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In Governance We Trust: Introducing a Comprehensive University Governance Education Program to Improve Institutional Trust

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Abstract

In recent years, the governing bodies of several universities became the centre of attention for the wrong reason: they were implicated as the cause of institutional-level trust failures, involving senior university executives and chairs of the governing bodies. This Organizational Improvement Plan (OIP) explores a Problem of Practice (PoP) that revolves around the university community's lack of trust in the governing bodies of Organization Y due to an organizational-level trust failure. The review committees established after the event determined a deep-seated dissatisfaction of the community with the operations of the governing bodies, and with the culture and leadership of the organization. Public consultations also revealed serious deficiencies in the community's knowledge about governance. The goal of this OIP is to recommend the establishment of a university-wide governance education program, which could significantly increase stakeholders' knowledge. It is envisioned, that through the sharing of more information about the governing bodies, and by involving senior executives in the delivery of the program, a meaningful organizational culture shift could be achieved and a more trusting and collaborative environment could be established. The OIP recognizes that cultural changes are often difficult to accomplish and it will take time for Organization Y to arrive to the envisioned state; however, the comprehensive governance education program could be the first step in the process of creating trust and positively moving the organization forward towards a more trusting and collaborative culture.

Keywords: university governance, institutional trust, organizational culture change, authentic leadership

Executive Summary

This Organizational Improvement Plan (OIP) is directed to a large, research-intensive university in Canada and it focuses on a Problem of Practice (PoP) revolving around institutional trust and university governance in the context of an organizational-level trust failure. For the purposes of this OIP, trust failure is defined as a systemic belief at an organization that administration violated the rules of the employment relationship, and as a result the perception of the employees about the organization's trustworthiness declined significantly. The community's loss of trust is apparent through collective action, such as votes of non-confidence against the administration and/or its governing bodies, public demonstrations, establishment of institutional-level investigative task forces and ongoing open displays of dissatisfaction with the leadership of the organization.

Organization Y, the organization under examination, experienced a significant trust failure in recent years, and the governing bodies were implicated as major contributors to a breach of trust at the organization. Investigative task forces were established after the event and public consultations revealed that the university community no longer had trust in the governing bodies and in its leaders. It was also discovered that most university members lacked even basic knowledge about the governing bodies, and their roles and responsibilities.

Chapter 1 introduces the organizational context, including the structure of the governing bodies and the current leadership practices. The chapter also provides an overview of the environment in which higher educational institutions operate in Canada, including the increased marketization of education through New Public Management practices, coupled with the overall decline in government funding. A literature review frames the PoP to elucidate the importance of trust in a traditional academic environment. Rooted in literature on this topic, the chapter also

highlights the prominence of providing information during an organizational trust repair process. The gap between the organization's current and future envisioned state is analyzed through Stacey's Complexity Theory (Cawsey, Deszca. & Ingols, 2016; Stacey, 1995) to demonstrate that in a complex environment small and gradual changes are needed to potentially enact a significant change downstream in the organization. An assessment of the organization's change readiness is provided, highlighting the competing positive and negative forces in the change process.

Chapter 2 develops a leadership framework for understanding and leading the proposed change. An authentic leadership style is recommended to champion this OIP to success and its connection to the PoP is demonstrated. At the macro level, Stacey's Complexity Theory is used to provide a framework for leading the change process. At the operational level, Bolman and Deal's Framing Theories (Bolman & Deal, 2013) underpin the operationalization of the recommended change in an uncertain and complex environment. The critical organizational analysis is conducted through Cameron and Quinn's Competing Values Framework (Cameron & Quinn, 2011), and it is applied to the PoP. Four possible solutions are introduced and a rationale for the chosen solution to address the PoP is provided. Ethical considerations are framed by Bolman and Deal's Four Frame Model (Bolman & Deal, 2013).

Chapter 3 outlines the plans for implementing the recommended solution, and it describes the proposed tools and methods to evaluate and monitor changes. The PDSA Model for Improvement (Langley, Nolan & Nolan 1994) will guide the macro-level evaluation process, while the Kirkpatrick Model (Kirkpatrick, 1998) will be utilized to measure change and assess learning at the operational level. Approaches to communicating the need for change and the change process to the university community are described in Chapter 3, while considering the

implementers' and the stakeholders' foci in the communication strategy dimensions (Lewis, 2011). A communication plan for the different stages of the implementation process is explained at the end of this chapter.

This Organizational Improvement Plan was created in response to an institutional trust crisis and it recommends a simple and gradual solution to improve trust in the organization's governing bodies and in its leadership. It is not expected that information sharing about the governing bodies and their work will resolve all trust issues at the university, and it is not envisioned that the comprehensive governance education program will become a "silver bullet" that resolves everything that ails this organization. However, it is envisioned that the actions proposed in this OIP will provide the first step towards creating a more trustworthy environment and will assist the organization in moving forward positively.

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I would like to thank to the many people in my life who made my long educational journey possible, and who were always there for me when I needed them. To all my friends and colleagues: thank you for your support, listening and encouragement during the past years. My appreciation also goes to my faculty advisor, Dr. Scott Lowrey, who worked tirelessly in advising us and recommended valuable improvements to my paper. I am also grateful to Dr. Pam Bishop in the Faculty of Education, who encouraged me to take up this new adventure, gave me valuable advice and always listened patiently. To my classmates, Mel, Stephanie, Kim, Colin and Matt: I could not have done this without your camaraderie, good humour and constant support. Thank you for being there through the years and providing great ideas and constructive feedback.

My deepest appreciation goes to my husband, Tibor: thank you my love for giving me the space and time to continue this seemingly endless journey for yet another degree. I can now stop collecting the wallpaper of degrees for our home office... You always supported me, believed in me, sacrificed a lot for me and I am eternally grateful for that. I love you forever and I am looking forward to spending more time with you!

It has been a long and rewarding journey in a quest to attain the highest academic achievement as an adult learner and as a first-generation immigrant in this country. Obtaining a doctorate has been a life-long dream of mine, and I am the first in my family to achieve this honour. While it has been a 23-year long and often arduous journey to get here, at the end it was all worth it! I hope to serve as an example to all of those who dare to dream, willing to invest their time and energy to reach for the stars, and not afraid to fight for the seemingly impossible.

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Chapter 1: Introduction and Problem

Chapter 1 of this Organizational Improvement Plan (OIP) introduces the organizational context first, and then defines the Problem of Practice (PoP) which guides the plan. Leadership and lens statements are articulated to define the approach to leadership practice in pursuing this OIP. The chapter discusses the guiding questions emerging from the PoP, and defines the leadership vision for change. Lastly, the change readiness of the organization is considered by looking at both the internal and external environments and available data.

Organizational Context

Overview of the Organization

Organization Y is a large research-intensive university, located in one of the top 10 urban centres within Ontario. The university provides a wide variety of educational and research programs, and offers over 1200 different program combinations within its degree structure at both the undergraduate and graduate level. Its student population is over 30,000 students, registered in more than 50 different departments and schools campus-wide. During the past 25 years, Organization Y has experienced a rapid growth in its student population; full-time student enrollment grew by close to 75 percent, while full-time doctoral student enrollment increased by over 230 percent during the same time period (Organization Y Campus Plan 2015). Organization Y is one of the largest employers in the area, employing close to 4,000 faculty and staff (Organization Y Department of Planning and Budgeting, Statistics Book 2015-16). The institution is dispersed widely occupying more than 480 hectares of land and has over 80 buildings. The institution's operating revenues are close to \$750 million and more than 50 percent of Organization Y's operating budget is now funded through student tuition fees (Organization Y Operating Budget 2017-18).

Organizational Structure

The decision-making process at this university is organized hierarchically, similar to other large bureaucratic organizations. At the top of the hierarchical structure there is a president, followed by the vice-presidents, deans, chairs and so on. The chain of command largely follows a top-down model, resembling the typical organizational structure of a large business. Displaying one of the unique features of a large educational institution, Organization Y can be considered as a professional bureaucracy, where a significant number of highly-trained professionals are employed. As Bolman and Deal (2013) explain, such organizational structure can present challenges, especially in coordination and quality control. Different units of the university operate fairly independently, each having its own specific inner processes and structural parts, therefore central coordination is essential for the efficient working of the institution. In this large and well-established institution, central coordination efforts often manifest themselves in highly bureaucratic processes, aimed to overcome complexity and to provide standardized formats and processes. Centralized efforts are often perceived by faculty negatively as “suffocating bureaucratic rigidity” (Bolman and Deal, 2013, p.61), working against the free and creative spirit of academia. Academic and administrative units also often operate in silos and until recently had very limited connections with each other. Increased efforts of the university and the provincial government to promote more interdisciplinarity through providing large grants for such initiatives forced some units to work more cooperatively to find a common theme in their research; however, some faculty members still consider themselves as independent contractors, working under the aegis of their own academic freedom, and as a result reluctant to fully embrace a cooperative culture especially outside of their own academic area.

Governance Structure

Like most universities in Ontario, Organization Y is governed by a bicameral governance structure. The term bicameral refers to the presence of two distinct governing bodies--the Senate and the Board of Governors--each with their own separate areas of responsibility. In the case of Organization Y, the composition, function and authority of the two governing bodies are defined by the Organization Y Act, a legislated document issued by the provincial government. The introduction of a bicameral governance system at universities was motivated by the Provincial government's desire to separate a corporate (financial) governance mechanism from the academic governance stream in order to balance the interest of the public and the university's academic interest (Austin & Jones, 2016). The duality of these bodies is clearly reflected in their membership and locus of authority. At Organization Y, the Board of Governors has close to 30 members, and more than 65 percent of these members are external to the university. The Board's main responsibility is in the areas of corporate and business matters such as the university budget, capital projects and endowments. By contrast, the university's Senate has more than 100 members and its main responsibility is academic matters such as the introduction of new programs, scholarships and awards, curriculum matters, academic policies, admission standards and English proficiency requirements. Over 95 percent of the Senate's membership is internally elected from the academic faculty ranks, with additionally elected members from administrative staff, and from both the undergraduate and graduate student bodies. The Board of Governors is led by a Chair and a Vice-Chair who are both external members to the university, while the Senate is chaired by the institution's President, and is supported by a Vice-Chair who is elected from amongst faculty rank senators. The work of both governing bodies is supported by over 25 committees and subcommittees, some with delegated decision-making authority. The two

governing bodies operate almost completely independently and their work rarely intersects, except in matters of strategic planning or during the process of approving the university budget. At Organization Y, the University Secretariat provides organizational and administrative support for both the Board of Governors and the Senate, and for their committees and boards, and it acts as an important liaison between them. The University Secretary serves on both governing bodies as an ex officio member, and facilitates their coordination. Figure 1.1 represents an overview of the current governance structure at Organization Y.

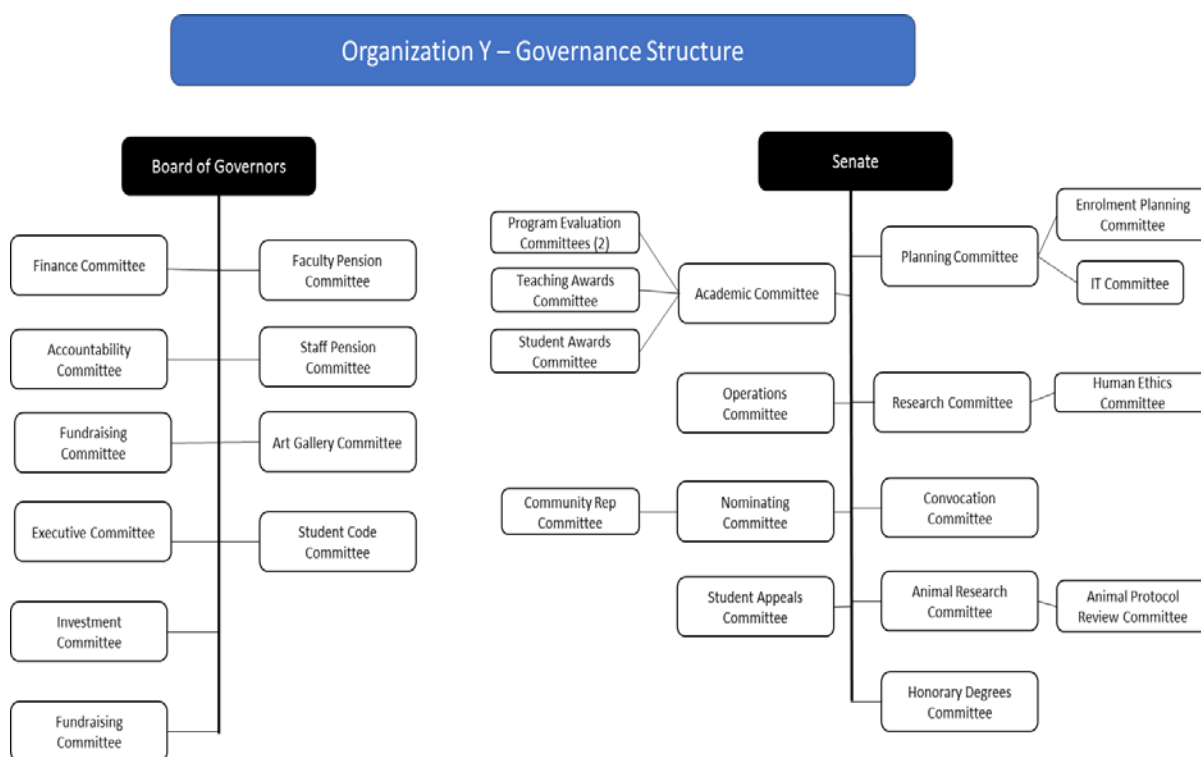


Figure 1.1 Organization Y's governance structure, 2017. Adapted from Organization Y's publicly available information posted on its website.

Effects of Declining Government Funding

Similar to other publicly-funded universities in Canada and world-wide, Organization Y is strongly influenced by the market-oriented approach of governments. Since almost 50 percent

of the institution's funding comes from the Province, Organization Y was forced to subscribe to this new market-oriented ideology. The ideology of expanding market orientation into higher education is reflected in the commodification of education, increased demands to satisfy "customers", and increased focus on meeting the bottom line (Smith, 2004). Organization Y's current senior administration has embraced these ideological approaches, and they have made substantial efforts to augment the university's revenues and backfill the lacking funds from the Province. These efforts are clearly articulated in Organization Y's Strategic Plan (2013), expressing the desire of senior leadership to become increasingly independent from Provincial funding and therefore create a more business-like environment. While tuition increases are regulated by the Provincial government, Organization Y was free to grow its funding through greater fundraising efforts from private and industry donors. It has also rapidly increased the number of international students whose tuition is not regulated, and therefore represent a significant income source. The transition from the traditional academic environment to a market-oriented one has not happened without problems and it has created an environment where resources are scarce and units are constantly in competition for existing resources. Bolman and Deal (2013) represent this struggle within the institution by stating that at organizations today "the most important decisions involve allocating scarce resources – deciding who gets what" (Bolman & Deal, 2013, p. 188). The result of this internal competition is a constant jockeying for funds, as well as ongoing struggles between academic units to protect their own interests; they all want bigger classrooms, better equipment and labs, more resources, and more support staff. The goals and decisions of the institution are determined as a result of continuous bargaining of coalitions, shifting the power balance between different groups as the environment changes (Bolman & Gallos, 2011).

The ongoing power struggle continues to be apparent between administration and faculty, and it is especially visible at meetings of Senate and its committees. Organization Y experienced a governance crisis, related to an organizational-level trust failure a few years ago, and Senate initiated a non-confidence vote against the top executive of the University as well as the Chair of the Board at the time. The effects of these events continue to strain relationships between administration and other stakeholders at the university. In a recent employee engagement survey conducted at Organization Y, employees rated their satisfaction with senior leadership almost five percent lower than five years ago in 2012 (Organization Y Human Resources, Organization Y Faculty & Staff Survey 2017).

Current Leadership Practices

During the crisis, Organization Y's leadership came under attack and members of the senior leadership team were accused by the university community for the lack of transparency and autocratic decision making styles. Leadership at Organization Y was labelled as "top-down" and "non-democratic" and was criticized for making decisions without conducting a proper consultation process or an adequate communication plan. Senators perceived Senate as a governing body that was responsible for automatically passing decisions that were made by administration. It was also stated by several members of the university community that they lost trust in the current leadership and in the governing bodies, and that there was a need to reinvigorate the culture of trust and inclusion across the university in general (Organization Y Review Committee Report, 2016).

