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# Implementing Authentic Formative Assessment to Improve Student Learning

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Implementing Authentic Formative Assessment to Improve Student Learning

by

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AN ORGANIZATIONAL IMPROVEMENT PLAN

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**Abstract**

This Organizational Improvement Plan (OIP) capstone addresses the Problem of Practice (POP) pertaining to the lack of a robust system of authentic formative assessment at the Department of Business Administration (DBA) in an Arabian Gulf University. A synthesis on the literature around formative assessment has informed a conceptual model for the POP which highlighted the importance of formative assessment and its positive influence on student learning. This OIP designs a comprehensive and systematic plan which guides change towards the improvement of the POP, targeting stronger system performance and enhanced outcomes for student learning. Using an organizational culture lens, this OIP examined cultural and contextual gaps within the DBA and pinpointed necessary changes to support the integration of formative assessment. Through the amalgamation of transformational and instructional leadership (Day & Sammons, 2013; Hallinger 2003; Marks & Printy, 2003) practices and using the Change Path Model (Cawsey et al., 2016) and Kotter's (2014) eight accelerators for change, this three chapter OIP sets a vision for change and delineates a foundational change plan for implementing formative assessment at the DBA. The plan centers around two goals: (1) building faculty capacity and (2) building cultural capacity. Strategies elected for the achievement of these goals include faculty Professional Development (PD), the formation of an instructional leadership team, peer coaching, Teacher Learning Communities (TLCs), faculty empowerment, and the promotion of values pertaining to assessment *for* learning within the DBA culture.

**Keywords:** Formative assessment, formative summative assessment, student learning and achievement, assessment *for* learning, instructional improvement, teacher learning communities, culture of assessment, transformational leadership, instructional leadership

**Executive Summary**

This Organizational Improvement Plan (OIP) addresses the lack of a robust system of authentic formative assessment as a Problem of Practice (POP), and delineates how to implement and employ authentic formative assessment at the Department of Business Administration (DBA) of an Arabian Gulf university. An 'MU' pseudonym is used to protect the university's confidentiality throughout this OIP. This OIP is founded on research evidence and academic literature on the gains of formative assessment practices on student learning and achievement (Bakula, 2010; Black & Wiliam, 1998a, 1998b; Bonner, 2012; Stefl-Mabry, 2018; Stiggins, Arter, Chappuis, & Chappuis, 2007), and is informed by leadership and change theories on how to lead and facilitate the implementation of authentic formative assessment.

Chapter one provides contextual understanding on MU in general, the DBA in specific, and the identified POP within. A complete POP statement in its organizational and environmental contexts, along with the inquiries emerging from it and the factors shaping it, are outlined. To help provide perspectives on the identified POP, a conceptual model is designed and synthesized from relevant data and academic literature on formative assessment. A synopsis of the perspectives embedded within the conceptual model is presented and followed by a summary of the macro-environmental factors shaping the problem. Furthermore, an integrated transformational and instructional leadership model, which is adopted to address the POP within this OIP, is designed, presented, and followed with a leadership-focused vision for change. Lastly, the chapter ends with an assessment of the organizational change readiness and an analysis of the competing internal and external forces that shape change. Due to the significant impact that organizational culture has on an organization's functioning, this OIP is viewed through a cultural lens. The adopted cultural lens has influenced the analysis and findings within this OIP.

Chapter two serves as the bridge between the identification of the problem in chapter one and the development of an improvement plan which addresses the problem in chapter three. It begins with a discussion on how transformational and instructional leadership approaches will be used to propel the change. Practical behaviors and actions of transformational and instructional leadership to drive the change are outlined. Next, a framework for leading the change process using the Change Path Model (Cawsey et al., 2016) and Kotter's (2014) change accelerators is described. A gap analysis is then conducted using the Nadler and Tushman's Congruence Model (1980) to identify the needed changes within the organization. Possible solutions to address the POP are proposed and analyzed for the subsequent careful selection of the adopted solution. The chapter ends with an account of the ethical considerations and challenges which pertain to the OIP and its relevant change processes.

Chapter three details the implementation plan for the adopted combined solution which focusses on two goals: (1) building faculty capacity and (2) building cultural capacity. It outlines the overall strategy for change along with the priorities, timelines, and resources for the planned change. A plan for managing the transition along with a description of how stakeholders' reactions will be understood and managed is presented and explicated. Furthermore, implementation issues and challenges are also outlined and means to address them are presented. The chapter then presents tools for monitoring and evaluating the change and follows with a comprehensive communication plan which covers all change phases. Finally, the chapter concludes with an articulation of the next steps and future considerations for this OIP.

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## List of Acronyms

**A*f*L:**        Assessment *for* Learning

**CBAM:**       Concerns Based Adoption Model

**DBA:**       Department of Business Administration

**FSA:**       Formative Summative Assessment

**OIP:**       Organizational Improvement Plan

**PESTEL:**       Political, Economic, Social, Technological, Environmental, and Legal

**PD:**       Professional Development

**POP:**       Problem of Practice

**SoCQ:**       Stages of Concern Questionnaires

**TLCs:**       Teacher Learning Communities

<center>**Glossary of Terms**</center>

**Assessment *for* Learning**: Assessment *for* Learning is a concept of assessment which promotes a focus on learning and the learner, as opposed to teaching activities. It calls for making learning explicit, promoting learning autonomy, and focusing on learning (as a process) as opposed to performance (as a product) (Swaffield, 2011).

**Authentic Transformational Leadership:** Authentic transformational leadership is leadership which is grounded in ''a moral foundation of legitimate values" (Bass & Steidlmeier, 1999, p. 184) which calls for "commitments beyond the self" (Gardner, 1990, p. 190) and the adoption of altruistic values (Howell, 1988).

**Belief Systems:** The belief systems of an organization encompass the values and beliefs which employees hold. These values and beliefs makeup culture and influence organizational decisions (Cawsey et al., 2016).

**Change Path Model:** The Change Path Model is a model of organizational change which combines process and instructions in a high level of detail. The model delineates how to bring the change process stages to life in order to achieve successful change realization (Cawsey et al., 2016). It builds on previous change models like Lewin's (1975, 1951) and Kotter's (1996) and reflects years of consulting and collaborations with executives on change. It outlines a rigorous process for organizational change implementation through four stages, namely, *Awakening*, *Mobilization*, *Acceleration*, and *Institutionalization* (Cawsey, Deszca & Ingols, 2016).

**Cognitive Dissonance:** The theory of cognitive dissonance was first introduced by Leon Festinger, a prominent social psychologist, in 1957, where he focused on the cognition behind behaviors. The theory argues that individuals have the tendency to seek consistency between their beliefs and behaviors and that in cases of inconsistency (dissonance) between them, individuals will seek to

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eliminate the dissonance by changing the behavior to accommodate the new beliefs and/or opinions (Festinger, 1957; Morvan & O'Connor, 2017).

**Concerns Based Adoption Mode1 (CBAM):** CBAM is a well-known robust and empirically grounded theoretical model, developed by Hall and Loucks (1978), for the implementation of educational innovations (Anderson, 1997). It is a useful framework to understand the evolution of concerns during change adoption and implementation (Roach, Kratochwill, & Frank, 2009). CBAM offers three frameworks for monitoring and evaluating teachers' engagement with and implementation of change: *Stages of Concern*, *Levels of Use*, and *Innovation Configurations* (Roach et al., 2009).

**Force Field:** Force Field is a theory originally developed by Kurt Lewin in order to understand individual behavior, but was later used as a method for analyzing and changing group behavior (Burnes, 2007). Field theory plays a central role in understanding the forces that sustained undesired behaviors, and identifying forces that would need to be either strengthened or weakened in order to bring about desired behaviors (Lewin, 1975).

**Formative Summative Assessment:** Formative Summative Assessment is a marriage approach developed by Steven Wininger in 2005. It calls for the provision of feedback on exams and maximizing the potential of exams in closing learning gaps and serving as a feedback channel which is relevant to student learning improvement (Wininger, 2005)

**Formative Assessment**: Formative assessment is assessment that is specifically intended to provide feedback on performance to improve and accelerate learning (Sadler, 1998).

**Gap Analysis:** A gap analysis is an analytical method and process which conceptualizes a problem as a gap between current and desirable organizational conditions (Archbald, 2013). It involves highlighting the existing gaps which need to be filled through listing characteristic factors of the

present situation and factors needed to achieve a desired future state and/or goals. (Gap Analysis. 2018. In *BusinessDictionary.com*. Retrieved Nov 19, 2018, from http://www.businessdictionary.com/definition/gap-analysis.html)

**Humble Inquiry:** Humble Inquiry is an approach which is developed and promoted by Edgar Schein, the Society of Sloan Fellows Professor of Management Emeritus at the MIT Sloan School of Management. It promotes the understanding of a system and/or organization along with an understanding of the needs of its constituents. It is based upon the development of authentic and trusting relationships with employees. It lays the foundational leadership approach to foster collaboration, improve communication, build trusting relationships, and get the job done (Schein, 2013; Lambrechts, Bouwen, Grieten, Huybrechts, & Schein, 2011).

**Instructional Leadership**: Instructional leadership is leadership which is concerned with defining the school's mission, managing the instructional program, and promoting a positive school learning climate (Hallinger & Murphy, 1985)

**MU**: MU is an organizational pseudonym for a University in the Arabian Gulf. It is used throughout the OIP to keep the university anonymous in protection of its confidentiality.

**Nadler & Tushman's Congruence Model:** As a model for diagnosing organizational behavior, the Nadler and Tushman's congruence model explicates the critical inputs, the major outputs, and the transformation processes that characterize organizational functioning (Cawsey et al., 2016). It views organizations as made up of components or parts that interact with each other and promotes the notion of congruence among these components for the effective functioning of the organization (Nadler & Tushman, 1989, 1980 & 1997).

**Organizational Culture**: Organizational culture is a "a pattern of shared basic assumptions that the group learned as it solved its problems of external adaptation and internal integration that has

worked well enough to be considered valid and, therefore, to be taught to new members as the correct way you perceive, think, and feel in relation to those problems" (Schein, 2010, p.17). There are three important levels of organizational culture: (1) the artifacts, (2) the espoused values, and (3) the basic assumptions (Schein, 2010).

**Organizational Improvement Plan**: An Organizational Improvement Plan is "a major persuasive research paper that provides evidence-based pathways to address organizational problems, and more broadly, serve the public and/or social good. It is a practical yet theory and research-informed plan that aims to address and find solutions for a particular problem of practice through leading meaning change to salient problems of practice within in the organization" (Western, 2017, p.1).

**PESTEL**: The PESTEL is a framework which analyzes the external business environment to understand the big picture in which the organization operates, thus enabling them to take advantage of the opportunities and minimize the threats faced by the organization's business activities (Mind Tools, 2012). It is an acronym for Political, Economic, Social, Technological, Legal, and Environmental, and is useful to analyze the external macro-environment which affects an organization (Johnson, Scholes & Whittington, 2008).

**Problem of Practice (POP):** A Problem of Practice is a problematic situation that exists in one's place of work (Pollock, 2014). "A POP statement articulates a clear, specific, relevant gap between current practices that create an organizational problem and a more desirable yet achievable organizational state based on altered practices" (Western, 2017, p.2).

**Professional Bureaucracy:** Professional bureaucracy is one of the five structural configurations by Mintzberg (1979). In professional bureaucracy, a few managerial levels exist between the strategic apex and the professors, creating a flat and decentralized profile (Bolman & Deal, 2017).

**Stakeholder Analysis:** Stakeholder analysis is a tool which helps change leaders understand change forces. Through a stakeholder analysis, key individuals in the organization and/or critical participants in the change process who can influence or who are impacted by the change are identified and then mobilized and managed in ways to support the change (Cawsey et al., 2016).

**Strategic Apex:** A strategic apex consists of the top managers of an organization, and their personal staff (Mintzberg, 1980). In schools, the strategic apex includes superintendents and school boards, and in corporations, it includes the board of directors and senior executives.

**Summative Assessment**: Summative assessment refers to an evaluative judgement which encapsulates all the evidence up to a given point where the assessment stops at the judgement reached (Taras, 2005).

**Transactional Leadership**: Transactional leadership focuses on the proper exchange of resources where the transactional leader gives followers something they want in exchange for something the leader wants (Judge & Piccolo, 2004).

**Transformational Leadership**: Transformational leadership offers a "purpose that transcends short-term goals and focuses on higher order intrinsic needs" and results in followers identifying with the needs of the leader (Judge & Piccolo, 2004, p.755). It emphasizes "intrinsic motivation and follower development, focusing on emotions, values, ethics, standards, and long term goals" (Northouse & Lee, 2019, p. 74).

# Chapter One: Introduction and Problem

## Introduction

This Organizational Improvement Plan (OIP) emphasizes the role of education leadership in improving student learning. It focuses on the gains of formative assessment on student learning and achievement and presents a change path to integrate and implement formative assessment in a culture which has summative assessment dominance. The first chapter introduces and outlines the problem of practice (POP) for which this OIP is developed and lays the foundational contextual and conceptual understanding required to address it.

## Organizational Context

The organization which this OIP is exploring is the Department of Business Administration (DBA) at MU, an Arabian Gulf university. First, MU's broad economic, social, and cultural factors are presented to provide contextual understanding. Next, MU's strategic posture, organizational history, organizational structure and established leadership approaches are presented.

### MU Context

MU is a large university in the Arabian Gulf. It has a student population of over 18,000. The student population mainly consists of locals who study in their second language, which is English. MU is part of the investments that the country has directed towards the education sector, and offers a wide range of undergraduate and graduate programs. MU's college of management has several distinct, yet related, departments including the business administration department, which is the focus for this OIP.

From an economic perspective, higher education is considered an instrumental pillar driving the improvement of prospects for a country's youth, helping in the preparation of a graduate force for employment, and building the economy. The higher education domain, plays a

pivotal role in promoting economic growth by preparing a competent workforce with the knowledge and skills required for the labor market, and preparing youth to take part in developing themselves, as well as, developing society (Braun, Kanjee, Bettinger, & Kremer, 2006). Given this role, MU's leadership at the university level, deanship level, and department level understand that they have to continuously improve education and shape a strong and more capable graduate force, as they recognize that, on the long run, a better educated work force will help build a stronger economy. A stronger economy will consequently contribute to a politically stable environment.

On a cultural level, MU's student population is dominated by locals who do not have very high English language proficiency due to the fact that they attended the public schooling system, which offers limited English language education. With the low English language proficiency, MU's and the DBA's leadership are challenged with the responsibility of facilitating learning for its students. Furthermore, they have a responsibility of bridging the gaps in learning in order to raise student achievement and ensure that graduates are well prepared with the required knowledge and skills in the 21$^{st}$ century and the globalization era.

**Strategic Posture**

MU envisions itself to become a prominent knowledge landmark in the country. It exists to help build a knowledge-based economy through effective academic leadership, society engagement, and international collaboration. MU aspires to equip students with 21$^{st}$ century skills through providing quality academic programs and an innovative academic environment. One of MU's primary goals is to ensure the promotion of international best practice in its academic programs.

