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I am submitting herewith a dissertation written by Susan B. Arnold entitled "Leader Traits and Leadership Competencies Necessary During Organizational Change" I have examined the final copy of this dissertation for form and content and recommend that it be accepted in partial fulfillment of the requirements for the Degree of Doctor of Philosophy with a major in Human Ecology.

Gerald D. Cheek, Major Professor

We have read this dissertation
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LEADER TRAITS AND LEADERSHIP COMPETENCIES NECESSARY DURING ORGANIZATIONAL CHANGE

A Dissertation

Presented for the

Doctor of Philosophy

Degree

The University of Tennessee, Knoxville

Susan B. Arnold

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DEDICATION

This work is dedicated to my loving family, who gave so willingly of themselves, to ensure I was successful in my quest for higher education. To my loving husband Dan, who always found the right words at the right time to shore up my spirits, to my children Sean and Dana for their reassuring smiles and hugs, and to my mother and father, for their steadfast support and belief in my capabilities.

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ABSTRACT

The rapid onset and constancy of change in organizations today have created a climate that challenges leaders and followers alike. To complicate matters, there was little evidence to support the need for leaders to demonstrate new and/or different leader traits and leadership competencies, to be successful during major organizational change.

The purposes of this study were: (a) to identify the leader traits and leadership competencies necessary for leaders to be successful during major organizational change initiatives; (b) to determine if there were significant differences between the perceptions of leaders and followers on the importance of leader traits and leadership competencies; (c) to determine if there were significant differences between experts, leaders, and followers in their perceptions of the traits and competencies, (d) to determine if there were significant correlations between experts, leaders, and followers' rankings of importance of those traits and competencies, (e) to determine if there were significant differences in the perceptions of importance between healthcare professionals in rural and urban organizations on the necessary leader traits and leadership competencies, (f) to determine if there were significant differences in perceptions of leaders and followers on the importance of the leader traits and leadership competencies when grouped by demographic variables (gender, race, and educational levels), and (g) to determine if there were significant relationships between age, number of years in healthcare, number of years in the current organization, and the number of major changes experienced while working in healthcare, and the levels of perceived importance of leader traits and leadership competencies necessary during organizational change.

The study was a descriptive survey research. An extensive review of the literature was conducted to identify leader traits and leadership competencies necessary during organizational change. The identified traits and competencies were validated by a Delphi panel of experts. The 5 leader traits and 17 leadership competencies were validated as necessary for leader success during major organizational change. They were formatted into in a researcher-developed instrument, named the Leadership Trait and Competency Assessment (LTCA).

Data for the study were collected from a stratified random sample of 550 healthcare professionals from rural and urban healthcare organizations. The sample included 444 urban participants (123 leaders and 321 followers) and 103 rural participants (17 leaders and 89 followers). A total of 347 completed the questionnaires were returned, which was a return rate of 63 percent.

Respondents were asked to rate the importance of each leader trait and leadership competency necessary during change. A Likert scale of 1 to 6 was used. One was the least important and 6 was the most important. Respondents were also asked to provide demographic data.

Research data were tabulated and statistical analyses were conducted to test the research hypotheses. The results of the study were:

1. The LTCA is a valid instrument for assessing the perceived importance of leader traits and leadership competencies during major organizational change. The 5 traits and 17 competencies were perceived to be important by leadership experts and healthcare leaders, and followers.

2. Healthcare leaders and followers have the same expectations of their leaders during major organizational change.

3. Experts in the leadership field and healthcare leaders and followers all have the same expectations of their leaders during major organizational change.

4. Rural and urban healthcare professionals have the same general expectations from their leaders, except for the leader trait "determined."

5. Females expect their healthcare leaders to have higher standards than their male counterparts.

6. Healthcare professionals who were of different races and educational levels were in agreement on their perception of the importance of necessary leader traits and leadership competencies.

7. The age of healthcare professionals, the number of years in healthcare, the number of years in the current organization, and/or the number of major changes experienced while working in healthcare were unrelated to the expectations of leaders during major organizational change.

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Chapter 1

Introduction

For centuries, the leadership phenomenon has intrigued individuals, researchers, and practitioners alike. The phenomenon is not new, nor is it isolated to one segment of society. References to leadership can be found in the writings of early civilizations as far back as the ancient Romans, Greeks, Chinese, and Egyptians. The leadership phenomenon is universal (Bass, 1981), it cuts across geographical, cultural, and historical barriers. The phenomenon has been examined and written about for years. During the last century alone, hundreds of books have been written about the subject and thousands of research studies have been conducted. Yet, according to Burns (1978), "leadership is one of the most observed and least understood phenomenon on earth" (p. 4).

The last two decades have seen a greater emphasis and focus on leadership in corporate America. Bass (1990), cited over 4,500 new leadership references in his third edition of the Leadership Handbook, which reviewed and summarized leadership studies. The new references incorporated work done from 1981 through 1990. There has also been an increase in the number of publications and articles written about leadership and an increase in the number of leadership programs designed to develop and enhance present and future leadership skills and competencies.

A major contributing factor to the surge of interest in the leadership phenomenon is the need within organizational systems to address change. The decade of the nineties has been a turbulent and uncertain time for businesses and industry worldwide. Mergers, acquisitions, restructuring, reorganizations, and bankruptcies have become a part of

everyday life in corporate America. According to Connors and Lake (1994), "...change is everywhere, change is inevitable, and that dealing successfully with change is critical.... As we come on the twenty-first century, the hallmark of organizational and managerial life is change" (p. 1).

Like the leadership phenomenon, the change phenomenon is not new. "Change has always been an integral part of business life" (Robert, 1991, p. 1). It is the speed and constancy of the change that differs in today's organizations. As a result of the increased magnitude and speed of the changes besieging organizations, internal and external pressure has been placed on organizations and their leadership to assess business strategies and make modifications to meet the changing demands of the marketplace and the workforce. As if this is not a significant enough challenge, the demands of the marketplace and workforce also continues to change. Additionally there are pressures for increased globalization, increased competition, scarcity of human resources, increased focus on quality, increased pressure to be innovative, and increases in technology (Robert, 1991).

As corporations prepare to enter the new millennium, there is every indication that the speed and nature of change will continue to intensify and leadership must be prepared to deal effectively with it. "In the future...the executives who will be able to lead their organizations through these changes will be the ones to survive and prosper" (Robert, 1991, p.1).

Competent leadership is essential for organizations to function and thrive in the global marketplace of the new millenium. Bass (1990), elaborated on this tenant when he stated,

> The survival of a group is dependent on a type of leadership that is able to keep member and subgroups working together toward a common purpose, to maintain productivity, at a level that is sufficient to sustain the group or to justify its existence, and to satisfy the members' expectations of the leader and the group. Competent leaders are especially needed in times of crisis to unite the efforts of members and to strengthen the group's cohesiveness around a common cause. (Bass, 1990, p. 657)

The magnitude and significance of all of the changes facing organizations today has created crisis situations for American corporations. Competent leadership is critical if organizations are to be successful during and after major change initiatives. Reorganization, restructuring, mergers, acquisitions, and downsizing are some of the major change initiatives organizations have chosen to use in order to manage the changing demands of the marketplace and the workforce. The results, however, have not always met the organizations' expectations. All too often, reorganization, restructuring, mergers, acquisitions, and downsizing efforts have resulted in lower productivity, fragmented and divisive teams, and poor morale. In most cases, negative results could be avoided if the leadership of organizations possessed the appropriate leader traits and leadership competencies to effectively lead and manage major change initiatives.

To be successfully implemented, the complexity of the change process requires strategic involvement of the leaders and employees at all levels within the organization. This new level of involvement requires change strategies that set new expectations for leader traits and leadership competencies for leaders in traditionally established leadership roles. It is critical, when major organizational initiatives take place, that leaders understand the change process and its impact on the organization's human resources. They must also be able to facilitate the changes with minimum impact on the overall productivity of the organization. The challenges of positioning the organization and its leadership to meet major changes are receiving increasing attention by experts in the field of organizational, leadership, and human resource development.

There are two significant factors to consider when assessing organizational systems for survival through the changes presented in the new millennium: first, identify leader traits and leadership competencies necessary to enable leaders to successfully lead during change; and second, match the leader traits and leadership competencies to the expectations of the organization's staff. Since the changes associated with major organizational initiatives involve the employees (followers) in the organization, it is critical that they be part of the trait/competency identification process. "Perceptions of leaders are integral to leader-follower interactions" (Hollander, 1993) as cited in Chemers, (1997, p. 100). For many organizations, this translates into the identification of new leadership paradigms across all levels of the organization. Change affects an organization like a pebble tossed into a pond; there is a ripple affect. Change will ripple from the top of an organization to the bottom and from the bottom to the top. In today's

organizations, there is no way to deal effectively with change in isolation. Since all levels of an organization are interrelated and integrated, a change to one system affects the other systems and the employees associated with those systems.

As a result of the changes experienced by organizations, the required skills of leaders have changed significantly over the last few decades. Leaders today no longer lead in isolation. The "hero" concept of leadership has gone by the wayside. There are new leadership expectations for today's leaders in the age of participative management, team environments, empowerment, and information technology. Leaders are expected to demonstrate leadership styles that meet the ever-changing work environments. As a result of the rapid pace of change, the leadership paradigm has shifted and will continue to shift in an effort to meet the constant changes that organizations will continue to experience in the new millennium.

The challenges of defining leader traits and leadership competencies during these changing times has reached a new level of criticality. Yet, there is no clear process for identifying the leader traits and leadership competencies necessary for each specific organizational change. Meeting the organizational expectations presented by organizational change, creates a dilemma many leaders and organizations are not prepared to face. However, only when all expectations are met, will leaders and organizations experience optimum success and productivity.

Leadership and change are two phenomena that are inextricably bound to the very essence of today's business and industry. The study and identification of the leader traits

and leadership competencies necessary to effectively lead during change is imperative if organizations are to survive and remain competitive in the new millennium.

Statement of the Problem

There is currently little evidence that research has been conducted to identify the necessary traits and competencies for leaders to be successful during times of change associated with major organizational change initiatives such as reorganization, restructuring, mergers, acquisitions, and downsizing. To date, many leadership programs advocate change management strategies but neglect to connect the strategies to the leader traits and leadership competencies. Leaders are generally expected to face the challenges of change with their existing traits and competencies.

These expectations often lead to significant gaps between leadership performance and employee expectations during the change initiative implementation. The gaps can then result in lack of trust and confidence, adversarial relationships between employees and leaders, and a decrease in productivity and profitability during the change initiatives. The change initiatives can also meet with resistance and failure because of poor leadership performance.

Purposes of the Study

The purposes of the study were to identify necessary leader traits and leadership competencies for leaders to be successful during times of major organizational change and determine the perceptions of leaders and followers on the importance of the traits and competencies to leaders and followers in the organization. The leader traits and

leadership competencies can provide a baseline for measuring performance expectations for individuals in leadership positions.

The study had seven components: (a) to identify the leader traits and leadership competencies necessary for leaders to be successful during major organizational change initiatives; (b) to determine if there were significant differences between the perceptions of leaders and followers on the importance of leader traits and leadership competencies; (c) to determine if there were significant differences between the perceptions of experts, leaders, and followers on the importance of the leader traits and leadership competencies; (d) determine if there were significant correlations between the experts, leaders, and followers' rankings of importance of those traits and competencies; (e) to determine if there were significant differences in the perceptions of importance between healthcare professionals in rural and urban organizations on the necessary leader traits and leadership competencies; (f) to determine if there were significant differences in perceptions of leaders and followers on the importance of the leader traits and leadership competencies when grouped by demographic variables (gender, race, and educational levels); and (g) to determine if there were significant relationships between age, number of years in healthcare, number of years in the current organization, and the number of major changes experienced while working in healthcare, and the perceptions of importance of leader traits and leadership competencies necessary during organizational change.

Rationale

Billions of dollars are spent annually on the training and development of leaders in organizations as reported by Training in their annual industry reports. In 1999 alone, 62.5 billion dollars was spent on training in organizations in the United States. Of that amount, more than half was allocated for the training of managers and professionals. This has been a recurring trend since 1982, when Training began conducting the training surveys. In the 1999 Training annual report, leadership training moved from fifth position to second in order of importance, with 81% of the reporting organizations offering leadership training to their staffs. Many new training programs were focused on leading or managing through change. The report also found that 64% of organizations polled offered change management training. However, there were significant gaps in the correlation between leadership training and development and the return on investment for the organization. This too, has been a recurring theme recognized by Fiedler as early as 1967, when he indicated that training initiatives for leaders would "stagger the imagination" (Fiedler, 1967, p. 251). However, the measurement of the effects of this training seldom occurred. (Fiedler, 1967).

Since so much capital is invested in training initiatives, it would be beneficial for organizations to establish a process for identifying leader traits and leadership competencies necessary for the leaders to be effective in meeting the challenges of change that currently exist within their organizations. This identification process could be used to prepare leaders and followers before, during, and after the changes occur. This

identification process could also provide the organization and its' leaders with an operational foundation from which to initiate and manage major change initiatives.

By default, leaders are placed in change-agent roles that require them to champion the organizational change initiatives. Leaders are often unprepared for the change-agent roles and unprepared to face the challenges that the changes present. If leaders are aware of the necessary leader traits and leadership competencies to be effective during these times, they could be better prepared and experience significantly greater success.

Identification of the necessary leader traits and leadership competencies for leaders to be effective during times of change can provide a foundation for organizations to set leadership criteria that can be used to enhance leadership performance in all organizational processes and systems. The traits and competencies can be used to establish criteria for leadership recruitment, selection, training and development, and retention. The leader traits and leadership competencies can also be used to establish performance criteria to manage and evaluate leader performance.

Knowing what is expected of a leader is important. In fact, it is a foundation and direction for success. Recognition that the expectations may be different for each individual within the organization is also important for success. The determination of the similarities and/or differences in the perceived importance of leader traits and leadership competencies between leaders and followers can assist leaders in becoming more effective in their roles as leaders during major change initiatives. Once leaders know the expectations of their followers, they can focus on traits and develop competencies

necessary to accommodate their expectations. Accommodating follower needs can then make them more effective as leaders during times of major organizational change.

Theoretical Framework

Early research in the field of leadership studies tended to focus solely on theoretical issues. The research identified leadership types and related the types to what met the operational demands of society. Early researchers also focused on the development of what they perceived to be comprehensive leadership theories, without relating the theories to actual situations. As time passed, the impracticality of this approach became apparent. More recent researchers focused on combining empirical research with theories which did in fact provide a more comprehensive view of the leadership phenomenon (Bass, 1981). Bass (1974) argued that theory and empirical research should flow together, stimulating, supporting, and modifying one another. When researchers considered leadership theories and linked them to empirical research, there were three essential elements that needed to be considered: leaders, followers, and situations. It is clearly apparent that as leadership theories evolved, there was a transition from theory only to a blending of theory and empirical research. Bass's works on the review of leadership theory clearly presented the evolutionary pattern of theory and empirical research (Bass, 1981, 1990).

This pattern presented a basis to establish the theoretical framework for this study. When organizations initiate major changes, such as reorganization, restructuring, mergers, acquisitions, and downsizing, there are three fundamental elements that need to be considered when determining the change strategy: leaders, followers, and change

initiatives (situations). The presence of these three elements in the change and leadership theories was the basis for the theoretical framework for this study. The theoretical framework has its' foundation in the following change and leadership theories: Normative-Reeducative Strategy, Advanced Change Theory (ACT), Contingency Leadership, Transactional Leadership, and Transformational Leadership.

Normative-Reeducative Strategy. The Normative-Reeducative Strategy was termed by Chin and Benne in 1969 (Bennis, Benne, Chin, & Corey, 1969), as they sought to provide a rationale for planned change. This theory is transactional in nature, seeking to align the behaviors of individuals with negotiated outcomes. According to this theory, effective change occurs when individuals are involved in the change process and are committed to the change. This commitment is achieved through collaboration between the change agent and the individual, to clarify values and set expectations during change. Quinn (2000), referred to the Normative-Reeducative Strategy as the participating strategy, which requires open dialogue and an emphasis on relationships during change. The process suggests that win-win outcomes based on supportive communication, clarification of values, and a focus on meeting the needs of the system through negotiated outcomes, would make the change initiative more successful.

Advanced Change Theory, The Advanced Change Theory (ACT)), is a set of action principles to introduce change to human systems (Conger, Spreitzer, and Lawler, 1999). The ACT is both transactional and transformational in nature. It is transactional because it seeks to set expectations with specific outcomes. It is transformational because it seeks to exact change based on the determination of value systems and

individual expectations during the change initiative. The ACT takes into account the need for relationships and collaboration of change agents and change targets. The ACT requires the elements of leader, follower, and the change initiative to be integrated on a higher level of interaction than other change theories. The ACT is designed to bring both change agent and individual into alignment with currently changing reality. The theory suggests that people can be empowered to support change. The ACT supports the transformational approach to change implementation, which requires the change agent to understand the motivations and values of the followers and seek to include them in the process for the good of the whole. The ACT requires the leader to transcend personal self-interest and transform to meet the greater needs of the organization and followers. Followers must be motivated to choose transformational tasks by feeling simultaneously supported and challenged by the change agent. This change theory is collaborative in nature and assumes relationships of inclusion, openness, and emergent community (Conger, Spreitzer, and Lawler, 1999). This theory provides a rationale for successful change in dynamic organizations through the inclusion of leader and follower relationships and values regarding the change initiative.

Contingency Leadership Theories, The two contingency theories relevant to the research were Fielder's, Contingency Model and Hersey and Blanchard's, Situational Leadership Model. Fiedler's Contingency Model of leadership suggested that the groups' performance would be contingent upon two factors: the appropriate selection of a leadership style and the favorableness of the situation being faced. The model suggested that the effectiveness of the leader could be improved by either changing the leadership

style or by modifying the situation (Fiedler, 1967). Hersey and Blanchard (1972), developed a theory of leadership effectiveness called the Life Cycle Theory of Leadership. Their theory by combining the managerial grid postulation of Blake and Mouton (1964), the 3-D Effectiveness typology of Reddin (1977), and the Maturity-Immaturity theory of Argyris (1964). Hershey and Blanchard's work related leadership behavior to the maturity level of subordinates, in particular situations. As the maturity level of the subordinate increases the level of directive behavior on the part of the leader should decrease, thus allowing for greater independence and motivation (Hersey & Blanchard, 1972).

Both contingency theories take into account the leader/follower interaction as it is related to a situation. The theories suggested that leaders could be more effective in situations if they were able to change their leadership style and/or behavior to more effectively deal with the situation. Effective leadership assumed that there was interaction between leader and follower. A second premise of the theories is that, leaders could be more effective, if they assess the situation, and modify their behavior or the situation for greater effectiveness.

The Hersey Blanchard model also take into consideration the maturity level of the follower. The maturity level of the follower determined the amount of direction and support needed. When leading differing individuals responding to different change initiatives and experiencing differing behaviors, it is logical to conclude, that leaders are more effective when they changed their leadership style/behavior to meet the needs of the

individual and the situation or modified the situation to be in alignment with the needs of the leaders and followers.

When leading and managing change, the contingency leadership theories established the foundation for considering the leader, follower, and situational interaction. This foundation was fundamental to the transition to the transactional theories applicable to the leadership and change phenomenon. The transactional leadership theories evolved from the contingency model theories. It was an evolution from the concept of three distinct entities, leader, follower, and situation to the recognition that the three entities were an integrated part of a bigger system.

