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## Kotter's Model for Change and Distributed Leadership: A Multifaceted Approach for Canadian Colleges to Become Less Reliant on Operating Grant Funding

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## Abstract

The emergence of performance-based frameworks for funding and declining government operating grant funding are contemporary challenges for Canadian public higher education institutions. Operating grants are a sizable portion of the funding institutions receive from the provincial government, and continued conditions on and declines in these grants pose significant risks to the sustainability and viability of these public institutions. Higher education institutions today need to become less reliant on government funds while remaining aligned with mandates to provide the programs and services necessary to meet the needs of the regions and communities they serve. Frontier College (a pseudonym) has revenue diversification strategies in place, but these strategies were developed with individual departmental needs in mind rather than an institutional focus. This Organizational Improvement Plan demonstrates how a distributed leadership approach with an iterative implementation of Kotter's eight-step model for change can be used to institutionalize the college's revenue diversification strategies. Because revenue diversification strategies may involve entrepreneurial activity that is outside typical college operations, the change initiative will be led through the lens of equity, diversity, inclusivity, and decolonization to ensure that all initiatives align with Frontier College's strategic plan without compromising the institution's mandates, vision, or mission. This plan also demonstrates how a balanced scorecard can be used as an effective monitoring, evaluation, and communication tool throughout the change process, allowing leaders to collaborate with employees to adjust, amend, and alter plans as they revisit Kotter's steps together to successfully embed the change within the college's culture.

*Keywords:* distributed leadership, Kotter's change model, iterative change management, reliance on government funding, revenue diversification, balanced scorecard.

## Executive Summary

Higher education institutions (HEIs) operate within a neoliberalist environment where they compete for limited government funds (Kozaitis, 2013). Once considered a public necessity (Williams, 2016), the purpose of higher education is being questioned (Teixeira et al., 2014) and government funding for HEIs has declined (Lucal, 2015). Within Frontier College's (FC's, a pseudonym) province, the Ministry of Advanced Education engaged with board chairs and presidents of HEIs to discuss cost-saving options and to better align institutions' priorities with ministry priorities. Those discussions led to the ministry tying 40% of operating grant funding to performance targets by 2024 and expecting HEIs to become more entrepreneurial.

FC experienced a 20% reduction in its operating grant over the last 4 years, representing over 67% of its total revenue. The college's reliance on grant funding is significant, and the potential of not meeting established performance targets poses a substantial financial risk to the institution. Reduced funding would impact FC's ability to provide accessible programs for students, services to support student success, staff job security, and a workforce to meet the labour market needs of industries and communities it serves. Further, performance targets may influence institutional priorities, making it imperative for FC, through my leadership as president and CEO, to ethically lead and collaborate with all stakeholders to adapt to this market-driven environment without compromising its purpose or causing undue harm. This Organizational Improvement Plan (OIP) addresses the Problem of Practice (PoP) of becoming less reliant on government funding while remaining aligned with institutional ethics and mandates.

Efforts to become less reliant on government funding are familiar to FC, but these activities have been conducted with a departmental focus instead of an institutional lens. Three solutions to address the PoP were considered: (a) increase revenue through tuition and fees by

increasing the number of student enrollments; (b) focus on sales, services, and the effective utilization of college assets; and (c) a hybrid of the above including activities not included in the first two solutions. Each solution was assessed on three criteria, and it was determined that given its institution-wide approach, the hybrid solution would best address the PoP. Further, the OIP is based on three central questions. The first considers its appropriateness and manageability; the second examines power imbalances arising through the OIP process; and the final question applies an ethical lens embracing equity, diversity, inclusivity, and decolonization to ensure institutional mandates will not be compromised for the OIP.

The OIP will be implemented through a functionalist lens, a structuralist perspective, and using scientific management as the dominant change theory in practice. It is based on an initiative identified in FC's new 3-year strategic plan, but due to the scope of the plan, the OIP focuses on activities pertinent to only the first year of the strategic plan. Kotter's (2012) model for change will be implemented because of its balanced, process-oriented, and prescriptive nature (Kezar, 2018), with an iterative approach (Kang et al., 2020) to institutionalize the change efforts. Building on the above, I will apply five change management leadership principles while using a distributed leadership approach with the support of FC's 20-member President's Council. Applying Deszca et al.'s (2019) change readiness assessment tool with FC's five executives revealed a high level of organizational and individual readiness, with high levels of efficacy, valence, and commitment from the executive as a group. A similar assessment with all the President's Council will be conducted as part of the OIP implementation process.

The college already demonstrated a sense of urgency with respect to the PoP in early 2019 through its highly collaborative strategic planning process. The sense of urgency has been and will continue to be regularly communicated and revisited at stages throughout the OIP

implementation to ensure complacency does not set in. Similarly, various communication strategies will be implemented through a knowledge mobilization plan to address how, what, why, and when communication with key stakeholders will happen throughout the OIP process. This plan includes various sensemaking (Jappinen, 2017) activities, as well as using 11 different communication venues. The OIP also uses the balanced scorecard (BSC; Hladchenko, 2015) as a key monitoring, evaluation, and communication tool at various stages within Kotter's (2012) model. The BSC assists leaders in ensuring all employees understand how priorities are aligned with institutional priorities at all levels of the organization, including timelines and reporting structures (Kaplan & Norton, 2007; Markiewicz & Patrick, 2022). It provides role clarity by demonstrating the interdependencies between departments through an institution-wide lens. The BSC provides concrete evidence to employees showing their activities are working and are being acknowledged by college leaders (Appelbaum et al., 2012). These results will be used to assess progress, encourage continuous engagement and dialogue throughout the organization, monitor performance compared to established goals, and through two-way communication, adjust activities as required. This tool will provide data to evaluate the performance of various initiatives on a semiannual basis, help address issues of causality, and determine if targets and outcomes have been met (Kusek & Rist, 2004; Markiewicz & Patrick, 2022).

The OIP focuses on only the first year of FC's strategic plan; therefore, the work performed within this first year should establish a base for future activity. The OIP is intended to engage all staff and guide them to institutionalize the changes beyond the OIP timelines. Becoming less reliant on government funding is a key challenge for all HEIs in Canada. Lessons from this OIP will benefit not only FC, but our findings will also be shared with other HEIs as opportunities arise.

## Acknowledgements

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I also want to extend a special thank you to all of the staff and faculty at the University of Western Ontario. Each of them provided specific areas of guidance and support throughout my academic journey during this program. Their feedback, input, and advice helped me organize, consolidate, and refine this dissertation in a clear and focused manner.

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## Table of Contents

Abstract .....	ii
Executive Summary .....	iii
Acknowledgements .....	vi
Table of Contents .....	vii
Acronyms .....	xi
Definitions .....	xiii
Chapter 1: Introduction and Problem .....	1
Positionality and Lens Statement .....	1
Professional Position and Accountability .....	2
Theoretical Lens and Perspective .....	4
Organizational Context .....	7
Current Challenges .....	8
Leadership Structure and Approach .....	9
Significance of the Strategic Plan’s Vision and Mission Statements to Institutional Priorities	11
Leadership Problem of Practice .....	12
Framing the Problem of Practice .....	13
Historical Context .....	14
PEST Analysis: Political .....	15
PEST Analysis: Economic .....	17
PEST Analysis: Sociodemographic .....	17
PEST Analysis: Technology .....	18
Functionalist Theoretical Lens and Structuralist Perspective .....	19

Guiding Questions Emerging from the Problem of Practice .....	21
Leadership-Focused Vision for Change.....	22
Gap Between Present and Envisioned Future State .....	23
Desired Future State: Challenging Organizational Inequalities .....	25
Priorities for Change .....	26
Leadership Considerations .....	26
Chapter 2: Planning and Development .....	28
Leadership Approach to Change.....	28
Five Change Management Leadership Principles .....	28
Distributed Leadership .....	30
Framework for Leading the Change Process .....	32
Change Theories.....	33
Kotter’s Eight-Step Model for Change for Successful Implementation .....	35
Barriers, Challenges, and Limitations .....	38
Organizational Change Readiness .....	39
Change Readiness and Its Significance.....	39
Organizational Readiness Tool .....	40
Implementing the Change Readiness Tool.....	42
Analysis and Discussion.....	42
Solutions to Address the OIP .....	44
What Needs to Change .....	44
Three Possible Solutions .....	45
Analysis and Discussion .....	48



Ability to Close the Gap Between Current State and Desired Future State .....	48
Resource Considerations .....	50
Ethical and EDID Considerations .....	51
Preferred Solution.....	55
Chapter 3: Implementation, Communication, and Evaluation.....	56
Change Implementation Plan .....	56
Activities Before Implementing Kotter’s Eight-Step Model for Change.....	56
Step 1: Establishing a Sense of Urgency.....	57
Step 2: Creating the Guiding Coalition .....	58
Step 3: Developing a Vision and Strategy.....	59
Step 4: Communicating the Change Vision .....	59
Step 5: Empowering Employees for Broad-Based Action .....	60
Step 6: Generating Short-Term Wins .....	61
Step 7: Consolidating Gains and Producing More Change.....	63
Step 8: Anchoring New Approaches in the Culture .....	64
Communicating the Need for Change and the Change Process .....	64
Building Awareness of the Need for Change .....	64
Communicating the Path for Change, Timelines of Change, and Milestones .....	65
Communication Strategy Example: Separate Departmental Facilitated Sessions .....	66
Knowledge Mobilization.....	70
Change Process Monitoring and Evaluation.....	72
Balanced Scorecard as a Tool to Support Leaders Through the Change Process.....	73
The BSC Development Process for the OIP .....	75

Next Steps and Future Considerations .....	79
References.....	81
Appendix A: Conceptual and Change Theory Framework.....	96
Appendix B: Implementing Kotter’s Eight-Step Model for Change in the First Year of the OIP	97
Appendix C: Detailed Change Readiness Responses by Frontier College Executive .....	106
Appendix D: Summarized Change Readiness Assessment Responses by Frontier College Executive.....	108
Appendix E: Audited Revenue Activity at Frontier College (2021 Budget Year) .....	109
Appendix F: Ability to Close the Gap .....	110
Appendix G: Resources Required.....	111
Appendix H: Functional Organization Chart – Solution 1 .....	112
Appendix I: Functional Organization Chart – Solution 2.....	113
Appendix J: Functional Organization Chart – Solution 3.....	114
Appendix K: Equity, Diversity, Inclusivity, Decolonization, and Ethical Considerations.....	115
Appendix L: Implementation Strategy by Activity to December 2023 (Month 13).....	124
Appendix M: OIP and Other Relevant Timelines.....	125
Appendix N: OIP Timelines and Kotter’s Steps.....	126
Appendix O: Communicating the Path for Change: Timelines and Milestones.....	127
Appendix P: February 2023 Separate Departmental Facilitated Sessions to Ensure All Staff Are in Alignment With the Expectations of the Strategic Plan and OIP .....	131
Appendix Q: Balanced Scorecard Template.....	136
Appendix R: Knowledge Mobilization Plan.....	137

## Acronyms

BSC	Balanced Scorecard
CCI	Canadian Colleges and Institutes
CFO	Chief Financial Officer
CIO	Chief Information Officer
EDHR	Executive Director of Human Resources
EDID	Equity, Diversity, Inclusivity, and Decolonization
FC	Frontier College (a pseudonym)
HE	Higher Education
HEI	Higher Education Institution
IMA	Investment Management Agreement
KMP	Knowledge Mobilization Plan
MAE	Ministry of Advanced Education
M&E	Monitoring and Evaluation
NPM	New Public Management
OIP	Organizational Improvement Plan
PBF	Performance-Based Framework
PC	President's Council
PCEO	President and Chief Executive Officer
PEST	Political, Economic, Sociodemographic, Technological
PoP	Problem of Practice
ROI	Return on Investment
SWOT	Strengths, Weaknesses, Opportunities, and Threats

VP	Vice President
VPA	Vice President Academic

## Definitions

**Balanced scorecard:** A tool to measure, monitor, evaluate, and communicate progress and to assist in articulating role clarity and responsibilities by translating institutional priorities into goals at the individual and departmental levels (Kaplan & Norton, 2007).

**Distributed leadership:** Describes leaders operating and contributing together with a shared and reciprocal level of influence (van Ameijde et al., 2009), collectively leading each other (Avolio et al., 2009).

**Neoliberalism:** A political framework that encourages market-driven activity (Oleksenko et al., 2018).

**New public management:** Applying business-like or corporate practices that focus on increasing efficiency and effectiveness to publicly funded organizations (Broucker & De Wit, 2015).

**Performance-based framework:** A government initiative tying accountability information to operating grant allocations.

**President's Council:** This group of 20 is Frontier College's senior leadership team, including the president and CEO, vice presidents, deans, directors, and associate directors.

## **Chapter 1: Introduction and Problem**

Higher education (HE) has historically been considered a “public good” (Williams, 2016, p. 619) to provide students with academic and social skills to enter the workforce and contribute to the well-being and continuity of society in general. However, evolving cultural, political, and economic forces have forced postsecondary institutions to adjust, adapt, and alter institutional priorities to operate successfully within today’s challenging financial environment (Bessant et al., 2015; Lucal, 2015). This Organizational Improvement Plan (OIP) focuses on describing how Canadian colleges can address one of the emerging contemporary challenges they face: becoming less reliant on government operating grant funding.

The OIP is divided into three chapters: Chapter 1 focuses on explaining and articulating the Problem of Practice (PoP) within the context of Frontier College (FC, a pseudonym). Chapter 2 describes the importance of the PoP and solutions to address it, and Chapter 3 explains how the OIP will be implemented. I start with a description of my positionality and lens related to the PoP and then explore the organizational and leadership contexts. A detailed analysis leads to guiding questions and a leadership-focused vision for the future.

### **Positionality and Lens Statement**

I am a visible minority who entered Canada as a refugee under volatile circumstances approximately 50 years ago. My personal and professional perspectives have evolved throughout my 25-year career in the Canadian public postsecondary sector but form the base of my leadership values. I have had the honour and privilege to assist in leading colleges and institutions serving the needs of various rural and urban communities in British Columbia, Alberta, Saskatchewan, and Ontario. My roles in the postsecondary sector have progressed from associate dean, dean, and executive vice president academic (VPA), to the last 5 years, as a

president and CEO (PCEO). I am currently the PCEO of a northern public community college in Alberta, Canada, and in 2018, I was the only visible minority PCEO within the college and institute sector across the country. My personal and professional history provides me with a unique leadership and ethical lens concerning equity, diversity, inclusivity, decolonization (EDID), social justice, and power issues.

Racism, EDID, and social justice issues are prevalent in the postsecondary sector (Berkovich, 2014; Henry, 2015). Throughout my career, I have witnessed how power imbalances have impacted marginalized and less privileged individuals, populations, and those without an equal voice in HE and society. I take my leadership responsibility as a PCEO very seriously, especially as it pertains to ensuring my decisions minimize undue harm, maximize the positive contributions of my actions across various stakeholder groups, and do not compromise institutional mandates (Monahan, 2012).

### **Professional Position and Accountability**

FC has approximately 2,500 students, 300 full- and part-time employees, and an annual budget of roughly \$60 million. It is governed by a board, which the provincial government appoints. The board provides oversight and direction to college management based on their assessment of the global, competitive, and market-driven neoliberal political framework in which colleges operate today. The board is responsible for establishing institutional priorities through a strategic plan, and their recent collaborative strategic planning development process helped identify a new vision and mission for the college, with a total of 20 initiatives under four strategic pillars in its 2022–2025 plan (FC, 2022c). Although the board's responsibility is to establish institutional priorities through its strategic plan, as the sole employee of the board, I have the full responsibility and authority to lead, implement, and operationalize the institutional

priorities as identified in the board's plan. In the following subsection, I describe the board's and my approach to the strategic plan and its relevance to this OIP.

### ***Approach to Strategic Planning***

Like most colleges across Canada, FC provides relevant programs and services meeting the diverse demands of its students, employees, employers, and funders, and is a key economic driver for the region it serves (Hogan & Trotter, 2013). FC's strategic plan was developed through a combination of stakeholder engagement (town hall meetings, internal departmental meetings, online surveys) and secondary research. The plan reflects Mack's (2010) approach, with an objective and rational assessment of institutional priorities to be aligned with the needs of the communities it serves. Individual perspectives were considered through various strategic planning initiatives; however, rational solutions toward institutional priorities will remain of primary focus (Bolman & Deal, 2017). FC's strategic plan is the central driver for change at the college.

Buller (2015) suggested that strategic planning "may produce results, but those results are rarely worth the expense involved" (p. 119), but FC's planning process was designed to ensure the college's focus will align with the needs of the communities it serves and mitigate potential limitations of strategic planning processes. For example, the plan's mission is not "overly generic" (Buller, 2015, p. 110) in that it provides a clear purpose for how the college will achieve its vision. To avoid "mission creep" (Buller, 2015, p. 110), if departments cannot clearly identify how their proposed actions align with the strategic plan, those actions will not be supported or funded by the college. Also, the OIP is designed to minimize "planning fallacy" (Buller, 2015, p. 111) by ensuring the appropriate time and resources will be available. The implementation of the OIP can be managed and controlled predominantly through a functionalist lens and structuralist



perspective as discussed below.

### **Theoretical Lens and Perspective**

In alignment with Durkheim (as cited in Ballantine, 2001; see also Foster, 1986), I believe higher education plays a key role in growing local and global economies by helping to educate, prepare, and assimilate individuals into society as adults. FC is part of a larger system within society, and robust and efficient systems (teams) require “a fit between the needs and motivations of the individual and the role requirements of the institution or social unit” (Seidman, 2004, p. 74). As a result, this OIP is viewed predominantly through a functionalist lens and a structuralist perspective.

With a functionalist lens, each societal institution serves a specific role and purpose. Furthermore, each of these institutions work together interdependently to advance society as a whole (Ballantine, 2001). In alignment with Parson’s equilibrium theory (as cited in Osbourne & Van Loon, 1996; see also Rohmann, 1999), institutions play pivotal roles in maintaining social equilibrium, even if that means a changed social-ordered equilibrium. Structuralist perspectives, on the other hand, focus on how institutions and/or departments (and the logical relationships thereof) are related to achieving the overarching outcomes of various entities (Stevenson, 2014). That is, structuralist perspectives focus on how an organization’s structure effectively fits within the internal and external environmental factors it faces to achieve organizational strategies, goals, and objectives (Bolman & Deal, 2017). Closely connected to structuralist perspectives, functionalism considers what institutions and their departments do within the larger societal context (Stevenson, 2014). These concepts form vital foundational aspects of this OIP because of the need to examine both FC’s function and structure in society and its individual departments’ functions and structure within the organization.

Given my personal and professional background, I have always tried to ensure that different perspectives on specific initiatives are considered. I also acknowledge that one person cannot possibly have all the required knowledge to make the right decisions all the time. Given the complex challenges higher education institutions (HEIs) face today, working through cross-functional teams to meet institutional and departmental goals is becoming vital (Worley & Mohrman, 2014). Furthermore, S. Jones et al. (2014) stated that leadership needs to focus more on sharing and collaboration, as opposed to individual control and managerial bureaucracy. As a result, I use distributed leadership techniques with an ethical lens and strategies that enable me to implement broader institutional priorities while still considering individual and group perspectives. This leadership approach has been effective in my professional experience, given the scope and range of my areas of responsibility and accountability.

When studying HEI presidents, Birnbaum (1992) supported the above perspectives on leadership, stating that most presidents who demonstrate authoritative leadership and token consultative practices fail, but exemplary presidents treat employees with respect, focus on interpersonal relationships built upon reciprocal and mutual influence, and establish governance structures that support shared levels of authority. Therefore, effective distributive leadership practices challenge traditional hierarchical leadership approaches of an individual central figure influencing various activities (van Ameijde et al., 2009) and operate within governance structures that support collaborative activities between individual leaders and other relevant individuals/groups (S. Jones et al., 2014).

In alignment with the college's hierarchical structure, as the PCEO, I am responsible for ensuring goals, expectations, and appropriate communication strategies are implemented throughout any institutional initiative (Kezar, 2018). Further, I will need my executives' and

their respective direct reports' (the President's Council [PC]) support in planning and executing the OIP through a distributed leadership approach.

My background, distributed leadership approaches, and ethical leadership considerations make me keenly attuned to EDID issues. However, EDID issues have several ethical perspectives that must be considered. For example, as Van der Wal and Demircioglu (2020) said, "ethical leaders need to be more than just moral persons, they need to be moral managers" (p. 389), and they "need to be fair, honest, caring and just" (p. 389). Any decision or direction the college partakes in must also consider the institution's culture, its diverse internal and external stakeholder groups, and the EDID, social justice, and power implications that may emerge. Early in my tenure as a VPA for a rural postsecondary institution in western Canada, an Indigenous student wanted to report that she was sexually harassed by one of the college's employees. As standard practice at the time, a counsellor within the college's Student Services department directed her to follow the relevant college policy. However, it was quickly apparent that the policy did not appropriately consider the challenges this student (and other Indigenous and similarly impacted students) would experience if she followed it. The policy was developed through a predominantly colonized lens and was unfair to Indigenous students because it did not allow the student to access assistance (e.g., an Elder) during the complaint process.

This specific situation became a catalyst for the college to review all its policies through an EDID lens to ensure they better supported domestic, Indigenous, and international students. Although I did not realize it at the time, the process we followed to decolonize the college's policies aligned with Wood and Hilton's (2012) five ethical paradigm framework. Given my past experiences, within this OIP I will also apply this framework to mitigate EDID issues that might arise during the change process. I describe below the application of their lenses with the ethic of

justice, critique, care, profession, and local community.

Following Wood and Hilton's (2012) framework, with an ethic of justice lens, institutional rules, regulations, policies, and procedures might guide our actions in a moral and equal manner to all, but some might need to be adjusted if they have overlooked EDID issues. Second, the ethic of critique lens will help to determine whether existing policies and procedures are fair and reasonable and do not advantage or disadvantage one group over another. Building on the above, the ethic of care lens takes a more personal approach to ensure specific individuals or groups are not adversely impacted intentionally or unintentionally for any initiative. The ethic of profession lens will allow the college to remain focused on its institutional mandates, with the new strategic plan designed to serve the needs of internal and external stakeholders. Finally, the ethic of local community lens will enable the college to remain aligned and balance the needs of our entire community, with decisions made for the betterment of the college community and the region served.

Combined with a distributed leadership approach, applying an ethical framework as above will enable the college to continue to still consider individual and group perspectives without compromising institutional mandates. The framework recognizes that individual needs, social norms, and institutional and cultural values cannot be viewed as separate components, and it aligns with functionalist and structuralist approaches that allow each stakeholder and group to understand how they are interlinked and connected to the larger objectives of the college's goals and mandates.

### **Organizational Context**

FC's 2022–2025 strategic plan was developed through a highly collaborative process. It also involved a thorough environmental scanning process through a political, economic,

sociodemographic, and technology (PEST) analysis (Grundy, 2006; Vining, 2011), and internal strengths, weaknesses, opportunities, and threats (SWOT) analysis of how well-positioned the institution is in relation to institutional priorities going forward (Chance & Williams, 2009).

### **Current Challenges**

Neoliberalism has been the “dominant political philosophy” (Radice, 2013, p. 497), influencing government policy for decades (Busch, 2017). Coupled with the college’s assessment of these factors and my additional research, the following represent some of the many challenges faced by FC and other HEIs today:

- competing public interests for the limited level of government funding available (Basham, 2012; Grummon, 2009; Marginson, 2013; Pennington et al., 2006),
- changing to and competing within a global economy (Basham, 2012; Ehrenberg, 2012),
- changing public priorities and increasing public accountability (de Boer & Goedegeburre, 2009; Ehrenberg, 2012; Kozaitis, 2013),
- diversity and changing demographics (Basham, 2012; Flanagan, 2006; Grummon, 2009; Pennington et al., 2006),
- internal debate regarding financial allocations across the institution due to competing demands (Ehrenberg, 2012; Rich, 2006; Smith & Hughley, 2006),
- rapid growth of the internet (Basham, 2012), and
- declining government funding (de Boer & Goedegeburre, 2009; Ehrenberg, 2012; Nica, 2014; Sporn, 2006).

Another critical factor impacting FC is how the role and purpose of HE in today’s society is being questioned. For example, “health care and social security have forced many governments

to rethink their financial engagements in other areas so that higher education has become one of the potential areas for cost containment” (Teixeira et al., 2014, p. 398). Inquiries in these areas have not only raised questions on the purpose and value of HE in society but also have “placed increasing pressure on higher education institutions to seek additional sources of revenue and to reduce their reliance on public funding by diversifying their revenue structure” (Teixeira et al., 2014, p. 398). In Alberta and Ontario, this has led to audit cultures and the implementation of performance-based framework (PBF) models, with similar models soon to be in place in British Columbia and Saskatchewan. The emergence of PBF and audit cultures within the postsecondary sector may require their leaders to effectively (a) balance, unite, and integrate business and academic priorities; (b) respond creatively to demands for increased market competitiveness in ways that support long-term academic objectives; and (c) establish institution-wide strategies to better connect fiscal resources with academic and student-service priorities (Ehrenberg, 2012; Rich, 2006). Specific to FC, the economic reality of its region is another current challenge. As I elaborate on in the PEST Analysis subsection, the region’s economy is tied to the global energy sector and has been impacted by the economic downturn. Later in this chapter, these and other challenges are discussed further in the Framing the Problem of Practice section.

### **Leadership Structure and Approach**

Like most HEIs, FC is hierarchically structured (Bolman & Deal, 2017). I, four executives who report directly to me, and 15 directors and deans comprise the college’s PC, which I chair. The executives meet twice a month, and PC meets monthly to discuss various topics throughout the year and provide operational leadership for FC. Reporting structures are hierarchical and align with functionalist and structural approaches in that divisions of labour, areas of specialization, lines of responsibility, and divisions’ relationships to one another are

clearly defined with an institutional perspective (Bolman & Deal, 2017). FC's current organizational structure was established so the college could respond and adapt to prevailing environmental factors, institutional goals and priorities, and its people, which is what Bolman and Deal (2017) recommended for effective, adaptable organizations. The college's distributed leadership approach through its PC also focuses on enabling informal networks of expertise, shared knowledge, and developing leadership skills throughout the organization (van Ameijde et al., 2009). Although power imbalances are inherently present within a hierarchical organizational structure, FC's distributed leadership approach allows its leaders to consider personal and departmental perspectives as they discuss and implement institutional priorities. As elaborated further in Chapter 2, the PC will operate with a shared purpose with clear goals and expectations, collaborate to take advantage of diverse strengths and perspectives in alignment with established goals, and share accountability and responsibility at the individual and departmental levels (Basham, 2012).

Neoliberalist forces have also had an impact on HEIs to adopt business-like or corporate leadership practices such as new public management (NPM), which conflicts with traditional HEI cultures (Blaschke et al., 2014; Taylor, 2017; van Ameijde et al., 2009). These practices focus on increasing efficiency and effectiveness (Broucker & De Wit, 2015) and securing alternative funding opportunities. There is no direct evidence to suggest NPM practices have made HEIs more "efficient or effective" (Broucker & De Wit, 2015, p. 71); however, Van der Wal & Demircioglu (2020) stated that, "the ethical implications of New Public Management suggest entrepreneurial, innovative, and business-like behaviour may not contribute positively to ethical considerations in the public sector" (p. 387). Further, Monahan (2012) stated, "Ethical leaders can influence followers by consistent conduct, proper actions, moral way of being, and

doing what one says” (p. 61), “ethics comes down to a choice to influence oneself and others in doing the right thing” (p. 58), and “ethical leadership is not about process, but rather a way of being and making the right choice” (p. 58). It is beyond the scope of the OIP and my political agency to effectively reconcile the impacts related to working within a neoliberalist economic framework and NPM practices emerging within the HEI sector; however, the above considerations illustrate the importance of incorporating an appropriate ethical framework and leadership approaches to ensure that EDID implications are not overlooked throughout the OIP implementation process.

As the PCEO, it will be vital for me to “walk the walk” (Van der Wal & Demircioglu, 2020, p. 389) and model expected leadership behaviours and qualities from all PC leaders. All the above factors will influence how the PC can operate and adapt to environmental factors. In addition, the PC is in place to achieve established goals, and it will be essential to ensure clear lines of responsibilities are identified at individual and departmental levels as FC implements its strategic plan (Bolman & Deal, 2017).

### **Significance of the Strategic Plan’s Vision and Mission Statements to Institutional Priorities**

FC developed new vision and mission statements in its 2022–2025 strategic plan, with 20 initiatives designed to focus on institutional priorities. The college’s new vision is “Educating to Change Lives” (FC, 2022c, p. 2), and its new mission is “In partnership with industry and community, to develop a relevant workforce and the leaders of tomorrow within a safe learning environment that embraces equity, diversity, and inclusivity” (FC, 2022c, p. 2). One of the key strategic initiatives in the plan is “Through the lens of Equity, Diversity, and Inclusivity, and the Truth and Reconciliation Calls to Action, provide support for diverse, vulnerable, and



underrepresented learners” (FC, 2022c, p. 2).

These statements demonstrate that FC and its board are committed to effectively addressing and focusing on EDID issues as key institutional strategic priorities. As the PCEO, I am responsible for ensuring that our leadership approaches align with this expectation. In fact, “ethical organizational culture is strongly affected by how leaders themselves behave ... [and] role model” (Van der Wal & Demircioglu, 2020, p. 389); hence, leaders’ actions appear to be more important than formal policies and guidelines. As mentioned above, the college’s distributed leadership through its PC is central to addressing EDID issues and is well-positioned to do so, given its diverse makeup. The PC has an equal balance between men and women aged 38 to 68. It has three visible minorities and three individuals with self-declared Indigenous ancestry. Further, PC members come from or have lived in various regions across the country and globally. Therefore, not only has FC made EDID a strategic area of focus, but its PC is well structured and positioned to deliver on these strategic priorities for the college.

