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Improving Employees' Experience with the Performance Appraisal Process

Melanie Molnar
Western, mmolnar8@uwo.ca

Western University

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by

Melanie Molnar

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Abstract

Organizational changes can be successful when approached with an appreciation for an appropriate change management strategy that aligns with the organizational context and the change that is being implemented. In this Organizational Improvement Plan (OIP), the performance evaluation process in place at University Y will be looked at and recommendations will be made for improvements. Special attention will be given to the requirements for a successful change management process. An authentic leadership approach is the preferred approach for the purpose of this OIP. Complex Adaptive Systems is a field within Complexity theories and will be used in order to address the problems that have been identified within the existing performance evaluation process at University Y. Along with Complex Adaptive System Theory, Social Exchange Theory will also be utilized. Both Beckhard and Harris' (1987) Managing the Change Process Theory and Cawsey, Deszca, and Ingols (2016) Change Path Model will be used to lead the change process.

This OIP could be adapted to fit the needs of other organizations struggling with their own challenges relating to performance evaluations.

Key words: performance appraisal, performance evaluation, human resources, performance management, change management process, authentic leadership, Complexity Theory, Complex Adaptive Systems, Social Exchange Theory, Change Path Model, Change Process Theory.

Executive Summary

Performance evaluations have been utilized by organizations for many years. However, as the demographics of the workforce change, along with the complexity of the work being done, the performance appraisal process that is instituted within an organization must adapt and be reflective of these changes in order to continue to serve its purpose of providing feedback and evaluation to each employee. The purpose of this Organizational Improvement Plan (OIP) is to investigate how the performance appraisal process in place at University Y can be altered in order to meet the objectives it was put in place to achieve. The main objectives of the performance appraisal process are providing an employee with formal feedback and providing the employee and the leader with the opportunity to set goals for the upcoming year. While the performance appraisal process is the problem of practice (PoP) that will be focused on throughout this OIP, the process of organizational improvement will also be a key consideration threaded throughout the document. Chapter 1 will introduce the organizational context of University Y, established leadership approaches and practices in place at the institution. The problem of practice will be discussed in greater depth with a focus on the current state and the desired future state and how that may be possible with the organizational structure and established leadership approaches and practices that exist within the institution. Authentic leadership is the leadership style selected as the preferred approach to leadership for the purpose of this OIP. Chapter 2 will present the development of a leadership framework for understanding the change. Organizational information will be analyzed with data be presented and considered in light of the possible solutions that could be implemented to address the problem of practice identified. Complex Adaptive Systems, a field within Complexity Theory, in collaboration with Social Exchange Theory are the frameworks used to understand the Problem of Practice (PoP)

addressed in this OIP. Frameworks for leading the change for this PoP are both Beckhard and Harris' (1987) The Change Process and The Change Path Model from Cawsey, Descza, and Ingols (2016). Bolman and Deal's (2013) Framing Theories will be considered as a third theory at a more operational level than the previous two theories mentioned. The selected frameworks will be further explored with an explanation provided as to why selected frameworks are most relevant based on the organizational context of University Y. Chapter 3 will focus on developing a plan for implementing, monitoring, and communicating the organizational change process. Emphasis will be given to building momentum by establishing short, medium and long term goals along with the acknowledgement of limitations. Understanding potential stakeholder reactions and how they might be addressed, along with identifying the necessary supports and resources, will be covered in Chapter 3. Tools and measures to ensure the change is being implemented as expected and is having the desired effect once implemented will be facilitated through a review of the Plan-Do-Study-Act (PDSA) model. A plan to communicate the need for change and the change process in order to build awareness will be discussed. Finally, a review of next steps and suggestions for further considerations will be presented.

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Chapter 1: Introduction and Problem

Organizational Context

This section of the Organizational Improvement Plan (OIP) introduces you to the context in which University Y is situated, and the vision, mission, values, purposes, and goals of the organization are reviewed. The organizational structure and established leadership, approaches, and practices will also be included in the topic of discussion. A short history of the organization and the connection to the current mission and organizational strategy are explored.

Canadian universities can be best described as being "…autonomous, non-profit corporations created by provincial Acts or charters" (Jones, Shanahan, & Goyan, 2001, p. 136). University Y is a large research-intensive post-secondary institution located in an urban setting in Ontario, Canada. University Y is best described as politically and socially conservative, as these characteristics shape and influence the way in which it operates as a whole. University Y demonstrates a commitment to traditional values and ideas with regards to decision-making processes and governance structure. Conservatism is a resistance to change to the point where change becomes inevitable (Alexander, 2015). Like most Canadian universities, its governing structure is a bicameral one with a Senate role and a Board of Governors in an attempt to balance both academic and public interests within the formal governance structures (Jones et al., 2001). Senate is composed of members from administration, representatives from all Faculties, staff, students, and observers and is responsible for the academic policy of the institution (University Y, 2017). The overall governance, including all financial matters, is the responsibility of the Board of Governors (University Y, 2017). The Board is also responsible for the appointment of the President and Vice-Chancellor, Vice-Presidents, Deans and senior positions within the University (University Y, 2017).

Organizational Climate

A conservative institution is organized hierarchically with the leaders at the top being the decision makers (Gutek, 1997). Ensuring that the change management process is transparent, well thought out, and researched, is essential in having the key decision makers accept the recommendations being made and allow for the implementation to move forward.

Although the institution is described as socially and politically conservative, there are some neo-liberal tendencies when considering the economic state. As with all Canadian educational institutions, federal and provincial funding is continuously being reduced, leaving institutions to develop creative ways to self-fund their operations (Farhan, 2016). A neo-liberal lens encourages the institution to be more entrepreneurial in the realm of economics and decisions to be based on what supports the market (Ryan, 2012). Institutions can be seen as competitive and enterprising in their approach to economics, with decisions often driven by an economical outcome (Ryan, 2012). This organizational improvement plan must be conscious of the cost associated with it and the benefits must outweigh the drawbacks. As an authentic leader and the president of The Manager's Association (TMA), it will be both the change leader's agency and priority to represent the membership's best interests in a transparent and ethical manner when negotiating with central Human Resources with regards to the best plan of action moving forward.

The mission statement focuses on creation, dissemination, and application of knowledge for the benefit of society with the vision of providing the best learning experience (University Y, 2017). The primary initiatives include the following: mental health; sustainability; safe campus; accessibility; and public accountability (University Y, 2017). Alumni are seen as global citizens whose education and leadership will serve the public good.

A culture survey was administered with staff and faculty in 2012 and again in 2017. While the results for employee groups are not broken down, but reported as a whole, the information is telling. Staff response rates for the earlier survey were 31.3 percent and the recent one was 44.4 percent (University Y, 2016). This increase is positive as it indicates that more employees are willing to share their opinion which will allow for improvements to be considered in the areas where weaknesses were identified. Work engagement for staff has increased from 70.4 percent to 72 percent (University Y, 2016). The strongest performance drivers for employee engagement included: job safety; role clarity; support for diversity; and fair treatment (University Y, 2016). The performance drivers that needed the most improvement included: collaboration within units; communication within units; and satisfaction with senior leaders (University Y, 2016). The survey data indicates that even though, staff feel engaged, there needs to be an improvement made with communication, collaboration, and satisfaction with senior leaders. This could be achieved, in part, by addressing the problem of practice that exists with the current performance appraisal process and the perceived lack of fairness with which it is associated.

The staff association. University Y employs over 2,000 staff members and over 1,500 faculty members (University Y, 2017). Within the university, there are several employee union groups, as well as a non-unionized staff association. The Manager's Association (TMA), representing over 1200 non-unionized staff members on campus is the largest employee group on campus next to the Faculty union (University Y, 2017).

TMA was founded in the 1980s in response to the establishment of other employee union groups. It has a strong collegial relationship with the senior leadership team on campus and often works hand-in-hand to proactively enhance the working environment for members. However, some TMA members have recently expressed concern with the lack of union representation.

They see the non-unionized association as placing them in a weak or vulnerable position when compared to the other employee groups who are unionized, with one example cited as the performance appraisal process (TMA Association, 2017).

TMA's value statement indicates that it shares the institution's values of excellence in education, research, and service (TMA Association, 2017). Both the association, and most members, strive to be active, contributing, valued, and consulted partners in a university community that encourages innovated and shared decision-making. A core tenet of liberalism is protecting and ensuring the freedom for individuals (Raven, 2005). This liberal approach to leadership is the ideology to which TMA Association subscribes. It is open to new ideas brought forward by its leadership and membership, it follows an experimental approach to problem solving, it attempts to engage the many talents of its membership, and it nurtures the diversity of the employees' it represents (Raven, 2005). Advocating for the balance of power by the distribution of decision-making is an important value for the liberal approach that the association assumes (Kellerman, 2012). Providing leadership, promoting excellence, and representing its members within the community are important. TMA member's value choice, just as the liberal ideology does, and recognizes that people have different values and priorities (Raven, 2005). The change leader, in her capacity as president of TMA, will work in collaboration with the central Human Resources department to ensure that the views of the membership are equally represented while imagining the possibilities of how the current issues associated performance appraisal process are addressed.

The current structure of the association includes a president, vice-president, second vice-president, secretary, treasurer, who all sit on an executive committee along with the chair and co-chair positions of the several structural association committees. The president, vice-president, second vice-president, and treasurer are nominated roles that are held for a period of one year. Decisions concerning policies and finances are decided at the Annual General Meeting. A negotiation committee represents the membership for the purpose of negotiating a contract and members have an opportunity to share their thoughts and comments with this committee through a survey process and by attending a meeting for this purpose.

As the association is the only non-unionized organization representing staff on campus, it has a unique relationship with the institution. University administration recognizes the critical roles these members play in the overall function of the university and that their professional expertise and leadership are essential to the success of the organization. This characteristic, coupled with the fact that the association represents leaders and managers on campus, places the association in a positive position in dealing with the university on most issues. When administration wishes to explore a change to procedure or policy, it typically approaches TMA to discuss the potential of a pilot before considering a roll-out to the other union groups.

University Y is a unionized environment. Unions are expected to politically and socially support one another. Since TMA is nonunionized, the expectation is not there. While TMA has representation on some of the same campus committees, it does not have regular interactions with other unions at the institution.

Human resources. The Human Resources department governs the performance appraisal process for TMA members. This department has historically worked in collaboration (and continues to do so) with TMA to set criteria for the performance appraisal process. The department supports the broader mission and strategic success of the university in providing the best student experience (University Y, 2017) and is responsible for delivering a wide range of services to campus. The unit is focused on ensuring that the institution is a diverse, competitive, and desirable place to be employed (University Y, 2017).

Leadership Position Statement

In this section, the change leader's personal position in terms of agency, power, and personal voice and the theoretical lens in which she approaches her leadership practice is articulated.

Opinions on how to best describe the idea of leadership vary. While some researchers describe leadership as being a trait or a behavior, others conceptualize it as being a relationship (Northouse, 2016). Although there are many different definitions of what leadership means, there are four identified tenets that are central to the concept of leadership:

1. Leadership is a process;
2. It involves influence;
3. It occurs in groups; and
4. It involves common goals (Northouse, 2016; Avolio and Gardner, 2005).

These attributes are closely related to the organizational context of this OIP. As the president of the TMA association, the change leader belongs to a group with a set of common goals where she has the ability to influence. As an authentic leader, and the president of the association, the change leader believes that she displays a genuine desire to serve others and leads from her core values which are aligned with that of the TMA association (Northouse, 2016).

Northouse (2016) refers to authentic leadership as genuine leadership. It is concerned with four core elements:

1. Self-awareness;
2. Authentic behavior;
3. Relational authenticity; and
4. Unbiased processing (Kernis, 2003).

Authentic leadership is the change leader's preferred approach to leadership. Authentic leaders are focused on fostering development of authenticity in their employees, which in turn, contributes to the well-being of these employees, building trusting relationships, allowing for engagement, and sustainable performance. Leaders who are authentic are able to consider multiple perspectives in a balanced manner when assessing information and are open and transparent in their day-to-day processes. An authentic leader values the concerns for others, is aware of the context in which they work, and is optimistic, confident, and resilient (Avolio and Gardner, 2005). Authentic leaders are true to themselves and are motivated by their own personal convictions (Shamir and Eilam, 2005). As an authentic change leader there is a commitment to ensuring that the voices of the members of TMA are shared with the Human Resources department, who has oversight of the performance appraisal process.

One of the major concerns with the performance appraisal process, as reported to the TMA association through survey feedback and focus groups, is the perceived lack of fairness. Authentic leadership attempts to fulfill the need for trustworthy leadership by being consultative, open, and transparent (Northouse, 2016). It is considered a positive form of leadership which can restore confidence in leadership when it is questionable (Walumbwa, Avolio, Gardner, Wernsing & Peterson, 2008). Authentic leadership is the ideal form of leadership for the purpose of this OIP. There is no simple solution in addressing the issues that surround the current performance appraisal process. There are many stakeholders impacted by this problem of practice and they bring their own experiences and opinions which influence the resolution they believe would be most suitable for implementation. Being an authentic leader, who displays care and concern for fellow employees, will be instrumental in getting buy-in from the majority of members. Transparency and honesty throughout the process will be equally important. While not all employees' will agree with the decided solution, ensuring their understanding and respect for the chosen solution is important.

While there are a number of valid reasons for being drawn to authentic leadership, it is not without its own limitations. Caza and Jackson (2011) argue that attempting to be authentic limits the ability to truly be authentic. In other words, if you are truly authentic, it should not require any effort. Another criticism of authentic leadership exists with the various opposing social roles individuals must play in their day to day lives and the difficulty this presents in remaining consistent and coherent (Algera & Lips-Wiesrsma, 2012). The self-confidence and motivation displayed by an authentic leader could have a negative effect on fellow employees as it could be recognized as a sign of egocentrism (Berkovich, 2014).

One way to effectively address these limitations is to be aware and conscious of them. All leadership styles have criticisms and even with the limitations mentioned above, the authentic leadership style is the style that is most attractive for the purpose of this OIP. Not only does authentic leadership have the ability to satisfy employees' in terms of providing them with input into decisions and transparency in decision making, but this leadership style also encourages employee's to strive to model similar behaviour in their day-to-day activities (Walumbwa et al., 2008). Leaders who operate within this style are genuine in their desire to understand their own leadership and to use it to serve their followers more effectively (George, 2003). This is an essential element of the leadership style which will be useful to address the problem for resolution from employees who deem the current performance appraisal process as unfair.

Authentic leadership is not only concerned with solving this problem, but also considers future problems that may emerge, which makes it a sustainable leadership style to consider (George, 2003). As a proactive leader who is looking at the bigger picture, authenticity is considered an asset for addressing this problem of practice at this University.

Leadership Problem of Practice

The description of the problem of practice provided below will clearly identify the specific and relevant gaps between the current practices that have led to an organizational problem in the current system. Terms that are commonly used to define the concept of performance appraisals are: performance review; performance evaluation, evaluation, pay-for-performance, merit pay, pay increase system, performance measurement and performance related pay.

Performance appraisals are often characterized as being inconsistent and unfair by employees who are subjected to the process (Kondrasuk, 2011). The problem of practice will consider if the performance appraisal process can be improved so then it is achieving the goals it was established to achieve, such as providing formal feedback and goal setting opportunities, for employees working within a large urban Canadian university.

The performance appraisal process is not achieving its organizational goals of providing formal feedback and goal setting opportunities at this university because employees sense a lack of fairness, which in turn, leads to a lack of confidence in the system. This claim is supported with evidence from a 2015 survey and focus groups conducted in 2017 with TMA members by TMA. When employees sense a lack of fairness with the performance appraisal process, they begin to underestimate the importance or value in the process (Kondrasuk, 2011). Kumari (2014) found that perceptions of fairness through the performance appraisal process have a very strong impact on employee performance and the success of the process itself. All too often, supervisors treat the performance appraisal process as a single event that occurs once a year, rather than it being a continuous process as it is intended to be (Kondrasuk, 2011). The process is intended to be integrated into the daily functions of the organization with feedback being ongoing and continuous so that employees are not left guessing how their supervisor assesses their work over the year (Kondrasuk, 2011). "The success of appraisal systems may well depend on rates perceptions of fairness and reactions to important aspects of the appraisal process" (Jawahar, 2007, p. 735).

Another concern that is frequently voiced by staff members at this university concerns the merit pool. The merit pool is the funding contribution from the university to be distributed amongst TMA members based on their overall performance appraisal rankings (University Y, 2016). The merit pool is limited and therefore, many employee ratings are determined by the amount of money each department or unit receives from the Institutional Planning and Budgeting Unit. For instance, a unit might have a merit pool that can afford to allot only one exceptional rating for the group even though three exceptional employees were identified. This causes concern in terms of equity and fairness of the process. The forced distribution of ratings is a controversial shortfall of the practices of some organizations (Heisler & Hanny, 2015). This type of behavior is can/could lead to problems with the objectivity of the performance appraisal system and is one reason that employees and managers alike, are skeptical of the process. Heisler and Hanny (2015) state that if an organization decides to implement a forced distribution system amongst their employees, it is the responsibility of the organization to justify the rationale behind this decision and provide a clear explanation to the employees in order to maintain employee faith in the equity of the performance appraisal process. When there are forced distribution practices implemented, the main purpose of the performance evaluation system is compromised. How can an employee's performance be evaluated accurately when the outcome is predetermined?

This organizational improvement plan (OIP), to which the problem of practice is core, addresses a complex problem based on a series of practices within this university (Paulson, 2016). There are many stakeholders, with varying interests, which should be taken into consideration when addressing the current issue that exists with the performance appraisal process. To proceed in addressing this particular problem of practice, the organizational improvement plan will necessitate inquiry based on both organizational and leadership contexts (Paulson, 2016). Culture, traditions, history, and employee role diversity are taken into consideration for the purpose of this OIP.

Framing the POP

In order to frame the problem of practice previously identified, the problem is situated in the broader contextual forces that shape the practice by reviewing the shared perspectives on the problem from those individuals affected by the problem.

Perspectives on the problem. The current performance appraisal process is conducted on an annual basis for all members of the TMA association. Support is provided in various ways to ensure a meaningful experience for members. Leaders who are responsible for conducting a performance appraisal have the option of attending training offered by the Human Resources department on an annual basis. Instructions for the process are available online, as well as, a training video. Employees whose performance will be appraised have the same opportunities.

