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Exploring Principled Leadership in Higher Education: A Study of Presidents', Provosts', and Deans' Leadership Approaches while Managing a Change Agenda

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Exploring Principled Leadership in Higher Education: A Study of Presidents', Provosts', and
Deans' Leadership Approaches while Managing a Change Agenda

by

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A THESIS

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Abstract

The research study explored university leaders' understanding of leadership, beliefs and values, and approaches to their role with a view to further examine the conceptualization of principled leadership within a change management context. The key proposition of the study was to identify what it is that promotes leader effectiveness when navigating change and whether the conceptualization of principled leadership as defined within the study was connected to this process.

The literature review provided insights into the concepts that supported the research study surrounding the conceptualization of principled leadership and included three key elements: authenticity (identity), spirituality, love (care), and the factors influencing the study that included: leading change, humanistic-type leadership theories (servant, authentic, spiritual, ethical/moral, emotionally intelligent, transformational), and the leadership challenge in higher education. To further explore leadership, this study focused particularly on those leaders who were involved in strategic decision-making for their university, impacting organizational purpose, or who had an overall responsibility for it, such as presidents, vice presidents, associate vice presidents, directors, and deans.

This study utilized a mixed methodology research approach underpinned by the pragmatic philosophical orientation or paradigm. The methods that were utilized in this study involved a questionnaire that was administered to university senior administration consisting of presidents, vice presidents, associate vice presidents, assistant vice presidents, deans, and directors, and semi-structured interviews conducted by the researcher. The mixed methodology was framed within the discovery dimension of Appreciative Inquiry. There were 27 participants involved in the survey and 33 participants completed the interview.

The results are summarized through six overarching themes and subthemes that emerged from the semi-structured interviews and statistical analysis of the quantitative data. The six themes are: 1. Understanding Self as Leader: Leadership Values; 2. Leadership Beliefs; 3. Leadership in Service of, and, Caring for Others; 4. The Challenges of Leading the Academy; 5. Leadership Influences; and, 6. Navigating Change. This study provided evidence where the leader not only incorporated elements of the authentic leadership construct but also chose to love, care, and be in the service of others in the workplace. Integrating ‘spirituality’ as part of an authentic leadership construct was not consistently or overtly evident in leadership participants’ responses, however, many acknowledged that spirit, heart, and energy were important to their leadership practice. This provided evidence that to be principled could require an awareness and integration of love through care and service however it may not necessarily be connected to the leaders’ spiritual or religious values and beliefs.

The findings indicated that presidents and their senior leadership teams, while acknowledging the intense challenges of their institutional mandates as well as in managing people, work from a place of authenticity where honesty, integrity, and trust are critical, have a high degree of respect for the people with whom they work, a profound sense of responsibility for their welfare, and an incredibly humane approach to their leadership stance with a high degree of care shown.

Based on the results of this study, The *Principled Leadership Development Model* was created to address the needs identified throughout this study for leadership training. This study will be of interest to higher education administration and academe, government agencies, education providers, professional associations, professional development providers, and leaders.

Acknowledgments

This work would never have been able to be completed if it wasn't for my incredibly loving, supportive, and nurturing husband, Brian, who always believed in me. To my children who encouraged me every step of the way, to the point of reverse parenting at times, as well as endured financial sacrifices, Caitlain, Aidan, and Alison, you are true gifts from heaven, a mother's dream, and I love you eternally. To my Dad, who gave me light and laughter, and my mom, you exemplified courage, persistence, fortitude, and living proof that you could overcome all odds; a foundation that I never really acknowledged while you were both with us, but hang onto every day since your passing. I love you all so deeply, and I am forever grateful for your belief in me.

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I also acknowledge my faith in a trusting, loving, and forgiving God, and live in hope of what is to come. This journey has been challenging and without my incredibly large circle of family and friends, and my faith, I wouldn't have been able to get through one day.

I believe one does not learn resilience.

You live it, and then integrate that experience into the whole of your being.

Dedication

This thesis is dedicated this to my husband Brian, my children, Caitlain, Aidan, and Alison, and
to my parents, Doug Kenny and Mardie Long.

I also dedicate this thesis to the thirty-three incredible leaders who agreed to participate in my study; without your support of my research I would never have been able to complete this work.

I am forever grateful for the glimpse into your vast, incredibly diverse, and complicated professional world. Your insights, wisdom, and courage have been forever imprinted upon me.

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Chapter 1 – Introduction

The purpose of the research study was to explore university leaders' understanding of leadership, beliefs and values, and approaches to their role with a view to further examine the conceptualization of principled leadership within a change management context. For the purpose of the research study, the conceptualization of principled leadership was conceived with the following definition used throughout the study: principled leadership is a leadership approach where the leader is an individual who is rooted in authentic behaviors (Avolio, Gardner, Walumbwa, Luthans, & May, 2004; Avolio & Gardner, 2005; Kreber, Klampfleitner, McCune, Bayne, & Knottenbelt, 2007; Walumba, Avolio, Gardner, Wernsing, & Peterson, 2008), free from the influence of one's ego (Wenger, 1998), and firm in the knowledge of self through identity (Bracher, 2006; Cranton, 2001; Fromm, 1969; Palmer, 1998; Tisdell, 1998, 2003; Wenger, 1998), and comes from a spiritual stance (Bolman & Deal, 2001; Hooks, 2000; Tisdell & Tolliver, 2006) that is based on love and respect (Avolio et al., 2004; Gill, 2003; Fromm, 2006; Halpin, 2009; Hooks, 2000; Sergiovanni, 1996, 2005), for others. The academic literature provided evidence that the current higher education situation in Canada poses increasing pressures to university senior leadership given the demands of globalization, increased marketization of higher education institution, decreased funding; and, decline in student numbers, to name a few (Beach, Broadway, & McInnis, 2005; Erkutlu, Chafra, & Bumin, 2011; Jones, Shanahan, & Goyan, 2002; Lawrence & Pirson, 2015; McRae, 2009; O'Neill, 2010; Paul, 2011; Rowland, 2008; Wernick, 2006). The literature also provided evidence that the elements associated with the conceptualization of principled leadership are connected to leadership effectiveness. This study demonstrated the overall degree to which the elements contained within

the conceptualization of principled leadership were identified within the leadership approaches of Nova Scotia higher education leaders.

The research participants in this study were comprised of higher education leaders in the university sector in Nova Scotia. The researcher used a mixed methodology approach for data collection (including a questionnaire and interviews) and analysis. The literature examined the conceptualization of principled leadership, leadership theories (authentic, spiritual, moral/ethical, servant, transformational, emotional intelligence), organizational change management, and the higher education context.

This chapter provided an overview of the study with specific sections detailing the following: background and context regarding the challenges facing higher education leaders; rationale for the study is articulated to provide a clear understanding of why the study was completed; the conceptual framework outlined the conceptualization of principled leadership, leadership theories (authentic, spiritual, moral/ethical, servant, transformational, emotional intelligence), organizational change management, and the higher education context; introduction to the methodology used in the study; researcher's assumptions and perspective; delimitations of the study; definition of key terms; and, provides a brief description on the organization of the dissertation.

Background and Context of the Study

This section provided the background and context of the study examining the challenges within the contemporary post-secondary educational culture; specifically, the university sector, and the associated influencing factors affecting leadership.

In describing the global challenges on leadership theory and practice, Lawrence and Pirson (2015), argued that higher education institutions “are facing unprecedented challenges posed by the recent financial crisis, increasing social inequity, the worldwide spread of terrorism, and the consequences of climate change” (p. 383). Post-secondary institutions in Canada have experienced numerous and substantial changes over the past ten years. Changes mainly due, but not limited to, the following: fluctuations in the national and international economy, demographic shifts, a declining population, advances in technology, and a decline in government funding with a resultant heavier reliance on revenue generation through research, endowments, stewardship, enrolment, and recruitment (Beach et al., 2005; Erkutlu et al., 2011; Jones et al., 2002; Lawrence & Pirson, 2015; McRae, 2009; O’Neill, 2010; Paul, 2011; Rowland, 2008; Wernick, 2006). Beach et al. (2005) also cited under-funding, student access and affordability, and the lack of faculty renewal as three problems within Canadian post-secondary institutions, specifically in the university sector (Beach et al, 2005, p. 4). O’Neill (2010) added to the discourse and put forward that these challenges in Canada may be due to a traditional form of funding where, “government funding for universities has tended to be cost-based, enrolment based, or some combination of the two” (p. 15). Whereas Smyth (2017) cited the impact of globalization and neoliberalism on the academic work and culture of universities as toxic, destructive, and degraded higher education. Larner (2000) described the term neoliberalism as a form of political economic governance based upon market relationships or principles. Apple (2000, 2006) warned of the impact of neoliberalism and the capitalistic approach to higher education and the move toward a market-based climate.

According to Nelson (2008), the current crisis in the university sector is due to a shift where there is a “market-based climate of accountability for higher education” (p. 143), that has

resulted in post-secondary institutions becoming primarily providers of a service; providing knowledge as a customer service, as well an increased accountability to stakeholders (for example, board members, alumni, students, faculty, staff, and external funders), of those institutions. Bok (2005) supported this assumption and referred to this as “the age of commercialization” (as cited in Nelson, 2008, p. 147) in higher education. This age of commercialization or referred to as the ‘current climate’ or ‘situation’ is challenging and impacts the ability of post-secondary institutions to operate effectively, to provide enriched cultures of teaching and learning as they respond to cultures of accountability to benefactors and other shareholders creating more of a business environment culture than a learning one (McRae, 2009).

Wernick (2006) heightened the awareness to the challenges of contemporary universities in weathering the storm of the 21st century and provided an in-depth historical overview of how universities have responded to changes. In describing the contemporary university as an outgrowth of the 19th century renovated university, he indicated that, “the modernized university has been modernized (renovated/invigorated?) a second time” (Wernick, 2006, p. 561). Wernick further emphasized these changes as, a “managerial revolution, indicated by the rising power of boards, university presidents as CEOs, and a corporate style modeled on the private sector” (p. 562). More specifically, Nova Scotia universities are facing challenges such as: enrolment declines due to a shrinking pool of applicants; provincial funding/formula reductions in the higher education sector; a breakdown with faculty and employee union contract negotiations; increased student demands; and, the need for transparency in the institutions senior management’s efforts to ensure accountability and, sustainability of, programs, research, and

pedagogical practice (Erkutlu et al., 2011; Kelly & Hess, 2013; Kirby, 2007; Lester, 2005; O'Neill, 2010; Windsor, 2011).

In discussing the challenges of globalized education, Webber and Scott (2008) shared that “successful leadership in any learning organization is a fragile construct and it is difficult to overemphasize the importance of collaboration among administrators and faculty members” (p. 8). All of these changes impact leaders working within higher education. The leadership challenge that many current leaders and those aspiring to leadership are experiencing may also be due to the claim that leaders are not prepared for the challenges of 21st century higher education institutions; to respond to the complexity of the institutions within which they are working; and, lack the necessary leadership skills, knowledge and attitudes needed to adjust to the current challenges facing higher education institutions (Einarson, Aasland, & Skogstad, 2007; Padilla, Hogan, & Kaiser, 2007; Schyns & Schilling, 2013; Shaw, Erickson, & Harvey, 2011). In responding to these changes and challenges as noted, leadership is an important factor to be examined along with the degree to which leaders’ enable or disable higher education institutions in order to meet the demands of the changes that higher education institutions are experiencing.

In addition to the challenges noted, it is also widely discussed that as the demographics change and baby boomers retire, there will be a significant shortage of effective leaders available to lead institutions of higher learning (McRae, 2009; Paul, 2011; Rowland, 2008; Wernick, 2006). The recent report *Now or Never: A call to action for Nova Scotians* took a broad view of leadership and its challenges facing post-secondary institutions in Nova Scotia and discussed that “real leadership and new initiative needs to come from both the private and public sectors, from key institutions in the voluntary sector, and from citizens through their community

organizations” (Ivany, d’Entremont, Christmas, Fuller, & Bragg, 2014, p. 21). The commission called for the engagement of people within Nova Scotia to develop and enable a vision that was directly linked to immediately required action. The Commission reinforced the need for new leadership in Nova Scotia to bring about change where “change in a society begins with leaders who are confident about the future, provide vision and new ideas, and demonstrate the choices and behaviours that bring better outcomes” (Ivany et al., p. 44).

Provincial and federal education departments cited education as “critical to productivity and economic growth” (Kirby, 2007, p. 5) and further suggested that, “a more educated workforce is essential to Canada’s global economic competitiveness” (p. 5). As noted by O’Neill (2010):

The labour market in Canada is going to require a substantial increase in the number of university-educated individuals over the next ten to fifteen years to satisfy the demands of a growing economy and to replace the retiring baby boomers. (p. 10)

This will require investment in leadership as further noted by Kennedy, Saulnier, Sawler, and MacMillan (2011), who indicated that in times of educational crisis, governments should “seek to improve its fiscal situation with a focus on ways to invest in a sector with high economic and social returns, to enhance productivity and increase government revenue” (p. 11). Investment in developing new leaders is needed to help circumvent this educational crisis. In discussing the need to preserve the public service orientation of Canadian post-secondary environment, Kirby (2007) warned, “it will be necessary to ensure that the delicate balance between the dual objectives of academic-humanism and economic-utilitarianism is maintained” (p. 18). As those

of us working in post-secondary institutions understand, the primary purpose of educational administration is in the building of human and social capacity to lead responsible, and constructive educational initiatives (Webber & Scott, 2008, p. 4). This insight provided an integral reminder to post-secondary leaders of their primary role to successfully engage internal and external stakeholders for the purpose of economic knowledge transfer. In Nova Scotia the commission warned, “Being respectful of each other, expressing trust in our institutions and in our fellow leaders in different fields, and avoiding parochial and unduly partisan considerations, are crucial starting points” (Ivany et al., 2014, p. 44). The commission called for leadership where “we will have learned to manage change through trust, collaboration, and authentic engagement” (p. 44). There is indeed evidence to support that a new leadership approach will help to guide higher education through the 21st century.

More than ever, institutions of higher learning need effective leadership (Erkutlu et al., 2011; Ivany et al., 2014; McRae, 2009; Paul, 2011; Rowland, 2008; Wernick, 2006). Erkutlu et al. (2011) indicated that, “universities are under pressure to improve their performance, to anticipate change, and develop new structures” (p. 198). Despite this, Erkutlu et al. pointed out that there are not enough studies on the influence of leadership behaviours and job stress in universities. The contextual changes and challenges previously mentioned signal the need for new approaches to leadership. The criticality exists in how Canadian post-secondary institutions’ leaders are positioned to respond to these challenges and develop individuals with the skillset, knowledge, and attitudes necessary to positively and proactively respond to 21st century challenges within the university sector.

Research Purpose

The purpose of the research was to explore the conceptualization of principled leadership, as a leadership construct. It was the researcher's intention to discover whether current higher education leaders integrated elements of the conceptualization of principled leadership, that is, authenticity (identity), spirituality, and love (care), and whether these attributes assisted them in facilitating the requisite changes they needed to institute in order to meet the challenges inherent in 21st century higher education institutions. This involved a discovery of the attributes/characteristics of effective leaders and what it was that helped them to positively impact their working cultures and the attitudes and behaviors of those they led. To do this, I examined leadership from the perspective of change: whether principled leadership influences a leader's ability to impact others; where she/he is significantly able to lead others through a change; and, what it was that enabled this to happen successfully. The key factor was in the analysis of leaders' responses to identify their underlying values and beliefs about effective leadership.

Research Question

The following question(s) guided the research approach, literature review, and informed the choice of research participants. The purpose of the study was to explore university leaders': understanding of leadership, beliefs and values, and approaches to their role as a leader with a view to further explore principled leadership. As change is ubiquitous in universities, it was important to incorporate a dimension of change into the research question. This served to create an opportunity for discovery into leadership attributes that impacted the leader's ability to successfully navigate change, and to further understand those values, beliefs, and attitudes that influenced their leadership approach.

For the purpose of the study, two research groups were created. The primary research subject group was comprised of university presidents, vice presidents, and associate vice presidents. The secondary research subject group was comprised of assistant vice presidents, deans, and directors.

Overarching Research Question

In exploring the viability of principled leadership that demonstrates an ethic of care as a university leadership theory, what is the relationship between leaders' knowledge and attitudes about leadership, underpinning beliefs and values, and their approaches within the context of a change process?

Secondary Questions:

- 1) What are senior university leaders' conceptualizations of effective leadership?
 - a) What factors have influenced and informed these conceptualizations?
 - b) What and who has influenced their interactions (direct and indirect) with their staff?
Why and how?
 - c) What and who has influenced their administrative and managerial approaches? Why and how?
- 2) What affective dimensions of leadership are important in influencing change and culture?

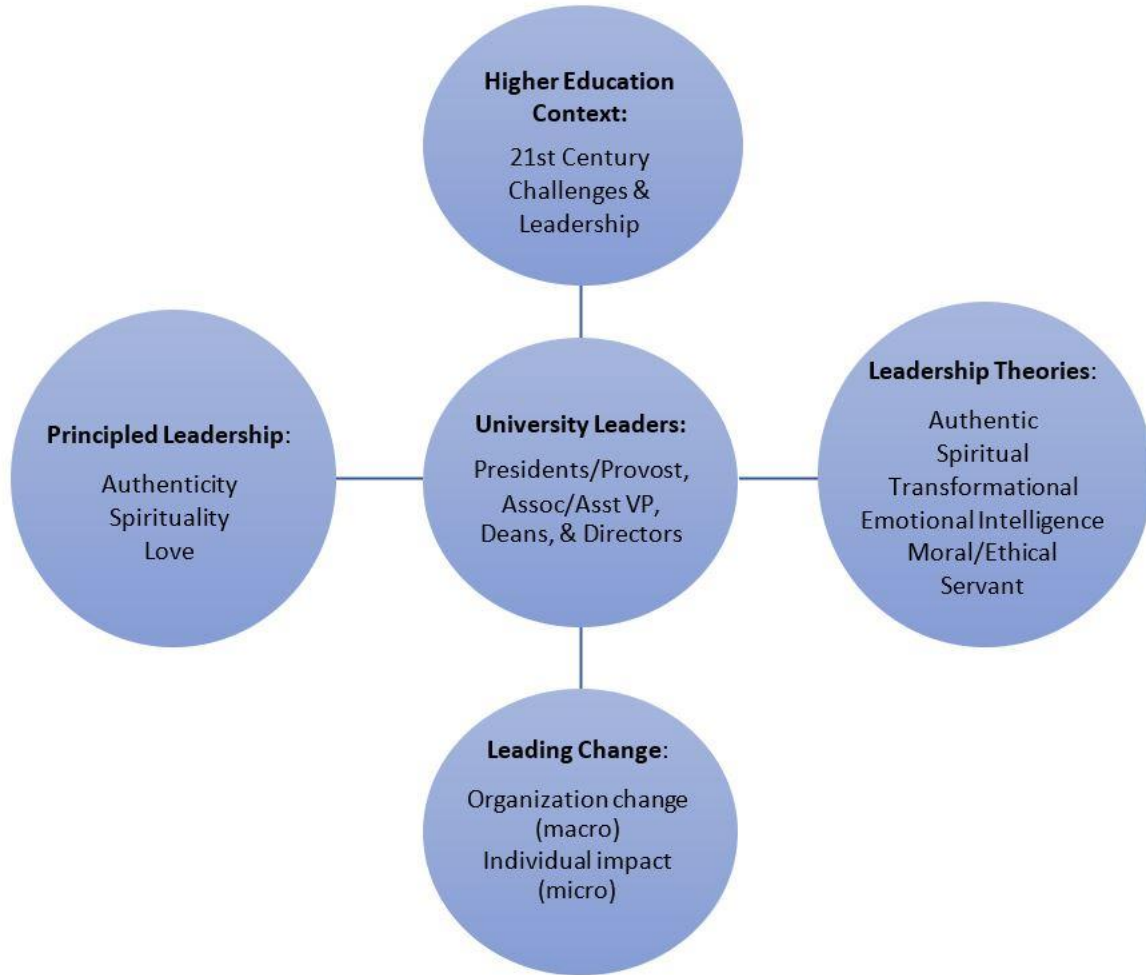
The Conceptual Framework

The conceptual framework provided a visual map linking the theoretical insights and literature supporting this research study ensuring that there was a clear and explicit connection between the theory, research findings, and overall purpose of the study (Leshem & Trafford, 2012). This particularly worked to create a scaffold within which strategies for the research

design, including mixed methods was integrated into the study (Leshem & Trafford, 2012, p. 99). Scaffolding ensured that: the proposed theories connected to the research; contributed to the study; identified gaps in the literature; and, helped to further interpret the results to explore the various aspects of the study investigated (Leshem & Trafford, 2012). The research methodology pathway was directly influenced by the conceptual framework and provided a flow of inquiry in response to the theories that emerged.

The conceptual framework was based on four components: first, the higher education context and the challenges of leading 21st century higher education institutions; second, leadership theories (humanistic-type leadership examining servant, authentic, spiritual, ethical/moral, emotionally intelligent, transformational); third, leading change; and, the fourth, the conceptualization of principled leadership which was proposed to encompass authenticity, spirituality, and love. Figure 1.1 provides a graphical representation of the conceptual framework of the thesis.

Figure 1.1. Conceptual Framework



The first component, the higher education context and the ‘challenges of leading 21st century higher education institutions’, provided a basis for understanding the need to further explore leadership as part of the study. The leadership theories presented in the second component of the conceptual framework were connected to humanistic-type leadership approaches and have been compared and contrasted as relevant to the study. For the purpose of the study, humanistic-type leadership was defined as, a ‘humanistic leadership style’ that is strategic, compassionate, ethical, and considers the strengths, weaknesses, and emotions of others (Parameswar & Prasad, 2017, p. 48). Leading change, the third component, was integrated

into the study as it provided the context for which the leadership participants could reflect upon their past experiences and present responses to the research questions. The impact of change on both the macro and micro environment was explored; macro referring to the impact of leadership on organizational (systemic) change, and the micro-level given the impact of a leaders' approach on the individuals directly responsible for, or impacted by, change. The conceptualization of principled leadership devised as part of this study as a humanistic-type leadership approach was proposed to encompass three elements: authenticity (identity), love (care), and spirituality.

The research sample was at the center of the conceptual framework as research participants and immediate stakeholders regarding the study. As participants, their insights helped to further investigate the conceptualization of principled leadership, and as stakeholders, they may be able to benefit from the results of the study.

For the purposes of this research the following definition of principled leadership was deemed useful to investigate the associated characteristics and behaviours to explore their importance in effective leadership and their influence on change agency of leaders: Principled leadership is a leadership approach where the leader is an individual who is rooted in authentic behaviors (Avolio et al., 2004; Avolio & Gardiner, 2005; Kreber et al., 2007), free from the influence of one's ego (Wenger, 1998), and firm in the knowledge of self through identity (Bracher, 2006; Cranton, 2001; Fromm, 1969; Palmer, 1998; Tisdell, 1998, 2003; Wenger, 1998), and comes from a spiritual stance (Bolman & Deal, 2001; Hooks, 2000; Tisdell & Tolliver, 2006) that is based on love and respect (Avolio et al., 2004; Gill, 2003; Fromm, 2006; Halpin, 2009; Hooks, 2000; Sergiovanni, 1996, 2005), for others.

Principled leadership within the context of the literature review is at the core of the conceptual framework. For the purpose of explaining my conceptualization of principled leadership in this study, the core elements were: authenticity (identity as an integral component), love (care), and spirituality. In addition to this, the conceptual framework encompassed the factors impacting principled leadership, which for the purpose of this study were: humanistic leadership theories (servant, authentic, spiritual, ethical/moral, emotionally intelligent, transformational), and organizational change and change management.

The core elements of my conceptualization of principled leadership are connected. Authenticity requires the knowledge of self and identity, of ego. To be engaged toward an authentic paradigm requires a loss of ego, leaving one's ego at the door and focusing on the 'other'. Spirituality is connected to authenticity and identity as a core attribute of becoming connected to something more, outside of oneself and to lead from the soul and heart. Love provides the foundation as the impetus for change within, to choose to act, to make a difference, to desire good for others. In simpler terms, authenticity and identity go hand in hand. Spirituality is connected to one's identity, and love is a choice to act. A principled leader chooses to behave/interact/communicate from this stance; it is a choice. A principled leader chooses to lead his/her people rooted in authentic, loving and caring, spiritual behaviors. Humanistic leadership theories provided a comparative analysis to the conceptualization of principled leadership, and through this, indicated where gaps existed in the literature about characteristics or combination of characteristics that influence effective change agency and leadership. Each of the concepts found within the conceptual framework were selected for alignment with those elements identified in the conceptual framework and are explained in the Literature Review found in Chapter 2.

Methodology

This research used a mixed methods study that explored approaches of Nova Scotia higher education leaders. Nova Scotia university presidents and their senior leadership teams (vice presidents/provosts, associate vice presidents/provosts, assistant vice presidents/provosts, deans and directors) participated in this study. In the first phase of the research, leaders participated in an online questionnaire to provide quantitative data regarding leadership attributes, approaches, and insights. In the second phase, the leadership participants consisting of thirty-three participants participated in an interview to obtain qualitative data regarding their leadership experience while leading a change phenomenon.

Researcher Assumptions

Higher education institutions are on the verge of a very important threshold that will define what they continue to become in the 21st century. Leadership development is important for organizations and can promote positive leadership during this challenging time. Nova Scotia higher education institutions provide a rich landscape for which to study leadership. Their collective diverse histories and leadership teams, faculty, and student demographics provide an appropriate landscape for this study. The research was located within the following areas: leadership theory, organizational change theory, authenticity, identity, love, and spirituality.

As an educator, administrator, doctoral scholar, and leader, it is important to understand critical theory from a positive stance, as one journeys toward becoming a principled leader through professional practice. Critical theory helps us to understand “not just how the world is but also how it might be changed for the better” (Brookfield, 2005, p. 7). Brookfield (2005) points toward integrating theories where, the consideration of its understandings will prompt social and political change ... to explain a social order in such a way that it becomes itself the

catalyst which leads to the transformation of this social order” (p. 7). It was important as part of the process to understand critical theory as a means of understanding the systems that support hegemonic undercurrents relating to power and influence within higher education so as to create the means to “emancipate” oneself as means of helping others (Freire, 2005, 2007).

Understanding critical theory helped me to respond to the question posed by Fromm (2006), “how can one act within the existing framework of existing society and at the same time practice with love” (p. 120).

Researcher Perspective

I began the journey of researching love as a leadership strategy as part of my own desire to become a better leader within my own department and institution. In my professional practice, personal life, and on a daily basis, I attempt to integrate a leadership stance based on genuine love and caring into my overall approach. It is important to note my critical lens and how I locate myself in the research as well as the centrality of spirituality in my life as an individual, woman, mother, and educator. Most recently, I was a Director within a visual arts university and have worked in post-secondary institutions for the past twenty-seven years. I consider myself to be a feminist, a humanistic educator, learner, woman, wife, daughter, sister, aunt, and mom, but most importantly, I consider myself to be the child of a caring and loving God. As such, I have found that I am naturally drawn to theorists such as Freire, Palmer, and Hooks who discuss love and identity from a spiritual perspective. Given this, it will be important to determine where is it appropriate to position myself so as to positively contribute to the data collection and the overall research theory. Noting my lens as a researcher again will be critical to avoid any preconceived notions of research subject’s position or individual success that may impede the personal internalization of theory regarding the research participants. Taking note of what Paul (2009)

further stated, “A university if first defined by academic freedom, the concept fundamental to the search for truth, unfettered by political, religious, or other non-rational interference in the free pursuit of knowledge” (p. 50) will be critical.

I also consider myself to be a humanized individual and cannot become a dispassionate researcher. As such I needed to be cognizant of the need for the collection of objective data. Throughout the entire research process, I maintained an objective inquiry stance so as to ensure I could quantify the information gleaned for the purposes of informing the inquiry. It was important to identify subjective feelings, ideologies, experiences, and expectations at the forefront for the purpose of ensuring the avoidance of my own bias. Integrating Appreciative Inquiry methodology (Cooperrider, 1996 a&b) also helped maintain objectivity through building trust and relationship with the research participant group; with a heightened awareness of the balance between researcher/research participant relationship and to avoid crossing this line (Creswell, 2007, 2008).

Rationale and Significance of the Research

The research will be of interest to senior leadership practitioners, educators, administrators, professional leadership associations, human resource departments, and students working within the post-secondary context; in this case it helped the researcher develop a new leadership model for leadership practice. The overarching goal was to determine whether the interconnection of love and caring, spirituality, and authentic leadership was a significant factor of leadership approaches in post-secondary institutions, particularly within the frame of a change event or process. It also sought to discover, through the research participants based in Nova Scotia, whether there existed informal principled leadership practices such as authentic, servant,

or spiritual leadership paradigms. The information contained within this study could inform professional leadership practice of the following stakeholder groups:

- A new leadership approach could inform and impact business positively. Business leaders could integrate principled leadership into their daily leadership practice.
- Leadership pedagogy could be impacted through the influence of a new leadership theory/approach providing an opportunity for teaching practice to integrate new curriculum, theory, and inform professional practice overall.
- Faculty teaching leadership could benefit from a new leadership theory and professional practice providing positive pedagogical implications. This could also provide an opportunity to discuss leadership theory from an educational, humanistic, and sociological approach in higher education.
- Professional Development/Continuing Education departments could provide new leadership professional development training opportunities integrating principled leadership that could then be transferred into new professional development and learning opportunities for working teams.
- Higher Education Human Resource Departments and their training team(s) could benefit from a new leadership professional development training opportunity. The principled leadership theory and training model could then be used for new professional development and learning opportunities for working teams.
- Students studying leadership may benefit from the study and the integration of principled leadership theory (see chapter 6) and the training model. This could provide new learning opportunities for students studying leadership theory.

- Professional leadership associations could benefit from the knowledge created from this study in terms of leadership practice and the potential positive implications of principled leadership enhancing leadership competence.

Delimitations

Delimitations were cited for the purpose of recognizing the self-imposed limitations set by the researcher. Delimitations usually point to sampling and the unit of analysis being used in the research study (Perry, 1998). In this study, research participants were limited to the higher education institutions located within Nova Scotia, Canada; and only universities not community colleges were included in this study. Nova Scotia currently has ten degree granting institutions across the province, six of which are located within Halifax, the capital city.

In this study the research participants were delimited to senior level leaders of higher education institutions. Chairs, Associate/Assistant Directors, or Associate/Assistant Deans were not included as the primary research participants as there were too many to choose from and it was felt that they were not always in a position to participate. Therefore, the primary research subject pool consisted of university presidents, vice presidents, and associate vice presidents, and the secondary research subject pool consisted of deans and directors.

Organization of the Dissertation

Following this Chapter, the dissertation offers an extensive review of the literature in Chapter 2 that included: the challenges of higher education context; the conceptualization of principled leadership; leadership theories as related to a humanistic-type leadership: and, change theory. Chapter 3 provided the research design of mixed methods and the procedures used to collect data for this study. Linkages between the overall research design, purpose, and choice of

data collection are provided in this chapter. Chapter 4 provided the results of the study yielded from data analysis to provide six themes. The six themes are: 1.) Understanding Self as Leader: Leadership Values; 2.) Leadership Beliefs; 3.) Leadership in Service of, and, Caring for Others; 4.) The Challenges of Leading the Academy; 5.) Leadership Influences; and, 6.) Navigating Change. Chapter 5 provided a detailed discussion of the results of the study that included: implications of the literature comparing the results of the study to the theoretical concepts explored throughout the literature review; a comparison of leadership approach attributes that emerged from the data to the leadership approaches presented in the literature review; implications for leadership; and, and emergent themes for further exploration. Finally, Chapter 6 offers the implications of the research and proposed Principled Leadership as a new leadership theory and model for development.

Definition of Key Terms

Authenticity: The more people remain true to their core values, identities, preferences, and emotions, the more authentic they become (Avolio et al., 2004, p. 802).

Authentic Leader: An authentic leader is one who acts “in accordance with deep personal values and convictions, to build credibility and win the respect and trust of followers by encouraging diverse viewpoints (genuine communication) and building networks of collaborative relationships with followers, (relational) and thereby lead in a manner that followers recognize as authentic” (Avolio et al., 2004, p. 806). Authenticity in leadership requires a genuine internally rooted desire to believe in, and care for others. This comes from a deep knowledge of self, identity, and personal values, which aligns, well with Avolio and his associate’s explanations of authenticity. It involves the ability

to desire authenticity in others that results in a leadership approach to bring out the best in all of the people we work with and for; inspiration for everything that we do.

Caring: Caring as a moral judgment and moral reasoning, the one who is caring for another as means of enabling the other to grow and actualize (Mayeroff, 1971; Noddings, 2013).

Identity: Identity is a sense of self that is connected beyond oneself: the desire to respond morally and ethically out of a selfless connection to others, the community, culture and the world (Bracher, 2006; Cranton, 2001; Fromm, 1969; Lord & Brown, 2004; Palmer, 1998; Tisdell, 1998, 2003; Kippenberg, Kippenberg, De Cremer, & Hogg, 2005).

Integrity: Integrity is commitment in action to a morally justifiable set of principles and values (Becker, 1998, p. 157).

Love: Fromm (2006) indicated that, “genuine love is an expression of productiveness ... an active striving for the growth and happiness of the loved person, rooted in one’s own capacity to love” (p. 55). To love becomes a choice to act out of free will for the good of another. With true humility at its core, this act of love by the leader creates an environment built on the respect, dignity, and value of each individual (Freire, 1994; Halpin, 2009; Fromm, 2006).

Leadership: Leaders ignite change; in that leadership produces useful change (Kotter, 1990, 1999, 2002, 2005) and “leadership is essentially concerned with bringing about transformational change” (Burnes & Todnem, 2011, p. 241).

Humanistic-type leadership: a ‘humanistic leadership style’ that is strategic, compassionate, ethical, and considers the strengths, weaknesses, and emotions of others (Parameswar & Prasad, 2017, p. 48).

Principled leadership: The leader is an individual who is rooted in authentic behaviors (Avolio, et al., 2004; Avolio & Gardiner, 2005; Kreber et al., 2007; Walumba et al., 2008), free from the influence of one's ego (Wenger, 1998) and firm in the knowledge of self through identity (Bracher, 2006; Cranton, 2001; Fromm, 1969; Palmer, 1998; Tisdell, 1998, 2003; Wenger, 1998), and comes from a spiritual stance (Bolman & Deal, 2001 Hooks, 2000; Tisdell & Tolliver, 2006) that is based on love and respect for others (Avolio et al., 2004; Gill, 2003; Fromm, 2006; Halpin, 2009; Hooks, 2000; Sergiovanni, 1996, 2005),.

Spirituality: comes from the Latin, *spiritus*, meaning 'breath of life', is a way of being and experiencing that comes about through awareness of a transcendent dimension and that is characterized by certain identifiable values in regard to self, others, nature, life, and whatever one considers to be the Ultimate (Elkins, Hedstrom, Hughes, Leaf, & Sanders, 1988, p. 10).

Spiritual Leader: Bolman and Deal (2001) ascribe spiritual leaders as those who seek to find ultimate meaning and purpose; to live a fully integrated life, to live as a whole person, in touch with their spirit, and in touch with their heart.

Transformative leadership: A transformative leader has the following characteristics: charismatic; enthusiastic; passionate; visionary; energetic; inspirational; encouragement of ethical and moral behaviours in others; engenders trust; admiration; loyalty; and, respect (Avolio & Bass, 2002; Bass & Avolio, 1990; Bryman, 2007; Burnes & Todnem, 2012; Burns, 1978; Eisenback, Watson, & Pilai, 1999; Gill, 2003; Dent, Higgins, & Wharff, 2005; Miller, 2006).

Emotionally intelligent leader: The emotionally intelligent leader is one whom Gill (2003) proposes has well-developed emotional intelligence – “the ability to understand oneself and other people, display self-control and self-confidence, and to respond to others in appropriate ways” (p. 311).

Moral/ethical leader: The moral/ethical leader is described as a leader who: displays commitment to right action; has strong values and morals; has virtue; leads from the heart; is in touch with their spirit; giving; honest; fair; understands social responsibility; is motivated to act morally, has integrity, and, leads with the head (Ah-Kion & Bhowon, 2017; Bolman & Deal, 2001; Burnes & Todnem, 2012; Levine & Boaks, 2014; Salter, Harris, & McCormack, 2014; Sergiovanni 1996, 2005).

Self-efficacy: beliefs about one’s ability to organize and execute courses of action necessary for attainment of goal (Kippenberg, Kippenberg, De Cremer, & Hogg, 2005).

Chapter 2 – Literature Review

This chapter reviews the factors connected to the exploration of principled leadership in higher education. Additionally, the key themes of the higher education and leadership context, humanistic-type leadership theories, and leading change as connected to the research sample consisting of presidents/provosts, vice presidents/provosts, associate vice presidents/provosts, deans and directors was also explored. The literature review provided insights into the concepts that supported the research study surrounding the conceptualization of principled leadership that includes three key elements: authenticity (identity), spirituality, love (care), and the factors influencing the study that included: leading change, humanistic-type leadership theories (servant, authentic, spiritual, ethical/moral, emotionally intelligent, transformational), and the leadership challenges in higher education.

To further explore leadership, this study focused particularly on those leaders who are involved in strategic decision-making for their university, impacting organizational purpose, or who have an overall responsibility for it, such as presidents, vice presidents, associate vice presidents, directors, and deans (Phipps, 2012, p. 181). For the purpose of the study and to provide context for the literature review, organizational culture is defined as:

The unique, social and psychological environment that prevails in an organization. It is the collective beliefs, values, and principles followed by a community and evolved through history, market, technology, and product from the company ... influenced greatly by the leadership or management style of the top management of the organization. (Parameswar & Prasad, 2017, p. 48)

The chapter provided insights into the literature and definitions supporting the conceptualization of principled leadership and begins with a review of 21st century leadership challenges, traditional forms of leadership, the current leadership challenge, the elements contained within the conceptualization of principled leadership that includes, authenticity (identity), love (care), and spirituality, humanistic-type leadership approaches (authentic, spiritual, servant, moral/ethical, transformative, emotional intelligence), change management, and leading change.

21st Century Leadership

In looking to the overall institutional challenges cited in the introductory chapter of the study, the literature review continued to examine leadership challenges highlighting the need for a new leadership approach to guide and support higher education in the 21st century. This section of the literature review begins with a review of the current leadership challenge, provides a brief introduction into traditional forms of leadership including transactional leadership, with an overview of constructive and destructive leadership approaches, along with recommendations for leadership approaches in responding to the challenges of 21st century higher education organizations.

Current Leadership Challenge

As part of discerning how to move forward given the current higher education climate, Lester (2005) visited the question of innovation and the competitive nature of local economies and posed a timely question: “how can universities, already financially stressed, accommodate the new mission of economic development without undermining the traditional commitment to education and research?” (p. 9). What currently exists within post-secondary institutions that can support the challenges being faced? How do we work to ensure that the quality, credibility, and

accessibility of education are maintained? Harloe and Perry (2005) posited that universities were at the very heart of the knowledge economy; one where creating was based on knowledge increasing productivity (Harloe & Perry, p. 30). Navigating this knowledge and pulling from the right sources can help to guide a sustainable future. As noted by Hall (2009):

In communities where institutions of higher education exist, the collective resources of these universities and colleges, (students, academic staff, facilities, research funding, knowledge, skills, and capacities to facilitate learning) represent our largest accessible, available, and underutilized resource for community change and sustainability. (p. 13)

The structure to support this current challenge is there, what is needed is a new leadership approach to help transition and provide a solid foundation for the future; to help move away from Wernick's (2006) modernized (commercialized) university (Fry, 2003; Kennedy, Saulnier, Sawler, & MacMillan, 2011; Lawrence & Pirson, 2015; Paul, 2011; Parameswar & Prasad, 2017; Wolverton, Ackerman, & Holt, 2005). In 2011, Paul (2011) suggested that one way is for universities to move away from the traditional transactional leader found in contemporary universities. He described transactional leadership as one that "involves the exchange of favours between leaders and followers, and this is the predominant mode of most organizations" (p. 65). Lawrence and Pirson (2015) warned that, "humans are materialistic utility maximizers that value individual benefit over group and societal benefit (p. 383). In explaining this, Lawrence and Pirson further described humans as 'homo economicus' a human who "engages with others only in a transactional manner ... this leadership focuses on gains in monetary wealth or power, with less consideration for social consequences, environmental damage, or suitability for future generations" (p. 384).

In discussing ‘quality’ as a challenge in a learning organization in higher education, Lomas (2004) indicated that universities have two main functions, teaching and research (p. 160). In describing these two main functions, Lomas further articulated the difference between managing for quality and the management of quality likening the former to a leader who manages like an army general and the latter to the leadership style of a conductor of an orchestra (p. 162). Lomas further suggested that higher education institutions need to move away from the army-style leadership approach of ‘command and control’, to that of, ‘inform and involve’ whereby working to engage the hearts and minds of those one leads (p. 162).

Lomas (2004) discussed the need to move away from traditional forms of leadership suggesting the need for transformational leadership in embedding quality in higher education, rather than just the usual, “transactional managers” (p. 162). The question he asked, was whether or not this alone could support contemporary higher education environments? In explaining the leadership challenge of academic chairs, Wolverton, Ackerman, and Holt (2007) described the diverse role and demands associated with academic chairs and indicated that they require broadened leadership skills (p. 228). Working within contemporary university environments, academic chairs are generally promoted to leadership positions with little to no leadership experience and are often called upon to move beyond traditional management approaches to those expected of effective leaders (Wolverton et al., 2007). They put forward the need for academic leaders to receive leadership training, that there is a need for, “academic leaders to gain an understanding of the unique roles and responsibilities encompassed in academic leadership and the institutional context within which they will be carried out” (p. 228).

Paul (2011) suggested the need for universities to move toward moral leadership, wherein “moral leadership emerges from, and always returns to, the fundamental wants and needs,

aspirations, and values of the followers” (p. 65). Fry (2003) further supported the need for strategic leadership, adding “strategic leaders actually increase the total amount of power in the organization, thereby freeing people from leadership through fear, coercion, and over control. This allows them to utilize their talents and abilities in ways that were previously shackled” (Fry, 2003, p. 720). Change in higher education and leadership needs to happen. The question is who will lead the change? In discussing the need for leadership and linking this to change within Nova Scotia, it was noted:

The key lesson here is that communities, businesses and other local interest groups will respond to the challenge of change and development in situations where there is strong leadership, a clear vision and effective planning that links collaborative actions to larger goals for mutual benefit. (Nova Scotia Commission on Building Our New Economy, 2014, p. 42)

Martin, Smith, and Phillips (2005) discussed the need for such a change, “major institutional change initiatives are designed to bring about internal organizational change ... to promote more university-community engagement while exhibiting creativity, build knowledge and improve partnerships” (p. 8). What is needed is a leadership approach that can provide a solution where the goal should be on “protecting further erosion of education quality and access should be the primary goals of any changes to these systems” (Kennedy et al., 2011, p. 10). This new leadership approach could help to ensure that: Canadian post-secondary institutions move into a future where the quality of a Canadian university is maintained and accessible for all to experience, the pillars of the future of education administration; where the organizational culture is positively impacted through a leadership approach that supports the development of its leaders and those they serve without destroying the people who make up the organizational culture; and,

integrates the elements of a sustained leadership approach such as the conceptualization of principled leadership (authenticity, love, and spirituality).

As discussed in Chapter 1 and in this section, there is a need for new leadership in the 21st century higher education which lead to the following questions, what are the core constructs of leaders who have the ability to lead through difficult times and impact positive organizational change? How do we gauge their success within academic institutions? How are leaders formed? Is it “theoretical rigour contrasted with practical application?” (Higgs, 2002, p. 197). Are we “operationalizing the construct?” (Higgs, 2002, p. 197), within academe or does it rely on just plain good luck?

Neoliberalism

What is neoliberalism and how is it contextually impacting higher education? Although it was not the scope of this chapter to explore neoliberalism in depth, given the influence of globalization, neoliberalism, and the heightened economic nature associated with the administration of higher education institutions, on higher education, a brief overview was included.

The concept of neoliberalism can be tracked back to the Austrian economist, Frederick Hayek, however, Larner (2000) specified that neoliberalism is a complex concept that involves the privatization of government services and utilities where, “what is private is necessarily good and what is public is necessarily bad. Where Spring (2008), described neoliberalism as an “ideology designed to ensure that privileged nations and people retain their wealth and power in a globalized economy” (p. 344). In describing the impact of neoliberalism on higher education, Apple (2000) associated neoliberalism with public institutions that have become, “‘black holes’

into which money is poured – and then seemingly disappears – but which do not provide anywhere near adequate results” (p. 59). Dudar, Scott, and Scott (2017) claimed that neoliberalism’s emphasis on economic principles, consumer choice, and privatization revolves around wealth creation and capitalism under the guise of democracy (p. 23). Dudar, Scott, and Scott (2017) further added:

Neoliberalism notions of choice with the underlying view that consumers will vote with their feet and those institutions that are not competitive and high performing will not thrive in the competitive marketplace. Within education this concept has resulted in the deregulation of student enrolment wherein parents have greater choice to move their student to a ‘better’ school that has more desirable programs. While this appears to be totally reasonable and an expression of democracy, it can have the result of establishing consumerism within education (p. 22).

Higher education institutions notions of “bums in seats” provided a dramatic but realistic example of the terms used and the impact of neoliberalism. This aligned with concerns associated with globalization and the impact of economic competition, where benchmarks for comparison are essential in order to measure systems’ status (Winter, 2012). Given the neoliberalism context in higher education, students are further conceptualized as ‘clients’, parents are considered “consumers” and universities are designed to produce a product or a marketable commodity that supports a nation rather than successful well-rounded graduates (Apple, 2006, p. 23). Dudar, Scott, and Scott (2017) also warned, “for many educators these notions are foreign and unacceptable as it reduces the student to a commodity rather than a person, schooling to a factory, and actively ignores conceptualizations of social justice” (p. 23).

Apple (2000, 2006) warned of the impact of neoliberalism that could result in a capitalistic approach to higher education, where universities with higher enrolments receive more funding and those with lower enrollments receive less funding. In lower socioeconomic areas such as Nova Scotia higher education institutions with lower enrollments possibly receive less funding, resulting in fewer programmes, thus perpetuating the social divide across Canadian institutions. In describing educational leadership and caring in responding to the neoliberal culture of education, Noddings (2006), pointed out that “state sponsored schools must serve the interests of the state; they must produce competent workers and citizens. However, they must also develop the individual talents and interests of their students (Noddings, 2006, p. 340). Neoliberalism was relevant to the study and review of 21st century leadership and higher education as it provided a context within which current leadership challenges could be further understood and the interrelatedness of neoliberalism to the marketization of higher education (Rowland, 2008).

Traditional Leadership

The literature search on historical leadership theory, definitions, and approaches is vast. Traditional leadership styles with their inherent weakness, strengths, and limitations include but are not limited to, autocratic, bureaucratic, dictatorial authoritarian, participative, facilitative, transformational, transactional, and servant. There was a switch in the literature to move away from traditional leadership, as noted by Parameswar and Prasad (2017) who indicated that traditional transactional forms of leadership “are no longer celebrated as the best forms of leadership in organizations” (p. 47). Parameswar and Prasad argued, “great leaders are expected to move out of their comfort zone, be more transparent to the situations and have a macro as well as a micro view on the problems and challenges that they face” (p. 47).

A need to understand the challenges faced by higher education institutions provided a foundation for examining leadership. In addition to the challenges noted, higher education institutions are also impacted by effective or ineffective, even destructive leadership responsible for leading the Academy (Einarson, Aasland, & Skogstad, 2007; Padilla, Hogan, & Kaiser, 2007; Schyns & Schilling, 2013; Shaw, Erickson, & Harvey, 2011). Einarson, Aasland, and Skogstad (2007), noted that much of the literature focused on effective leadership rather than providing insights into why leaders behave badly. In describing the effective and ineffective leaders, Schyns and Schilling (2013) suggested that there are destructive leaders and constructive leaders (Einarson et al., 2007; Padilla et al., 2007; Schyns & Schilling, 2013; Shaw et al., 2011), those who can impact the organization positively, but individuals negatively, and vice versa. Destructive leadership is described by Einarson et al. (2007) as “the systematic and repeated behaviour by a leader, supervisor or manager that violates the legitimate interest of the organisation by undermining and/or sabotaging the organisation's goals, tasks, resources, and effectiveness and/or the motivation, well-being or job satisfaction of subordinates” (p. 208). Where constructive leadership is explained as those “leaders who behave constructively both towards subordinates and the organization ... these leaders are concerned with the welfare of their subordinates” (p. 214).

In further emphasizing this point through discussing destructive versus constructive forms of leadership, Einarson et al. (2007) provided insights into the following leadership behaviours in their conceptual model of leadership behaviour: tyrannical, derailed, supportive-disloyal, and constructive. Tyrannical leaders are described as leaders who are constructive in nature but ultimately obtain organizational results at the cost of others and exhibit the following tyrannical behaviours “undermine the motivation, well-being or job satisfaction of subordinates,

without necessarily being clearly destructive as regards to the organisation's goals" (p. 212). A derailed leader is destructive towards both subordinates and the organization (p. 213). De-railed leadership behaviours are described as, "may display anti-subordinate behaviours like bullying, humiliation, manipulation, deception or harassment, while simultaneously performing anti-organisational behaviours like absenteeism, shirking, fraud, or theft" (p. 212). Supportive-disloyal leaders show consideration for the welfare of subordinates while violating the legitimate interest of the organisation by undermining task and goal attainment (p. 213). The intention may not be to hurt the organization, the leader "may be acting upon a different "vision" or strategy in support of other values and goals than that of the organisation, even believing that he or she acts with the organisation's best interest at heart" (p. 214).

In explaining these behaviours it was noted that bad leaders may still produce positive results, where Einarson et al. (2007) claimed that "a leader who bullies and harasses subordinates may still act in accordance with the goals of the organization, securing a strong focus on task completion and effectiveness" (p. 211). A claim could be made that there are hegemonic forces that may also impact leadership and whether or not a leader is actually leading whereby, "proponents of this view argue that a person who uses authority and control over rewards, punishments, and information to manipulate or coerce followers is not really 'leading' them" (Schyns & Schilling, 2013, p. 138). The role of leadership given the propensity for these behaviours is important to this study; understanding the relationship between a leader's influence and those they lead even more.

21st Century Leadership

This section presents the need for a new 21st century university leadership approach that supports moving forward to create and foster healthy organizational cultures within higher education.

There is a need for innovation, collaboration, and transformation in higher education and this can be felt across geographical and industry sector boundaries. Recent research from the Center for Creative Leadership (Petrie, 2014) described the current higher education environment as ‘Volatile, Uncertain, Complex, and Ambiguous’ (VUCA), and that “a future made up of complex, chaotic environments is less suited to the problem solving of lone, decisive authority figures than it is to the distributed efforts of smart, flexible leadership networks” (p. 7). Thus, the leader of the contemporary university needs to change, to adapt to meet the needs of 21st century higher education sector (Einarson et al., 2007; Shaw, Erickson, & Harvey, 2011; Padilla et al., 2007; Schyns & Schilling, 2013). In discerning these changes and providing insights as to how to meet the needs of a new vision for leadership, Rowland (2008) cautioned that the changing landscape in academe serves to perpetuate what he described as the marketization of higher education:

If academic inquiry were to be built upon such a unifying conception, collegial relationships would be radically transformed. Trust, openness, collaborative debate and a commitment to knowledge would contrast with the suspicion, self-interest and individualistic competition that are promoted by the marketization of higher education. (p. 358)

Rowland discussed that this has resulted in a fragmentation within post-secondary institutions and a displacement of “the motivation of intellectual love and truth-seeking” (p. 357). In addition, highly publicized scandals involving institutional leaders, lack of institutional confidence, and destructive cultures (Einarson et al., 2007; Padilla et al., 2007; Schyns & Schilling, 2013; Shaw et al., 2011) have provided evidence of the need for leaders to operate at a higher level of authenticity and integrity (Ah-Kion & Bhowon, 2017; Einarsen et al., 2007; Padilla et al., 2007; Schyns & Schilling, 2013; Shaw et al., 2011; Walumba, Avolio, Gardner, Wernsing, & Peterson, 2008).

In looking to examples of good and responsible leadership, Parameswar and Prasad (2017) described a good leader as one who is, “aware of organization’s strengths and weaknesses, and also understand the relevant elements of the environment and how they affect the company’s prospects” (p. 46). Lawrence and Pirson (2015) claimed that, “responsible leaders need to clearly understand their role and the context of their actions in order to act as responsible stewards of organizations and society” (p. 383). However, the question to ask is whether good and responsible leadership will be enough given the marketization of higher education and its associated challenges. The *intellectual love* Rowland (2008) described provided some evidence into why subscribing to a different leadership approach was needed. In looking to Fromm (2006) for insights, it was also clear that he saw a direct link between a healthy society free from capitalist influences and the important role of love similar to the intellectual love described by Rowland. A critical pathway forward could ensure: the move away from capitalistic external and internal pressures and influences associated with leading higher education institutions; preserving the historical integrity and culture of those institutions; and, maintaining the dignity, and respect of those individuals working within the bricks and mortar.

Paul (2011) cited the need for integrity as one of the seven issues currently facing university presidents and stated that, “Given Western society’s recent history of blatant abuses of power by those in leadership positions, notably politicians and corporate leaders, one of the most important characteristics of an effective leader is integrity” (p. 252). Early work on integrity noted that the literature on the conceptualization of was underdeveloped (Becker, 1998; Parry & Proctor-Thomson, 2002). However, Becker (1998) acknowledged that the core trait of, and primary determinant of trust in an effective leader was integrity and provided the following definition, “integrity is commitment in action to a morally justifiable set of principles and values” (p. 157).

Walumba et al. (2008) cited broader and societal challenges facing institutions due to the lack of authentic leadership and call for more positive forms of leadership. An authentic leader is one who Avolio et al. (2004) described as:

acts in accordance with deep personal values and convictions, to build credibility and win the respect and trust of followers by encouraging diverse viewpoints (genuine communication) and building networks of collaborative relationships with followers, (relational) and thereby lead in a manner that followers recognize as authentic. (p. 806)

The aim of this research was to explore whether the conceptualization of principled leadership rooted in an authentic construct, guided by authenticity (identity), love (care), and spirituality, could provide an effective and sustainable leadership approach. It aimed to explore the influence of values and beliefs on leadership as related to evidence-based authentic practice, for example where Avolio et al. (2004) highlighted, “how leaders may influence followers’

attitudes and behaviours, but also how intervening variables, such as hope, trust, positive emotions, and optimism, can be enhanced” (p. 804). The challenges noted, and leadership insights provided, help to form the context for the conceptualization of principled leadership as a leadership solution, which will be reviewed in the next section.

The Conceptualization of Principled Leadership

A standardized definition of principled leadership as a construct could not be found within the literature. However, several authors alluded to a similar construct and identified a leadership based on principles, that they are principled as a leader, principles-centered, and their principles guide them. These same theorists described principled leadership as a leader who is a social entrepreneur (Coleman, 1998), a values-based and ethical leader (Covey, 1990; Gold, Evans, Earley, Halpin, & Collarbone, 2003; Kreber et al., 2007), where principles are the moral art of leadership (Covey, 1990), and principled means being authentic (Agote, Aramburu, & Lines, 2015; Avolio & Gardiner, 2005; Walumba et al., 2008).

What does it mean to be principled and how does this relate to leadership? The Oxford dictionary (n.d.) defined principles as the following, “A fundamental truth or proposition that serves as the foundation for a system of belief or behaviour or for a chain of reasoning, that is, ‘the basic principles of justice’”. Principles were described as values, where Covey’s (1999) seminal work on leadership suggested that leaders’ principles should be aligned with their values. Gold, Evans, Earley, Halpin, and Collarbone (2003) described leadership that should be a ‘values-based’ in describing ‘principled principals’ working in secondary schools as those who are “committed to a set of strongly held values” (p. 136). Whereas, Fry (2003) likened principles to leading from the heart, “the principles and practices that support the basic human need for

membership - to be understood and appreciated - center on the practice of encouraging the heart” (p. 709). Covey further described principles as a guiding compass and pointed out:

Correct principles are like compasses: they are always pointing the way. And if we know how to read them, we won’t get lost, confused, or fooled by conflicting voices and values. Principles are self-evident, self-validating natural laws. They don’t change or shift. They provide ‘true north’ direction to our lives when navigating the ‘streams’ of our environments. Principles apply at all times in all places. They surface in the form of values, ideas, norms, and teachings that uplift, ennoble, fulfill, empower, and inspire people. (p. 19)

In reviewing the literature on leadership that demonstrated a principled approach, many examples of leaders responsible for change in higher education had the characteristics of a social entrepreneur. A key element of a social entrepreneur is what Coleman (1998) suggested as, a “persistence combined with a willingness to make adjustments as one goes. Rather than giving up when an obstacle is encountered entrepreneurs ask, how can we surmount this obstacle? How can we make this work?” (p. 5). Social entrepreneurs do not let their own limited resources keep them from pursuing their visions. As Bryman (2007), recommended, it is “leadership as defined in terms of influencing and/or motivating others toward the accomplishment of departmental goals” (p. 696). Social entrepreneurs are skilled at doing more with less and at attracting resources from others. They explore all resource options, are not bound by sector norms or traditions, develop resource strategies that are likely to support and reinforce their social missions, and take calculated risks (Coleman, 1998).

For the purpose of the research study, I conceived “principled leadership” as a conceptual clustering of three different elements and proposed the following definition: Principled leadership is a leadership approach where the leader is an individual who is rooted in authentic behaviors (Agote et al., 2015; Avolio et al., 2004; Avolio & Gardiner, 2005; Kreber et al., 2007; Walumba et al., 2008), free from the influence of one’s ego (Tisdell, 2006; Wenger, 1998), firm in the knowledge of self through identity (Bracher, 2006; Cranton, 2001; Fromm, 1969; Palmer, 1998; Tisdell, 1998, 2003), and comes from a spiritual stance (Bolman & Deal, 2001; Greenleaf, 1977; 2003; Hooks, 2000; Tisdell & Tolliver, 2006), that is based on love and respect for others (Avolio et al., 2004; Gold et al., 2003; Gill, 2003; Fromm, 2006; Halpin, 2009; Hooks, 2000; Sergiovanni, 1996, 2005). In this research study, I reviewed the relationship between leaders’ knowledge about leadership, their beliefs and values, and their approaches to the role to help further understand principled leadership that moves beyond traditional leadership and the social entrepreneur, and one that includes authenticity (identity), love (care), and spirituality.

This next section provided an overview of the three elements conceived to be part of the conceptualization of principled leadership, which includes: authenticity (identity), love (care), and spirituality.

Authenticity

This section examined authenticity as a leadership attribute and discussed why it was important to consider authenticity as a component of the study. For the purpose of this study, authenticity was reviewed not only as an individual element of the conceptualization of principled leadership but through the lens of identity, love (care), and spirituality. Authenticity provided the undercurrent to the conceptualization of principled leadership as a leadership approach. The journey to discover one’s identity, spirituality, and choice to love and care for

another, are connected to the ability to become fully authentic within the conceptualization of principled leadership.

Avolio et al. (2004) reviewed the conceptualization of authenticity and its many definitions and suggested that authenticity was an ongoing individual process, that “the more people remain true to their core values, identities, preferences, and emotions, the more authentic they become” (p. 802). Kreber et al. (2007) discussed the vagueness of the notion of authenticity and the fact that those working in higher education may not be aware of it with a call for institutions involved in higher education to provide environments that not only engage the rational mind but focus on the hearts and spirits of administrators, educators and learners (p. 27). Where Walumba, et al. (2008) described self-awareness, relational transparency, balanced processing, and moral perspective as four characteristics integral to authenticity. The congruence between the leader’s actions and his/her words leads others to label those leaders as believable, trustworthy, and authentic as noted by Avolio and Gardner (2005). Walumba, et al., further suggested that authentic leadership is by its very nature both an individual and a collective responsibility; a relationship based on honoring the leaders ethical and moral responsibilities to those they lead (2008).

