEFCE) Leadership, Governance, and Management Fund released funds for the project entitled, "Enhancing Organisational Development (OD) in English Universities" (2007). The project defined organizational development as explicit processes which were planned and implemented carefully for the organization as a whole to be benefited. The survey management established through the project reported that ninety-two percent of all responding institutions (55 out of 60) were actively engaged in some venture for the improvement of their institution. The Government then announced it would provide funding to assist in the rewards of the institution's staff development, improving equality and diversity, and modernizing the management process. The higher institutes of learning have to take responsibility for their assessment of the change process and practices to be put into place at the organization and show a demonstrated track of continuous positive change progress and improvement to the stakeholders.

The Standing Conference of Principals Personnel Network and the Universities Personnel Association developed the People Management Self-Assessment Tool (SAT) for HEFCE, to support HEIs that did not already have an assessment tool in which they were using. The HEFCE listed the dates associated with providing an annual report as summer 2006, summer 2007, summer 2008, and July 2008 as the final deadline. Suspended or withdrawn funds from the institution would be the penalty if the reports are submitted past the listed dates. Using a “systems-based model”, the evidence-based tool of the SAT covers seven “dimensions” or areas of people management:

1. Remuneration and fair employment
2. Recruitment and retention
3. Size and composition of the workforce
4. Staff development and skills needed
5. Leadership, involvement, and change management
6. Occupational health, staff welfare, and health and safety
7. Performance management, meaning linking people to organizational performance

A group of preassessment questions is given for each of the dimensions, to be used to validate the current priorities of the institution and how they plan to support the organization’s wider goals. Each dimension also has a checklist, along with examples to follow, providing for the coverage of inputs, processes, outcomes, and outputs of staff management, which is assessed by HR. Depending on the needs of the HEI, not all of the dimensions are required to use as part of the assessment; a smaller subset of the dimensions could be used instead of the full set. The tool is an assessment of the practices of staff management, led by the HR professionals. Since the tool is evidence-based, the involvement of the people who know where the evidence is and what the situation entails is essential. The HR director at another university and a lay member of the University Council served as external elements of validation. The project included three phases: Phase 1: Data gathering and assessment, Phase 2: Consultation and independent review, and Phase 3: Action planning.

The high priority action areas that emerge were key themes from the self-assessment the university focused on for their strategic plan:

- Leadership and management development – which showed there was a possible lack of a strategic and coordinated plan in developing leaders throughout the institution.
- Head of Department role – developing role profiles
- Recruitment and retention – data to support decision making has to be developed, which includes service from an external consultant to review the process of recruitment for performance indicators that are key.
- HR information – an identified need for the consultation between HR and institution stakeholders for additional value to specified data requirements.
- Employee opinion survey – to address staff issues including staff management and involvement, rewards and pay, and staff development, and for the University Executive Committee to commit to taking action on the issues.

The self-assessment tool proved to be successful. It is a tool which can be used not just at an institution, yet is varied enough to be used at organizations. It revealed gaps effectively in the organization and was fairly easy to use by management. Genuine improvements were the results of the completion of the assessment. There were two e-learning packages to assist in stress management for staff and the role of the manager in stress management commissioned as a result of the employee survey. The institution does plan to initiate a follow-up survey in two or three years to examine the progress of the management of the staff. The progress of the mission of the institution and the strategy to fulfill the mission was the focus and positive outcome of using the SAT (McDonald, 2009).

Figure 2 lists a few tips McDonald (2009) gave on how to carry out a self-assessment, whether the HEFCE SAT model using, or another methodology.

- Manage the process as a project, using a robust project management methodology
- Plan the timeframe carefully to avoid difficult periods when colleagues overlook for other priorities.
- In the initial phases, set time aside away from the office to concentrate purely on the assessment. These concentrated sessions will yield fruitful progress.
- Share the burden of the initial data gathering and assessment; draw in the relevant experts for each area to be assessed.
- Identify the key people to consult. Consider who should provide input from across the institution. Don't be tempted only to consult those who are likely to give a favorable view.
- Use a mixture of group work and individual discussions.
- Be prepared to listen and act upon the feedback gathered.

- In action planning, carefully consider the resources available.
- While the assessment is complete, don't lose site of the resulting action plans. There are dangers day-to-day operational activities will overtake the plans.

Figure 2. Tips for completing a successful self-assessment

Summary

Determining strategies of change specific to an institution can be hard. There are many models used in corporate organizations which could be fine-tuned to fit a college or university, yet there are not any current models or processes tailor made for these institutions. Kotter and Schlesinger (2008) gave a very practical look at how to choose a strategy for change. There are three steps used that can possibly manage organizational change successfully:

1. Analyze situational factors
2. Determine the optimal speed of change
3. Consider methods for managing resistance

The effort requires observation and how fast a review will determine the strategic choices to be made. There has to be involvement of other employees in the organizational change process, an amount of preplanning by management, and how management will be cohesive with different approaches to the change. The choices must be consistent with the internal structure; hence inconsistent strategies will embark the organization or institution upon problems. Managers and leaders can improve the change success by having an analysis performed by the organization which will identify problems, show factors relevant to what will produce change, use the analysis to form a strategy, and monitor the progress of it all (Kotter & Schlesinger, 2008).

Many similarities are evident between change in an organization and change at a college and university. Employees are affected by the mismanagement of change no matter what the sector. Although the focus is on the administrative side of change in colleges and universities, the literature reviews suggests faculty has also had to handle change in their immediate departments. The issue of organizational change is steadily showing to be consistent worldwide in colleges and universities. Administrative offices at institutes of higher learning operate in different ways, some by the institution itself, and other offices by the governing authority of that particular country. Improvements have been made and tested in how to involve employees when there is a major change at a college or university. The examples in the literature reviews of corporate consultants being hired, to assist in the change process within the affected department, or with the college or university as a whole, are worldwide. There are also examples of the individual college or university using existing instruments from the corporate environment to "in-house" the managing of their employees with change, without the assistance of outside consultants. In whatever way management make the decision to confront the issue of change, the fact is change cannot happen effectively amongst employees unless there is some guidance.

In a current review of the literature on change management within the college or university setting I found the non-inclusion of employees faced with change on their jobs remain a probable cause to negative employee attitudes and behavior, and ultimately employee resistance. Alasadi and Askary (2014) found in their research that once employees are empowered as partners to assist with the change process, it promotes successful organizational change. Employees were noted as feeling good about the change and how they are positively handling the change as it was occurring. Management's fear of resistance and negative behavior diminished when employees were included in the organizational change. As stated by Ayodo (2016), it is up to the leaders to facilitate technology as it is constantly emerging and to value employees and assist in developing a clear vision to inspire employees during this change.

To ensure employees can handle the change and it becomes a positive experience when they become involved, there must be a process for increasing employee readiness for the change in higher education. AL-Abrrow and Abrishamkar (2013) conducted a study on employee readiness to organizational change in higher education and found the level of commitment by employees of the change was a critical component of the readiness of change. There is a need by management to understand if employees are ready for organizational change. Usually, questionnaires submitted by management about impending change are completed by the employees. The results of the questionnaires are a critical guide to assessing if development efforts should take place before the initiation of the change. The bearing of employee emotions revealed in answering questionnaires and expressing concern to leaders and management of organizational change can limit progress as well. Dasborough, Lamb, and Suseno (2015) perspective on the outcome of their research into the emotional stance of employees faced with organizational change at an Australian university was emotions were attached to three different perceptions. The employee perceptions are as follows:

- Promising – an opportunity to look forward to
- Threatening – a threat that needs to be carefully managed
- Inevitable – no avoidance

The recognition of these perceptions by management can allow managers the chance to better comprehend what their employees are feeling, and notify the leaders of the organization to assist employees with the change. Research is continuously displayed as of importance to management and leadership to take an active role in preparing their employees for change, and thereby also including them in the before, during, and after processes of organizational change.

The gap in the literature review on change management involving system implementation upgrades and its impact on employees in a university administrative office was the main focus of this study. I discussed in the literature review specific change management situations faced by institutions. With actual change being different depending on the situation, the reaction by employees have been shown to be consistent throughout the world: possible resistance to a break in normal organizational workflow, and no chance for the employee to give a voice to management on how to make the process better from the actual employee/faculty member involved in the actual work. I also researched in the several sound models and processes which are used in the face of change at the organization level. No specifically sound model or process is in the literature which a college or university can refer to and understandably assess that it worked in central administration at a college or university when faced with a change in implementation. The gap in the literature of the unavailability of a true reference to review for a university specific organizational change model or process was found. The research on possible change models and processes used in colleges and universities has yielded more frustration for the higher education sector. I discussed in the literature that management often views portions of models and processes as useful, yet the varied portions of the process or model for organizational change sometimes go unused.

An explanation of a specific model or process used during change management for the implementation of a new system, the methodology used, and the analysis of the model or process is discussed in Chapter 3.

Chapter 3: Research Method

The purpose of this qualitative case study was to interview employees within a major university administration office in the Southern United States to explore what impact a business process project possibly had on employees affected by change management in a system implementation upgrade. The participating institution provided a letter of approval for me to conduct research on its campus. The Institutional Review Board (IRB) at Walden University approved human subject research for this case study on January 5, 2016, using IRB number 01-05-16-0117886. I proceeded with research of case study participants upon IRB approval. A collaboration of interviewing individuals upon their voluntary acceptance of the invitation to be interviewed gave valuable information on their thoughts, attitudes, feelings and behavior. Data were from the employees of this university administrative office.

The following organizational change process is normally seen in organizations, which are used for a positive effect on behavior for employees involved in organizational change. It is being used currently at colleges and universities as well. Kotter's eight stage change implementation model for organizational transformations was discussed by Stragalas (2010). The business side of management at colleges and universities has taken a turn toward mimicking the structure of corporate organizations, and this extreme change affects the way managers manage employees (Stragalas, 2010). European universities have steadily been adopting strategies for organizational management commonly used with private businesses (Smeenk et al., 2009). External consultants are brought in to facilitate change, just as in corporate and governmental agency environments. Serrano-Velarde (2010) discussed the issue with senior management consultants in academic projects in German universities. A specific organizational model or process being used by the consultants or academic management during the change as has been shown in organizations was not revealed in the review of literature. Adoption the use of management consultants for assistance in organizational change should also lead to the adoption of the models and processes used in a corporate organization to prepare its employees, and promote a healthy work environment.

This chapter includes a description of the qualitative case study method, as well as the research questions that guided the study, and the role of the researcher. I explain my section of the major research university in the Southern United States and my selection of the participants. The chapter also includes the methodological strategies, the validation for the study, and the ethical considerations for employees who participated in this holistic case study.

Research Design

The main research question that I investigated in this study was: What impact did a business process project have on assisting and involving employees with change management in a system implementation upgrade affecting their current jobs in a university administrative office?