### **Leadership Problem of Practice**

As with most HEIs, neoliberalist pressures have directly impacted FC. Over the last 4 years, 20% of the college’s provincial operating grant has been cut. As grant funding does not align with increased operating costs, its per-student funding continues to decline (Sporn, 2006). When combined with tuition and fees, 81% of FC’s revenue stream is tied to government operating grants, tuition fees, and subsidies (FC, 2022e). Finally, 40% of its operating grant will be tied to PBF by 2024. The college’s reliance on government operating grants is significant, and failure to reach established PBF targets may reduce expected funding levels. This overreliance on government-linked funding and subsidies has significant institutional risk implications, and PBF expectations raise several EDID issues that could influence institutional priorities.

Given the current economic framework, it is safe to assume that the Ministry of Advanced Education (MAE) will continue to decrease its proportionate funding to its HEIs (Sporn, 2006). FC will need to secure alternative funding resources to continue to provide programs and services to the students and communities it serves. As Sporn (2006) articulated, “a diversified funding base is an absolute prerequisite for autonomous and entrepreneurial activities” (p. 145) for HEIs, and they must seek different sources to complement government funding bases.

Seeking alternative sources of revenue is not new for FC. The college’s International, Applied Research, Continuing Education, and Foundation and Development departments currently pursue alternative funding sources. However, they have been operating in silos with a narrow focus on achieving their respective departmental targets without a clear, integrated focus on how what they do together meet the overarching goals and objectives of the college. Changing current practices in this area will be critical for FC going forward. In addition, it will be necessary for our leadership team to lead ethically, assist, participate, and collaborate with all relevant stakeholders to navigate and adapt through existing neoliberalist forces without compromising institutional mandates or causing undue harm to stakeholders. As a result, with the implementation of government-driven PBF initiatives and the continued decline in provincial operating funding, and in alignment with FC’s new strategic plan, the PoP is, how can FC become strategically less reliant on government funding while remaining aligned with its institutional mandates?

### **Framing the Problem of Practice**

Canadian colleges and institutes (CCI) came into existence over five decades ago to provide postsecondary graduates with more technically focused skills closer aligned with

specific industry demands compared to graduates from degree-granting universities (Hogan & Trotter, 2013). They operate within a heavily regulated environment and comply with mandates directed by their respective MAE and provincial governments. College faculty are meant to focus on developing and delivering curricula aligned to industry needs, unlike university faculty, who usually concentrate more on conducting research and teaching within their specialized disciplines. Further, CCIs were strategically positioned geographically within their respective provinces to support and drive economic development within the regions they serve and the province as a whole (Hogan & Trotter, 2013). FC falls within the CCI category as an HEI, and the discussion below provides historical context on how provincial policies have impacted, influenced, and substantiated the significance of the PoP for FC.

### **Historical Context**

While facing a \$24 billion deficit in 2019, FC's provincial government commissioned a panel of external experts to conduct an independent review of its finances with the goals of balancing the budget by 2022, assessing challenges the province could face over the next decade, and recommending a new fiscal framework for a 4-year balanced budget plan (Toews, 2019). This plan included implementing accountability frameworks for each of its ministries, which would need to report to the provincial Treasury Board monthly (Toews, 2019). The review identified that the province's spending far surpassed that of its comparator provinces, and without intervention, its net financial debt would grow to \$66.6 billion by 2022 (KPMG, 2019). The panel provided 26 recommendations to the government, which led to provincial fiscal-restraint policies in 2019.

For the MAE specifically, the panel advised that the province's postsecondary system lacked common goals and spent more money per student than comparator provinces (KPMG,

2019). The panel recommended that the government “Consult with post-secondary stakeholders to set an overall future direction and goals for the post-secondary system along with appropriate governance models” (Blue Ribbon Panel on Alberta’s Finances, 2019, p. 6). This specific recommendation led to the government retaining a separate consulting firm to review its postsecondary system’s viability and propose effective cost-containment strategies and ways to minimize redundant activities within the sector (KPMG, 2019). Recommendations from the review influenced the province’s strategic priorities for the MAE to 2030 (MAE, 2021). Its six strategic pillars were focused on ensuring youth are “well-positioned to succeed in rewarding careers today and tomorrow” (MAE, 2021, p. 5), and provided direction for HEIs to align their activities to the strategic pillars. FC adopted four of the MAE’s six pillars directly within its strategic plan, and the other two pillars were recognized as objectives within the plan.

Both PEST and political, economic, sociocultural, technological, legal, environmental (PESTLE) analyses are tools used to help organizations assess and evaluate aspects of their business environment. Besides including legal and environmental factors in PESTLE analyses, the two processes serve similar functions (Ejim, 2023). I used a PEST analysis (Grundy, 2006; Vining, 2011) in this OIP because, as a public postsecondary institution, FC falls under the legal and political jurisdictions, regulations, and laws of the provincial government and the MAE, so I considered legal elements within the political pillar of the analysis. I considered environmental factors with the economic pillar because the region FC serves is closely aligned with the economy of the oil and gas sector. The results of the PEST analysis are discussed below.

### **PEST Analysis: Political**

Public expenditure as a proportion of total provincial spending has been steadily declining for decades (D. Mountain, personal communication, October 4, 2021), and the

province's financial challenges have directly impacted FC. For example, its provincial operating grant was reduced by approximately 20% from 2019 to 2022, similar to reductions for other HEIs in the province (FC, 2022a). The government expects HEIs to investigate entrepreneurial activities to become less reliant on government operating grants. It appears the government's long-term plan is to continue to reduce available funding to HEIs (Blue Ribbon Panel on Alberta's Finances, 2019), which aligns with neoliberalist political frameworks that encourage market-driven activity (Oleksenko et al., 2018).

Other political forces affecting FC include changing public priorities and expectations that have led to increased accountability measures for HEIs (Ehrenberg, 2012; Kozaitis, 2013). For example, like other HEIs in the province, FC's board and its MAE entered into a 3-year investment management agreement (IMA) in April 2022, which articulated the framework for establishing FC's annual operating grants from 2022 to 2025 (MAE, 2022). The framework's purpose was to "identify, and incentivize, measurable progress towards the vision and goals" (MAE, 2022, p. 1) aligned with the MAE's strategic priorities. In 2022, 15% (rising to 40% by 2024) of FC's operating grants will be tied to performance in the areas of (a) work-integrated-learning opportunities for students, (b) domestic enrollments, (c) apprenticeship enrollments, and (d) graduate employment rates (MAE, 2022). Failure to achieve established targets will result in FC not receiving its maximum operating grant. These policies pose a significant risk for FC and its board, and further demonstrate the urgency of the PoP.

When I consider the MAE's actions through Bacchi and Goodwin's (2016) approach to policy analysis, it appears that instead of providing more funding, the MAE is actively encouraging HEIs to operate in an entrepreneurial manner. Further, the introduction of PBF follows neoliberalist ideology whereby the government is not entirely withdrawing support of

HEIs, but it is increasing demands for performance and accountability information tied to operating grant allocations. These are all mechanisms the government can use to address the public scrutiny of how provincial funds are allocated (Austin & Jones, 2016)”.

### **PEST Analysis: Economic**

HEIs must compete within an ever-changing global economy, aligning with government expectations of HEIs becoming more entrepreneurial and less reliant on provincial funding (Basham, 2012; Ehrenberg, 2012). Along with the issues facing all HEIs described in the Current Challenges section, FC faces specific challenges because its region is resource dependent and its economy is directly tied to global economic factors, especially in the energy sector. The economic downturn has adversely impacted the region over the last decade, leading to high unemployment rates. As a result, FC’s graduate employment rates have been adversely impacted, which could affect FC’s provincial funding allocations as identified in its IMA. This further demonstrates the significance of the PoP.

The current economic climate may also impact students’ choice of postsecondary programming. Today’s postsecondary students assess how well their investment in their postsecondary program provides them with the meaningful work they seek (G. Jones, 2013). Critics of neoliberalist approaches suggest arguments based on the idea that a return on investment adversely impacts students on several fronts and is responsible for creating a more significant social divide (G. Jones, 2013). Through an EDID lens, it is essential to balance meeting industry needs and providing students with appropriate levels of access and programming choice within the current economic environment.

### **PEST Analysis: Sociodemographic**

As described in the Organizational Context section, FC’s province is experiencing

significant demographic shifts. Its population exhibits the youngest median age (36.9) and has grown faster than comparator provinces over the last 10 years (KPMG, 2019). HEIs have experienced similar demographic shifts but have also seen the percentage of international and Indigenous students grow faster than domestic student populations. For example, international student populations in the province have grown from 6.5% in 2013 to 8% in 2017, and Indigenous student populations have increased from 3.8% in 2013 to 4.9% in 2017 (MAE, 2021). FC's international student population comes from 44 different countries, with the majority arriving from India (25%), the Philippines (17%), and Jamaica (10%; FC, 2022b), and has risen rapidly from 5% to 13% of its total full-time student complement from 2018 to 2021. Indigenous student enrollments have been steady at approximately 8% of the total student population over the same period (FC, 2022d).

With the increased diversity within FC and its students' challenges, internal college policies and practices must mitigate the fact that not all social groups within society are valued equally (Sensoy & DiAngelo, 2014). Social injustice does exist in society, and as FC seeks to increase student enrollments by inviting more international students from a diverse range of countries, FC has a responsibility to address possible power imbalances (real and perceived) at micro and macro levels (Sensoy & DiAngelo, 2014). Factors associated with these sociodemographic challenges are discussed in the Ethical and EDID Considerations section in Chapter 2.

### **PEST Analysis: Technology**

Competing in a global economy, significant technological innovations, and the internet's rapid growth (Basham, 2012) have all profoundly impacted the nature and future of work (MAE, 2021). Technological advances in artificial intelligence, big data, blockchain, machine learning,

transportation, manufacturing, and materials reshape programming decisions across all HEIs (Feltham & Ross, 2020). Further, the impacts of COVID-19 forced HEIs to adjust strategies to remote delivery options in a disruptive, yet necessary manner (MAE, 2021).

FC's province invests in technology-related initiatives to better support industry and employers. Funding and investment in programming to support these industries will be made available to HEIs as one-time investments, not permanently built into annual operating grants (MAE, 2021). FC is developing programs in computer studies, artificial intelligence, and cybersecurity to align with employers' current and future needs within the region it serves. During times of fiscal challenges and constraints, FC will experience internal debates regarding how it allocates the funding it receives in an equitable or defensible manner (Ehrenberg, 2012). Although it is important to focus on programming to meet the needs of industry and other stakeholders, focusing on one area of specialization cannot be done at the expense of others. FC must stay within its institutional mandates and align with the expectations of the MAE and its strategic plan.

### **Functionalist Theoretical Lens and Structuralist Perspective**

The above PEST analysis demonstrated how various environmental factors, directly and indirectly, impact FC's operations and strategic priorities. Current government policies provide evidence of operating within a neoliberalist economic framework (Hägg & Schölin, 2018), necessitating public entities to seek mechanisms to become less reliant on government funding. Further, the analysis explained FC's essential and interconnected role within the region it serves and at provincial, national, and international levels.

FC is a key economic driver in the region it serves and provides current and relevant programs and services to meet the needs of its internal and external stakeholders. However, as an



HEI, it must operate within its government-prescribed mandates, cost-containment restrictions, and PBFs as dictated by its MAE (D. Mountain, personal communication, October 4, 2021). All the above factors have led to the PoP of FC becoming less reliant on operating grant funding, which is explored in this OIP through functionalist and structuralist theoretical approaches for reasons described below.

First, in alignment with functionalist theory (Ballantine, 2001; Burrell & Morgan, 2005; Osbourne & Van Loon, 1996), public HEIs operate in compliance with various acts, legislation, and directives from the MAE and its province; hence, FC operates within a heavily regulated, objective, and problem-oriented environment to meet the labour market needs of the region it serves. Second, through expectations and criteria established by its MAE, FC will continue to operate in an environment heavily dependent upon data and accountability frameworks (Lucal, 2015; Slocum et al., 2019). Third, a functionalist perspective allows for considering rational and practical solutions to address the PoP (Ballantine, 2001; Burrell & Morgan, 2005; Osbourne & Van Loon, 1996). A fourth factor is that FC's strategic plan (which includes the OIP), subtly challenges the status quo while operating within current environmental factors, including neoliberalism (Burrell & Morgan, 2005). Fifth, although individual perspectives might be considered throughout the OIP, the OIP is designed to take an institutional and sectoral focus (Ballantine, 2001; Burrell & Morgan, 2005) aligned with my high-level purview as PCEO. Sixth and in alignment with structuralist perspectives, FC's strategic plan drives all institutional priorities; aligns with the institution's vision, mission, and mandate; and ensures it continues to provide programs and services that meet the needs of its internal and external stakeholders (Bolman & Deal, 2017). Finally, in alignment with structuralist perspectives, although FC is hierarchical in its organizational structure, the OIP is designed to address how each department

and individual fits within the overall goals and priorities of the organization (Ballantine, 2001; Bolman & Deal, 2017). For the OIP to succeed, guiding questions are considered and discussed below.

### **Guiding Questions Emerging from the Problem of Practice**

The OIP focuses on three central questions, and the first considers its overall appropriateness and manageability. As the PCEO and initiator of the OIP process, the change initiative is within my scope, level of influence, control, and authority. With the board's input, I have access and control over the entire OIP process to ensure human and financial resources are available to address the PoP adequately. The OIP is issue-based, practical, observable, actionable, and has the potential to measure and monitor progress and achievement of established goals, as discussed later in this document. As discussed below, the OIP is focused on closing the gap between FC's current practices for becoming less reliant on provincial grant funding and its future desired state. Finally, the OIP is connected to leadership and the workplace and is directly aligned with the FC's strategic priorities. Most importantly, following Bauman's (2016) criteria, the OIP is manageable as the college is already performing activities related to the PoP in various capacities across the institution. Although these aspects are discussed throughout the OIP, manageability is a key question that must be considered at every stage of the implementation process.

The second question is, what power imbalances might arise while implementing the OIP? As mentioned, the OIP will be implemented using a distributed leadership approach within FC's hierarchical organizational structure. Strong connections and trusting relationships will be important for leadership practices to be successful and effective (Dirks & Ferrin, 2001). That is, "leadership occurs when leaders and followers can develop effective relationships that result in

mutual and incremental influence” (Avolio et al., 2009, p. 433). In addition, “leadership effectiveness is just as much as a product of good followers as it is of good leaders” (Avolio et al., 2009, p. 435). It will be important to consider that all staff, regardless of where they may be positioned within the institution’s hierarchy, must fully understand the objectives of the OIP and have the appropriate level of trust (Dirks & Ferrin, 2001) with their respective leaders. Further, it will be necessary to transparently identify which departments will benefit most from the OIP and those that will not (Kusek & Rist, 2004), and hence, minimize undue harm that may occur to some areas while benefitting others (Wood & Hilton, 2012). These and other associated factors are further expanded upon in Chapter 2, but ensuring a clear vision for the change is a critical early step in the change management process.

The third central question is how can FC ensure that any solution for becoming less reliant on government funding does not compromise institutional ethics and mandates? To remain vigilant about maintaining FC’s values, Wood and Hilton’s (2012) five ethical paradigm framework is applied throughout the OIP process as discussed further in Chapter 2.

### **Leadership-Focused Vision for Change**

Public higher education institutions have been under increased pressure to diversify their funding sources (Teixeira et al., 2014), and therefore, several HEIs are engaging in entrepreneurial activity (Manning, 2018; Slocum et al., 2019; Sporn, 2006) to reduce their reliance on public funding. Revenue diversification can be categorized as “the generation of revenue beyond government appropriation” (Teixeira et al., 2014, p. 399). FC has diverse revenue streams beyond funds coming from academic tuition and fees. The college receives generous grants and donations such as scholarships and endowments through alumni relations and the community. It collects fees for continuing education (e.g., customized programming,

noncredentialed programming, corporate training) and research and innovation (e.g., research commercialization, applied research), and some auxiliary sales and services generate revenue. FC can use its assets by renting out facilities, offering advertising opportunities, and supporting partnerships that bring in funding (Shariff & Kronenberg, 2018; Teixeira et al., 2014).

Although most HEIs face similar internal and external financial pressures, not all respond to these pressures similarly (Teixeira et al., 2014). A key consideration for FC is reinforcing that the college is already performing some elements of the OIP. Building upon the college's existing structure, these (and other) activities will require more precise strategic direction and focus from an institutional lens instead of its current departmental-focused approach toward revenue diversification. Currently, FC's revenue-generating departments attempt to meet their revenue targets with limited knowledge of how their contributions benefit the college as a whole. The OIP process will provide individuals and departments better role clarity regarding how their actions contribute to FC's ability to achieve the goals established in the OIP. For this to occur, the OIP will be implemented through a collaborative process (described in Chapter 3) to assist all departments in moving towards the desired future state together.

### **Gap Between Present and Envisioned Future State**

Sixty-seven percent of FC's revenue comes from provincial operating grants, and 81% of its revenue is dependent upon operating grants, tuition fees, and other subsidies (FC, 2022e). From a governance perspective (Pollanen, 2016), there is a significant risk to the college if it does not achieve the targets as identified in its IMA. Further, tuition is regulated by the province, and the college will not use tuition increases on the backs of students as a primary revenue-diversification solution,. Therefore, domestic and international tuition rates will remain aligned with existing tuition frameworks, and will continue to be among the lowest students will pay in

the province. Revenue growth from tuition and fees will be realized through increasing enrollments and introducing new academic offerings at the college.

The remaining 19% of FC's revenue comes from current revenue-generating activities: federal grants, continuing education, corporate training, donations, facility rentals, and general sales and services (FC, 2022e). Under my leadership, the three vice president (VP) portfolios are assigned revenue targets at the beginning of each fiscal year. For example, the VPA has separate revenue targets for academics, continuing education, corporate training, advancement and donations, corporate events, athletics, research grant funding, and partnerships. Other examples include the VP of infrastructure having targets for facility rentals, student residences, and land assets, and the VP of corporate services for activities related to FC's theatre.

Increasing international enrollment is one example of the need to broaden beyond department-level accountability to grow a revenue stream: The potential growth in applications needs to be supported with appropriate staffing within the registrar and finance departments to manage and process applications and application fees in a timely manner. Delays in application and fee processing could cause potential international applicants to choose another HEI, impacting revenue that FC could have realized, so it is counterproductive for one department to increase enrollment independently. This lack of alignment exemplifies the types of gap existing between the current and preferred future states.

Although it is important that all FC employees understand how they contribute to other departments and the institution as a whole, from a structuralist perspective, this OIP includes no intent to change FC's organizational structure. As we progress through the change management process while monitoring and evaluating the progress of the OIP, however, organizational structural changes might need to be considered in the future (Kang et al., 2020).

### **Desired Future State: Challenging Organizational Inequalities**

Institutional priorities and the change process should allow all employees to understand better the interdependencies of their respective roles and responsibilities with others across the institution. Not all areas across the college can generate revenue, but some of these areas play critical supportive roles to those that do as in the above example. A benefit of becoming less reliant on government funding is that the college could potentially apply alternative revenue funds to support activities that cannot currently be provided due to inadequate operating grant funding levels. For example, alternative revenue funds provide financial assistance to add positions to support the growth of international students by adding additional student advisors and mental health counsellors. During the change process, the college's communication strategies will include information about how revenue generated by various departments will also benefit departments that cannot generate revenue.

Incentive programs can also be introduced to benefit revenue-generating and non-revenue-generating areas (Kang et al., 2020). For example, when I was PCEO at another organization, revenue-generating departments that exceeded their annual revenue targets received 50% of the amount overachieved from their original target to reinvest back within their departments based on their operational priorities. The college distributed the other 50% to support institutional strategic priorities or needs in areas that might not be able to secure alternative revenue sources. This included financial support for new positions to further support student success (e.g., counsellors and advisors) and to develop new programming, technology enhancements in classrooms, and other institutional requirements. The focus on revenue generation in the OIP may lead to new potential inequities, and these will be addressed as EDID considerations are woven through the implementation process.

## **Priorities for Change**

Implementing the college's strategic plan requires common acceptance of the plan's vision, objectives, and initiatives (Bolman & Deal, 2017), including the OIP, as it is one of the 20 initiatives identified in the plan. However, articulating "clear, compelling change visions in response to a need to change is not enough; employees (if relevant) and other stakeholders, must buy into the vision and agree that the vision is positive for the organization" (Whelan-Berry & Somerville, 2010, p. 180). Therefore, it cannot be assumed that all FC employees will immediately embrace or fully understand the overall objective of the OIP or the importance of their specific roles in helping achieve that objective.

Given that I will be incorporating a distributed leadership (Kezar & Eckel, 2002) approach within FC's hierarchical structure through the OIP process, I will start by ensuring the entire leadership group (through the PC) fully understand the goals and objectives of the OIP, agree that there is a need for the change, and agree with the change process (Whelan-Berry & Somerville, 2010). This is an essential early step within the OIP process. The PC will play a key leadership role throughout the change management process, using tangible evidence to support the need for change as described throughout this OIP (Calegari et al., 2015). Discussions with the PC will identify and determine how each department and individual across the institution could be engaged and communicated with throughout the OIP process. Detailed engagement and communication plans are described in Chapter 3.

## **Leadership Considerations**

FC's strategic plan was created through a highly collaborative process engaging all internal and various external stakeholder groups. I am the change leader, the primary agent for change, and the initiator of the required change. The executive team members each have

individual and portfolio-level responsibilities to achieve the outcomes of the OIP. They will be initiators of the change and will lead and facilitate the change process with their respective teams with my visible and practical support. PC members will have departmental and individual level accountabilities to achieve and support the outcomes of the OIP. Some members of the PC will be directly responsible for achieving established revenue targets in alignment with the OIP, and others will be involved in an indirect and supportive manner. The OIP implementation will require significant coordination, collaboration, and active engagement through a distributed leadership approach within FC's hierarchical structure, as elaborated further in Chapter 2.



## **Chapter 2: Planning and Development**

Chapter 1 described the context in which FC operates and discussed my positionality and agency within the organization to address the identified PoP of becoming less reliant on government operating grant funding. Chapter 2 expands on my leadership approach to change, the change framework and change model that will be used, and FC's organizational readiness for the change, as well as identifying one key solution to address the PoP.

### **Leadership Approach to Change**

As identified in Chapter 1, I have used a distributed leadership approach throughout my career, and it will be the dominant leadership approach for the OIP process. This approach has proven successful, as it empowers other leaders within the organization and we accomplish more together than I could alone. In addition, five change management leadership principles have been foundational to my change leadership practices:

1. Different people react differently to change (Argyris, 1994; Kavanagh & Ashkanasy, 2006; Kezar, 2018; Whelan-Berry & Somerville, 2010).
2. The reasons for the change must be clear (Jappinen, 2017; Kezar, 2018; Pundyke, 2020; Whelan-Berry & Somerville, 2010).
3. Long-lasting change must involve the people (Deszca et al., 2019; Kezar, 2018; Pundyke, 2020; Whelan-Berry & Somerville, 2010).
4. Resistance to change is usually due to perceived loss (Buller, 2015; Kezar, 2018).
5. Change is not always onerous (Buller, 2015; Kezar, 2018).

### **Five Change Management Leadership Principles**

In this section, I describe examples of applying the five foundational principles for leading the OIP implementation, with a discussion of their application in a distributed leadership

model in the following section. FC's 20 PC members have portfolios with varying degrees of responsibility and accountability. Some individuals/departments will lead in addressing the PoP, while others will operate in a supportive role. Therefore, PC leaders must respect the varying perspectives that will exist through the OIP process and that different people/departments will react differently to this change initiative.

Further, all employees had the opportunity to influence the college's new strategic plan, and that consultation became the College's first chance to articulate a clear vision for the institute-wide change to become less reliant on government operating grant funding. This aligns with the third principle of involving the people, ensuring FC's employees obtain a deep understanding of the change initiative (Whelan-Berry & Somerville, 2010) and how they can affect the success of the change initiative (Kezar, 2018); this engagement will potentially elevate their commitment to the change initiative and gain further trust with the institution (Burnes et al., 2018; Dirks & Ferrin, 2001).

According to Buller (2015), "people don't really fear change...they fear loss" (p. 30). Resistance to change should be expected, and it will be important to identify strategies to mitigate perceptions of loss (Sheridan, 2012). In the OIP implementation at FC, leaders will not be focused on what departments or individuals will be giving up, but on what they "stand to gain" (Buller, 2015, p. 31). There may be incentives and opportunities to engage in activities that were not previously available. Sometimes resistance to change is due to the perception that new approaches will replace current practices (Buller, 2015). The OIP is an evolutionary change initiative (Buller, 2015) and is not meant to be onerous as the college already performs various activities related to the OIP, albeit in a siloed manner. Along with the foundational leadership principles, the OIP will be implemented with a distributed leadership approach.

## **Distributed Leadership**

Distributed leadership acknowledges multiple levels and sources of leadership existing within organizations, but it involves a shared sense of leadership that focuses on “interdependent interactions rather than independent actions” (Harris et al., 2022, p. 439). That is, leaders operate and contribute together with shared and reciprocal levels of influence (van Ameijde et al., 2009), collectively leading each other (Avolio et al., 2009). Distributed leadership reinforces and develops relationships (Avolio et al., 2009), builds leadership capacity with more people involved in the change process (Kezar, 2018), and is most effective when “leaders and followers are able to develop effective relationships that result in mutual and incremental influence” (Avolio et al., 2009, p. 433). Buller (2015) suggested, however, that change initiatives in hierarchical HEIs like FC that are led by a top-down distributed approach are usually unsuccessful. That is, it is not unusual for hierarchical organizational leadership structures to “triumph over agency” (Youngs, 2017, p. 144). Further, “in a distributed organizational culture, quick, decisive and bold action, decisions made without adequate consultation and a refusal to revisit issues are all fatal for morale” (Buller, 2015, p. 88). Harris et al. (2022), acknowledged the above critiques of distributed leadership, but they reaffirmed that it is based on the “co-performance of leadership and the reciprocal interdependencies” (p. 441) between leaders, even in top-down hierarchical structures. Thus, the PC will collectively and interdependently lead the change initiative, and with the understanding that different people react differently to change, revisit issues through an iterative implementation process.

This leadership approach shares and spreads areas of responsibility by supporting team-based structures within a hierarchy, providing opportunities to challenge power imbalances, and fostering successes through effective leader–follower relationships (Avolio et al., 2009). It “links

individual leaders and experts in collaborative activities” (S. Jones et al., 2014, p. 614), improving the probability of successful change, because collaboration in this manner creates a culture of trust, improves the credibility of its leaders, and adds legitimacy to the change process (Burnes et al., 2018; Dirks & Ferrin, 2001; Kezar, 2018).

According to Appelbaum et al. (2012), and in alignment with distributed leadership practices, “good managers keep change management process under control, while good leaders create the vision to drive the change” (p. 768). Kotter (2012) suggested a coalition to formulate the change vision and ensure it is communicated throughout the organization (Appelbaum et al., 2012). According to Deszca et al. (2019), it is essential to bring together a group of people who have the appropriate level of power, authority, and influence at the institution to lead change (Appelbaum et al., 2012), and includes the institution’s key leaders (Kezar, 2018). The coalition should also assist in taking a broad, holistic approach to minimize the possibility of inadvertently excluding a stakeholder group. As EDID considerations are embedded in FC’s mission statement, its new strategic plan, and this OIP, the coalition must ensure that the interests of its leadership group do not overpower and dominate the change implementation process without authentically engaging in two-way communication with staff, faculty, and administration throughout the implementation process (Jappinen, 2017; Sensoy & DiAngelo, 2014). Some strategies are described in the Ethical and EDID Considerations section later in this chapter.

At FC, the coalition will be the PC, which will formulate a clear vision of the change initiative as articulated in the strategic plan and in Kotter’s (2012) third step to “educate those that need to execute it” (Kaplan & Norton, 2007, p. 8), communicate it throughout the organization (Appelbaum et al., 2012), and not assume that simply making the college community aware of FC’s goals is sufficient. In addition, the vision must include the

implementation plans and steps (Deszca et al., 2019) which are discussed in Chapter 3.

Because we will operate the OIP through a functionalist lens and structuralist perspective, it is important that all individuals and departments at FC understand their respective roles, responsibilities, and level of influence throughout the OIP process. “While a guiding coalition has its advantages, change will not come unless frontline staff engages in adaptive behaviour” (Appelbaum et al., 2012, p. 769), and “shared sensemaking and collaborative actions have been seen to be powerful in coping with unknown situations” (Jappinen, 2017, p. 462). By following the adopted five change management principles through a distributed leadership approach, individual and group perspectives will be considered throughout the OIP process without compromising the mandate of our institution. This broad leadership approach will be implemented through the comprehensive change framework described below.

### **Framework for Leading the Change Process**

Appendix A illustrates the conceptual framework for this change process: FC operates within a neoliberalist economic and political environment, and the OIP is viewed through a functionalist lens and structuralist perspective. FC’s strategic plan, which was conducted through a highly collaborative process, established institutional priorities for FC and the OIP, and included a framework for change. Based on an initial readiness assessment for the OIP, the scope of change appears to be aligned with first-order change principles. That is, the OIP will be process-oriented versus structure-oriented (Kezar, 2018) and will seek to adjust existing practices (Bartunek & Moch, 1987) at FC related to the PoP through an institutional-focused lens (Kezar, 2018). Second-order changes (i.e., those based on underlying values, assumptions, and culture; Kezar, 2018) might be necessary after performing a broader change readiness assessment as we progress through the OIP process (Deszca et al., 2019; Kezar, 2018).

## Change Theories

As its dominant change theory, the OIP's change framework uses scientific management, which focuses on "standardization of routines, and rational, rather than ad hoc [research and management methods]" (Parker & Jeacle, 2019, p. 1890) and "views management as the process of getting things done by operating independently or as a group (Awofeso, 2019, p. 1). Further, Kezar (2018) explained, "First-order change strategies are likely to be drawn from scientific management" (p. 159), which centre on rationality, planned change, assessment, stakeholder engagement, organizational development, and strategic planning to advance change (Kezar, 2018). Scientific management change theories also view organizations as purposeful and adaptive; they may include incentives/rewards, restructuring, and reengineering; and involves leaders/change agents who see the necessity for change and progress through rational, structured, and linear approaches to change (Kezar, 2018).