Transactional Leadership Theories. With the evolution of leadership research to transactional leadership theories, researchers began to focus on a higher level of interaction between the leader and follower in situational relationships. "The relationships are seen as reciprocal exchanges in which leaders and followers create a transaction that allows for mutual satisfaction of goals and needs" (Chemers, 1997, p. 61).

The principal transactional leadership theory that supported this research, was that of Hollander (1978). Hollander's transactional leadership theory suggests that leadership is a transaction between leader and follower. The followers' perceptions of the leaders' actions and motives were critical to the transactional leadership theory (Hollander, 1978). "Leadership is a mutual activity in which there usually is both influence and counter-influence" (Hollander, 1978, p. 39). Goal setting and rewards/recognition are essential components of the transactional view of leadership. "The transactional theories of

leadership were focused on how leaders can motivate followers by creating fair exchanges and by clarifying mutual responsibilities and benefits" (Chemers, 1997, p. 77).

> Transactional leadership emphasizes the transaction or exchange that takes place among leaders, colleagues, and followers. This exchange that takes place is based on the leader discussing with others what is required and specifying the conditions and rewards these others will receive if they fulfill those requirements. (Bass & Avolio, 1994, p. 3)

The advent of the transactional theories introduced the concept of mutual benefits from the leadership situation. These theories included the leader, the follower, and the situation and mutual responsibilities and rewards for attaining shared goals.

Transformational Leadership Theories. Transformational leadership was an expansion and evolution of transactional leadership. Over the last two decades, theories of transformational leadership have developed as they apply to all levels of the organization (Bass & Avolio, 1994). The research results indicated that transformational leaders set expectations with colleagues and followers that often resulted in higher performance. Transformational leaders established simple exchanges and/or agreements that focused on the use of one or more of the following: idealized influence, inspirational motivation, intellectual stimulation, and individualism. "An organization will be most effective when its leadership provides the means whereby followers may make a creative contribution to it as a natural outgrowth of their own needs for growth, self-expression, and maturity" (Bass, 1981, p. 33).

Tapping into the needs of the followers and including them in the leadership process became a focal point of the transformational theories. Bass expanded on the fundamentals of the transformational theories when he described Likert's findings,

> that leadership is a relative process in that leaders must take into account the expectations, values, and interpersonal skills of those with whom they are interacting. Leaders must present behaviors and organizational processes perceived by followers as supportive of their efforts and of their sense of personal worth. (Bass, 1981, p. 34)

The transformational theories determined that it is not only important to include followers in the leadership process but it is important to understand what is meaningful to followers personally. Personally motivated individuals are more likely to be supportive of leaders and their initiatives.

There are three major works that support the transformational leadership theory: Leadership: Strategies for Taking Charge, by Bennis and Nanus, (1985), The Transformational Leader, by Tichy and Devanna (1986), and The Leadership Challenge: How to Get Extraordinary Things Done in Organizations, by Kouzes and Posner (1987). All three works emphasized the need to motivate followers with an inspirational vision, communicate the vision through fair and equitable exchanges that are meaningful to the followers, and build trusting and legitimate leadership relationships (Chemers, 1997).

During initiatives associated with major organizational changes, it is critical that leaders understand the essence of the theories imparted by the leadership and change

researchers. As a starting point, leaders need to consider the primary components of the leadership process, the leaders, the followers, and the situation as dictated by contingency model theories. Next, they must understand the transaction and establish clear expectations and rewards for the expected behaviors and interactions during the change initiatives, as described by the normative-re-educative strategy and the transactional theories. Finally, they must elevate the transaction to the transformational level by determining what is important to followers and what motivates them as individuals during organizational change initiative as described by transformational theories and the Advanced Change Theory. Integrating the change and leadership theories provides a holistic theoretical approach to this study.

Research Questions

The research questions of this study are as follows:

1. What are the leader traits and leadership competencies necessary for leaders to be successful during major organizational change?
2. Are there significant differences in the perception of importance between the leaders and followers on the identified leader traits and leadership competencies necessary during major organizational change?
3. Are there significant differences in the perception of importance between the experts, leaders, and followers on the identified leader traits and leadership competencies necessary during major organizational change?

4. Are there significant correlations between experts, leaders, and followers on the ranking of importance of the leader traits and leadership competencies necessary during major organizational change?
5. Are there significant differences in the perception of importance between healthcare professionals in rural and urban organizations on the necessary leader traits and leadership competencies?
6. Are there significant differences between the perceptions of healthcare professionals on the importance of leader traits and leadership competencies when grouped by gender?
7. Are there significant differences between the perceptions of healthcare professionals on the importance of leader traits and leadership competencies when grouped by race?
8. Are there significant differences between the perception of healthcare professionals on the importance of leader traits and leadership competencies when grouped by educational levels?
9. Are there significant relationships between the perceptions of healthcare professionals on the importance of leader traits and leadership competencies and their age, number of years in healthcare, number of years in current organization, and number of major changes experienced while working in healthcare?

Hypotheses

In order to answer the research questions, data were collected and used to test the following hypotheses. The hypotheses are stated in the null for the purpose of statistical treatment. They were tested at the .05 level of significance.

Ho_1 There were no significant differences between the perceptions of leaders and followers on the importance of **leader traits** and **leadership competencies** necessary during major organizational change.

Ho_2 There were no significant differences between the perceptions of experts, leaders, and followers on the importance of **leader traits** and **leadership competencies** necessary during major organizational change.

Ho_3 There were no significant correlations between the perceptions of experts, leaders, and followers on the ranking of importance of **leader traits** and **leadership competencies** necessary during major organizational change.

Ho_4 There were no significant differences between the perceptions of rural and urban healthcare professionals, on the importance of **leader traits** and **leadership competencies** necessary during major organizational change.

Ho_5 There were no significant differences between the perceptions of male and female healthcare professionals, on the importance of **leader traits** and **leadership competencies** necessary during major organizational change.

Ho_6 There were no significant differences between the perceptions of races of healthcare professionals, on the importance of **leader traits** and **leadership competencies** necessary during major organizational change.

Ho_7 There were no significant differences between the perceptions of educational levels of healthcare professionals, on the importance of **leader traits** and **leadership competencies** necessary during major organizational change.

Ho_8 There were no significant relationships between age, number of years in healthcare, the number of years in the current organization, and the number of major changes experienced while working in healthcare and the perceptions of importance of **leader traits** and **leadership competencies** necessary during major organizational change.

Assumptions

This study is based on the following assumptions:

1. The leader traits and leadership competencies identified in the literature can be used in conducting a Delphi study to determine their importance.
2. The national panel members are "experts." They were identified by their research, publications, presentations, and programs presented in the field of leadership studies.
3. A national panel of leadership experts adhered to the specified Delphi rules for identifying the leader traits and leadership competencies necessary during major organizational change initiatives.
4. Surveyed healthcare professionals responded honestly to questionnaires.

Delimitations

The following are delimitations that narrow the scope of the study:

1. The identified list of leader traits and leadership competencies were verified by a national panel of experts.

2. The study was delimited by the perceptions of leaders and followers of two healthcare organizations in East Tennessee.
3. The leader traits and leadership competencies referred to in this study were those deemed necessary during major organizational change initiatives.

Definition of Terms

Change. To make different. Disrupt the balance between our capabilities (ability and willingness) and challenges, (opportunities and dangers) (Bennett, 2000, p. 12).

Competencies. The skills and abilities necessary to perform a task or behave in a manner that meets the established standards for success.

Effective Leadership. When a member of an organization is influenced to change their behavior; changes their behavior; and is reinforced or rewarded for changing their behavior (Bass, 1990, p. 13).

Employee/Follower. Non-supervisory/management personnel who receive compensation from an organization to perform specific tasks and are supervised and influenced by the behaviors and direction of the leader.

Leader/manager. Individuals who provide guidance, inspiration, motivation, support, and direction to individuals and organizations. Decision-makers responsible for establishing the strategic direction of an organization and formulating the mission, vision, goals, and values.

Leadership. The process of providing guidance, inspiration, motivation, and direction to individuals and organizations.

Perception. Personal ideas or beliefs related to situations and individuals.

Reorganization, Restructuring. Changing a process and procedure that result in changing the job functions and structure of a group of individuals or the organization. The process may result in the loss or addition of positions.

Successful Leadership. When members of an organization actually change their behavior, the creation of a change in the behavior of others is successful leadership. (Bass, 1990).

Systems. Interaction of processes and procedures within an organization that governs the overall productivity and output of an organization.

Traits. Personal characteristics of an individual.

Organization of the Study

This study was organized into five chapters. Chapter 1 contains the Introduction. The Introduction includes, the statement of the problem, research questions, hypotheses, importance of the study, assumptions, delimitations, definition of terms, and organization of the study.

Chapter 2 reports the review of the literature and research related to leadership, change, and the leader traits and leadership competencies necessary for leaders to be successful during major organizational change.

Chapter 3 contains the methods and procedures used in the study, the population and sample, instrumentation, data collection procedures, and the method of the data analysis.

Chapter 4 reports the findings from the analyses of collected data.

Chapter 5 provides a summary, findings, conclusions, and recommendations for further study.

A list of references and appendices are included.

Chapter 2

Review of Related Literature

Overview

In order to develop a research strategy for this study it was necessary to review both the literature on leadership and the literature on change. This strategy was important, since the focus of the study was identifying the leader traits and leadership competencies necessary for success during major organizational change initiatives. The focus of the literature review was on, leadership, change, and combined leadership and change research.

Leadership

Leadership is a concept that has intrigued mankind for centuries. Literature dating back to ancient times referenced leaders and their accomplishments. The early works of the Greeks, Romans, Egyptians, and Chinese referenced the great and noble deeds of their leaders. The concept of leadership, though not termed as such, crossed the boundaries of time and culture. Since the beginning of time, there has been a natural hierarchy of leader and follower that developed whenever groups formed. The research of Smith and Kreuger (1933) supported this premise and cited numerous anthropological reports on primitive groups that concluded, leadership occurred universally among all people. Much has been written about the topic of leadership, many aspired to achieve it, and many others simply tried to understand and give it meaning.

Leaders existed and leadership was occurring for centuries before the terminology began to be defined in the English language. The word 'leader" first appeared in

The Oxford English Dictionary in the early 1930's. The term "leadership" did not actually appear in the Anglo Saxon culture until the first half of the nineteenth century (Bass, 1981). The earliest references identified, were primarily of political leaders and leaders in the British Parliament. Over the centuries, in the English language, the meaning of leadership transitioned from political and military inferences to other interpretations, primarily dependent upon the circumstances and context in which the term was used. According to Bass (1981), there were as many definitions for leadership as there were persons to define the concept. This leadership premise remains true today.

In countries of Anglo-Saxon heritage, there has been a migration from the interpretation of leadership as head of state to leadership as the role of leading. This interpretation posed yet another dilemma for leadership researchers and that was, to define the role of leading. In spite of the challenges of defining the term leadership, individuals continue to strive to achieve leadership competence and researchers continue to study and further define all aspects of the leadership phenomenon (Bass, 1981). Levenson (1978), described the situation best when he stated "... the scholarly study of leadership is in a transitional period. Such a period was one where 'the major tasks are to reappraise the existing structure, explore new possibilities ... and work toward choices that provide a basis for a new structure' "(p. 317). Levenson's words continue to ring true today. Leadership theories and strategies are constantly being reassessed and revised to meet the ever changing demands of organizational environments. It would also appear that this phenomenon will continue for centuries to come, since leadership is a form of human interaction, and as long as humanity continues to evolve, so too will the concept

of leadership and its definitions. A major contributing determinant to the evolutionary factors impacting the definition of leadership in organizations is the increasing pace of organizational change.

The scientific study of leadership dates back to the early 20th century (Chemers, 1997). Prior to that time, leadership was examined as a topic of interest, without the benefit of statistical data to back the theory. Since its inception, the study of leadership theory has experienced a tremendous evolution. Early studies tended to focus primarily on North American organizations. The leader subjects of the research, were white males, since they were the primary individuals and class that dominated leadership roles at that time. Early theories were heavily focused on personal attributes, personality, and traits of the leader. However, more recent research recognized the complexity of the leadership phenomenon and focused more on a systems view of leadership and the different effects of leader behavior on followers and the organizational systems in which they interacted. When behavioral studies became a focus of leadership study, gender, ethnic background, nationality, and other characteristics of both leader and follower began to be examined (Wright, 1996).

For the purposes of this study, leadership theories are clustered into six broad categories: Great-Man Theories, Trait Theories, Behavioral Theories, Contingency Theories, Transactional Theories, and Transformational Leadership Theories. The categories are presented in an evolutionary format beginning with the first leadership theories to emerge through present day research focus and findings.

The evolution of the great-man theories, trait theories, and behavioral theories was independent in nature. The theories were stand-alone theories, void of any components of theoretical premise that went before them. They stated premises that advocated separate and distinct rationale for leadership definition. The advent of the contingency theories saw a different leadership research strategy evolve. The new strategy combined components of earlier premises that supported the new research theories, not necessarily disregarding earlier theories in totality. The contingency theories began to introduce the concept of inter-relatedness of the earlier research theories. The more recent transactional and transformational leadership theories carried the evolution further than simply relating different theoretical factors. The new theories began to approach the research from a systems perspective, incorporating components of many of the earlier theories in the context of the organizational systems in which they operate. The latest theories focused on the necessity of considering all applicable components to adequately define and explain the leadership phenomenon.

Great-Man Theories. The Great-Man theories were among the first documented leadership research theories. These theories held that an individual was endowed with certain qualities and attributes that enabled them to do great things to shape society and other individuals. Early researchers developed the "Great- Man Theories" because their research focused on individuals who rose to leadership roles because of their larger than life attributes and qualities. These leaders were individuals who were considered the heroes of their time. They were the Caesar's and Napoleon's of the world. Many of the great-man researchers theorized that the qualities these individuals were born with, or

were endowed with because of their positions in life, enabled them to do great things and lead others in any circumstance (Bass, 1981). According to the great-man theories, inheriting and/or possessing certain characteristics, ensured a leader's success, regardless of the situation or other individuals.

Trait Theories. The research and study of Trait theories was prevalent from the early 1900's through World War II. Trait theories supported the premise that leaders possessed certain qualities and traits that allowed them to exhibit behaviors that were different from followers, ensuring them success in their leadership roles. Trait theory had its inception as a result of the progress psychologists were making, at that time, in measuring intelligence. Their success in measuring intelligence, "led psychologists toward the measurement of other aspects of an individual that were consistent and reliable predictors of behavior or performance, those were, traits" (Chemers, 1997, p. 19).

A review of the research conducted by R. D. Mann (1959) supported the theory that certain characteristics or traits are necessary to establish leadership in groups and these characteristics would vary depending on the group. Yet, the review indicated there was not enough evidence in the research to support traits as the only factor in leadership success. "Following World War II, researchers disillusioned by the relative failure of the trait approach turned their attention toward leader behaviors" (Chemers, 1997, p. 22).

Though not substantial enough in their own rite to account for successful leadership, trait theory did provide a component to the identification of successful leaders. Many studies were conducted to identify leadership traits and their impact on the individual leader. Once again, the focus of the trait leadership research was on the

leaders themselves. Trait theories did not account for other variables in the definition of leadership. In his review of the leadership research, Stogdill (1948), concluded that the mere possession of certain traits does not make a leader. He indicated the factors of followers and situations were as important to leadership, as the possession of certain traits. His conclusions in 1948, encouraged him and other researchers to continue to investigate the leadership phenomenon.

Behavioral Theories. Behavioral theories were the primary focus of leadership studies from the mid-1950's to the mid-1970's. Behavioral theorists began to focus not only on what leaders did, in particular, but on how they behaved toward others and their subordinates (Wright, 1996). The research in the area of leadership behavior resulted in the compilation of several instruments and lists that identified leadership behaviors.

Significant work, in leadership behavioral research, was conducted by J. Hemphill, at the Ohio State University. In 1949, Hemphill and other researchers compiled a list of approximately 1,800 potential leadership behavioral descriptors. The list was very comprehensive but quite unmanageable for practical use. To develop a more manageable list, the leadership items were reviewed and placed into categories called dimensions. Next, similar items were condensed under one descriptor. The result was a consolidated list of 50 items. The condensed list later became known as the Leader Behavior Description Questionnaire (LBDQ) (Chemers, 1997). The LBDQ is "one of the longest lasting and most widely used measures in leadership research" (Chemers, 1997, p. 22). The LBDQ consists of nine leadership dimensions: initiation, membership, representation, integration, organization, domination, recognition, communication, and

production. The nine categories focus on the dimensions that clearly account for interactions between leader and follower. The following dimension definitions helped to illustrate this point.

1. Initiation, applies to a leader's origination, facilitation or resistance to new ideas and practices.

2. Membership, describes the leader's ability to interact with the group.

3. Representation, describes the leader's ability to defend his group and act on the behalf of the group.

4. Integration, describes the leader's ability to subordinate individual behavior, encourage pleasant group atmosphere, reduce conflict between members, or promote individual adjustment to the group.

5. Organization, describes the leader's ability to define or structure his own work and the work of other members.

6. Domination, describes the leader's restriction of individuals or the group.

7. Communication, describes the leader's ability to provide, seek, or exchange information with the group.

8. Recognition, describes the leader's engagement in behavior which expresses approval or disapproval of the behavior of group members.

9. Production, describes the leader's ability to set performance standards. (Stogdill, 1957, p. 11-12)

Though the LBDQ was comprehensive in scope, over time, behavioral theories were determined to be lacking the ability to totally and accurately define leadership. This view was supported by Chemers (1997). He determined that a universal approach to traits and behavior was not adequate to address the dynamic leadership process. "The futile search for simple answers that characterized the early research on leadership makes apparent the complexity and elusiveness of the phenomenon" (Chemers, 1997, p. 27).

Though early theories in trait and behavioral research laid a foundation for leadership studies, they focused on the isolated components of leader traits and/or behaviors and were not adequate to address the increasingly complex role of leaders in changing organizational structures. In order to identify a leadership strategy that would meet the demands and changes of the new global work environment, it was essential to consider a more holistic and integrative approach to leadership theory. The approach requires researchers to consider more than leader behavior as it impacted the follower. The LBDQ dimensions along with other behavioral research served as a foundation for the development of the contingency leadership models. The contingency model research began the evolution of a more comprehensive approach to leadership studies.

Contingency Theories. Contingency theories advanced the integration of leader traits and behaviors with the situations and other variables thought to influence the leadership process.

> This integrative approach stresses common functions and processes of leadership, that cut across particular theories. Effective leadership is thought to encompass three major functions; image management, which refers to a leader's ability to project an image that is consistent with observers' expectations; relationship development, which reflects the leader's success in creating and sustaining motivated and competent followers; and resource utilization, which alludes to the leader's capacity for deploying the assets of self and others to mission accomplishment. (Chemers, 1997, p. 27)

The contingency model theories began to incorporate and research the implications of the expectations of the followers and leader/follower relationships on leadership success. Several contingency models served as a foundation for subsequent transactional and transformational models. Four of the most relevant contingency models are: the Contingency Model (Fiedler and Chemers, 1974, 1984), the Path-Goal Directive, (House, 1971), the Situational Leadership Model (Hersey & Blanchard, 1972), and the Multiple Linkage Model (Yukl, 1989).

The Contingency Model developed by Fiedler and Chemers (1974, 1984), established the relationships between and among leaders' personality and motivational style and the followers' needs, when confronted by situational variables. This model suggested that the leader's style was well ingrained and not easily adaptable to changing situations. Leader style was determined to impact the outcomes of the situation. The

benefits from this model were the establishment of the correlation between follower performance and leadership behavior given particular situations.