Since the emergence of a more business-like management approach, driven by the New Public Management (NPM) ideology in the public sector, one of the main challenges university administrative leaders face is the constant battle between the notion of collegial governance and

the institution's need to be able to remain nimble and quickly respond to emerging external demands while acting consultatively, ethically and transparently. The New Public Management ideology is characterized by a more "business-like" environment of the public service, where efficiency and customer service are paramount and reducing cost is mandatory. Collegiality on the other hand, refers to the traditional process of gaining consensus through a participatory democracy, which often means lengthy debates at different levels of academic governance, such as faculty councils, committees and Senate, and during which financial considerations are rarely considered. The underlying assumption in this decision-making model is that conflicts can be eliminated through consensus-based discussions and that decision-making power is shared between administration and the faculty. In today's rapidly changing environment, there is very little time for debate and gaining the approval of everyone is almost impossible. It also often seems that there is a strong need for leadership development for academic and administrative leaders as they must gain the essential skills necessary for building consensus within their constituencies. It could be considered essential that leaders balance the need for consultations with the need of making decisions rapidly, and understand the need to carefully balance patience with impatience in order to establish a direction that is acceptable for everyone (Bolman & Gallos, 2011); however, such leadership skills remain elusive at Organization Y.

The events that transpired at this institution highlighted that traditional collegial decision-making model still desirable at Organization Y, and it is expected that its leaders act in a more consultative and transparent way in order to secure buy-in from the community for their decisions.

Leadership Position and Lens Statement

This OIP emanated from reflecting on my own extensive experiences at Organization Y and on its governing bodies, from observations made over the course of my long career in higher education administration and governance, and from my desire to continually advance positive change within my environment.

Leadership Position Statement

The goals of this OIP--trust building and trust repair in an organization through education and information sharing--are closely connected to my leadership philosophy and to my core values. The importance of trust as a management tool is succinctly illustrated by Culbert and McDonough (1985) when they wrote:

... we've long contended that the trusting relationship is the most effective management tool ever invented. We know no other management device that saves more time or promotes more organizational effectiveness. ... In short, trusting relationships create the conditions for organizational success. (p. 266)

The four core values of my leadership philosophy are: respect, integrity, service, and courage. Respect is the easiest to discern: I treat others as I want to be treated. Treating everyone with respect and dignity regardless of their gender, age, or creed has been the cornerstone of my leadership philosophy throughout my career. Integrity is something that I consciously build by being consistent, trustworthy, and reliable. I consider trust as an important element in all my interactions, especially in my management / leadership role at Organization Y, and I work hard to gain people's trust so they can consider me as someone they can count on. I also build my credibility through consistent decision-making and by striving to be fair. I have been in public service for over two decades and I have a strong sense of duty toward my institution and my work. Service to the institution and to others comes naturally to me, and I do not hesitate to invest my time and effort to achieve the outcomes that work for both the people and the

institution. I live my life courageously both personally and professionally, and I strive to provide an example for others to follow. I do not shy away from difficult tasks or situations and work hard to better myself professionally and personally every day. Courage helps me to make hard decisions, provide honest feedback, or voice my concerns or opinions when needed.

I strongly believe that leadership is relational and for it to work, both the leader and the followers must participate. I also believe that leadership only works if there is a good relationship between leaders and followers, thus the ability to build and maintain trusting relationships is essential. Good relationships help a team to achieve common goals and contribute to a pleasant work environment where people are more willing to contribute. I consciously and purposefully build bridges with people both personally and professionally and maintain good relationships with them.

Finally, I think that leadership and communication are interrelated concepts. Good communication contributes to productive relationships, which in turn result in buy-in from employees. Leaders must be able to communicate their vision and purpose to others and become communication champions (Bawany, 2014) in the process. The lack of effective communications could create barriers in executing a change process, the most significant of which is resistance. Most people are not perceptive to change and see it as a negative force in their lives; thus, a leader must be able to possess extraordinary communication skills to overcome resistance and negative feelings.

My leadership philosophy translates well to an authentic leadership style. While it seems that authentic leadership is not well-defined or even fully understood, there are numerous elements of this leadership approach that are specifically appealing to me. Whitehead (2009) describes the essential characteristics of an authentic leader as:

...one who: (1) is self-aware, humble, always seeking improvement, aware of those being led and looks out for the welfare of others; (2) fosters high degrees of trust by building an ethical and moral framework; and (3) is committed to organizational success within the construct of social values. (p. 850)

Gardner and Carlson (2015) describe the four components of authentic leadership as “self-awareness, balanced processing, relational transparency and an internalized moral perspective“ (p.2). Walumbwa, Avolio, Gardner, Wernsing, and Peterson (2008) suggest that authentic leadership is composed of four related components: self-awareness, internalized moral perspective, balanced processing, and relational transparency. My values and leadership philosophy are reflected in these definitions and fit well with the proposed actions of this organizational change.

A leader undertaking this OIP must possess exceptional interpersonal abilities, outstanding trust-building capacities with a wide-variety of stakeholders, and excellent communication skills combined with a high-level of persistence and patience. The leader’s interactions with this university’s community must be transparent and therefore induce a feeling of trust. An authentic leadership style suits well for leading this OIP to success as it embodies the attributes that are important to building confidence and trust in others.

Lens Statement

In this OIP, I view Organization Y’s governance through a cultural constructivist lens which is ultimately connected to and formed by a symbolic frame. Tierney (2004) argues that governance is a symbolic process that emphasizes the fundamental values of the university. Individuals build their reality and draw meaning through the symbols, myths, ceremonies and rituals of their institution and in this sense, governance is a cultural construct. The cultural lens is also important to leadership practice as through their participation in the governance processes, leaders would have the opportunity to model the institution’s values, and become “living logos,

human icons, whose words and deeds exemplified and reinforced important core values” (Bolman & Deal, 2013, p. 252).

Cultural elements of the institution are embedded in the governance structures and processes, and the values of the institution shape the ideas of the community about governance. For example, in the past, the culture of collegial decision-making formed the structure and work of the governing bodies. It created an order in the every-day functioning of the institution and provided a predictable way of how things should happen.

Kuh and Whitt (1988) define culture as “the collective, mutually shaping patterns of norms, values, practices, beliefs, and assumptions that guide the behavior of individuals and groups” (pp. 12-13). Similarly, Schein (2010) defines culture as a “dynamic phenomenon and a coercive background structure that influences us in multiple ways” (p. 3), and which “is constantly re-enacted and created by our interactions with others and shaped by our behaviours” (p.3). Accordingly, members of the institution built their own reality about governance based upon their internal culture and constructed their own meaning led by their experiences with the governing bodies.

This constructivist approach is particularly useful when one investigates the interplays between governance and trust. In this sense, the university can be considered as a cultural entity, where people interact with each other and establish a shared meaning of their environment. Governance is part of this cultural entity and thus it is shaped and influenced by how people at the university interact with each other and how they feel and act at meetings of Senate and the Board. Birnbaum (1988) emphasizes that the effectiveness of a university’s governance is greatly dependent on the institution’s culture, and as a result, it can hinder or advance governance processes (Lee, 1991). Minor (2003) explains that the role senates play in making

decisions is influenced by continuously changing cultural dynamics of the institution and that “social interactions manipulate the function of these senates more than structural characteristics” (p. 965). Cultural dynamics, such as distrust amongst the constituents, behaviour and composition of administration and the history of the institution are all able to affect decision-making more than formal processes embedded in a structural framework (Minor, 2003).

As Bolman and Deal (2013) explain, “symbolic perspectives question the traditional view that building a team mainly entails putting the right people in the right structure” (p. 283). They argue that leaders above all must possess the spirit in order to build a successful organization and create “a community of believers united by shared faith and culture” (p. 284). The governing bodies at Organization Y could create a great organizational setting and a true opportunity for leaders to do just that, and generate increased trust within the organization.

Leadership Problem of Practice

The Problem of Practice (PoP) in this Organizational Improvement Plan (OIP) is the lack of trust in Organization Y’s bicameral governance system--namely in Senate, Board and their committees—and ultimately in senior administration. The lack of trust creates an adversarial culture, hinders decision making processes, makes it difficult for senior administrators to respond to the requests of the government in a timely fashion, and ultimately impedes the achievement of the organization’s goals. The question emanating from the PoP is: How could university governance be utilized to strengthen intuitional trust at Organization Y?

In his recent speech at Organization Y, Canada’s Governor General, His Excellency David Johnston stated that “Trust is a glue that sustains a democratic society and we must work together to protect against its erosion” (Organization Y Local News, 2017). He also pointed out that without trust, society will not function properly, and leaders will have a hard time to rebuild

trust once it has failed (Organization Y Local News, 2017). The presence of trust within organizations is equally important, since it ensures the effective functioning of an institution, and a trustworthy culture reduces ambiguity and uncertainty for employees and leaders alike. This is especially true for higher-educational institutions, where trust forms the basis of all research, teaching, and service activities, facilitates academic interactions, and provides the foundation for collegial governance.

After a trust failure, employees automatically lower their expectations of their leaders' future behavior, and reduce their trust towards the organization and its leaders (Kim, Dirks & Cooper, 2009).

Organization Y suffered a significant trust failure not too long ago, and it resulted in a non-confidence vote against some of the leaders of the institution. The university's leadership and governing bodies, specifically the Board of Governors, was blamed for breach of trust and for non-transparent actions. The negative effects of these events are still palpable within the institution and trust continues to be on fragile grounds at Organization Y.

The goal of this OIP is to provide practical solutions for rebuilding trust in the governing bodies at Organization Y, and ultimately enhance the culture of trust at the institution.

Framing the Problem of Practice

Historical Overview of the PoP

Neoliberalism and trust. Neoliberalism and the execution of its NPM ideology through more business-like management practices have greatly influenced universities over the past three decades. Harvey (2005) explains neoliberalism as:

...a theory of political economic practices that proposes that human well-being can best advanced by liberating individual entrepreneurial freedoms and skills within an

institutional framework characterized by strong property rights, free markets and free trade. (p. 2)

Neoliberalism aims to change public institutions, such as schools and hospitals, by introducing market principles to their operations in the hopes of making them more efficient and less expensive to operate. Several measures, such as performance-based funding, cyclical program evaluations, salary and spending disclosures, are used to make universities accountable to the public, especially in light of increasing governmental spending and shrinking tax dollars. In addition, universities face heightened scrutiny from constituencies such as students, their parents, and employees.

The neoliberal ideology naturally creates a highly competitive and suspicious environment, where trust is diminished. People in such environments could perceive everyone as competitors in the race to gain declining resources (jobs, funding, space, etc.), and they increasingly evaluate the actions of others apprehensively and with mistrust. Universities are not exempt from these attitudes, therefore, the actions of the leaders and the governing bodies, and their efforts to gain and preserve the trust of their community, have paramount importance.

Trust failures. In the environment of increased scrutiny, several universities, including Organization Y, have faced a leadership crisis causing critical trust failure in the institutions during recent years. For example, at one university the Board of Governors fired the President due to a decision to dismiss a dean and tenured professor who spoke out against budget cuts. The Chair of the Board also came under attack and shortly after left the position abruptly. At another university, the President resigned after a very short time after gaining the post, without providing an explanation. Shortly after this departure, the Chair of this Board also stepped aside as a result of allegations that the Board infringed on the academic freedom of a professor, who blogged

about the President's departure. These instances—firing or unexpected departure of the President, and the departure of the Board Chair—left a significant void in the universities' leadership and in each case threatened the institution's reputation.

Organization Y faced a similar crisis when the compensation package of a top executive came under scrutiny, resulting in a non-confidence vote against the leadership. Several investigative task forces were formed to review the structure and the operations of the Senate and Board as well as the actions of senior leadership. These events almost ruined the reputation of the university's leadership and resembled what Mark Carney, Governor of the Bank of Canada, depicted in his 2013 speech: "Trust arrives on foot but leaves in a Ferrari" (Isfeld, 2013).

Review of the Literature

University governance in Canada. Researchers have been unable to build consensus about what governance actually is (Millett, 1978; Currie, DeAngelis, de Boer, Husiman, & Lacotte, 2003; Rebora & Turri, 2009; Rhodes, 2007) and their explanations range from simple conceptualizations to more complex definitions. For example, Millett (1978) describes university governance as a "structure and process of decision-making, within a college or university, about purposes, policies, programs and procedures" (p.9). Austin and Jones (2016) offer a more comprehensive description of higher education governance when they state:

Governance is essential to the functioning of higher education at all levels, from the basic academic unit of the department (microlevel), to the level of organization (mesolevel) and at the level of the higher education system (macrolevel). It is the means by which order is created in the academy to achieve the goals of educating, researching, and providing service to multiple publics. (p.2)

Modern universities operate in a complex environment and they rely on governments, businesses, and other external stakeholders to achieve their academic missions. Publicly-funded universities in Canada are subject to, and guided by, the policy directions of current

governments, and since they rely on them for much of their funding, they are no longer able to separate themselves from politics. The market-like operations and the marketization of education have forced the university governance structure and practices to change in order to cope with these new complexities.

Critics of current governance structures and processes often complain about the governing bodies' activities and their inefficiencies, blaming them with hindering efficient decision-making and limiting managerial control. On the other hand, proponents of the university governance defend the centuries-old traditions, such as collegial decision-making, which were first established in the 12th century in Paris and Bologna (Kaplan, 2015). There is also a general fear that university governance is "falling into the hands of management teams" (Shattock, 2013, p. 230) who are unwilling to work with the university community, especially with academic faculty.

Christopher (2012) described that the clash of the two cultures--traditional academia and the new neoliberal approach--creates two different environments for trust. The traditional collegial governance is associated with a more trusting environment that advocates for open discussions and debates, while the corporate model generates less trust due to its constant monitoring and performance measurement approaches.

Academic culture and the role of trust. Several authors investigated how higher education institutions and academic culture have changed over the past decades, especially under the emergence of neoliberalism (Giroux & Giroux, 2003; Washburn 2005; Cannella & Miller, 2008). At a small private university in the United States, Hoppes and Holley (2014) studied how challenging times influence the relationship between faculty and administration. They conducted interviews with faculty members and led observations to document interactions among members

of the campus community. Hoppes and Holley (2014) identified that regular cuts in university resources, hiring freezes, increases in class size, and imposed performance measurement by university administrators significantly impacted trust between faculty and administration. They established in their research that trust is an integral part of academic culture and it “can create an environment of lessened control mechanism and freedom to focus on the functions attributed to the roles of faculty and administration” (p. 213). This is also strongly supported by the research of Tierney (1988), who identified that for an environment to be productive, trust must be present. He explained that trust can act as a substitution for incentives, coercion, regulations and/or policy and asserted that academic organizations are particularly conducive for developing a culture of trust. Tierney (1988) states that “The social context of the college or university has relied more on a sense of collegiality than a legalistic contract” (p. 35), and that the biggest challenge for leaders is to maintain an organizational culture where trust could flourish.

The structural framework of a university as a professional bureaucracy poses problems for building institutional trust. Bolman and Deal (2013) describe that in such structures many highly-trained professionals are employed where they participate in the “game of the university” as baseball players. They describe the participation of such players as “loosely integrated confederacy” where “individual efforts are mostly autonomous...”and “...significant distances, particularly on defense, separate players” (p.105). This can present serious institutional challenges, especially with centralized coordination efforts and quality control; however, in academia, central coordination is sometimes viewed with suspicion and considered as administration’s effort to curtail academic freedom which must be strongly resisted. Balancing the need of faculty for academic and professional freedom with the organization’s need to be

more regulated and centrally managed is a delicate and often challenging act which does not always lend itself to trust building.

Agency theory and stewardship theory of governance. Agency theory and stewardship theory are closely interconnected concepts and viewed as the two sides of the same coin or two ends of the same spectrum (Davis, Schoorman, & Donaldson, 1997). Both theories could be used to look at governance in the corporate and the academic world. Agency theory is driven by economic thoughts, where humans are viewed as rational opportunistic actors who are seeking to maximize their personal utility (Eisenhardt, 1989; Jensen & Meckling, 1976; Davis et al., 1997; Kivistö, 2005). Agents are the executives/managers of the corporation, who are hired by principals (shareholders) to manage the organization through a contractual relationship. Agents consider their hiring as an opportunity to maximize their own utility, which might not be in the best interest of the principals (Jensen & Meckling, 1976), therefore principals use monitoring techniques and structures, such as governing mechanisms.