There is a generic form (Appendix C) provided to each employee by the Human Resources department at University Y, along with a timeline, and employees are expected to provide to their leader, their reflections on their past year's performance and goals. This form and the process were created by the Human Resources department and have not been reviewed or revised for several years. The leader completes his/her evaluation of the employee's performance prior to a meeting scheduled for both to discuss the employee's performance and set goals for the upcoming year. At the end of the review, each employee is given a rating of: needs improvement, satisfactory, high performing, or exceptional. These ratings then go through the reporting structure of each unit or department to ensure that the quota provided to each unit or department is not exceeded. For instance, in one portfolio within University Y, there cannot be more than 25 percent of the TMA employee group who receive the highest rating of "Exceptional" (TMA Association, 2016). If the ratio of employees in a specific unit or department receiving the "Exceptional" rating is higher than 25 percent, the dean or VP must make a request for an exception to the rule from their superior. If they are unwilling to make such a request, they must recalibrate the decisions before they are submitted to the Human Resource department to ensure that they align with the designated quota (TMA Association, 2016).

A number of employees have contacted TMA to provide their displeasure with the current performance appraisal system. Comments indicate that the process is lacking transparency; it is not being followed consistently from leader to leader or department to department and some staff members do not have the opportunity to be engaged in the process. The performance appraisal process has been in place at the university since the establishment of the staff association and not much has changed in how the process is conducted.

PESTE analysis. Conducting a PESTE analysis includes a scan of the political, social, economic, technological and environmental factors of this organization (Cawsey, Deszca & Ingols, 2016). These items have the potential to impact or influence the organization and any potential change being considered. Table 1 outlines the specific elements identified through the PESTE analysis as they relate specifically to the PoP.

Table 1.

Outline of specific PESTE analysis relating to PoP

POLITICAL	Is the process self-serving to the organization? Are all employee groups invested in the same process? How does the relationship between University Y and TMA influence this process?
ECONOMIC	Is this the best use of resources and staff time given that funding is tight and many units are doing more with less?
SOCIAL	Demographics of the workforce are shifting. The diversity of the workforce is increasing. Diversity of the work is changing. More roles are being created to address the needs and demands of the university and many roles are not duplicated across campus, they are unique with their own distinct responsibilities.
TECHNOLOGICAL	Is a paper based process that is currently utilized the best form of efficiency? Is there an opportunity to use technology to improve the continuous process of collecting data throughout the year to assist the overall efficiency of the process?
ENVIRONMENTAL	What are other organizations doing? Is this serving the purpose that it was intended to?

Political. Factors to consider from a political angle include whether or not the performance appraisal process brings value to both the organization and the TMA membership, both leaders and employees or is it more of a process that is in place because it is something that has been a long-standing process which continues to be in place without any defined benefits? Does the existing relationship between the university and the TMA influence the performance appraisal process and its related outcomes?

Economic. The performance appraisal process involves a great amount of time dedicated to it by both the employee and the employee's leader over the span of several months. Given the financial constraints and the sentiment that TMA employees' perceive they are being expected by the institution to do more with less, is it appropriate to continue to carry out the performance evaluation process if there is no value add for the employees, leaders, and/or the institution?

Social. The roles within the university are becoming more diverse than they have ever been as the diversity of the work employees' are responsible for is changing. The current workforce has multiple generations employed and this creates a need for the performance evaluation to take these different working styles and attitudes into consideration through its application.

Technology. The current performance appraisal process is often characterized by TMA employees' and their leaders as being cumbersome. Would an online process facilitate a more efficient and effective process encouraging more buy-in from the participants using it?

Environmental. Completing a scan of what other successful organizations are doing in relation to the performance evaluation process is an essential consideration when addressing this PoP. What is the primary purpose of the performance evaluation and is the current process meeting these objectives?

History of the performance appraisal process. To appreciate the issue with the current performance appraisal process, it is important to understand how the process came to be. Historical accounts indicate that the original purpose of a performance appraisal system was punitive. The development of performance appraisal during the Industrial Revolution was linked to reactivity and punishment--to motivate employees by punishing them. Performance appraisal systems evolved as bureaucratic organizations proliferated (Kondrasuk, 2011). In the 1930s, the psychological tradition was developed in which personality and performance feedback was used with graphic rating scales. Later, the five-point scale was developed into forced-choice scale judgments to prevent central ratings.

The purpose of the performance appraisal system can be two-fold- developmental and/or administrative, depending on the organization using it (Kondrasuk, 2011). Organizations may decide to use the performance appraisal process for both, or only developmental. When used for employee development, performance is reviewed with feedback given and goals for the upcoming year established. The administrative function relates to merit pay or pay-for-performance. The addition of the administrative function did not happen until the 1990s (Prowse & Prowse, 2009). "The purposes of the appraisal frequently lack coherence and can be seen as at odds with one another" (Rowland & Hall, 2013, p. 195). University Y utilizes the performance appraisal process for both of these functions. The administrative function is described by managers as a way to give workers an indication of the value of their work efforts (Neu Moren, 2013). The traditional performance appraisal process involves evaluation of the employee's performance from the supervisor's perspective.

Shortfalls of the performance appraisal process. In this section, six of the critiques that have been identified in the scholarly literature relating to the topic of the performance appraisal process will be explored: time, perceptions, interpretation, design, forced distribution, and training.

Time:

A major complaint that leaders have concerning the performance appraisal is that the process takes a considerable amount of time to conduct (Heisler & Hannay, 2015). This amount of time is compounded for each employee a leader has on his/her team. All employees within the institution are all being asked to do more with less due to governmental cut backs and a performance appraisal may not be a top priority for most staff members-leaders or employees.

Perceptions:

Employee perceptions are critical when it comes to the performance appraisal process (Rowland & Hall, 2013). How an employee interprets the process will influence whether the process is successful or not. If the employee perceives that the process is unfair, they will be less likely to engage in the process or regard it as a legitimate use of their time and effort. Rowland and Hall (2013) found that there were common themes of distrust of both the appraisal process and the performance-related pay. The process and procedures of the performance appraisal are not seen as objective. Criticism of the appraisal system from the employee perspective is that it is too ‘management driven’.

> Appraisal was seen as imposed, piecemeal and subjective without a consistent approach. The outcomes resulting from appraisal are seen as unfair and the procedures as seriously flawed. Both managers and employees believed that unfair procedures and practice were demotivating and did have a negative effect on sustaining performance. Perceptions of inequity have a powerful impact on commitment and performance (p. 204).

Interpretation. The process can be interpreted by employees as symbolic, indicating it is likely more meaningful to the employee than the leader responsible for conducting the appraisal (Jacobs, Belschak & Den Hartog, 2014).

Employees perceive the performance evaluation process as also having political aspects associated with it. They are keenly aware of how their managers interact with other employees in their workplace and question whether employees that were well-liked receive preferential treatment in an appraisal (Neu Moren, 2013).

Design. Poorly designed performance appraisal systems or systems that have not been properly implemented or administered can lead to problems for the entire organization (McKinney, Mulvaney & Gordsky, 2013). To further elaborate on what poor implementation or administration may look like, McKinney et al. (2013) explain that common situations occur when performance measures are unclear or not related to an employee's specific role; or the incentive value of the pay-for-performance is inadequate. Heisler and Hannay (2015) state "…there is a serious body of thought that opines that performance appraisal systems do more harm than good and should therefore be eliminated" (p. 35).

Forced Distribution. Mentioned earlier in this chapter is a controversial shortfall of the performance appraisal with some organizations is the concept of forced distribution of ratings. This occurs when a leader is forced to rate employees either higher or lower to achieve a predetermined distribution of rating outcomes to meet the organizational quota (Heisler & Hanny, 2015). This type of behaviour is what leads to problems with the objectivity of the performance appraisal system and is one of the reasons that employees and leaders alike are skeptical of the process. If an organization decides to implement a forced distribution rating system (for the purpose of merit increases), it must ensure that it provides a clear rationale for this decision and the process in order to maintain employee confidence in the system (Heisler & Hanny, 2015).

When forced distribution practices are implemented, the main purpose of the performance evaluation system is compromised. How can an employee's performance be evaluated accurately when the outcome is predetermined?

Training. Inexperience or lack of training of some managers responsible for facilitating the process is a disservice to the process. For instance, when 360- degree feedback (feedback solicited from co-workers) is incorporated into performance appraisal, leaders and employees should be knowledgeable of the expectations of what the feedback should include and how it will be used to prevent bias or discrimination (Prowse & Prowse, 2009).

Figure 1 illustrates the influence that inputs have on employee engagement and satisfaction and the outputs generated from there. It is important to understand how leadership interaction, and therefore, the performance appraisal, can affect employee engagement which then affects both job performance and organizational commitment. Brown, Hyatt, and Benson (2010) have identified a correlation between performance appraisal outcomes and an employee's job performance an organizational commitment. If an employee has a high quality performance appraisal experience, the organization is likely to benefit in terms of high job satisfaction and organizational commitment. Whereas, if the employee has a low quality performance appraisal experience, the organization will most likely experience lower job satisfaction and organizational commitment from the employee.

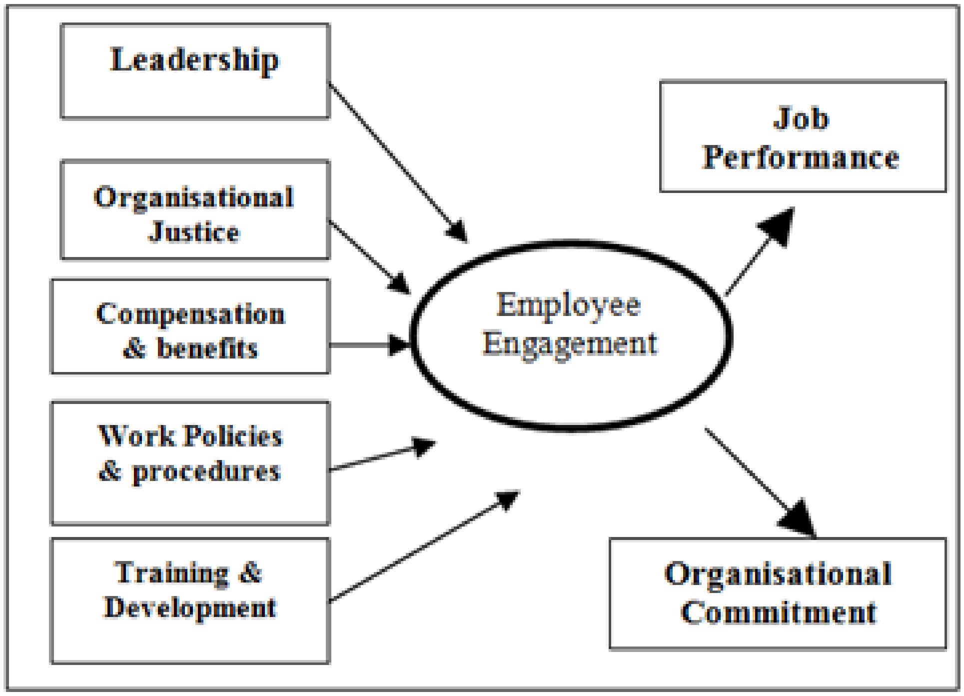

Figure 1. Employee Engagement and Satisfaction: Inputs and Outputs. [Online image]. (2018). Retrieved March 31, 2017, from http://pubs.sciepub.com/jbms/3/5/1/image/equ1.png/ In the public domain.

Figure 2 outlines the key steps associated with a successful performance management process. Through the survey data and the focus groups conducted by TMA, employees have indicated that some of these steps are being omitted from the process, and in some cases, a majority of these steps are being excluded. These steps and their relevance to a successful performance management process are important to recognize. If any one of these steps are overlooked, it can result in a negative experience for the employee.

Figure 2. Performance Management Process [Online image]. Retrieved March 31, 2017, from http://ispatguru.com/wp-content/uploads/2016/02/Componenets-of-performance-management-process.jpg. In the public domain.

Complexity Theory. Complexity theory is a broad term that covers a number of theories derived from various backgrounds (Burnes, 2005). Developed originally for the purpose of biological and physical sciences, complexity theory approaches began to be applied to organizational systems in the mid-20th century as organizations started to become more complex in response to changes in technology and the business environment itself (Lowell, 2016).

For the purpose of this OIP, the focus will be on Complex Adaptive Systems (CAS), which is a field within Complexity Theory. Within this framework, it is understood that organizations are not stagnant, there is a need to change and adapt in order to succeed. Systems and subsystems within the organization are seen as being connected to one another and not operating in isolation of one another (D'Agata & McGrath, 2016). When considering possible solutions to the problem of practice identified, it will be important to consider the possible effect that any solutions may have on not just TMA members, but the organization as a whole and the other employee groups operating within the university.

According to Edson and McGee (2016), the main tenets associated with CAS are as follows:

1. Guide the process rather than control it;
2. Leverage employee strengths;
3. Empower employees rather than restrain them; and
4. Allow and learn from failure

It is worth noting that these tenets closely align with the tenets associated with the authentic leadership theory. For example, authentic leaders display genuine leadership and authentic leadership emerges from interactions between the leader and employees, not the leader alone (Northouse, 2016).

In order to address problems that exist with the performance appraisal process, it must be acknowledged that the work environment represents many complicated relationships between peers and the ever-changing conditions in which they operate. Complexity theory not only highlights this perspective, but it recognizes that employment conditions are uncertain, unpredictable, and evolving over time (Lowell, 2016). Solving a small problem may seem simple, but within a complex organization even a small change can have a dramatic effect on the entire system (Lowell, 2016). “Organizational sustainability is not a continuation of the status quo but, seen from a complexity theory perspective, is a continuous dynamic process of co-evolution with a changing environment” (Mitleton-Kelly, 2011, p. 45). Complexity theory views organizations as webs of ‘nonlinear feedback loops’ that are interconnected by employees (Lowell, 2016). To continue to adjust to ever-changing conditions of the environment, new structures are created and ways of working continue to be adjusted as well (Mitleton-Kelly, 2011). Complexity theory encourages employees to take an active role in problem solving and learn through trial and error while at the same time, recognizing that uncertainty and ambiguity are not necessarily negative traits (Lowell, 2016).

Considerations Emerging from the Problem of Practice

Five potential challenges emerging from the main problem will be examined: coach versus counsellor, inconsistent evaluation, engagement, timely, and outdated model.

Coach versus counsellor. During the performance appraisal process, leaders are under pressure as they are expected to be a coach or counsellor and a judge simultaneously (Grote, 2002). This pressure also has a negative impact on the employee who is being counselled and judged by their leader as they would fear sharing their perceived opportunities and weaknesses with someone who is acting in two competing roles. It is difficult enough to fill one or the other role, but to act in both roles simultaneously can be considered a challenge for even the most experienced leader.

Inconsistent evaluator perceptions. Another issue with the evaluation process is the potential of inconsistent evaluator perceptions and the impact these misconceptions can have on the employee (Kondrasuk, 2011). This happens when the leader is not clear on the purpose of the performance appraisal or the process itself. For instance, if a leader is focused solely on quantitative or qualitative data for the purpose of feedback this could be seen as inconsistent (Govaerts, Wiel & Vleuten, 2013).

Engagement. Lack of engagement by many leaders is a concern faced by employees. When a leader does not put the time and energy into the process, it leaves an employee to wonder if there is any value or merit in the process itself. It may also lead to self-doubt on the employee’s behalf in terms of their performance. When a leader is not engaged in the performance appraisal process, this could be the result of lack of training or inexperience with the evaluation process (Ikramullah, Van Proojen, Iqbal & Ul-Hassan, 2016). Whether the performance appraisal process is deemed a success by the employee is often determined by the skill and effectiveness of the leader (Pooyan & Eberhardt, 1989). Training at University Y is provided to both leaders and staff by the Human Resources department however, it is not mandatory. Leaders and staff can access online resources year-round that support the performance appraisal process but they must seek out this support if they would like to make use of it. To ensure leaders are qualified in carrying out a performance appraisal, it is important that they are supported by the employer and given the tools needed to provide appropriate feedback and coach employees effectively (Ikramullah et al., 2016). The lack of overall engagement suggests that the process is difficult to manage. For a leader who has ten staff member’s reporting to her/him, it can be extremely difficult to assess their work over the past year and then dedicate time to conduct an evaluation and meet with each of them due to the other demands that s/he may have on her/his time. Often times, the performance appraisal becomes the last on the list of priorities for a leader.

Timely. The performance appraisal process is an annual process. Staff and leaders are required to reflect over the past year and comment on their goals and objectives. Yearly reflection can be difficult. Perhaps the better approach is the increase the frequency of the performance appraisal.

Outdated model. The existing performance appraisal process has been in place for several years. The dynamics and diversity of the workflow, workplace and the roles within the workforce have changed. One of the considerations to improve the existing process might be to re-evaluate it in light of these changes. Gone are the days of all staff having straightforward job descriptions and responsibilities. As organizational needs are becoming more complex and changing more frequently, so are the job descriptions that support organizational missions and visions. Buckingham and Goodall (2015) found in a survey they conducted that there was a need for something more individualized and focused on fueling performance rather than assessing past performance. Changes in organizational goals can also cause disruption with the performance appraisal process (Kondrasuk, 2011).

While there is a lot of criticism around the performance appraisal process itself, there are many opportunities that can be pursued to improve these issues. It is crucial that the focus remains on the value associated with the process. "It is very important to realize that the ideal PA system is a concept and not a specific instrument" (Kondrasuk, 2012, p. 125).

Vision for Change

The gap between the present and the envisioned future state as per the organizational context is reviewed as part of a vision for change. In order to engage and inspire change agents, a vision of future state must be shared. Priorities for change and methods to seek balance between stakeholder and organizational interests are considered. Understanding how to develop a vision and how to share it with the audience is an essential part of creating a vision for change. The most fitting approach in creating a vision for change for this PoP is the bottom-up visioning approach. In the bottom-up visioning approach, the focus is on the employees'. Although it is considered the most time consuming approach to a vision for change, it is also extremely valuable to the organization and its future in terms of the trust and loyalty that it can restore or maintain (Cawsey et al., 2016). The bottom-up visioning approach, also known as the employee-centric approach, is a good fit with the authentic leadership model in that it encourages employees' to share their thoughts and perspectives which in turns creates a sense of empowerment. This approach demonstrates the authentic leader's intent to make decisions based on their own personal values and allows the change leader to model the behavior she expects from the constituency she serves. Change drivers are identified in an effort to understand how the envisioned future state should be constructed in collaboration with the organizational community.