Four subquestions also guided the research:

1. How had the employee been involved in the business process project?
2. What was the assistance provided to the employee as part of the business process project?

3. What major impact did the business process project have on your individual job duties?

4. How had this change implementation initiative affected your behavior on the job?

My case study can possibly be used for advice to management of college and central university administration to employ a model or process to assist employees in transition when faced with major change or system implementation upgrades of current workforce practices. Employees and management will experience more cohesiveness and success in the application of a model or process to assist in the facilitation of change (Hiatt, 2006).

My method of research is a case study method in which I used a holistic analysis and the focused interview technique with open-ended questions formulated by me based on literature review research from theorists seeking ways for employees to speak about their concerns with change management. I conducted interviews individually, considering each one as a single case, although all interviews were held at the same location. Overall, I combined the results of all employees to determine the likes, feelings, thoughts, suggestions, and behaviors of each concerning the system implementation. Since the system implementation was still current, the employees view of the current business process project to assist and involve them in change management for a system implementation upgrade in their workplace was important.

The Role of the Researcher

I have been very interested in change management and the effect it has on employees in organizations. Where a change in inevitable and serves all genres of corporations, organizations, colleges, and universities, governmental agencies, nationally and globally, my review and discussion of the literature proves that preparation of the employee is mandatory in organizational change. Craine (2007) stated that employees are likely to experience cycles of change that may be emotional. Warren and Myungsin (2007) suggested that there are many models, processes, and procedures to aid management in the change. However, because entities are different, there is no one single approach to managing the change. After researching further in the literature review of this dissertation, I found many models and processes for corporations and organizations, yet no specific process or model for when change happens in an administrative office of the university environment. Colleges and universities are experiencing a change in record numbers globally, and are employing external corporate consultants to assist in change processes . Consultants are bringing in corporate business models for change that have been successful in nonacademic environments, and applying them to an academic environment (Serrano-Velarde, 2010). The models used have not been tested to determine or assess effectiveness for colleges and universities. When there are models or processes, they are from an organizational standpoint, instead of from an academic standpoint. Usually, these models have only sections which can apply to a university administrative department, rather than an entire model for a complete university change (Serrano-Velarde, 2010).

I conducted this case study research to bring attention to the possible need for higher education to have a standard or process model buildable for adaption to the specific change management needed for employees of the institution. My separate experience in management has shown me that any successful change has to involve the lay worker, the person who touches and handles the actual work being affected by the change. When incorporating individuals before, during, and after any change in their respective department, I have seen an easier transition. I have also seen a greater willingness for input in how a process can be made more effective. There will always be a level of decision making amongst management when an organization is faced with change. Employee input on change process in an organization to management is a key to keeping peace and understanding among the employees. Not everyone in the organization will be happy and agreeable all the time. The overall health and commitment of employees and managers stand to gain in all aspects of the change, lending more time to focus on the mission and viability of the university, rather than how to handle damage control.

Methodology for Research

I used a qualitative case study method, using focused interviews and a holistic analysis. Case study methods can sometimes be utilized for intervening in a change management situation, or evaluation of a changed process for effectiveness and efficiency (Trochim & Donnelly, 2007). The case study research method is defined by Yin (2009) in a two-fold definition:

1. A case study is an empirical inquiry which:

- investigates a contemporary phenomenon in depth and within its real-life context, especially when
- the boundaries between phenomenon and context are not clearly evident.

2. The case study inquiry:
   - copes with the technically distinctive situation in which there will be many more variables of interest than data points, and as one result
   - relies on multiple sources of evidence, with data needing to converge in a triangulating fashion, and as another result
   - benefits from the prior development of theoretical propositions to guide data collection and analysis. (p. 18)

I used focused interviews as my specific research method obtained by the source of evidence that was used to gather the data. Yin (2009) gave the following strengths and weaknesses for interviews as a case study method:

- Strengths: targeted – focuses directly on case study topics; insightful – provides perceived causal inferences and explanations
- Weaknesses: bias due to poorly articulated questions, response bias; inaccuracies due to poor recall, reflexivity due to interviewees stating what interviewer wants to hear. (p. 102)

Interviews offer an opportunity to learn and explore why a particular process is occurring or has occurred. The open-ended interview questions have to satisfy the case study protocol, while simultaneously introducing non-threatening and friendly questions. The specifically focused interview allowed each Participant a short time frame. The questions were not misleading or bias, and allowed interviewees to provide a fresh commentary about the questions asked.

Yin (2009) stated that interviews are a vital source of evidence for case study research because this type of research involves humans and their behavior regarding the events in question. When an interviewee recalls information, well-informed responses and insights into these events are provided. The interviewee can also provide a glimpse into the history of the organization, and any such prior situations, which aided me in identifying other sources of data which were relevant.

There are other advantages to interviewing, such as the interviewer having the ability to restate or clarify a question the interviewed individual may have or do not understand fully. The response rate to interviewing face-to-face is higher typically than other survey methods. Individuals interviewed may also have some tangible evidence in their possession to lead with their answers (Singleton & Straits, 2010).

Case Selection

I used a case study method with holistic analysis, which employed the use of open-ended interview questions, with each of the 12 employees who participated, each approached as a separate case. I based this case study on the grounds of a conceptual framework concerning change management. Change within any environment dealing with a system implementation upgrade will affect all employees in different ways (Fedor et al., 2006).

The period involved started from the moment the business process project was introduced to the employees in the Fall of 2014. The employees had the chance to discuss what affected them the most in the change, and what impact it had on their behavior. There was insight from the discussion of the employee visibly being assisted by management and involved in the system implementation process over the past 8 months. Employees have shown positive effective acceptance to change management, and the process yielded some positive success.

In my review of the literature I discussed that change management is usually easier to manage amongst and between employees and employers when there are specific models, procedures, and or practices in place to guide the entire change (Kotter, Schlesinger, 2008). Whether the process was for preparation of change, in the midst of change, or the after effects of the change, there has to be a set of guidelines to follow (Whelan-Berry & Somerville, 2010). More often than not, the majority of these processes were specific to corporations and companies, absent of specific processes tailored for fitting into the environment of a university administration office.

As more and more colleges and universities become streamlined in business-like processes for the overall operation of the institution, management will seek out ways on how to handle such large changes in managerial practices. Exposure to these institutional needs will require the assistance of employees to guide management in how to effectively conduct the change in where their jobs are critically affected.

Population Sample

The population sample came directly from a major research university administration office in the Southern United States. Newsletters that were printed on the university website informing the public about the changes within its administrative departments was information for employees experiencing change within the university system in the various aspects entailed for their specific position. The diverse sample included salaried professionals, as well as administrative assistants. Appendix A is a copy of the University Letter of Cooperation signed by the management of the participating institution, authorizing employee interviews conducted.

The purpose of obtaining a view from different perspectives involving the same system-wide change, although the departments were different in administrative business function, was satisfied. The participants were identified simply by an alpha-numeric character of 1A, and so on for the employees participating in the study. The total number of participants responding to participate in the case study was 12. Since case studies involving qualitative sampling involves work with “small samples of people” (Miles & Huberman, 1994, p. 27), assumed interviews with a large group are not necessary. An email (Appendix C) was sent to individuals in the offices who have been employed at the university since the beginning of the initial business process project back in 2009 and still employed as of the most current process, for interest in participating in the case study.

Initial interviews were conducted with 12 participants. The data were from the total interviews conducted, and no further interviews were needed to reach data saturation. Once successful interviews were complete with common themes, the point of data saturation was reached. As with the case of data saturation, Francis et al. (2010) reference Glaser and Strauss (1967) that the point of saturation in the field of qualitative research is when there is no new additional data achieved in data collection. The importance of data saturation addresses if the theory-based interviews conducted will achieve a sample size adequate for *content validity*. It is truly possible to have multiple cases of different views and stories of change management involving a system implementation upgrade and how each handled the change. It is also possible to suggest avenues of how change could have been better or worse over the past eight months, based on the employee being involved and having a chance to speak at meetings.

Data Triangulation and Collection

I collected all data as the instrument to my research. The open-ended research questions previously discussed were answered based on the responses of the interviews. I used a notebook to record any additional information not already a part of the actual interview process. I then transferred information to a case study database, using NVivo Pro 11. I used an audio recording device for recording purposes only, with the approval and consent of the interviewee. The tapes serve as part of tangible evidence and proof the interviews took place. Transcripts of the audiotaped sessions allow for transcript review to ensure transcription is correct. All participants confirmed a written consent to the recording session. TranscribeMe, a transcription service, was utilized to transcribe all audio tapes into written form, which was downloaded automatically into the NVivo 11 Pro software. Appendix E is a copy of the signed Confidentiality Agreement from TranscribeMe.

I ensured each Participant signed a Consent form before the focus interview sessions took place. The individual's name is not on the form, but the identifier is the same alpha-numeric character listed on the focused interview form. I conducted interviews in person at the most convenient time of the participants, which was during their lunch hour at the University, in a private conference room booked by the employee, at management's approval. Appendix D is where the list of interview questions can be found that were reviewed and used. Upon completion of the interview, each participant received a $10 VISA gift card to use at their discretion.   I locked all data in a secure file box that I will keep for five years per the requirement of the Walden University Institutional Review Board.

The university used in this research study has made publicly available on its website, all newsletters, and other related documentation about the business process project that began in the Fall of 2014. I reviewed this information before conducting the interviews as part of my research, and part of the interview process. The information gave me insight as to the stages of change implementation the university was undergoing, as well as how the change process communicated to the employees via the website. Since the name of the university is on the public material, I will not share it in my research. The material however made my research foundation firmer because it publicized the organizational change as it was happening around campus.

Data Analysis

The conceptual propositions that led to my case study were the general strategy most preferred to follow in analyzing case study evidence. The analytic technique used was pattern-matching logic, in which the empirically based pattern of change models or processes assisting employees in how to handle change in their office compared with the prediction that the model or process would indeed give the benefits of employee assistance in change implementation, making the change favorable and less resistant. These patterns coinciding were a very important step for the results strengthening the internal validity of the study. I used NVivo 11 Pro for Windows as my research database software program to input and gather results, as well as organize and compile information based on the questions asked in the interview session. NVivo 11 Pro was developed by QSR International dating back as early as 1981 with its first product, NUD*IST, and is now a large private owned developer of qualitative research software. The QSR International products are used by governmental organizations, educational institutions, and commercial organizations around the world. Its use gave me access to a popular qualitative software instrument that was an essential way to organize and analyze the data.

Although the interviews are text information, results were able to be automatically calculated as to how the responses were rated based on like themes, using a graph to show thematic results from patterns, discussed in Chapter 5. I used the data as a case study analysis of how employees feel about the process of change within their university administrative department, and how management could use the information to see patterns in employees wanting and needing to be a part of the system implementation change process affecting their current positions.