Critiques of scientific management change theories suggest their implementation creates a lack of trust between employees and supervisors, relies on top-down leadership, and assumes organizations operate within a stable environment (Parker & Jeacle, 2019). However, given that the OIP will be led through a distributed leadership approach, scientific management change theory is appropriate for this OIP for several reasons: It assumes organizations are purposeful and adaptive, focuses on planned change and organizational development, uses strategic planning to advance change through rational approaches (Kezar, 2018; Parker & Jeacle, 2019), and it aligns with functionalist and structuralist approaches. Also, FC will use a version of a balanced scorecard (BSC) that will be developed collaboratively by supervisors and employees and will be used to implement the change while assisting with role clarity. The BSC is discussed in greater detail later in this document; however, collaboration between supervisors and employees is

essential during the BSC development process to help address some challenges associated with scientific change management theory principles. Therefore, in alignment with this change theory, the BSC allows organizational leaders and change agents to progress through the change implementation process in a structured and rational manner (Kezar, 2018). Given the above and as demonstrated in Appendix A, the college's strategic plan will directly influence how the OIP will be led, the change theories and change models that will be applied and implemented, and how the OIP will be monitored, evaluated, and communicated.

Kezar (2018) suggested that change initiatives have a greater chance of success by applying multiple theories toward change because individual change theory frameworks on their own do not address all elements that need to be considered during a change initiative. Appendix B summarizes how elements from other change theories can be incorporated into each of Kotter's (2012) steps. For example, evolutionary change theories assume "change is the result of, and dependent on, circumstances, situational variables, and the environment faced by each organization" (Kezar, 2018, p. 50) and FC's strategic plan was built on those assumptions. This evolutionary approach also recognizes that leaders will continue to make decisions based on environmental factors, acknowledge the interdependencies throughout the organization, and the importance of stakeholders throughout the change process (Kezar, 2018). Institutional change theory approaches also look at external factors' implications (Kezar, 2018); however, they suggest that institutions "need to respond slowly and with great care, as their underlying character can be dramatically altered with a change to mission" (Kezar, 2018, p. 116).

Social cognitive change theories apply an interpretive and individualist approach to change (Kezar, 2018). In them, change agents focus on sensemaking opportunities and overcoming potential resistance and obstacles from stakeholders (Jappinen, 2017; Kezar, 2018).

Cultural change approaches take a similar interpretivist lens toward change; however, these approaches also recognize how structural and cultural approaches are “intertwined with one another” (Moynihan & Landuyt, 2009, p. 1097). Cultural theory approaches are vital in Kotter’s (2012) final step as the OIP is institutionalized. Finally, political change theories focus on “building coalitions, identifying allies, and creating a collective vision” (Kezar, 2018, p. 158), recognizing the importance of power throughout the change process (Bolman & Deal, 2017; Manning, 2018). As articulated above and in Appendix B, various change theories fit within the change framework. However, this OIP will incorporate an iterative version of Kotter’s (2012) eight-step model for change within the scope of the identified change framework.

### **Kotter’s Eight-Step Model for Change for Successful Implementation**

In alignment with scientific management change theory and functionalist/structuralist approaches, Kotter’s (2012) model for change will be used to implement the OIP. It is a processual change model (Errida & Lofti, 2021) that is balanced, prescriptive, and structured to provide a detailed map of the change process (Kezar, 2018). It identifies the associated expectations from each step and is especially useful when planning for institutional change (Deszca et al., 2019). Appendix B identifies how each of Kotter’s steps incorporates the adopted five leadership principles of change, the relevant change theories used, the roles of leaders and stakeholders, and how each step will be implemented throughout the OIP process. These steps are discussed briefly below and expanded upon in Chapter 3.

#### ***Step 1: Establishing a Sense of Urgency***

Building on the principles that the reasons for change must be clear and that different people react differently to change, acceptance of the vision and goals of the OIP is critical. This step creates a sense of vulnerability among stakeholders (Calegari et al., 2015), and at FC, the



sense of urgency was articulated during the strategic planning process. The strategic planning and engagement therein also helped identify the major opportunities (Calegari et al., 2015) and the attractiveness of the change (Appelbaum et al., 2012) through entrepreneurial-type activities (Sporn, 2006) that could allow FC to expand its programs to meet the objectives of the OIP.

### ***Step 2: Creating the Guiding Coalition***

Building on the principles that change must involve the people and that change is not always onerous, this step recognizes that leading institutional change cannot be achieved by one person. The PC is the coalition that will lead the OIP process and formulate and communicate the vision for the change throughout FC (Appelbaum et al., 2012; Errida & Lofti, 2021).

### ***Step 3: Developing a Vision and Strategy***

Building on the principles that the reasons for the change must be clear, that change must involve the people, and that resistance to change is usually due to perceived loss, the PC will lead this process and shared sensemaking and collaboration throughout the OIP implementation. For example, the development of the BSC will help translate FC's priorities into goals and objectives at departmental and individual levels (Kaplan & Norton, 2007). Through two-way communication, individuals and departments can clarify roles, responsibilities, and accountability expectations in collaboration with their respective supervisors. This process formalizes the BSC as a tool to measure, monitor, evaluate, and communicate progress (Calegari et al., 2015) throughout the OIP, as discussed in Chapter 3.

### ***Step 4: Communicating the Change Vision***

Building on all five of the change principles, this step recognizes that the vision needs to be communicated in a credible and easy-to-understand manner through multiple channels (Kang, 2015). "Creating a clear and shared vision is considered a critical early step of a change process"

(Errida & Lofti, 2021, p. 5), and the PC will be responsible for communicating the vision to minimize uncertainty. The BSC will assist in communicating the vision (Reda, 2017), and in Chapter 3, I detail communication channels (Kang et al., 2020) to assist the PC in this step.

#### ***Step 5: Empowering Employees for Broad-Based Action***

Building on the principles that different people react differently to change, that change must involve the people, that resistance to change is usually due to perceived loss, and that change is not always onerous, this step recognizes that “employees often need help in getting rid of obstacles to the change vision” (Appelbaum et al., 2012, p. 771; see also Kang et al., 2020; Kezar, 2018), and need to be empowered to be able to play influential roles throughout the change process (Kotter, 2012). Some barriers could include staff emotions about how this change will impact them directly (Argyris, 1994), lack of training, structures, or systems (Appelbaum et al., 2012), or being underresourced financially (Whelan-Berry & Somerville, 2010). I will ensure resources are available and support the coalition, ensuring they and their employees feel empowered throughout the change process.

#### ***Step 6: Generating Short-Term Wins***

Building on all five of the change principles, short-term wins are critical to demonstrate that the change initiative is paying off, keeping employees motivated (Deszca et al., 2019), and allowing the college to reward successes (Appelbaum et al., 2012; Kang et al., 2020). As in previous steps, the BSC will be vital for this step.

#### ***Step 7: Consolidating Gains and Producing More Change***

Building on all five of the change principles, this step recognizes the need to continue the momentum from the previous steps. According to Appelbaum et al. (2012), employees may lose the sense of urgency over time, become complacent, and revert to old methods and approaches.

Building on Steps 4 and 6, the change process will be monitored regularly, evaluated, and communicated so that employees remain passionate about achieving desired goals (Kang et al., 2020). Further, the change needs to be continually supported and encouraged by the coalition (Calegari et al., 2015), and I especially need to ensure resource availability.

### ***Step 8: Anchoring New Approaches in the Culture***

Building on all five of the change principles, this step recognizes the need for continuous improvement opportunities for the desired change to be embedded within the institution's culture, norms/values, operations, and processes (Deszca et al., 2019; Kezar, 2018; Whelan-Berry & Somerville, 2010). Following functionalist equilibrium theory, the goal of this step is for the change to become the institution's new status quo (Calegari et al., 2015).

### **Barriers, Challenges, and Limitations**

Some barriers, challenges, and limitations of the chosen change framework were identified earlier, and Kezar (2018) noted that "change initiatives often start successfully but then fail during the implementation phase" (p. 131). In this OIP, however, the BSC provides opportunities to regularly assess the OIP process, continue engagement, acknowledge successes, monitor performance, and implement an iterative version of Kotter's (2012) change model which will keep the change process focused (see Appendix A). Second, Deszca et al. (2019) suggested that change-related challenges are more likely due to organizational structural/systems challenges. A limitation of scientific management change theory is that those in positions of power can overestimate the role of leadership and downplay the many barriers and obstacles that can emerge through the change process (Awofeso, 2019; Kezar, 2018). Through a distributed leadership approach, I must ensure FC has the infrastructure in place to address components of the OIP; Kotter's Step 5 will be revisited to ensure barriers are removed, and Steps 7 and 8 will

determine how the college may need to restructure to institutionalize change if and when necessary. Third, Kotter's structured/linear model overlooks the importance of revisiting previous steps to make necessary adjustments (Appelbaum et al., 2012); therefore, the OIP will include an iterative approach to Kotter's model (Kang et al., 2020). Each step can be revisited at any time, and the college can adapt and adjust to emerging internal and external circumstances as required (Kang et al., 2020). However, before delving too far into the OIP process, assessing FC's readiness for the proposed change initiative is important.

### **Organizational Change Readiness**

The previous sections in this chapter focused on leadership and change framework considerations for the purposes of the OIP. However, a change readiness assessment for the proposed change (Weiner, 2009) is required before fully implementing the OIP.

#### **Change Readiness and Its Significance**

Organizational change can be defined as "deliberate and planned change" (Wang et al., 2020, p. 4) to help organizations improve their performance. Organizational readiness for change refers to the collective perceptions of individuals or groups about their shared level of commitment to change and shared beliefs of their ability to implement and achieve the outcomes of the initiative (i.e., *change efficacy*; Errida & Lofti, 2021; Wang et al., 2020; Weiner, 2009).

Change efficacy, change valence, and commitment to change are all critical factors when assessing change readiness. *Personal efficacy* refers to how individuals within an organization believe they can play a role in influencing a change initiative, and *organizational efficacy* refers to how various departments throughout the organization believe they can successfully implement the change organization-wide (Wang et al., 2020). Individuals and departments within an organization must believe that the proposed change will achieve the desired outcomes, will

benefit them individually (*personal valence*) and/or collectively (*organizational valence*; Wang et al., 2020), and that the organization has the appropriate resources to implement the change (Weiner, 2009). However, “commitment to change is the glue that provides the vital bond between people and change goals” (Wang et al., 2020, p. 10), and a change readiness assessment will assist in addressing these factors.

Conducting change readiness assessments before implementing change initiatives is essential as “failure to establish sufficient readiness accounts for one-half of all unsuccessful, large-scale organizational change efforts” (Weiner, 2009, p. 2). In previous sections, I articulated the need and desire for change, board and executive support, shared vision through the strategic plan, and how all employees will be actively engaged through a distributed leadership approach. The next step in the change process is to conduct a change readiness assessment to ensure FC is ready and able to address the changes in the OIP (Kusek & Rist, 2004).

### **Organizational Readiness Tool**

Unlike needs assessments which focus on whether an organization requires certain elements or systems in place to conduct their business, readiness assessments focus on whether an organization is ready and able to move forward on any change initiative that might be required (Kusek & Rist, 2004). Several readiness assessment models exist; however, Deszca et al.’s (2019) Organization’s Readiness for Change tool, which assesses six categories, will be used for the purposes of this OIP. The first category in the tool assesses how previous experience with change initiatives at an individual, departmental, and organizational level could impact how employees may perceive any change initiative that might come their way. For example, “employees tend to become disillusioned and cynical” (Deszca et al., 2019, p. 111) if past experiences were unproductive or did not achieve the expected goals of the change.

The second category assesses the level of executive support required for change to be successful (Deszca et al., 2019; McKnight & Glennie, 2019), and at FC, this initiative is fully supported by its board, president, and executives. Third, the leadership group and change champions need to be credible in the eyes of all relevant stakeholders. Through the coalition (the PC), the college's senior management team will be visible and will help collaboratively lead the change process, respecting the relationships that need to exist between the college's leaders and followers (Avolio et al., 2009; McKnight & Glennie, 2019). Fourth, employees must be open to change (Deszca et al., 2019). This category aligns with Kotter's (2012) first step, which also identifies the need for change, and at FC, all employees participated in creating the strategic plan and, ultimately the OIP change initiative. This approach recognized that if "members do not feel they own the change, chances of success are dismal at best" (McKnight & Glennie, 2019, p. 3). Fifth, Deszca et al. (2019) recognize that employees will seek to ask, "what's in it for me/us questions" (p. 112), and the need for awards/incentive programs should be assessed as a component of the readiness assessment process. That is, if employees do not see any benefits of the change, the level of efficacy, valence, and commitment to the change initiative might be challenging (Deszca et al., 2019). Finally, it will be important to assess whether FC has appropriate mechanisms to measure, track, and assist it if strategies need to be adjusted throughout the OIP process (Deszca et al., 2019).

Deszca et al.'s (2019) tool is appropriate for the OIP because it aligns with scientific management change theory characteristics. It is rational, promotes planned change, involves assessments and stakeholder engagement, is tied to strategic planning, supports the involvement of incentives/rewards, and involves leaders/change agents throughout the process (Kezar, 2018). Furthermore, it aligns with functionalist/structuralist perspectives, the coalition's role in

implementing Kotter's (2012) change model process, my leadership style, and the five change management principles.

### **Implementing the Change Readiness Tool**

Any readiness assessment process must consider organizational responsibilities and capabilities and who will participate in this process. It will be important to include those who can influence the planning process, have expertise regarding the change initiative, have a vested interest in the change initiative, and play key roles in the change process (Kuenkel et al., 2021). To address these needs, the executives and I each completed Deszca et al.'s (2019) readiness assessment tool shortly after FC's strategic plan was finalized. Appendix C provides details of the responses, and Appendix D summarizes responses by category.

### **Analysis and Discussion**

Although the PoP makes the need for change clear, key stakeholders may not share that opinion or feel any action is required (Deszca et al., 2019). All employees were involved throughout the strategic planning process, but it was important to assess how ready each of FC's executives believe the college is to address the PoP and to determine how differently each executive will respond to each criterion in Deszca et al.'s (2019) tool.

As shown in Appendix C, the number of questions under each category varies, and each question requires a respondent to score each question based on a predetermined numerical scale range unique to each question. The tool's total can range from -25 to +50, and the higher the score, the more ready the department or organization may be for the change (Deszca et al., 2019). Appendix D summarizes FC's readiness to change through the lens of its executive. It appears that I am more optimistic about FC's readiness for a change than the other executives. My total score of 42 is close to the maximum available score of 50, which is higher than any

other executive's total. This is an important finding, as this preliminary assessment demonstrates that I cannot assume my executives are as prepared and ready for the change initiative as I am. However, except for one executive whose total score was 25, the other executive's total scores are relatively high given the minimum and maximum scores available, ranging from 33 to 36. Therefore, it appears that all executives perceive FC is prepared for the proposed change but not equally. One executive consistently scored lower across all categories, which could be attributed to their length of time at the organization. To preserve anonymity, I will not analyze this finding further in this paper, but I will discuss it further with the individual involved.

The results also suggest that most of the executives feel there is strong support from the executive for the proposed change (responses ranged from 4 to 7, with an available range of -3 to +7) and that they feel there is credible leadership and appropriate change champions in place (responses ranged from 7 to 10 with an available range of 0 to 11). These results appear optimistic but should be expected, given that the respondents are the leaders being evaluated by the tool. A key next step is to have the full PC complete this assessment. As my scores were higher than other executives', it will be important to review how each PC member responds compared to their respective executives before proceeding further in the OIP process.

Two areas had very high scores: Assessment of rewards for change had responses ranging from 1 to 2, with an available range of -5 to +2, and measures for change and accountability had responses ranging from 2 to 4, from an available range of 0 to 4. These scores suggest the executives perceive FC to be well prepared and ready for the change related to these categories. However, as above, an essential next step will be to ensure that the perceptions of PC members align within the coalition before proceeding with the implementation of the OIP. Finally, the category scoring the lowest totals pertained to previous change experience, with



responses ranging from -1 to 2 from an available range of -8 to +4. This category was not focused on the OIP specifically, but rather on the perspectives of each executive on their experiences with change at FC. Except one executive, the responses were at the high end of the scale in this category.

In summary, it appears FC is at the *actualization stage* (i.e., high level of organizational and individual readiness), with high levels of efficacy, valence, and commitment at the executive level for this change (Wang et al., 2020). It appears FC is ready for this proposed change, but this will be confirmed after reviewing the PC members' responses on the same tool. Any gaps in perceptions will then be discussed, understood, and addressed before proceeding with the OIP process.

### **Solutions to Address the OIP**

The previous sections in this chapter described my distributed leadership approach, the change management framework, and a preliminary readiness assessment for the OIP change initiative. In this section, I confirm what needs to change, discuss three possible solutions to address the PoP, and identify the preferred solution that will be implemented in the OIP.

#### **What Needs to Change**

As mentioned in Chapter 1, HEIs have encountered challenges for decades with declining per-student government operating grants, expectations to do more with less available funding, competing in an ever-changing global economy, and a growing emphasis on seeking alternative revenue sources (Manning, 2018; Sporn, 2006). Public HEIs have historically relied heavily on government grants to support their operations and are constantly adjusting their activities and priorities based on the financial constraints they experience (Teixeira et al., 2014). This has led to ongoing operational risks, and diverse revenue streams are needed so HEIs can become less

dependent on provincial grants, as discussed in the Leadership Problem of Practice section. Even though most HEIs face these same challenges, not all HEIs respond to them similarly (Teixeira et al., 2014).

Many revenue diversification activities for HEIs are identified in the literature. Ideas from Alstete (2014), Fethke and Policano (2013), Shariff and Kronenberg (2018), Sporn (2006), and Teixeira et al. (2014) include (a) commercialization through applied research and technology transfer; (b) continuing education and customized courses and programs; (c) effective asset utilization, allocation, and distribution; (d) engagement and partnerships with third parties; (e) auxiliary services; (f) tuition and fees; (g) advancement initiatives (e.g., philanthropic and , endowment activities, corporate and private donations, fundraising, scholarships, bursaries); (h) international education; and (i) expense-related efficiencies. As mentioned in Chapter 1, conducting diversification activities is not new to FC and is embedded within its operational culture; however, current activities in these areas have not been focused on how they benefit FC as a whole. The OIP takes an institutional approach to how each individual and department can work together to meet the objectives as outlined in the strategic plan and the OIP. Appendix E identifies FC's current revenue streams, with approximately 33% of revenue from sources outside of operating grants. However, the desired future state requires FC to increase diversified revenue with an institutional focus and explore expense-related efficiencies (Alstete, 2014; Fethke & Policano, 2013).

### **Three Possible Solutions**

The OIP provides an opportunity for FC to enhance its current revenue-generating activities; however, exploring each potential solution must consider whether it can effectively achieve the outcomes of the OIP, the level of resources required, and ethical implications. The

three solutions for consideration are (a) increase revenue through tuition, fees, and new programs (Solution 1); (b) increase focus on sales and services and effective utilization of college assets and finances (Solution 2); and (c) a hybrid approach that enhances all existing activities in Solutions 1 and 2, and those that are beyond those two solutions (Solution 3). All three solutions are feasible in that the college is already performing these activities in some capacity, they are all currently contributing to revenue totals, they are all tied to the college's strategic plan, and their activities can be enhanced to support the outcomes of the OIP with an institutional focus.

***Solution 1: Increase Revenue Through Tuition, Fees, and New Programs***

Tuition is an important source of revenue for HEIs (Li & Zumeta, 2015), and as public support for higher education has dwindled over time (Fethke & Policano, 2013), increasing tuition and fees has become a trend for HEIs as a revenue diversification strategy. However, this approach has limited students' access to education, especially those from underrepresented, underprivileged, and lower socioeconomic status groups (Fowles, 2014). As shown in Appendix E, tuition and fees represent approximately 14.4% of FC's revenue (\$7,881,298; 44.7% of alternative revenue) and include all courses and programs regardless of the level of credential delivered or delivery method (e.g., full-time, part-time, continuing education, corporate training, microcredentials), and both domestic and international student tuition and fees that are not subsidized by government operating grants.

This solution is not focused on increasing the cost of tuition and fees for students but rather on increasing the programming and courses made available to students and thereby increasing the number of students. For example, FC will introduce 18 new full-time programs in its fall 2023 program offerings in addition to its existing ones. The new programs will allow domestic and international students more opportunities to access programs aligned with industry

needs (Hogan & Trotter, 2013) that were previously not offered at the college. Further, FC will seek ways to continue to enhance and support its international education strategy to increase those student enrollments to raise tuition and revenue financial totals.

***Solution 2: Increase Sales and Services, and Effective Utilization of Assets and Finances***

Some HEIs have shifted to conducting their operations like a business, which is inconsistent with traditional cultures within the HE sector and does not always align with academic priorities (Fethke & Policano, 2013). This shift has led HEIs to be externally focused, improve the effectiveness and utilization of their assets and other resources, and identify innovative ways to gain more control of their institutional expenses and budgets (Shariff & Kronenberg, 2018). Some examples of these activities include long-term leases for underutilized campus facilities, conference rentals, sales of auxiliary and other retail services, and utilization of residences during off-peak periods (Hanover Research, 2021).

At FC, these types of initiatives account for approximately \$5.5 million in revenues through three major activities: investments in government business enterprises, sales and services of products, and a small amount of other revenue. Together these represent 10% of all revenues the college generates and are derived through activities such as FC's land trust, housing, facilities rentals, theatre events, sports and recreation, bookstore, and food services. FC uses only 60% of its entire facility capacity and has adequate facility space to support potential revenue-generating opportunities. Along with revenue diversification strategies, effective financial management strategies can contribute to achieving the goals of the OIP.

***Solution 3: Hybrid Including Activities in Solutions 1 and 2, and More***

Solutions 1 and 2 represent 24.3% of FC's total revenue, and the remaining 8.2% of its alternative revenue is from activities such as federal and other government grants, investment

income, and donations and other grants. These activities include applied research grants; funds raised through advancement and other related activities; and federal, provincial, and municipal grants that differ from the provincial operating grant allocations. Advancement and similar activities are becoming more prevalent across all HEIs (Li & Zumeta, 2015), and enhancing these three activities on their own may not be sufficient to address the objectives of the OIP. However, my agency as the PCEO makes Solution 3 an appropriate solution to consider as the OIP will be implemented through an institution-wide lens.

### **Analysis and Discussion**

In this section, I compare each of the identified solutions through three criteria: the ability to effectively close the gap between the FC's current state to its desired future state of being less reliant on provincial operating grant funding, the level and types of resources required for effective change implementation, and ethical and EDID considerations for each solution.

#### **Ability to Close the Gap Between Current State and Desired Future State**

Each solution is currently being implemented at FC, but it is important to determine how each would achieve the desired future state via the OIP. Appendix F compares how each solution aligns with the strategic plan, would contribute financially, and is supported by academic literature. I scored each solution on a four-point scale from 1 (*low*) to 4 (*high*). Solution 1 aligns directly with 17 of FC's strategic plan's initiatives, Solution 2 aligns with eight initiatives, and Solution 3 aligns with all 20 initiatives. Solution 3 scored the highest in this category at 4.0, followed by Solution 1 at 3.5, and Solution 2 at 2.5.

As shown in Appendix E, 67.4% of college revenue is derived from government operating grants, and therefore, the remaining 32.6% of FC revenue is realized from alternative sources. From that 32.6% total, and as identified in Appendix F, Solution 3 scores the highest

when comparing the average of the subcategories for each solution (i.e., Solution 1 = 3.3; Solution 2 = 2.8; Solution 3 = 4.0). However, Solution 1 contributes most financially to the college compared to the other solutions, representing 44% of the total alternative revenue currently generated by the college. This solution focuses on expanding revenue through increased programming, innovative alternative delivery methods, increasing access opportunities, growing domestic and international student enrollments, improving student retention and conversion rates, and expanding pathways opportunities (Fethke & Policano, 2013; Shariff & Kronenberg, 2018; Teixeira et al., 2014). As a result, it scores high (3.0) on its ability to contribute financially and academic literature support (3.5). Solution 2 scores lower on the financial impact scale (2.5) despite scoring high on literature support (3.5). Although Solution 2 represents 31% of the total alternative revenue currently generated by the college, expanding these activities is challenging because they are usually of lower priority at HEIs than academic priorities. Solution 2 has the added benefit of operational efficiencies to meet the OIP's objectives, but it scores lower than other solutions in its ability to address the financial needs of the OIP.

Finally, revenue-generating activities in Solution 3 that are not included in Solutions 1 and 2 account for 25% of the total alternative revenue currently realized by FC. Enhancing those activities on their own would not be sufficient to meet the objectives of the OIP despite them being supported through academic literature (4.0). However, this solution scores the highest (4.0) on financial impact because it encompasses all revenue-generating activities at the college. Based on this analysis, it appears that Solution 3 is the preferred solution; however, all three solutions must be assessed on the level of resources they require, along with ethical and EDID considerations, before a final solution is selected for the OIP.

## Resource Considerations

FC must assess whether it has the “human, financial, material, and informational resources necessary to implement the change well” (Weiner, 2009, p. 4) and remove any resource barriers that will prevent its success (Appelbaum et al., 2012; Argyris, 1994; Buller, 2015; Whelan-Berry & Somerville, 2010). Appendix G identifies how each solution was compared through three resource categories: time, financial, and human.

The college’s strategic plan covers 3 years (2022–2025), and PBF implications will not be in full effect until 2024, so time resource considerations are similar across all three solutions in that regard. Solution 1 focuses on programming considerations that usually fall within annual academic cycles and conditions, and missing academic cycle approval deadlines could delay program implementation by a semester or more. FC recently approved implementing 18 new programs in 2023, resulting in a relatively low time-resource requirement score of 2.5 for Solution 1. This score may vary over time given the nature and volume of courses and programs that might require approval. Further, courses/programs being approved does not necessarily mean an increase in student enrollments. As identified in Appendix H, Solution 1 activities are led through the direction of the VPA with support from other areas across the institution. As the number of courses/programs increase, more full-time and part-time faculty and support might be required; thus, financial resource demands might be higher (3.0). Enhanced focus in this area may also require additional staff training to address how FC can improve current conversion and retention practices, manage increased international enrollments, and take an institutional instead of a departmental lens on operations. As a result, human resource considerations are relatively high for this solution (3.5).

Led by all three VPs, most activities in Solution 2 (Appendix I) are related to partnerships

and contract service agreements using available facilities and space at FC. Time-resource considerations are high (4.0) due to the time required to negotiate agreements and for any needed alterations to existing areas, which would also have financial and human resource implications. The financial resources needed would be low (1.0) because the agreement's revenue would offset costs associated with the agreements. However, human-resource-related scores are high (3.5) because the institution-wide focus for this solution may require additional training and information for those supporting Solution 2 activities.

Solution 3 is high in all three areas considered (time = 4.0; financial = 3.0; human = 4.0). Applied research (for example) is a relatively new activity for the college and would require more time and human resources compared to other areas already identified. This area would also need to establish institution-wide collaborations with academic areas and facilities to ensure initiatives have the appropriate funding, space, faculty support, industry support, and additional information and training as required as outlined in Appendix J.

### **Ethical and EDID Considerations**

As mentioned in Chapter 1, entrepreneurial behaviour is prevalent in HEIs today and has led to business-like characteristics such as NPM, which has raised several ethical issues (Van der Wal & Demircioglu, 2020, p. 387). FC's leadership group must consider that further enhancing and supporting entrepreneurial activities could lead to unethical practices. Therefore, the PC's actions will be just as important as any formal policies and guidelines related to the OIP, and FC's leaders must display, communicate, and reinforce expected behaviours by leading by example. Chapter 1 provides an overview of Wood and Hilton's (2012) five ethical paradigm framework, and Appendix K offers more detail on ethical considerations through the lens of the paradigms as each solution was assessed.



### *Ethic of Justice*

This ethical lens suggests that leaders have an obligation and responsibility to ensure their actions and decisions are guided by and follow existing “extant laws, rules, policies, codes and procedures” (Wood & Hilton, 2012, p. 199), with the understanding and acknowledgement that those policies and procedures might not be perfect and can be improved over time. As identified in Appendix K, FC has policies and procedures in place for all activities identified in all three solutions. Two examples include existing policies and procedures related to tuition increase processes, including consultation with students and obtaining board approval, as well as establishing rental or lease agreements with third-party organizations.

### *Ethic of Critique*

Although the ethic of justice lens seeks to ensure policies and procedures are in place and are practiced with the intent to treat all equally, leaders with the ethic of critique lens address whether those policies and procedures advantage or disadvantage one group over another. Solution 1 is focused on increasing tuition and fee revenue, and there is a potential risk that leaders could concentrate on increasing tuition rates, which could disadvantage students from lower socioeconomic or underrepresented groups. FC is intentionally not increasing tuition and fees to students, but rather is focused on increasing the volume of students enrolling in the college through various activities. There is a conscious effort to maintain among the lowest fees in the province and not create further barriers to access to postsecondary education for both domestic and international students. Appendix K provides more examples demonstrating how Solution 1 activity would be considered through an ethic of critique leadership lens.

The ethic of critique leadership lens ensures FC’s alternative revenue-seeking initiatives are aligned with an ethical and conscious broader public lens (Ciulla, 2005; MacKinnon, 2014;

Slocum et al., 2019). Solution 2 seeks to increase revenue through sales and services, rentals of facilities, effective utilization of college assets, and expense-side efficiencies. However, ensuring that the potential revenue from facility rentals will not displace faculty teaching space or other academic priorities will be important. Appendix K provides more examples of how this ethical lens could be applied to Solution 2 activity considerations. Furthermore, as with Solutions 1 and 2, Solution 3 considerations must take into account that neoliberalist pressures and the “privatization of education” (Giroux & Giroux, 2004, p. 285) will lead to market-driven approaches that place a greater emphasis on entrepreneurial behaviour at the expense of institutional mandates (Monahan, 2012). This lens keeps leaders focused on ensuring institutional priorities can still be achieved within existing policies and institutional mandates, but not at the expense of disadvantaging one stakeholder group over another.