Current state versus future state. According to the results from the survey and focus groups conducted at University Y by TMA, the current organizational state is dissatisfaction with the present version of the performance appraisal process and how it is being carried out by the majority of leaders.

Through the same data sources, employees indicate that they look forward to receiving feedback and having the opportunity to discuss their performance and future goals with their leader. The desired organizational state is one in which the leaders within the organization are invested in the development of their employees and are dedicated to the performance appraisal process and working to make the necessary improvements so that the full potential of the process can be reached. The vision for the institution is to provide the best learning experience for the students attending the institution. Improving the current state of the performance appraisal process will lead to the best learning experience for the employees, which in turn improves the institution. Having leaders in place that understand the importance of being effective counsellors and coaches to their staff helps in creating a positive working environment and a strong relationship amongst team members (Ikramullah et al., 2016).

Demonstrating to the members of the organization what the current state is and what the potential future state will be is essential to gaining commitment from the various stakeholders.

This will involve creating energy and excitement about the future and demonstrating to each individual that the vision we are working towards is meaningful (Cawsey et al., 2016).

Shared Vision. The vision for change must be a shared vision amongst the employees. By sharing a vision, it provides meaning to each individual's work and encourages employees to remain motivated and enthusiastic in continuing to work towards the goal (Martin, McCormack, Fitzsimons & Spirig, 2014). A shared vision has the power to change employee's relationships with each other and with the organization. It has a positive effect on trust (Senge, 2006). An effective leader will be determined to find a common purpose to inspire others and then work alongside of their team to make the shared vision a reality (Kouzes & Posner, 2012). Organizations that encourage a shared vision are more likely to have a higher level of job satisfaction amongst employees (Cicek, 2013). However, before visions can be shared, individuals must have their own personal visions. Without having a personal vision, there is no true investment in a shared vision, only compliance with it (Senge, 2006). A productive shared vision should not be one that is forced on employees from the top of the organizational hierarchy. Instead, a shared vision should be created from input from all employees to ensure commitment and investment. When shared goals are created, it opens up employees' willing to share their learnings from past mistakes and to work collaboratively in solving problems (Boyatzis, Taylor & Rochford, 2015). This is important for the evaluation of the performance appraisal process as the individual experiences within the organization and outside of it, can lead to an improved process.

Leadership and vision for change. Authentic leadership behaviour leads to employee performance outcomes that are sustainable in a changing work environment because of the trust that is created with the leader. "Leadership has always been more difficult in challenging times, but the unique stressors facing organizations throughout the world today call for a renewed focus on what constitutes genuine leadership" (Avolio & Gardner, 2005, p. 316). Cawsey et al. (2016) state that by identifying a transformational vision, people's awareness of the need for change will be realized. "Transformational visions tap into the need for individuals to go beyond themselves, to make a contribution, to do something worthwhile and meaningful, and to serve a cause greater than themselves" (p. 113). Encouragement of staff members to envision what is possible and how their contributions to the review of the performance appraisal process can make a difference is necessary in establishing a vision for change. This can be achieved by actively involving staff members in the process. There will be opportunities for engagement in town hall meetings, surveys, and focus groups. Member's that wish to be even more involved can become champions of the change process within their own unit or department. In the capacity as TMA president, the change leader can work hand in hand with our membership to ensure that they have a voice that is heard.

Priorities for Change. While there is always a risk to taking action in an effort to improve the current situation, understanding what could be gained by taking action can also create the needed momentum to make change happen (Cawsey et al., 2016). This could be as easy as looking to other associations or unions to observe their best practices and what leads to the success of these processes.

In considering the types of organizational change that exist, the changes being suggested to address the issues surrounding the performance appraisal process are considered gradual and continuous. In the past, the performance appraisal process was developed and used without any evaluation of its effectiveness. Going forward, the performance appraisal process should be reviewed on an annual basis which will lead to any further changes being viewed as proactive, rather than reactive (Cawsey et al., 2016). This is the preferred state because it allows for the employees and the organization to be in a more favourable position than having to immediately react to a process that is flawed.

Change Drivers. In the current state, the performance appraisal is a once a year process. There are no tools in place to encourage leaders or employees to reflect on their goals and achievements throughout the year. The envisioned state includes check-in points, or tools provided to employees and leaders to encourage them to consider the performance appraisal throughout the year so that the year-end evaluation period is not so cumbersome.

The existing performance appraisal format is not reflective of how diverse the roles within the institution have become over the past decade. The envisioned process includes a form that is reflective of the diversity of roles and allows for more focus to be placed on the process, rather than the form itself. This will involve active and ongoing input to the Human Resources department from TMA as well as its members.

To ensure that these change drivers are addressed appropriately, it is important to have the essential organizational change roles in place. Change implementers are those employees that make the change work, change initiators encourage and champion the change, change facilitators are helpful in assisting both the initiators and implementers in championing the change through their own connections and consultative process (Cawsey et al., 2016). As the current leader of the staff association, the president is responsible for engaging the TMA executive team, along with Human Resources, to ensure these roles are occupied by the most fitting individuals. The change leader or agent is the person who leads and s/he can take on multiple roles during the change process (Cawsey et al., 2016). To be an effective change leader one must be involved in driving and enabling the change, recognize the resistance to change as both a challenge and an opportunity, accept that good change leadership focuses on outcomes but is careful about the process, understand the need to remain patient, and finally, acknowledge that there will be tension between moving forward and changing direction (Cawsey et al., 2016).

Organizational Change Readiness

"Organizational readiness for change is a multi-level, multi-faceted construct" (Weiner, 2009). Change needs to be consultative and planned. In order for change to be successful, employees must recognize the need for change and buy in to the idea (Cawsey et al., 2016). Transparency in decision making is imperative. Employees should have the opportunity to understand how decisions have been reached. Not only must the employees want to make a change but they must believe that change is possible (Weiner, 2009). Figure 3 illustrates factors that influence change readiness and those that impact change resistance. Some of these factors will have more influence than others depending on the environmental and social considerations that are at play within each specific organizational structure. It is important to note that there are many more factors that influence readiness for change than there are resistance to change. However, not all of these factors must be met to influence either the readiness and/or resistance.

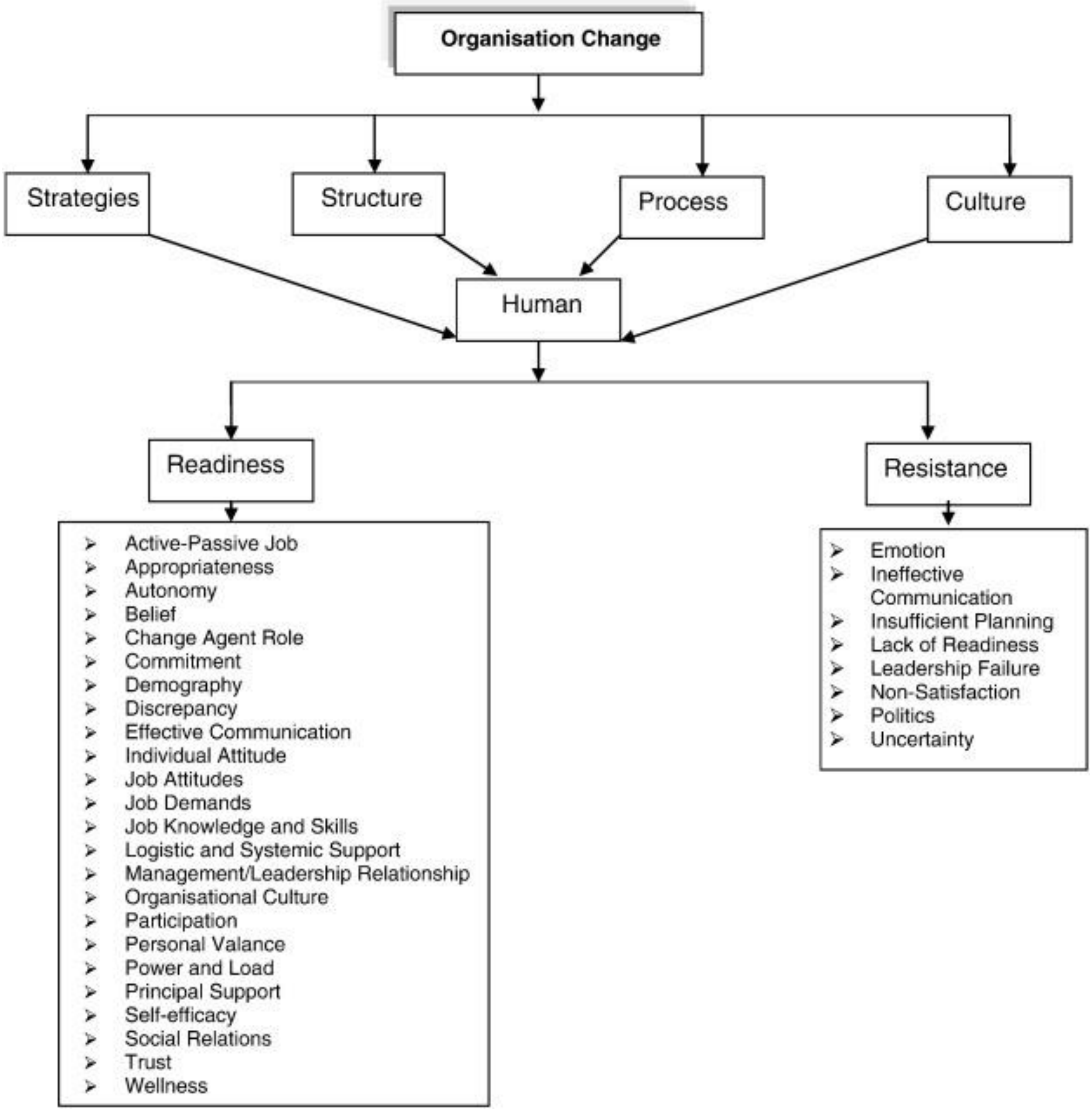

Figure 3. Factors that influence change readiness and change resistance [online image]. (2018). Retrieved March 31, 2018, from https://journals.scholarsportal.info/pdf/01482963/v70icomplete/366_bdiahccreaab.xml. In the public domain.

Beckhard and Harris' (1987) *Managing the Change Process Theory* is the framework that has been selected to lead the change process for this OIP. Cawsey, Deszca, and Ingols' (2016) Change Path Model will be used as a supplementary source in guiding the change process. Beckhard and Harris (1987) argue that the first step in developing a change strategy is to determine the need for change, referred to as a gap analysis of internal and external forces. Once these forces are identified, how and whether a change is needed should be considered (Beckhard & Harris, 1987). The Change Path Model combines process and prescription (Cawsey et al., 2016). While Beckhard and Harris' model provides detail of how the process change is to occur, the Change Path Model clearly demonstrates how to apply to changes to a real-life situation in an effort to see change through to a successful conclusion (Cawsey et al., 2016). Part of the analysis includes the collection of qualitative data such as focus groups and interviews. Data can be captured through past survey feedback, town halls, and past focus groups conducted by the staff association as well as external data, such as literature reviews. Identifying specifically what needs to change and how it can change will be equally important. Once it is determined that change is essential, creating a vision of the future follows. Establishing goals and providing a clear understanding of why change is necessary is extremely important. Action planning is essential for success.

While being inclusive and sensitive to the experiences and perceptions of the staff association members, as well as Human Resources (who will jointly own this process), the staff association executive (who will lead this process) needs to ensure that others understand the reasons for the needed change (staff satisfaction and organizational effectiveness). The focus must be on improving the current system rather than just criticizing the process, which has been the situation for several years. It is equally important to recognize that what might have worked in the past is not as successful as it once was. The employee demographics have changed, the type of work is more diverse and complex, and as such, the process needs to be re-evaluated. Individuals across campus who can champion the change will be approached. Momentum needs to be built and staff members need to be engaged and feel empowered in order to advance any change. New knowledge, skills, abilities, and ways of thinking are developed in others to support the change (Cawsey et al., 2016). Change takes time and it is never finished. It is important to acknowledge the victories and celebrate milestones along the way to keep employees engaged and involved.

A managed change perspective is ideal for this particular organizational improvement plan as it emphasizes the need to be open to new ideas and encourages flexibility (Beckhard & Harris, 1987). Organizations should learn how to embrace energy, ideas, and enthusiasm that can be generated from change initiatives that come from within the organization. Managed change perspectives recognize the value that teams contribute to successful change and this particular organizational improvement plan will be a team effort.

The purpose of a gap analysis is to compare the current state of an organization and the desired state of the organization while considering the gaps between the two states (Beckhard & Harris, 1987). With my specific problem of practice, the current state is a high level of dissatisfaction with the current performance appraisal process in place and decreased organizational effectiveness. The desired state is an increased level of satisfaction with the performance appraisal process and improved organizational effectiveness.

Assessment of the organization and the change being presented are two important assessments of change readiness (Smith, 2005). Considering the scope of change, the impact of the change and resources involved are essential. In terms of the performance appraisal process, the scope will involve the staff members that belong to the employee group and the Human Resources department. The impact will ideally be an improved process which will positively affect all those involved. The resources are identified as being: the time of employees working within the staff association and the Human Resources department.

Assessing the readiness for change involves considering the history and culture that exists within the association. Questions to be asked include: when was the last change to the performance appraisal process? What is the culture of the staff association and the institution as a greater entity? What is the relationship like between the staff association and the Human Resources department? These are all important considerations.

Another way to assess change readiness is to consider the other major initiatives that are taking place within the institution as they will compete for the same budget, attention, and staff time required by this initiative. Once this has been determined, the resources required for the performance appraisal project will be compared to the other initiatives and then a determination will be made on what the key priorities should be (Smith, 2005).

Conclusion

In conclusion, Chapter 1 has introduced the organizational context at University Y and within TMA. Included in the review of organizational context is a description of the organizational structures that exist, as well as, the established leadership approaches and practices. A short history of both organizations and their current missions and organizational strategies have been shared. A preferred approach to leadership practice and organizational improvement has been explored. The leadership problem of practice has been framed with guiding questions emerging from the problem being discussed. A leadership-focused vision for change and elements associated with organizational change readiness have been reviewed.

Chapter 2 concentrates on the planning and development phases of the OIP.

Chapter 2: Planning and Development

Introduction

Chapter 2 explores the planning and development stage of the Organizational Improvement Plan (OIP). A framework for leading the change process will be established which will articulate relevant framing theories of organizational change, including key assumptions. Specific approaches for leading the change process and relevant types of organizational change will be discussed. A critical organizational analysis will connect with the change readiness section of Chapter 1 to employ relevant research and various models of change in the effort to understand what and why gaps exist between the current organizational state and the vision. Needed changes based on an organizational analysis of input, outputs and organizational components are described. Possible solutions to address the identified problem of practice will be explored. Chapter 2 synthesizes the selected solution and connect leadership approaches to the change effort while describing ethical considerations and challenges that may be faced.

Framework for Leading the Change Process

The Change Process from both Beckhard and Harris' (1987) and The Change Path Model from Cawsey, Deszca, and Ingols (2016) have been selected as the frameworks for leading the process of organizational change. In addition to these two primary models, Bolman and Deal's (2013) Framing Theories will also be considered in the implementation this OIP.

These models are thorough and relevant in assessing organizational receptiveness to change. While the Change Process Model is recognized for its strong focus on the change process, the Change Path Model is focused on combining process and prescription. The Change Path Model compliments the Change Process Model by clearly illustrating how to bring the various stages of the model to life in an attempt to reach a successful outcome (Cawsey et al., 2016). Table 2 summarizes the main steps that are part of the Managing Change Process (Beckhard & Harris, 1987) and The Change Path Model (Cawsey et al., 2016). Through this summarization, it is clear that there are several similarities shared in the steps of each model.

Table 2

Summary of the Frameworks to be used for Leading the Change Process

Managing the Change Process (Beckhard & Harris)	**The Change Path Model (Cawsey, Deszca & Ingols)**
Future State: vision for change	Step 1: Awakening: gap analysis
Transition State	Step 2: Mobilization: assessing what needs to change and vision for change
Present State: gap analysis	Step 3: Acceleration: action planning and implementation
	Step 4: Institutionalization: transition and monitoring

Managing the change process. According to Beckhard and Harris (1987), any organizational change involves three specific conditions: future state, transition state, and present state. The future state needs to be defined, the present state needs to be assessed and the transition needs to be managed. The first step in organizational change is defining the need for change. In the case of the performance appraisal at University Y, the need for change has been clearly defined through recent survey results and membership feedback.

When it comes to defining the future state, all change has some sort of end state. It is not enough to define the vision; there must be organizational energy present in order to achieve any change (Beckhard & Harris, 1987). Those involved in the change process must remain enthusiastic and energized throughout the process, not just during the planning stage. High motivation and optimism is required from planning through to implementation and during the monitoring phase. The envisioned future state must not only be realistic, but it must be attainable and one that the group is committed to striving towards. The lack of planning is the greatest threat to successful change (Beckhard & Harris, 1987). Defining a future state has several distinct advantages: confidence in staff growth and development; the development of a future state allows staff to visualize their own place in the change; and puts staff and manager into a positive state-rather than reflecting on the negative, energy is spent focusing on what can be by giving direction to everyone and reducing uncertainty (Beckhard & Harris, 1987).

In assessing the current state, the change leader must be transparent with regards to the strategy on how transition will be managed. Engaging both TMA membership and partners in the Human Resource department is important as buy-in from both areas will be necessary for a successful change management process to take place.

In the case of the performance appraisal process, the method that would be most suitable for gaining a clear assessment of the current state would be to bring a team of people together who are collective informed about the situation and use their first-hand experience to assess the present state.

Once a diagnosis has been made, the next step is to create a strategy for moving forward before the transition period begins. Part of managing the change process is to determine the tasks associated with the transition period and determine what structures and mechanisms need to be in place in order to successfully accomplish the tasks set out (Beckhard & Harris, 1987). As we proceed into the change process, it is important to look at the macro and micro level of the process itself and the organization during the planning and development stage.