**Organizational Structure and Leadership Approaches**

  The organizational structure of the college of management at MU, under which the DBA falls, is presented in Figure 1.1. The structure of the college of management is more vertical than horizontal or lateral, and is more rigid than flexible. The DBA faculty is not highly involved in planning and decision-making which pertains to learning. The structure is dominated with top-down practices which are governed by rules and formal hierarchies and offers little opportunities for decentralized collaborations. The structure neither matches the work nature of the organization nor reflects its goals and values. Opposite to what Bolman and Deal (2017) advocate, the adopted top-down structure at the college of management does not fully recognize the potential of its workforce. Authority at the DBA is dominated by the department head who operates under the authority of the vice dean of academic affairs, who, in turn, operates under the authority of the college dean, all representing the "strategic apex" (Mintzberg, 1980, p.322) at the college of management. As depicted in Figure 1.1, the department head leads the department operation through its faculty and department committees. Committees consist of faculty and administrators, who assume duties and responsibilities governed by department rules and regulations. Although the DBA is assumed to be adopting a "professional bureaucracy" (Bolman & Deal, 2017, p.82) structure, it is presently far from it and requires significant restructuring to allow for decentralized collaborations. This is due to the heavy control and regulatory mechanisms on curriculum, assessment, and course delivery, which serve as impediments in the face of faculty autonomy, inhibiting their role as educators and primary role players in the journey of student learning.

  Transactional leadership overshadows any other form of leadership at the DBA. Transactional leadership at the DBA is manifested through the focus on leader and follower interactions to effectively reach department goals (Burns, 1998). The DBA head uses "positional

power" to influence faculty and committees to achieve desired outcomes, through rewarding positive outcomes or using corrective coaching (Vito, Higgins, & Denney, 2014, p.809).

On the individual level, the leadership approach adopted by the DBA head is more task-oriented than people-oriented. On an institutional level, the dominant transactional leadership approach at the DBA is hindering its capacity to improve learning and has stalled the nurturing of a continuous improvement culture.
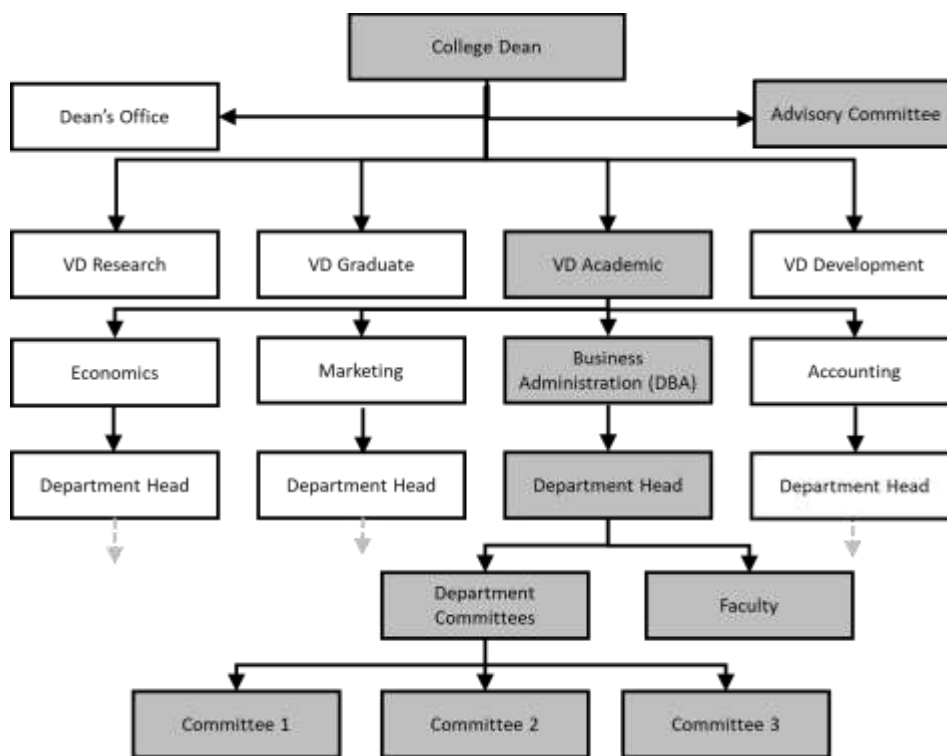


*Figure 1.1.* MU's College of Management Organizational Structure. Adapted from the Dean's Office in the College of Management at MU, 2018.

Transactional leadership within the DBA does not encourage team innovativeness (Liu, Liu, & Zeng, 2011) and does not effectively consider contextual and situational factors at times of challenges (Yukl, 2011). Furthermore, transactional leadership often results in short-term

relationships of exchange between the leader and his subordinates (Burns, 1978), which is not a fertile environment for continuous improvement and change.

**Organizational History**

MU was only established a decade ago, gradually opening and developing its colleges and respective departments.  Since its inauguration, MU has faced numerous challenges, especially relating to the recruitment of experienced faculty. The low local supply of competent faculty has forced MU to hire a large number of expatriate faculty, a condition which resulted in both, financial and turnover implications. In support of its vision and mission, MU also initiated collaborative agreements with international universities, through which international faculty are able to teach at MU. The latter helped offset the shortages in the local faculty workforce. This step has also been pursued in aspiration of having MU acquire knowledge on, and later adopt, international best practices, as one of its primary goals.

When MU was first established, there was an expectation by its leadership that it will experience challenges around student learning due to the fact that most of its students are studying in their second language, with which they lack proficiency. This challenge was partially overcome with a full-time English language program that MU has made mandatory upon students enrolling in any of its undergraduate programs. The program included intensive English language courses to help prepare students for their prospective studies at MU, and also prepare them for their journey in becoming contributors to a knowledge-based economy.

## Problem of Practice

The Problem of Practice (POP) that this OIP investigates and addresses is the lack of a robust system of authentic formative assessment at the DBA in the college of management at MU. Authentic formative assessment is specifically intended to provide feedback on performance to

improve and accelerate learning (Sadler, 1998), and ensures student learning objectives are achieved. Both the department and the college leadership play a vital role in ensuring education standards are met as well as actual learning and assessments align with learning objectives and outcomes. The nature of the assessment system and assessment tools adopted have a significant impact on learning and student achievement (Andrade & Heritage, 2018; Black & Wiliam, 1998a, 1998b; Bonner, 2012; Rust, 2002; Sadler 1998; Wanner & Palmer, 2018). When educators fail to balance their assessment practices by relying heavily on summative assessment, they risk being unable to recognize the gains of formative assessment on student learning and achievement. Formative assessment is authentic, multidimensional, flexible, and addresses individual learners' needs (Birenbaum et al., 2006).  If poorly designed, assessment tools can restrict student learning and limit student ability to apply skills and knowledge (Swaffield, 2011). Inadequate assessment, insufficient practical applications and feedback on work, and the lack of well-designed coursework integrated into a learning process will lead to a gap and an incongruence between learning objectives and learning outcomes (Bonner, 2012) putting student learning and achievement in jeopardy. Hence, it is of paramount importance that the DBA carefully addresses authentic formative assessment and realizes that authentic formative assessment can lead to significant learning gains on the part of the students (Black & Wiliam, 1998a, 1998b). The question which this OIP investigates and addresses is*: how can authentic formative assessment be integrated, implemented, and employed to improve student learning and achievement levels at the DBA*?

## Organizational Lens

The POP in this OIP is explored through a cultural lens. The POP specifically relates to the learning and assessment culture at the DBA. In a broader sense, it also relates to the culture of both, the academic profession and the academic institution and how they, both, function to

positively impact student learning. Therefore, it is important to understand the POP through an organizational culture lens. Understanding and examining the POP through an organizational culture lens will help expose the cultural gaps which may exist and are part of the problem and hence, help in adopting solutions which bridge these gaps. Edgar Schein, who is the father of organizational culture and a renowned scholar in the field of culture, has highlighted, throughout his years of research, the importance of culture in organizational change management (Schein, 2010, 2017). He defined culture as the "pattern of shared basic assumptions that the group learned as it solved its problems of external adaptation and internal integration" (Schein, 2010, p. 17). These assumptions are then taught to new members as the correct way to perceive, think, and feel in relation to problems. The academic profession culture is the "collective, mutually shaping patterns of norms, values, practices, beliefs, and assumptions which guide the behavior of faculty and groups and provide a frame of reference within which to interpret the meaning of events and actions" (Kuh and Whitt, 1988, p. 6). Schein (2010) has identified three important elements of culture. These are: (1) the artifacts, (2) the espoused values, and (3) the basic assumptions. Schein (2010) highlights that values, beliefs, and underlying assumptions may either aid a change process if they were aligned with the change, or hinder a change process if the change calls for a different set of values and beliefs. Exploring this OIP through a cultural lens entails the examination of the present values and assumptions within the DBA culture to understand if they are contributing factors to the POP and if a redefinition or a realignment of the values and assumptions is required to support the change. In other words, through a cultural lens, an assessment of whether the DBA's culture is a potential aid or a hindrance (Schein, 2009) to the change this OIP is targeting can be reached. By the same token, a cultural lens will help guide this OIP's analysis and solutions adopted in chapters two and three.

It is the objective of this OIP to introduce and implement authentic formative assessment at the DBA to improve student learning and achievement. Although this will call for instructional changes among other changes, it primarily calls for a change in culture and the values and assumptions around assessment. The DBA's culture may be a contributing factor in the POP and therefore, must be considered and developed for this OIP to comprehensively fulfill its purpose. A collaborative culture of learning and continuous improvement, with student learning and achievement placed at the center of the core values, must be nurtured. Specifically, the underlying assumptions within an organization largely influence and form its culture (Schein, 2010, 2017). These underlying assumptions which encompass perceptions, beliefs, feelings, and thoughts then form the values of the organization, and take a large amount of time and effort to change to, redirect towards, and align with newly desired values and assumptions (Denison, 2012). The POP reflects the present "underlying assumptions" within the DBA's culture around learning and assessment (Schein, 2010, p.321) and also reflects that these assumptions are presently serving as barriers in the face of change. For example, there is consensus in the assumption that the present summative assessment dominance at the DBA is effective. The POP also raises a concern around the DBA values on student learning, assessment, role of educators, and instruction. Therefore, the lines of inquiry within this OIP, the chosen leadership approaches, and the adopted change framework will all reflect on the DBA's culture and focus on the cultural changes required to implement authentic formative assessment.

## Framing the Problem of Practice

This section provides a comprehensive understanding and multiple perspectives on the identified topic of the POP, that being authentic formative assessment. To help frame authentic formative assessment in terms of its meanings and practices and to provide grounding evidence on

its value and role in student learning, a literature-informed conceptual model is designed and explicated. The connection between the POP and the literature is then presented and followed by a PESTEL analysis. Lastly, this section summarizes relevant internal data related to the POP.

**Problem of Practice Overview**

Formative assessment has gained significant research attention in the last few decades. A substantial body of research literature supports the narrative which considers formative assessment a crucial element in learning and one that contributes tremendously to better learning experiences (Black & Wiliam, 1998a, 1998b; Bonner, 2012; Bakula, 2010; Wanner & Palmer, 2018). Authentic formative assessment, which encompasses 'Assessment *for* Learning' (A*f*L), aims to provide feedback to students and allows teachers to modify learning activities to meet students' emerging needs (Black & Wiliam 1998a, 1998b). Among the strengths of authentic formative assessment is the fact that it helps educators and learners understand where the learners are in their learning, the next level they should take their learning to, and how the next level can be reached – all of which contribute to enhanced instructional practice (Bonner, 2012). Enhanced instructional practice will, in turn, result in better learning experiences and student achievement (Stiggins et al., 2007). Implementing authentic formative assessment at the DBA will help improve learning and instruction, and will result in better student learning and achievement. Change in this direction is needed to help advance learning at the department, and, eventually, improve the quality of its graduates. The present system of assessment which depends largely on summative practices through examinations, is not offering students the "supportive and developmental" qualities of formative assessment (Maclaren & Marshall, 1998, p.333).

**Literature-Informed Conceptual Model**

To offer comprehensive understanding on formative assessment, I have designed a conceptual model, which is presented in Figure 1.2 and explained in this section. As illustrated, the DBA leadership and faculty engage in planning for learning objectives of all program courses. These learning outcomes should then be the foundation upon which assessment at the DBA is built. The academic literature presents convincing arguments about the positive effects of authentic formative assessment on student learning and achievement. These arguments serve as the foundation for the ideas in the model. The right and left boxes of the model describe what authentic formative assessment is, its purposes, and practices. The bottom sphere outlines the gains resulting from the adoption of authentic formative assessment.

Authentic formative assessment is ongoing assessment that is used throughout and in the middle of learning, rather than at the end of learning. It aims to provide feedback to students and allow teachers to modify learning activities to meet students' emerging needs (Black & Wiliam 1998a). It is assessment that is specifically intended to provide feedback on performance to improve and accelerate learning (Sadler, 1998). Formative assessment must be overt to students, offering clearly stated criteria, which are known to the students and their teachers, and should also provide useful feedback to the students and their teachers (Fox-Turnbull, 2006). Hennessy and Murphy (1999) highlights that an activity is said to be authentic if it is personally meaningful and purposeful, and authentic formative assessment meets these criteria. Formative assessment is not about frequent tests, but rather, is about using different assessment methods to provide students, teachers, and parents with a continuous stream of evidence of student progress in mastering the knowledge and skills (Stiggins et al., 2007).

To ensure that formative assessment is authentic and effective, and in line with literature evidence on authenticity of assessment, the DBA faculty must align their assessment practices with the designed learning objectives, i.e. ensuring they are adopting a system of assessment *for* learning (Swaffield, 2011). Assessment *for* learning is assessment that is conducted throughout the process of teaching and learning to help diagnose different students' needs, plan for instruction interventions, provide feedback to students on how to improve the quality of their work, and help students feel that they are in control of their learning journey (Stiggins et al., 2007). The key for assessment *for* learning is the continuous improvement of the coherence between assessment tasks, feedback, teaching strategies and course objectives (Ramsden, 2003). This coherence constitutes the element of authenticity in assessment where assessment activities are aligned with learning objectives; i.e., being purposeful.

Some of the basic principles for assessment *for* learning require that assessment be part of effective planning of teaching and learning, focus on how students learn, be recognized as central to classroom practice, be regarded as a key professional skill for teachers, and be sensitive and constructive (Harlen & Johnson, 2014). Assessment *for* learning also takes account of the importance of student motivation and promotes commitment to learning and a shared understanding of the criteria by which students are assessed. Assessment *for* learning at the DBA will help students receive constructive guidance on how to improve, develop learners' capacity for self-assessment so that they can become "reflective and self-managing" (p. 22), and, finally, will help recognize the full range of learners achievements.