Stewardship theory on the other hand states that executives act as good stewards and they want to perform in the best interest of the organization (Donaldson & Davis, 1991; Davis et al., 1997). The main premise of this theory is to present executives as pro-organizational, who are not inclined to engage in self-serving behaviour, and their key motivation is to do a good job, rather than financial gains. If principals--the university community--believe that their executives/managers or leaders are willing to act in the best interest of the organization, they will have more trust in them, and thus the governing structures and processes will naturally reflect less monitoring and more empowerment (Davis et al., 1997). Governance structures in this environment would grant significant authority and discretion to their executives/managers and principals would incur less agency cost (Donaldson & Davis, 1991).

The depiction of the university and its executives as stewards of the public good seems to be resonating with the traditional view of the university as a public institution, serving the need of society. The university is trusted by the government to manage public funds. Similarly, the university's executive team would be given significant autonomy by the Board over the management of resources, operations and strategic directions. Lastly, the university community would trust its executives to manage the university's collective interest and use the institution's formal governing structures with minimal interference from them. As Davis et al. (1997) explain, stewardship theory is an involvement-oriented management theory, where trust is a major factor and relationships are based on personal power.

As the report of the Review Committee (2016) at Organization Y indicated, it appears that the university community at Organization Y considers the governing bodies and the executive leadership of the organization as agents, rather than stewards of the institution. The goal of this OIP is to provide opportunities for interactions between the university community and its governing bodies. It is envisioned that through these interactions leaders could demonstrate stewardship, rather than appear self-interested agents, and ultimately increase trust at the institution.

Guiding Questions Emerging from the PoP

The PoP of this Organizational Improvement Plan is the university community's lack of trust in the university's governing bodies and in its senior leadership. There are four questions that are emerging from the PoP, which will need to be addressed in Chapters 2 and 3.

- 1) *What are the most appropriate strategies to rebuild trust at Organization Y, and how governance could be utilized in this process?*

The lack of trust between academic leaders and faculty members in a higher education environment is well-documented in the academic literature as several authors state that faculty

members traditionally tend to distrust academic leaders (Tierney, 1988; Kezar, 2004; Bergquist & Pawlak, 2008). The emerging trends of marketization and NPM ideology, coupled with imposed performance measures on faculty and staff intensified mistrust in the leadership on university campuses and created a more adversarial work environment for everyone. At Organization Y, this mistrust seems to be directed against the governing bodies, and members of the community felt alienated and disengaged from their institution and its governance (Organization Y Review Committee Report, 2016). Traditionally, universities were governed by a shared leadership model which integrated a vertical and a lateral collegial interaction. Due to the emergence of the New Public Management ideology, efforts to manage universities like a business, and adopt a stronger executive leadership model, are dominating the leadership landscape at these institutions.

While the clash between the traditional collegial model and the new managerial/business model is apparent, universities could borrow from business and industry examples for building and restoring trust at their institutions. In their study, Hurley, Gillespie, Ferrin, and Dietz (2013) identified six criteria that can serve as strong foundations for building organizational trust. They list common values, aligned interest, benevolence, competence, predictability, integrity and communication as the most important factors in the trust building process. Even though the study was done in a business environment, these criteria could also be used for building trust in a public institution such as a university. Accordingly, the structure and processes of university governance lend themselves particularly well to build trust at Organization Y, and specifically contribute to predictability and integrity, and communication.

- 2) *How could trust be rebuilt at Organization Y after a major trust failure with the help of governance?*

At Organization Y, trust repair will need to take place before the institution could move forward. Similarly to Hurley et al. (2013), Bachmann, Gillespie and Priem (2015) suggested six trust-repair mechanisms: Sense-making, Relational, Regulation and Control, Ethical Culture, Transparency and Transference. Governance could contribute to trust building in all of these areas. Specifically, it can act as a tool for regulation and control through the development of standardized processes and procedures, or it can contribute to more transparency by providing more information to the campus community about the path of decisions through the governing bodies.

3) *How the proposed OIP could increase the profile of governance at Organization Y and improve the community's engagement in the governing bodies?*

A survey conducted by Pennock, Jones, Leclerc, and Li (2015) identified that faculty became disengaged from the governing bodies for various reasons, but one of them is because the governing bodies, especially Senates, “do a poor job of communicating to faculty colleagues the importance of collegial governance” (p. 2). The survey also found that younger faculty are more disengaged, given that their primary interest in the early stages of their career is to publish extensively which is necessary for them to get tenure.

Tierney and Minor (2003) identified similar trends in their survey, and determined that there was a wide-spread dissatisfaction with Senates. They showed that only 22 percent of those surveyed reported that Senate was an important governing body and 43 percent stated that involvement in Senate's work was not important or even highly valued.

Engagement of faculty in the governing bodies could be increased at Organization Y through direct and consistent communication with stakeholders at various local forums, and also by engaging young faculty members in their departmental or faculty governance from very early on.

- 4) *What leadership practices/skills would be the best suited to build trust at Organization Y and how those could be utilized in the governance processes and practices?*

As Northouse (2016) explains, “Leadership is a process, whereby an individual influences a group of individuals to achieve a common goal” (Northouse, 2016, p. 6). This could be a particularly challenging task in a higher educational environment where leaders must exert influence over a large number of professionals who are extremely smart and possess many outstanding achievements on their own.

The structures of university governance are designed to provide a framework for legitimate procedures and a forum for open discussions which could effectively aid leaders in their influencing efforts. If utilized correctly, governance at Organization Y could enhance institutional trust while increasing the credibility of a leader at the same time.

Leadership-Focused Vision for Change

Present and Future Organizational States

There appears to be a consensus amongst researchers that university governance is not without problems. Academic senates are blamed for the lack of strategic focus (Bradshaw & Fredette, 2009), diversion of authority to senior administration, few meaningful conversations and debates (Berkowitz, 2010), and a decreasing overall effectiveness (Jones, Shanahan & Goyan, 2004). Boards on the other hand get into trouble with the public or the media when the appointment of a university President is questioned or the compensation practices of university executives are probed. With shrinking government funding, “people are paying a lot more attention to the decision-makers at the top of the tree” (MacDonald, 2018). Jones et al. (2004) also state that the traditional constructs of academic governance no longer work, and even

though senates still perform an important symbolic and traditional role, they seem to have a diminishing part in determining a university's future directions.

Tierney and Minor (2004) shed some light on faculty dissatisfaction regarding the operations of governing bodies—particularly Senates—at numerous universities. Their survey of over 2,000 faculty members across US higher educational institutions indicated that 20 percent of the respondents felt that there is insufficient trust among faculty and administrators, and 31 percent of faculty felt that the level of communication was insufficient between the board, the President, and the faculty.

The ongoing discord between administrators and faculty is illustrated by a recent article written by Clara J. Chan (2017) in the *Chronicle of Higher Education*. She states that “A lot of administrators feel like some faculty have become the Party of No, since it seems that they constantly have to smash into the brick wall of their colleagues’ resistance”(Chan, 2017). The article also points out that faculty are often resistant with reason as they feel left out, undervalued and disrespected by administrators in the decision-making process.

Goedegebuure and Hayden (2007) stipulate that the issue of governance at public institutions has become an increasing focus of debate during the past two decades due to the emergence of the New Public Management ideology and practices in the public sector. They point out that “good governance is not only about having effective structures, but also about having appropriate behaviour” (p. 5). They also explain that the issue of “shared governance” in higher education came under scrutiny in recent years as the market's influence became stronger in the sector (Goedegebuure & Hayden, 2007). As people became more disillusioned with the practices and behaviour of business leaders, they essentially started to look for flaws in the administrators of universities. As evidenced by Goedegebuure and Hayden (2007), academic

governance has been questioned for some time and the discourse between faculty and administrators is increasingly oppositional.

To analyze the gap between the current and the envisioned future state at Organization Y, I have chosen Stacey's Complexity Theory (Stacey, 1995; Stacey, 1996; Cawsey et al., 2016), as it provides a fitting framework for complex problems like the topic of this OIP. Stacey's Complexity Theory asks change leaders to consider the interdependence and interrelationships of issues in developing a change process in complex systems. The theory identified that "organizations are inherently paradoxical" (Cawsey et al., 2016, p.87) as they are constantly in flux between stability and chaos, and that "agents within the organization can't control, through their actions, analytic processes and controls, the long-term future" (Cawsey et al., 2016, p. 87). As it is impossible to predict exactly what actions and processes could increase trust at Organization Y, tackling the problem in the "Zone of Complexity" (see Figure 1.2) encourages creative thinking and innovative approaches to this problem.

Operating in the "Zone of Complexity", or as is also called by Stacey, on the edge of chaos (Stacey, 2003), requires a non-traditional management approach, and in this specific case, aims to enable performance of the institution through increasing the community's knowledge about governance.

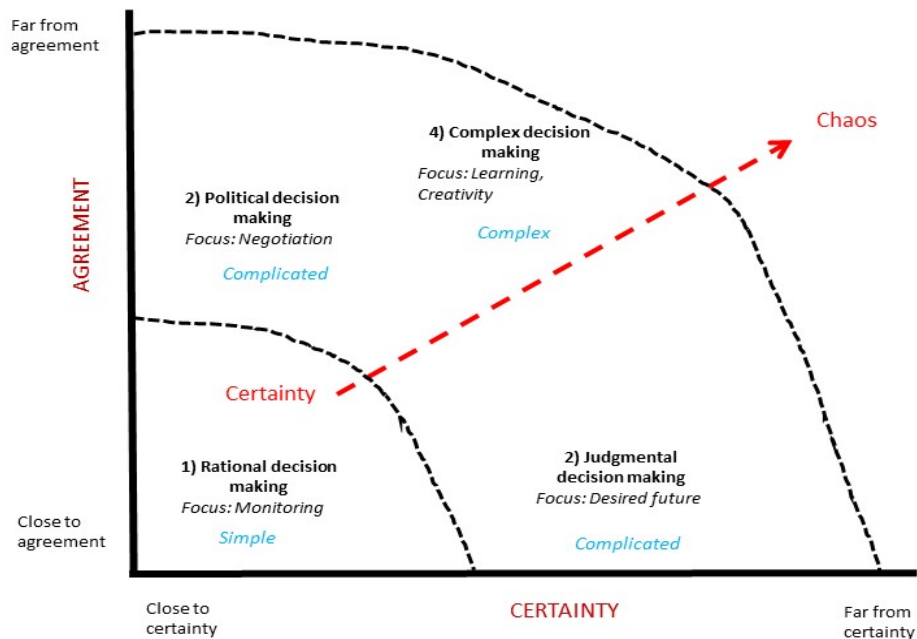


Figure 1.2 Stacey's Complexity Matrix. Adapted from Stacey (1993).

Stacey's Complexity Theory also points out that “small changes at key points early on can have huge downstream effects” (Cawsey et al., 2016, p. 88). It is my belief that increased information about the governing bodies, and more shared information about university governance will predictably increase the trust in the governing bodies and ultimately in its leadership at Organization Y.

Priorities for Change

Cawsey et al. (2016) state that a “crisis makes the need for change clear and dramatic” (p. 95), as it demands an urgent response; however, it is not always straightforward what needs to be done and how.

At Organization Y, the review committees that were created after the crisis provided detailed reports which could serve as a blueprint for enacting the changes proposed in this OIP. One of the reports of Organization Y' Review Committee (2016) disclosed that the consultation

process revealed issues revolving around transparency, accountability, misunderstanding, or lack of communication and a low-level of overall knowledge about the governance structures and processes, including the role and responsibilities of Senators and the differences between governance and administration. Organization Y Review Committee Report (2016) also pointed out that education should be provided for all new members of the community (e.g., faculty, staff, student leaders) about Senate, its role, responsibilities and processes and that ongoing education should be provided to all units and organizations on campus. They perceived that these educational efforts will enhance institutional trust and will positively move forward Organization Y in the future.

The actions proposed in Chapter 2 and 3 are specifically focusing on the recommendations made by the review committees that are related to the education of the community, and to the dissemination of information about governance.

Change Drivers

The need for trust at Organization Y is influenced by external and internal change drivers. External change drivers include competition from other institutions, reduced government funding, and increased public scrutiny. Internal change drivers include neoliberal management practices, increased need for collaborations between units to share dwindling resources, disengagement or low morale of employees (faculty and staff alike), and increased demands from the student population for service and resources. As both the external and internal change drivers are expected to intensify, creating an environment with increased trust is essential.

The leading change agents of this OIP are the University Secretary and Associate University Secretary, and the execution of most of the recommendations is dependent on the efforts of staff members in the Secretariat's office. Support from senior administration and from

the Chair of the Board is also required to ensure that appropriate resources are in place. The willingness of leaders to personally participate in some of the programming initiatives of the educational efforts would also be essential for success.

Envisioned Future State

It is the hope of this author, that through the provision of more information about the workings of the governing bodies and their committees, Organization Y will be able to create a more trustworthy environment which will be beneficial for everyone. Faculty and administrators will be able to work more collaboratively together and engage in more productive discussions about the institution's future. It is almost impossible to depict a perfect university, where everything works well and everyone gets along; however, it is expected that the sharing of more information about governance and providing centralized education about the governing bodies will increase trust in Organization Y. The best positioned area to provide education about the governing bodies is the University Secretariat, given the staff's expertise in this office and their central role in coordinating the work of these bodies.

Tierney (1988) argues that:

A culture where trust is embedded in the organization's fabric is likely to be better prepared for dealing with the myriad problems that exist on the horizon than those institutions that reach for bureaucratic and hierarchical solutions. (p. 40)

Consequently, it is my conviction that any initiative that increases trust in an organization will result in a better future state of that organization.

Organizational Change Readiness

The previous sections in this chapter indicated that Organization Y has gone through a crisis of governance and leadership during the past few years which has created a decline in the campus community's trust. Peterson (2016) identified that "Trust is the one thing that changes

everything” (p. xii), and that trust acts as a multiplier for every competency a leader needs in an organization. The author emphasizes communication as one of the ten laws of trust a leader must follow, in order to build a trustworthy organization. Peterson (2016) also points out that simple information sharing is a form of communication, which can effectively create trust. At Organization Y, the review committees and task forces uncovered serious deficiencies in the knowledge of the university community about the governing bodies, their areas of responsibilities, and their roles in the decision-making process.

The aim of this OIP is to address this deficiency and create a path for information sharing about the governing bodies and their work, thus enhance organizational trust.

Assessing Organizational Change Readiness

Cawsey et al. (2016) identified that the question “Why change” is the most important question to address in any change initiative. By correctly identifying and clearly articulating the reasons for change, a leader could achieve buy-in from the community and obtain the necessary support and resources from senior administration. A clearly articulated explanation to answer the question “Why change?” will also determine the direction for the “What?” and the “How?”, therefore, change agents must assess and understand the need for change (Cawsey et al., 2016). I will assess change readiness at Organization Y by answering the question “Why change?” from the internal and external perspectives.

From the internal perspective, it has become clear to the Secretariat’s Office and administration during the campus-wide consultation process that greater awareness is needed about governance, and that the university community must receive more information about the work of these bodies. The review committees conducted extensive internal consultations for almost 8 months, and received numerous submissions from individuals and campus groups

indicating this. The feedback received also showed that various educational initiatives should be instituted to build trust and to de-mystify the workings of governance at Organization Y. I personally participated in the university-wide consultation process, and during these sessions it became clear to me that the community lacked even basic knowledge about university governance. I was also surprised by the level of misinformation about the role and areas of responsibility of the governing bodies, and by the mistrust the lack of knowledge created. In some cases, individuals expressed deep frustration and animosity towards the decision-making process of the governing bodies and their members. At almost all consultation meetings participants expressed a strong desire for more information about the university governance, including readily accessible on-line resources and training sessions. These examples illustrate that the internal stakeholders at Organization Y are ready for a change and want to receive more information about university governance.

External data also points to similar readiness for change. A study conducted by Pennock et al. (2015) between 2000 and 2012 to assess the structure and role of academic Senates pointed out that over the 12-year period there was a significant increase in the attention given to providing educational material and/or programming to senate members. Although almost 80 percent of the surveyed universities provided orientation materials to new members, and more than 65 percent of the universities organized orientation sessions, only 51 percent of senate members considered the orientation material they were given as adequate to perform their duties. The survey also illustrated that many senate members did not have a clear understanding about senate's role (Pennock et al., 2015). Although the study involved only senate members comprising faculty, staff, and student representatives, it could serve as an indication of the general university population's knowledge about university governance. As a result, it could be

reasonably expected that the knowledge of the general university community about governance is much lower than of those who are already actively participating in one of the governing bodies.