I used the formulation of data as part of coding, used to observe like themes and patterns. Yin (2009) stated pattern matching logic was “one of the most desirable techniques” to use in case study analysis. In combining pattern matching logic with pattern coding, Miles and Huberman (1994) gives a brief description of pattern coding as being explanatory and inferential, in which this type of analysis is used to review and meaningfully break apart all data, to sort out, reflect and link information back to your research. The use of pattern coding assists in the identification of emerging themes, or explanations. I pulled large amounts of data together into meaningful units of analysis. Using codes, or tags, I assigned information from the story told by the Participant to the theme obtained from the research. I used pattern codes to link relationships to a pattern in the data retrieved from the interviews. To create codes, I drafted a Start List of Codes (Table 1) as well as Code Definitions, suggested by Miles and Huberman (1994) before conducting research. The list was made specifically from what I brought to the study of research questions, framework, and/or any problem areas expected. The study results show how I was able to match the codes with responses from the participants based on the research questions I asked during the face-to-face interview sessions.

Table 1

Start List of Code Patterns

Codes	Code Meaning
TRNG	Training
COMM	Communication
UM	Upper Management

MM	Middle Management
SUPV	Supervisors
MGR	Manager
EMP	Employee

Table 2

Pattern Code of Definitions

CODES	DEFINITIONS
TRNG	Implies employees will have training on the new system
COMM	Employees will receive communication throughout the process
UM	Top hierarchy level management to include head of an administration
MM	Management level which heads a department
SUPV	Management level which heads a specific team
MGR	Term is interchangeable with Supervisor
EMP	Actual worker in a department/team

Strategies of Validation

The quality, reliability, and validity of qualitative research especially involving case studies has long been an area of interest since there are not any strict standards in place for measurement as with quantitative research. As part of the reference information notated by Gupa and Lincoln (1981) (as cited in Trochim and Donnelly, (2007), they bring light to “the four criteria for judging the soundness of qualitative research” (p. 149) as follows.

Credibility

I established Credibility criteria to the research results to be believable and credible based on the participant interviewed. I maintained credibility by:

1. I used a transcription service to transfer audiotaped interviews to a typed transcript imported into NVivo 11 Pro qualitative software.
2. I kept a journal for note taking to reference any additional observation or information revealed which was not part of original interview questions.
3. I examined trends and patterns for linked data encountered.

Transferability

Transferability is when the results of research can transfer to another setting or context. The participants were a part of a common issue involving change management in the workplace. The selection of the participant included sufficient variation. The impact of a system implementation upgrade that had a critical effect on their job is not an isolated issue or concern. Therefore, the outcomes of the research may transfer to other university administrative offices with the same degree of change. Based on several discussions in the literature review, the context of this study might transfer because of its analytic approach of being theory-connected (Miles & Huberman, 1994).

Dependability

Dependability is where I described all changes occurring in the setting of the study and how the changes affected the conclusion. I ensured dependability by documenting when an employee did not give a direct answer to an interview question, yet instead wanted to steer the response away from the subject matter to discuss a personal issue with management, not related to change implementation. I documented steps for every portion of the study which were optimal as it related to the interview sessions, the documentation of responses, and the analysis of all data and the identification of patterns.

Confirmability

Confirmability is whether others confirm the results of research you conducted. I maintained confirmability by keeping a journal of all rational decisions and conclusions concerning this study. I made the journal accessible at any point in time to each Participant who wanted to verify any additional comments written out by me, that are not on the audio tape. The journal also served as a reference point for me to view the analysis of the study.

The internal validity of the results and the threats to internal validity are discussed by me Chapter 4. Please see the Table below for more information:

Table 3

Criteria for Judging Research Quality from a More Qualitative Perspective

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

Note. Adapted from “The Research Methods Knowledge Base”, by William M. K. Trochim and James P. Donnelly, 2007, p. 149.

Reliability

According to Yin (2009), the reliability of data can ensure that you have minimized the biases and errors in your research study. Better documentation of research can be achieved using a case study database for the collection of all data. The case study documents of the actual interview form were scanned as PDFs and saved on an external hard drive, as well as a thumb drive. I have kept the actual paper versions in a file storage box along with the audio tapes and thumb drive.   The similar notions of an auditor reviewing financial information are the same type of reliability check I gave to my research, for other researchers to be able to come to my work, and implement the same type of study. I discuss the Reliability of the results in Chapter 4.

Validity

The validity of the instrument used for the interview questions involved a brief prescreening interview using several questions from the instrument, initiated as a Pilot Study. The Pilot Study was conducted on two individuals at the institution, whom had also participated in the system implementation upgrade currently, as well as in 2008, to ensure the instrument. A prescreen consists of a small sample of persons having characteristics similar to those of the target group of respondents. The reason for the prescreen is “to allow the interviewer to conduct prescreens to determine if the instrument used will serve the purpose of the case study protocol, and if revisions to the instrument are complete” (Singleton & Straits, p. 294).

Ethical Considerations

The participants recruited in this qualitative case study employing a focused interview method had proper ethical treatment as outlined in the Walden University’s Institutional Review Board (IRB) rubric, as well as the guidelines for an ethical research, stated in the American Psychological Association (APA) handbook. There were no risks identified in this study. Individuals involved in this study showed variable emotion in the responses of decisions involving change and management. Respondents felt assured that all responses are in complete confidentiality to me, and not shared amongst other employees participating in the case study, or to any immediate members of management at the University. The level of questions which were answered using the open-ended interview questions did not cause pressure, anxiety, or stress in submitting answers or detailed responses. I collected consent forms before beginning the interview sessions, and after the employee fully understood the components of the form, in which we went over in detail together. Each of the considerations listed above was incorporated in the research design before the case study began. Every effort made for participants to be at ease, and comfortable. I did not use actual names of participants, only identification of alpha-numeric characters, on the interview forms, as well as on the audio tape.

The ethical considerations for participants accepting the incentive of a $10 VISA gift card to use at the discretion of the participant was confirmed by the National Institutes of Health published research conducted by Singer and Couper (2008). The published research suggests respondents or participants must accurately assess if the study will cause any psychological or physical harm and if the risks of participating are acceptable. Researchers have an obligation to inform and minimize any risk the respondents may incur. Incentives become unethical if they are improperly used to “induce participation in the presence of avoidable or unreasonable risks” (Singer & Couper, 2008, p. 7).

Summary

The goal of this case study was to bring more awareness of how important change management models and processes were for employees affected by the change at college and university administrative offices, involving any organizational change or a system implementation upgrade. The research design was appropriate for the qualitative case study research method used, to possibly gain knowledge from the perspective of employees on how the impact of a business process project assisting and involving them during the system implementation upgrade, had on them for the past eight months at a university in the Southern United States. The study was about the thoughts, attitudes, and behaviors of employees throughout administrative departments involved in organizational change within the University. I used the research methods presented in this chapter, which included the research design and rationale, my role and background, the data triangulation and collection process and techniques, and the reliability and validity of the research. Chapter 4 includes information on participants in the study, the results, and findings of the data.

Chapter 4: Results

The purpose of this qualitative holistic case study was to interview employees within a major research university administration office in the Southern United States to explore what impact a business process project has had on employees affected by change management in a system implementation upgrade. Participants' interview responses revealed how critical it may be to have a grounded change process or model used by management in assisting employees through a system implementation, involving major change. The overall findings of the research revealed employees accepted change better when asked by management to be a part of the system implementation change in their office. Some employees felt management did show concern for their ideas and opinions by acknowledging them at meetings set up between management and the employees about the system implementation. Yet, there were some employees who still felt as if management did not do enough or provide appropriate training. Chapter 4 includes pilot study results, research setting, data collection and analysis, the study results, and the chapter summary.

Pilot Study

I conducted a pilot study of two employees to determine the reliability and validity of the interview questionnaire instrument. Appendix B is a copy of the email sent to participate in the pilot study. The pilot study was conducted using the same procedures as the main research. I met with each participant privately on their lunch break. Each participant was given a consent form to read over, and asked questions pertained concerns they might have had. Before starting the interview session, the employees agreed the interview could be conducted via an audio session using a microcassette recorder. Participants understood management would not have access to the microcassettes. I assured participants all material about this research would be kept locked in a file for 5 years per institutional requirement.

I asked the interview questions in the same format as if this was the actual research. The participants confirmed the questions were understandable. The participants confirmed they were allowed to add to their responses to the questions, which would have given additional information not possibly mentioned as part of the actual question. Each participant answered all questions accordingly and gave additional input in their responses. Upon completion of each interview session, the participant accepted a $10 VISA gift card as a reward for participating in the pilot study.

The pilot study had no major impact on the main study. The entire process went as planned. The questions were clear, and each participant confirmed responses as it related to their current job, and the current change process they were experiencing. There were suggestions to hint more to question 1 being specific about communication possibly, yet I did not want to change the question and lead the respondent in the main study on to a different response.

Research Setting

I conducted the research at the research institution or place of employment for all participants. I conducted the research per an agreement with the participants in using their lunch hour, privately, within a conference room provided by the institution for me to conduct the research. The privacy of the conference rooms allowed the participants to be at ease in responding to all questions for the interview. Based on the responses given, there was not any indication that conducting the research at the participant's place of business had a negative effect on the outcome of the research.

Demographics

The design of the research study brought awareness to how employees who are affected by the major change in a university administration office could benefit from a definitive model or process to be used by management to assist the employee in a system implementation upgrade. I conducted research at a major research university administration office in the Southern United States. The demographics of the participants varied as to their roles and the department they worked in. At the beginning of the study, 15 employees were sent emails for participation in the research. The scale of men to women participating was not a factor in this research. Agreements to participate in the research study were received by 12 respondents, in which four were managers and eight were employees. Participants came from four different departments within the administration.

A representation of the demographics of research participants in this research study is shown in Table 4. I interviewed employees and supervisors. Supervisors were not part of the decision-making process but were used as a channel of information from managerial meetings.

Table 4

Demographic Data - Research Participants.

Participant	Role at Institution	Administrative Department
2-A	Supervisor	Review Unit
2-B	Employee	Reporting Unit
2-C	Employee	Reporting Unit
2-D	Supervisor	Reporting Unit
2-E	Employee	Reporting Unit
2-F	Employee	Review Unit
2-G	Employee	Reporting Unit
2-H	Supervisor	School Unit
2-I	Employee	Research Support Unit
2-J	Employee	Reporting Unit
2-K	Supervisor	Reporting Unit
2-L	Employee	Review Unit

Data Collection

The data collected for this case study came from the completed interviews of 11 respondents. Participant 12 was called into an important meeting via their cellular device at the start of our interview session during their lunch break. The interview appointment schedule showed no availability to meet with the participant at another time based on the participant's schedule, and we were not able to complete the session.