Of significant contribution to the field of formative assessment is the discourse on *sustainable assessment* (Boud, 2000). Sustainable assessment refers to assessment directed at promoting students' present and future learning through the development of skills required for

lifelong learning (Boud, 2000). This function of sustainable assessment is seen as the raison d'etre

of higher education (Boud & Falchikov, 2006), and is built on a foundation of formative

DBA Leadership | Planning | DBA Faculty

Learning Objectives & Outcomes

Authentic Formative Assessment

- Modifying learning activities to meet learning needs (Black & Wiliam, 1998)
- Performance feedback intended to improve and accelerating learning (Sadler, 1998)
- Overt, rich & useful feedback (Fox-Turnbull, 2006)
- Purposeful & Personally Meaningful (Hennessy & Murphy, 1999)
- Helps student progress in mastering the knowledge & skills. (Stiggins et al., 2007)
- Assessment *for* Learning (Stiggins et al., 2007)
- Coherent with teaching strategies and course objectives (Ramsden, 2003)

- Assessment for Learning Principles (Harlen & Johnson, 2014)
- Sustainable Assessment (Boud, 2000; Boud & Falchikov, 2006; Boud & Soler, 2016)
- Timely feedback on Learning and on improving progress (O'Farrell, 2002)
- Accessible, comprehensive, value adding feedback (Sadler, 1998)
- Feedback on how to improve quality of work (Stiggins et al., 2007)
- Feedback on students' performance during learning, clarifying learning goals & success criteria (Black & Wiliam, 2009)

**Resulting Gains**
- Student Learning progress (Stefl-Mabry, 2018)
- Enhanced Instruction & Learning (Bonner, 2012)
- Learners move closer to learning goals (Bonner, 2012)
- Raised Student Achievement (OECD, 2006)
- Improved Understanding (Bakula, 2010)
- Built Student Capacity (Broadbent, Panadero & Boud, 2018)
- Constructive Knowledge & Understanding (Swaffield, 2011)
- Lifelong learners (Boud, 2000; Boud & Falchikov, 2006)

*Figure 1.2.* A Literature-Informed Conceptual Model Presenting Framing Perspectives on

Authentic Formative Assessment

assessment and its predominant practice of assessment *for* learning (Boud & Soler, 2016). Through the promotion of student self-assessment, peer learning, and reflection approaches, formative assessment can become the pragmatic means for sustainable assessment (Boud & Soler, 2016).

In her toolkit, O'Farell (2002) emphasized that formative assessment is assessment strictly used to provide timely feedback to students on their learning throughout the learning process and provide the student with advice on how to maintain and improve their progress. The feedback must be accessible, comprehensive, value-adding (Sadler, 1998), and intended to guide the learner on how to improve the quality of work (Stiggins et al., 2007). In addition to providing feedback on students' performance, formative assessment should ensure that learning goals and success criteria are clarified to students (Black & Wiliam, 2009).

As the bottom sphere of Figure 1.2 portrays, when formative assessment fulfills the criteria outlined earlier, it serves as a reliable tool for evidence of student learning (Stefl-Mabry, 2018). It also serves as evidence for the "effectiveness of instructional practice" since it is through formative assessment that educators can know the extent of student learning and the effects of their instructional practices (p. 52). If well designed, formative assessment can enhance instruction and support student learning when analyzed to make instructional decisions to move students closer to learning goals (Bonner, 2012). Teaching which incorporates authentic formative assessment helps raise levels of student achievement (OECD, 2006), improves student understanding (Bakula, 2010), builds student capacities for good work (Broadbent, Pandero, & Boud, 2018), and promotes constructive knowledge and understanding (Swaffield, 2011). Lastly, authentic formative assessment, as a means of sustainable assessment, will help train learners to make informed judgements about their work, manage their own learning, become effective assessors of learning,

and develop a critical attitude towards criteria; all of which are integral constituents in the development of lifelong learners (Boud 2000; Boud & Falchikov, 2006).

In summary, the model promotes a discourse which links the adoption of authentic formative assessment with improved student learning and achievement. It supports this OIP's cause in presenting strong arguments on that authentic formative assessment can improve student learning and achievement at the DBA.

## Connecting POP with Literature

The literature synthesized supports the essence of the POP through presenting both, strong arguments and evidence on the positive impact of formative assessment on student learning and achievement. It also offers effective frameworks, which outline and clearly articulate the main elements of a formative assessment practice. These frameworks serve as solid foundations upon which the understanding of the POP is enhanced. Moreover, the literature presented on formative assessment offered valuable insights on improving the practice of formative assessment, which helps inform the improvement plan for the formative assessment practice at the DBA. Additionally, the literature reviewed has helped provide a profound view on the relevance of the POP in question. Adopting an authentic formative assessment practice is directly linked with improved learning and higher achievement. Therefore, this improvement plan which seeks to design and employ an authentic formative assessment practice at the DBA is of paramount relevance due to its positive impact on student learning and achievement.

## PESTEL Analysis

In further framing of the POP and its context, a PESTEL (Political, Economic, Social, Technological, Environmental, and Legal) analysis is carried out. A PESTEL analysis is a framework used to analyze the macro-environmental factors that have an impact on an

organization. Through a PESTEL analysis, a few economic, legal, social, and political macro factors were found to provide context and relevance to the problem. From an economic and political stand, the education sector plays a pivotal role in promoting rapid economic growth by preparing graduates to enter the labor market and preparing youth to take part in developing themselves and developing society (Braun et al., 2006). A robust and authentic formative assessment practice at universities will help in improving education yielding a stronger and more competent workforce to the labor market. In turn, and on the long run, a better educated workforce will help build a stronger economy and a stronger economy, generally, contributes to political stability since political stability and economic growth are reciprocally related (Feng, 1997).

Effective formative assessment at the DBA will result in better learning experiences. It will help prepare students to immerse and contribute positively to society with their learning as well as have a positive impact on society. Hence, assessment at the DBA should help students achieve the required learning (i.e. be purposeful) and knowledge application required by the labor market.

From a legal standpoint, the government has been issuing strict laws demanding the private sector to hire more locals and decrease their expatriate staff. For decades, companies within the country have been favoring expatriates in several job domains due to their competence (and equivalently, due to the inadequate supply of competent local workers). With a growing population, the government has been accused by its own people that it is not doing enough to promote local employment. The new employment laws are pressuring educational institutions to prepare more competent graduates who can fill positions which were previously filled by highly skilled expatriates. Furthermore, the DBA is attended mostly by a student population who study in their second language. Unfortunately, there are various levels of English language proficiency within the body of student population at the DBA due to the fact that most students attend the

public school system, which has inadequate English language education. Teaching students in a different language than their native one is challenging for educators especially when designing for course assessment. Authentic formative assessment is crucial here to ensure that educators can make interventions as necessary to reflect different students' needs and close learning gaps.

**Relevant Internal Data**

A discussion of some of the relevant internal DBA data which pertains to the POP is presented below.

**DBA assessment policy.** Presently, the adopted assessment policy at the DBA relies heavily on summative practices through examinations. Between seventy to eighty percent of the total mark for a given course at the department is allocated for examinations in the form of a first mid-term, a second mid-term and a final exam (MU, 2016). Not only does this limit the faculty's freedom in designing and deciding for their course assessments, but it also limits the space for formative assessment to be implemented in the learning journey of a given course. Unlike formative assessment which measures and allows for the progress of learning, summative assessment practices in the form of midterm and final examinations focus on measuring learning outcomes and achievement of specific learning units or milestones.

**Advisory committee.** A recent evaluation report by the advisory committee, which I am a member of, has unveiled the problem of the lack of authentic formative assessment at the DBA. The report concluded that the present assessment system is found to be ineffective due to the absence of authentic formative assessment practices and the strong reliance on summative assessments. This reliance is partially restricting student learning and limiting students' ability to reach constructed and deep understanding, which are considered prerequisites for the application of knowledge and skills (MU, 2017, p.4).

**Achievement rates sample.** Achievement rates at the DBA are presently lower than they should be. On the course level, there is a significant number of students who are failing and attaining low grades. In its evaluation of the situation, the advisory committee to the dean's office has noted that the percentage of failures and low achievement are alarming and reflect deficiencies in student learning (MU, 2017, p.6). In its report, the advisory committee has highlighted that the failures and low achievement may be partially attributed to the presently adopted assessment system and the absence of authentic formative assessment practices. As an example, Table 1.1 summarizes the achievement rates of a business course at the DBA over three terms, where the numbers represent the percentage from the total number of students registered for the course.

Table 1.1

*Grade distribution for an advanced business course at the DBA over three terms. Adapted from the archived achievement records at the DBA's office, 2018.*

| Term | Grade Distribution | | | | |
|---|---|---|---|---|---|
| | A | B | C | D | F |
| **Fall 16/17** | 15% | 25% | 27% | 10% | 13% |
| **Winter 16/17** | 13% | 28% | 20% | 19% | 15% |
| **Fall 17/18** | 18% | 30% | 25% | 15% | 22% |

As can be synthesized from Table 1.1, 50%, 54%, and 62% have attained either a C, D, or an F in the Fall 2016/207, Winter 2016/2017, and Fall 2017/2018 terms, respectively. These rates signify high levels of low achievement and denote a student learning problem.

## Questions Emerging from the Problem of Practice

In providing focus on the precise lines of inquiry stemming from the POP, below is a list of guiding questions around the POP, which will be addressed through the context of this OIP.

1. How can authentic formative assessment be introduced and implemented in a culture that is dominated by summative assessments?

2. What measures, practices, and strategies, on the system, structural, cultural, and human resource level, must be employed to integrate authentic formative assessment?

3. What are the structural, cultural, and instructional changes required to introduce and implement the change towards authentic formative assessment?

4. How can the change towards authentic formative assessment best be navigated and institutionalized within the culture?

5. What underlying assumptions and values within the DBA culture should be instilled and institutionalized for present and future successful change adoption?

## Leadership Position and Framework

This section begins with an articulation of my personal agency and power to influence change within the DBA and then provides an account of my leadership voice and manifesto.

**Personal Agency**

As part of the DBA's faculty and as a member of the dean's advisory committee, as well as in my capacity as a deputy head of the resources committee, I have sufficient agency to energize the need for change, serve as a change agent, influence internal stakeholders, and instigate change. The advisory committee oversees proposing, initiating, and implementing improvement projects within the DBA upon the dean's and approval. As a member of this committee, it is part of my responsibility to voice the need for change around DBA problems and exposing their negative effects. While my role in the advisory committee provides me with positional power, the strong and trusting relationships which I have with the other committee members, faculty and head, provide me with personal power to instigate change.

In my capacity as a member of the advisory committee, I, along with other members, agree that the status quo of the present assessment system does not qualify as adequate, and, in fact, is deterring student learning due to the absence of formative assessment. The advisory committee has submitted an evaluation report on the present assessment system to the Dean's office which recommends the adoption of formative assessment. The Dean has approved the recommendation and has trusted the resources committee with the implementation responsibility. With the Dean's approval and assignment, the resources committee, which I am deputy head of, is granted the scope and agency required to lead the change.

**Personal Voice and Leadership Manifesto**

In realizing organizational change, my leadership approach will encompass navigating various change related processes. This includes the careful articulation of a vision and a rationale for the improvement (Adelman & Taylor, 2007), as well as the adoption of a rigorous change model to systematically introduce and implement change. In addition, having a thorough understanding of the need for change to develop a sound rationale for the change and energize those affecting and affected by the change (Cawsey et al., 2016) is a principle I hold strongly. I also recognize the importance of building the collective capacity of the system and its people as a central value in reform and a strong infrastructure for change (Harris, 2011). Furthermore, my leadership philosophy aligns with the notion that leading is a shared endeavor which "requires the distribution of power and authority" (Lambert, 2007, p. 312), and thus leading change is a collective endeavor. In leading change, understanding and bringing together the challenges of organizational and individual change is important in successfully navigating improvement plans (Wagner & Kegan, 2013). Additionally, I realize the foundational role of organizational culture in leading change. Therefore, nurturing and sustaining an organizational culture that supports the

intended improvement (Barth, 2013) will be incorporated in the OIP. Nurturing and building cultural capacities in leading change towards authentic formative assessment, and calling upon individual and organizational wide change aligns with a transformational leadership approach. Engaging faculty as stakeholders in leading change and sharing the responsibility of change aligns with an instructional leadership approach. Both transformational and instructional leadership make up an effective leadership model for the proposed change at the DBA because they cover the scope and nature of the change required. Transformational and instructional leadership are the chosen leadership approaches for the context of this OIP and are described in the next section.

**Theoretical Leadership Framework**

In leading organizational change towards the POP, transformational and instructional leadership are adopted as the foundational leadership theories. Printy, Marks, and Bowers (2010) have developed a model which is based on the integration of transformational and instructional leadership. The model emphasizes that schools prosper when leaders integrate shared transformational and instructional leadership approaches (Printy et al., 2010). "Teaching quality and authentic student learning prospered when shared instructional leadership occurred in tandem with transformational leadership" (p.5). Figure 1.3 represents the proposed leadership model for this OIP, which uses transformational and instructional leadership as the foundational leadership approaches and integrates relevant leadership practices under each.