In order to be able to effectively manage the change process, the type of change that is being considered must be fully understood. It should be noted that although there are three categories of change, they do not necessarily exist independent of one another. Peacock (2017) outlines three categories of organizational change which are presented in Table 3. Tangential change is the approach where the least impact is felt. The change is incremental in nature and takes place over a lengthy time period with no major impact being recognized as the change is slowly being implemented. Transitional change is more complex than tangential in that it involves replacing an existing process or procedure with a new or modified approach which is completely different. The most radical type of change is transformational. It is a major upheaval to an existing procedure or process and often involves a change to the mission, vision, or value statement of the organization. It is important to understand the type of changes that exist in order to understand what each change encompasses and involves and what it really means (Peacock, 2017). In order to achieve the results being sought, understanding the type of change being addressed is necessary. Until a thorough analysis of the organization is done and consideration is given to the possible solutions available to address the PoP, the type of change needed remains unknown.

Table 3

Categories of Organizational Change

Type of Change	Characteristics
Tangential Change	Incremental, occur a little bit at a time over a lengthy period
Transitional Change	More complex than tangential, involves replacing what is with something completely different, involves creating an entirely new process or system
Transformational Change	Most complex type of change, involves a radical shift in a company's mission, vision, and value systems

Adapted from Peacock, 2017.

Bolman and Deal's (2013) Framing Theories will be considered at the operational level. These framing theories, particularly the human resource, political and symbolic frames provide an opportunity for a leader to analyze their organization and define the change process.

The human resource frame is a suitable choice as the performance appraisal process is overseen by the Human Resource department. Centered on what people and organizations can do for one another is the focus of the human resources frame. Both people and organizations rely on and need one another. If there is a poor fit between the person and the organization, one or both could suffer but a good fit is beneficial to both (Bolman & Deal, 2013). The issue of employees' perceptions of fairness associated with the performance appraisal process is a concern as the human resource frame considers the human side to the organization and what motivates employees to excel and be motivated. Performance appraisals are known for creating both actual and perceived inequity and injustices amongst staff and leaders. The process is also recognized as creating tension among leader and employee (Rowland & Hall, 2013).

The political frame stands out, especially when considering the merit component associated with the performance appraisal. Politics often correlates to power and the power that a leader in determining an employee's overall performance appraisal rating can often be seen as a political decision. The political frame proposes that organizations are coalitions of various groups of people who have their own differing values and beliefs and that the most important decisions to be made revolve around the allocation of scarce resources.

How humans go about making sense of the world is the focus of the symbolic (Bolman & Deal, 2013). The performance appraisal process, the employee rating and the merit increase are all symbolic to the employee in terms of the value that the organization and the leader's place on the employee. If a leader decides to forgo the process of providing constructive feedback through the performance appraisal process, this may symbolize a lack of worth to the employee for their contributions. If an employee is rated as 'good' rather than 'exceptional' this may symbolize to the employee that they are lesser than their colleagues who traditionally have been recipients of the 'exceptional' rating.

The change path model. The Change Path Model consists of four steps: awakening, mobilization, acceleration, and institutionalization.

The awakening stage in the Change Path Model is like the gap analysis in the Change Process Model. This stage can be addressed by collecting the data from a recent TMA membership survey conducted and by reviewing focus group outcomes to confirm the problems and opportunities that exist with respect to the performance appraisal.

The next step is mobilization. What specifically needs to change and the creation of a vision for change are determined by concluding with the gap analysis done in the awakening stage and through the engagement of others associated with the problem be assessed (Cawsey et al., 2016). The mobilization step for the purpose of this OIP includes a discussion involving the members of the association and the university administration, specifically the Human Resources department.

Acceleration involves both action planning for the future state and implementation (Cawsey et al., 2016). It is important to keep the staff members and the relevant members of Human Resources engaged in the change process so that they become active and engaged stakeholders who support the change implementation process. As part of the transition management in the change process, focusing on being optimistic while maintain the momentum and continuing to share the vision are essential for success. If the change leader is not optimistic and motivated throughout the change process, it will be hard to garner enthusiasm and support from other change agents. The change leader is responsible for modeling the behaviour she expects from the stakeholders associated with this process.

The final step of institutionalization includes continuous monitoring and tracking of the change that will allow the organization to mitigate risk and assess for any future modifications or changes (Cawsey et al., 2016). This is an important step to ensure that short term and long term goals are being met when it comes to the performance appraisal as the process has been in place for a number of years but has never been regularly monitored or reviewed for possible enhancements. In order to continue to improve the process over time, monitoring and evaluation is required.

The change that is necessary in addressing the performance appraisal process is a subsystem change as it only affects a specific population of the organization. The change is planned and incremental, although an effort should be made moving forward to ensure that the process is continuously evaluated and monitored for future enhancements.

Critical organizational analysis. Using a combination of my change readiness findings, organizational analysis, and relevant research, the changes that need to take place in order to address the problem of practice are discussed. In this section of Chapter 2, a diagnosis and analysis of the needed changes using the framework for leading change and change path model are completed.

"In any organizational change, both process (how to) and content (what) are important" (Cawsey et al., 2016, p. 20). In order to understand what needs to change in the performance appraisal process, both the social exchange theory and the complexity theory are explained. How change is framed is a key part of the transition and implementation of the suggested change. Both social exchange theory and complexity theory help to provide a better understanding of what and why gaps exist between the current organizational state and the desired state. These two theories fit nicely together for the purpose of this organizational context and complement one another. Complexity Theory considers organizations to be open systems that not only interact with their environment but are constantly evolving over time. Complexity Theory interprets organizations as being made up through interactions and behaviours while Social Exchange Theory goes further on to elaborate and offer explanations in understanding workplace behavior.

Social Exchange Theory, one of the most influential conceptual paradigms for understanding workplace behaviour (Cropanzano & Mitchell, 2005), uses the principles of reciprocity and value congruence to explain the processes that authentic leaders use to establish positive social exchanges with their employees (Ilies et al., 2005). Social Exchange Theory was established in the 1920s and was rooted within the Social Sciences (Cropanzano & Mitchell, 2005). Social Exchange Theory operates under the premise that a series of interactions generates obligations (Emerson, 1976). Rather than attempting to change the culture or norms that exist within an organization, leaders engaged in social exchange theory carry these same norms and values into social exchange situations (Ekeh, 1974). While the theory attempts to explain the social exchange and stability process of exchanges between parties, it is focused on how relationships can be mutually beneficial and rewarding to each individual (Ilies et al., 2005). As it will be shown later in this chapter, authentic leadership and social exchange theory fit well together as they share many of the same underpinnings. In assessing the current state of the performance appraisal process, the development and maintenance of mutually beneficial relationships with members of TMA and specifically the Human Resources department at University Y is essential. To be an effective change leader, there must be a level of respect and trust among the constituents and both the social exchange theory and authentic leadership are focused on the steps needed to achieve this.

Complex systems theory refers to open systems that not only interact with their environment but are constantly evolving over time. They are made up through interactions and behaviours-they are not prefabricated as complex system (Mitleton-Kelly, 2003). Complex systems consist of many diverse components which contain feedback loops. TMA is consistently in the middle of a feedback loop as it is an organization operating within a larger organization. Prior states influence present states which influence future states, meaning that everything is somehow interrelated. What has happened in the past is not to be forgotten as it is likely to impact the future, however, lessons can be learned from past performance, and a possible solution that did not work in the past should not be dismissed, as there are many factors that could have caused this to happen. “The underlying premise is that a better understanding of the dynamics of complex, adaptive systems provides insight into the opportunities, limitations, and conditions under which it is possible to influence such systems” (Rotmans & Loorbach, 2009, p. 194).

One of the key attributes of the complexity theory is that it recognizes that organizations are dynamic, nonlinear systems which have unpredictable outcomes (Burnes, 2005). In this sense, recognizing that one may put a great deal of time and energy upfront to implement a change where the desired outcome is not reached is important. “For organizations, as for natural systems, the key to survival is to develop rules which are capable of keeping an organization operating ‘on the edge of chaos’ (Stacey et al., 2002, p. 74). Complex systems need to continuously be transforming themselves in order to survive and potentially thrive (Burnes, 2005). While it will be a transition for University Y to live on the edge of chaos, eventually adaptive capacities will be developed and a greater awareness of potential issues will be recognized before things break. The current approach of reacting to problems only when they are severe enough to cause restlessness among the masses is not ideal. Leadership is most successful when a leader is proactive and responsive to concerns as the concerns are brought forward, rather than waiting for a situation to erupt and become a crisis. Employees have been unhappy with the current state of the performance appraisal for a long time. Going forward, it is not enough to simply implement change once and never revisit it again. The change must be monitored and opportunities must constantly be explored to continuously improve the process, thus keeping University Y at the edge of chaos. Monitoring is discussed further in Chapter 3.

Similar to authentic leadership, complexity theory believes that leaders must avoid the top-down command and control approach to management. Instead, the focus is on the relationship between individuals and groups of individuals (Mitleton-Kelly, 2003). There is a need for organizations to be flatter and more flexible while encouraging employee involvement in decision making (Burnes, 2005). Under the complexity theory perspective, a change leader's responsibility is to create conditions and basic rules that allow for efficiency and innovation to emerge through encouragement and interaction between employees (Cawsey et al., 2016). While vision and strategy are important to establish and work towards understanding a change in path is equally important, as we do not know what we do not know until we are in that situation. In order for organizations to be successful in a complex world, they need to be proactive and continuously focus on creating a range of ideas, strategies and actions to deal with problems they may face (Klijin, 2008). More importantly, an organization needs to support the learning and sharing of knowledge, rather than encouraging leaders and employees to focus solely on their primary accountabilities (Mitleton-Kelly, 2003). This means breaking free from the silos that exist in many organizations and creating opportunities for leaders and employees to engage on a personal and a professional level through a variety of opportunities such as professional development and networking events.

Complexity theory recognizes that organizations depend too heavily on the concept of standardization and this limits creativity and innovation (Cawsey et al., 2016). The performance appraisal should not be a process where one form fits all situations and all employees. For example, how can an employee of 25 years in the same position be evaluated based on the same competencies and accountabilities as an employee that has been with the organization for one year?

Not all changes need to be big. Small changes can cause a big impact. Consistently looking for opportunities to implement incremental changes when the timing is right can have huge effects downstream (Cawsey et al., 2016). Small incremental changes can sometimes be the most impactful change as they are often the least resisted form of changes. Although at face value there may seem to be a number of issues with the present performance appraisal process at University Y and a complete overhaul of the system may be required; however, the change process should not be entered with the thinking that these means are the only way forward. It is important to be open to the possibility of smaller changes being equally valuable options.

Change leaders should be prepared with contingency plans in case unplanned or unpredicted events occur (Cawsey et al., 2016). No matter how much research and preparation is done before the implementation phase, events can occur that take a change plan off track. When preparing for implementation this should be considered and how these events will be handled must be taken into account. Is reverting back to the existing process necessary? Is there a plan B? Have these considerations been shared with the relevant parties?

Effective monitoring and management allow the change leader to oversee the process and adjust as needed (Cawsey et al., 2016). Not monitoring the current process is what may have caused the problem being experienced today. All too often, a new process is implemented and left to work any issues or problems out on its own. There is no plan for monitoring or management of the change and there is no consideration given to regular assessment periods as time goes by.

It is important for change leaders to recognize their own biases and assumptions when analyzing the situation and to consider if there may be a possibility that these assumptions limit their perspectives (Cawsey et al.). Table 4 summarizes the common biases that tend to happen when assessing alternatives. The anchoring effect is a bias that could easily lead the change leader to assume that their initial solution is the best and only option. An example of the anchoring effect would be if the change leader were to attempt the implementation of what was initially identified as the best possible solution then midway through the implementation phase learned subsequent information which influenced and negatively affected the initial assessment but decided to ignore it. The anchoring effect is not representative of the continuous process necessary for change to be positive.

Table 4

Common Biases in Decision-Making

Bias:	Definition:
Overconfidence bias	When a change leader believes they know more than they do.
Immediate gratification bias	Change leader who tends to want to make quick decisions that result in immediate results.
Anchoring effect	Change leader fixates on initial information and then ignores subsequent information.
Selective perception bias	The change leader selective organize and interpret events based on their biased perceptions.
Confirmation bias	Change leader discounts information that contradicts past judgment.
Framing bias	When the change leader selects and highlights certain aspects of a situation while excluding others. They distort what they see and correct incorrect reference points.
Availability bias	When the change leader tends to remember events that are the most recent and vivid in their memory. It distorts their ability to recall events in an objective manner and results in distorted judgment and probability estimates.
Resentation bias	When the change leader assesses the likelihood of an event based on how closely it resembles other events. Leaders exhibit this bias when they draw analogies and see identical situations where they don't exist.

Adapted from Robbins, Coulter, Leach & Kilfoil, 2016.

After reviewing the main tenets of the complexity theory and considering the current state and desired future state, as described in Chapter 1, it has become clear that one of the main gaps between the states is the need for the organization to recognize that change is a continuous process. The possible solutions to address the problem of practice are discussed in the next section of Chapter 2, but it is worth noting here that these changes do not need to be monumental or transformational. Transformational changes are the most complex types of change and involve a radical shift in organization's approach to business which can take several months to years to implement. Because transformational change is often considered turbulent and can lead an organization to do a complete overhaul, employees often becoming worn out due to the uncertainty and ongoing change and lose faith in the process. It is acceptable and preferred for smaller, incremental changes to take place. Organizations are continuously going through tangential or incremental changes and as such, employees anticipate them and are more readily open to accept them because they are easier to incorporate into their day to day work (Peacock, 2017). The needed changes based on the PESTE analysis described in Chapter 1 must address the following questions: Is the process of the performance evaluation self-serving; who is invested in the process; what are the resources needed to consider and/or accommodate a possible change; and how will the change be managed. Not all members will appreciate the change regardless of how transparent and engaging the process is. How can technology be incorporated into the change? Lastly, what are other similar organizations doing?

Possible Solutions to Address PoP

There are several different approaches that could be taken to improve the current status of the performance appraisal. These include:

1. Incorporate 360-degree feedback;
2. Self-appraisal;
3. Increase the frequency of training and support for the process;
4. Eliminate the performance appraisal; and
5. Continue with the status quo.

Solution 1; incorporating 360-degree feedback. The first possible solution to consider would be to incorporate a 360-degree feedback as a feature of the existing performance appraisal process. The concept of 360-degree feedback involves the collection, quantification, and reporting co-workers observations about another employee that will be used for the purpose of the performance appraisal. These observations are related to specific behaviours associated with the individuals work responsibilities (Bracken, Rose & Church, 2016). Incorporating 360-degree feedback would allow for the opinions of not only the direct supervisor, but coworkers, students, and other team members. The intention of this additional feature would be to allow for the feedback to be broader in nature and potentially increase the objectivity (Analoui & Fell, 2002).

Resources Needed.

1. ***Financial Resources***. Indirect financial resources are related to the time that additional staff members would need to devote to contributing to their peer's appraisal.
2. ***Time Resources*.** The implementation of 360-degree feedback will require additional time resources on behalf of the coworkers, other team members, and possibly students that would be asked to supply the additional feedback.
3. ***Human Resources***. Additional training sessions and support for those providing the 360-degree feedback would be necessary to ensure that they are contributing what is expected for the purpose of this exercise.
4. ***Technology Resources***. There are no identifiable technology resources needed for this possible solution.

Benefits and consequences. The benefit to incorporating 360-degree feedback into the performance appraisal process is that the feedback is likely to be more accepted as it is coming from multiple sources, rather than the leader alone (Sillup & Klimberg, 2010). Prowse and Prowse (2009) state that the use of the 360-degree feedback will reduce the subjectivity and inequity of appraisal ratings as the feedback isn't simply that of the immediate supervisor.

"Multiple rater systems provide a form of triangulation that results in ratings in which employees and managers have greater confidence" (Boice & Kleiner, 1997, p. 197).

Four limitations have been identified with using a 360-degree feedback method. The first concern is the time required to collate the data collected. Leaders and employees alike complain that there are not enough hours in the day to complete their necessary tasks and adding an additional responsibility to list may cause resentment towards the process. The second disadvantage is that the feedback may not be usable. It might be too subjective or fall outside of the parameters of what is to be evaluated in the performance appraisal. Contributors to the 360-degree feedback may have limited interactions and their feedback may not be a true representation of the employee's contributions. A concern regarding accountability in the process should be considered. The more individuals involved in the process, the less likely anyone will accept accountability for the overall review (Goldsmith & Morgan, 2004). The fourth and final concern is that in order to incorporate 360-degree feedback, it is critical to have the agreement of all stakeholders (Bracken et al., 2016).

Solution 2; incorporating self-appraisal. Another possible solution to the problem of practice is to incorporate a self-appraisal element in the performance appraisal process. Currently, staff members are not invited to appraise themselves. Instead, staff are only asked to comment on the past year's goals and future goals with the evaluation being left solely to their immediate leader to conduct.

Resources Needed.

1. ***Financial Resources***. Financial resources associated with this possible solution are related to additional time away from primary responsibilities for the employee to focus on their self-appraisal.

2. ***Time Resources***. The implementation of self-appraisal will require additional time resources for the employee.
3. ***Human Resources***. Additional training sessions and support for employees would be necessary to ensure that they understand the expectation of the self-appraisal process.
4. ***Technology Resources*****.** There are no identifiable technology resources needed for this possible solution.

Benefits and consequences. One of the primary benefits of implementing a self-appraisal element to the process would be an opportunity to encourage more discussion between the leader and the employee. Soliciting employee input into the ratings leads to greater agreement between the leader and employee (Steel & Nestor, 1984). Clement (1990) states that introducing a participatory approach to the process has led to higher satisfaction and motivation levels on behalf of the employee. Grote (2010) found that placing more responsibility on the employee in terms of self-evaluation has improved the effectiveness of the performance appraisal process for employees. There is a greater perception of accuracy, fairness, and acceptance of the performance appraisal process when self-appraisal is incorporated into the process (Fahr, Werbel & Bedian, 1988). Employees are also able to share insight on areas of performance that a leader may not have had an opportunity to observe or notice (Clement, 1990). Encouraging employees to be involved in their own evaluation leads to less defensiveness during the appraisal and can make the employee feel that their perspective matters. The self-appraisal allows the leader to gain insight into how the employee views his/her own performance (Boice & Kleiner, 1997).