The leaders and the governing bodies at Organization Y made commitments to enact the recommendations of the review committees and task forces; however, the implementation of the recommendations has been a slow process. The goal of this OIP is to provide concrete steps for strengthening educational efforts about university governance, and thus provide a critical path for the achievement of increased trust at Organization Y.

Competing Positive and Negative Forces

There is a clear indication for the need of a governance education program, and the university community is ready and willing to participate in a program that enables them to learn more about governance and provide access to information more effectively. There also seems to be an increased desire in the community to re-build trust in the governing bodies; initiatives that enhance transparency and information flow would be welcomed by everyone. While the Secretariat's Office is relatively small, it has staff members with decades-long expertise in university governance who could successfully design and execute the educational program.

One of the biggest challenges, and a major internal negative force, is the lack of resources that the Secretariat's office currently has to fully institute a campus-wide governance education program. The office is already at the maximum of its workload capacity, and it is unrealistic to expect that it could take on the design and implementation of such a large-scale program without adding additional resources. Building capacity in the office by adding extra staff members is essential for the success of the OIP. Similar to other units at the university, increasing the budget

for staff hiring is difficult and it needs to be championed by a high-level executive. There is also a need for accessing IT and communication expertise for the success of the program.

The second major impediment is overcoming the structural barriers of communications to a large segment of faculty and staff in order to sufficiently advertise training opportunities to a widely dispersed university community. Training is only beneficial in improving trust if everyone is willing to participate. Outreach to, and engagement of, the different student populations might also be problematic, since the sheer size and dispersion of the student population make outreach to them difficult. Strong connections must be built with academic units, human resources, and student organizations to utilize their already existing communication channels reach to their stakeholders.

The goal of the OIP is to provide effective methods to enhance institutional trust at Organization Y, but it needs to be augmented with other, more significant leadership efforts from senior administration. This is where the third anticipated problem lies: trust building should be a concerted effort with significant input from senior leadership at the university, and from the leadership of the governing bodies. While educating stakeholders about university governance will contribute to the building of trust through providing more clarity, it is only one building block in the institution's trust building process. Ultimately, trust will only be created within the institution if its leaders act in transparent and trustworthy ways, and work tirelessly in creating and preserving trust at the university. Engaging leaders to deliver various components of the program could be beneficial for trust building, as it would increase their visibility on campus and allow them to communicate with a large segment of the campus community.

Chapter Conclusion

Chapter 1 provided an overview of the internal structure, established leadership practices and external context of Organization Y. The chapter described the historical background and potential causes for the Problem of Practice, and depicted key organizational frameworks as well as identified the gap between the present and future state of the organization. The importance of providing increased education about the work and structure of the governing bodies was highlighted and was connected to the significance of increasing institutional trust at Organization Y. Chapter 2 will start by proposing different alternatives as well as a more specific plan for creating and delivering a comprehensive university governance educational program through which intra-institutional trust could be increased and perhaps restored at Organization Y.

Chapter 2: Planning and Development

In Chapter 2 of this Organizational Improvement Plan (OIP), theoretical frameworks will be described to support the execution of the proposed organizational change. Relevant theories of organizational change and leadership approaches will be included in the framework, as well as a critical organizational analysis will be provided to elucidate the gap between the current and future state of the organization.

As explained in Chapter 1, the Problem of Practice (PoP) at Organization Y is the campus community's lack of trust in the institution's governing bodies. The lack of trust creates an adversarial culture at the institution, hinders decision-making processes, makes it difficult for senior administrators to respond to the requests of the government in a timely fashion, and ultimately impedes the achievement of the organization's goals. Chapter 2 will include four potential solutions to address the PoP and will describe a leadership approach that will be used to champion the chosen solution to success.

Leadership Approach to Change

As referenced in Chapter 1, an authentic leadership style is the best suited for a leader to approach the Problem of Practice, as it embodies the key attributes needed to build trust at Organization Y.

It was elucidated in Chapter 1 that a leader undertaking this OIP must possess exceptional interpersonal abilities, outstanding trust-building capacities with a wide-variety of stakeholders, and excellent communication skills combined with a high-level of persistence and patience. The leader's interactions with this university's community must be transparent and therefore inducing a feeling of trust. It is also recommended that the leader attempt to preserve the espoused culture

of Organization Y by sharing more information and developing a more collaborative work environment. Using an authentic leadership approach would work well in achieving these goals, since authentic leaders possess all the necessary attributes to champion this OIP to success. Authentic leaders are able to positively influence their followers during a complex change process (Alavi & Gill, 2017), and this type of leadership is also positively related to the community's level of trust in the leader during an organizational change (Agote, Aramburu, & Lines, 2016). As Northouse (2016) states, people seek trustworthiness in their leaders and "they long for bona fide leadership they can trust and for leaders who are honest and good" (p.195). This is especially true after a trust failure experienced by Organization Y where people seem to desire a leadership that builds an ethical climate and evokes positive feelings in the community.

It could be assumed that authentic leadership would predictably create a more trustworthy environment at Organization Y, as authentic relations between a leader and followers will lead to trust (Gardner, Avolio, Luthans, May & Walumbwa, 2005). As a result of the authentic leadership, members of Organization Y will be more willing to invest increased time and effort towards a positive future outcome that benefits the whole organization (Clapp-Smith, Vogelgesang and Avey, 2008, 2009).

Application of Authentic Leadership (AL) to the Problem of Practice

Northouse (2016) explains that authentic leadership is one of the newest areas of leadership research which is still being developed today. Walumbwa et al. (2008) defined authentic leadership as:

...patterns of leader behaviour that draws upon and promotes both positive psychological capacities and a positive ethical climate, to foster greater self-awareness, an internalized moral perspective, balanced processing of information, and relational transparency on the part of leaders working with followers, fostering positive self-development... (p. 94)

Several other definitions of AL emerged over time. For example, Luthans and Avolio (2003) defined authentic leadership as the extent to which an individual is true to one self by emphasizing core values and acting accordingly. Gardner, Cogliser, Davis, and Dickens (2011) explain that an authentic leader has a considerable awareness of his or her judgements and biases which enables the leader to control his or her thoughts and emotions.

Avolio, Gardner, Walumbwa, Luthans, and May (2004) identified that authentic leaders are able to develop leadership qualities that positively influence the behaviour of their followers. They suggest that such leaders have a significant effect on engagement, motivation and commitment of their followers while creating hope, trust and positive emotions in them (p. 804). Creating positive feelings and hope are necessary in Organization Y, so the trust in the governing bodies could be restored and the flagging morale of the institution could be elevated.

Eagly (2005) looked at the interpersonal aspects of AL and determined that it is not enough for authentic leaders to one-sidedly display their beliefs and act on their values, but they also have to interact with their followers in order to effectively elicit the same values in them. In this sense, authentic leadership becomes relational and authenticity emerges from the interaction between leader and followers. The relevance of having a relationship between leader and follower in order to build trust and obtain a buy-in from the community is important for the purposes of this OIP. At Organization Y, administrators are perceived as transactional and autocratic leaders who have no concerns for the community and do not consider their input. As it will be demonstrated later in Chapter 2, a value incongruence seems to exist between the top administrators and employees at the organization.

Eagly (2005) states that:

When the values of leaders and followers are incongruent, a leader must engage in negotiation and persuasion that may result in greater acceptance of the leader's agenda but may also include some conformity by the leader to followers' construals of community interests. (p. 461)

The perceived autocratic and transactional leadership style of the senior administrators at Organization Y is contrasted by the authentic leadership style, as they seem to occupy the opposite sides of the leadership practice spectrum. In this sense, a leader exhibiting authentic leadership style, and having a more meaningful interaction and genuine relationship with the community, could achieve better results in creating a more cooperative environment and increased trust.

On the negative side, researchers point out that individuals are never entirely authentic or unauthentic since the true self is not a stable phenomenon (Avolio & Gardner, 2005; Ladkin & Spiller, 2013). In addition, most people are unable to predict where they are on the authenticity continuum since humans have a poor record in self-knowledge and they tend to rate themselves as above average and overestimate their own abilities (Dunning, 2005). To demonstrate, a leader who is narcissistic or self-absorbed and stays true to himself or herself will not be able to build meaningful connections with the community and thus will fail to build trust.

Avolio et al. (2005) defined authentic leadership from a developmental perspective. They identified that AL is not something that people are born with and it is not a fixed trait. Rather, it is something that leaders are able to nurture and develop over time as a result of their life and leadership journey. Authentic leaders work hard, lead with purpose, and build enduring relationships, but they also continuously reflect on their own practice and learn from their own mistakes. Lawrence (2015) describes the learning process of the authentic leader as a 3-step

process of listening, voicing, and reflection (pp. 176-177). He states that leaders must “listen to someone without filtering her words through their own agenda” (p. 177), and silence their own judgements in order to learn something from the other party. In the next step, authentic leaders must have the courage to voice their questions and engage in true conversations. Lastly, authentic leaders should reflect on their decisions and step out of the moment in order not to get too attached to their own agendas. Lawrence (2015) explains that “Reflection, in this sense, is not about spending half an hour a week what has gone before; rather it is a mindset, a constant way of being” (p. 177). Exercising such reflective leadership approach at Organization Y potentially will have a positive effect on building trust between administrators and the university community. Leaders participating in the educational efforts about governance will be able to put themselves in the shoes of others and listen to their concerns while engaging in meaningful dialogue with them. The idea of developing leadership over time is also highly congruent with the macro theoretical framework of this OIP. Stacey’s Complexity Theory suggests that small changes could result in long-term positive effects at an organization, just as developing one’s authentic leadership skills gradually over a longer period could cause a more effective leadership practice.

As stated in Chapter 1, the authentic leadership style bodes well with my own leadership philosophy. The recommended solution suggests that the Associate University Secretary will play a major role in the governance education program and therefore it is envisioned that I personally will have an important role to fill in the process. By actively participating in the governance education program, I will have the agency to exert positive influence on the community and will also have the opportunity to fine tune my authentic leadership skills to the benefit of the organization.

Frameworks for Leading the Change Process

At the macro level, this OIP uses Stacey's Complexity Theory to guide the proposed organizational change and to provide a framework and rationale for the execution of the change. Stacey's framework works well in addressing this Problem of Practice, as it provides an alternative to the conventional step-by-step top-down processes that are usually recommended for organizational change. In addition to Stacey's Complexity Theory Framework, Bolman and Deal's framing theories will also be utilized in the implementation process. Applying these framing theories helps change leaders to conceptualize different approaches to a specific issue without providing prescriptive solutions.

Stacey's Complexity Theory

Complexity Theory (CT) is a relatively new area of research in social sciences, especially in the area of organizational change. Originally, CT was developed in the earth sciences and in biology to explain weather patterns and the evolution of biological organism. Researchers in natural sciences used CT to understand change and explain the dynamics of systems, while considering how individual parts of these systems interact with each other to create a seemingly organized change. The tenets of CT predicate that the system is more than the sum of the parts, but at the same time the development of the whole depends on the interaction of the parts (Klijn, 2008). Just as complex systems in nature need to transform themselves continuously in order to survive, organizations need to do the same (Stacey, 2003). CT points out that in a complex system, even small and seemingly insignificant changes can result in major changes down the road, thus highlighting the importance of interdependence and interrelationships. One of the most important ideas that comes from Stacey's Complexity Theory is that "...small changes at key points early on can have huge downstream effects" (Cawsey et al., 2016, p. 88).

The importance of small and incremental changes introduced at certain points of organizational change process, and their potentially positive effects on the whole system, are particularly relevant concepts to this OIP. The effects of small changes on the larger system are clearly illustrated by the so called “butterfly effect”, which is a feature concept of CT. This idea was originally introduced by Edward Lorenz, who used CT to illustrate that the tiniest changes at the beginning of a weather event could radically alter the weather forecast (Burnes, 2005). Lorenz stipulated, that given the interdependence of the weather systems on Earth, the flap of a butterfly’s wings today could cause changes in air pressure, which in turn could eventually lead to a hurricane at some point in the future (Haigh, 2002). In this sense, introducing a comprehensive governance education program and increasing the community’s knowledge about the governing bodies at Organization Y could be analogous to a butterfly flapping its wings, thus causing a hurricane sometime in the future.

The second aspect of CT that is highly relevant to this OIP is the promotion of lessening managerial control and the encouragement of leaders to participate in the change process, rather than directing it from the top. Since leaders inside the organization cannot predictably control the long-term future of the organization through their actions, they can only rely on short-term actions to affect changes (Cawsey et al., 2016). In their leadership capacity, decision makers in an organization act within their bounded rationality, thus they make satisficing, rather than maximizing choices in complex situations. Herbert Simon, an economist, created the theory of bounded rationality in 1955, when he investigated how people make economic decisions. He stated that human decision makers are bounded by their cognitive limits and they make decisions to satisfice rather than optimize, meaning that in most situations humans seek a solution that is “good enough”. While satisficing may seem undesirable, it recognizes that information search

and acquisition are costly. Simon has equated satisficing with finding a needle in a haystack and optimizing with finding the sharpest needle in the haystack, which is a monumentally more difficult task (Aldag, 2013).

In this sense, leaders must use an iterative search, a trial-and-error process, to look for the best possible solution to resolve a specific organizational problem within their own bounded rationality. This predicates that leaders themselves become part of the change process merely by introducing small, incremental changes in the organization, rather than trying to present a fail-proof and exact prescription for the future (Stacey, 2003). Creating intra-institutional trust by providing more information and education about institutional governance and its processes by no means is foreseen to be a silver bullet that resolves all trust issues at Organization Y; however, this is one small step towards the right direction with potential long-term benefits for the institution.

Framing Theories

At the operational level, Bolman and Deal's Framing Theories will be considered. Universities, such as Organization Y, operate in a highly uncertain and complex environment and these framing lenses provide powerful tools that leaders could use to analyze their organizations and more appropriately define the change process.

Human resources frame. There is nothing more humane than creating trust in an organization. The human resources frame's main assumptions that "People and organizations need each other" and that "Organizations exist to serve human needs rather than the converse" (Bolman & Deal, 2013, p. 117) are highly relevant concepts to this Problem of Practice. As described in Chapter 1, Organization Y suffered from a trust failure and rebuilding trust is necessary for it to operate and flourish. As it is also described in Chapter 1, globalization and the

neoliberal ideas contributed to the development of an increasingly untrustworthy environment, where faculty and administration are constantly at unease with each other. Institutional governance is often considered by the university community as one of the tools that institutional leaders use to assert their power over others at the institution. Bolman and Gallos (2011) explain that during tough times university constituents want leaders they can trust and “people want to believe that their leaders are telling the truth” (Bolman & Gallos, 2011, p. 93). The human resources framework provides a lens for the change process whereas the needs of humans at the institution are considered first and foremost.

Symbolic frame. In higher education, there are many symbols and traditions that inspire academic life. These symbols and traditions all have a “stateable purpose, but one that invariably alludes to more than it says, and has many meanings at once” (Bolman & Deal, 2013, p. 256). While university governance seems to be structural, it is also inherently symbolic, given the espoused values of collegial governance and the strong need for consultations and discussions at all levels of the organization. As Chapter 1 explained, the notion of collegial governance came under attack as a result of recent changes in the political and economic environment. As a result, leaders must consider the strong cultural values of the university community and become more transparent and forthcoming in providing information. Symbolic leaders construct the future of their institutions by building on past traditions, and for the purposes of this OIP, they share information about governance to negotiate shared understanding and to build trust.

Political frame. It is equally important to consider the political frame, given that university governance is perceived at Organization Y as the political way for management to get their initiatives institutionalized through rubber stamping them by the governing bodies. The attempts of administration to become leaner and more efficient also created an increased need for

politicking, as the units constantly jockey for more resources. Those who know their way around the governance processes and structures succeed better than those who ignore the realities of this politically charged environment. Bolman and Gallos (2011) explain that faculty does not want to play the political game as “They often view politics with distaste and prefer to view themselves as rational beings with noble intentions” (Bolman & Gallos, 2011, p. 71). The goals of this OIP would serve both the needs of the leaders and the needs of the constituents by putting them on equal political playing fields. Leaders could clearly illustrate the flow of the decision-making process through the governance structure, and the constituents would be able to understand how decisions are approved, and at what stage they would have the opportunity to discuss and dispute certain decisions.