Transformational leadership at the group level (shared transformational leadership), as outlined in Figure 1.3, embodies the *ideal influence*, *intellectual stimulation*, *individual consideration*, and *inspirational motivation* of the DBA leadership and faculty and calls upon a set of shared beliefs, perceptions and expectations (Printy et al., 2010). It also encompasses building vision and setting directions, understanding and developing people, redesigning the organization,

and managing the teaching and learning (Day & Sammons, 2013). Transformational leadership

will be crucial in building the DBA's cultural and faculty capacity to innovate.
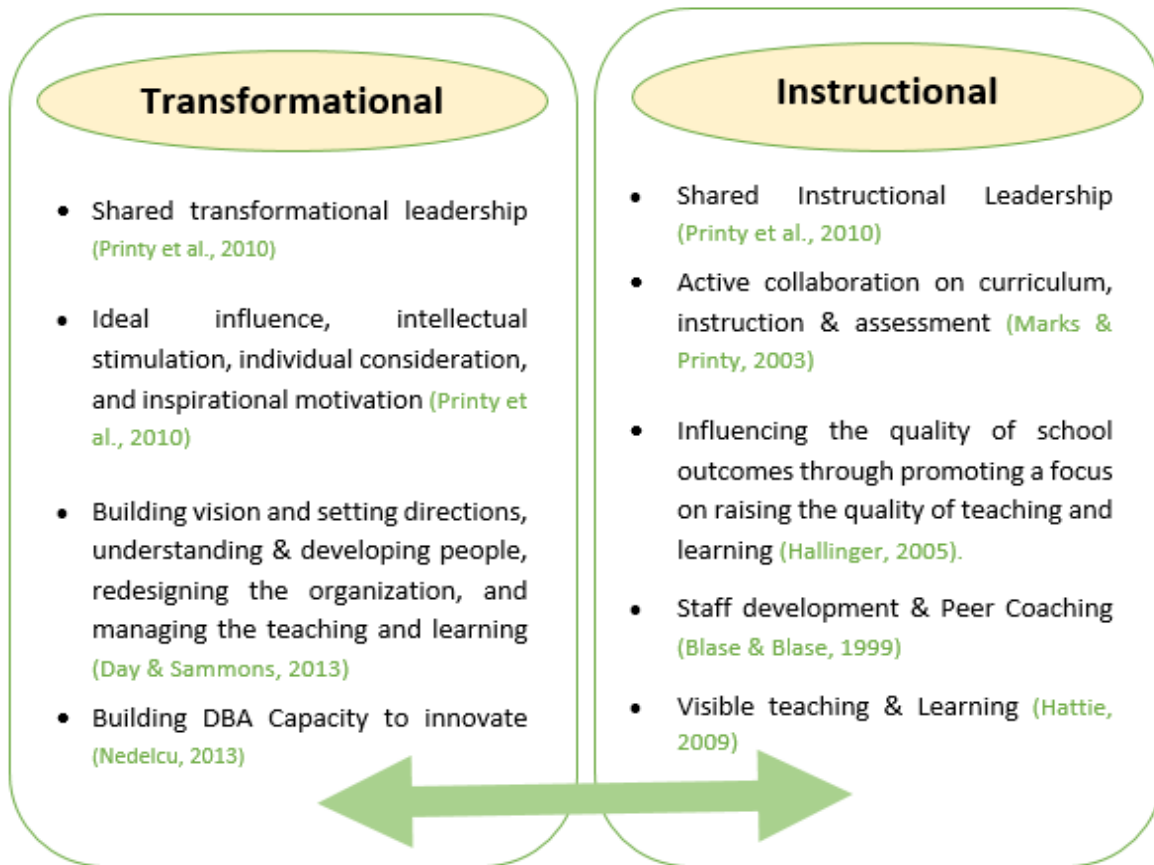


*Figure 1.3*. Leadership Model Based on the Integration of Transformational and Instructional Leadership. Adapted from "Integrated leadership". Printy, S. M., Marks, H. M., & Bowers, A. J. (2010). Integrated leadership: How principals and teachers share transformational and instructional influence. *Journal of School Leadership*, *19*(5), 504-529.

Despite its vital role, and given the nature of the POP, transformational leadership alone

would be insufficient because it does not encompass the needed teaching and learning

collaboration with faculty and their capacity building in the area of formative assessment. Thus, it

should be complemented with instructional leadership to ensure that teaching and learning are

improved in order to promote and implement authentic formative assessment. Combining

transformational and instructional leadership strategies facilitates educational improvement and helps raise the quality of teaching and learning (Day, Gu, & Sammons, 2016), which highlights their suitability in addressing the POP at the DBA.

Given the POP context, the leadership endeavor ought to be collective and ought to heavily engage the DBA faculty since implementing formative assessment at the DBA will require significant instructional changes and pedagogical shifts, making shared instructional leadership (as outline in Figure 1.3) instrumental to the effective navigation of change processes. Through shared instructional leadership (Printy et al., 2010), the department head, the committee heads as well as the faculty will actively collaborate on curriculum, instruction and assessment tools, and will collectively assume responsibility of instructional supervision, instructional development, and nurturing expertise (Marks & Printy, 2003) around formative assessment. Through instructional leadership, the quality of school outcomes will be influenced through promoting a focus on raising the quality of teaching and learning (Hallinger, 2005). Instructional leadership will also help with staff development through peer coaching and a focus on student data (Blase & Blase, 1999). Instructional leadership will not only help improve instruction through facilitating the adoption of formative assessment practices, but will also help provide evidence of improved learning (Hattie, 2015). In guiding the implementation of authentic formative assessment, instructional leadership will foster *visible teaching and learning* by having teachers and students share together roles of teaching and learning (i.e. students become teachers and teachers become learners of their own teaching and learners of the success of their own interventions) (Hattie, 2009).

The previous discussion which explained the leadership model in Figure 1.3 advocates that the integration of transformational and instructional leadership approaches in leading change offers

an effective leadership framework in addressing the POP and promoting the right drivers for formative assessment implementation.

## Leadership-Focused Vision for Change

An articulation of the gap between the present and envisioned future state at the DBA, with a focus on how the envisioned future state will benefit multiple social and organizational actors, is presented in this section. The discussion will then present identified change priorities and is followed with a description of a few identified change drivers.

### Gap between Present and Future

Presently, the DBA lacks a robust system of authentic formative assessment, which ensures student learning outcomes match learning objectives initially designed. The DBA is currently adopting a policy which allocates a high percentage of the total course marks for summative assessments in the form of examinations (MU, 2016). As a member of the DBA's faculty, I experience firsthand the limited space for the effective employment of authentic formative assessments given the present policy and also witness the missed learning gains from the absence of feedback driven assessments (i.e. formative assessment).

Ideally, the DBA should adopt authentic formative assessment to improve student learning and achievement as well as improve instructional practice. The envisioned future state entails the adoption of authentic formative assessment, which is ongoing assessment that is used throughout and in the middle of learning, rather than at the end of learning, and utilizes feedback to students and teachers in modifying learning activities to meet students' learning needs (Black & Wiliam 1998a, 1998b; Sadler, 1998). Formative assessment is specifically intended to provide useful feedback on students' performance to improve and accelerate their learning (Sadler, 1998), and offer clearly stated criteria (Fox-Turnbull, 2006). Adopting formative assessment provides an

opportunity for the DBA to improve student learning and achievement, and consequently, better serve its mission in education and the learning needs of its students. The DBA leadership envisions to develop a culture of assessment *for* learning ensuring that learning and assessment are compatible with learning objectives, and hence, hopes to realize a change towards authentic formative assessment. Realizing this change will better allow the DBA to support its mission of enabling students to master knowledge application and contribute to the building a knowledge-based economy through enhanced and constructed learning. Additionally, authentic formative assessment will support MU's vision of becoming a knowledge beacon within the country, serving its social contract with the public through society building (Sharratt & Fullan, 2009).

**Priorities for Change**

In an attempt to identify change priorities for this OIP, this section describes a set of priorities which pertain to a change vision, change model, need for change, collective capacity building, stakeholder analysis and engagement, and a culture for change.

**Change vision.** The DBA leadership will need to prioritize the articulation of a powerful change vision, which bridges the gap between the present state and the desired future state, in leading a systemic change that moves the department from where is it now to where it desires to be, with respect to the assessment system. The role of the department leadership in this journey is crucial and requires the careful articulation of a vision and a rationale for the improvement, as one of the key considerations for school improvement and systemic change (Adelman & Taylor, 2007).

**Change model.** Adopting a rigorous change model will allow the DBA to systematically introduce and implement the change. The Change Path Model proposed by Cawsey et al. (2016) presents significant change priorities to be followed, including the congruence among the

organization's environment, strategy and internal components. It is this congruence that guides a successful transition from a present state to a desired state.

**Need for change.** Analyzing the need for change is instrumental to the articulation of a compelling argument regarding why the organization needs the change. This argument will underpin a strong vision for change. Understanding the need for change will help develop a sound rationale for the change and energize those affecting and affected by the change (Cawsey et al., 2016). This requires that the DBA leadership understand the benefits of authentic formative assessment. Fullan (2006) cites that "assessment *for* learning" as a form of formative assessment is considered to be a tool for school improvement and student learning. The literature includes discursive evidence on the benefits of formative assessment. These benefits must be thoroughly understood by the DBA's leadership and highlighted in the formulation of a change rationale.

**Collective capacity building.** Building the collective capacity of the system and its people, as a central value in reform and a strong infrastructure for change (Harris, 2011), is a change priority for this OIP. Building capacity of people will help the DBA promote positive stakeholders' reactions to change.

**Stakeholder analysis and engagement.** The identification of key stakeholders who can affect or are affected by the change is another change priority. A stakeholder analysis will help identify the individuals who need to be concentrated on and also help pinpoint the behaviors which are required to change among those individuals, while also identifying those with the resources and powers to enact the change (Cawsey et al., 2016). Furthermore, the DBA leadership must commit to stakeholder engagement, through communication and feedback channels, which ensure stakeholders voice out their perspectives and concerns. This form of engagement will help instill a sense of collective responsibility, while also building stakeholder capacities (Harris, 2011).

**Culture for change.** Change leaders at DBA should nurture a culture with norms, which value continuous improvement, and perceive change as incremental improvements (Cawsey et al., 2016). Collaborative cultures of inquiry which seek deep learning are those which will better be able to implement and adapt to sustainable change (Fullan, 2006). Assessing the present cultural dynamics is a change priority which helps identify the beliefs and assumptions that are incongruent with the desired change (Cawsey et al., 2016), for the purpose of realignment.

**Change Drivers**

Shifts and changes in the DBA's external environment serve as drivers for change and forces which create a need for change that either tunes, reorients, adapts or recreates the organization (Cawsey et al., 2016). One of the forces is the *changing* demand in the labor market. Employers are presently seeking graduates who are advanced in their level of constructed knowledge and range of skills. Labor market requirements mandate a new form of learning, which serves the educational needs of the present labor market and globalization era, as well as, equip students with skills needed for their successful engagement in the labor market. This is driving the DBA to improve learning, which includes improving assessment.

Another driver relates to technological forces. The DBA continues to be challenged and pressured to ride the technological wave and compete in that domain with other institutions which are advancing their technology use in education. As Cawsey et al. (2016) propose, embracing the impact of technological changes is what organizations must engage in. In an effort to embrace the fast advancing technologies in education, the DBA strives to utilize new technologies in how assessment takes place. New technologies in learning platforms, which come with constantly advancing features that facilitate learning are serving as change drivers, influencing the department's need to change and informing its system in adapting to technological advancement

while embracing its impact. As Fullan (2011) affirms, powering and matching pedagogy with technology is one of the right drivers for whole system reform.

Furthermore, as more local students seek to pursue their post-graduate studies abroad, the department is pressured to raise the standard of education and improve its system of assessment to bring it to a level matching to that of world-class universities. Changing assessment at the department is driven by the demand to increase standards to ensure quality education for graduates and increase student acceptance for post-graduate studies abroad.

Lastly, country laws which stipulate specific representations of local staff serve as a change driver as MU has a social responsibility in preparing a competent local workforce, who can apply knowledge and skills into various industries. Additionally, local university rankings and accreditation standards serve as forces, which drive changes to improve learning and assessment.

Finally, student achievement serves as a strong internal driver. The DBA aspires to improve its student achievement rates, and realizes that this is possible with improving learning, instruction, and assessment. Therefore, improving student achievement serves as a driving force behind improving the assessment system at the DBA.

## Organizational Change Readiness

This section provides a description of the DBA's change readiness which briefly reflects on the DBA's capacity for change. Then, an analysis of the internal and external forces shaping the change through a Force Field Analysis framework (Lewin, 1975) is presented.

**Change Readiness Assessment**

Assessing the DBA's readiness towards the introduction and implementation of authentic formative assessment before embarking upon the change is an important tool in leading change, and one which helps bring to light forces that will either inhibit or support the change. It also helps

highlight the factors which are resourceful to activating readiness and creating a state of cognitive

dissonance. The DBA's readiness to change is described through the eight readiness dimensions

proposed by Judge and Douglas (2009), and based on my assessment by virtue of my role and

personal experience as both, faculty and member of an advisory committee to the DBA's

leadership. A description for each of the eight readiness dimensions, namely, "trustworthy

leadership", "trusting followers", "capable champions", "involved middle management",

"innovative culture", "accountable culture", "effective communications", and "systems thinking"

(p. 638), are presented below.

**Trustworthy leadership.** This first readiness dimension, refers to the leadership ability to

"earn the trust" of their team and their credibility in guiding others to achieve goals (p. 638). There

is a considerable amount of trust that the DBA faculty have in the college dean and the department

head. However, while most of the faculty trust the leadership in that they employ fair, moral, and

effective practices with a focus on operational success, they do not have full trust in the

leadership's ability to innovate and adapt to international best practices with a focus on learning.

This gap in the trust relationship between the leadership and the faculty requires bridging through

transformational leadership practices to build trust and convince faculty of the leadership's

capability and commitment to change which has 'learning improvement' at the heart of it. This

endeavor, although challenging, is possible to achieve with a well-designed change plan.

**Trusting followers.** This readiness dimension refers to the ability of followers, the DBA's

faculty in this case, "to constructively dissent or willingly follow" (p. 638) the new change.

Presently, the DBA faculty are considered to be trusting followers of the current policies, practices,

and procedures in place. The challenge is to prepare them to be trusting followers of the new

change. Since the change towards authentic formative assessment will impact faculty's

instructional practices, a strong moral purpose and change vision which delineates the change, its phases, and its positive impact on teaching and learning, must be laid out. A change communication plan with channels to address concerns, opposition and, ambivalence is also crucial to gradually gain the trust of the DBA's faculty in following the change.

**Capable champions.** The change towards authentic formative assessment at the DBA requires capable faculty. Unfortunately, the present faculty does not have sufficient knowledge on formative assessment practices. Professional training and development is required to broaden the faculty's knowledge and develop their competence in formative assessment, its practices, and the consequential instructional adjustments required.

**Involved middle management.** This readiness dimension refers to the middle mangers' ability "to effectively link senior managers with the rest of the organization" (p.638). Middle managers at the DBA include the deputy department head and the committee heads. The deputy department head along with committee heads are, in fact, presently heavily involved with faculty and other staff at the department, and constantly liaison between the senior leadership team and the rest of the department as well as maintain effective communication channels. The former will have an instrumental role in facilitating the change and disseminating the change vision within the DBA through the existing communication channels, creating commitment in the process.

**Innovative culture.** This dimension refers to the DBA's ability to nurture a culture of innovation. A culture of innovation is presently absent at the DBA. The culture seems to lack an understanding of 'assessment *for* learning' and its link to improved student learning and achievement as well as instruction. Developmental activities and practices have been stagnant and the DBA has not embarked upon innovative initiatives in a long time. Transformational leadership is key here in inviting and instilling a culture of innovation of improvement.

**Accountable culture.** The DBA leadership has, over the years, honored responsibilities and provided the resources required by the department. Accountability, in this respect, has been demonstrated and effectively assumed within the DBA. Last year, a resources committee was created to facilitate and follow-up on resource requirements within the DBA. The committee has proved to be resourceful and conducive on many fronts. This committee will play a crucial role in the provision of essential resources required for the adoption of authentic formative assessment.

**Effective communications.** Presently, there are various effective communication channels in place between faculty and all other levels at the DBA. The regular dean meetings with faculty, the weekly department head meetings, the department committee meetings, and the advisory committee meetings all offer platforms for effective communication, where essential BDA practices are questioned, revisited, and reviewed. These existing communication networks are key in fostering a collaborative culture, which will be a resource in achieving the change in this OIP.