A lack of skill or understanding in the area of performance appraisal can be a consequence to the implementation of self-appraisal (Clement, 1990). However, this should be addressed by the additional training and support that would be provided should this solution be implemented. Another concern would be the role that the employee's perceptions could play in the process. It can be difficult to admit one's own flaws or shortcomings and therefore, if a merit increase is the result of the evaluation, the employee may not be entirely honest in their self-appraisal.

Solution 3; increasing the training and support for the performance appraisal process. At present, University Y only offers formal training for the performance appraisal process when the process is set to begin. The training is not widely advertised or promoted throughout the community.

Resources needed.

1. ***Financial Resources***. The financial resources needed to support this solution would be associated with the number of sessions held and the cost to facilitate these sessions. Facilitation would be offered by a trained HR staff member and supported by a member of TMA.
2. ***Time Resources***. The additional training sessions would impact Human Resource staff, TMA staff, and any staff members wishing to attend the training sessions.
3. ***Human Resources***. Again, human resource staff would be expected to play a role in this solution by providing the training.
4. ***Technology Resources*.** There are no identifiable technological resources needed for this possible solution.

Benefits and consequences. The benefits are far-reaching for this solution. Encouraging staff members and leaders to attend training offered throughout the year will provide the opportunity for more members of the community to become educated on the process. Often times, staff members chose not to attend training because the timing is not suitable for them. Offering sessions throughout the year will address this conflict. Offering more regular training will also be helpful in demonstrating to all staff members that the performance appraisal is a process that is valued within the community and by the organization.

The consequences to this solution are minimal. The resources are greater than the other solutions proposed but are still low.

Solution 4; Eliminate the performance appraisal. The fourth consideration in addressing the problem of practice is to eliminate the performance appraisal process for TMA staff altogether.

Resources needed.

1. ***Financial Resources***. There are no associated financial resources required.
2. ***Time Resources***. There are no time resources.
3. ***Human Resources***. There are no identifiable human resources needed to implement this solution.
4. ***Technology Resources*****.** There are no technological resources required.

Benefits and Consequences. A benefit to this solution is that all of the issues that are associated with the performance appraisal will become moot once the appraisal is eliminated. The majority of union groups on the campus of University Y do not require a performance appraisal to be done for their members.

The performance appraisal is intended to provide staff members and their leaders a formal opportunity to meet and discuss the employee’s past performance and upcoming goals. Although there are many complaints on how the process can go wrong, staff members appreciate the opportunity to discuss their performance and opportunities for growth and development

(Kondrasuk, 2011). Grote (2010) states that the performance appraisal process has more influence than any other management process on individual career trajectories and work lives. Performance appraisals have the potential to improve efficiencies within an organization and motivate employees, if carried out correctly (Kondrasuk, 2012).

Solution 5; Continue with the status quo. The last consideration in addressing the problem of practice is to continue with the status quo and not make any changes to the current process.

Resources needed.

1. ***Financial Resources***. There are no associated financial resources required.
2. *Time Resources*-There are no time resources.
3. ***Human Resources***. There are no identifiable human resources needed to continue with the status quo.
4. ***Technology Resource.*** There are no technological resources required.

Benefits and consequences. A benefit to this solution is that there are no additional resources needed to support this solution. A significant consequence is that the concerns brought forward by TMA members are not being addressed.

Table 5

Possible Solutions to the Problem of Practice

Possible Solution	Financial Resources Needed	Time Resources Needed	Human Resources Needed	Technology Resources Needed	Benefits	Limitations
Incorporate 360-degree feedback	Related to the time that additional staff members would need to devote to process	Additional time needed for training and for co-workers and other team members to supply feedback	Additional training sessions and support provided by HR	None	Feedback being derived from various sources, rather than just one person	Additional time needed to support the task, feedback could be subjective in nature, lack of accountability
Self-Appraisal	Related to the time away from primary responsibilities	Additional time spent away from primary responsibilities	Additional training sessions and support provided by HR	None	Opportunity for more self-reflection and discussion	Lack of skill, perceptions could cause bias
Increase in training and supports available	Determined by the number of sessions and cost to facilitate training and support	Related to time away from primary tasks for leaders and employees and the cost associated with HR staff to provide training and support	HR staff would be expected to play an integral role in providing support and training	None	Demonstrating the value of the process	The cost of resources to provide this solution, particularly if the interest is not there from the community
Eliminate the performance appraisal	None	None	None	None	Concerns with the current process will no longer remain	Staff and leaders will no longer have a formal opportunity to discuss performance and goals
Continue with Status Quo	None	None	None	None	No additional resources needed	The concerns brought forward by TMA members are not being addressed

Selected Solution. Increasing the training and support associated with the performance appraisal process, and providing staff the opportunity to participate in self-appraisal are the two solutions selected to address the problem of practice. Although these two solutions integrated together will result in more cost in terms of resources, they are both viable solutions that have the potential to successfully address the issues associated with the process. The performance appraisal process in practice at University Y is similar to many other processes in place at other institutions and organizations and an attempt for greater education around the process, and more inclusivity for staff members, are appropriate ways forward in addressing the unique problem that has been identified. While the other solutions discussed are viable, many of the shortcomings of the performance appraisal process have the potential to be addressed through increased awareness about the process, involvement in the process, and ongoing educational opportunities and support. According to Kondrasuk (2012), research conducted on the problems associated with the performance appraisal are related to a lack of understanding of the purpose and goals of the process, what is measured and how, and the system and process of the performance appraisal. These issues can all be addressed through educational efforts. There is likely to be some hesitation on the part of some of the leaders on campus. Working in collaboration with senior leadership at the institution and with the central Human Resources unit, an effort would be made to require leaders to attend this training rather than to leave it as a voluntary option. How the process is approached and carried out are the key influencers of success. The authentic change leader would approach leaders by encouraging them to attend training by sharing the vision associated with the training outcomes and inspiring others to be motivated for the same end results.

The implementation of 360-degree feedback could potentially lead to increased problems with the process if the core issues of not understanding or valuing the process itself are not addressed. The idea of eliminating the performance appraisal is not reflective of the culture and values associated with TMA and its membership.

Boice and Kleiner (1997) acknowledge that training at all levels leads to an effective performance evaluation system with periodic refresher sessions. There are many essential elements to be included in the training but learning how to communicate and managing employee expectations should be paramount. The training should also cover off the use of appropriate language, objectivity vs. subjectivity, legal and psychological concerns, criteria used for evaluation purposes, and listening skills (Kondrasuk, 2012). Transparency surrounding the process is essential to gain the support of all employees involved in the process and training can do just that. Investigating the various ways that training can be conducted to meet the pedagogical needs of learners will be equally important-we cannot assume that everyone will learn and benefit from training the same way. Case-studies and role-playing will be considered. As an authentic change leader, listening to what the leaders and employees of University Y feel would be appropriate formats for training and support.

Leadership Approaches to Change

Organizational change requires a consistent and committed change leader who is dedicated to the improvement of the organization and has the appropriate agency to do so. When considering the solution proposed to address the problem of practice, authentic leadership is the most appropriate leadership style to facilitate this change.

Authentic leadership. According to Avolio and Gardner (2005), there are four distinctive characteristics that best describe the essence of what authentic leadership style is. They are:

1. Leaders are true to themselves and do not conform to the expectation of other's;
2. Leaders are motivated by their own personal convictions;
3. Leaders lead their employees from their own personal point of view; and
4. Leaders base their decisions on their own personal values.

Authentic leadership closely aligns with the issues associated with the performance appraisal process because the issues being addressed are centered around a damaged process that has led to a lack of confidence and trust in the system. The qualities associated with authentic leadership have the potential to motivate staff to aspire to a greater potential and encourages employees to believe that they have the ability to contribute to the solution that will correct the current issues associated with the process. This is an important consideration for this particular OIP because members of TMA often report feeling as though they do not have any influence or agency to make a change to the performance appraisal process. Authentic leadership has been shown to have a positive effect on both employee attitudes and behaviours (Walumbwa, Wang, Wang, Schaubroeck & Avolio, 2010). One of the key attributes of authentic leadership is that leaders follow a transparent and ethical decision-making process (Avolio & Gardner, 2005). Transparency and ethics are essential in attempting to restore trust and confidence within the organization.

Authentic leadership is fitting for many different situations because it is focused on the human aspect of leadership. Interestingly, authentic leadership has many of the same attributes that are associated with both ethical and transformational leadership (Avolio, Gardner, Walumbwa, Luthans & May, 2004). Many of the actions an authentic leader displays are symbolic to both the leader and the employee. By setting a personal example of high moral standards, authentic leadership has the potential to evoke a strong sense of identification among employees (Walumbwa et al., 2010). Authentic leadership emerges from both a leader's efforts and from the response of followers. Authentic leadership is fitting for this particular problem of practice because it is focused on the elements that are important to a change agent and a leader, and reflects the values that are identified as being important to the members of the staff association. For example, the authentic leader is genuine, leads with a purpose, and is inspired by and focused on the vision of the organization as they approach their tasks. Authentic leadership assists employees in recognizing their own leadership potential (Avolio et al., 2004). George (2003) found that authentic leaders have a genuine desire to lead people. He also found that they have a real sense of purpose and that leaders and employees often develop a sense of trust and closeness through the authentic leaders' willingness to share their own story with others and their interest in listening to others' stories. Empowering employees to take an active role in finding solutions to address the problems that they are facing is a key element to creating a community of engaged staff members.

Requirements of a successful change leader. There are many characteristics and skills needed to be a successful change leader. The need to understand one's self and one's own influence and image within the organizational context is essential (Cawsey et al., 2016). Avolio and Gardner (2005) recognize that authentic leaders are self-reflective and conscious of how their behaviour and actions are perceived by others.

Successful change leaders have their own set of special personal characteristics that include emotional maturity, tolerance for ambiguity, self-confidence, persistence, optimism, and comfort with power (Cawsey et al., 2016). Authentic leaders are courageous and resilient in their efforts to address ethical issues. Self-awareness is an emerging process for the authentic leader. Authentic leaders are self-regulated through the process of aligning their own values with their actions (Avolio & Gardner, 2005).

When the current leader of the TMA initially accepted the role of President, one of her primary mandates was to assess the current performance appraisal process and by listening to the feedback of TMA members and working alongside those same members, engage with the senior leadership and central Human Resources unit to influence change.

Understanding and respecting the environment and history associated with the organization are essential components to become a successful change leader (Cawsey et al., 2016). "There is recognition of the opportunity for authentic leadership to be sustained and integrated into the context (a context seen as varying in terms of turbulence, uncertainty and challenge), while also altering the context itself to make it more authentic" (Avolio & Gardner, 2005, p. 327). Authentic leaders attempt to build credibility and gain the trust and respect of others by encouraging diverse viewpoints and building collaborative relationships with staff members (Avolio et al., 2004).

Authentic leadership is focused on the symbolism of relationships. Leaders strive to be direct, open, accountable, transparent, and committed to success. They acknowledge their own limitations and are not afraid to openly admit what they are. Authentic leaders are intrinsically engaged in leadership for the benefit of the collective (Avolio et al., 2004). Authentic leadership is fitting for the challenges faced by leaders in the 21st century as this form of leadership has the ability to influence the environment for inclusion by modeling a mediating leadership role (Boekhorst, 2015). As the president of the association and the change leader for the purpose of this OIP, the leader recognizes the symbolic importance of her role in both capacities. Making a formal commitment to investigate this problem of practice and being engaged and transparent with members of TMA are instrumental to the leader's success in implementing any change. Failing to do so will have a detrimental impact on any future success in both roles.

Authentic leadership is the type of leadership that is needed to ensure the proposed changes are implemented and managed appropriately within the existing environment at University Y.

Shortcomings of authentic leadership. While there are many advantages to the use of authentic leadership for this problem of practice, it is only appropriate to address the identified shortcomings of authentic leadership. Two shortcomings of the authentic leadership will be discussed below.

Gardiner (2017) identifies one shortcoming as being that marginalized groups may not feel able to be true or forthcoming about their own values due to existing structural or cultural barriers in the organization. One way to address this concern is by putting safeguards in place to protect marginalized individuals. This could be in the form of anonymized feedback or policies that could be put in place to protect individuals in the expression of their values.

Another potential shortfall of the authentic leadership style is that employees lacking self-clarity may take on characteristics of their leader rather than being true to their own morals and beliefs (Ford & Harding, 2011). This could be the case in any type of leadership, it is not a risk that is specific to only authentic leadership. However, it is something that the authentic leader should keep in mind when working with employees. For example, during the performance appraisal process, the employee could decide to agree with the leader's perspective because the leader is so attached to what they believe, rather than the employee standing up and speaking out to support their own values and beliefs. This is a concern that will further be discussed in the area of leadership ethics.

All leadership styles have potential shortcomings and authentic leadership is no exception. However, the benefits and connections between authentic leadership, change management and the proposed solution in addressing the problem of practice outweigh the shortfalls associated with the leadership style.

Leadership Ethics and Organizational Change

In the context of organizational change, ethical leadership is extremely important as employee's need to trust the integrity of their leader (Sharif & Scandura, 2014). Not proceeding ethically during organizational change can destroy both the credibility and trust that an employee has for their leader (Cawsey et al., 2016). An internalized moral perspective, refers to a self-regulatory process where leaders use their own values and moral standards to guide their behaviour. This is one of the key elements of being an authentic leader. Moral reasoning is another attribute of authentic leadership. Moral reasoning is the ability to make ethical decisions and knowing right from wrong (Northouse, 2016). These are two of the qualities of authentic leadership which demonstrate why authentic leadership is the most fitting leadership approach for the purpose of this OIP. There are several ethical dilemmas that can be associated with the performance appraisal process such as: favouritism or vengeance of a leader, misuse of the performance appraisal process, and misuse of the results of the appraisal (Banner & Cooke, 1984). Favouritism or vengeance are often difficult to establish in the process because the evaluation is highly subjective in nature. Misuse of the performance appraisal process is often the result of the application of the process. For example, asking an employee to complete both the leader's portion of the evaluation as well as the employee's portion and then signing off without a formal evaluation or discussion taking place. Misuse of the results of the appraisal could be reflected by not using it for the purpose it was intended, such as goal setting. Anytime that judgements are made about an employee, there is a possibility that an ethical transgression could take place (Sillup & Klimberg, 2010).

When reflecting on the ethical considerations and challenges relating to University Y and this OIP, Bolman and Deal's (2013) Framework is used. By using the four frames included in

Bolman and Deal's Framework, I am able to give thought to ethical concerns and/or challenges on a broader spectrum as each lens is distinct from one another.

Structural frame. The structural frame is concerned with organizational design. Two relevant assumptions within the structural frame are: effective structures fit an organization's current circumstances, and suitable forms of coordination and control ensure that diverse efforts of individuals and units mesh (Bolman & Deal, 2013). When reflecting on the structural frame and ethical considerations when it comes to the change process, it is important to consider how the change may influence the current design of the organizational structure. It would be unethical to not take this into account and reassess the organizational design of maximum efficiency. This may result in the Human Resource department and the staff association sharing coordinated efforts more so with this change than they have in the past. Allocating work and the delegation of responsibilities is another consideration. Is it realistic to assume that the changes being recommended to the performance appraisal process will not affect the current structure of roles and responsibilities for everyone involved? Considering the structural framework of the organization is essential to ensure that what can be accomplished is enhanced rather than constrained (Bolman & Deal, 2013).

Human resources frame. The purpose of the Human Resources frame is to focus on what the organization and people do to and for one another. When implementing the recommended change, it is important under this frame to keep in mind that organizations exist to serve human needs and that people and organizations need one another (Bolman & Deal, 2013). The ethical commitment of the change leader is to be inclusive and transparent throughout the entire change process and thereafter. The people of the organization are its greatest strength and the mistreatment of them will surely result in failure of this change process.

Political frame. Bolman and Deal (2013) state that politics is at the heart of decision making. It is the process of making decisions while allocating resources in a context of diverse interests and scarce resources. One of the primary ethical concerns under the political frame is the potential for a political agenda to corrupt or interrupt any attempts to implement the change. Under the political frame, interdependence, divergent interests, power relations, and scarcity are the main influences of political activity (Bolman & Deal, 2013). Addressing one's own biases and the biases of other's as well potential political agenda's will be necessary in dealing with any ethical challenges that may arise. These concerns could be brought forward by any member within the association, any employee within the HR unit, or any member of senior leadership at University Y that may have a vested interest in how performance appraisals are conducted or how the changes being implemented may affect resources.

Symbolic frame. Under the symbolic frame the focus is how humans make sense of the world in which they live (Bolman & Deal, 2013). Every action and situation has the potential to have a symbolic impact on employees. The way in which a leader leads, the decision-making process, and how change is implemented symbolize different things to different people based on their own experiences and perceptions. Ensuring that the change process is inclusive and transparent is equally important under the symbolic frame as it is under the human resources frame. An authentic leader who is inclusive and transparent in the change process can maintain or increase the level of trust and respect that is needed to maintain a positive relationship with the employee. Transparency reaffirms ethical leadership to employees when they feel involved in the process (Sharif & Scandura, 2014).

Ethics matter during the change process because there is a potential of compromise of moral principles which affects employee perceptions of their leaders own commitment to ethics

(Sharif & Scandura, 2014). Both University Y and TMA make every attempt to ensure ethical behaviour is demonstrated in all of their processes and interactions. Understanding the values of the employees being represented by TMA and demonstrating care, while leading transparently with integrity will be important considerations for the change leader.

Conclusion

Chapter 2 has focused on the planning and development stages of the OIP. Leadership approaches to change were discussed; specifically I discussed how authentic leadership will propel change forward in relation to the problem of practice. The framework for leading the change process, specifically how change will be approached was reviewed. Relevant framing theories and relevant types of organizational change were explored. A critical operational analysis of what to change was examined, along with possible solutions to address the problem of practice. Leadership ethics and organizational change issues were given consideration as a final step before I move into the implementation, evaluation, and communication which are discussed in Chapter 3.