Structural frame. The structural frame considers organizations as rational entities, similar to factories. While no respectable university would consider itself as a factory, this analogy helps to consider governance in a frame of systematic and rational decision making. For the purposes of this OIP, the structural frame underlines the need for systemness. Fullan and Quinn state that “consistency of purpose, policy and practice” (Fullan & Quinn, 2016, p. 1) are needed to create coherence at institutions and ultimately enhance institutional functioning. Bolman and Gallos (2011) state that leaders need to decide what integrative mechanisms – policies, procedures, rules - exist at their institutions that create reliability and coherence, and use these for their advantage in making decisions. It also helps the constituents, especially in a university setting, to clearly understand the process of decision making. Providing openly available structured information about university governance will be used as a tool in creating coherence at the organization and ultimately enhance institutional trust.

Critical Organizational Analysis

The Organizational Change Readiness section in Chapter 1 highlighted why a change is necessary at Organization Y. The next step in the process is to identify what needs to change and why gaps exist between the current and envisioned states of the organization.

Cameron and Quinn (2011) indicate that most planned organizational change initiatives fail, and a staggering number of well-intended changes either created serious problems that threatened the survival of the organization, or were completely abandoned shortly after their introduction. Bolman and Deal (2013) point to a similar track record in organizational change when they state “Exemplary intentions produce more cost than benefits. Problems outlast solutions” (p. 9). Cameron and Quinn (2011) state that the number one reported reason for failures was the fact that change agents neglected to consider the organization’s culture. As a result, the authors offer “a framework, a sense-making tool” (p. 2) for diagnosing organizational culture and to guide the change process at the cultural level. This OIP will utilize Cameron and Quinn’s Competing Values Framework to investigate the existing tensions in Organization Y and evaluate how these cause misalignments at the university.

Cameron and Quinn’s Competing Values Framework

Initially, the Competing Values Framework was developed to assess organizational effectiveness and to analyze factors contributing to it (Cameron & Quinn, 2011). During their research, Cameron and Quinn determined that most organizational change efforts failed due to the neglect of the organization’s culture, and failure to change the organization’s culture resulted in the demise of other kind of organizational changes (Cameron & Quinn, 2011). They determined, that highly successful firms, such as Disney, Apple and Pixar Studios, achieved greatness through their organizational culture. They stated that “Virtually every leading firm you

can name, small or large, has developed a distinctive culture that its employees can clearly identify” (Cameron & Quinn, 2011, p. 6), and that this united culture propelled the companies to a higher level of performance. Cameron and Quinn developed the Competing Values Framework in order to provide leaders and managers with a tool to diagnose and change culture at their organizations to enhance organizational effectiveness.

As shown in Figure 2.1, two main dimensions were derived from this research: 1) Flexibility and Discretion vs. Stability and Control, and 2) Internal Focus and Integration vs. External Focus and Differentiation. These dimensions form four quadrants, representing what people value about the organization’s performance and consider good and appropriate approaches. These quadrants represent competing assumptions and illustrate core values that are on the opposite of the other quadrant which naturally create tensions within and organization (Cameron & Quinn, 2011).

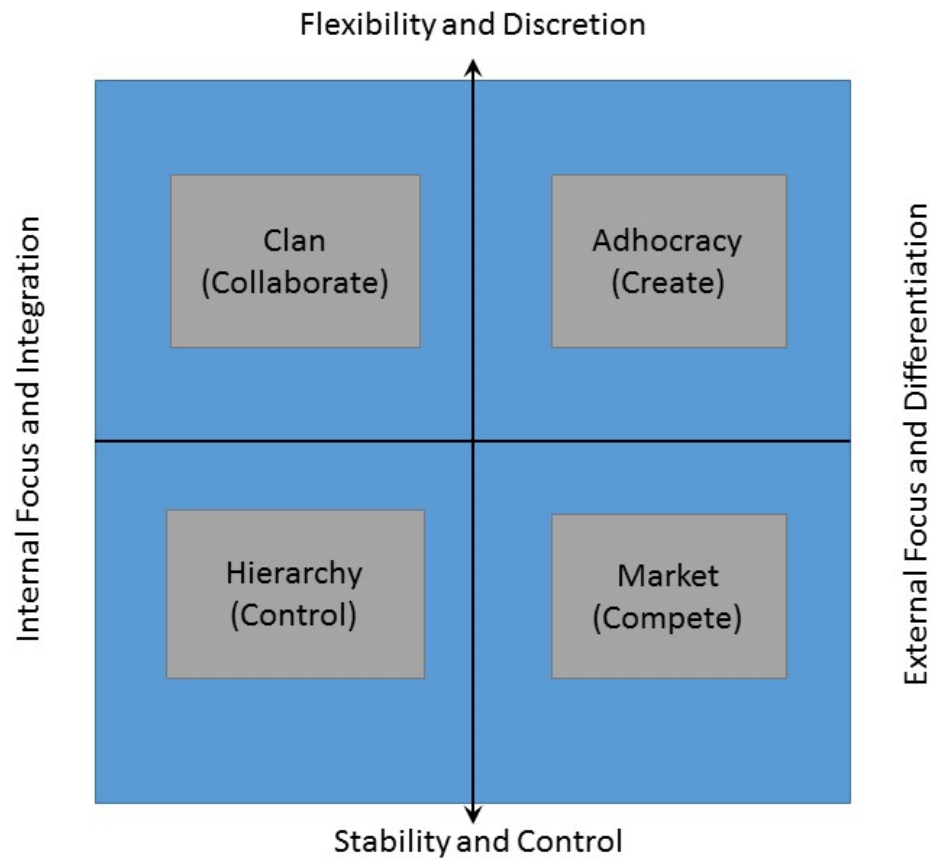


Figure 2.1. Competing Values Framework. Adapted from Cameron & Quinn (2011).

While the resolution to these tensions are different in each organization, Cameron and Quinn (2011) identified that for an organization to be successful, it needs to develop cultural congruence whereas “various aspects of an organization’s culture are aligned” (p. 84). Their research identified that congruent cultures are better performing than incongruent ones, and that even though temporary incongruence could be beneficial, on the long run, “it inhibits the organization’s ability to perform at the highest levels of effectiveness” (Cameron & Quinn, 2011, p. 85). Cultural incongruence also leads to differences in perspectives, goals and strategies and create ambiguity in the organization.

Application of the Competing Values Model

Cawsey et al. (2016) explain that the strength of using the Competing Values Model lies in its ability to connect individual and organizational levels of analysis. By using this model, managers are able to examine the cultures and processes of their organization, determine in which quadrant these fit into, and design the necessary changes to shift the organization to reinforce specific behaviours or skills. The Competing Values Model is also useful to increase organizational self-awareness and generate discussions about how things are currently done and what could be improved (Cameron & Green, 2015). As Chapter 1 elucidated, there are a lot of conflicts and tensions currently observable in the higher educational system and specifically at Organization Y. Old, traditional values of collegiality and consultations clash with the new ideas of market orientation and competition. These ideological conflicts accurately fit into two opposing quadrants of the Competing Values Model - one of them is located in the “Clan-Collaborate” culture quadrant and the other is in the “Market-Compete” culture quadrant. Having a strong emphasis in the Market-Compete culture quadrant is fairly new in higher educational institutions, and it depicts a result-oriented workplace, where “the long-term concern is on competitive actions and achieving stretch goals and targets” (Cameron & Quinn, 2011, p. 45). Organization Y’s top administrators were pushed towards this new orientation by the changing environment and financial constraints, as well as by increased demands from “customers” such as students and their parents. The relentless pressure on researchers to publish or perish, the constantly increasing requirements to do more with less, and the ever-expanding set of requests for more and more services for students are all pushing higher educational institutions towards the Market-Compete culture. Organization Y is not immune to the changing landscape of higher

education and its leadership has consciously and forcefully steered the institution towards a market orientation and readily adopted business-like managerial practices.

The Clan-Collaborate culture on the other hand is a typical representation of the traditional culture in a university, where leaders are considered more like mentors and the organization is held together by tradition, symbols and loyalty. Cohesion, collaboration and morale are all important aspects of this type of culture and a high premium is placed on collaboration, participation and consensus (Cameron & Quinn, 2011). The authors also highlight that in a turbulent and rapidly changing environment where it is difficult to plan far in advance, the most effective way to coordinate the organization's activity is to ensure that employees share the same values and goals. Organization Y has encountered very turbulent times both internally and externally, thus shifting the culture towards a more congruent model is more advantageous and will result in an increased institutional trust.

What to Change?

Cameron and Quinn (2011) developed a comprehensive assessment instrument to evaluate and analyze the culture of a specific organization. They called it the Organizational Culture Assessment Instrument (OCAI) and they used it in over 100,000 organizations in a variety of industry sectors and in more than 50 countries. Assessing Organization Y's culture by utilizing this instrument is beyond the scope of this OIP; however, inferences can be made from other studies conducted at higher educational institutions and make reasonable approximation about the culture of Organization Y, as well as derive from these studies what to change.

Obenchain, Johnson, and Dion (2004) conducted a study of over 560 Christian higher educational institutions by using OCAI questionnaires to gauge their dominant organizational culture type. They determined that over one half of the surveyed institutions identified the Clan-

Collaborate culture as their dominant culture type and only 15.8 percent identified their culture as the Market-Compete type. Similarly, Smart and St. John (1996) conducted a study by surveying over 330 institutions in the US, and they identified that the Clan-Collaborate culture was the most prevalent type of culture in the higher educational institutions they surveyed. Over two thirds of the institutions identified the Clan-Collaborate culture as the most effective and this culture type placed higher on organizational effectiveness than the Market-Compete culture. Consequently, one could reasonably assume that Organization Y also possesses a strong Clan-Collaborate culture that values human resources, collaboration and transactional transparency.

Denison (1984) pointed out that a strong and unified culture is positively associated with organizational excellence and that the mere presence of a shared system of beliefs, values, and symbols (in the case of Organization Y, the Clan-Collaborate culture) is not sufficient to enhance organizational performance. Rather, the "beliefs and values central to an organization must be closely aligned with actual policies and practices if the management system is to obtain a high degree of integration and coordination" (Denison, 1990, p. 10). Such an alignment between espoused beliefs and actual practices enhances organizational performance because it facilitates the development of consensus, the exchange of information, and the ability to carry out coordinated actions (Denison, 1990). In their study, Smart and St. John (1996) recommend that:

...central administrators should recognize the values of their campus communities and develop strategies compatible with those values when adapting to new external conditions. In particular, issues related to the involvement of faculty, staff, and students in new efforts to adjust to the new wave of budget cuts may be crucial to campuses that have historically espoused the values of academic governance. (p. 236)

The critical organizational analysis at Organization Y highlighted the importance of preserving the institution's culture, while adapting to ongoing changes. In light of this, the most important change is the shifting of culture towards a more transparent and collaborative

environment by sharing information, and as a result increase trust in the governance and leadership of Organization Y.

Possible Solutions to Address the Problem of Practice

This section will explore four potential solutions to address the PoP. The advantages and disadvantages of each solution will be discussed, as well as the resources needed to implement these solutions. At the end, one solution will be selected which will provide the basis of the Implementation Plan detailed in Chapter 3.

Potential Solutions

Solution 1: Maintain the status quo. As indicated in Chapter 1, the Report of the Review Committee showed that there is a strong need within the university community for more information about governance. There is also evidence of trust failure at the institution, which could be remedied to a certain extent by providing more information about the decision-making processes at Organization Y. However, an argument could also be made that the university has been operating for a long time without such broadly available information, and governance will continue to operate regardless, just as it always has. Currently, educational efforts around governance at Organization Y are limited to the following activities: 1) new members of Senate and Board voluntarily participate in a 1-2 hour information session at the beginning of their term; 2) the University Secretary provides a short, max. 30-minute presentation about governance to a group of new permanent full-time faculty members once a year at the invitation of the Provost; and 3) the Secretariat provides basic governance information to anyone in the university community upon request. Information is openly available on the Secretariat's website to the public and all Board members have access to a collection of governance materials on a special area of the university's on-line course portal.

Maintaining the status quo would be an approach that would reflect the university's general attitude towards change. Established higher-education institutions change slowly and they cling to every tradition and process they have developed over their existence. The phrase "If it ain't broke, don't fix it" could be used as a general motto for the operations of most universities. For the longest time, universities were considered as the bastions of knowledge and institutions with a goal "to maintain some stability, and to convey lessons already learned" (Bergquist and Pawlak, 2008, p. 226). Governance was not a concern since it was considered to be just one part of the bureaucratic decision-making machine, which was strictly regulated by approved policies and procedures, and as such not in need of change. Access to information about governance was restricted to the privileged few, or was not a major concern for the university community simply because it was not perceived by them as relevant to their work. The trust failure experienced at Organization Y suddenly exposed the community's lack of knowledge on this area and highlighted the increased need for information about governance.

Preserving the status quo would have several advantages. First, it seems to be the most cost-efficient solution as it does not require any additional resources financially or otherwise. The University Secretary would continue to provide a few educational sessions annually about governance and the Secretariat's website would be updated with information, as necessary. Individuals interested in university governance would have to make an effort themselves to find information either by researching the website or calling the Secretariat's Office directly. This would mean that the majority of the university community would not get sufficient information about university governance, thus intra-organizational trust would not improve. The governing bodies would continue to be looked at with suspicion and their decision-making process would continue to be questioned.

Solution 2: Introduce an enhanced in-person training program/community

outreach. The second solution is to increase the already existing in-person educational efforts to encompass a much larger circle of stakeholders. The Secretariat's office would provide the following in-person training to the university community: 1) presentations at faculty council meetings at least biennially; 2) presentations at new staff member orientation sessions annually; 3) presentations at the council meetings of student organizations annually; and 4) presentations to different employee groups at their annual meetings.

As referred to in the previous section of Chapter 2, most university environments seem to embrace the Clan-Collaborate culture, which includes an expectation for more participation, communication and a more caring climate (Cameron & Quinn, 2011). The espoused notion of collegiality and the need for consultations presume personal interaction, thus governance education would have to follow this expectation to be successful. In an academic environment personal interaction is still preferred over emails and memos, and incorporating a personal touch into providing education about governance would satisfy the need for that.

There are also two additional advantages to increasing in-person training efforts. The first one is that providing a human touch to a seemingly daunting subject, such as university governance, brings the topic to the level of the stakeholders while making it more engaging and interesting. My personal experiences while providing the training sessions to new senators or to new faculty members have led me to believe that the topic of university governance seems to be less daunting if there are options for direct interactions with a presenter. Such interactions create a more personal atmosphere, aids understanding and makes the subject matter more engaging.

The second, even bigger advantage of this solution is the creation of a potential opportunity to involve university administrators in the in-person training process. University

administrators at Organization Y were perceived as autocratic and transactional decision makers, and were blamed by the lack of communication with the university community. Involving leaders in some areas of the in-person training process could provide opportunities for interaction with different segments of the population at the university, and would allow administrators to become more visible and personally approachable on campus. They would have the opportunity to build personal connections with members of the community, and as a result they might be able to gain their trust.

Significant time and human resources are needed to successfully execute this solution. The Secretariat would need to invest a lot of time and effort into developing the presentation material to various segments of the university community and to attend the meetings in person where the presentations would take place. As with any new large-scale training efforts, it is anticipated that at least one person would be dedicated to these initiatives full-time, for a minimum of two years. This would be extremely taxing on the relatively small University Secretariat's office, since it would require additional staff to pick up the workload of the person dedicated to develop and initially deliver the in-person training program. Due to the specialized nature of the Secretariat's work, the salary cost of the replacement would be high. It is also envisioned that additional secretarial help would be necessary to manage the logistical issues associated with the development and management of the plan. On a longer term, once the program is developed and the modules are in place, the Associate Secretary could manage the program with the help of a part-time coordinator.

Solution 3: Develop an on-line governance education program. The next possible solution is to provide an on-line governance educational program, containing short educational movies/training sessions of 5 – 10 minutes each. These sessions would be available for the

university community via Organization Y's on-line learning platform and would be accessible at any time. Specialized modules would be developed to provide information about different topics such as how to become a Senator or a Board member, how to propose a new academic program or make changes to academic policy. Modules could be more generic covering topics such as what does Senate and Board do, where policies and procedures could be found or how to become a member on governance committees. At the end of each session, participants would have the option to complete a small on-line test to measure their own learning. A specialized "University Governance 101" on-line module could also be developed just for undergraduate and graduate students and completion of the courses could be noted on the students' non-academic (extra-curricular) transcript.

This solution would be offered in addition to the currently available educational efforts and information about university governance, and it would have the advantage of delivering more personalized information, tailored to the specific need of the learner. For example, at the time of Senate and Board elections, the specialized module about this topic could be posted on the Secretariat's webpage which would be accessible at any time immediately before and during the election process. Similarly, the module about how to propose a new academic program or course could be accessible all year round for academic units to use.