### *Ethic of Care*

The ethic of care leadership lens places less priority on policies and procedures and focuses more on personal values, individual development, understanding, and trust (Wood & Hilton, 2012). Neoliberalist pressures have led some HEIs to increase tuition fees for students, which, combined with increased student debt and declining middle-class income, adversely impacts access to postsecondary education across several jurisdictions (Fethke & Policano, 2013). FC will not follow that strategy and compromise the well-being of our students, whether through Solution 1 or Solution 3. Furthermore, with Solution 2 in mind, there is no intent to move faculty or teaching locations into less desirable areas at the college to achieve revenue targets. Employee satisfaction and engagement are important to FC’s leadership group, and leadership through this lens will help minimize employee dissent with revenue-generating and expense-efficiency-related decisions. For example, unilaterally providing rental space in prime

college space for revenue generation as a priority over using that space to benefit students would rightly raise concerns for some stakeholders.

### ***Ethic of Profession***

The ethic of profession leadership lens focuses on ensuring the college remains aligned with institutional vision, mission, and mandates (Wood & Hilton, 2012). However, this lens considers whether a certain activity should be embarked upon, even if it may fall within institutional parameters. For example, in Solution 1 FC will increase programs and access in areas that align with industry needs. Currently, there is a strong labour market demand to support the growth and distribution of marijuana-related products. Providing graduates that meet labour market needs falls within the mandate of FC; however, there would be considerable debate on whether the college should develop and deliver programs that support the marijuana manufacturing sector.

Similarly, for Solution 2, the college may seek revenue by inviting speakers to its theatre. Even though FC and the province support freedom of speech, inviting controversial public figures could lead to reputational risks for the college. For example, the University of Lethbridge experienced significant opposition from students, faculty, and the community for inviting a controversial speaker to their campus. The university later rescinded the invitation, but the situation created significant bad publicity for them (Irete & Dryden, 2023). Applied research opportunities through Solution 3 could raise similar debates.

### ***Ethic of Local Community***

Closely tied to the ethic of profession, the ethic of local community leadership lens is “grounded on the notion the community colleges must serve the needs, interests, and public good of the local community defined as the service region of the institution” (Wood & Hilton, 2012, p.

206). Since their inception, community colleges have been mandated to improve access to higher education and to provide programs and services with a community-based service focus (Hogan & Trotter, 2013; Wood & Hilton, 2012). Solutions 1 and 3 allow employers to have access to an educated workforce locally, with students and graduates who can learn, work, live, and contribute back to the local community. Through this lens, Solutions 2 and 3 allow the college to become focused on becoming more financially sustainable and can further enhance its ability to be a key economic driver for the community (Hogan & Trotter, 2013).

### **Preferred Solution**

As identified in Appendix F, Solution 3 scores the highest when comparing the average of the sub-categories for each solution (i.e., Solution 1 = 3.3; Solution 2 = 2.8; Solution 3 = 4.0). Given the analysis and discussion above, the preferred solution is Solution 3, which incorporates Solutions 1 and 2 and additional activities that are not identified in those solutions. Solution 3 has the highest probability of closing the gap between the current state and the desired state, scoring highest in its alignment with the strategic plan, its financial contribution to achieving the outcomes of the OIP, and how such activities are supported by academic literature.

Regardless of which solution was chosen, applying Wood and Hilton's (2012) five ethical paradigm framework suggests each solution is viable. Although Solution 3 requires the most resources compared to the other two solutions, it provides the best opportunity to meet the outcomes of the OIP and allows the college to break down current silos related to these activities. I will consider resource barriers that may exist and remove them as required. My agency and scope of responsibility align more with the complete institutional focus of Solution 3. The next chapter focuses on implementing the preferred solution.

### **Chapter 3: Implementation, Communication, and Evaluation**

Chapter 1 focused on articulating the PoP within FC's context, and Chapter 2 identified the leadership approaches, change theories, and change models considered in addressing the PoP. Although the OIP is aligned to FC's new 3-year strategic plan, Chapter 3 focuses on implementation, communication, and monitoring and evaluation (M&E) strategies over only the first year of the college's strategic plan. The BSC will be used as a M&E tool and as a way of communicating with leaders and staff.

#### **Change Implementation Plan**

Chapter 2 and Appendix B describe how the five change management leadership principles align with each of Kotter's (2012) steps, and this chapter follows a similar structure. Appendix B illustrates the change theories being applied, how each activity will be implemented ethically, who will be involved, timelines, and anticipated challenges within each of Kotter's steps. The OIP focuses on implementing the plan's first year, but some activities occurred before November 2022, and their implications related to the OIP are discussed below.

#### **Activities Before Implementing Kotter's Eight-Step Model for Change**

In early 2019, FC's board and college executives led a collaborative and consultative strategic planning process. Through a series of regional roundtable discussions (which were virtual during the pandemic), focus groups, focused departmental meetings, all-staff meetings, staff town halls, and online surveys, all college employees had opportunities to provide input on the plan from early 2019 until June 2022. As identified in Chapter 2, to ensure all FC activities align with the priorities established within the strategic plan, I must use a distributed leadership approach. It will be important for me to engage and empower each of my executives, who will do the same with their respective teams to ensure their activities and initiatives align with college

priorities. Further, an iterative application of Kotter's (2012) model will require revisiting various stages in the implementation plan to ensure FC appropriately addresses issues as they may arise at any stage of the OIP process (Kang et al., 2020). As mentioned in earlier chapters, failing to create an environment where employees feel a sense of ownership could adversely impact employee morale (Buller, 2015; Kang et al., 2020). Therefore, although the section below provides a linear representation of Kotter's model and a roadmap for engaging participants, each step could be revisited at any time.

### **Step 1: Establishing a Sense of Urgency**

Engaging FC staff in the strategic planning process has created an environment of cooperation, understanding, and acceptance of the need for change. The sense of urgency was communicated to all employees as identified in Appendix B and led by the board and college executive. A sense of vulnerability was established (Calegari et al., 2015; Deszca et al., 2019), and employee participation led to the creation of the initiative aligning with this OIP, and therefore, addressed an inherent challenge within this step that unless they see the need to do so, people will not be compelled to change (Appelbaum et al., 2012).

Scientific management is the dominant change theory for this OIP, and in Appendix B, I identify other change theories that will be applied as required within each of Kotter's (2012) steps. I am the key central leader of the change initiative with the support of the PC, and through a distributed leadership approach, they will align institutional goals, set expectations (Appelbaum et al., 2012), engage all employees, and continue to reinforce the sense of urgency (Kezar, 2018) related to the PoP. Further, the BSC will be utilized throughout the change implementation process to address employee complacency (Kang et al., 2020) that may occur over time. The PC will demonstrate through nonmanipulative, concrete evidence that the threats

associated with the PoP and the urgent need for change are real (Buller, 2015), as discussed in the M&E section below.

## **Step 2: Creating the Guiding Coalition**

I recognize that “successful change efforts require the backing and ongoing support of powerful and influential organizational decision-makers and stakeholders” (Calegari et al., 2015, p. 36). The PC’s 20 members have appropriate levels of power, authority, influence, and persuasion (Appelbaum et al., 2012; Kezar, 2018) to lead the OIP change initiative and are also responsible for facilitating and encouraging sensemaking throughout the OIP process. Deszca et al. (2019) suggested an appropriate size for a coalition is between 10 and 50 people; therefore, FC’s 20-member PC will represent the guiding coalition identified in Kotter’s model (Appelbaum et al., 2012). I will lead the coalition through a distributed leadership approach.

The coalition formulates the vision for the proposed change and ensures this vision is appropriately and consistently communicated throughout the organization (Appelbaum et al., 2012). This process started in December 2022 when I initiated the BSC development process with a team-building and planning session for PC members to ensure they each understood the priorities of the strategic plan and vision of the OIP (Calegari et al., 2015). This process reinforced that FC is already performing some of the activities needed within the OIP; however, going forward, those activities will require an institutional focus. Leading institutional change cannot be achieved by one person (Appelbaum et al., 2012), and in Chapter 2 it was determined that although not all executives were at the same level of change readiness, they were ready enough to lead the change process. The PC will undertake a similar readiness assessment to ensure all PC members are prepared to lead the change process.

### **Step 3: Developing a Vision and Strategy**

The start of the PC's vision-creating process for change coincided with the BSC development process in December 2022, and the BSC will help guide decisions, activities, and initiatives to support the OIP (Calegari et al., 2015). The vision "guides the change process toward a shared, known, and desirable new state" (Kang et al., 2020, p. 2) and identifies areas of interdependency and accountability, and the implementation plans and strategies required to achieve the vision (Deszca et al., 2019). Because the OIP is aligned with the collaboratively developed strategic plan, the vision for the change should be familiar and acceptable to FC employees as they proceed through the BSC development process (Appelbaum et al., 2012). The vision articulates the urgency of the change, the compelling reasons for the change (Kezar, 2018), how it will be achieved, and by whom (Kaplan & Norton, 2007). Further, as described in Chapter 1, the PC's diverse structure and makeup will ensure the OIP is implemented and led through an EDID lens.

### **Step 4: Communicating the Change Vision**

Discussions about setting the BSC are opportunities to communicate the vision of the change. Developing the BSC will include communication strategies with change recipients in mind (Deszca et al., 2019) to ensure employees can understand, relate to, and negotiate fair baseline and key performance targets that can be reasonably achieved. Some of the proposed communication channels to be used as the OIP is implemented are identified in Appendix B. Although the vision and communication strategies are identified in Step 4 of Kotter's (2012) change model, this step will be revisited as necessary throughout the OIP process.

Because "change leaders have to see themselves as part of the system being changed" (Buller, 2015, p. 101) and through two-way sensemaking communication (Jappinen, 2017), the



PC will use the BSC to communicate the vision throughout the institution. Given that “change recipients who experienced high levels of participation tended to report higher readiness and acceptance to change...and exhibited overall support for the change” (Burnes et al., 2018, p. 145), this process should ensure all staff have a relatively equal understanding of the proposed vision (Reda, 2017). Like their December 2022 sessions, each PC member will discuss with their employees how the BSC will be used as a communication tool and instrument to identify initiatives aligning to the strategic plan and OIP in February 2023. That is, the BSC will be presented during meetings and used as a discussion point between employees and PC members. I will facilitate 15 sessions (one for each of the 15 nonexecutive PC portfolios) with the support of the respective executive and PC leader assisting in the facilitation process.

The development of the BSC is part of this OIP, so it is not yet complete. Appendix L provides examples of activities that could be identified to achieve the outcomes of the OIP, how they will be achieved, and associated timelines. Without authentic two-way communication with FC employees, it is inappropriate to presume at this time that the list of activities in Appendix L is exhaustive. I expect the proposed activities to be expanded upon, enhanced, and added to through the transparent, collaborative process described below.

### **Step 5: Empowering Employees for Broad-Based Action**

As identified in Chapter 2, the chosen strategy for the OIP requires the most resources of the three solutions considered. I have the ultimate responsibility to ensure resource considerations are addressed and remove obstacles where necessary (Appelbaum et al., 2012; Kezar, 2018), mainly because unsuccessful “change efforts are often under-resourced” (Whelan-Berry & Somerville, 2010, p. 179). Further, the executives and I must reinforce the importance of the coalition and provide support for each PC member (Calegari et al., 2015), as well as

continue to provide role clarity, identify departmental interdependencies, and sensemaking communication as required (Kezar, 2018; Jappinen, 2017). Thus, the coalition will seek to obtain broad and diverse perspectives on institutional priorities by safely engaging with and sharing knowledge between leaders and followers across the organization (Avolio et al., 2009). The BSC development, implementation, and M&E practices will assist with all these activities.

As identified in Chapter 2, incentive programs can be introduced to help remove some barriers that might arise during the OIP process. The PC can support areas that may require upskilling to build institutional capacity, given they are in positions of power and authority to “reallocate funds within institutional budgets to support change” (Kezar, 2018, p. 137). As identified in Appendix B, the PC may conduct change readiness assessments within their respective portfolios to identify training opportunities for employees. The BSC development process within each department should identify other potential barriers that might need to be addressed. For example, the above steps will better inform each PC member of their financial budget requests for the upcoming budget year. Based on those submissions, the executive will be able to determine the level of resources and/or barriers that might need to be considered or removed for the OIP. Resources required to remove obstacles will be built into the draft budget presented to the board in April 2023, and the board should approve the budget by June 2023. Unfortunately, financial resource-related barriers may delay the implementation of some initiatives after the first year of the OIP implementation. Because not all initiatives will be implemented and achieved in the first year of the strategic plan, I must address barriers as required.

#### **Step 6: Generating Short-Term Wins**

The BSC will be a key M&E tool to communicate the successful implementation and

completion of various initiatives throughout the OIP implementation, and how short-term wins will be recognized, acknowledged, and communicated is discussed further in this chapter. The BSC development process will involve all employees to ensure that all identified departmental initiatives align directly with FC's strategic plan and, through a collaborative process, interdepartmental discussions will occur to ensure departmental areas of accountabilities and responsibilities are supported and aligned with institutional priorities. At a minimum, the PC will have monthly meetings with their respective departments to assess the status of each initiative identified in their departmental BSCs, and quick wins will be acknowledged and celebrated at those meetings. Further, the goals established for large institution-wide changes may take several years to realize fully, so it is essential to demonstrate success within the first months of the change implementation (Deszca et al., 2019). Communicating these successes will not only recognize achievement by those accountable and responsible to deliver on identified goals and objectives, but also the institute-wide interdepartmental cooperation that occurred to support successes. This step cannot be initiated until the BSC development process has been completed, and any delays in finalizing the BSC may delay implementation strategies; however, the implications of this challenge should be mitigated given that the BSC process is aligned with the budget planning process.

This step intends to use concrete evidence to inform all employees that the work they are doing toward achieving the goals of the OIP is contributing to positive outcomes and is being acknowledged by college leaders (Appelbaum et al., 2012). This should build employee confidence, establish a sense of comfort that larger successes can be achieved, celebrate and reward those that have achieved successes (Kang et al., 2020), build momentum towards achieving longer-term goals identified in the OIP (Kezar, 2018; Deszca et al., 2019), and

demonstrate that the institutional approach to the PoP is appropriate (Appelbaum et al., 2012; Calegari et al., 2015, p. 39). Quick wins related to the OIP can be realized and communicated within the OIP timelines, and those communication strategies are identified in Appendix B and discussed in this chapter.

### **Step 7: Consolidating Gains and Producing More Change**

This OIP covers the first year of FC's strategic plan, but reporting on successes, addressing obstacles, and maintaining acceleration for the change initiative will be required beyond the plan's first year. Therefore, although activities identified in Step 6 above are essential, I need to continue to ensure that any obstacles that might arise throughout the OIP are appropriately addressed (Whelan-Berry & Somerville, 2010), and all PC members must continue to monitor and support the progress of all initiatives related to the PoP beyond the end of the OIP. Even though Step 6 is important to build employee confidence and acceptance of the change, it is important not to assume the challenges related to the PoP have all been addressed too soon (Deszca et al., 2019), because employees (including me), might become complacent and lose sight of the sense of urgency related to the PoP over time. For example, the OIP is being implemented when FC will have 15% to 25% of its operating grant tied to PBF until December 2023; however, the same PBF implications escalate to 40% in 2024. Building upon Steps 4 to 6, the PC must continually determine and adjust for new obstacles that might emerge, address complacency by ensuring a sense of urgency is maintained, and remain focused on communicating wins throughout the change process (Calegari et al., 2015; Kang et al., 2020). This step will also be revisited throughout the OIP implementation process to institutionalize the change initiative (Kang et al., 2020).

## **Step 8: Anchoring New Approaches in the Culture**

This step will assess what is needed to embed the new approaches within FC's culture (Deszca et al., 2019; Kezar, 2018) to institutionalize the change initiative. I will need to continually assess whether organizational structural change might be required to further support the change initiative in the short and long term. This might include "creating new centers or positions, realigning roles, and reallocating resources" (Kezar, 2018, p. 138) as we progress through the OIP process. Based on functionalist theory, the intent is for the change to become a modified status quo for FC (Calegari et al., 2015).

In Chapter 2, I identified challenges related to institutionalizing a change initiative, but organizational structural changes are not being considered at the time of writing the OIP. Employee turnover cannot be predicted, and the PC should ensure that personnel changes do not impact the goals and purpose of the OIP. All new employees should be trained and educated appropriately to ensure the OIP implementation activities become embedded within the institution's culture (Appelbaum et al., 2012).

### **Communicating the Need for Change and the Change Process**

The discussion in this section focuses on communication strategies to ensure relevant stakeholders support the need for change (Pietrzak & Paliszkiwicz, 2015). It also explains how FC has built awareness for the change, communication channels to reinforce the need for change, an example of communication during the OIP implementation, and an overview of the OIP's knowledge mobilization plan (KMP; Lavis et al., 2003).

### **Building Awareness of the Need for Change**

FC is hierarchically structured, and within this type of structure, effective communication strategies between employees and the organization (Adiguzel, 2019) include ongoing backing

and support from those in positions of authority (Calegari et al., 2015). In the previous chapters I explained that FC leaders at the time (I was not yet at FC) shared IMA documents in its collaborative strategic planning development process to show that 40% of FC's operating grant will be tied to PBF by 2024 and FC's audited financial statements to demonstrate the continued decline in government funding. This evidence showed the urgency and need for change through the strategic planning process. The discussion below provides more details on how the guiding coalition will continue to engage employees and communicate timelines and milestones of the OIP implementation process.

### **Communicating the Path for Change, Timelines of Change, and Milestones**

Deszca et al. (2019) indicated all participants must be informed about what must change within the organization and how the change process will lead to organizational change. Messages must be simple, easy to understand, come from trustworthy sources (Calegari et al., 2015), and be tailored to the change implementation stage and process timing. Building on the above, various communication tools will be used (Kang, 2015), and repetition of the key messages through multiple mediums will increase the probability of message retention among employees (Appelbaum et al., 2012; Klein, 1996), as exemplified in Appendix B.

Appendix M demonstrates the timelines of the change process, points of communication, and relevant milestones pertinent to FC's new strategic plan and the OIP process. Appendix N illustrates the timelines of the OIP in relation to an iterative application of Kotter's (2012) change model. It demonstrates how the sense of urgency (Step 1) about the PoP started to be shared with staff in early 2019, was reinforced at the coalition meeting in December 2022, and will be communicated further during the February 2023 facilitated sessions and at the all-staff meeting in August 2023. As demonstrated in Appendix N and for the purposes of this OIP, Steps

2 through 5 will commence at the same time and will take approximately 2, 3, 4, and 8 months respectively to complete. Steps 6 and 7 will be ongoing, and Step 8 will be an ongoing process after the end of the OIP. Finally, Appendix O expands upon the elements identified in Appendix N and provides more details of how each proposed activity will be communicated and implemented.

### **Communication Strategy Example: Separate Departmental Facilitated Sessions**

Because “two-way communication is always more powerful than one-way communication” (Appelbaum et al., p. 771), the participatory nature of the February 2023 in-person sessions will allow all FC employees to “share their knowledge and information, communicate their various values and objectives, and ideally, arrive jointly at agreed strategies to employ their resources” (Hermans et al., 2012, p. 429), and develop a similar level of understanding of the goals of the OIP. Appendix P provides a detailed description of how those sessions will be structured and the purpose of each agenda item.

There will be 15 separate departmental facilitated sessions in February 2023—one for each department led by nonexecutives. I will guide and facilitate these sessions, assisted by the VP and nonexecutive PC member who leads the department. These in-person sessions will be structured so that all participants, regardless of their role within that department or the college, will have the opportunity to share their perspectives and interpretations of the strategic plan and OIP (Klein, 1996), and help “clarify ambiguities and increases the probability” (Klein, 1996, p. 34) that all employees understand the change vision. The sessions will all be held in a 2-week period, and the departmental leaders will be responsible for discussing the content of the sessions with those from their department who could not attend. Appendix P details the format, timing, and agenda for the sessions.

For example, one of FC's three academic deans is a nonexecutive PC member who reports to the VPA. The dean will assist me and the VPA in facilitating the session with the school's 50 employees consisting of four chairs of subdepartments, faculty, and support staff. The following discussion demonstrates how each agenda item identified in Appendix P will be executed in the session with this department and the college's other 14 departments.

### ***Agenda Items 1 and 2***

I will start the meeting following established institutional meeting protocols (e.g., Land Acknowledgement, safety protocols, etc.), and will provide the overview and purpose of the session, identifying this session as one of 15 that will be conducted similarly. I will emphasize EDID considerations by stating these sessions are designed to ensure we engage all staff and obtain and understand diverse perspectives. I will explain that the three PC members are present to listen, answer questions, and provide any clarification participants require during these sessions. That is, PC members are not present to influence the conversations that may occur but to support the facilitation process and provide clarity as needed.

In Agenda Item 2, I will remind all employees of the strategic planning process that led to the session and stress the value of their active participation to ensure their voices are heard in the strategic plan and OIP implementation process. I will explain these sessions are the beginning of the process to help PC leaders find out how everyone is interpreting the plan's initiatives (including the OIP initiative), identify any gaps between their interpretations and those of the board, and to help their teams through the BSC development process to identify departmental priorities in alignment with the strategic plan and the OIP. Agenda Item 2 also establishes the ground rules for organizing groups during the session. Participants will choose where to sit at tables of six or seven people, requiring that no more than two people from the same



subdepartment can be at any table and only one person who is not associated with any subdepartment can be at each table. These requirements are to allow everyone to express themselves to minimize any departmental or subdepartmental pressures that might exist. Each group will select a recorder to take notes on flip charts and one speaker to report back to the full group for discussion throughout the session. The dean, VPA, and I will not participate in table discussions other than to answer any questions. We will keep notes about the discussions and will debrief together after the session. Participants will also be encouraged to share their thoughts after the session by email to me or their leader, whether they felt unable to express them within the group setting or simply did not think of them until later.

### ***Agenda Items 3 to 7***

Appendix P contains details of the timing for these five agenda items and the documents available to guide discussions. Depending on the agenda item, the first 10 to 20 minutes will be used to discuss what the plan's vision and mission (Item 3) and initiatives in each of the strategic plan's four pillars (access and affordability, skills for jobs, internationalization, and sustainability) mean. I will emphasize the focus on the organizational rather than departmental nature of revenue-generating initiatives (Items 4–7). The dean, VPA, and I will circulate and answer any questions that arise. In the final 10 minutes spent on each of these five agenda items, I will ask the speaker from each table to share key points from their discussions and remind participants to submit their recorded comments at the end of the session. At that point, I will provide immediate feedback to all participants by identifying alignment and gaps between their and the board's interpretations of the topics, asking the dean and VPA to share their observations, and asking the participants about any further questions or clarification needed before proceeding to the next agenda item. These conversations will be critical for understanding

other possible sensemaking strategies that might be helpful as we continue through the implementation process. I will pay closer attention to discussions related to Agenda Item 7 because of its connection to the OIP.

If there are common areas of misalignment in most or all of the departmental meetings, institution-wide communication strategies will be used to address them. If misalignment is at a departmental level, I will work with the PC members associated with that department to determine how to close the communication gap.

### ***Agenda Item 8***

In alignment with functionalist and structural approaches, employees need to understand the interdependencies of their roles and responsibilities and how they can support institutional priorities. Agenda Item 8 allows all employees to understand how the BSC should be developed for their respective departments and how it will be used throughout the OIP process. I will provide an overview of the BSC development process and its format (Appendix Q). These facilitated sessions are meant to help employees and their leaders understand how their department can play a lead, supportive, or no role in all 20 strategic initiatives. I will explain that because the BSC will identify key performance indicators (KPI) with associated areas of accountability, we will need transparent two-way communication at all levels before final versions of the BSC are completed by May 2023.

Further to the above, because the BSC will be a key M&E and communication tool for FC, it will be important to reemphasize departmental initiatives that align with not only the college's vision, mission, and strategic pillars (ethic of profession and ethic of community), but also other EDID considerations. For example, each initiative will have appropriate policies in place to treat all relevant stakeholders equally (ethic of justice), ensuring that those policies do

not advantage or disadvantage any stakeholder group (ethic of critique), and do not cause undue harm to any stakeholder group (ethic of care). These sessions will allow all employees to share information openly, transparently, and safely (Avolio et al., 2009).

### ***Agenda Item 9***

I will use the final 10 minutes of the session to summarize session outcomes, answer any questions, and discuss the next steps. I will reiterate how these sessions should better inform the BSC development process, that all staff should expect regular communication on how well the college achieves the targets identified through our respective BSCs, and how this knowledge will be shared with all employees throughout the strategic planning execution process. I will conclude the session by thanking all participants for actively engaging throughout the session.

### **Knowledge Mobilization**

The BSC will be a key M&E tool to inform everyone about how the OIP is progressing, providing appropriate information pertinent for knowledge transfer throughout the organization (Lavis et al., 2003). Sharing progress will allow employees to “step back, observe their situation, get in line with their objective, take time, and have the courage to change when necessary” (Adiguzel, 2019, p. 133). Appendix R summarizes the KMP for the OIP, with five categories for consideration, including the three most important stakeholder groups (the board, coalition, and FC employees), their importance as audiences, why they need communication, key messages, how those messages will be communicated, and when.

### ***Knowledge Mobilization Plan Target Audience 1: Board of Governors***

The board expects formal and informal updates of the strategic plan’s execution (including the OIP) throughout its duration. These reports will allow the board to work with me on any corrective actions that might be necessary. Key messages for the board will be based on

the results from the BSC, which will identify initiatives that are on track to be achieved, are facing some roadblocks but can still be achieved with adjusted timelines or additional resources, and those that will not be achieved and the reasons why. The status of the strategic plan's initiatives will be a standing agenda item at every Governance and Human Resource Committee and board meeting as identified in Appendix R.

***Knowledge Mobilization Plan Target Audience 2: Coalition***

The coalition plays a key role throughout the OIP process; therefore, sensemaking initiatives involving this group will be important to ensure they fully understand the purpose of the change and can articulate the change to all their respective employees throughout the organization consistently. Each coalition PC member will work with their respective teams to constantly assess the status of all initiatives they had collaboratively developed and identified in their respective BSCs, which will also inform them if their initiatives are on track, what is required to get them on track if they are not, and which initiatives will not be achieved. All coalition members also need to be aware of how they can continue to support other portfolios at FC with an institutional lens. As identified earlier, sensemaking exercises for the coalition occurred in December 2022 and will continue in February 2023, which will help to ensure the BSC development process will align with board expectations. Appendix R provides further communication strategies associated with this group, including the timing and frequency of how the BSC will be used as a M&E reporting tool.

***Knowledge Mobilization Plan Target Audience 3: Frontier College Employees***

The coalition is responsible for leading the OIP change initiative, but all FC employees will help execute and implement the change. Sensemaking initiatives are important for this audience because they need to fully understand the purpose and vision of the change and how

they can contribute to the change. Employees can better understand when and if corrective actions will be required for specific initiatives through their leaders and the BSC. Each employee needs to be aware of not only how their respective departments are meeting the objectives of the OIP, but also how they can personally contribute to the goals of their department and institution.

Appendix R details communication strategies associated with this target group (including the February 2023 sensemaking sessions), but at a minimum, employees within each department will engage in monthly departmental meetings led by their respective PC member. Appendix R details how these monthly meetings form the base of all other communication strategies that rely on the BSC as a key M&E and communication tool throughout the OIP process. In addition to two-way communications with their PC leader, it is recognized that knowledge retention might require repeat messages through several communication channels and venues (Appelbaum et al., 2012), and Appendix R identifies several additional mechanisms this target audience can access throughout the OIP process.

### **Change Process Monitoring and Evaluation**

Effective communication strategies will be essential for implementing the OIP, and the M&E framework is equally important (Markiewicz & Patrick, 2022). That is, “monitoring and evaluation can and should be evident throughout the life-cycle of a project, program, or policy, as well as after completion” (Kusek & Rist, 2004, p. 19), and leadership should be responsible for creating an environment that will support and nurture organizational learning (Austin & Harkins, 2008). Results-based management tools such as the BSC will be used to focus on outcomes and the impacts of outcomes achieved as part of the M&E framework (Kusek & Rist, 2004).

Monitoring is the routine assessment of how activities are achieving or not achieving

expected goals, and it provides information on the status of a given initiative at any point in time (Kusek & Rist, 2004; Markiewicz & Patrick, 2022). Evaluation provides evidence that allows decision-makers to address issues of causality and determine why targets and outcomes have or have not been achieved compared to original expectations (Kusek & Rist, 2004; Markiewicz & Patrick, 2022). Monitoring the performance of a program or initiative may inform evaluation practices and vice-versa; together, they comprise a spectrum of management tools available for assessing the ongoing and overall success of a program or initiative (Marshall & Suarez, 2014). The BSC is a results-based management tool for M&E that will be used throughout the OIP process for this purpose.

### **Balanced Scorecard as a Tool to Support Leaders Through the Change Process**

Tools such as the BSC (Appendix Q) can help leaders guide and direct their followers (Avolio et al., 2009). Although it is a strategic tool for implementing, operationalizing, and communicating key institutional strategies and goals that was originally introduced in the business sector, Hladchenko (2015) demonstrated how the BSC could be used as a “strategic management system that translates a higher education institution’s mission and strategy into a comprehensive set of performance measures that provides a framework for a strategic measurement and management system” (p. 168). For example, the BSC development process is highly participative in nature, and it helps articulate short- and long-term goals, objectives, and performance measures in an actionable manner in alignment with areas of responsibility and accountability (Kaplan & Norton, 2007; Markiewicz & Patrick, 2022). Leaders can use the BSC to ensure everyone in the organization understands how strategies are aligned, including timelines and reporting structures (Kaplan & Norton, 2007; Markiewicz & Patrick, 2022). With the BSC, institutions can plan, set targets, align, and integrate based on strategic priorities,

providing the basis for strategic analysis and target setting (Kaplan & Norton, 2007; Neumann et al., 2018). From an M&E perspective, because the BSC assigns responsibilities to individuals and departments, it allows for regular monitoring, evaluation, feedback, reporting, and communication on the status of each specific strategic goal at institutional, departmental, and individual levels, enabling leaders to adapt and adjust strategies as required (Kaplan & Norton, 2007). Finally, using the BSC aids in promoting an organizational culture of M&E (Markiewicz & Patrick, 2022).