Kreber et al. (2007) provided further evidence of what it means to be authentic in their comparative review of the research of the literature on conceptions of authenticity. Several insights into the minds of these scholars were provided throughout their research and is summed up as the following:

Cranton (2001) for example, suggests that finding one’s identity means to become more authentic, whereas Tisdell (1998, 2003) would argue that it is

possible to have assumed an identity that is inauthentic or at least not one's own (as in unauthentic), and the challenge is to move toward a more authentic identity. This latter view would be shared by Eric Fromm (1969) who maintained that our attitudes, feelings, and desires are usually learned from others and we define ourselves (or construct our identities) according to the recognition we then gain from these others. Though concerned with the same phenomenon, Palmer (1998), in his book *The Courage to Teach*, never uses the word authenticity but instead speaks of identity (or selfhood) and integrity ... Moving toward a more authentic identity or self is part of what constitutes spiritual development. (Kreber et al., 2007, p. 27)

In reviewing the literature and its significance of authenticity to leadership the need to offer a definition was needed. The diversity of its' meaning and what it represented within the higher education context is so varied that it necessitated delving into the literature to discover an appropriate definition. This also raised the question of whether or not authenticity simply represented the ability to be genuine and caring as a leader who practices authenticity as part of their professional practice, or whether there was something more? In addition, it was important to acknowledge that leaders are diverse individuals and therefore, what being authentic means to one individual can be completely different to another. Avolio et al. (2004) provided a definition that works for the purpose of the study and explains authenticity within the conceptualization of principled leadership. It is:

One who acts in accordance with deep personal values and convictions, to build credibility and win the respect and trust of followers by encouraging diverse viewpoints (genuine communication) and building networks of

collaborative relationships with followers, (relational) and thereby lead in a manner that followers recognize as authentic. (p. 806)

Authenticity and identity.

As indicated in the previous section in discussing authenticity, for the purpose of this study, understanding identity formation was a necessary component of understanding authenticity and a critical component of the conceptualization of principled leadership. The questions that guided this section are: What is identity and how does it relate to authenticity and, as such, leadership?

For the purpose of the study, identity was identified as a sense of self that is connected beyond oneself: the desire to respond morally and ethically out of a selfless connection to others, the community, culture and the world (Cranton, 2001; Fromm, 1969; Lord & Brown, 2004; Palmer, 1998; Tisdell, 1998, 2003; Kippenberg, Kippenberg, De Cremer, & Hogg, 2005). Throughout the literature, creating caring, authentic, and thriving environments was directly linked to identity or the formation of identity, of the individual or the leader (Cranton, 2001; Fromm, 1969; Palmer, 1998; Tisdell, 1998, 2003). Becoming aware of one's identity was linked to identity formation and as Cranton (2001), Fromm (1969), Palmer (1998), and Tisdell (1998, 2003) emphasized the importance to strive for clarity surrounding one's identity as a way of becoming more critically aware through one's own professional practice (Cranton, 2001; Fromm, 1969; Palmer, 1998; Tisdell, 1998, 2003). They claimed that identity requires a deep reflection of self as well as a desire to understand one's critical lens; what one brings to the work/learning environment, regardless of how we define this environment.

The literature (Bracher, 2006; Cranton, 2001; Fromm, 1969; Palmer, 1998; Tisdell, 1998, 2003) indicated that to understand identity involves a journey of self-actualization whereby the individual spends time self-reflecting and questions their own status quo, sense of self, becoming somewhat discombobulated by new information they encounter and then if perhaps, a spark of internal change may begin to occur. The journey described involves the opportunity for the leader to come to know one's self, to be at peace with who he/she is, to know what their location and space is in regard to their culture, to understand issues surrounding power and privilege, diversity, and most of all, to be able to put ourselves aside for the good of others (Bracher, 2006; Cranton, 2001; Fromm, 1969; Palmer, 1998; Tisdell, 1998, 2003). Brookfield (2004) further emphasized suggested that one needs to take this journey and ought to contest the status quo in "pursuing the tasks of critical practice – getting people to challenge ideology, contest hegemony, unmask power (p. 179).

This journey involved what Bracher (2006) referred to as an identity that forms from a desire to help and love others, which finds an "intimacy in love and work" (p. 69). In this identity structure, there is an authentic humanistic desire to learn so as to care for others, where learning is not motivated as a means to helping oneself or the more extrinsic gratification but rather an intrinsic desire for others. As indicated by Bracher, "this structure allows one to transcend one's own disciplinary and ideological systems and judge all systems, including one's own, on the basis of the benefit and harm they entail for other human beings" (p. 70). The hope therefore, is that the conceptualization of a principled leader will become more in tune with their authentic identity and, as such, altruistically focused with a priority to help others as an undercurrent of all that they do.

In discussing identity, Bracher referred to Erikson's (Insight 131) impulse of 'generativity', by which he means "the instinctual power behind various forms of selfless 'caring' ... this need to teach, to help others thrive, to develop, and flourish – is fundamental and central component of adult identity" (p. 153). Stemming from this comes a sense of self that is connected beyond oneself: the desire to respond morally and ethically out of a selfless connection to others, the community, culture and the world. This type of identity is deeply rooted in a highly humanized individual who most likely practices from a place of love. Tisdell and Tolliver (2001) also connected identity to spirituality that "spirituality also is about developing a more authentic identity ... there is a divine spark in each person that is central to his or her core essence or authentic self" (p. 38). Tisdell (2006) connected an authentic identity to spirituality as part of this journey, "such reclaiming of cultural and other identities is often both a spiritual and intellectual process" (p. 19). Hoppe (2005) further noted, "discovering who we are by looking deep inside ourselves sets the compass for the search for truth and meaning as individuals and as leaders" (p. 85). Hoppe put forth attributes that are part of the journey of a spiritual leader "inner journey, meaning and significance, wholeness, and connectedness" (p. 85). This inner journey requires a search for self and identity, meaning in terms of offering the gift of significance, wholeness in practicing hospitality where giving and receiving are acknowledged and transformational for the common good, and where wholeness demands connectedness in that spirituality takes us beyond ourselves in a desire to search for meaning and purpose (Hoppe, 2005). The interconnectedness of identity and spirituality are discussed in the next section.

Spirituality

In broaching the subject of spirituality as it related to the conceptualization of principled leadership it was important at the onset to note the different but unique interrelatedness of spirituality and religion and the diaspora relating to both concepts was vast. Historically, to speak of a spiritual person indicated that they were a religious person (Elkins, Hedstrom, Hughes, Leaf, & Sanders, 1988, p. 15). In his seminal research on spirituality and religion, Maslow (1962) said that “the human being needs a framework of values, a philosophy of life, a religion, or religion-surrogate to live by and understand by, in about the same sense he needs sunlight, calcium, or love” (p. 206). He described a spiritual person as one who experienced a ‘peak experience’, a spiritual person as someone who had contact with the transcendent dimension (Maslow, 1970). Taking into consideration the authors insights regarding spirituality, the studied integrated the following humanistic definition of spirituality:

Spirituality, which comes from the Latin, *spiritus*, meaning ‘breath of life’, is a way of being and experiencing that comes about through awareness of a transcendent dimension and that is characterized by certain identifiable values in regard to self, others, nature, life, and whatever one considers to be the Ultimate. (Elkins, Hedstrom, Hughes, Leaf, & Sanders, 1988, p. 10)

Spirituality and religion are not considered to be the same concept although they tend to be understood as related (Dent, Higgins, & Wharff, 2005; Phipps, 2012; Tisdell & Tolliver, 2006). A definition of spirituality was provided by Tisdell and Tolliver (2006) who suggested that:

Spirituality is different from religion: it is about an individual's journey toward wholeness, whereas religions are organized communities of faith that often provide meaningful community rituals that serve as a gateway to the sacred. But because there is a spiritual dimension to all religions, spirituality and religion are interrelated for many people, particularly if their conscious manifestation of spirituality takes place primarily in the context of an organized religion. (p. 38)

In separating religion from spirituality, Dent, Higgins, and Wharff, (2005) pointed out that “people can participate in activities of a religious institution without having a spiritual experience, and that it is possible to have a spiritual experience outside an environment of religion” (p. 634). The review of the literature also delved into whether or not spirituality is linked to one's individual, human development and found that when describing spirituality, it depends on one's worldview, whether it is secular, religious, or mystical. In discussing strategic leadership and spirituality, Phipps (2012) further clarified the difference between religion and spirituality, “spirituality speaks to a common human condition, while religion refers to the polity, practices, and creeds of a particular denomination or faith body. Hoppe (2005) defined spirituality as, “the search for depth and meaning in our entire being” (p. 87).

The literature provided a varied definition of spirituality but there was consistency in connecting spirituality to a higher being, love, authenticity, and caring for others. Phipps (2012) defined spirituality as, “the human desire for connection with the transcendent, the desire for integration of the self into the meaningful whole, and the realization of one's potential” (p. 179). Fry (2003) defined it as, “spirituality reflects the presence of a relationship with a higher power

or being that affects the way in which one operates in the world” (p. 705). While Delbecq (1999), defined spirituality as:

The unique and personal inner experience of and search for the fullest personal development through participation into the transcendent mystery. It always involves a sense of belonging to a greater whole, and a sense of longing for a more complete fulfillment through touching the greater mystery, (which in tradition I call God). (p. 345)

Spirituality is linked to the need to care for, and love another, as noted by Fry (2003), “the common bridge between spirituality and religion is altruistic love-regard or devotion to the interests of others” (p. 706). It is also tied to morality where, “the moral person refers to the leader’s personal traits, character, and altruistic orientation” (Phipps, 2012, p. 181). Tisdell and Tolliver (2006) suggested that “spirituality is about developing a more authentic identity, that it is possible for learners to come to a greater understanding of their core essence through transformative learning experiences that help them to claim their authenticity” (p. 38).

In their exhaustive examination and analysis of definitions, distinctions, and embedded assumptions within the spirituality and leadership literature, Dent et al. (2005) defined spirituality as “transformational, moral, and ethical...that spirituality assumes integrity, honesty, goodness, wholeness, congruency, interconnectedness, team-work” (p. 629). Blanchard (1997) described the challenging subject of discussing spirituality by stating, “we are not human beings having a spiritual experience. We are spiritual beings having a human experience” (p. 99). Supporting the individual journey of authenticity is a means to another beginning not an end; a beginning of creating environments that challenges leaders to take this same journey. For the

purpose of the research study, spirituality and identity are intertwined as attributes of authenticity. In addition to these elements comprising the conceptualization of principled leadership attributes, is love covered in the next section.

Love

In defining spirituality, it was important to give credence to the definition of love and how the two were linked as elements of the conceptualization of principled leadership. A modest definition of love implies the giving of self, but in the context of a spiritual paradigm as part of the conceptualization of principled leadership, it needed to be discerned and developed (Fromm, 2006; Halpin, 2009; Hooks, 2000; Sergiovanni, 1996). In referring to pedagogy and the relatedness of this to leadership, Hooks (2000) stated that “spiritual teachers are important guides who provide a catalyst for our spiritual awakening” (p. 78) and discussed ‘love as the will to nurture’ as important for understanding spirituality and the need to respect the souls of her students. To further understand this, it was key to discuss the influence of psychoanalyst and philosopher, Eric Fromm. In his earlier work, Fromm (2006) defined love simply as “primarily giving, not receiving” (p. 21). Fromm impressed the need to think of love as a conscious act and went on to reinforce this when he stated: “genuine love is an expression of productiveness ... an active striving for the growth and happiness of the loved person, rooted in one’s own capacity to love” (p. 55). Love or loving then becomes a choice to act out of free will for the good of another, with true humility at its core, this act of love creates a relationship that is built on the respect, dignity, and value of each individual (Freire, 1994; Fromm, 2006; Halpin, 2009). The love described by these authors is one that is conducive to the conceptualization of principled leadership.

Examining Love and its centrality to the conceptualization of Principled Leadership.

In examining the conceptualization of principled leadership in higher education, the literature review provided the opportunity to “investigate how dominant ideologies educate people to believe in certain ways of organizing society are in their own best interests when the opposite is true” (Brookfield, 2005, p. 31). Brookfield’s insights were helpful in further understanding love as part of the conceptualization of principled leadership and more importantly, to discern its potential for change; it provided a basis for an evaluation of the current university culture and the hegemonic forces that may hinder the ability to understand the need for principled leadership. It was appropriate to the extent in which “it keeps alive the hope that the world can be changed to make it fairer and more compassionate” (Brookfield, 2005, p. 9).

Within universities, the hegemonic practices associated with leadership, coupled with underlying capitalistic goals, individual research goals, and a desire to climb the administrative ladder, could perpetuate a culture of individualism and competitive leadership and prevent the adoption of an authentic and loving leadership approach. In a world consumed by materialism and a capitalistic-centric society, the need for a loving leadership strategy is not construed as the norm. For Clark (2005), “a society that is driven by rapacious commercialism ... will always produce less love and therefore, more unhappy people than one which places human needs first” (p. 35). Clark seeks to respond to how societal portrayals regarding personal and professional success, how to live the good life, the need to purchase more and appear to look successful, impact leadership approaches. According to Brookfield (2005), “the point of democratic life in Fromm’s view is to reorganize the workplace to make it a site for the exercise of human creativity” (p. 151). Brookfield further explained that this could be done by, “staking everything

on helping adults overcome the alienation inherent in capitalist society, and in urging the practice of radical love” (p. 180). Given this, a critical question to ask is; Can leaders embrace the conceptualization of principled leadership that incorporates love, in the world today?

Brookfield’s (2005) insights were key to understanding the relevance of love, principled leadership, and the notion of moving beyond contemporary leadership practices:

How do they learn to detect when they’re having a life that is supposedly free,
but that is in reality shaped by their alienating attempt to satisfy needs
manufactured by corporate advertising? (p. 53)

A pathway of response could be through what was described by Fry (2003), as “creating a humanistic system led through spiritual leadership based on hopeful striving through faith in a vision with a culture grounded in the values of altruistic love” (p. 717).

Miller (2006) focused on the power relationships that pervades in leadership and indicated that it is the act of love that removes the power relationship. Miller added to the literature indicating that love is capable of overcoming power relationships wherein he described, “love is the only form of power that is not abusive ... a leader who operates out of a power base of love avoids the abusive elements that so often pervade power” (p. 102). Miller further added that it is the in the decision to act out of love that positively impacts the relationship, where “the choice to love ... action formulates the pedagogy, the power differential cannot be the focus of the relationship” (Miller, 2006, p. 103). Boulding (1989, as cited in Miller, 2006, p. 102), described “love as action in identifying that love as a power base integrates, because the process of integration is based on specific actions”. In response to this, Fromm (2006) argued “how can one act within the existing framework of existing society and at the

same time practice with love?” (p. 120). In responding to culture and society, Fromm (2006) further added that “to analyze the nature of love is to discover its general absence today and to criticize the social conditions which are responsible for its absence” (p. 123).

In response to the current challenges in higher education, the literature supported the conceptualization of a principled leadership approach integrating a loving, caring stance. The literature highlighted research that has been conducted around the concept of love and care in post-secondary institutions. Interesting to note is the increasing amount of research that has been conducted on the notion of love and the impact on leadership. The literature demonstrated that a leader could integrate a loving stance into their practice in accomplishing leadership objectives within post-secondary institutions where the driving force was to help others develop their critical consciousness, agency, and a pure and authentic love for others (Fromm, 2006; Halpin, 2009; Hooks, 2000; Sergiovanni, 1996). Early literature citing love as a leadership strength was noted by Bolman and Deal (2001), who indicated that, “love is the true hallmark of great leaders- love for their work and love for those with whom they work” (p. 108). Wherein, Fry (2003) in discussing charity discusses altruistic love and how the two terms are often used synonymously. “For spiritual leadership theory, altruistic love is defined as a sense of wholeness, harmony, and well-being produced through care, concern, and appreciation for self and others. Underlying this definition are the values, patience, kindness, lack of envy, forgiveness, humility, selflessness, self-control, trust, loyalty, and truthfulness” (p. 712). Inspired by this, the research supported the assumption that there is a need for principled leadership in post-secondary institutions (McRae, 2009; Paul, 2011; Rowland, 2008; Wernick, 2006).

Care

In explaining care as connected to the study, it was important to define the context of the term to further understand the research question as related to conceptualization of principled leadership as an ethic of care. Noddings (2013) described caring as a moral judgment, that moral reasoning is why one should care for another (p. 7). Whereas, Mayeroff (1971) suggested caring as a means to help others grow and to self-actualize. In discussing care as related to trust in organizations, Atwijuka and Caldwell (2017) encouraged modern leaders, “treating employees as valued partners is not only good common sense and morally virtuous but has valuable implications for the modern leader (p. 1047). Uusiautti (2013) indicated that caring “can be associated with attributes such as benevolence or mindfulness, as well as perseverance and perspective” (p. 483). The result of Uusiautti’s (2013) study provided further insights regarding leadership and care, “when a leader uses his or her leadership position in this altruistic way and enjoys the outcome, the result may be termed caring, even love-based, leadership” (p. 491). In describing educational leaders as caring teachers, Noddings (2006), stated that, “caring leaders recognize the intrinsic needs of others and try to protect them (p. 343). Caring for others is explained as being connected to authenticity and identity; where the sense of self is heightened to the level where the leader understands the need to not only be responsible for their own wellbeing, but has an awareness of the responsibility to take care of the well-being of those they lead (Avolio, Gardner, Walumbwa, Luthans, & May, 2004; Avolio & Gardner, 2005). Where, an authentic leader will “know who they are what they believe and value, and act upon those values and beliefs while transparently interacting with others” (Avolio et al., 2004, p. 803). In terms of care as it relates to 21st century leadership and the neoliberalism, caring for others as described above provided a strong connection to the conceptual framework as noted by Atwijuka and

Caldwell (2017), “as leaders struggle with their ability to earn the trust of others in today’s skeptical work context, the ethical nature of authentic leadership provides powerful insights into building relationships and earning follower commitment (p. 1047).

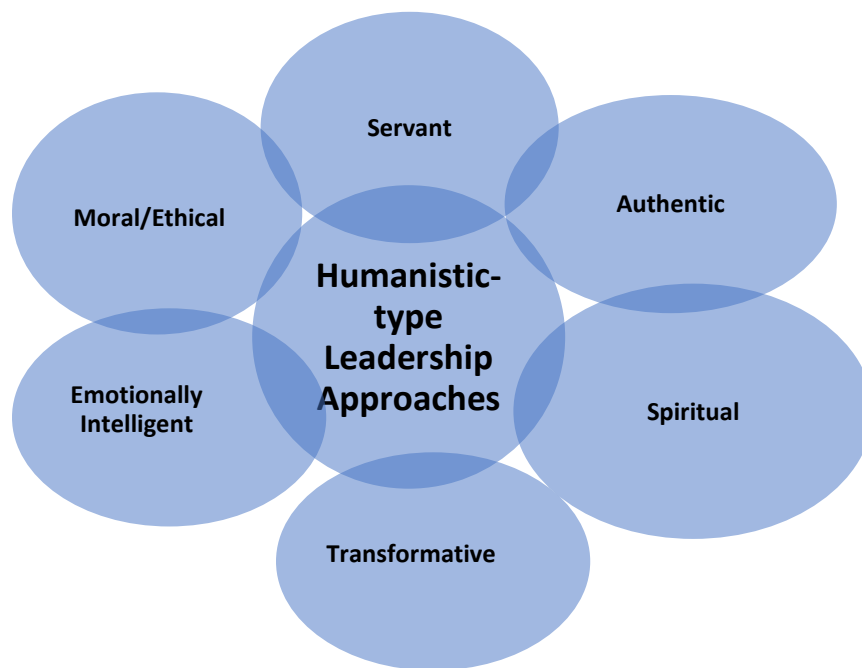
Leadership Theories: A Comparison of Humanistic-type Leadership Approaches

In examining the leadership literature relevant to the elements of the conceptualization of principled leadership, the following humanistic-type leadership theories were reviewed for alignment and gaps: authentic, spiritual, servant, ethical/moral, emotionally intelligent, and transformational (see Figure 2.1). For the purpose of the study, this section also reviewed and humanistic-type leadership to provide the context and appropriate integration of the theories presented.

Figure 2.1 provided a visual comparison of the relevant humanistic-type leadership theories (authentic, spiritual, servant, ethical/moral, emotionally intelligent, and transformational), to the study as they related to the conceptualization of principled leadership. Table 2–2 indicates alignment with each of the elements identified as integral to the conceptualization of a principled leader, those core elements identified within each leadership theory, and an awareness of the current gaps in the literature. This was relevant to the study in determining whether or not there was an alignment with the core construct of research participants leadership attributes for comparison and contrast purposes. It was evident through review of the theories contained within this table that there are indeed gaps in the literature indicating a need for further investigation. The following section provided an overview of humanistic-type leadership and the relevant leadership theories (authentic, spiritual, servant, ethical/moral, emotionally intelligent, and transformational), a definition of each, comparison to

the conceptualization of principled leadership for contrast and alignment and identified existing gaps in the literature is provided.

Figure 2.1. Humanistic-type Leadership: A Comparison of Approaches



Humanistic-type Leadership

Humanistic-type leadership was incorporated into the literature review as a means of providing context for the integration of relevant leadership theories (authentic, spiritual, servant, ethical/moral, emotionally intelligent, and transformational), that were reviewed as part of comparing the core elements contained in the conceptualization of principled leadership. Given that leadership is about human behavior, connection, and relationship (Lawrence & Pirson, 2015, p. 383) and that the conceptualization of principled leadership focused on the individual leader and her or his impact on others first, the organization second, a humanistic-type leadership approach was a key element to be explored in this study.

Historically, the term humanistic had its foundation in the social and anthropological sciences where both humanists and social scientists interpreted the significance of being human (Cichoblazinski & Bylok, 2016; Perucci & Schwartz, 2002). In describing the term humanistic, Perucci and Schwartz (2002) compared the perspective of social scientists to the humanists in examining human behaviour where they found that “social scientists attempt to devise models that can explain (and predict) human behavior, the humanist through a more qualitative method explores the meaning and purpose of human action” (p. 15). Lawrence and Pirson (2015) referred to humanistic as, “representative of a more complex, scientific understanding which includes notions of human dignity and ethics as intrinsically valued, rarely measurable, yet critical for human survival as a species” (p. 384). Within this definition of a humanistic approach, protection of human dignity, societal welfare, and survival of the species is included where “ensuring long-term sustainable human flourishing” (Lawrence & Pirson, 2015, p. 384) is key. Whereas, Cichoblazinski and Bylok (2016), discussed humanistic management and its impact on resolving employee conflict adding that humanistic refers to, “the fact that everyone in the organization should be treated as a person...namely as an entity and not only a subject of management” (p. 43). A review of the literature highlighted the tremendous amount of breadth and depth in defining the terms, humanism and humanistic. As such, the following definitions were examined based on purpose, clarity, and intent. They are: humanism “a devotion to human welfare” (Merriam-Webster); and, humanistic “treating people with respect and making sure they are safe, happy, healthy, etc.” (Cambridge University Press).

In describing humanistic leadership Parameswar and Prasad (2017), described a ‘humanistic leadership style’ as “a strategic, compassionate, and ethical style that considers the strengths, weaknesses, and emotions of the people they work with” (p. 48). They further

described a humanistic leadership style that develops the potential of those they lead and creates a culture “where excellence, trust, camaraderie, care of all stakeholders, transparent communication, creativity, etc. start to flourish naturally which in turn produces excellent performance” (p. 48). The importance of understanding and integrating human-like qualities as part of responsible leadership approach was further reinforced by Lawrence and Pirson (2015) who said that, “responsible leadership needs to be informed by a better understanding of human nature and understand the ensuing responsibilities” (p. 391). And further reinforced by Perucci and Schwartz (2002) who put forward that, “the leader-followers relationship is fraught with the qualities associated with being human – compassion, betrayal, seduction, love, and hate. A humanistic approach, therefore, can help us develop an understanding of the leadership dynamic” (p. 15). Humanistic-type leadership for the purpose of this study and emphasizing the elements of the conceptualization of principled leadership was further highlighted in the next sections through the following six leadership theories, authentic, spiritual, servant, ethical/moral, emotionally intelligent, and transformational.

Authentic Leadership

In identifying humanistic-type leadership theories relevant to the study it was noted by Lord and Brown (2004) that there was an absence of evidence-based leadership theory that supported the need for more of the ‘affective’ in leadership models. The “affect processes has been ignored by leadership researchers or, alternatively, has been approached by the cognitive framework that emphasizes attitudes rather than basic emotional processes” (Lord & Brown, 2004, pp. 122-123). For the purpose of this study, the psychological definition of the affect was defined as “emotion or desire as influencing behavior” (Oxford University Press).

Authentic leadership characteristics can be ascribed to those who are transparent, have a capacity to build trust, are genuine – meaning what you say and saying what you mean, credible, know your own values and beliefs, and, are prepared to ascertain the values of the individuals who follow you as well as the collective they lead (Agote et al., 2015; Avolio et al., 2004; Avolio & Gardiner, 2005; Kreber et al., 2007; Walumba et al., 2008). In describing a leader who is authentic, Delbecq (1999) connected authenticity to spirituality and pointed out, “my test of authenticity is the extent to which progress in the spirit of journey manifests itself in loving and compassionate service (p. 345). Avolio et al. (2004) indicated that leaders may influence followers’ attitudes and behaviours, but that these same leaders also use intervening behaviours such as hope, trust, positive emotions, and optimism. Avolio et al. further discussed authenticity as a root construct and key characteristic of an impactful leader and purported that “authentic leadership is at the very base or core of what constitutes profoundly positive leadership in whatever form it exists” (p. 818). Avolio et al. claimed that “authentic leadership” influences work environments and positively impacts employee attitudes and behaviors in organizations where the leader is interested in something beyond bottom-line success and play a greater role by tackling organization and societal problems (p. 802).

Avolio as a significant scholar and influencer has been studying evidence-based leadership for over twenty-five years. Avolio focused on the follower; taking the lens off the leader and enacts the conversation so as to include transformational leadership. Avolio has discussed an authentic leadership that is sustainable beyond all other forms of leadership and puts forward that authenticity is what saves us (leader), from ourselves and moves beyond transformational leadership into authentic leadership. Otherwise, what we are left with are pseudo-transformational leaders who are described as being destructive leaders (Einarson et al.,

2007; Padilla et al., 2007; Schyns & Schilling, 2013; Shaw et al., 2011). In being an authentic leader, you are being true to one-self and to others in your actions, attitudes and behaviors. As a guiding root construct: it is okay to mess up, you don't always get things right.

In comparing the elements of the conceptualization of principled leadership to the elements contained with authentic leadership it was found that there was a strong alignment except for the following: love; humility; and, spirituality (see Table 2–2). Authentic leaders have a strong sense of identity, deep values and convictions, and trust is key to this leadership approach but a sense of something other than themselves, the divine, love and humility weren't found to be core attributes of authentic leaders. Although there was evidence found within the literature (Kreber et al., 2007; Palmer, 1998; Tisdell, 2006) that a spiritual identity might support authenticity, spirituality was not a core element of authenticity. The conceptualization of principled leadership included the elements of authentic leadership wherein authentic leadership is a core element but did not provide enough of a definition for principled leadership alone as it did not contain the elements of love, spirituality, and humility.

In this study, I proposed that authenticity as an element of the conceptualization of principled leadership required a genuine internally-rooted desire to believe in, and care for others and that this comes from a deep knowledge of self, identity, and personal values which aligns well with Avolio's explanations of authenticity. This involves the ability to desire authenticity in others and results in a leadership approach where the primary goal is to bring out the best in others and to do this with honesty, integrity, and trust.

Spiritual Leadership

As noted in the literature review surrounding spirituality, there was evidence to support spirituality as a key element contained with the conceptualization of principled leadership (Bolman & Deal, 2001; Dent et al., 2005; Elkins et al., 1988; Fry, 2003; Harris & McCormack, 2014; Klenke, 2003; Kriger & Seng, 2005). This section reviewed spiritual leadership, where Reave (2005), thorough examination of the literature, indicated a strong connection to spirituality and leader effectiveness.

In their review of seminal work on spirituality and religion in the workplace, Elkins, Hedstrom, Hughes, Leaf, and Sanders (1988) indicated that there was a need for a humanistic understanding of spirituality, that spirituality belongs to humanity, and differentiated spirituality from religion, “churches and temples do not have a monopoly on spirituality or on the values that compose it” (p. 6). However, Phipps (2012) warned that, “spirituality can be a unifying force in the field of leadership, while religion can be fractious” (p. 179). Fry (2003) argued that there is “an emerging and accelerating call for spiritual leadership in the workplace” (p. 702) and indicated that leaders “must be attuned to satisfying followers’ needs for spiritual survival through the universal spiritual values for humility, charity, and veracity” (p. 694). Bolman and Deal (2001), proposed that spiritual leadership requires not just using the head and the hands but also the heart that “the heart of leadership is in the hearts of leaders” (p. 11).

In their seminal research on spirituality and leadership, Bolman and Deal (2001), described spiritual leaders as those who seek to find ultimate meaning and purpose; to live a fully integrated life, to live as a whole person, in touch with their spirit, and in touch with their heart, and that spirituality is imbedded in all that we do. Whereas, in describing a spiritual leader, Delbecq (1999) noted that, “they share a pivotal Christian belief that all creation is redeemed and

good, and therefore being involved in co-creation through industrial enterprise can be an act of love” (p. 346). Kriger and Seng (2005), discussed spirituality as positively impacting a leader’s values, vision, leadership behavior, effectiveness, and impact on those one leads. Fry (2003) indicated that “spiritual leadership may be viewed as an intrinsically motivating force that enables people to feel alive, energized, and connected with their work” (p. 718). He further connected spirituality with leadership, claiming that spiritual leaders help others, and guide them, to “make choices about the care of their body, mind, heart, and spirit. They must develop inspiring vision and mission statements that foster development of a spirit of cooperation, trust, mutual caring, and a commitment to team and organizational effectiveness” (p. 710). In further connecting a spiritual leader to a leader who is in the service of others, Fry defined a spiritual leader as “someone who walks in front of one when one needs someone to follow, behind one when one needs encouragement, and beside one when one needs a friend” (p. 720).

A spiritual leader as noted in Table 2–1 is in touch with the spirit; and looks to find ultimate meaning & purpose; live as a whole person; to live a fully integrated life; in touch with their heart (Kreber et al., 2007; Bolman & Deal, 2001; Harris & McCormack, 2014; Hooks, 2000; Tisdell, 2000, 2003, 2006; Tisdell & Tolliver, 2001). Klenke (2003) claimed that the roots of effective leadership may be grounded in a spiritual dimension and that common characteristics of grounded spiritual effective leaders are “an inward focus, potential for self-discovery, reflective analysis, and personal reinvention” (p. 56). Aligned to principled leadership, Klenke (2007) also connects identity to being authentic within a spiritual leadership construct as a means of moving beyond transformational and transactional forms of leadership and that the “workplace has helped transform spirituality from a personal pursuit into a business practice (p.

56). Where a spiritual leader is firm in their values with beliefs as a guiding compass in spiritual-based leadership as noted by Fry (2003):

The ultimate effect of spiritual leadership is to bring together or create a sense of fusion among the four fundamental forces of human existence (body, mind, heart, and spirit) so that people are motivated for high performance, have increased organizational commitment, and personally experience joy, peace, and serenity. (p. 719)

In discussing spirituality and religion in the workplace and leadership, Phipps (2012) provided a relevant question, “how do the individual spiritual beliefs of a strategic leader affect his or her decision making” (p. 179)? In linking strategic schema to spirituality in top-level leaders Phipps, noted that a leader’s spiritual beliefs can influence decision-making where, “the personal spiritual beliefs of a leaders act as a schema during strategic decision making by filtering out information and framing information for the leader” (p. 182). Whereas, in describing the influence of spiritual beliefs on strategic decision-making, Hoppe (2005) shared that, “spiritual leaders must be humble enough to acknowledge mistakes, and more importantly, we must forgive each other when mistakes are made” (p. 89). Klenke (2003) highlighted that, “for these executives, spirituality is the integrative force enabling them to engage in business leadership as a form of service” (p. 58). In their review of the impact of workplace spirituality scholarly articles, Dent et al. (2005), also found a commonality in spiritually-centered employees where they were found to be more creative, honest, stronger, resilient, and compassionate (p. 639) and Fry (2003) suggested that “employees who work for organizations they consider being spiritual are less fearful, more ethical, and more committed” (p. 703).

Tourish and Tourish (2010) highlighted that “people have many ‘spiritual’ essences, none of them necessarily in harmony with each other, let alone an overarching organizational purpose, vision or mission (p. 214). They had a more pragmatic in their review of spirituality in the workplace and warn:

Employment is a specific contract calling for a specific performance and nothing else. Any attempt to go beyond that is usurpation. It is immoral as well as an illegal intrusion of privacy. It is abuse of power. An employee owes no “loyalty,” he owes no “love” and no “attitudes”- he owes performance and nothing else. (p. 220)

Even though Tourish and Tourish do not support a workplace that involves spirituality, and indicated that, “those interested in building humane workplaces and more egalitarian relationships between leaders and followers must look towards constructs other than spirituality at work” (p. 220), the literature provided evidence that something beyond spiritual leadership is needed in dealing with the challenges of the 21st century. As noted by Fry (2003), “spiritual leadership then is viewed as a necessary, but not sufficient, condition for organizations to be successful in today’s highly unpredictable high-velocity, Internet-driven environment” (p. 720). Klenke (2003) argued that there is space for this and that “practitioners play an important role in spiritual sense making and creating context in which this can occur. However, they must do so in an ethical, spiritual values-based socially responsible way”. As noted by Tourish and Tourish, “those interested in building humane workplaces and more egalitarian relationships between leaders and followers must look towards constructs other than spirituality at work” (p. 220).

The literature provided a varied definition of spirituality but there was consistency in the data connecting spirituality to a higher being, love, authenticity, and caring for others (Klenke, 2003, 2007; Phipps, 2012) aligned to the conceptualization of principled leadership (see Table 2–2).

Moral/Ethical Leadership

Table 2–1 provided the general characteristics of a moral/ethical leader as one who: displays commitment to right action; has strong values and morals; has virtue; leads from the heart; in touch with their spirit; giving; honest; fair; integrity; understands social responsibility; motivated to act morally; and, leads with the head (Ah-Kion & Bhowon, 2017; Bolman & Deal, 2001; Burns & Todnem, 2012; Lawrence & Pirson, 2015; Levine & Boaks, 2014; Salter et al., 2014; Sergiovanni, 1996, 2005). Researchers (Aquino & Reed, 2002; Burns, 1978; Rest, 1986; Turner et al., 2002) also suggested that people with high moral reasoning should be motivated to act morally based on this internalized moral identity (as cited in Salter et al., 2014).

In discussing elements that determine good from bad leadership, Lawrence and Pirson (2015) conceptualized that “good and responsible leadership is in fact moral leadership” (p. 391). A moral/ethical leader was found to be highly significant but located within the context of an overall spiritual leadership approach (Ah-Kion & Bhowon, 2017; Kreber et al., 2007; Bolman & Deal, 2001; Burns & Todnem, 2012; Freeman, 2011; Levine & Boaks, 2014; Salter et al., 2014) and possessing the following attributes: strong values and morals; leads from the heart; in touch with their spirit; fair; and honest.

In explaining Bass and Avolio’s (1994) full range leadership model and moral development, Salter et al. (2014) indicated that, “if a leader’s moral maturity effects their

perception of a leadership style's effectiveness, the recognition and concern for effective communication between follower and leader should be enhanced" (p. 17). While Remund (2011, as cited in Salter, Harris, & McCormack, 2014) found that leaders feel responsible for ethical conduct within an organization but must balance this objective with the sense of responsibility for helping achieve organizational goals and simultaneously serving the public good. Salter et al. (2014) also indicated that spirituality and moral development could impact leadership:

Leaders change styles in order to better motivate their followers to higher productivity, the understanding of the relationship between a leader's preferred leadership style and their moral development will aid followers and the leader's leader as to what motivates the mechanisms they utilize to communicate to and motivate others. (p. 17)

The literature on moral/ethical leadership within the context of spirituality supported the conceptualization of principled leadership as part of this study (see Table 2–2).

Servant Leadership

A servant leader was described in Table 2–1 as: servant first; serves others; serves the ideas and values that shape community; they are a relational leader; operate with moral authority; make the switch from hierarchical to steward; leadership is built on trust; acts with humility; combines desire to serve with motivation to lead; exercises empathy; is authentic; works with purpose; and, is a connected leader (Fry, 2003; Greenleaf, 1977, 2003; Sergiovanni, 1996, 2005; Wallace, Ammeter, Thomas, Hayek, & Novicevik, 2014). Greenleaf's seminal work on servant leadership puts forward the notion that the servant leader is attuned to basic spiritual values in serving others including colleagues, the overall organization, and greater society. The servant

leader serves others where caring is the motive so as to enable those individuals to become “healthier, wiser, freer, more autonomous, more likely themselves to become servants” (Greenleaf, 1977, p. 27). Through their evaluation of servant leadership attributes Russell and Stone (2002), found nine functional attributes of servant leadership, they are: vision, honesty, integrity, trust, service, modeling, pioneering, appreciation of others, and empowerment.

The literature tended to connect servant leadership with spirituality where Freeman (2011) provided a strong argument in connecting service to spirituality, “spirituality is the motivational basis for servant leaders to engage others in authentic and profound ways that transform them to be what they are capable of becoming” (p. 129). A further connection tied servant leadership to spirituality and virtue where it was noted that, “both the servant leadership and spirituality constructs appeal to virtuous leadership practices and intrinsic motivation factors to cultivate a sense of meaning and purpose” (p. 129).

Servant leaders are in service of others, lead with heart, not necessarily through love, and are soundly firm in morals/ethics, with a respect for others, which is consistent with the literature (Freeman, 2011; Fry, 2003; Greenleaf, 1977, 2003; Russell & Stone, 2002; Sergiovanni, 1996, 2005; Wallace, Ammeter, Thomas, Hayek, & Novicevik, 2014). Although Sergiovanni (1996, 2000) described love in the form of servant leadership and through encouraging the heart; he didn’t provide a definition that included the need for love as a key element of servant leadership. It was however, widely agreed that servant leadership is about ministering to the needs of, providing oversight for, and protecting those under one’s care.

In discerning servant leadership as part of the conceptualization of principled leadership, the following was identified: a) connected to the element of spirituality, b) not necessarily

apparent that it is connected to a knowledge of self, identity, and personal values, connected beyond oneself, and c) a deep sense of integrity and trust (Table 2–2). Given this, the elements of servant leadership were applicable to the conceptualization of principled leadership when understood within the context of spiritual and authentic leadership and their associated attributes.

Transformational Leadership

It was challenging to consider transformative leadership without thinking of the leadership reformation over the last twenty years as historically connected to change, and not necessarily removed from transactional leadership (Burnes & Todnem, 2012; Eisenback, Watson, & Pilai, 1999; Gill, 2003; Kotter, 2005). In discussing transformational leadership and change, Burnes and Todnem (2012) compared leadership and management in the context of transformation, and indicated that, “leadership is essentially concerned with bringing about transformational change. Management is primarily concerned with achieving stability and predictability by ensuring that subordinates comply with the rules, regulations and working procedures” (p. 241).

In describing a leader, Kotter’s (1990) seminal work discussed leaders as those who ignite change, that leadership produces useful change (Kotter, 2005). Whereas, Burnes and Todnem (2012) described a leader as one who “is essentially concerned with bringing about transformational change” (p. 241). In describing transformational leadership, Gill (2003) identified an effective leader as one who “wins people’s souls and an emotionally intelligent leader as one who wins people’s hearts” (p. 311).

Table 2–1 provides a general definition of a transformative leaders as having the following characteristics: charismatic; enthusiastic; passionate; visionary; energetic;

inspirational; encouragement of ethical and moral behaviours in others; engenders trust; admiration; loyalty; and, respect (Avolio & Bass, 2002; Bass & Avolio, 1990; Bryman, 2007; Burnes & Todnem, 2012; Burns, 1978; Eisenback et al., 1999; Gill, 2003; Dent, Higgins, & Wharff, 2005; Miller, 2006). It was widely agreed that transformational leaders possess a very specific set of skills, knowledge, and attributes appropriate for leading certain types of change (Burnes & Todnem, 2012; Eisenback, Watson, & Pilai, 1999; Gill, 2003). In discussing transformational leadership in the context of change, Eisenback et al. (1999) that “certain transformational leadership qualities are uniquely appropriate for leading certain types of change” (p. 84).

In asking the question “Do transformational leaders integrate spirituality into their leadership style”, Klenke (2003) argued that a “transformational leadership that is moral implies influencing change consistent with ethical principles and articulating needs and choices” (p. 58). Whereas, Dent et al. (2005) warned that this may not always be the case, and discussed the dark side of transformational leaders focused on their own agenda:

While the ethical ethical/moral transformational leader is connected to friends, family, and community, the pseudo-transformational leaders may trample upon those relationships to advance his or her own agenda ... presenting themselves as spiritual leaders, they may instead actually be false prophets. (p. 642)

In comparing the core elements of a transformational leader to those included within the conceptualization of principled leadership there was not conclusive evidence that a transformational leader was firm in knowledge of self, had a desire to bring out the best in

others, or was connected beyond oneself. Although a transformational leader encourages ethical and moral behaviours, is inspirational, and charismatic, it was not evident that they operate with high moral integrity, strong ethics, or values. In addition, the elements of love, humility, and spirituality were not indicated to be attributes of a transformative leader.

Emotionally Intelligent Leadership

In discussing the conceptualization of principled leadership and emotionally intelligent leadership, there was alignment with the elements of: care (strong emotions that engender care); self-aware (authenticity); ethical; and, trust, loyalty, and respect (see Table 2–2). The emotionally intelligent leader was described as one who leads from a place of emotion, and from a place of care (Avolio et al., 2004; Gill, 2003). The emotionally intelligent leader is one whom Gill (2003) proposed has well-developed emotional intelligence- “the ability to understand oneself and other people, display self-control and self-confidence, and to respond to others in appropriate ways” (p. 311). Avolio et al. also provided insights regarding emotional intelligence in that, “emotions can help individuals to develop more adaptive responses to setbacks and stressors that they face in their work environments. Table 2–1 provided the following attributes of emotionally intelligent leaders: high emotional resilience; highly motivated; interpersonal sensitivity; influence; highly intuitive; conscientious; strong integrity; and, exercises self-control and self-awareness (Higgs, 2000, 2002; Higgs & Rowland, 2002; Dulewicz & Higgs, 2000).

The elements of emotionally intelligent leadership are applicable to the conceptualization of principled leadership when understood within the context of spiritual and servant leadership and their associated attributes. The attributes of both spiritual and servant leadership, if combined, support emotional intelligent leadership within the context of principled leadership.

Table 2–1.
Leadership Theory Comparison

Theory	Characteristics	Theorist/Scholar
Principled Leadership	Authentic leadership qualities with an identity that is rooted in love and spirituality.	Agote, Aramburu, & Lines, 2015; Avolio, Gardner, Walumbwa, Luthans, & May, 2004; Avolio & Gardiner, 2005; Kreber et al., 2007; Bolman & Deal, 2001 Bracher, 2006; Covey, 1990; Coleman, 1998; Cranton, 2001, Fromm, 1969, 2006; Gill, 2003; Gold, Evans, Earley, Halpin, & Collarbone, 2003; Halpin, 2009; Hooks, 2000; London, 1999; Lopez, 2010; Palmer, 1998; Tisdell, 2000, 2003, 2006; Tisdell & Tolliver, 2001; Sergiovanni, 1996, 2005; Walumba et al., 2008; Wenger, 1998.
Servant Leadership	Leaders is servant first; serves the other; serves the ideas and values that shape community; a relational leader; moral authority switch from hierarchical to steward leader; leadership is built on trust; acts with humility; combines desire to serve with motivation to lead; and, ministers to others.	Freeman, 2011; Fry, 2003; Greenleaf, 1977, 2003 Russell & Stone, 2002; Sergiovanni, 1996, 2005; Wallace, Ammeter, Thomas, Hayek, & Novicevik, 2014.
Authentic Leadership	Deep personal values and convictions; genuine communication; relational; encourages diverse viewpoints; in touch with identity'; remains true to their core values, identities, preferences, and emotions; transparent; capacity to build trust; genuine; and, credible.	Agote, Aramburu, & Lines, 2015; Avolio, Gardner, Walumbwa, Luthans, & May, 2004; Avolio & Gardiner, 2005; Kreber et al., 2007; Lord & Brown, 2004; Walumba, Avolio, Gardner, Wernsing & Peterson, 2008; Wenger, 1998.

Leading with Emotional Intelligence (EI)	High emotional resilience; highly motivated; interpersonal sensitivity; influence; highly intuitive; conscientious; strong integrity; and, exercises self-control and self-awareness.	Higgs, 2000, 2002; Higgs & Rowland, 2005; Dulewicz & Higgs, 2000.
Transformational	Charismatic; enthusiastic; passionate; visionary; energetic; inspirational; encouragement of ethical and moral behaviours in others; engenders trust; admiration; loyalty; and, respect.	Avolio & Bass, 2002; Bass & Avolio, 1990; Bryman, 2007; Burnes & Todnem, 2012; Burns, 1978; Dent, Higgins, & Wharff, 2005; Eisenback, Watson, & Pilai, 1999; Gill, 2003; Miller, 2006.
Spiritual Leadership	In touch with the spiritual; look to find ultimate meaning and purpose; live as a whole person; live a fully integrated life, and, in touch with their heart.	Bolman & Deal, 2001; Freeman, 2011; Harris & McCormack, 2014; Hooks, 2000; Kreber et al., 2007; Tisdell, 2000, 2003, 2006; Tisdell & Tolliver, 2001.
Moral/Ethical Leadership	Displays commitment to right action; strong values and morals; virtues; leads from the heart; in touch with their spirit; giving; honest, fair; social responsibility; leads with the head-how the world works, leads with the hand-decisions/actions/behaviours.	Ah-Kion & Bhowon, 2017; Bolman & Deal, 2001; Burns & Todnem, 2012; Levine & Boaks, 2014; Salter, Harris, & McCormack, 2014; Rhode, 2006; Sergiovanni, 1996, 2005.

Table 2–2.
Principled Leadership: A Comparison of Theories Relevant to an Ethic of Care

Principled Leadership	Servant Leadership	Authentic Leadership	Emotionally intelligent leader	Transformational Leader	Spiritual Leader	Moral/Ethical Leader
Genuine desire to believe in, and care for others. Desire to bring out the best in others	Caring. Serves. Builds relationships. Ministers to others	Genuine. Highly emotional.	Caring. Strong emotions that engender care.		Ministers to others	Giving. Social responsibility
Knowledge of self, identity, and personal values, connected beyond oneself		Strong sense of identity. True to their core values, preferences, and emotions	Self-aware. Manage one's own feelings and emotions.			
High moral integrity. Strong ethics base, respect. Dignity, strong values.	Acts with moral authority. Strong ethics.	Deep personal values/convictions.	Conscientious. Ethical Behaviour.	Encourages ethical and moral behaviours.	Strong ethics. Moral connections.	Strong values and morals/virtues. Displays commitment to right action
Deep sense of integrity and trust.		Builds trust.	Engenders trust, admiration, loyalty, and respect.	Inspirational. Charismatic		

Love: giving, nurturing, choice to act out of love, caring.	Encourages the heart.			Leadership emanates from within the heart	Leads from the heart.
Humility is core to leadership.	Understands the importance of humility.				
Spirituality is core to leadership.	Uses terms that indicate deep spirituality.	Could be spiritual		Deeply spiritual.	In touch with their spirit.

Leading Change

This section explored the theoretical concepts associated with change theory as a component of the study researching the conceptualization of principled leadership. It was important to explore leadership theories that related specifically to change theory as the study integrated interview questions surrounding leadership as part of leading a change phenomenon. Although it is beyond the scope of this chapter and this study to examine change theory, this section provided an overview for context within the limitations of the study. Given this, two change themes were examined for connection and purpose. The first theme explored change from the organizational perspective (macro level), including Kotter's (1990, 1996) seminal work on systems and organizational change; and the second theme examined the Concerns-Based Adoption Model (Hall, 1974, 2013; Hall & George, 1979; Hall & Hord, 2011; Kapustka & Damore, 2009), which focused on the impact of change on the individual (micro level perspective).

These two change themes were relevant to the conceptualization of principled leadership as principled leadership is primarily concerned with the impact of the leader on those whom they lead within the organization first, and their impact on the organization, second. Change enacted by transformational leaders was also identified as a successful change approach in the traditional change management literature and discussed within the context of macro change (Burnes & Todnem, 2012; Gill, 2003; Higgs & Rowland, 2000, 2005; Kotter, 1990, 1996, 2005; Lawler & Sillitoe, 2010). This next section discussed the theories associated with change, the core elements of change, the Concerns-based Adoption model (CBAM), and its impact on the individual.

The scope of this review is limited due to the multifaceted and highly complex nature of change where the understanding of change and how it is measured within the literature is

completely varied depending on the context. Although change can be found to be a natural process of an organization, and thus inherently a component of leading organizations, the following theoretical concepts were found within the literature and included, but were not limited to, change within higher education: change management; change leadership; educational development; institutional change; organizational development; organizational change; and, organizational change management (Burnes & Todnem, 2012; Gill, 2003; Griffith-Cooper & King, 2007; Higgs & Rowland, 2000, 2005; Kotter, 1990, 2005, 1996; van Rhyn & Holloway, 2004; Weston, Ferris, & Finkelstein, 2017).

In explaining change within higher education institutions, Weston, Ferris, and Finkelstein (2017) defined traditional educational development as, “trying to foster a better institutional environment for teaching and learning” (p. 270), where organizational development was considered to be organization-wide, led from the top, and resulted in organizational effectiveness (p. 276). In their move toward a new definition of change leadership, Griffith-Cooper and King (2007) identified that change management refers to the human aspects of change, where project managers use tools and processes to control change, but people are at the center (p. 14). Change leadership, organizational change management, and educational development pointed to processes that primarily involved and/or impacted human behavior, while change, organizational change, institutional change, and organizational design focused primarily on processes, techniques, and output. For the purpose of the study, change and change management was the focus of the theoretical literature within the context of change at the macro level.

The definition of change differed in the literature however, there was agreement within the theoretical literature that change is an ongoing phenomenon where, “regardless of whether the setting is a school, a business, a village or a state, improving outputs and outcomes requires

change” (Hall, 2013, p. 264). In describing change, Lawler and Sillitoe (2010) further acknowledged the challenges associated within Australian higher education institutions and said that change is, “minimizing disruption to the conduct of existing institutions while introducing deep-seated alterations to traditional ways of working” (p. 43). Kotter (2005) described change as creating a new system and then institutionalizing the new approaches, and made the assumption that change is linear; it is driven from the top.

van Ryn and Holloway (2004) identified that top-down dictatorial change management decision-making processes are not successful and have the ability to disempower those who are affected. (p. 6). van Ryn and Holloway recommended a change framework that is collaborative and facilitative. They also highlighted the focus of contemporary literature on issues of resistance and barriers to change, the impact of power and influence, and warned that, “the literature is fully cognizant of power and self-interest issues that can taint and effectively corrupt the process of change management such that the end outcome[s] are problematic” (van Rhyn & Holloway, 2004, p. 6). Lawler and Sillitoe (2010) discussed change in relation to internal and external higher education stakeholders and the need to discern, successfully integrate, and minimize negative impact. Lawler and Sillitoe warned that “change must be carefully instituted into higher education systems where individual students and staff careers are at stake, the likelihood of organisational silence is high and the future of national research and training priorities are directly involved” (p. 46). These same authors described that resistance and the barriers to change are influenced by the leaders who lead change, those who are responsible for implementing change (not necessarily the leader), and the impact of the overall organization readiness to change.

Lewin's (1947) seminal model of change has profoundly impacted the change literature. The recognition that the organizational culture needs to be unfrozen as a part of his three-step change processes: 1.) unfreeze current processes, 2.) institute change or move to new system, and 3.) freeze attitudes and practices; has persistently influenced and challenged change management theorists. Where Kotter's (1996) *model of change* moved beyond traditional change management models and has been used widely in diverse organizations. It provides a systematic approach inclusive of all employees and departments within an organization. Kotter's *model of change* includes eight stages with the recommendation that all stages be completed as part of a successful change management approach. They are: 1.) Establish a sense of urgency; 2.) Create a guiding coalition; 3.) Establish a shared vision; 4.) Communicate the change vision; 5.) Empower employees for broad-based action; 6.) Generate short-term gains; 7.) Consolidate gains and produce more change; and, 8.) Anchor the approaches in the new culture. Kotter's *model of change* continues to provide the most inclusive process for macro change and was considered to be an appropriate and reasonable change process that guided the inquiry process for the study.

Higgs and Rowland (2005) argued that although there is a growing need for change in organizations it is widely acknowledged that up to 70% of change initiatives fail (p. 122). The reason for this is debated by scholars, where in their study on leadership behaviours and change, Higgs and Rowland noted that, "there appears to be an absence of empirical research that explores the relative efficacy of different approaches to change" (p. 128). It was evident that the change literature had not fully explored the linkages between leadership behaviours, change models, and change effectiveness (p. 128). The next section explored leadership and its connection with change management.

Leadership and Change Management

There was a noted connection in the literature aligning leadership with traditional forms of change management, which may be due to the continued linkage between the need for strong leadership; those who can influence change, and the degree to which an organization can manage and deliver significant organizational change (Burnes & Todnem, 2012; Gill, 2003; Griffith-Cooper & King, 2007; Higgs & Rowland, 2000, 2005; Kotter, 2005; van Rhyn & Holloway, 2004; Weston et al., 2017). These same authors suggested that when an organization is confronted with challenges, there is a need for change, either internal or external change. Van Rhyn and Holloway (2004) indicated that the dominant paradigm for change in higher education institutions has been the traditional change management approach where, “leaders and managers are solely responsible for making the key decisions within an organization and are also accountable for ensuring successful change management processes” (p. 5).

In discussing change process as it related to leadership, authors connected leadership with management, made the distinct difference between leadership and management, or agreed that change requires both. Gill (2003), agreed that change is about leadership and management, it is “an organization on a journey from its current state to a desired future state and dealing with all of the problems that arise along the journey” (p. 309). Kotter (2005) described management as one that produces orderly results and keeps things moving efficiently, wherein leadership produces useful change, and both are needed if institutions are to flourish (Higgs & Rowland, 2005; Kotter, 1990).

Burnes and Todnem (2012) noted the challenges of organizational success with instituting change, “in viewing leadership and change, we are looking at phenomena which are vital for organizational success, but difficult to undertake successfully” (p. 240). It was evident

that management is considered to be an integral process to change but change requires leadership, as Gill (2003) described, “change efforts that are purely ‘managerial’ in nature, especially those that are mismanaged, result in a lack of dedicated effort, conflict between functional areas and resistance to change” (p. 308). Gill further reinforced: “while change must be well managed – it must be planned, organized, directed and controlled – it also requires effective leadership to introduce change successfully; it is leadership that makes the difference” (p. 307). Higgs and Rowland (2005) cautioned that, “leadership behaviours that center on the position, role and power of the leader and their abilities (e.g., those behaviours captured by the factor shaping behaviour) do not appear to be related to the success of a change intervention” (p. 143). It can be argued that the need for leadership discernment in the 21st century is directly related to the need to understand how to manage and implement change effectively in order to maintain institutional relevance. Understanding the difference between leadership and management was important to studying leadership and change.

As indicated previously, it was shared amongst authors (Burnes & Todnem, 2012; Gill, 2003; Higgs & Rowland, 2000, 2005; Kotter, 1990) that change is primarily about leadership. Given the nature of 21st century organizations today and the consequent demands on leadership, Burnes and Todnem, (2012) and Kotter, (1990) claimed that organizations need strong leaders that guide the way while winning the hearts and minds of those who work together towards a common goal. In supporting that leadership and change are intertwined, Burnes and Todnem further stated that leaders must possess a moral compass that guide their actions, decisions, and freedom.

The literature supported the need to move away from the transactional leadership found in institutions prevalent in the 21st century, and toward stronger leadership as a means of

supporting change, one that incorporated the attributes of a transformational leader. Eisenback et al. (1999) illustrated the point that there is a “need to integrate the perspectives surrounding change and transformational theory to gain a greater understanding of how to effectively enact change” (p. 84). In the case of learning organization theory, Prewitt (2003) discussed transformation as the key to positive change in order to meet new strategic directions and stated: “to be a learning organization one must be continuously transformed” (p. 58). A leader within the context of change was described as one who ignites and/or produces useful change that may be transformational (Burnes & Todnem, 2011; Kotter, 2005).

Higgs and Rowland (2005) identified five leader competencies for implementing successful change. This helped to create a foundation for integrating change theory into the overall study. They were:

1. Create the case for change. Engage others in recognizing the need for change;
2. Creating structural change. Ensuring that the change is based on depth of understanding the issues and supported by a set of tools and processes;
3. Engaging others. Engage others in the process and building commitment;
4. Implementing and sustaining changes. Develop effective plans, ensure good monitoring, review practices are developed; and,
5. Facilitating and developing capability. Ensure people are challenged to find their own answers and supported in doing this. (p. 199)

These competencies; engage others, ensure understanding, good communication through monitoring and effective practices, facilitating and developing capability were noted to be applicable to the conceptualization of principled leadership attributes and key to this study as the

impact of leader efficacy on the organization was integral. However, the roadmap to change still continues to be a linear one within this framework. The insights of Griffith-Cooper and King (2007) who proposed change leadership as a new term that deals with the human aspects of change were considered in this study.

Change leadership refers to “a set of principles, techniques, or activities applied to the human aspects of executing change to influence intrinsic acceptance while reducing resistance. Intrinsic acceptance is individual internalization of a change – a choice to move forward with the future state” (Griffith-Cooper & King, 2007, p. 14). It involves moving away from top-down traditional forms of change management and involves collaboration between leaders and their teams in which they “construct change together...acceptance and ownership will be embraced with less resistance” (p. 15). Within change a leadership approach, two-way communication between all stakeholders was indicated to be key. Within the conceptualization of principled leadership an intervention, humanistic in approach, could provide for more sustainable results within change management strategies.

The theoretical literature on change highlighted transformational leadership as a historical component of a successful change strategy. The conceptualization of principled leadership integrated the attributes of a leader concerned with the humanistic-side, and individual growth and development of those they lead and thus, the need to discern change management from the micro (individual impact), perspective was important as part of determining a change management approach aligned with the conceptualization of principled leadership. A review of the *Concerns-Based Adoption Model* provided theoretical insights regarding impact of the leaders' approach on individuals within the organization and will be discussed in the next section.

Concerns-Based Adoption Model (CBAM)

The Concerns-Based Adoption model (CBAM) provided an evidence-based approach to change in the education sector for the past four decades where seminal research, examination, and application was thoroughly identified throughout the literature (Hall, 1974, 2013; Hall & George, 1979; Hall & Hord, 2011; Kapustka & Damore, 2009). In his research and work in change processes over the last forty years, Hall (2013) argued that change processes have become too predictable and continue to focus on the problem, working to attain a desired outcome rather than focusing on the impact of individuals. Hall further noted that complexity, time, and persistence remain integral to change implementation and provided insights to the continued need for the integration of CBAM (p. 265).