This solution would require a ramped-up effort in resources. Substantial time and human resources would be required to develop the on-line modules and the associated tests. Ongoing monitoring of the modules to keep them up-to-date would also be required, which could be significant depending on the number of changes happening in any given year. Fiscal and technological resource requirements would be significant as the Secretariat does not have in-house personnel with expertise to develop on-line modules. Technical expertise could be

obtained from the organization's information technology unit which is already in charge of the university's on-line learning platform, but such expertise would have to be paid for internally from the Secretariat's budget. In addition, substantial efforts need to be given to the advertisement of these learning tools to ensure that they are sufficiently utilized by the university community.

The most significant advantage of this solution is that these modules would be always available and can be accessed on-demand. The modules could have a high impact on the community's knowledge about governance. There is also an opportunity to provide the information about university governance in an interesting way by embedding mini movies, cartoons, drawings, charts etc. Governance training modules could be accessed at any time; thus, members of the community could complete the modules at their own pace, and select those that are the most interesting or useful to them. This flexibility would be appreciated by most members of the university community, and it would require minimum training. Most students and faculty are already using the on-line platform to access their on-line courses and the system is well-utilized by staff for confidential distribution of meeting agenda material.

Solution 4: Develop a comprehensive governance education program. This solution, and ultimately the recommended solution, proposes the development of a comprehensive governance education program, which would combine the currently existing educational efforts (Status Quo) with Solutions 2 and 3. In this recommended solution, the enhanced in-person and campus-wide training opportunities would be complemented by on-line learning modules available to the whole campus community.

Based on the analysis provided in the previous section, combining all solutions into one comprehensive educational initiative seems to be the best suited for creating a significant change

at Organization Y. Given the substantial time, human and fiscal resources that the combination of these options would require, a staggered introduction of the governance education program is proposed. In the first phase, it is envisioned that the in-person education efforts be ramped up, followed by the introduction of the on-line modules.

The rationale for the staggered introduction of the governance education program, starting with ramped up in-person training sessions, lies in the value of increased personal interactions with both the Secretariat's staff and leaders at Organization Y. The institution has experienced a significant trust failure a few years ago, and therefore an educational effort that involves more personal interactions with leaders seems to be better fitting to the current environment, as well as more appropriate to rebuilding trust at the institution. Leaders provide role modeling for the rest of the community and "their own visible behaviour has great value for communicating assumptions and values to other members" (Schein & Schein, 2017, p. 193). Involving leaders in the governance education sessions would provide an opportunity for the community to learn from them, ask questions and positively interact with them. Kezar (2004) noted that as leaders' involvement and commitment grew in the governance process, people no longer believed that governance is something that they had to suffer through. Rather, they viewed governance as a meaningful way to shape their environment and create an effective and thriving institution (Kezar, 2004). Building relationships seems to be crucial for effective decision-making and while the system of governance can operate without perfect structures and processes, it cannot operate without leadership and relationships, or without trust. Campuses could build effective governance by investing in a mechanism that nurture relationships between faculty, staff and administrators (Kezar, 2004). The proposed solution would provide such

opportunity and would allow for the institution to positively move forward. Figure 2.2 provides a high-level overview of the proposed solutions.

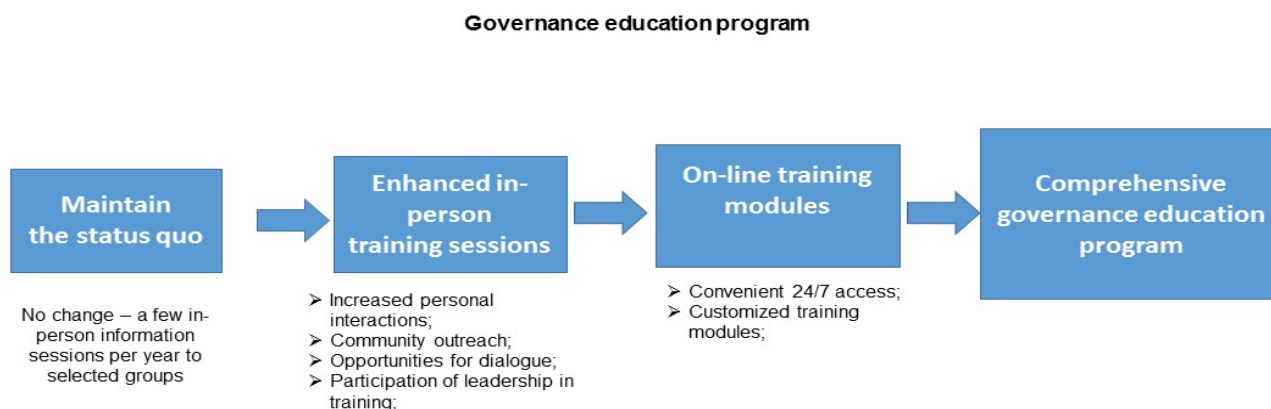


Figure 2.2 Simple depiction of the proposed Governance Education Program at Organization Y.

Leadership Ethics and Organizational Change Issues

The main goal of this OIP is to provide a potential solution for strengthening trust at organization Y through delivering more education and information about the governing bodies and processes. Building trust and creating more transparency are intrinsically connected to leadership ethics, and they are essential contributors to the proposed organizational change. Trust and ethics are closely connected concepts and as Dietz and Gillespie (2011) explain, trustworthy conduct is a core principle in ethics. They state that “Trustworthiness is a precursor to an ethical business culture, where behaviour is steered by values” (p.12) and that strong trust relationships contribute to a positive working environment.

Similarly, the best suited leadership approach for this OIP—authentic leadership--embraces the idea of ethical conduct and advocates for the leader’s moral reasoning in decision making. Northouse (2016) points out that a leader’s moral reasoning provides the “capacity to

make ethical decisions about issues of right or wrong or good or bad” (p. 204). Authentic leaders have the potential to act ethically because they possess an internalized moral perspective and have a deep commitment to core ethical values (Walumbwa et al., 2008).

To consider the ethical responsibilities of the organization and the challenges of the leaders in the change process, Bolman and Deal’s (2013) four frames will be used. The organization’s ethical responsibilities will be connected to leading the change process through these four frames.

Human Resources Frame

Creating trust and showing care are deeply connected to the idea of considering an organization as family, and it creates a special responsibility for the leader to show concern and compassion for the members of the community (Bolman & Deal, 2013). The recommended change process to resolve this problem of practice concerns the needs of the human actors in the organization first and foremost and “it requires listening, understanding and accepting” (p. 401). It is the ethical responsibility of the organization to listen to various voices of the community and make transparent decisions that are the result of wide-ranging consultations. Making information about the governing bodies and their decision-making processes accessible to a wider audience, and providing information and education to everyone in the community is like disclosing important information in a family for the benefit of all its members. Just as a well-functioning family nurtures its members to create unity and understanding, the organization should act in a similar manner to create a caring community.

Symbolic Frame

Closely connected to the human resources frame, the symbolic frame offers a special lens into the organization’s ethical considerations. Bolman and Deal (2013) describe leaders who not

only treat their organizations as family, but they also perform actions that evoke the “soul and spirit” (p. 395) of the organization. It appears that many workplaces have lost their souls “in the race for innovation, growth and a rising share price” (Bolman & Deal, 2013, p. 396), and Organization Y seems to be on the same path in the constant pursuit of obtaining more revenues, inducing relentless competition for research dollars and allowing the naming of its programs and schools by the highest bidders in hopes of receiving large donations. Leaders might face hard dilemmas in making decisions and find it extremely difficult to remain ethical in such environment. As shown in a previous section of this Chapter, the Market-Compete mentality of higher level administrators at Organization Y forces a lot of members of Organization Y to set aside their ethics and bow down to the “Cult of Efficiency” (Gross Stein, 2001) which permeates the higher-education environment today.

Preserving the soul and spirit of the organization by considering its espoused cultural values, symbols and traditions is an ethical obligation of the leader undertaking this Organizational Improvement Plan.

Political Frame

Can politics be ethical? Nowadays it seems that politics is a game of slander, below-the-belt hits, and fake news. Organization Y operates in a similar environment and with increased competition, it seems that everyone pursues their own self-interest; however, as Bolman and Deal (2013) point out the ethical consideration associated with politics is the commitment to justice (p. 402). While Bolman and Deal consider that sharing power is the only “gift” leaders could offer in the pursuit of justice, I would argue that sharing information with the community provides the necessary knowledge by which balance in power can be achieved. Putting stakeholders in the community on equal footing in their knowledge base is extremely important

and one of the most ethical actions an organization could do to safeguard the community against the subjective decisions of administrators.

Structural Frame

Providing clearly laid out information about university governance and educating the community about the decision-making process are ethical actions in themselves, but they also foster the creation of excellence in the organization. Bolman and Deal (2013) state that “The ethical imperative of a factory is excellence” (p. 399) and in an environment of increased competition, all universities are clamoring for excellence and want to increase their rankings in publications, research, student experience etc. Leaders must provide clear directions and personal examples to inspire their followers for excellence as “excellence requires more than pious sermons from top management” (p. 399).

Excellence can be enhanced by openly providing information about procedures and processes that will offer a clear approval path through the governance system, thus creating the appearance of an ethical and systematic decision-making process that is independent of the leaders’ whims. Clear guidelines and transparency in processes provide the tools for balancing flexibility with control and thus enhance excellence in the organization. While some control is necessary to prevent the organization from plunging into anarchy, it also has to have the flexibility to adapt to a rapidly changing environment and push innovative ideas through the approval process. It is the ethical responsibility of the organization to facilitate this process without compromising the interest of any stakeholders. Increasing clarity in governance processes will likely enhance institutional trust at Organization Y and help the university to achieve excellence in a competitive environment.

Considering the four-frame analysis of the organization's ethical responsibilities, it appears that this OIP does not pose any risk of endangering ethical conduct at Organization Y, or have any negative effects on stakeholders. It is my view that the proposed solution will strengthen ethical conduct at Organization Y and will contribute to the organization's effectiveness overall.

Chapter Conclusion

In Chapter 2 of this Organizational Improvement Plan, theoretical frameworks were described to support the execution of the proposed organizational change. Relevant theories of organizational change and leadership approaches were included in the framework, as well as a critical organizational analysis was provided to elucidate the gap between the current and future state of the organization. Chapter 2 also described four potential solutions for increasing trust in the university's governing bodies and provided an overview of ethical considerations while executing this OIP.

Chapter 3: Implementation, Evaluation and Communication

The goal of this OIP is to address the lack of trust in the governing bodies at Organization Y by providing a comprehensive governance education program for all stakeholders. Chapters 1 and 2 provided an overview of the organizational context, leadership approaches and recommended solutions to address the PoP. This final chapter will offer an implementation plan of the proposed program, as well as describe the tools and methods that will be used to evaluate and monitor changes. In the last section of the chapter, the methods of communicating to university stakeholders the need for change and the change process will be described.

Change Implementation Plan

Goals and Priorities of the Planned Change

As described in Chapter 1, the institution experienced a significant trust failure a few years ago, which resulted in a wide-spread consultation process with various stakeholder groups. During consultations with the university community it became clear to the Secretariat's Office and senior administration that stakeholders are lacking even the most basic knowledge about the governing bodies and their areas of responsibilities. It is proposed that the University Secretariat take a lead role in developing and providing a comprehensive training program about university governance. The Secretariat's Office possesses the expertise in the area of governance, and it plays a central role in coordinating governance at Organization Y in addition to serving as an important liaison between the governing bodies, senior administration and the university community.

A formalized program design process will be used, combined with offering educational outreach sessions to various groups on campus in order to engage stakeholders at Organization Y and to elevate the community's perceptions of the governing bodies through knowledge creation. It is envisioned that senior leaders at the institution will actively participate in providing the training, thus contributing to the change process through collaborations with the community. The change envisioned at Organization Y is strongly influenced by the notion that change must happen through collaborative processes to successfully achieve a cultural change (Cameron & Quinn, 2011).

The first step in the process is selecting the proper path for action. Cawsey et al. (2016) provide some guidance for change leaders to help them choose a correct plan for implementing their plan. Table 3.1 recommends that leaders consider three generic change strategies:

Table 3.1

Three Generic Change Strategies

Change type	Characteristic	Implementation
Programmatic change	Missions, plans, objectives	Training, timelines, steering committees
Discontinuous change	Initiated from top, clear break, reorientation	Decreases, structural change, concurrent implementation
Emergent change	Ambiguous, incremental, challenging	Use of metaphors, experimentation and risk taking

Adapted from Cawsey, Deszca & Ingols (2016).

Emergent change encompasses incremental initiatives and allows leaders to experiment with their change management approaches. It is particularly important in this OIP, given that the issue of building trust at Organization Y is challenging and ambiguous. Complexity and

ambiguity call for incremental changes to avoid pushing the organization into a state of chaos and the emergent approach will allow the leader to act first, measure the reactions generated by the action, and take corrective measures as necessary.

After reviewing the change management literature, Bamford and Forrester (2003) determined that there seem to be two main approaches to change management: planned and emergent. While planned change has dominated the literature over 50 years and gained many proponents, support for managing organizational change through the emergent change approach has been growing. Most critics of planned change argue that this type of change ignores reality, and disregards the fact that organizations are part of an ever-changing environment. There is also an assumption that everyone in the organization is working towards one direction without major disagreements (Bamford & Forrester, 2003). The emergent change management strategy recognizes that organizational change is a continuous process which requires experimentation and adaptation, and that it is often achieved through incremental small changes over time. It also stresses the unpredictable nature of change and states that change should not be viewed as a series of linear events within a pre-set period of time (Todnem By, 2005).

The steps proposed in this OIP predicate to follow an emergent change strategy, where the issues seem to be ambiguous and challenging, and the proposed change is incremental. As described in Chapter 2, Stacey's Complexity Theory is used as the macro-level framework for leading the change process, thus managing change through an emergent change strategy at Organization Y seems to be the most appropriate approach. Stacey's theory encourages leaders to think about organizations as open systems where leaders need to manage change in the "Zone of Complexity and at the "Edge of Chaos" (Stacey, 2003), and where small changes could lead to

major changes downstream. The emergent change strategy is best suited for managing change in a complex and uncertain environment through introducing small, incremental steps, such as the introduction of a comprehensive governance education program, in order to build trust at an organization.

As it is described in Chapter 2, analyzing the organization through Cameron and Quinn's (2011) Competing Values Framework determined that a culture change is necessary at Organization Y in order to achieve cultural congruency, build consensus and trust with stakeholders, and ultimately to increase organizational effectiveness. The emergent change strategy predicates that change is a process of learning (Altman & Iles, 1998; Davidson & DeMarco, 1999; Dunphy & Stance, 1993), thus it is assumed that the best suited approach to change the culture at Organization Y is through the provision of a governance education program, which is introduced gradually.

In this OIP, it is envisioned that by providing comprehensive information about the workings of the governing bodies and their committees to members of Organization Y a more trustworthy climate could be created for the benefit of all stakeholders. Increased trust will enable faculty, staff, students and administration to work more collaboratively together and engage in more productive discussions about the institution's future. It is expected that the sharing of more information about governance and providing a centralized education program about the governing bodies will increase trust in Organization Y.

Managing the Transition

Understanding stakeholders' reactions. The proposed OIP will affect many stakeholders at Organization Y and as a result it will be important to understand their reactions

and potentially adjust some aspects of the governance education program in response. Cawsey et al. (2016) recommend that as a first step, managers need to identify the most important stakeholders by assessing their level of authority, involvement in the change, and their potential to ease or disrupt the change. Savage, Nix, Whitehead and Blair (1991) recommend that change leaders assess the stakeholders' capacity to become a threat or to cooperate with them and identify "supportive, mixed blessings, nonsupportive, and marginal stakeholders" (p. 61).

Faculty, staff, students, senior administration and other academic leaders will be affected by, and essentially involved in, the change process. It is anticipated that most members of the university community will be perceptive and supportive of the idea of participating in a centrally-offered governance education program. As Chapter 1 elucidated, the university community expressed a desire to learn more about the governing bodies and to receive more information about their work. Senior administration and other academic leaders (chairs, associate deans, deans etc.) might represent a group of "mixed blessings" participants. Senior administrators could be very supportive of the program, but might be unwilling to participate directly in the education sessions due to time constraints. Similarly, some senior leaders or academic administrators may consider the program as a waste of time in the effort of building trust, or they might not feel that governance education is a priority thus would be willing to participate as little as possible. Of course, all stakeholder groups might have varying fractions who may be either "nonsupportive" or "marginal stakeholders". These stakeholders may be either disengaged from the university and feel that governance does not affect their daily lives, or they may be adversarial to any centrally managed training efforts. In addition, skepticism is expected at various degrees, especially initially, but it might dissipate as the program moves forward. As Cawsey et al. (2016) suggest, skepticism, and its more extreme form, cynicism, can

be overcome by the change leader through displaying integrity and trustworthiness. The main change leader of this project, the Associate University Secretary, must ensure that the information provided to the community is accurate, credible, timely and unbiased in order to guard against skepticism and cynicism of the community.