Kotter's (2012) sixth step of generating short-term wins recognizes the importance of acknowledging successful work completed by departments and employees and building institutional confidence that larger successes are possible (Appelbaum et al., 2012). This step is critical to demonstrate that the OIP pays off, keeps employees motivated (Deszca et al., 2019), and allows the PC to reward successes at departmental and individual levels (Appelbaum et al., 2012; Kang et al., 2020). As shown in Appendix N and discussed in the communications section above, the BSC's impact within the timelines of the OIP will be useful for this step as it will provide concrete evidence of the successes achieved throughout the OIP process.

The M&E process also supports activities required during Kotter's (2012) seventh step, which recognizes that the change process needs to be regularly monitored, evaluated, and communicated to ensure employees remain passionate about achieving desired goals (Kang et al., 2020), thus continuing the momentum from previous steps. According to Appelbaum et al. (2012), employees may lose the sense of urgency established in Step 1, become complacent, and fall back to previous, more comfortable methods and approaches. Kotter's fourth and sixth steps include regular monitoring, evaluation, and communication to maintain enthusiasm about achieving desired goals (Kang et al., 2020). Further, the coalition must continually support and

encourage the change (Calegari et al., 2015). Therefore, the BSC is a key M&E tool that will be used throughout the OIP to determine and adjust for new obstacles that might emerge, assess if complacency is setting in, ensure a sense of urgency is maintained, regularly communicate wins, continue to press forward to institutionalize the change initiative (Deszca et al., 2019), and remain focused on involving appropriate cross-functional teams as necessary (Kezar, 2018).

### **The BSC Development Process for the OIP**

Using the BSC as a M&E tool works well in hierarchical organizations; it also aligns with functionalist, structuralist, and scientific management change theory approaches and with Kotter's (2012) change model. For example, the BSC articulates the vision and goals of the desired changes, identifies the desired future state, communicates wins, and minimizes complacency. As a result, FC will use the BSC to support the OIP process and enhance transparent communications across the institution (Hladchenko, 2015).

### ***Overarching Principles for the BSC Development Process at FC***

The foundational knowledge from the December 2022 and February 2023 participatory sensemaking sessions will be critical to populating the BSC (Markiewicz & Patrick, 2022). Building on those sessions, each nonexecutive PC member will engage in departmental meetings and provide a draft BSC for their departments to their executives in March 2023. Then, the executives and I will (a) assess whether the December 2022 and February 2023 sessions achieved the desired outcomes of the BSC process, (b) summarize the initiatives in each executive portfolio, and (c) ensure all 20 initiatives from the strategic plan have been identified as areas of focus, including the initiative associated with the OIP. The activities identified in Appendix B will also appear in the appropriate departmental and executive BSCs.



### ***Strategic Plan Pillars, Outcomes, and Institutional Initiatives***

The BSC template will be used to identify departmental initiatives aligning with FC's strategic plan and the OIP. Each department will draft a BSC as described above. Going from left to right, the first column in the template shows one of the four strategic pillars in FC's strategic plan (sustainability), and the second and third columns identify the initiatives for each of the three outcomes under this pillar, including the initiative aligned to the OIP. These three columns are constant and will remain unchanged as they come directly from the strategic plan.

### ***Department Initiatives***

Each nonexecutive PC member will hold collaborative departmental meetings to complete the remaining columns of the BSC template after the February 2023 facilitated sessions. Through these conversations, each department will identify specific initiatives they could lead and/or support. For example, as specified in Appendix L, employees within academic school portfolios may identify the initiative of increasing microcredential offerings on their BSC during their February 2023 facilitated sessions. There is no limit to the number of departmental initiatives identified; however, it will be important to identify initiatives that can be reasonably achieved given associated targets and delivery dates.

### ***Baseline, KPI, and Delivery Date***

The next three columns in the BSC template pertain to establishing KPIs that must be meaningful, easy to understand, well-aligned to the identified institutional initiative, achievable, and regularly reviewed over time (Markiewicz & Patrick, 2022). In the M&E framework, indicators can be qualitative or quantitative, but they must be "developed and agreed upon in a participatory manner involving those affected by them and likely to use them" (Markiewicz & Patrick, 2022, p. 132). Furthermore, if the KPI "involves a measurement of a relative change"

(Markiewicz & Patrick, 2022, p. 132), relevant baseline data should be available. Using the academic school example from the facilitated sessions section, the department has delivered 15 microcredential courses over the last 3 years, averaging 10 yearly offerings. In departmental meetings after the February 2023 sessions, employees will identify a baseline of activity for microcredentials delivered. For example, an associated KPI of 12 microcredential courses to be delivered each year could provide additional revenues for FC. However, that discussion needs to happen within the department involved, including their perspectives on who would be accountable and responsible for the initiative and who needs to be consulted and informed (Costello, 2012).

### ***Stakeholders/Accountability***

Implementing effective communication strategies is essential for any change initiative to be successful, but even with a distributed leadership approach, managers and supervisors cannot be held accountable and responsible for all activities that occur within an organization. In fact, employees need to adapt their behaviours as they understand their roles in a specific change initiative (Bolman & Deal, 2017). Through two-way communication at departmental and individual levels, PC members will be able to identify areas of accountability and responsibility for each initiative, including the initiative associated with the OIP. Appendices H, I, and J provide examples of how some departments can play lead and supporting roles for the OIP initiative and will form the basis for these discussions. It will be presumed that those in lead roles will have articulated departmental initiatives within their respective BSCs aligned with the OIP; however, it will also be expected that those with areas of responsibility in supportive roles will have those same initiatives identified in their respective BSCs. This process will help institutionalize a M&E culture within the college, built on collaboration with a shared sense of

accountability and responsibility.

### ***Progress***

Effective M&E practices provide evidence about performance in relation to intended goals, the need to produce performance intervention strategies, and assist in making important decisions at various levels of an organization (Gopichandran & Krishna, 2013; Neumann et al., 2018). The final column in Appendix Q is critical for the M&E process as it will help provide concrete evidence of the successes achieved, will be used throughout the OIP process, and will be discussed at all departmental meetings throughout the college. Through those discussions, all PC members should be able to characterize the level of goal attainment for each initiative identified in their respective BSCs as being either green, yellow, or red (where green means on target or target achieved, yellow means some challenges need to be addressed before becoming green, and red means there is a problem that needs to be addressed which may not allow the initiative to achieve a green).

Appendix R shows that the KMP identified three stakeholder groups that will rely on receiving concrete evidence on how initiatives identified in the BSC are performing throughout the OIP process. Using the microcredential example, the school's dean will discuss with all departmental employees, update their respective BSC during monthly departmental meetings, and create the base for formal quarterly departmental BSC reports for me and the VPA. At the monthly meetings, the group will determine if each initiative is green, yellow, or red, and identify corrective actions (including removing barriers as required). As detailed in Appendix R, these meetings lay the foundation for all communication strategies (including reporting on quick wins) that may be implemented throughout the OIP process.

The BSC will be a key monitoring tool that will be used to assess goal attainment

throughout the OIP process, and a source to influence evaluation mechanisms that will occur on a semiannual basis. It also provides an effective transparent communication tool that encourages collaboration throughout the organization, especially between those identified in lead and/or supportive roles, provides role clarity, and helps institutionalize the desired change by demonstrating successes through evidence-based information.

### **Next Steps and Future Considerations**

The PoP is complex, multi-faceted, broad in scope, and the OIP to address the PoP is aligned directly with one of the 20 initiatives identified in FC's 2022–2025 strategic plan. Given the scope of this document, the OIP was restricted to only the first year of the strategic plan. Becoming less reliant on government funding will be important for the college for the remaining 2 years of the strategic plan and beyond. The purpose of the OIP was to identify the challenges associated with becoming less reliant on government funding and the processes required to help institutionalize behaviours to help address this critical issue faced by most HEIs. The OIP is intended to assist key stakeholders in understanding their roles, responsibilities, and the interdependencies of their work with other areas of the college with an institution-wide as opposed to a departmental-specific lens.

Building on the above, it is recognized that the PoP is not unique to FC. This is a challenge faced by HEIs across the country. Neoliberalist factors will continue to impact college operations, PBF policies are emerging and/or being considered in many provinces, and public funding for HEIs continues to decline. As the PCEO of FC, I plan to seek opportunities to share the knowledge I gain through the OIP process with other HEIs. I intend to seek opportunities to present this research's findings and practical applications at networking conferences such as the annual Colleges and Institutes Canada Conference, which includes members of all public

colleges, polytechnics, and institutions across Canada. Another example is the annual League of Innovation conference, which includes member colleges, polytechnics, institutes, and universities across North America. These conferences are usually held in March or April, and presenting at the 2024 conferences is a reasonable achievable goal.

Because the OIP is only associated with the first year of the college's plan, I may not have identified all the resource implications beyond the first year. The BSC development process should be completed by April 2023, but until that process is completed, it is not clear if further resources will be required to remove barriers that have not yet have been identified. Further, FC's budget will not be approved until June 2023. More resources might be required, and timelines might need to be adjusted accordingly. Applying an iterative approach to Kotter's model allows for such adjustments; however, the BSC development and 2023 budget process may impact the next steps in the OIP implementation process.

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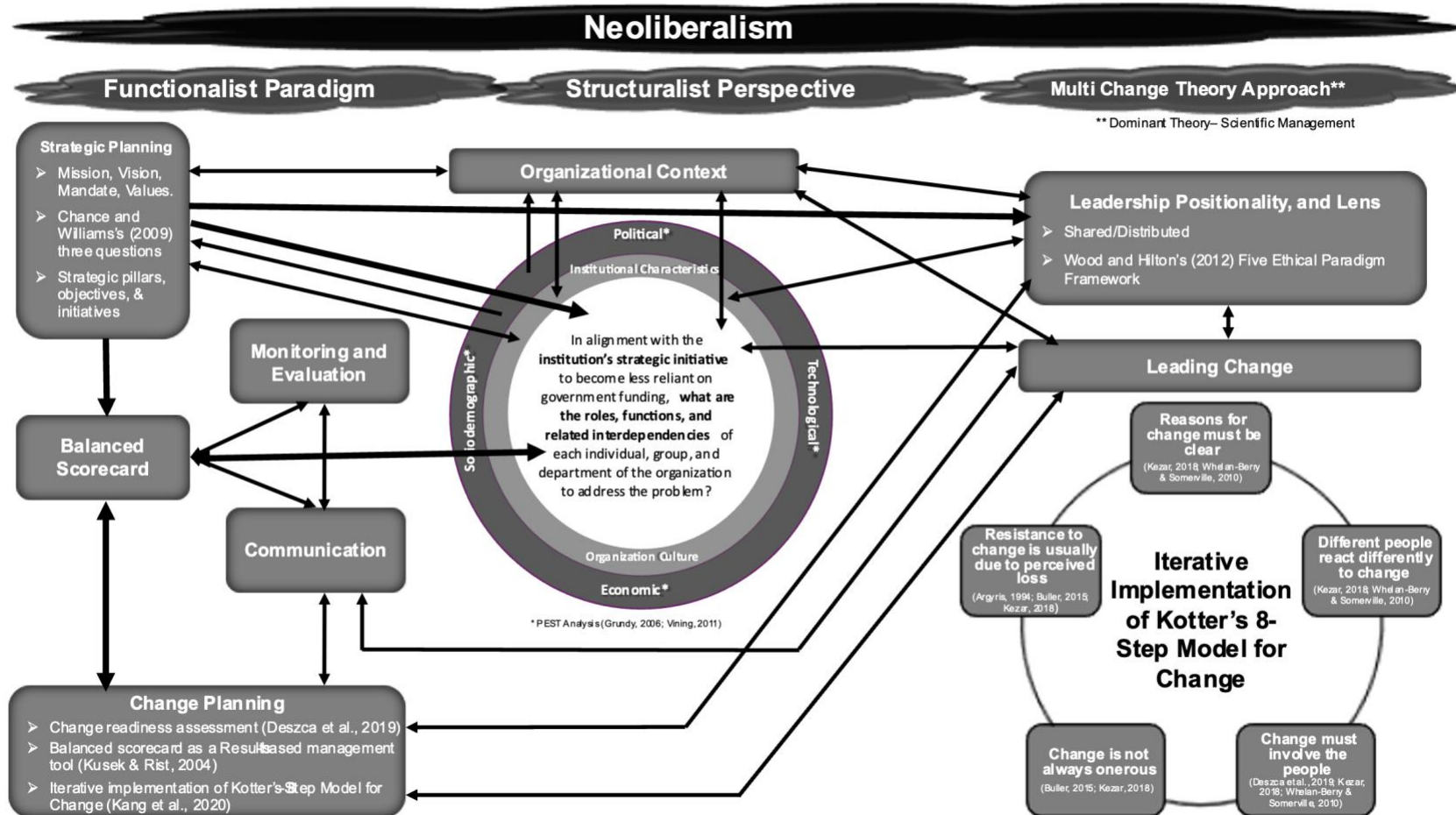
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Appendix A: Conceptual and Change Theory Framework



## Appendix B: Implementing Kotter's Eight-Step Model for Change in the First Year of the OIP

Kotter's (2012) steps and five adopted principles	Change theory	Leaders/stakeholders	How to do it	Timelines	Challenges
<p><b>Before Step 1:</b> Collaborative strategic planning.</p> <p>The reasons for the change must be clear.</p> <p>Different people react differently to change.</p> <p>Change must involve the people.</p> <p>Resistance to change is usually due to perceived loss.</p> <p>Change is not always onerous.</p>	<p>Change theories were not applied at this point in the process: Change theory considerations are included in the following steps.</p>	<p>The board approved and launched the strategic plan, and they have overall ownership of it.</p> <p>I am responsible for achieving the outcomes of the strategic plan (as change leader/agent, initiator, and implementor).</p> <p>All staff had opportunities to provide input to the plan's goals and objectives and were invited to submit comments and questions after an all-staff meeting where I explained elements of the plan at that point in time.</p> <p>Executives each have portfolio/individual accountabilities to achieve the outcomes of the strategic plan (initiators, facilitators). See Appendices I to J for details.</p> <p>All direct reports of college executives, through the PC have department/individual accountabilities to achieve the outcomes of the strategic plan (initiators, facilitators, implementors, recipients).</p> <p>All staff/departments have department/individual accountabilities to achieve the outcome of the strategic plan as applicable to them (implementors, facilitators, recipients).</p>	<p>Strategic planning was collaborative and included a PEST analysis (Grundy, 2006; Vining, 2011), SWOT analysis, and addressing Chance and Williams's (2009) three questions: Where are we now? Where do we want to be? How are we going to get there?</p> <p>An initiative from the strategic plan led to this OIP: "To become less reliant on government funding by seeking alternative sources of revenue and effective/efficient utilization/management of college assets."</p> <p>The strategic plan is the foundation for the development of the BSC, which will identify who, what, when, and how each department/individual will help achieve the outcomes of the strategic plan.</p>	<p>The board started the strategic planning process in 2019.</p> <p>Staff provided final feedback to the plan in 2022.</p> <p>The board approved and launched the final plan in 2022 with support from the Minister of Advanced Education.</p> <p>The plan spans from 2022 to 2025.</p> <p>The OIP focuses on only the first year of the implementation plan, from December 2022 to December 2023.</p> <p>PBF targets gradually increase the amount of funding tied to targets to 40% in 2024.</p>	<p>The strategic plan has 20 initiatives, and the OIP addresses one of them. I will need to give the 20 initiatives equal attention, recognizing that the OIP serves my personal objective of completing the EdD program while meeting a key strategic priority of the college.</p> <p>Fully implementing the OIP is too large for the purposes of the EdD program, so it focuses on the first year of implementation.</p>

Kotter's (2012) steps and five adopted principles	Change theory	Leaders/stakeholders	How to do it	Timelines	Challenges
<b>Step 1: Establish a sense of urgency.</b>	Scientific management (planned change, strategic).	The board, executive, and I communicated the sense of urgency to all staff during strategic planning, especially as it pertained to the strategic initiative that aligns with the OIP.	The PC and I will provide tangible evidence from credible external sources of the need for change, appealing to the specific interests and the needs of recipients (Calegari et al., 2015). We will demonstrate a sense of institutional vulnerability:	This started with strategic planning in 2019.	To avoid complacency, this step will be revisited throughout the change process, which is why an iterative approach of Kotter's model will be implemented.
The reasons for the change must be clear.	Evolutionary (resource dependence theory; consider and adapt to the external environment).	We discussed the implications of PBF, the need to be less reliant on government operating grants, and results from environmental scanning, PEST, and SWOT analyses.	Through audited data that demonstrate the college continues to receive less operating grant funding each year.	Will continue throughout the collaborative BSC development process in later steps.	This step will be necessary beyond the first year, as the proportion of funding tied to PBF increases.
Different people react differently to change.	Social cognition (sensemaking).	As the key leader who will align goals, set expectations, and models, communicates, engages, and rewards (Kezar, 2018), I will continue to communicate evidence of the need for change (as initiator and facilitator) through this step and future steps while implementing an iterative approach of this model for change.	Large and increasing amounts of funding tied to the IMA.	The college started its current-year budget planning process at a \$3.7 million deficit.	Some operational/structural elements were not identified in 2019 but still need to be addressed during the BSC development and implementation process.
	Cultural.	The PC and I will be active agents and make choices to adapt to the environments we face throughout the change process, using an iterative approach to Kotter's model (Kezar, 2018).	We will describe opportunities (Calegari et al., 2015) and the attractiveness of the change (Appelbaum et al., 2012) by identifying alternative revenue-generating opportunities that will allow FC to focus less on expense cutting, minimizing job losses and expanding program/services beyond current levels.		Evolutionary theories suggest obstacles and resistance with staff can occur of change initiatives are initiated from outside of the organization (Kezar, 2018). The need for the change was due to environmental factors, but the college initiated the strategic planning process through internal and external engagement led by the board.
	Political (scarcity of resources, impact of political entities).	The PC and I will be responsible for sensemaking, which will be critical to overcome resistance (Kezar, 2018, p. 194).	The sense of urgency addresses the importance of supporting the mission and structures of the institution (Kezar, 2018).		Social cognitive theories suggest obstacles can occur if people do not understand the reason for the change or initiative and may require sensemaking (Kezar, 2018). Because this step occurred before the OIP was finalized, I will revisit it to ensure all staff understand the importance of the change.
	Institutional (external environment).				Cultural theories suggest that obstacles can arise if staff believe the focus of the initiative does not align with the goals and values of the college (Kezar, 2018). The strategic planning process addressed

Kotter's (2012) steps and five adopted principles	Change theory	Leaders/stakeholders	How to do it	Timelines	Challenges
<b>Step 2: Build a guiding coalition.</b>	Scientific management (planned change, strategic).	I will lead the change but will need the support of the executive, who in turn will need the support of his direct reports: This is the PC.	An assessment of my and the executive's change readiness was conducted in December 2022. A similar assessment will be done for the coalition.	Change readiness assessment for all PC to be conducted after February 2023 facilitated session. Adjust the plan based on the results to ensure all of PC are in alignment with the goals of the OIP.	this issue, but it will be revisited at all relevant steps.  Political change theories suggest obstacles may arise if staff might have their own agendas (Kezar, 2018). The PC will need to gauge if this occurs and address these positions where necessary. At this time, it does not appear to be a concern.
Change must involve the people.	Social cognition (sensemaking).	The PC will be the coalition for the purpose of the OIP (initiators, implementors, facilitators, and recipients).	Successful change efforts require the back and ongoing support of powerful and influential organizational decision-makers and stakeholders (Calegari et al., 2015, p. 36), and align with the PC being the coalition as it represents FC's senior leadership team.	I held a session with the full PC in December 2022 to ensure they understood all elements of the strategic plan. That session was designed to ensure the vision for the OIP is clear to all members of PC so that vision is equally communicated to their respective staff as we engage in the BSC development process.	I will ensure the PC is ready for the change after assessing the results of the change readiness tool. There may be a need to adjust timelines and processes if some members of PC are not as ready as expected before going too far into the change process.
Change is not always onerous.	Cultural. Political (creating a collective vision and development of a coalition).	Leaders see the necessity of change.	Initial task of the coalition is to formulate the vision (through the BSC) for the change effort and ensure it is communicated throughout the organization (Appelbaum et al., 2012, p. 769).	Each member of the PC will initiate the development of a BSC that represents the initiatives for their respective departments and areas of responsibility. First drafts of all PC BSCs will be provided to me by	If there is turnover in the PC, we will ensure the purpose of the OIP remains a priority within the affected department(s).
		The PC will use the initiative from the strategic plan that is aligned with the OIP and eventually the BSC to focus on strategy and planning as vehicles to advance change (Kezar, 2018).	Coalition is usually about 10 to 50 people (Deszca et al., 2019), and the PC is 20 members.		
		Forming teams to facilitate interaction and encourage sensemaking (Kezar, 2018, p. 158), which aligns with social cognitive change theories.	Part of vision development will demonstrate that the college is already performing some of the expected activities through its current international education, applied research, corporate training,		
		Coalition leadership will need to be persuasive and have the appropriate level of power/authority (Kezar, 2018, p. 158).			



Kotter's (2012) steps and five adopted principles	Change theory	Leaders/stakeholders	How to do it	Timelines	Challenges
			and foundation/development activities, but the activities going forward require more strategic direction and focus from an institutional lens as opposed to a departmental lens.	March 2023. The executive and I will review and amend to ensure all BSCs are in alignment with the purpose of the OIP by the end of April 2023.	
<b>Step 3: Develop a vision and strategy.</b>	Scientific management (planned change, strategic).	The PC will proceed from Step 2 to create a compelling vision for the purpose of the OIP.	Whelan-Berry and Somerville (2010) suggested the vision must be clear and compelling, stress the reason and urgency for the change, and describe the desired future state.	Many activities started in Step 2.	Similar challenges as those identified in Step 1 regarding scientific management, evolutionary, social cognition, cultural, political, and institutional change theories.
The reasons for the change must be clear,	Evolutionary (resource dependence theory).	Goal formation, implementation, evaluation, and modification based on experience are ongoing processes (Kezar, 2018, p. 47).	The vision will also include the implementation plans and steps (Deszca et al., 2019), and will be accomplished through the BSC, which will also outline areas of interdependency and accountability.	Timelines might need to be adjusted if a change readiness assessment will be required for staff within specific PC portfolios.	As discussed in Chapter 2, sensemaking may be necessary and may be at different levels within each PC portfolio.
Resistance to change is usually due to perceived loss.	Social cognition (sensemaking). Cultural. Political (influence the organization). Institutional (external environment).	The PC will use strategy and planning as vehicles to advance change, be aware of the broader forces that might guide behaviours (Kezar, 2018, p. 62), and influence the organization based on the goals of the political actors (Manning, 2018, p. 160).	Depending on engagement with staff within each department, change readiness assessments may be required to ensure all staff understands the vision and purpose of the OIP before proceeding too far into the process. This does not appear to be necessary at this stage.		
<b>Step 4: Communicate the change vision.</b>	Scientific management (planned change, strategic).	Some of these elements have been discussed in Steps 2 and 3.	Communication strategies will be developed in detail in tandem with Steps 2 to 4.	Some of these activities have occurred.	Similar challenges as those identified in Step 1 regarding scientific management, social cognition, cultural, and political change theories.
The reasons for the change must be clear.	Social cognition (clarity on interdependencies at the individual/departmental levels).	See Communications section in Chapter 3.	Communication strategies will be developed and designed with the potential change recipients in mind (Deszca et al., 2019). FC's Communications department will work closely with the PC on this.	All staff have information about the OIP from meetings and minutes from meetings: (a) monthly board meetings, (b) executive meetings that occur every two weeks, (c) monthly PC meetings, (d) monthly Academic Council, (e) quarterly all-	Communication of the vision is key especially during the BSC development process to ensure all staff believe the OIP will achieve the desired outcomes, benefit them individually, and collectively (Wang et al., 2020), and have the
Different people react differently to change.	Cultural. Political (influence the	PC have commenced engaging and communicating with their respective teams all elements regarding the vision, goals, and expectations through a variety of communication venues, including the development of the BSC as it	Communication will be simple, coming from trustworthy sources		

Kotter's (2012) steps and five adopted principles	Change theory	Leaders/stakeholders	How to do it	Timelines	Challenges
<p>Change must involve the people.</p> <p>Resistance to change is usually due to perceived loss.</p> <p>Change is not always onerous.</p>	organization).	<p>pertains to their respective portfolios: (i.e., board public meeting minutes, Executive Committee meetings, PC minutes, Academic Council, regular discussions with Faculty Association/CUPE leadership, quarterly executive updates/discussions with all staff, biannual townhall meetings, me, and executive attending various departmental meetings throughout the year, Internal communication protocols, Institutional corporate documents, and regular evaluation/progress through the balanced scorecard),</p> <p>BSC process will include communication strategies to ensure all staff can understand, relate to, and negotiate baseline and KPI targets related to the OIP that will be reasonably achievable and fair from an accountability perspective.</p> <p>The PC will assign roles and responsibilities at the individual/departmental level so staff understand the direction in which they are moving, and encourage sensemaking (Kezar, 2018), and has commenced through the BSC process.</p> <p>The PC will provide the implementation plan once all BSCs are completed as per previous steps.</p> <p>PC will ensure relationships are encouraged throughout the process (Manning, 2018), and will be done through the development of the BSC, where each initiative</p>	<p>(PC), and easily understandable (Calegari et al., 2015).</p> <p>Communication will include mapping out organizational processes, which will identify department/individual interdependencies in how the goals of the OIP can be achieved.</p> <p>The BSC will be used to communicate the vision/goals at all levels of the organization and all stakeholders to be on the same page (Reda, 2017), and allows for sensemaking (Jappinen, 2017).</p> <p>The BSC process allows for two-way communication and confirms the establishment of achievable targets at the department and individual levels (Burnes et al., 2018).</p> <p>Various communication tools will be used (Kang, 2015) and key messages will be repeated (Appelbaum et al., 2012).</p>	<p>staff meetings (including demonstrating successes of achievements related to the OIP), and (g) departmental meetings attended by me and executive as requested.</p> <p>We use regular internal communication channels: (a) annual institutional corporate documents published in December of each year, and (b) monthly BSC evaluation/progress discussions at the department and individual levels.</p>	<p>appropriate resources (Weiner, 2009).</p> <p>As identified in Chapter 2, individuals with FC must believe they can personally play a role in influencing the OIP (personal efficacy; Wang et al., 2020).</p> <p>Depending on the readiness assessments, we may need more communication in some departments.</p> <p>The readiness assessment will also determine how equally committed departments might be to the OIP.</p>

Kotter's (2012) steps and five adopted principles	Change theory	Leaders/stakeholders	How to do it	Timelines	Challenges
		<p>identified within each portfolio will demonstrate who will be responsible, accountable, consulted, and informed at various stages of the implementation process (Costello, 2012).</p> <p>PC will work with all individuals within their departments and ensure there is mutual agreement and understanding of the associated levels of accountabilities that will be identified for each proposed activity aligned with the OIP (Implementers; Recipients)</p>			
<p><b>Step 5: Empower employees for broad-based action.</b></p> <p>Different people react differently to change.</p> <p>Change must involve the people.</p> <p>Resistance to change is usually due to perceived loss.</p> <p>Change is not always onerous.</p>	<p>Scientific management (planned change, strategic).</p> <p>Evolutionary (resource dependency theory).</p> <p>Social cognition (role clarity at the individual/ departmental levels).</p> <p>Cultural.</p>	<p>Chapter 2 provided an analysis of the level of time, financial and human resources that will be required for the OIP to be successful.</p> <p>I will ensure resources will be made available throughout the OIP.</p> <p>The executive and I will reinforce the importance of the coalition and provide support for them as required throughout the change process.</p> <p>The PC will recognize that obstacles and resistance are natural parts of the change process and will involve various stakeholder interests...barriers will need to be addressed and removed (Kezar, 2018), and I have the ultimate responsibility to support removing those barriers where possible.</p> <p>The PC will continue to provide clarity of roles, departmental interdependency, and sensemaking (Kezar, 2018), and the BSC</p>	<p>“Communication is never sufficient by itself, and employees often need help in getting rid of obstacles to the change vision” (Appelbaum et al., 2012, p. 771), and full change cannot take effect until all barriers are identified and removed (Kang et al., 2020; Kezar, 2018).</p> <p>The executive and I will develop an incentive program (e.g., overachievement of targets will allow for reinvestment back into respective departments; Calegari et al., 2015), as a mechanism to assist in removing some potential barriers.</p> <p>The PC will provide support for areas that require upskilling and building capacity, as “only those in positions of authority can reallocate funds within institutional budget to support change” (Kezar, 2018, p. 137).</p> <p>Regular monitoring of activities and results of the BSC will determine the types of barriers that will need</p>	<p>After above mentioned readiness assessments and BSCs have been completed, PC will determine barriers that need to be addressed by April 2023.</p> <p>Each department's BSC will influence their financial budget requests for the next fiscal year, which will be presented to me and the executive by March 2023. Based on these budget submissions, the executive and I will be able to determine the level of financial, human, and time resources that may be required for the OIP and other college matters.</p> <p>I will present a draft budget to the board in April 2023. OIP resource requirements will be built into that</p>	<p>Similar challenges as those identified in Step 1 regarding scientific management, evolutionary, social cognition, and political change theories.</p> <p>As discussed in Chapter 2, staff emotions will be addressed at all stages of the OIP process.</p> <p>Further readiness assessments and the BSC development processes will identify if lack of training, structural/system challenges need to be addressed.</p> <p>Financial resource-related barriers may delay the implementation of some initiatives after Year 1 of the OIP implementation plan. It is expected that not all initiatives will be implemented and achieved in the first year of the strategic plan, and I will plan for and ensure resources are available to remove barriers when and where necessary.</p>