Chapter 3: Implementation, Evaluation, & Communication

Introduction

Chapter 3 reviews, in depth, the implementation, evaluation, and communication of the process change. Connecting with the organizational analysis presented in Chapter 2, the strategy for change is outlined by summarizing goals and priorities of the planned change. A plan is introduced for the management of the transition of selected solutions identified in Chapter 2. The Change Implementation Plan takes into consideration the stakeholders affected, supports and resources required to support successful implementation, and potential issues and limitations are addressed. Approaches to change, including tools and measures that will be used to track change, gauge progress, and assess change, are discussed in this chapter. Lastly, a plan to communicate the need for change and the change process is shared.

Change Implementation Plan

In order to outline a strategy for change, goals and priorities of the planned change are summarized. The goal of the planned change is to improve the current performance appraisal process in place at University Y. The goal of this OIP is to increase awareness around the performance appraisal and gain buy-in for the importance of the performance evaluation so that people are intrinsically motivated to participate in the process. Equally important is recognizing the value that the performance appraisal process brings to the individuals associated with it and to the organization is equally important.

Goals and priorities of the planned change. The goals and priorities of the planned change consider how the performance appraisal process can be improved so that it is achieving the goals it was established to achieve, such as providing formal feedback and goal setting opportunities, for employees working within University Y. In order to achieve these goals and priorities, regular, ongoing communication and solicitation for feedback through various avenues is a priority. Essential resources include the time and expertise of the Human Resource department and TMA members. Additional training and education, as well as, support for both leaders and TMA employees is factored into the process.

Stakeholder reactions. Seeking to understand stakeholder reactions to the change and being prepared to address concerns during implementation, in response to legitimate employee concerns, are an important part of the process. Managing stakeholder expectations by avoiding overambitious commitments is a significant part of the change process (Hayes, 2010). While each concern should be taken seriously, it is critical to keep in mind that there may be questions of legitimacy relating to some of the reactions of stakeholders. Resisting change is a natural tendency that is normal to surface during the initial implementation phase (Bertram, Blasé & Fixsen, 2015). According to Hosington and Waneswaran (2005), many employees resist change because they are afraid that accepting change will disrupt their current production levels and because they fear the unknown, such as potential job loss because of the change being implemented. “What is required during this stage is steady leadership that normalizes challenges, that provides increased coaching and support for practitioners, and that employs rapid data informed problem solving” (Bertram, Blasé & Fixsen, 2015, p. 481). It can be easy to view stakeholder feedback as complaints and resistance, however, this feedback should be framed as a resource. If employees begin to feel that their feedback is discouraged, the change leader will be deprived of the opportunity to take employee feedback into consideration and in response, the change process could be at risk (Hayes, 2010). Not only will the change leader lose the opportunity to receive vital feedback, but also the employees could begin to feel alienated and a further erosion of trust could occur (Morrison & Millijen, 2000; Ford & Ford, 2009).

Encouraging employees to share their perspectives is important because it will provide the change team with an opportunity to understand other views relating to the change and may bring forward concerns that the team has not considered in their planning.

> Successful program implementation requires examination and alteration of organizational structures, culture, and capacity as well as development of new staff competencies. During the stage of initial implementation, unanticipated constraining factors may emerge. People, organizations, and systems tend to become comfortable with or accustomed to the status quo. In the stage of initial implementation, concerns and uncertainty about changes in roles, responsibilities, and practices should be expected. Although there may be much outward enthusiasm during the exploration and installation stages, many staff at all levels will not fully embrace organizational changes necessary to effectively implement the program mode. (Bertram, Blasé & Fixsen, 2015, p. 481)

Stakeholder concerns are to be expected during the change implementation process. It is important that stakeholders are continuously encouraged throughout the change process to bring those concerns forward. If concerns are not being shared or recognized, this should cause alarm among the change team as it may indicate a lack of trust in the team or in the process.

Envisioned future state. Selecting personnel to engage and empower others for individual and cultural change is part of a successful change implementation plan. Champions from different units/faculties across campus will be selected based on what Spector (2010) calls people alignment-the practice of matching employees with the appropriate attributes required to successfully carry out the change process. The change leader will look for varying skills, motivations, attitudes, and behaviours to ensure that the group of change agents is diverse and will allow them to complement one another. The group will consist of people who are willing to involve others, share their suggestions, and are open to criticism (Boonstra, 2013). As an authentic leader who leads from her own core values and holds a sense of purpose, a priority for the change leader will be to select champions who vary in their abilities and skills but all hold two important attribute-they are confident and passionate, just like the authentic leader. Table 6 illustrates the change team members' composition. The roles listed below will be actively involved in the change process and will be empowered to lead their colleagues through the process.

Table 6

Change Team Members

Title of Position	Incumbent
Change Leader	President of TMA
Change Members	Representatives from Human Resources including the AVP, HR
	Executive members from TMA
	Representatives from across the various faculties and departments across campus, ideally there will be 3-5 members or champions per faculty/unit depending on the number of staff

Supports and resources. In order for the change implementation plan to be successful, the change team must identify who in the organization needs to be committed to the proposed change and to carrying out the change (Beckard & Harris, 1987). For the purpose of my OIP, the HR team, specifically the Associate Vice-President, must be committed to the change in order for it to be implemented. From the TMA association, the executive must support the change and the process of carrying out the change. The majority of the staff association membership must also support the change in order for it to have a chance at being successful; this includes leaders who will be conducting the performance appraisal and employees who will be involved in going through the process of the performance appraisal. Evidence of support from employees would include active involvement in the self-appraisal section of the performance appraisal and/or attendance at the educational workshops.

Time will need to be allocated during the implementation phase for those individuals who are considered champions or change agents, for the change leader, and for select HR personnel whose work currently involves the current performance appraisal process. These individuals will be involved in distributing the message regarding the changes through various channels within their own units/faculties and addressing inquiries that might arise from their peers. The allocation of time involves a financial component and it does rely on the support of leaders across campus. Therefore, the support from top level leadership will be necessary to ensure that the resources needed are allocated. Leaders and employees within the organization will also have to be able to dedicate some of their own time towards educational workshops that support the change in process. Doing so will show a commitment to the process on their part and interest in reaching the goals defined as part of the change process. By attending workshops and being actively engaged in the process, leaders will be modelling the behavior that they should expect from their employees who report to them.

Other Canadian universities carry out their own performance appraisal processes in a similar manner and these processes will be used as a resource for the purpose of our change implementation plan. For example, because this problem of practice is not unique to the post-secondary setting but exists within organizations worldwide, larger organizations within the same geographical location will be consulted with as well so that I can understand their best practices.

Implementation issues. With any change process, there will be issues that arise during the implementation phase. Being proactive and considering what issues may arise will allow the change leader to try and prevent the issues from arising in the first place. By taking the steps that have been reviewed in the OIP and carefully reviewing each alternative solution in light of the context of the organization, the hope is that any possible implementation issues will be avoided. Clarity of the desired future state could be considered a potential implementation issue if employees do not recognize the current performance appraisal process as being flawed. It is important to keep in mind that everyone's experience with this process is unique and not everyone has had a poor experience with the current process. To ensure that the process is as transparent as possible, all employees wishing to play an active role in the rollout of the change have an opportunity to be involved, and ensuring regular, ongoing communication is taking place with the identified stakeholders through a variety of communication means. Employee involvement will be determined by either the change leader or a fellow change agent. It may be encouraging the employee to share their experiences in attending an educational workshop with their peers in the same unit/faculty. It will be vital for the change leader to remain in regular contact with change agents and other members of the community so that she can keep a pulse on what the reality is in terms of communication and understanding of what is being communicated.

One of the main issues with implementation is that the university environment is cyclical, meaning that each unit/faculty has different busy times during the year. Finding an ideal time to begin the implementation may be difficult. This is likely to cause concern for certain operations within the university. Poor timing for one or more areas could result in a lack of engagement and being prepared to address this concern will be essential.

A lack of overall engagement from the leaders and/or employees is a potential implementation issue. Understanding the reason behind the lack of engagement and attempting to address it will be the best course of action.

Building momentum: Short, medium, and long-term goals. In order to build momentum for the change implementation process, short-, medium-, and long-term goals need to be established and communicated with the stakeholders. Goal setting is an exercise that keeps one accountable in achieving the plan that was created. Short-term goals (6-12 months) include generating awareness of the change process. This will be done through various means of communication including; the HR website, TMA website, TMA newsletter, TMA Annual General Meeting, and an email communication to the membership. These communications will include the identified need for change, the rationale for the selected change, and the steps associated with the change implementation as well as measurement and monitoring efforts once the change is implemented.

Medium-term goals (12-18 months) include identifying change agents or champions within the faculties and units across campus, and working with the TMA executive as well as HR to fully develop the process and educational workshops and supports to facilitate a successful change. TMA members will be introduced to the change team, including all change agents and their role with the process will be described through this communication. Throughout the process, members will be encouraged to relay any feedback they may have to the change leader and/or change agents.

The long-term goals (18-24 months) will involve the full implementation across campus of the new performance appraisal process and the development of a complete measuring and monitoring process. Key performance indicators will include: attendance at training, as well as, leader and employee satisfaction survey conducted by TMA and/or HR. Short-, medium-, and long-term goals will be shared with the community in an effort to be as transparent as possible and to solicit feedback from the TMA membership.

Limitations. Anderson (2010) acknowledges that the beginning of the change process is usually considered the easiest phase because everyone involved is enthusiastic and motivated. As the process continues, it can become more difficult to sustain as it can cause struggles with workload and the psychological demands can become a hindrance to the process. Efforts to mitigate the possibility of the process becoming more difficult will include: regular meetings with the change agents to ensure that they remain positive and motivated. Engaging TMA membership and ensuring regular communication while restating the vision of the change will be another tactic employed to prevent the possibility of losing focus on the change process.

Although stakeholder reactions were discussed earlier, unfounded negative reactions to the change should be considered a limitation. The change team will need to make every attempt to clarify the importance and urgency for the need for change while encouraging involvement and commitment throughout the university (Hosington & Waneswaran, 2005).

As part of a successful change implementation plan, it is crucial to summarize the goals and priorities of the planned change, including considering how the change plan fits within the context of the overall organizational strategy. The change leader must understand stakeholder reactions and predict how these reactions may change or adjust plans during the implementation process. Selecting the right people to be part of the change team, and determining other supports and resources needed for the purpose of the change implementation are key considerations. Identifying potential implementation issues, how they will be addressed, along with acknowledging limitations are essential steps to a successful change implementation plan.

Change Process Monitoring and Evaluation

This section will be devoted to connecting the change process monitoring and evaluation process to the Plan, Do, Study, Act (PDSA) model and leadership approaches to change.

Through planning and thoughtful implementation are two stages of a successful change, however, monitoring and evaluating are equally important steps to ensure the success is continuous.

PDSA model. Edward Deming originally created the PDSA model, also commonly referred to as the Deming Cycle, as a tool to help teams improve their service quality (Donnelly & Kirk, 2015). The model includes detailed steps to be implemented for improving an existing process or implementing change. Table 7 outlines tasks associated with the PDSA model.

Table 7

Tasks associated with the PDSA model

Step	Details of Step
Plan	Set objectives and define intended outcomes; start small and keep it simple; use SMART goals (specific, measurable, attainable, realistic, and time-based); what is it you are trying to achieve? Consider what resources you might need and revisit this question as you work through the project; be organized. Engagement and commitment are important; SWOT analysis should be conducted (documenting strengths, weaknesses, opportunities, and threats in relation to the process being addressed); plan for data collection (monitoring and evaluation).
Do	Implementation of changes identified during the PLAN stage; as you go through each stage, make sure to consider if there is anyone else that should be involved in this process; document observations; record data.
Study	Analyze the results obtained; compare results to predictions; summarize what has been learned; make sure you know what to measure and that the measurement is straightforward, simple, and verifiable to minimize the risk of challenge to the proposition that improvement has been made. In the STUDY stage, determination of whether further change is needed or if the change implemented was sufficient in addressing the issue identified in the PLAN stage.
Act	Ensure any improvements needed (as identified through the 'study' step) are implemented. Consideration for the next cycle?

Adapted from Donnelley & Kirk, 2015; Crawford & Prasad, 2017; Leis, J. & Shojania, K (2016).

According to Crawfoot and Prasad (2017), the PDSA represents a four-stage cycle that is a continuous process. The repeated use of the PDSA cycle results in the likelihood of appropriate and sustainable improvements. Although the PDSA model can be complex and time consuming, it provides evidence of a detailed plan that has been thoroughly reasoned (Donnelly & Kirk, 2015). The PDSA model advocates for a thorough and transparent process to be followed when making organizational changes. The purpose of the PDSA model closely aligns with the principles of authentic leadership. Authentic leaders present their own thoughts and beliefs to others while promoting trust through the sharing of information. This pattern can be seen throughout the PDSA cycle. Another shared attribute seen both in the PDSA model and authentic leadership is the need for balanced processing; a process whereby leaders conduct a thorough and objective analysis of all relevant data with stakeholders before reaching a final decision and solicit feedback from those stakeholders (Kotze & Nel, 2017; Walbumba et al., 2007).

Why monitor and evaluate. Before I can determine what tools will be used to monitor and evaluate the change implemented, I must first consider why it is important to evaluate change and what elements of the change should be evaluated. Evaluating change allows the change leader to remain focused on the original objectives that drove the change process to begin with. Measuring and monitoring can also help with enhancing accountability (Cawsey et al., 2016). The process of evaluation may encourage employees who did not initially support the change to reconsider after seeing the results generated from the change. The results provide an opportunity for feedback and allow for the planning of next steps, if necessary (Beckhard & Harris, 1987).

What to monitor and evaluate. When planning for the evaluation phase, what will be evaluated needs to be the first decision made. "What gets measured affects the direction, content, and outcomes achieved by a change initiative" (Cawsey et al., 2016, p. 340). There are items specific to the change implemented and items that are general to any change process that should be evaluated. Specific to this OIP would be both macro and micro level considerations. A macro level consideration refers to an impact felt by the entire organization whereas a micro level consideration would be either at the individual or departmental level. At a macro level: did the changes implemented affect employee satisfaction with the performance appraisal process; and did they improve the existing performance appraisal process so that it is achieving the goals and outcomes it is designed to achieve, such as employee development and assessment. At a micro level: did employees' and leaders' attend training sessions, how many inquiries for support were received by HR and/or TMA regarding the performance appraisal process, did the distribution of ratings significantly change from the previous year. The results identified at the individual and/or departmental level will be seen before results at a higher organizational level will be recognized. In addition to these specific items, evaluation should assess how the change may have influenced a possible change in behaviour, people, and the task process (Beckhard & Harris, 1987). Cawsey et al. (2016) encourage change leaders to use measures and controls that are perceived by employees as being fair and appropriate to avoid and reduce future resistance. Instead of focusing on how many individuals did not attend training, focus on how many did and look at ways that will encourage more individuals to attend future offerings, whether this is through a change in time, location, or method of delivery.

How to monitor and evaluate. Beckhard and Harris (1987) in their Managing the Change Process Theory, which is the primary theory used to lead the change process for the purpose of this OIP, suggest seven practices that a leader should consider in order to monitor and evaluate the effectiveness of the change implemented. For example, periodic team meetings allow an opportunity for team members to come together and focus on reviewing their work practices and processes and how the implemented change may have affected their processes.

Table 8 illustrates the practices used to monitor and evaluate the effectiveness of the implemented change to the performance appraisal process.

Table 8

Practices used to monitor and evaluate the effectiveness of implemented change

Methods to assess effectiveness of change:
Periodic team meetings to review work practices and processes since last meeting and what the upcoming goals are;
Organizational sensing meetings-helpful for senior leaders to hear directly from team members who are working with the change daily;
Periodic intergroup meetings which consist of various departments who would not regularly meet;
Renewal conferences-organizational leaders meet to evaluate and discuss change-usually done annually during strategic planning cycle;
Goal-directed performance preview-can be unit or individual based-documenting goals and expected results help in support of change;
Periodic visits from external reviewers; and
Rewards-recognition, formally or informally, publicly or privately.

Adapted from *Organizational transitions: Managing complex change* (2nd ed., p.32-35), by Beckhard, R., & Harris, R. T., 1987, Don Mills, Ont., Reading, Mass: Addison-Wesley Publishing Company.

A practical model for evaluating the educational element of the solution is the Kirkpatrick model. The Kirkpatrick model is used to measure the effectiveness of adult training programs. The model is focused on four key areas: Reaction, Learning, Behaviour, and Results (Prasolva, 2010). Using the Kirkpatrick model to evaluate the training program will allow both immediate and long-term outcomes to be monitored.

Table 9

Kirkpatrick Model for Evaluating Adult Training Programs

Step	Explanation of Step
Reaction	Employees' perception of training; engagement and interest has a strong correlation with what is learned
Learning	Pre and post tests to measure learning to measure how much of the content was retained by employee; tests should be identical for pre and post
Behaviour	Measures of on the job performance to identify the effects of training on performance
Results	Most difficult to evaluate can be captured in the form of employee satisfaction

Adapted from "Adaptation of Kirkpatrick's four level model of training criteria to assessment of learning outcomes and program evaluation in Higher Education", by Praslova, L. (2010). *Educational Assessment, Evaluation & Accountability, 22*(3), 215-225.

Using the Kirkpatrick model to evaluate the training program will allow for both immediate and long-term outcomes to be monitored. For example, the pre- and post-tests verify whether learning has taken place while measuring on the job performance or behaviour will identify if the learning outcomes from the training are being applied on the job. In the case of the performance appraisal process, the learning outcomes that could be measured would include a leader's contribution to the performance evaluation planning and discussion with an employee.

When considering the specific methods to be used to monitor and evaluate the change process, it is important that the selected methods fit within the existing organizational culture, are easy to understand, are low cost, and are easily accessible (Hosington & Waneswaran, 2005). A mixed-methods approach will be used and will include semi-structured interviews, focus groups, and anonymized surveys for the purpose of monitoring and evaluating the changes being made to the performance appraisal process. There is already appropriate infrastructure in place within University Y to conduct surveys and analyze the data collected. For example, the university owns a license for a product called Qualtrics which is a research platform commonly used by a wide range of organizations and post-secondary institutions. Focus groups and semi-structure interviews can be timely but are rich in qualitative data that will enhance the quantitative data collected from the survey results and allow for the possibility to triangulate data. The seven steps included in Table 9 will also be incorporated as part of the monitoring and evaluation process. For example, feedback regarding the educational workshops will be solicited from employees and leaders in the form of both an anonymous survey and focus groups.