I selected the participants based on the important criteria of their employment at the institution during the first system implementation upgrade in 2009, and their being employed at the institution as of the timing of this research. A qualitative holistic case study method was used based on each participant being looked at as a single case. Each case was reviewed in response to the effect this second system implementation has possibly had on their job, thoughts, and feelings toward management. I interviewed participants in a face-to-face format by asking six open-ended questions as the research instrument.

All information was captured with a microcassette recorder during the interview sessions, at the participant's agreement. I conducted interview sessions at the institution, during the lunch break, where the participant was employed. Each interview session varied in duration from as little as 20 minutes to as much as 40 minutes. Some participants gave additional information not asked in the original interview questions. Each open-ended question allowed for participants to give additional detail to the responses.

Once I completed the interviews, I downloaded the audio tapes to my laptop in MP3 format. The MP3 of each interview was submitted via the website to TranscribeMe, a professional service used to transcribe data, which was compatible with the qualitative research software NVivo 11 Pro, for coding and analysis. It took less than a week to receive the transcriptions back in .txt form from TranscribeMe to my Walden University email address. I uploaded the text files into the NVivo 11 Pro software in which coding for themes would take place on participant responses to interview questions.

Data Analysis

I analyzed the transcript data from the participant's responses to the research interview questions in Nvivo 11 Pro; I separated each transcript into a single participant's response. The emailed transcripts from TranscribeMe were delivered in three separate email batches. Each single transcript was imported and labeled in NVivo based on the participant's alpha-numeric code of 2-A through 2-K. I saved these items in a folder labeled "Interviews" housed inside of the Internals cabinet. Table 5 and Table 6 below are results of data exported from the NVivo 11 Pro software. The classification of participants interviewed for this case study is as follows:

Table 5

Supervisor Classification Sheet.

EXPORTED Nvivo 11 Pro SUPERVISOR CLASSIFICATION SHEET	
1	Participant 2-A
2	Participant 2-D
3	Participant 2-H
4	Participant 2-K

Table 6

Employee Classification Sheet.

EXPORTED Nvivo 11 Pro EMPLOYEE CLASSIFICATION SHEET	
1	Participant 2-B
2	Participant 2-C
3	Participant 2-E
4	Participant 2-F
5	Participant 2-G
6	Participant 2-I
7	Participant 2-J

The analysis of data submitted into NVivo 11 Pro consisted of confirming the following themes or patterns as nodes shown in a constructed node cabinet:

- Communication from managers and/or departmental meetings
- Increased work duties
- Job loss/possible unemployment
- Training
- Managerial concern for employee
- Positive effect/impact on employee
- Negative effect/impact on employee

I used the themes listed above as part of my research concepts in my journal of possible items to compare to participant's responses. The themes were critical in a case study that revealed relying factors of employee behavior that could have been avoided or acknowledged by the employee during the experiencing of organizational change. The Open-Ended Questions (see Appendix D) related to the research questions and were used in the interview sessions to give each participant a chance to speak openly and share their experience.

I reviewed each transcript for the possibility of coding each research question to any of the above-described nodes to a participant's response. I completed the process by highlighting the portion of the response from the transcript that satisfied the node from the research questions and moved into that particular node cabinet. Using the NVivo software provided a way to cluster like nodes into a percentage of responses received, to create physical graphs representing the data.

NVivo also has a feature to search specific text or to search word frequency based on the themes chosen for the research. These features allow the software to search through the transcripts of all participants for like terms placing them in a list referencing which participant made the statement.

Following is more detailed information on participant responses and a single example to represent the analysis. The participant's alpha-numeric reference is used based on the theme listed as nodes in the software. The references are not all inclusive, yet are a confirmation of some relation to the case study theory of employees expressing their thoughts, attitudes, and behaviors about organizational change during a system implementation upgrade.

The node *Managerial concern for employee* was a theme the participants discussed in their thoughts of management making decisions of organization change and how they would be affected by it. The participants do understand management actions involving change, yet in addition to decisions made to make the department or organization effective, management should also yield decisions for how to make the change better for the employees' wellbeing. Participant 2-A was a supervisor expressing management is concerned for the employee by listening to their suggestions and taking them into consideration.

Participant 2-A: Theme-*Managerial concern for employee* –

> Well, being a part of the project plan, the project team, specifically being a member, or the other member of the grants module team, there was an expectation that I would provide feedback and/or suggestions as to this new process or how our processes would be affected by this new transition. And so in that role, a lot of my suggestions were taken into consideration and involved my surveying the larger population to say, "This is what it's going to do, are you okay with that?" or, "This is what you might encounter, how do you feel about that?" and taking that back to the larger population.

The node *Communication at meeting* was a theme based on the information on the university website of management conducting a series of meetings between the employees and management on the system implementation upgrade. I wanted to know what participants had to say about the meetings. The responses revealed how many of the participants attended the meetings, and how many felt encouraged enough to speak during the meetings. Also, it was noted meetings were not just between upper management and employees; there were also meetings between the participants and their immediate supervisors. Sometimes management would have meetings with the supervisors only, and the supervisors would return to their individual department to meet with the participants about the information discussed. Participants had a chance to be involved in two types of meetings, which seemed to be an important method for management involving employees in different forms of communication. Participant 2-B was an employee who used a meeting with management to voice their opinion on how a process could become more effective.

Participant 2-B: Theme - <u>*Communication at meeting*</u> –

> When I was attending the meeting-- I do contracts that I have to read the [NOA?] to determine what the contract type is. What I suggested was that instead of me having to find how the money is coming into the system, into the business, what I tried to ask them to do is to put more information in the NOA. Like when they're negotiating, ask the agency specifically how they want their money to come in, so it won't be a guessing game.

Organizational change with a system implementation upgrade will bring feelings of possible job loss for employees. There are thoughts of the system being upgraded to replace and automate certain job functions normally performed by humans, and the decreasing of office personnel. Another concern on job loss is the employee not being able to measure up with the system changes, possibly falling behind in their job duties. An employee may be emotionally affected by the possibility and think their best effort would be of no consequence in remaining employed. Participant 2-C was an employee who had the concern of the system implementation upgrade eliminating jobs in the organization.

Participant 2-C: Theme: <u>*Job loss*</u> –

> But I do think that most of the jobs can be eliminated because we will be asked at some point to go [too another department where their services could be better utilized], and if we don't go to the ranch, we'll be told to go. And then if we don't go, we'll probably be on the unemployment line.

The node *Increased work duties* was a theme formed out of the possibility of a system implementation upgrade bringing increased duties on the job since automation of current manual duties would process steps in using a system. Several participants expressed the first implementation brought about processes to their job duties that turned a five-step manual process into a 30 step system process because of the different components to be put into the system and to verify before there was a finished product. Participants also discussed if the increased work duties would bring an increase in salary, and new personnel to share in the workflow. Participant 2-D was a supervisor who expressed the need for the additional workforce.

Participant 2-D: Theme: *Increased work duties* –

> The number of people has not been increased, but we have more duties to do. We have to do some work for the other areas we have to work with, and it's really painful because we have more responsibilities, more duties than definitely the people have on their job description.

Participant 2-E was an employee who remembered the first implementation and their thoughts on the use of external consultants being used to assist with cleaning up issues. There was not an expression of there not being concern from management for the employees who had to work directly with consultants that did not understand or make the best decisions for the university. Moreover, now with the system implementation upgrade coming forth, the employees are left to clean up what was done incorrectly by consultants.

Participant 2-E: Theme: *Manager concern for employee* –

> The other thing was that after we did conversion to help clean up the database [after?] the conversion process, they brought in a lot of outside consultants that were to clean up the database. These people didn't know our university policy. So, they were cleaning up based on what they were knowledgeable of and how the system should work and not really what we were supposed to be doing. As a result of that, we had a lot of cleanup of the consultants after they left.

The next node was a theme that I analyzed was *Communication from managers* based on participant experience with how management or supervisors communicated information to them about the system implementation upgrade. Participants shared if they were well informed about all phases of the upgrade and if considerations suggest expression in their meetings. Communication from management was one of the main concerns employees desired. Participant 2-F was an employee that referenced the previous system implementation where management made all of the decisions without any input from the employees, and how the upgrade could be another chance to consider their input.

Participant 2-F: Theme: *Communication from managers* –

> I think that the management should have more input with the - as we call ourselves - worker bees instead of making the decisions for the process [by?] the people that actually do the processes instead of doing the processes and then getting them to implement the process. Then we have to figure out what is done because they don't know what's going on as what happened in 2009. That's the reason it took so long because they implemented a process that really didn't work and had to do it again because this is what their thought process was but they didn't really know the intricacies of that from beginning of sending the proposal to the end of-- the closeout of the work.

The node *Training* was a theme that was the biggest issue in any system implementation. Properly trained employees need to know how to operate and function within the new system. Management's active role in training employees or hiring skilled trainers to train the employees on the system will determine how effective the use of the system will be with current job functions. Decisions have to be made on the different types of training to engage the employee in, such as technical, hands-on, and/or classroom-based training for the new procedures. Resources spent on training should be just as important to assist the employee in performing their job, as with the funding of the system. The importance of good solid training on a new system could minimize employee error, and give the employee confidence in working with a new system. Participant 2-G was an employee who expressed the time factor given in the training they received and felt it was not adequate for all of the changes they thought were coming.

Participant 2-G: Theme: *Training* –

> I need more than a one-day training. If you're going to implement a new system, there should be guidebooks and there should be study material that should be handed out prior to that. People need to be able to read that material, understand it before they go in to say, 'Hey, this is the training that we're going to do.' I think we need to provide training before. Hand out material before that in order for them to do their job. If that is not provided, then it's going to be hard to follow if you've never been in the environment before. It can really affect a lot of people.

Question 6 of the Open-Ended Questions asked the participants to express in detail their feelings of the impact of the change to their job. Employees experience emotions during change involving their job duties. The emotions can be positive or negative depending on their view of management, and their concern about their job overall. The next two nodes addressed the themes of *Positive effect/impact on employee* and *Negative effect/impact on employee* of the system implementation upgrade, and major organizational change on participants, respectively. The outcome of the impact to the Participant could determine the emotion or stress they were feeling. Participant 2-H was a supervisor who had negative feelings about the change, and management's view of the change as more corporate versus change based on a university. Literature suggested because of the lack of university or college change models, that administration in these institutions resorted to corporate processes to initiate change.

Participant 2-H: Theme: *Negative effect/impact on employee* –

> I think the philosophy, what they're trying to do with the business process is-- the philosophy is a corporate philosophy in a nonprofit environment, and I think that for the kind of business that we do, they're looking at grants from a project management standpoint versus a unique standpoint of each grant. I think that even though you may express that, leadership has been unwilling to change the direction or course, because they think it would be more profitable in the end, when it probably will not be.