Kotter's (2012) steps and five adopted principles	Change theory	Leaders/stakeholders	How to do it	Timelines	Challenges
		development and implementation process will assist in this matter.	to be addressed during the OIP implementation process.	budget. The Board should approve the budget at its June 2023 meeting.	
<p><b>Step 6: Generate short-term wins.</b></p> <p>The reasons for the change must be clear.</p> <p>Different people react differently to change.</p> <p>Change must involve the people.</p> <p>Resistance to change is usually due to perceived loss.</p> <p>Change is not always onerous.</p>	<p>Scientific management (planned change, strategic).</p> <p>Social cognition (feedback).</p> <p>Cultural.</p>	<p>PC will have monthly meetings at the departmental/individual level to assess the status of each goal and initiative as identified in their respective BSCs. Quick wins can be communicated at the department and individual level at each of these BSC-related meetings as they will be discussing goals that have been achieved.</p> <p>Executives are to provide updates to me in each of our one-to-one meetings, where wins will be identified.</p> <p>The PC, in coordination through the president's office, will develop communication strategies to be implemented through the venues identified in Step 4.</p> <p>Goal formation, implementation, evaluation, and modification based on experience are ongoing processes (Kezar, 2018, p. 47), and the results identified in the BSC will be used to communicate quick wins as they arise.</p> <p>PC to communicate and provide feedback to increase the probability of people accepting change (Kezar, 2018, p. 54)</p>	<p>We will provide concrete evidence that the change effort is paying off and create a level of confidence throughout the institution that bigger successes are possible if momentum is maintained (Appelbaum et al., 2012).</p> <p>The BSC will be used as a key tool for this step, being discussed at the department and individual levels on a monthly basis to determine levels of goal attainment (green, yellow, red).</p> <p>Goal attainment levels will be reported to me through regular meetings with the executive.</p> <p>Based on the above, communications through venues identified in Step 4, will be created throughout the year about successes and achievements related to the OIP and how departments/individuals benefitted from those successes through established incentive programs.</p>	<p>All communication venues and timelines identified in Step 4 apply here.</p> <p>Critical opportunities to communicate wins at an institutional level include all-staff meetings, town hall meetings, and internal communication venues.</p> <p>I will provide regular status reports on the OIP and all strategic initiatives at each board meeting.</p> <p>Formal reports on the complete status will occur at the November 2023 board meeting. This is because relevant and pertinent data will be available around that time.</p> <p>Regular internal communication channels will be used throughout the year as necessary and applicable.</p>	<p>Similar challenges as those identified in Step 1 regarding scientific management, social cognition, and cultural change theories.</p> <p>The BSC needs to be complete and finalized by the identified timelines. Delays in finalizing the BSC for each department will delay implementation strategies. The BSC process is aligned with the budget planning process; therefore, this challenge is mitigated to some extent.</p> <p>Must make sure the focus of the OIP is not just revenue-generating activities as identified in Solution 1 in Chapter 2, but all activities, including focusing on efficiencies and other mechanisms to become less reliant on operating grant funding as identified in all three solutions discussed in Chapter 2.</p> <p>Departments that overachieve their revenue targets within the remainder of the current fiscal year will receive their incentive-related rewards in the next fiscal year.</p>
<p><b>Step 7: Consolidate gains and</b></p>	<p>Scientific management (planned change,</p>	<p>I will continue to ensure resources are allocated throughout the change</p>	<p>Build on Steps 4 and 6 and create momentum for the change by building on successes (Appelbaum</p>	<p>Timelines will be based on progress based on previous</p>	<p>Similar challenges as those identified in Step 1 regarding scientific management and evolutionary</p>

Kotter's (2012) steps and five adopted principles	Change theory	Leaders/stakeholders	How to do it	Timelines	Challenges
<p><b>produce more change.</b></p> <p>The reasons for the change must be clear.</p> <p>Different people react differently to change.</p> <p>Change must involve the people.</p> <p>Resistance to change is usually due to perceived loss.</p> <p>Change is not always onerous.</p>	<p>strategic).</p> <p>Evolutionary (resource dependence theory).</p>	<p>process.</p> <p>The PC will continually monitor progress and will adjust for obstacles that might emerge, assess complacency and ensure a sense of urgency is maintained, and communicate wins.</p> <p>The PC will help the change initiative become institutionalized (Deszca et al., 2019) by adjusting and mapping organizational processes, which will involve cross-functional teams and all divisions (Kezar, 2018)</p>	<p>et al., 2012).</p> <p>We will not declare victory too soon (Deszca et al., 2019) and will continue to monitor and refine the strategy to ensure a sense of urgency is maintained and not allow for complacency to set in (Kang et al., 2020; Calegari et al., 2015).</p> <p>Ensure appropriate resources continue to be allocated throughout the process (Kezar, 2018; Whelan-Berry &amp; Somerville, 2010).</p> <p>Continue with incentive programs as required.</p>	<p>steps.</p> <p>However, based on applying an iterative approach to Kotter's model, elements related to this step may need to be addressed at any time during the OIP implementation process.</p>	<p>change theories.</p> <p>Staff might lose a sense of urgency over time. The PC will assess if that is occurring and will respond accordingly.</p>
<p><b>Step 8: Anchor new approaches in the culture.</b></p> <p>The reasons for the change must be clear.</p> <p>Different people react differently to change.</p> <p>Change must involve the people.</p> <p>Resistance to change is usually due to perceived loss.</p> <p>Change is not</p>	<p>Scientific management (planned change; strategic).</p> <p>Cultural (culture locally produced by the people).</p> <p>Institutional (organizational change).</p>	<p>I, through the executive, will determine if an organizational structural change is required and the resources required to make it happen.</p> <p>The PC will ensure new hires personify the values required to support this ongoing institutional approach.</p> <p>The PC understands that organizational culture is a process that is locally produced by people (Manning, 2018, p. 70).</p>	<p>Desired change becomes embedded as part of the organization's culture, norms/values, operations, and processes (Deszca et al., 2019; Kezar, 2018; Whelan-Berry &amp; Somerville, 2010).</p> <p>May require organizational structural change as "creating new centers or positions, realigning roles and reallocating resources are all central to sustaining and achieving change" (Kezar, 2018, p. 138).</p> <p>The change becomes the modified status quo (i.e., functionalist equilibrium theory; Calegari et al., 2015).</p> <p>Ensure new hires personify the values required to embrace the new approach of the institution</p>	<p>It is unrealistic to presume the OIP can be institutionalized by December 2023.</p> <p>Institutionalizing the OIP is a key objective and will be an ongoing process by following the above steps and revisiting each step as required.</p> <p>It is expected that continued institutional focus towards activities will assist in institutionalizing the factors related to the OIP by the end of the 2025 strategic plan timeline.</p>	<p>Similar challenges as those identified in Step 1 regarding scientific management, cultural, and institutional change theories.</p> <p>This stage is not fully applicable for the purposes of the OIP given its' timelines; however, activities related to the institutionalizing the OIP will be a foundational focus throughout the OIP process.</p> <p>Chapter 2 identified challenges related to institutionalizing a change initiative include: (a) most change initiatives fail at implementation (Kezar, 2018), and the development and implementation of the BSC should address this challenge, (b) change-related challenges are more likely related to structures/systems (Deszca et al., 2019), but</p>

Kotter's (2012) steps and five adopted principles	Change theory	Leaders/stakeholders	How to do it	Timelines	Challenges
always onerous.			(Appelbaum et al., 2012). Continue with incentive programs, orientations, and training supporting the change.		restructuring will not be a consideration within the current fiscal year, but may be necessary for the next year, and (c) applying an iterative approach to Kotter's model will be necessary.  Structural changes will not be considered at this point in time, but that might change depending on if adjustments will be required during the OIP process.  This is an institution-wide plan, and during the OIP process, there will be staff turnover. Changes in our people cannot impact the goals and purpose of the OIP, and therefore, it is important that all members of the PC ensure new employees are trained and educated appropriately.

*Note.* CUPE = Canadian Union of Public Employees; FC = Frontier College; OIP = Organizational Improvement Plan; PBF = performance-based framework; PCEO = president and chief executive officer; PEST = political, economic, sociodemographic, and technology; PoP = Problem of Practice; SWOT = strengths, weaknesses, opportunities, and threats.

### Appendix C: Detailed Change Readiness Responses by Frontier College Executive

Readiness dimensions and questions	Score range	E1	E2	E3	E4	E5
<b>Previous change experience</b>						
Has the organization had generally positive experiences with change?	0 to +2	1	1	0	1	0
Has the organization had recent failure experiences with change?	0 to -2	-1	-1	-2	-1	-2
What is the mood of the organization: upbeat and positive?	0 to +2	2	2	2	2	2
What is the mood of the organization: negative and cynical?	0 to -3	0	0	0	0	0
Does the organization appear to be resting on its laurels?	0 to -3	-1	-1	-1	0	0
<b>Total previous change experience</b>		<b>1</b>	<b>1</b>	<b>-1</b>	<b>2</b>	<b>0</b>
<b>Executive support</b>						
Are senior managers directly involved in sponsoring the change?	0 to +2	2	2	2	2	2
Is there a clear picture of the future?	0 to +3	3	3	2	2	3
Is executive success dependent on the change occurring?	0 to +2	2	2	2	2	2
Are some senior managers likely to demonstrate a lack of support?	0 to -3	0	-1	-2	-1	-1
<b>Total executive support</b>		<b>7</b>	<b>6</b>	<b>4</b>	<b>5</b>	<b>6</b>
<b>Credible leadership and change champions</b>						
Are senior leaders in the organization trusted?	0 to +3	2	1	2	3	2
Are senior leaders able to credibly show others how to achieve their collective goals?	0 to +1	1	1	1	1	1
Is the organization able to attract and retain capable and respected change champions?	0 to +2	2	2	1	1	1
Are middle managers able to effectively link senior managers with the rest of the organization?	0 to +1	1	1	1	1	1
Are senior leaders likely to view the proposed change as generally appropriate for the organization?	0 to +2	2	2	1	1	2
Will the proposed change be viewed as needed by senior leaders?	0 to +2	2	2	1	1	2
<b>Total credible leadership and change champions</b>		<b>10</b>	<b>9</b>	<b>7</b>	<b>8</b>	<b>9</b>
<b>Openness to change</b>						
Does the organization have scanning mechanisms to monitor the internal and external environment?	0 to +2	2	2	1	1	2
Is there a culture of scanning and paying attention to those scans?	0 to +2	2	2	1	1	2
Does the organization have the ability to focus on root causes and recognize interdependencies both inside and outside the organization's boundaries?	0 to +2	1	1	0	1	1
Does "turf" protection exist in the organization that could affect the change?	0 to -3	-1	-2	-1	0	-1
Are middle managers and/or senior managers hidebound or locked into the use of past strategies, approaches, and solutions?	0 to -4	0	-1	-1	-1	0
Are employees able to constructively voice their concerns or support?	0 to +2	2	2	2	2	2
Is conflict dealt with openly, with a focus on resolution?	0 to +2	2	1	1	1	1
Is conflict suppressed and smoothed over?	0 to -2	0	0	0	0	0

Readiness dimensions and questions	Score range	E1	E2	E3	E4	E5
Does the organization have a culture that is innovative and encourages innovative activities?	0 to +2	2	2	1	2	1
Does the organization have communications channels that work effectively in all directions?	0 to +2	2	2	2	2	2
Will the proposed change be viewed as generally appropriate for the organization by those not in senior leadership roles?	0 to +2	2	2	2	2	2
Will the proposed change be viewed as needed by those not in senior leadership roles	0 to +2	2	1	1	1	2
Do those who will be affected believe they have the energy needed to undertake the change?	0 to +2	1	1	1	1	1
Do those who will be affected believe there will be access to sufficient resources to support the change?	0 to +2	2	2	1	2	1
<b>Total openness to change</b>		<b>19</b>	<b>15</b>	<b>11</b>	<b>15</b>	<b>16</b>
<b>Rewards for change</b>						
Does the reward system value innovation and change?	0 to +2	2	2	1	1	1
Does the reward system focus exclusively on short-term results?	0 to -2	0	0	0	0	0
Are people censured for attempting change and failing?	0 to -3	0	0	0	0	0
<b>Total rewards for change</b>		<b>2</b>	<b>2</b>	<b>1</b>	<b>1</b>	<b>1</b>
<b>Measures for change and accountability</b>						
Are there good measures available for assessing the need for change and tracking progress?	0 to +1	1	1	1	1	1
Does the organization attend to the data that it collects?	0 to +1	1	1	1	0	1
Does the organization measure and evaluate customer satisfaction?	0 to +1	0	1	0	0	1
Is the organization able to carefully steward resources and successfully meet predetermined deadlines?	0 to +1	1	1	1	1	1
<b>Total measures for change and accountability</b>		<b>3</b>	<b>4</b>	<b>3</b>	<b>2</b>	<b>4</b>
<b>Total</b>		<b>42</b>	<b>37</b>	<b>25</b>	<b>33</b>	<b>36</b>

*Note.* E = executive, numbered for anonymity. Adapted from Deszca et al. (2019). The tool's total can range from -25 to +50, and the authors suggested any score under 10 means the department or organization is not likely ready for change. The higher the score, the more ready the department or organization may be for the change.



**Appendix D: Summarized Change Readiness Assessment Responses by Frontier College**

**Executive**

Readiness dimension	Range (minimum, maximum)	Readiness score by position				
		E1	E2	E3	E4	E5
Previous change experience	-8, 4	1	1	-1	2	0
Executive support	-3, 7	7	6	4	5	6
Credible leadership/change champions	0, 11	10	9	7	8	9
Openness to change	-9, 22	19	15	11	15	16
Rewards for change	-5, 2	2	2	1	1	1
Measure for change/ accountability	0, 4	3	4	3	2	4
<b>Total</b>	<b>-25, 50</b>	<b>42</b>	<b>37</b>	<b>25</b>	<b>33</b>	<b>36</b>

*Note.* E = executive, numbered for anonymity. Adapted from Deszca et al. (2019).

**Appendix E: Audited Revenue Activity at Frontier College (2021 Budget Year)**

Revenue source	Total (\$)	% of total	% of total alternative revenue
Government operating grant	\$36,859,809	67.4	N/A
Student tuition, fees, & programs (Solution 1)	\$7,881,298	14.4	44.2
Sales and services of products (Solution 2)	\$2,979,352	5.5	16.7
Investments in government business enterprise (Solution 2)	\$2,366,800	4.3	13.3
Other revenue (Solution 2)	\$124,163	0.2	0.7
Federal and other government grants (Solution 3)	\$2,063,456	3.8	11.6
Investment income (Solution 3)	\$833,014	1.5	4.7
Donations and other grants (Solution 3)	\$1,575,298	2.9	8.8
<b>Totals</b>	<b>\$54,683,190</b>	<b>100.0</b>	<b>100.0</b>

*Note.* Data from Frontier College (2022e).

### Appendix F: Ability to Close the Gap

Solution/strategy	Align to strategic plan	Financial contribution to OIP	Supported by literature	Average
Solution 1: Increase tuition, fee revenue, & programs	3.5	3.0	3.5	3.3
Solution 2: Increase sales/service revenue & efficiencies	2.5	2.5	3.5	2.8
Solution 3: Hybrid/other revenue sources not identified	4.0	4.0	4.0	4.0

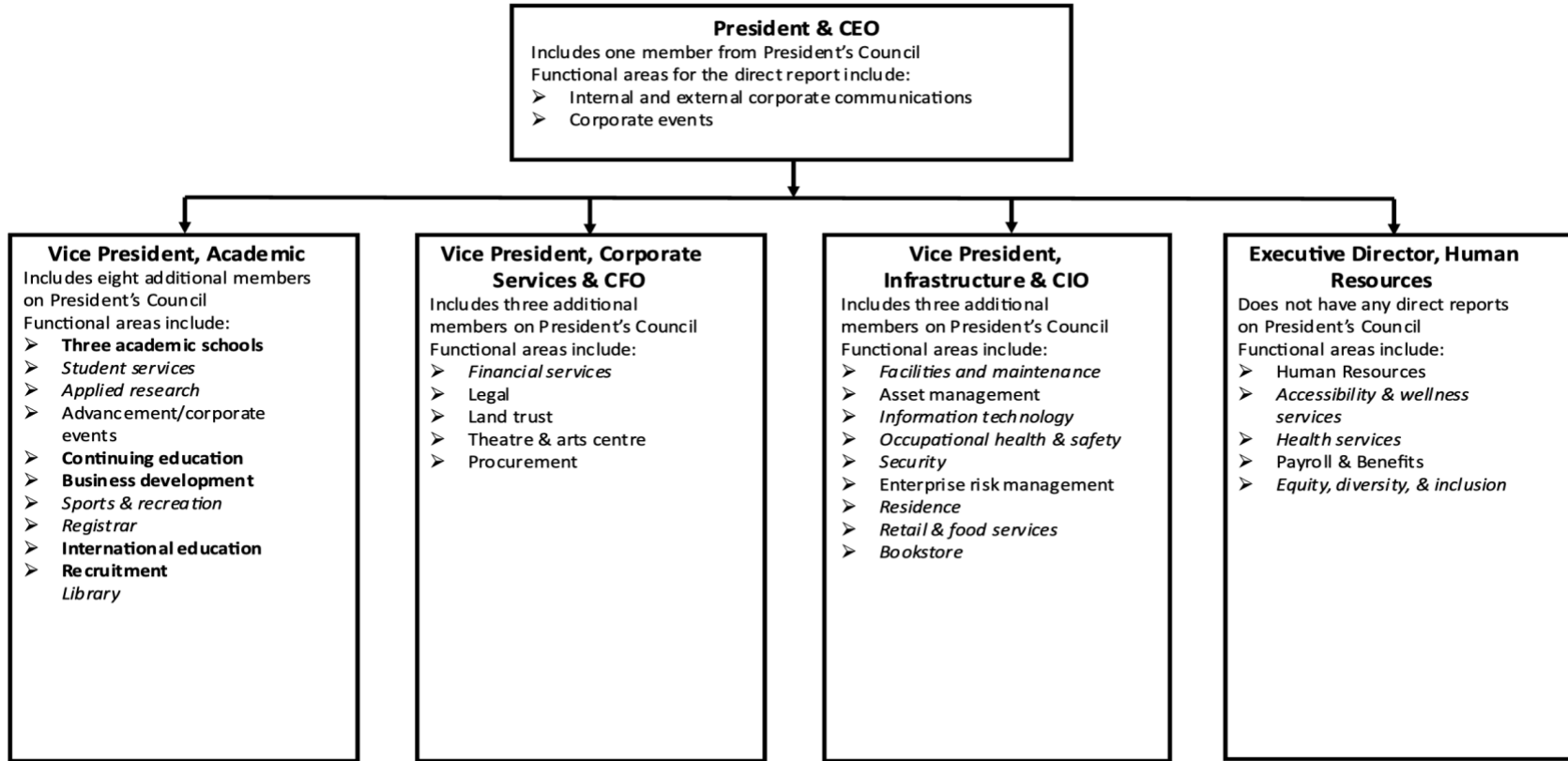
*Note.* Scale for level of ability to close the gap: 1 = *low*, 2 = *medium low*, 3 = *medium high*, 4 = *high*.

### Appendix G: Resources Required

Solution/strategy	Time	Financial	Human	Average
Solution 1: Increase tuition, fee revenue, & programs	2.5	3.0	3.5	3.0
Solution 2: Increase sales/service revenue & efficiencies	4.0	1.0	3.5	2.8
Solution 3: Hybrid/other revenue sources not identified	4.0	3.0	4.0	3.7

*Note.* Scale for level of resources required: 1 = *low*, 2 = *medium low*, 3 = *medium high*, 4 = *high*.

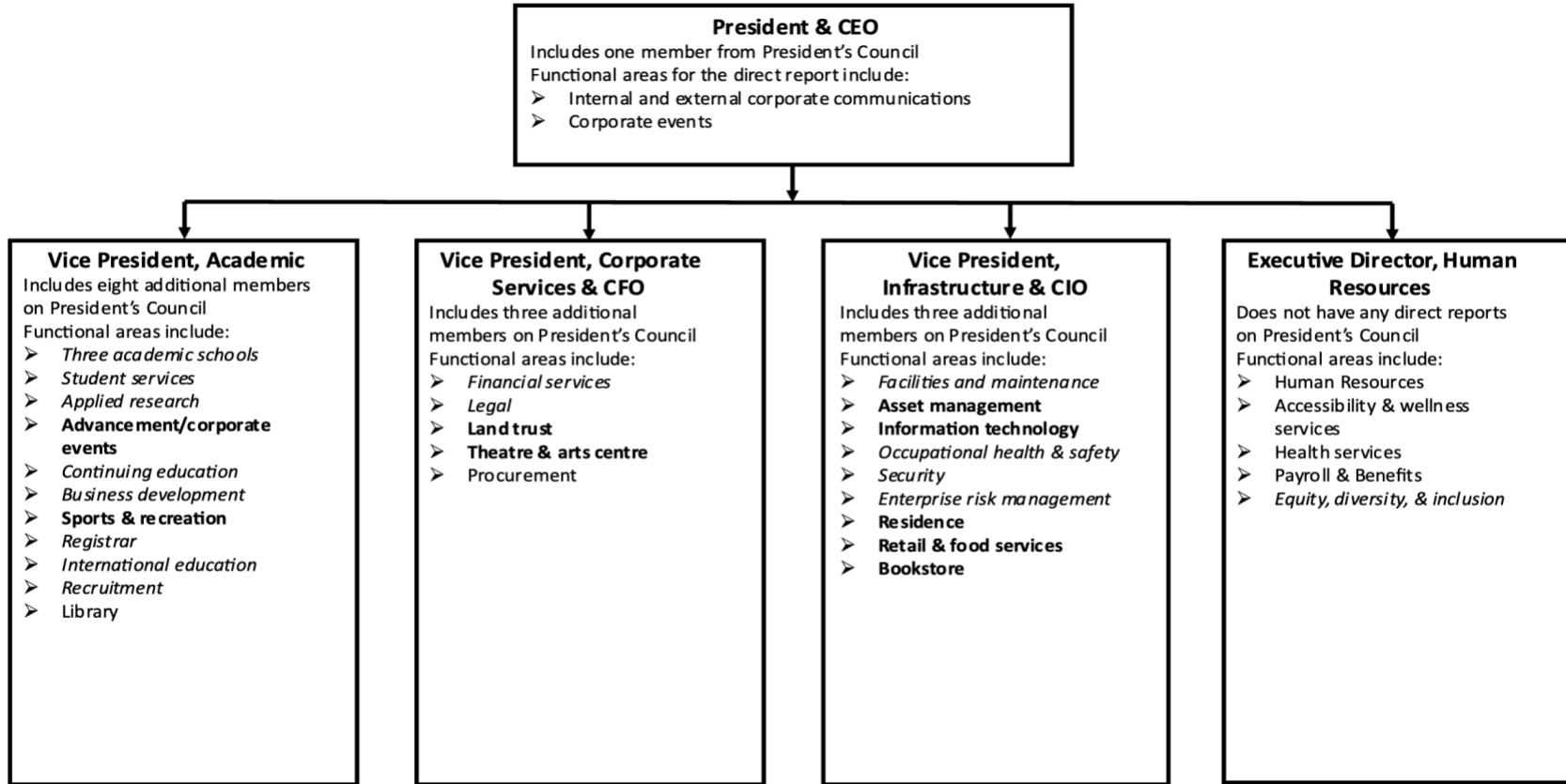
**Appendix H: Functional Organization Chart – Solution 1**



*Note:* CFO = chief financial officer; CIO = chief information officer.

Bold text represents lead functional areas and text in italics represents supporting areas.

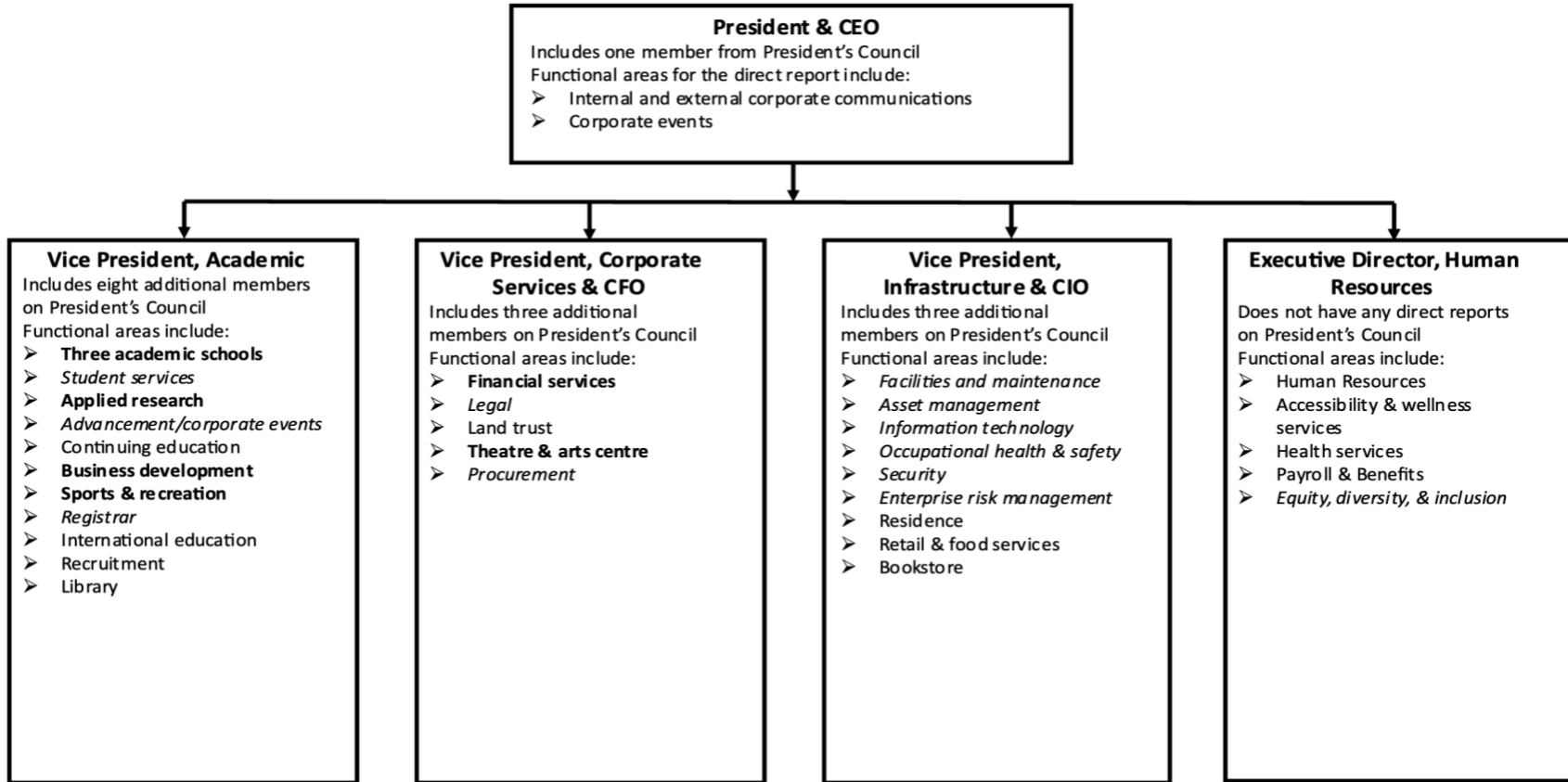
**Appendix I: Functional Organization Chart – Solution 2**



*Note:* CFO = chief financial officer; CIO = chief information officer.

Bold text represents lead functional areas and text in italics represents supporting areas.

**Appendix J: Functional Organization Chart – Solution 3**



*Note:* CFO = chief financial officer; CIO = chief information officer.

Bold text represents lead functional areas and text in italics represents supporting areas.