The Path-Goal Directive developed by House (1971), relied on the leader's ability to motivate followers by providing the follower with a clear understanding of the reward for performance. In this model the leader provides a clear path to the goal through clarification of the appropriate performance criteria necessary to achieve the clearly defined reward. According to the path-goal model, the leader is required to consider situational variables, such as follower's ability and personality, when defining expectations and rewards. This model emphasized the importance of the leader/follower relationship to the success of the leader.

The Situational Leadership Model developed by Hersey and Blanchard (1972), required the leader to modify leadership style based on the current situation and the development level of the follower. Situational characteristics combined with the development levels of follower determined the appropriate leadership style for that particular situation and that particular follower. These contingency models identified the need for leadership researchers to add the dimensions of followers and situations, in order to have a more holistic view of the leadership phenomenon. This view provided expansion to leadership dimensions and the need to identify traits and behaviors dependent upon the follower and the situations, as well as the characteristics and competencies of the leader.

The Multiple Linkage Model, developed by Yukl (1989), postulated that a good leadership theory should not only consider leadership behaviors and situations but that it

should also consider the variables linking behaviors, situations, and outcomes. Yukl identified a taxonomy of leadership behaviors that described the manner in which leader behavior influenced group processes and outcomes. The variables included the following: subordinate effort, role clarity and task skills, work organization, cohesiveness and cooperation, resources and support services, and external coordination. Yukl's model established a leadership model direction that began to bring together, leader, follower, situation, process, and outcome.

The contingency theory research marked the beginning of higher level thinking regarding the variables related to and impacting the definition of leadership. This vein of research established the rationale for including follower attributes and situational variables in the effectiveness of leadership processes. It was the beginning of the development of a systems approach to leadership research.

Transactional Leadership Theories. Contingency theories, though more comprehensive than earlier, great-man, trait, and behavioral models, did not prove to be comprehensive enough for researchers to explain the complex interpersonal relationships of the leadership phenomenon. In 1978, to address a wider scope of leadership study, researcher Edwin Hollander developed the first transactional leadership model, named the Idiosyncrasy Credit Model. In his research, Hollander (1978) theorized, that the leadership process was a dynamic process, dependent upon the continuing interpersonal interactions between leaders and followers. The interactions provided continual opportunities to evaluate the leader follower relationship. The leader responsibility was to provide clear task-related vision, direction, and reward to the follower. If this

occurred, the follower would reciprocate with increased responsiveness to the leader's expectations and ability to influence the follower (Hollander, 1993).

> The concept of "idiosyncrasy credit" relates follower's evaluation to leader legitimacy. Leaders earn credits that allow them to innovate, that is, to act in ways or suggest strategies that deviate from traditional approaches of the group or the organization, that is they act idiosyncratically. (Chemers, 1997, p. 65)

The transactional leadership factors, developed by Hollander, included contingent reward and management by exception. Contingent reward ensured that the follower's reward was based on meeting the expectations or goals set by the leader. Management by exception referred to management intervention in the situation or with the follower, only when things went wrong (Chemers, 1997). Central to the success of this model was the competence and trustworthiness of the leader. Leaders earn points through demonstration of competence and support for group norms and values while achieving organizational goals. This research model begins to identify the importance of follower perspectives in legitimizing leadership influence. Researchers also begin to identify the impact on follower motivation that successful interpersonal interactions between leaders and followers have on achieving group goals.

Another important transactional model, the Vertical Didactic Linkage Model (VDL), was developed by George Graen and his colleagues in the mid 1970's. This model focused on a role-making process that occurred as a result of the working relationships between leaders and followers. According to the model, leaders and

followers negotiate their roles and responsibilities in the leadership relationship. They examine the possibilities of how they might interact around unstructured tasks, allowing the leader and follower to develop a pattern of mutual influence. The influential pattern that develops moves the dyad toward more or less interdependence (Graen & Scandura, 1987). Graen's work set the foundation for continued research into the interrelationship of leader influence and motivation on followers and the impact on leadership success.

According to Chemers, (1997),

> the transactional theories of leadership are focused on how leaders can motivate followers by creating fair exchanges and by clarifying mutual responsibilities and benefits. In doing so, they direct our attention to the importance of a relationship between leader and follower that may, in fact, transcend the transaction. To gain an insight into a kind of leadership that seems to go beyond transactional considerations to create situations in which followers are induced to transcend their own self-interests and become truly committed to the leader's mission, we must address "transformational" leadership... (Chemers, 1997, p. 77)

Transformational Leadership Theories. In the late 1970's and the 1980's the interest in "transformational" leadership increased.

> On the scientific front, researchers were becoming frustrated with the limitations of contemporary leadership models in explaining and predicting the powerful impact that leaders seemed to have on

> organizations. At the same time, increased levels of business competition stimulated interest among practicing managers in ways to improve personal and organizational functioning. (Chemers, 1997, p. 78)

This interest in transformational leadership continued into the 1990's. In his review of leadership research from 1981 through 1990, Bass (1990) recognized an emerging trend in leadership research. He found more focus on executive level leadership and more focus on the transformational leader theory. Researchers were seeking more in depth answers to the increasingly complex questions regarding the leadership process.

In 1985, Bass presented his first formal theory of transformational leadership as well as models and measurements of its' factors of leadership behaviors. Other transformational theory research followed as Bass continued his work in leadership research with colleagues, Bass (1990) and Bass & Avolio (1994).

One of the most significant results of the leadership research conducted by Bass and Avolio was the development of the Multifactor Leadership Questionnaire (MLQ), designed to measure transformational leadership. Their survey identified leadership factors and categorized them into three distinct leadership areas: transformational leadership, transactional leadership, and non-leadership (Chemers, 1997).

The transformational factors included: charisma, inspirational motivation, intellectual stimulation, and individualized consideration. Charisma was the perception of trustworthiness and ability of the leader to achieve a worthy vision. Inspirational motivation was the perception that the leaders could gain insight into the emotions of the

followers to achieve the vision of the leader. Intellectual stimulation was the ability of the leader to stimulate the follower to evaluate the present situation through past experiences and determine a new and more creative way of addressing the situation. The leader was able to encourage and support the follower in growth and independence. Individualized consideration, was the ability of the leader to treat each follower with equity and satisfaction, yet provide differential treatment when necessary to meet the needs of each individual follower (Chemers, 1997). Transformational leadership occurred when leaders stimulated interest among followers to view their work from new perspectives; generated awareness of the organizational mission or vision; developed followers to utilize their abilities to full potential; and motivated followers to look beyond their own interests toward the common good (Bass & Avolio, 1994).

The transactional leadership factors of the MLQ included: contingent reward and management by exception. Contingent reward was the ability of the leader to set clear expectations and reward the follower for achieving the expectations. Management by exception was the intervention of the leader into a situation when things went wrong. The intervention might result in contingent punishment or the leader intervening in the situation to reinforce expectations or take over.

The final component of the MLQ was non-leadership. Non-leadership occurred when the leadership demonstrated laissez-faire type behaviors, allowing whatever happened to happen. Laissez-faire was, in essence, the absence of leadership.

Bass and Avolio (1994) further delineated the categories by grouping the leadership factors into active and passive fields. The active factors included the

transformational factors: charisma, inspirational motivation, intellectual stimulation, and individualized consideration and the transactional factor contingent reward. The passive factors included the transactional factor of management by exception and the non-leadership factor, laissez-faire. Active leadership behaviors were theorized to be associated with leadership effectiveness, which equated to greater subordinate performance and satisfaction. Whereas, passive leadership behaviors were not present in effective leadership situations and subordinates achieved a lower level of performance and satisfaction.

Correlation studies provided support for the theories that leader actions affect subordinate satisfaction and performance and that the transformational factors are more strongly related to those outcomes of greater productivity and satisfaction (Bass & Avolio, 1993). The work of Bass and Avolio clearly represented a significant evolution in the theories of leadership. The transformational leadership theories provided a more comprehensive foundation from which to view the leadership phenomenon.

In addition to Bass and Avolio, there were three teams of researchers that conducted significant research, in the area of transformational leadership studies that bear relevance to this study. The research of the three teams resulted in three very popular publications in the field of transformational leadership. The teams consisted of the following researchers: team one, Warren Bennis and Burt Nanus (1985), team two, Noel Tichy and Mary Anne Devanna (1986), and team three, James Kouses and Barry Posner (1987). Their separate works, the results of independent research, have many similarities that helped to establish the foundation for measuring effective leadership in modern

organizations. In their research, these three teams emphasized motivating subordinates through an inspiring vision, fair and equitable exchanges, and trust and legitimacy (Chemers, 1997). Though their work did not specifically target organizational change, it did provide a basis for leadership strategies to effectively lead change initiatives in organizations. Their research was focused on leadership in organizations facing major organizational change.

The information gathering techniques of Bennis and Nanus, and Tichy and Devanna focused solely on interviews with the leaders. While the techniques of Kouses and Posner included leader and follower interviews. The inclusion of the follower in information gathering strategy established the importance of follower in the leadership system and the success of the outcomes of the leadership process.

The work of Bennis and Nanus (1985) focused on organizations with leaders who had the perceived ability to lead their organization through transformational change. Through their interview process, they were able to identify four leadership strategies consistent throughout the interviews. The four strategies were: the leader's ability to establish a clear vision for their organizations, the ability to communicate the vision in a manner that excited and motivated followers to embrace the vision as their own, the ability to establish a trusting relationship with the followers, and finally, the ability to demonstrate a contagious sense of confidence and optimism in their capabilities to achieve their articulated vision (Chemers, 1997).

The work of Tichy and Devanna (1986) focused on the leadership and change, innovation and entrepreneurial endeavors in large, established organizations. Their

research resulted in the identification of a 3-act play, leadership process. The first act consisted of revitalization, in which the leader demonstrated the ability to enlist followers in the support of the need for change, enabling them to resist their need for security and fear of change. The second act consisted of the leader's ability to create a vision and motivate followers to embrace the vision. The third act consisted of the leader's ability to institutionalize the change within the organization (Chemers, 1997). The 3-act play focused on the interaction between leader and follower. The success of the change implementation was dependent upon that relationship being successful.

The final team of researchers, Kouses and Posner (1987), concluded from their research, that there were five basic practices of effective leadership. The first was to "challenge the process," which meant taking risks to do and make things better. The second, "to inspire a vision," meant clearly establishing goals and motivating followers to make them their own. The third, "enable others to act," meant encouraging followers and other leaders to participate and collaborate and provide opportunities for personal growth and development. The fourth practice, "model the way," meant leading by example and providing opportunities for followers to experience positive successes achieved during the process of reaching goals and achieving the vision. The fifth and final practice, "encourage the heart," meant recognizing individual contributions to the greater whole, enlisting the emotional side of motivation. Kouses and Posner's work clearly provides a theoretical foundation from which to examine the need to continue to assess and include the follower's impact on the leadership process.

Though the evidence in support of transformational leadership is significant, one important unresolved issue remains to be explored. That issue is the need to integrate the transformational model of one leadership style for all situations with other strong evidence supporting the contingency model theories' need to use varying leadership styles for different situations (Chemers, 1997). To identify the leader traits and leadership competencies necessary for leadership success during major organizational change initiatives, it was necessary to consider the strengths of the theories discussed, and combine those strengths in a manner that supports the identification of leader traits and leadership competencies for successful leadership.

In 1967, Fiedler stated, " The list of research problems which remain in leadership theory is far from exhausted. Nor should it be necessary to point out that we are far from possessing a theory of leadership to end all theories" (Fielder, 1967, p. 265). This statement remains true today. As organizations and the marketplace evolve, so too will the leadership models. This statement is core to the development of an identification process of leader traits and leadership competencies necessary for successful leadership during times of major organizational change. The process must be fluid enough to be applied as change initiatives change.

Leadership Publications. In addition to the research conducted in the area of leadership, hundreds of books have been published on the subject of leadership and the qualities, characteristics, traits, and competencies necessary to become successful in leadership roles. Though all have interesting aspects, not all are relevant to the present

study. Following are three publications that have components supportive of the current research initiative.

The first publication, Improving Leadership Performance, was written by Wright and Taylor in 1984. Wright and Taylor introduced their work Improving Leadership Performance by stating that "...leadership is like most other human activities. The skillful person tends to perform better than the unskilled one" (Wright & Taylor, 1984, p. xi). This statement supported the need for leaders to be skillful in leadership, if they were to perform successfully. Wright and Taylor recognized when leadership skills were identified, it would be important to include followers in that identification process. They stated, "The practice of leadership is concerned with influencing peoples' behaviour and feelings" (Wright & Taylor, 1984, p. 1). According to their writings, the influencing of behaviors and feelings is a part of the process necessary for a successful leader-follower relationship. Wright and Taylor's work focused on performance improvement and the leadership skills necessary to be successful. Their focus appeared to be primarily on problem solving and decision making competence. They considered perception and judgement, gathering information, influencing behavior, handling emotions, and nonverbal communication as important factors in leadership success (Wright & Taylor, 1984). These leader traits and leadership competencies identified in their work will be supportive of the finalized list of leader traits and leadership competencies necessary for success during change initiatives.

The second publication, The Essence of Leadership, was authored by Robert, in 1991. This publication gave support to the current research by providing insight into

leader traits and leadership competencies and change from the perspective of the executive level of organizations. In his work The Essence of Leadership, Robert (1991), stated that "Change has always been an integral part of business and the executives who will be able to lead their organizations through these changes will be the ones to survive and prosper" (p. 1). Robert identified three leadership skills that he believed were essential for leaders to have followers who would follow them through change initiatives. Those three skills were: strategic thinking, innovative thinking, and the ability to deal with operational problems and decisions (Robert, 1991). These three skills are consistent with those identified in the transformational theory research.

In his work, The Leader Manager, William D. Hilt reported on a survey conducted to identify some common characteristics of leaders across cultures and organizations. From his study, he concluded,

> that four basic traits appeared in all leaders, irrespective of organization or country. 1. The leader had a clear vision for the organization. 2. The leader had the ability to communicate this vision to others. 3. The leader had the ability to motivate others to work toward the vision. 4. The leader had the ability to 'work the system' to get things done. (Robert, 1991, p. 29)

From his work, Robert (1991) concluded that a leader needed to be a strategist, an innovator, a decision maker, a process manager, and a process implementer. The new role for leaders is one of designer, teacher, and steward. These three new roles require

three new skills; building shared vision, surfacing and challenging mental models, and engaging in systems thinking (Robert, 1991).

The third publication, Leadership and the Job of the Executive, was written by Barach and Eckhardt in 1996. In their work Leadership and the Job of the Executive, Barach and Eckhardt (1996) defined the personal qualities of leadership that were focused on the emotional side of directing organizations from the perspective of the executive level of the organization. The identified dimensions of leadership were symbolic, charismatic, inspirational, and highly personal. Leaders must deal with the personal emotions of making strategy, shaping organizations, and managing them. "Leadership is motivation put into action for others" (Barach & Eckhardt, 1996, p. 4).

One significant challenge facing executives as they prepare to lead organizations, is the determination of the leadership strategy necessary to be successful and the determination of the skills necessary to successfully implement that strategy (Barach & Eckhardt, 1996). Barach & Eckhardt, (1996) supported the findings of transformational theorist when they determined that leaders can empower and inspire followers by creating missions with meaning, and developing shared goals and values. Barach and Eckhardt (1996) discussed the tools that executives used to get their job done, leadership being one of them. They identified the responsibilities of the chief executive to include taking direct action, which included the structuring of the organization and putting systems in place to encourage, motivate, and control behavior. Most important among these systems were: information systems, reward and punishment systems, planning and authorization processes, and personnel procedures.

The following indirect leadership responsibilities were also identified: symbolic actions, examples set, values communicated, being an arbiter of what is fair, and serving as a key bridge to the other external organizations (Barach & Eckhardt, 1996). Further evidence of their transformational leadership focus was illustrated when they stated that,

> The key is the need to respect the dignity of every human individual. This usually involves: prompt, frank, and as full as possible communication from the top down... listening, setting clear and achievable goals and giving feedback on performance toward those goals, fairness, charity and justice, providing a nobler social purpose for the organization's work than its own goals, and, perhaps the most crucial ... looking out for each employee's interest (even when firing them). Beyond courage, decisiveness, vision, and analytical abilities a chief executive needs talents for dealing with others... negotiating skills, empathy, proficiency at communication, persuasiveness, capacity to inspire, a sense of justice and integrity, organizing, training, delegating, and managing expertise, and leadership capability. (Barach & Eckhardt, 1996, p. 34)

Barach and Eckhardt (1996) identified 20 components of leadership:

> desire to lead, decisiveness, interface with externals;
> empowering, vision, outshining (knowledge, skills, judgement, wisdom and a track record), self-confidence, endurance; anchoring,

loyalty (asking), loyalty (myth building), loyalty (followership), kinship, caring, empowerment; doing-communicating, inspiration, listening, telling confidence building, mentoring, personal example setting. (Barach & Eckhardt, 1996, p. 40)

Barach and Eckhardt (1996) suggested that: leaders make sure that their goals were in line with what they truly believe; conduct self examinations and admit their humanness; know who they were and what they wanted; and never stop wanting to be a better leader. The leader traits and leadership competencies identified in this work are supportive of the development of a list of competencies and skills necessary to successfully lead change initiatives.

The three publications described above provided lists of leader traits and leadership competencies that were used to support and augment the leader traits and leadership competencies identified in the leadership theory research. The list of leader traits and leadership competencies are particularly reflective of the transactional and transformational theories, since these models are more specific in their references to leader and follower interaction. Before finalizing the list of traits and competencies, the sum of the components of change will be reviewed.

Change

Change has been a constant phenomenon in society since the beginning of time. When the evolution of mankind is studied, the change factor is significant. There have been no scientific or technological advances that did not result in some kind of change for mankind and the societies, which it formed. Over the centuries mankind has adapted and

continued to move forward with minimal focus on the change phenomenon. However, in recent centuries, researchers have begun to increase their attention on the change phenomenon, particularly its effects on society. This is increasingly apparent in the area of organizational development. Organizations have seen continued increases in the number of changes and the magnitude of the changes brought about by the changing demographics of the workforce and the marketplace, the increases in technology, and globalization of the economy. These changes have resulted in an increase in mergers and acquisitions, reorganization and restructuring, downsizing and bankruptcies. These types of major organizational change initiatives have created an increased need for researchers to study the impact of change on organizations. These studies can assist in the identification of strategies to more effectively lead and manage the change process and ensure continued productivity and the success of the change initiatives.

"Organization and change are not complementary concepts" (Quinn, 1996. p. 5). Organization, alludes to perceptions of order, and change, to perceptions of chaos. Nonetheless, they are synonymous in business and industry today. According to Quinn (1996), organizations are based on systems of internal and external expectations. Internal expectations are processes and procedures, while external expectations can be customer and legislative criteria. Over time expectations change and organizations lose external alignment and must either adapt or die. This phenomenon makes it important to consider change theory as we address leadership and change.

The literature on change identifies three types of change, (a) imitation

(b) selective contact change, and (c) directed contact change (McClelland, 1968). Major organizational change initiatives fall within the definition of directed contact change. This type of change is a planned change, involving a deliberate, collaborative process, a change agent (leader), and a system (McClelland, 1968).

Researchers and anthropologists have been studying human responses to change for many years. In an effort to explain human behavior during change, contemporary anthropologists are turning to scientific theory. Margaret Wheatley (1994), used the scientific theory of quantum physics to explain organizational change. She stated, "I no longer believe that organizations can be changed by imposing a model developed elsewhere... the new physics cogently explains that there is no objective reality out there waiting to reveal its secrets... only what we create through our engagement with others and with events" (p.7). Wheatley used scientific theory, as did Kuhn (1977), Meadows (1971), to explain the need to view organizational change from a scientific systems approach, where value is given to relationships that exist between seemingly discrete parts.