Participant 2-I was an employee also expressing a negative impact of the change in the organization. The response revealed the employee has been at the institution for years, and although they have seen a lot, this newest change is causing them to feel as if they cannot contribute to the best of their ability anymore. They also feel there is no value by management for the employee during the change, and the change is in the best interest of the employee.

Participant 2-I: Theme: *Negative effect/impact on employee* –

> Not positive. And that's why I am choosing to make the calls for myself. This organization has changed a lot over the years and what I'm seeing is the change is not in my best interests anymore. Because of that I don't feel I'm giving my 110% at an organization like this. You feel discouraged and down and not valued, and when you do that it really takes away everything.

Participant 2-J was an employee who was having a positive experience compared to the first time they went through a system implementation at the University. They gave acknowledgment to management that there is better and more communication about the new process. They also expressed the issue of training on the new system and feel there should have been more training as the date of implementation approaches.

Participant 2-J: Theme: *Positive effect/impact on employee* –

> I actually think this time around is a little bit better than the last time around because the last time around we were not asked any questions. We were not told anything. We did not get any training and then it just kind of all of a sudden we have this new business process and we don't know how to use it. We don't know anything about it. So this time is better in that they did tell us it was coming. They did tell us it would be better than before but they really haven't given us a lot of details that I think they are waiting for it to get closer to the date but now it's almost approaching and we still hadn't had that training and all the additional information we should have had by now.

Finally, another node was a theme involving the *Communication from departmental meeting* allowed Participant 2-K, who was a supervisor, to express their experience when attending a meeting. Depending on the time of the meeting and the location of the meeting since they were conducted at various locations around the campus to give all employees a chance to attend, participants shared not all meeting fit into their schedule to attend. The concern was being able to attend a meeting with management other than a supervisor's team meeting, to get information or to share thoughts and concerns.

Participant 2-K: Theme: *Communication from departmental meeting* –

> Well, I went to a couple of meeting they had initially outlining the process and they gave us some contacts who were working with the upgrade. So, occasionally they came to me with issues they were having and then that gave me the

> opportunity to ask them questions and work with them. So, I've been fairly involved in the case from a management perspective.

Based on the responses from participants above, there were some strong feelings about what is happening in the change management process for the system implementation upgrade. Although only one response per participant was selected, the coding and analysis in NVivo showed more responses between the employees. The seven themes or nodes used in the analysis of the Participant responses were confirmed in different ways in revelation to their thoughts, attitudes, and behavior. I journalized the nodes during research of the literature review which proved to be pivotal in the study, and the direction I hoped Participant responses would take. The reference to some Participant responses to a comparison of their presence during the first system implementation years ago was also a pivotal point in the study. It was important to be able to chronicle if there indeed was a change in management actions and decisions with the system implementation upgrade. These responses are in more depth in Chapter 5: Findings.

Evidence of Trustworthiness

Credibility

TranscribeMe was the transcription service used to transcribe all taped interview sessions during the case study. Appendix E is a copy of the Confidentiality Agreement Form signed with TranscribeMe. All interviews were recorded on microcassette and to eliminate a lengthy time frame there were no further or additional notes taken. I kept a journal to ensure date and timeliness of the scheduled interview sessions. Also, all personal notes that I took about the preparation of the case study are in a journal. I examined trends and patterns throughout the interview processes by writing down in the form of the frequency of certain terms mentioned by a large number of respondents. The Start List of Codes and the list of code definitions is critical to the study. The terms are in the data analysis section of this document.

Transferability

The evidence of this research is concept based giving it cause for transferability. Change management involving system implementation has been proved to be in need of a strong guidance when employees are directly affected. The guidance in corporations and organizations are usually in the form of a model or process used by management to ensure all facets of the change are discussed and successful with the employee's positive impact in mind.

College and university administration offices, based on literature review research, have not had such tailored models or processes to guide them in change implementation, therefore leaving the employee to struggle with assistance from management. Normally, as we read in the literature review in Chapter 2, employees are not given a chance to voice their opinions and concerns and frustration to management for a difference to be made in their work environment. Alternatively, management has proceeded forward with any plans for change already decided upon, and it is up to the employee to accept and adapt regardless of its effect.

The responses to these interview questions are to show the truth behind what the employee feel, think, observe, and hope to receive from management for there to be a successful change and not one of fear of the unknown.

Dependability

The dependability of the data from the participants is important, in that the questions were answered in complete honesty, as well as with the hope of management becoming sensitive and showing concern on how the change has and is affecting the participant as the time nears for the system implementation to go live.

Confirmability

I have kept a journal with my conclusions concerning the participant responses to the open-ended interview questions. The research findings and the suggestions I have mentioned of this case study are prevalent. Below is a list of suggestions I mentioned which were pivotal in an expected outcome of the research:

- The lay worker, the employee who touches and handles the actual work being affected by the change, should be involved in the change process.
- When employees are incorporated before, during, and after the organizational change, it brings an easier transition and willingness for input on how to make the process more effective.
- Employee input on managerial decisions can bring about peace and understanding amongst the employees overall.
- The overall health of the employee and management are important and produces more positive outcomes.
- Management can focus on the future instead of on damage control, the possibility of employees leaving the institution or employee stress related to learning a new job.

Study Results

The case study was guided using one main research question and four subquestions based on the participant responses. The main research question used to guide the case study was: What impact has a business process project possibly had on assisting and involving employees with change management in a system implementation upgrade affecting their current jobs in a university administrative office?

An analysis of the data from all Participants showed the business process project had some form of impact on them. The impact is the revelation of the seven themes of communication from managers and/or departmental meetings, job loss/possible unemployment, training, managerial concern for employee, positive effect/impact on the employee, and negative effect/impact on the employee. Each Participant was able to identify and give a response related to the themes. Participant 2-H acknowledged the need for better efficiency and processes for the university. In speaking of the process management used to guide the employees in the system implementation process, not one participant could give a definitive process or model being used. Based on research in the review of literature, employees were given the name of a model or process being used by management for change, along with definitive steps to be achieved throughout the process. As noted in some of the literature reviews, defined models and processes had a complete name and outline of its uses. An employee could readily identify and understand a title. For example, the ADKAR model introduced by Jeff Hiatt is a defined model an employee could cite as being used by management, which is measured by milestone accomplishments.

Participant 2-H was a supervisor who noted:

> At the university level, it's been like a sideline show, but we do need better efficiency, we do need better effectiveness, we do need the process, we do need better processes, no doubt about it. We do need that, but the way you communicate that I think that it wasn't seriously given thought to. I don't think people really understood the magnitude of what was going on.

One main question could not capture the exhaustive information intended to receive from participant responses. The main question was broken down into four sub-questions to further explore the responses and their relation to the seven themes. Participants have acknowledged management's inclusion of the employee in meetings and being allowed to give input on the change process. It was also the responsibility of the employee to make an effort to attend the meetings, and to voice their thoughts, concerns, ideas, and suggestions to assist in a better change process. Participant 2-G shared what they have contributed.

Four subquestions were also used as a guide: Subquestion 1: *How has the employee been involved in the business process project?* Participant 2-G was an employee who noted, What I've done so far is written out certain job skills or as far as what training is available, what training needs to happen for the position that I'm in - job aide - what training we can do different from what they did last time. A three-day, more than a one-day process, where I think we should go through a three-day process of training, just actually showing someone from beginning to end. I guess you would say managing a federal grant and giving them training from what to look for, what do they need to know, what's allowable, what's unallowable, just a complete training method.

The purpose of Subquestion 2 was to receive responses from participants on management providing assistance to the employees during the change. Responses from participants did not yield a definitive answer for assistance provided to them in this business process project. I believe the word *assistance* in this respect may have been misunderstood by the participant when used in Question 5. Anticipation was for statements discussing management's action to increase employee participation in the organization because of the change. University newsletters shared on the internet, suggested employees could stay up to date with information if they could not attend a meeting. Management listed a general email address for employees to send concerns, and suggestions to involving the system implementation. There were opportunities to win prizes for completing managerial suggestions and activity surveys by a deadline. The newsletters also includede links to job aides for a specific job or process affected by the change. I could not lead the Participants in giving information on any of the mentioned items I read, yet it bothered me no one thought it was important enough to mention during the interview sessions.

Subquestion 2: *What assistance is provided to the employee as part of the business process project?* It can be somewhat expected job duties may increase during a system implementation or change process. Participants expressed experiencing some increase. It brought other themes of possible job loss for not being able to keep up with the added workload, stress for feeling non-completion of their job is at the end of the work day, and not receiving training in time or detailed enough to do their current job on an upgraded system. Questions and concerns over management are increasing the number of employees to work at the organization to even out the new workload. The overall major concern continually shared was that of training to do a current job, with increased duties, on a new system. Participant 2-D gave their opinion on the impact as they have observed.

> Subquestion 3: *What major impact does the business process project have on your individual job duties?* Participant 2-D was a supervisor who noted, the number of people has not been increased, but we have more duties to do. We have to do some work for the other areas we have to work with, and it's really painful because we have more responsibilities, more duties than definitely the people have on their job description.

Interviews with participants allowed for the response to subquestion 4 to be detailed and confirmed that employee behavior is altered when faced with change. Several participants shared either looking for a new job or retiring early just to avoid more stress. Other participants admitted to coming to work only to do as much as they could for that day and then going home. The loyalty to stay over their normal work hour from time to time to make sure a process was complete, was no longer there. There were a few participants who gave positive responses toward this question, in that they understood the role of management and the change made, and wanted to be a part of it. Participant 2-B shared their experience in witnessing management reaction to an employee wanting to be a part of the change and speaking out at a meeting. Not all results were of this negative experience, but some employees were able to voice their suggestion and see the attempt of management to incorporate the suggestion.

Subquestion 4: *How has this change implementation initiative affected your behavior on the job?* Participant 2-B was an employee who noted, Most of the time we don't speak up in meetings because you're deemed-- if you give your positive-- if you say something that they don't like, there's a target on your back, so we don't speak up during our meeting.

Summary

I showed the impact of the research findings that change implementation has had on the participants. Four managers/supervisors gave crucial insight from their side of the spectrum, which were in sync with what some of their employees were going through. Managers have had more of direct involvement with the system implementation than the employees. There was not a mention of employees having some form of assistance in going through this change management, as previously commented. Some participants felt their job duties would increase, whereas several participants felt their job would end as a result of the system implementation completion. There was the threat of them moving to another department, and if the move is not an acceptable option by the employee, they would essentially be out of a job. The behavior expressed by some participants is that maybe it was time to leave the institution; also, an attitude was expressed of just coming to work to complete a day, and then go home, and not being motivated in the change management for the business process project.

In Chapter 5, I will go more into depth about the complete findings of the study and suggestions and ideas to possibly assist management as they work to finalize the business process project that is leading to major change management for a system implementation upgrade.