Bamford and Forrester (2003) identified that change managed and driven from the “middle-out” (p. 554) seem to generate better results than those initiated from the top down. The term “middle-out” refers to the ability of middle managers to carefully develop and filter change propositions given that they have the closest connections to both to the lower level stakeholders and upper management. This view can be readily adapted and transferred to the Secretariat’s office given that members of this office are constantly in contact with students, faculty, staff and senior management as part of their daily routine thus play the role of boundary spanners within the organization. The Associate University Secretary is particularly suitable to fulfil this role since she is constantly navigating the governance landscape by actively participating in committee meetings and advising the community about a wide-range of issues, but also guiding senior administration through the governance processes.

Engaging others in the change process. Cawsey et al. (2016) recommend that change leaders develop and use a change team. They explain that teams are useful since they incorporate different members who bring a wide range of perspectives and as the change initiative progresses, the volume of work increases, and the roles and skills required for successful implementation change as well.

It is envisioned that at Organization Y a Governance Education Working Group (GEWG) will be established to provide the necessary perspectives, expertise and share the workload for

the proposed change. The GEWG will be led by the Associate University Secretary, who will also act as a champion and leader for the implementation of the project. The Associate University Secretary will be seconded full-time to the governance education project for the first two years of the program in order to provide leadership and oversight of the program, as well as to ensure timely development of on-line modules and to provide presentations or other types of outreach. Other members of the GEWG will include two members (one each) from the Board's and Senate's governance committees, two members of faculty, one member of staff, two students (one undergraduate and one graduate) and one Dean or Associate Dean. The composition of GEWG will aim to balance representation from all stakeholder groups thus balancing their interests. Other members will join the Working Group at different stages. For example, a member of the Information Technology Group might join the GEWG at the time when the on-line modules are designed and developed; at another time, a member of human resources will be invited to discuss possibilities of including basic governance education into the new employee information package or to explore other outreach methods to staff. The GEWG will act as a steering team and a design team in one and will meet at least monthly initially. The implementation of the program will be the responsibility of the University Secretariat with the bulk of the work be done by the Associate University Secretary. It is envisioned that the Associate University Secretary will also be supported by a change project manager on a 2-year contract basis.

It would be necessary that the University Secretary act as a sponsor of change for the project, advocating for change with senior management and providing leadership to ensure through the budget planning process that resources are in place. Building engagement and

increasing awareness about the program in the university community will be achieved through a well-planned communication plan, which will be described later in this chapter.

Resource considerations. As described in Chapter 2, the proposed solution – offering a comprehensive governance education program to the university community incorporating in-person education sessions as well as on-line modules – requires significant resources. The Associate University Secretary seconded for the project needs to be replaced for a two-year period, as well as a temporary change project manager will need to be hired for the same length of time. This means that the budget of the University Secretariat will need to be increased for a two-year period to allow for these additional expenses. In addition, financial support will be needed to enlist the services of the Information Technology Group in developing the on-line modules. The modules will be accessible through the already existing on-line learning system at Organization Y, thus there are no additional funds needed for server space or for purchasing a special software. The modules will be recorded as mini videos with the help of an IT or communication specialist and uploaded on the on-line learning system.

At Organization Y, one-time funding can be requested by the budget unit head through the annual budget planning process. These funds are available for one-time initiatives from the Provost or the President, and they could cover personnel cost, supplies or any cost associated with a special project. The University Secretary will need to incorporate the governance education project into the Secretariat's budget as a one-time funding request to ensure that financial resources are in place for the execution of the implementation plan. A detailed description will need to be provided as well as the potential benefits of the envisioned program.

The University Secretary will need to champion the program at the annual budget planning meeting.

Significant time commitment is also necessary from members of the GEWG—at least initially—in order to design and develop the program, and to monitor the implementation.

Potential implementation issues. There are four implementation issues that need to be considered when introducing this OIP. The first one is the most obvious: if the request for additional funding for staff resources is denied during the budget planning process, the implementation of this OIP is going to stall or will be realized at a very slow pace. The current resources in the Secretariat's Office will not allow staff to invest a significant amount of time into the development and execution of the governance education program. This will mean that the plan will not going to be developed and offered, or it will progress too slowly to make any difference in any foreseeable time.

The second implementation issue is the potential lack of engagement of stakeholders. As mentioned in Chapter 1, training is only beneficial if a large segment of Organization Y is willing to participate. The barriers to attend the educational sessions or utilize the online modules include lack of awareness that the program even exists, lack of time, and lack of interest. The first barrier – lack of awareness about the program--could be overcome through a carefully planned communication plan. Approaches to effectively build awareness in the university community will be described in the next section of this chapter.

Overcoming the lack of time is harder, as this is beyond the control of this author; however, governance education sessions will be offered at events such as faculty councils, new

faculty and staff orientation sessions, student organizations' council meetings or other events to which people are already committed to, thus effectively utilizing people's time without requiring them to attend separate sessions. In addition, the on-line modules will offer flexibility for access and will provide a convenient way to study these sessions on demand.

The hardest barrier to overcome is the lack of interest or disengagement of the community. It is presumed that disengaged members of Organization Y will not be interested in attending any kind of education session, whether it is about governance or anything else. While the governance education program is expected to increase the general knowledge of the community about governance and generate interest in this topic, it is also envisioned that different stakeholders will initially participate with different levels of enthusiasm. Increasing the overall organizational engagement of completely disengaged members is beyond the scope of this OIP.

Building momentum. Similar to the "butterfly effect" described in Stacey's Complexity Theory model, in his book *The Tipping Point: How Little Things Can Make a Big Difference*, Gladwell (2002) determined that when certain things happen at the right time, small changes can have major consequences. Gladwell explains that "ideas and products and messages and behaviours spread like viruses do" (p.7), thus changing the behaviour of the whole population in rapid succession. Gladwell's "tipping point" concept plays a prominent role in this OIP suggesting that the governance education program will create such tipping point, and will have an overarching effect on institutional trust at Organization Y.

It is implied in Chapter 2 that a more congruent culture must be built at Organization Y through the provision of more information and communication about governance. Cameron and

Quinn (2011) explain that organizational culture represents “how things are around here” (p.19), which ultimately reflects an ideology that members of the organization carry in their heads. This mental image contains the invisible rules and guidelines how to behave in the organization, determines the identity of each employee, and ultimately stabilizes the social system that the people of the organization are part of. Since culture of an organization is undetectable most of the time, it is hard to determine whether a change initiative has any effect on the organization’s culture. The change of an organization’s culture can also be a long-term process taking years to achieve. In case of Organization Y, the proposed approach is not to eliminate the culture, but rather alter it to create a more trustworthy and collaborative culture. This might be even harder to observe given the incremental changes taking place over years. Lastly, culture is specific to each organization and there is no such thing as an overarching perfect culture that can be benchmarked for every higher educational institution for example.

The short-term goal (12-18 months) of the OIP is to generate overall awareness in the community about governance through the governance education program. The Associate University Secretary should participate in as many as possible faculty councils, student council meetings, new employee orientations, and employee group meetings as possible during this stage and provide a high-level overview and basic information about governance. The GEWG should be established and tasked with developing the online modules and enhance the face-to-face programs.

Medium-term goals (18-24 months) include the full development of the online governance education modules and opening them up for the university community. Engaging

senior level administrators in the face-to-face education of the community is also necessary at this stage.

The long-term goal (24 months plus) of this OIP is to create a fully functioning governance education program that is constantly monitored and developed as necessary.

Challenges and limitations. It is explained in Chapter 1 and Chapter 2, that the governance education program is only a small contributor to building trust at Organization Y. It is envisioned that the program will generate more changes over time and trust in the governing bodies will be strengthened at the organization; however, this program can be considered only as a first step in the process. Gillespie and Dietz (2009) explain that “organizational trustworthiness is influenced by multiple sources of evidence and actors operating at multiple organizational levels” (p. 129) and that trust repair will require several responses at multiple levels. They also state that repairing organizational trust is difficult since it is often hard to establish where the problem started and who is responsible for it. As a result, Gillespie and Dietz (2009) recommend a systemic and multilevel framework to guide the trust repair process at the organizational level. The governance education program is not envisioned to fulfil all of these requirements and its scope might be too narrow to instill systematic organization-wide change.

Change Process Monitoring and Evaluation

Eckel (1999) states that providing evidence of a cultural or climate change in a higher education environment is difficult, since many of these changes are hard to track. Shifting culture or climate are often invisible or unmeasurable with conventional tools and also take place gradually over several years or even decades. Eckel (1999) suggests that “the foremost goal of

any institutional change initiative is improvement” (p. 51), and in order to determine whether a positive change occurred, she recommended to consider three questions as follow:

- 1) How much improvement has occurred? What is different on campus?
- 2) What strategies have produced the improvements?
- 3) What have been the consequences, intended or unintended, of the changes? (p. 51)

In order to answer these questions, both quantitative and qualitative evidence need to be collected. These could take the shape of hard numerical data or even softer measures, such as observations or stories. Eckel (1999) recommends that change leaders look for evidence in six broad categories: institutional activities, outcomes, processes, structures, experiences, language and symbols. Evaluating changes in all six categories to answer the three questions provides a comprehensive framework for an “evidence collection strategy” (p. 52); however, it might not be appropriate for all situations to look at change so comprehensively. For example, the guidelines recommended by Eckel for an evidence gathering strategy will be followed in this OIP through utilizing two different tools: the PDSA Model for Improvement and the Kirkpatrick Model for the evaluation of training programs.

The PDSA Model for Improvement

It is proposed that the first tool to be used as a model for monitoring the change process at Organization Y is the Plan-Do-Study-Act (PDSA) Model for Improvement. The PDSA model was originally developed by Deming in the 1950s and it proposed to follow the scientific method principles, and enable change agents to approach the organizational change process from a pragmatic point of view. While the original ideas of Deming were specifically directed to a manufacturing environment, and were aimed to increase the sales of products, the PDSA Framework was adopted by many other types of organizations. For example, Moen and Norman

(2010) state that “Today, the PDSA cycle remains relevant and continues to evolve” (p. 28), as well as highly applicable to all kind of organizations, and a valid model for monitoring change in a higher education environment.

Applying the PDSA Framework to this OIP

In their paper, Langley, Nolan and Nolan (1994) established three fundamental questions that were added to the PDSA cycle to form the basis of evaluating an organizational improvement process. These fundamental questions were layered with the Deming Wheel (Langley et al., 1994) – the conventional depiction of the PDSA cycle - to define the aim, current knowledge and the cycle of learning and improvement, as shown in Figure 3.1.

When applying Langley et al.’s (1994) Model for Improvement framework to this particular OIP the following could be stated:

- 1) Aim – What are we trying to accomplish?

As established in Chapter 1, the PoP of this OIP is the lack of trust in Organization Y’s governing bodies. The main goal of the OIP is to increase institutional trust through providing a comprehensive education to the university community about the governing bodies, and their roles and responsibilities.

- 2) Current Knowledge – How we will know that a change is an improvement?

Various formative and summative methods of evaluation will be employed to measure change and improvement at Organization Y. While increased trust is hard to measure, indicators for more stakeholder engagement, increased knowledge base about governance

and improved relationships between administration and stakeholders could be measured or observed. (A detailed description of the Kirkpatrick Model - a plan of the proposed measurement and evaluation process - to follow later in this section).

- 3) Cycle for Learning and Improvement – What changes can we make that will result in improvement?

The four-step process of the PDSA cycle will be followed to determine if the proposed governance education program had an impact. Continuous improvement will be achieved by acting on changes that are recommended as a result of monitoring and measuring the progression of the OIP. The PDSA cycles are repeated continuously, and with every repeat the change process is improved and contributes ... to the sequential building of knowledge” (Langley et al, 1994, p. 6).

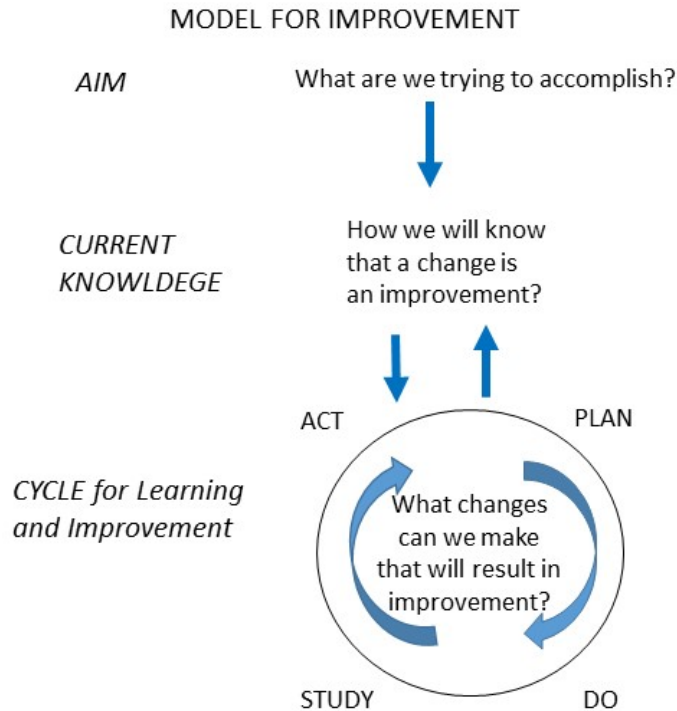


Figure 3.1 The PDSA Model for Improvement with layered questions. Adapted from Langley, G., Nolan K., & Nolan, T. (1994).

Fit of the PDSA Cycle with Authentic Leadership

It was proposed that an authentic leadership approach be used to enact the change process and to champion a comprehensive governance education program at Organization Y. Authentic leadership embodies the necessary attributes to build trust, and this type of leadership is also positively related to the community's level of trust in the leader during an organizational change (Agote et al., 2016). Avolio et al. (2005) defined authentic leadership from a development perspective and stated that authentic leadership is constantly evolving during the leadership journey of a leader. In order to develop the best authentic attributes, authentic leaders should also

continuously reflect on their own practice and learn from their own mistakes and build a life-long practice of reflective leadership (Lawrence, 2015).

The continuous improvement cycle of the PDSA model is aligned with the authentic leadership approach since both promote improvement based on the evaluation of past experiences during a longer period of time. Authentic leaders are able to understand and appreciate the value of evaluating something that has been done previously and making changes accordingly. The PDSA cycle is an excellent fit with the authentic leadership approach to change both philosophically and practically.

Monitoring and Evaluating Change by Using the Kirkpatrick Model

The second tool that is proposed to be used for the monitoring and evaluation of this OIP is the Kirkpatrick model, which was first developed by D. Kirkpatrick in 1955 for the evaluation of training programs. The Kirkpatrick model for the evaluation of change consists of four levels: Reaction, Learning, Behaviour, and Results. A simplified example of the model is show in Figure 3.2, describing the proposed methods for analyzing and evaluating change at each of these steps.

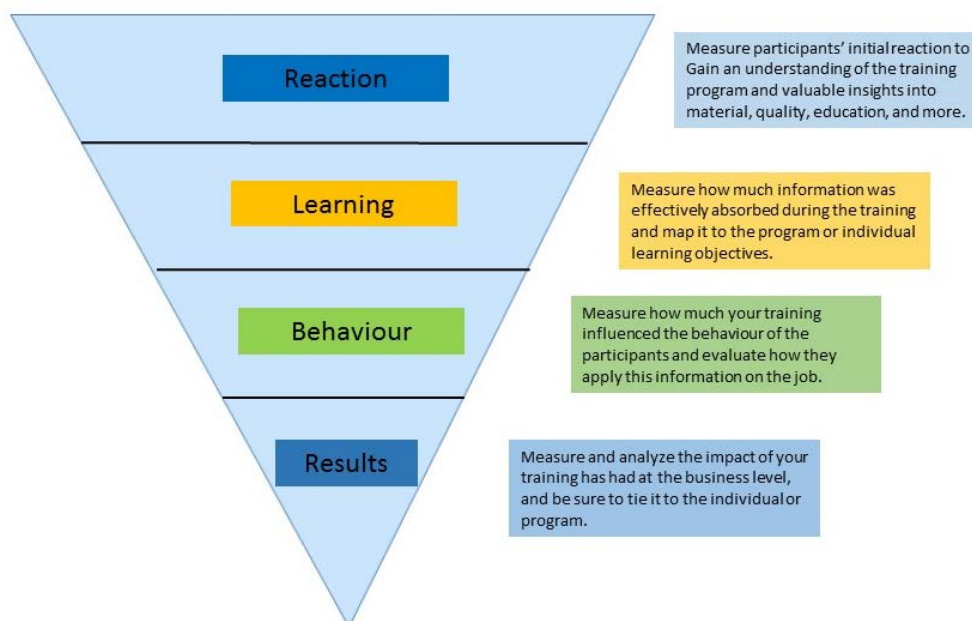


Figure 3.2. The Kirkpatrick Model for Evaluating Learning. Adapted from Petrone (2017).