In quantum physics, nothing exists independent of its' relationship with something else. Applied to organizations, relationships between persons and settings are innate and critical to the change process. The relationships will always be different and will always evoke different outcomes yet the need to change will remain constant. Quantum physics theory supports the need to explore and account for relationships between leaders, followers, and situations during change.

In an attempt to explain the change process, researchers Robert Chin and Kenneth Benne, (Bennis, Benne, Chin & Corey, 1976) proposed three of the most widely referenced change strategies. In the change literature these strategies are referred to, and treated as, change theory. The three strategies are: the empirical-rational strategy, the power-coercion strategy, and the normative-re-educative strategy.

Empirical-Rational Strategy. According to Conger, Spreitzer, & Lawler (1999), the empirical-rational strategy's primary objective is to alter the behavior of individuals, so that it comes into alignment with established knowledge and fact. It involves information transfer from the change agent to the individual. People are assumed to be uninformed and passive, however, they are capable of appropriate behavior and follow their self-interest once someone reveals it to them. This is probably the most widely used strategy. It entails an individual seeking to change the behavior of another, by instructing or telling that individual how to behave.

Power-Coercion Strategy. The power-coercion strategy, manipulates the situation within which people act by controlling the alternatives or identifying consequences directly influencing behaviors. The power-coercive strategy has the objective to alter the behavior of individuals so that it comes into alignment with established or formal authority (Conger, Sprietzer & Lawler, 1999). It assumes individuals have innate hierarchical relationships of a formal and informal nature. Individuals generally comply with a direction from individuals in leadership or positions of perceived power. The change agent seeks to create authority and power, through policies, procedures, and the law. The authority and/or power is then exercised in support of the intended change. The

change agent manipulates an implicit or explicit set of sanctions designed to obtain compliance. Like the empirical-rational strategy, this strategy is used on a regular basis. It is usually a second choice, but often times it is used in conjunction with the empirical-rational strategy. The empirical-rational strategy tells an individual how to change and if that strategy does not work, the power-coercion strategy uses authority and/or power to create or force the change (Conger, Sprietzer & Lawler, 1999.

Normative-Reeducative Strategy. The normative-reeducative strategy, applies to individual behavior in groups and organizations. The change agent and system interact while examining motivation, morale, and productivity of the change target. The normative-re-educative strategy is designed to align behavior with negotiated outcomes (Conger, Speitzer, & Lawler, 1999). This strategy assumes individuals are embedded with transactional social relationships and that all parties have power. Change agents need to be committed to the outcomes. Change involves a process and a content (Conger, Sprietzer, & Lawler, 1999). The change agent is the facilitator and focuses on an interactive process and seeks to fashion a win-win outcome. This strategy is not used as often as the empirical-rational and the power-coercion strategies because the results are not controlled and it is often considered too time consuming. It also requires a high level of interpersonal skill on the part of the leader. This transactional strategy focuses on the leader follower interaction to attain the change goals, with a specific outcome for the follower.

Advanced Change Theory. Advanced Change Theory (ACT) was first introduced by Quinn, Brown, and Spreitzer in 1998 (Conger, Spreitzer, & Lawler, 1999). It

examines change in a different dimension. According to Quinn (2000), ACT is a set of action principles for more effectively introducing change to human systems. The ACT is designed to bring both change agent and individual into alignment with currently changing reality. The ACT assumes that people are inherently free but tend to choose a path of least resistance.

To engage the present reality of change and embrace it, people must be empowered. The individual must be attracted to choose transformational tasks by feeling supported and challenged. The change agent and individual must be in a mutually advantageous relationship and the change agent should seek to change self to model the change (Quinn, 2000).

> At the personal level the change agent then experiences increased self-esteem, transcends the external systems of sanctions and feels increased concern for the change target. The change agent emerges from the process in the words of Joseph Campbell, "both empowered and empowering to the community." The process increases the discipline, vision, expectations, and sensitivity of the change agent. The change agent begins to see the organization not as a political or technical system, but as a moral system. (Conger, Sprietzer, & Lawler, 1999, p. 166)

Quinn, Brown, and Spreitzer (Conger, Sprietzer, & Lawler, 1999), presented assumptions related to the Advanced Change Theory. These assumptions provide greater

definition to the ACT and its' transformational qualities. Their thirteen assumptions related to the behaviors of change agents/leaders are:

1. Developing relationships of inclusion, openness, and community.
2. Putting the goals of the common good ahead of self interest.
3. Focusing on internal sources of resistance, continually seeking to reduce self-deception and personal hypocrisy.
4. Modeling the courage and discipline of self-modification, the results serving to influence others by attracting them into relationships, or communities of mutual support and exploration.
5. Empowering and freeing self from the controlling restrictions within the existing system.
6. Obtaining increased understanding, enlightenment, or vision about goals and strategy.
7. Increasing understanding and personal empowerment resulting in increased awareness and sensitivity for the violation of the change target.
8. Seeking to inspire growth by encouraging the change target to engage in tasks of service for the good of the community.
9. Recognizing the change target's need for relationships and assume that change happens as a nonlinear process of mutuality, requiring continued integrity and increasing trust.
10. Increasing decision making skills and the ability to see the bigger picture and seemingly contradictory relationships.

11. Engaging in unconventional behaviors that change routines, get attention, and move systems toward the edge of chaos.
12. Assuming that changed internal states determine changed external states.
13. Engaging in self-authorization with a tendency for action enactment even when uncertainty exists.

These thirteen assumptions compliment the leader descriptors and expectations for transformational leadership. The characteristics of a change agent employing the Advanced Change Theory would be in concert with leaders demonstrating transformational leadership. Understanding these four change theories can benefit leaders in selecting an appropriate leadership strategy for change.

In addition to change strategy, it is important to understand the dynamics of the impact of change on individuals. Anthropologist Evans-Pritchard discovered "that to understand the behavior of any group of people, it is necessary to get down to the basic premises of their belief systems, to root out, in effect, the most fundamental social and ideological assumptions" (O'Toole, 1995, p. 169). Rooting out the ideological assumptions related to change is critical to successfully dealing with them in organizations. One very strong ideological assumption, impacting change in human systems is the natural tendency for resistance.

The amount of resistance to a change initiative can significantly alter the successful outcome of implementation. Resistance to change is widespread and can be attributed to many different factors. James O'Toole (1995), studied the resistance factor

and identified 33 hypotheses for the most common root causes of resistance. Following, are ten of those hypotheses that best describe resistance to organizational change:

1. Homeostasis - change is not a natural condition, therefore, individuals resist.
2. Satisfaction - people are content with the status quo.
3. Fear - humans have an innate fear of the unknown.
4. Self interest - change may be good for others, but unless it is specifically good for us, we will resist.
5. Lack of self-confidence - change threatens our self-esteem. New situations require new skills, abilities and attitudes, but we lack the confidence that we are up to the challenges.
6. Future shock - when people are overwhelmed by major changes, they resist.
7. Short-term thinking - people can't defer gratification, they prefer the present over the future.
8. Myopia - because we cannot see beyond the present we cannot see that the change is in our broader self-interest.
9. Fallacy of exception - change might work elsewhere, but we are different.
10. Change has no constituency - our minority stake in preserving our place in the status quo, is stronger than the majority has in bringing about an uncertain alternative.

Understanding these underlying factors to resistance can make leaders more effective in implementing change. In addition to understanding the concepts of resistance to change, it is also important to examine the cultural impact on organizational change.

McClelland (1968), cited the work of Neihoff, a cultural anthropologist, who studied the impact of culture on change. Neihoff indicated that change is easiest when it is compatible with the cultural patterns of the recipients. Change should meet existing felt needs and provide practical benefits to individuals. The strategy for introducing change should involve adapting to, and working through, cultural patterns of leadership, communication, follower involvement, and change agent flexibility. When culture is ignored, change initiatives can take longer to implement or they can be resisted to such a degree that they are totally unsuccessful.

The change theories of normative-re-educative strategy and ACT, compliment the contingency, transactional, and transformational leadership theories, in their expectations of leader behavior during change. The theories are designed to be used by leaders who are transactional and transformational in nature, with good interpersonal skills and a willingness to develop relationships built on value systems, mutual trust, and dependability. Effective relationships between leaders and followers are imperative if major organizational change is to be successful.

> When examining organizations and change, O'Connell (1968) spoke of the complexity of the underpinnings of the field of organizational change. Of course, dependency should be admitted on virtually the whole spectrum of advances in the social sciences dealing with the dynamics of human affairs on three levels: (1) within the individual as a system, (2) in two-person systems, and (3) in multiple person, nonhierarchical systems... Psychologists

> progressed beyond static models of man to dynamic models of human organisms, perceiving, being motivated, learning, and maturing. (O'Connell, 1968. p. 3)

If we consider man as a dynamic organism, perceiving, being motivated, and experiencing a spectrum of emotions and expectations, it is imperative that we consider a change and leadership model to accommodate a dynamic system involved in organizational change.

The mythical larger than life "Lone Ranger", "Hero" type leader no longer fits the leadership profile for organizations. Warren Bennis, a renowned scholar in the field of leadership studies, stated that "our organizational mythology is out of synch with our reality. We cling to the larger-than-life individual who can solve every institutional problem, however daunting... In terms of the organization the Lone Ranger is dead..." (Bennis, 1995, p. 6). In terms of organizational change initiatives, that statement is quite appropriate. Organizational hierarchies are flattening and team structures are in place in many organizations, which require new methods of leading and managing change. In an effort to meet the increasing challenges of organizational change, hundreds of publications on the subject have been written and hundreds of seminars and training sessions are conducted annually. New organizations have been created to help business and industry cope with the ever increasing challenges of change.

One such organization is The Conference Board, which has seen significant growth and opportunity, as a direct result of their ability to provide assistance and guidance to corporate America during change initiatives. The Conference Board and

A.T.Kearney, Inc. cosponsored a Managing Change conference in 1995. At the conference, change experts and executives addressed questions and considered how best to integrate change management principles, approaches and techniques with a company's broader business strategy. They compiled a "best practices" list of approaches to drafting a blueprint for change, and most importantly, executing change successfully, based on shared views and experiences.

According to Richard Cavanagh, President and CEO of The Conference Board, driving home the basics of, listening, learning, and leading, was the key message of the conference, no matter what the challenge of the industry (McCarthy, 1996). According to McCarthy, Program Manager, Communications, The Conference Board, there were three areas where corporate understanding about change had evolved: listening to customers, leveraging leadership, and molding employee behavior (McCarthy, 1996). The attendees at the conference collectively recognized the importance of leadership and employee involvement in the change process. The Conference Board has continued to provide annual conferences related to change and change initiatives. However, it is important to note that as early as 1995, Conference Board members and conference participants were paralleling researchers in the field of leadership. They reiterated the importance of leadership to the change process, the inclusion of employees in the process, and the collective whole providing more to the process than the individual leader. Further support for the results of change conferences, such as the one held by the Conference Board, can be found in multiple publications on the subject of change.

Change Publications. In his book, A Force for Change, John P. Kotter (1990) dealt directly with the leadership challenge of the day, when he stated, "many firms today lack sufficient leadership, a deficiency, which is increasingly costly, yet often correctable" (p.ix). Kotter's words were in reference to the challenge organizations' face, when they lack the leadership to effectively lead and manage change. Kotter (1990) elaborated further when he stated,

> What constitutes good leadership has been a debate for centuries. In general, we label "good" or "effective" when it moves people to a place in which both they and those who depend upon them are genuinely better off, and when it does so without trampling on the rights of others. The function implicit in this belief is constructive or adaptive change. (Kotter, 1990, p. 5)

This philosophy is mirrored in the beliefs of transformational leadership theory. The thoughts and feelings of leaders and followers are important to the success of the process.

In his efforts to provide meaningful information related to leadership and change, Kotter identified the following as important leadership competencies: the ability to produce adaptive and useful change, the ability to set direction and alignment, the ability to develop a process for getting people to understand, accept, and line up in a chosen direction, and the ability to motivate. The information related to leadership set forth by Kotter, reflects similarities to the leader traits and leadership competencies identified in the work of the transactional and transformational theories.

In their work, Innovation and Change in Organizations, King and Anderson (1995) helped to further dispel the myth of the one lone leader, when they suggested that there was an illusion that managers could control the change process. They suggested that there were three illusions associated with that thought process that needed to be dispelled. The three illusions were: the illusion of the linearity of change; the illusion of the predictability of change; and the illusion of the control of change (King & Anderson, 1995). Their work indicates that change does not occur in a logical analytical progression of predictable steps and processes, nor can changes be controlled.

In addition, they suggested characteristics that would aid managers in leading change. They indicated that, " the characteristics of vigilance and flexibility are likely to be of great value to managers involved in innovation and change processes. Empathetic negotiation skills are also important to the success of change and can result in less resistance to the change" (King & Anderson, 1995, p. 184). These are characteristics and skills reflective of the transactional and transformational leadership theories.

In his work, A Strategy of Change, David Wilson (1992), examined the concept of change as it applied to the business world. His approach was integrative in nature. He contended that management and change must be studied together because of their inextricable implications on one another. "Organizational success has become directly attributable to its ability to handle and sustain strategic change" (Wilson, 1992, p. 2). He found that change was so much a part of everyday organizational life that he stated "The vocabulary of change management appears to have reached something approaching standardization across much management theory and practice" (Wilson, 1992, p. 3). As

was evidenced in the results of Training's annual report, Wilson found that training initiatives related to change were on the increase. He stated that, "Training for change has become one of the key elements of training, encouraged by government, with a focus on fostering entrepreneurship, leadership and teamwork skill" (Wilson, 1992, p. 4). Once again, the leadership and change are referenced together. Change cannot be effectively implemented without the consideration of the leadership skills necessary to ensure the cooperation and collaboration of all entities involved in the change initiative. "The motive of modern management theory is that of understanding, creating and coping with change... It is characterized as the master key to corporate success and competitive advantage. All organizational 'success' factors are anchored in the concept of change" (Wilson, 1992, p. 7-8).

Leaders/managers must be able to articulate their vision and motivate and inspire followers to buy into the change process, in order for the change to be effective. They should employ interpersonal tactics with their followers that are dependant upon the situations they are engaged in (Wilson, 1992). Wilson (1992) also referenced Total Quality Management (TQM) techniques, useful in effectively dealing with change. TQM advocates greater emphasis on leaders and leadership to effectively manage the change process. Part of the TQM philosophy is to drive fear out of the environment and create an environment of mutual trust and respect. Again, the characteristics and techniques used to manage change are reflected in both change and leadership literature. "The role into which leaders are placed are likely to affect the ways in which they welcome or resist changes through TQM" (Wilson, 1992, p. 100).

Connor and Lake introduced their work on Managing Organizational Change by stating that change was everywhere and that change was inevitable. Dealing with it successfully was critical for organizations in the twenty-first century. They continued by stating, that the hallmark of organizational and managerial life was change (Connor & Lake, 1994). In their book Managing Organizational Change, (1994) Connor and Lake described five major destabilizing forces that are producing changes in corporate America, globalization, consumers, economic health, microelectronics, and diversity.

Education and training of management are essential to develop people and managers who are prepared to cope with the changing work environment. Managers and leaders are often thrust into change-agent roles in their organizations without preparation for the new roles. According to Connor and Lake (1994), favorableness of the change agent is important to the success of the entire change process. Particularly important are: position authority, knowledge of the change plans, rational strategies and tactics available for conducting the proposed change, ability to conceptualize goals, obstacles, and intended outcomes, and adeptness at cooperating with and directing others is necessary for change agents. Change-agent roles, catalyst, solution givers, process helpers, resource linkers are all leadership roles required for successful change. Any time an individual tries to affect another's behavior, they run the risk of being ineffective or failing outright, or inciting others to rebellion if they are not skillful in utilizing competencies associated with change (Connor & Lake, 1994). This is particularly true with the increasing changes that organizations face today. It is more critical than ever,

that leaders, possess the necessary competencies and skills to ensure the success of their organizational change initiatives.

One assessment in the change literature that assists in the identification of skills is the Executive Skills Profile. The Executive Skills Profile is a card-sort instrument where a person is asked to describe his or her skills and the demands of the job. The responses can be useful in helping to identify leader traits and leadership competencies to manage change. The instrument is recognized as valid and reliable (Bigelow, 1991). The categories in the ESP include: adapting, planning, information analysis, entrepreneurial, setting/managing to goals, quantitative analysis, information gathering, technology management, leadership, taking action, relationship, and helping and delegating (Bigelow, 1991). "This rating form for assessing managerial skills identified six areas of skills necessary during change: communication, performance feedback, problem solving/decision-making, delegation, conflict resolution, and motivation" (Bigelow, 1991, p. 166-167).

In spite of all of the instrumentation and research, there still appears to be a missing component in the process, the follower. As early as 1964, Blake and Mouton argued that an experienced manager coped with change and was capable of leading the organization to superior performance. The superior performance was possible because the leader was equally concerned about getting the goods out the door as they were concerned with the people (Blake & Mouton, 1964). The same principles have repeated themselves in the literature on change. Addressing the people issues through follower

participation in the leadership process during change will be critical to leadership success.

Combined Leadership and Change

> Change is occurring at a rate that makes it impossible to keep up. The new configurations are having a significant impact on managers and organizational leaders, whose ability to understand and cope with the processes at work are being severely challenged. Old ways of behaving and leading do not seem to be adequate anymore. (Porter-O-Grady & Wilson, 1995)

The specific role of leader is to facilitate, integrate, and coordinate the structures and processes necessary for progress. Leaders and managers no longer need to depend on the traditional superior subordinate relationships. They need to look at the systems in which they operate and the impact of their actions on individuals and the system (Oshpry, 1996). The new approach to leadership calls for equity-based values, structures, relationships, and behaviors. The research related to the leadership and change phenomenon is indicative of the need to identify the new leader traits and leadership competencies, necessary for leaders to be successful during times of major organizational change initiatives. It is clear from the review of the literature that the old way of conducting business, and leading organizations is not effective to ensure future organizational success.

There were several leader trait and leadership competency themes that were consistently identified in the research related to leadership and change. It was quite clear

that there is a distinct tie between effective leadership and successful change initiatives. There is also agreement in the research that new approaches must be found in order for leaders to be effective during change.

When considering the leader traits and leadership competencies necessary for leaders to be successful during change it was important to establish the theoretical foundation from which to begin identifying the leader traits and leadership competencies. The theoretical foundation included, the normative-reeducative change strategy, the advanced change theory, trait theory, contingency model theory, transactional theory, and transformational theory elements. Leader traits were identified as part of the process, since the trait theory research supports the fact that particular leader traits ensure leader success.

The contingency theories dictated the importance of considering leader behavior in relationship to the follower and the situation. The normative-reeducative change strategy and the transactional theories dictated the necessity to establish clear goals and rewards. In addition, the advanced change theory and the transformational theories dictated that the interrelationship among leader behavior and follower needs, values, and expectations and the situation, need to be considered as components of leadership.

To begin the process of identification of leader traits and leadership competencies the work of Bass (1981, 1990), was used as a model to compare the identification of leader traits and leadership competencies, that appeared consistently in the leadership research from 1945 through 1970, with those found in more recent work. In his 1981 review of leadership research Bass identified 26 leadership factors that appeared in three

or more leadership studies from 1945 through 1970. The identical list of factors appeared in the 1990 review of leadership research. The factors appearing in three or more studies are listed in Table 1, column 1.