In their initial conceptualization of the CBAM, Hall and George (1974) identified that the “individual must be attended to in establishing a frame of reference for understanding, studying and managing the change process in organizations ... it is essential to focus on the individual” (p. 5). Hall and George emphasized the attitudes, perceptions, and feelings of the individual and supported their model as a “valuable tool for researchers, evaluators, staff developers and change facilitators who need to know about individuals as they are involved in change” (p. 5). The CBAM also emphasized that “change is a personal and developmental process, and any research into it must take into account the unique characteristics and points of view of all participants” (Kapustka & Damore, 2009, p. 119). Hall further argued that these assumptions are as important today as they were 40 years ago and the need to focus on the individual as part of a successful change initiative is relevant (p. 265). Kapustka and Damore (2009) supported the relevance of the CBAM in their study noting that the “essence of the CBAM is that the concerns of the individual participants (generally, the teachers) regarding the implementation of educational

innovation can have a deep impact on the success or failure of an initiative” (p. 120). The relevance of CBAM is felt throughout the world, as noted by Dudar, Scott, and Scott (2016), where it has been explored and integrated into educational research in the following countries: Australia, Bangladesh, Belgium, Canada, Cyprus, Hong Kong, the Netherlands, South Africa, and the United States (p. 50).

Three major assumptions underpin the CBAM (Hall & George, 1974, Hall, 2013). The first assumption is that “change is a process not an event ... in most settings the change process will take three to five years, or even longer depending upon the organizational context” (Hall & George, 1974, p. 265). The second foundational assumption is that “an organization does not change until the individuals within it actually implement the new way” (p. 265). This assumption focused on the dependency of the notion that individuals are required to enact the change. The third assumption and one most applicable to the study is that, “for individuals change is a personal experience. People have different feelings and perceptions as a change process unfolds. Change always involves some degree of growth in personal confidence and competence” (p. 265). Hall (2013) provided the three diagnostic dimensions as a means of helping to provide scales for understanding change, they are: Stages of Concern (SoC) address the personal side of change, measuring the concerns and feelings that an individual may have during the change process; Levels of Use (LoU) describe the different behavioral profiles of non-users and users and details eight level of use with regard to the change; and Innovation Configurations (IC) represent the possible operational forms of the change” (Hall, 2013, p. 265). The diagnostic dimensions provide an approach in which to gage the implementation of change from the individuals’ perspective.

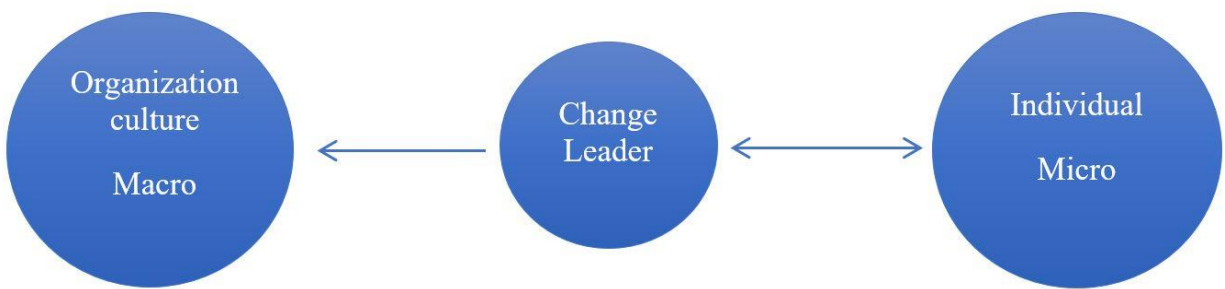
Hall identified the user system, the resources system and the collaborative adoption system in explaining the CBAM. In Hall's (1974) model, the leader works with the individual as well as with groups, and focuses on "assessing the temporal state of the individuals within the system" (p. 4). The key to this was collaborative linkages, individual focus, and interventions that measured, supported, and responded to individuals' concerns. All important to this study, and thus, the CBAM was significant to this study as it pointed not only to the impact of change on the individual but focused on how the individual responds to, and implements, change. The CBAM asks a critical question, "Who is at the helm of the change process?" Hall (1974, 2013) indicated the CBAM was designed to provide leaders with indicators as to the effects of an innovation and explored change processes with a focus on the impact of change on the individual and the extent to which they were concerned with the change or innovation Hall (1974, 2013).

The CBAM provided a micro perspective regarding change management incorporating a humanistic type approach highlighting the need to be aware of how the overall change process impacts individuals. The CBAM provides an intervention through a process that asks relevant and pertinent questions to ensure individuals are continuing to be part of the change process. Macro level change management theory focuses on broad system change. Typically, in higher education, presidents and senior management teams work on the macro level with a systems-wide perspective, rather than the micro level. Given the conceptualization of principled leadership, the leader must never forget the individual employee who is responsible for implementing the change and its impact on others. Integrating the CBAM model provided a pathway for ensuring the discernment of change from both the organization systems or organization change, and most importantly the individual.

Toward a Micro Level Perspective on Change: The Individual

The literature highlighted the difference between traditional models of change, the transformational leader as a response to transactional change management, and provided the opportunity to discern change from the macro and micro perspective. Figure 2.2. depicted the leaders impact at the micro level of an organization. Within the theoretical insights regarding the CBAM and change leadership theory, this illustration shows that change occurs at the micro level where the focus of the change strategy is on the impact of change on the individual first, and the organization second. This micro level perspective focused on the dynamic leader-employee relationship where the leader is able to impact change based on their relationship with the individual involved with either implementing and/or being impacted by change. In this case, the impact of change on others is critical to their leadership approach. Within the conceptualization of principled leadership, the principled leader is interested in the human interactions involved with organizational change where their focus is on the other person. This provides a dynamic, two-way process based on authentic, honest, clear communication, and feedback, while enabling others to be part of the process where the individual is then able to impact the organization positively in enacting change (and only then can change truly be realized).

Figure 2.2. The Possible Impact of a Change Leader within the Conceptualization of Principled Leadership



Integrating leadership and change theory into the research literature provided a framework in this study that: helped to validate the research questions; created a foundational approach for research inquiry; helped to compare and contrast the analysis of the data; and, helped in comparing and contrasting the emergent data so as to provide direction regarding future study regarding change. The next section discussed the implications of the research on the study.

Implications of the Literature

This literature review provided detailed insights into the research claim and its subsequent concepts postulated in the study. The literature supported the claim that post-secondary institutions can be effective in managing the current challenges associated with Higher Education in the 21st century through the conceptualization of a principled leadership approach. It supported the proposition that institutions of higher learning can provide enriched, transformative environments when they are based in genuine, caring, authentic, and a loving leadership approach. Incorporating change management and change leadership theory into the literature inquiry enabled this researcher to find ways in which to tactfully activate the research inquiry process so as to enable deeper pondering of the research questions.

Chapter 3 – Research Design

Section A: Methodological Theory & Approach

This chapter provided an overview of the research design, methodology, methods, as well as the philosophical framework underpinning the research study. The purpose of the research study was to explore the conceptualization of principled leadership; that is, the relationship between a leader's values/beliefs and how these may serve to influence his/her effectiveness as a leader, particularly within contexts of change in higher education. The research focused on the attitudes and beliefs that are characteristic of successful higher education leaders, particularly those who had effectively navigated a change initiative.

The mixed methodological approach as a strongly supported research methodology (Creswell, 2009; Crotty, 1998; Johnson & Onwuegbuzie, 2004; Smith, 1997; Teddlie & Tashakkori, 2006) was examined as an appropriate methodology related to the epistemological stance of the researcher, research participants, and overall research design. The data was elicited by means of two methods, semi-structured interview and a questionnaire. Once the data was collected, connections to the conceptualization principled leadership elements were examined leading to a deeper understanding of change leadership. The key proposition for the study was to identify what it is that promotes leader effectiveness when navigating change and whether the conceptualization of principled leadership as defined within the study was key to this process.

Research Paradigm

This study utilized a mixed methodology research approach underpinned by the pragmatic philosophical orientation or paradigm (Morgan 2007; Smith, 1997). According to Smith (1997) a paradigm is a “formal philosophical system and as such is bound by logic and inner consistency” (p. 74). Guba and Lincoln (2005) referred to a research paradigm as a

worldview that provides a foundational lens through which researchers understand, decipher and act upon “a basic set of beliefs that guide action” (p. 17). Combs, Bustamante, and Onwuegbuzie (2010) described the importance of the researcher’s lens in developing the research instruments and note three dimensions of belief systems as related to: “(an) overall worldview, (b) research philosophy, and (c) discipline-specific philosophy. Even though the relevance of incorporating a research paradigm or ‘worldview’ has been debated; it was important in determining whether there was relevance for supporting the use of a mixed methodological approach to be used in this research study (Creswell, 2009, 2012, Crotty, 1998; Morgan, 2007). Situating myself within the research through the acknowledgement of these belief systems was key to ensuring that I employed the most appropriate philosophical stance and effective methodology throughout the research design process. The following section provided further insights into the research paradigm and rationale for its integration into the research study.

Creswell identified the four main research paradigms or worldviews related to research, as: postpositivist, constructivist, advocacy, and pragmatic (Creswell, 2009). Researchers (Crotty, 1998; Creswell, 2012; Creswell & Plano Clark, 2007; Phillips & Burbules, 2000) continue to debate the relevance of these paradigms; that is, which paradigm should support the field of research to be undertaken (Creswell & Plano-Clark, 2007). The postpositivist paradigm stems from the positivist field of the research, gathering objective data through quantitative research while considering biases. The postpositivism stance branches from the field where researchers integrate “constructing knowledge rather than passively noting laws that are found in nature” (Crotty, 1998, p. 31). This is where the scientific method is used to support or refute statements (Phillips & Burbules, 2000). A constructivist paradigm, also known as an interpretive paradigm, includes the subjective view of those participating in the world around them where researchers

attempt to understand the perspectives of participants through qualitative research (Crotty, 1998). Based in constructivism, it is defined as when the research participants are “engaging with objects in the world and making sense of them” (Crotty, 1998, p. 79). An advocacy/participatory paradigm extends the constructivist paradigm, specifically considering the power issues that are present in the world of marginalized people. However, this paradigm is not exclusively associated with qualitative research and often includes the participants of the study in designing the study itself (Creswell, 2009).

The pragmatic paradigm is primarily focused on “the outcomes of the research—the actions, situations and consequences of inquiry—rather than antecedent conditions” (Creswell, 2007, p. 22). As part of a pragmatic paradigm, both quantitative and qualitative method approaches can be utilized in a single study. Using this approach, the researcher is not restricted to a single research approach where multiple approaches are endorsed in mixed methods research (Johnson & Onwuegbuzi, 2004). In doing so, identified deficits of any one method can be ameliorated by the inclusion of other methods. For example, although quantitative results can afford causal relationships, the specific and contextual details may require further qualitative research to best yield answers to the research questions. Through approaches such as triangulation, the researcher can compare or expand on both qualitative and quantitative results (Creswell & Plano Clark, 2007).

Pragmatic Orientation

This section reviews the pragmatic orientation and its relevance to this research study, in underpinning mixed methodology. In advancing the determinants for the research in this project, the most intuitive, philosophical system, or paradigm most appropriate to the researcher was to integrate the pragmatic orientation (Smith, 1997). The pragmatic paradigm can be described as

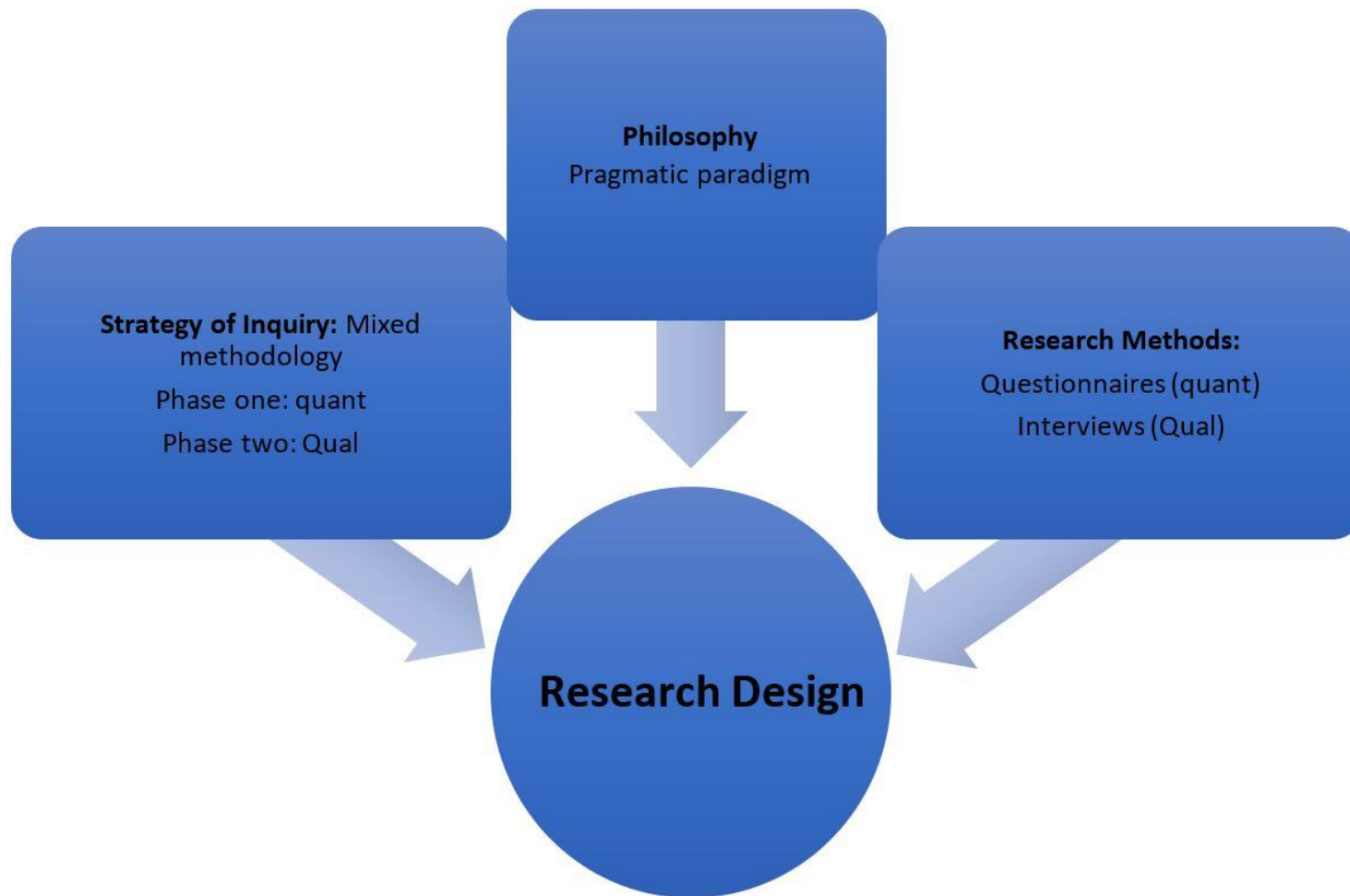
one in which the most important aspect of the research focuses on the research problem and finding solutions to the problem, whether this is determined by quantitative means, or qualitative means, or a combination of both (Creswell, 2003; Creswell & Plano-Clark, 2007). A pragmatic orientation is considered to be a philosophical underpinning of mixed methodology, where the researcher within this paradigm uses many approaches to understand the problem, and focuses on the problem rather than simply the method (Creswell, 2003, p. 11). Pragmatism allows researchers to use “multiple methods, different worldviews, and different assumptions, to different forms of data collection and analysis” (Creswell, 2004, p. 12). It provided the researcher the opportunity to engage both qualitative and quantitative methods while focusing on the consequences of inquiry where Smith (1997) noted the “analysis is the construction of the inquirer, she is free to learn from components that focus on different questions, units, and variables” (p. 76). Further to this, “taking a non-purist or compatibilist approach or mixed position allows researchers to mix and match design components that offer the best chance of answering their specific research questions” (Johnson & Onwuegbuzie, 2004, p. 15). This provided the researcher the fluidity to entrust an integrative flow to the overall research design process. The pragmatic paradigm was most suitable for this study as it allowed for multiple methods as a means of retrieving rich data from the respondents in responding to the research question.

For the purpose of this study, pragmatism, as a research philosophy, provided an embracing approach for social sciences research leading to mixed methodology, where it “moves past the paradigm wars by offering a logical and practical alternative” (Johnson & Onwuegbuzie, 2004, p. 17) by offering an alternative that allows for a creative approach, to be expansive in design rather than limited by a singular method. This was relevant to my research paradigm

because I subscribe to that of pragmatist researchers who “agree that research always occurs in social, historical, political, and other contexts (Creswell, 2003, p. 12), and “legitimizes the use of multiple approaches in answering research questions, rather than restricting or constraining researchers’ choices” (Johnson & Onwuegbuzie, 2004, p. 17). By maintaining a pragmatic orientation, I remained astute to leadership construct bias as noted by Smith (1997), “because evaluation is a social action, an act of inquiry rests also on expectations of what standards the relevant community will likely apply to it” (p. 73). This philosophically aligned with my approach where the social constructs, the philosophy of the researcher and the research participants were intertwined, where “ontology and epistemology are bound up together. How human beings know and are known, and what knowledge consists in, is inextricably bound up with the kinds of things human beings are” (Crotty, 1998, p. 16). This was particularly important to understand and integrate as a researcher where it raised complex ontological and epistemological questions. Philosophically, the epistemological drivers as a researcher put forward the notion that leadership qualities, attributes, characteristics are socially constructed both individually and through community with each other (Johnson & Onwuegbuzie, 2004). This particular lens was relevant to the research study as leadership qualities can be socially driven but also are individually constructed norms of behavior and are sometimes ideologically integrated into a subconscious or conscious nature of leadership dwelling. In this particular situation, the research sought to explore whether or not the conceptualization of principled leaders was evident in leaders who had navigated a change phenomenon. The purpose was to extract that “knowledge claims arise out of actions, situations, and consequences rather than antecedent conditions (as in post positivism)” (Creswell, 2003, p. 11). This ties into the research stance of the early constructivists who reject the notion that people learn by building up an

accumulation of neutral observations and believe that knowledge is “actively constructed and, accordingly, as not neutral but culturally and historically contingent, laden with moral and political values, and serving certain interests and purposes” (Howe, 1998, p. 14). Utilizing a pragmatic approach in the research design helped to ensure the incorporation of appropriate questions so as to mitigate presumptions regarding principled or un-principled leaders as a means to extract purposeful data that provided utility for further study or integration.

Figure 3.1. Research Framework



The research framework in Figure 3.1 provides a visual description of the overall research plan followed in this study. This included the philosophical orientation or paradigm previously described, methodology, and strategy of inquiry; all of which were influenced by the pragmatic paradigm. The next section provided further insights into the research framework.

Qualitative research.

Creswell (2007) provided a working definition of qualitative research whereby it:

Begins with assumptions, a worldview, the possible use of a theoretical lens, and the study of research problems inquiring into the means individuals or groups ascribe to a social or human problem. To study this problem, qualitative researchers use an emerging qualitative approach to inquiry, the collection of data in a natural setting sensitive to the people and the places under study, and that data analysis that is inductive and establishes the patterns or themes. The final written report or presentation includes the voices of the participants, the reflexivity of the researcher, and a complex description and interpretations of the problem, and it extends the literature or signals a call for action. (p. 37)

Qualitative research is appropriate when a researcher has a problem or an issue that requires further exploration, and in this case, beyond quantitative findings (Creswell, 2007, p. 39). The advantage of integrating qualitative research into this study was that it provided me with the opportunity to garner further insights into the research participants through a ‘qualitative lens’ through conducting one-to-one interviews with research participants in their private work environments and directly integrating this into the data analysis. Integrating appreciative inquiry

into the one-to-one interview process allowed for deeper questioning as well as creating an opportunity to further build trust with the research participants. Appreciative inquiry will be further explored in the methods section. It is key to note that using only qualitative research in this study would have been too limiting, as it would have precluded the forming of an objective feedback process. Integrating quantitative instruments as well as qualitative instruments provided the opportunity for research participants to feel more at ease when providing feedback through the use of Quantitative Research.

Quantitative research.

Quantitative research has traditionally provided a measurement orientation in which data can be gathered from many individuals and trends assessed across large geographic regions (Creswell, 2008). Quantitative approaches alone could not have worked in this study due to its limitation in overlooking the uniqueness of individuals in the study (Creswell, 2007, p. 40), as it does not provide an opportunity to delve further into analysis facilitated through a qualitative lens. As noted by Creswell and Garrett (2008), “when researchers bring together both quantitative and qualitative research, the strengths of both approaches are combined, leading it can be assumed, to a better understanding of research problems than either approach alone” (p. 322). Using a mixed methodological approach provided a better understanding of the research problem and research participants.

Mixed Methodology

Mixed methodology in social and human science research began to appear about fifty years ago where it was being integrated into a variety of studies (Creswell, 2008). Although at that time mixed methods was not widely accepted as mainstream research methodology due to

the predominance of quantitative approaches, it began to inform and strengthen the collection and analysis of data and to provide a way to reduce bias when only using a single method approach (Creswell, 2008). Mixed methodology has become well established and recognized and represented a solid research approach in combining both quantitative and qualitative methods (Creswell & Garret, 2008; Tashakkori & Teddlie, 2003; Teddlie & Tashakkori, 2006) and was appropriate for my study. Mixed methodology provided the researcher an opportunity to employ strategies that enabled her to “describe and develop techniques that are closer to what researchers actually use in practice” (Johnson & Onwuegbuzie, 2004, p. 15). A mixed methodology was a relevant and appropriate research approach for this study as utilizing multiple methods allowed for perspectives as well as similar trends to be discovered throughout the research process and this wouldn’t have been as effectively accomplished without utilizing the strengths of both qualitative and quantitative research methods. The blending of these two approaches offered the best opportunity to discover depth and accuracy in answers to specific research questions (Johnson & Onwuegbuzie, 2004).

As previously indicated, a mixed methodology approach was used because it allowed for the incorporation of both quantitative and qualitative methods; to delve into approaches for inquiry into human behavior, education, and the personal experience of human subjects as it related to the conceptualization of principled leadership. Mixed methods permitted philosophical assumptions, notions, and, frameworks to be incorporated into the components of the methods enacted. It was a framework that holistically engaged the entire research process (Creswell & Plano-Clark, 2007). Working with human subjects through a multiple methods approach provided the opportunity for me to utilize the strengths of both quantitative and qualitative approaches and to proactively minimize the weakness inherent in each through a

“methodological pluralism ... to conduct more effective research” (Johnson & Onwuegbuzie, 2004, p. 15).

Methods

A mixed methodology research framework provided the ability to combine elements of “qualitative and quantitative research approaches (e.g., use of qualitative and quantitative viewpoints, data collection, analysis, inference techniques) for the broad purpose of breadth and depth of understanding and corroboration” (Johnson, Onwuegbuzie, & Turner, 2007, p. 123). It provided an opportunity where a more complete overall picture of the research participants was explored whereby the failure or limitations of quantitative analysis could be further picked up through the qualitative analysis. The goal was “not to replace either of these approaches but rather to draw from the strengths and minimize the weakness of both” (Johnson & Onwuegbuzie, 2004, p. 15).

Mixed methodology provided the opportunity to use both qualitative (interviews) and quantitative (questionnaire) research methods, that strengthened the research data collected and enabled the research problem to be better understood from different orientations and perspectives (Creswell, 2008). This was due in part because the data gleaned from the quantitative instruments allowed me to develop more appropriate and post-questionnaire proactive qualitative instruments, and vice versa, providing richer exploration of the research problem.

Sampling Frame

Building in purposeful sampling into the research study ensured research participants that supported both quantitative and qualitative research methods. Purposeful sampling supported these research methods as it enabled further understanding of the experience that the researcher

intended to study providing what Polkinghorne (2005) described as subjects that are “fertile examples of the experience for the study” (p. 140). Bloomberg and Volpe (2012) suggested “the logic of purposeful sampling lies in selecting information-rich cases, with the objective of yielding insight and understanding of the phenomenon under investigation” (p. 105).

Polkinghorne (2005) encouraged careful selection of research participants so as to make sure rich data is retrieved that “brings clarity to understand an experience” (p. 140).

In this study, thirty-three university leaders from within Nova Scotia higher education institutions participated as part of the research sample. The same leadership participants engaged with the quantitative and qualitative methods thus a comparison between interviews within the same pool of research participants allowed for a comparison of results. It was important to achievement of a higher number of research participants so as to ensure that the research study incorporated the research participant complement to reach saturation of the data; the point at which no new data or information was required or provided by the respondents (Onwuegbuzie & Leech, 2007). As emphasized by Onwuegbuzie and Leech (2007), “grounded theorists should continuously assess how much data should be sampled until data saturation, theoretical saturation, or informational redundancy is reached” (p. 109). The point of data saturation provided the opportunity to review whether or not to continue to interview all of the research participants or alternatively, to interview until data saturation was reached. In this case, given the richness of the interview experience and data received, the decision was made to interview all thirty-three subjects who confirmed participation in the study beyond the point of saturation.

In addition to purposeful sampling, I utilized stratified random sampling (Onwuegbuzie & Leech, 2007) to ensure that I found the leadership depth needed regarding respondents for the study. Onwuegbuzie and Leech (2007) describe stratified random sampling as:

A sampling scheme in which a population is divided into sub-populations such that members of each sub-population are relatively homogeneous with respect to one or more characteristics and relatively heterogeneous from members of all other sub-groups with respect to this/these characteristic(s) ...

The goal of stratified random sampling is to select a sample in such a way that the target subgroups are represented in the sample in the same proportion that they exist in the population. (p. 111)

Sample

Both a primary and secondary research group was incorporated in this study. The primary research group was comprised of university presidents and vice presidents (Provost) in Nova Scotia. Given the small number of universities in Nova Scotia, and to increase sampling rigour, I included a strata or sub-population (Onwuegbuzie & Leech, 2007) integrating senior administration comprised of: associate and assistant vice-president or provost, directors and deans. This was determined by the organizational structure of the institution. This was enabled through working with university presidents in the identification of their senior management/leadership teams. Due to the nature of Nova Scotia universities, I decided to initially reach out to the research participants through their respective university presidents. I met individually with eight out of nine university presidents as a means to provide contact and context regarding my research. (Due to researcher bias, one university was not included in the study). Given the high level of confidentiality required in speaking with senior management/leadership individuals, intimate knowledge of their work experiences, and insights into their own leadership beliefs and practices, it was important to seek advice from each president and ask for their support and input regarding participation in the study.

After these preliminary meetings, I received full support from six out of nine universities to move forward with the study. Two of the three universities didn't feel they could commit the time and resources to the study and I never received a response from one. The research group consisted of presidents, vice presidents, associate vice presidents, deans, and directors. I was able to achieve a 44% participation rate with thirty-three out of seventy-five perspective participants continuing on with the study (see Table 3–1). An invitation to participate in the study was initially sent to all 75 prospective research participants. A reminder invitation was sent within two-three weeks and only those research participants who responded to the invitation to participate were contacted to proceed with the study.

Table 3–1.
University Participation

University	Student enrolment*	# Participants contacted	# Confirmed	Overall Response rate
A	4620	6	5	83%
B	18,096	29	8	28%
C	3783	10	5	50%
D	7085	14	8	57%
E	4927	12	7	58%
F	95	1	0	0%
G	3050	1	0	0%
H	447	1	0	0%
I	1089	1	0	0%
		75	33	44%
Interview participation		69	33	48%
Survey participation		33	30	91%

*student enrolment # as per MPHEC, 2017

To assist with nomenclature regarding titles and roles, as to assist with pooling the data, I utilized Scott and Scott (2016), University Hierarchical Nomenclature – Academic, Formal Leadership Title (Appendix A). It was important to ensure that the leadership participant's

associated title was being compared consistently across the research sample for example, president with president, dean with dean, and director with director. Senior leaders, deans and directors have the ability to influence institutional culture and as such were an integral component of the research group. In determining the research sample, it was necessary to receive input from the university presidents regarding their senior leadership team as part of understanding their nomenclature for senior administration roles. Given the variance in the size of each university and the titles associated with the sample further clarification regarding roles and responsibilities was needed. Understanding the leadership participants' responsibilities within the context of their university provided a deeper understanding of academic and administrative leadership, as Schien (2010), pointed out that leaders could determine culture, understanding their role was imperative.

Demographics.

Based on the qualitative data, the overall research sample consisted of sixteen females and seventeen males with three emergent population groups: university presidents (n=5), vice-president/vice-presidents (n=18), and senior/executive director or dean (n=10). The following demographic information was based on the quantitative results only. The average age of the sample group was 57, and ranged from 39-70 years of age. Of the sample group, 44.5% have been working in their current position for more than four years, with 55.5% for three years or less. Of this, 22.2% were in their first year of their current leadership position with 25.9% in their current leadership position for more than five years (see Table 3–2).

Table 3–2.
Years Employed in Current Position

	Frequency	Percent	Valid percent	Cumulative Percent
In your first year	6	22.2	22.2	22.2
Year 2	5	18.5	18.5	40.7
Year 3	4	14.8	14.8	55.6
Year 4	3	11.1	11.1	66.7
Year 5	2	7.4	7.4	74.1
More than 5 years	7	25.9	25.9	100
Total	27	100	100	

Of the sample group, 25/27 or 93% came to be in their current position through either an external or internal competition, whereby 2/27 were appointed to their current position (see Table 3–3). Based on the results, 70% of the sample group had more than 10-15 years of leadership experience prior to taking their current leadership position with 30% having ten years or less with 7.4% reporting no prior experience within this group (see Table 3–4). In relation to previous academic experience, 74% of the sample group had more than 1-15 years of academic leadership experience prior to taking their current leadership position, with 24% having ten years or less with 14.8% reporting no prior experience within this group (see Table 3–5). Respondents most frequently mentioned their previously held position as being either Director or Dean. The highest qualification of the sample group was 52% holding a Doctorate degree and 29% holding a Master’s Degree (see Table 3–6).

Table 3–3.
Current Position: Appointed or Competition

	Position	Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Appointed	2	7.4	7.4	7.4
	Successful in a competition	11	40.7	40.7	48.1
	Internal competition	2	7.4	7.4	55.6
	External competition	12	44.4	44.4	100
Total		27	100	100	

Table 3–4.
Leadership Experience Prior to Current Position

	Years	Frequency	Percent	Valid percent	Cumulative percent
Valid	none	2	7.4	7.4	7.4
	0-5	2	7.4	7.4	14.8
	5-10	4	14.8	14.8	29.6
	10-15	11	40.7	40.7	70.4
	15-20	1	3.7	3.7	74.1
	more than 20	7	25.9	25.9	100
Total		27	100	100	

Table 3–5.
Academic Experience Prior to Current Position

	Years	Frequency	Percent	Valid percent	Cumulative percent
Valid	none	4	14.8	14.8	14.8
	0-5	3	11.1	11.1	25.9
	10-15	5	18.5	18.5	44.4
	15-20	7	25.9	25.9	70.4
	more than 20	8	29.6	29.6	100
Total		27	100	100	

Table 3–6.
Highest Qualification

		Frequency	Percent	Valid percent	Cumulative percent
Valid	Doctorate	14	51.9	51.9	51.9
	Masters	8	29.6	29.6	81.5
	Bachelor’s Degree	3	11.1	11.1	92.6
	Professional Designation	2	7.4	7.4	100
Total		27	100	100	

Two of the most frequently mentioned categories research participants indicated as being responsible for were: 1.) Academic; and 2.) Student Affairs. In answering who are their direct reports, respondents reported two of the most frequently mentioned categories as being, Administrative staff (81%) and Directors/Managers (48%). Respondents previously held role entailed the following most frequently cited aspects (in descending order): leading people, budgets/financial management, creating policy or procedure, creating positive staff cultures, leading strategic planning (see Table 3–7).

Table 3–7.
Previous Role: Aspects of Leadership

What aspects of leadership did your previous role entail:	Mean
Leading people	92.6
Budgets/financial management	85.2
Creating policy and/or procedure	81.5
Creating positive staff cultures	77.8
Leading strategic planning	74.1

Respondents frequently indicated the following departments they are currently responsible for as being (in descending order): leading people, creating policy or procedure,

leading strategic planning, budgets/financial management, forging relationships and linkages with community, conflict resolution situations, and creating positive staff cultures (see Table 3–8). Faculty, administrators, students and the Nova Scotia Department of Advanced Education and Labour were cited as the top four stakeholders of the sample group.

Table 3–8.
Current role: Aspects of Leadership

What aspects of leadership are you currently responsible for:	Mean
Leading people	100
Creating policy and/or procedure	96.3
Leading strategic planning	92.6
Budgets/financial management	85.2
Forging relationships and linkages with the community	77.8
Conflict resolution situations	77.8
Creating positive staff cultures	74.1

Instrument Design

This research study utilized qualitative (interviews) and quantitative (questionnaire) research instruments as a means of gathering data regarding leadership practices and attributes. Using both instruments helped to legitimize and validate the findings substantiated across these two different approaches. Using two research instruments through mixed methods provided the opportunity to compare and contrast the findings supporting the interpretation and integration of corroborated data (Johnson & Onwuegbuzie, 2004, p. 19). This next section reviewed the qualitative and quantitative instruments in detail providing the overall rationale or intent, for integration into the study.

Quantitative instruments.

A questionnaire was used as the quantitative instrument. The questionnaire can be defined as a quantitative tool that uses a set of specific, purposeful and preplanned questions designed to provide information relevant to discovering particular research information about a research topic and subject (Bloomberg & Volpe, 2012; Creswell, 2007, 2009, 2012). Research questions were considered to be “interrogative statements or questions that the investigator seeks to answer” (Creswell, 2003, p. 108). I gathered statistics and information that provided overall context to my research, through the use of a questionnaire. Using a questionnaire provided the opportunity to discover quantifiable information about my research topic and was administered through survey monkey. The questionnaire sections included the following: demographics, gender, age, leadership development, current role/position, and then in-depth response to qualitative questions as it related to leadership position and style.

Several resources (Bass & Avolio, 2000; Creswell, 2012; Kouzes & Posner, 2003; Ramsden, 2003) were reviewed and discerned in the development of the questionnaire. Each was discerned for the purpose of measuring leadership qualities and attributes as related to my research questions. I decided to design my own questionnaire given the specific definitions and research questions required for my study. I integrated fifteen questions focused on extracting demographical information from the research participants, nine questions looking for descriptive statistics, and four qualitative-based questions.

Research participants were asked 25 questions and each question was given one of four separate Likert-type rating scales, where the numbers increased as level of agreement to the question increased; a 4-point Likert-type rating scale where 1=disagree to 4= strongly agree;

1=not at all to 4=extensive; a 3-point Likert-type scale where 1=not important to 3=most important; and, 1=never to 3=always (Appendix B). The Likert-type rating helped to ascertain how research participant activities could be best described as well as integrated questions that helped to quantify the interviewees' priorities about how important they felt the impact of certain behaviors and strategies were regarding change leadership and the way to influence people within a change agenda.

An advantage of using a questionnaire for this study was that it provided research participants the opportunity to provide feedback objectively and without bias. However, one limitation to this was the challenge of having research participants complete the questionnaire, and to complete it, before the interview. It required approximately 20-30 minutes of their time and I was concerned that this would be too time consuming. Out of the thirty-three research participants 20 or 61% of the participant group completed the questionnaire before participating in the interview.

Qualitative instruments.

The purpose and use of interviews was well documented in the social sciences literature (Creswell, 2009; Silverman, 2000; Tashakkori & Teddlie, 1998). An interview can be defined as "a formal technique whereby a researcher solicits verbal evidence or data from a knowledgeable informant" (Remenyi, 2011, p. 1). The overall purpose of the interview was to provide a process in which to collect data, which was later converted into an interview transcript that helped to provide data as part of analyzing the research question (p. 2). The interviews were an integral tool in the qualitative data collection and provided the opportunity to understand the world from the research participants' perspective (Bloomberg & Volpe, 2012; Creswell, 2003, 2007, 2012).

Tashakkori and Teddlie (1998) stated, “the interview is a powerful method of data collection providing one-to-one interaction between the researcher and the individual being studied” (p. 102).

The semi-structured interview provided a mechanism for questioning as well as fluidity within the interview surrounding each question, which helped the researcher to pursue questions that arose from the research participants. Although semi-structured interviews followed a structured approach and ascribed to a set of standard questions, it allowed for deviation from the questions so that a conversation could be pursued when further insights were required. The use of semi-structured interviews allowed for the opportunity for flow; to elicit views and opinions of the participants and opportunity to explore concepts, insights, ideas, and details that the respondents wished to provide (Creswell, 2012).

In the study, semi-structured interviews further allowed the opportunity to probe research participants for additional information or ask questions that I wanted to pursue for more detail or explanation. The sample consisted of thirty-three participants in total. I used semi-structured, one-on-one interviews to gather data directly from the research participants during the second phase of my research process. The use of interviews provided an opportunity for me to individually meet with each of the research participants and delve into questions relevant to their leadership approach and practices as it related to navigating change. The interviews were all face-to-face with the exception of one interview, which was delivered via skype due to weather conditions, although this wasn't in person, skype allowed for a personal and comfortable experience.

The semi-structured interview providing researcher designed and pre-selected interview questions that guided the interview process. Research participants were sent the list of questions in advance of the interview so as to provide the opportunity for reflection and preparation (Appendix C). The greatest advantage to using semi-structured interviews was the opportunity it provided through the interaction with the interviewees and learning from their answers/responses to the questions, and to explore concepts and discussions that arose from the standard questions. This allowed the interview to open with a conversation and explore probing questions while also providing the fluidity to discuss what came up in the conversation (Appendix D). Interview duration averaged at one hour and included time to create trust and rapport with respondents so that they felt comfortable and at ease, which encouraged more in-depth and rich responses. Interviews were recorded in order to capture accurate and complete responses.

Appreciative Inquiry – Interview Methodology

Appreciative Inquiry (AI) was integrated into the study as a means of supporting the semi-structured interview process. This section reviewed appreciative inquiry as an interview approach, why it was integrated into the study, how it was applied, and the overall impact of AI on researcher objectivity/avoiding bias. Appreciative Inquiry is a relatively new organizational development theory initially based on the research of Cooperrider (1996b). Appreciative Inquiry (AI), is different from traditional forms of inquiry in that it moves beyond a usual question-answer form of interview to one of appreciative questioning, providing an opportunity for increased open dialogue, and sharing of personal history and positive inquiry. Strengths finding and reframing underpin AI practice and begins with understanding and building on the individual and collective strengths of the individual or group (Reed, 2007, p. 24). AI practice highlights a focus on what works, and reframes the narrative to focus on a sense of possibility rather than a

sense of limitation (Reed, 2007, p. 27). AI helps to turn people and events around in a positive, proactive direction, to focus on what is possible instead of what is not. As Reed (2007) reinforced, “by drawing attention to what people feel has been achieved, the reality they experience is one in which things can be done well, whereas focusing on problems creates a reality in which things are always failing” (p. 28). Appreciate Inquiry does not ignore the challenges or negative experiences that arise during inquiry rather, “it suggests that it is better to surface the desire behind the problem or reframe it as what is wanted, for example, good communication rather than poor communication” (Cockell & McArthur-Blair, 2012, p. 15). They encourage the use of Appreciative Inquiry in higher education indicating that “AI works well when igniting and enhancing human relationships, people’s imagination, institutional futures, team engagement, planning” (p. 15).

The application of appreciative inquiry in this study.

Cooperrider, (1996 a), Conklin, (2009), and Reed (2007) provided an overview of the AI process as the 4 “D” cycle. It is a process of enquiry beginning with ‘Discovery’ where through narrative and provocative questions participants delve into ‘what is life giving’?, it is an appreciative process of identifying the great moments that define one’s passions. The next phase of the cycle is to ‘Dream’ of what might be, to imagine, and envisioning a scenario for realizing that passion. Next is the ‘Design’ phase where the co-construction of *what should be* to create the ideal is discerned, and, the last phase, ‘Destiny’, where the powerful envisioned future/destiny is mapped out. Conklin (2009) states, “using AI in social systems such as classrooms creates opportunities for students and teachers to voice their thoughts, ideas, hopes and aspirations in the creation of the ideal learning experience” (p.772).

The study integrated stage one of the 4 “D” process that involved ‘Discovery’ where through narrative and provocative questions participants described their experience in leading a change phenomenon. In designing appreciative inquiry questions for use in higher education, Cockell and McArthur-Blair (2012) acknowledged, “leadership in higher education is not for the faint at heart. It is highly complex, with multiple stakeholders...using an appreciative outlook can be uplifting during those times” (p. 93). Cooperrider (1996a) further supported the positive use of this type of questioning stating: “the new methods will be distinguished by the art and science of asking powerful, positive questions” (p. 2).

Appreciate Inquiry proved to be an integral component of the overall procedure for inquiry as part of the semi-structured interviews. AI did not preclude discussing challenging or difficult areas, in fact it allowed for those challenging discussions to continue in a proactive positive way. It was appropriate as a research inquiry tool due to the inherent advantages provided in the study for discussing change and the organizational development paradigm. Given the nature of the inquiry and intimacy of the questions, AI helped to navigate these difficult questions and provide a solid basis for building relationship and trust with research participants. It allowed for participants to respond proactively and positively while integrating difficult questioning, whereby both the researcher and the research participant navigated through this with greater ease.

AI was integrated to further support the researcher in building rapport and appreciating the individual qualities of the interviewee. AI questioning provided the opportunity to establish connection so that the research participants were comfortable in sharing their leadership experiences and approach. For some participants, this level of comfort was reached within a few minutes while for others, almost the entire one hour.

Maintaining objectivity/avoiding bias.

One potential caveat in using AI was the potential concern for the process to have been too positive or appreciative where the data gleaned could also very positive, slanted, or potentially bias. As the researcher, I was perpetually aware of this and worked to ameliorate bias, specifically ensuring throughout the process that there was opportunity for research participant self-reflection and re-direction. The transcribed data represented the process, its honesty, richness, and highlights where AI focuses on the strengths of individuals and their experiences while navigating difficult areas of discussion/review. As part of the inquiry process, I purposely did not shy away from probing and asking difficult questions. I gently guided the research participant through the questions while mindfully ensuring to always be aware of their needs, vulnerabilities, and sensitivities, and knowing when to stop further probing the research participant was key to maintaining trust and relationship as part of the process.

Procedure

The research design procedure involved data gathering and analysis using purposefully selected participants from the Nova Scotia higher education and involved two separate data collection procedures (Creswell, 2008). The research design integrated a sequentially mixed methodology design incorporating qualitative and quantitative research methods. As described by (Creswell, 2003, 2008) a sequentially mixed methodology is used where one instrument is used first to help inform the instrument used after; quantitative instruments (questionnaire) were used in the first stage of the research and qualitative instruments (interview) were used in the second phase. Utilizing a sequentially mixed methodology design allowed the researcher to glean data gathered from the first stage through a quantitative questionnaire informing the design of the qualitative methods in the next two stages described below (see Table 3–9). As mentioned

previously, drawing upon (Bass & Avolio; 2000, Creswell; 2012, Kouzes & Posner, 2003; Ramsden, 2003), the research instruments were developed based on the research question, pragmatic orientation of the researcher, and purpose and intent of the study.

Stage one.

Stage one of the study involved the quantitative collection of data using a questionnaire and sampling frame previously identified. The use of a sequentially ordered data collection process was important, as quantitative data was key to informing the second phase of the research through the questions to be posed to the research participants. This first stage provided an opportunity to understand the research participants and in this case confirmed how to approach the qualitative data collection as Creswell (2008) suggested this type of research is useful when trying to uncover the trends, depth of attitudes, or range of opinions of your research participants. Understanding more about who the research participants were, was key to creating strong qualitative data inquiry (Creswell, 2008). Out of the 33 respondents who agreed to participate in the study, 30 participants participated in the questionnaire; three began the questionnaire and did not get past question one. Therefore, 27 or 82% of research participants completed the online questionnaire (See Table 3–1).

Stage two.

This stage of the research was framed through qualitative inquiry and involved semi-structured interviews. The research sample participated in a semi-structured interview exploring the fundamental concepts integral to the conceptualization of principled leadership: authenticity (identity), love (care), and spirituality. This allowed the researcher to delve into current leaders' practice and professional contexts providing insights into the values, beliefs, and attributes of the

leadership participants from the five participating universities. Of the participants that agreed to participate in the study, 33/33 or 100% of participants completed the interview (see Table 3–1). Overall participation rate was 46% with 33/71 respondents agreeing to participate in the study.

Table 3–9.
Research Design Process (Creswell, 2003; 2008)

Phase	Procedure	Results
Quantitative data collection	Electronic mail invitation to participate in web-based questionnaire	Quantitative data
Quantitative data analysis	Survey Monkey©, SPSS software to identify trends, MS Excel Spreadsheets	Statistical data
Qualitative data collection	One-on-one semi -structured interviews, MS Word documents	Recorded interview data
Transcription of qualitative data	Recorded interview data transcribed into MS Word document	Qualitative data using MS Word document
Data analysis	Iterative thematic coding using MS Excel spreadsheet. Inter-rater reliability employed. Qualitative results integrated with and supported by quantitative results.	Frequency codes identified and reduced to seven (7) clusters with six (6) final themes identified

Multi Strand Design

Research designs may include either a monostrand or multistrand designs (Teddle & Tashakkori, 2006) depending on the research purpose and methodology required to achieve their results. A strand within a study is described as one that includes data collection, analysis, and interpretation of results (Creswell & Plano Clark, 2007) where a monostrand design involves the collection of either qualitative or quantitative data, and a multistrand design integrates both

qualitative and quantitative data. In a multistrand design qualitative and quantitative data are gathered concurrently and independently of the other where both qualitative and quantitative results are presented in the study. This study incorporated a multistrand design where both qualitative and quantitative data collection, analysis, interpretation and results were integrated. (See Figure 3.2).

Priority of Methodological Approach

In determining the research design and methods to be integrated into the study, it was important to consider the priority of the results associated with the qualitative and quantitative data (Plano-Clark, 2005) for this study. For example, if qualitative data was prioritized above the quantitative data in a concurrent model, the following notation would be provided QUAL + quant. In this study, the qualitative and quantitative data were collected and analyzed with the qualitative data having more importance throughout the study, as such the notation, QUAL + quant was used.

Integration of Data

It was important to determine how the results would be utilized while developing the research instruments. How qualitative and quantitative data could be analyzed and integrated was key in developing the interview questions and online questionnaire ensuring alignment to the theoretical framework outlined in the literature review of the study found in Chapter 2. In this study, the qualitative and quantitative data were reviewed independently of the other, the qualitative data was then quantified (Tashakkori & Teddlie, 1998), enabling identification of codes, clusters and a prioritization and further interpretation of themes (Onwuegbuzie & Leech, 2004). The qualitative and quantitative results were analyzed for comparison and contrast, determining alignments and differences (see Figure 3.9), supporting what Teddlie and

Tashakkori (2006) determined to be the benefits of converging the qualitative and quantitative results for this study, “inferences are made on the basis of the results ... it enables researchers simultaneously to ask confirmatory and exploratory questions” (p. 20).

Concepts for Quality Research (Legitimation, Validity and Reliability, Credibility and Trustworthiness)

For this study, mixed methods as a research approach offered multiple methods and involved the interrogation of concepts that ensured a quality or rigorous research process was followed. Understanding the implications of the research methods was critical to ensuring the complete research process; beginning with designing research questions that enabled the collection, analysis, validation, and interpretation of objective, and valid data (Collins, Onwuegbuzie, & Sutton, 2006). Therefore, it was crucial to integrate research mechanisms integrating researcher credibility and methodological rigour as part of the research study as highlighted by Zohrabi (2013), “the collection of data from different sources enhances the reliability of data and results” (p. 259). Zohrabi (2013) also emphasized the importance of the researchers’ philosophical assumptions or stance in determining the research methods to be employed including the integration of mechanisms to ensure validity of results. Onwuegbuzie and Johnson (2006) indicated that, “philosophically, mixed research generally follows philosophical and methodological pragmatism” (p. 54). In reinforcing the paradigmatic stance of the researcher, Onwuegbuzie and Johnson defined pragmatism as the:

Search for workable solutions through the practice of research (e.g., follow the fundamental principle of mixed research, including the use of designs and criteria that are situation and context appropriate) to help answer the

questions that we value and to provide workable improvements in our world.

(p. 54)

Exploring mixed methods nomenclature for the purpose of the research design involved the review of both qualitative and quantitative concepts that included validity and reliability (quant), and credibility, trustworthiness, and dependability (qual). The concepts of validity and reliability within qualitative research are often considered synonymous in nature through the demonstration of credibility, transferability, and trustworthiness (Golafshani, 2003). Validity was defined as the degree to which the measurement process measures what it intended to measure (Gay, Mills, & Airasian, 2012; Gravetter & Forzano, 2016). Gay, Mills, and Airasian (2012) further described validity as, “a test is valid for a particular purpose for a particular group. In qualitative research, validity refers to the degree to which qualitative data accurately gauge what the researcher is trying to measure” (p. 633). Johnson and Christensen (2012) described validity evidence, “Validity evidence – empirical evidence and theoretical rationales that support the inferences or interpretations made from test scores” (p. 597). Though validity is a term historically aligned with quantitative research and may be attributed to instruments used such as standardized tests, questionnaires, and procedures, in qualitative research validity resides “with the representation of the actors, the purpose of the research and the appropriateness of the processes involved ... and embodies a vast and evolving body of techniques that can be modified for developed as the research demands” (Winter, 2000, paras 20-24). Reliability in a study is based on the capacity to replicate the results of a study (Golafshani, 2003) whereas the conceptualizations of validity include internal and external validity explanations. Internal validity presented the determination of cause-effect relationships and the manipulation of independent variables, and external validity involved the generalizability of the results beyond

the context of the study (Onwuegbuzie, 2000). Trustworthiness was described through terms such as truth value and applicability (Guba, 1981) where the concept of truth value included internal validity and referred to the legitimacy of a researchers results as compared to the realities of research study participants and external validity to whether or not the results of the study were applicable, and if applicable, then considered to be relevant (Guba, 1981). This next part of this chapter explored legitimation, validity and reliability, and credibility and trustworthiness as key research concepts that were integrated for the purpose of ensuring legitimation of the research data given the mixed methodology used for this study.

Validity and reliability.

Given the claim that “quantitative research, whilst able to claim validity for wider populations and not just merely samples, is restricted to measuring those elements that, by definition and distortion, are common to all” (Winter, 2000, para 14), integrating mixed methods provided the mechanisms to support validity of the data throughout the research process. Where, “quantitative research limits itself to what can be measured or quantified and qualitative researcher attempts to ‘pick up the pieces’ of the unquantifiable, personal, in depth, descriptive and social aspects of the world” (para 21). Four steps were integrated into the study to ensure validity and reliability: first, relating triangulation (discussed in detail in next section), of the data to the concept of legitimation and the notion of weakness minimization legitimation where integrating more than one type of data collection procedure provided for consideration of the weaknesses that existed in one method could be compensated by the strengths of the other, (questionnaire and semi-structured interview) was used (Onwuegbuzie, 2011; Zohrabi, 2013); second, integrating internal validity or credibility (Onwuegbuzie, 2000; Zohrabi, 2013) through the employment of methods such as triangulation (as previously noted), and addressing

researcher bias through clearly communicating researcher assumptions, research context, and data collection (storage) procedures (Zohrabi, 2013); third, connecting the researcher to the research paradigm as outlined above (Onwuegbuzie et al., 2011); and, fourth, the incorporation of inter-rater reliability (Creswell, 2012).

Inter-rater reliability.

Inter-rater reliability was used as a means to ameliorate researcher bias in the analysis of the qualitative data (Leedy & Ormrod, 2013). Tashakkori and Teddlie (1998) refer to inter-rater reliability as “interjudge” or “interobserver” where the degree to which ratings of two or more raters or observers are consistent with each other. Leedy and Ormrod (2013) encourage the use of inter-rater reliability in analyzing qualitative data for the purpose of increasing validity where “two or more individuals evaluating the same product of performance give identical judgments” (p. 91). Further, “for qualitative observations, inter-rater reliability is determined by evaluating the degree of agreement of two observers observing the same phenomena in the same setting” (Tashakkori & Teddlie, 1998, p. 85). Researcher bias was reduced through the integration of a peer evaluator who served as my inter-rater. I utilized the experience of a colleague/peer to review the transcribed data for concepts, codes, themes, and sub-themes. The peer evaluator reviewed four out of the 33 transcribed interviews. This provided the opportunity for me to contrast the analysis between my coding, and my inter-rater’s coding to determine whether my codes were appropriate and relevant, and to ensure I had not misinterpreted participants’ intent (Creswell, 2012, p. 143). In reviewing the findings of the inter-rater, the following four-step process was followed:

Step one: I reviewed all of the inter-rater's returned documentation.

Step two: All of the inter-rater's codes and comments were extracted into an MS Word document and reviewed for accuracy and editorial purposes (See Appendix F).

Step three: The inter-rater's codes and comments and mine were then integrated into an overall MS Excel document. This was used to compare how close the inter-rater's codes were to mine. This comparison indicated a close alignment between the inter-rater's codes and my own. Where only five additional codes were added or served to refine the code from the inter-rater's analysis. One spreadsheet for each transcribed interview was used with the following columns: emerging concepts/codes/cumulative codes.

Step four: Subsequent to this inter-rater reliability process, I then proceeded to undertake the complete analysis of the entire data set.

Credibility and trustworthiness.

In discussing the concepts of validity and reliability it was important to provide insights regarding how credibility and trustworthiness support validity in qualitative research. According to Winter (2000), some qualitative researchers do not apply the term validity to qualitative research however they still require a way to measure their research. Instead, many have “espoused their own theories of ‘validity’ and have often generated or adopted what they consider to be more appropriate terms, such as ‘trustworthiness’, ‘worthy’, ‘relevant’, ‘plausible’” (para 18). As noted by Onwuegbuzie and Johnson (2006), “because of the association with the quantitative conceptualization of the research process, the term validity has generally been replaced by the term trustworthiness within qualitative research” (p. 51). Winter

further added, “one’s notion of truth determines one’s definition of accurate representation, reliability and trustworthiness” (para 34). Golafshani (2003) further pointed out “if the issues of reliability, validity, trustworthiness, quality and rigor are meant differentiating a ‘good from bad’ research then testing and increasing the reliability, validity, trustworthiness, quality and rigour will be important to the research in any paradigm” (p. 602). Although the analysis of the findings is provided in greater detail in the Analysis section of this chapter, the following provides a brief overview of the process integrated so as to increase credibility and trustworthiness of the data:

Step one: All thirty-three transcribed interviews were reviewed.

Step two: Participant’s narratives were extracted into an MS Word document and reviewed for accuracy and editorial purposes.

Step three: Narratives were then integrated into an overall MS Excel document. This was used to tabulate the raw data from each of the interviews. One spreadsheet for each transcribed interview was used with the following columns: raw data/ emerging concepts/codes/cumulative codes.

Step four: The emergent concepts, codes, and themes, were further reviewed for correlation to the research question and conceptual design, and qualitative and quantitative findings.

Step five: This resulted in the creation of a fourth summative spreadsheet, which provided an overall concise list of the relevant codes and themes that emerged.

Guba and Lincoln (1985) further encourage the use of an audit trail to ensure objectivity and maintain credibility in building trustworthiness of data resulting from the process of inquiry.

In addition, the following audit process was followed to ensure credibility and trustworthiness of the data collected: First, all raw quantitative data from the questionnaire was stored and saved on my home computer; second, all hand-written notes collected from the interviews along with working notes were entered into a Microsoft word or excel document, third, transcribed interviews were saved in a Microsoft word document; and fourth, all data analysis documentation was entered into a Microsoft word document and securely stored on my home computer. This helped to create a safeguard for all notes, working documents, and confidential questionnaire and interview data ensuring trustworthiness of the data. Legitimation as a qualitative concept was incorporated into the study to further ensure credibility and trustworthiness of the data and will be discussed in the next section.

Legitimation.

In discussing ‘paradigmatic mixing legitimation’ and the integration of qualitative and quantitative approaches, Onwuegbuzie and Johnson (2006) indicated that, “combining quantitative and qualitative approaches is sometimes considered to be tenuous because of competing dualisms: epistemological (e.g., objectivist vs. subjectivist), ontological (e.g., single reality vs. multiple reality), axiological (e.g., value free vs. value-bound), and rhetorical (e.g., formal vs. informal writing style), beliefs” (p. 59). However, Onwuegbuzie, Johnson, and Collins (2011) indicated that paradigmatic mixing as a form of legitimization refers to the extent to which epistemological, ontological, axiological, methodological, and rhetorical beliefs and philosophical assumptions of the researcher are identified, and informed and optimized the research process. Onwuegbuzie and Johnson (2006) proposed legitimation as a term that bridges qualitative and quantitative research terms and discussed its greater purpose for use in mixed research. Legitimation offers a more inclusive term that it is not about single truths, but includes

trustworthiness, credibility, plausibility, and dependability, providing criteria supporting the assessment of mixed research studies (Onwuegbuzie & Johnson, 2006, p. 55). Whereas, Teddlie and Tashakkori (2003) identified legitimation as an outcome where assessment of the data takes place after the data has been collected and indicated that it is “better viewed or conceptualized as a continuous iterative, interactive, and dynamic process” (p. 1257).

The challenge of using quantitative terms in qualitative research and the need to continually ameliorate research bias was highlighted by Tobin and Begley (2004), who argued, “quantitative research has become the language of research rather than the language of a particular paradigm” (p. 389). Onwuegbuzie, Johnson, and Collins (2011) highlighted the challenges of nomenclature:

Qualitative research has generally emphasized the understanding of particular people and cultures in particular times and places. In contrast, quantitative research in its attempt to be scientific, has emphasized the development of nomological knowledge; that is, the primary goal in quantitative research has been on producing generalizable knowledge that is more abstract and disconnected from any single community of research participants. (p. 1258)

Where Onwuegbuzie and Leech (2007) argued for the use of validity in qualitative research, “utilizing and documenting legitimation techniques should prevent validity and qualitative research from being seen as an oxymoron, especially by beginning qualitative researchers” (p. 247). Further to this, it was noted that if researchers reject the concepts associated with rigour such as validity and reliability, “we are undermining the belief that qualitative research is a scientific process that has a valued contribution to make to the

advancement of knowledge” (Tobin & Begley, 2004, p. 390). Tobin and Begley defined rigour as “the means by which we show integrity and competence: it is about ethics and politics regardless of the paradigm” (p. 390). They further argued that the challenge of all research concerns rigour as a form of integrating legitimacy throughout the entire research process (Tobin & Begley, 2004). It remained key throughout the research study to incorporate both qualitative and quantitative nomenclature and their underpinning conceptualizations of rigour regarding reliability, validity, credibility, trustworthiness, and legitimation to ensure the results were found to be credible and valid.

A further review of the concept of legitimation and validity, where Tobin and Begley (2004) advocated for a shift from a fundamentalist position to a more pluralistic approach as a means of legitimizing qualitative research as part of research methods to ensure a robust, strata of enquiry, was required. In discussing the challenges of legitimation, Onwuegbuzie and Johnson (2006) noted, “the problem of legitimation refers to the difficulty in obtaining findings and/or making inferences that are credible, trustworthy, dependable, transferable, and/or confirmable” (p. 52). However, Onwuegbuzie and Johnson argued that legitimation depends on the researcher making the use of paradigm assumptions explicit and conducting research that fits with the stated assumptions (Onwuegbuzie & Johnson, 2006, p. 59). Historically, validity and reliability have been associated with quantitative research methods, however, understanding legitimation provided a deeper contextual interpretation ensuring validity given the mixed methods design used in the study. Legitimation inferences made through the qualitative and quantitative data sets provided a coherent description of the analysis (Tashakkori & Teddlie, 2003; Teddlie & Tashakkori, 2006). The concept of legitimation was outlined through nine different types of legitimation (Onwuegbuzie & Johnson, 2006, p. 57) and in this study the

legitimation types used were dependent on the overall research design with the following two legitimation types considered in promoting validity and reliability: inside-outside (e.g., representation of views from participants and peer reviewer), and legitimation conversion (e.g., quantification of qualitative data). Legitimation of the research was acknowledged as inherently connected to the research study through the integration of validity, reliability, credibility and trustworthiness in using mixed methods.

Conversion legitimation.