Adopting the Kirkpatrick model to this OIP, the following measurements are suggested:

Level 1: Reaction. The first level of evaluation is intended to measure participants' reaction to the training. The evaluation will inquire about whether participants felt that the information provided was useful to them, their reaction to the instructor, the presentation, the venue and timing of the training and the utility of the topics covered. Participants will be encouraged to provide comments and suggestions and identify topics they felt were not covered. For collection of data, on-line client questionnaires will be used after the training is provided. The online modules will contain feedback links regarding the sessions.

Level 2: Learning. The level of learning will be measured in different ways. A few envisioned strategies include: participants will be provided informal mini quizzes during the sessions to assess immediate comprehension of the material; participants in new employee training groups (faculty and staff) will be asked to fill out an on-line questionnaire three months

after the training to assess their retention of knowledge; the Secretariat will maintain a call log about calls received regarding information which is readily available on the Secretariat's website (process or routine matters, location of policies or deadlines). These measures are all aimed to assess the level of knowledge stakeholders have about governance and to determine if they became more self-reliant in utilizing information posted on the Secretariat's website as a result of the training.

Level 3: Behaviour. Behavioural changes in response to the governance education training will be measured in different ways. A few envisioned strategies include: stakeholder engagement will be measured by monitoring the number of nominations and votes submitted during Senate and Board elections, or for nominations for membership on Senate committees; observations will be conducted as Senate meetings to evaluate if the meetings are more collegial/cooperative and if conversations demonstrate less "combativeness"; a survey will be administered every year to Senate members to ask about their perception of collegiality at Senate meetings and whether the relationship between members and administrators were improved. This survey will be conducted before the end of the academic year in June and results will be reported back to Senate in the fall.

Level 4: Results. The long-term goal of this OIP is to increase intra-organizational trust at the university, create a more cooperative environment and ultimately result in a culture change. These changes can only be achieved over a longer time period (several years), so they will be measured every two years or more. The proposed methods of evaluation include: surveys, focus groups or interviews of administrators and selected faculties; inclusion of questions about institutional trust and collegiality/cooperation in the employee survey conducted by Human Resources every five years. This culture survey is intended to provide a "snapshot"

of how people in different units at Organization Y perceive their work and work environment and would be suitable to measure long-term changes in intra-institutional trust caused by the university governance education program.

Combining the PDSA cycle with the Kirkpatrick model and analyzing the results regularly will provide valuable information to the Governance Education Working Group (GEWG) to refine the governance education program and decide on what changes might be necessary as the program unfolds. As mentioned earlier, the training program is intended to be the first of many steps in the process of building trust at Organization Y. The reiterative process of monitoring and evaluating change will follow the four steps of the PDSA cycle: planning, implementation, examination of results and revisions as needed. This continuous cycle of refinements will provide flexibility and will help GEWG to understand where the change process is and what needs to be changed to move forward.

Change Process Communication Plan

Communicating the Need to Change

Stakeholders at Organization Y indicated during a wide-ranging consultation process that change is needed when it comes to information sharing about the university's governing bodies and their roles and processes. The need for change became apparent as a result of an organizational crisis and institutional trust failure, and this OIP is prepared in response to the need expressed by the community at Organization Y. The desire to change is already present at Organization Y, and it was clearly articulated in the review reports of the governance review task forces and committees.

It was specified in Chapter 1, that communication through simple information sharing could effectively create trust (Peterson, 2016) and that trust can act as a mediating factor by lessening control mechanisms and by increasing collaborations between administration and faculty in an academic environment (Hoppe and Holly, 2014; Tierney, 1988). The goal of this OIP is to share information with the community about the governing bodies, their areas of responsibilities, their functioning and decision-making process and thus increase institutional trust. Sharing information contributes to transparency and allows stakeholders to make informed decisions regarding their relationship with the organization, including the trustworthiness of its leaders (Rawlins, 2009). This involves sharing information in a way that is “ascertainable and understandable by a party interested in those actions or decisions” (Gower, 2006, p. 95). The governance education program, consisting of in-person sessions and on-line modules, is intended to create a clear and functional information source to the university community, increase transparency and disclosure, and ultimately strengthen trust at Organization Y.

While it is not anticipated that organizational stakeholders will have an entirely negative reaction to the governance education program, it is expected that there will be some segments of the community who will be resistant to the training and will not be engaged for reasons previously described. To mitigate these risks, it will be necessary to approach stakeholders by using different communication strategies and develop a communication plan to engage everyone in the community and create awareness about the program.

Lewis (2011) proposes five communication strategy dimensions that could be effectively used by change implementers. The five strategy dimensions provide an overview of the foci of implementers vs. stakeholders as depicted in Table 3.2 below.

Table 3.2

Communication Strategy Dimensions: Implementers and Stakeholders foci

Strategy	Implementers foci	Stakeholders foci
Disseminating Information and Soliciting Input	Official view of plan/purpose Answering questions Correcting misinformation Listening to rumors Soliciting insights Inviting active participation	Alternative views of change plan/purpose Asking questions Seeking outside expertise Providing additional expertise and insight Knowledge production
One-sided or Two-sided Message	Positive selling Acknowledging and refuting others' arguments Forewarning or some negatives to provide realistic preview for positive stakeholders	Raising new arguments Engaging over refutation provided by implementers Inoculating fellow stakeholders to implementer arguments
Gain or Loss Frame	Focus on how cooperation with change provides advantage or how lack of cooperation will run risk of loss Gains/losses will be in terms of organization well-being; central mission of organization; individual stakeholders' gains or losses	Identifying new gains or losses not noted by the implementers Refutation of some predictions of gain/losses as unlikely or more likely
Blanket/Targeted Messages	Blanket message or marketing to specific stakeholders Determining high-value interests and information needs of key stakeholders	Tailoring messages for each stakeholder group or using blanket strategy Sharing targeted messages with other stakeholders for comparison or consistency
Discrepancy/Efficacy	Communicating need and/or urgency for change Communicating "we can do it" message to stakeholders	Supporting, refuting and/or questioning need, urgency, and efficacy messages Advocating alternative "need" messages

Adapted from Lewis (2011).

Lewis (2011) explains the five communication strategy dimensions as follow:

1) Disseminating Information/Soliciting Input: Implementers use this strategy to explain

why a change is being made and convey a pre-formulated idea to the stakeholders.

Depending on the type change, this can be simply conveying information or ideas of management to the community, or encouraging participation of stakeholders through seeking their feedback and active participation. From the stakeholders' point of view this strategy could involve asking for clarifications and questions, creating alternative views of the change, providing their own expertise and suggestions and ultimately, engaging in the sense-making of the change.

2) Sidedness: Implementers might focus only on their own viewpoint about the change or

present a balanced perspective on the change by showing opposing arguments. The main goal of the implementers is to sell the idea of change to the stakeholders. On the other hand, stakeholders often create inoculation arguments by calling attention to a vulnerability or deficiency in the plan. They spread these arguments via their social networks to influence others and prepare them to refute the implementers' arguments.

3) Gain and Loss Frame: In this strategy, the implementer frames the change in terms of

gains created by compliance, or by losses created by noncompliance. Lewis emphasizes that people may be more perceptive to avoid losses than to obtaining gains thus implementers must frame their messages carefully. Stakeholders will attempt to provide alternative views of losses and gains and will challenge the claims made by the implementers.

4) Targeted or Blanket Messages: Implementers engaging in this strategy must chose

whether to target their message to a specific stakeholder group or send the same message

to all stakeholders. Implementers might chose to market the change to different groups differently, or share information about the change to different stakeholders on a need to know basis. Stakeholders will ultimately share and compare information amongst themselves and will argue for consistency between groups.

- 5) **Discrepancy and Efficacy:** Implementers might highlight the urgency for change or present the change as something that creates efficacy within the organization.

Stakeholders might refute the urgency for change, question the need for it or create and “alternative need” for their population.

A detailed communication plan for this OIP is presented below to illustrate the use of these communication strategy dimensions during the various phases of the implementation plan. Different strategies might also be employed with different stakeholders during the same implementation phase.

Communication Plan

It is envisioned that the communication for this OIP will consist of different phases, following the evolutionally stages of the governance education program.

Pre-change phase. In this initial phase, the most important communication goal is to establish the need for the governance education program with senior administrators and to gain their financial support for the operationalization of the plan. The University Secretary and the Associate University Secretary assigned to this project will present the plan for introducing the governance education program during the annual planning meeting with the Provost and the Head of the Budget Department. The first communication strategy dimension selected at this stage will be the *discrepancy/efficacy*. The urgency for change will be emphasized to senior-level

administrators in order to gain their support. Cawsey et al. (2016) refers to this as “change agents need to convince top management and others that the change is needed” (p. 320), as this group has the authority to approve the necessary change. The communication strategy *gain and loss* will also be used to illustrate how the governance education program will create advantages or losses to senior administration. While it will be hard to demonstrate actual financial or other material losses in relation to the plan, it will be possible to draw upon the material presented in this OIP to illustrate the importance of institutional trust for Organization Y’s functioning. This will involve the *presenting information* strategy via a well-organized, concise and clear personal presentation, supported by hand outs and illustrations or infographics.

0-12 months. After receiving approval and budgetary support for the project, several stakeholders will be approached with different strategies. As explained in Chapter 2, senior leadership – President, Vice-Presidents, Board Chair, Senate Vice-Chair etc. – will need to be involved in the project to present certain sessions of the program and to establish in-person interactions with the community. This group will be approached with a combination of *presenting information* and *soliciting input* strategies, as well as *sidedness* and *discrepancy/efficiency* strategies. For example, it will be necessary to explain to this group why the change is needed, but it is also necessary to get their input as well as cooperation for the program to be successful. The Board Chair and the Senate Vice-Chair could also influence the members of these governing bodies positively and increase the likelihood of their participation in the dissemination of information to the broader community via their informal or social networks.

During this initial phase, it is proposed that the Associate University Secretary continue to provide the already established basic information sessions to selected groups (new faculty

orientation, new academic administrators sessions etc.) and convey *targeted messages* to these groups about upcoming changes in the governance education program. The GEWG will work on an enhanced in-person education program during this time, which will be rolled out in the next phase.

12-18 months. In this phase of the program the governance education program will be rolled out to a wider audience. The Associate University Secretary will attend faculty council meetings, meetings of various employee groups and student organizations, as well as new employee orientation sessions to provide basic information about university governance. The strategies *information sharing* and *soliciting input* will be used at this phase. As part of the evaluation plan for this program, input will be solicited from participants of the sessions for improvements in content and format as well as venue and timing. *Blanket communication* strategy will be employed to advertise these sessions to the university community via email, by putting these events on the university calendar page, and asking for assistance from the Deans' Offices, student leaders, administrative managers and leaders, Human Resources etc. to advertise the sessions within their own areas. These latter stakeholders might be presented with communications in line of *discrepancy/efficacy* to illustrate how a governance education session will benefit their individual areas by creating more understanding, more efficient workflow and better collaborations.

18-24 months. During this phase the on-line governance education modules will be rolled out and these need to be advertised to the university community to create awareness. *Blanket communication* strategy will be used first: mass emails, notifications via the on-line course system where the modules will be housed, reaching out to a wide variety of stakeholders

via their Deans, Chairs, or administrative leaders. The use of these modules will be monitored over the initial 6 months to determine whether a *targeted communication* strategy needs to be established to certain stakeholders. The on-line medium is also considered as an *information sharing* strategy as well as *soliciting input* from the community via the embedded feedback questionnaires.

24 months and beyond. It is very important in this phase that ongoing communications are conducted with the campus community. The PDSA cycle will support the enhancements in the program and new developments need to be rolled out during this phase. Of course, communication to senior administrators will be important to obtain financial resources for the sustainability of the program. For this, statistical information will be combined with qualitative information that were gathered over the previous 24 months and will be presented by using the *sidedness* and *discrepancy/efficacy* strategies. Messages will illustrate how the governance education program benefitted the community, acknowledge any deficiencies and offer ways for improvements as well as provide a realistic future for the program. These strategies will be also useful to keep presenters engaged in the program and ensure their continued support.

Stakeholders on campus will be notified about any changes in the program or upcoming sessions by using *blanket communications* or *targeted communications* specifically prepared to various segments of the stakeholder groups.

Chapter Conclusion

In this chapter an implementation plan for the proposed governance education program was provided to enable the institution to effectively address the PoP. The continuous improvement of the program will be ensured by using the PDSA cycle layered with the

Kirkpatrick Model, and these will aid the ongoing monitoring of changes and the enactment of the necessary improvements during the life of the program. Different communication dimension strategies will be used to approach stakeholders and ensure their buy-in or engagement. The proposed communication strategies will ensure that all stakeholders are kept informed and remain engaged in the process. It is expected that through the careful implementation and monitoring of the governance education program at Organization Y the PoP will be successfully addressed and ultimately will enable the organization to function more efficiently.

Next Steps and Future Considerations

This Organizational Improvement Plan was created in response to an institutional trust crisis at Organization Y, where the governing bodies were implicated as one of the contributors to the crisis. The Problem of Practice examined in this OIP is how to increase the campus community's trust in the governing bodies through making their roles and responsibilities transparent to all stakeholders. During the wide-ranging consultation process conducted shortly after the institutional crisis, it was identified by the community that they desire more information about the university's governance and would like to be better educated about the work of the governing bodies. The governance education program described in this OIP is expected to be successful in contributing to the process of creating institutional trust at Organization Y while significantly increasing the knowledge of all stakeholders about the university governance at the same time.

As higher education is becoming more and more market-oriented, the role of the governing bodies – especially the role of the governing Board – becomes more important, as universities are attempting to face and manage their own fiscal realities. The amplified influence

of market competition on academic institutions is creating internal and external tensions (Kaplan, 2015). These tensions manifest themselves in increased conflicts between university stakeholders and also generate heightened rivalry between institutions. The noble university mission of searching for the truth quickly became a race for revenues and for well-endowed patrons at most Canadian universities (Austin & Jones, 2016). University governance reflects these conflicts as the espoused notion of collegiality is slowly declining, Senate's role is increasingly eroding and the Board is making fiscal decisions while emanating market principles in its decisions, values and composition.

While governing bodies mostly operate invisibly, the efforts to accuse them for all kind of mishaps the university faces can become dangerous by ruining the reputation of both the institution and its leaders. It is evident from external research and internal observations that most university stakeholders do not know enough about the roles and responsibilities of the governing bodies and get easily confused about whom to blame when mishaps happen. Increasing the knowledge-base of the community might mitigate these risks by providing an accurate picture of the governing bodies and their roles in the institution's life.

It is envisioned that in the future the governance education program will develop into an important resource which all stakeholders will use, and which will shape the culture and shift the mindset of Organization Y to become more collaborative. However, it is also envisioned that the program is just one small step towards this goal and increasing trust and collaborations at the university will take a lot more than learning about governance.

Several experts asserted that increasing or repairing institutional trust can be achieved through simple interactions and sharing information between senior administration and

stakeholders (Kezar, 2004; Gillespie & Dietz, 2009; Kramer & Lewicki, 2010; Bachman et al., 2015), and the goal of this OIP is to reflect these findings. Similarly, researchers determined that small changes could lead to bigger changes in an organizational change process (Stacey, 1995; Gladwell, 2001) and the steps suggested in this OIP reflect this modest approach to change.

While the proposed introduction of a comprehensive governance education program might not be a feasible option every institution, it is certainly important to most of them to increase the knowledge of their communities about the role of the governing bodies and make these entities visible to all stakeholders. Universities play an important role in society by training and developing the future generations thus their decision-making processes must be visible, transparent and accountable to all within and outside of the university.

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