When dealing with change initiatives the research hypothesis suggests that Bass' (1990) list must be modified to include new leader traits and leadership competencies necessary to deal effectively with change and eliminate others that may not be pertinent to change initiatives. The change phenomenon creates new and different situations, interactions, and expectations between leaders and followers. These differences present the opportunity to identify new leader traits and leadership competencies. The research in leadership and change is quite consistent on a number of leader traits and leadership competencies identified as necessary during change. The review of the literature determined that there were in fact strong indications that new leader traits and leadership competencies had been identified to lead organizational change initiatives. The criteria used by Bass (1981, 1990) to identify his list of leader traits and leadership competencies, was used to identify the new list of leader traits and leadership competencies identified in research from 1980 through 1997, shown in Table 1, column 2. The criteria for making the list was, any competency and/or traits that appeared three or more times in the leadership and change research literature was placed on the list.

When comparing the columns in Table 1, it is apparent that there are differences in the identified factors. Column 2 has more focus on innovation and collaboration in lieu of dominance and definition. Column 2 does not contain factors referring to control and conformity.

Table 1

Leadership Factors Appearing in Three or More Studies

Factors 1945 – 1970	Factors 1980 - 1997
Technical Skills	Ability to create a vision
Social nearness, friendliness	Ability to inspire and motivate
Task motivation and application	Demonstrates technical competence
Supportive of group task	Ability to lead by example
Social and interpersonal skills	Ability to make decisions
Emotional balance and control	Ability to effectively communicate
Leadership effectiveness and achievement	Belief in personal and group capabilities
Administrative skills	Ability to empower others
General impression (halo)	Ability to effectively collaborate
Intellectual skills	Ability to be fair and maintain consistent behavior
Ascendance, dominance, decisiveness	Ability to be creative and innovative
Ethical conduct, personal integrity	Ability to be flexible
Willingness to assume responsibility	Ability to be open-minded and appreciate differences
Maintaining cohesive work group	Willingness to assume responsibility
Maintaining coordination and teamwork	Ability to maintain standards of performance
Ability to communicate, articulateness	Trustworthy
Physical energy	Determined
Maintaining standards of performance	Courageous and daring
Creative, independent	Compassion and empathy
Conforming	Ethical conduct, personal integrity
Courageous and daring	
Experience and activity	
Nurturing behavior	
Maintaining informal group control	
Mature, cultured	
Aloof, distant	

Leader Traits. The five leader traits, identified in Table 1, column 2, trustworthiness, determination, courageousness, compassion, and ethical conduct are fundamental to ensuring the personal success of leaders. These traits allow leaders to acquire and demonstrate the competencies followers are expecting in their leadership. These leader traits are a major component of the transformational aspects of leadership. They enlist the emotional side of the leadership phenomenon, getting at the root of what is important to the follower from a personal perspective.

Trustworthiness has been described as the essence of leadership. Change initiatives create uncertain and often uncomfortable situations for followers. If followers perceived their leaders are trustworthy, they are more likely to support the change initiative. Trustworthiness is demonstrated through honest and truthful interactions with followers. A significant demonstration of trustworthiness is walking the talk. Trustworthiness was identified as a necessary leadership trait in the following studies Warren Bennis and Burt Nanus (1985), Noel Tichy and Mary Anne Devanna (1986) and James Kouses and Barry Posner (1987).

In addition to trustworthiness, leaders are expected to behave ethically and with personal integrity. The literature is beginning to speak to the moral aspects of leadership, which is becoming more of an issue in organizations and with individual followers. Leaders with integrity tend to develop long term relationships and influence, rather than short term productivity as evidenced in the work of Warren Bennis and Burt Nanus (1985), Noel Tichy and Mary Anne Devanna (1986), James Kouses and Barry Posner (1987), and Barach and Eckhardt (1996).

Compassion and empathy are essential leader traits when attempting to manage the emotional side of change. They are associated with the transformational aspects of leadership. These traits allows leaders to have a better understanding of the impact of change on followers and manage the process to minimize fears and anxieties, thus allowing followers to focus on productivity rather than personal emotions. The following researchers are supportive of these traits: Warren Bennis and Burt Nanus (1985), Noel Tichy and Mary Anne Devanna (1986), James Kouses and Barry Posner (1987), and Barach and Eckhardt (1996).

Demonstrating courage and determination are essential to influencing and motivating followers. Leaders must have courage and determination to continue to enlist the support of followers in the face of major organizational changes. Leaders must have courage and determination to continue to motivate when spirits become weak and discouraged during long lasting change initiatives. Warren Bennis and Burt Nanus (1985), Noel Tichy and Mary Anne Devanna (1986), James Kouses and Barry Posner (1987), and Barach and Eckhardt (1996) all recognized the value to the leadership role, that possessing those traits would have.

Leadership Competencies. There were 15 leadership competencies identified as necessary for leaders to be successful during times of major organizational change initiatives. There are five competencies that can be grouped together, since they are reflective of transformational leadership skills. Creating and communicating an innovative vision that inspires and motivates followers to embrace the vision as their own are competencies that will ensure leadership success. Empowering followers to make

decisions and act in support of the vision is also critical to change initiative success. With the uncertainties of change, creating excitement and enthusiasm for a vision and empowering followers to act can mean the difference between success and failure of the change initiative. The following researchers in the areas of leadership and change are supportive of these competencies: Warren Bennis and Burt Nanus (1985), Noel Tichy and Mary Anne Devanna (1986), James Kouses and Barry Posner (1987), Barach and Eckhardt (1996), Bass and Avolio (1993), Kotter (1990) , Wilson (1992), and Wright and Taylor (1984).

The second group of leadership competencies are reflective of transactional leadership skills. Consideration for personal and group capabilities, collaboration, open-minded appreciation of different ideas and capabilities, maintaining standards of performance, and maintaining fair and consistent behavior are essential to the mix of competencies for leaders during change. These competencies provide some semblance of stability during the turbulence of change. This second group of competencies speaks to setting standards and maintaining fair and equitable expectations and recognition for achievement. The following researchers support these competencies: Warren Bennis and Burt Nanus (1985), Noel Tichy and Mary Anne Devanna (1986), James Kouses and Barry Posner (1987), Barach and Eckhardt (1996), Bass and Avolio (1993), Kotter (1990 , Wilson (1992), Wright and Taylor (1984), and Connor and Lake (1994).

The ability to be flexible, make decisions, and assume responsibility are crucial to maintaining the support of followers. These leadership competencies are skills described in the contingency, as well as transactional and transformation leadership models. Once

visions are articulated, and change has begun, there are untold challenges that require decision making, flexibility, and taking responsibility. Followers are looking to their leaders for ongoing continual reinforcement to the challenges and adversity that change precipitates. The following researchers are supportive of these competencies: James Kouses and Barry Posner (1987), Barach and Eckhardt (1996), Bass and Avolio (1993), Kotter (1990 , Wilson (1992), Wright and Taylor (1984), and Connor and Lake (1994).

Finally, and equally important as the other competencies are demonstrating technical competence in the industry or related business, and leading by example. It is critical that leaders believe enough in their own words, to support them with actions that demonstrate their capabilities to lead and achieve the realization of the vision for change. The following researchers support these two remaining competencies: Warren Bennis and Burt Nanus (1985), Noel Tichy and Mary Anne Devanna (1986), James Kouses and Barry Posner (1987), and Barach and Eckhardt (1996).

Combined, the identified leader traits and leadership competencies comprise a list necessary for leaders to be successful during major organizational change initiatives. It is important to remember, however, that it is not the list itself that is central to the study, but the perceptions of leaders and followers regarding the importance of the listed leader traits and leadership competencies. For it is those perceptions, that set the foundation for leader behavior and follower expectation during major organizational change.

Chapter 3

Methods and Procedures

This Chapter contains a description of the validation of leader traits and leadership competencies; development of the data collection instrument; population and sample surveyed; independent and dependent variables; the procedures used in collecting data, and the methods used to analyze these data.

There has been significant research in the area of leadership and leader traits and leadership competencies. There have also been studies conducted on leadership and change. However, the primary focus of the leadership and change studies was on the need for effective leadership to make change initiatives successful. There is little evidence that an instrument exists to gather data directly related to leader traits and leadership competencies necessary for leaders to be successful during major organizational change. Since there was no existing instrument to capture the data necessary for the study, steps were taken to construct a survey instrument to determine the leader traits and leadership competencies necessary for leaders to be successful during major organizational change.

Instrumentation

Review of Literature. Several steps were taken to construct a reliable survey instrument. The initial step was an extensive review of the literature to identify the leader traits and leadership competencies necessary for effective leadership during change. The review was conducted in the areas of overall leadership as well as leadership during

change. The criteria used by Bass (1981, 1990) to identify a list of leader traits and leadership competencies was used to identify the leader traits and leadership competencies for the current research study. Using this criteria with the current review of the literature resulted in the identification of 5 leader traits and 15 leadership competencies specifically related to change initiatives. The 5 identified **leader traits** were:

1. trustworthy
2. determined
3. ethical conduct and personal integrity
4. courageous and daring
5. compassion and empathy

The 15 identified **leadership competencies** were:

1. ability to create a vision
2. ability to inspire and motivate
3. demonstrate technical competence
4. ability to lead by example
5. ability to make decisions
6. ability to effectively communicate
7. belief in personal and group capabilities
8. ability to empower others
9. ability to collaborate
10. ability to be fair and maintain consistent behavior

11. ability to be creative and innovative

12. ability to be flexible

13. ability to be open-minded and appreciate differences

14. willingness to assume responsibility

15. ability to maintain standards of performance

After the leader traits and leadership competencies were identified, it was necessary to define each one. Definitions were developed from the writings of authors reported in the review of the literature. The definitions provided a context for understanding the intended meaning of each leader trait and leadership competency. Definitions helped to ensure that each Delphi panel member and subsequently, each research participant, would be making judgements using the same fundamental premises and expectations for each identified leader trait and leadership competency.

Delphi Survey Instrument. The identified leader traits and leadership competencies from the review of the literature were formatted into a survey instrument to be used by the Delphi panel of experts. (See survey instrument Appendix A) The instrument listed the five leader traits and their definitions followed by fifteen leadership competencies and their definitions. The formatting of the instrument included instructions to the Delphi panel, a 1 to 6 Likert scale to rate each leader trait and leadership competency, and space for the experts to make recommendations and/or changes. The instructions to the Delphi panel were to rate each leader trait and leadership competency on a scale of 1 to 6, (1 being the least important and 6 being the most important). They were also asked to delete any leader trait and/or leadership competency

determined not relevant, and add and define any leader trait and/or leadership competency not listed that they felt was important to the success of leaders during change. A scale of 1 to 6 was used in an effort to avoid a tendency for panel members to select the mid scale value of 3.

Delphi Technique. The Delphi Technique used, was designed by Helmer and Dalkey in 1953 (Helmer, 1983). Over the years, many variations of the Delphi technique have been developed and implemented. The Delphi format has three essential elements: a structured flow of information, feedback to respondents, and anonymity of respondents (Linstone, H. & Fowles, 1978). The methodology uses an independent survey of a group of experts to gather data related to a specific topic. The technique has an "intended purpose to make the best use of a group of experts in obtaining answers to questions requiring reliance at least in part, on the informed intuitive opinions of specialists in the area of inquiry" (Helmer, 1983, p. 134). According to Hillway,

> The use of a person who is considered to be an authority in a field of study is an acceptable approach to develop information. Authorities in a field of study obtain this status of recognition from peers, colleagues, and others. Expert opinion in many instances almost has the weight of factual evidence. (Hillway, 1964, p. 35)

This research methodology for gaining consensus among experts has been recognized as an accepted validation methodology by individuals in the field of social science research.

According to Linstone and Fowles, the Delphi technique can be a useful technique when,

> the problem does not lend itself to precise analytical techniques but could benefit from subjective judgements on a collective basis, and when individuals who need to interact cannot be brought together in a face-to-face exchange because of time and cost. (Linstone & Fowles, 1978, p. 275)

Rasp (1973) also stated, "... by substituting a computed consensus for an agreed-on majority position, the technique has the advantage of not requiring large groups of people to be brought together" (p. 29). The Delphi survey method can also reduce research costs, since mailed survey instruments are far less expensive than personal interviews of individuals at different locations or travel to meetings from different locations. The Delphi technique was used to validate the leader traits and leadership competencies, since it was the most efficient manner to gain expert opinion and consensus.

The number of expert panel members used varies. The number is dependant upon the research being conducted. Helmer and Dalkey conducted their first Delphi with a panel of seven experts (Helmer, 1983). Finding leaders to participate in the Delphi technique is a challenging process. Individuals who have achieved the level of expertise in the leadership area are often hesitant to lend their names to research initiatives in which they are not directly involved. After visiting and meeting with many leadership experts, at conferences, seminars, and training events, seven leadership experts agreed to

serve as Delphi panel members. The initial Delphi panel included the following members:

1. Ann Herrmann, President and CEO of the Herrmann Institute and Herrmann International, researcher, and author.
2. Cindy McCauley, Director of Research for the Center for Creative Leadership.
3. Michael Losey, President and CEO of the Society for Human Resources Management and co-author of several publications.
4. Laurie Hawkins, researcher, author, and consultant with the Blanchard Training and Development Group.
5. John Bennett, President, Lawton & Associates, international consultant, and author.
6. Dave Crocker, CEO Crocker and Associates, researcher, and executive coach.
7. Tom Pitner, Executive Coach, Pitner Consulting.

The Delphi technique used a two-phase decision making process. The first phase determines the differences or similarities. The second phase determines consensus (Helmer, 1994). The Delphi process for this study required two rounds of surveys.

All seven panel members responded to round one. Five panel members responded to the second and final round of the Delphi; Herrmann, McCauley, Losey, Hawkins, and Bennett. Several attempts were made to contact Crocker and Pitner, for final round participation. However, due to schedule conflicts, they were unable to participate in round two of the Delphi questionnaire process.

Validation of Leader Traits and Leadership Competencies. Delphi panel members were sent an introductory cover letter, (Appendix B), and a survey instrument,

(Appendix A). The survey instrument was in an open ended type format, which allowed panel members to express opinions and make comments related to leader traits and leadership competencies. In round one, the Delphi panel was asked to:

1. Rate the importance of the traits and competencies identified from the literature on a Likert scale of 1 to 6, 1 being least important and 6 being most important.
2. Modify the terminology used for trait and competency description and definition.
3. Add traits and/or competencies they felt were important.
4. Rate and define added traits and/or competencies.
5. Delete any traits and/or competencies they felt were not relevant.

A predetermined minimum mean rating of 4 on a 6-point scale was the criterion used to determine that an individual leader trait or leadership competency was important for successful leadership during organizational change.

In round one of the Delphi technique, all identified leader traits and leadership competencies received a mean score greater than 4. While there were no deletions, three definitions were modified; and three competencies were added. The three modified definitions were: "the ability to create a vision," "the ability to make decisions," and "demonstrate competence." The competency definition of , "ability to create a vision" was changed from, (a) ability to create a vision, sets direction, for the organization and staff to achieve success and profitability, to (b) ability to create and articulate a vision, sets direction for/with staff for the organization and the staff to achieve success and profitability, communicates vision to inspire and motivate others. The competency definition of "ability to make decisions" was changed from, (a) ability to make decisions,

provide guidance, direction, and answers to questions in a timely manner, to (b) ability to make decisions, provides guidance, direction and answers questions in a timely manner, even in situations that appear ambiguous. The third modified competency definition for, "demonstrates technical competence" was changed from, (a) demonstrates technical competence, possesses the skills to perform leadership functions and job specific tasks and has working knowledge of the tasks performed by staff throughout the organization, to (b) demonstrates competence, possesses the skills to perform leadership functions and job specific tasks, has working knowledge of the tasks performed by staff throughout the organization, and enjoys their work.

The three added leadership competencies were, (a) "cultural awareness," ability to recognize and respect the impact of corporate culture on the change initiative, (b) "ability to see the big picture," can step above the change initiative to see what is happening from a systems view and can step out of the change initiative to evaluate it objectively; and (c) "self awareness/strong sense of self," understands personal motivations, strengths, weaknesses, and personal leadership and communication styles.

Round two of the Delphi survey included, instructions, the three added competencies, and the three modified definitions. Round two Delphi members were sent a round two cover letter, (Appendix C), and a round two survey instrument (Appendix D), with instructions, recommended additions, and three modified definitions. Round two of the Delphi requested the experts to:

1. Rate the three items added during round one.
2. Rate the items with the modified definitions from round one.

3. Provide additional comments if necessary.

At the completion of round two, the three added leadership competencies, "cultural awareness," "ability to see the big picture," and "self awareness/strong sense of self," received a mean score greater than 4. Two of the leadership competencies with revised definitions, "ability to create and articulate a vision," and "ability to make decisions," received mean scores greater than 4. One leadership competency with a revised definition, "technical competence," received a mean score of 3.8. "Technical competence" was deleted since it received a mean score below 4.

There were no leader traits with a mean score lower that 4, therefore, all leader traits and definitions were accepted for use in the final research survey. Fourteen of the 15 original leadership competencies and 3 added competencies were accepted for use in the final survey.

Instrument. After the leader traits and leadership competencies were validated by the Delphi panel, the Leadership Traits and Competency Assessment (LTCA) instrument was developed. The instrument format included, (a) the instructions to participants, (b) the list of validated leader traits and leadership competencies, (c) a Likert rating scale from 6 to 1, (d) request to add and define leader traits and/or leadership competencies not identified, (e) request to delete leader traits and/or leadership competencies not relevant, and (f) request for their demographic data.

The request for demographic data was added to the assessment instrument since this data can be valuable to the research. According to Alreck and Settles (1985), demographic groups can often differ significantly on important issues and the identifiable

demographic segments can be used to identify people who behave in a similar way. Warwick and Lininger (1975) indicated that the inclusion of certain standard demographic data increases the usefulness of the research to the scholarly community and other interested parties. Standard demographic items include age, sex, race, education, and occupation (Warwick and Lininger, 1975). The demographic items requested, included the standard items: gender, race, education, age, and job title and classification. Other requested job related demographics were, number of years in healthcare, number of years in current organization, and the number of major changes experienced since working in healthcare.

Pilot Test. Once the LTCA instrument was developed, it was necessary to pilot test it to identify any errors or problematic areas before administering it to the research population. It was also important to select a pilot group that closely resembled the research population. The structural make up of the pilot organization was similar to the research population, which consisted of healthcare professionals that were licensed as well as non-licensed support personnel. The pilot group was undergoing reorganization and changes in reimbursement policies at the time of the pilot assessment. The pilot test was conducted on site, at the healthcare facility. The researcher personally administered the LTCA instrument to all pilot participants.

Twenty individuals were selected to participate in the assessment pilot test. Five individuals were leader/managers and fifteen were employees (followers). The pilot participants were asked to review the assessment for readability, understanding, grammatical construction, and to provide honest and open feedback. Pilot participants

indicated they had no problems reading the assessment and understanding the directions and definitions. One typographical error was identified. Pilot participants expressed appreciation for the opportunity to participate in the assessment pilot and asked to have the assessment administered to their entire work group. They felt that the results would be helpful to their leaders as they experienced change.

After completion of the pilot testing of the LTCA instrument, the typographical error was corrected. The LTCA was printed and readied for distribution to the research participants in the research study. (See LTCA in Appendix E)

Population and Sample

Finding populations for the study was an extremely difficult task. Eight organizations were sent request for participation letters to assist with the research initiative. Although interested in the topic, there was an expressed concern regarding the surveying of employees as well as leaders, on this topic. There was no hesitation to survey leaders only. However, there were concerns that the survey results of followers might reflect negatively on the leadership. Had the research been designed to survey leaders only, there would have been less concern and a more favorable response to participate.