**Appendix K: Equity, Diversity, Inclusivity, Decolonization, and Ethical Considerations**

Ethic of justice	Ethic of critique	Ethic of care	Ethic of profession	Ethic of community
<b>Solution 1</b>				
<p>With the ethic of justice lens, we have rules/regulations and policies/procedures to help guide our decisions that are observed and practiced with a morally objective lens and apply equally to all. This lens acknowledges the imperfection of some laws (for example); however, it is anticipated that those laws will be improved over time.</p> <p>Centres on rules, codes, and procedures leaders should follow.</p> <p>Leader’s decisions are guided by extant laws, rules, policies, codes, and procedures (Wood &amp; Hilton, 2012, p. 199).</p> <p>Morally objective, pre-established principles, rules, and laws guide leaders’ conceptions of dilemmas (Wood &amp; Hilton, 2012, p. 199).</p> <p>Devoid of personal or cultural inclinations (Wood &amp; Hilton, 2012, p. 200).</p> <p>Leaders have a duty, obligation, and responsibility to adhere to the rules governing their profession (Wood &amp; Hilton, 2012, p. 200).</p> <p>Intent rather than outcome is of cardinal importance (Wood &amp; Hilton, 2012, p. 200).</p>	<p>With the ethic of critique lens, we will actively question whether the rules/regulations and policies/procedures we live by are fair and reasonable for our stakeholder group. This lens addresses whether existing policies/procedures (for example) advantage/disadvantage one group over another. Unlike the ethic of justice lens, this lens may “consider whether equitable treatment may necessitate unbalanced actions in the pursuit of equality” (Wood &amp; Hilton, 2012, p. 202).</p> <p>Centres on leader’s moral responsibility that rules, codes, and procedures do not advantage, one group over another.</p> <p>Critiques the ethic of justice in that it critiques moral problems caused by the ethic of justice...recognize that laws and codes may be imperfect but that leaders are to maintain these laws until changed (Wood &amp; Hilton, 2012, p. 201).</p> <p>Law is seen as distinct from ethics (Wood &amp; Hilton, 2012, p. 202).</p> <p>Unlike an ethic of justice orientation, which seeks equal treatment, leaders operating</p>	<p>With the ethic of care lens, stakeholders would be considered to ensure they aren’t adversely impacted intentionally/unintentionally throughout the PoP process. This lens values people as opposed to policies and procedures and is concerned with the individual development of employees. At FC, this will mean not succumbing to neoliberalist pressures and bearing the financial risks of the college on students through higher tuition, but rather through other activities that will secure alternative funding sources.</p> <p>Centres on leader’s compassion, understanding and trust.</p> <p>Critiques ethics of justice and values people as opposed to principles (Wood &amp; Hilton, 2012, p. 203).</p> <p>Characterized by virtues such as compassion, understanding and trust (Wood &amp; Hilton, 2012, p. 203).</p> <p>Origin in feminist literature, which is highly critical of the ethic of justice (Wood &amp; Hilton, 2012, p. 203).</p> <p>Reinforces the importance of students and their development, focusing particularly on aiding</p>	<p>With the ethic of profession, we are adhering to the values of the institution’s mission, vision, mandates, and values, as well as the professional aspects of our staff and students.</p> <p>Centres on guiding values of the community college, profession, institution, staff, students other HEI and local stakeholders.</p> <p>Professional codes of ethics are paramount to honouring the ethic of profession (Wood &amp; Hilton, 2012, p. 204).</p> <p>Consider questions:</p> <p>What guidance do community college codes of ethics provide?</p> <p>How would colleagues and peers approach ethical issues?</p> <p>What are the implications of these issues or potential courses of action for the local community?</p> <p>What student-related considerations do these issues or potential resolutions raise? (Wood &amp; Hilton, 2012, p. 206)</p> <p>Just because an initiative might fall within the parameters of institutional mandates, should we still embark upon it?</p>	<p>With the ethic of local community, our mandate as a community college is in alignment to meet the needs of our entire community and not focus on one stakeholder group over another. Decisions are made that are for the betterment of the whole college community and must serve the needs of the good of the community it serves. Decisions are made with the collective well-being at heart.</p> <p>Centres on the notion that HEI must serve the needs, interests, and public good of the local community, as defined as the service region of the institution.</p> <p>Grounded on the notion that community colleges must serve the needs, interests, and public good of the local community, defined as the service region of the institution (Wood &amp; Hilton, 2012, p. 206).</p> <p>The best interests of the local community as a cardinal principle in decision making (Wood</p>



Ethic of justice	Ethic of critique	Ethic of care	Ethic of profession	Ethic of community
Laws may not always be right, but acknowledge the imperfection of these laws, and enforce them while operating under the conviction that law is improved over time (Wood & Hilton, 2012, p. 200)	from an ethic of critique may consider whether equitable treatment may necessitate unbalanced actions in the pursuit of equality (Wood & Hilton, 2012, p. 202).	students in achieving their educational and career goals (Wood & Hilton, 2012, p. 203).		& Hilton, 2012, p. 206).
Ask questions like:	It is a morally based paradigm (Wood & Hilton, 2012, p. 202).	Concerned with the individual development of employees (Wood & Hilton, 2012, p. 203).		Since their inception, community colleges have served local needs' they have provided greater access to higher education, and they have provided educational programming designed to develop and foster local capital (Wood & Hilton, 2012, p. 206).
What are the rules, codes, policies, and procedures related to a dilemma?	Consider the following questions:	Questions they consider: How will an issuer potential resolution affect all members of the institution?		The ethic of local community adheres to a community-based decision-making process (Wood & Hilton, 2012, p. 208).
Of these rules, are some more pertinent or important to an issue than others?	Does one group have certain advantages over others?	What are the implications of this issue for the community and interconnectivity among institutional affiliates?		Questions they ask:
What are the implications for this issue with respect to society (Wood & Hilton, 2012, p. 201)?	If so, how are these advantages sustained?	Will a decision cause harm to one group or entity?		What are the implications or ramifications for the local community of this or that dilemma?
	What are the ramifications of these advantages?	In what way (if any) does this issue or potential resolution impact organizational morale?		What potential courses of action would promote the best interest or greatest good for the local community?
	Does one (or more) group(s) lack access and voice in the decision-making process?	How will (or does) this issue affect the individual's personal goals and development?		How will the community perceive or react to the issues and potential courses of action (Wood & Hilton, 2012, p. 209)?
	What assumptions are at play (Wood & Hilton, 2012, p. 202)?	What level of reciprocity should be given or received from others (Wood & Hilton, 2012, p. 204)?		As stated by Oleksenko et al., (2018), "It is important to understand for whom and for what higher education should
	What are the known and unknown values within these assumptions (Wood & Hilton, 2012, p. 203)?			
Policies exist for: Tuition and fees	Neoliberalist pressures have led to HEI no longer being viewed as a "public good", and entrepreneurial activities such as increasing tuition to students	There is an impression that universities can mitigate the effects of economic downturns by passing on costs to students in the form of higher tuition (Li	Universities must be increasingly creative in securing funding and vigilant in substantiating what they do with their money (Li & Zumeta, 2015, p. 478).	
New and existing programs which including the need to be				

Ethic of justice	Ethic of critique	Ethic of care	Ethic of profession	Ethic of community
<p>current and relevant. This involves policies on advisory committee makeup (industry, faculty, students), review processes and timelines,</p> <p>Parameters for introducing new programs and sunseting existing programs,</p> <p>Parameters defining credit and noncredit programs,</p> <p>Parameters based on the level of credential,</p> <p>Admissions criteria, and</p> <p>Internationalization and required processes.</p> <p>FC's new 18 programs for fall 2023 followed these processes.</p>	<p>can marginalize even further underrepresented populations and less privileged social classes' ability to access postsecondary education (Wong, 2020). The burden of going to college is on the student, and students are paying higher tuition costs and fees (Lucal, 2015), and are going deeper into debt to get an education (G. Jones, 2013; Rousseau, 2002, p. 397).</p> <p>As mentioned in Chapter 1, FC's tuition and fees are among the lowest in the province, and this solution will not look to change that going forward. The existing policies are in alignment with government regulations and the increase in revenue will be based on increasing the volume of students as opposed to increasing tuition and fees for students whether they are domestic or international.</p> <p>These increasing tuition prices have been a source of contention between the institution and their external stakeholders...concerns about the impact of higher tuition prices on equality of access for students of lower socioeconomic status as well as ongoing questions regarding the efficiency of higher education (Fowles, 2014, p. 274). Again, we will not be increasing tuition as a strategy, but the increasing volume of</p>	<p>&amp; Zumeta, 2015, p. 468).</p> <p>The push towards less involvement from the state, and the realities of dealing with budget cuts, scarce resources, becoming more accountable to the state, and focus on cost efficiencies (Lucal, 2015; Oleksenko et al., 2018) have led to larger class sizes, and with fewer full-time faculty (Slocum et al., 2019). At FC, all new programs will have new full-time faculty assigned to them and although we will continue to focus on cost efficiencies, our class sizes have remained consistently small (i.e., no larger than 40 students, and on average 28 per class).</p> <p>The offering of self-sustaining and even profitable, continuing education divisions is simply another example of entrepreneurial behaviour in HE and one that is available to all types of institutions (Li &amp; Zumeta, 2015, p. 474). However, Continuing Education, corporate training and other lifelong learning related programs often do not receive permanent direct institutional support and therefore operate to earn back their costs or more, drawing on existing faculty or adjuncts from the community (Li &amp; Zumeta, 2015, p. 475). The overall business model for these types of programs will not</p>	<p>When higher education is regarded as a commodity, the survival of its suppliers (i.e., tertiary institutions) is contingent on their ability to attract consumers (i.e., students; Wong, 2020, p. 77). However, one could argue how is one defining who a student/customer is? If the definition of a "student" is expanded to include industry representatives (individual, corporate, national, and international), and the type of service (i.e., applied research), then the question really becomes what is the role of HE today? Are these debates occurring because we need to re-evaluate the purpose of higher education today given our current economic, political, and social state?</p> <p>Compete for funding and student enrollment, which encourages a more entrepreneurial approach, with the expectation of departments and other units become "self-sustaining" (Lucal, 2015, p.5).</p> <p>Students will benefit directly from this solution as:</p> <p>Their tuition and fees will not be increased to support the success of this initiative.</p> <p>They will have access to more programs;</p> <p>Programs will be aligned to industry demands and improve</p>	<p>work and does work" (p. 115). That is, what role does HE play and how should it be accountable to "students, economy and society" (p. 115).</p> <p>Essential difference between college and institute faculty and university faculty – university faculty are hired to do research and to teach (Hogan &amp; Trotter, 2013, p. 78).</p> <p>The corporate model fails to recognize that the public mission of higher education implies that knowledge has a critical function; that intellectual inquiry that is unpopular or debunking should be safeguarded and treated as an important social asset; and that faculty in higher education are more than merely functionaries of the corporate order....such ideals are at odds with the vocational function that corporate advocates want to assign to higher education (Giroux &amp; Giroux, 2004, p. 265). However, this is a valid argument for universities, and not necessarily equally relevant for colleges (Hogan &amp; Trotter, 2013). Colleges were created to</p>

Ethic of justice	Ethic of critique	Ethic of care	Ethic of profession	Ethic of community
	<p>enrollments.</p> <p>Although Neoliberalist pressures indicate the number of part-time and non-tenure-track faculty has risen from about 30 percent to 61 percent of instructional positions at four-year institutions; 84% at two-year institutions over 99% at for-profit institutions (Rousseau, 2002, p. 397), that is not the case with FC. FC’s full-time to part-time faculty ratio has remained relatively stable since 2017 at approximately 75% full-time to 25% part-time faculty. In fact, any new program introduced at the college must have a full-time faculty assigned to the program. Full-time faculty positions are allocated to the budget based on program growth, faculty attrition, and program viability. However, continuing education and corporate training courses and programs tend to have more part-time faculty given the nature of programming, content, timing and duration of such courses and programs.</p> <p>Although FC policies exist regarding program offerings and criteria, the push towards securing alternative funding has brought “academic capitalism” to the forefront of the agenda for HEIs (Giroux, 2002), and suggests that this mindset is leading to outweigh the role of faculty in maintaining control</p>	<p>change in this solution, however, incentive programs as identified in Chapter 1 where overachieving revenue targets will provide an opportunity for these types of departments to reinvest within their departments.</p> <p>This solution will benefit those areas that will have a direct ability to generate additional sources of revenue through established incentive programs; however, support areas may not have equal opportunity to access those funds. Therefore, the incentive program will be designed such that portions of the overachieved targets that are kept within the general coffures of the college can be distributed to support areas.</p> <p>“The dynamic of rising tuition combined with expanding student debt and declining middle-class income is shaking the foundations of respect and affection of public higher education. . . . The privileged gain access to the best universities leaving other to sort themselves among lower quality providers” (Fethke &amp; Policano, 2013, p. 526).</p> <p>Some critics of the income generating activities include college and university leaders who view this as an inappropriate academic “commodification” in the modern era, particularly the</p>	<p>their opportunity to obtain work in their chosen field upon graduation.</p> <p>Students will be able to learn locally and obtain work locally.</p>	<p>align with industries vocation needs and continue to remain focused on that aspect as even identified by FC’s mission statement in that we play a central role as a key economic driver within the community it serves, and still provide social benefits through arts and culture and athletics.</p> <p>The community will benefit directly:</p> <p>Employers will have access to an educated and prepared workforce in areas of demand;</p> <p>Employers will be able to access a labour force that will remain local; and</p> <p>Students staying within the local region can contribute back to society from an economic and social perspective.</p>

Ethic of justice	Ethic of critique	Ethic of care	Ethic of profession	Ethic of community
	<p>in what they teach (Giroux &amp; Giroux, 2004). At FC, this risk is minimized as all academic advisory committees must include faculty and students in the development process for new and existing programs.</p> <p>FC attempts to ensure faculty teaching expertise is distributed equitably amongst all programs in a faculty.</p> <p>International students are typically ineligible for scholarships and government funding, pay higher tuition, and tend to come from wealthier families (Li &amp; Zumeta, 2015, p. 474). They pay higher tuition because government doesn't subsidize their tuition like they do for domestic students. However, their tuition helps pay for support required by themselves and all international students.</p> <p>Most institutions are changing recruitment foci to attract domestic out-of-state students (Li &amp; Zumeta, 2015, p. 474). This is FC's strategy and that is to increase domestic enrollments by attracting domestic students from within their region, provincially, and nationally, as well as Indigenous students.</p> <p>The current economic climate has had a significant impact on student's choice of major in large part due to its likely</p>	<p>“seeming loss of collegiate community, growing curricular incoherence, the virtual eclipse of the liberal arts, an alleged neglect of undergraduate education generally, and unchecked career is among a new generation of non-traditional collegians” (Lucas, 2006, as cited in Alstete, 2014, p. 13)</p>		

Ethic of justice	Ethic of critique	Ethic of care	Ethic of profession	Ethic of community
	<p>return on investment, and indeed there is widespread questioning of the value of college in the first place (G. Jones, 2013, p. 276). However, as a college, our mandate is to provide current and relevant programming to which students will obtain jobs within their field of study upon graduation and our IMA targets reflect that level of accountability. Therefore, although this could be a challenge for some students in university programming, colleges serve a different purpose than universities and help mitigate student's ability to obtain the ROI they seek in their financial investment in their chosen program (Hogan &amp; Trotter, 2013)</p>			
	<p>As colleges and corporations collaborate over the content of degree programs, college curricula run the risk of being narrowly tailored to the needs of specific businesses (Giroux &amp; Giroux, 2004, p. 269). This is an area we will keep an eye on as partnerships are important, but we cannot engage in partnerships that will compromise our institutional mandates and the stakeholders we serve.</p>			

Ethic of justice	Ethic of critique	Ethic of care	Ethic of profession	Ethic of community
<b>Solution 2</b>				
<p>Policies exist for: How our Land Trust operates How funds can be distributed to the college while following Canada Revenue Agency regulations to main its status as a charitable entity</p> <p>Student Housing in terms of rental rates, accommodation criteria, rental terms and conditions, etc.</p> <p>Facility rental criteria, including reference to considerations on who can rent FC facilities.</p> <p>Retail operations</p> <p>Sports &amp; athletics operations and utilization</p> <p>Theatre operations and utilization</p>	<p>The rise of niche academic programs may cater to private interests (MacKinnon, 2014), funders, and regulators (Croucher &amp; Lacy, 2020), and with the increase of more public accountability, efficiency and scrutiny, institutions are more inclined to move towards more transparency (Croucher &amp; Lacy, 2020). This is a positive result of the neoliberal movement, especially in an environment of increased accountability. It is in the best interests of institutions to align alternative revenue sources (in an ethical manner) and incorporate institutional efficiencies as they are mechanisms to supplement better key institutional activities that regular government funding cannot provide. Further, these approaches force institutions to re-evaluate their existing policies and procedures to ensure any profit-based activities (including donations, fundraising, and partnerships) are aligned with the lens of maintaining an ethical, conscientious, and broader public lens (Ciulla, 2005; MacKinnon, 2014; Slocum et al., 2019).</p>	<p>The consequences of HE's shift from a social institution to an industry have three characteristics:</p> <p>Management - areas of resource allocation and resource acquisition...both are important for the long-term substantiality of institutions (Sporn, 2006, p. 146). Forecasting environmental changes, attaining new resources to reduce dependencies, and compliance with demands are necessary (Sporn, 2006, p. 146).</p> <p>Consumerism – stresses the rise of consumer sovereignty with special focus on students (Sporn, 2006, p. 147). Well-informed customer decisions, free choice for school or colleges. Dominant goal is consumer satisfaction (p. 147).</p> <p>Stratification – universities specialize and differentiate their mission based on the type of knowledge they want to develop and distribute....cater to different audiences...notion of a common world of learning is eroded (Sporn, 2006, p. 1467).</p> <p>The shift of HE from a social institution to an industry (Sporn, 2006, p. 146). There is the potential that certain areas within the organization might</p>	<p>Production, resources, comparative advantage, and strategy have become synonyms for these developments in the United States and increasingly in Europe (Sporn, 2006, p. 146).</p> <p>Emergence of audit cultures, increased demands for information and public accountability has led to an emphasis on performance and accountability assessments (Ribeiro, 2005; Olssen &amp; Peters, 2005). That is, neoliberal thought considers the most common force interfering with the market to be the government and its efforts to regulate elements of the market such as equity markets, business practice and the social safety net for labour (Taylor, 2017, p. 111). With HE, this has led to the performance-based frameworks for funding that have been implemented in Ontario and Alberta and are being contemplated across the country. However, advocates of neoliberalism view this as a positive element as HEI are being held accountable to achieving the respective performance measures to justify further the dollars they receive. However, as Hogan &amp; Trotter (2013) have identified, colleges and institutes might be better equipped to meet some of the</p>	<p>The practice of strategic prioritization of academic resources is common in business but is relatively new in higher education, and some authors feel it is problematic to do so (Taylor, 2017).</p> <p>The community will benefit as the college can be operating in a sustainable manner and continue to be a key economic driver for the community.</p>

Ethic of justice	Ethic of critique	Ethic of care	Ethic of profession	Ethic of community
	<p>laws of supply and demand...students and other constituencies are seen as consumers with diverging preferences and needs...management then includes all measures to stay competitive, plan strategically, scan the environment, cut costs, correct inefficiencies, and maximize flexibility (Sporn, 2006, p. 146).</p>	<p>be disadvantaged from aspects of this solution. For example, potential facility revenue lease opportunities might displace existing faculty or departments into less desirable areas at the institution. This could lead to employee dissent and dissatisfaction where revenue potential could compromise institutional mandates.</p>	<p>neoliberal-focused metrics than universities. This leads to the larger question of the role of HE today, and where government dollars should be allocated.</p> <p>The role of the state has changed...financial constraints triggered the shift from state control to a state supervision model targeted towards steering from a distance...basic funds are allocated based on performance indicators for core services in teaching and research...additional financial resources are project and competition based (Sporn, 2006, p. 147). This is exactly the case with FC and our IMA partnership with the province.</p> <p>Students will benefit as the college is focused on meeting IMA targets, which are directly aligned to the services they will receive.</p>	
<b>Solution 3</b>				
<p>In addition to Solutions 1 and 2, policies exist for:</p> <p>How the college will approach applying for and implementing federal and other government grants;</p> <p>How the college will manage our investment income assets;</p> <p>How the college will approach applying for and utilizing donations and other relevant</p>	<p>All the above arguments apply; however, it should be noted that current neoliberalist perspectives may not align with this solution. For example, neoliberalist pressures suggest HEI are moving towards the privatization of education and oppose teaching to support market-driven approaches (Giroux &amp; Giroux, 2004, p. 285). However, as Hogan and Trotter (2013) have identified</p>	<p>All the above arguments apply.</p> <p>The ongoing commercialization of research puts undue pressure on faculty to pursue research that can raise revenue and poses a threat to faculty intellectual property rights (Giroux &amp; Giroux, 2004, p. 271). This a university lens towards research. Colleges focus on technology transfer and look to solve current industry problems</p>	<p>All the above arguments apply.</p> <p>Students and Faculty will benefit from applied research initiatives as they will be directly involved in the research, and future students will benefit from technology transfer elements that arise from this research.</p> <p>Shift of priorities as more weight being given to externally</p>	<p>All the above arguments apply.</p> <p>A recent trend has been to seek more current use of gifts rather than endowments because the former can more readily substitute for missing state funds for some purposes (Li &amp; Zumeta, 2015, p. 474). This will be assessed going</p>

Ethic of justice	Ethic of critique	Ethic of care	Ethic of profession	Ethic of community
<p>grants, including the mechanisms to determine who donations are requested from; and</p> <p>How applied research will be conducted at the college.</p>	<p>colleges have been operating in a market-driven environment since their inception. FC's applied research activities will be aligned to real-time solutions required by industry for the purpose of technology transfer as opposed to theoretical research publications.</p> <p>Policies are in place to align with institutional priorities and mandates.</p>	<p>using students and faculty in the process. Current students and faculty engaged in this form of reach will benefit directly from solutions derived from this research, and future students will benefit from the findings for this research as those findings will be incorporated in curriculum delivered going forward.</p> <p>These initiatives would be identified in collaboration with the director of applied research, school deans, and faculty.</p>	<p>funded research or research initiatives emphasizing profit over producing new knowledge (Slocum et al., 2019, p. 35), as well as the creation of research centres sponsored from unconventional research funding agencies (Olssen &amp; Peters, 2005). This has led to internal allocation of resources to typically align with market demands (Croucher &amp; Lacy, 2020), and a shift of prioritization research in terms of amount of research income received versus the number of publications produced in support of research quality directions (Olssen &amp; Peters, 2005). However, because neoliberalism is grounded in free market economics (Harvey, 2005, as cited in Slocum et al., 2019, p. 33), it is more prevalent in universities that are facing decreased public support (Slocum et al., 2019). Therefore, this movement does not impact all institutions in the same manner, and some institutions (types) are better positioned to address the challenges/opportunities that exist than others (i.e., colleges).</p>	<p>forward and how it applies to FC, but still is within this ethical paradigm for consideration.</p>

*Note.* Based on Wood and Hilton's (2012) framework. EDID = equity, diversity, inclusivity, decolonization; FC = Frontier College; HE = higher education; HEI = higher education institution; IMA = investment management agreement; PoP = Problem of Practice; ROI = return on investment.



## Appendix L: Implementation Strategy by Activity to December 2023 (Month 13)

Area of focus and solution	Activity	How will it be done	Timelines
Increase revenue through tuition, fees, & programs ( <b>Solution 1</b> )	Increase credentialed and noncredentialed programs and courses.	18 new full-time programs waiting to be approved by the Ministry of Advanced Education.	18 programs should be approved by February 2023 and open for applications for fall 2023.
	Increase full- and part-time program options.	Obtain grants for microcredentials.	Grant applications will occur throughout the year depending on availability.
	Increase alternative delivery programming options.	Obtain grants for specialty areas to increase access for underrepresented groups (e.g., Women in Trades, Indigenous groups).	These plans will be better articulated and referenced during the budget development process, with financial plans likely approved by the board in June 2023
	Increase microcredential offerings.	Obtain grants for high-demand programming.	
	Increase continuing education programs and courses.	Use international student tuition support, adding sections for waitlisted programs and courses.	Will follow the BSC and budget development process and timelines.
	Increase domestic and international enrollments.	Investigate partnerships to increase international student enrollments outside of FC's region.	
Increase focus on sales and services, and effective utilization of college assets/finances ( <b>Solution 2</b> )	Maintain tuition and fee rates for students per current college policy and practices.		
	Investigate and increase long- and short-term leases where applicable and appropriate.	Will be identified through the BSC development and implementation process.	Will follow the BSC and budget development process and timelines.
	Increase facility rental activity where applicable and appropriate.	Most activities for the current fiscal year are in place, but the BSC and budgeting process will identify opportunities for the next fiscal year (e.g., residence, Theatre, Sports and Recreation).	Rentals and leases take time to negotiate, and therefore, it is difficult to establish concrete timelines for these activities.
	Investigate offering conferences where applicable and appropriate.		
	Increase sales of auxiliary and other retail services (Book Store, Food Services, etc.).		
	Increase utilization of residence and other facilities during off-peak periods where applicable and appropriate.		
	Investigate better utilization of the Theatre and Arts Centre, Sports and Recreation through increased programming and service offerings.		
Hybrid of Solutions 1 and 2, and those not covered in those two solutions ( <b>Solution 3</b> )	Investigate securing federal and other government grants beyond provincial operating grants.	Applied research grants.	Will follow the BSC and budget development process and timelines.
	Investigate opportunities to improve investment income performance.	Enhance and build new partnerships to grow advancement, donation, and other activities to support FC in other synergistic areas (e.g., applied research partnerships).	Applied research activities and grant submissions occur throughout the year depending on opportunities that may arise.
	Increase donations and grants.	Improve alumni relations to enhance advancement and donation opportunities further.	Partnership engagement strategies will be finalized by the end of May 2023 in alignment with the BSC development process.

**Appendix M: OIP and Other Relevant Timelines**

Early 2019– December 2019	Jun 2022	Jul 2022	Aug 2022	Sep 2022	Oct 2022	Nov 2022	Dec 2022	Jan 2023	Feb 2023	Mar 2023	Apr 2023	May 2023	Jun 2023	Jul 2023	Aug 2023	Sep 2023	Oct 2023	Nov 2023	Dec 2023	Jan 2024	Feb 2024	Mar 2024	Apr 2024	May 2024	Jun 2024	Jul 2024	Aug 2024	Sep 2024	Oct 2024	Nov 2024	Dec 2024	Jan 2025	Feb 2025	Mar 2025	Apr 2025	May 2025	Jun 2025																				
a	b	c																																																							
Strategic plan																																																									
d Frontier College (FC) 3-year strategic plan duration																																																									
e													f																g										h																		
OIP duration (13 months)																																																									
PBF @ 15% (12 months)													i																PBF @ 25% (12 months)												PBF @ 40% (12 months)																
Academic year (12 months)													Academic year (12 months)																Academic year (12 months)																												

*Note.* OIP = Organizational Improvement Plan; PBF = performance-based framework, and percentages represent the proportion of operating grant funds that will be tied to performance. Significant dates are described in specific notes below.

<sup>a</sup> FC board started the strategic planning process and through a series of roundtable discussions, focus groups, departmental meetings, staff town halls, and online surveys, a sense of urgency was created with all staff. <sup>b</sup> I shared a final draft of the new strategic plan based on all stakeholder consultations at a town hall meeting. <sup>c</sup> Staff had 2 weeks to provide input before the board finalized the plan. <sup>d</sup> The board launched the new strategic plan. <sup>e</sup> I led a facilitated planning session with PC members to ensure they all understood and were in alignment with the expectations of each initiative in the new strategic plan and OIP, thus creating the coalition and establishing the vision. <sup>f</sup> Separate facilitated planning sessions with all departments to ensure they all understood and were in alignment with the expectations of each initiative in the new strategic plan and OIP, that is communicating the vision. <sup>g</sup> First draft of balanced scorecard by department. <sup>h</sup> Final balanced scorecard by department. <sup>i</sup> 2023–2024 budget approved and incentive program introduced.

**Appendix N: OIP Timelines and Kotter’s Steps**

Early 2019– December 2019	Nov 2022	Dec 2022	Jan 2023	Feb 2023	Mar 2023	Apr 2023	May 2023	Jun 2023	Jul 2023	Aug 2023	Sep 2023	Oct 2023	Nov 2023	Dec 2023	
	a OIP duration (13 months)														
Step 1: Establishing sense of urgency										b					
	c Step 2: Creating guiding coalition (2 months)														
	d Step 3: Developing a vision and strategy (3 months)														
	e Step 4: Communicating the change vision (4 months)										f				
	g Step 5: Empowering employees for broad-based action (8 months)							h	i	j					
									Step 6: Generating short-term wins						
										Step 7: Consolidating gains & producing more change					
											Step 8: Anchoring new approaches in the culture (more applicable after Year 1)				

*Note.* OIP = Organizational Improvement Plan. Each step can be revisited at any time in the change implementation process, and timelines will be adjusted accordingly. Significant dates are described in specific notes below.

<sup>a</sup> Strategic plan officially launched. <sup>b</sup> Sense of urgency will be revisited to ensure complacency does not set in through an all-staff meeting. <sup>c</sup> Coalition created. <sup>d</sup> I led a facilitated planning session with all PC members. <sup>e</sup> Separate facilitated sessions with all departments. <sup>f</sup> The vision and strategy will continue to be communicated through an all-staff meeting to ensure all staff remain aligned with the purpose of the OIP. <sup>g</sup> Change readiness assessment conducted with all PC members. <sup>h</sup> Balanced scorecard first draft by department. <sup>i</sup> Final balanced scorecard by department. <sup>j</sup> 2023–2024 budget approved and incentive program introduced.

## **Appendix O: Communicating the Path for Change: Timelines and Milestones**

### **1. Started with the strategic planning process as discussed in Chapter 3**

- a. The process started in early 2019 and continued to October 2022, prior to my implementation of Kotter's (2012) Step 1.
- b. As discussed in the Organizational Improvement Plan (OIP), the sense of urgency was communicated during the environmental scanning process, which helped inform stakeholders of the sense of urgency of the Problem of Practice through with evidence including:
  - i. Political, economic, sociodemographic, and technology analysis
  - ii. Implications of performance-based framework (PBF)
  - iii. Investment management agreement
  - iv. Audited financial statements.
- c. Through regional roundtable discussions, focus groups, focused departmental meetings, all-staff meetings, town hall meetings, and online surveys.

### **2. Strategic plan launched November 2022 and included all staff in the process**

- a. Shortly after the formal launch of the strategic plan, the PCEO held an all-staff meeting to go over the final strategic plan; focused on the entire plan, but also focused specifically on the initiative aligned to the OIP and revisited Step 1 to remind staff the importance of the change that will be required (PBF implications, etc.).
- b. Communicated to all-staff meeting in December 2022 that in 2023, they should expect their respective executive and President's Council (PC) representatives to work with them on the next steps to implement the strategic plan, which includes the OIP; mentioned indirectly that the coalition will lead Steps 2–4 to develop and communicate the vision.
- c. The all-staff meeting in December reinforced the necessity of implementing the five change management principles, particularly that the reasons for the change must be clear, different people react differently to change, and change must involve the people.

### **3. Change readiness assessment conducted by the executive as discussed in Chapter 2**

- a. Following the five change management leadership principles and through a distributed leadership approach, it was important to assess how ready the executive for the change.
- b. As discussed in Chapter 2, a change readiness assessment was conducted by all executives in early December 2022, shortly after the all-staff meeting held earlier that month.
- c. The results of the assessment were shared with all executives at a January Executive Council meeting, and all

executives developed strategies for next steps.

- d. Although not being at the same level of readiness for the change, the executive agreed that to proceed with the development of the coalition and conduct a similar readiness assessment for all PC members after the February 2023 departmental meetings.

#### **4. PC facilitated session in December 2022 (after the all-staff meeting) as discussed in Chapter 3**

- a. All five change management leadership principles applied, as it was important to ensure that those who will be engaged in executing the strategy must be involved early in the change implementation strategy process (Pietrzak & Paliszkiwicz, 2015).
- b. The coalition is taking a distributed leadership approach to executing the change strategy; therefore, it is very important that they fully understand what will be required to implement the OIP.
- c. This session involved two-way sensemaking communication, and a similar approach will be taken in February 2023 during the individual departmental meetings for all nonexecutive PC members.
- d. I needed to know all PC members understood the expectations of the board:
  - i. I led the facilitated session with all PC members.
  - ii. Social cognition theories applied in that I used this venue as a sensemaking exercise to ensure further that because the OIP requires an institutional focus, all PC members were clear on the expected interdependencies from individual, departmental, and institutional levels for the strategic plan, and indirectly, the OIP to be successfully executed.
  - iii. The intent was that all members of the coalition have a similar level of understanding of the expectations of the board, so they can lead with a similar level of knowledge and understanding when they work towards transferring that knowledge to their respective employees.
- e. The coalition will be equally responsible for ensuring a similar level of sensemaking and understanding exists with all their employees within their respective portfolios in departmental facilitated sessions, which will be held in February 2023.
- f. This session helped develop the vision for the change and a foundation for the BSC development process for the strategic plan and the OIP.
- g. It allowed for two-way communication and sensemaking.
- h. This aligns with Kotter's third step of creating the vision.