Conversion legitimation refers to the practice of quantifying qualitative data (Onwuegbuzie & Johnson, 2006). This practice assists researchers in gaining further insights into their qualitative data by providing a means to appropriately weigh emergent themes, and analyze patterns (Onwuegbuzie & Teddlie, 2003). Integrating conversion legitimation into the study allowed the researcher to gain a deeper understanding of the qualitative data through the use of counting and frequency codes (Onwuegbuzie & Teddlie, 2003). Once this data was converted into frequency codes, it allowed the researcher to analyze patterns, determine emergent themes, and weights accordingly. In this study, individual interviews were coded and the resultant frequency codes were calculated providing high frequency codes, clustering of codes based on theme, and determination of theme prevalence. Challenges of conversion legitimation included converting data and ensuring accuracy when counting to determine an appropriate balance of quantitative numbers embedded in the qualitative themes of the study results. All words were included, with those with highest frequency becoming a cluster, resulting in a theme.

Inside-outside legitimation.

The study also integrated the concept of inside-out legitimation, where Onwuegbuzie and Johnson (2006) described, “the degree to which the researcher accurately presents and utilizes

the insiders' view and the observers' view" (p. 58) in terms of integrating validity into the research collection process. As part of inside-outside legitimation two viewpoints, emic and etic, are considered. The term emic refers to the insider's viewpoint and in this study, it involved the viewpoint of the leadership participants involved in the research. The assessment of emic viewpoints can occur through member checking, that is, reviewing data, interpretations, and/or conclusions with the participants of the study (Lincoln & Guba, 1985). In this study, it involved a review of the data, interpretations of the data, emergent codes, and themes by the researcher. The term etic refers to external viewpoints, and in this study, the viewpoints of the researcher and a peer reviewer (Lincoln & Guba, 1985). The peer reviewer provided the researcher the opportunity to review the etic viewpoints, providing a further exploration of "the interpretations being made, the conceptualizations, and the relationship between the data and the conclusions" (Onwuegbuzie & Johnson, 2006, p. 58). The use of a peer reviewer strengthened inside-outside legitimation (Onwuegbuzie & Johnson, 2006) further validating the results of the study.

Validity (credibility), reliability (dependability), credibility and trustworthiness, and legitimation provided a means for integrating both qualitative and quantitative methods to ensure rigour and data integrity was upheld and helped to reduce researcher bias in this study.

Researcher bias.

In reviewing the literature on validity claims, one can ascertain that it is not finding the right definition of validity or reliability but more importantly, understanding your epistemological research stance and holding to the notions of truth contained within your own research agenda as it applies to the entire research process at every stage. As a researcher, an awareness of my research stance and how this could contribute to the reliability and validity

throughout the research process was key to ensure an objective process was followed and to reduce the impact of researcher bias (Creswell, 2013; Zohrabi, 2013). To do this, I identified and integrated my own pragmatic paradigm and notions of truth into the study (Winter, 2000). This required ensuring the research process followed a pragmatic process whereby the emphasis of the study was on the research problem first, and the methods were appropriate to exploring the research problem. This helped to build in legitimation as it recognized the stance from which I placed my own constructs as it related to the research process (Miles, Huberman, & Saldona, 2014). To do this, the researcher's assumptions, role, and research intentions were made known to the leadership participants as well as the rules of ethical research were followed in all aspects dealing with the leadership participants.

Section B: Data Analysis and Presentation

Section B provides detailed insights into the quantitative and qualitative data collection, analysis, interpretation, and integration of the data, and outlines the process followed. Specifically, it provided insights as to how the data were managed and the rationale for organization of the results. The first part of this section covers the data collection processes used as part of mixed methods design of the study, using a questionnaire and semi-structured interviews. The second part of this section covered data analysis which involved triangulation, and cross over analysis. The third part of the section covered data interpretation, data integration, and presentation of the data. The final section focused on the ethical considerations that were undertaken as part of this study and the limitations posed by the study.

Questionnaire

In the quantitative stage of the study, the research participants participated in an online, web-based questionnaire utilizing the web-based questionnaire software Survey Monkey™. The

purpose of the questions was to find descriptive and frequency statistics relevant to the research participant that included demographics, background, and leadership experience (Creswell, 2012). These statistics were useful in understanding whether age, gender, or experience correlated with the conceptualization of principled leadership, and ethic of care attributes. The questions were specifically designed by the researcher to ensure that each question correlated with the research question(s). For example, in examining leadership attributes (love, spirituality, caring, authenticity) as aligned with the conceptualization of principled leadership and, if the Likert-type scale response indicated a high rating then there would be a high correlation supporting the research question and if low, then it would not. If the response was high, it could indicate that the research participant indicated alignment with attributes associated with the conceptualization of principled leaders.

Survey Monkey™ provided an efficient mechanism for which the research participants could access the research questions. The researcher purchased a one-year, gold level membership that provided advanced questionnaire formats, data analysis extraction capability, and diversified use of prospective formats and survey options. Survey Monkey™ provided the following direct features and benefits: a.) ease of questionnaire creation; questions using rating/ranking scales, multiple choice, and single text boxes, b.) advanced security and identification protection, c.) ease of data extraction into MS Excel and SPSS formats, d.) ease of reports and graphs generation with relevant calculated percentages, and, e.) effective presentation of questionnaire and integration of ethics approved documentation. As indicated in the quantitative instruments section, research participants were asked 25 questions and each question was given one of four separate Likert-type rating scales, where the numbers increased as level of agreement to the question increased; a 4-point Likert-type rating scale where 1=disagree to 4= strongly agree;

1=not at all to 4=extensive; a 3-point Likert-type scale where 1=not important to 3=most important; and, 1=never to 3=always.

Frequency distribution tables were used whereby variability (range and standard deviation) and central tendency, (mean, mode, average) was examined for each individual questions' responses (Creswell, 2012). SPSS software was used to run an analysis of the raw data scores, which were then converted into percentages (Bloomberg & Volpe, 2012, p. 136). This data was then further converted to graphical tables, graphs, and charts to enable further analysis (Bloomberg & Volpe, 2012, p. 136). SPSS software was also used to run an advanced analysis of results to provide a more accurate representation of results. To ensure a clearer understanding of respondents' results, Likert scale items, such as agree/strongly agree, important/most important were connected with a higher value, to represent a percentage that would more accurately report participants' responses. The data was collected and analyzed as a means to inform the design of questions used in the semi-structured interviews. Given the analysis of the data gleaned from stage one, the qualitative questions were reviewed and confirmed for use in the second stage.

Semi-structured Interviews

The qualitative phase of the research study involved semi-structured interviews that took place over a period of four months. Interviews were in-person and held in the research participant's office on each participating university campus. Thirty-two out of 33 interviews were audio-recorded. Research participants received a copy of the interview questions, at least two-three days in advance so as to facilitate self-reflection and participation during the interview. The data received during the interview were transcribed as soon as possible, into a MS Word document, and further reviewed by the researcher two times for accuracy and editorial purposes.

These data reflected all of the audio recorded during the interview, including the research questions. Pseudonyms were created and coded on a MS Excel document for each research participant so as to increase the confidentiality of the participant and the research (Kaiser, 2009). The researcher used a notebook to record important findings or notes that arose during the interview and these were later integrated into the transcribed version of the audio recording where appropriate. Each individual transcription was reviewed five times for accuracy, editorial purposes, extraction of data, qualitative data review (iterative thematic coding), and, overall immersion into the qualitative data. Data extracted was saved in an MS Excel document. As part of testing the qualitative instrument, a pilot interview was conducted with a professional colleague as means of determining relevancy and accuracy of proposed questions as well as to help determine that the time of one hour scheduled for each interview would be practical.

Qualitative Analysis and Coding

Qualitative interview data was analyzed using “iterative thematic coding” (Onwuegbuzie, Bustamante, & Nelson, 2010), where similar and/or repeated themes were explored from the data and then formed into clusters under themes found in the transcripts. In simple terms it involved coding where you are breaking the data into pieces and assign each piece at least one label (Creswell, 2007). It was important to identify behaviors that emerged from the transcripts as a means of determining the items or words that classified the behavior (Onwuegbuzie et al., 2010). The ideas or concepts were then ‘coded’ or categorized from the text where there were similarities across different accounts from leaders (see Appendix G). Coding required that the researcher remained open and objective in examining and scrutinizing the transcripts for themes and concept clusters that formed the emerging structure so as to ensure that the researcher wasn’t informing the clusters but rather that the codes arose from the data (Miles, Huberman, &

Saldona, 2014). This involved alignment with the conceptual framework of the study, however, great objectivity was used to ensure that the data emerged from the qualitative data and not vice versa. Individual sheets (for all 33 research participants) containing data (transcript) excerpts were recorded in a MS Excel document for further referencing and reporting (see Appendix H).

To do this, I used an inductive process, where not just the word, but also the context of the word was reviewed for multiple connotations and then applied and re-applied for alignment as noted by Bloomberg and Volpe (2012), “to make the data more readily accessible and understandable, the vast array of words, sentences, and paragraphs has to be reduced to what is of the most importance and interest, and then transformed to draw out themes and patterns” (p. 137). The iterative thematic process included the review of each transcribed data three times to review for codes, concepts, and re-occurring themes (Bloomberg & Volpe, 2012, p. 139). All of the words that resonated with the question being asked, the research question posed, and the conceptual design were recorded on each of the transcriptions (Appendix I). All words were then recorded for each of the 33 interviews on a MS Excel document with a spreadsheet for each transcribed interview, as well as on a hard copy for accuracy. Frequency counts were then reviewed, whereby the following nine-step process was followed:

- Step 1: Each transcribed interview was reviewed for general codes, words, and themes.
- Step 2: Conversion legitimization (as previously described), was used where frequency counts were then reviewed and recorded within each interview and across all 33. I reviewed the number of times a word was repeated to determine whether or not it was a thematic code and kept a log of each word and its frequency of use. Codes were ordered based on highest-lowest frequency (see Appendix J).

- Step 3: A spreadsheet of all words was created, and words recorded. I then added up the number of times a word was used over the course of all 33 interviews to further determine thematic coding. The list was then reduced dependent on frequency count and all words with a count of less than two were deleted. Codes were ordered based on highest-lowest frequency.
- Step 4: I then went back and reviewed all 33 interviews for accuracy of frequency counts and to determine impact of words with a count of less than two. This was done to determine if there were any outlier words that could have impact on the study. I then added back into the spreadsheet those words with a count of less than two. I reviewed the frequency count across all 33 interviews (transcriptions), and subsequently deleted 109 words (see Appendix K).
- Step 5: Seven emergent clusters based on the context of word usage as related to conceptual design, definitions, and concepts/themes that emerged from the interviews was created. The high frequency codes were placed into clusters. The clusters were: 1.) Attributes of an authentic leader, 2.) Identity, 3.) Love and Caring, 4.) Attributes of a moral/ethical leader, 5.) Attributes of a spiritual leader, 6.) Attributes of a servant/service leader, and 7.) Outliers (see Appendix L).
- Step 6: The codes were then integrated into these six clusters. I reviewed each cluster and codes for accuracy, frequency, and context. The outliers (those words that didn't fit into a category) were then reviewed and integrated into clusters as appropriate (see Appendix L).

- Step 7: A final review of the cumulative codes list for exceptional words with one/low count resulted in fourteen words being added to the clusters.
- Step 8: The clusters were then reviewed for overarching and emergent parent themes and organized into parent themes. The six overarching parent themes were: 1.) Understanding self as Leader; 2.) Leadership Beliefs; 3.) In service of, and care for others; 4.) Challenges of leading the academy; 5.) Leadership Influences; and, 6.) Navigating change.
- Step 9: Quantitative data was analyzed using Survey Monkey™, MS Excel, and SPSS to provide descriptive statistics. This data was integrated where obvious alignment to the conceptual framework occurred and appropriately supported the qualitative findings.

Triangulation

Regardless of the ongoing debate surrounding validity and reliability measures in quantitative and qualitative researcher design, I needed to remain astute regarding the validity, reliability, and accuracy of my data. Integrating triangulation into the mixed methodology where I used both qualitative and quantitative collection methods helped to ensure the accuracy of the analysis. Triangulation is used in social sciences research to provide for cross validation when two or more distinct methods are found to be congruent and yield comparable data (Jick, 1979, p. 602). Jick (1979) describes triangulation as a positive outcome when using a combination of methodologies in study of the same phenomena and that its effectiveness rests on the premise that the weakness of one is counterbalanced by the strengths of the other. The triangulation of data can occur as a result of using a mixed methodology framework for research (Bloomberg &

Volpe, 2012). Webb et al. (1966, as cited in Johnson et al., 2007, p. 114) are credited with being the first to coin the term triangulation. Triangulation happens as a result of using two or more independent measurement processes whereby, the results when compared although found by different means, substantiate the research question where the “uncertainty of its interpretation is greatly reduced” (Johnson et al., 2007, p. 114). Jick (1979, cited in Johnson et al., 2007) noted the following advantages of the triangulation method:

(a) it allows researchers to be more confident of their results; (b) it stimulates the development of creative ways of collecting data; (c) it can lead to thicker, richer data; (d) it can lead to the synthesis or integration of theories; (e) it can uncover contradictions, and (f) by virtue of its comprehensiveness, it may serve as the litmus test for competing theories. (p. 14)

Triangulation is a tried and tested means of offering completeness, particularly in mixed-methods research” (Tobin & Begley, 2004, p. 388). Collins, Onwuegbuzie, and Sutton, (2006) described triangulation as seeking convergence and corroboration of results from different methods studying the same phenomena (p. 75). Whereby, Creswell (2012) described triangulation as the process of “collecting and converging or integrating different kinds of data bearing on the same phenomena” (p. 536).

The overall advantages and use of triangulation as a means of informing and comparing the researcher’s assumptions against the outcomes of the research was practical and useful. (Onwuegbuzie, Bustamante, & Nelson, 2010, p. 59). Ultimately, the goal of integrating triangulation methods was to provide stronger, rich, and accurate data that could be compared across both qualitative and quantitative results. In my study, following a pattern of triangulation

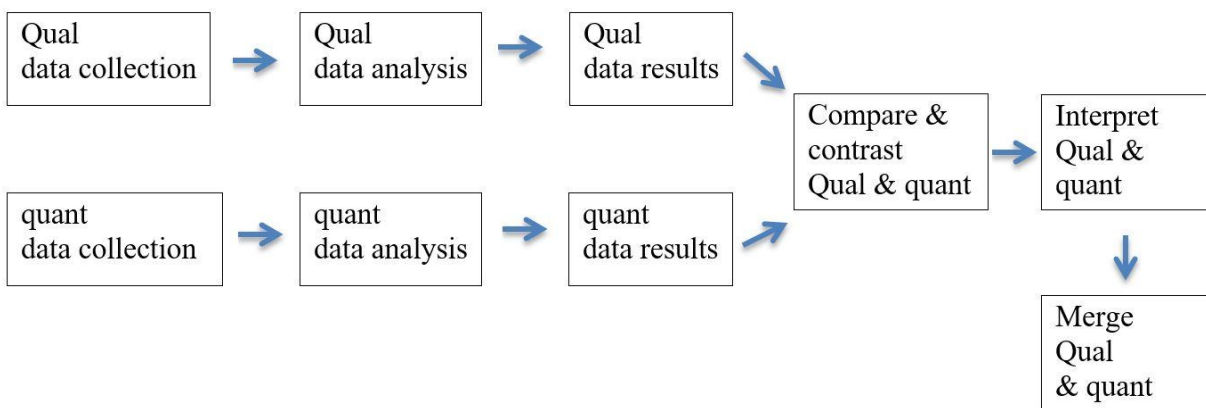
was achieved by checking the questionnaire responses against the responses from the interviews to determine if there were any discrepancies, thus increasing reliability that the results are actually answering the research questions. In addition to this, I triangulated the research questions in order to ensure that the research participants understood the research questions; the language, terms and concepts. Thus, I also had a colleague/peer review all of the questions to be used in the questionnaire and interview so as to ensure that the language, terms, concepts, and general leadership language was understood by someone representing the research group. Triangulation of the data also helped in checking what the research participants said in the interview compared to their responses from the questionnaire. The results of the triangulation of the quantitative and qualitative data were integrated and presented in Chapter Four, whereby “the data from all sources are seamlessly woven to provide an overall integrated and holistic presentation” of the findings (Bloomberg & Volpe, 2012, p. 36).

Cross-over analysis.

The research plan purposely built in qualitative and quantitative tools so as to draw out data that could then be contrasted and compared to ensure accuracy. To do this, the analysis stage of the research integrated a crossover technique, or as Onwuegbuzie (2009) referred to, the crossover analysis. According to Onwuegbuzie, the crossover analysis is the most effective way to analyze qualitative and quantitative data. Given that the obtained results contained the views of both the interviewer and the researcher, it was imperative to integrate techniques that helped to validate objective viewpoints and constructs. This method was particularly useful for the analysis of the research as it provided the opportunity to utilize techniques to draw the best conclusions from the data.

In comparing and contrasting the quantitative findings against the qualitative results, the quantitative data was reviewed to determine alignment with the emergent qualitative concepts. Frequency counts were compared from the quantitative data to see where correlations existed within the qualitative data. This entailed reviewing the most frequent to least frequent, most important to least important findings to determine if correlation or contradictions existed within the qualitative data. Quantitative data was then integrated into the qualitative findings to examine alignment against the responses to the research questions (see Figure 3.2). Specifically, the quantitative data were integrated where appropriate within the six themes that resulted from the qualitative analysis. This provided the opportunity to compare and contrast where, and if, the quantitative findings supported or created contrast to the qualitative findings as well as providing validation and increasing trustworthiness of the qualitative data collection process.

Figure 3.2. Cross-over Analysis



Interpretation and Integration of the Data

Data were collected over a period of four months. The overall analysis of these data occurred in three phases after final data collection concluded. The quantitative data were interpreted in the first phase, the qualitative data were analyzed and interpreted after the

qualitative was completed and compared against the quantitative. The second phase of analysis involved the interpretation of the inter-rater/peer evaluation results/findings. The integration of results occurred in two phases whereby the quantitative findings were correlated and integrated into the qualitative data findings where appropriate (Creswell, 2012). The third stage of integration involved the integration of the peer evaluation findings into the overall results chapter. A chart was used to integrate and compare the findings against the conceptual framework and research questions (Appendix E). Analysis and integration required a comparison of all three sets of data findings (quantitative, qualitative, and inter-rater reliability), to determine correlation to the research question.

Data Presentation

The analysis of the data primarily focused on the qualitative results providing the themes and sub-themes for integration into the results chapter. Quantitative data were integrated into the overall results and findings as a means of providing validation and increasing trustworthiness of the qualitative data collection process. Therefore, data is presented focusing on the qualitative data with quantitative data substantiating correlations. The final six themes were: 1.) Understanding self as Leader; 2.) Leadership Beliefs; 3.) In service of, and care for others; 4.) Challenges of leading the academy; 5.) Leadership Influences; and, 6.) Navigating change.

Ethical Considerations

Determining the parameters of the inquiry was crucial due to the nature of working with human research participants and the opportunity for subjectivity as part of relationship development. Uncovering my own qualitative stance bias was key as noted “value stances are often needed in research; however, it is also important that research is more than simply one researcher’s highly idiosyncratic opinions written into a report” (Johnson & Onwuegbuzie, 2004,

p. 16). An awareness of maintaining objectivity was also important to ensure I did not push my own leadership agenda and insights onto the research participants in hopes of change or preferred response throughout the interview process. One of the key ethical considerations for me as the primary researcher was to ensure that I did not bring harm to the research participants. Critical to the study was to be aware of the safety of those participating, to be the researcher that is “sensitive to the potential of [the] research to disturb the site and potentially (and often unintentionally) exploit the vulnerable population” (Creswell, 2007, p. 44). As this study was asking about the participant’s perceptions, every effort was made to ensure that there was absolutely no harm done in gaining the research data/information.

Confidentiality and anonymity were two key areas that underscored all communication as well as data inquiry and analysis. Maintaining both confidentiality and anonymity of the research participants provided a conscious awareness of the potential ethical issues that could have arose (Creswell, 2007; Kaiser, 2009). Participation in this study was completely voluntary and a description of confidentiality and anonymity was included on all of the consent forms as well as on the letters sent to presidents (Appendix I) and their senior management teams (Appendix J). Signed consent forms were required before commencing with any interview. Given that the interviews were transcribed, pseudonyms and masking codes were used to protect the anonymity of the research participants and their responses. Additionally, data was aggregated through a coding process. As codes and categories developed and content was clustered, themes were based on generalized content, thereby protecting the anonymity of the individual participant. In addition, all data was and is, stored on a locked computer so as to ensure no one but the primary researcher may obtain access to this data.

I received approval from the University of Calgary's Conjoint Faculties Research Ethics Board. Once permission was granted, phase one began with an email introduction to the study, which developed into one-on-one meetings with the university presidents (Appendix K). An invitation to the study was then sent to the senior management teams of university's participating in the study (Appendix L). The next step involved contacting potential participants to invite them to participate in the questionnaire in two steps: invitation to presidents (Appendix M); and, an email invitation to their senior management team (Appendix N). These individual letters were sent to research participants providing research background, introduction to the study, and requesting permission to participate. In addition to these letters, I was asked to create a letter that could be sent to the senior management teams of respective institutions participating so as to encourage participant in the study (Appendix O). As part of this, I integrated the steps for conforming to the requirements of informed consent to participate so as to ensure that participants were aware that they have the right to participate and withdraw from the study at any time during the research period.

Limitations

The research focused on exploring the viability of principled leadership that demonstrates an ethic of care as a university leadership theory, and the relationship between leaders' knowledge and attitudes about leadership, underpinning beliefs and values, and their approaches within the context of a change process. Describing the limitations in the research study helped me to determine the boundaries for which I could not control (Perry, 1998). In light of this, understanding, appreciating and valuing highly unionized and diverse environments as well as competently navigating the management of faculty and staff was a significant factor considered throughout the research. As cited by Paul (2009), "perhaps the biggest single challenge in

managing a university is finding a way to work through a very strong academic culture to initiate change while respecting and supporting the traditional autonomy and independence of individual faculty members” (p. 49). Given this, I was cognizant of communicating both directly and indirectly with research participants, as I wasn’t sure if they would be responsive to my research study and as a result negatively impact participation and data collection.

My research participants were limited to Nova Scotia. Although there is a vast diversity of leadership positions to draw from within Nova Scotia providing rich quantitative and qualitative data for this study, I was aware that it could also pose a limitation in terms of participation numbers. I was constantly cognizant that I couldn’t control whether or not senior leaders or their direct reports would be open to participating in the study; as a result, I could have ended up with a diverse range of senior leaders and middle managers in my primary research group. The research focused on one primary research group that consisted of university presidents, vice presidents, associate vice presidents, assistant vice presidents, and deans. Given this, the data represents self-reported data only. Given this, there is no verifying or triangulated data from a secondary research group who report to the primary research group, which could have provided accuracy regarding the reporting of data by the primary research group.

In terms of the results, the Appreciate Inquiry (AI), questioning process could have impacted participants to focus on the positive while also reducing the impact of the negative. However, drawing out only positive responses was not the purpose for integrating AI. The first few questions were guiding in nature while the latter provided an opportunity to probe further into leadership approach once rapport was created. Questions such as, “How did you deal with people who resisted change? What challenges did you face? How successful were your efforts? What worked and what did not? Another limitation of integrating Appreciative Inquiry into the

study was in using the research participants' self reported data. However, there was no evidence to suggest research participants self regulated their responses during the interview or managed their impressions so that the positive shone through, their responses provided sincere insights.

In terms of AI impacting the data, the data could have been reviewed from a different lens with a focus on more of the negative experiences however it was the researchers' intention to focus on the data specific to the research purpose, to explore leadership approach. Leaders shared the negative experiences of their leadership experiences, discussed the difficult issues, and provided valid feedback for integration.

Summary

This research design chapter provided an overview of the research design and encompassed the following three crucial elements: philosophy of the researcher or worldview, the strategy for inquiry, and the research methods used throughout the research process. As noted by Johnson and Onwuegbuzie (2004), using the mixed methods research approach helped me to, “use a method and philosophy that attempt to fit together the insights provided by qualitative and quantitative research into a workable solution” (p. 16). The mixed methodology approach fully supported the epistemological constructs for me as a researcher. A pragmatic approach to discovery for the research question helped with focus on the research question and the purposeful research methods, enabling this to provide rich and valid data.

Chapter 4 – Results

The purpose of the research design was to answer the research question investigating principled leadership; the relationship between a leader's values/beliefs and how these may serve to influence his/her effectiveness as a leader, particularly within the context of leading a change phenomenon in higher education. In interviewing presidents and their senior leadership teams, while acknowledging the intense challenges of their institutional mandates as well as in managing people, a common theme that emerged was that this sample of leaders work from a place of authenticity where honesty and trust are critical, have a high degree of respect for the people with whom they work, have a profound sense of responsibility for their welfare, and an incredibly humane approach to their leadership stance with a high degree of care shown.

The results are summarized through six overarching themes and subthemes that emerged from the semi-structured interviews and statistical analysis of the quantitative data. The six themes are: 1. Understanding Self as Leader: Leadership Values; 2. Leadership Beliefs; 3. Leadership in Service of, and, Caring for Others; 4. The Challenges of Leading the Academy; 5. Leadership Influences; and, 6. Navigating Change. The chapter was organized to provide the qualitative and quantitative data through these themes and provided insights regarding the following: the research participant's beliefs, values, overall leadership approach, and the complexity of their higher education environments.

The first theme, *Understanding Self as Leader* explored those values identified by the sample of leaders that emerged from the data and combined authenticity and identity, which encompasses honesty, humility, sincerity, being genuine, and building trust and relationship as components of being authentic and knowing oneself as leader. The second theme, *Leadership Beliefs* integrates those themes related to leadership beliefs: spirituality; ethics/morals; leadership

requires a moral compass with dignity and respect at the core; a specific awareness of working with people; and, principles: connecting leadership values to beliefs. The third theme, *In Service of, and, Caring for Others*, combined those codes and themes aligned with the sample of leader's desire to integrate authenticity into action through examples of working in service of those they lead, and caring for them. This theme provided two subthemes: 1. *The Impact of Caring for Others*, exploring caring through love, empathy, forgiveness, compassion, and listening; and 2. *In Service of Others*, that explored enabling, facilitative and distributive leadership as examples of serving others.

Theme four, *The Challenges of Leading the Academy*, combined those codes and themes combined to form two subthemes: 1. *Leadership Challenges* exploring the complexity of leading in higher education that involves conflict, and issues of power, equity, and social justice; and, 2. *Leadership Solution*: exploring leaders' insights regarding courage, a balanced perspective, and communication.

Theme Five, *Leadership Influences* explored effective leadership as related to identified influences and influencers that have impacted the participants and included: positive influencers (bad leaders and good leaders), family, along with age and impact. The final theme explored *Navigating Change* as related to the participants quantitative and qualitative responses and examines: change agency, change context, enacting change, and change and culture.

The study used a mixed methodology approach that included a questionnaire and semi-structured interviews. The results of the triangulation of the findings are presented in this chapter through the illustration of the narratives supported by the quantitative findings. Through the process of triangulation and iterative thematic coding, clusters containing words of highest

frequency count were formed from codes found within the qualitative interviews creating the seven themes/subthemes. In determining how the clusters were formed from the findings, the codes found within each sub-theme were compared against the definitions and literature review as provided in the conceptual framework to determine correlation, accuracy, and appropriateness. This process is described in detail in the Research Methodology chapter. Discussion of the findings will be presented in Chapter 5. Direct quotes have been italicized throughout the chapter to assist the reader in differentiating the narrative from direct quotes provided by the leadership participants.

Understanding Self as Leader – Leadership Values

The first theme *Knowing oneself as leader*, emerged from the data where strong linkages were found between codes that emerged from the sample of leaders which includes: authenticity, identity, integrity, honest, sincere, real, genuine, humility, trust, and relationship. A full list of associated codes can be found in Table 4–1. Identity and integrity emerged as key components of authenticity and the importance of understanding oneself as leader. Participants linked being honest, sincere, genuine, and having a sense of humility, as part of their leadership practice where being respectful of others and building trust was key to being able to do this.

Table 4–1.
Understanding Self as Leader: Associated Codes

Code	Freq count	Freq count %
Honest	18	56
Motivated to be genuine	16	48
Authenticity	14	42
Being authentic is important to me	12	36
Community	12	36
Values/valued	12	36
Trust	12	36
Values respectful relationships	11	33
Humility	9	27
Openness/Multiple pts of view	9	27
Grounded in my values	8	24
Understanding	7	21
Being truthful	6	18
Sincere	5	15
Transparent	5	15
I am an optimist	4	12
Real	3	9

Understanding Self as Leader: Authenticity, Identity, and Integrity as Part of Leadership

It was evident from participants that being authentic integrates having a firm knowledge of self and working from a place of integrity built on trust, honesty, and being genuine.

Authentic leadership underscores Nova Scotia higher education leadership where it was found that 100% of research participants indicated that they agree/strongly agree that they consider themselves to be authentic in their leadership practice (see Table 4–2). The code authentic was identified with 42% of the respondents (see Table 4–1) and participants consistently reported the need to work from an authentic leadership stance. When asked to reflect on their leadership

practice, 100% of research participants indicated that others would perceive their leadership as moderately/extensively demonstrating or embodying authentic as a leadership attribute (see Table 4–3).

Table 4–2.
Leadership Context: Understanding Self as Leader

Leadership Context.	Agree/Strongly Agree
I consider myself to be authentic in my leadership practice	100%
Being honest with my team is important even if it is an uncomfortable message	96%
Transparency is important to me	96%
Building positive relationships with those I lead is important to me	96%
Networking is important to my leadership career	81%
It is becoming increasingly difficult to hold to my own sense of integrity while leading in the contemporary university culture	11%

Participants pointed out that, “*authenticity is extremely important. I want to be authentic*”, said one participant. As echoed by this participant in describing how others perceive their leadership:

I think most of them would see me as a fairly authentic leader. I mean I’m the kind of person and maybe you’re getting the sense that I really can’t hide much. I pretty much wear my heart on my sleeve, kind of person. So, I’d hope that people would see me as fairly authentic.

Participants further noted that there is an authenticity factor and that others can tell whether a leader is operating from an authentic leadership stance or not, as indicated by this participant, “*I believe there is the authenticity factor. People can smell it off you. You need to be true, embody*

your beliefs, People will react to beliefs/values: it will be more constructive, helpful, authentic, and equitable”.

Table 4–3.
Leadership Values: Understanding Self as Leader

Rate the extent to which you feel others perceive your leadership as embodying the following attributes:	Moderately/extensive
Strong sense of identity (knowing who I am)	100%
Integrity	100%
Transparent	100%
Authentic	100%
Foster trust	100%
Conscientiousness	100%
Self-reflective	100%
Complete honesty	93%

In describing what it means to be authentic, participants connected being authentic to doing the right thing as noted by one participant, *“there are two kinds of people, there are people who do things right and there are people who do the right things”*. One participant, in sharing insights regarding the ability to be authentic as an effective leader, further described being authentic:

I think its authenticity, when I can show up grounded in my values and my own truth regardless of what people expect. If I can be my better self and be authentic to that, that’s probably when I’m most effective.

In aligning authenticity to effective leadership this participant said, *“vision combined with authenticity, drive combined with care, ability to collaborate but still make tough decisions when needed”*.

In further discussing the importance of being authentic as a leader, as an individual, many research participants referred to the need to be consistently real and transparent, that you should not change who you are depending on the situation. Participants described that who they are is whom they will be throughout each day, given different audiences, in their decisions, and in meetings. This participant said, *“I am a very authentic person and people know what they’re getting. I think for the most part although these can be hard conversations, people do appreciate it to be real, to have an authentic conversation or dialogue”*. As further echoed by this participant who described being authentic as being real:

I write my speeches to let my own experience come out so that they see that
I’m a real person and not just a talking head that if things are important to me
and I’ve got to get that out there or I’m not authentic.

In pointing to being authentic as a leadership value, this participant explains, *“if you’re an authentic and centered person, and you are thoughtful about your values, then essentially you approach everything you do with that centered roundedness so, and the consistency comes from the being of who you are”*.

These insights regarding research participants’ notions of being authentic are tied to understanding self. The following seven codes emerged from the study as values and connect to *Understanding self as leader; Leadership values*. They are, identity, integrity, humility, honesty, sincerity, being genuine, and trust and relationship, which will be further discussed in the next section.

Being authentic: A sense of identity.

Research participants were asked to reflect on their own leadership practice in describing effective leadership. Through their reflection and contained within the responses of the survey, the acknowledgement that being authentic integrates a knowledge of self and identity, and purpose tied to both, as well as a need to take care of self, emerged as a repetitive theme. When asked to rate the extent to which they felt others perceive their leadership as embodying the following attributes, 100% of participants indicated a *strong sense of identity (knowing who I am)* (see Table 4–3), and 52% of the leadership participants used integrity as a unique code (see Table 4–4). Table 4–4 provides a list of those emergent codes that combined to form this theme as well as correlated with the definition of identity as compared to the literature review.

Being firm in identity was important for research subjects, not only in how they identify in their leadership role but also as an individual. As noted by one participant who said, “*I want to do something where I can be who I am as a female engineer. I’m a woman. I’m an athlete*”. The following insight by another participant provides a generalizable finding of the sample:

I don’t think everything is about me as a leader and I don’t need to. I do self-identify as a leader. It is part of my psyche but if you were to take that out ...

I’m a wife, I’m a mom, and I’m a nana to two little boys. I am a scholar and I am an educator.

Table 4–4.
Understanding Self as Leader: Associated Codes (Identity)

Code	Freq count	Freq count %
Integrity	17	52
Being inclusive is important to me	7	21
Confident	5	15
Awareness of ego	4	12
Accountable	4	12
Advocate for others	2	6

As research subjects reflected on the importance of understanding self through identity, and their leadership role, it was noted that key to effective leadership is the ability to hold onto one's identity and not get lost in the leadership role as noted by one participant said, *“what I can bring is who I am to that role. The minute I become the role, it's gone, it's truly gone, and I've seen people go off the rails because they think they are the role”*. This was further reinforced when one participant shared the importance of understanding identity through the acknowledgement of respecting the leadership role, and their leadership team, *“I try to avoid expressions like my faculty, they're not my faculty. They are the university's faculty. So, it's understanding the role”* said one participant. Another participant also added, *“I mean I think if you're being true to yourself how can it be different like to me the fact that the board's in town this week. That's no different for me than when they were not in town ... I'm not going to be any different”*. Another participant also believed in the need to be confirmed in one's identity so as to not be easily influenced, *“I think you have to be very confident in your beliefs and your values and stick to that, and be that same person”*. In explaining the importance of understanding self

through one's identity, the need to be true was also explained by one participant, *"we should always be true to ourselves and true to the person regardless of who they are"*.

In reflecting on the attributes of an effective leader, research participants tended to discuss the importance of understanding who they are first, as a person, and then as a leader, and the integration of their identity and a knowledge of self, with a loss of ego as an important attribute of their leadership stance. This participant said, *"I always want to be true to myself, and think of people first"*. Once you do this, participants noted that you can bring the best version of yourself forward in your leadership role as explained by one participant, *"to bring to the world the best of your abilities and gifts and talents and skills in a way that makes a positive contribution"*. Participants said that leadership is less about them and more about others while indicating a heightened awareness that the institutional values and goals were also more important than themselves, where one participant said, *"it's less about me and what's good for the institution. So, when I can kind of park my ego"*. One participant said, *"it was about letting go of all the ego, and all about the heart"*. In sharing the extent of letting go of one's ego, one participant said, *"what I value in myself is I believe that the only thing I can control is the attitude I bring through the front door the morning, most everything else is beyond my control"*.

In explaining the importance of one's identity, this participant spoke of the importance of understanding the good and the bad so that truth through self could lead to a greater examination of leadership practice and that there are good days and there are bad days, but in understanding self and identity there was truth:

If I can stay connected, I'm myself, I'm who I should be...then I can speak
truth of power. I can get away with amazing things, I can tell people things, I

can bring some fun to it and bring people together and then I can get bitchy in which I lose my temper and slam doors.

Being Authentic: Connecting Identity with Integrity

Being real, truthful, and having an awareness of ego along with a clear sense of identity were noted as key factors for being authentic. When reviewing the codes for connections/clusters, identity and integrity emerged as two concepts continually connected, where it was noted by research subjects that a deep sense of self was tied to a knowledge of self and with this a deep sense of integrity. Integrity as an integral attribute of effectively navigating higher education institutions was a theme that deeply resonated over each of the thirty-three interviews. Nova Scotia leaders operate from a high degree of integrity. This is demonstrated by 85% of research subjects who indicated that ensuring decisions are made with integrity is most important to their leadership approach (see Table 4–5). The following statement by one participant provides evidence of how important integrity is to this sample of leaders, *"I am nothing without integrity"*. And further noted by one participant, *"I stand on my own integrity and I always use that, and I define integrity as doing the right thing when nobody else is looking"*. Only 11% of participants agree/strongly agree that it is becoming increasingly difficult to hold to their own sense of integrity while leading in the contemporary university culture (see Table 4–2), indicating that this leadership group feels it is a critical component of their leadership as well as that they are confident in navigating challenging situations while holding onto their integrity.

Table 4–5.
Leadership Dimension: Understanding Self as Leader

Rate the importance of each dimension in your own leadership approach. The following are key to my professional practice:	Mostly important
Ensuring decisions are made with integrity	85%

Participants spoke of the need to treat people with integrity, that this helps to build confidence with others. One participant said, *“I deal with people with integrity”* and another said, *“even the important core value of integrity. I think it builds a confidence in others”*. In describing positive attributes of a leader to emulate, this participant describes, *“those core values such as integrity. You can see that in what they do, you see it’s effective, you see it enables change and respect from others, and enables people to be motivated”*.

Leaders also indicate that things can go wrong when you do not work from a place of integrity, *“there’s so much that crumbles. And so much energy is wasted on either speculation or distrust. So, I think it’s really fundamental in terms of being able to lead an organization”*. In addition, they noted that they would rather be the leader who does things for the right reason, not just to do things the right way, as explained by this participant, *“What I’m really trying to do is move from a culture of doing things right to a culture of doing the right things because my view is if I do the right things others fall in”*. Integrity as noted by the research participants is tied to identity, knowing oneself, a knowledge of ego, putting oneself aside for others, an awareness of being accountable, moving beyond self to advocate for others and to always do the right thing.

Being Authentic is Connected to Leadership Values: Humility, Sincerity, Honesty, and Being Genuine

This theme combines frequently used codes that were used in combination by the leadership sample in describing their leadership values as connected to working from an authentic stance. They are humility, being honest, real, sincere, and genuine, a full list of the codes is provided in Table 4–1. This leadership sample indicated that *being grounded in my values* was important where 24% of the leadership sample used this as a unique code (see Table 4–1). This section provides an overview of the leadership sample’s insights regarding their values that enable them to be able to build trust and relationship with their colleagues and begins by describing leadership values.

Humility.

Humility was a code used by 27% of research participants as a positive and integral attribute of their leadership practice and connected to being authentic (see Table 4–1). Research participants perceived it to be an attribute associated with being honest, fair, firm, understanding one’s weaknesses and strengths, while providing an acknowledgement that people are needed to help a leader get the job done, you cannot do it alone. Being humble was understood to be a strength by this leadership sample, understanding where one came from helped to provide a clarity for where one now stood, solid foundation to stand on, as noted by this participant, “*I was one of those students that might have not been the brightest, the most well behaved. But I was involved, and I cared and I still care now*”.

Through their leadership experiences, participants demonstrated humility in sharing their insights on their role within the organization and that their institutional position is not what drives them, as noted by one participant:

I'm not hung up on position at all. I feel fortunate to be in the role that I am in and to have an opportunity to try effect change in the organization but I don't think I'm any more important than the guys that are cutting the grass that they in fact, in terms of visibility they're probably more important in terms of what people see on a day to day basis.

And as further explained by one participant who said, *“what you're trying to do is to ask, what are those things in me that will benefit my staff, benefit the people I work with, and this institution as a whole”*. The understanding and presence of humility as a leadership attribute provided insights into leaders' ability to acknowledge the strengths of those around them and through this, their ability to directly influence their own leadership success. This participant was quite open in sharing that their success is dependent on those who work with them and that they have no problem acknowledging that they work with, and need to support the smart people that surround them, *“I go to work every day with a lot of really smart people. And they need to feel that they're contributing”*, said one interviewee. Another indicated that they come from a place of humility in acknowledging they depend on others, *“I surrounded myself with good people. Good people make me better ... I don't need the thanks. I don't need the glory. If I can pass that off to somebody else that's great. I just want to get it done”*. Being humble as evidenced was important to this group of leaders and a leadership value that was integral to their overall practice; one that also integrates being honest, sincere, and genuine as an overall construct of their authentic leadership approach.

Honest, sincere, and genuine.

In further explaining leadership values, 96% of research participants indicated that they agree/strongly agree that honesty, transparency, and building positive relationships is an important part of their leadership practice (see Table 4–2), while 93% of research participants indicated that others would perceive their leadership as moderately/extensively demonstrating or embodying complete honesty (see Table 4–2). Research subjects repetitively shared the need to be honest, sincere, and genuine. One participant said, *“Your word is your bond”* in describing their need to be honest. Through their words, stories, and narrative, participants continually exemplified these attributes in responding to questions regarding their current role and how they came to be in it. Participants demonstrated honesty in their responses, *“Well I just feel so gifted, like, I feel privileged, you know where else in my life have I been able to bring myself to something and feel like it’s important”* and *“It’s a beautiful thing to watch, when you watch someone who you think is a very effective leader, a genuine person who cares for other people as opposed to, you know, people who are there for the robes”*. Along with, *“being honest, having integrity, good boundaries, it is really important in terms of commanding some kind of respect in a leadership role”*, said another participant. There is a simplicity and complexity provided in the responses as this shows a great depth of understanding of self, and the need to be aware of others. These concepts provide deep insights into the attributes of an authentic leader. Being passionate, honest, sincere, and genuine are steadfast attributes that Nova Scotia leaders hold on to and exemplify. As noted by one participant:

I’m motivated by wanting to be genuine and which is easy to do if you can be motivated by passion because I don’t think you can really put passion on. So, I need to be able to have a genuine conversation, talking about the excitement

that I have as an individual and I need to be able to have that same conversation with a student in the atrium, same excitement with that faculty member in the corridor, same excitement with a member of our board of governors. So, it's about being genuine, sort of almost putting your heart on your sleeve all the time.

Research participants further demonstrated honesty and sincerity in their responses to the research questions and were very open about their need to be honest in managing themselves as a leader. The following participant provides an example of this in saying, *“I think the biggest learning I’ve made about leadership is the hardest piece of it is managing me. I’ve been very deeply committed to personal growth”*. It was also evident that effective leadership based on being sincere and genuinely helping others can have a positive impact not only on the leaders but on those they lead. As explained by this participant when describing the need to be sincere in helping others through their leadership practice:

As long as I know I’m moving in a sincere direction to try to help people move forward and that’s always what guides me, if that’s students, faculty, staff, that’s a policy for me, they all have got to be heading in that direction and of making things better for people.

This sample of leaders provided evidence of an authentic leadership approach based upon an identity firm in integrity consisting of being honest, sincere, and genuine. These values enable this sample to build trust with their colleagues that is crucial to building relationship, a critical foundation of effective leadership as evidenced in the following section.

Leadership and Knowing Self: Trust and Relationship

In understanding oneself as leader, working from an authentic construct that integrates integrity allowed this sample of leaders to build trust and relationship with their colleagues. Trust was a frequently used theme where *trusting others* was a unique code used by 61%, *Trust as a cornerstone/foundation of their leadership practice* used by 18% of the leadership sample as a unique code, and 18% confidently indicated *people trust me*, as a unique code further demonstrating the leadership sample's honesty in reflecting on their leadership practice (see Table 4–6).

Table 4–6.
Understanding Self as Leader: Associated Codes (Trust)

Code	Freq count	Freq count %
Trust others	20	61
Building relationships	9	27
Build trust	8	24
Leadership begins with building trust	6	18
Trust is a cornerstone/foundation	6	18
People trust me	6	18

Trust in building teams, impacting change, and creating confidence were cited as important by research participants. The need for honesty in order to build relationship first in order to develop trust was key as 81% indicated that the most important effective interaction approach with their direct team aligned with their leadership approach is to always be honest with their team, which builds trust (see Table 4–7). Building trust as a unique code was used by 24% of the leadership sample (see Table 4–6), as one participant explains:

You can't start with trust. You have to start with openness and honesty and then eventually to build a relationship, a relationship doesn't happen right away, these work relationships happen over time and it builds when you're forthright like that, you build a confidence with the people you work for, for you, or you work with, and when that trust is built that's the important part of leadership and an ability to, it's a mutual trust thing.

Table 4–7.
Understanding Self as Leader: Trust

Rate the most effective interaction approach with your direct team. In doing so, rate the level of importance of each aspect compared with your own leadership approach.	Agree/Strongly Agree
I am always honest with my team, which builds trust	81%

Trust within the context of being authentic was found to be integral to effective leadership in building relationships where 18% of the leadership sample indicated that leadership begins with building trust (see Table 4–6), as one participant indicates, “*I think without that trust we can't do anything, we have to have that as a cornerstone and our foundation*”. Trust builds confidence in your team so that the team knows you will be there for them, as further explained by one participant:

A leader starts with trust and it starts with building that trust with people so that people will tell you what's going on and so they'll trust that you're going to be there, you'll have their back when they need it and when they need you, and that you're generally interested in their success. You know my success is

as good as the team's success you know, it doesn't work unless everybody is successful.

And further noted:

I think the greatest successes that I've had have been in the hallways and in the back rooms not necessarily publicly, but in private relationships established on a one on one basis. I think that people are starting to feel a lot more of a sense of trust.

However, leaders also spoke about their need to trust in and outside of building relationship. Trusting others and knowing that others considered their leader to be trustworthy was equally important as noted by one participant, *"I inherently trust people probably to a fault sometimes, but I just work on the assumption that everybody's keen to do their best and they're all loyal to the organization that we belong to"*. Trust and relationship were also noted as being complicated; they are not simple concepts and entail complex relationship building as noted by one participant:

Your question about relationship building is extremely important because it's not simply a sort of a tree diagram or dendritic diagram where someone presses the button up here and multiple things happen, those things are both relationship building at each stage.

Leadership Beliefs

This theme provides insights into research participants' beliefs associated with their leadership approach as observed and noted through data collection and analysis integrating those codes that once combined, provide the following subthemes: 1. Integrating spirituality into leadership: beliefs based on morals and ethics; and, 2. Leadership requires a moral compass that integrates dignity and respect. In describing beliefs, research participants used the following terms, a belief in themselves, a belief in others, and a belief in something beyond themselves that guides them in their decisions, actions, thoughts, and approaches. This theme provides evidence that leaders are operating from a strong sense of beliefs that are spiritually-based, a high sense of ethics and morals, a high moral compass perspective based on dignity, respect, an awareness that you are working with humans, and that, "*you can't mess with peoples' lives*". This theme emerged as it deciphered the participant's leadership approach in working from, as one participant said, "*the gravitational force field of good*" which includes, as noted by another participant, "*the right of people to be treated fairly and with dignity and equitably*". The sample of leaders were found to hold onto the belief that one should treat others as they would like to be treated, with dignity, respect, and concern for the other, that their beliefs were tied to their leadership stance.

Beliefs: My Spirituality is Part of my Leadership?

The sample of leaders used unique codes such as grace, spirit, spirituality, Christian, mindful, heart and soul in describing their leadership beliefs (see Table 4–8). Table 4–8 provides a list of those emergent codes that combined to form this theme. This theme also integrates that this leadership group values that leadership involves working with people, acknowledging people as people, where 48% of the leadership sample used the unique code, *humans/peoples' lives* and

30% used the unique code *people are valued* and 18% indicated that *humanity/human connection* as a unique code was important to them (see Table 4–8).

Table 4–8.
Leadership Beliefs: Associated Codes (Spirituality)

Code	Freq count	Freq count %
Humans/People’s lives	16	48
People are valued	10	30
Spiritual/spiritually strong/spirit	8	24
Heart	5	15
Humanity/Human connection	6	18
Grace/Graciousness	6	18
Christian influence	4	12
Soul	4	12
Being mindful	3	9

In reflecting on what this leadership sample value about themselves it was not entirely surprising that spirituality was a term that most leaders did not openly use to describe their leadership stance. However, in responding to questions regarding their beliefs, many provided examples where their spiritual or religious background either currently consciously aware or not, played a direct role in shaping their current leadership approach. In using phrases such as: “*I am a Christian*”, and another said, “*Continue feeding your spirit and making sure that you’re doing things that bring you joy*”, while one participant added, “*I engage spirit and emotion*”, one participant said, “*It was a bit of a coming to Jesus moment if I might add because it was totally self-reflective and I thought I’ve been coming at this the wrong way*”, participants acknowledged

a sense of the spiritual or religious connection to their leadership practice. For example, this participant described:

I mean that kind of Protestant work ethic was pounded into us when we were kids. But we also always have a sense of contribution to the community. It's sort of basic fundamental human relationship beliefs as far as I'm concerned. It's not built particularly on any sort of a religious or spiritual grounding. In my case I had a Christian upbringing but I wouldn't say that I'm a practicing Christian. But the basic fundamentals of that early upbringing had an impact.

And further explained by this participant:

You talk about spirituality and I think when I talk about energy I'm talking about spirit. I'm not religious but I do believe that there is an energy and I think a lot of it is unconscious. I think it's systemic. I think it's connected in fields that we don't even know anything about yet and I think things do happen for a reason.

One participant described the affective spiritual:

I think of affective spiritual, which is not spiritual. It's spirit, because I think it's just we're all about the mind, body, and spirit all the time, but I have to do that too. I have to kind of feed that too, so that I'm walking the talk.

Participants described religious and spiritual influencers in their life who enabled them to perceive their world and leadership from the same stance. In describing a Christian mentor who positively influenced this participant's leadership practice, this participant noted the need to be

able to say that you are wrong, that you are sorry, as shared, *“a former united minister ... taught me to just say ‘you’re sorry’. I said, “well you can’t assume responsibility for everything”, and he said, “but even if they assume that you’re proud of it, just say you’re sorry and start there”*. And in describing their leadership practice within the context of the institution they work for, participants indicated the need to acknowledge the importance of institutional context and relevance as related to a religious paradigm and the positive impact it can have on leadership, as explained by this participant:

We’re steeped in a Catholic heritage around here. I mean you know it could go back to a basic simplicity of the sort of golden rule that you treat others the way that you like to be treated and so I think there’s something in that.

Equality was a thread across this theme in the sense that spiritual or religious impact provided an equivocal foundation to providing commonality amongst all peoples through an acknowledgement of equality. As noted by this participant:

No matter if they have formal faith based be it as Hindu, or First Nations faith, or Catholicism or whatever that will inform their views on certain things but one of the things that is common too many things but not to all is that everybody is an equal and so I think that’s very important.

Knowledge of self, taking care of oneself, and the need to be spiritually, emotionally, mentally, and physically strong was also indicated to be important in order for leaders to be effective as one participant said, *“I care for myself, I have self-respect, I’m strong physically, I’m strong I think mentally. I think I’m strong emotionally, spiritually, and I think that’s an important part of being able to lead”*. Tied to this sample’s acknowledgement of the spiritual, is

a connection to having a moral compass, a true north that guides this leaderships samples' practice and discussed in the next section.

Beliefs: The Need for a Moral Compass

This section reviews those codes that were emphasized most frequently by leaders in sharing their insights when answering the following question, *How can leaders' beliefs impact how they (leaders) influence others?* In describing beliefs, respect, values, morals, ethics, and dignity, were some of the most frequently codes used by this leadership sample. The codes as identified in Table 4–9 were combined to form this theme emphasizing that leaders work with a moral compass comprised of ethics/morals with dignity and respect as part of this. It is noted that *respect* as a unique code was used by 79% of the leadership sample and *valuing/respecting other viewpoints* was indicated by 9% of the leadership sample when sharing insights regarding their beliefs (see Table 4–9). It is also key to note that dignity and respect as unique codes and potentially considered to be values, have been integrated into the *Beliefs: The need for a moral compass* subtheme as they were consistently tied to this leadership samples' insights regarding ethical/moral leadership.

Table 4–9.
Leadership Beliefs: Associated Codes (Moral/Ethical)

Code	Freq count	Freq count %
Respect	26	79
Ethics/morals	9	27
Social action/engagement	7	21
Principles/d	7	21
Dignity	5	15
Leading with a strong moral compass	5	15
Accountable	5	15
Fair	4	12
Principles are at the heart of leadership	4	12
Principles based on values	4	12
Valuing/respecting other viewpoints	3	9

Participants commonly agreed that a leaders’ beliefs impact those they lead and with this comes great responsibility to respect others, behave with a high level of morals and ethics, and to treat others with dignity. This sample of leaders connect the need to be grounded in their beliefs as a means of leading others in higher education, as noted by this participant, *“there’s a strong correlation between leaderships beliefs and the influence that they have on others. It’s huge”*. It was evident from the research sample that morals and ethics are also tied to beliefs, *“so their beliefs, their morality, their right from wrong, play huge into, their foundational beliefs are huge in leadership”*, said one participant. Many participants discussed beliefs as directly related to fairness, treating others fairly, and through this provided an opportunity for others to be able to grow. One participant said, *“Kill them with kindness”*. This participant shares their insights about fairness:

I think it's completely the leaders' beliefs. The leaders' beliefs are what people buy into and in the end the promise that they see from it, or the stability they get from it, or the fairness. I always like to be fair and to be open minded, but allow people to do things, and I'm very serious about decision-making.

Table 4–10.
Leadership Beliefs: Attributes

Rate the extent to which you feel others perceive your leadership as embodying the following attributes:	Moderately/extensive
Mentally resilient	100%
Respectful	100%
Strong moral compass	100%
Well-balanced	89%

Moral compass.

In addition to discussing beliefs as connected to an ethical/moral leadership stance, 89% of the sample of leaders believe that others would perceive them as a well-balanced leader while 100% of the leaders believe others would perceive their leadership as embodying the following attributes: mentally resilient, respectful, and have a strong moral compass (see Table 4–10). Many participants shared that a moral compass guided them in their leadership practice, as this participant said, *“you have to have a fairly strong ethical or moral compass right. And if you have to work all the time to ensure that you’re being honest, and that you approach things with integrity”*. This participant connects having a moral compass to understanding self as a means of keeping oneself in line:

I think if you aren't really clear about who you are as a person yourself and what you line up against and what you hold value in and then I don't think you know how to conduct yourself so there's no kind of, you need that moral compass to kind of say I just stepped over the line and I stepped over the line for me.

Participants also shared that they felt their leadership position involves a moral act, as said by this participant, "*I fundamentally believe that leadership is a moral act*" and this participant said, "*I think there is a morality to the practice of leadership*". Further echoed by this participant:

I've always believed in, as we get into this, as you move on, you try to do the right thing at some kind of superordinate level morally, and otherwise you try to do the right thing and then the judgment of that will come later".

Although vulnerability is discussed in an upcoming theme, it is key to note that participants connected morality to being vulnerable. Participants described that to be fully human meant to be vulnerable, take risks, and that the only way to do this in the workplace is through the authentic enactment of morals and ethics.

No one is going to take that risk, no one is going put themselves in that vulnerable position again as a human being. People when they come to work every day they don't actually stop being a human being, so they're not going to take that risk, they're not going to put themselves out there unless they feel some kind of moral compass, the social compass that exists in the

institutional environment is one where they actually do feel supported, cared for, and loved.

Having a moral compass integrates dignity and respect.

In further discussing their beliefs, morals, and ethics in response to the research question: *How can leaders' beliefs impact how they (leaders) influence others?* participants repeatedly shared the need to treat others with dignity and respect, regardless of how difficult a situation may be. Respondents shared the need to be respectful of others, to have self-respect themselves, and that the very dignity of the individual as a human being, was strongly evidenced. As noted by this participant, *"in terms of treating people with respect and respecting individuality, respecting a person's individual dignity, and their space"*, and further noted by this participant, *"come from a place of respect, and respect of the worth of people you work with, and a feeling of your belief in them and their value to the institution"*. Participants echoed that as a leader there are many difficult people and situations that you have to navigate, but treating people with dignity is critical. This participant shared,

When people get to know who you are and what values, what are so critical for you as a person, I think it shows, I really do and then that's where you get your reputation and we don't always have to agree, or, but you know, treat people with dignity.

Participants also indicated that treating people within the organization with respect regardless of their position was important to them; treating all people equitably within the organization was a necessary part of their values and beliefs whereby 85% indicated that they

always treat everyone equitably regardless of their position (see Table 4–11), and further reinforced by this participant:

That everyone no matter who they are, what level within the organization I give the same level of respect like just say if I'm meeting with the president, I would treat him just as nicely as I would treat the cleaner that comes in and cleans the building in the evening.

Table 4–11.
Leadership Beliefs: Approach

Rate the most effective interaction approach with your direct team. In doing so, rate the level of importance of each aspect compared with your own leadership approach.	Agree/Strongly Agree
I always treat everyone equitable regardless of their position	85%

Understanding the general impact you can have as a leader, most specifically the impact on those you lead, was important to this leadership group. The impression that is left with others and the importance of treating others with respect and dignity so that they leave feeling valued was noted as very important for this sample of leaders. Dignity and respect was described as having a good and gracious encounter with another, as this participant explained:

The way you act is how people think you are, right and so they've had a good and gracious encounter with you, then they think of you as a good and gracious person which is actually really important I think if you're going to be a leader.

How you make others feel is important to treating others with dignity and respect as this participant said, *“People will forget what you said, people will forget what you did, but people will never forget how you made them feel”*. The following insight provides evidence of the way in which participants approach their leadership practice related to strong people skills, that is built upon dignity and respect for those they work with, as noted by this participant, *“belief in people, respect for people, positive reinforcement, giving people scope to do useful work and then reinforcing and supporting them and getting it done, praising and being available to them to help them grow”*.

The leadership sample acknowledged that all leaders come from a lived experience that can positively help to inform a leaders’ ability to proactively impact as noted by one participant:

I go back to my upbringing and you treat people with basic respect and dignity, and everybody is an individual and that we’re all different. We’ve all got different stuff going on in our lives, and you have to understand as much as you can where people are, what’s working for them in their life, and what’s working for them in their career, and what isn’t?

And further emphasized by this participant:

I’ve been a firefighter for thirty years in a volunteer capacity and that’s around this notion of trying to make contribution to the community and it’s our obligation to give back ... treating people with respect and respecting individuality, a person’s individual dignity, and their space, and their toils, whatever it might be.

Participants also shared what happens when you do not treat others with dignity and respect or create an environment built on those same values:

When people and staff are respected and have similar core beliefs and there's a two-way street of trust. But I think people really respond well, and give more than you can ever imagine ... The flip of that is it's almost like a bad cancer in a corporation where if you don't have that set up for the mass majority you'll create a cancer within the corporation. No doubt about it. But you will also have individuals who are cancerous no matter where they are, and then as a leader you have to make the hard decision to change their needs, or exit them out of the corporation for the good of everybody else.

As noted, participants discussed the need for a guiding compass, to work toward doing the 'right' thing, and indicated that at the end of the day you have to ask yourself the question, are you a beaver or a termite, and how do you reconcile this within yourself, as important. Given that leadership requires dealing with difficult situations and involves people, human lives, it was important to this sample group to have a guiding compass, something that ensured that you left people, their dignity, and their respect, intact. As this interviewee explains:

Have I been a beaver or have I been a termite Beaver's build things up while termites tear things down. So, for me what guides me on a daily basis is have I built people up? Now people's perception of that, what building looks like is different to different people, so sometimes deconstructing is rebuilding but if I've made people feel better at the end of the day then that to me is my guiding compass.

A moral compass requires acknowledging that you are working with humans – they are people!