Two healthcare organizations agreed to participate in the research project. One organization was an urban, Knoxville, Tennessee healthcare facility and the other was a rural, Celina, Tennessee healthcare facility. For the organizations that agreed to participate, it was necessary to identify an internal sponsor for the research initiative. The sponsors selected, were executive level staff members within their organization's.

The initiative within the large Knoxville based facility was sponsored by the Vice President of Education and Quality Improvement. The initiative within the smaller Celina facility was jointly sponsored by the Office of Human Resources and the Office of Quality Assurance.

Since the research initiative involved human subjects, it was necessary to submit a completed Study Information Sheet (Form B) to the Office of Research at the University of Tennessee. The Study Information Sheet (Form B), described the research study and steps to be taken to ensured the confidentiality of participants. The Study Information Sheet (Form B), was reviewed by the Committee for Research Involving Human Subjects, and approved.

In order to receive approval from the participating organizations to conduct the LTCA, it was necessary to provide a copy of the LTCA for review. It was also necessary to provide a description of the research methodology and a description of how the data were to be used. Once the information was reviewed by the appropriate personnel, it was necessary to meet with internal committees for questioning and approval.

The large Knoxville facility required a formal proposal, and a presentation of the proposal before a human subject review board. The board consisted of physicians, nurses and an attorney. The smaller Celina facility required a review of the LTCA and the approval of the HR Director, the Director of Quality Assurance, and the CEO. Both review processes were successful and authorization to utilize the staff at the two facilities was received. There were no requests to modify the research assessment in order to conduct the research.

Sampling. A stratified random sampling method was used for this research. The rural and urban healthcare organizations were asked to provide two lists of employees, one list identified managers/leaders and the second list identified non-managers/leaders, followers. The urban organization lists identified 180 leaders and 1992 followers. The rural organization identified 18 leaders and 114 followers. The total population consisted of 2,304 healthcare professionals, 198 leaders and 2106 followers.

The Table for Determining Sample Size from a Given Population, developed by the Research Division of the National Education Association (1960), (an HRD 610 course handout), was used to determine the sample size of leaders/managers and employees.

Using the Table for Determining Sample Size from a Given Population for the sample selection process, the sample population resulted in the selection of 550 healthcare professionals. The stratified random sample included, 123 leaders/managers and 321 followers from the urban healthcare organization and 17 managers/leaders and 89 followers from the rural healthcare organization.

The sample population was randomly selected from the employee lists provided by the two organizations. Each name on each list was given a number. Corresponding numbers were placed in a box and randomly drawn. Numbers were drawn separately for each of the four groups, rural leaders, rural followers, urban leaders, and urban followers. The hand drawn numbers were matched to the corresponding employee numbers to identify the selected participants.

Collection of Data

Procedures. Copies of the LTCA were numbered in the upper left hand corner to identify respondents receiving the assessment. Numbers corresponding to the assessment were placed next to the employee name on the organization's employee list for tracking purposes only. This numbering process was used to identify non-respondents and enable follow-up with the non-respondents. Each randomly selected participant was sent a copy of the LTCA during September of 2000. The LTCA, was accompanied by a letter of introduction (Appendix F) and a stamped self addressed envelope for return of the assessment. The letter of introduction included the following:

1. The purpose of the study and its benefit to their organization and the industry.
2. How the participant was selected and the importance of their response.
3. A promise of confidentiality with an explanation of the identification number on the survey.
4. Appreciation for the participant's assistance.

In the introductory letter, participants were instructed to complete the LTCA and return it in a timely manner. A two week timeframe was designated for a timely return of assessments.

The assessment and introductory letter were distributed through the in-house mail system at each facility. This method of distribution was discussed with the organizational sponsors in each facility and it was determined that this manner of distribution would demonstrate organizational support for the research initiative and help ensure a greater rate of return, than through direct postal mail.

Two weeks after the assessment was mailed, a reminder (Appendix G) was sent to individuals who had not yet returned the assessment. The notice served a dual purpose. It was a reminder for those who had not yet returned the assessment and a note of appreciation for those who had already completed and returned the survey. The dual purpose was necessary to encourage continued support for the study from non-respondents. The reminder notices were sent through facility mail.

Ten days after the reminder notice, preparations were made for a final reminder to non-respondents. At that time, the 70% anticipated rate of return had not been reached. The research sponsors from each facility were contacted to determine the best follow-up approach for a final reminder. The Knoxville facility sponsor, offered to write a reminder and it would be included with another assessment and self addressed envelope to be distributed to employees through the facility mail as a final reminder. The sponsor also noted that it had been her experience that healthcare professionals have traditionally provided low rates of returns on surveys.

The sponsor at the Celina facility determined it would be best for her to remind all participants orally. She would then provide a follow-up with a final written reminder and a second assessment and a self addressed stamped envelope distributed through the facility mail.

A week after the third notification, it became apparent that a 70% response rate was not possible, since selected participants were no longer returning completed instruments. After permission was received from the Committee Chairperson, data analyses began. A response rate of 63% was achieved.

Data Analysis

The 5 validated leader traits and 17 leadership competencies in the LTCA were the dependent variables. The independent demographic variables were the following: classification, (expert, leader, follower), geographic location (rural, urban), gender, race, education level, age, number of years in healthcare, the number of years in the current organization, and the number of major changes experienced while working in healthcare.

In order to answer the research questions, the following hypotheses were tested.

Ho_1: There were no significant differences between the perceptions of leaders and followers on the importance of **leader traits** and **leadership competencies** necessary during major organizational change.

Ho_2: There were no significant differences between the perceptions of experts, leaders, and followers, on the importance of **leader traits** and **leadership competencies** necessary during major organizational change.

Ho_3: There were no significant correlations between the perceptions of experts, leaders, and followers on the ranking of importance of **leader traits** and **leadership competencies** necessary during major organizational change.

Ho_4: There were no significant differences between the perceptions of rural and urban healthcare professionals, on the importance of **leader traits** and **leadership competencies** necessary during major organizational change.

Ho_5: There were no significant differences between the perceptions of male and female healthcare professionals, on the importance of **leader traits** and **leadership competencies** necessary during major organizational change.

Ho_6: There were no significant differences between the perceptions of races of healthcare professionals, on the importance of **leader traits** and **leadership competencies** necessary during major organizational change.

Ho_7: There were no significant differences between the perceptions of educational levels of healthcare professionals, on the importance of **leader traits** and **leadership competencies** necessary during major organizational change.

Ho_8: There were no significant relationships between age, number of years in healthcare, the number of years in the current organization, and the number of major changes experienced while working in healthcare and the perceptions of importance of **leader traits** and **leadership competencies** necessary during major organizational change.

An ANOVA, Tests of Between Subjects Effects, was used to test null hypotheses 1 and 2, and 4 through 7. A Spearman Rho was used to test hypothesis 3. A multiple regression test was used to test null hypothesis 8. A .05 level of significance was established for the statistical procedures used in this study.

Chapter 4

Analysis of Data and Results

The purposes of this study were (a) to identify the leader traits and leadership competencies necessary for leaders to be successful during major organizational change initiatives; (b) to determine if there were significant differences between the perceptions of leaders and followers on the importance of leader traits and leadership competencies; (c) to determine if there were significant differences between the perceptions of experts, leaders, and followers on the importance of leader traits and leadership competencies, (d) to determine if there were significant correlations between experts, leaders, and followers' rankings of importance of those traits and competencies, (e) to determine if there were significant differences in the perceptions of importance between healthcare professionals in rural and urban organizations on the necessary leader traits and leadership competencies, (f) to determine if there were significant differences in perceptions of leaders and followers on the importance of the leader traits and leadership competencies when grouped by demographic variables (gender, race, and educational levels), and (g) to determine if there were significant relationships between age, number of years in healthcare, number of years in the current organization, and the number of major changes experienced while working in healthcare, and the perceived importance of leader traits and leadership competencies necessary during organizational change.

To determine if significant differences and relationships existed, a survey instrument was developed based on a list of leader traits and leadership competencies identified from a review of the literature and validated by a Delphi panel of leadership

experts. The survey instrument, the Leadership Traits and Competencies Assessment (LTCA), was distributed to leaders and followers in two healthcare organizations. The data collected from participant respondents were analyzed to determine the outcomes of the research. This chapter includes a discussion of the respondent groups, response rate, and results of the data analyses.

Responses

A total of 550 LTC assessments were mailed to a stratified random sample of healthcare professionals. The stratified random sample included 444 urban participants, comprised of, 123 leaders and 321 followers and 106 rural participants, which included, 17 leaders, and 89 followers.

Of the sample, 347 individuals, (63%), responded to the survey. The respondents included 108 leaders and 239 followers. Of the 123 assessments sent to urban leaders, 94 (76%), were returned and of the 17 assessments sent to rural leaders, 14 (82%), were returned. Leaders had an overall return rate of 77%. Of the 321 assessments sent to urban followers, 179 (55%), were returned and of the 89 assessments sent to rural followers, 60 (67%) were returned. Followers had an overall return rate of 58%. The highest return rate was for rural leaders and the lowest return rate was for urban followers as shown in Table 2.

Table 2

Leader and Follower Leader Trait and Leadership Competency Assessment Return Rates

	Sent to Leaders	Returned by Leaders	Percent Returned	Sent to Followers	Returned by Followers	Percent Returned
Urban	123	94	76%	321	179	55%
Rural	17	14	82%	89	60	67%
Total	140	108	77%	410	239	58%

The data were compiled and entered into a Microsoft, Excel spreadsheet. The spreadsheet was created to tabulate the data as it was collected from the returned LTCAs. Each LTCA was assigned a number for tracking purposes. The numbers were used to track assessments that might have missing fields or have data that was incorrectly entered. Each leader trait and leadership competency was coded, as well as the variables of, leader and follower, urban and rural, gender, race, educational level, age, and number of years in healthcare, the number of years in the current organization, and the number of major changes experienced while working in healthcare. After the data were tabulated and entered into the computer, the data were downloaded at the University of Tennessee Statistical Consulting Center. The Statistical Package for Social Sciences (SPSAS) program was used to analyze the collected data.

Research Question One

The first research question was: What are the leader traits and leadership competencies necessary for leaders to be successful during organizational change? This question was answered by an extensive review of the literature that resulted in the identification of 5 leader traits and 15 leadership competencies that were necessary for leaders to be successful during organizational change.

The leader traits and leadership competencies were reviewed and validated by a Delphi panel of experts. The review and validation process resulted in (a) the retention of 5 leader traits, (b) the deletion of 1 competency, (c) the addition of 3 competencies, and (d) the modification of 2 definitions. The validated leader traits and leadership competencies were formatted into the Leadership Trait and Competency Assessment (LTCA). The formatted instrument was distributed to a stratified random sample.

Research Question Two

The second question of the study was: Are there significant differences in the perceptions of importance between leaders and followers on the identified leader traits and leadership competencies necessary during major organizational change? In order to answer question two, hypothesis one was divided into two parts, testing (a) leader traits and (b) leadership competencies separately. Part (a) tested the differences in perceptions of **leader traits** and part (b) tested the differences in perceptions of **leadership competencies**.

Null Hypothesis One (a)

Ho_{1a}: There were no significant differences between the perceptions of leaders and followers on the importance of **leader traits** necessary during major organizational change.

An ANOVA, Tests of Between Subjects Effects, was used to determine if there were significant differences between the perceptions of leaders and followers on the importance of **leader traits** necessary during major organizational change. An F value of 3.88 with 1, 323 degrees of freedom was necessary to reject the hypothesis at the .05 level of significance.

The ANOVA test revealed no significant differences between the leaders and followers' perceptions of the importance of **leader traits** necessary during major organizational change. Null hypothesis number 1a was retained.

Null Hypothesis One (b)

Ho_{1b}: There were no significant differences between the perceptions of leaders and followers on the importance of **leadership competencies** necessary during major organizational change.

An ANOVA, Tests of Between Subjects Effects, was used to determine if there were significant differences between leaders and followers' perceived importance of **leadership competencies** necessary during major organizational change. An F value of 3.88 with 1, 312 degrees of freedom was necessary to reject the hypothesis at the .05 level of significance.

The ANOVA test revealed no significant differences between leaders and followers' perceptions on the importance of **leadership competencies** necessary during major organizational change. Null hypothesis number 1b was retained.

The highest mean scores for both leaders and followers were for the **leader trait** "trustworthy." The leaders mean score for trustworthy was (5.84) and mean score for followers was (5.72). The lowest mean scores for both leaders and followers were for the **leadership competency** "cultural awareness." The leaders mean score for "cultural awareness" was (4.87), and the mean score for followers was (5.01).

Leaders and followers perceived the same trait "trustworthy" to be most important and the same competency "cultural awareness" to be the least important. Table 3 provides the mean scores of rating by leaders and followers. The only mean score below a 5.0 was recorded for the rating by the leader group, for the competency "cultural awareness." All other mean ratings were above 5.0.

Research Question Three

The third question of the study was: Are there significant differences in the perceptions of importance between experts, leaders, and followers, on the identified leader traits and leadership competencies necessary during major organizational change. In order to answer question three, hypothesis two was divided into two parts, testing (a) leader traits and (b) leadership competencies separately. Part (a) tested the differences in perceptions of **leader traits** and part (b) tested the differences in perceptions of **leadership competencies.**

Table 3

Mean Ratings of the Perceptions of Importance of Leader

Traits and Leadership Competencies by Leaders and Followers

Leader Traits	Leader Mean Ratings	Follower Mean Ratings
Trustworthy	5.84	5.72
Determined	5.24	5.30
Ethical conduct/personal integrity	5.72	5.60
Courageous/daring	5.00	5.06
Compassionate/empathetic	5.41	5.45
Leadership Competencies		
Self-awareness/strong sense of self	5.10	5.28
Ability to create/articulate a vision	5.36	5.25
Ability to inspire/motivate	5.52	5.40
Ability to lead by example	5.75	5.65
Ability to see the big picture	5.24	5.22
Ability to make decisions	5.45	5.44
Ability to effectively communicate	5.57	5.59
Belief in group capabilities	5.28	5.34
Ability to empower others	5.24	5.29
Ability to effectively collaborate	5.27	5.36
Ability to be fair/maintain consistent behavior	5.55	5.59
Ability to be creative/innovative	5.07	5.05
Ability to be flexible	5.32	5.30
Ability to be open-minded/appreciate differences	5.25	5.35
Willingness to assume responsibility	5.53	5.61
Ability to maintain standards of performance	5.34	5.36
Cultural awareness	4.87	5.01

Null Hypothesis Two (a)

Ho_{2a}: There were no significant differences between the perceptions of experts, leaders, and followers on the importance of **leader traits** necessary during major organizational change.

An ANOVA, Tests of Between Subjects Effects, was used to determine if there were significant differences between the perceptions of experts, leaders, and followers on the importance of **leader traits** necessary during major organizational change. An F value of 3.03 with 2, 344 degrees of freedom was necessary to reject the hypothesis at the .05 level of significance.

The ANOVA test revealed no significant differences between the experts, leaders, and followers', perceptions of the importance of **leader traits** necessary during major organizational change. Null hypothesis 2a was retained.

Null Hypothesis Two (b)

Ho_{2b}: There were no significant differences between the perceptions of experts, leaders, and followers, on the importance of **leadership competencies** necessary during major organizational change.

An ANOVA, Tests of Between Subjects Effects, was used to determine if there were significant differences between the perceptions of experts, leaders, and followers on the importance of **leadership competencies** necessary during major organizational change. An F value of 3.03 with 2, 335 degrees of freedom was necessary to reject the hypothesis at the .05 level of significance.

The ANOVA test revealed no significant differences between the experts, leaders, and followers' perceptions of the importance of **leadership competencies** necessary during major organizational change. Null hypothesis 2b was retained.

Table 4 provides the mean scores of experts, leaders, and followers. Experts rated one leader trait and one leadership competency below a 5.0. Leaders rated one leadership competency below 5.0. However, followers had no leader traits or leadership competencies rated below 5.0. There was a difference of 1.35 between the highest mean score and the lowest mean score of all of the ratings on a scale of 1 to 6. The identified leader traits and leadership competencies were important to all three groups.

Research Question Four

The fourth research question of the study was: Are there significant correlations between experts, leaders, and followers in the rankings of importance of leader traits and leadership competencies necessary during major organizational change? In order to answer question four, the following null hypothesis was tested.

Null Hypothesis Three

Ho_3: There were no significant correlations between the perceptions of experts, leaders, and followers on the ranking of importance of **leader traits** and **leadership competencies** necessary during major organizational change.

A Spearman Rho, was used to determine if there were significant correlations between the perceptions of experts, leaders, and followers on the ranking of importance of **leader traits** and **leadership competencies** necessary during major organizational change.

Table 4

Mean Ratings of the Perceptions of Experts, Leaders, and Followers on the Importance of Leader Traits and Leadership Competencies

Leader Traits	Expert Mean Ratings	Leader Mean Ratings	Follower Mean Ratings
Trustworthy	5.75	5.89	5.72
Determined	5.39	5.28	5.30
Ethical conduct/personal integrity	5.36	5.76	5.60
Courageous/daring	4.54	5.01	5.06
Compassionate/empathetic	5.07	5.43	5.45
Leadership Competencies			
Self-awareness/strong sense of self	5.00	5.13	5.28
Ability to create/articulate a vision	5.57	5.36	5.25
Ability to inspire/motivate	5.75	5.53	5.39
Ability to lead by example	5.61	5.74	5.64
Ability to see the big picture	5.20	5.24	5.22
Ability to make decisions	5.21	5.44	5.43
Ability to effectively communicate	5.46	5.56	5.57
Belief in group capabilities	5.32	5.27	5.35
Ability to empower others	5.25	5.23	5.30
Ability to effectively collaborate	5.11	5.26	5.37
Ability to be fair/maintain consistent behavior	5.18	5.55	5.58
Ability to be creative/innovative	5.04	5.06	5.05
Ability to be flexible	5.68	5.32	5.28
Ability to be open-minded/appreciate differences	5.29	5.24	5.36
Willingness to assume responsibility	5.79	5.53	5.59
Ability to maintain standards of performance	5.43	5.33	5.38
Cultural awareness	4.80	4.85	5.01

In order to be significant, a correlation coefficient of .359 or greater was necessary. Test results indicated correlation coefficients of .704 for experts and leaders, .556 for experts and followers, and .909 for leaders and followers. Since .556, .704, and .909 were greater than .359, there were significant correlations between the perceptions of experts, leaders, and followers on the ranking of importance of **leader traits** and **leadership competencies** necessary during major organizational change, at the .05 level. Null hypothesis 3 was rejected. Table 5 shows the ranking, based on mean scores, of the perceived importance of experts, leaders, and followers on the **leader traits** and **leadership competencies** necessary for leaders during major organizational change.

Research Question Five

The fifth question of the study was: Are there significant differences in the perceptions of importance between healthcare professionals in rural and urban organizations on the necessary leader traits and leadership competencies? In order to answer question five, hypothesis four was divided into two parts, testing (a) leader traits and (b) leadership competencies separately. Part (a) tested the differences in perceptions of leader traits and part (b) tested the differences in perceptions of leadership competencies. In order to answer question five, the following null hypothesis was tested.

Null Hypothesis Four (a)

Ho_{4a}: There were no significant differences between in the perceptions of rural and urban healthcare professionals on the importance of **leader traits** necessary during major organizational change.