Assignment of responsibility for measuring and monitoring is another key consideration. As an employee of University Y and the president of TMA, the change leader will assume the primary responsibility for measuring and monitoring the change process. This will be a transparent process where all stakeholders will be kept informed through regular communications and updates. For example, the TMA website will provide regular updates through newsletters, as well, as the HR website. Town hall sessions will be offered throughout the process so that all stakeholders have been provided sufficient opportunities to be kept apprised of updates as progress is being made throughout the transition.

Knowing what to measure and when to measure it can be a complex issue (Cawsey et al., 2016). The performance appraisal is an annual activity and since data has already been collected, and has driven this change initiative, the next set of data will be collected over two years - first, immediately following the implementation of the new performance appraisal process and again after the next cycle of the performance appraisal process. Comparing the two points in time will help to assess if improvement is seen immediately following the implementation and/or if improvement is seen following the educational opportunities that are rolled out throughout the year. Evaluation should continue to be completed on an annual basis to monitor and measure for changes in attitudes and behaviours. It is important for the change leader to determine if the data collected through the monitoring and evaluation points leads or lags the desired outcomes to ensure that the appropriate follow up steps are taken (Cawsey et al., 2016). For example, modifications to the change plan may be needed and through the ongoing monitoring and evaluation process, the change leader will be able to detect this before any potential negative effects are felt widely.

The evaluation phase answers key questions to assess how successful the change initiative has been: what was supposed to happen, what actually did happen, why it happened and what, if anything, needs to change (Hayes, 2010).

Sharing of results. Stakeholders should expect timely and accurate results from the monitoring and evaluation process (Cawsey et al., 2016). TMA is accountable to its membership and part of being accountable includes the sharing of such details. To ensure a transparent process, the details of how monitoring and evaluation will be done and what data we are looking to collect should be communicated in advance of reaching the stage of monitoring and evaluation. The particulars of what is being looked at, and how, will be shared with stakeholders through the Annual General Meeting (AGM) with TMA, through the TMA website which is regularly updated with current information, and through the HR website.

The connection between the PDSA model and my personal leadership approach to change, authentic leadership, is a positive one. There are several synergies that flow between them, which will benefit me in the implementation and evaluation of my OIP. The tools and measures that I have proposed to track changes, gauge progress, and assess change are appropriate and relevant given the organizational culture that exists at University Y.

Plans to Communicate the Need for Change and the Change Process

This section provides a summary of the plans for building awareness of the need for change within University Y. By doing so, an exploration of how issues will be framed for the various audiences impacted by the changes, as well as the consideration of questions that will arise and possible responses. A strategy will be developed to communicate the planned change to the appropriate stakeholders.

There are three key activities involved in implementing organization change: communication of the need for change, mobilizing others to support the change, and evaluating the change (Battilana, Gilmartin, Sengul, Pache & Alexander, 2010). All three of these activities must receive attention in order for organizational change to have the opportunity of being successfully implemented.

Communication and implementation of the change process are focused on creating the least amount of tension for the stakeholders affected (Beckhard & Harris, 1987). As indicated in Chapter 2, change can be uncomfortable for stakeholders and whatever can be done to reduce the stress and tension for stakeholders, the better the chances for a successful implementation. Communication is a tool that should be used by the change leader to announce and explain the change, prepare people for the effects of change, increase their understanding of the change and their commitment to the change, and reduce confusion and resistance to the change.

Planning for the communication should be thought out carefully and with a deliberate approach. Stakeholders can often perceive a lack of communication as a lack of transparency, which can cause tension and lead to a resistance to the change being implemented. Furthermore, no communication can lead employees to create their own understanding which can easily spiral out of control (Peacock, 2017). Communication plays a key role in allowing the change agent to obtain information, build ownership, and create understanding (Ford and Ford, 1995).

Securing support from various stakeholders can be an emotionally driven process (Huy, 1999). Change creates a sense of uncertainty and can leave stakeholders feeling vulnerable and exposed. Stakeholder response and reaction to the change communication and process is an important determinant of whether the change will be a success or failure (Agote, Aramburu & Lines, 2016). The authentic leader has the capacity to show consideration for stakeholders and will be considerate of their emotions and feelings during the process (Bass, 1990). “In addition to emotions, leadership style and level of trust in the leader are considered fundamental elements for the success of change processes, and have also been thought to influence emotions” (Agote et al., 2016, p. 36). Valuing communication, encouraging participation, and being accepting to feedback will go a long way in fostering a positive experience for stakeholders (Vera and Crossan, 2004). These traits are important to stakeholders because it makes them feel valued. An authentic leader will have the ability to inspire stakeholders to work towards the vision of the change process (Ergi & Herman, 2000). Being aware of the social environment in which they operate allows the authentic leader to connect the ambitions and emotions of others and lead the energy of the employees within the university to the future vision. The authentic leader is approachable and is not afraid to discuss emotionally charged issues (Boonstra, 2013, p. 172).

Communicating the need for change is part of the mobilization phase in the Change Path Model by Cawsey et al. (2016). In considering how to communicate the message, respect and effective interpersonal skills are preferred over force or the enactment of formal power (Beckhard & Harris, 1987). The act of providing information to stakeholders may not be sufficient to gain support; focusing on the quality of the information and relevance to the constituents should be the goal (Allen, Jimmieson, Bordia & Irmer, 2007; Bordia, Hunt, Paulsen, Tourish & DiFonzo, 2004). Focusing on both the macro and micro levels, communicating the need for change, will help employees to recognize how their specific tasks and accountabilities contribute to the larger vision for success (Bevington & Samson, 2012). The change leader should attempt to understand why stakeholders might react in various ways to the change and how they can help to evolve those reactions over time (Cawsey et al., 2016). Employees will perceive the announced change based on their own personal assessment of the situation and how the change will affect them and their work.

How a change leader communicates the need for change and the process itself will vary throughout the process but should be focused on the audience for which the message is intended. The initial changes and the need for change will be introduced at the Annual General Meeting (AGM) for TMA members where HR will attend and present in collaboration with the president of TMA. Even though attendance is high at the AGM, it is not mandatory, therefore an email will be sent on behalf of TMA and HR to all TMA members and leaders across campus immediately after the AGM. This will be imperative, as it will inform any members that did not attend the meeting about the new process. A strategic schedule of a series of emails and meetings will be prepared to ensure that all TMA members are receiving timely updates. This schedule will be shared with the membership to ensure that they are aware of the intentions of the change leader and agents. Measurement and monitoring processes will also be discussed during the presentation and through the other selected modes of communication. In addition to these two directed methods of communication, information will be shared through the TMA website as well as the HR website. This communication will address the need for change, how the need for change was confirmed to be a legitimate issue, what research has been done to support the recommended changes, the recommended changes to be implemented, and the timeline for implementation. All stakeholders will be encouraged to share their feedback either during the AGM presentation, or through email, phone, or in person to either HR or TMA following the presentation. Feedback will be encouraged continuously throughout the change process by the change leader, TMA, HR, and the champions located in each faculty or unit on campus. "Change communication needs to be two-way, as change leaders need to be open to learning as much from exchanges as followers" (Cawsey et al., 2016, p. 242). Not only does the feedback assist the change leader to adapt the strategies within the change process if necessary, it also illustrates the authentic care and concern that the leader has and may encourage those employees initially resistant to the change to rethink their stance (Cawsey et al., 2016).

The change process will need to be framed for the purpose of two specific audiences: leaders who conduct performance appraisals and employees who are on the receiving end of performance appraisals. TMA members are often both a leader and an employee and so they are often receiving feedback through the performance appraisal while being responsible to provide feedback in their leadership capacity. Anticipated questions may include why other possible solutions were not considered. These concerns will be carefully considered and responses will be provided. The responses will focus on explaining the process involved in arriving at this specific approach.

Armenakis et al. (1999) describe five specific message domains that a change leader should include in their communication plan if they wish to be successful. These five domains include: discrepancy, efficacy, appropriateness, principal support, and personal valence. Discrepancy is concerned with whether change is necessary and highlights how an organization's current state differs from the desired state that the change is promoting (Katz & Kahn, 1978; Armenakis & Harris, 2002). For the purpose of this OIP, the change leader's communication would highlight the feedback collected from TMA members which indicated that there were shortcomings in the current performance appraisal process. The desired state is to alter this process and make it beneficial and productive for all employee's involved in the performance evaluation. In the discrepancy statement, focus will be placed on why change is good rather than why it is needed (Armenakis & Harris, 2002).

Efficacy is expected to motivate individuals to attempt to change by building their confidence and expectation that change can happen and that the plan to change will be successful (Armenakis & Harris, 2002). This can be accomplished through the illustration of a thorough and transparent process, including the critical organizational analysis and in depth review of the possible solutions to address the problem of practice.

The appropriateness of the change will be demonstrated by sharing the details of the OIP as it relates to the organizational context and organizational change readiness. While working through the steps to address the problem of practice, the organizational context was always a top consideration. A change that may be successful within one organization may not be successful in another since each organization has its own unique context and culture.

Principal support identifies the resources and commitment to see the change through (Armenakis & Harris, 2002). Ongoing consultation has occurred with TMA executive, the constituents of TMA, and central HR. These would be the main stakeholders involved in the change process and supporting the resources needed to see the implementation and continued monitoring and evaluation through completion. As mentioned previously, including HR representation in the messaging of the change will be important to demonstrate the broad organizational support that exists relating to this change.

The final component of messaging is that of personal valence which addresses the question of ‘what is in it for me’? If the change does not have some sort of value-added for the members, they are likely to resist the change (Armenakis & Harris, 2002). Stakeholder’s attitude towards the change, and an acceptable value added, will result in a different response based on the audience member asking the question. For example: for employees that are on the receiving end of the performance appraisal, a value added could be - a process that can be motivating, rather than un-motivating, and assist with personal development. For leaders who are responsible for carrying out the process, a value added could be - engaging employees and learning more about what they view as their strengths and weaknesses and helping them to develop in key areas. For HR and the institution as a whole, a value added could be - a process that is no longer fractured and fulfilling the requirements that it was set in place to fill: identifying development opportunities, recognizing employees for their contributions to their work, and providing employees and leaders with a formal opportunity for dialogue regarding performance.

An effective change leader will develop an understanding of the elements of change and identify the need to move through the change process in a supportive way. Understanding how stakeholder’s experiences impact their perceptions of change and how the change leader can work around these concerns is important when creating a communication plan (Cawsey et al., 2016).

OIP Conclusion

In conclusion, this OIP presents new strategies to improve the current performance appraisal process in place at University Y so that it is successful in reaching the objectives it was established to achieve, such as providing formal feedback and goal setting opportunities for employees. In Chapter 1, the organizational context of the university, the organizational structure and established leadership approaches and practices were explained and consideration was given on how these factors may impact the identified problem of practice. University Y was identified as being conservative in nature, whereas, the TMA Association displayed liberal tendencies. The gap between the present and envisioned future state was articulated, as well as, priorities for change. The organizational change readiness was assessed through the Managing Change Process Theory (Beckhard & Harris, 1987) and the Change Path Model (Cawsey et al., 2016). In assessing the organizational change readiness, special consideration was given to the competing internal and external forces that shape change.

Chapter 2 explored authentic leadership and its relevance to the organizational context and the problem of practice. Again, the Managing Change Process Theory (Beckhard & Harris, 1987) and the Change Path Model (Cawsey et al., 2016) were incorporated as the primary frameworks for leading the change process with Bolman and Deal's (2013) frames used as a supplemental theory. Using a combination of the change readiness findings, organizational analysis, and relevant research around performance appraisals, a gap analysis was conducted for University Y. A variety of solutions were presented and explored in relation to the context present at the organization before a combination of solutions were selected for implementation. Ethical consideration was given in relation to the leadership approach and organizational change issues that are present at University Y. The process, and the work to improve the current process is underway.

Chapter 3 gave consideration to the implementation plan, along with the communication process, and the evaluation and monitoring of the implementation. Goals and priorities associated with the planned change were incorporated into the plan for managing the transition from the current state to the envisioned state. Stakeholder reaction was discussed, along with the selection of change agents and champions to proactively handle concerns that stakeholders may have as progress is made through the change initiative. Connecting to the PDSA model, tools and measures that will be used to track progress and assess change were reviewed. Finally, the plan to build awareness and communicate the change initiative and process amongst stakeholders was covered.

Next Steps

Four next steps will be discussed as a continuation of this OIP. These steps include: continuously active monitoring of the implemented solution, ongoing attention to new research in the area of performance appraisals, ongoing dialogue between TMA and Human Resources as it relates to the performance appraisal process, and continuous engagement with TMA members in regards to the performance appraisal.

It is important to continue to actively monitor the effectiveness of the solutions and continue to address the problem of practice. As Kondrasuk (2011) states, the ideal performance system is about the format, not the actual form that is involved in the process. Therefore, future considerations to improve the process should be focused on the process itself and not exclusively the form that is at the center of the process. Research indicates that performance appraisal systems can be effective if they are designed and executed correctly and are based on goals that are driven by an organization's strategic plan. (Lawler, Benson & McDermott, 2012).

Ongoing attention to new research in the area of performance appraisal will be vital to ensure that University Y is staying current on research-informed initiatives as these may be considerations for future adjustments to the performance appraisal process. As the demographics of the workforce change, along with the culture and dynamics of the organization, the current status will need to continue to be monitored and evaluated to ensure that the performance appraisal process is meeting its established goals. Performance appraisal systems are complex and ensuring that the process has the proper features is part of understanding the organization itself along with the mission and values of the organization (Lawler et al., 2012).

Both TMA and Human Resources should continue to have active involvement in the monitoring and evaluation of the process in order to maintain a sense of awareness and understanding of the leader and employee experience as it relates to the performance evaluation process. Ongoing dialogue in terms of the monitoring and evaluation results and any new research in the area of performance evaluations will be important for both ongoing and future success in this area.

Engagement with TMA members should be a top priority for the change team while taking the opportunity to solicit feedback regarding the changes implemented and the current process through the performance appraisal process itself, surveys, town halls, and focus groups. In order to be responsive to any potential setbacks, the change leader and change team must stay aware and engaged with the membership.

As Beckhard and Harris (1987) point out, organizations exist in a world of continuous change. Change is rarely linear. It is infrequently predictable and sometimes it is successful.

Change is always a work in progress (Smith & Graetz, 2011). Therefore, it is best for change agents, leaders, and employees alike to be prepared by effectively managing change. An authentic change leader will embrace the change process as a means to make a lasting, positive, and meaningful difference within the organization and in the lives of their peers.

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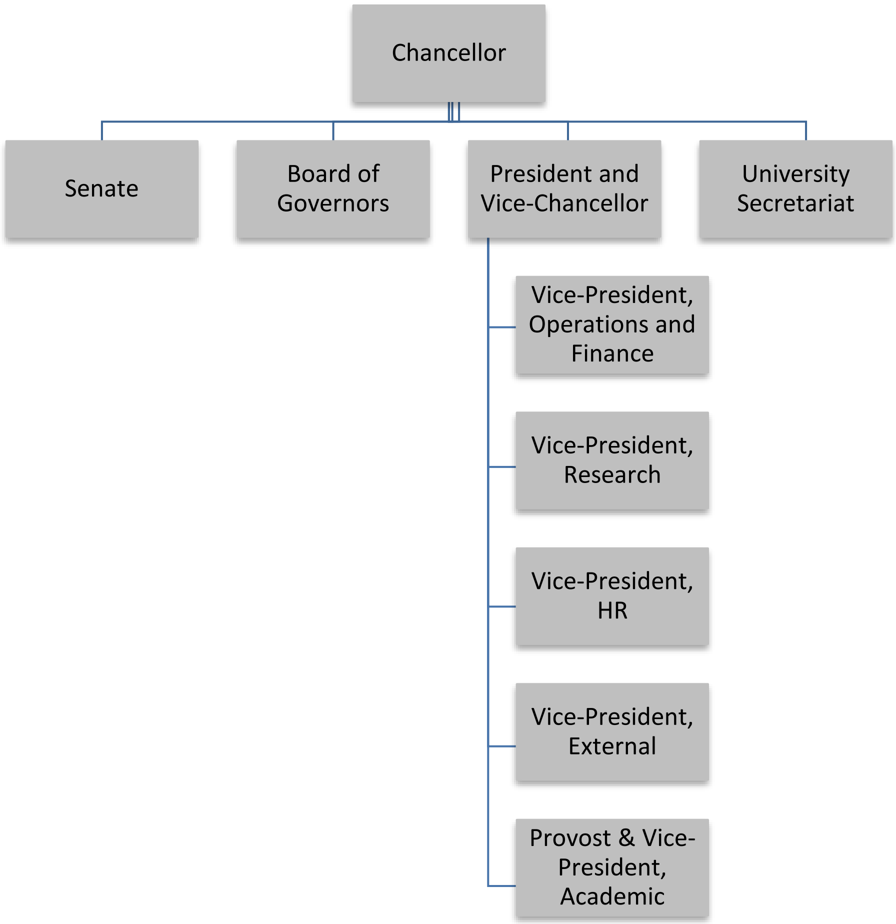
Appendices

Appendix A: Organizational Chart



Appendix B: Framework Linking Authentic Leadership to Employee Attitudes and Beliefs

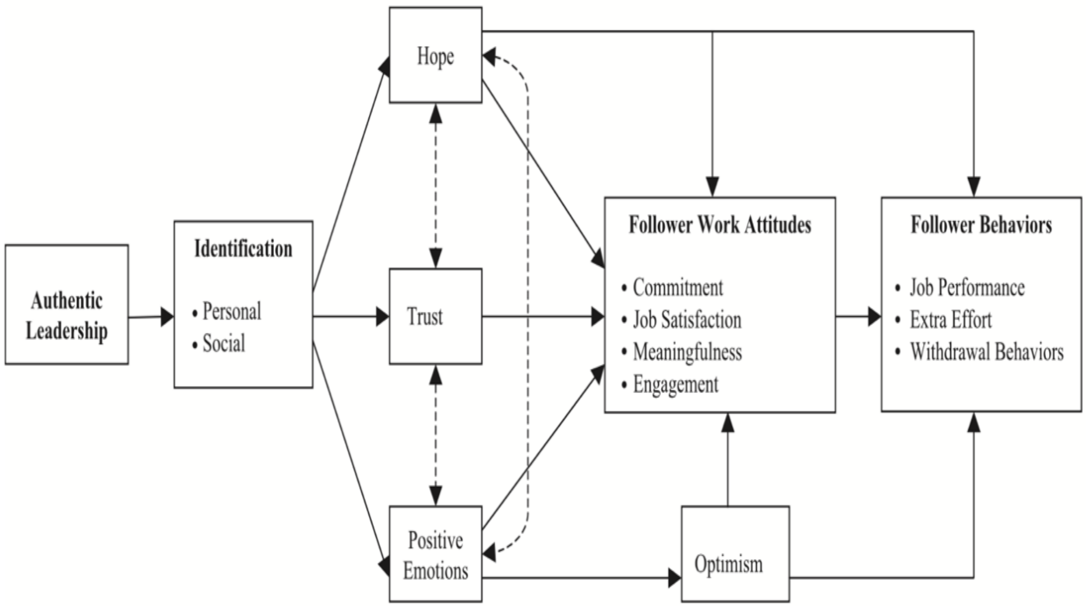


Fig. 1. Proposed framework linking authentic leadership to followers' attitudes and behaviors.