**Systems thinking.** This dimension refers to the DBA's ability "to focus on root causes and recognize interdependencies" inside and outside the organization (p. 638). The DBA's systems thinking capacity requires development. The DBA has not been able to accurately discover the causes behind the low achievement rates and the gap between the graduates' caliber and the labor market requirements. Although the advisory committee has finally pinpointed some of the underlying causes, the DBA leadership has to work on enhancing its ability in conceptualizing patterns and interdependencies clearer. This will allow the DBA to have a better assessment of the causes and dynamics of problems within the DBA.

**Competing Forces**

After analyzing the present situation at the DBA in light of the readiness dimensions outlined in the previous section, a Force Field Analysis (Lewin, 1975) is carried out in this section to help identify and address competing change forces. The Force Field Analysis is an operational framework for change which helps identify the forces for and against change. The Force Field Analysis Model encompasses two dynamic yet opposing forces which have an impact on the change process: *driving* and *restraining* forces. *Driving* forces help the change move forward and *restraining* forces inhibit the change from occurring. In order for change to be successfully realized, *driving* forces must be strengthened and *restraining* forces must be eliminated or converted into a driving force (Cawsey et al., 2016). Table 1.2 summarizes the results of the force field pertaining the change towards authentic formative assessment by outlining *driving* and *restraining* forces at the DBA. The outlined *driving* and *restraining* forces shed light on factors which must be considered when performing a critical organizational analysis and when delineating possible solutions to address the POP in chapter two. Factors which inhibit the change from occurring such as the lack of formative assessment competence within faculty and their ambivalence and resistance towards the change, the lack of a balanced assessment policy, and the lack of a continuous improvement culture (as outlined in Table 1.2) must be redirected and tuned to serve the desired change.

Through the integrated transformational and instructional leadership model described earlier in this chapter and using the change leadership model described in chapter two of this OIP, restraining forces will be weakened and addressed to move the change forward. Transformational leadership will help transform the culture of the DBA and the faculty's perception of their role as educators and further instill a culture of continuous improvement.

Table 1.2

*Force Field Analysis Summary.* Adapted from 'Example of a force field analysis diagram' (p.84). Bozak, M. G. (2003). *Using Lewin's force field analysis in implementing a nursing information system. CIN: Computers, Informatics, Nursing*, *21*(2), 80-85.

| P R E S E N T | **Driving Forces** | **Restraining Forces** | D E S I R E D |
|---|---|---|---|
| | Awareness of improvement needed at the faculty and leadership level → | Complacency with present reliance on summative assessments ← | |
| | College dean and department head are committed to improvement → | Lack of formative assessment knowledge ← | |
| | Faculty Commitment towards student learning → | Lack of a balanced assessment policy ← | |
| | MU and DBA vision to contribute to a knowledge-based economy → | Faculty resistance and ambivalence towards the change ← | |
| | Availability of a dedicated resource committee → | Centralized management approach ← | |
| S T A T E | Advisory committee review report and members are in favor of the change towards formative assessment → | Financial resources required for professional development in formative assessment ← | S T A T E |
| | Wide range of communication channels among faculty, committees, and leadership → | Minimal opportunities for collaborative learning among faculty ← | |
| | High level of leadership accountability → | Lack of 'continuous improvement' culture ← | |
| | Trusting relationships with DBA leadership → | Transactional leadership dominance ← | |

Instructional leadership will help build the faculty's capacity in the field of formative assessment, address faculty's ambivalence and resistance, and promote a culture of collaborative learning. Furthermore, driving forces such as trusting relationships with leadership, faculty commitment towards student learning, and the availability of a dedicated resource committee (as outlined in Table 1.2) will be strengthened and utilized to pave the way for the change realization. Chapter two of this OIP will account for more specific ways to balance the force field through augmenting the driving forces and eliminating the restraining forces.

## Conclusion

Chapter one provided a comprehensive understanding on the problem of the lack of authentic formative assessment system at the DBA. A descriptive analysis on the contextual factors impacting the organization has helped identify change drivers and forces. The relevance of the problem and its critical impact on student learning and achievement was highlighted. The gains of authentic formative assessment on student learning and achievement were supported through academic literature and research evidence.

In examining the organization from a cultural lens, it was observed that the culture of the DBA is lacking essential components which are required for the envisioned change. A collaborative culture of continuous improvement with a focus on learning is required to successfully implement the change this OIP is calling for. Important elements of culture including the values, beliefs, and assumptions require transformation. An integrated transformational and instructional leadership model is adopted for navigating the change towards authentic formative assessment. Transformational leadership will help transform the DBA culture by instilling a culture of continuous improvement around student learning while also inspiring organizational members to adopt the change vision and support its realization. Instructional leadership will help build faculty capacity to support a culture of formative assessment. In the next chapter, a framework for leading the change will be presented and followed with a critical organizational analysis which delineates the changes required at the DBA and identifies possible solutions.

# Chapter Two: Planning and Development

## Introduction

In chapter one, an argument on the urgent need for authentic formative assessment at the DBA, as the Problem of Practice (POP) for this Organizational Improvement Plan (OIP), was presented and supported with contextual framing and research literature. This chapter sets the stage for the OIP planning and development and serves as a roadmap for initiating, introducing, and implementing change towards authentic formative assessment. A comprehensive and systematic plan is designed to guide and direct change towards the improvement of the POP, targeting stronger system performance and enhanced outcomes for student learning. The planning outlined in this chapter is founded upon the thorough understanding of the analyses carried out in chapter one around the POP. This chapter begins with a discussion on the adopted leadership approaches to change followed with the framework to lead the change. A critical organizational analysis is carried out to identify the needed changes; and based on these changes, a number of solutions to address the POP are presented. The chapter ends with a summary of the ethical considerations and challenges throughout the change processes.

## Leadership Approaches to Change

Implementing authentic formative assessment at the DBA is not a simple change which will only affect one function at the DBA. On the contrary, it will require multiple changes at different functions in the organization. Although formative assessment is a process which takes place between educators and students, implementing it requires changes in and beyond that encounter. Navigating changes in instruction, faculty perceptions, culture, and values around student learning requires effective leadership approaches to help bridge the gaps successfully. As outlined earlier in chapter one, transformational and instructional leadership approaches will be

integrated to address the POP and help realize change towards authentic formative assessment. Transformational leadership will help build the DBA's cultural and employee capacity to innovate (Day & Sammons, 2013) and instructional leadership will promote a focus on raising the quality of teaching and learning (Hallinger, 2005).

After the Dean's approval of the recommendation made by the advisory committee to implement authentic formative assessment in the DBA, the resources committee, which I am deputy head of, has been entrusted with the responsibility of working with the department leadership to implement authentic formative assessment. With the Dean's approval and assignment of this task to the resources committee, my agency, influence, and leadership in this OIP is validated. Table 2.1 outlines transformational and instructional leadership components, which I will put into practice to achieve this OIP's change vision. These components are supported by literature and will help develop capacities and establish conditions for improvement.  The next section will detail the planned actions and behaviors for each of the transformational and instructional leadership components outlined in Table 2.1.

**Transformational Leadership**

Transformational leadership focuses on building the organization's and its members' capacity to innovate in order to support teaching and learning development (Nedelcu, 2013). According to Bass (1999), transformational leadership refers to "the leader moving the follower beyond immediate self-interests through idealized influence (charisma), inspiration, intellectual stimulation, or individualized consideration" (p. 11). I will strive to create a climate where faculty engage in continuous learning and are receptive to change and development around teaching and learning (Hallinger 2003). I will aim to "empower followers and nurture followers in change"

(Northouse & Lee, 2019, p.75). The left column of Table 2.1 summarizes the transformational

leadership components which I will focus on.

Table 2.1

*Transformational and Instructional Leadership Components to Propel the Change*

| Transformational Leadership Components | Instructional Leadership Components |
|---|---|
| Shared Transformational Leadership<br>(Printy et al., 2010) | Shared Instructional  Leadership<br>(Printy et al., 2010) |
| Idealized Influence<br>(Bass, 1985, 1999; Bass & Riggio, 2005) | Defining Mission<br>(Hallinger 2000,, 2003, 2011) |
| Inspirational Motivation<br>(Bass, 1985, 1999; Bass & Riggio, 2005) | Managing Instructional Program<br>(Hallinger 2000, 2003, 2011) |
| Intellectual Stimulation<br>(Bass, 1985, 1999; Bass & Riggio, 2005) | Promoting a Positive School learning Climate<br>(Hallinger, 2000, 2003, 2011) |
| Individualized Consideration<br>(Bass 1985, 1999; Bass & Riggio, 2005) | Instructional Expertise<br>Fink and Markholt (2013) |
| Shared Vision<br>(Day & Sammons, 2013) | Faculty Development<br>(Blase & Blase, 1999) |
| Strengthening School Culture<br>(Sun & Leithwood, 2012) | Effective Use of Assessments<br>(Stiggins & Duke, 2008) |
| Building Collaborative Structures<br>(Sun & Leithwood, 2012) | |

The literature-informed components represent transformational leadership perspectives.

The first component, as outlined in Table 2.1, is shared transformational leadership (Printy et al.,

2010). Through my interactions and conversations with faculty, I will promote a sense of shared

responsibility by encouraging faculty to support, inspire, and motivate each other in refining their

assessment and instructional practices. Next, I will focus on *idealized influence*, *inspirational*

*motivation*, *intellectual motivation*, and *individualized consideration*, as these are four important

transformational leadership dimensions (Bass, 1985, 1999; Bass & Riggio, 2005). Through

*idealized influence*, I will actively engage in conversations with the department leadership and

faculty on the learning gains of formative assessment in an attempt to influence their emotions and

have them identify with the need to change. To instigate *inspirational motivation*, I will communicate a strong and appealing moral purpose of formative assessment and support my argument with evidence from research literature. To prompt *intellectual stimulation*, I will work on increasing the DBA leadership and faculty's awareness of the impact that the lack of authentic formative assessment has on student learning. I will use recent sample DBA achievement records and grade distributions as evidence to support my argument on the existence of a problem in student learning resulting from the lack of formative assessment. To emphasize *individualized consideration*, I will engage in and demonstrate supportive and encouraging behaviors towards faculty. This will include offering opportunities for conversation and reflection, and listening to faculty needs with a genuine intention to address them. Moreover, I will ensure to share an appealing and inspiring change vision (Day & Sammons, 2013) with faculty and staff and elicit commitment towards it. As for strengthening the school culture (Sun & Leithwood, 2012), I will promote a positive atmosphere among faculty through trusting relationships, and will strive to build a collaborative culture where DBA committees constantly collaborate with faculty to support continuous improvement. Finally, and with the help of the DBA leadership, I will focus on building collaborative structures (Sun & Leithwood, 2012) through involving faculty in decision-making regarding instructional and assessment changes. I will establish communication and collaborative platforms where faculty, the DBA leadership, and the DBA committees can collaborate and grow. Examples of these collaborative structures include Teacher Learning Communities (TLCs) (Wiliam, 2009) and faculty Professional Development (PD) programs. These collaborative structures will be described in the solutions proposed to address the POP at the end of this chapter.

**Instructional Leadership**

Instructional leadership will require hands-on leaders in curriculum and instruction to work with faculty in order to introduce, integrate, and implement authentic formative assessment practices (Hallinger 2003). As a priority, I will focus on building the culture of learning using an instructional leadership approach which focuses on specific instructional leadership components. The right column of Table 2.1 summarizes the instructional leadership components I plan to focus on. The literature-informed components represent instructional leadership perspectives. First, I will promote a sense of shared instructional leadership (Printy et al., 2010) through actively collaborating with faculty on curriculum, instruction, and assessment tools. Second, I will prioritize the three dimensions of Hallinger's (2000, 2003, 2011) instructional leadership model, *defining mission*, *managing instructional program*, and *promoting a positive school learning climate*. *Defining the mission* will include defining and communicating clear and measurable student learning goals and improvement expectations with the implementation of authentic formative assessment. *Managing the instructional program* will entail supervising, developing, and evaluating instructional practices to ensure adjustments in instruction are made to incorporate formative assessment. In *promoting a positive learning climate*, I will encourage academic progress through the development of high standards and a culture of continuous improvement. Next on the components list is instructional expertise. I will employ the resources committee, which I am deputy head of, and the teaching and learning committee to help in nurturing a shared understanding of what formative assessment and the quality instruction required for it mean. I will ensure that the committees offer access to expertise to facilitate the adoption of instructional practices that align with formative assessment practices. As for faculty development (Blase & Blase, 1999), I will encourage peer-coaching on formative assessment and on how to use student

data to inform instruction through Teacher Learning Communities (TLCs). Finally, as an instructional leader promoting the effective use of assessments (Stiggins & Duke, 2008), I will help faculty develop and use sound classroom formative assessments which strengthen instruction and student learning.  Coupled with the transformational leadership actions and behaviors, the instructional leadership actions and behaviors will foster a collaborative culture which focuses on improving student learning and will provide the needed support for the implementation of authentic formative assessment.

## Framework for leading the Change Process: How to Change?

This section presents the adopted framework for leading the change process. The discussion begins with a description of the organizational change type and is followed by a description of the Change Path Model and Kotter's accelerators for change, as the adopted change leadership frameworks. Both change leadership frameworks will aid the cultural lens this OIP is explored through and will support the implementation of solutions addressing the cultural gaps within the DBA, as described in later sections of this chapter.

### Organizational Change Type

Nadler and Tushman (1990) classify organizational change as either strategic or incremental and as either anticipatory or reactive. The two spectrums are combined to further classify change as one of four types: *adaption*, *tuning*, *re-orientation*, and *re-creation*. In analyzing the change required to address the POP in light of these classifications, the change is evaluated to be of the '*adapting'* type where internal alignment is required to help the emergent organization react to the education narrative on formative assessment gains (Cawsey et al., 2016). The change this OIP is looking to achieve will affect one department, and will work to realize change in the values around pedagogical practices within the same frame of reference of the broader MU

organization. Therefore, the change is considered to be *incremental*. Furthermore, the change has come as a reaction to the low achievement and high failure levels within the DBA, and as a response to meet the knowledge and skill requirements of the labor market. Therefore, the change is considered *reactive*. A change that is both *incremental* and *reactive* is classified as an '*adapting*' change (Nadler & Tushman, 1990). In *adaptations,* implementation is the major task, which is the case for this OIP. The success of this OIP will depend largely on faculty's implementation of formative assessment. If faculty adapts to the new values around their pedagogical practices and the new collaborative culture of learning, as well as implements instructional modifications to incorporate and support authentic formative assessment, this OIP's endeavor can be successful.

**Change Leadership Framework**

Change is pervasive, indivisible, and inherent in the process of organizational becoming (Tsoukas & Chia, 2002) and planning for leading change is as crucial as realizing the intended change. I plan to lead change and the improvement of my POP through Kotter's (2014) eight accelerators for change and the Change Path Model (Cawsey et al., 2016). Kotter's eight accelerators align well with the Change Path Model and, together, they provide a comprehensive guide to change leadership. Figure 2.1 portrays both, the Change Path Model and Kotter's eight accelerators as the change leadership framework adopted for this OIP. In light of Figure 2.1, the next section presents an overview on the Change Path Model phases and the Kotter's accelerator(s) which corresponds with each phase.