This section provides insights into the perspective of this leadership sample in how they communicate about those they work with, and lead. The terms employee, worker, staff were not frequently used terms, instead the research participants used, team, human, and people to describe those they work with. *Humans/Peoples' lives* as a unique code was used by 48% of the leadership sample along with *people are valued* being used by 30% of this same group (see Table 4–8). An overwhelmingly consistent and shared insight was that this group of leaders' value individuals as human beings and that they feel most alive when working with others. Participants repeatedly referred to those they work with as humans and the workplace was described as a culture of people, made up of humans, individuals with a life, a home, a family, and that they are valued based on their humanity. This participant said, "*We are all humans, we all kind of want to be treated in a certain way*", and another said, "*One of the most critical factors in successful interactions is trust in, and respect for other human beings*".

Participants explained that university environments are primarily made up of individuals, human beings, as this participant shares, "*people don't stop being human when they come to work*". Universities are made up of people, as this participant shared, "*recognizing that we're dealing with people that 75% of our university's expenses are people related*" and that, as noted by this participant who said, "*there's a human being in there and so you try to be respectful to them*", and further reinforced by this participant, "*valuing every person on the planet as an equal citizen of earth*".

Participants shared the importance of working with others and the impact of human connection as part of their leadership practice, "*treat other people the way you want to be treated*".

yourself”, said one participant. Another said, *“it’s all about people and there is not one point or one thing that I do that does not involve people, so if you’re making people feel devalued, feel intimidated, feel bad about themselves, you will not be a good leader”*. And one participant further added, *“I value human connection. I think that’s one of my deep values, it always has been, doesn’t matter who that human is, doesn’t matter what role is being played”*. And this participant said, *“we’re people organizations ... at the core base of every single relationship is a human quality”*. Participants understood that people want to do well and perform well and do valuable work. This participant said, *“fundamentally I think human beings want to be part of something good. They want to feel that their work matters”*. In describing how to approach tough decisions participants personalized their leadership approach in treating others how they would want their children to be treated as described by this participant:

You’re dealing with human beings, and I have a tendency to think of human beings if I have a tough decision and ask, ‘how would I want somebody to treat my son or daughter’? and say, ‘ok that’s how I want to treat or not so much how I want them to treat me, but how I would want them to treat my son or daughter’? So, I sort of think about that before I have any kind of tough conversation with folks.

One participant said, *“at the core base of every single relationship is a human quality”*, which leads to a further insight regarding that effective leadership requires high functioning humanistic leadership traits. A participant said, *“high functioning personal relations are directly related to high functioning leadership traits”*, reinforcing this. It was also indicated that personal relationship is a key attribute in vibrant robust leadership, as this participant shared:

I'm a people person, any sort of leadership analysis that I've done would put me on very high on elements of personal and symbolic leadership and probably quite low on structural leadership. I'm less concerned about whether we have issued the right policy. I'm not going to hang up on that. I am much more concerned about how we build personal relationship to encourage learning overall. So, for me it's actually a highly personalized piece and that has both positives and negatives. Positives in terms of a tremendous level of passion and engagement, and negatives because you do tend to personalize a lot of that.

Principles: Connecting Values and Beliefs

In concluding this theme, it is key to note that throughout the last two themes, participants shared their values and beliefs as connected to being fair, being just, based on fundamental principles without compromise, being consistent, along with the need to lead by example. The leadership sample also connected values and beliefs to having principles and used the following unique codes, *principles are at the heart of leadership*, *principles are based on values*, and *principles/d* was indicated by 21% of the leadership sample (see Table 4–9). Values and beliefs as individual themes were separated for the presentation of the overall findings based on the emergent codes and subsequent themes and presented in first two themes. However, this section presents those findings that connects values, beliefs and principles as one subtheme as noted by this participant who tied values to beliefs:

Beliefs, values, influence others. I think beliefs and values shape your actions.

I'd like to believe they shape your words as well. So, if you believe in them and value people, and I say this to people, "no one works for me, so they

work with me”. They don’t work for me, so no one at the end of the day says, “you know what? I feel that I put in a good day’s work for my boss”. No one does that. They work with me and they work for themselves.

Leaders indicated that their beliefs and values help to keep them on track and enable them to provide direction, be transparent, and influence institutional culture through their beliefs and values. As noted by this participant, *“what I value deeply are values, and I mean that really sincerely ... grounded in my values and beliefs, that the strategy or the direction of institution has to be both bottom up and top down in other words bottom up”*.

The leadership sample indicated that their values do not change, that a consistent leadership approach based on this is key, where this participant said, *“my values don’t change every day they don’t, you know caring, respect, that doesn’t change”*, and this participant said, *“so fundamental beliefs about fairness of the world, about what justice is, about what’s fair, so I think it’s absolutely a foundation”*.

This participant linked beliefs to principles and the importance of not violating or bargaining one’s principles or beliefs as a leader:

People witness you actually going in this direction, so you live your principles and your beliefs. I will not violate my principles and that has been again, when it comes to bargaining when people see how you lead, there’s no bargaining those principles.

The need for integrity as a leadership value was also tied to leaders’ principles and it was indicated that if push came to shove and you had to compromise one’s integrity that you would also be compromising your principles as one participant said, *“I’d rather leave with my*

principles then stay without them". Participants also shared the risk of leadership when it is not connected to a leaders' beliefs or values system as noted by this participant:

You hear more of the negative stories of leaders where whether it's in the financial crash or politicking, or whatever. Of course, you don't hear enough of the good ones ... their belief system and their morality system are off kilter it's more self-centered and driven by some other factors. Perhaps money, greed, whatever, you know! And a lack respect I think too, for their organization, their staff, and their clients.

The leadership sample also advised the importance of keeping values and beliefs in check indicating, *"how we confront new things and how we confront challenges, or different perspectives, or difference generally, is influenced by our beliefs and our values so we have to have them but we also have to critique them as well"*.

Caring for, and in Service of Others

This theme provided insights into the third finding regarding *care and service* as a conceptualization of effective leadership and combined those codes and themes associated with caring for others and, working in service of them. The sample of leaders identified key concepts associated with a high level of care for others and a desire to be in the service of others that includes: encouraging, care, self-efficacy, service of others, empowering others, being kind, and identifying love as an attribute of their leadership. The associated codes of this theme formed two subthemes and will be presented throughout each section, they are: 1. *The impact of caring for others* that encompasses: Caring for others requires one to love, Caring requires empathy, Caring requires forgiveness and compassion, Listening is integral to caring for others; and, 2. *In*

service of others which encompasses: In service of others: Enabling others to succeed, In service of others: Distributing responsibility/teamwork, and In service of others: Leader as facilitator.

The Impact of Caring for Others

In responding to the following research question: *What is the impact on the organization if people are cared for?* Fifty two percent of the leadership sample indicated *caring/care* as a unique code (see Table 4–12). Nova Scotia leaders indicated a high degree of passion in providing a culture that supports and nurtures the growth and development of those they lead for the better good of the individual, where 93% indicated that *I really care about the people I lead* (see Table 4–13). This theme reviews love, caring and safety, and listening as the primary codes that emerged from the data. Participants provided insights regarding their leadership as embodying love, care, being compassionate, understanding, having a concern for safety, and genuinely listening to others (see Table 4–12). This leadership sample felt that being kind was an attribute of caring whereas 96% moderately/extensively indicated that *others would perceive them as kind* (see Table 4–14), and indicated *leading from a place of kindness* as a unique code (see Table 4–12). Table 4–12 provides a list of those codes that were found to be the most consistent within the theme of love and caring and were combined to create this theme.

Table 4–12.
Leadership: Associated Codes (The Impact of Caring for Others)

Code	Freq count	Freq count %
Caring/care	17	52
Empathy for others	11	33
Listening	15	45
Team	9	27
Create opportunity	9	27
Love the people I work with	8	24
Mutual respect is important	7	21
I try to be compassionate	6	18
I try to supportive	6	18
Empathy	5	15
Encouraging	5	15
Lead from a place of kindness	5	15
Perseverance/patience	5	15
Lead with care	5	15
Help others to feel safe	4	12
Listening demonstrates care	4	12
Love is integral to leadership	4	12
Feel	4	12
Being thoughtful is important	3	9
I try to be understanding	3	9
Forgiving	3	9
Deeply rooted empathy guides me	2	6

It should be noted that the codes used within the love and care subthemes found in this section are consistently found across many of the themes and subthemes, and due to their high

frequency counts associated with care, found a primary home in this section, whereby participants emphasized the connection of love and caring within a caring paradigm.

Table 4–13.
Leadership Context: Caring for Others

Leadership Context	Agree/Strongly Agree
I really care about the people I lead	93%
Empathy is important for effective leadership	93%
Being a leader means that I am responsible for others	89%
My team would describe me as a leader with ‘heart’	81%

The sample of leaders had similar but varied responses when answering the research question: *What is the impact on the organization if people are cared for?* When people are cared for it leads to assistance and love on a large scale, as this participant describes, “*it may sound sappy but it’s helping mankind*”. In rating the extent to which they felt others would perceive their leadership, an ethic of care was indicated by 100% and caring indicated by 96% (see Table 4–14). Most shared the same philosophy indicating that it was necessary to genuinely care for their employees, but some noted that it was necessary to make the distinction between, ‘caring about others and caring for them’, as noted by this participant, “*Do I care about them? Yes. I care about everybody over there. I love them, but I’m not caring for them*” said one participant in responding to the research question.

Table 4–14.
Leadership Attributes: In Service Of, and Caring for Others

Rate the extent to which you feel others perceive your leadership as embodying the following attributes:	Moderately/extensive
Encouraging	100%
Ethic of Care	100%
Self-efficacy (confidence & self-belief)	96%
Service to others	96%
Caring	96%
Kind	96%
Empower others	96%
Love (principled love)	74%

While the majority of respondents did not question the term *care* and what this meant in regard to those they lead, the differentiation of paternal care, versus caring, was noted as a further distinction. This participant said, “*cared for is not you know being the parent... I care about, not care for ... Cared for means respected and recognized for their contribution and paid appropriately for the contribution, recognized and treated*”. And further explained by this participant:

People are paid good salaries, they have good hours, we’re friendly towards them, and we have a good environment to work in. I don’t know what you do beyond that, you listen sympathetically if you think somebody’s going through a rough patch, and there’s a limit to me about that in the context of work. I mean you want people to feel appreciated that’s one thing, cared for is a bit strong for me that implies somebody is moving into a parental role toward people in that sense ... I have to say I am a tad ambivalent about. I

don't know what that means in the context of the work environment to tell you the truth.

This participant said, "*We could interpret 'cared for' in many ways, it could be simply do we have a health care plan that cares for people, do people listen to my opinions, do I see myself in the organization*". This raised the opportunity to further discuss what caring actually means and that there could be implications for misunderstanding caring within the conceptualization of effective leadership, implications such as a misunderstanding that the researcher was being too patronizing or paternalistic.

Overall, participants acknowledged the reality that it is important to care for the people they work with and to provide a working environment that supports their work and that it is not always easy. Authentically caring for others involves an understanding that "*you have to remember that people's lives are filled with a tremendous amount of joy but also pain*", said one participant. In describing what caring involves, participants shared the importance of creating work environments where people feel cared for, safe, and build community. A participant simply said, "*I want to make sure that my people have a good working environment*". Another, in describing that caring helps to build community, leadership and guiding change, said: "*we see ourselves as a community and that's extremely helpful in terms of leading a community. If people didn't see themselves as being cared for in the community, that would be a tremendous impediment to both leadership and change*".

This participant shares the acknowledgement that you have to be cognizant of where people are:

We've all got different stuff going on in our lives, and you have to understand as much as you can where people are, what's working for them in their life, and what's working for them in their career, and what isn't?

Caring involves taking care of others to meet the greater institutional purpose, as this participant suggests, *"There's a purpose here, so the care comes because I care about the purpose and I love the people and I really love this region"*. Participants further described how they care for others and provided such insights as, *"I think it's about being clear ... I think people, if they're cared for, they bring their best to the table"*, said one participant. *"Things that I think are inherent in me that will be of benefit to others: kindness, caring, goodness integrity, being engaging, being inspiring"*, said another. Along with, *"it's been going in and down to the most micro level with kindness and patience"* another shared. One participant shared that caring builds confidence, *"I think confidence. I think care brings safety, and safety allows trust and collaboration, and people to not be wondering where the next attack is, so I think it does spread"*. Another participant described the need to be compassionate, positive and supportive, *"I've tried to be as compassionate and understanding and positive and supportive and bring a sense of abundance to every interaction with every person"*. While another said, *"making a person, whoever the person, is making him feel important and valued is integral to caring for them"*.

Caring for others also involves dealing with difficult and challenging situations; caring enough for the person that you hold back and do not react right away as described by this participant:

Caring for people may mean not giving in to their emotional storms ... caring for them doesn't mean giving into it, it means going back to it with an open mind later and being willing to dialogue with them on another day when they're calmed down and easier to deal with.

Or as suggested by this participant, caring about those who are disengaged, *"I have a real passion to help people who are disengaged by the systems"*. Participants explained that it is important to try to provide opportunity for growth and development, even if someone is considered a 'terrible team player'. This participant explains:

Sometimes you want to bring on that person that's a terrible team player out of effort to try to give them opportunity to be a great team player. So, you take them from being known as the worst person in the world and put them in a situation where they now have to change their attitudes because people are looking up to them. And in giving that opportunity, you're saying, "so here is a way that you can make a difference".

Other participants described the importance of providing space and room for employees to flourish as important to caring as an effective leadership approach. This participant said, *"you actually have to leave people enough space so they can work things out on their own and be there to guide them and I think that's probably what I say in caring for people, it's more about the guidance"*. A notion that was further echoed by this participant:

You give people enough space that they can develop themselves ... and so when I see someone come into a role and you see that kind of flowering, to me, my job is really about enhancing and if there's a frustration in my job, it's

not about me producing things for myself ... helping other people projects or things flourish and that's what I say, caring for is helping things.

This participant describes their innate desire to help others and said, *“that's what excites me, making people happy and helping them, assisting them, with their issues...it's the giving you know, not the taking. I'll do whatever I can, that's who I am”*. While this participant describes that to care for others involves keeping them safe:

We are going to have a rule here, whenever the school is closed you're not coming to work. They go, “Really?”. I said, “you're going to be on the highway till eleven o'clock anyway, you're going to be worried about your kids. Stay the hell at home”. Right? They don't do that anywhere else.

Participants described the direct impact on the institution when people are cared for, where one participant said, *“I think it makes it a much happier place to work, a much healthier place to work... you're reducing anxiety, reducing stress, it goes a long way towards avoiding problems, preventing small problems from becoming very large problems”*.

This participant pointed out that employees may be more committed when cared for:

It means that people will commit, they see themselves in the directions of the organization, and they are prepared therefore to buy-in and indeed to have faith in the directions that leadership is setting because they see themselves in that, they see that the institution cares for their ideas.

An area for further exploration is how employees are rewarded and acknowledged as part of an institution's overall ethic of care paradigm. It was noted that not all institutions are set up

to equitably reward or support their employees for the work they do, this participant said, “*very few organizations have an even approach to ensuring that people are acknowledged for the work that they do*”.

Caring for others requires one to love.

In responding to the research question: *What is the impact on the organization if people are cared for?* participants had consistent responses across the sample group in identifying love as an attribute of caring for others. The leadership sample acknowledged that love is a component of their leadership where 74% of research participants indicated that others would perceive their leadership as moderately/extensively demonstrating or embodying love (principled love) (see Table 4–14). The leadership sample used the following unique codes when discussing their leadership, *love the people I work with and love is integral to leadership* (see Table 4–12). Participants said, “*love helps people feel safe in institutions*” and, “*love is the golden ribbon that ties it all together*”, as well as “*humility and love go hand in hand*”. Participants discussed that effective leaders operate from a place of love, as noted by this participant who said you will find “*a high ocean of love in high functioning leaders*”, and as noted by this participant that innovative leadership is partially dependent on caring and love, who noted that “*every university leader will come back with a need for their university to be innovative whether it’s on their programming or change or whatever and you tell me how you get there without a portion of caring and love*”.

Leaders also discussed that they lead with their heart and care about those they lead and work with, where 89% of research participants agree/strongly agree that their team would describe them as a leader with heart (see Table 4–13). This participant explains:

So, I think it's just factoring in to, if I love, that you know, if I, look at the times when I've not been able to escape the gravitational force field of good versus the time I've been part of things that did get to something exceptional, I think I, and the other people involved, would say part of what got us there was there was a lot of love, there was a lot of caring, there was a lot of mutuality, and not just within small teams but within the organization overall.

Participants also discussed the impact of love and what would happen if love was not part of one's leadership practice and said that leadership without love could lead to harm, employees may not feel valued, and may become disgruntled. *"If something happened and we have no more work, at the end of the day, they are the people that you're with, and if you can't love those people then you're really in the wrong spot and that's what leads to disgruntled employees"*, said one participant. The leadership sample reinforced the need to create an environment where employees feel cared for, loved, and valued in the workplace and that regardless of their role within the institution they are valued. As noted by one participant, an effective leader finds a way to help others:

Freud says, "it's love and work" and I think people need to feel that their work is valuable no matter what they're doing, right, whether it's working in the cafeteria or whatever it's important that they feel that their work is valued, and I think an effective leader finds a way to help people.

Participants said that love leads to increased effective leadership, overall employee satisfaction, and the ability to create high functioning institutions as explained by this participant:

You show me a high functioning personal relationship, it doesn't need to be romantic or otherwise and I'll show a high emotion profile and you show me high functioning institutions and there's high emotion of love, absolutely. That analogy is, just the same thing right, what does a loving network manifest?

As evidenced caring involves love. This leadership sample also indicated that caring requires empathy as further explored through *Caring through love for others requires empathy*.

Caring requires empathy.

In reflecting on their leadership practice, 93% of research participants agree/strongly agree that empathy is important for effective leadership, and that they care about those they lead (see Table 4–13). The sample of leaders indicated the following unique codes: empathy for others, empathy, and deeply rooted empathy guides me, with 59% using the code empathy overall (see Table 4–12). As noted by this participant in discussing their ability to care for others, *“it's not easy but it is simple. It's deep-rooted empathy for sure, just a guiding principle”*. This participant describes empathy:

I think the empathy thing is most important because I think sometimes as leaders we believe that our job as leaders is to take away everybody's problems and solve them and then bring them back the solution. Well I would flip that around and say, “I'll give you the tools to solve a problem, but you don't learn if I don't let you make mistakes then fall down and then pick you up”, and I'd rather you fall down and make mistakes because you learn more.

Leaders demonstrated empathy through their responses in talking about the need to have empathy for those they lead, and said, *“I think it comes back to my empathy for people to say ‘you know you’ve got a family issue’. I just feel empathy sometimes”*. And echoed by most was the need to practice what you preach, and to understand the need for empathy as an attribute of effective leadership as noted by this participant:

Leadership to me then is practicing what you preach and have an empathy for people as they do their work and because they have personal issues and you’re trying to always make sure that they can take care of that before they can do their work.

Caring for others requires forgiveness and compassion.

The leadership sample indicated that being forgiving and compassionate as part of caring was important and key to their leadership practice. *“Are you grounded in a place of forgiveness and kindness? Because if you’re not its coming across in your body language it’s coming across in your voice, people will pick it up, energetically”*, said one participant. Another shared:

I’ve learned to become a very forgiving person when it comes to leadership to embrace imperfections and leadership as well as imperfections in people. The more you work with people, supervising people too, you learn that’s just who they are.

This leadership sample identified forgiveness and compassion and the need to acknowledge the other as a human, in discussing the challenges of supporting employees through difficult situations. As noted by this participant, *“given that no one’s perfect and recognizing that there are a lot of things that you don’t know about what motivates them and how they tick”*.

Along with sharing insights regarding forgiveness and the need to support your team through challenging situations, this participant said:

Folks we've got to learn to trust each other. And furthermore, we need to learn to forgive each other, it doesn't mean we're not going to screw up but it doesn't necessarily mean that there are some ulterior motives, that we're out to get you here, that this was done intentionally and so learn to trust and learn to forgive ... I had to try to build trust. But I had to try to teach people forgiveness because we're human.

Listening is connected to caring for others.

The sample of leaders identified listening as an important attribute contained within a caring leadership construct where 45% used *listening* as a unique code and 12% used *listening demonstrates care* (see Table 4–12). The act of listening was important, not just to ensure that others' voices were heard, or for the external political perception, but also as a critical element of understanding of what was going on, as this participant said: *"you have to listen to the community and that's not just a political statement, you need to know the facts"*.

Leaders described themselves as a *"listening leader"*, one who is effective because of the ability to listen to others, *"listening to advice"*, and that the *"multiplicity of engagement depends on listening"*. In caring for others, listening was described as a core attribute of leaders and one that enabled them to be more effective as a leader. *"Demonstrating interest in multiple perspectives and viewpoints, even just demonstrating that someone has been heard can often be a tremendous leadership skill"*, said one participant. Listening involves being open, transparent, and respectful as this participant said, *"open and transparent in enough time for people to*

express and truly feel that they were heard. Not that they had to agree but were they heard and where they respected”.

Listening integrates care and trust, where participants identified that bringing on the counter argument to help further the art of listening as a means of deeper understanding an issue and building trust, as this participant said, *“sometimes the best approach is to bring on like the counter argument and hear that out where people actually begin to trust sharing the things that they think you don’t want to hear”*. This participant describes that the act of listening that demonstrates an ethic of care, one that helps to make leadership easier within the context of working in a complex institution:

I think the act of listening demonstrates care and helps to build an understanding and really highly nuanced leadership. One of the challenges in an institution as complex as a university is you can’t actually take all that on yourself, but to understand some of that complexity demonstrates care of individuals and so that does make leadership easier.

Another participant also explains:

At the end of the day the thing that I would value most deeply would be, have we listened to each other, have we talked? Now, I won’t necessarily achieve that in every interaction but that’s at least a goal, that’s what I would value mostly.

In sharing the need for leaders to speak less and listen more in order to take action as a leader, it was shared by many participants that less talking and more listening is an effective leadership strategy:

I mean if you're doing all the talking, what are you leading? You're just telling. So, I think leaders who listen, leaders who are genuine, manifest that way, and who are confident and thoughtful, that's the kind of person I think is very important to institute change.

This participant described listening and being intuitive to others' behavior, "*listening, trying to truly listen and very often when people appear agitated it's because they are fearful of something, so if you can get to the bottom of what is driving behaviour*". Listening, although it can be considered to be an intuitive and natural part of leadership, even as it may be considered a simple act, is indeed considered to be more complex and a necessary attribute of effective leadership by this research group. This raises the question of the need to integrate active listening into an overall effective leadership strategy as part of the ethic of care paradigm and, as such, warrants further study.

In Service of Others

The conceptualization of leadership in service of others as an attribute of effective leadership emerged through the research process. This was determined through the analysis of the codes into themes which encompasses the following components of the leader working in service of others that involves: *distributing responsibility, enabling others to be successful, serving, serve from behind, empowering others, and being a leader that is a facilitator and guides others*. Table 4–16 provides those codes that emerged from the data discovered to be associated within an *in service of others* construct.

A key observation of this leadership sample is that 59% agreed/strongly agreed that leadership is about serving not leading (see Table 4–15) whereas adversely 22% agree/strongly

agree that being a leader means that I am in charge (see Table 4–15), demonstrating that 78% do not feel the need to be in charge to be an effective leader. However, 59% did indicate that they consider themselves to be a strong leader and thus can empower others to be the best that they can be (see Table 4–15). Cumulatively, 42% of the sample of leaders used the following unique codes, *serve from behind*, *servant leader*, *serve/service* (see Table 4–16).

The leadership sample believed that others perceive them within a ‘service capacity’, where 96% of research participants indicated that others would also perceive their leadership as moderately/extensively demonstrating or embodying the following attributes: self-efficacy (confidence & self-belief), service to others, empower others, and encouraging (see Table 4–14). This sample of leaders indicated a belief in working within teams, that as a leader they are only as good as those who surround them. This was evidenced by 70% of research participants who indicated that they are only as good a leader as evidenced through the effectiveness of their team (see Table 4–15), and 100% of research participants indicated that they agree/strongly agree that they understand the need to empower those they lead (see Table 4–15).

Table 4–15.
Leadership Context: In Service of Others

Leadership Context	Agree/Strongly Agree
I understand the need to empower those I lead	100%
Networking is important to me in my community engagement	96%
Others look to me for direction	96%
I am only as good a leader as evidenced through the effectiveness of my team	70%
Leadership is about serving not leading	59%
I am a strong leader so I can empower others to be the best that they can be	59%
Being a leader means that I am in charge	22%

Serving the university, and one’s colleagues, was deemed to be an important factor associated with effective leadership as this participant said, *“I’m here to serve this institution and here to serve the people within my portfolio, I’m here just to serve my colleagues, so I, as a person now, or as an ego, have no role to play there”*. And as explained by this participant:

I’m deeply committed to this being what or what you’re looking to achieve in these roles when you realize it’s not about you, it is about what you’re able to do in the service of the institution you have the privilege to lead and the colleagues you have the privilege to serve and that opens up I think a tremendous tableau of opportunities that you can’t see if you’re looking through the other end of the telescope.

Table 4–16.
Leadership: Associated Codes (In Service of Others)

Code	Freq count	Freq count %
Enable	25	76
Engagement/everyone in the process	15	45
Collaborative	12	36
Values respectful relationships	11	33
Supported	10	30
Value in building a team	10	30
Team	9	27
Contributing/making contribution	8	24
Build a winning team	7	21
Hardworking	7	21
Consultative engagement	6	18
Connect others/make connections	6	18
Inspire	6	18
Mentoring	6	18
Facilitator	6	18
Connection	6	18
Serve/Service	6	18
Servant leader	5	15
Help	5	15
Teamwork	4	12
Valuing/Respect viewpoints	3	9
Serve from behind	3	9

In responding to the research question: *On a daily basis what influences your leadership approach?* participants replied with questions such as: *“these places don’t exist without great*

faculty, so how do you support them and serve them?”, as well as, *“to lead from behind, helping people to be their best selves”*. The leadership sample acknowledges that the ‘other is deemed to be equally important’ in leading within higher education institutions and the way in which the sample group provides examples of ‘flipping’ leadership in order to respect and serve:

I do believe I work on behalf of four, if you will; the faculty, the staff, the students, and the alumni of the university. I don’t think any of those people work for or report to me so if I work on their behalf, or for them, then I’ve got to treat them with the greatest respect possible you know, the institutions values, those people as individuals.

Leaders who work in the service of others are compassionate as noted by this participant, where the *“practice of servant, service leadership includes compassion. I think where I am not always successful is where compassion needs to be put to the side and you need to just be more hardnosed”*. In linking a servant leader to the attribute of courage, this participant said, *“a servant leader thinks about the complexity facing that person and recognizes that most people if they’re being let go for poor performance they actually know that, it won’t come as a surprise to them”*.

Being a leader in service to others does not default to not getting the work done. In fact, this participant group felt that it increased their level of effectiveness as a leader and it enables work to get done as this participant notes:

Genuinely wanting to be helpful – just support others, help others – this adds value. Build in possibility, optimism, to be successful, very optimistic.

Genuinely wanting to be helpful – just support others, help others – this adds

value. Build in possibility, optimism, to be successful, very optimistic. My default is action, get things done, and build momentum.

In service of others: Enabling others to succeed.

In further describing their leadership as being in the service of others in responding to the research question: *When do you feel you are the best version of yourself in your leadership role?*, the sample group resoundingly considered themselves to be ‘enablers as leaders’. The word *enable* as a unique code was used by 76% of the leadership sample (see Table 4–16), and 70% indicated that *enabling others to develop their own capacities* was most important to their leadership practice (see Table 4–17). The leadership sample used such statements as, “*I have been described as the enabler*” and “*I have to enable those around me*”. This participant said, “*don’t bring me problems, bring me solutions*”. Participants also described that they feel more enabled to do their job when their own boss is confident in them, that they can perform at a higher level and support their teams more holistically, as one interviewee said, “*the most enabling thing for me is the confidence that my boss has in me*”.

In identifying enabling as a key component of their leadership practice, the sample group described having a collaborative approach that included being encouraging, caring, and genuinely interested and invested. Participants indicated that an enabling approach to leadership provides the opportunity for helping people believe in themselves and that “*leadership has a built-in multiplier effect*”, when a leader enables others around them to be the best version that they can be. Enabling was described as a leadership style that did not involve dominating but stepping back, “*you don’t dominate, you step back and let them articulate*” said one participant. It is about “*helping people understand and helping people believe in themselves*”, another

participant noted. They also indicated that the leaders' job is to, *"give you the tools that you need and then get heck out of your way to do your job"*. Enabling others to progress was key, where 63% indicated that removing/dealing with barriers and constraints to progress was most important to their leadership practice (see Table 4–17). Another participant shared that they are the best version of themselves when enabling others to be successful:

It's like when I can help somebody do something else that's my highest level of skill is to enable people to get to where they need to go, not doing it for them, not telling them how and that gives me great joy, is to see the spark.

Further noted by this participant:

When the moth turns into a butterfly and people stop coming in and asking the basic questions, but they come and tell me what's been happening and then in that situation, watching the group of thirty some professionals blossom into something way more than what they ever thought they would.

Participants also described enabling as creating opportunity, where, *"I love to see people exposed to things they wouldn't normally be exposed to and creating opportunity for them"*, said this participant.

Table 4–17.
Leadership Dimension: In Service of Others

Rate the importance of each dimension in your own leadership approach. The following are key to my professional practice:	Mostly important
Removing/dealing with barriers and constraints to progress	63%
Enabling others to develop their own capacities	70%

In service of others: Distributing responsibility/teamwork.

The term ‘team’ was used broadly and consistently with 91% of the leadership sample cumulatively using the following codes associated with the theme, *value in building a team, build a winning team, teamwork, and team* (see Table 4–16). In terms of best approaches in leading teams, respondents indicated that it is first important to establish the right team to ensure success. *“part of it is getting the right team. I tend to cluster people around me who are extremely good”*, said one participant. Another participant said, *“recognize the champions, and let those champions and team players do their work. You know empower them, and then be there for support”*. Where another participant added, *“I need to understand their leadership role and make sure that they are playing that role, not in a punitive ‘thou shall do’ but rather how do I support?”*.

Collaboration was indicated as important to effective leadership where 70% of participants ensure collaboration on a wide-range of issues that directly impact the university community (see Table 4–18). In highlighting their collaborative approach, the sample group generally work from a collaborative, team-centered focus where 52% of the surveyed respondents employ collaborative approaches when making decisions (see Table 4–18), 44% have a team-centered approach to decision-making (see Table 4–19), and conversely, 12% use unilateral decision-making (see Table 4–19), when appropriate indicating a high degree of collaboration and team work. In discussing working with teams, participants indicated that ensuring that a team ‘gels’ is more important, than the leader making the decisions. As this participant said, *“are you doing meaningful work and is the team gelling in that magical way where the some of the parts is really more than, the total is more than the sum of the parts?”*.

Table 4–18.
Leadership Approach: Broader University Community

Rate the most effective interaction approach with the broader university community. In doing so, rate the level of importance of each aspect compared with your own leadership approach.	Agree/Strongly Agree
I ensure collaboration on a wide-range of issues that directly impact the university community	70%
I employ collaborative approaches when making decisions	52%

Table 4–19.
Leadership Approach: Direct Team

Rate the most effective interaction approach with your direct team. In doing so, rate the level of importance of each aspect compared with your own leadership approach.	Agree/Strongly Agree
I work to ensure my team receives the support they require	74%
I engage in ongoing co-creation of vision with my team	56%
I have a team-centered approach to decision-making	44%
I use unilateral decision-making when appropriate	12%

Institutional success, being able to effectively lead, ensuring that people are carrying their weight, depends on a distributed leadership philosophy that involves everyone in the university regardless of their role as described by this participant:

We're only going to deliver the promise if we get everybody to understand that if you're picking up garbage, pulling weeds, teaching an advanced physics class, running a department, leading the research, doesn't matter what it is we need. We just can't afford to have people slogging it, that's our

responsibility as leaders, not to do the work, but to create the environment for people to perform.

This group was comfortable with distributing leadership within teams, *“I’m just one of the team and we’re carrying this plan out together and you shouldn’t feel like I’m up here and you’re down there, you should feel more like we are like this (together)”*, said one participant. Participants share the importance of collegial academic environments supporting a distributed leadership approach as explained by this interviewee:

I’m very comfortable with distributed leadership. I truly have come to respect the bi-cameral governance model of the university. I cherish the notion of academic freedom and freedom of speech and it’s something that concerns me that I see happen at other campuses people get all upset because someone is speaking about a topic that they’re not comfortable with so they don’t allow it to happen.

Although this statement sounds somewhat autocratic and not aligned with the sample group, it provides a practical insight into a proactive distributed leadership approach where the leader has faith in the team to provide results:

I am willing to allow employees to use their skills and experience to perform their work rather than to provide precise and prescriptive instructions. I believe employees feel prouder of their work if they have had the flexibility to design their own work plan. They also develop more confidence in their own abilities and begin to look for opportunities if they are given latitude in how they achieve expected results.

Leader as Facilitator

This theme comprises those codes the leadership sample used to further describe their leadership to comprise the *Leader as facilitator theme* such as, *engage/everyone in the process, help, and connect, and facilitate* (see Table 4–16). Participants described facilitative leadership as, “*I tend to facilitate more of the messy situations and be less directive about where we’re heading in this direction because I said so, that’s not my leadership style at all*”, while another said, “*I am a hidden facilitator, you sort of, you get people talking*”. Facilitative leadership was described as providing the opportunity to empower and engage others in the process, as noted by this participant, “*to make people comfortable and create a non-threatening atmosphere. In addition, asking people to take on leadership roles to achieve your vision. Be a behind the scene facilitator*”.

Participants indicated that given the challenging environment they work in and the high level of decision-making involved, that sometimes it is necessary to enact more of an authoritarian leadership approach but lean more toward balancing that with a facilitative approach. As described by this participant:

When I’m facilitating, so when I’ve got multiple ideas around the table and I need to hear from you and from you. So, what does that look like? A sort of questioning facilitator of leadership that often involves a listening leadership. I don’t think I am the authoritarian leader who works as well, when I sort of sit silently at the table and I get three viewpoints and I go ok that’s it, I support you. That’s not how I tend to work...but I tend to be someone who wants to be consultative and facilitative, so that’s where I think I’m my best.

As evidenced, this theme provides examples of the leadership sample's practice that involves caring for, and being in the service of others through enabling, guiding, facilitating, distributing/team work, empowering, through love and care.

The Challenges of Leading the Academy

The challenges of leading the academy theme provides insights into the highly diverse, complicated, engaging, and complex environment that 21st century higher education leaders in Nova Scotia are navigating. This theme integrates frequency codes and descriptive statistics supporting the qualitative findings that once merged provided the following two subthemes as identified by the participant group: *Leading the academy*, which comprises, Leadership challenges (Leadership context: hard work, Leadership involves conflict, and Leadership involves issues of power, equity, and social justice); and, *Leadership Solution: Responding with courage, a balanced perspective, and communication* (Leadership requires courage, Leadership requires a balanced perspective and Communication). This theme brings together participants' responses where they agreed that effective leadership is not to be taken lightly, that it is hard work. Leaders need to maintain a balanced perspective of "*we're not saving lives*", "*we are not performing heart surgery*", that failure is ok, you can be successfully vulnerable, and that courage is an absolute essential necessity for navigating not only institutional change but the everyday associated with leading higher education institutions. Having a balanced perspective grounded in passion and motivation, influenced by desiring work/life balance and healthy communication, regarding leadership enables this sample of leaders to be more effective.

Leadership Challenges

This subtheme brings together those challenges associated with leading higher education institutions identified by participants that working in higher education is hard work, involves

conflict, and raised concerns surrounding power, equity (women and leadership), and social justice as challenges. Participants indicated that leading change and leading people was hard, complex, and tense; dealing with resistance was hard, change was hard, leadership is not easy, and they acknowledged that they encountered incredibly difficult situations all of the time. On and off the record, leaders shared examples of challenging situations and experiences that have enabled them to reach deep into the depths of their being when making decisions regarding their response and approach. Participants discussed the lack of collegiality and described faculty infighting, toxic environments, highly judgemental colleagues, critical and appalling communication, and the abusive behaviour experienced amongst colleagues. These challenges were felt internally as well as externally, from furious donors to furious alumni and the feeling of being completely undervalued, overlooked, and disrespected. “There's so much distrust and there's us versus them and people are very suspicious particularly at times when resources are thin”, said one participant.

Participants shared that as part of navigating these challenging environments they, “keep your friends close, your enemies closer” or “dance with those who want to dance with you” just to survive, said another participant. Participants had dealt with former leaders and bosses who would, “scream at you at the drop of a hat” and situations where, “there was lots of infighting”, said another participant. This participant said, “I would go home in tears some days, thinking this is the most challenging thing I've ever undertaken”. While participants shared the good with the bad they indicated their environment was “a very fractioned work environment”, or that the environment in which they worked “left people in a P.T.S.D. type of environment, people were shell-shocked, underappreciated, he had pitted people against each other. It was just a toxic work environment”. They described how when they came into their leadership role, “it was huge for

me because I was turning a ship around that was headed in a very dangerous direction”. This participant provided the example of a former leader/boss who had lied to cover up a situation on campus, “trying to cover up a sexual assault which for me tore at the very foundation of who I was, I’m still scarred by that complete lie”. Participants also felt not supported by their leaders, as indicated by this participant, “He had put me in a number of different situations over the years where it was like, here’s something I don’t think you can do”.

Participants also shared that the challenges of university administration did not always have to yield negative ramifications, where in their responses they said, “I’ve seen very few university presidents for example, or vice presidents or deans, who are able to lead with that more authoritarian piece, they tend not to stay in the academy very long”. This participant shared “we were able to convince the board that we couldn’t get there by slashing and burning, or that if we did get there by slashing and burning, it would hurt the organization more than having a well-thought-out plan”. Or, in just being able to manage what is in the sphere of influence given what they considered to be the influence of negative leadership from the top as this participant shared:

I’m not feeling supported at that level and things are really hard to get moving and so I just decided not to let that get in my way. I’ll just keep managing what’s in my sphere of influence and let that be, because it’s going to take a long time to sort out and it’s not going to be in my term, and so there’s a sadness around that, right?

This participant indicated that surviving university leadership is “a combination of shoving and just keeping your shoulder at the boulder all the time, just don’t let up because otherwise people start circling”. In dealing with change, participants discussed how they encountered resistance

and how they chose to respond, “if you tell someone about massive change their immediate reaction whether they agree with it or not, is with resistance, so you start out small and you build, you work on the small bit of resistances”. This participant acknowledged the incredible challenge of working with faculty unions and the nature of being threatened by colleagues, “when they threaten in terms of grievances or whatnot you say, that's ok, that's your right”. And this participant discussed the courage needed to embrace dissent, the lack of collegiality, and the ugly associated with university leadership and shared:

The courage to look at your circumstances honestly, and in that honesty, it actually allows you to see a pathway to get beyond the average or good performance to something that most people would predict you can't get there, but the only way to get there is actually to embrace how ugly your circumstances are and so it's not just a personal value, it's how that personal value manifests itself in the pursuit of excellence.

Leadership context: Hard work.

In acknowledging the challenges in leading the academy, the sample of leaders repeatedly said, “*Leadership is hard work*”, it is like running a nuclear power plant, you cannot just show up, and you need to be able to discern. In this theme, the sample of leaders described skills that enable them to respond to the challenges of leading higher education institutions, such as: resilience, perseverance, intense, strong, diligent, and having a “*big gas tank*”.

In describing leadership as difficult, one participant said, “*because people judge and rate your ability and results based on their perspective of what you do without actually truly understanding it in totality*”. Another participant said, “*leadership is painful, it's exhausting. I*

think it's just like childbirth, you just do it, right? There is a bit of just showing up and there's a rhythm to it". While another linked the challenges of running a university to a nuclear power plant and the need for the leader to be prepared in order to succeed:

Imagine running a nuclear power plant if you did not know stuff, you know, and have some understanding of it. I think that these places are strangely complex and that's why so many people don't survive when they come into these roles.

Another explained:

It's just when there has been that alignment between being able to discern what actually is the best or the right thing for the university and then frankly being willing to sometimes suffer the slings and arrows that the goal was trying to stand up for. Then come up on the other side when you've been able to successfully pursue that goal.

In describing that leadership is tough, participants noted that you need to be prepared for anything, you need to be diligent as this participant said, *"leadership is not so nice when you're dragging people into collective bargaining or whatever, and the tough stuff too. You've got to be strong and you have to be really diligent and intense at times"*. Along with this participant who said, *"people avoid communicating because they think they are going to, you know, get 'a can of worms' thrown at them. We'll ask questions they don't want to answer"*. Given this, there is also a strong indication that the challenges of leading the academy is linked to reaching beyond institutional goals and to be exceptional which is not easy as shared by this participant who indicated that institutions need to move beyond the ordinary and aim for exceptionality, in

saying, “*I have an abhorrence for these organizations to just go along and do a decent job of what they do. The thing that gets me out of bed in the morning is exceptionality*”. In addition to the fact the leadership is challenging, participants also explained that leadership requires individuals to have a ‘*big gas tank*’, to be able to be resilient and persevere, as this participant shared:

I think people completely underestimate the requirements of leaders to work hard and to have a capacity. I mean the search consultants get it and they have a shorthand language for it ‘a big gas tank’, right? I mean, like the need to persevere and to have resilience in these jobs, to keep going when no one else can keep going.

Leadership involves conflict.

In discussing the challenges of leading the academy, it was resoundingly clear that leaders experience conflict within their institutions, teams, and with those they directly supervise in meeting the overall goals and values of the institutions they serve. Experiencing conflict was shared by participants as a natural part of effectively leading teams within higher education institutions where they described conflict in identifying that it requires an openness to resistance, being comfortable with difficult conversations, and embracing dissent.

Table 4–20.
Leadership Attributes: Challenges of Leading the Academy

Rate the extent to which you feel others perceive your leadership as embodying the following attributes:	Moderately/extensive
Change agency	100%
Diplomacy	96%
Courage	96%
Courageous	85%

As evidenced, diplomacy was important to these leaders as 96% of research participants indicated that others would perceive their leadership as moderately/extensively demonstrating or embodying diplomacy as a leadership attribute (see Table 4–20). Even though 69% noted that they find it hard to lead those who are unproductive (see Table 4–21), 100% of research participants indicated that they agree/strongly agree that being comfortable with difficult conversations is important to their leadership practice (see Table 4–21), indicating their ability to deal with challenging situations.

This was emphasized by participants who indicated that creating environments where conflict is embraced is an integral component of effective leadership, as noted by this participant, *“respectful and collaborative environment where people (including myself) don’t always have to get their own way but are willing to accept moving in a particular direction by understanding “why” we are considering or enacting change”*. Participants described a leadership that embraced conflict as noted by this interviewee:

Being willing to kind of put yourself out there and to share your ideas, but also being willing to come and have somebody maybe poke at them a little

bit. I love to banter, a discussion and debate. I have a very low tolerance for just being critical for the sake of being critical.

Table 4–21.
Leadership Context: Challenges of Leading the Academy (conflict)

Leadership Context- Conflict	Agree/Strongly Agree
Being comfortable with difficult decisions is important to me	100%
I embrace being challenged by those I lead	96%
I consider myself to be an effective leader	96%
I encourage my team to question the vision	81%
My previous leadership experience prepared me well for my current role	74%
I am a visionary leader even when experiencing resistance	70%
I find it hard to lead people who are unproductive	69%

Leaders value conflict and dissent from the point of respecting others for their point of view whereby 96% of research participants indicated that they agree/strongly agree that being challenged by those they lead is an important part of their leadership practice (see Table 4–21). As this participant said, *“I think it’s a recognition that universities are by their nature places of conflict and dissent and so we need to make sure that we value that and not simply push it off to one side”*. In sharing insights regarding dealing with conflict as part of leading their institutions, leaders said that they need to be aware that they can be wrong, that resistance is important, where one participant said, *“sometimes some of the directions you may be setting may actually be wrong and so the resistance is important”*. Another participant spoke about a situation in which they redirected an employee, *“I brought him into the change process rather than isolating him from it and then eventually he became one of my closest confidants”*. In proposing the 80/20 principle as a leadership approach this participant explained:

There is often a thread of real value in the dissenting twenty percent and that's in fact what gives universities strength. If we could motivate and encourage and I mean only listen to the eighty percent, I think our institutions would probably move a lot faster, on the other hand that twenty percent often has a thread of brilliance and rationale that we would be well to listen to and at the very least be cognizant.

In further describing resistance and conflict within the university context, one participant said, *“allowing for people to resist while at the same time working with them through their resistance”* another participant added, *“you may ask, ‘who may or may not fit inside a university that is conceived of in a corporate way?’ . But the thing that motivates me in this is that out of this conflict we get tremendous change”*. Resistance does not hold this leadership sample back from leading as 70% percent of participants agree/strongly agree that they are a visionary leader even when experiencing resistance (see Table 4–21). As noted by one participant who said, *“that’s when real leadership comes up about having to make a decision or knowing that maybe everyone isn’t on board... so there’s, I think it’s fair to say, there’s a certain tenacity that I have as well but it’s not a ‘my way or the highway tenacity’”*.

Participants also discussed that sometimes the best approach for a leader is to bring on the counter argument as a means of ‘finding out where people really are’ so that their team begins *“sharing the things that they think you don’t want to hear”*. Along with making space for conflict, for *“those that don’t agree, finding out that if you let even your naysayers have their space, then you can make change”*. Trying to understand where others are coming from is important to this leadership sample, as noted by this participant:

You've got to put yourself in other people's shoes as best you can, you've got to understand that you know, my favorite catchphrase is 'you've got to meet people where they are' ... but if you can't start where people are at the very least you're going to leave a lot of people behind.

Participants noted the importance of honesty and trust when dealing with conflict, where one participant indicated, "*honesty and clarity, the wisdom to be able to discern, are important to situations where conflict exist*", another noted, "*creating a space where you could have good honest exchanges between the two parties knowing that full well that you're not going to be able to satisfy either side's full needs but to reach a point where you have an agreement*", or as another participant said, "*you're honest with them and when they threaten in terms of grievances you say, 'that's ok, that's your right. But you have a principled approach and explain everything to them, and give them a rationale of why*". While this participant furthered why the need for communication is key:

Universities are not easy places to work these days ... I let people know when they do a good job and if necessary I let them know when they are screwing up too, because that might affect someone else, but you have to develop a relationship with people before you can tell them any of that, they have to be able to feel comfortable calling you, people ask me the dumbest questions in the world and I never laugh. I just answer the question because I'm sure I've done the same thing to somebody else.

Participants indicated that they are not afraid to deal with conflict in-person, where 93% of participants agree/strongly agree that the most important effective interaction approach with

their direct team aligned with their leadership approach is to discuss difficult issues in person with a staff member (see Table 4–22).

Table 4–22.
Leadership Approach: Direct Team 2

Rate the most effective interaction approach with your direct team. In doing so, rate the level of importance of each aspect compared with your own leadership approach.	Agree/Strongly Agree
I am more likely to discuss difficult issues in person with a staff member	93%
I work hard to ensure that those I lead understand me	48%

Other participants discussed the challenge to guide people in difficult situations that can sometimes lead to letting them go and that it was important to them to be able to look oneself in the mirror knowing that they had sincerely and truly provided every opportunity to help someone change their behaviour, “*so that when they do leave not on their own accord, that they, or I can look myself in the mirror, and say, it’s not that I didn’t see this coming*” as one participant said.

The awareness of one’s impact on others regarding conflict was highlighted where this participant explains that sometimes there is a residual aftermath involved with conflict where you have to pick up the pieces and carry on:

I’m not perfect at getting to be inclusive with people at all. I am not a process person. I’m a bulldozer, and I value it, because it takes things places. You sometimes have to pick up pieces as a result of it. And that I’m generally likeable is ok, it helps, but I’m not a big process person, and I’m not frilly.

Leadership involves issues of power, equity, and social justice.

The sample of leaders' responses raised the awareness of the structures within higher education that support, perpetuate, and bring awareness to issues involving power, equity, and social justice where 12% of the leadership sample used *power* as a unique code and 15% used *equity* as a unique code (see Table 4–23), whereby 21% indicated that *being inclusive is important to me* as a unique code (see Table 4–23). Although these percentages may not be considered to be high, it recognized the courage of the leadership sample to bring awareness to these issues as a challenge and so they have been integrated into this theme. The challenges of leading the academy also merged insights surrounding women and leadership, the strengths of being a woman as well as the perceived weaknesses of a woman as a leader, and how the awareness of this can impact the way in which a woman approaches her leadership role. While this section does not provide the answer as to how to solve this complex challenge, it provides insights into the research sample's opinions and philosophy regarding power, equity, and social justice within higher education and creates awareness for further review.

Table 4–23.
Leadership Challenges: Associated Codes (Power, Equity, and Social Justice)

Code	Freq count	Freq count %
Being inclusive is important to me	7	21
I value equity	5	15
Power	4	12

In discussing the challenges of leading in higher education, respondents highlighted the reality that power and equity are deeply engrained within traditional higher education institutions and agreed that as a leader you can have 'blind spots'. However, they also acknowledged that they are not perfect and that they do work towards creating a greater awareness that as an

impetus for change regarding equity, power, and social justice challenges. *“It’s completely connected to the deep structured power where we’re aware of it and I think there’s lots of blind spots that we all have here”*, said one participant. In answering the research question: *On a daily basis what influences your leadership approach?* participants flipped the question and responded with another question: *“What are we privileging and, whose voice, are we? Who do we put in positions of power and influence? How are we constructing a change process”?*

Research participants agreed that they need to be aware of power, social structures, and equity and worked to ensure that they rallied against inequality, worked to create inclusive environments grounded in diversity, respect and empowerment. *“It’s really about addressing inequities, looking at individual and community empowerment, and the role of people in their own societies to take their place as leaders”*, said one participant. As well, it is *“knowing what a great university has been able to do ... if we are a civil place, respectful place, that you do consult, that is shared governance”*, said another participant. While another shared that it was their social justice work and volunteer experiences that helped to cultivate *“a consciousness about equity, developing empathy, communication, and relational skills”* in helping them be a more effective leader in higher education. And as this participant explained:

We were inclusive about equity, diversity, inclusion, and respect. It’s very much social justice and empowerment. I really do rail against inequality...I believe in power sharing collaboration and engagement and equality and inclusion. I’m probably bringing different people and different voices and perspectives to the table, and, it’s what I shut down. If I can be there, then I can speak truth of power. I can get away with amazing things, I can tell

people things, I can bring some fun to it and bring people together and then I can get bitchy in which I lose my temper and slam doors.

Participants identified that issues around power, equity and social justice are endemic and systemic and being mindful of this within institutions can help bring a heightened awareness as one participant shared:

I'm always mindful when I'm talking to folks about what's going on in terms of the relational dynamics around equity whether we know it or not. And then also the systemic pieces and how our conversations about the work actually are going to have implications on how people can identify.

As this participant further reinforces:

It's what gets rewarded and reinforced and that comes from my parental authority and this huge power title. That's the other thing I've learned that the role confers on you a whole lot of power and I'm always watching my secretary and how she gets treated by people because I get a whole different treatment ... that's a piece of learning too, just having that title.

Concern for equity: Women and leadership in higher education.

This section provides qualitative results provided by female research participants regarding their current leadership position and the cultures in which they work. This finding rose out of the voices of the women interviewed where participants shared the challenges associated with being a female leader. Participants shared their insights regarding identity and gender as a female leader, female mentors that positively impacted them, their own vulnerabilities as a leader, and the strengths that being a woman brings to leadership. This section provides a brief

glimpse but is profoundly important in providing an opportunity to create awareness of the challenges raised by this group of participants.

In responding to the research questions, participants said being a female leader is challenging in regard to equity, feeling qualified, confidence, doubt, to be completely authentic, worthy, and the acknowledgement that leadership is hard for women. *“I’ve always looked up to women, mainly because I think women have a harder road”*, said one participant who learned from working with strong women. This participant identifies the vulnerability of female leadership as noted by the sample group in asking these questions, *“I think a lot of women are always asking questions. Am I qualified? Can I do a good job?”*. This leader also shared that her default is to feel unworthy, in explaining:

It’s very easy for me to think that maybe its woman’s thing in leadership ... very interesting thing to feel that woman is unworthy. And it’s very easy to default to that or I’m not capable. So, I have to talk myself out of that sometimes, too.

Participants also discussed their need to be perceived as strong, not weak so that others cannot pounce on their weaknesses, as this interviewee explains:

When you’re a woman and you have these positions...there is the idea of being strong, not always being strong but wanting people to know that I am strong. One of my good friends is a woman and she said, *“You make it a little bit hard because you’re so hard on yourself”*. And part of that is, not wanting to have people pounce on my weaknesses.

Female leaders said they understood that it is okay to be vulnerable in one's leadership approach, but at the same time, being a woman, and showing your vulnerabilities can also open yourself up to being perceived as weak. As this participant describes, "*I mean every person has their vulnerabilities, but you show them too quickly or in a particular way. If you're a woman leader in an academic context or any contexts it becomes a point*". Other participants indicated that there is more freedom for men to show their emotions in the workplace and that when a woman does this, she is perceived as being weak. This participant explains,

I don't cry easily and I don't cry at work, at one time I'd been extremely upset and shaking but I can only think of once where I was so angry I was shaking. I've been a long time academic leader. It's not because I don't have emotions but, because I know it's almost, like it feels like there's more freedom for men to show their emotions than there is for women, and that maybe is just my, you know, my own perception.

This participant described that she is always overdoing things so that she is always prepared, and never caught unprepared in anticipation of being judged due to gender. She explains:

I always try to be really well prepared, go overboard in preparation. I think it's partly because I don't want to go into a situation where you know I seem like, I don't know what I'm talking about you know, where I think I don't have that gendered response to it or if that's just who I am as a person.

This leader provides an in-depth description of her lived experience as a woman and likens it to imposters syndrome which has led to a great sense of personal humility in her leadership practice:

I think I do have, I have a humility, it's sort of like to think, "who do you think you are, variety". Because I come from a humble background, and I don't come from privilege and so I have, I've experienced at many points in my life a sense of uncertainty, a sense of inadequacy, and a sense of being shunned, not feeling that I was good enough and I know for women this can be the case of a gender thing to imposters syndrome.

This lived experience provided the opportunity for this participant to become a better leader, as she further explains:

I think it can turn some people mean, it can make you small, and that is the danger. It can make you crabby and ungenerous. But I think at its best it can make you open to other people's feelings and understanding of other people's vulnerabilities, committed to being accessible and human because of the people who've helped you by being accessible and human when you didn't really have the confidence or know if you could make it or not, or know it.

In discussing their concerns regarding gender and leadership, participants also noted the incredible experiences they encountered in working alongside strong, female role models. They described the strengths of women in leadership positions as: mentor, facilitator, moral temple feminine energy, engage others, respectful, vulnerable, and well-prepared, as noted by this participant:

I have a moral temple feminine energy in approach and I'm a facilitator at heart, so I do a lot of open space. I do a lot with the community, with the faculty, I run faculty council meetings with flip charts and breakout groups, and I just you know you just kind of flip the model and try and model active engagement of people as a facilitator.

In further discussing the challenges associated with being a female leader within higher education, participants shared that their experiences with positive female role models enabled them to become a more effective leader. As noted by this participant:

She's got the quality of being both elegant both in dressing and style but also very decisive, she's got more authority than I'd want to have, she's kind of too authoritarian for my own style or taste but she's clear, she's effective, and she's commanding. I probably would like to be that with a small c versus a capital c because I think you do have to be a presence in a room that people will pay attention to.

This participant further adds:

There are so many powerful women in this community and watching their generosity. They're really leaders in different ways...a leader as a community catalyst and energizer, believes in the goodness of people. So many people who met her would say, "She made me feel good about myself. She believed in me and she always had time for me, she remembered my name". So, she had that human touch.

Another participant described the attributes of a friendship/colleague, women support group that continued to provide positive influence:

They are all feminists, but they are irreverent, have a wicked sense of humour. They're totally honest, they accept me for who I am and know me inside out and backwards and have seen me change, and each of them is on a journey with as much kind of openness to self-growth, you know and so they spurred me on.

Another describes a mentor who had positive impact as *“very competent. Worked very hard, had a lovely sense of humour. Another thing that I think is really important was a sense of humour, open to others' suggestions and ideas, and then was as tough as nails”*. This participant explained that others were attracted to working with her because of her gender, *“I think part of that is because of being female, being an engineer, differentiator, and enjoying other people”*.

Participants also spoke of how being a woman equips them to be a more effective leader. This participant described that being a woman gives her the insight into how to care for the people she works with and shares:

Being kind of respectful about you know having young children and you know I think sometimes as women we have extra challenges in terms of all the other things, oftentimes. And it's shifting, that we take on and so you know like there's times when I'd have two little ones in the office with me and that was ok you know it was about getting the job done. Not about a fixed template of this is how you do it. And this is what's appropriate.

It became apparent that leadership, gender, and equity requires further investigation. It would be highly informative to delve into this sub-sample groups perceptions of their leadership and the impact of their gender within higher education institutions. The insights contained within this section only provide a small sampling of the overall participant group's perceptions and further study would be valuable to understanding the challenges and data that could support higher education leadership for women.

Leadership Solution: Responding with Courage, a Balanced Perspective, and Communication

Participants shared their insights regarding higher education environments from a holistic perspective where you have to take the good with the bad and value it as part of effective leadership. This section looks at participants' perspectives responding to those challenges as shared by the leadership sample that leadership requires a courage that integrates failure as a positive, where being vulnerable is a healthy attribute. Maintaining a balanced perspective was also identified as being key to leading higher education institutions given the propensity for challenges involving conflict, power, equity, and social justice. Communication as a component of maintaining a balanced perspective is also integrated into this subtheme.

Leadership Requires Courage

In responding to questions regarding navigating higher education institutional cultures, 96% of research participants indicated that others would perceive their leadership as moderately/extensively demonstrating or embodying courage as a leadership attribute (see Table 4–20), while 85% of research participants indicated that others would perceive their leadership as moderately/extensively demonstrating or embodying courageous as a leadership attribute (see Table 4–20). This provides evidence and an acknowledgement of courage as a leadership

attribute in responding to the challenges of working in higher education. Five unique codes emerged from the sample of leaders and are directly related to this theme, *courage/courageous*, *challenge*, *I like a challenge*, *failure*, and *vulnerable* (see Table 4–24), and will be further explained through this theme.

Table 4–24.
The Challenges of Leading the Academy: Associated Codes (Courage)

Code	Freq count	Freq count %
Courage/courageous	12	36
Challenge	8	24
I like a challenge	7	21
Failure	7	21
Vulnerable	5	15

Being courageous is notably important to this group of higher education leaders. One interviewee after participating in a leadership retreat acknowledged that being courageous requires being vulnerable enough to ask for help, and reached out to a colleague to ask, “*I need your help because I committed to being more courageous as a leader*” and another said, “*you’re willing to put your own personal reputation on the line because you know what you stand for. You’ve got the courage to look at your circumstances honestly... you know, the hottest place in hell is reserved for those who claim neutrality in all kinds of moral crisis*”. One participant described courage as, “*to open yourself up to honest feedback from others and to make changes to yourself (checking the ego)*”, where another participant described being courageous in explaining:

I think I've done my best work when I've been courageous, I think I've done my worst work when I was less than courageous because I think one of the things that affects us with big brains you know just as species is that we are gifted when it comes rationalizing something less than our higher selves.

Participants described courage in approaching situations involving difficult conversations, as this participant pointed out:

Having tough conversations is a hard thing to do so you have to bring a certain spirit to it and then wanting the best for both and that I find the higher you get, the more you have to juggle making the tough decisions and how you can gracefully and appropriately do that with actually achieving some pretty significant goals that an institution relies on.