Table 5

Ranking of the Perceived Importance of Necessary Leader Traits

and Leadership Competencies by Experts, Leaders, and Followers

Leader Traits	Rankings by Expert	Rankings by Leader	Rankings by Follower
Trustworthy	2	1	1
Determined	9	17	15
Ethical conduct/personal integrity	10	3	4
Courageous/daring	22	21	20
Compassionate/empathetic	18	9	7
Leadership Competencies			
Self-awareness/strong sense of self	20	19	17
Ability to create/articulate a vision	6	10	18
Ability to inspire/motivate	3	7	9
Ability to lead by example	5	2	2
Ability to see the big picture	15	18	19
Ability to make decisions	14	8	8
Ability to effectively communicate	8	4	6
Belief in group capabilities	11	13	13
Ability to empower others	13	16	16
Ability to effectively collaborate	17	14	10
Ability to be fair/maintain consistent behavior	16	5	5
Ability to be creative/innovative	19	20	21
Ability to be flexible	4	12	14
Ability to be open-minded/appreciate differences	12	15	12
Willingness to assume responsibility	1	6	3
Ability to maintain standards of performance	7	11	11
Cultural awareness	21	22	22

An ANOVA, Tests of Between Subjects Effects, was used to determine if there were significant differences between rural and urban leaders and followers' perceived importance of **leader traits** necessary during major organizational change. An F value of 3.88 with 1, 323 degrees of freedom was necessary to reject the hypothesis at the .05 level of significance.

The ANOVA test revealed an F value of 7.708 with 1, 323 degrees of freedom for the trait, "determined." There was a significant difference between the perceptions of rural and urban healthcare professionals on the importance of the trait, "determined." Rural healthcare professionals perceived "determined" to be significantly more important than urban healthcare professionals. The mean rating of rural healthcare professionals for "determine" was 5.58 and the mean rating of urban healthcare professionals was 5.20.

No other perceptions of **leader traits** had significant differences at the .05 level. Therefore, null hypothesis 4a was rejected for the perception of the **leader trait**, "determined."

Null Hypothesis Four (b)

Ho_{4b}: There were no significant differences between the perceptions of rural and urban healthcare professionals on the perceived importance of **leadership competencies** necessary during major organizational change.

An ANOVA, Tests of Between Subjects Effects, was used to test Ho_{4b}. An F value of 3.88 with 1, 312 degrees of freedom was necessary to reject the hypothesis at the .05 level of significance for **leadership competencies**.

The ANOVA test revealed no significant differences at the .05 level, between the perceptions of rural and urban healthcare professionals on the importance of **leadership competencies** necessary during major organizational change. Null hypothesis 4b was retained.

Research Question Six

The sixth question of the study was: Are there significant differences between the perceptions healthcare professionals on the importance of leader traits and leadership competencies when grouped by gender? In order to answer question six, hypothesis five was divided into two parts, testing (a) leader traits and (b) leadership competencies separately. Part (a) tested the differences in perceptions of **leader traits** and part (b) tested the differences in perceptions of **leadership competencies**. In order to answer question six the following null hypothesis was tested.

Null Hypothesis Five (a)

Ho_{5a}: There were no significant differences between the perceptions of male and female healthcare professionals on the importance of **leader traits** necessary during major organizational change.

An ANOVA, Tests of Between Subject Effects was run to determine significant differences between the perceptions of healthcare professionals on the importance of **leader traits**. In order to be significant at the .05 level an F value of 3.88 with 1, 323 degrees of freedom was necessary.

The ANOVA test produced significant differences at the .05 level between the perceptions of male and female healthcare professionals, on the importance of **leader**

traits, "trustworthy," "determined," "ethical conduct and personal integrity," and "compassionate and empathetic." The F values and levels of significance are provided in Table 6.

Null hypothesis 5a was rejected for the perception of importance of the **leader traits**, "trustworthy," "determined," "ethical conduct and personal integrity," and "compassionate and empathetic" between male and female healthcare professionals.

Data analyses indicated females perceived it to be significantly more important than males, for leaders to have the **leader traits**, "trustworthy;" " determined," "ethical conduct and personal integrity;" and "compassionate and empathetic."

Null Hypothesis Five (b)

Ho_{5b}: There were no significant differences between the perceptions of genders of healthcare professionals on the importance of **leadership competencies** necessary during major organizational change.

An ANOVA, Tests of Between Subjects Effects, revealed there were significant differences on the perception of three **leadership competencies** at the.05 level. In order to be significant an F value of 3.88 with 1, 312 degrees of freedom was necessary. The tests produced significant differences between the perceptions of male and female healthcare professionals on the importance of **leadership competencies**, "ability to be self aware/strong sense of self;" "ability to effectively communicate;" and "ability to be fair/maintain consistent behavior," as illustrated in Table 7.

Table 6

F Values and Significance Levels for the Perceptions of Male and Female Healthcare Professionals on the Importance of Leader Traits

Leader Traits	F* Value	Significance Level
Trustworthy	12.564	.000
Determined	3.880	.050
Ethical conduct/personal integrity	7.567	.006
Compassionate/empathetic	4.938	.027

* F value with 1, 323 degrees of freedom

Table 7

F Values and Significance Levels for the Perceptions of Male and Female Healthcare Professionals on the Importance of Leadership Competencies

Leadership Competencies	F* Value	Significance Level
Ability to be self-awareness/strong sense of self	5.079	.025
Ability to effectively communicate	4.407	.037
Ability to be fair/maintain consistent behavior	4.174	.042

* F value with 1, 312 degrees of freedom

Null hypothesis 5b was rejected for the perceptions of importance of the **leadership competencies**, "ability to be self aware/strong sense of self;" "ability to effectively communicate;" and "ability to be fair and maintain consistent behavior."

Females perceived it to be more significantly important than males for leaders to demonstrate the following **leadership competencies**, "ability to be self aware/strong sense of self," "ability to effectively communicate," and the "ability to be fair/maintain consistent behavior," during major organizational change.

Females had higher mean scores than males for all of the **leader traits** and all the **leadership competencies** except for one competency, "ability to be creative/innovative" as shown in Table 8. Females and males both perceived the "ability to be creative/innovative" to be equally important with a rating mean score of 5.06. The higher mean scores of females, indicate females hold leaders to higher standards during major organizational change.

Research Question Seven

The seventh question of the study was: Are there significant differences between the perceptions of healthcare professionals on the importance of leader traits and leadership competencies when grouped by race? In order to answer question seven, hypothesis six was divided into two parts, testing (a) leader traits and (b) leadership competencies separately. Part (a) tested the differences in perceptions of **leader traits** and part (b) tested the differences in perceptions of **leadership competencies**. In order to answer question seven the following null hypothesis was tested.

Table 8

Mean Ratings of the Perceptions of Male and Female Healthcare Professionals on the Importance of Leader Traits and Leadership Competencies

Leader Traits	Male Mean Ratings	Female Mean Ratings
Trustworthy	5.60	5.82
Determined	5.07	5.34
Ethical conduct/personal integrity	5.47	5.71
Courageous/daring	4.90	5.08
Compassionate/empathetic	5.22	5.50
Leadership Competencies		
Self-awareness/strong sense of self	5.01	5.31
Ability to create/articulate a vision	5.22	5.34
Ability to inspire/motivate	5.31	5.50
Ability to lead by example	5.62	5.70
Ability to see the big picture	5.17	5.25
Ability to make decisions	5.33	5.46
Ability to effectively communicate	5.40	5.63
Belief in group capabilities	5.24	5.36
Ability to empower others	5.26	5.30
Ability to effectively collaborate	5.21	5.38
Ability to be fair/maintain consistent behavior	5.40	5.62
Ability to be creative/innovative	5.06	5.06
Ability to be flexible	5.26	5.33
Ability to be open-minded/appreciate differences	5.19	5.36
Willingness to assume responsibility	5.56	5.58
Ability to maintain standards of performance	5.24	5.42
Cultural awareness	4.81	5.02

Null Hypothesis Six (a)

Ho_{6a}: There were no significant differences between the perceptions of races of healthcare professionals on the importance of leadership **leader traits** necessary during major organizational change.

An ANOVA, Tests of Between Subject Effects was run to determine significant differences between the perceptions of races of healthcare professionals on the importance of **leader traits**. In order to be significant at the .05 level an F value of 2.40 with 4, 323 degrees of freedom was necessary.

The test revealed there were no significant differences at the .05 level, between the perceptions of races on the importance **leader traits** necessary during major organizational change. Null hypothesis 6a was retained.

Null Hypothesis Six (b)

Ho_{6b}: There were no significant differences between the perceptions of races on the importance of **leadership competencies** necessary during major organizational change.

An ANOVA, Tests of Between Subject Effects, was run to determine significant differences between the perceptions of races of healthcare professionals on the importance of **leadership competencies**. In order to be significant at the .05 level an F value of 2.40 with 4, 312 degrees of freedom was necessary.

The test revealed no significant differences between the perceptions of races on the importance of **leadership competencies** necessary during major organizational change. Null hypothesis 6b was retained.

Research Question Eight

The eighth question of the study was: Are there significant differences between the perceptions of healthcare professionals on the importance of leader traits and leadership competencies when grouped by educational levels? In order to answer question eight, hypothesis seven was divided into two parts, testing (a) leader traits and (b) leadership competencies separately. Part (a) tested the differences in perceptions of **leader traits** and part (b) tested the differences in perceptions of **leadership competencies**. In order to answer question eight the following null hypothesis was tested.

Null Hypothesis Seven (a)

Ho_{7a}: There were no significant differences between the perceptions of healthcare professionals with different educational levels on the importance of **leader traits** necessary during major organizational change.

An ANOVA, Tests of Between Subject Effects, was run to determine significant differences between the perceptions of healthcare professionals with different educational levels on the importance of **leader traits**. In order to be significant at the .05 level an F value of 2.04 with 7, 323 degrees of freedom was necessary.

Test results indicated there were no significant differences between the perceptions of healthcare professionals with different educational levels on the importance of **leader traits** necessary during major organizational change. Null hypothesis 7a was retained.

Null Hypotheses Seven (b)

Ho_{7b}: There were no significant differences between the perceptions of healthcare professionals with different educational levels on the importance of **leadership competencies** necessary during major organizational change.

An ANOVA, Tests of Between Subject Effects was run to determine significant differences between the perceptions of healthcare professionals with different educational levels on the importance of **leadership competencies**. In order to be significant at the .05 level an F value of 2.04 with 7, 312 degrees of freedom was necessary.

Test results indicated there were no significant differences between the perceptions of healthcare professionals with different educational levels on the importance of **leadership competencies** necessary during major organizational change. Null hypothesis 7b was retained.

Research Question Nine

The ninth question of the study was: Are there significant relationships between the perceptions of healthcare professionals on the importance of leader traits and leadership competencies and their age, number of years in healthcare, the number of years in the current organization, and the number of major changes experienced while working in healthcare? In order to answer question nine the following null hypothesis was tested.

Null Hypothesis Eight

Ho_8: There were no significant relationships between age, number of years in healthcare, the number of years in the current organization, the number of major

changes experienced while working in healthcare and the perceptions of importance of **leader traits** and **leadership competencies** necessary during major organizational change.

A Multiple Regression test was performed to determine if there were significant relationships between age, number of years in healthcare, the number of years in the current organization, and the number of major changes experienced while working in healthcare of healthcare professionals and the perceived of **leader traits** and **leadership competencies** necessary during major organizational change. In order to be significant, a relationship had to have an r value of .195 with 322 degrees of freedom, at the .05 level. No correlation coefficient was equal to or larger than .195. Therefore, null hypothesis 8, was retained. The independent variables of age, number of years in healthcare, the number of years in the current organization, and the number of major changes experienced while working in healthcare are unrelated to the perceptions of importance of healthcare professionals on the leader traits and leadership competencies necessary during major organizational change.

Respondent Comments

Respondents were given an opportunity to add or delete leader traits and leadership competencies and add comment. Of the 347 respondents, 24 made comments and recommendations. No traits and competencies were deleted. However, there were a number of leader traits and leadership competencies recommended for inclusion in the assessment list. Following are the traits and competencies recommended for inclusion: positive attitude, sense of humor, visible, loyal, respectful, appreciative, ability to follow

through, and knowledgeable about the healthcare industry. Many respondents reinforced the need for leaders to be honest and truthful during change. There were many comments related to the need for good communication, including the ability to listen. There were also many comments related to the constancy of change in healthcare.

Chapter 5

Summary, Findings, Conclusions, and Recommendations

This chapter includes a summary, findings, conclusions, and recommendations for future research related to leader traits and leadership competencies.

Summary

The purposes of this study were (a) to identify the leader traits and leadership competencies necessary for leaders to be successful during major organizational change initiatives; (b) to determine if there were significant differences between the perceptions of leaders and followers on the importance of leader traits and leadership competencies; (c) to determine if there were significant differences between the perceptions of experts, leaders, and followers on the importance of the leader traits and leadership competencies, (d) to determine if there were significant correlations between experts, leaders, and followers' rankings of importance of those traits and competencies, (e) to determine if there were significant differences in the perceptions of importance between healthcare professionals in rural and urban organizations on the necessary leader traits and leadership competencies, (f) to determine if there were significant differences in perceptions of leaders and followers on the importance of the leader traits and leadership competencies when grouped by demographic variables (gender, race, and educational levels), and (g) to determine if there were significant relationships between age, number of years in healthcare, number of years in the current organization, and the number of major changes experienced while working in healthcare, and the perceptions of

importance of leader traits and leadership competencies necessary during organizational change.

To determine the leader traits and leadership competencies necessary for leaders to be successful during major organizational change, an instrument was developed to collect the data. Instrument construction required an extensive review of the literature. The literature review resulted in the identification of 5 traits and 15 competencies necessary for leaders to be successful during major organizational change. The leader traits and leadership competencies identified from the review of the literature were then subjected to a Delphi panel of leadership experts for review and validation. The Delphi methodology resulted in the retention of five traits and fourteen competencies.

Three leadership competencies were added and two competency definitions were modified. From the results of the Delphi panel review, an instrument the Leadership Trait and Competency Assessment (LTCA) was developed to collect the data to answer the research questions. Eight null hypotheses were created to answer nine research questions.

The population of the study consisted of healthcare professionals from two healthcare organizations. An urban hospital in Knoxville, Tennessee and a rural hospital in Celina, Tennessee. A total of 550 LTC assessments were mailed to a random sample of healthcare professionals representing a total population of 2,304. The stratified sample included 123 leaders and 321 followers from the urban healthcare organization and 17 leaders and 89 followers from the rural healthcare organization.

The survey was administered between September 18, 2000 and October 18, 2000. Three hundred forty seven individuals responded to the survey. The respondents profile was, 108 leaders and 239 followers.

Data were collected, compiled, and entered into a Microsoft, Excel spreadsheet that was downloaded at the University of Tennessee, Statistical Consulting Center. Analysis was conducted on the data using the he Statistical Package for Social Sciences (SPSAS) computer program.

ANOVA, Tests of Between Subjects Effects, were conducted to determine if significant differences occurred for null hypotheses 1 and 2, 4 through 7. A Spearman Rho was used to test null hypothesis 3, for significant correlations. A Multiple Regression test, was used to test null hypothesis 8, for significant relationships.

Findings

The following findings resulted from an extensive review of the literature and statistical testing.

1. Five leader traits and seventeen leadership competencies were identified as necessary for leaders to be successful during major organizational change. These traits and competencies were obtained from an extensive review of the literature and validated by a panel of experts.

2. There were no significant differences between leaders and followers in their perceptions of the importance of the leader traits and leadership competencies necessary for leaders to be successful during major organizational change. Mean scores for the two

groups were not significantly different. Leaders and followers had the same expectations of their leaders during change.

3. There was no significant difference in the mean scores of the Delphi panel of experts, healthcare leaders, and followers. Mean scores for all three groups were not significantly different. The panel of experts and the healthcare leaders and followers had the same expectations of leaders during major organizational change.

4. There were significant correlations in the ranking of the perceived importance of leader traits and leadership competencies between experts, leaders, and followers.

5. There were no significant differences between rural and urban healthcare professionals for 4 traits and all 17 competencies, in the perceived importance of the leader traits and leadership competencies necessary during major organizational change. There was however, a significant difference between rural and urban healthcare professionals in the perceived importance of one trait, "determined." The leader trait "determined" was perceived to be significantly more important to rural healthcare professionals than to urban healthcare professionals.

6. There were significant differences between males and females in the perceived importance of leader traits and leadership competencies necessary during major organizational change. Females perceived it to be significantly more important than males, for leaders to have the leader traits: "trustworthy," "determined," "ethical conduct and personal integrity," and "compassion and empathy," and leadership competencies, "ability to be self aware/strong sense of self, "ability to effectively communicate," and the "ability to be fair and maintain consistent behavior." Female healthcare professionals

rated all traits and competencies higher than did their male counterparts.

7. There were no significant differences in the perceptions of healthcare professionals on the importance of leader traits and leadership competencies necessary during major organizational change when they were grouped by the demographic variables of race and educational level.

8. There were no significant relationships between the demographic variables of age, number of years in healthcare, number of years in the current organization, the number of major changes experienced while working in healthcare, and the perceived importance of the leader traits and leadership competencies necessary for leaders during major organizational change.

Conclusions

Based on the findings of the study, the following conclusions were drawn. These conclusions are based on a review of the literature, the Delphi technique, and the analyses of the data collected from the study's participants using the LTCA.

1. The LTCA is a valid instrument for assessing the perceived importance of leader traits and leadership competencies within an organization, during major organizational change. The 5 traits and 17 competencies were perceived to be important by leadership experts and healthcare leaders, and followers.

2. The validated leader traits and leadership competencies support the transformational theories of leadership and change. They are reflective of leader/follower involvement in a process, focused on the values and feelings of individuals, directed toward the successful accomplishment of identified change initiatives.

3. Healthcare leaders and followers have the same expectations of their leaders during major organizational change. They value the same leader traits and leadership competencies.

4. Experts in the leadership field and healthcare leaders and followers all have the same expectations of their leaders during major organizational change. They were in agreement on the importance of the necessary leader traits and leadership competencies.

5. Rural and urban healthcare professionals have the same general expectations from their leaders, except for the leader trait "determined." Rural healthcare professionals felt it more important for their leaders to be determined than did urban healthcare professionals. This difference in perception is reflective of the premises of transformational leadership and change theories. These theories indicate that when differences exist between individuals and groups it is important to identify and make accommodations for these differences to help leaders become more successful. Leaders in rural organizations will need to demonstrate more "determination" than urban leaders if they are to be perceived successful during major organizational change.

6. Females expect their healthcare leaders to have higher standards than their male counterparts. The identification of differences in values and standards is important to the success of leaders, according to transformational leadership and change theories. When differences are identified, transformational leadership and change theories suggest that when leaders are aware and make accommodations for these differences, they can be more successful during major organizational change.

7. Healthcare professionals who were of different races and educational levels

were in agreement on their perception of the importance of necessary leader traits and leadership competencies.

8. The age of healthcare professionals, the number of years in healthcare, the number of years in the current organization, and/or the number of major changes experienced while working in healthcare were unrelated to the expectations of leaders during major organizational change.

Recommendations

With respect to the review of the literature and the findings and conclusions of this study, the following recommendations are offered:

1. The LTCA could be used in a variety of businesses and industries to rate the importance of the leader traits and leadership competencies, by leaders and followers in those businesses and industries. The importance of their perceptions can be used to set expectations for leaders during major organizational change.

2. The ranking of importance of the leader traits and competencies can be used to develop modular training programs for leaders. The most important and most often used leader traits and leadership competencies can be trained first, leaving the least important and least used leader traits and leadership competencies to be last on the agenda depending on time constraints and training budgets.

3. The use of the LTCA prior to the implementation of a change initiative can result in employee involvement in the change process and potentially create a greater buy-in to the change initiative.