**Awakening**

The *Awakening* is the first phase in the Change Path Model and is concerned with the identification and thorough analysis of the need for change, the understanding and articulation of a gap in performance, and the development of a powerful vision (Cawsey et al., 2016). It

corresponds with Kotter's first accelerator which calls for creating a sense of urgency, as depicted in Figure 2.1. Relative to the context of my POP, this stage is instrumental in legitimizing the need for change and it is the process through which complacency with the present assessment practices is replaced with urgency and concern. It is worth noting here that the culture of an organization presents the most significant barrier in addressing *why* change is needed (Fullan, 2006). A culture of continuous improvement would have less difficulty addressing the *why* question of change than a culture which sees incremental improvements as unnecessary or a culture which is ambivalent towards change. In support of the cultural lens this OIP is explored through, articulating and sharing a change vision in this phase will focus on modeling the new values and assumptions required for implementing formative assessment and displacing the existing ones that can impede upon the change vision realization. The development and sharing of a sound vision will be built upon the strengths of the positive relationships (Walters, 2012) which I have already established with the department leadership and faculty. The vision will communicate an urgency which is aligned around a big opportunity (Kotter, 2014), that being 'improved student learning'.

**Mobilization**

Next, is the *Mobilization* phase of the Change Path Model, where leveraging key change agents and examining cultural dynamics as well as formal systems and structures will aid in creating a guiding coalition, developing a vision and strategy for the change, and communicating that vision to key change facilitators (Cawsey at al., 2016). As depicted in Figure 2.1 and in light of Kotter's (2014) accelerators, this phase will encompass building a guiding coalition, forming a strategic vision, and enlisting a volunteer army (accelerators 2, 3, and 4). During this phase, the critical organization analysis (carried out in the next section), will address the specific '*what'* question of change and provide direction on the '*how'* question of change. The analysis of the

formal and informal structures within the DBA and the understanding of the interplay between them is of paramount importance to the success of the *Mobilization* phase. The endeavor here is to conceptualize how to align the organizational components with the change vision and leverage them for the improvement of practice relative to formative assessment, paving the way for the *Acceleration* phase.
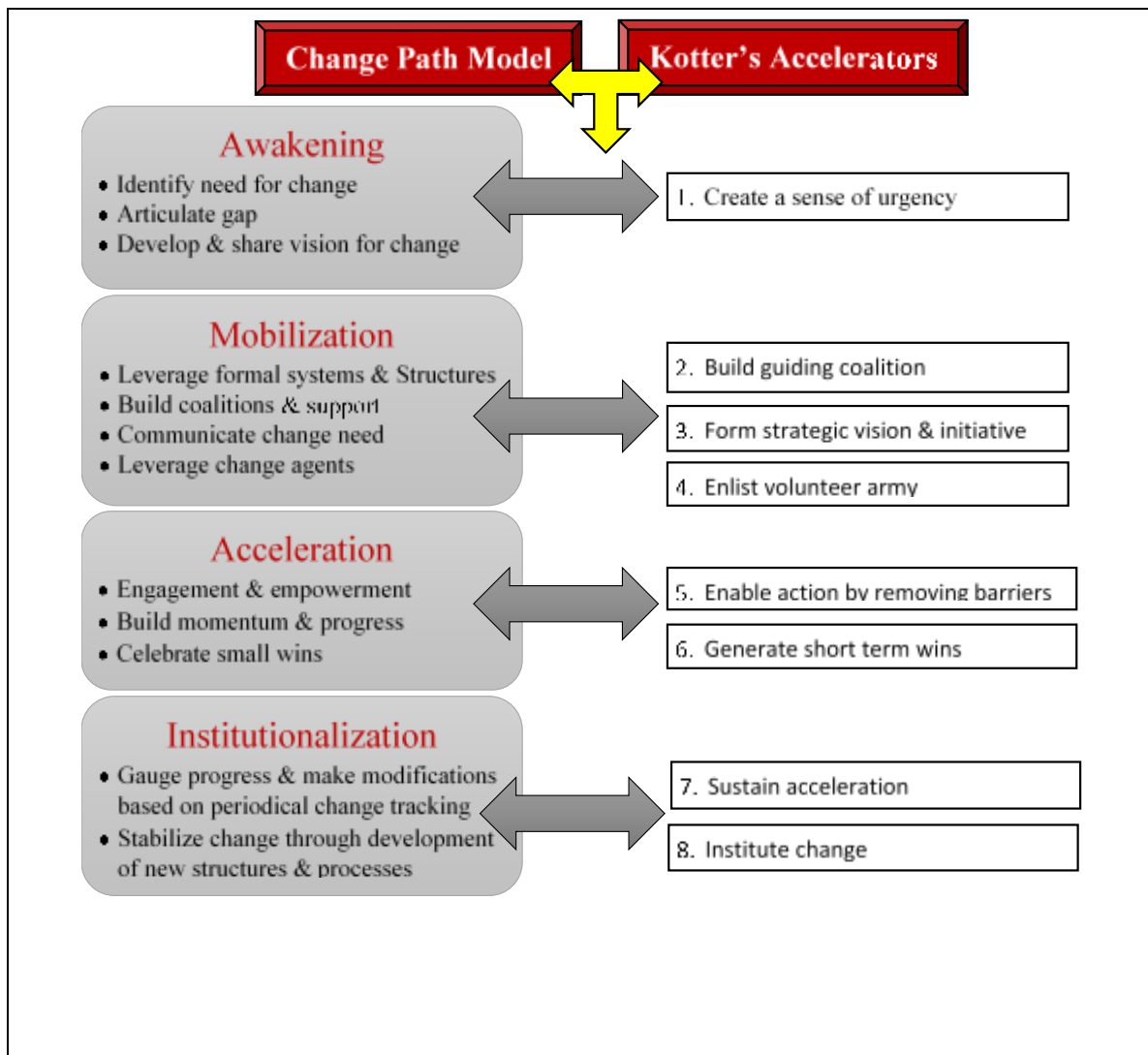


*Figure 2.1.* Change Leadership Framework based on the Change Path Model and Kotter's Eight Accelerators. *Adapted from "The Change Path Model" by Cawsey et al., 2016, Sage Publishing & "The Eight Accelerators" by Kotter, 2014,* Harvard Business Review Press.

**Acceleration**

During the *Acceleration* phase, the development, empowerment, and support of the DBA faculty in designing and implementing formative assessments, as well as in making necessary instructional adjustments, are indispensable accelerating processes in realizing the change. Coupled with the alignment of the DBA structures, systems and processes, and the removal of barriers (Kotter's accelerator 5 in Figure 2.1), Teacher Learning Communities (TLCs) will help nurture the collaborative culture required for the transition towards authentic formative assessment. This will eventually allow for the celebration of small wins (Kotter's accelerator 6) as depicted in Figure 2.1.

**Institutionalization**

Finally, the *Institutionalization* phase will provide stabilization to formative assessment and the instructional adjustments through modifications, follow-up on implementation, and the gradual embedding of the change within the DBA's culture and values (Kotter's accelerators 7 & 8 in Figure 2.1). This phase will include measuring change, monitoring progress, and sustaining the change (Cawsey et al., 2016). Adjustments and fine tuning to the change plan can only happen with the help of change measurement and progress monitoring. It is through these processes that the desired change is realized. The impact of change can only be determined once the change is implemented. Therefore, measuring change after implementation is important and can help shed light on some of the negative consequences of the change. Moreover, measuring the impact of the change on the organization and its constituents is resourceful to navigating the effects of change and addressing any problems which may have arisen. This will, in turn, pave the way for successful change institutionalization.

## Critical Organizational Analysis: What to Change?

This section presents an analysis of the organizational examination carried out for the DBA using Nadler and Tushman's Congruence Model (1989, 1980, & 1997). Nadler and Tushman's Congruence Model offers an open systems approach to organizational analysis and helps determine which organizational components require change to reach the desired organizational state (Cawsey et al., 2016). A gap analysis using the components of the Nadler and Tushman's Congruence Model is carried out to identify areas of misalignment and incongruence in light of the desired change towards authentic formative assessment. As a result of the gap analysis, this section ends with an outline of the needed changes.

### Gap Analysis

A gap analysis conceptualizes a problem as a gap between current and desirable organizational conditions (Archbald, 2013). It provides the foundational analyses upon which a change vision is created. The choice of conducting a gap analysis using the Nadler and Tushman's Congruence Model is attributed to the model's comprehensiveness. The key and laudable approach in the model is its examination of organization-wide components and environment, i.e. its 'open systems analysis' approach in addressing the '*what*' question of change and guiding the '*how*' question of change. The reason why this particular model is most effective – given the context of this OIP – is because learning in higher education, in terms of knowledge and skills, is highly impacted by forces in the environment. Changing markets, changing job requirements, industry innovations, technology, evolving employability skills, evolving fields, and evolving jobs are all forces which impact higher education institutions. This justifies why change must be analyzed and seen through the different organizational components laid out by Nadler and Tushman's model. Figure 2.2 portrays an adaptation of the Nadler and Tushman's Congruence Model. The external

environmental factors, as depicted, play an important role in influencing the internal required changes (Cawsey et al., 2016) within the DBA. The model highlights the importance of having a 'fit' or a 'congruence' among the essential organizational components (work, formal organization, informal organization, and people) (Nadler & Tushman, 1980). It also highlights the importance of having a 'congruence' between the organizational components and the external environment, as well as, the organization's strategy (Cawsey et al., 2016). The fit between the organizational components becomes more so important at times of introducing change. Some of the flaws Fullan (2006) highlighted in a few of the change theories are partially attributed to the lack of coherence between the different organizational components. This is why the Change Path Model (Cawsey et al., 2016) and Kotter's (2014) accelerators are adopted as the change theories for this OIP. Together, they provide a comprehensive guide to change and offer a robust navigation of organizational components during change, promoting coherence within the different change processes as they relate to the different organizational components.

The four organizational components in the Nadler and Tushman Congruence Model are collectively referred to as the 'transformation process' (Cawsey et al., 2016) and can play an instrumental role in propelling change. Although not explicitly mentioned by the authors, the transformation process components are considered as 'enablers' for change initiatives and organizational outcomes. As shown in Figure 2.2, strategy will dictate the direction and contribution of the transformation process components towards the desired outcome.
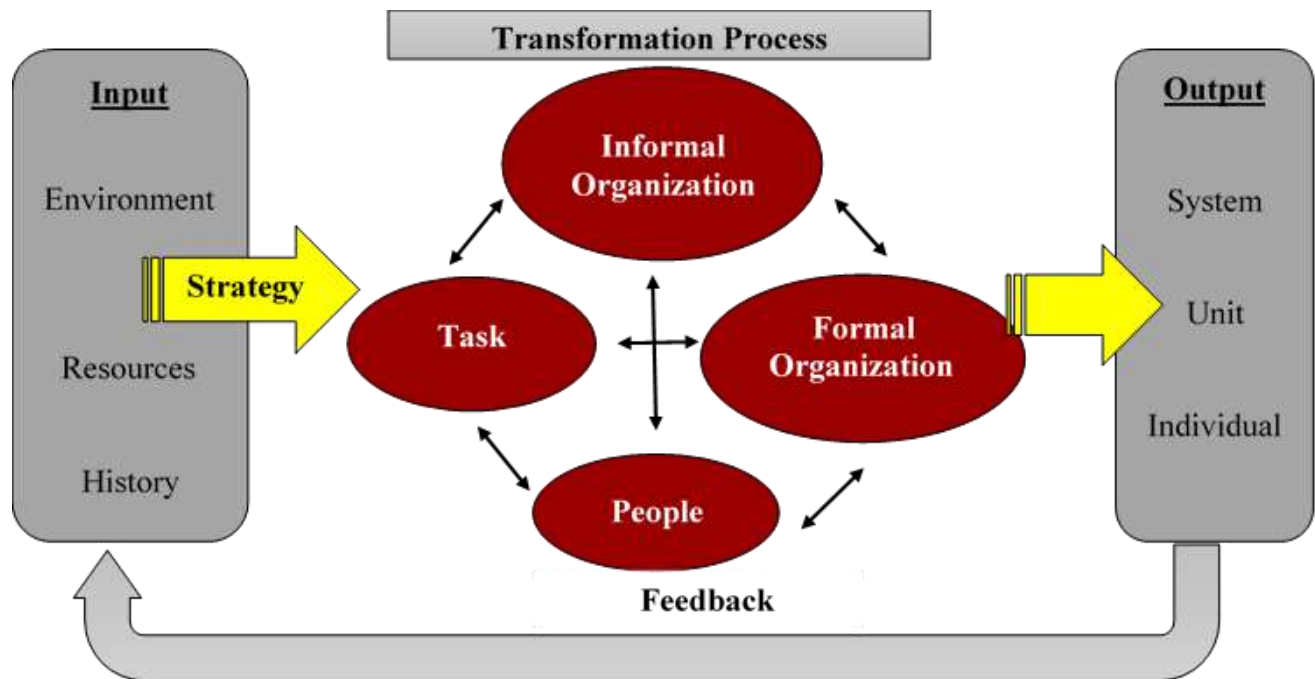
*Figure 2.2*. Nadler & Tushman's Organizational Congruence Model. Adapted from 'A Congruence Model for Organizational Analysis'. Nadler, D. A., & Tushman, M. L. (1980). A model for diagnosing organizational behavior. *Organizational Dynamics*, *9*(2), 35-51.

**Environment.** The first of the organizational input factors is the *environment*. The *environment* includes all external forces including organizations, groups, and events which have an impact on an organization through either making a demand from, placing a constraint upon, or providing an opportunity to the organization (Nadler & Tushman, 1980). The PESTEL analysis presented in chapter one helped provide insights on these forces. The present labor market is demanding a strong and competent graduate workforce from the higher education sector. On an economic front, the DBA is entrusted with the responsibility of contributing the development of a knowledge-based economy. Present student records at the DBA indicate low achievement and signify a gap in student learning. On a legal front, the DBA is facing constraints related to hiring more local staff and is required to reduce its reliance on expatriate staff who are more experienced. In addition, DBA is faced with competition from other universities that are embracing

technological advancements in education and are raising the quality of student learning. All these forces place a demand on the DBA to improve student learning conditions. They also help uncover "implications for action" (Cawsey et al., 2016, p.69) in terms of how resources must be aligned and what responses must be made to achieve desired results.