#### **5. Fifteen separate departmental facilitated session to be conducted in February 2023**

- a. Five change management leadership principles apply, especially that the goals of the change must be clear and change must involve the people; therefore, before employees can execute any strategy, they must accept and

believe in the strategy. However, before they can accept and believe in the strategy, they must understand it (Pietrzak & Paliszkiewicz, 2015).

- b. These sessions are discussed in Chapter 3 and shown in detail in Appendix P.
- c. The coalition is responsible for sensemaking (social cognition theory) through their portfolios.
- d. “Face-to-face communication has a greater impact than any other single medium ... It helps clarify ambiguities and increases the probability that the sender and receiver are connected appropriately” (Klein, 1996, p. 34). It “provides the communicator with the opportunity to capitalize on the different perspectives and interpretations that are likely to result from a complex message in terms of providing explanations and clarifications relevant to the likely variations of understanding” (Klein, 1996, p. 35).
- e. I will lead the sessions, assisted by the relevant vice president and PC members associated with the specific department. Each session will have 3 PC members therefore, to identify and further any sensemaking that still is required at the PC level.
- f. The sessions set the base for the balanced scorecard (BSC), ensuring all staff understand goals of the strategic plan before completing the BSC on how their department aligns to the plan and the OIP. This is discussed in Chapter 3.
- g. First draft of departmental BSCs will be completed by April 2023.
  - i. First drafts of BSC should determine if Steps 3 and 4 were successful.
  - ii. If not successful, then we will go back to the areas that might need more sensemaking or direction.
- h. The sessions allow for two-way communication and sensemaking.
- i. This strategy aligns with Kotter’s Step 4 of communicating the vision:
  - i. Each department will go through this process.
  - ii. The overarching goal is the same as identified in Step 3.
  - iii. The key is making sure each department knows what it means for them, aligning with role clarity and functionalist and structuralist approaches.

#### **6. Change readiness assessment conducted by PC members in after the February 2023 facilitated sessions.**

- a. Sessions described in Steps 4 and 5 will influence the results here.
- b. Results of the change readiness assessment will determine which areas might need more clarification or sensemaking and ensure the PC members have the necessary supports and resources to execute the strategic plan and OIP.
- c. If more sensemaking is required or barriers are identified for a specific department, the PC member responsible for that department will discuss next steps with their respective executive.

- d. I will need to be engaged if supports are required that are beyond the level of authority held by the executive and PC member (e.g., time, financial, or human resource barriers).

**7. First drafts of BSC to be completed by April 2023 as discussed in Chapter 3**

- a. Initial drafts will determine if PC portfolios are in alignment with the expectations of the strategic plan and OIP.
- b. A combination of Steps 4, 5, and 6 and BSC submissions will determine which areas might need more clarification or sensemaking.
- c. If more sensemaking is required or barriers are identified for a specific department, the PC member responsible for that department will discuss with their respective executive the next steps.
- d. I will need to be engaged if supports are required that are beyond the level of authority held by the executive and PC member (e.g., time, financial, or human resource barriers)

**8. The full BSC will be finalized by May 2023 as discussed in Chapter 3**

**9. Incentive program will be announced when the budget is approved by the board in June 2023**

**10. Quick wins can be communicated after BSCs are completed per the knowledge mobilization plan (Appendix R).**

- a. The BSC process will provide evidence that specific departments and the college are progressing with the change (discussed in Chapter 3).
- b. The BSC is the roadmap to what, how, who, and when outcomes are to be achieved.

**11. All-staff meeting in August 2023 before the start of the 2023/24 academic year to ensure all staff remain conscious of the sense of urgency for the change and remain clear on the vision of the change.**

**Appendix P: February 2023 Separate Departmental Facilitated Sessions to Ensure All Staff Are in Alignment With the Expectations of the Strategic Plan and OIP**

SCHEDULE	FOCUS	PURPOSE/DETAILS
8:30–9:00 (a.m. session) 12:30–1:00 (p.m. session)	Continental breakfast (a.m.) Light lunch (p.m.)	Opportunity for employees to mingle and have some refreshments before each session begins.
<p align="center"><b>Agenda Item 1</b> 9:00–9:05 a.m. 1:00–1:05 p.m.</p>	<p align="center"><b>PCEO to give an overview of the purpose and agenda for the session</b></p>	<ul style="list-style-type: none"> <li>• PCEO does land acknowledgement.</li> <li>• PCEO welcomes all staff and goes over safety and logistics (e.g., no formal breaks and staff may visit the restroom at any time).</li> <li>• PCEO provides an overview of the purpose and agenda of the session.</li> <li>• PCEO informs all employees this session will be conducted in the same way for all of the 15 nonexecutive departments across the college over the next two weeks.</li> <li>• PCEO informs all employees he will be the lead facilitator, assisted by their VP and their PC member.</li> <li>• PCEO informs the main purpose of the session is to ensure all employees are at a similar level of understanding of what the new strategic plan is attempting to achieve, and how each individual and department within the college can help execute the plan whether it is from a lead or supportive role.</li> </ul>
<p align="center"><b>Agenda Item 2</b> 9:05–9:15 a.m. 1:05–1:15 p.m.</p>	<p align="center"><b>PCEO to provide a summary of how the college reached this stage of the planning and implantation process, establish ground rules of engagement, and format of the session.</b></p>	<ul style="list-style-type: none"> <li>• PCEO provides a brief reminder of the strategic planning process from early 2019 until the plan was officially launched in November 2022.</li> <li>• PCEO reminds all employees the board owns the strategic plan, and places accountability on the PCEO to execute the plan.</li> <li>• In alignment with distributed leadership approaches, the PCEO acknowledges he cannot deliver on all elements on the strategic plan on his own and needs the help of his executive, all nonexecutive PC members, and all employees across the college to execute and implement the plan.</li> <li>• PCEO informs all employees that we will all go through each pillar, outcome, and initiative of the plan and through, and the 3 members of PC will help facilitate the process and ensure we hear what how each employee interprets elements of the plan, and then we will provide feedback on how closely it is aligned with the board’s expectations of the plan.</li> <li>• PCEO will also establish ground rules for the remainder of the session:             <ul style="list-style-type: none"> <li>• The strategic plan is finalized so there should not be any discussion on changes that might need to occur with the plan.</li> <li>• Employees will be separated into tables of 6 or 7 depending on the size of the group.</li> <li>• No more than 2 people from subdepartments can be at the same table to ensure we get staff to provide a safe way to voice their thoughts on each topic covered (attempt to give voice to those who might not always have that opportunity).</li> <li>• Only one individual per table for those who are not associated any subdepartment.</li> <li>• For those who are unable to attend a session, the nonexecutive PC member will ensure those employees are provided with the information required so that have a similar level of understanding of the expectations of the strategic plan and the OIP.</li> <li>• The 3 PC members want to hear from each table what their understanding is of each pillar, objective within each pillar, and initiative under each objective under each pillar.</li> <li>• It is a chance for all employees to share their thoughts and opinions on what the elements of the strategic plan mean to them.</li> <li>• We then what to explain how closely aligned they are to on each item discussed and provide them feedback on where there might be gaps with respect to their interpretation of the strategic plan and the board’s expectations (two-way sensemaking communication).</li> </ul> </li> <li>• From there we will move on to the BSC discussion so they can start envisioning how their department can contribute to the execution of the strategic plan from lead or supportive role</li> </ul>



		<ul style="list-style-type: none"> <li>• PCEO also shows all staff that they will be provided with the following, which will be referred to at various stages of the remainder of the session: (a) the college’s new strategic plan, (b) Truth and Reconciliation 94 Calls to Action, (c) United Nations 17 Sustainable Development Goals, and (d) the proposed BSC format (Appendix Q).</li> <li>• PCEO will ask all to find a seat given the seating expectations mentioned above, and the PCEO and VP will require the assistance of the nonexecutive PC member to ensure that seating guidelines are met.</li> <li>• In the newly determined seating arrangements, each table is to select a recorder to take notes of the forthcoming discussions and one speaker who will report to all employees on each agenda items to be discussed.</li> </ul>
<p><b>Agenda Item 3</b> 9:15–9:35 a.m. 1:15–1:25 p.m.</p>	<p><b>Through two-way sensemaking communication, to determine how well staff understand the vision and mission as identified in the new strategic plan</b></p>	<ul style="list-style-type: none"> <li>• In the newly created seating arrangements, PCEO will provide direction by asking each table to spend 10 minutes to discuss among themselves what the vision and mission mean to them.</li> <li>• PCEO will refer to the strategic plan and Truth and Reconciliation documents provided in the meeting package as a potential resource for the employees to review as they address this section of the strategic plan.</li> <li>• After those 10 minutes, the speaker of each table will provide a summary of their conversation. The PCEO will ask for each table to highlight key areas for discussion and remind the group that each table should provide their recorded comments to the PC members to ensure we have captured their conversations as best as possible.</li> <li>• PC will collate recorded items from each table at each of the 15 departmental sessions for each category discussed, and further assess whether there are areas of misalignment that will need to be addressed either at a departmental or institutional level.</li> <li>• After each table has had the chance to report back to all attendees, the PCEO will highlight where comments aligned with the board’s lens with respect to the vision and mission, and any areas that might not be in alignment.</li> <li>• It will be important to use this discussion time to ensure all staff understands why there might areas of misalignment, and what sensemaking conversations will be required to ensure this misaligned gap is closed.</li> <li>• If it appears the sensemaking activity is not achieving the desired results, the 3 PC members will need to strategize if future sensemaking sessions or other strategies will be required after this session has ended.</li> <li>• If it appears the same misalignment is evident in most or all other nonexecutive PC departmental meetings, institute-wide communication strategies might be required. However, if it appears that this misalignment is more at the local level of a specific department, the 3 PC members may strategize next steps after this session.</li> <li>• PCEO, in collaboration with the other two PC members, will make the judgement call whether misaligned understandings of these concepts need to be addressed at the departmental or institutional level and establish strategies accordingly.</li> </ul>
<p><b>Agenda Item 4</b> 9:35–10:05 a.m. 1:25–2:05 p.m.</p>	<p><b>Through two-way sensemaking communication, to determine how well staff understand Pillar 1 (Access and Affordability) of the strategic plan, its 3 outcomes, and the 6 initiatives identified under the outcomes.</b></p>	<ul style="list-style-type: none"> <li>• In the same seating arrangements, each table can select if they want to use the same recorder and speaker or choose different ones.</li> <li>• The speaker will report how their table interprets the 6 initiatives under Pillar 1.</li> <li>• PCEO will provide direction by asking each table to spend 20 minutes discussing among themselves what the six initiatives under this pillar and associated outcomes mean to them.</li> <li>• PCEO will refer to the strategic plan and Truth and Reconciliation documents provided in the meeting package as a potential resource for the employees to review as they address this section of the strategic plan.</li> <li>• After those 20 minutes, the speaker of each table will provide a summary of their conversation.</li> <li>• The PCEO will ask for each table to highlight key areas for discussion and remind the group that each table should provide their recorded comments to the PC members to ensure we have captured their conversations as best as possible.</li> <li>• PC will collate recorded items from each table at each of the 15 departmental sessions for each category discussed, and further assess whether there are areas of misalignment that will need to be addressed either at a departmental or institutional level.</li> <li>• After each table has had the chance to report back to all attendees, the PCEO will highlight where comments aligned with the board’s lens with respect to the vision and mission, and any areas that might not be in alignment.</li> <li>• It will be important to use this discussion time to ensure all staff understand why there might areas of misalignment, and what sensemaking conversations will be required to ensure this misaligned gap is closed.</li> </ul>

		<ul style="list-style-type: none"> <li>• If it appears the sensemaking activity is not achieving the desired results, the 3 PC members will need to strategize if future sensemaking sessions or other strategies will be required after this session has ended.</li> <li>• If it appears the same misalignment is evident in most or all other nonexecutive PC departmental meetings, institute-wide communication strategies might be required. However, if it appears that this misalignment is more at the local level of a specific department, the 3 PC members may strategize next steps after this session.</li> <li>• PCEO, in collaboration with the other two PC members, will make the judgement call whether misaligned understandings of these concepts need to be addressed at the departmental or institutional level and establish strategies accordingly.</li> </ul>
<p><b>Agenda Item 5</b> 10:05–10:30 a.m. 2:05–2:30 p.m.</p>	<p><b>Through two-way sensemaking communication, to determine how well staff understand Pillar 2 (Skills for Jobs) the strategic plan, its 3 outcomes, and the 3 initiatives identified under the outcomes,</b></p>	<ul style="list-style-type: none"> <li>• In the same seating arrangements, each table can select if they want to use the same recorder and speaker or choose different ones.</li> <li>• The speaker will report how their table interprets the 3 initiatives under Pillar 2.</li> <li>• PCEO will provide direction by asking each table to spend 15 minutes to discuss among themselves what the three initiatives under this pillar and associated outcomes mean to them.</li> <li>• This pillar has far fewer initiatives to discuss. As a result, 5 minutes have been reduced in comparison to other three pillars.</li> <li>• PCEO will refer to the strategic plan documents provided in the meeting package as a potential resource for the employees to review as they address this section of the strategic plan.</li> <li>• After those 15 minutes, the speaker of each table will provide a summary of their conversation.</li> <li>• The PCEO will ask each table to highlight key areas for discussion and remind the group that each table should provide their recorded comments to the PC members to ensure we have captured their conversations as best as possible.</li> <li>• PC will collate recorded items from each table at each of the 15 departmental sessions for each category discussed, and further assess whether there are areas of misalignment that will need to be addressed either at a departmental or institutional level.</li> <li>• After each table has had the chance to report back to all attendees, the PCEO will highlight where comments aligned with the board’s lens with respect to the vision and mission, and any areas that might not be in alignment.</li> <li>• It will be important to use this discussion time to ensure all staff understands why there might areas of misalignment, and what sensemaking conversations will be required to ensure this misaligned gap is closed.</li> <li>• If this sensemaking activity is not achieving the desired results, the 3 PC members will need to strategize if future sensemaking sessions or other strategies will be required after this session has ended.</li> <li>• If it appears the same misalignment is evident in most or all other nonexecutive PC departmental meetings, institute-wide communication strategies might be required. However, if it appears that this misalignment is more at the local level of a specific department, the 3 PC members may strategize next steps after this session.</li> <li>• PCEO, in collaboration with the other two PC members, will make the judgement call whether misaligned understandings of these concepts need to be addressed at the departmental or institutional level and establish strategies accordingly.</li> </ul>
<p><b>Agenda Item 6</b> 10:30–11:00 a.m. 2:30–3:00 p.m.</p>	<p><b>Through two-way sensemaking communication, to determine how well staff understand Pillar 3 (Internationalization) of the strategic plan, its 3 outcomes, and the 5 initiatives identified under the outcomes,</b></p>	<ul style="list-style-type: none"> <li>• In the same seating arrangements, each table can choose to use the same recorder and speaker or choose different ones.</li> <li>• The speaker will report how their table interprets the five initiatives under Pillar 3.</li> <li>• PCEO will provide direction by asking each table to spend 20 minutes discussing among themselves what the five initiatives under this pillar and associated outcomes mean to them.</li> <li>• PCEO will refer to the strategic plan and Truth and Reconciliation documents provided in the meeting package as a potential resource for the employees to review as they address this section of the strategic plan.</li> <li>• After those 20 minutes, the speaker of each table will provide a summary of their conversation.</li> <li>• The PCEO will ask for each table to highlight key areas for discussion and remind the group that each table should provide their recorded comments to the PC members to ensure we have captured their conversations as best as possible.</li> <li>• PC will collate recorded items from each table at each of the 15 departmental sessions for each category discussed, and further assess whether there are areas of misalignment that will need to be addressed either at a departmental or institutional level.</li> <li>• After each table has had the chance to report back to all attendees, the PCEO will highlight where comments aligned with the</li> </ul>

		<p>board’s lens with respect to the vision and mission, and any areas that might not be in alignment.</p> <ul style="list-style-type: none"> <li>• It will be important to use this discussion time to ensure all staff understand why there might areas of misalignment, and what sensemaking conversations will be required to ensure this misaligned gap is closed.</li> <li>• If it appears there sensemaking activity is not achieving the desired results, the 3 PC members will need to strategize if future sensemaking sessions or other strategies will be required after this session has ended.</li> <li>• If it appears the same misalignment is evident in most or all other nonexecutive PC departmental meetings, institute-wide communication strategies might be required. However, if it appears that this misalignment is more at the local level of a specific department, the 3 PC members may strategize next steps after this session.</li> <li>• PCEO, in collaboration with the other two PC members, will make the judgement call whether misaligned understandings of these concepts need to be addressed at the departmental or institutional level and establish strategies accordingly.</li> </ul>
<p><b>Agenda Item 7</b> 11:00–11:30 a.m. 3:00–3:30 p.m.</p>	<p><b>Through two-way sensemaking communication, to determine how well staff understand Pillar 4 (Sustainability) of the strategic plan, its 3 outcomes, and the 6 initiatives identified under the outcomes,</b></p>	<ul style="list-style-type: none"> <li>• In the same seating arrangements, each table can choose to use the same recorder and speaker or choose different ones.</li> <li>• The speaker will report how their table interprets the five initiatives under Pillar 4.</li> <li>• PCEO will provide direction by asking each table to spend 20 minutes discussing among themselves what the six initiatives under this pillar and associated outcomes mean to them.</li> <li>• PCEO will refer to the strategic plan and the UN’s 17 Sustainable Development Goals provided in the meeting package as a potential resource for the employees to review as they address this section of the strategic plan.</li> <li>• After those 20 minutes, the speaker of each table will provide a summary of their conversation.</li> <li>• The PCEO will ask for each table to highlight key areas for discussion and remind the group that each table should provide their recorded comments to the PC members to ensure we have captured their conversations as best as possible.</li> <li>• PC will collate recorded items from each table at each of the 15 departmental sessions for each category discussed, and further assess whether there are areas of misalignment that will need to be addressed either at a departmental or institutional level.</li> <li>• After each table has had the chance to report back to all attendees, the PCEO will highlight where comments aligned with the board’s lens with respect to the vision and mission, and any areas that might not be in alignment.</li> <li>• It will be important to use this discussion time to ensure all staff understand why there might areas of misalignment, and what sensemaking conversations will be required to ensure this misaligned gap is closed.</li> <li>• If it appears there sensemaking activity is not achieving the desired results, the 3 PC members will need to strategize if future sensemaking sessions or other strategies will be required after this session has ended.</li> <li>• If it appears the same misalignment is evident in most or all other nonexecutive PC departmental meetings, institute-wide communication strategies might be required. However, if it appears that this misalignment is more at the local level of a specific department, the 3 PC members may strategize next steps after this session.</li> <li>• PCEO, in collaboration with the other two PC members, will make the judgement call whether misaligned understandings of these concepts need to be addressed at the departmental or institutional level and establish strategies accordingly.</li> <li>• This process will be especially important given that Pillar 4, Outcome 3, Initiative 1 is directly associated with the OIP.</li> </ul>

<p><b>Agenda Item 8</b> 11:30 a.m.–12:00 p.m. 3:30–4:00 p.m.</p>	<p><b>PCEO and overview of the BSC development process, how it is to be completed at the departmental level, and associated timelines.</b></p>	<ul style="list-style-type: none"> <li>• The intent of the previous exercises was through two-way sensemaking communication to ensure all employees were aligned to the board’s expectations of how each initiative within the plan is to be interpreted.</li> <li>• With understanding, the next step in the strategic planning and OIP implementation process is for each department to determine how they can at an individual and departmental level help achieve the outcomes as expected by the board.</li> <li>• Using the BSC template, the PCEO will take a step-by-step approach of identifying the purpose of each column of the BSC, and how each department will need to populate each column with the correct information corresponding to each initiative that applies to that department.</li> <li>• PCEO will provide the following direction to each of the 15 departments that will go through these sessions (details will be discussed in the M&amp;E section of Chapter 3):             <ul style="list-style-type: none"> <li>○ Although there 20 initiatives in the strategic plan, it is not expected that each department will be able to articulate that they could provide either a lead or supportive role in all 20 initiatives.</li> <li>○ Each department is only to identify initiatives that they believe align with their role within the organization.</li> <li>○ Using a distributed approach, the PCEO will be asking each of his executive to provide a completed BSC for each of their portfolios; however, each executive will need a BSC from each of their respective nonexecutive PC members.</li> <li>○ It is expected that each nonexecutive PC member will engage with all of their departments to complete and submit a draft BSC for their respective department to be submitted to their respective executive by April 2023.</li> <li>○ These February 2023 are meant to assist employees and their respective nonexecutive PC member to understand how their department can play either a lead or supportive role across all initiatives identified in the strategic plan.</li> <li>○ The executive can then determine whether further sensemaking is required if BSCs are not completed in the manner expected based on the expectations of the February 2023 session; further, it is not expected each executive will have all 20 initiatives for action identified for their respective portfolios.</li> <li>○ The PCEO needs to ensure that all 20 initiatives are addressed in some manner across all executive portfolios, and it is not expected that there will be an equal distribution of initiatives identified within each executive portfolio.</li> <li>○ For example, after receiving the BSC from her respective nonexecutive PC members, she may suggest her area of responsibility can implement strategies to address 15 initiatives, the CFO might be able to address 12, the CIO might be able to address 9, and the EDHR might be able to address 10. The PCEO is more concerned that after collating all of his executive’s BSC’s, all 20 initiatives will be addressed in one manner or another.</li> <li>○ The PCEO will make it clear to all attendees in all sessions that all departments must identify initiatives that address the initiative aligned to the OIP.</li> </ul> </li> <li>• PCEO will inform all employees that because the BSC will identify key performance indicators and targets that will need to be achieved, I am expecting transparent conversations to occur with all employees and their respective nonexecutive PC members to identify, negotiate and agree upon targets that are achievable of which they will be measured.</li> <li>• Through two-way communication at the departmental/nonexecutive PC member level, the nonexecutive PC and executive level, and the executive and PCEO level, draft BSCs are to be completed by April 2023, and final versions of the BSC will be completed by May 2023 (with agreed upon targets).</li> <li>• This two-way communication is critical especially since performance measures will be identified and measured at the individual, departmental and institutional level. This approach aligns with the 5 change management leadership principles especially as it pertains to the goals of the change must be clear and change must involve the people.</li> </ul>
<p><b>Agenda Item 9</b> 12:00–12:10 p.m. 4:00–4:10 p.m.</p>	<p><b>PCEO summarize the session, answer any questions that may arise, and discuss next steps.</b></p>	<ul style="list-style-type: none"> <li>• PCEO will summarize the session and highlight any key topics that arose from that session that might require further clarification before concluding the session.</li> <li>• PCEO, the VP and the nonexecutive PC member will answer any questions or clarify any points from participants that arise.</li> <li>• PCEO thanks all participants for actively engaging in the session, gives an overview of next steps, and concludes the session.</li> </ul>

**Appendix Q: Balanced Scorecard Template**

Assessment as of: \_\_\_\_\_

Department:: \_\_\_\_\_

PILLAR	OUTCOMES	INSTITUTIONAL INITIATIVE	DEPARTMENT INITIATIVES	BASELINE	KPI	DELIVERY DATE	STAKEHOLDERS ACCOUNTABLE	PROGRESS (Red, Yellow, Green)
4. SUSTAINABILITY	1. TO PROVIDE STRONG GOVERNING OVERSIGHT	1. Ensure ongoing efficiency, transparency, and accountability	1.					
			2.					
			3.					
		2. Investigate positioning Frontier College as a Polytechnic institution.	1.					
			2.					
			3.					
	3. Investigate aligning with the United Nation's 17 Sustainable Development Goals.	1.						
		2.						
		3.						
		2. TO DRIVE INNOVATION	1. Through applied research activities, contribute to Albert's Innovation capacity by supporting and strengthening its commercialization potential to create new knowledge, and develop future skills and diversity in the economy.	1.				
				2.				
				3.				
2. Investigate establishing Frontier College as a Center of Excellence in Energy.	1.							
	2.							
	3.							
3. TO INCREASE ALTERNATIVE REVENUE SOURCES	1. To become less reliant on government funding by seeking alternative sources of revenue and effective/efficient utilization/management of College assets.	1.						
		2.						
		3.						

### Appendix R: Knowledge Mobilization Plan

Who (Audience)	What (Message) What knowledge are you looking to mobilize?	Why Why is this knowledge important to mobilize for this group?	How How will the message be delivered to this audience?	When When will this audience receive the message?
Board of Governors (board)	The status of each initiative in the strategic plan (including the initiative aligned with the OIP), using the BSC with green, yellow, and red indicators to describe achievement, adjustments needed, or unable to achieve and why.	The board created the strategic plan, and they require formal and informal updates on how the plan is being implemented so they can work with me on any corrective actions necessary, as well as confirm that the strategic priorities identified in the strategic plan remain a key focus for the college.	The status of the strategic plan’s implementation will be a standing agenda item at every Governance and HR Committee meeting and board meeting.  I will present at these meetings.  Governance and HR Committee meetings are virtual, while the board is face-to-face.  The BSC will be a key tool to inform how the message will be delivered to this audience.	I will provide informal updates at the January, March, April, May, September, and November Governance and HR Committee and board meetings.  I will provide a formal PowerPoint presentation on the status of all initiatives (including those related to the OIP) at the November Governance and HR and board meetings.
Coalition (President’s Council, including all executive)	The status of each initiative in the strategic plan (including the initiative aligned with the OIP), using the BSC with green, yellow, and red indicators to describe achievement, adjustments needed, or unable to achieve and why.  Messaging will be based on information summarized at the institution, executive portfolio, and departmental levels.	This is the coalition leading the change, so sensemaking initiatives are important to ensure all members fully understand the purpose of the change, can articulate the vision of the change, and are vested in ensuring Kotter’s eighth step can be achieved.  The OIP is being implemented through a distributed leadership approach and each member can determine if corrective actions might be necessary.  All coalition members need to be aware of not only how their respective departments are meeting the objectives of the change, but also how they can continue to support other portfolios at FC with an institutional lens.	A sensemaking exercise will take place for each nonexecutive PC portfolio in February 2023, which in turn will lay the foundation to ensure the BSC process will be aligned with board expectations.  Using the BSC as a reporting tool, each PC member will update the status of their respective initiatives and report to their supervisors during regular one-to-one meetings.  For example, the Dean of Business and University Studies will provide regular updates to the VPA, and the VPA will update me during our respective one-to-one meetings. These updates are usually approximately one week after their regular departmental meetings.  Through the BSC, I will provide executive-level and institutional-level updates to all PC members during regular PC meetings chaired by me.  Each executive will discuss the status of their respective PC direct reports during their regular one-to-one meetings.	Using the BSC as a reporting tool, each PC member will provide informal updates to their executive during their one-to-one meetings and formal updates quarterly.  Each executive will provide me with informal updates during their one-to-one monthly meetings and formal updates quarterly. The quarterly updates will be approximately one month after receiving formal quarterly updates from their respective PC direct reports.  I will provide quarterly updates to all PC members at regular PC meetings.
Frontier College Employees	The status of each initiative in the strategic plan (including the initiative aligned with the OIP), using the BSC	Sensemaking initiatives are important for all employees so they fully understand the purpose and vision of the change, as well as how they can contribute to the change from within the	A sensemaking exercise will take place for each nonexecutive PC portfolio in February 2023, which in turn will lay the foundation to ensure the BSC process will be aligned with board	Using the BSC as an M&E tool, each PC member will discuss with all department employees and update their respective BSC during monthly departmental meetings, creating the base for

Who (Audience)	What (Message) What knowledge are you looking to mobilize?	Why Why is this knowledge important to mobilize for this group?	How How will the message be delivered to this audience?	When When will this audience receive the message?
	<p>with green, yellow, and red indicators to describe achievement, adjustments needed, or unable to achieve and why.</p> <p>Messaging will be based on information summarized at the institution, executive portfolio, and departmental levels.</p>	<p>department in which they work and at an individual level.</p> <p>Following distributed leadership principles, each employee will play a role in helping achieve the outcomes of the change and must be invested in the change process.</p> <p>Through the leadership of their respective PC member, their departments can determine if corrective actions might be necessary.</p> <p>Each employee needs to be aware of not only how their respective departments are meeting the objectives of the change but also how they can personally continue to contribute to the goals of their department and the institution as a whole.</p> <p>This change initiative has an institutional focus, and all employees need to be properly informed and vested to ensure Kotter’s eighth step can be achieved, and how what they do at FC can help achieve that goal.</p>	<p>expectations.</p> <p>Through a distributed leadership approach, each session will be facilitated by me, with support from the department’s PC member and the respective executive within which the department resides.</p> <p>Using the BSC as a reporting tool, each PC member will update the status of their respective initiatives in discussions with all employees within their department during regular monthly departmental meetings.</p> <p>PC members can use the updates provided at PC meetings to update employees from an executive and institutional level lens at their departmental meetings. This allows for two-way communication to assess if any adjustments to initiatives are required.</p> <p>Employees also have access to the following forms of communication:</p> <p>Minutes from board public meetings, Executive Committee meetings, PC meetings, and Academic Council meetings;</p> <p>I will update the officials of the two unions at FC, who in turn can communicate to their membership;</p> <p>All-staff meetings in the FC Theatre, which are live-streamed and recorded for those who can’t attend in person;</p> <p>Town hall meetings;</p> <p>Internal communication protocols, and all-staff email channels; and</p> <p>Corporate documents (e.g., Annual Report).</p>	<p>formal quarterly departmental BSC reports.</p> <p>I will provide quarterly updates at regular PC meetings and PC members will share those results with all staff within their respective departments.</p> <p>Meeting minutes, as described in the How column, are available within a week of each meeting (except board minutes which can take up to a month).</p> <p>Union updates are once a month.</p> <p>All-staff meetings are held once a semester.</p> <p>Town hall meetings are held twice a year.</p> <p>Internal communication protocols and all-staff email channels are used, as necessary.</p> <p>FC’s Annual Report is available in December of each year.</p>

*Note.* Based on work by Lavis et al. (2003). BSC = balanced scorecard; FC = Frontier College; HR = human resources; OIP =

Organizational Improvement Plan; PC = President’s Council; VPA = vice president academic.