Chapter 5: Discussion, Conclusions, and Recommendations

When there is a system upgrade, employees who perform their job functions/duties on a daily basis have the knowledge to assist management in how to incorporate the business side of the office into a successful change implementation. The purpose of this qualitative case study was to interview employees within a major university administration office in the Southern United States to explore what impact a business process project had on employees affected by change management in a system implementation upgrade. I asked 11 employees open-ended interview questions to address the research questions. I conducted a qualitative holistic analysis case study that was critical in examining theories that employee engagement in change management yields a happy employee and a productive environment, based on the teachings of (Yin, 2009).

Data obtained in the individual studies of the employees provided truth and impact the reader because of their real life context and the emphasis placed on a lived experience. Yin (2015) spoke of the richness of context in qualitative studies since the setting of the study involves the everyday lives of different people regarding how their past or current circumstances. The five distinctive features listed by Yin (2015) were evident in this research. They are as follows:

1. Studying the meaning of people's lives, in their real-world roles;
2. Representing the views and perspectives of the people [labeled throughout the research, as the participants] in a study;

3. Explicitly attending to and accounting for real-world contextual conditions;
4. Contributing insights from existing or new concepts that may help to explain social behavior and thinking;
5. Acknowledging the potential relevance of multiple sources of evidence rather than relying on a single source alone. (p. 11)

Overall, employees were very varied in their experiences, feelings, and behaviors during the system implementation upgrade. Positive and negative effects/impacts of the upgrade, as well as employee thoughts on management's actions, are outlined in more detail as the chapter progresses.

Interpretation of Findings

The responses given by the employees during the taped sessions yielded additional codes recognized during the review of the data. A recoded list based on more emerging themes and patterns not mentioned in the preassessment of possible codes found is represented in Table 7. The new all-inclusive table of codes and code definitions is where the bulk of the research findings confirmed portions of the literature review, as well as alignment with the theory. Recoding refined my categories and placed more depth into the code definitions, based on observation and progression into the research because of the attention to details and perspectives of the participants (Saldaῆa, 2016).

Table 7

Recoded List of Pattern Codes and Definitions

CODE	CODE MEANING	CODE DEFINITIONS
TRNG	Training	Implies employees will have training on the new system
COMM	Communication	Employees will receive communication throughout the process
JL	Job Loss	When an employee loses their job and is no longer employed
EMP	Employee	Actual worker in a department/team environment
IW	Increased Work	Employee is performing additional duties to what they are currently working
MGMT	Management	Higher level of management within the university that makes decisions involving the system implementation upgrade
SUPV	Supervisor	Immediate manager of employee yet does not have decision-making abilities to upgrade
NG-E.I.	Negative - Effect.Impact.	Behavior exhibited as a result of the upgrade
PST-E.I.	Positive - Effect.Impact.	Behavior exhibited as a result of the upgrade

The research noted in the literature review gave a preview of the confirmed findings of this study. Conceicao and Altman (2011) discussed employees concern over the major change in their organization and the impact of the change on their normal job duties. From my case study, five employees expressed major concern of there being an increase in their current work functions in relevance to the new system implementation upgrade. The increased work function concern also brought the issue of management providing proper training to handle the increased workload, as well as if there would be an increase in salary. Employees involved with the system implementation upgrade and who have a hands-on approach to the change in the organization is stated as being highly preferable by management, according to Erwin (2009). In order for there to be a culture of change and understanding in an organization the critical level management address should be the initial planning and accountability for leaders to be ready.

As suggested by Prywes (2011), an organization's history on past change implementations is key in acknowledging how to prevent possible failure. The employees at the university involved in this study confirmed management did present a different way to communicate with them about the change, and how they could become involved in key decisions affecting their jobs. Previous communication about system implementation to employees for their input and hands-on interaction with change before the implementation went live in the workplace was not experienced. An organization can move to successful implementation of change when results of past efforts are not considered to repeat (Prywes, 2011).

Another issue mentioned in the literature review was from Haynes (2007), about workspace changes and their effects on employee behavior in their work environment and the major role it plays in the productivity of the employee. During the taped interviews some employees expressed concern about their current office space, team, and environment changing because of the increased workloads experienced as a result of the system implementation upgrade. One employee expressed it may be time for her to retire, something she has not thought about previously, but due to the changes, she did not know if her work environment would remain the same. De Been and Beijer (2014) stated that workplace environments can change or become innovative when an organization has technological developments, change, or pursues different organizational goals. Employees encountering such changes within their workspace can have an impact on job satisfaction and work productivity.

A long tenure with the university does not necessarily mean that employees identify enough with the institution to have a positive attitude towards change as Bartels, Pruyn, and Jong (2009) suggested. Satisfaction and cooperation with their current job because of job longevity was not the case for the employee considering early retirement. Employee resistance to the change did not reveal the experience in the interviews.

Eyerly et. Al (1993) shared how Penn State's research administration department utilized training programs that included modules and packets of information, as well as workshops to attend to get acclimated with the changes at the university, as well as to train new employees hired into the department. Participants were positive about this approach. Employees participating in this case study at Penn State expressed the university's approach to similar techniques. Penn State provided some training, which included packets of information on the system upgrade. Administrative management at the university scheduled mini-seminars around campus to bring awareness of the system implementation upgrade. However, the employees felt the approach was general and an overall depiction of what was happening, rather than having training, modules, and packets speaking directly to their specific job functions and/or areas.

Colleges and universities need to use organizational approaches to change within their institutions (Hiatt, 2006). The university participating in my case study is using a business process model to initiate the system implementation upgrade. Managerialism, the term defined by Smeenk, et. al (2009), stated it is "the trend of adopting organizational characteristics, such as organizations forms, technologies, management instruments and values that originate from the private sector organization. (p. 591)" Managerial change dynamics have shifted more toward private sector processes to implement change (Havey, 2005). Several employees participating in the case study noted that external consultants were a part of the process in showing them new job performance criteria. Serrano-Velarde (2010) suggested it is the case of having an objective third person, one without bias to assist in carrying out the project.

Lastly, the most profound research noted in the literature review was from universities in Australia as told by Weller and Van Gramberg (2007), of the positive effect of employees' involvement in workplace change. Two types of worker participation engagment improved productivity and efficiency: participative management – employers using their workers to enhance the effectiveness of the operations, and industrial democracy – shared control in decisions making in the workplace which would benefit employees and the employers. There were comments from a few employees in this case study about how they did feel as if management was including them on some decisions made about the system implementation upgrade.

Limitations of the Study

The limitations of the study were outlined in Chapter 1 and are as follows:

The limitations of this qualitative case study were on the possibility of not having enough employees respond to the invitation to take part in the open-ended interview invitation. The limitation would have had a definite impact on obtaining needed saturation for assessment of how the employees' behavior had impacted during the business process project. There were 12 participants who responded to the email invitation to participate in the research study.

Another limitation was having accessibility to employees at the university to be able to interview during a time frame most convenient for them, such as their lunch break. Each employee was comfortable enough to speak with me in a conference room during their lunch break at the research site of the University.

A further limitation of the study was possible additional interview questions which allowed for additional conversation and expansion of some answers, although a few employees at times were not willing to grant further insight. There was further prompting of extended responses to the interview questions which gave added and crucial information to additional questions that did arise. The additional information was of value for the study, although some did not answer specific questions asked during the interview process.

Also, all employees approved to have their interview responses recorded via a microcassette recorder

Recommendations

Based on the case study research I conducted at a university in the Southern United States involving managerial change for a system implementation upgrade, there are two change models to note which would be profound in its use based on the literature review and the results of the research. There were two models I assessed from the literature review as possible models to use in the case of my research, The Kurt Lewin Model and the ADKAR Model. These models are inconclusive of other options and possibilities that exist, yet they were two which brought insight to the methodology introduced for change management. Also, based on the responses from the participants of the study, both models had some form of process that related to what the participants would like to have seen happen from their management.

Kurt Lewin Model

The first model introduced by Kurt Lewin in 1947, describes a three-stage process of unfreezing and freezing to preparing employees for change, and assisting them through change completion. A brief recap of the model explains how the first stage prepares the mind for a change; the second stage is the actual change, which is a transition; and the third stage takes the employee back to their comfort zone before the change happens. The seven phases to come about as a result of these three stages are:

1. Setting up for success by starting with the result in mind.
2. Creating urgency by identifying early resistance and negative behaviors, and addressing accordingly.
3. Shaping the future of the organization by sharing all aspects of the change with all employees, and possibly printing vision statements to hang throughout the departments.

4. Implementing the change, the new process, and the additional skills to do a good job.
5. Support the shifting by once again identifying any resistance or negative behaviors, now that actual implementation has taken place.
6. Sustain momentum by reinforcing positive behaviors, and the employees show small milestones, and recognizing in group meetings the progress made.
7. Stabilize the environment which is the capstone of the process, and the result of the permanent change of jobs (Carter, 2008).

The ADKAR Model

Another possible strong recommendation was mentioned in the introduction of this study and is a more structured, measurable, and is the current model used worldwide with a proven track record in organizations and colleges and universities. The model mentioned is known as the A.D.K.A.R. model for change in business, government, and our community, as introduced by Jeffrey M. Hiatt. Figure 3 show a summary of what the acronym ADKAR stands for and how each part is related.

The ADKAR Model for Change

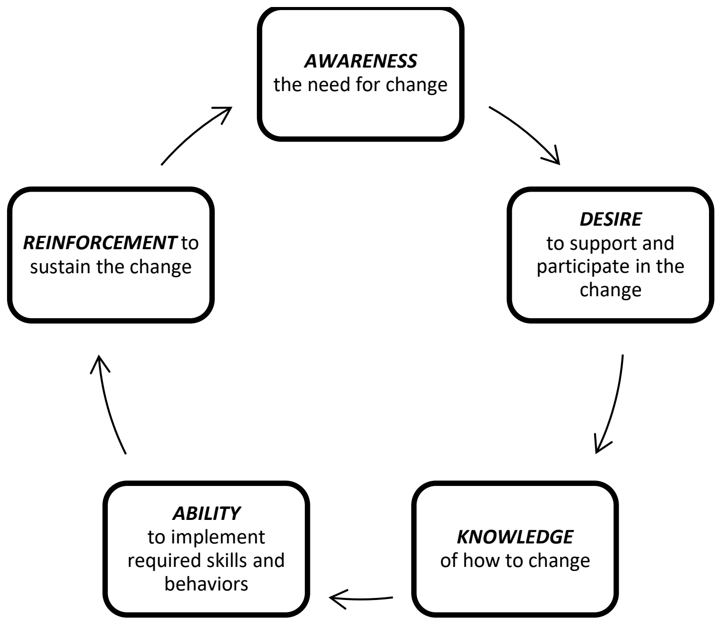


*Figure 3***.** The ADKAR model shown is representative from Jeffrey Hiatt

ADKAR is a planning tool with assessments and worksheets, as well as managerial and coaching tools to introduce change to the employee better. Once there is the introduction of the change, assisting and involving the employee throughout the change process is optimal. The culmination is the sustainment of the change, and the possibility to employ the process to other areas of the university. Prosci is the company spearheading the seminars and workshops on the ADKAR model in which managers can attend to ensure they are properly utilizing all tools effectively (Hiatt, 2006).