**Resources.** Resources are the second source of input for an organization. These include the various assets an organization has access to and can be either sources of opportunities or constraints (p. 69). Resources include tangible assets such as employees, technology, and capital, and less tangible assets such as organizational climate. With respect to resources, the DBA has sufficient technology, facilities, and capital available. In addition, there are several support committees in place including a resources committee and a teaching and learning committee. All these can be utilized to support the change towards authentic formative assessment. However, the present faculty require professional development to build their capacities in the area of formative assessment and the instructional approaches required for it. Faculty competence currently represents a state of incongruence in the organizational model, as there is a gap between the present faculty competence and that which is required for the change. To close this gap, professional development is required to increase faculty competence and build their capacity in formative assessment. Increasing faculty competence and building their capacity through professional development is one possible solution explored in later sections of this chapter. Despite the lack of required competence for the change, the DBA faculty has tremendous dedication and commitment towards student success, which indicates that faculty, as a resource, may offer flexibility in being reshaped. Faculty dedication and commitment will be resourceful in realizing the change vision.

**History.** The third input is the organizational history. As the change readiness assessment in chapter one indicated, the DBA lacks a continuous improvement culture and has not embarked

upon projects to improve student learning in the past. This constitutes a gap between the present

culture and the desired culture which is required to support the implementation of authentic

formative assessment. Furthermore, the DBA leadership relies mainly on transactional leadership

approaches. Although efficient, transactional leadership approaches do not help build capacities

and stimulate motivation towards change projects. For authentic formative assessment to be

implemented within the DBA, both transformational and instructional leadership practices, as

argued in earlier sections of this OIP, are required to support the conditions needed for this change.

**Strategy.** The last input in an organization is the strategy. Strategy refers to matching the

organization's resources to its environment (p. 41). The DBA's mission, which stems from MU's

mission, is concerned with enabling its students to master knowledge application in order to

contribute to a knowledge-based economy. The DBA's strategy in light of its mission and inputs

have been to focus on student learning. However, the strategy has not been successful in fulfilling

the DBA's potential in improving student learning. The latter was mainly due to the fact that the

DBA has not reviewed the assessment and instructional practices to ensure they reflect the needs

in the environment. Further, the DBA has not nurtured a collaborative culture of continuous

improvement. It is through a culture of continuous improvement that an organization can stay up

to date with the changing requirements of the environment. The DBA's strategy has also failed to

utilize the potential of its resources. Faculty's commitment and dedication, and the availability of

technology and other resources could have been useful in creating a platform for continuous

improvement and enhancing student learning and achievement.

**Gaps Summary**

In addition to the change readiness assessment and organizational analysis completed in

chapter one, the previous analysis of the organizational inputs helped bring to light some of the

existing gaps between the present and the desired organizational state. In order to embark upon the change towards authentic formative assessment, these gaps must be bridged. The following list presents a summary of the existing gaps within the DBA in light of the envisioned change:

- A gap in faculty's knowledge on and capacity for the use of formative assessment

- A gap between the present and desired practice of assessment

- A gap in faculty's perception of their role as educators in a student learning journey

- A gap between the present values and assumptions within the DBA culture and those desired for a continuous learning and collaborative culture of learning

- A gap between present leadership approaches and those needed for the change

- A gap between the present DBA assessment policy and the policy required to support the change

- A gap between present and desired student achievement levels

- A gap in understanding a culture of '*assessment for learning*'

- A gap in collaborative networks among faculty around student learning

This OIP will aim to address most of the gaps in the above list as they represent the most significant impediments in the face of change. It is important to mention here that the enlisted gaps do not necessarily each require a separate and distinct solution. Some of the gaps may collectively be addressed through one proposed solution or practice. The solutions proposed at the end of the chapter will focus on addressing the outlined gaps.

**Needed Changes**

As shown in Figure 2.2, the transformation process includes the organizational components which can be leveraged to achieve a desired outcome. Informal organization, formal organization, task, and people not only help achieve the organization's strategy, but serve as instrumental

organizational components in driving change. Navigating change towards authentic formative assessment will entail planning for changes within these organizational components. The next discussion outlines these needed changes.

**Informal organization.** The informal organization represents the culture along with its values, beliefs, and understandings (p. 71) or underlying assumptions as Schein (2010, 2017) refers to them. Changes to this particular organizational component must be made to implement authentic formative assessment within the DBA. For several years, the DBA leadership and faculty have been assuming that the present assessment system with its summative dominance is an effective practice. To change these shared assumptions within the DBA, they must be made conscious to trigger a new set of insights and reconcile values around the role of assessment (Schein, 2010, 2017). Using the transformational leadership behaviors outlined earlier and through developing and sharing a powerful vision in the *Awakening* phase of the Change Path Model, I will aim to change values and assumptions around assessment and its role in student learning. Here, focusing on *idealized influence*, *inspirational motivation*, and *intellectual stimulation* (Bass 1985, 1999; Bass & Riggio, 2005) is key to changing the cultural values and assumptions. Changing how faculty perceive their role as educators and changing their assumptions on assessments is an important change needed to achieve the envisioned organizational state.

**People.** People is another organizational component which will be transformed to achieve the desired output. In this OIP, faculty are considered the most influential organizational actors in achieving the change. In order to propel the change, the DBA faculty will require professional development and support in order to successfully implement authentic formative assessment. Using the instructional leadership behaviors outlined earlier, faculty will be provided with the needed guidance and resources required to build their capacity in the area of authentic formative

assessment. This will help faculty, as instrumental facilitators of the change the DBA hopes to realize, increase their efficacy and capacity in implementing authentic formative assessment.

**Task.** The DBA's primary task is to advance the students' academic performance and achievement as well as ensuring best student learning experiences. Given the context of this OIP, the main task which currently presents a state of incongruence with the change vision is the excessive use of summative assessment. The envisioned state requires the engagement of faculty in designing formative assessments and adapting their instructional strategies to the needs of these assessments. Through shared transformational and instructional leadership, faculty will be empowered to make these task changes within their profession to help realize the change vision. This will all take place during the *Acceleration* phase of the Change Path Model (Cawsey et al., 2016) where faculty will be provided with the support and development needed to successfully implement authentic formative assessment.

**Formal organization.** Formal organization refers to reporting relationships, responsibilities, and systems within an organization (Cawsey et al., 2016). Leveraging and mobilizing formal systems and structures towards desired organizational change is a prerequisite for work enhancement and organizational vision realization. The needed changes within this component entail changes in policy and changes in the collaborative networks among faculty. First, the present assessment policy serves as a state of incongruence with the desired output. Reliance on summative assessments must be reduced to allow for authentic formative assessments. Second, the present collaborative structure for faculty is weak and offers little reflection, discussion, and team learning. The structure must change from traditional meetings with superficial learning to rigorous Teacher Learning Communities (TLCs) (Wiliam, 2009). TLCs will serve as a professional development platform in implementing formative assessment. Authentic formative

assessment will require changes in teachers' minute-to-minute and day-by-day assessment use (p. 188). The TLCs will be instrumental in propelling the change and will help build faculty capacity in their use of formative assessment. They will also help build faculty capacity in searching for evidence of student learning to adapt teaching and meet learning needs. Although TLCs are considered a formal structure within the DBA, they will help improve the informal organization through changing the teaching habits and values of faculty.

## Possible Solutions

This section presents three possible solutions with an explication of the needed resources, benefits, and consequences of each solution alternative. A solution path is then chosen and presented with an account of the reasons behind its choice.

### Proposed Solution One: Maintain Present Policy and Focus on FSA

The first proposed solution entails making no change to the present assessment policy, which allocates 70 to 80 percent of a total course mark to summative assessments in the form of examinations, and inviting a focus on the formative use of these summative assessments. An interesting marriage approach between formative and summative assessment is presented by Wininger (2005), who proposes that summative assessment, represented in exams, can in fact be formative by going over the exams in class with students and garnering both quantitative and qualitative feedback from the students about their comprehension. This form of assessment is referred to as Formative Summative Assessment (FSA). From the studies conducted, Wininger (2005) concluded that "students ask more clarification questions during exam reviews, potentially resulting in an increase in learning" (p. 165) and that comprehension and achievement are improved through FSA. Wininger's (2005) approach of FSA is also supported by Taras (2005) who argues that all assessment begins with summative assessment and that formative assessment

is in fact summative assessment plus feedback which is used by the learner" (p. 466). FSA will be promoted within the DBA through the help of the resources committee, and the teaching and learning committee. These two committees will be assigned the responsibility of collaborating with faculty and educating them on the FSA approach as well as monitoring and following up on the usefulness of the approach to student learning and instruction.

**Resources needed.** Minimal resources are needed for the first proposed solution since no major structural changes are required. The two main resources needed are human and time. Human and time resources are readily available and thus, the first proposed solution will not require financial resources. The resources committee members along with the teaching and learning committee members will collaborate with faculty and conduct a few workshops on the formative practice in summative assessments and on how FSA can be implemented to achieve learning gains. Two workshops will be prepared by the teaching and learning committee and approved by the DBA leadership. Follow-up will also be carried out by the teaching and learning committee.

**Benefits, consequences & barriers.** The first proposed solution offers the benefit of improving student learning through the formative practice applied on summative assessments. Faculty can garner feedback which inform their teaching practices and also inform their evaluative practices from the learning gaps they have observed among students. Through the exchange of questions and information at the time of exam reviews, students are offered an opportunity to close learning gaps through understanding why they faltered in a given area and, in turn, move their learning forward. Although this solution will satisfy the feedback component of formative assessment into the learning process, it will be limited for use within summative assessments and will not improve the culture of assessment within the DBA. It will also not call upon a shift in faculty's instructional practices and culture of assessment. Moreover, it will not promote a shift in

faculty's perception of their role as educators since adjustments to instruction will be made only after summative assessments have taken place. Moving forward with this solution will result in incremental improvements of student learning. Lastly, it is my expectation that this solution will have no barriers to implementation because it neither requires radical shifts in practices nor resources which are not readily available.

**Proposed Solution Two: Build Faculty Capacity**

The second proposed solution entails building DBA faculty's capacity on formative assessment through a Professional Development (PD) program and with the help of an instructional leadership team. The success of implementing authentic formative assessment will depend largely on faculty's capacity in using and administering the assessments. Therefore, building their capacity in the area of authentic formative assessment is crucial and presents as a logical solution to the problem. Furthermore, to successfully adopt and implement formative assessment, pedagogical practices must improve (Yorke, 2003). An instructional leadership team will be resourceful to the improvement of pedagogy. Through a comprehensive PD program, faculty can develop a comprehensive understanding on formative assessment, its elements, and its practices. Faculty will also learn about the dynamics of giving and receiving feedback to be able to engage in formative assessment practices. The first step needed to implement this solution is to develop an instructional leadership team. The team will be equipped with the essential knowledge needed to empower faculty in the area of formative assessment. The second step entails arranging for structured PD sessions for faculty in the area of formative assessment and its required pedagogical practices. The instructional leadership team will oversee the sessions, provide the needed support for faculty, and monitor the developed capacities of faculty in formative assessment.

**Resources needed.** This solution alternative requires more resources than the first proposed solution. The resources needed to build the faculty's capacity in formative assessment include human, time, financial, and information resources. Human resources required include an instructional leadership team which mentors and guides faculty using instructional leadership approaches to empower faculty and widen their knowledge in the field of formative assessment. The team will also provide necessary support to faculty in the transition towards authentic formative assessment. The team will be formed and approved by the DBA leadership and the resources committee. Financial resources needed include the monetary amounts invested in PD sessions and the pay for the additional work hours that the instructional leadership team will put forth. These will be approved by the DBA leadership and paid for from the DBA's PD fund. Time resources are required for preparation, coaching, collaboration, and follow-up of the instructional leadership team with the faculty. Information resources include the knowledge and content upon which the PD sessions are based. These include knowledge and content on the formative assessment process and the instructional practices that align with it. For example, the formative assessment model presented by the Iowa department of education will be used as one of the models upon which the PD program will be founded. The model, presented in Figure 2.3, highlights the essential elements in the process of formative assessment. The process starts by determining learning goals and defining success criteria after which evidence of learning is elicited and interpreted, while constantly identifying learning gaps and providing feedback (Iowa Department of Education, 2018). Learning modifications may result from identified learning gaps and this results in scaffolding new learning. Throughout the PD sessions, the importance of faculty feedback from and on the learning process will be emphasized and reverberated.
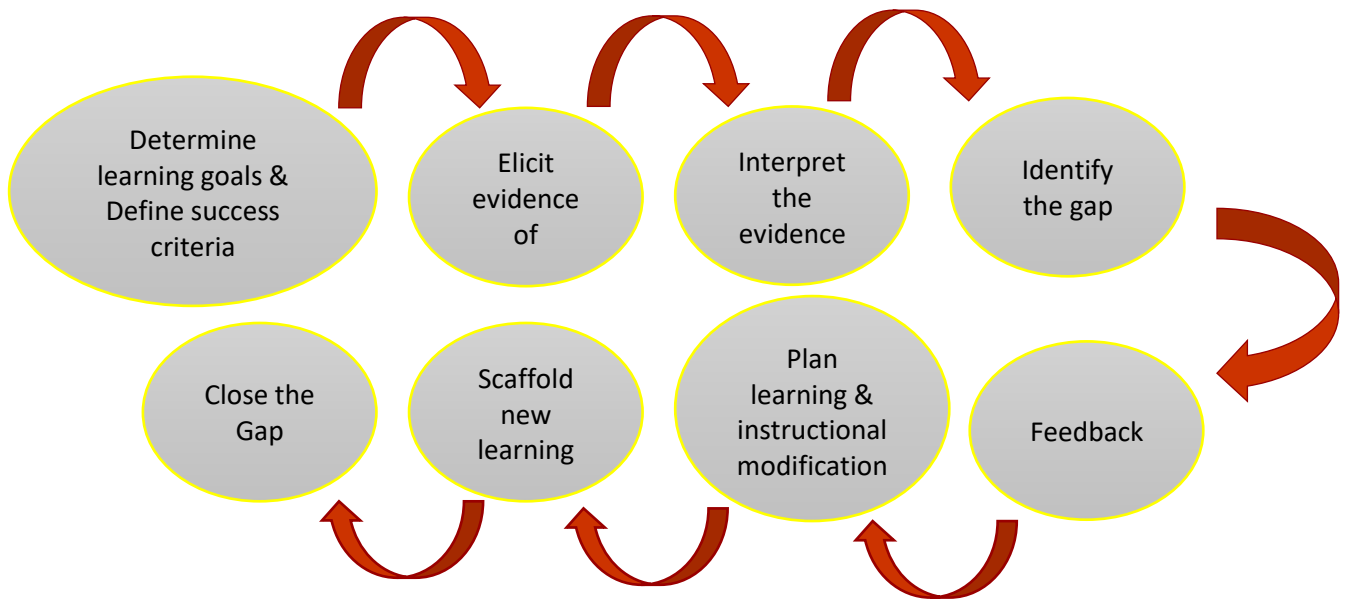
*Figure 2.3.* Formative Assessment Model. Adapted from the Formative Assessment Model of the Iowa Department of Education. Retrieved from: https://educateiowa.gov/pk-12/student-assessment/formative-assessment

**Benefits, consequence & barriers.** This solution addresses the gap of the faculty's knowledge and competence in formative assessment and covers the support and development needed by them. The solution's importance lies within the fact that it offers the right drivers for the empowerment of faculty to implement formative assessment. Faculty are the main change implementers for this OIP and their engagement and support is a prerequisite in propelling change. Mobilizing the power of faculty through professional development, and the support of an instructional leadership team will facilitate change processes and move the DBA in the direction needed (Cawsey et. Al., 2016). Consequences for this solution include reducing some of faculty's responsibilities and freeing some time from their schedules so that they are able to attend the PD sessions. Furthermore, the instructional leadership team has to be carefully selected and offered the time required to fulfil their mission in building faculty capacity. Barriers to this solution include

faculty opposition and cynicism resulting from the demanded changes in their practices. Handling

opposition and cynicism will be addressed in the change implementation plan in chapter three.