Participants provided insights into the questions leaders might ask in determining their resolve in regard to courage, as a leadership attribute. Questions that are explained by this participant:

Are you making a decision, and is it a political decision? Is it the right decision? Is it the popular decision? What is that action aligning with? Are you making that decision because it is good for the university? Is it aligning with their priorities, or is it somewhat strategic because you want to advance and it would be very unpopular at that point in your career to make these decisions, right? I mean that's the reality!

Having courage was further echoed by this participant who said, *"I try to be courageous and again in pursuing in a deep way and not in a superficial way you know trying to do the right*

thing”. Courage and persistence as a leadership attribute requires further exploration as the question is really, “Can we do without courage? Is it easier to not be courageous, or does it complicate leadership?” as this participant said, “*courage and persistence can kind of go together because you keep the courage to keep pushing on ... I think sometimes courage is something that it’s easier to not have*”. This participant shared the challenges of working with, and keeping difficult employees, which provides an illustration of embracing conflict with courage; that it is easy to let someone go, working with them to help them takes courage. This participant shared:

I would tell them, ‘my job is not to work to fire you, my job is to work to get to a point where you’re contributing, firing is easy but you have skills and abilities and I’m telling you what the challenge is but if it doesn’t work out then you’re going to have to move on’.

Courage involves failure.

In discussing the challenges of navigating higher education institutions, participants indicated that having courage as a leader involves failure, that some of their greatest learning experiences throughout their career occurred when they failed, and that ‘failure is ok’. In describing their leadership experiences, 21% of the leadership sample used *failure* as a unique code (see Table 4–24).

Participants embraced failure as a natural and even ordinary experience acknowledging the failures that they have experienced and in encouraging those they lead to learn from their own failures, where one participant said, “*everybody needs to fail...failure is a part of learning*”. One participant acknowledged their failure as part of their growth and said, “*I failed a couple*

times” and, *“I’m not afraid to fail”*, said another. The best learning came *“through watching how other leaders carry out their roles, trying, failing, and trying again”*, one participant noted. This participant explains, *“having failures and surviving it. Being up against the wall and coming out stronger with more wisdom inside”*. In further discussing failure as a learning experience, this participant explains the build-up of scar tissue, and the pain of doing it wrong as the best way to learn:

I have a lot of scar tissue of not doing it right. I think experience matters, you could read it in a book, you could, you know sit around a group and you can do case studies, but until you feel the pain of doing it wrong of wondering why things didn’t work.

In supporting others learning through mistakes and failures, this participant said, *“I’ll give you the tools to solve a problem but you don’t learn if I don’t let you make mistakes, then fall down, and then pick you up’*. *I’d rather you fall down and make mistakes because you learn more”*. Along with another participant who said, *“there’s nothing to be gained by getting angry with people, getting disappointed in people is really powerful, but you also have to move on and learning from failure is more important than the failure itself”*. And that people need to feel safe to be successful but to be a failure too”. In describing failure as an aspect of leadership, it was duly noted there needs to be an awareness that leaders are in a position where they can potentially harm others, as one participant said, *“you can do harm”* and another said, *“you’re messing with people’s lives”*. While agreeing that failure is important, participants in this study take their leadership roles very seriously and show evidence of working to avoid causing others pain.

Courage requires being vulnerable.

Along with noting the need to embrace failure and that making mistakes are both important components of enacting courage as a leader, participants further connected the ability to being vulnerable to the challenges of leading higher education institutions where 15% of the leadership sample used *vulnerable* as a unique code (see Table 4–24). Participants described that being vulnerable provides the opportunity for leaders to be open, honest, trustworthy, depend on others, and to share oneself fully which leads to effectively leading the academy, as this participant said, *“I’d like to be honest and I don’t like to put on airs of control, so I don’t mind appearing vulnerable in front of a group or individual and I don’t mind saying I’m wrong”*. Participants also indicated that being vulnerable means being dependent on others, on your team, as this leader explains:

Part of it though is that means I have to rely on those around me, so I need to rely on my team, I need to support my team, and I need to rely on those who have expertise in finance, administration elements of our academic programming, those sorts of components.

It was evident that being vulnerable also involves trust, *“people being vulnerable enough to be able to share themselves, that you can actually kind of really trust what they’re saying”* said another participant. Participants indicated that it also involves asking others to be vulnerable at the same time. As this participant describes:

You’re asking them to be pretty vulnerable and open about really trusting you enough because the work that we do tends to be stuff, that can be really sensitive, high profile, the stakes could be pretty high. People are sometimes

in high stress mode and they're mindful of outcomes, having a lot of eyeballs on them and there's accountability, so that's where that piece of foundation in relationships comes in.

This leadership sample provided evidence that being courageous requires a vulnerability that can only be enacted within a courageous leadership construct based on trust and honesty, to become vulnerable and be willing to make mistakes for the greater good.

Leadership Requires a Balanced Perspective

In further discussing navigating higher education institutions and the challenges of leadership, along with the indication that leadership is hard work and requires courage, participants pointed to the awareness that you need to have a balanced perspective as an effective leader. In describing perspective, the leadership sample used unique codes, *energized, having perspective is important to me, I try to be positive/make a positive impact* (see Table 4–25). This subtheme connects the emergent concepts associated within the balanced perspective subtheme that includes, passion, motivation, a sense of humour, and work/life balance, as a means of highlighting participants' responses to how they effectively led challenging higher education environments as ways of integrating a balanced perspective. Motivation fueled by passion is also a re-occurring concept where having a balanced perspective regarding the awareness of power, equity and social justice are key to effective leadership.

Table 4–25.
The Challenges of Leading the Academy. Associated Codes (a Balanced Perspective 1).

Code	Freq count	Freq count %
Energized	12	36
Having perspective is important	7	21
I try to be positive/positive impact	6	18
I am a visionary	3	9

Maintaining Perspective

Participants shared that maintaining optimism and vision enables leaders to maintain perspective it is “*a belief in what’s possible and an optimism about it. And that’s probably the biggest component, the ability to envision success*”. This participant noted, “*I like to try to catch people doing things right versus trying to catch them doing things wrong*”. How participants manage perspective is also in their approach as described by this participant:

The approach is kind of similar in every scenario but it’s looking at who are the different players? What are the politics that are involved? What are the stakes, the stakes are different? Right? What are the implications? And decisions are different, but I think I try to bring the same approach. Try to be consistent.

One participant said, “*there’s no one dying here on this campus, we’re not doing brain surgery*”. Another said:

I don't work in an emergency room. I'm not talking to people about a life-threatening illness and I'm not breaking bad news to them. I mean let's keep a perspective ... however, these are people's careers and their reputations and things that they consider high stakes, and you're talking to them about grants or losing grants or not getting what they wanted, so it's still important.

Participants shared their awareness that a leader is replaceable at any time, and that this is a reality that helps them to maintain perspective, remain astute, and to do their best, as explained by this participant:

If you are open to knowing that you're not the end of the line as a leader, your part of the process, you're just a drop in the bucket. This place will go on long after I am gone. So, it's just knowing you have a place for a certain period of time, and to do, be, your best.

In addition to these insights, this participant explains that although things can get heavy, it is about not getting stressed, maintaining perspective, and dealing with things within one's control. *"Things pop up that really are pretty heavy and it's about just keeping perspective on things ... like don't get too stressed about the things that you can control and kind of attempt to deal with things that you can"*, said one participant. Participants also explained that people need to enjoy coming to work every day and that it part of their responsibility to ensure this and understand that each and every person within the institution plays an important role. As this participant shared:

We need a good work environment and you need to enjoy coming to work every day. You shouldn't be stressed out, shouldn't be medicated and so I

think there's so much to be gained in a work environment like that and many other things flow from it. Teaching excellence, research excellence productivity, healthy work life balance, and just generally a good life.

Passion, motivation, and sense of humour.

In describing the higher education culture in which they work and the need for a balanced perspective, participants indicated that they feel leaders need to be passionate, highly motivated, and enjoy a good sense of humor in helping to deal with difficult situations within institutional cultures. The codes that emerged from the data included, *a passion for helping others, the importance of being passionate, I bring passion to my leadership, motivation and sense of humour* (see Table 4–26). Motivation and passion are of significance and participants indicated that they value motivation and passion almost equally whereby sense of humour as a unique code is noted by 24% of participants (see Table 4–26).

Table 4–26.
The Challenges of Leading the Academy. Associated Codes (Balanced Perspective 2).

Code	Freq count	Freq count %
Motivate	20	60
Exciting	13	39
Important to be passionate	9	27
Sense of humour is important	8	24
I bring passion to my leadership	5	15
I have a passion for helping others	5	15

Passion, motivation, excitement, enthusiasm, and being authentic were interwoven as descriptions of an impactful leadership that embraces passion as noted by one participant, *“being authentic and passionate is kind of contagious. If you're enthusiastic about your work with other*

people, that tends to build enthusiasm in others". Another participant describes being motivated by passion and having a consistent approach in their leadership:

I'm motivated by wanting to be genuine which is easy to do if you can be motivated by passion because I don't think you can really put passion on. I need to be able to have a genuine conversation ... whether we're talking to the person in custodial or the person who's just finished up her psychology stats test, or the alumna who is out in another country and was suddenly rebuilding a connection to the university. So, having that passion for learning has to translate over into leadership for me.

In dealing with challenging situations, it was acknowledged that leadership requires the ability to be passionate and responsive whereby, *"I can bring the whole of my passion, my energy, and my excitement to one job"*, said one participant. Where another said, *"you lead by completely passionate engagement in what it is you're focusing on"*. Both participants shared a similar framework in regard to dealing with challenging situations.

Participants discussed the need to be motivated by something beyond themselves, that it is about the people inside institutional cultures and not about just delivering a product:

For me, there are some really fundamental pieces that motivate me; they are about students, they're about inquiry, about discovery, and about being part of an institution that values those things. It's less about delivering a product and more about creating an environment. And so, to lead inside that is the thing that motivates me.

This participant shares passionate leadership as one that involves, “*conveying enthusiasm, doing that in a way that ‘is not about me’*. *Appealing to the common shared interest. Empathetic, aware of others, and the challenges they are facing*”.

In acknowledging the serious nature of the role of higher education leaders and the challenges associated with leadership positions, participants shared that having humour as part of their approach eased tensions and increased performance within their teams. Participants indicated that when humour was appropriately integrated, it helps to build trust, provides flexibility, makes others comfortable, and as this participant said, “*I believe that humor (appropriate humor) has great power to put people at ease and build trust*”. Another participant said, “*you have to be flexible and open and just laugh about stuff sometimes because that’s really all you can do, and one principle is just have humor*”. In discussing a former mentor, participants shared that some of the most important individuals who had a positive impact on them integrated humour into their leadership practice; “*he talked about humor, talked about no surprises and to really let people do their work because, he said you won’t have time to do it all and he said you’ll crash and burn*”. Another participant warned of the danger of integrating humour and to be aware that it can be misunderstood, if taken in the wrong context and explains:

It’s about not taking anything too crazy out of proportion. Having fun with things that you can. Bring a sense of humour to most things but recognizing that doesn’t apply to everything, but keeping it in context and in perspective.

Is humour a construct of a leadership tool or is it a leadership strategy? The answer to this question was not obvious and further investigation regarding humour as a leadership tool or communications strategy requires further study.

Work/life balance.

Leaders discussed the importance of philosophically believing in supporting a culture that provides a work/life balance as part of maintaining perspective. However, it should be noted that having work/life balance was extremely difficult for them. In describing the inability to integrate a healthy work/life balance, participants agreed that university leaders are “*living in a very competitive environment, our institutes are competing for their spaces, the work is demanding but you know we’re only young once and the kind of physical, emotional, and social is such an important part in our lives*”. In creating cultures that support work/life balance, leaders generally believed that most leaders do not find the balance but want to strive to do so while fervently supporting their teams in finding that balance. This participant describes the importance of ensuring you make time for your family:

Family is just as important as being at work and so people need to make time for that...at the end of the day if you do not have that work life balance no matter whether or not you’re married, single, have children whatever then one thing, something begins to break. And if you’re putting in too much time at work then everything else will fall apart. If you’re not putting enough time, if you’re putting in too much time at home then your work starts to break as well.

This participant further echoed the importance of perspective in warding off sacrificing life and family for work:

We’re not saving lives here. We do important work here and I get that work is important, it’s important to me. But it’s not everything. So, if you’re

sacrificing family or relationships, or your health. If you decide you want to do that, it's totally up to you but please don't feel like we're asking you to do that by virtue of this place, and because if we are, we've done something wrong.

Participants generally felt that while trying to build in work/life balance into their leadership position that maintaining balance as a person was equally important in making time for individual growth and development. *"It's really important to maintain what you do at work and what you do at home and your personal life whether it's hobbies or family or whatever...to maintain balance and create balance is an important thing"*, said one participant. Given participants acknowledgement of the importance to have, support, and provide work/life balance along with time for self-development, it was surprising this participant group does not lead by their own example. Further examination could provide deeper insights into why; its impact on others, and possibly how to change this behaviour.

Communication – The invisible thread.

Communication was integrated into this theme because it is directly connected to *Theme four: The challenges of the academy*, and it are many codes and subthemes as communication underscores the leadership samples' ability to respond to the challenges of higher education institutions. Communication although not overtly indicated by the leadership sample is connected to each of the leadership solutions and guides leaders' actions. That data presented within this section is directly connected to leaders' communication approaches and is presented within this section.

Participants' insights regarding communication as an integral component of effective leadership were found to be consistent amongst the sample group. In responding to the survey question, 81% of participants indicated that the most important effective interaction approach with their direct team aligned with their leadership approach is to have face-to-face conversations which are more effective in creating unambiguous communication (see Table 4–27). Participants indicated that the most important factor in being an effective leader was “*honest and effective communication*”. Participants continually shared examples of the importance of being a good communicator and their desire to work toward this.

Table 4–27.
Leadership Approach 3: Direct Team

Rate the most effective interaction approach with your direct team. In doing so, rate the level of importance of each aspect compared with your own leadership approach.	Agree/Strongly Agree
Face-to-face team conversations are more effective in creating unambiguous communication	81%
I genuinely enjoy engaging with faculty	67%
Email is more efficient in communication with my team members	8%
I am more likely to send an email to a team member when I need to discuss difficult issues so as to ensure a paper trail	4%

Participants explained that communication involves collaboration, engagement, and being open, honest, with a willingness to look people in the eye. A good indicator of the sample groups' attitude and level of comfort in direct consistent communication is shown through 11% who indicated they rarely interact with those who do not report directly to them (see Table 4–28), while none of them indicated the tendency to use their administrative assistant to field their email (see Table 4–28), and 8% indicate that email is more efficient in communicating with their

team members (see Table 4–27). The value of authentic communication was evident whereby 70% indicated that they always ensure the university community is informed of important decisions, ongoing issues, and invitations to community engagement events (see Table 4–28).

Further explained by this participant:

There’s certainly a role for the leader in terms of communication, open expression of belief in the institution, that I think is really, really important. To come in and believe powerfully in the character of an institution and its importance and to communicate that. People respond to that so strongly when it’s genuine, and I came to the university with that genuine belief.

Table 4–28.
Leadership Approach: Broader University Community 2

Rate the most effective interaction approach with the broader university community. In doing so, rate the level of importance of each aspect compared with your own leadership approach.	Agree/Strongly Agree
Inclusivity is crucial to ensuring institutional goals are met	78%
I ensure the university community is informed of important decisions, ongoing issues, and invitations to community engagement events.	70%
It is important to me that I get to know everyone within the institution as best I can	52%
I use e-mail only when communicating and disseminating critical information to the university community	37%
I enjoy personally sharing positive messages and leave the negative messages for email so there can be no confusion	11%
I rarely interact with those who do not report directly to me	11%
I tend to use the services of an administrative assistant to field my email as I simply do not have time to do this personally	0%

This participant describes, *“I do a lot of breaking down of assumption ... if you can’t explain it to the person on the street or the taxi driver in bald-faced terms. You’re not going to be an effective communicator on any level”*.

In describing the importance of direct/indirect communication, 52% of participants agree/strongly agree that it is always important to me that I get to know everyone within the institution as best I can (see Table 4–28), and that face-to-face communication is crucial to effectively communicating as a leader. It is key to note that 67% indicated that they genuinely enjoy engaging with faculty as their most effective interaction approach (with their direct team aligned with their leadership approach) (see Table 4–27), where 37% of those surveyed indicated that they always use e-mail only when communicating and disseminating critical information to the university community (see Table 4–28), while 11% always enjoy personally sharing positive messages and leave the negative messages for email so there can be no confusion (see Table 4–28). It is interesting to note that fewer participants rely on electronic communication as they shared the challenges of technology: that these days, folks hide away behind their computers and do not talk to people anymore, they use their computers as a way of communicating positive and negative messages, or in trying to build relationships. As this participant shared:

I find that people now are using their electronic communication trying to build relationships and you can’t do it. So how do I keep my leadership philosophy or style alive and well? I don’t just stay in my office and I don’t always have people come see me, just the opposite, I go to them face to face first, phone second. Again, you can get you know inflections of voices and things. But face-to-face, body language, you can expand on you know, perspectives.

In describing what enabled their interactions to be successful (indirect or direct), participants also cited past experiences, creating a non-threatening environment, being a good listener, being honest and true to oneself, respect, humour, influencers such as former bosses/administrators and family members, being genuine, caring about others, facilitating others, visionary faculty, working with and through a team, as well as “*an increased awareness of institutional function, and institutional goals*”.

Leadership Influences

This section presents the results of the qualitative data’s fifth theme, *Leadership Influences*, includes the positive and negative influences of former bosses, family members, and the impact of age which was considered to be a positive influence for this leadership sample, beginning with participants’ insights regarding effective leadership. This theme provided examples of influences that enabled the leadership sample to lead more effectively in their role within higher education institutions.

Effective Leadership

Relevant to their current leadership role, 74% of participants agreed/strongly agreed that their previous leadership position prepared them well for their current role (see Table 4–29), while 96% believe that they are an effective a leader (see Table 4–29), “*I am dependable, accountable, and available*”, said one participant. The sample of leaders used the following unique codes specific to effective leadership, dependable, accountable, committed, creative, and, opportunity (see Table 4–30). Participants acknowledged that leadership requires meeting targets, goals, institutional directives; however, to be an effective leader involves the engagement of others, depending and trusting others, that it is easy to get the job done for the sake of getting it done but that it more complicated than that, you need to see the big picture. In explaining this,

a participant described effective leadership as “*setting a goal and getting to it and doing that quickly, that in such a way the institution has moved along quickly, those are all really important things, and I don’t think anybody would dispute those*”. In reflection on their leadership practice, 63% of leaders indicated that getting the job done was the most important to their leadership, where 48% indicated that meeting the goals of the organization first was mostly important along with 44% who felt that balancing university imperatives with day to day work was also most important to their leadership practice (see Table 4–31).

Table 4–29.
Leadership Context: Influences

Leadership Context- Conflict	Agree/Strongly Agree
I consider myself to be an effective leader	96%
My previous leadership experience prepared me well for my current role	74%

In discussing what has influenced their ability to be an effective leader, research participants most frequently cited former bosses, family members, and mentors as those who had tremendous impact on their leadership practice. A repeated theme was that leadership is not easy, it is complicated and that there is not a lot of glory in the role, but when it is done right, when everyone benefits and it is based in authenticity, the following can happen, as shared by one participant:

You get a lot of drudgework behind the scenes, but it’s when you see leadership done effectively. It’s a thing of beauty. It’s like watching a dance because you bring people with you, where you bring people to a better place

and they look to you to lead them, to inspire them. You know, to help make their lives just a little bit better because, why wouldn't you?

Table 4–30.
Leadership: Associated Codes (Effective Leadership)

Code	Freq count	Freq count %
Create	11	33
Opportunity	11	33
Committed	7	21
Accountable	4	12

As further suggested by another participant regarding effective leadership as an approach based on wholeness, *“it’s not the wins and losses that are important, it’s how the players have developed as human beings and the wholeness of that approach is my beliefs”*.

Table 4–31.
Leadership Dimension: Influences

Rate the importance of each dimension in your own leadership approach. The following are key to my professional practice	Mostly important
Getting the job done	63%
Meeting the goals of the organization first	48%
Balancing central university imperatives with day to day work	44%
Staying abreast of global trends and moving with the times	44%
Meeting the demands of my subordinates	27%

Influences

In answering the question: *What has influenced your leadership approach?* participants identified that their leadership approach was directly influenced by bad and good experiences with former employers (former boss). It was clear that this leadership sample had learned as much from good leaders as they did from bad, and in many cases, indicated the avoidance of certain leadership approaches due to the impact of these experiences. Participants also shared the importance of the influence of family on shaping one's leadership approach. Leaders shared that they were influenced by: directly working with past employers; observing leaders and role models in their professional practice; how they were treated by leaders through their experiences; personal experiences; and, their intuition, their gut instinct has guided them. This participant explains:

I mean you learn about leadership from watching leaders; good ones, bad ones and you know what? You learn as much from both. I've had some wonderful years that just taught me how to treat people, how to manage people, how to be respectful, how to treat students and how to be a continuous learner.

Through discussing these influences, the leadership sample acknowledged their own ability to forgive those who treated them badly recognizing that, *“as I have risen through leadership roles, I have become much more forgiving of leaders for I know that I do not have a true grasp of all they are experiencing in trying to do their best as a leader”*, said one participant.

The Bad Leader

Participants consistently and frequently discussed their leadership practice as being influenced by a former boss who treated them badly and because of this experience became inspired and motivated to become a better individual and leader. They cited bosses who *did not care if they lived or died*, shouted and treated people disrespectfully, and who were focused on their own egocentric trajectory that did not involve caring about others, to their own detriment as this participant mentions, *"I've worked for people who couldn't care if I lived or died and I believe I've benefited from both of those experiences because it's helped shape the person and leader I try to be every day"*. Another participant shared, *"I've learned from good leaders and bad leaders. I've learned probably as much as anything from a president that I truly loathed"*. This participant said, *"I've had more examples of bad leadership than good"*. Another participant further echoes the point, *"There are other role models that I might even describe as negative and that's important too, who have tried to govern by fear and not followed elements of collegial process and that trips them up and so I'm mindful of that as well"*.

Participants indicated that some of their best learning came from leaders they do not want to emulate as described by this participant:

I'd always tell people you learn from the worst experiences ... So, I learned that I do not want to be him but I but I took every little thing that I could about what I wanted to be as an effective leader and I know that it's not effective to scream at people because you think they've made a mistake or to berate them in front of other people, they're just those little real-life experiences.

Participants shared that working for a bad leader was advantageous to their leadership as it helped them to realize that not only would they not subscribe to that leadership approach but that they would never work for someone like this ever again, *“it was a negative experience but here’s where the positive came out of it, I would never ever want to work for someone like that again. But I learned a lot from that experience”*.

In balancing institutional imperatives as an integral component of their leadership positions, participants identified that it is better to *“err on the side of believing in people”* than to be harsh as noted by this participant:

That the means of getting it done were as important to me as the end and so I learned a lot by thinking about how vehemently I objected to his leadership style and unpacking that. And now I think back and I do have more mercy now, and I think “sometimes I’ve had to deal with underperforming people and think you know sometimes you do have to drive people, sometimes you have to be harsh”, but I’d rather err on the side of believing that people if given the right tools and the right support, will do what people want to do; their best, and want to want to contribute, they want to succeed.

One leader pondered the influence of the neoliberal agenda in Nova Scotia and how this had impacted leadership. Bad leadership is not always because of the individual leader but possibly due to the political environment that promotes negative leadership approaches. This participant described the impact of the neoliberal agenda in Nova Scotia and specifically how this negative ideology has shaped leaders’ conceptualization of good leadership, as well as their behaviours into a mold that is less than desirable:

The reality is there are more examples of bad leadership than good and I think we just have to be open to that and the reality is, and here I'm not talking of the university presidencies again we're talking of more political issues here these days, people wring their hands and moan about the lack of leadership. I say it's not the lack of leadership because the construct that we built for ourselves has made leading inordinately difficult. So, guess what? There are going to be more people who don't meet the bar because the bar in some cases is ridiculously high and if that is what we're saying good leadership is, then we are going to have lots of examples of less than the ideal.

The reader should note that even though the sentiment in this quote appeared to be overtly negative, it was expressed by a participant who demonstrated significant humility, and appeared to be the epitome of an authentic leader decrying the impact of the political context on future leaders of universities.

An emergent item that could be researched further concerns the hegemonic practice regarding the influence of leaders who behave badly in higher education, where those they lead become habituated to the experience of working with bad leaders, and coupled with the inherent political pressures within higher education institutions, they subconsciously give in to this abusive style of leadership as could be construed from this insight:

No matter what happened he was always true to the employees ... seeing him as an example of what to do as well, and at the same time as what not to do. He would have been a very transactional leader, "if you don't do this for me then you're fired", and so I was able to sort of understand how that process

worked and figure out a way to get through the transformational side of things with that, even though he maintained that control of being a transactional leader.

The Good Leader

In describing leaders who had positively influenced their leadership practice, many participants identified mentors or individuals who they continue to try and emulate. These individuals were described as honest, sincere, genuine, caring, and had a positive impact on those they worked with. These experiences directly influenced how the leadership sample chooses to lead, as noted by this participant:

I've been very fortunate in my life to be exposed to individuals who were true leaders from my definition. And that has helped shaped me in my leadership style and every one of them have had very common things, you know, they're not confrontational, they were wonderful listeners, and they were sincere about you. They were sincere, you know, wanted to know what's going on in your life.

Many felt that those who positively influenced them the most, "*were generally interested in my wellbeing*", one participant said, or, "*was a very strong people-focused advocate*", said another. Mentors were described as having a positive influence on this sample group where one participant said, "*I always like mentoring, and it is sort of like gardening. You know you planted a seed! And the good leaders that I've been around also were good mentors. They helped you along*". Participants shared that leaders who positively influenced their leadership style were invested in them:

My former boss he said, it frustrated me when I first worked with him that he never gave me any constructive feedback and I always thought that was a weakness of his but then I realized how much he was always building people up, including me and I see the power in that now encouraging people strengths, it's huge and I wonder if ultimately, I've started to think that's much more powerful than working on people's weaknesses.

This participant described a former leader who was a positive influence:

Sort of calm confidence and sense of humour, they weren't in a rush, they had a confidence about themselves. They were able to tell people reality, but do it in a way where people listen to it, they might not always like the message they were getting, but they heard it, and digested it, and there was a kind of resoluteness about them.

This participant described a positive role model as one who is calm, thoughtful, authentic, and honest:

I think the very thoughtful people are just attractive leaders to me because they're very confident but they're not intimidating, and they're confident, and you sort of feel good in their presence, like ok you're reassured that things are going well and they are very authentic, genuine, and honest.

This participant described a former boss who navigated difficulty with firmness and grace:

To be able to make a decision and be firm about it. I think grace would be another word that comes to mind. Maybe that is an unusual one for leadership but grace from the perspective of, you know, when you're in a very senior job not everyone is going to like what you do or may speculate that there's something else going on. So, grace from the perspective that, even when you're under a lot of criticism and yet you know it was the right decision, that not going in that direction or being you know, kind of reactive to that, was impressive.

Participants also shared advice they received from those leaders and role models that positively influenced their leadership practice. *"I think it's that sense of people seeing the best in other people is really important ... seeing the good in people ... she really does see the good in people"*, said one participant. While this participant said, *"leadership is about improving the lives of others and improving the system they live under ... that you're messing with people's lives"*. Participants described the attributes of a positive leader who influenced them as being *"helpful, profoundly sincere, thoughtful, honest, caring, attentive, had respect for others"* and *"they were inspirational intellectuals, and they held me to a high standard"*.

Family

Participants indicated that a parent, spouse, or sibling were integral in helping to impact and shape their leadership approach and described why, as this participant said:

I learn how to be a leader from the people I work for no doubt about that, but the real deep stuff I would say comes from my spouse because that's the moral compass and that really encourages me to be comfortable in my

decisions because of who I am and what I believe in as opposed to the requirements of the role.

While another participant said, *“My own upbringing in a family with a very ethical father who worked in an academic leadership position and a mother who was a very good warm communicator”*. One participant describes the positive influence of their father, *“I think he had a real authenticity to his approach. He wanted to develop people”*, and another in regard to their parents, *“my values come from my parents you know, your upbringing. I’ve been blessed with wonderful parents”*.

The Impact of Age

The leadership sample identified that given the complex, dynamic, and multi-layered work involved with university administration, their age and experience has enabled them to be a more effective leader in the current higher education environment. Participants noted that their age has given them confidence, humility, the ability to be real, to be honest and genuine and, that they are only just now, reaching their stride. This participant explained:

Given the complex work of university administration is getting increasingly complex/difficult and multi-layered. I feel as if I’m just finally reaching my stride, and it takes years to feel/understand what works in this position.

Others noted that their confidence came directly as a result of their experience and age, the fact that they are tenured and at the point in their career where they have nothing to lose, they do not have to ‘give a damn’. *“I’m tenured/seasoned and don’t give a damn”*, said one participant. Age helps with firmly understanding one’s identity as indicated by the participant group as this participant acknowledged:

When you're my age, you are who you are, and there's times that I'm a bit more wired, a bit more direct, a bit irritated. But at this point, I am who I am.

I was not the right person for this job say twenty years ago.

Another participant shared, "*I think you become a bit deeper as you get older into your forties. I think it kind of teaches you a lot of that humility*". With a firmer knowledge of self, identity, and experience comes a sense of greater understanding impacting the ability to effectively lead as this interviewee explained:

Either you're going to respect the people around you or you're not, or you're going to think that they add value or you don't. You either think they're going to try to undermine or sabotage the mission of the institution, or they're actually trying to help it. But you know, twenty-five years ago, I didn't have all of this in my back pocket but now I do and I have not seen many people who go to work saying, 'I'm going to put the screws to that institute'.

Participants also recognized that there is a sense of freedom in leadership that comes with age and experience:

I think that's the freedom of this age. I don't feel much of a gap. I really don't feel like I have to act in a way that is different than who I am. I will stop myself from saying things. I'm trying to be a little bit diplomatic but I love it. I feel much more congruent, less conflicted around that than I think a lot of younger women do.

Participants identified that as they near the age of retirement, their age, knowledge, and experience allowed them to enjoy their leadership positions, and to lead more effectively;

therefore, rather than retire, they were encouraged to take on more challenging positions. As noted by this participant:

When I came here I thought I would get past 65 and retire. I thought this was my last gig. ‘You’re free - you’re not worrying about the next job. You are doing what you are doing. You don’t have to worry. You are your own master. Get it done!’ I’m a different leader now and I approach leadership differently.

Given the population decline and the impending leadership gap due to the retirement of the baby-boomer generation, this is a very timely and key emergent theme for further study. It highlights the question regarding the age of retirement. It also poses the question of whether there is a ‘principled leadership’s attributes’ deficit in younger leaders. Could there be an opportunity to reach out to leaders in their 20’s, 30’s, and 40’s for further study? It could be worth discovering whether mentorship programs, professional development, mentorship, and other programs could help to further build in these attributes at an earlier stage in a leaders’ leadership journey?

Navigating Change

The last theme, *Navigating Change* culminates in identifying attributes connected to the values and beliefs of the leadership samples’ change agency. Attributes such as integrity, honesty, trust, care, guiding others, and courage, are presented specifically within the contextualization of the leadership samples’ change agency. The section provided insights regarding leadership change attributes, enacting change, and the influence of change on culture.

Change Agency: Leadership Attributes

In reflecting on their leadership approach, 74% of participants agree/strongly agree that they are a successful change agent (see Table 4–32), and 100% moderately/extensively agreed that others would perceive their leadership as embodying change agency as a leadership attribute (see Table 4–33). As one participant noted, “change is part of the fabric of what we do”.

Table 4–32.
Leadership Context: Change

Leadership Context	Agree/Strongly Agree
I am successful change agent	74%
I have been able to shift the organizational culture from negative to positive	74%
A charismatic leader can change the world	44%

Table 4–33.
Leadership Attributes: Change

Rate the extent to which you feel others perceive your leadership as embodying the following attributes:	Moderately/extensive
Change agency	100%

The most important attitudes/values as related to change agency for this leadership sample were integrity, honesty, trustworthiness, credibility, and dependability with ethic of care, and consistency (see Table 4–34). An interesting finding is that only 30% of the leadership sample indicated inspiration as their most important attitude/value as related to their change agency as a leader (see Table 4–34) but that 48% agree/strongly agree that change requires a transformational leader to enact (see Table 4–36), it wasn’t surprising that 22% indicated

transformational as the most important attitude/value (see Table 4–34). However, 74% indicated that positively leading their teams through change is most important to their leadership practice (see Table 4–35), while 70% indicated that guiding others through change is most important to their leadership practice (see Table 4–35). As noted by this participant, “*leadership is really all about creating change, creating energy in people to make things happen differently*”.

Table 4–34.
Change Agency: Attitudes/Values

Attitudes/Values as related to a leader’s change agency
96 % of research participants indicate integrity as the most important attitude/value as related to their change agency as a leader.
93% of research participants indicate honesty, trustworthiness, and credibility as the most important attitudes/values as related to their change agency as a leader.
81% of research participants indicate dependability as the most important attitude/value as related to their change agency as a leader.
70% of research participants indicate consistency as the most important attitude/value as related to their change agency as a leader.
63% of research participants indicated an ethic of care as the most important attitude/value as related to their change agency as a leader.
30% of research participants indicate inspirational as the most important attitude/value as related to their change agency as a leader.
22% of research participants indicate transformational as the most important attitude/value as related to their change agency as a leader.

Table 4–35.
Leadership Dimension: Change

Rate the importance of each dimension in your own leadership approach. The following are key to my professional practice	Mostly important
Creating a positive work culture	89%
Positively leading my teams through change	74%
Guiding others to positive change	70%

Role models and mentors were also indicated to have impact on a leaders' change agency where 81% agree/strongly agree that their own change agency has been positively impacted by role models/mentors (see Table 4–36), as described by this participant:

I find the most effective leaders that I try to emulate are people who really pay attention to the environment before they make a change. They assess it carefully in terms of what change would be useful, what change would be needed because I'm all about change if it's moving ahead, not about change for change's sake.

Table 4–36.
Instituting Change

Rate the importance of instituting change	Agree/Strongly Agree
I support change when necessary	96%
Change is a natural part of organizational design and ongoing management	93%
I embrace change	85%
My change agency has been positively impacted by role models/mentors	81%
Cultural shifts begin with impactful leadership	78%
I engage those I believe will support change	74%
Change is crucial to balancing central university imperatives	70%
Institutional culture is dependent on effective change management	63%
I proactively participant in a SWOT analysis to ensure that change is integrated into my professional practice for my organization	63%
Change is necessary when instituting new policies	59%
Change must be planned, organized, directed, and controlled	52%
Change is arduous	52%
I believe the risk of instituting change outweighs the potential of alienating my team	48%
Change requires a transformational leader to enact	48%
Change should happen whenever there is a major shift in senior administration	19%
Change is only relevant when something is wrong	0%

Change Context: Change is Hard

In reviewing the data and participants’ qualitative responses to the research questions, it was found that participants were extremely open to discuss their leadership experiences within the context of navigating a change phenomenon. However, participants highlighted that change can be hard. Although, 52% of research participants agree/strongly agree that change is arduous

(see Table 4–36), 96% agree/strongly agree that they support change when necessary (see Table 4–36) while 85% agree/strongly agree that they embrace change (see Table 4–36). Of the leadership sample, 93% agree/strongly agree that change is a natural part of organizational design and ongoing management (see Table 4–36), but it can be messy, as noted by this participant:

Institutional change and leading you have to recognize that it is a messy process that all the loose ends are not going to get tied up inside a week, a month, six months, twelve months and some of these processes of change are actually multi-year processes and they don't lay out in the way that you'd expect them to lay out on a Gantt chart.

Participants echoed, *“that change is very messy, and can be very challenging because a broader world around us is often more corporate and directive”*. This participant warns of the need for courage in enacting change in sharing:

Leaders need to be clear about expected outcomes and be willing to exhibit courage when confronting internal inertia or responding to suggestions for change (or resistance) that will not return positive results.

Enacting Change

In discussing how to enact change, 70% of participants agree/strongly agree that change is crucial to balancing central university imperatives (see Table 4–36), and 52% agree/strongly agree that change must be planned, organized, directed, and controlled (see Table 4–36), as this participant advises, *“You have to articulate a clear and simple process because if you're going to be inclusive and if you're going to hear literally thousands of voices, you're going to be pulled*

off in all kinds of interactions". This participant says change requires having a roadmap, *"In a very simple way, in one page have a roadmap of the process ... if you can't put it on one page, you haven't simplified it enough to communicate"*.

Participants indicated that you need to think about who you involve in change, to *"think about who you have to bring along in that change initiative and who you have to get buy-in from. You have to think about all of those audiences and carefully question your assumptions"*. As noted by this participant who said, *"you can't create the change that we require just by decreeing and it by saying let's go, because in these places if faculty don't want to do it. They're not going to do it"*. This participant reinforces the need to align institutional goals with being aware of those involved with the process and explains:

Genuine thought about other people and the effect of change on them, listening, caring, stewarding, respecting, influencing change rather than directing in many cases, empowering others, allowing others to make mistakes and learn from them, all while aligning with institutional goals, being self-aware, surrounding oneself with those who complement my strengths and weaknesses, ability to face fear and rise above it.

Participants highlighted that change involves, *"dialogue, opportunity for dialogue, and willingness to have multiple ideas on the table"*. Change involves authentically engaging in a process for the higher good, providing university members with the tools, money, and proper care to enact change. Not to just be involved with change for the sake of the perception of enacting change. It involves what one participant describes as the *fair ask*:

We're going to try to perform exceptionally so we're going to ask a lot of people of what they're going to do before we put that ask in place, we are going to provide everyone in the organization with all the information, all the resources, all the support, all the love if you like in the way we talked about it that they need and once we give them that, the context etc., then we're going to hold them accountable for doing something really exceptional with it.

Ensuring “*feelings of belonging; building trust; encouraging a reflective practice; having a moral purpose in what we do*”, said one participant, were also indicated as integral to successfully navigating change. This participant encouraged the following strategy for implementing change:

Adopt and practice. Engage, explain, and expect (EEE) versus Decide, Announce, Defend (DAD). The EEE is much preferred over DAD in terms of change and culture. Having a clear purpose, stick to your principles, and let others define and shape culture based on those principles.

Participants indicated that they have positively impacted their work environments through the acknowledgement of working with others to achieve their goals where 74% agree/strongly agree that they engage those they believe will support change (see Table 4–36). This participant indicated that you need to harness the strengths of those who can help you and said, “*this place is filled with thoroughbreds. And they need to run*”. Nova Scotia leaders are encouraging, empowering, enabling their teams, and their work environments as further suggested by a participant who said, “*you're a fool if you don't harness the intelligence,*

experience, and energy of people who come to this campus ... I've learned over the years you need to harness that, to let go of the reins, and let people run".

In describing embracing resistant employees to support change, this participant explains:

In organizations, there are often several people who are quietly on board with the need for change and willing to support it. A leader who is willing to challenge unproductive or resistant employees, empowers the supporters of change. This can have a dramatic effect on culture.

Participants also advised that change is not always necessary, when it is viewed as a “pro-bono affair not only will people obviously not support where you’re going, but your strategy will be wrong, your initiative will be wrong, it won’t be grounded or shaped according to what the community needs, and sees, and feels”. Participants highlighted that it takes courage to realize when you do not have to ride the wave of change. As this participant explains:

The result has much or more importance on the side of things that we didn’t change as there are on the sides of things to begin change...one of the things that I’m going to be the most proud of and most excited and energized and enabled by, are a list of things that didn’t change during my time because I thought they were so important, so immutable, so central to the institution, that even generally at times, we found a way to not have them change.

As this participant describes, when change is enacted for the sake of change, *“it’s just another story about engagement”*.

Change and Culture

Although 74% of research participants indicated that they were able to shift the organizational culture from negative to positive (see Table 4–32), the influence of change on culture was debatable by this same participant group. While 78% of participants agree/strongly agree that cultural shifts begin with impactful leadership (see Table 4–36), it was not overwhelming clear that participants felt that change or effective leadership can actually impact culture. However, 63% agree/strongly agree that institutional culture is dependent on effective change management (see Table 4–36). This participant describes:

Culture change is really tough, right? You can't really change culture, but I think each of us can change the way people engage with the values and change the way they remember the essence of the place and there's still a way to go.

Table 4–37.
Institutional Culture Influences

Rate the importance of the following factors influencing institutional culture.	Important/Very important
Organizational readiness	58%
Employee readiness	56%
A culture that fosters creativity	56%
Transformational leadership	52%
A culture that fosters innovation	48%
Leadership development	44%
Positive mentorship/role model experiences	33%

In responding to the research question, *rate the importance of the following factors influencing institutional culture?* again, it was not resounding clear that the following factors were a good indicator where, 58% of participants cited employee readiness (see Table 4–37), 56% cited organizational readiness, 56% cited a culture that fosters creativity, 48% cited a culture that fosters innovation, along with 52% participants who cited transformational leadership as factors influencing organizational culture. 44% cited leadership development, and 33% cited positive mentorship/role model experiences. One participant shared their insights regarding long-term institutional change:

If you're really rigorously committed to data, the people, and the process, let's say and collegial governments, well that leads you to say we've got to have facts, right? So, no one is allowed to wave their hands and not be worried to put the data on the table about the trends, you may not want it but you have to put the facts out. If you're committed to the people that means you're actually going to commit to being accountable and transparent to putting the data out even if it doesn't show in such a good light. If you're committed to the collegial government that means you're actually going commit to bringing senate/board along, it's tough and unpleasant but you're committed to that and that's how you achieve long term change in the institutional and so that principle sort of drives you.

Although it was not clear that this research sample felt they could impact culture through change, it was evident that they did believe they could positively impact change when required and appropriate.

Conceptualization of Principled Leadership and Change Agency

In responding to questions regarding their leadership approach, change agency was linked to being honest, genuine, respectful, trustful, and caring as integral leadership attributes by this leadership sample. The emergent attributes associated with leadership change agency were compared against the characteristics of principled leadership for alignment (see Table 4–38). Seven attributes found to be aligned are, integrity, trust, caring (compassion), honesty, serving (guiding), encouraging (inspirational/transformational). From the literature review transformational leadership was indicated to be integral to managing change and included leadership attributes such as inspirational, charismatic, and encouraging. These were not indicated to be the most important attributes associated with this sample group and further provided evidence of the need to integrate the attributes associated with principled leadership into a construct that supports leading 21st century higher education institutions through challenging situations. This area requires further investigation beyond the scope of this study.

Table 4–38.**Comparison of Principled Leadership and Change Agency Attributes**

Change Agency Attributes	Integrity	Guiding others	Honest	Trust	Care	Dependable	Trustworthy	Courage	Consistent	Transform'l	Inspirat'l
Principled leadership Attributes											
Loving/leads from the heart											
Bring out the best in others											
Genuine											
Knowledge of self: identity											
Connected beyond oneself											
Integrity	✓										
Moral/ethical											
Strong values											
Dignity											
Respect											
Trust				✓			✓				
Caring/Giving/Nurturing					✓						
Humility											
Spirituality											
Sincerity											
Honesty			✓								
Relationship											
Enabling											
Encouraging										✓	✓
Empathy											
Forgiveness											
Compassion					✓						
Serve others		✓									

Comparison of emergent leadership attributes

Table 4-39 provides a comparison of the leadership attributes found within the leadership theories presented in the study and the leadership attributes that emerged from the study. It was the researcher's intention to explore whether current higher education leaders integrated elements of the conceptualization of principled leadership, that is, authenticity (identity), spirituality, and love (care), and whether these attributes assisted them in facilitating the requisite changes to meet the challenges experienced by 21st century higher education institutions. Table

4-39 provides an overview of the theories studied and their associated attributes, attributes associated with the conceptualization of principled leadership, and the data as provided by the study; emergent attributes of the leadership participants.

Table 4-39.
Analysis of Emergent Leadership Attributes

Cumulative Attributes	Principled Leadership	Servant Leadership	Authentic Leadership	Emotionally Intelligent Leader	Transformational Leader	Spiritual Leader	Moral/Ethical Leader	Transactional Leader
Loving/leads from the heart								
Bring out the best in others								
Genuine								
Knowledge of self: identity								
Connected beyond oneself								
Integrity								
Moral/ethical								
Strong values								
Dignity								
Respect								
Trust								
Caring								
Humility								
Spirituality								
Sincerity								
Honesty								
Relationship								
enabling								
encouraging								
Empathy								
Forgiveness								
Compassion								
Serve others								

Chapter 5 – Discussion

Chapter Introduction

The purpose of the research study was to explore the conceptualization of principled leadership that demonstrates an ethic of care; the relationship between a leader's values/beliefs and how these may serve to influence his/her effectiveness as a leader, particularly within the context of change in higher education. The research focused on the discovery of the values, attitudes, beliefs, and actions of higher education leaders who had navigated a change initiative and provided the opportunity to explore leadership in action so as to further understand how leaders deal with complex issues, impact workplace culture, and the contributions of the leader based on his/her own leadership approaches. Specifically, it was the researcher's intention to discover whether current higher education leaders integrated elements of the conceptualization of principled leadership, that is, authenticity (identity), spirituality, and love (care), and whether these attributes assisted them in facilitating the requisite changes to meet the challenges experienced by 21st century higher education institutions. Six themes emerged from the analysis of the qualitative and quantitative data of this study: (1) Understanding self: Leadership values; (2) Leadership beliefs; (3) In service of, and care for others; (4) The challenges of leading the academy; (5) Leadership Influences; and, (6) Navigating change. These themes, along with the significant findings, were analyzed against the conceptual framework of the study that included: (a) authenticity (identity); (b) spirituality (moral/ethical); (c) love (care); and, (d) change management (organizational change and the Concerns-Based Adoption Model (CBAM)). The six themes, the conceptual framework, and the associated literature were compared and analyzed as a means of determining relevance and applicability to the research question.

The research study found that higher education leaders were operating from an ethic of care where the emergent data aligned with the components proposed as part of principled leadership comprised of: authenticity (identity and integrity); spiritual (moral/ethical); and, through a loving, and caring approach with the addition of being in service of others. Higher education leaders in Nova Scotia echoed a ‘higher calling’ theme, that was shared across all participants and stressed by one participant who said, “*we’re not just having impact, it’s a calling, we’re part of this community, we’re part of creating prosperity for everybody*”. This *higher calling* was further emphasized by this participant who discussed the need to reframe how leaders refer to university employees; rather than consider employees an asset, this participant suggested they (the employee), be considered an investment, as noted:

In a lot of organizations, you’ll hear them talk about people as our most important asset. Now from an accountant standpoint, I take objection to that. Assets are something you use and deplete over time and I don’t think that’s the way we should treat people. So, my view was always that we should treat people as our most important investment ... create a space, create an environment where people can give you their very best.

The study also raised leadership concepts that require further exploration such as: communication, courage, the impact of family, gender, years of experience, and the impact of age on effective leadership. This chapter provided an overview of the implications of the literature, similarities and differences, exploring the conceptualization of principled leadership implications on leadership, and new emergent themes requiring further exploration.

Implications of the Literature: General Findings

The results of the study provided consistency with the existing literature and the actual data (i.e., the research). Through the analysis of the findings it was found that the leadership theories closely related to the conceptualization of principled leadership put forward through the conceptual framework, and those that emerged from the data analysis as presented in this study were aligned. Of significance to be noted and highlighted in this section were: authenticity, spirituality (moral and ethical behavior, morality and gender, morality and language), and love and care in service of others. Remaining objective was key for the researcher when comparing the leadership attributes and the context in which these attributes were framed within the research, as Tourish and Tourish (2010) warned, “there is no one set of universal values to which all people subscribe – unless humanity has suddenly become a more homogeneous and tolerant species than previous studies of conflict, power and resistance would lead us to believe” (p. 215). As an example of this, participants did not consistently use the word love and spirituality, the term “care” was used as a term denoting “love and care”; and spirit, emotion, soul, energy to denote “spirituality”. In highlighting the implications of the literature this section provided insights into the leadership challenges faced by the leadership participants, as well as a comparison of authenticity, spirituality, emotional intelligence, transformational, service, love and care as attributes, and their relevance to the leaders’ effectiveness in leading change.

Emergent Leadership Attributes – A Comparison

This section provided an analysis of leadership attributes and compared and contrasted the humanistic-type leadership theories, specifically the associated leadership attributes described in the study to the leadership participants’ attributes that emerged from the study. This involved examining the leadership attributes of each theory and comparing against the data

consisting of the attributes of the leadership participants. A significant finding found through this process was that both love and spirituality as attributes were not found within any one theory (see Table 4-39) and that the attributes found within authentic leadership theory provided the closest alignment to the conceptualization of principled leadership as proposed in this study. A comparison of authenticity, spirituality, emotional intelligence, transformational, service, love and care as attributes, and their relevance to the leaders' effectiveness in leading change was included.

Authenticity.

The research data provided evidence that supported authenticity as an important component of the leadership participants' effectiveness in navigating change. There was an indication that participants understood authentic leadership and, in many cases, believed that they were an authentic leader. However, they did not necessarily connect understanding identity as part of the process of becoming more authentic, which Klenke (2007) identified as integral to the process. Wenger (1998) also argued that the need to understand one's identity as part of knowing self was integral to being authentic, where Klenke (2007) further argued, "a defining characteristic of authentic leadership is that authentic leaders are anchored in their strong sense of self" (p. 73). As well, there was evidence consistent with Avolio, Gardner, Walumbwa, Luthans, and May's (2004) insights regarding authenticity where leadership participants did indicate a preference to be true to their core values, emotions, and who they are as leader (p. 802) providing alignment with a sense of self as part of authenticity actualization.

In describing how to lead authentically, the following leadership attributes were noted to be consistent with Avolio et al. (2004), they are: values, convictions, encourages diverse

viewpoints, trust, honesty, respect, and collaborative. Also consistent with Avolio and Gardner's (2005) explanation of authenticity, the study provided evidence that leaders prefer to work from a place of integrity, honesty, respect, dignity, and trust as this participant provided, "*I think honesty and integrity are really important and you have to in some ways have that coupled with courage because you know you have to have courage to be honest with yourself and with other people*". The leadership sample indicated that a leader needs to move beyond just being inspirational and motivational, and provided evidence of leadership closely aligned with Avolio et al., (2004) concluding that without authenticity as a root construct of a leadership approach, the associated behaviours and characteristics are not sustainable in one's leadership practice.

Unlike Kreber, Klampfleitner, McCune, Bayne, and Knottenbelt (2007) who indicated that authenticity and identity are part of the process of spiritual development, leadership participants did not connect authenticity to spirituality. Although Delbecq (1999) connected authenticity to spirituality and loving and compassionate service, the theoretical literature regarding authentic leadership indicated that authentic leaders have a strong sense of identity, deep values, convictions, honesty, and trustful. There was evidence found within the literature (Kreber et al., 2007; Palmer, 1998; Tisdell, 2006) that a spiritual identity could support authenticity, however, spirituality was not found to be a core element of authentic leadership and it was not evident that leaders need to be rooted in spirituality as means of becoming more authentic. A sense of something other than themselves, the divine, along with love and humility weren't found to be core attributes of authentic leaders. However, it was strongly suggested that a spiritual construct could enable one to become more authentic (Klenke, 2003; 2007).

Spirituality.

Participants discussed spirituality broadly and as previously indicated did not use the term spiritual but explained that their leadership was influenced by the spirit, a Christian influence, morals/ethics, strong values, respect, humility, and dignity which is consistent with Dent, Higgins, and Wharff (2005) who described leaders as those who bring their spirituality to work “inspire and energize behavior in employees based on meaning and purpose rather than rewards and security” (p. 627). The study reinforced Phipps’ (2012) clarity regarding the separation of religion and spirituality where many participants spoke of being influenced by spirituality while not practicing a religion. This also aligned with Fry’s (2003) insights on the impact of spirituality where leaders indicated that the “presence of a relationship with a higher power or being” impacted their leadership approach (p. 705).

It was not an expected outcome of the researcher to find the leadership participants using spirituality to describe their leadership approach, however the number of times leaders indicated that they were brought up in a family that upheld spiritual or religious values and beliefs, and as a result (conscious or not), have taken these experiences into their leadership practice was an unexpected result. Participants used the terms, *spirit*, *soul*, *emotion*, *hearts and minds* when discussing their spiritual approach as part of responding to questioning surrounding leadership beliefs and values.

The study provided evidence that leaders integrated their spiritual and/or religious beliefs and values into their leadership approach and it enabled them to be more effective as a leader consistent with Dent et al. (2005) who further noted that if an individual comes from a Christian stance, their development path would most likely follow a Christian path where if they come

from a secular place, then they will follow a secular path. In comparing the leadership attributes that emerged, there was a strong alignment with the literature where 20/23 of the spiritual leadership attributes aligned with the conceptualization of principled leadership attributes with the exception of: bring out the best in others; knowledge of self (identity); and, enabling (see Table 4–39). Based on the results, it could be ascertained that a spiritual leader desires to *bring out the best in others*, however, it was not directly evident in the literature that this is an attribute of a spiritual leader supporting insights of Tourish and Tourish (2010), who warned of the dangers of spirituality in the workplace pointing to the “Faustian pact – it means that leaders are increasingly liberated to engineer the souls of their employees, who stand to secure approval and career progression if they embrace the new value system” (p. 218).

Relevant to the study, Klenke (2003) raised the question of which leaders should be aware within the context of spiritual leadership, “Is it another weapon in the hands of those who seek control and manipulate the minds and actions of others?” (p. 58). In discussing the emergent themes and concepts as compared to the literature it was key to note the importance of maintaining research bias and leadership objectivity. Tourish and Tourish (2010) stated:

The issue is that this power of differentiation is to be held by a managerial elite, thereby entrenching their power. The possibility of resistance is further compromised by the fact that it becomes resistance to an idea or approach that is already ‘out there’, decreed by those leaders who advocate a spirituality agenda. (p. 218)

Beliefs and values.

The qualitative responses of the research sample indicated a connection of beliefs and values to spirituality when discussing their leadership approach aligned with Dent, Higgins, and Wharff (2005) who put forward that spiritual leadership is connected to being moral, ethical, having integrity, being honest, and good (p. 629). This was an unexpected outcome given that the qualitative questions regarding effective leadership in describing values and beliefs were created specifically to remain objective, as it was not the intention of the researcher for participants to connect beliefs and values to spirituality. It was expected that the sample would connect beliefs and values to a particular leadership approach they felt exemplified their leadership; however, frequently, participants immediately responded with examples of their spiritual or religious background and how this impacted their leadership as an individual and leader.

The research sample also consistently indicated through both qualitative and quantitative responses that their beliefs and values were tied to honesty, integrity and ethics, and connected to moral and ethical behavior, as this participant noted:

My values are honesty, integrity and ethics. Those are my values and to always be honest. I always tell the truth and so I think that it is what's guided and been my north star. Always be tactful, be respectful, but be ethical, be honest at all times.

Love and care.

Love and care were integral to the conceptual framework as presented in this study. One of the potential challenges expected in the research study was that there would not be evidence of

participants leading from a place of love. But as this sample evidenced, their leadership was not about learning to love, but aligned with Hooks (2000) notion of love as “the will to nurture”, and choosing to love through caring. As indicated, the leadership sample did not consistently use the term love when describing their leadership approach but they did provide solid examples of caring and choosing to care from a place of love using the terms, *encouraging, care, self-efficacy, service of others, empowering others, being kind, heart, believe in, desire to help others, care for others, love my team*, as Freire (1994) pointed out, it was their conscious act to choose to care. Participants identified a love similar to that described by Sergiovanni (2000) where love is integral to being able to care for, and be in the service of others, but as Tourish and Tourish (2010) warned, leaders must be aware that “an employee owes no ‘loyalty,’ he owes no ‘love’ and no ‘attitudes’ - he owes performance and nothing else” (p. 220).

A positive result of the study as evidenced by the research sample is found in the examples of their care which substantiated love as connected to caring and being in service of others. One participant described that they did not feel the need to care for their employees where universities have departments who take care of employees needs and, did not believe that care was necessary for leadership. However, this same participant further described an experience of undergoing a major renovation to ensure that *they (their employees)*, had a comfortable and enjoyable work environment “*because I just love those guys*”, indicating that caring was still important but manifested through love. In comparing the leadership attributes that emerged regarding love it was found that the emergent attribute, *loving/leads from the heart*, were found within three of the leadership approaches, servant leadership, spiritual leadership, and moral/ethical leadership. Care, aligned with the conceptualization of principled leadership was identified in the data as *caring/giving/nurturing* and found to be included in four of the

leadership approaches, servant leadership, emotionally intelligent leadership, spiritual leadership, and moral/ethical (see Table 4–39).

Service.

Leadership participants provided evidence of having leadership attributes aligned with the servant leadership literature (see Table 4–39). Although Freeman (2011) strongly connected spirituality to servant leadership in the literature, there was not definitive evidence connecting spirituality to servant leadership as evidenced by the participants. However, the participant group acknowledged their Christian roots as impacting their leadership which did align with Souyri (2014) who pointed out the positive impact of servant leadership on dealing with the spirit of capitalism in American education citing its roots from a spiritually driven Christian foundation.

The emergent leadership attributes compared and contrasted to servant leadership attributes were reinforced by Klenke (2007) in that “leadership effectiveness depends less on individual, heroic action and more on collaborative processes; distributed, supported, and sustained by a network of individuals, leaders, and followers engaged in collective achievement, teamwork, and shared accountability” (p. 69). In comparing the leadership attributes that emerged regarding a servant leadership approach, there was a strong alignment with the literature where 15/23 of the servant leadership attributes aligned with the conceptualization of principled leadership attributes with the exception of: genuine, knowledge of self-identity, connected beyond oneself, integrity, dignity, sincerity, honesty, and, forgiveness.

Transformational.

The theoretical literature suggested transformational leadership theory is connected to change (Burnes & Todnem, 2011; Kotter, 2005; Prewitt, 2003). The study discovered examples

of transformational leadership attributes that were found to be relevant and consistent with Avolio and Bass (2002) who described transformational leaders as having the following attributes: enthusiastic, passionate, encouraging, inspirational, encourage the heart, and respect. In terms of navigating change, participants indicated that key to their leadership was to be honest, fair, real, and the need to build trust and relationship:

You have to ensure fairness, you have to sometimes put people in their place if they're behaving inappropriately, and that's an act, that doesn't come naturally that is learned through the role as I understand the role but in private conversations and in winning the day in the back hallways, you can let your personality in and the real me comes through behind the scenes and that's how I win the trust of the people around me because they can see the real me.

The literature search on transformative leadership as related to the conceptualization of principled leadership as proposed in this study re-discovered the seminal work of Covey (1990) who noted that leaders should have their values in sync with their principles (Covey, 1990) and that “principle-centered leaders are continually learning, service oriented, believe in other people, radiate positive energy, are adventurous, synergistic, lead balanced lives and exercise for self-renewal” (Covey, 1990).

The qualitative responses provided in this study suggested that leaders do not use the term transformational leadership where participants did not indicate having the traits of a transformation leader, in terms of specifically using the word transformational. Participants often said, “I am a service leader” or, “I am an authentic leader”, where there was not one example of a

participant indicating, “I am a transformational leader”. Transformative leaders are described as having the following attributes found to be similar to the emergent leadership attributes of the study, such as charismatic; enthusiastic; passionate; visionary; energetic; inspirational; encouragement of ethical and moral behaviours in others; engenders trust; admiration; loyalty; and, respect (see Table 4–39). However, the sample did not refer to their leadership as transformative. Alternatively, in answering quantitative questions regarding transformational leadership, almost half of the sample indicated that change requires a transformational leader to enact. This presents the following questions: Did the leaders understand transformational leadership as part of the conceptualization of principled leadership as noted in the study and provided to them as part of the preparation for their quantitative and qualitative participation? Does this leadership sample have enough of a leadership repertoire to understand the attributes of a transformation leader to provide examples within their responses? Was the leadership sample lead by the researcher to provide more humanistic-type responses? Or, alternatively, and more likely, have 21st century higher education leaders moved beyond traditional forms of leadership and moved into the space of authentic, and moral/ethical leadership approaches?