4. Empirical linkage between on-the-job performance and leadership traits and

competencies for change are needed. This linkage could help develop content for leadership training programs and in setting performance expectations for organizational leadership.

5. Results of the assessment can be used to set leadership standards for recruitment, training, evaluation, and promotion of leaders within the organization. Rewarding leaders for modeling the identified leader traits and leadership competencies can be a powerful performance management tool.

6. Further research should be conducted to determine the perceived importance of leadership traits and competencies necessary for major change across organizational management/leadership levels, i.e. front line supervisors, middle management, and executive level managers. Leaders and followers may have different expectations for front line supervisors than they do for the CEO. Followers may have different expectations of their immediate manager/leader than from their division manager.

Implications

This study focused on the identification of leader traits and leadership competencies necessary for success during organizational change. The identified leader traits and leadership competencies fall into the affective domain referred to by many human resource and human resource development practitioners as "soft skills." These leader traits and leadership competencies are not generally accessible to quick measurement. However, they and their measurement are necessary for the success of individuals in leadership positions, since these "soft skills" have been identified by experts, leaders, and followers as necessary for leadership success during major

organizational change.

By identifying the leader traits and leadership competencies that are important to leaders and followers of a specific organization, HRD professionals can design and develop training programs to assist leaders in the enhancement of their leader traits and in the development of leadership competencies. HRD professionals can also develop measurement criteria, based on the behavioral expectations of the leaders and followers. These leader traits and leadership competencies should be assessed before each major organizational change to ensure the organization is keeping pace with the leader and follower expectations and the changing demographics of the work environment.

Human Resource Development (HRD) professionals focus on the identification, development, and maximization of the human capital within organizations. It is the goal of the HRD professional to increase performance, productivity, and overall quality of the workforce. If this goal is to be achieved, quantitative, statistically sound research using valid and reliable measurements must be supported by organizations and educational institutions. It is imperative that this process permeate all levels of the organization.

The results of this study identified the importance of developing a baseline for identifying leader traits and leadership competencies necessary for leadership success during major organizational change. Hopefully, this study will serve as impetus for continuing work in the study and development of inventories and measurement tools for leadership traits and competencies to meet the challenges of change in the new millennium. Change and leadership will continue to be two constants inextricably tied to every organization's continuum for success in the future.

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APPENDICES

APPENDIX A

DELPHI SURVEY INSTRUMENT

ROUND ONE

Leadership Trait and Competency Assessment

Following are leadership traits and competencies identified through a review of current literature. The traits and competencies are perceived necessary for leaders to possess in order for them to be successful during change initiatives.

Rate each **trait** and **competency** as to the importance to leaders during change initiatives. Rate on a scale of 1 to 6. One being the least important and 6 being most important. **Circle** the appropriate number.

Delete traits and competencies you determine not relevant to the change process by marking through them.

Add and Define traits and competencies you feel are important to change initiatives that are not listed in the assessment.

Traits

1. **Trustworthy** = truthful and honest.

   Rate: 1 2 3 4 5 6

   Comments: _____

   _____

2. **Determined** = commits to the fulfillment of organizational mission and goals.

   Rate: 1 2 3 4 5 6

   Comments: _____

   _____

3. **Ethical conduct and personal integrity** = behaves according to established ethical norms and act according to generally accepted societal standards.

   Rate: 1 2 3 4 5 6

   Comments: _____

   _____

4. **Courageous and daring** = acts in the best interest of the organization and staff, upholding policies and procedures and implementing strategic plans whether or not the actions are popular stands to take.

Rate: 1 2 3 4 5 6

Comments: _____

_____

5. **Compassionate and empathetic** = considers the feelings of staff and the impact organizational decisions have on their lives. Demonstrates understanding, caring and interest in the personal and professional well being of the staff.

Rate: 1 2 3 4 5 6

Comments: _____

_____

Competencies

1. **Ability to create a vision** = sets a direction for the organization and staff to achieve success and profitability.

Rate: 1 2 3 4 5 6

Comments: _____

_____

2. **Ability to inspire and motivate** = enlists staff support and generates enthusiasm for the realization of organizational mission and goals.

Rate: 1 2 3 4 5 6

Comments: _____

_____

3. **Demonstrate technical competence** = possesses the skills to perform leadership functions and job specific tasks and has working knowledge of the tasks performed by staff throughout the organization.

Rate: 1 2 3 4 5 6

Comments: _____

_____

4. **Ability to lead by example** = walks the talk. Holds self accountable to the same standards of behavior as other staff in the organization

Rate: 1 2 3 4 5 6

Comments: _____

_____

5. **Ability to make decisions** = provides guidance, direction and answers to questions in a timely manner.

Rate: 1 2 3 4 5 6

Comments: _____

_____

6. **Ability to effectively communicate** = openly shares information with staff, keeps them informed of the organizational mission and goals and changes that affect the organization and staff.

Rate: 1 2 3 4 5 6

Comments: _____

_____

7. **Belief in personal and group capabilities** = provides support and encouragement for staff remaining positive and confident in achieving new and existing expectations. Encourages staff development and an organizational philosophy of continuous learning.

Rate: 1 2 3 4 5 6

Comments: _____

_____

8. **Ability to empower others** = allows staff to take part in decision making related to departmental and organizational direction and to take responsibility for the overall success of the organization.

Rate: 1 2 3 4 5 6

Comments: _____

_____

9. **Ability to effectively collaborate** = works well with all staff at all levels of the organization, allowing for the sharing of ideas and information across all organizational levels. Recognizes that more can be accomplished by the collective contributions of all staff than by isolated contributions of leadership.

Rate: 1 2 3 4 5 6

Comments: _____

_____

10. **Ability to be fair and maintain consistent behavior** = treats all staff equally and upholds uniform expectations for all staff.

Rate: 1 2 3 4 5 6

Comments: _____

_____

11. **Ability to be creative and innovative** = tries new and different ideas and methods for achieving existing mission and goals. Embraces change as an opportunity to expand capabilities.

Rate: 1 2 3 4 5 6

Comments: _____

_____

12. **Ability to be flexible** = changes strategies and direction to best meet the needs of the organization, staff, and the situation. Considers all options and adapts to the changing demands of the situation.

Rate: 1 2 3 4 5 6

Comments: _____

_____

13. **Ability to be open-minded and appreciate differences** = freely accepts and encourages different opinions and embraces all aspects of a diversified workplace.

Rate: 1 2 3 4 5 6

Comments: _____

_____

14. **Willingness to assume responsibility** = does not pass the buck or seek to blame others for unpopular or incorrect decisions.

Rate: 1 2 3 4 5 6

Comments: _____

_____

15. **Ability to maintain standards of performance** = sets expectations for staff and holds all staff accountable to the same levels of performance.

Rate: 1 2 3 4 5 6

Comments: _____

_____

Please add and define additional traits and competencies you believe are necessary for leaders to be successful during major change initiatives.

1. _____

_____

_____

2. _____

_____

_____

3. _____

_____

_____

4. _____

_____

_____

5. _____

_____

_____

APPENDIX B

DELPHI PANEL

INTRODUCTORY COVER LETTER

Susan B. Arnold
12216 Oakmont Circle
Knoxville, Tennessee 37922
(865) 675-1087
May 7, 2000

Delphi Panel Member
(Address)

Dear Delphi Panel Member:

I recognize how busy your schedule is and want to thank you for taking time to help me in this research initiative.

Enclosed is a copy of the leadership assessment we discussed. Please complete according to the instructions and return to me within the next two weeks, in the enclosed self-addressed stamped envelope.

Again, I would like to express my sincere appreciation for your assistance and support with my dissertation research.

Sincerely,

APPENDIX C

DELPHI PANEL

ROUND TWO COVER LETTER

Susan B. Arnold
12216 Oakmont Circle
Knoxville, Tennessee 37922
(865) 675-1087
July 15, 2000

Delphi Panel Member
(Address)

Dear Delphi Panel Member:

Thank you for your quick response to the initial survey. I have just received all responses to the first survey. As you know, not all research follows exact timelines for completion. However, I do plan to persevere and appreciate your help.

There were no traits or competencies recommended for removal from the initial survey. There were however, a few recommended additions that I need your help in rating as you did in round one. Enclosed is a copy of the round 2 survey for your rating and comments.

Again, I would like to express my sincere appreciation for your assistance and support with my dissertation research.

Sincerely,

APPENDIX D

DELPHI ASSESSMENT ROUND –TWO

Leadership Trait and Competency Assessment

Delphi - Round Two

Following are leadership traits and competencies added and/or modified by the Delphi panel participants in round one of the leadership assessment. The traits and competencies are perceived necessary for leaders to possess in order for them to be successful during change initiatives.

Rate each **trait** and **competency** as to the importance to leaders during change initiatives. Rate on a scale of 1 to 6. One being the least important and 6 being most important. **Circle** the appropriate number.

The additions are:

1. **Cultural awareness** = recognizes and respects the impact of corporate culture on the change initiative.
   Rate: 1 2 3 4 5 6

   Comments: _____

   _____

2. **Ability to see the big picture** = steps above the change initiative to see what is happening from a systems view and can step out of the change initiative to evaluate it objectively.
   Rate: 1 2 3 4 5 6

   Comments: _____

   _____

3. **Self awareness/strong sense of self** = understands personal motivations, strengths, weaknesses and personal leadership and communication style.
   Rate: 1 2 3 4 5 6

   Comments: _____

   _____

There are also three modifications that need to be reevaluated because of additional terminology.

1. **Ability to create and articulate a vision** = sets a direction for/with staff for the organization and staff to achieve success and profitability. Communicates vision to inspire and motivate others.
   Rate: 1 2 3 4 5 6

   Comments: _____

   _____

2. **Ability to make decisions** = provides guidance, direction and answers questions in a timely manner, even in situations that appear to be ambiguous.
   Rate: 1 2 3 4 5 6

   Comments: _____

   _____

3. **Demonstrate competence** = possesses the skills to perform leadership functions and job specific tasks and has working knowledge of the tasks performed by staff throughout the organization. Enjoys their work.
   Rate: 1 2 3 4 5 6

   Comments: _____

   _____

APPENDIX E

LEADERSHIP TRAIT AND COMPETENCY ASSESSMENT (LTCA) INSTRUMENT

Leadership Trait and Competency Assessment

Following are leadership **traits** and **competencies** identified through a review of current literature and validated by a panel of experts. The traits and competencies are necessary for leaders to possess in order for them to be successful during change.
Carefully read the following traits, competencies, and definitions. Rate their importance for leaders to possess during change.

1. Rate the importance of each trait or competency for leaders to posses during change. Rate each item on a scale of 6 to 1. Six (6) being the **most important**, and one (1) being the **least important**. Make sure you circle the appropriate number for each item.

2. Delete any trait or competency you determine not relevant to the change process by marking through it.

3. Add and Define traits and competencies you feel are important to organizational change that are not listed in the following.

Traits

1. **Trustworthy** = is truthful and honest.
   Rating: **6 5 4 3 2 1**

2. **Determined** = is committed to the fulfillment of organizational mission and goals.
   Rating: **6 5 4 3 2 1**

3. **Ethical conduct and personal integrity** = behaves according to established ethical norms and acts according to accepted societal standards.
   Rating: **6 5 4 3 2 1**

4, **Courageous and daring** = acts in the best interest of the organization and staff, upholds policies and procedures, and implements strategic plans whether or not the actions are popular.
   Rating: **6 5 4 3 2 1**

5. **Compassionate and empathetic** = considers the feelings of staff and the impact organizational decisions have on their lives. Demonstrates understanding, caring, and interest in the personal and professional well being of the staff.
   Rating: **6 5 4 3 2 1**

Competencies

1. **Self-awareness/strong sense of self** = understands personal strengths, weaknesses, motivations, and personal leadership and communication style.
   Rating: **6 5 4 3 2 1**

2. **Ability to create and articulate a vision** = sets a direction for the organization and staff to achieve success and profitability. Communicates vision to inspire and motivate others.
   Rating: **6 5 4 3 2 1**

3. **Ability to inspire and motivate** = enlists staff support and generates enthusiasm for the realization of organizational mission and goals.
   Rating: **6 5 4 3 2 1**

4. **Ability to lead by example** = walks the talk. Holds self accountable to the same standards of behavior as others in the organization
Rating: 6 5 4 3 2 1

5. **Ability to see the big picture** = steps above the change initiative to see what is happening from a systems view and can step out of the change initiative to evaluate it objectively.
Rating: 6 5 4 3 2 1

6. **Ability to make decisions** = provides guidance, direction, and answers questions in a timely manner, even in situations that appear to be ambiguous.
Rating: 6 5 4 3 2 1

7. **Ability to effectively communicate** = openly shares information with staff, keeps them informed of the organizational mission, goals, and changes that affect the organization and staff.
Rating: 6 5 4 3 2 1

8. **Belief in group capabilities** = provides support and encouragement for staff, remaining positive and confident in the group's ability to achieve new and existing expectations. Encourages staff development and has an organizational philosophy of continuous learning.
Rating: 6 5 4 3 2 1

9. **Ability to empower others** = allows staff to take part in decision making related to departmental and organizational direction and takes responsibility for the overall success of the organization.
Rating: 6 5 4 3 2 1

10. **Ability to effectively collaborate** = works well with all staff members, and shares ideas and information across all organizational levels. Recognizes that more can be accomplished by the collective contributions of all staff members than by leadership alone.
Rating: 6 5 4 3 2 1

11. **Ability to be fair and maintain consistent behavior** = treats all staff equally and upholds uniform expectations for all staff.
Rating: 6 5 4 3 2 1

12. **Ability to be creative and innovative** = tries new and different ideas and methods for achieving mission and goals. Embraces change as an opportunity to expand capabilities.
Rating: 6 5 4 3 2 1

13. **Ability to be flexible** = changes strategies and direction to best meet the needs of the organization, staff, and the situation. Considers all options and adapts to the changing demands of the situation.
Rating: 6 5 4 3 2 1

14. **Ability to be open-minded and appreciate differences** = accepts and encourages different opinions and embraces a diversified workplace.
Rating: 6 5 4 3 2 1

15. **Willingness to assume responsibility** = does not pass the buck or seek to blame others for unpopular or incorrect decisions.
Rating: 6 5 4 3 2 1

16. **Ability to maintain standards of performance** = sets expectations and holds everyone accountable for their performance.
Rating: 6 5 4 3 2 1

17. **Cultural awareness** = has the ability to recognize, respect, and work within the corporate culture when implementing change.
Rating: 6 5 4 3 2 1

Please add and define additional traits and competencies you believe are necessary for a leader to be successful during major organizational change.

2. _____

_____

2. _____

_____

3. _____

_____

Demographic Data: Please provide the following demographic information by checking the appropriate box. This information is being collected for research purposes only. Responses will be kept confidential.

Job Title: _____

Classification: ☐ Manager/Supervisor ☐ Non-manager/supervisor

Gender: ☐ Male ☐ Female

Race: ☐ Asian ☐ Hispanic ☐ White
☐ Black ☐ Native American ☐ Other

Education: **Check highest level attained**
☐ Eighth Grade ☐ Associate Degree ☐ Doctoral Degree
☐ GED ☐ Bachelor Degree ☐ Other: please specify
☐ High School ☐ Master Degree

Age: _____

Number of years working in healthcare _____

Number of years in current organization _____

Number of major changes you have experienced since working in healthcare _____

APPENDIX F

INTRODUCTORY LETTER TO PARTICIPANTS

Susan B. Arnold
12216 Oakmont Circle
Knoxville, TN
September 14, 2000

Healthcare Organization
Knoxville, TN

Dear Participant:

This research study is being conducted by your organization to identify necessary leadership competencies and traits for leaders to have during organizational change. The Quality Assurance Department has provided a list of employees available to participate in this research study. You were randomly selected.

The information collected during the survey is important to your organization. The results of the survey will enable newly developed leadership programs to focus on what is most important to employees. As a research participant you are asked to complete the attached research survey and return it within one week. Completion of the survey will require approximately 10 to 15 minutes.

There is no risk to you as a participant. Your name and ratings will not be revealed to individuals within your organization or any other organization. All information will be kept strictly confidential. At no time will names be placed on completed surveys. Your participation in this study is strictly voluntary and no compensation will be provided. Return of the completed survey constitutes your consent to participate. Upon completion, please return the survey in the provided stamped envelope.

Feel free to contact me if you have questions concerning your participation. Your help is critical to the success of this research study. Thank you in advance for your time and support. Providing a timely response demonstrates your interest in the success of the leadership at the Health System.

Sincerely,

APPENDIX G

FOLLOW-UP LETTER SENT TO PARTICIAPNTS

Susan B. Arnold
12216 Oakmont Circle
Knoxville, TN
September 18, 2000

Healthcare Organization
Knoxville, TN

Dear Employee:

This letter is a reminder to complete the leadership survey distributed to you last week. If you have not yet filled out the survey, please take time to complete and return it within the next week.
If you have already completed and returned the survey, thank you very much for your help and participation.

Your response is very important to this study. You have an opportunity to provide information to the Education and Quality Improvement Department that will enable future leadership programs to focus on what is most important to employees at the Baptist Health System.

I recognize the busy schedule you have and truly appreciate the time and commitment required, to complete and return the survey. Feel free to contact me if you have questions or if you need another survey.

Sincerely,

VITA

Susan Beaulieu Arnold was born in Holyoke, Massachusetts, on June 20, 1951. She attended and graduated from Cathedral High School, Springfield Massachusetts, in 1969. She entered Framingham State College in 1969, and while there, started the first off campus program with the Fashion Institute of Technology in New York, New York. In 1972, she graduated with an Associate Degree in Apparel Design from the Fashion Institute. That summer, she studied abroad in Covet Switzerland, as part of a Work Study Program with the American Textile Association. In the fall of 1972 she returned to Framingham State College to complete her baccalaureate studies. In 1973 she graduated from Framingham State College, Framingham, Massachusetts, with a Bachelor of Science Degree in Home Economics and Education.

After graduation, Ms. Arnold worked eight-years as a secondary school educator in Virginia, North Carolina, and Tennessee. She taught Earth and Physical Sciences to eighth and ninth grade students.

In 1986 she was awarded a summer research grant to study environmental contamination at the Oak Ridge Research Institute in Oak Ridge, Tennessee. At the completion of the program, she returned to her home in Germantown, Tennessee and enrolled in the Masters of Education Program at the University of Memphis. She completed her studies in 1988 and graduated with a Masters Degree in Education with an concentration in Curriculum and Instruction.

After graduation she was employed as an Instructional Designer at Oak Ridge Associated Universities, Oak Ridge, Tennessee. After a year in that position she

transferred to the Office of Human Resources as a Training and Development Specialist. In 1991 she was promoted to a Training and Development Project Manager. During her tenure at Oak Ridge Associated Universities, one of her major responsibilities was for the leadership and performance management training and development initiatives.

In 1997 she became Director of Human Resources for a regional Home Health organization, where she had an opportunity to implement organizational HR systems and continue to pursue her interests in training and development. When the agency closed in 1999, she was employed as an Organizational Development and Human Resources Consultant, providing services to numerous healthcare and non-healthcare businesses in the region. During that time she was a speaker and presenter on leadership and other human resource topics, at local and national conferences.

In June of 2000, she received her Senior Professional Human Resource (SPHR) credentials from the Society for Human Resource Management. She currently holds the position of Regional Director of People Development for Life Care Centers of America, providing human resource oversight for facilities in Virginia, North Carolina, South Carolina, East Tennessee, and Texas.

In 1994, she entered the University of Tennessee, Knoxville and began work on her Doctor of Philosophy Degree in Human Ecology, which she completed in August of 2001.