Framework linking authentic leadership to employee attitudes and beliefs. Reprinted from "Unlocking the mask: A look at the process by which authentic leaders impact follower attitudes and behaviors", by B. Avolio, W. Gardner, F. Walumbwa, F. Luthans, and D. May, 2004. *The Leadership Quarterly*, 15, p. 803.

Appendix C: Performance Appraisal Document

Performance Dialogue and Goal-Setting

Summary Sheet

Employee Name: ______________________________

Role: ______________________________

Unit: ______________________________

Period under Review: ______________________________

Leader: ______________________________

Table of Contents:

A. **Employee Reflection (completed by the employee)**
B. **Leader's Assessment (completed by the leader)**
C. **Dialogue and Goal Setting (completed by employee and leader together)**

Leader's Overall Performance Rating:

- **Unacceptable**
- **Fair**
- **Good**
- **High-Quality**
- **Exceptional**

PDG Tips for Employees and Leaders

1. Decide on a meeting format that works for you.
Do you want one PDG meeting or two (e.g. one that focuses on assessment and another that focuses on work goals)? It's up to both of you to decide.

2. Focus on significant outcomes.
When completing the employee reflection, use tools like your calendar, project plans and task lists to jog your memory so that you capture your 3-8 most significant outcomes for the full assessment period. When assessing performance, ensure you're not just basing your feedback on what you've seen recently.

3. Include specific examples.
The PDG conversation is an opportunity to exchange feedback. If you're unclear about feedback you receive about your performance, ask for clarification. To help avoid confusion, reference specific examples when giving feedback.

4. Focus on the positive.
When receiving feedback, sometimes we have a tendency to zero in on what we perceive to be negative – be sure to spend some time appreciating the positive. When giving feedback, ensure you highlight specific instances that impressed you – not just "Ali is a great team player". It makes the feedback more meaningful.

5. Exchange feedback throughout the year.
If it's not currently part of your practice, now is a great time to start. Make the exchange of formal and informal feedback a regular part of your work, not just around PDG time.

A. EMPLOYEE REFLECTION

1. **Past Year's Work Goals-** List any goals identified at your last performance review, or goals that arose during this review period. Name the goal and indicate its current status.

GOAL	Completed	In-Progress	Deferred	Cancelled

2. **Summary of Work Outcomes-**Provide 3-8 examples of your most significant work outcomes since your last performance review. Use point form. To identify work outcomes, consider a) your major role accountabilities; b) your daily work; and c) any work goals or significant projects assigned. If you made a significant contribution to a project or a goal that is still in progress, describe the interim outcomes achieved during this review period.

What did you do	Who benefited	Outcomes achieved (what's in place or different as a result of your actions?)

3. **Professional Development:** During the pay year, what learning and development opportunities did you participate in (e.g. job-shadowing, cross-training, workshops, conferences, courses)? What did you gain from these experiences?

4. **General Reflections**
   a) What work gave you the most satisfaction?
   b) What was the greatest challenges you faced?
   c) What key strengths did you bring to your work this year?

B. LEADER'S ASSESSMENT

Instructions for Leaders

1. **Review**
   a) What was expected: Consider role accountabilities, work goals, development goals, and projects assigned.
   b) Indicators of performance: Consider your own observations, numerical indicators (e.g. financial, work volume, safety), client and colleague feedback, and the employee reflection.
   c) The performance assessment questions

2. **Assign Ratings:** For each assessment question, select the appropriate descriptor to rate the quality of performance. Check N/A if an aspect of performance was not applicable. The assessment should reflect the employee's performance over the entire review period.

3. **Provide Comments:** At the end of each section write comments to support your rating. Where possible, provide examples of observable behaviour (what the person did) and indicate the outcomes resulting from the person's actions. E.g. "Jenn, you led two successful IT upgrade projects this year that were complete on time (behaviour). Users are now able to update data on-line and eliminate paper processes (outcome). Great work!"

Assessment Questions-Summary

PROFESSIONAL OUTCOMES	**WORK RELATIONSHIPS AND COMMUNICATION**	**LEADERSHIP (FORMAL AND INFORMAL)**	**SAFETY**
For this review period, did the employee: • Achieve the desired technical/ professional outcomes to the level of quality and quantity required by those s/he served? • Make good use of resources while achieving his/her outcomes? • Ensure her/his technical/professional knowledge, skills and practice continue to match work demands? • Respond constructively to work challenges and set-backs?	**For this review period, did the employee:** • Develop and maintain productive and collegial work relationships? • Use communication skills appropriate for the role	**For this review period, did the employee:** • Ensure others knew the purpose of shared work, work changes, and were clear about goals, plans and expectations (e.g. colleagues or team members)? • Enable individuals and teams to work productively? • Recognize and encourage others' performance? • Encourage and/or support others to increase their knowledge, skill and abilities?	**For this review period, did the employee:** • Follow and promote safe work practices as appropriate for his/her role? • Contribute to a respectful work environment?

1. **Professional Outcomes**

Unacceptable	Fair	Good	High-Quality	Exceptional	N/A

For this review period, did the employee:

Achieve the desired technical/professional outcomes to the level of quality and quantity required by those s/he served?

Rarely. Work often had serious quality problems; amount of work completed fell short of expectations and client needs.	Sometimes. At times the amount of work completed met expectations and client needs; serious quality problems arose occasionally; inconsistent achievement of several role accountabilities.	Usually. Met client needs in terms of timeliness, quality, and quantity. Dependable achievement of most key role accountabilities.	Consistently. Outcomes for all key accountabilities were achieved at a very high level of quality and quantity that often delighted clients or colleagues.	Outcomes were achieved at a level of quality and quantity that set a standard of excellence, serving as a model for professional practice in a particular area, or introduced a significant improvement to the way the Unit or the University operates.	

Make good use of resource while achieving his/her outcomes?

Rarely. Often used own and/or others' time and abilities inappropriately. Misused technology/supplies/ financial resources.	Sometimes. Work choices occasionally resulted in loss of time, misuse of technology or a waste of supplies or financial resources.	Usually. Made productive use of own and other's time and talents and made responsible use of technology, supplies, and financial resources.	Consistently. Made very productive use of own and others' time and talents; often found ways to make better use of technology, supplies, and financial resources to achieve more efficient, effective outcomes.	Modeled wise and astute judgment in the use of time, talent, and other resources to achieve priority outcomes. Made innovations to improve the efficiency and effectiveness of the work. Others often learned new methods by observing his/her approach.	

Ensure her/his technical/professional knowledge, skills and practice continue to match work demands?

Rarely. Did not keep up to date on own profession's standards of practice or seek opportunities to maintain competence or expand knowledge and skills.	Sometimes. When reminded by others of changes in his/her profession, sometimes made efforts to improve knowledge and skills.	Usually. On the whole, kept practice consistent with standards in key aspects of his/her profession. Engaged in opportunities to advance knowledge and skills.	Consistently. Kept practice at a very high level of professional competence; consistently took initiative to find and engage in opportunities to advance knowledge and skills for the role and for future challenges.	Always. Contributed to advancements in the profession; sought and engaged in challenging opportunities to advance knowledge and skills for the role and for future challenges.	

Respond constructively to work challenges and set-backs?

Rarely. Reacted with prolonged negativity; blamed challenges on external factors; did not take initiative to resolve difficulties.	Sometimes. Own stress occasionally disrupted his/her own work and that of others. Often waited for others to take action.	Usually. Made an effort to control own stress and focus productively on solutions.	Consistently. Maintained optimism in the face of difficulties and challenges; took initiative to find productive ways to deal with them.	Always. Modeled great resilience and optimism. Viewed challenges and difficulties as a normal part of work and an opportunity to reflect, learn, and improve.	

Leader's comments:

2. **Work Relationships and Communication**

Unacceptable	Fair	Good	High-Quality	Exceptional	N/A

For this review period, did the employee:
Develop and maintain productive and collegial work relationships?

Rarely. Did not consider the needs or work of others when completing own work. Own	Sometimes. As necessary, consulted with others to complete his/her work. Made some	Usually. Was aware of the work of others. Regularly communicated and	Consistently. Was very mindful of the work of others and how his/her own work affected others'	Always. Modeled exceptional skills in fostering strong working relationships	

choices and actions had a negative impact on others' productivity.	effort to understand impact when own choices and actions affected others.	collaborated to keep others informed and work progressing. Made good efforts to understand others and clarify own views to resolve differences.	success. Consulted with others at an early stage when own work affected others to facilitate problem solving and build trust. Approached others with notable tact and sensitivity.	and collaboration; considered the system wide implications of changes in own work and impact on others. Proactively engaged others in exploring shared issues and opportunities. Approached differences as an opportunity for creativity.	

Use communication skills appropriate for the role?

Rarely. Spoken and written messages were frequently unclear, incomplete, or inaccurate. Did not seek to understand others and missed key information.	Sometimes. Spoken and written messages were occasionally unclear, incomplete, or inaccurate. Used listening skills, on occasion, to gain clarity about needs and issues.	Usually. On the whole, oral and written messages were clear, complete, and accurate. Listened regularly to gain clarity about needs and underlying issues.	Consistently. Showed particular strength in communicating clear, complete, and accurate oral and written messages. Listened effectively to gain clarity about needs, opinions and feelings. Expressed own needs very effectively and respectfully.	Always. Modelled great expertise in interpersonal and written communication. Listened with empathy and genuineness. Created a climate of shared understanding, engagement and trust by modelling skill in understanding the needs of others and expressing his/her own needs.	

Leader's Comments:

3. Leadership (formal and informal)

Unacceptable	Fair	Good	High-Quality	Exceptional	N/A

For this review period, did the employee:

Ensure others knew the purpose of shared work, work changes, and were clear about goals, plans and expectations (e.g. colleagues or team members)?

Rarely. Others were often unaware or confused about work changes, goals, plans, expected outcomes, quality, and/or timing.	Sometimes. Others were occasionally confused or unclear about the purpose of shared work, work changes, work plans, expected outcomes, quality, and/or timing	Usually. Made efforts to ensure others were clear about the purpose of shared work, work changes, work plans, expected outcomes, quality, and/or timing.	Consistently. Engaged others in defining the purpose of shared work, work changes, work plans, and expected outcomes; encouraged questions and clearly stated his/her needs. Others understood the desired outcomes in terms of quality, quantity and timing.	Always. Created an exemplary climate of shared understanding and commitment to the work. Collaboratively defined the purpose of shared work, work changes, and work plans. Achieved shared ownership and understanding of expected outcomes, quality, and timing.	

Enable individuals and teams to work productively?

Rarely. Lack of information and resources impeded others' productivity. Team members were not connected to each other, or aligned to goals.	Sometimes. Inconsistency in providing information and resources occasionally impeded others' progress. On occasion, would bring others together to address a shared problem.	Usually. Individuals usually had the information and resources to proceed productively with their work. Regularly brought others together to discuss work and resolve difficulties.	Consistently. Often anticipated individual needs and provided information and resources so that work proceeded in a productive way. Frequently brought others together to proactively discuss shared work, resolve issues and align to goals. Took steps to foster and improve teamwork.	Always. Modeled great skill in enabling individual and team performance. Anticipated individual needs; the flow of information was proactive, swift, clear; needed resources were always in place. Proactively assessed team functioning and continuously found ways to	

				strengthen relationships, collaboration, and alignment.	

Recognize and encourage others' performance?

Rarely. Harsh feedback or an absence of feedback resulted in loss of productivity and damaged relationships.	Sometimes. Gave limited appreciation and recognition to others. Productivity and/or relationships suffered from lack of constructive feedback.	Usually. Offered appreciative comments and recognized others' work. Others felt valued and benefitted from specific feedback, suggestions, or coaching.	Consistently. Offered sincere, specific appreciation and feedback that resulted in an increased sense of value and commitment. Skillfully offered wise suggestions and coaching that increased others' performance and productivity.	Always. Created a strong climate of individual and team success by providing frequent, meaningful feedback, coaching and support. Inspired the confidence and ability in others to take on new challenges. Others felt highly valued, engaged in their work and clear about the way their work contributed to the unit's outcomes.	

Encourage and/or support others to increase their knowledge, skills and abilities (e.g. colleagues or team members)?

Rarely. Did not promote the development of others.	Sometimes. On occasion suggested ways others could develop knowledge and skill.	Usually Encouraged others to develop knowledge and skill; informed others about learning opportunities and helped others to access appropriate resources.	Consistently. Kept others' development goals in mind, identified formal and informal learning opportunities and helped others gain access to necessary resources. Created opportunities for others to	Always. Considered current and future work trends when identifying learning opportunities to increase individual and team capability. Recommended, created and supported formal and informal learning	

			learn and apply new skills and knowledge.	experiences for others to develop their skills, advance their careers, and help the team meet future organizational needs.	

Leader's Comments:

4. Safety

For this review period, did the employee:

Follow and promote safe work practices as appropriate for his/her role?

More Attention Required	Met Expectations

Contribute to a respectful work environment?

More Attention Required	Met Expectations

Leader's Comments:

5. **Leader's Overall Performance Rating:** Overall, how well did the results achieved match the expectations and goals of the role for the period under review? The overall rating is NOT an exact numerical calculation of the ratings assigned to the criteria on the previous pages, since the importance of various criteria will vary from role to role. This rating reflects one year's performance only; performance levels can vary from year to year for a variety of reasons.

Unacceptable Performance	**Fair Performance**	**Good Performance**	**High-Quality Performance**	**Exceptional Performance**
Rarely achieved expected outcomes and standards of performance in many aspects of the job. Therefore, significant improvement is needed and major remedial development is required to ensure job expectations are met. This situation needs to	Sometimes achieved a number of the core quantitative and qualitative outcomes of the job; there was some significant inconsistency in quality and/or quantity and/or difficulty with expected behaviours and practices. This situation needs to be addressed	A valued, dependable performer and a positive contributor. Usually achieved the expected outcomes to the expected standards of quality and quantity; demonstrated good work practices and could be counted	A valued, high-achieving performer. Consistently achieved expected outcomes, often above the standards of quality and quantity; demonstrated added skill in daily work practices and contributed in significant ways to improvements	A top performer. Exceeded goals, objectives and expectations through outstanding achievements in all aspects of the position. This category is reserved for employees who did at least one of the following: **1)** established a new, higher standard of performance excellence in key areas of responsibility, thus

be addressed immediately with a clear action plan to assist the employee to make major improvements within a defined time period	with a clear action plan to assist the employee to fulfill all job expectations within a defined period of time.	on to deliver good quality work.	and new initiatives.	serving as a model for performance in this role; **2)** introduced innovations and significant improvements to processes and outcomes of work; **3)** made significant contributions to the Division/Department and/or University above and beyond excellent performance of the core accountabilities of the role.

6. Ratings Review Process

Instructions for Leaders

1. Forward Draft Ratings to Your Next Level Leader
Before holding performance appraisal meetings with your direct reports, forward your draft overall performance ratings electronically to your next level leader.

2. Await feedback from your leader before proceeding with performance appraisal meetings
Leaders will review the Unit Summaries, and discuss with leaders as needed. Leaders will indicate when the leaders within their unit are to proceed with performance appraisal meetings.

3. Hold PDG Meetings and Forward Final Ratings to Your Next Level Leader

C. **Dialogue and Goal-Setting — Future Focus**

Instructions for Leaders

During the performance appraisal meeting, explore these questions with the employee and record key points only.
1. What types of work do you find most engaging?

2. In the future, what would you like to be doing in your career?

3. What would help you do your best work in the year ahead? For example, do you have:
• a collegial and respectful work environment
• clarity about your role and the quality and quantity of outcomes expected
• information, supplies, equipment, coaching, learning opportunities
• appropriate authority in your role to solve problems/make decisions about your work
• the ongoing feedback and recognition you need to stay energized

• opportunities to contribute to unit decisions and plans
• the kind of leadership support from me to help you do your best?

4. Considering your work, where would you like to get better results (e.g. in your professional work, work relationships, leadership, etc.)?

5. Is there anything else you would like to discuss?

6. What work goals do we agree upon for the coming year?

Discuss University and Unit/Department priorities. Consider new initiatives, current or new role accountabilities and the employee's strengths and interests. Agree on specific, relevant, achievable, realistic, and time-specific goals.

GOAL To contribute to our priorities, I plan to: (E.g. create, develop, revise, lead, improve, implement, deliver, etc.)	**DESIRED OUTCOME** The following will be in place as a result of these efforts: (describe what will be new, better or different-and for whom-in terms of quality and quantity)	**START/END DATES**	**PROGRESS REVIEW** (check-in periodically and record date, progress and comments)

7. What learning and development plan do we agree upon for the coming year?
Discuss what knowledge or skill will help the employee be successful given the work ahead. Review the employee's work goals, areas for improvement, strengths and interests. 1-3 areas are recommended. For development strategies, consider a combination of approaches (e.g. job shadowing, self-directed study, cross-training, challenging assignments, teaching others, workshops, conferences, courses, etc.).

DESIRED OUTCOMES What I will be able to do better or differently in my role:	**DEVELOPMENT STRATEGIES** To achieve this outcome, I will… (e.g. meet with, observe, research, study, practice, teach, attend, etc.)	**LEADER'S ACTIONS/SUPPORT REQUIRED**	**START/END DATES**	**PROGRESS REVIEW**