Given that building relationships, honesty, transparency and authenticity were more important to the leadership sample, transformational leadership connected to a spiritual context may prove to be more beneficial, where, Singh and Kumar (2013) described spirituality and leadership in explaining transformational leadership as “one which is an intrinsically based motivational process in which the leader engages the subordinates to create a connection, which leads to higher motivational aspirations” (p. 208).

Emotional Intelligence.

Emotional Intelligence (EI), was relevant to the study in that it provided insights into the leader who comes from a place of emotion, passion, energy, conscientiousness, and has integrity (Dulewicz & Higgs, 2000; Higgs, 2002; Higgs & Rowland, 2000) and was consistent with the participants insights. In comparing the leadership attributes regarding an emotional intelligence leadership theory, there was a moderate alignment with the literature and the emergent data where 11/23 of the emotional intelligence attributes aligned with the principled leadership attributes with the exception of: authentic; loving/leads from the heart; brings out the best in others; connected beyond oneself; integrity; strong values; dignity; humility; spirituality; sincerity; relationship; and, enabling (see Table 4–39).

Destructive Leadership

Although the focus of the study was to primarily investigate leadership attributes in sharing a change phenomenon, leaders provided their insights regarding the challenges facing 21st century leaders working in higher education. In addition to financial, human resource and enrolment challenges participants noted similarities to Lawrence and Pirson (2015) who discussed the unprecedented global challenges facing 21st century institutions such as social inequity, climate change, and terrorism. An increased pressure to provide a quality education while competing with a culture in which provincial funding is continuing to decline, competing with local and national universities for enrolment with decreased enrolments being experienced across Atlantic Canada, and a lack of financial and human resources (including leadership) support was especially highlighted by participants. In their move from academe to administration, leaders indicated that many assumed their role without proper leadership training,

and that their leadership experience was the accumulation of their experiences with mentors, former supervisors, and family members who positively impacted them.

Of interest to the study is that the leaders provided evidence of working with, and challenges of, destructive leaders (ship) in the form of previous employers or bad bosses indicating that internal forces impacted leaders working in higher education as noted by Einarsen, Aasland, and Skogstad (2007) who put forward a definition for destructive leadership and the need for a positive leadership model as, “integrating research on such diverse constructs as leader bullying, incivility, abuse, counterproductive behaviour, deviance, undermining, corruption, and theft” (p. 215). This speaks to the internal challenges faced by higher education leaders and their strategies for coping when discussing their experience with *bad bosses* that actually enhanced their overall leadership approach or became integrated into their leadership approach. As noted in the seminal work by Kouzes and Posner (1999), leadership is dichotomous, it is “about toughness and tenderness. Guts and grace. Firmness and fairness. Fortitude and gratitude. Passion and compassion” (pp. xv-xvi). As noted by Fry (2003), “one should lead and manage by using values that drive fear and abuse out of the workplace and engage the hearts and minds of the people” (p. 704). In comparing the leadership attributes that emerged regarding a transactional leadership approach, it wasn’t surprising to find a low alignment with the literature where 5/23 of the transactional leadership attributes aligned with the conceptualization of principled leadership attributes, they were: integrity, respect, sincerity, honesty, and relationship (see Table 4–39) contrary to Lawrence and Pirsion’s (2015) homo economicus; a transactional leader who engaged in an exchange only (p. 383).

Principled leadership as conceptualized in this study provided an example of how traditional forms of leadership such as transactional or destructive leadership as described by Ah-

Kion and Bhowon (2017), Einarsen, Aasland, and Skogstad (2007), could be “flipped upside down” where it is not about me, the leader, it is about the other to whom I am in service. It moved beyond authentic and servant leadership due to the integration of love; the choice to act in the best interest of another, based on love. Although the leadership sample did not consistently use the word love, their intonations of caring for others was insightful in evidencing love through care and this in turn had the potential to impact their organization. As noted by this participant who described an analogy of the leaders’ impact and the axis of an organization with regard to higher education in Nova Scotia:

I think that if the axis of an organization is tilted towards honesty and integrity and that’s exemplified through the leader of the organization, or by the leader, then that drives a certain series of activities of all the people who work there, right?

Exploring the Conceptualization of Principled Leadership

The purpose of the research was to explore the conceptualization of principled leadership, as a leadership construct. It was the researcher’s intention to discover whether current higher education leaders integrated elements of the conceptualization of principled leadership, that is, authenticity (identity), spirituality, and love (care), and whether these attributes assisted them in facilitating the requisite changes to meet the challenges experienced by 21st century higher education institutions. This involved a discovery of the attributes/characteristics of effective leaders and what it was that helped them to positively impact their working cultures and the attitudes and behaviors of those they lead. To do this I examined leadership from the perspective of change; if principled leadership influences a leader’s ability to impact others, where she/he is significantly able to lead others through a change and what it was that enabled this to happen

successfully. The key factor was in the analysis of leaders' responses in identifying their underlying values and beliefs about effective leadership. The conceptualization of principled leadership as provided by this study was: *The leader is an individual who is rooted in authentic behaviours, free from the influence of one's ego and firm in the knowledge of self through identity, and comes from a spiritual stance that is based on love and respect for others.* This section specifically compared the overall results to the definition provided as part of the conceptualization of principled leadership.

The research sample referred to the fact that they led from their principles and provided leadership insights, experiences, and actions aligned with Gold, Evans, Earley, Halpin, and Collarbone (2003), who described 'principled principles' as those who are "committed to a committed to a set of strongly held values" (p. 136). In comparing the results of the study and, in particular, the emergent leadership attributes to the leadership literature, it was not overtly apparent that love and spirituality as part of one leadership approach were found to be connected as part of one leadership approach. Authenticity, as described by Avolio and Gardner (2005) as an element of a spiritual leadership approach complements the conceptualization of principled leadership where, Klenke (2007) further argued that a spiritual component is a determinant and precursor of authentic leadership (p. 73). Tourish and Tourish (2010), indicated that leaders need to be aware of the spiritual needs of those they lead further warning, "it is about employees who understand themselves as spiritual beings at work whose souls need nourishment, a sense of purpose and meaning, and a sense of connectedness to one another and to their workplace community" (p. 215). The data provided evidence that the attributes contained within spiritual leadership are closely aligned to, and support the elements conceptualized as part of principled leadership where Tourish and Tourish (2010) identified, the "values that have long been

considered spiritual ideals, such as integrity, honesty, and humility, have been demonstrated to have an effect on leadership success” (p. 215). However, it was not definitive that this leadership group was rooted in a spirituality that was based on love and respect for others as part of their leadership approach.

Leadership participants enacted a form of service in their leadership lead from a place of love (care) aligned with Sergiovanni’s (1996) foundational work on leadership in schools where a leader is one that is tough enough to demand the respect of colleagues but who leads with the heart. However, it was not apparent that this group was aligned with a sense of spirituality as outlined by Sergiovanni (1996). However, they did indicate that their morals and values were important to their leadership and compared their leadership approach to a moral compass consistent with Covey (1990), who referred to leaders as having a guiding compass, their true north which represented principled-centered leadership. Hoppe (2005) reinforced this compass as a spiritual truth north, one that “comes from a spiritual compass that includes the recognition that our flawed humanity requires forgiveness and tolerance at the very core of our brokenness. Without such a positioning within our inner being, leadership can become misguided and misdirected” (p. 88).

The study provided evidence of leaders working within the range of attributes as presented in the conceptualization of the definition of principled leadership. The conceptualization of principled leadership as noted in this study was the culmination of twenty-three attributes (see Table 4-39) connected to the following six leadership approaches, servant, authentic, transformational, ethical/moral, spiritual, and emotionally intelligent, and those attributes that emerged from the study. The significant attributes of principled leadership consistent with the emergent values and beliefs of the leadership sample are: authentic, integrity,

trust, building relationship, collaborative, enabling, caring, loving, kind, moral, ethical, respect, dignity, honesty, encouraging, spirit, heart, and courage.

Through a comparison of the findings and interview observations, potentially eight out of thirty-three research participants lead from a high level, conceptualization of principled leadership stance, six from a medium level, and six from a low level (see Appendix V). This was possible through comparing and contrasting the transcribed interviews, interview observations, overall qualitative data results, as compared to the characteristics of the conceptualization of principled leadership authenticity, love [care], spiritual [moral/ethical], and service, which correlated with the conceptual framework. In determining this, a point was given to each participant who had a propensity to one or more of the four characteristics as a means to determine alignment with the conceptualization of principled leadership. As one participant said, “leadership is really about defining principles and it doesn't have to be emotional, it can be emotional but it's really about saying what's fair, what's at stake here” and another, “an effective leader is: personable, gracious, passionate, connected”.

The alignment to the conceptualization of principled leadership by this research sample is further explained by another participant who said, “honesty, exceptionality, authenticity, empathy, meet people where they are” regarding the values of an effective leader. Further echoed by this participant who said, “integrity, courage, resiliency, hard work, leaders have to work hard, caring, loving are absolutely essential values”. An interesting observation put forward by one of the research participants suggested that we are only touching the surface regarding principles and leadership in higher education:

If you believe like I do in principle-based leadership, the principles are grounded in values. Those values are built by your fundamental beliefs; beliefs about fairness of the world, about what justice is, about what's fair, so I think it's absolutely a foundation, right?

The study provided the opportunity to explore leader's values and beliefs and whether or not current higher education leaders integrated elements of the conceptualization of principled leadership, that is, authenticity (identity), spirituality, and love (care), and if these attributes assisted them in facilitating the requisite changes to meet the challenges experienced by 21st century higher education institutions. It was evident through the study that the leadership participants provided evidence of the integration of authenticity and love (care), where spirituality was not overtly evidenced, although, it was considered to be an aspect of leaders' foundation.

Implications for Leadership

These findings contribute to building leadership theory and informing professional practice. The study provided relevance and evidence of a leadership approach aligned with authenticity and care (love) closely aligned with the conceptualization of principled leadership that is not fully or explicitly defined in the current literature. This study provided evidence to support the conceptualization of principled leadership for further research, or integration through professional development and in real terms, described a leadership approach that may continue to help others in helping Nova Scotia and Canadian leaders, guide their universities through challenging times. The conceptualization of principled leadership as described in this study and evidenced through the participants provided a clearer understanding of how to create and support work cultures founded on the importance of knowing self, being authentic, and caring for others,

one that could lead to deeper, trustful relationships, stronger leadership, honest communication, and fostering the dignity, respect, trust, and love of those whom a leader is responsible for. It could also help to re-define effective leadership as noted by this research participant:

We can also define effective as having brought people there with you. There is a wonderful metaphor of a leader who is a crossing a bridge and leading everybody across the bridge, and you get three quarters of the way and turn around to realize that nobody's followed you. So, you can lead and you can be what looks to be effective, but unless you're bringing people with you, there's really no point.

Of further note, if a leader has the desire to work from a construct similar to the conceptualization of principled leadership, then leaders could potentially “better communicate...Knowing these boundaries we could better assimilate unique follower training programs to enhance organizational behavior, which could create an efficiency of productivity” as noted by Kreitner and Kinicki (2013, p. 18). The leadership sample provided evidence of twenty-three principled leadership attributes as part of the study (see Table 4–38) which when condensed could be further used as part of leadership development theory as illustrated in Table 4–39.

Themes for Further Exploration

This study provided the following unique results that were not previously anticipated by the researcher based on the literature that was reviewed in this study, providing results that could benefit leadership development requiring further exploration. Age and self-efficacy, gender and moral development, and language were significant as emergent concepts and could benefit the

literature and leadership practice with further exploration. Further exploration of leadership identity, courage, and communication could also better support leadership development and is examined for this purpose within this section.

Change and Higher Education

The findings provided a clear indication that leaders regard their leadership approach in regard to change as one that incorporated the following: courage, integrity, honesty, trustworthiness, credibility, and dependability with ethic of care, and consistency. Leaders indicated that they had positively lead their teams through change, it was part of the fabric of what they do, and guiding change is considered extremely important. There was found to be a natural propensity to integrate a humanistic-type leadership approach in leading a change innovation. Although the leadership participants did not use the Concerns-based Adoption Model (CBAM) term, it was observed through qualitative responses they navigated institutional change using an approach similar to the CBAM (Hall, 1974, 2013; Hall & George, 1979) where: the leader is consistently cognizant of both the macro and micro impacts of change; and, the macro results of change are imperative however, the focus must always be to support individuals *through* change. The qualitative findings provided useful insights and leaders indicated that key to successfully navigating change was keeping an eye on those they are leading through the change. Their eye was always on the institutional target but their primary actions focused on the impact of change on others, ensuring a smooth and useful process for all those involved and directly/indirectly impacted. This provided evidence for the potential use of the CBAM model in leading change in higher education and required further exploration beyond the study.

Identity

In discussing effective leadership, the sample said that who they are as a leader has been impacted by both positive and negative experiences, former mentors, family members, and overall life experiences including volunteer work and that this prepared them for their current leadership position. It was also interesting to note that the leadership sample did not overtly connect their individuality to their leadership approach. Who they are as an individual was not necessarily connected to who they are as leaders, as least it was not obvious through the data.

These are both of interest to the research because most leaders did not claim formal leadership training or experiences as having prepared them for their leadership role. This provides the following two items for reflection with regard to the study: 1) life experience – bringing who you are as an individual, being firm in identity is a positive approach to leadership and thus connects back to the primary purpose of exploring principled leadership, identity and understanding self. Knowing who you are and being confident to bring the best of who you are into your leadership role is something that could be encouraged, reinforced, and duplicated as a model of leadership; and, 2) the need for actualization of the leader as an individual first, a human. Further to identity is the need to integrate the best of who you are as an individual into your leadership as well, where there is a consistency in who you are in the boardroom, as a volunteer, or in the office where leaders have the courage to live out who they are in all that they do and bring the best version of themselves into all roles they enact.

Age and Self-efficacy

Age emerged as a concept regarding the leadership sample's perception of their self-efficacy further highlighting this leadership sample's insights regarding the need for authentic leadership and knowing self. Klenke (2007) indicated that self-efficacy is key to leadership

research, that “leadership self-efficacy represents a leader’s self-perceived capabilities for the general leadership tasks of directing setting, gaining follower commitment, and overcoming obstacles (80). Klenke (2007) further contends that “authentic leaders have a stronger sense of self-efficacy than inauthentic leaders|” (p. 82). This drills down to the core of self-efficacy and authentic leadership and is consistent with the emergent themes surrounding the leadership sample; that with age and experience comes an inner courage that enabled this leadership sample to be risk-takers, they are secure, confident, and efficacious, and there is little risk for them as they come closer to the end of their careers. The average age of the sample group was 57, with the youngest research participant aged 39, the oldest aged seventy. As previously noted, there is an emergent need for leadership in higher education within Canada due to demographic decline. The study provided evidence of the benefits of an aging leadership participant group where a deeper understanding and appreciation for higher education administration could celebrate the positive benefits of an aging population rather than encouraging leaders to retire. Further study could provide insights regarding the benefits of experienced leaders through mentorship programs, training, and coaching.

Gender, Moral Development, and Language

The research study provided evidence that gender did not influence humanistic-type leadership approaches observed by the leadership participants. This aligned with Remund (2011), who argued that gender does not impact moral reasoning. However, given the data, it was difficult to ascertain whether previously professional development or life experiences impacting gender had prepared leadership participants in their leadership approach. Remund's (2011) research focused on corporate communications leaders and moral reasoning, where the results also found that gender did not surface as a significant determinant. In their earlier

research Butz and Lewis (1996, as cited in Salter, Harris, & McCormack, 2014), compared the relationship between the moral reasoning and leadership orientation of males versus females and suggested that males differ from female. Butz and Lewis (1996) also found that transformational leadership was the preferred leadership style used by women who had the preferred leadership values that included: relationship building, communication, consensus building, using power as influence, and to work together for a common purpose.

It was clear that factors such as age, experience, and the influence of mentors and family members as positive leadership role models provided leadership participants with an elevated confidence that enabled them to lead from a more humanized approach and this could have had more impact than gender. Overall, this unexpected result was beneficial in that it raised interesting questions surrounding traditional “soft” skills and gender and provided evidence for further investigation to push beyond Butz and Lewis (1996) who supported the belief regarding leadership and gender differences. The research arguably yielded persuasive insights, however it is the conclusion of this researcher that further investigation is needed before any firm conclusions can be made with respect to gender and humanistic-type leadership.

It is of interest to be noted that the research sample had a propensity toward using the same language. Salter, Harris, and McCormack, (2014) found in their study that gender did not play a role in the language leaders used unlike Salter, Green, Duncan, Berre, and Torti (2010), who found women to use more passive language than men.

Courage

The study unveiled courage as a leadership strength where leaders indicated that courage required being able to be vulnerable, and to make mistakes as part of their personal and

professional growth. Not only did the leadership sample indicate that they felt they had to be courageous but almost all noted that others would perceive their leadership as demonstrating or embodying courage. This provided evidence of courage as a leadership attribute in responding to the needs of 21st century leaders required courage in leading their institutions. Higher education leaders were passionate and motivated to support those they lead, where this leadership sample provided evidence that being courageous requires a vulnerability that can only be enacted within a courageous leadership construct based on trust and honesty, to become vulnerable and be willing to make mistakes for the greater good.

Although courage can be understood in the context of a trait sometimes required in dire circumstance, there was evidence that courage from the perspective of leadership is key to enact a leader to be able to be honest, to be true to who they are, humble, to make mistakes, and not to need to have all the answers. This courage as evidenced by the leadership participants came from caring for others with a confidence to trust in oneself where this participant linked courage with caring:

I care about other people. It doesn't mean that they get their way with me all the time or that the caring about them. I have the courage to give them news if it's not good news because I care about them. I won't, you know beat around the bush and pretend that something's going to happen and they want to have happen.

The qualitative questions provided the opportunity for the leadership participants to respond to questions regarding effective leadership. The results did not provide a definition of effective leadership rather examples of effective leadership in action, motivations to become a

more effective leader, and how the leadership sample felt others would describe them as an effective leader. The study provided evidence of the leaders' belief that honest communication is directly connected to their ability to effectively be a leader. Participants explained that communication involves collaboration, engagement, being open, genuine, honest, with a willingness to look people in the eye and cited past experiences, creating a non-threatening environment, being a good listener, having respect for others and being respected in their approach to communication. Participants indicated that the most important factor in being an effective leader was "*honest and effective communication*".

One major finding of the evidence highlights and reinforces the contrast between transactional leadership and the conceptualization of principled leadership; based on the observation that leadership attributes/skills that are traditionally perceived to be the *soft skills* in leadership were found to be essential skills in effectively leading organizations, and in this case, providing the leadership sample with the courage to navigate challenging times in higher education. These soft skills (which may be described as interpersonal such as love, caring, service, spirit) provided leaders with a foundation based on honesty, respect, empathy, dignity, integrity, trust, and love. Given this, it was interesting to note:

6. Gender was not a factor given the research sample consisting of 17 males and 16 females in which they all used very similar language in describing their leadership approach; and,
7. Leaders bring the core of who they are into their leadership practice and the impact of one's upbringing, family influence, and negative experiences is called upon when push comes to shove.

Summary

The chapter provided a review of the comparison of attributes of the leadership participants, humanistic-type leadership approaches (authentic, servant, emotional intelligence, transformative, spiritual, moral/ethical, destructive/transactional), as compared to the conceptualization of principled leadership, explored destructive leadership, further compared the emergent attributes to the conceptualization of principled leadership, and proposed themes for further exploration (identity, courage, age and self-efficacy, gender, moral development and language).

It was evident through the analysis and interpretation of the data that there was an alignment with some of the emergent attributes and the conceptualization of principled leadership. Authentic, Servant, and Spiritual Leadership approaches provided the closest alignment when compared to the attributes of the conceptualization of principled leadership indicating connection to the three core elements of the conceptualization of principled leadership: authenticity; love (care in service of others); and, spirituality. Authenticity was found to be an important attribute associate with both servant and spiritual leadership approaches and aligned with the literature. Although it was not overtly apparent that spirituality was core to authenticity in the data that emerged from the study, authenticity was indicated to be core to spirituality in the literature. It is the belief of this researcher that the conceptualization of principled leadership is strongly aligned with Authentic Leadership given the theoretical literature and data provided in this study. Authentic leadership provides the closest theoretical evidence supporting the conceptualization of principled leadership as explored in this study, where love was understood within the context of caring, and service within the context of choosing to love and care for those one leads. The following attributes, caring for others (love),

authenticity, and service were found to be the most important attributes of the leadership participants supporting the conceptualization of principled leadership.

Chapter 6 – Conclusion

This chapter provided the conclusions and recommendations of the research study. It was the intention to explore whether current higher education leaders integrated elements of the conceptualization of principled leadership, that is, authenticity (identity), spirituality, and love (care), and whether these attributes assisted leaders in facilitating the requisite changes to meet the challenges experienced by 21st century higher education institutions. This involved a discovery of the attributes/characteristics of effective leaders and what it was that helped them to positively impact their working cultures and the attitudes and behaviors of those they lead. To do this, I examined leadership from the perspective of change; if the characteristics and approaches within ‘principled leadership’ influences a leader’s ability to impact others, where she/he was significantly able to lead others through a change and what it was that enabled this to happen successfully. Based on the findings of the study, a new leadership theory and model for leadership development was proposed in this chapter, namely the “Principled Leadership Development Model”. This chapter also included a summary of the findings, researcher conclusions, researcher recommendations, a new leadership theory and model, directions for future research, and the conclusion.

Summary of the Findings

The research study provided insights on the values, attitudes, beliefs, and actions of higher education leaders who had navigated a change initiative, providing the opportunity to explore leadership in action. A key aim was to further understand how leaders deal with complex issues, impact workplace culture, as well as leaders’ contributions based on his/her own leadership approach. Six themes emerged from the analysis of the qualitative and quantitative data of this study. They were: (1) understanding self: leadership values; (2) leadership beliefs;

(3) in service of, and care for others; (4) the challenges of leading the academy; (5) leadership influences; and (6) navigating change. Principled leadership was defined in this study as a leadership approach where the leader is an individual who is rooted in authentic behaviours, free from the influence of one's ego, firm in the knowledge of self through understanding his/her own identity, and operates from a spiritual stance, that is a stance founded on love and respect for others.

The previous chapter provided an overview of the findings of the study as compared to and contrasted with the theoretical literature that was selected based upon the conceptual framework dimensions. The results of the quantitative and qualitative components of the study provided evidence that there were Nova Scotia leaders in higher education practicing humanistic-oriented leadership (Parameswar & Prasad, 2017) that included authentic, spiritual, care (love), moral/ethical, and servant leadership approaches. It was important to note that although a comparative analysis of humanistic-oriented leadership theories was provided in Chapter 2: the literature review, this was provided for the purpose of exploring theoretical and practical dimensions within my conceptualization of *principled leadership*.

This study provided evidence of authentic leadership where the leader not only incorporated elements of the authentic leadership construct but also chose to love, care, and be in the service of others in the workplace. Thus, this research provides an extension and deepening of our understanding of the underpinnings of authentic leadership. Integrating 'spirituality' as part of an authentic leadership construct was not consistently or overtly evident in leadership participants' responses, however, many acknowledged that spirit, heart, and energy were important to their leadership practice. This provided strong evidence that to be principled could

require an awareness and integration of love through care and service, however, it may not necessarily be connected to the leaders' spiritual or religious values and beliefs.

The qualitative dimension of this study provided valuable insights about how the leaders navigated a change initiative and the leadership skills that enabled this change to happen. These leaders also referenced that: being authentic and honest, acknowledging vulnerability, being capable of building trust, demonstrating integrity, upholding the respect and dignity of others, and having courage, were key to successfully leading others. Leaders felt that although change was complicated, they were able to lead a change initiative successfully. Significant to note were the influences of previous employers, mentors, or family members who behaved either positively or negatively. They reported that prior experience with these individuals shaped their conceptualization of *effective leadership*. These employers, mentors or family members also influenced these leaders' knowledge and attitudes and the desire to work from a place of honesty, integrity, while upholding the dignity and respect of those they led. Leaders emphasized that their beliefs and values guided their work, and their perceptions that their leadership was in service of others. Even though there was a difference of opinion regarding definitions of the terms *love* and *care*, most posited that caring for others was important in ensuring overall employee satisfaction as well as in meeting the goals of the university. It was evidenced by the research study that higher education leaders were continually challenged to manage the ever-changing and dynamic landscape found within universities while balancing the internal and external forces impacting financial, academic, and social sustainability.

Researcher Conclusions

It was also evident through this research study that this leadership sample was quite confident in, and capable of, leading others through change and the daily practices associated

with higher education administration where improving their own practice, understanding their experiences, and integrating the good with the bad, with a desire to serve others, underscored this leadership sample.

Throughout the research interview process in spending time with each of the thirty-three research participants, one overarching and re-occurring theme that continually resonated within the context of the interview was that Nova Scotia leaders operate from an incredibly strong human dimension. A relational and contextual understanding of being human and working with humans was very apparent with the need for this leadership to be honest and respectful. The leadership sample was strongly aligned with the humanistic-type leadership (Parameswar & Prasad, 2017) theories reviewed as part of this research study, where working with and for others was a core construct of the leadership sample, valued as an integral component of their approach, and necessary to building and maintaining relationship and trust with their teams. In identifying humanistic-type leadership, an unexpected outcome of the study was the term *highly humanized* as noted it resonated consistently through the qualitative data as a summary of this leadership sample and thus, humanistic-type leadership was integrated into the literature review. Integrating humanistic-type leadership theories into the study enabled a succinct and comparative analysis that helped to provide an appropriate context for the conceptualization of principled leadership.

Researcher Recommendations

Based on the results of the study, several key findings were gained about the practice of leadership within Nova Scotia higher education institutions. Given the evidence provided in this study of the practice of a humanistic-type leadership that included authenticity, and love in the form of caring and service, a leadership development model was presented for inclusion in my recommendations. The need to create an awareness of destructive leaders and the impact of

destructive leadership was also an important finding, and although this dissertation was limited to the exploration of the conceptualization of principled leadership, there was evidence to support that a new leadership development model could help to create a leadership model that is based on complete authenticity grounded in love (caring). This model appeals to leaders who desire to be authentic; honest and transparent, to move into a deeper leadership that is based on a love that is truly beyond serving the needs of the self or institution, and to serve others for their better good (care), strong values and morals, and one that supports the move toward decreasing destructive leadership in higher education institutions. A leadership model that includes authenticity, love (care), strong beliefs and values, and service.

The Need for a New Leadership Model – Destructive Leadership

Higher education institution leaders at the senior level are charged with increasing productivity and in many ways, simply sourcing funding for their institution, and are expected to behave in ways that move the institution forward under the guise of productivity and financial viability. The study findings raised the question of destructive leadership (or bad bosses), and the collateral damage to result from poor leadership. Einarsen, Aasland, and Skogstad (2007) defined a destructive leader as: a bully, abusive, undermining, self-gratifying, and deviant to the extent of being corrupt (p. 215). The study also raised the question regarding the auspiciousness of efficiency over effectiveness and that this is a quandary for 21st century institutions of higher education. As the road to ‘efficiency’ is ever present, the goal of creating break-even operations is more apparent, and the reality is, (although this study does not overtly cover this dilemma although it came up in many discussions), there needs to be an awareness of an imploding crisis regarding those who work within higher education, and the negative behaviours of those leaders working to create efficiencies at any cost, while leaving a path of destruction in their path.

Whether or not it is the current context of higher education that is causing and/or promoting destructive leadership at all levels of the university, the study raised the awareness that current leaders have been impacted by negative and destructive leaders which raised the following questions: How do you build a leadership development model built on the foundations of honesty, authenticity, respect, love, care, and a knowledge of spirit? What happens if leaders are incapable of principled leadership as proposed in this study? What would those implications be? In an ideal world, what would I advise the administration of a university to do, if they had “destructive leaders”? (Einarsen, Aasland, & Skogstad, 2007) What are the implications of the “neoliberal university” administration starved for financial support to keep operations running, and given this context, is this actively promoting destructive leadership? (Smyth, 2017) What do you do when destructive leaders are in the system and being promoted, when bad leaders are being rewarded? How do university leaders respond to bad leaders being promoted? How do we work toward creating compassionate leaders as described by Kouzes and Posner (2017), those leaders that drive out the fear and abuse inherent in destructive leadership, and engage the heart of those they lead (Fry, 2003; Kouzes & Posner, 2017). Lastly, what is the damage of the toxic leaders’ capacity to wreak havoc, to damage work cultures and collectives, and how does the leader mitigate the damage and limit the impact of destructive leaders (Smyth, 2017)?

In responding to the findings and the questions raised by this study, it was important to consider leadership development and how this could be integrated into a methodology or teaching curriculum, as well as how leaders could integrate this into their professional leadership practice. A leadership development model could provide a roadmap for leaders in responding to what leaders should do when they notice a poor or destructive leader; help that person (through coaching, mentoring, professional development, counseling), and/or what happens if there is no

change in destructive leader who has gone through a process for changing behaviours negatively impacting others? What actions should be taken with problematic leaders? What happens if you have leaders participate in a leadership development program similar to the principled leadership approach, and they are not a good leader, people-centered, caring, or humanistic? What if they are incapable of being principled but continue to be promoted even after you have tried to help them become more people-centered? What happens when ‘good’ managers become leaders? What do you do about tenured leaders that are destructive? As evidenced in this study, it takes courage and strength for leaders to question the status quo, and to push beyond the boundaries in dealing with those they lead, ask the hard questions, and in some case, to remove those who may not be a good fit, and/or who are negatively impacting others. Is it possible to build programs that foster principled leadership and how? These questions precipitated a response to provide a leadership development model that could benefit 21st century leaders. A range of strategies could be implemented to support leadership decision making when supporting those they lead such as:

1. Mentoring with leaders who are renowned for being authentic/principled.
2. Leadership development to encourage metacognitive development. Do they care about people or simply about their career progression/money/ self? How do they realign these values?
3. Remove leaders if they are unable to effectively and personably work with others or be more authentic then unsuited for leadership – counseled out or actively removed.

The research study provided evidence that a humanistic-type leadership development model could benefit leadership in higher education, training for higher education administration, business leaders, as well as part of the curriculum within an education or business department.

As evidenced in the study, participants indicated the need for professional development for leaders working within higher education institutions. The proposed leadership development model incorporates the components of authentic leadership, servant leadership, beliefs and values, and further integrates love as its core, where leaders make the choice to participate in a professional development journey that explores the self as a means to understanding how to integrate values, morals, and beliefs into one's leadership practice. This study provided evidence that could support the development of the following: a) Principled Leadership Model: Course and Seminar; and b) Personal Leadership Assessment with the *Principled Leadership Profile* (PLP©).

Why principled leadership as a model?

Leadership development based on a principled approach could provide a leadership model for higher education and a business acumen for leaders working in various fields. The leadership approaches reviewed in this study (servant, authentic, transformational, ethical/moral, spiritual, and emotionally intelligent) are widely accepted and integrated leadership approaches. The evidence indicated significant attributes of principled leadership consistent with the emergent values and beliefs of the leadership sample that are: authentic, integrity, trust, building relationship, collaborative, enabling, caring, and loving. Given that the previous leadership approaches are currently used, it is likely that a new leadership model that integrates love, caring, and morals and ethics that is based on authenticity, service, integrity, and trust could also be widely accepted and perhaps, adopted. The question is why not? If, as a leader, one could work from a place of honesty, trust, respect, love, strong morals/ethics, and integrity every day, integrating the best of who you are into your leadership practice, then why would one be opposed to this?

“Principled Leadership” as a formal leadership strategy could provide the springboard in which leaders can entrust their true self to take a journey toward becoming the best version of themselves into their leadership practice. What distinguishes the use of principled leadership as a leadership model is that it takes the best attributes and characteristics of the individual and provides a way in which the leader can expand upon this, integrate the best of who they are into their leadership practice. This leadership model enables individuals to explore their practice based on what they bring, and integrates these attributes grounded in their values and beliefs into the practice. The model does not try to fit the individual into a particular ‘leadership box’ rather; it provides the opportunity to maximize the best of oneself as leader, while supporting the individual to have the courage to live this out in their professional leadership practice.

Figure 6.1 depicts the results of the study and the proposed “Principled Leadership” model construct which I developed from the findings of this study; the external influences impacting this leadership group (see Appendix W), along with the implications for leadership. This figure takes the conceptual framework one step further to actualizing principled leadership through the integration of love, service, courage and having a balanced perspective incorporating a strong sense of ethics, morals, and values and beliefs. The smallest circle represents the principled leader who is authentic, grounded in their identity with a strong sense of self, their values and beliefs, and chooses to love as a form of caring for others, and because of this has the courage to enact this leadership approach. The second circle represents the ongoing influences that have helped to shape the principled leader. These are the former and current experiences with previous employers, mentors, leaders, and family members who have continued to influence their leadership practice, and to whom they may look to for further direction, support, and advice, or as examples of what not to do or be like (in the case of destructive or poor leaders).

The larger third circle represents the internal and external challenges of leading the academy – internal challenges such as financial, human resource, and destructive leadership influences, and external – including a decline in enrolment and government funding, and the increased competitive nature of higher education. The last circle represents the ongoing change management influences usually expected of higher education leaders. These last two circles are represented in this way to provide a visual depiction of the positive nature in which the principled leader moves out of their own leadership approach, where they continue to be influenced by the broader environment continually impacting their leadership.

Figure 6.1. Principled Leadership Model Construct



Principled Leadership: A New Leadership Development Model

The previous section described the need for the proposed principled leadership model. Determining leadership effectiveness is a complex and multi-layered task and therefore, leadership effectiveness as put forward through the conceptualization of principled leadership is presented in terms of the findings of the study. The following section provides a developed

framework for a new model detailing the six phases of leadership development and specifically the knowledge, attitudes, and skills required for a deeper understanding of principled leadership that could be integrated for learning and training purposes. This leadership development model would have practical application for leaders working in higher education, business leaders in both the public and the private sector, and students enrolled in post-secondary education programs integrating leadership theory and practice.

Phases of principled leadership development.

The findings provided evidence of the following characteristics as related to the conceptualization of principled leadership, they are *authentic, loving/leads from the heart, brings out the best in others, genuine, identity (knowledge of self), connected beyond oneself, integrity, moral/ethical, strong values, dignity, respect, trust, caring/giving/nurturing, humility, spirituality, sincerity, honesty, relationship, enabling, encouraging, empathy, forgiveness, and compassion* (see Table 5–1). Figure 6.2 details the principled leadership model including six phases integrating the aforementioned characteristics. The six phases are associated within the conceptualization of principled leadership as defined in this study, and key to understanding it's methodology. The leadership development model is a linear process in which leadership development begins with phase one where the leader is required to develop a sense of awareness of identity through a self-actualization process before moving into phase two. Leadership development, one phase at a time is crucial to ensuring the leader develops the knowledge, attitudes, and skills associated with each phase of the leadership model.

The six phases associated with the development of principled leadership model guides participants through a process supporting their learning to become a principled leader. A

principled leader is defined as, *Principled leadership is a leadership approach where the leader is an individual who is rooted in authentic behaviors, free from the influence of one's ego, firm in the knowledge of self through identity, has a balanced perspective based on strong morals and values, and works in service of others that is based on love and respect.* The cumulative knowledge, attitudes, and skills of the leadership development model are included after a brief description of each phase provided below.

Phase one. Identity. Knowing self. This requires a self-reflective process identifying core values and beliefs in understanding one's identity and how this manifests as an individual first and through leadership approach second. The primary focus is on the individual and the understanding and acknowledgement of self. Associated characteristics: sense of self/identity.

Phase two. Integrating beliefs and values enables a deeper understanding of self and becoming more authentic through the process. Associated characteristics: moral/ethical, spiritual, strong values, dignity, and respect.

Phase three. A knowledge of self and the knowledge of an existence beyond self provides the foundation for true authentic understanding and behaviour. What makes you, you and how do you become the best version of yourself? This leads to a deeper sense of authenticity that leads to a deeper understanding of integrity and honesty. Associated characteristics: integrity, honesty, humility, connected beyond oneself, authentic, and genuine.

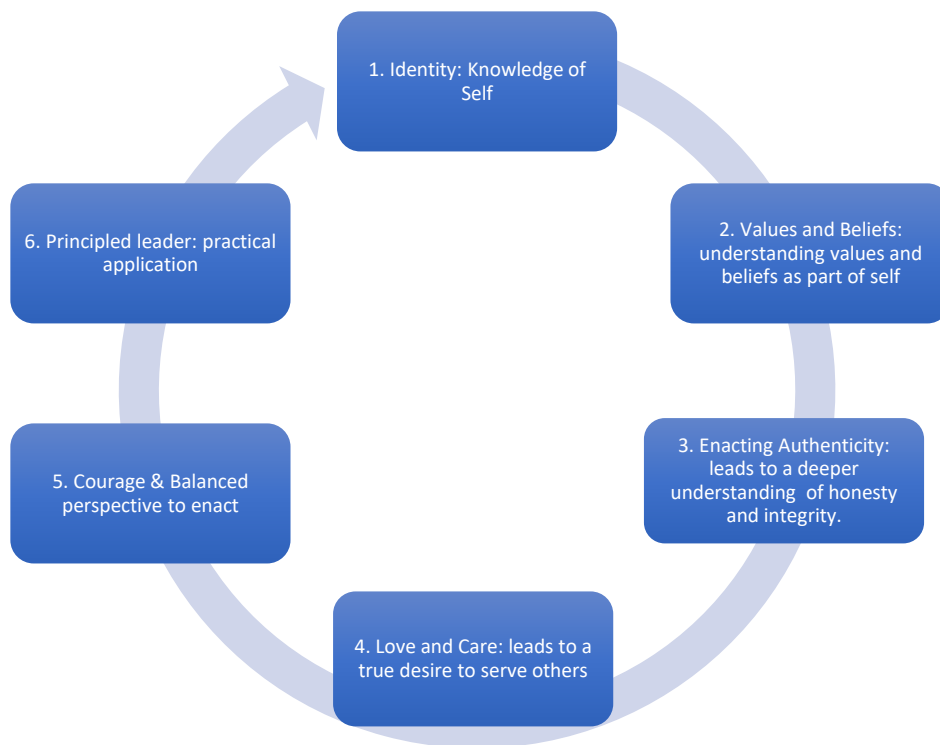
Phase four. Firm in identity, knowledge of self, and of the spirit (existence of something other than self), leads to a greater awareness of love and care leading to the desire to authentically serve others which enables one to come from a place of complete service.

Associated characteristics: loving, trust, caring/giving/nurturing, compassion, serve others, forgiveness, empathy, encouraging, enabling, forgiveness, and relationship.

Phase five. Courage and Balanced Perspective. A principled leader requires courage that comes from within given a firm knowledge of identity, becoming more authentic, aware of beliefs and values that guide their inner compass, to a place where there exists a desire to serve others. This still requires courage and the need for a balanced perspective; courage to enact that comes a confirmed sense of self, from within.

Phase six. This phase requires a disruption to current practice; an integrated practice experience for discernment and reflection as a means of further understanding the principled leadership model. The participant will need to apply the leadership development model in current practice, requiring a suitable time for individual, and group reflection.

Figure 6.2. Phases of Principled Leadership Development



Principled leadership development model: Knowledge, skills, and attitudes.

The application of the principled leadership development model is provided below detailing the knowledge, skills, and attitudes as part of the principled leadership development model. The application of this model is presented as a concept as part of the recommendations of the study and will require piloting and testing for accuracy, suitability and applicability for leadership practice.

Knowledge.

Principled leadership requires an exploration of self and becoming firm in sense of self so as to be able to loosen the ego as a means of truly and authentically, loving and caring for others so as to have the courage to be in service. The prospective principled leader is required to have a thorough understanding of the literature. This requires a journey and reflection while investigating theories associated with identity, authenticity, along with leadership theories such as morals and ethical leadership, servant leadership, and love leadership. Identity and authenticity are tied to this exploration throughout the principled leadership model and are described below. Individual as well as group consultation and work is integral to supporting the participant's journey in exploring the literature so as to deepen learning through the sharing of narrative, experiences, and application of theory. Utilizing Appreciative Inquiry methods, and other facilitative learning methods such as, world café, etc., this will involve exploring case studies, participating in group assignments, presentations, and personal evaluations.

Identity –understanding self; integral to this is understanding theories of identity, ego, and understanding self that leads to a deeper and clearer understanding of one's identity; who you are

and want to be as a leader. This requires a review/study of identity, ego, authenticity, and authentic leadership theories.

Authenticity is tied to spirituality and love, enabling a leadership approach enacting love and care, this involves: a) a reflection of personal values, beliefs, past experiences, and positive influences that have shaped leadership; and, b) exploring why these influences have positively impacted leadership as attributes, acknowledging and consciously making the decision for further integration as part of overall leadership approach. This requires reflection and a review of humanistic-type leadership that includes spiritual, ethic of care, moral/ethical, love, and servant, leadership theories as well as destructive leadership, constructive leadership, and hegemonic leadership practices impacting 21st century higher education institutions.

Attitudes.

The prospective principled leader is required to understand, integrate, and apply leadership theories relevant to those proposed as part of the principled leadership model. This requires an experience to enact, practice, and integrate the knowledge learned, and to further reflect upon her/his leadership practice. The following list provides an overview of attitudes associated with a principled leadership approach as evidenced by the leadership participants.

Authenticity.

Overarching statement associated with this attitude:

As a principled leader, I am honest in everything that I do, I believe in the inherent good of others and do my best to treat others with dignity and respect.

The following statements represent the attitudes I bring to my leadership:

1. I show up grounded in my values and my own sense of truth, regardless of what people expect or accept.
2. I try to bring to the world the best of my abilities, gifts, talents, and skills in a way that provides a positive contribution.
3. I truly believe in the gravitational force field of good
4. I failed a couple times.
5. I've been very deeply committed to personal growth.
6. I treat people with basic respect and dignity where everybody is an individual celebrating our similarities and differences.
7. Integrity is about doing the right thing when nobody else is looking
8. I try to help people move forward
9. I have an awareness of my weaknesses as strengths.

Identity.

Overarching statement associated with this attitude:

As a principled leader, I am firm in my identity, I know who I am, I am comfortable with who I am, and this gives me strength to be the leader I desire and need to be.

The following statements represent the attitudes I bring to my leadership:

1. I fully embrace who I am as an individual. This includes an awareness of my strengths and weaknesses, integrating this into my leadership approach.

2. I care for myself. I have self-respect. I'm physically strong. I'm mentally strong. I am spiritually strong. I need to be true, embody my beliefs and value and believe this will help me to be more constructive, helpful, authentic, and equitable.
3. I am always true to myself and true to the person regardless of who they are.
4. I think people need to be confident in who they are, and not easily influenced themselves.
5. I think you have to be very confident in your beliefs and your values and stick to that, and be that same person

Trust & relationship.

Overarching statement associated with this attitude:

As a principled leader, trusting others, having others trust me, and building honest, authentic relationship with others, is key to my leadership.

The following statements represent the attitudes I bring to my leadership:

1. Trust involves openness and honesty.
2. Trust begins with building relationships.
3. Mutual trust is key to my leadership approach.
4. I think without that trust we can't do anything, I need to have trust as a cornerstone and foundation.
5. Personal relationship plays a key role for vibrant robust leadership.
6. I have fundamental human relationship beliefs.
7. I believe that people have multiple perspectives and viewpoints.

Beliefs/Values.

Overarching statement associated with this attitude:

**As a principled leader, I am grounded in values, built by my
fundamental beliefs about fairness of the world, about what justice is,
about what's fair; beliefs and values shape my words and actions.**

The following statements represent the attitudes I bring to my leadership:

1. When I talk about energy I'm talking about spirit. I engage the spirit and emotion.
2. I think the values that people hold, no matter if they have formal faith based be it as Hindu, or First Nations faith, or Catholicism
3. The basic fundamentals of my early Christian upbringing have had an impact with regard to my sense of contribution to the community and basic fundamental belief in human relationship.
4. I believe that I must morally do the right thing and then the judgment of that will come later.
5. Principles are grounded in values, built by my fundamental beliefs about fairness of the world, about what justice is, about what's fair.
6. My beliefs and values shape my words and actions.
7. I value people, no one works for me, they work with me.
8. I am grounded in my values and believe where the strategy or the direction of the institution has to be both bottom up and top down.

Dignity.

Overarching statement associated with this attitude:

As a principled leader, I believe in the dignity of every human being on this planet, that we all have a purpose and I attempt to do my best to uphold the dignity of everyone I come into contact with, regardless of situation.

The following statements represent the attitudes I bring to my leadership:

1. Treating people with respect and respecting individuality, a person's individual dignity, and their space.
2. I value every person on the planet as an equal citizen of the earth.
3. Treat other people the way you want to be treated.
4. People don't stop being human when they come to work.

Love.

Overarching statement associated with this attitude:

As a principled leader, I authentically approach people, situations, and opportunities with authentic love for the other while choosing to act from a place of love.

The following statements represent the attitudes I bring to my leadership:

1. Love helps people feel safe in institutions. You can't have innovation if people don't feel cared for and loved.
2. I believe all people deserve to be loved.

3. I care about the purpose, the people and the institution.
4. I genuinely choose to love the people I work with.
5. I believe that leaders with high functioning personal relationships have a high emotion profile.
6. I believe that high functioning institutions have a high emotion of love.
7. I work to manifest a loving network.
8. Love helps people feel safe in institutions.
9. I selflessly guide others.
10. You find a high ocean of love in high functioning leaders.
11. I put others first.

Caring/Safety.

Overarching statement associated with this attitude:

As a principled leader, I choose to care for others based on my authentic love for them.

The following statements represent the attitudes I bring to my leadership:

1. You can't have innovation if people don't feel cared for and loved.
2. I try to be as compassionate, understanding, positive, supportive and bring a sense of abundance to every interaction with every person.
3. The act of listening demonstrates care.
4. I believe if you treat people fairly on issues they'll work better for you.
5. I think care brings safety, and safety allows trust and collaboration.
6. I have a real passion to help people who are disengaged by the systems.

7. I try to help others feel important and valued.

Enabling leadership.

Overarching statement associated with this attitude:

As a principled leader, I choose to enable others based on the courage to enact for the sake of others and not thinking about how I may benefit.

The following statements represent the attitudes I bring to my leadership:

1. I have to enable those around me.
2. I enable others around me to be the best version of themselves.
3. Enabling others gives me great satisfaction and joy.
4. I am at my best when I am supporting and encouraging others
5. I try to help people understand and believe in him/herself.
6. I believe that leadership has a built-in multiplier effect.

Skills.

The leadership participants indicated the need for the following skills in enacting humanistic-type leadership approaches linked to the conceptualization of principled leadership. It was evident in the study that the attitudes associated with the data were required in order to enact the skill. These skills will require exploration through the theoretical literature provided and the application through leadership practice. This may also involve a disrupted experience where enactment of a skill could be new for the participant and requires further reflection, follow-up and discernment with the overall group participating in the principled leadership model program.

The following *skills* are linked to what is expected of a principle leader:

1. Highly humanized people skills: the awareness and enactment of working with humans/ individuals is most important to leadership approach where upholding the dignity and respect of the other is key.
2. Trust: trusting oneself, trusting others, working to build relationship through trust
3. The ability to genuinely love and care for others.
4. In service of others through love and care.
5. Highly communicative.
6. Dependable.
7. Confident.
8. Courage. Not afraid to take risks or make mistakes.
9. Vulnerable.
10. Authentic: this involves having integrity, being honest, and respectful.
11. Innovative.
12. Collaborative.
13. Enable others to be the best version of themselves.
14. Empowering/passionate.
15. Firm in values/beliefs. Strong morals and ethics.

Principled Leadership Development Model Application

The principled leadership development model supports both the individual participant and the collective groups' journey towards becoming a principled leader. Examples of a leadership course outline, (see Appendix X), seminar outline (see Appendix Y), and methodology (see Appendix Z) provide further illustrations in which the principled leadership model can be developed and presented. This model is best suited for delivery within the context

of a group of six to ten participants and delivered over a period of time that provides suitable understanding, reflection, and integration of the core concepts, skills, and attitudes. It also requires a suitable time for participants to go back into their work environments to allow for reflection, sharing, and further deepening of the core concepts, skills, and attitudes. Training to become a principled leader requires deep reflection, sharing of professional practice with a desire to integrate the core attitudes and skills of principled leadership into current practice. Without the desire to reflect upon one's leadership practice with the goal to become more principled, a participant(s) will not be successful.

Directions for Future Research

Research for the purpose of furthering leadership practice is important and perhaps critical for higher education institutions as they continue to navigate the challenges of meeting the needs of 21st century learners, faculty, staff and the broader external community. The aforementioned groups could benefit from the academic research and learning provided by higher education institution researchers and leaders. Five recommendations are provided for future research regarding leadership in higher education. The first is there is a need to expand the literature base and direct research within Canada on leadership in higher education. The second is to expand the work conducted in this research study beyond the scope of Nova Scotia regionally, nationally, and internationally, Third, to further research leadership from the perspective of integrity, so as to explore what integrity means to individual leaders and how this is integrated into their leadership practice. This participant provided a very thoughtful and mature insight:

I'm the one who always believes that when you take on these roles particularly within institutions that have been around for 175 years and have

*an integrity to them, that needs to be respected, when you take them on
you've got to give yourself over.*

The fourth is to expand the future research on leader performance and identity? Who is the leader at home in their private life, socially in the world, and as a leader? How can we integrate who we are with who we want to be as leader as means of high-efficiency leadership performance and be consistent in identity in all roles that we play in both private and professional lives? The fifth area is to further explore the concept of neo-liberal universities as machines powered by economics – how could we have equality and social justice at a time when market drives everything?

Conclusion

The purpose of the research study was to explore the conceptualization of principled leadership that demonstrates an ethic of care; the relationship between a leader's values/beliefs and how these characteristics and values may serve to influence his/her effectiveness as a leader, particularly within the context of change in higher education. Of prime interest was to understand the factors influencing this participant group and their ability to effectively navigate change, exploring whether love, care, and spirituality were connected to the samples' leadership approach. Discovering the internal and external environmental influences that the sample engaged in and investigating relative leadership theories was essential to understanding what influenced leadership participants. It was important to understand the current higher education challenges faced by this leadership group as a means to gain insights into the perspectives of the sample in further understanding the conceptualization of principled leadership and the viability for leadership within the context of higher education.

A cross section of leaders from Nova Scotia higher education institutions participated in a questionnaire and in interviews to provide overall perspectives towards the research questions. Through this process, the researcher was able to gather data that facilitated understandings of the conceptualization of principled leadership in higher education. It was evident in this study that participants were highly humanized working from a humanistic-type leadership similar to the conceptualization of principled leadership as proposed in this study.

The model that has emerged from this research could be useful for higher education training and curriculum development, overall professional development through professional associations, and most importantly for higher education leaders that could support professional education during all phases of learning and application supporting those on a leadership career path.

The data substantiated the theoretical literature where it was found that Nova Scotia leaders' approach included being authentic; spiritually awakened with a high moral/ethical character as well as caring and loving so as to be in service of others. The study provided evidence that current higher education leaders integrated elements of the conceptualization of principled leadership, that is, authenticity, values and morals and beliefs and love through a caring approach, and these attributes assisted them in facilitating the requisite changes to meet the challenges experienced by 21st century higher education institutions. Although there was evidence of leaders leading from a place of authenticity, love (translated into care and service), and spirituality as conceptualized in the definition of principled leadership as part of this study, spirituality was not consistent across the leadership participant group and therefore beliefs and values was integrated into the principled leadership development model.

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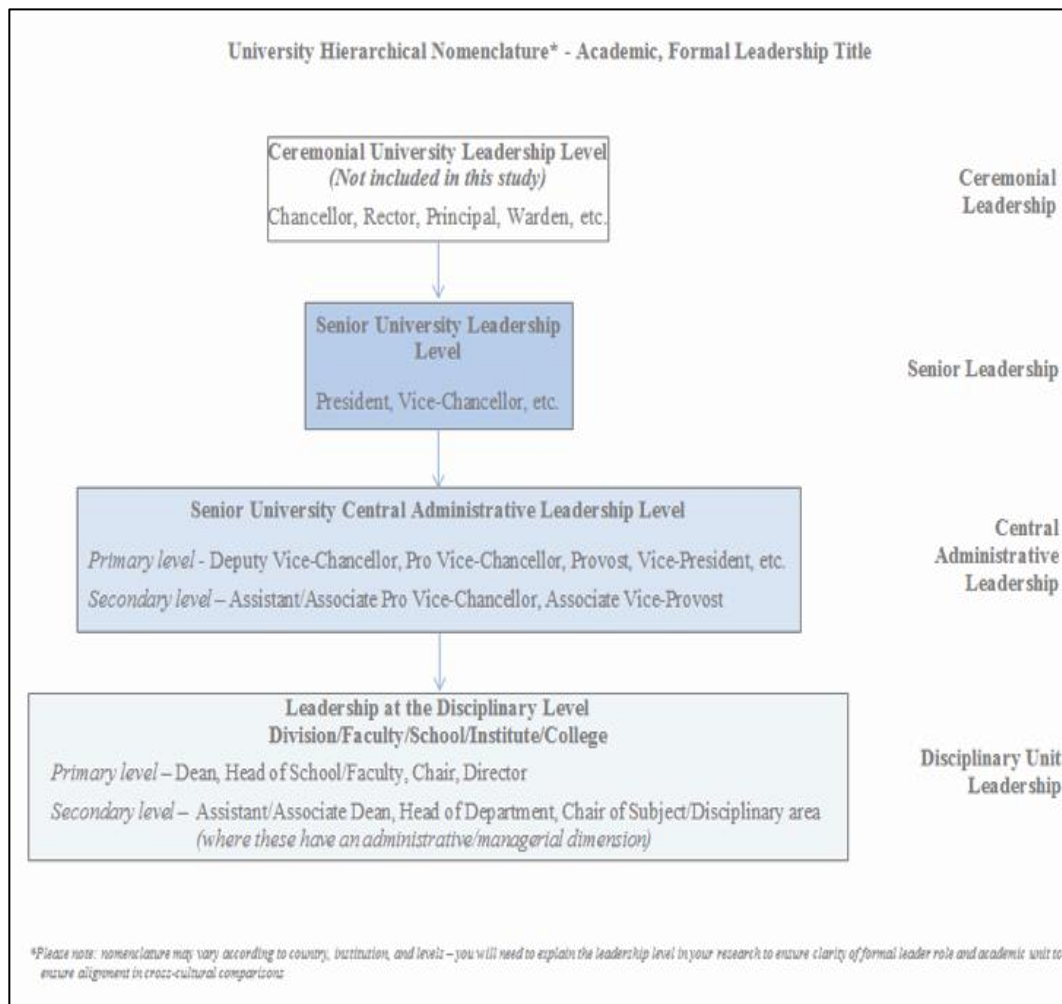
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APPENDIX A. University Hierarchical Nomenclature



Scott & Scott. 2016. University Nomenclature* Academic Formal Leadership Title.

APPENDIX B. Questionnaire. All participants

Exploring Principled Leadership in Higher Education: A Study of Presidents', Provosts', Deans', and Directors leadership approaches.

Demographics

1. How many years have you been in your current position?
 - i. In your first year ☐
 - ii. Year 2 ☐
 - iii. Year 3 ☐
 - iv. Year 4 ☐
 - v. Year 5 ☐
 - vi. More than 5 years ☐
2. Were you appointed or did you apply for the position within a competition?
 - i. Appointed ☐
 - ii. Successful in a competition ☐
 - iii. Internal competition ☐
 - iv. External competition ☐
3. My current leadership designation is:
 - i. President ☐
 - ii. President & Provost ☐
 - iii. Vice President ☐
 - iv. Vice President & Provost ☐
 - v. Vice Provost ☐
 - vi. Associate Vice President ☐
 - vii. Associate Vice Provost ☐
 - viii. Other: _____ (please specify)
4. I am responsible for the following departments:
 - i. Office of the President ☐
 - ii. Academic VP ☐
 - iii. Office of Research ☐
 - iv. International ☐
 - v. Student Affairs ☐
 - vi. Government Relations ☐
 - vii. Alumni Relations ☐
 - viii. Development ☐
 - ix. Finance ☐
 - x. Administration ☐
 - xi. Academic department ☐
 - xii. Other: _____ (please specify)
5. The following positions directly report to me:
 - i. Vice President ☐
 - ii. Associate Vice President ☐
 - iii. Assistant Vice President ☐
 - iv. Dean ☐
 - v. Director ☐
 - vi. Manager ☐
 - vii. Coordinator ☐
 - viii. Administrative staff ☐

- ix. Other: _____ (please specify)
6. My highest qualification is:
- i. Doctorate ☐
 - ii. Masters ☐
 - iii. Bachelor Degree ☐
 - iv. Other: _____ (please specify)
7. I have held the following previous leadership roles (please select as many as appropriate):
- i. Vice President ☐
 - ii. Vice Provost ☐
 - iii. Associate Vice President ☐
 - iv. Associate Vice Provost ☐
 - v. Assistant Vice President ☐
 - vi. Assistant Vice Provost ☐
 - vii. Vice Dean ☐
 - viii. Associate Dean ☐
 - ix. Head of Department ☐
 - x. Director ☐
 - xi. Manager ☐
 - xii. Other: _____ (please specify)
8. How many years of experience (in total) in other formal **leadership positions** did you have prior to taking your current position? _____ Years
9. How many years of experience within **academia** did you have prior to taking up your current position? _____ years
10. How many employees currently report to you?
- i. Under 5 ☐
 - ii. 5-10 ☐
 - iii. 10-20 ☐
 - iv. 20-40 ☐
 - v. 40-60 ☐
 - vi. 60-100 ☐
 - vii. Other _____ (please specify)
11. What aspects of leadership did your **previous role** entail? (please check all that apply)
- i. Leading people ☐
 - ii. Leading strategic planning ☐
 - iii. Creating policy and/or procedure ☐
 - iv. Budgets/financial management ☐
 - v. Fundraising & Development ☐
 - vi. Alumni relations ☐
 - vii. Communications & Marketing ☐
 - viii. External & Government relations ☐
 - ix. Conflict resolution situations ☐
 - x. Labour relations (union) issues ☐
 - xi. Staffing and Training (HR) ☐
 - xii. Guiding curriculum development ☐
 - xiii. Guiding student matters ☐
 - xiv. Leading research initiatives ☐
 - xv. Forging relationships and linkages with the community ☐
 - xvi. Creating positive staff cultures ☐
 - xvii. Other _____

12. What aspects of leadership are you currently responsible for? (please check all that apply)

- i. Leading people ☐
- ii. Leading strategic planning ☐
- iii. Creating policy and/or procedure ☐
- iv. Fundraising & Development ☐
- v. Alumni relations ☐
- vi. Communications & Marketing ☐
- vii. External & Government relations ☐
- viii. Budgets/financial management ☐
- ix. Conflict resolution situations ☐
- x. Labour relations (union) issues ☐
- xi. Staffing and Training (HR) ☐
- xii. Guiding curriculum development ☐
- xiii. Guiding student matters ☐
- xiv. Leading research initiatives ☐
- xv. Forging relationships and linkages with the community ☐
- xvi. Creating positive staff cultures ☐
- xvii. Other _____

13. As a senior leader, who are your immediate stakeholder groups? (please check all that apply)

- i. Faculty ☐
- ii. Students ☐
- iii. Administrators ☐
- iv. Student government groups ☐
- v. Government organizations ☐
- vi. NS Department of Education ☐
- vii. Alumni ☐
- viii. Labour groups ☐
- ix. Other _____

14. My previous **academic** teaching or administrative experience includes:

- i. Canada ☐
- ii. North America ☐
- iii. Europe ☐
- iv. The United Kingdom (Incl. England, Scotland, Wales, Ireland) ☐
- v. Asia (e. g. , China, Hong Kong, Singapore, Indonesia, Malaysia, Sri Lanka) ☐
- vi. Australasia (incl. Australia & New Zealand) ☐
- vii. Middle East ☐
- viii. Africa ☐
- ix. South Pacific (e. g. , Cook Islands, Fiji, New Caledonia, Solomon Islands, Tahiti, Tonga, etc.) ☐

15. Your gender is:

- i. Female ☐
- ii. Male ☐

16. Your age is: _____ years old

Leadership context. Please indicate your level of response to each question below.