My recommendation is for this university, as well as other colleges and universities, to seek out a proven model used in change management in higher education before beginning a new or system implementation upgrade. It is imperative for management to follow all phases of the change process or model they chose to navigate their institution through organizational change (Craine, 207). Employees participating in this case study admitted to some form of the process being in place, yet the extent of utilizing the process to the best interest of the employee not seen. The majority expressed discontent on management reactions or lack of toward any suggestions they wanted to express at meetings or workshops. The process looked good on paper, yet the reality of it taking place was minimal at best.

The view of management and its practices for change management in a system implementation upgrade should be deemed important based on how their employees react to the processes involved. Figure 4 is a representation of the data from participant responses on the comparison of negative and positive effect and impact on the change management process of the system implementation upgrade they are currently experiencing. Since there are more participants sided with negative views versus positive views it is a strong indicator of a more detailed analysis which could take place by management. The middle of the figure depicts employees who have positive and negative experiences expressed during their interview session. Responses had to have included the actual words of positive and/or negative about the questions asked.

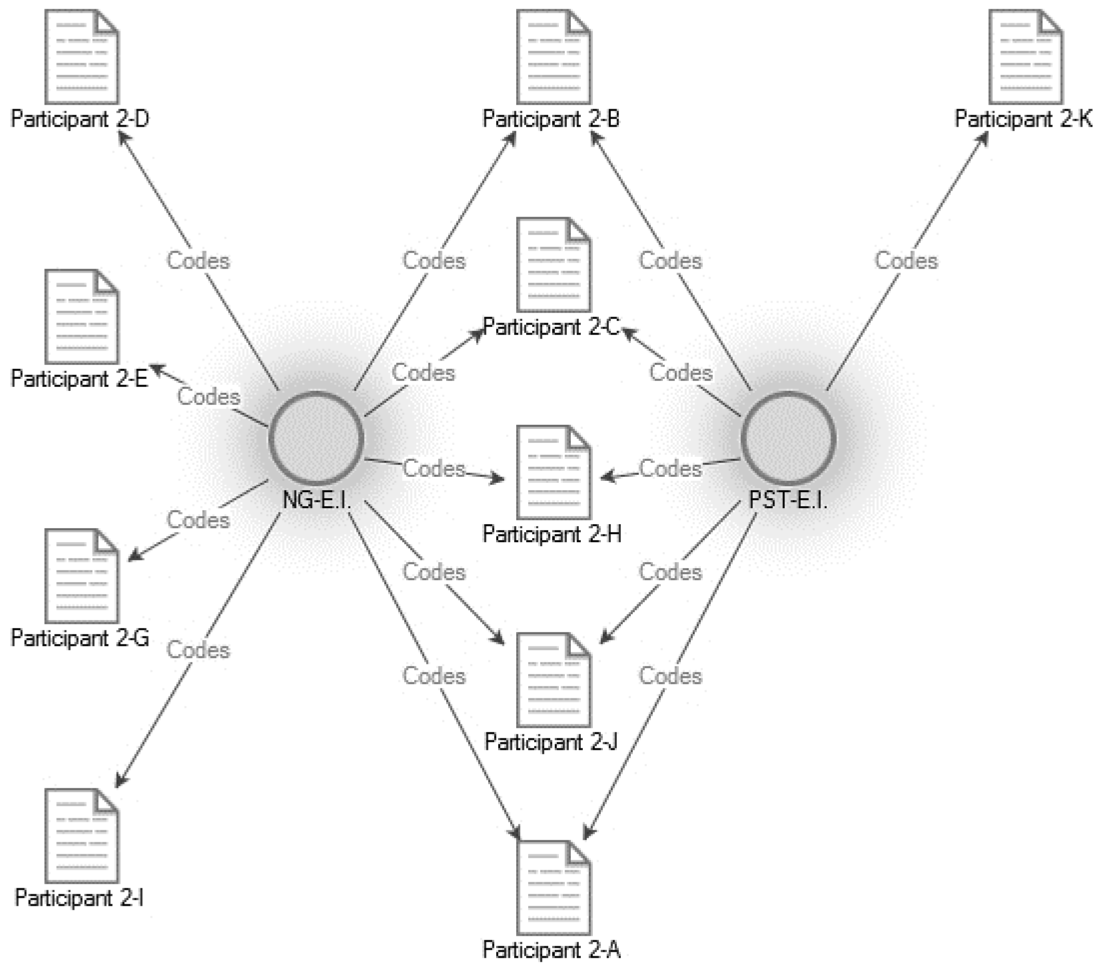


Figure 4. NG-E.I and PST-E.I. coded comparison relationship of participant response

Implications

Implications for Positive Social Change

Participants gave examples of not being able to fully give details and suggestions about their jobs during the planning phase of the implementation. One participant depicted large group gatherings to discuss the change as being made to feel like just a number in the crowd. Smaller meeting with supervisors only became gripe sessions since the supervisor did not have any decision-making authority, or was willing to give top level management outcomes to the smaller meetings. Feelings of job loss and increased work assignments brought agitation and frustration, all signs of negative social change in the workplace.

Top level management is responsible for making decisions that affect an entire organization which involves any form of major administrative change. They should take strong consideration of the human side of change for the employee when their job is affected. Business processes will be inevitably a part of any change within an organization. However, the employee affected by the change has to be able to understand all components of the change and its direct relational affect to their current job. Managerial decisions should include the employee in all aspects of change by using communication and training, as well as providing processes and tools for supervisors to effectively lead change amongst their employees, to minimize and manage resistance. The process of good change management that listens to the employee encourage their input and suggestions, develop corrective action programs and the conclusion of celebrating small and large success throughout the change implementation (Hiatt & Creasey, 2003). These are keys to overall positively profound social change, within the organization.

Figure 5 shows the NVivo 11 PRO relationship of participants in the case study, to the importance of communication and how often if mentioned in their interview transcript. The length of the line extended from the COMM code to the actual participant's transcript denotes how often the word communication came up in their interview. 10 participants expressed some comment on communication as it relates to management discussing the system implementation upgrade with them in some form.

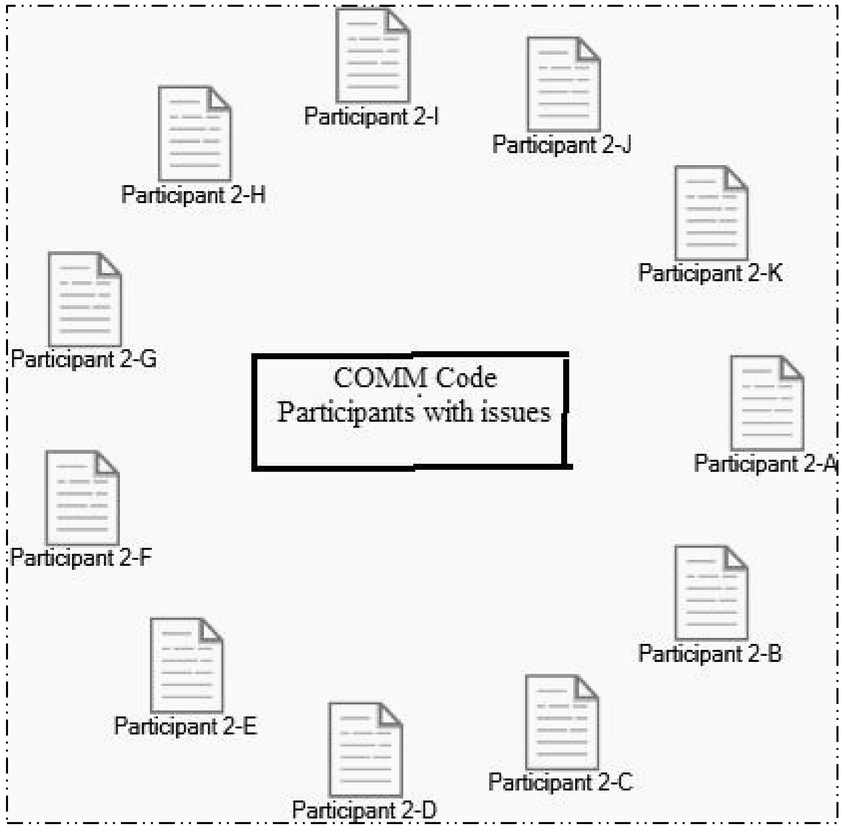


Figure 5. COMM coded relationship of participant response about management

Methodology Theory and Practice

Qualitative case study research in which each participant was considered an individual case, based on the method of focused interviews to obtain data proved to be effective towards explaining the theory of the study. The use of patterns and codes in the research helps establishes a correspondence between two or more categories of text. It becomes importance in showing relationships (Yin, 2007). Participant data shows the analysis of how codes related to each response to a research question. Patterns were drawn to form the level of relationship for the response to guide us in how important three major codes of communication, management action, and the negative effect/impact of the system implementation upgrade has had on the participants.

Trochim and Donnelly (2007) stated qualitative research allows us to get a deeper understanding of complex issues revealed in the research. The participants show a snapshot of the interaction of these issues and the relative factors affecting their lives at work. This social research through in-depth interviewing where each participant was a separate case study, has the potential of using exact information from the transcripts to analyze further the thoughts, ideas, concerns of the participants in how management can provide a better transition for change.

Conclusions

The qualitative holistic case study analysis using open-ended interviews of 11 employees within a major research university administration office in the Southern United States, analyzed the impact of a business process project involving change management in a system implementation upgrade. My theory on employee involvement in change for a positive workplace has proved correct. The literature review dates back to the 1940s for theories based on the importance of assisting the employee in a change process affecting their job, by allowing the employee to be an intricate part of the change. Employees' exhibit strong negative reactions and behaviors when told their job will change, or duties will increase, and there has been no consideration given to what input they could have given to make the process easier. Employees who have been with a company for years threaten to leave, or worse only show up to work to simply get a paycheck, versus making sure the university will uphold through the change.

The voice of the employee is very critical to the success of any change implementation or upgrade. The major component is communication before, during and after the change. Training before during and after the change is another item to notate the need for the employees. Moreover, yet the most important aspect of change is the show of concern of management for the employee in all phases of implementation. Figure 5 is a strong representation of the codes used in analyzing the data and shows how important communication and concern from management is to the employees. A study conducted by Bish, Newton, and Johnston (2015) explained the importance of leadership and their influence in employee interpretation and outcome concerning change. I am confident after this study that there is hope as change management in organizations, colleges, and universities continue to experience an ever-increasing surge of change within their establishments as new technology changes the way we do business.