	4 Strongly Agree	3 Agree	2 Somewhat Agree	1 Disagree
17. I consider myself to be an effective leader				
18. Others look to me for direction				
19. My previous leadership experience prepared me well for my current role				
20. Being a leader means that I am responsible for others				
21. I consider myself to be authentic in my leadership practice				
22. Being a leader means that I am in charge				
23. I understand the need to empower those I lead				
24. Transparency is important to me				
25. Building positive relationships with those I lead is important to me				
26. Empathy is important for effective leadership				
27. I really care about my people				
28. I embrace being challenged by those I lead				
29. Networking is important to me in my community engagement				
30. Being honest with my team is important even if it is an uncomfortable message				
31. Networking is important to my leadership career				
32. I encourage my team to question the vision				
33. I find it hard to lead people who are unproductive				
34. A charismatic leader can change the world				
35. I am a strong leader so I can empower others to be the best they can be				
36. I am only as good a leader as the effectiveness of my team				
37. Leadership is about serving not leading				
38. I have been able to shift the organizational culture from negative to positive				
39. I am a successful change agent				
40. I am a visionary leader although some may resist change				
41. My staff would describe me as a leader with 'heart'				
42. Being comfortable with difficult conversations is important for leaders				
43. It is becoming increasingly difficult to hold to my own sense of integrity when leading in the contemporary universities				

44. Please rate the extent that others would perceive your leadership approach as demonstrating or embodying the following attributes:

	4 Extensive	3 Moderately extensive	2 To some extent	1 Not at all
Effective leadership				
Foster trust				
Courageous				
Empower others				
Authentic				
Transparency				
Ethic of care				
Integrity				
Complete honesty				
Change agency				
Strong moral compass				
Kind				
Caring				
Respectful				
Encouraging				
Strong sense of identity (Knowing who I am)				
Self-reflective				
Conscientious				
Service to others				
Well balanced (reasonable)				
Mentally resilient				
Courage				
Self-efficacy (confidence & self-belief)				
Diplomacy				
Love (principled love)				

45. Rate the level of importance of each dimension in your own leadership approach. The following factors are key to my professional practice:

	4 Most Important	3 Moderately Important	2 Not Important	1 Not applicable
Effective leadership				
Guiding others to positive change				
Enabling others to develop their own capacities				
Creating a positive work culture				
Positively leading my teams through change				
Balancing central university imperatives with the day-to-day work				
Meeting the goals of the organization first				

Ensuring decisions are made with integrity				
Getting the job done				
Meeting the demands of my subordinate				
Removing/dealing with barriers and constraints to progress				
Staying abreast of global trends and moving with the times				

46. Rate the most effective interaction approach with your direct team. Rate the level of importance of each aspect compared with your own leadership approach.

Effective Leadership	3 Most important	2 Moderately Important	1 Not important
I am more likely to send an email to a staff member when I need to discuss difficult issues to ensure a paper trail			
I am more likely to discuss difficult issues in person with a staff member			
Face-to-face team conversations are more effective in creating unambiguous communication			
I engage in ongoing co-creation of vision with my team			
I work to ensure my team receives the support they require			
I have a team-centered approach to decision-making			
I work hard to ensure that those I lead understand me			
I am always honest with my team, which builds trust			
I use unilateral decision-making when appropriate			
Email is more efficient in communicating with team members			
I genuinely enjoy engaging with faculty			

47. Rate the most effective interaction approach with the broader university community. Rate the level of importance as compared to your own leadership approach.

	4 Sometimes	3 Always	2 Sometimes	1 Never
Effective leadership				
I ensure the university community is informed of important decisions, ongoing issues, and invitations to community engagement events				
I ensure collaboration on a wide-range of issues that directly impacts the university community				
I employ collaborative approaches when				

making decisions				
I use e-mail only when communicating and disseminating critical information to the university community				
I enjoy sharing positive messages and leave the negative messages for email so there can be no confusion				
I tend to use the services of an administrative assistant to field my email as I simply do not have time to do this personally				
I rarely interact with those who do not report directly to me				
It is important to me that I get to know everyone within the institution as best I can				
I treat everyone equitably regardless of their position				
Inclusivity is crucial to ensuring institutional goals are met				

48. Rate the importance of instituting change.

	4 Strongly Agree	3 Agree	2 Somewhat Agree	1 Disagree
Change is only relevant when something is wrong				
Change is a natural part of organizational design and ongoing management				
Change is necessary when instituting new policies				
Change must be must be planned, organized, directed, and controlled				
Change should happen whenever there is a major shift in senior administration				
I support change when necessary				
Change requires a transformational leader to enact				
I embrace change				
I proactively participate in SWOT analysis to ensure that change is integrated into my professional practice				
Cultural shifts begin with impactful leadership				
Institutional culture is dependent on effective change management				
Change is crucial to balancing central university imperatives while adjusting to change				
I believe the risk of change outweighs the potential of alienating my team				
I consider myself to be a successful change agent				
I engage those I believe will support change				
Change is arduous				

My change agency has been positively impacted by role models/mentors				
--	--	--	--	--

49. Rate the following Attitudes/Values as related to a leader's change agency. Please indicate your level of response to each question below.

	3 Most important	2 Moderately Important	1 Not important
trustworthiness			
credibility			
honesty			
integrity			
dependability			
consistency			
transformational			
inspirational			
ethic of care			

50. Rate the importance of the following factors in influencing institutional culture.

	3 Very important	2 Important	1 Somewhat important
Transformational leadership			
Organizational readiness			
A culture that fosters creativity			
Employee readiness			
Positive Mentorship/Role model experiences			
Leadership development			
A culture that fosters innovation			

Open Response Section: Your insights.

1. Given the definition of Principled Leadership provided, how would you describe effective leadership? What factors have influenced and informed this?
2. What has influenced your leadership approach?
3. What has influenced your interactions to be successful (direct and indirect) and why?
4. What affective dimensions of leadership are important in influencing change and culture?
5. Any other comments?

Thank You

I understand how demanding your role is and wish to sincerely thank you for taking the time to complete this questionnaire and to reiterate how valuable your insights will be in providing insights into my research study. If you have any further questions or want clarification regarding this research and/or your participation, please contact:

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Wk Telephone: 902. 789. 0928
Email: sharonblanchard@eastlink. ca

If you have any concerns about the way you've been treated as a participant, please contact the Research Ethics Analyst, Research Services Office, University of Calgary at (403) 220-4283/210-9863; email: rburrows@ucalgary. ca

APPENDIX C: Qualitative Semi-structured Interview Questions - for participants

Exploring Principled Leadership in Higher Education: A Study of Presidents', Provosts', Deans', and Directors leadership approaches.

Purpose of the Study

This study is exploring the viability of principled leadership that demonstrates an ethic of care as a university leadership theory. This research focuses on the attitudes and beliefs that are characteristic of successful higher education leaders, particularly those who have effectively navigated a change initiative. Leadership attributes will be further reviewed through discussing leadership, change management, and transformative leadership all within a change management context.

Pre-interview question

The second stage of this study involves a semi-structured interview. In order to help you prepare for this, I have provided a guiding question asking you to reflect on your leadership practice with the intention of answering the following question before the interview:

Please consider your leadership approach and reflect on how this enabled you to guide a successful change phenomenon within your university? What was pivotal about your leadership approach that made this successful? Was this a positive experience for you? With whom did you engage in order to make this a successful change implementation? And why?

Qualitative semi-structured interview questions:

Appreciative Questions:

1. What first attracted you to your current leadership position?
2. Describe a successful experience in instituting change; when you felt the most alive and energised through working with others.
3. In reflecting on your pre-interview question, can you share with me what it was that made navigating change a successful experience for you? For others? Your university?
 - a. What was it that enabled you to make a positive impact?
 - b. What made it a successful, and/or positive experience? What factors in your environment made it a successful, and/or positive experience?
4. When considering your success in instituting this change and placing modesty to one side, tell me what you value deeply?
 - a. About yourself?
 - b. When you feel you are the best version of yourself in your leadership role?

APPENDIX D. Qualitative Semi-structured Interview Questions - my use

Exploring Principled Leadership in Higher Education: A Study of Presidents', Provosts', Deans', and Directors leadership approaches.

Purpose of the Study

This study is exploring the viability of principled leadership that demonstrates an ethic of care as a university leadership theory. This research focuses on the attitudes and beliefs that are characteristic of successful higher education leaders, particularly those who have effectively navigated a change initiative. Leadership attributes will be further reviewed through discussing leadership, change management, and transformative leadership all within a change management context.

Pre-interview question

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Please consider your leadership approach and reflect on how this enabled you to guide a successful change phenomenon within your university? What was pivotal about your leadership approach that made this successful? Was this a positive experience for you? With whom did you engage in order to make this a successful change implementation? And why?

Qualitative semi-structured interview questions. Appreciative Questions (Guiding/leading/strengths-finding):

1. What first attracted you to your current leadership position?
2. Describe a successful experience in instituting change; when you felt the most alive and energised through working with others.
3. In reflecting on your pre-interview question, can you share with me what it was that made navigating change a successful experience for you? For others? Your university?
 - a. What was it that enabled you to make a positive impact?
 - b. What made it a successful, and/or positive experience? What factors in your environment made it a successful, and/or positive experience?
4. When considering your success in instituting this change and placing modesty to one side, tell me what you value deeply?
 - a. About yourself?
 - b. When do you feel you are the best version of yourself in your leadership role?

Probes to be used during interview:

Effective Leadership

1. What has influenced your understanding of effective leadership and why was this influential? What professional experiences have led to this?
2. How can leaders' beliefs impact how they (leaders) influence others?

Leadership influences Leadership approach

1. On a daily basis what influences your leadership approach?
2. How do you ensure consistency in your leadership approach? What checks and balances do you use for this, ie 360 evaluations?
3. Describe a leader who has been the most influential in shaping your leadership style? How and why?
4. How do you feel others would describe you as a leader?
5. What guides your interactions?

Direct/Indirect impact on direct subordinates/team members

1. In terms of communication with your direct subordinates/team members, describe your approach?

2. Do you employ different styles of interaction dependent on the message or action you want staff to take? And if so, how and why?
3. What guides your interactions?
4. What is the impact on the organization if people are cared for?
5. What is it about your leadership that enables you to care for others?

Change and leadership

1. What enabled you to be effective through a successful change initiative? Who were the most impactful change agents in the system? Why?
2. What challenges did you face? What did you do? How did you choose people to assist you with the change process?
3. What were your priorities? How did you get people on board? (process versus policy)
4. How did you deal with people who resisted change?
5. How successful were your efforts? What worked and what did not?
6. Was there anything specific about the situation that enabled you to be more impactful than at other times?
7. What dimensions of leadership are important in influencing change and culture?

APPENDIX E: Findings/Interpretations/Conclusions

Overarching Research Question: In exploring the viability of principled leadership that demonstrates an ethic of care as a university leadership theory, what is the relationship between leaders' knowledge and attitudes about leadership, underpinning beliefs and values, and their approaches within the context of a change process?

Findings/Research questions

Finding 1:

Courage/Conflict/Courage

Q1: What are senior university leaders' conceptualizations of effective leadership?

(Values/Attitudes/Beliefs/Actions)

Interpretations

Senior leaders acknowledge the challenges of working in university environments that requires courageous leadership, and identify role models/mentors and former leaders who positively impacted them.

Participants didn't provide a definition of effective leadership; rather they provided examples of where they observed effective leadership in action, what motivates them to be a more effective leader, and how they felt others would describe them as an effective leader.

Leaders describe effective leadership as hard work.

NS leaders are highly humanized: they work from a leadership stance rooted in integrity, authenticity, honesty, trust, courage, and respect.

Conflict, failure, being vulnerable, and making mistakes are ok. An awareness of power, equity, and social justice. Integrating humour and a healthy work

Conclusions

Higher education is challenging and requires courageous leadership. Higher Ed leaders are passionate and motivated to support those they lead.

A high correlation exists between the conceptual framework describing principled leadership and a principled leadership stance from which NS leaders operate.

like balance are key to effective leadership practice.

Finding 2: Effective Leadership Influences (Beliefs/Values)

Q2: What factors have influenced and informed these conceptualizations?

Q3: What and who has influenced their interactions (direct and indirect) with their staff? Why and how?

Q4: What and who has influenced their administrative and managerial approaches? Why and how?

(Values/Attitudes/Beliefs/Actions)

Finding 3: Navigating Change

Q1: What are senior university leaders' conceptualizations of effective leadership?

Q2: What factors have influenced and informed these conceptualizations?

Q3: What and who has influenced their interactions (direct and indirect) with their staff? Why and how?

Q4: What and who has influenced their administrative and managerial approaches? Why and how?

(Values/Attitudes/Beliefs/Actions)

Age and experience provides confidence, credibility, and the ability to be authentic, and to be an honest, effective leader.

Age, gender, and experience positively impact a leaders ability to be effective.

Communication

NS Leaders have been able to positively impact their environments through change initiatives. Overall, they feel that "change is good, it's messy but good".

NS leaders identified integrity, honesty, trustworthiness, credibility dependability, and consistency, as the most important attitudes/values related to their change agency.

Influencers have impact: "Bad bosses".

NS leaders have learned as much from those they do not want to emulate as those they do.

Women and gender

Age and experience provides confidence, credibility, and the ability to be authentic, and to be an honest, effective leader

NS leaders are innovative, collaborative, and highly communicative.

NS Leaders have been able to positively impact their environments through change initiatives. Overall, they feel that "change is good, it's messy but good".

Honest communication is essential and tied to effective leadership.

Findings 4-7

Finding 4: Authentic Leadership

Finding 5: Highly Humanized Leadership

Finding 6: Ethic of Care

Finding 7: Servant Leadership

Research Question 5: What affective dimensions of leadership are important in influencing change and culture?

(Values/Attitudes/Beliefs/Actions)

Interpretation

Respondents indicated the following characteristics: genuine, concern, self-awareness of biases, strengths and weaknesses, respect is a two-way street, show that failure is part of the process, let others take the credit, creating a calm, respectful and collaborative environment experience, collective vision, empathy, ability to inspire, empower and enable others, kindness, emotional intelligence, sense of self, confidence, humility, and resilience. In reflecting on their own leadership approach.

Human connection, passion, motivated to good, moral compass, committed, concerned, worry about their people, empathy.

Leaders are in the service of others and choose to be facilitative, enabling, and a leader who distributes responsibility.

Conclusion

Values, Attitudes, Belief, and Actions:
Strong evidence to support research claim: integrity, honesty, authenticity, morals/ethics, love, care, safety, listening, dignity, respect, humility, sincerity, genuine, trust and relationship, Spirituality-connected, in service of others

NS leaders are highly principled: they work from a leadership stance rooted in integrity, authenticity, honesty, trust, courage, and respect

APPENDIX F. Inter-Rater Reliability - codes

	A	B	C	D	E	F
	RP1	RP2	RP3	RP4	Summary	
1	Humanistic	learner	learner	conflict/opposing pts ov view can move things forward	Humanistic	
2						
3	Inquiry Mindset	Consultative	growth mindset	challenging conflict bring about change	Growth Mindset	
4	Humility	multiple perspectives	team	integrity	Integrity	
5	Servant Leadership	humility	confidence	developing people	Team	
6		commitment	change	perseverance	Commitment	
7	Listener	process oriented		optimistic	Collaboration	
8		democratic	change theme		Authentic	
9	Entertains opposing viewpoints	Community	identity	growth mindset	Trust	
0	Change	change oriented	collectivist	authentic	Honesty	
1				facilitates/collaborates	Conflict is good	
2	Democratic approach	committed	humility	humility	Humility	
3			servant leadership	conflict is good	Servant Leadership	
4	People oriented	conflict brings change	consensus		Confidence	
5		personal	committed		Change oriented	
6		process oriented	productive failure		process oriented	
7	Collaborative	collaborative	personal		relationships are imp't	
8	Engagement	bringing out the best in people, helping people reach their potential	innovations/change	team	developing people is imp't	
9		trust	truth	communication	bringing out the best in people is imp't	
0		change oriented	doing what is best for people		teacher	
1	Commitment	teacher or leader	change and humility	innovative	multiple pts of view are imp't	
2	Multiple points of view	servant leadership	leadership is a personal conflict-personalizing problems		personalized leadership	
3				challenge forced changes of behaviour	People are imp't	
4			leadership is difficult to articulate? Is it a set of behaviours? Is it about context?	confidence	People oriented	
5		communication	inner conflict/turmoil		flexibility is imp't	
6	Leadership is personal	relationships	developing people	people oriented	adaptability is imp't	
7		time pressures	people, it's about people	people learn from bad leaders. Vicarious modelling shapes of leadership	Investing in people	
8			experiences/values shape decisions		self regulated	
9	community	flexibility/adaptability	authenticity	servant leader	learn through others behaviour	
0			confidence	authentic	consultative	
1			trust	flexible	I am a listener	
2		investing in people		trust	engagement is key	
3	personalizing		its about people		community	

APPENDIX G. Qualitative data

Reflections on own leadership:	Change	What do you value about yourself in your leadership role	Influences. Attributes of a leader who influenced you.	Impact of leader's beliefs
So I've had a couple of these things in life that really challenged me and, but they've been such important learning lessons in growth, in personal growth for me that I was able to get to improve my communication but also empathy and those things I try to also use in my in my professional life as well.	Unfortunately change in this institution is extremely difficult or frustrating and takes a long time. However, where I've been in change management in the private world, it was exciting, quick, it was a can do list, lets get it done	<i>honesty</i> , and one of the things <i>is lay it on the table, lay the cards on the table</i> when you when you lay the cards on the table whether people like it or not, at least then you know what you're dealing with.	<i>communicate number one, non-judgmental</i> are also the ones that <i>recognize the champions</i> , and let them and they let those champions and team players do their work. You know <i>empower</i> them again and then be there for support.	Huge. Huge. So their beliefs, their <i>morality</i> , their right from wrong, play huge into, their <i>foundational beliefs</i> are huge in leadership.
So I'm on a learning curve. I always try to learn and now I find I don't have a lot of time to take courses but I take these little snippets here and there you know you need stuff and probably one of the best courses or lessons I've learned outside of work on a personal level, I, the communication techniques with dealing with family issues and I have brought those into the business, my business world. I use them every day now and I'm trying	I sort of thrive on change. One of the things that is probably the engineer in me is there's always going to be a better way to do things, and to speed things up, and make it more productive	it really gets back to <i>communication</i> , instead of dancing around issues or dance around communication, or even issues or problems, because people do not like to deal with negative aspects or difficult communicating	with that communication also comes the vision and 'here's what we are, and here's what we do, how we do it. And here is where we have to go'.	you hear so many stories of course, you hear more of the negative stories of leaders where whether it's in the financial crash or politicking, or whatever, of course, you don't hear enough of the good ones. So the ones that have been really poor that I've read about, their belief system and their morality system is off kilter it's more self-centred and driven by some other factors. Perhaps money, greed whatever, you know! And a lack respect I

APPENDIX H. Qualitative responses – emergent concepts

Effective leadership insights	Influences. Attributes of a leader who influenced you.	Impact of leader's beliefs
<p>Observing. I think just watching how other people do it and watching how people respond to that leadership style has taught me a lot.</p>	<p>Family. Father. my father Probably. so my dad was a vice principal. So in that respect. He did have kind of a leadership position ... fairly high expectations but always at the same time wasn't freaking out if you were not necessarily meeting those expectations ... he said 'good, everybody needs to fail' ...that failure is a part of learning a very important part of learning that it's all about moving past that</p>	<p>being really confident in your convictions and stand them. You know you have to have respect for people do that or who are able to convey that. I guess that problem if their beliefs don't necessarily happen to correspond to what your beliefs are, what other people's beliefs are</p>
<p>Respect.Honesty. Willingness. I've seen leaders that we that we have now for instance here at the university, a lot of them who do seem to have the respect of other people and it is that willingness to answer questions, willingness to be perfectly honest and willingness to say thank you but the decision is this anyway, I think has made all the difference in the world.</p>	<p>Father. calm and very quiet, so not someone who yells, not someone who bullies, not someone who you know says 'you do this or else', kind of thing, but clearly had a way of letting others know when he was disappointed, but not in a really obvious way.</p>	<p>Morals & Ethics. I guess it has to be part of your leadership style I mean you've got your morals and your ethical code in you're hoping you're going to stick to</p>
<p>Consultative. that consultative process and watching them, people</p>	<p>Father. Failure is ok. There's nothing to be gained by getting angry with people, getting disappointed in people is really powerful, but you also have move on and learning from failure is more important and then the failure itself.</p>	
<p>RP26 RP27 RP28 RP29 RP30 RP31 RP32 RP33 +</p>		
Effective leadership insights	Influences. Attributes of a leader who influenced you.	Impact of leader's beliefs
<p>Observing. I think just watching how other people do it and watching how people respond to that leadership style has taught me a lot.</p>	<p>Family. Father. my father Probably. so my dad was a vice principal. So in that respect. He did have kind of a leadership position ... fairly high expectations but always at the same time wasn't freaking out if you were not necessarily meeting those expectations ... he said 'good, everybody needs to fail' ...that failure is a part of learning a very important part of learning that it's all about moving past that</p>	<p>being really confident in your convictions and stand them. You know you have to have respect for people do that or who are able to convey that. I guess that problem if their beliefs don't necessarily happen to correspond to what your beliefs are, what other people's beliefs are</p>
<p>Respect.Honesty. Willingness. I've seen leaders that we that we have now for instance here at the university, a lot of them who do seem to have the respect of other people and it is that willingness to answer questions, willingness to be perfectly honest and willingness to say thank you but the decision is this anyway, I think has made all the difference in the world.</p>	<p>Father. calm and very quiet, so not someone who yells, not someone who bullies, not someone who you know says 'you do this or else', kind of thing, but clearly had a way of letting others know when he was disappointed, but not in a really obvious way.</p>	<p>Morals & Ethics. I guess it has to be part of your leadership style I mean you've got your morals and your ethical code in you're hoping you're going to stick to</p>
<p>Consultative. that consultative process and watching them, people</p>	<p>Father. Failure is ok. There's nothing to be gained by getting angry with people, getting disappointed in people is really powerful, but you also have move on and learning from failure is more important and then the failure itself.</p>	
<p>RP26 RP27 RP28 RP29 RP30 RP31 RP32 RP33 +</p>		

APPENDIX I. Frequency codes: MS Word doc

Key words	Frequency count	Key points/direct phrases	Emerging themes	Impact when people are cared for:	Reflections on own leadership:
listening leadership/listen/listen thoughtfully	18	sometimes some of the directions you may be setting may actually be wrong and so the resistance is important,	Motivation: opportunity to engage learning in a learning environment, and so for me there are some really fundamental pieces that motivate me; they are about students, they're about inquiry, about discovery, and about being part of an institution that values those things. Less about delivering a product and more about creating an environment in that and so to lead inside that is the thing that motivates me	It means that people will commit , they see themselves in the directions of the organization, and they are prepared therefore to buy-in and indeed to have faith in the directions that leadership is setting because they see themselves in that, they see that the institution cares for their ideas. We could interpret cared for in many ways, it could be simply do we have a health care plan that cares for people, it could also be "do people listen to my opinions", it could be "do I see myself in the organization" and I think this organization has tremendous strength here, we see ourselves as a community and that's extremely helpful in terms of leading a community. If people didn't see themselves as being cared for in the community, that would be a tremendous impediment to both leadership and change.	I'm a people person, any sort of leadership analysis that I've done would put me on very high on elements of personal and symbolic leadership probably quite low on structural leadership. I'm less concerned about whether we have issued the right policy. I'm not going to hang up on that, I am much more concerned about how we build personal relationship to encourage learning overall. So for me it's actually a highly personalized piece and that has both positives and negatives. Positives in terms of a tremendous level of passion and engagement and negatives because you do tend to personalize a lot of that
respect	2	the motivation that keep you alive as you put it energized, so it's less about you as a leader individually and more about others picking up on ideas and cycling them back and incorporating.	I'm motivated by wanting to be genuine and which is easy to do if you can be motivated by passion because I don't think you can really put passion on. so I need to be able to have	My sense is demonstrating their passion and commitment . Listening , demonstrating interest in multiple perspectives and viewpoints, even just demonstrating that someone has been heard can often be a tremendous leadership skill.	Universities actually have to make space for those who are working outside the frame all the time. So how do you deal with that can be very challenging because the tendency is to push back and to do it and create conflict. My approach on it is to demonstrate that I'm listening, demonstrate that I value it, but to be able to say that I disagree and I think that's something that I hope I can bring to that equation of leadership and so do I agree

APPENDIX J. Frequency counts.

Respect	respect for others	26	79%
Honesty	attribute	20	61%
Trust	attribute	19	58%
Integrity	attribute	15	45%
Human/People	how I refer to others	14	42%
Authenticity	attribute	14	42%
Engage	verb	14	42%
Listening	verb	12	36%
Team	noun	12	36%
Genuine		12	36%
Enable		10	30%
Exciting		11	33%
Communication		11	33%
Energy/Energized		11	33%
Values	attribute/foundation of leadership	10	30%
Create/Creative	verb	10	30%
Consultative/Collaborative	form of leadership	9	27%
Passionate	attribute of leadership	9	27%
Value/Valued	place value/ importance	9	27%
Humility	an attribute	9	27%
Caring/Care	an attribute/value	8	24%
Christian/Spiritual/Soul	a foundation	9	27%
Relationship	integral to leadership practice	7	21%
Opportunity	an adjective	7	21%
Support/ed	a value	7	21%
Love	an attribute, foundation	7	21%
Serve/Service	a verb, lead through service	7	21%
Vulnerability	an attribute/value	7	21%
Principles/d	values/attributes	6	18%
Mentoring	form of leadership	6	18%

APPENDIX K. Qualitative data – frequency codes: cumulative

	passionate	listening	respect	trust	Values	Human/People	Principles/d	team	communication	honest/honesty	Authenticity	consultative/collaborative	committed/commitment	re
RP1	1	1	1	1								1	1	
RP2			2	1				1	1	1			1	
RP3										1	1			
RP4			1	1		1								
RP5	1			1						1				
RP6			1	1						1			1	
RP7			1	1				1		1				
RP8			1	1		1				1	1			
RP9	1	1	2		1	1	1	1	1	1	1			
RP10	1		1			1						1	1	
RP11			1	1			1	1		1				
RP12			2		1			1			1			
RP13		1												
RP14			1	1		1		1	1	1				
RP15	1	1	1	1	1	1	1	1	1	1	1	1		
RP16			1	1	1	1	1	1	1	1			1	
RP17			1		1	1				1	1			
RP18		1	1		1		1		1	1				
RP19	1	1		1	1	1	1	1	1	1	1			
RP20				1		1				1				
RP21			1	1				1	1	1			1	
RP22	1	1	1	1		1		1	1	1		1		
RP23	1		1			1		1	1		1			
RP24				1								1		
RP25		1	1	1								1		
RP26	1			1				1	1		1			
RP27			1	1	1	1					1	1		
RP28			1	1	1		1			1	1			
RP29			1		1				1		1	1		
RP30		1								1				
RP31		1	1			1				1	1			
RP32		1	1				1							
RP33		1								1				
	9	12	26	19	10	14	6	12	11	20	14	9	5	

APPENDIX L. Frequency codes: reduced

	passionate	listening	respect	trust	Values	Human/People	Principles/d	team	communication	honest/honesty	Authenticity	consultative/collaborative	committed/commitment	re
RP1	1	1	1									1		1
RP2			2	1				1	1	1				1
RP3										1	1			
RP4			1	1		1								
RP5	1			1						1				
RP6			1	1						1				1
RP7				1				1		1				
RP8			1	1		1				1	1			
RP9	1	1	2		1	1	1	1	1	1	1			
RP10	1		1			1						1		1
RP11			1	1			1	1	1		1			
RP12			2		1			1			1			
RP13		1												
RP14			1	1		1		1	1	1				
RP15	1	1	1	1	1	1	1	1	1	1	1	1		
RP16			1	1	1	1	1	1	1	1	1			1
RP17			1		1	1			1	1	1			
RP18		1	1		1	1	1		1	1	1			
RP19	1	1		1	1	1	1	1	1	1	1			
RP20				1		1				1				
RP21			1	1				1	1	1			1	
RP22	1	1	1	1		1		1	1				1	
RP23	1		1			1		1	1			1		
RP24				1							1			
RP25		1	1	1									1	
RP26	1			1	1			1	1		1			
RP27			1	1	1	1					1	1		
RP28			1	1	1		1			1	1			
RP29			1		1				1		1	1		
RP30		1								1				
RP31		1	1			1				1	1			
RP32		1	1				1							
RP33		1								1				
	9	12	26	19	10	14	6	12	11	20	14	9	5	

APPENDIX M. Qualitative data: clusters

Outliers	I like a challenge	Facilitator	Consultative/consultation	commitment/commitment	exciting	energy/enraged	creative	opportunities	Having perspective is imp't to me	enable others	motivate	I am a risk taker	calm	connection	supportive	mentorship	sense of humour/ is important	Confident	I am a visionary	To appreciate	transparent	accountable	auth
Attributes of a Servant Leader/in service to others	respect	Values respectful relationships	Leadership begins with building trust	Valuing & Respecting other viewpoints	Humanity/human connection	honest	Contributing/ Making a positive impact	inspire	Hardworking	Being truthful/auth	team work	encouraging	servant leader	Help	Serve/Serve	Serve from behind	Courage/courageous	Flexible	humility	Dignity	ethics/morals	Moral compass	
Attributes of Moral/Spiritual Leader	enable others	Motivated to be genuine	calm	Spirit as energy	Christian influence	Heart	Believe	Being truthful/auth	Being mindful	spiritual	humility	Dignity	I try to be compassionate	Soul									
Attributes of Moral/Ethical Leader	respect	Grounded in my values	honest	Value/Valued	Spirit as energy	Christian influence	Heart	Being truthful/auth	accountable	ethics/morals	compassion	Social action/engagement											
Attributes of a Love & Caring Leader	I have a passion for helping others	Importance of being passionate	Listening demonstrates care	Being thoughtful is important	Mutual respect is important	people trust me	trust others	Valuing	People are valued	build trust within my team	team	engage everyone in process	empathy for others	Create Opportunity	Grace/graciousness	I try to be supportive	Love is integral to leadership	love the people I work with	Lead from a place of kindness	Approach leadership through Care	Caring/cares/ care about others	perseverance/perseverance	em
Leader rooted in identity	recognize others	Values respectful relationships	Invest in others	Grounded in my values	People are valued	Humanity/human connection	Humanity/Humanity lives	Consultative engagement	Integrity	enabling leadership/enable others	Openness/open dialogue	Make connections for people/Connect others	I value Equity	Humble/humble	compassion	empower others	real	Being inclusive is important to me	accountable	ethics/morals	Awareness of ego	val	ty
Attributes of Authentic leadership	emotional	engagement of others	Respect	respect	Values respectful relationships	trust as a cornerstone and foundation	people trust me	Valuing & Respecting other viewpoints	Being authentic is important to me	Collaborative/Collaboration	building the relationships	Lead by passionate engagement	engage everyone in process	openness & multiple points of view	Motivated to be genuine/Being Genuine	I try to be positive/positive impact	I am an optimist	Being truthful/auth	real	transparent	sincere	feel	I try to connect
	I have a passion for helping others	Importance of being passionate	engagement of others	Listening demonstrates care	listening	recognize others	Being thoughtful is important	Respect others	respect	Values respectful relationships	invest in others	I like a challenge	Mutual respect is important	trust	people trust me	trust as a cornerstone and foundation	leadership begins with building trust	build trust	trust others	Valuing & Respecting other viewpoints	value in building a team	Grounded in my values	My/
RP1		1	1	1	1	1	1			1	1		1							1			
RP2			1														1	1		1		1	
RP3				1															1				1
RP4										1	1												
RP5		1																		1			
RP6				1						1	1	1						1	1	1			1
RP7			1	1						1	1					1	1			1			
RP8					1					1	1			1						1			
RP9		1	1			1	1			1	1	1				1					1	1	1
RP10		1																					
RP11				1						1	1	1				1	1			1			
RP12								1		1			1								1		

APPENDIX N. Qualitative data: frequency counts (including outliers)

[illegible]

APPENDIX O. Email Script – Introduction to the study, presidents

Date

Dear []

Re: Invitation to participate in the following research study: *Exploring Principled Leadership in Higher Education: A Study of Presidents', Provosts', Deans', and Directors' successful leadership approaches in establishing change.*

My name is Sharon Blanchard. I am currently a graduate student in the Werklund School of Education at the University of Calgary, completing requirements for a Doctor of Education degree. I am conducting research about principled leadership in higher education which demonstrates an ethic of care as a potentially viable university leadership theory. This research focuses on the attitudes and beliefs that are characteristic of successful higher education leaders, particularly those who have effectively navigated a change initiative. Leadership attributes will be further explored by discussing leadership in general and transformational leadership specifically especially within a change phenomenon in the university.

The research participants in this study will include higher education leaders at various levels in the university sector (Presidents, Vice Presidents, Associate Vice-Presidents, Assistant Vice-Presidents, Deans and Directors), in Nova Scotia. For the purpose of the study, I will use a mixed methodology approach for data collection (including a questionnaire and interviews), and analysis. This will involve a discovery of the attributes/characteristics of leaders and what it is that enables them to positively impact work cultures as well as the attitudes and behaviours of those they lead. I will examine how leaders approach change processes and to investigate how leaders influence others.

You were identified as a successful university leader, so I would like to invite you to participate in my research to share your insights about successful change agency and the knowledge and skills you have found to be essential for success. I am also writing to seek your support and advice in selecting research participants from your leadership team. With your permission, I would like to invite members to participate in the study to gain their unique insights at this stage of their administrative career.

Data collection will involve two stages. Stage one involves a questionnaire, which is designed for participants to answer questions directly related to their leadership approach. The data collected through the use of questionnaires in the first stage will inform the questions to be used in the interview phase of the research. Stage two will involve semi-structured interviews, which will enable participants to share their experiences of successful leadership within a change process. As part of the interview process participants will be asked to be audio taped. This will be optional and participants will have the opportunity to decline to be audio taped.

It is important to note that participation in this study is entirely voluntary and anonymity and confidentiality is assured for both individuals and the institutions. This study is not funded by [participant's institution] and the decision to participate will have no bearing on your relationship with [participant's institution].

This research has been approved by the University of Calgary's Conjoint Faculties Research Ethics Board. If you have any questions about this research, please contact Dr. Shelleyann Scott (supervisor) at (403) 220-5694; email sscott@ucalgary.ca or a Research Ethics Analyst, at Research Services Office, University of Calgary at (403) 220-4283/210-9863; email cfreb@ucalgary.ca.

Thank you for your time. I will be contacting you within one to two weeks to inquire regarding your willingness to be part of this study and to answer any questions you may have.

Warm regards,

Sharon Blanchard
Werklund School of Education
University of Calgary
Alberta, Canada

APPENDIX P. Email Script – senior management team

Date

Dear []

Re: Invitation to participate in the following research study: Exploring Principled Leadership in Higher Education: A Study of Presidents', Provosts', Deans', and Directors' successful leadership approaches in establishing change.

My name is Sharon Blanchard. I am currently a graduate student in the Werklund School of Education at the University of Calgary, completing requirements for a Doctor of Education degree. I am conducting research about principled leadership in higher education which demonstrates an ethic of care as a potentially viable university leadership theory. This research focuses on the attitudes and beliefs that are characteristic of successful higher education leaders, particularly those who have effectively navigated a change initiative. Leadership attributes will be further explored by discussing leadership in general and transformational leadership specifically especially within a change phenomenon in the university.

The research participants in this study will include higher education leaders at various levels in the university sector in Nova Scotia. For the purpose of the study, I will use a mixed methodology approach for data collection (including a questionnaire and interviews), and analysis. This will involve a discovery of the attributes/characteristics of leaders and what it is that enables them to positively impact work cultures as well as the attitudes and behaviours of those they lead. I will examine how leaders approach change processes and to investigate how leaders influence others.

You were identified as a successful university leader, so I would like to invite you to participate in my research to share your insights about successful change agency and the knowledge and skills you have found to be essential for success.

Data collection will involve two stages. Stage one involves a questionnaire, which is designed for participants to answer questions directly related to their leadership approach. The data collected through the use of questionnaires in the first stage will inform the questions to be used in the interview phase of the research. Stage two will involve semi-structured interviews, which will enable participants to share their experiences of successful leadership within a change process. As part of the interview process participants will be asked to be audio taped. This will be optional and participants will have the opportunity to decline to be audio taped.

It is important to note that participation in this study is entirely voluntary and anonymity and confidentiality is assured for both individuals and the institutions. This study is not funded by [participant's institution] and the decision to participate will have no bearing on your relationship with [participant's institution]. The [name of institution] President, [name of president]'s input was sought on potential participants for the study but s/he will not be informed of who ultimately decided to participate.

This research has been approved by the University of Calgary's Conjoint Faculties Research Ethics Board. If you have any questions about this research, please contact Dr. Shelleyann Scott (supervisor) at (403) 220-5694; email sscott@ucalgary.ca or a Research Ethics Analyst, at Research Services Office, University of Calgary at (403) 220-4283/210-9863; email cfreb@ucalgary.ca.

Thank you for your time. I will be contacting you within one to two weeks to inquire regarding your willingness to be part of this study and to answer any questions you may have.

Warm regards,

Sharon Blanchard
Werklund School of Education
University of Calgary
Alberta, Canada

APPENDIX Q. Email script for the invitation to participate in the questionnaire - presidents

Dear [Name]

Date

Re: Invitation to participate in the following research study: *Exploring Principled Leadership in Higher Education: A Study of Presidents', Provosts', Deans', and Directors' leadership approaches.*

I am writing to invite you to share your insights about your successful leadership approach in guiding a change initiative including the knowledge, skills and attributes/attitudes that promoted your successful leadership. Can I ask you to consider completing this questionnaire found at the following link [include link here] which will be open from [include opening dates here].

Purpose of the study

This study is exploring the viability of principled leadership that demonstrates an ethic of care as a university leadership theory. This research focuses on the attitudes and beliefs that are characteristic of successful higher education leaders, particularly those who have effectively navigated a change initiative. Leadership attributes will be further reviewed through discussing leadership, change, and transformative leadership all within a changing university context.

It is important to note that participation in this study is entirely voluntary and confidentiality and anonymity for the individuals and the institutions are assured. This research has been approved by the Conjoint Faculties Research Ethics Board. This study is not funded by [participant's institution] and the decision to participate will have no bearing on your relationship with [participant's institution].

If you have any concerns about the way you've been treated as a participant, please contact the Research Ethics Analyst, Research Services Office, University of Calgary at (403) 220-4283/210-9863; email cfreb@ucalgary. ca.

The researcher is Sharon Blanchard
Wk: 902. 789. 0928
Email: sharonblanchard@eastlink. ca

Warm regards,

Sharon Blanchard
Werklund School of Education
University of Calgary
Alberta, Canada

APPENDIX R. Email Script: Invitation to participate in the questionnaire – senior management team

Dear [Name]

Date

Re: Invitation to participate in the following research study: Exploring Principled Leadership in Higher Education: A Study of Presidents', Provosts', Deans', and Directors' leadership approaches.

I am writing to invite you to share your insights about your successful leadership approach in guiding a change initiative including the knowledge, skills and attributes/attitudes that promoted your successful leadership. Can I ask you to consider completing this questionnaire found at the following link [include link here] which will be open from [include opening dates here].

Purpose of the study

This study is exploring the viability of principled leadership that demonstrates an ethic of care as a university leadership theory. This research focuses on the attitudes and beliefs that are characteristic of successful higher education leaders, particularly those who have effectively navigated a change initiative. Leadership attributes will be further reviewed through discussing leadership, change, and transformative leadership all within a changing university context.

It is important to note that participation in this study is entirely voluntary and confidentiality and anonymity for the individuals and the institutions are assured. This study is not funded by [participant's institution] and the decision to participate will have no bearing on your relationship with [participant's institution]. The [name of institution] President, [name of president]'s input was sought on potential participants for the study but s/he will not be informed of who ultimately decided to participate. This research has been approved by the Conjoint Faculties Research Ethics Board.

If you have any concerns about the way you've been treated as a participant, please contact the Research Ethics Analyst, Research Services Office, University of Calgary at (403) 220-4283/210-9863; email cfreb@ucalgary. ca. The researcher is Sharon Blanchard
Wk: 902. 789. 0928
Email: sharonblanchard@eastlink. ca

Warm regards,

Sharon Blanchard
Werklund School of Education
University of Calgary
Alberta, Canada

APPENDIX S. Interview consent form: Presidents

Name of Researcher, Faculty, Department, Telephone & Email:

Sharon Blanchard (University of Calgary)

Wk: 902. 789. 0928

Email: sharonblanchard@eastlink.ca

Werklund School of Education

Faculty of Education

University of Calgary

2500 University Drive, NW

Calgary, T2N1N4

Alberta, Canada

Title of Project: *Exploring Principled Leadership in Higher Education: A Study of Presidents', Provosts', Deans', and Directors' leadership approaches.*

This consent form, a copy of which has been given to you, is only part of the process of informed consent. If you want more details about something mentioned here, or information not included here, you should feel free to ask. Please take the time to read this carefully and to understand any accompanying information.

The University of Calgary's Conjoint Faculties Research Ethics Board has approved this research study.

Purpose of the Study:

This study is exploring the viability of principled leadership that demonstrates an ethic of care as a leadership theory for the university sector. This research focuses on the attitudes and beliefs that are characteristic of successful higher education leaders, particularly those who have effectively navigated a change initiative. Leadership attributes will be further reviewed through discussing leadership, change, and transformative leadership, all within a complex and changing university context.

The research participants in this study will be comprised of successful higher education leaders working in the university sector in Nova Scotia. For the purpose of the study, I will use a mixed methodology approach for data collection (including a questionnaire and interviews) and analysis. This will involve a discovery of the knowledge, skills, and attributes leaders have that enables them to positively impact their work cultures as well as the attitudes and behaviours of those they lead. I will be asking leaders to share their insights about what has facilitated their success in leading a complex change initiative.

What Will I Be Asked To Do?

As a voluntary participant in this research, you are invited to participate in a face-to-face interview, which will be focused on discussing your successful leadership experiences within a change process. You will be asked about your perceptions of the knowledge, skills and attributes/attitudes and your approaches you felt influenced your capacity to positively enact change and to impact your staff.

The interview is expected to take around 60 minutes, and will take place at an agreed upon time on (date and time). Ideally, interviews will be audio recorded dependent on your agreement, and will be stored as digital files on computer that will be used for data storage and processing in this study. Once the study is completed the raw data will be deleted.

Participation in the interview phase is completely voluntary. You may refuse to participate in the study altogether or may withdraw from the study at any time without penalty. You are also free to decline to answer any question at any time. This study is not funded by [participant's institution], and the decision to participate will have no bearing on your relationship with [participant's institution].

What Type of Personal Information Will Be Collected?

Should you agree to participate in the study select demographics will be recorded, such as, your age, gender, academic level, appointment process. However, all study data will be reported in an aggregated form and no personally identifying information will be included in study reports. Confidentiality and anonymity is assured. There will be no remuneration or compensation for participating in this study. Participants will be asked to be audiotaped. This is optional. Please indicate your permission below:

I grant permission to be audio taped: yes:___ no:___

What Happens to the Information I Provide?

Participation is completely voluntary and confidential. You are free to discontinue participation at any time during the study. No one except the researcher and the researcher's advisor, Dr. Scott will be allowed to see or hear any of the written or digital recordings of your participation. Study findings will be summarized for any scholarly presentation or publication of results. Study data will be kept in a locked office only accessible by the researchers. Data will be destroyed after two years. Should a participant wish to withdraw from the study the data will be destroyed within two weeks of withdrawal. Participants will have one month in which to withdraw following the interview/data collection.

Signatures (written consent)

Your signature on this form indicates that you 1) understand to your satisfaction the information provided to you about your participation in this research project, and 2) agree to participate as a research subject. In no way does this waive your legal rights nor release the investigators, sponsors, or involved institutions from their legal and professional responsibilities. You are free to withdraw from this research project at any time. You should feel free to ask for clarification or new information throughout your participation.

Participant's Name: *(please print)* _____

Participant's Signature _____ Date: _____

Researcher's Name: *(please print)* Sharon Blanchard

Researcher's Signature: _____ Date: _____

Questions/Concerns

If you have any further questions or want clarification regarding this research and/or your participation, please contact:

Sharon Blanchard
 Werklund School of Education
 University of Calgary
 2500 University Drive NW
 Calgary AB T2N 1N4
 Wk Telephone: 902. 789. 0928
 Email: sharonblanchard@eastlink.ca

If you have any concerns about the way you've been treated as a participant, please contact an Ethics Resource Officer, Research Services Office, University of Calgary at (403) 210-9863; email: cfreb@ucalgary.ca

APPENDIX T. Interview consent form: Senior management team

Name of Researcher, Faculty, Department, Telephone & Email:

Sharon Blanchard (University of Calgary)

Wk: 902. 789. 0928

Email: sharonblanchard@eastlink.ca

Werklund School of Education

Faculty of Education

University of Calgary

2500 University Drive, NW

Calgary, T2N1N4

Alberta, Canada

Title of Project: *Exploring Principled Leadership in Higher Education: A Study of Presidents', Provosts', Deans', and Directors' leadership approaches.*

This consent form, a copy of which has been given to you, is only part of the process of informed consent. If you want more details about something mentioned here, or information not included here, you should feel free to ask. Please take the time to read this carefully and to understand any accompanying information. The University of Calgary's Conjoint Faculties Research Ethics Board has approved this research study.

Purpose of the Study:

This study is exploring the viability of principled leadership that demonstrates an ethic of care as a leadership theory for the university sector. This research focuses on the attitudes and beliefs that are characteristic of successful higher education leaders, particularly those who have effectively navigated a change initiative. Leadership attributes will be further reviewed through discussing leadership, change, and transformative leadership, all within a complex and changing university context.

The research participants in this study will be comprised of successful higher education leaders working in the university sector in Nova Scotia. For the purpose of the study, I will use a mixed methodology approach for data collection (including a questionnaire and interviews) and analysis. This will involve a discovery of the knowledge, skills, and attributes leaders have that enables them to positively impact their work cultures as well as the attitudes and behaviours of those they lead. I will be asking leaders to share their insights about what has facilitated their success in leading a complex change initiative.

What Will I Be Asked To Do?

As a voluntary participant in this research, you are invited to participate in a face-to-face interview, which will be focused on discussing your successful leadership experiences within a change process. You will be asked about your perceptions of the knowledge, skills and attributes/attitudes and your approaches you felt influenced your capacity to positively enact change and to impact your staff.

The interview is expected to take around 60 minutes, and will take place at an agreed upon time on (date and time). Ideally, interviews will be audio recorded dependent on your agreement, and will be stored as digital files on computer that will be used for data storage and processing in this study. Once the study is completed the raw data will be deleted.

Participation in the interview phase is completely voluntary. You may refuse to participate in the study altogether or may withdraw from the study at any time without penalty. You are also free to decline to answer any question at any time. This study is not funded by [participant's institution] and the decision to participate will have no bearing on your relationship with [participant's institution]. The President's, [participant's institution] input was sought on potential participants for the study but he/she will not be informed of who ultimately decided to participate.

What Type of Personal Information Will Be Collected?

Should you agree to participate in the study select demographics will be recorded, such as, your age, gender, academic level, appointment process. However, all study data will be reported in an aggregated form and no personally identifying information will be included in study reports. Confidentiality and anonymity is assured. There will be no remuneration or compensation for participating in this study. Participants will be asked to be audiotaped. This is optional. Please indicate your permission below:

I grant permission to be audio taped: yes:___ no:___

What Happens to the Information I Provide?

Participation is completely voluntary and confidential. You are free to discontinue participation at any time during the study. No one except the researcher and the researcher's advisor, Dr. Scott will be allowed to see or hear any of the written or digital recordings of your participation. Study findings will be summarized for any scholarly presentation or publication of results. Study data will be kept in a locked office only accessible by the researchers. Data will be destroyed after two years. Should a participant wish to withdraw from the study the data will be destroyed within two weeks of withdrawal. Participants will have one month in which to withdraw following the interview/data collection.

Signatures (written consent)

Your signature on this form indicates that you 1) understand to your satisfaction the information provided to you about your participation in this research project, and 2) agree to participate as a research subject. In no way does this waive your legal rights nor release the investigators, sponsors, or involved institutions from their legal and professional responsibilities. You are free to withdraw from this research project at any time. You should feel free to ask for clarification or new information throughout your participation.

Participant's Name: *(please print)* _____

Participant's Signature _____ Date: _____

Researcher's Name: *(please print)* Sharon Blanchard

Researcher's Signature: _____ Date: _____

Questions/Concerns

If you have any further questions or want clarification regarding this research and/or your participation, please contact:

Sharon Blanchard
 Werklund School of Education
 University of Calgary
 2500 University Drive NW
 Calgary AB T2N 1N4
 Wk Telephone: 902. 789. 0928
 Email: sharonblanchard@eastlink.ca

If you have any concerns about the way you've been treated as a participant, please contact an Ethics Resource Officer, Research Services Office, University of Calgary at (403) 210-9863; email: cfreb@ucalgary.ca

APPENDIX U. Letter from president to their senior management team

Dear [participants name/group name]

Date

I am writing to encourage your participation in the following research study entitled, “***Exploring Principled Leadership in Higher Education: A Study of Presidents’, Provosts’, Deans’, and Directors’ leadership approaches***”. I have met with the researcher and have provided her with insights regarding our leadership team here at (name of institution). As well, I have provided her with information to contact you directly.

This study is exploring the viability of principled leadership that demonstrates an ethic of care as a university leadership theory. This research focuses on the attitudes and beliefs that are characteristic of successful higher education leaders, particularly those who have effectively navigated a change initiative. Leadership attributes will be further reviewed through discussing leadership, change, and transformative leadership all within a changing university context.

It is important to note that participation in this study is entirely voluntary and confidentiality and anonymity for the individuals and the institutions are assured. This study is not funded by [participant’s institution] and the decision to participate will have no bearing on your relationship with [participant’s institution]. The [name of institution] President, [name of president]’s input was sought on potential participants for the study but s/he will not be informed of who ultimately decided to participate. This research has been approved by the Conjoint Faculties Research Ethics Board.

The researcher is Sharon Blanchard. Sharon will be directly contacting you within the next few days.

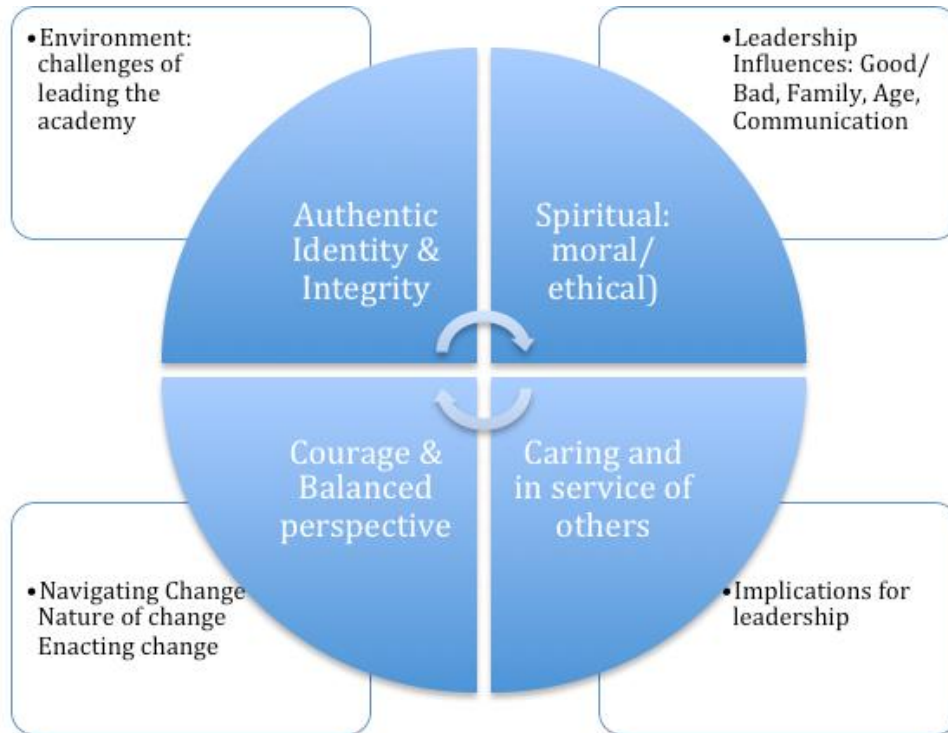
Sincerely,

President’s name
Institution

APPENDIX V: The conceptualization of principled leadership as compared to the emergent attributes of leadership participants

Pseudonym	Authentic	Spiritual (Moral/ Ethical)	Love and Care	Service	PL Construct 1: Low 2-3: Med 4: High
RP1	1	1	1	1	High
RP2	1		1		Med
RP3	1	1	1		Med
RP4	1		1	1	Med
RP5	1	1	1		Med
RP6	1	1	1	1	High
RP7	1		1		Med
RP8	1	1	1		Med
RP9	1		1	1	Med
RP10	1	1	1	1	High
RP11	1	1	1	1	Med
RP12			1		Low
RP13	1				Low
RP14	1		1		Low
RP15	1	1	1	1	High
RP16	1	1	1		Med
RP17	1	1	1	1	High
RP18	1	1	1		Med
RP19	1	1	1	1	High
RP20	1	1	1		Med
RP21	1				Low
RP22	1	1	1		Med
RP23	1	1	1		Med
RP24	1		1		Med
RP25	1	1	1		Med
RP26	1		1		Med
RP27	1	1	1	1	High
RP28	1	1	1		Med
RP29	1	1	1	1	High
RP30	1	1	1		Med
RP31	1	1	1		Med
RP32	1		1		Med
RP33	1		1	1	Med

APPENDIX W. Principled Leadership Findings: Influences on leadership findings



APPENDIX X: LEADERSHIP DEVELOPMENT COURSE OUTLINE

Course Outline: Principled Leadership: (3 credit course)

Principled leadership involves an understanding of self; how you identify as leader; integrating your values and beliefs as an individual into your leadership practice so that you bring an authentic, consistent, and balanced perspective to your personal and professional life through love and caring, in service of others, as a leadership approach that underscores your everyday decision-making.

Course units:

1. Introduction to Leadership. Humanistic-type leadership theories.
2. Introduction to Principled leadership. The attributes, knowledge, skills, and attitudes of a principled leader will be covered in this section.
3. What is my principled leadership profile? Students will participate in the pl profile reflection, discuss, and share reflections with group.
4. Understanding self as leader.

This unit provides the opportunity to discover those values and beliefs core to self as leader. What makes these values and beliefs an undercurrent to guiding your actions/interactions/decisions? What is your inner compass? Why do you/can you, how do you, remain steadfast in these values and beliefs?
5. Authentic leadership

5.A. Leadership Values 5.B. Leadership Beliefs
6. Spiritual leadership
7. Leading from a place of love and care. Guiding Others (Care and Service). How do I guide others to be the best that they can be in their role? This involves a letting go of self in order to be in service of others; a leadership approach that integrates love and caring for, and being in service of others.
8. The Courage to Lead: Guiding through the waves of leadership (Leading change/transitions/challenging situations). Remaining Steadfast in Self as Leader. How to move forward steadfast in who you are as a leader, while remaining true to your core values and beliefs.

Participants will be required to complete a Leadership Personal Assessment, the *Principled Leadership Profile* (PLP©) prior to participating in this workshop.

This course integrates Appreciative Inquiry as a methodological approach to group facilitation.

APPENDIX Y: SEMINAR OUTLINE

Principled Leadership Seminar Outline (40 hour seminar)

Principled leadership involves an understanding of self; how you identify as leader; integrating your values and beliefs as an individual into your leadership practice so that you bring an authentic, consistent, and balanced perspective to your professional life through love and caring, in service of others, as a leadership approach that underscores your everyday decision-making.

Seminar involves four units:

1. Who is Peter Parker? Utilizing the analogy of Peter Parker versus Spider Man, this unit involves a journey of discovering self. Embracing self as leader. How can you continue to be the person you identify with as self, in your leadership practice? This involves a discovery of leader as self through the following:

Identity

Being authentic

Integrity

2. What's in the Spider Serum, Anyway? This unit provides the opportunity to discover those values and beliefs core to self as leader. What makes these values and beliefs an undercurrent to guiding your actions/interactions/decisions? What is your inner compass? Why do you/can you, how do you, remain steadfast in these values and beliefs?

3. Guiding Others (Care and Service).

How do I guide others to be the best that they can be in their role? This involves a letting go of self in order to be in service of others; a leadership approach that integrates love and caring for, and being in service of others.

4. The Courage to Lead: Guiding through the waves of leadership (Leading change/transitions/challenging situations).

5. Remaining Steadfast in Self as Leader. How to move forward steadfast in who you are as a leader, while remaining true to your core values and beliefs.

Participants will be required to complete a Leadership Personal Assessment, the *Principled Leadership Profile* (PLP©) prior to participating in this workshop.

This seminar integrates Appreciative Inquiry as a methodological approach to group facilitation.

APPENDIX Z: SEMINAR METHODOLOGY

Appreciative Inquiry (AI) seminar methodology breakdown: Discovery/Dream/Design/Destiny

Through AI, and working in small groups, this seminar aims to answer the following leadership questions:

Part A. (Discovery: Identify and appreciate what works):

Part B. Dream: Imagine what might be.

Part C. Design: Develop systems, structures leveraging the best of what was and what might be.

Part D. Destiny: Implement or deliver the proposed design.

The Principled leadership Profile (PLP©) will answer the following leadership questions/overall questions to be used throughout seminar (guiding process):

1. What first attracted you to your current leadership position?
2. Describe a successful experience in instituting change; when you felt the most alive and energized through working with others.
3. What it was that made navigating change a successful experience for you? For others?
Your university?
4. What was it that enabled you to make a positive impact?
5. What made it a successful, and/or positive experience? What factors in your environment made it a successful, and/or positive experience?
6. When considering your success in instituting this change and placing modesty to one side, tell me what you value deeply? About yourself? When you feel you are the best version of yourself in your leadership role?

Leadership Questions

1. What has influenced your understanding of effective leadership and why was this influential? What professional experiences have led to this?
2. How can leaders' beliefs impact how they (leaders) influence others?

Leadership influences. Leadership approach

1. On a daily basis what influences your leadership approach?
2. How do you ensure consistency in your leadership approach? What checks and balances do you use for this, ie 360 evaluations?
3. Describe a leader who has been the most influential in shaping your leadership style?
How and why?
4. How do you feel others would describe you as a leader?
5. What guides your interactions, indirect/direct?

Direct/Indirect impact on direct subordinates/team members

1. In terms of communication with your direct subordinates/team members, describe your approach?
2. Do you employ different styles of interaction dependent on the message or action you want staff to take? And if so, how and why?
3. What guides your interactions?
4. What is the impact on the organization if people are cared for?

Change and leadership

1. What enabled you to be effective through a successful change initiative? Who were the most impactful change agents in the system? Why?
2. What challenges did you face? What did you do? How did you choose people to assist you with the change process?
3. What were your priorities? How did you get people on board? (process versus policy)
4. How did you deal with people who resisted change?
5. How successful were your efforts? What worked and what did not?

6. Was there anything specific about the situation that enabled you to be more impactful than at other times?
7. What dimensions of leadership are important in influencing change and culture?

Institutional Culture

1. How would you describe your institution's culture? What are the principal images or metaphors that people use to describe your institution?
2. What does a leader need to understand about institutional culture to be able to positively influence change and why?