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Appendix A: University Letter of Cooperation

[redacted]
Research Administration
Director, [redacted]

October 21, 2015

Dear Kendra Turner,

Based on my review of your research proposal, I give permission for you to conduct the study entitled "Impact of a Change Management Process on Employee Behavior in a University Administrative Office" within [redacted] University. As part of this study, I authorize you to conduct face-to-face interviews with 12-15 employees within the department of [redacted], to gain thoughts, ideas and opinions on how they have accepted being able to be a part of the system implementation upgrade. All interviews will be conducted individually, and no actual names will be used, only an alpha-numeric code to distinguish each participant. Each participant will have the chance to review all notes taken on their responses at the end of the interview session to confirm member checking. I understand that a typed PDF copy of participants' responses can be emailed to them at their request. Individuals' participation will be voluntary and at their own discretion.

We understand that our organization's responsibilities include: allowing access to speak with individuals for participation in the study. This will not be conducted during the business hours of the participant, yet possibly on their lunch break in a quiet area off from the cafeteria, or after working hours. We reserve the right to withdraw from the study at any time if our circumstances change.

The student will be responsible for complying with our site's research policies and requirements, including obtaining departmental management approval to conduct face-to-face interviews.

I confirm that I am authorized to approve research in this setting and that this plan complies with the organization's policies.

I understand that the data collected will remain entirely confidential and may not be provided to anyone outside of the student's supervising faculty/staff without permission from the Walden University IRB.

Sincerely,

[redacted]

[redacted]
Interim AVP, [redacted]

Walden University policy on electronic signatures: An electronic signature is just as valid as a written signature as long as both parties have agreed to conduct the transaction electronically. Electronic signatures are regulated by the Uniform Electronic Transactions Act. Electronic signatures are only valid when the signer is either (a) the sender of the email, or (b) copied on the email containing the signed document. Legally an "electronic signature" can be the person's typed name, their email address, or any other identifying marker. Walden University staff verifies any electronic signatures that do not originate from a password-protected source (i.e., an email address officially on file with Walden).

Appendix B: Email to Participate in a Pilot Research Study

TO: [redacted]
FROM: [redacted]

RE: Invitation to participate in Pilot Study Research

The purpose of this email is to request your participation in a pilot research study of Change Management in an administrative office at a Research University. The researcher is inviting individuals who have been employed with the university since at least 2009 and affected by managerial change within their institution within the past 3-4 years, and are now able to participate in a change management project, to be in the study. There will be open-ended interview questions being asked for a detailed response. The time limit of the interview should range from 30 minutes to an hour, and possibly done during your lunch break. Any information you provide will be kept confidential. You will be referred to as an alpha-numeric character, such as 1A – 5A, etc. The researcher will not use your personal information for any purposes outside of this research project. Upon completion of the interview, each individual will be given a $10 VISA gift card to use at the participant's discretion for the compensation of their time. Upper level management at your institution has given full approval to proceed with this research. A copy of the signed approval letter is available upon your request.

Questions, comments, and concerns can be addressed to [redacted] **Thank you sincerely for your time.**

Appendix C: Email to Participate in a Research Study

TO: [redacted]
FROM: [redacted]
RE: Invitation to participate in a Research Study

The purpose of this email is to request your participation in a research study of Change Management in an administrative office at a Research University. The researcher is inviting individuals who have been affected by managerial change within their institution within the past 3-4 years, and are now able to participate in a change management project, to be in the study. There will be open-ended interview questions being asked for a detailed response. The time limit of the interview should range from 30 minutes to an hour, and possibly done during your lunch break. Any information you provide will be kept confidential. You will be referred to as an alpha-numeric character, such as 1A – 5A, etc. The researcher will not use your personal information for any purposes outside of this research project. Upon completion of the interview, each individual will be given a $10 VISA gift card to use at the participant's discretion for the compensation of their time. Upper level management at your institution has given full approval to proceed with this research. A copy of the signed approval letter is available upon your request.

I will be in Atlanta, GA to conduct the study on the following days:

Friday: February 5, 2016 During Lunch or After Work

Monday: February 8, 2016 During Lunch or After Work

Tuesday: February 9, 2016 During Lunch or After Work

Please respond as soon as possible if you would like to participate.

Questions, comments, and concerns can be addressed to [redacted]

Sincere thanks for your time.

Appendix D: Open-Ended Questions

The following open-ended questions were asked from the participants in a focused interview session:

1. What suggestions have you expressed toward administration concerning the business process project as it relates to your specific job?
2. How was the business process project introduced to you to where you clearly understood what was happening?
3. What feelings do you have since you are given a chance to voice your opinion thoughts, ideas during this change implementation in your university administrative office?
4. How does the impact of this business process project affect your feeling towards your job and/or management?
5. What areas of positive change have you shared with management when attending meetings to assist and involve you, the employee, with the changes affecting your job?
6. If the impact of this change to your job is not positive, explain why, and how critical the change will affect your current job duties.

Appendix E: Confidentiality Agreement from TranscribeMe

TRANSCRIBEME, INC.
MUTUAL NON-DISCLOSURE AGREEMENT

This Mutual Non-Disclosure Agreement ("**Agreement**") is made as of 05/10, 2018 (the "**Effective Date**") between TranscribeMe, Inc. ("TranscribeMe") on one hand and the participant identified below ("**Participant**") on the other.

1. Definition. "**Confidential Information**" means information relating to the Discloser's business, including, without limitation, product designs, product plans, data, software and technology, financial information, marketing plans, business opportunities, proposed terms, pricing information, discounts, inventions and know-how disclosed by Discloser to Recipient, either directly or indirectly, whether in writing, verbally or otherwise, and whether prior to, on or after the Effective Date, that either: (a) is designated as confidential by the Discloser at the time of disclosure; or (b) would reasonably be understood, given the nature of the information or the circumstances surrounding its disclosure, to be confidential. Confidential Information also includes the existence of this Agreement and the fact or nature of the discussions between the parties.

2. Use of Confidential Information. A party which receives Confidential Information under this Agreement ("**Recipient**") may use the Confidential Information only to evaluate whether to enter into a business relationship with the party which discloses Confidential Information under this Agreement ("**Discloser**").

3. Disclosure of Confidential Information. Recipient will: (a) hold Confidential Information in strict confidence and take reasonable precautions to protect such Confidential Information (such precautions to include, at a minimum, all precautions Recipient employs with respect to its own confidential materials); (b) not divulge any Confidential Information to any third party (other than to employees or contractors as set forth below); and (c) not copy or reverse engineer any materials disclosed under this Agreement or remove any proprietary markings from any Confidential Information. Any employee or contractor given access to any Confidential Information must have a legitimate "need to know" such Confidential Information for use specified in Section 2 and Recipient will remain responsible for each such person's compliance with the terms of this Agreement.

4. Term; Confidentiality Period. Either party may terminate this Agreement with 30 days prior written notice to the other party. Irrespective of any termination of this Agreement, Recipient's obligations with respect to Confidential Information under this Agreement expire 5 years from the date of receipt of the Confidential Information (except with respect to any trade secrets where such obligations will be perpetual).

5. Exclusions. This Agreement imposes no obligations with respect to information which: (a) was in Recipient's possession before receipt from Discloser; (b) is or becomes a matter of public knowledge through no fault of Recipient; (c) was rightfully disclosed to Recipient by a third party without restriction on disclosure; or (d) is developed by Recipient without use of the Confidential Information as can be shown by documentary evidence. Recipient may make disclosures to the extent required by law or court order provided Recipient makes commercially reasonable efforts to provide Discloser with notice of such disclosure as promptly as possible and uses diligent efforts to limit such disclosure and obtain confidential treatment or a protective order and has allowed Discloser to participate in the proceeding.

6. Return or Destruction of Confidential Information. Upon termination of this Agreement or written request by Discloser, the Recipient will: (a) cease using the Confidential Information; (b) return or destroy the Confidential Information and all copies, notes or extracts thereof to Discloser within 7 business days of receipt of request; and (c) upon request of Discloser, confirm in writing that Recipient has complied with these obligations.

7. Proprietary Rights. Neither party to this Agreement acquires any intellectual property rights nor any other rights under this Agreement except the limited right to use the Confidential Information set forth in Section 2.

8. Disclaimer. CONFIDENTIAL INFORMATION IS PROVIDED "AS IS" AND WITH ALL FAULTS.

9. Independent Development. The Discloser acknowledges that the Recipient may currently or in the future be developing information internally, or receiving information from other parties, that is similar to the Confidential Information. Accordingly, nothing in this Agreement will be construed as a representation or agreement that the Recipient will not develop or have developed for it products, concepts, systems or techniques that are similar to or compete with the products, concepts, systems or techniques contemplated by or embodied in the Confidential Information, provided that the Recipient does not violate any of its obligations under this Agreement in connection with such development.

10. Publicity. Neither party will make, or authorize any third party to make, any public announcement or other disclosures related to this Agreement and any potential agreement or relationship with the other party or any of its affiliates or subsidiaries without the prior written approval of the other party. For the purposes of this Agreement public announcements include disclosures to any person or entity other than the Recipient by any means, including but not limited to, press releases, written or oral statements made to the media, blogs, trade organizations, publications, websites, or any other public audience or unauthorized third parties.

11. Export. Recipient agrees not to remove or export any such Confidential Information or any direct product thereof, except in compliance with, and with all applicable export laws and regulation.

12. Injunctive Relief. Each party acknowledges that any breach of this Agreement may cause irreparable harm for which monetary damages are insufficient remedy and therefore that upon any breach of this Agreement Discloser will be entitled to appropriate equitable relief without the posting of a bond in addition to whatever remedies it might have at law.

13. General. Neither party has an obligation under this Agreement to purchase or offer for sale any item or proceed with any proposed transaction. In the event that any of the provisions of this Agreement are held illegal or unenforceable by a court of competent jurisdiction, such provisions will be limited or eliminated to the minimum extent necessary so that this Agreement will otherwise remain in full force and effect. Neither party may assign this Agreement without the prior written consent of the other party. This Agreement will be governed by the laws of the State of California and the United States without regard to conflicts of laws provisions thereof. This Agreement supersedes all prior discussions and writings and constitutes the entire agreement between the parties with respect to the subject matter hereof. The prevailing party in any action to enforce this Agreement will be entitled to costs and attorneys' fees. No waiver or modification of this Agreement will be binding upon either party unless made in writing and signed by a duly authorized representative of each party and no failure or delay in enforcing any right will be deemed a waiver.

ACKNOWLEDGED AND AGREED:

TranscribeMe, Inc.

Signature:

Name: Rene Arvin

Title: VP Sales, Products & Partnerships

Participant: Kendra Turner

(Print company's name above. If you are not conducting business on behalf of a company, please print first and last name.)

Signature:

Name: Kendra Turner

Title: Doctoral Student - Walden Univ