**Proposed Solution Three: Build Cultural Capacity**

The third proposed solution entails using transformational leadership to build the cultural

capacity of the DBA through three measures. These are: changing present underlying assumptions,

changing the assessment policy, and creating a Teacher Learning Community (TLC).  As the gap

analysis confirmed, there is a gap between the current culture and that which is needed for the

change. Therefore, a solution which promotes the nurturing of the desired culture is key to the

success of this OIP. From a cultural lens, and as described earlier, the DBA is lacking the essential

values and assumptions which are necessary to address the POP. First, and in nurturing the desired

DBA culture, faculty values and assumptions around assessment must change. As a leader for this

OIP, I will engage in a '*humble inquiry'* (Schein, 2013) dialogue with faculty and attempt to

influence their thinking and assumptions around assessment and student learning through

conversation instead of command, and through genuine questioning rather than telling. Through

Schein's humble inquiry approach, I will focus on establishing positive relationships which are

based on mutual respect as this is an indispensable ingredient in the process of organizational

culture change. The endeavor for the context of this OIP will be to change a few assumptions

around assessment and student learning and not the entire culture. As Schein (2010) asserts,

changes in culture will mostly involve changing a few assumptions within the culture.  Second, I

will influence the change of the assessment policy to reflect a lesser reliance on summative

assessments and incorporate more formative assessments. The new policy will emphasize a culture

of 'assessment *for* learning' through mandating formative assessment practices. Third, I will

establish a Teacher Learning Community (TLC) to instill the value of continuous improvement

within the culture and offer a platform for shared learning around formative assessment practices. In the TLC, faculty will come together to improve their knowledge on formative assessment (Wilson, 2008). They will engage in collaborative discussions on best pedagogical practices which support formative assessment.

**Resources needed.** The third proposed solution requires the most resources. First, it will require more time than the other two proposed solutions because it involves changes in cultural assumptions. Changing assumptions within a given culture takes time for the trusting relationships to be established, the conversations to take place, and the inspirations to be instilled. Transforming values and underlying assumptions around assessment and student learning will require the transformational leadership approaches of *idealized influence*, *intellectual stimulation*, *inspirational motivation*, and *individual consideration*, as outlined earlier in the chapter. Second, developing a TLC will require human and time resources. To build in an effective structure for the TLC, faculty will need to collaborate regularly and put in time for the shared learning opportunities. Therefore, they will be relieved from some of the responsibilities and teaching hours. Additional staff will be hired to fill in for the faculty's relieved responsibilities. Financial resources are thus required to pay for the additional hiring. Additional hiring and its financial implications will require the Dean's approval. Given the Dean's support of the change vision and the benefits it holds for student learning, I am confident this will be granted approval. Technological resources include the development of a collaborative online TLC platform where faculty can share learning and engage in authentic inquiry on formative assessment practices. Third, information resources include the TLC content and knowledge base, the articulation of the new assumptions, and the articulation of the new assessment policy required to support the change.

**Benefits, consequences & barriers.** The third solution offers a powerful transformation of the pre-requisite change conditions. Transforming the assumptions around assessment, the policy of assessment, and the collaboration among faculty around student learning and assessment will pave the way for the culture required to successfully implement authentic formative assessment at the DBA. Although these transformations will take time, they will help ingrain roots of continuous improvement within the culture and will help prepare the DBA for the change of this OIP and other prospective changes as well. Barriers may include limited budgets offered by the college council for hiring additional staff at the DBA. Therefore, faculty will be required to embrace the additional load. Additional incentives and an emphasis on intrinsic motivation can be helpful in this case and can help alleviate some of the negative perceptions of the additional load.

**Alternative Solutions Analysis and Chosen Solution**

Although the first proposed solution offers a simple process for implementing a formative assessment practice, it is limited to, and carried out only after summative assessments.  This OIP aims to implement authentic formative assessment practices to improve learning and therefore, formative assessment should be implemented on classroom instruction as well as coursework including projects and assignments. Although FSA is an effective formative practice, a solution focusing only on FSA is undervaluing the importance of formative assessments carried out throughout the entire process of learning. This solution will not help create a culture of *assessment for learning*. Assessment *for* learning is assessment that is conducted throughout the process of teaching and learning to help diagnose different students' needs, plan for instruction interventions, provide feedback to students on how to improve the quality of their work, and help students feel that they are in control of their successful learning journey (Stiggins et al, 2007).  The first solution will neither help transform the culture of assessment at the DBA nor help transform faculty

assumptions around assessment. Therefore, it does not present as a solid and holistic solution which tackles the roots of the problem and offers a strong foundation to support the change. For that reason, the first solution is not adopted. The second proposed solution offers a strong path for the empowerment and mobilization of the main change implementers. Building the capacity of faculty in the field of formative assessment and supporting the transition with an instructional leadership team are two essential courses of action towards addressing the POP. However, building faculty capacity alone without the adjustment of their assumptions and values around assessment will not guarantee a smooth implementation of formative assessment. To support the enhanced faculty capacity in its journey to realize change, enhancing the cultural capacity in the direction of the change is also required. Shaping the culture to reflect the new values and assumptions which are compatible with the change is important. Values and assumptions which are incongruent with the change must be revitalized (Deal & Peterson, 2013).  In other words, well-equipped faculty will better be able to successfully implement change in a well-equipped culture. With this conclusion, preparing a culture for change is a component that is lacking in the second solution but addressed in the third solution. The third solution advocates for building cultural capacities to propel the change and instill the value of continuous improvement and collaboration at the DBA. It focuses on cultural capacity and provides a route for enhancing faculty capacity through TLCs. After weighing the benefits and consequences of each of the proposed solutions, proposed solution two and three in combination were found to offer a complementary and strong foundation to address the POP. Therefore, proposed solution two and three are adopted as the combined solution for this OIP. The adopted solution will employ instructional leadership to prepare the DBA faculty for the change and transformational leadership to prepare the DBA culture for the change. Building faculty and cultural capacities using instructional and transformational leadership approaches,

respectively, present as a solid and rigorous solution which encompasses empowering change implementers while promoting the DBA cultural conditions for improvement.

## Leadership Ethics and Organizational Change Issues

Ethics and leadership are inseparable (Ehrich, Harris, Klenowski, Smeed, & Spina, 2015). In leading the change in this OIP, decision making and actions must be guided by values and ethical practices (p. 208). This section provides a summary of the ethical considerations and challenges that apply to the change processes of this OIP. In addition, means of addressing some of the ethical challenges are described.

### Ethical Considerations

This OIP is founded on the ethical imperative, on the part of educational institutions, to promote student learning and mobilize all organizational components to justly serve this moral purpose. The choice of the POP is also founded on the ethical responsibility of promoting social justice and ensuring that individual student needs are met. Formative assessment guarantees that instruction adapts to student needs and that students are provided with feedback which helps accelerate their learning.

In acting upon its ethical responsibility to initiate improvement projects which serve the interest of student learning, the advisory committee (which I am a member of) has worked tirelessly to achieve the dean's approval on implementing formative assessment at the DBA. Ethical considerations during the planning and search for solution phases in this OIP were centered around standard two of the *Education Leadership Policy Standards* by the Interstate School Leaders Licensure Consortium (ISCLLC). Standard two emphasizes that an education leader promotes the success of every student by advocating, nurturing, and sustaining a school culture and instructional program conducive to student learning and staff professional growth (ISCLLC,

2008). In light of this standard, a cultural lens was chosen for this OIP and has guided the chosen solution to address the POP in this OIP.  A solution encompassing the building of cultural capacity as well as the professional development of faculty was chosen to ensure the ethical consideration of the responsibility of an education leader in cultural development and staff professional growth.

An important ethical consideration at the time of OIP implementation pertains to the fact that this OIP is inviting and instigating a culture and mind-shift in the area of assessment through increasing awareness and knowledge of faculty on the subject of authentic formative assessment. This ideology change around pedagogy and assessment at the DBA requires the nurturing of a culture of shared responsibility through the engagement of faculty during the change implementation processes. Engagement here includes adequate communication with faculty and their participation in decision-making. Leading in an ethical manner during change implementation will include building trust and collegiality, recognizing efforts, modeling integrity and responsibility, and promoting faculty engagement. These ethical considerations will be echoed throughout the OIP implementation planning in chapter three.

Another ethical consideration pertains to the support and mentoring which must be provided to faculty at the time of change. In consideration to the fact that this OIP is concerned with changing habits and assumptions around assessment and instruction for the acquiring of new skills and knowledge, I realize that support and coaching of faculty will be instrumental in the transition. Using the transformational leadership approaches outlined earlier, I will ensure that faculty are provided with the needed support and resources to help them cope with change requirements. Particularly, *individualized consideration* will be demonstrated through listening to faculty and their needs, engaging in conversations with them, and offering them opportunities for reflection and feedback. Sustaining positive relationships with faculty and remaining sincere and

humble with them is an ethical commitment I will endeavor to honor. I will emphasize this through authentic presence and constant recognition of their valuable contribution in realizing change.

One last important ethical consideration pertains to the honest commitment towards developing self and group expertise around the field of formative assessment and the required instructional practices for it. Stemming out of an *ethic of care* and an *ethic of justice* (Starratt, 1991), I realize that leaders cannot lead what they don't know.  Therefore, I will ensure that my competence and expertise in the subject of authentic formative assessment supports my leadership legitimacy through continuous professional self-development. In addition, I will seek knowledge and expertise around TLCs and their authentic functioning. I acknowledge that with greater expertise on the desired conditions for the change will better enable me to promote the change and promote a shared understanding of what authentic formative assessment is. Moreover, change leaders with expertise on the field of the desired change will be able to develop expertise among the different change agents. It takes expertise to make expertise (Fink & Markholt, 2013). Hence, I will ensure to continue to develop my own expertise about formative assessment and its practices in order to provide the necessary leadership in improving assessment and teaching conditions.

**Ethical Challenges**

The first ethical challenge I expect to be facing during the implementation of this OIP is related to faculty resistance towards the change. It is likely that some faculty may not accept the change and perceive it negatively. Negative perceptions may be a result of the change mandating them to abandon the practices they believe in. The additional work and time load required may also create negative feelings. In this case, it is important to be reminded that punishment or fear for compliance should never be resorted to (Cawsey et al., 2016). Handling opposition, ambivalence, and resistance to change is ethically challenging. It is important to understand that

change brings with it packaged fears and the "best way to manage these fears is through communication and training" (Farrow, 1997, p. 323). Negative feelings must be responded to with engagement and open conversation, which will either help align perspectives on the change or uncover overlooked perspectives. In order to ensure that faculty's psychological contract with the DBA is not negatively affected, I will ensure a socially supportive and just approach to address faculty resistance and ambivalence. The approach will include faculty engagement, building trust, sharing a strong moral purpose within the change vision, communicating change information in a timely manner, and honoring a two-way communication commitment around change. The latter will be useful in providing insights, which can help improve change plans, inform about reactions and perspectives, and pinpoint areas where recipients require support.

Another challenge I am preparing to address pertains to time resources. Faculty will be required to invest additional time and effort to implement formative assessment. Faculty will need to adapt to the new requirements and demands of formative assessment, including the provision of feedback, the adapting of instruction to meet students' needs, the engagement in TLCs, and the participation in professional development sessions. All of these added tasks translate to more required effort, time, and commitment from faculty. The ethical challenge here is to ensure that faculty are able to embrace the additional load while avoiding stress and burnout. If the load and demands become cumbersome, it will be a violation of the *ethic of care* and *ethic of justice* (Starratt, 1991). I attempt to address this challenge by advocating the freeing of some faculty time during the change implementation.

The last ethical challenge pertains to the chosen leadership approaches in this OIP and the degree of morality in which they are employed. For example, employing transformational leadership must be governed by an ethical commitment which entails an authentic and moral

practice of the approach that is beyond self-interest. It is in my interest that the work of this OIP is proven to be successful and worthy in its impact on student learning. It is also in my interest that a project which my committee embarks upon is evaluated positively by the dean and department leadership. However, means to reach that success along with the endeavors to reach that success (including achieving faculty buy-in, providing access to expertise, and achieving improved student learning) must always be moral and abiding by a code of ethics.  In addressing this challenge, I will commit to an 'authentic transformational leadership' approach. Authentic transformational leadership protects against abuses of self-interest by requiring that leaders act on socialized, as opposed to personalized, power motives (Howell, 1988).   Through a commitment to altruistic values and avoiding self-serving biases, I will better be able to live up to the ethical employment of transformational leadership. Furthermore, promoting morality at all times, and especially at times where self-interest is unserved will help me avoid ethical failures of transformational leadership (Price, 2003). After all, transformational leadership has to be morally uplifting (Bass & Steidlmeier, 1999), and a leader cannot preach what he/she does not practice.

## Conclusion

This chapter has laid out the foundational planning for the implementation of the OIP. Instructional and transformational leadership approaches will be employed to realize the envisioned change. The detailed behaviors and actions for each of the leadership approaches outlined in the chapter will guarantee an effective employment of the two leadership approaches in bringing the change forward. The gaps summary reached through the organizational analysis carried out using the Nadler and Tushman's congruence model (1980) presented an important milestone in planning for the change implementation. The outlined gaps and the corresponding required changes to bridge those gaps will help direct efforts where they are mostly needed during

the implementation phase.  Kotter's (2014) accelerators and the Change Path Model (Cawsey et al., 2016), as the adopted change leadership frameworks, present a comprehensive guide to change which gives attention and consideration to all change processes. Finally, an analysis of three proposed solutions along with their benefits and consequences has helped highlight the gains of adopting two of the three proposed solutions as the combined chosen solution to address the POP of this OIP. The combined solution calls for the building of faculty and cultural capacities as a suitable change path towards the successful implementation of authentic formative assessment.

# Chapter Three: Implementation, Evaluation, and Communication

## Introduction

In chapter two, an organizational analysis was conducted and a resulting gaps summary was outlined. The analysis and the gaps summary helped pinpoint the changes required to bridge the existing gaps at the DBA. Identifying the changes required was an important milestone in chapter two – one which will help this OIP fulfil its purpose of helping the DBA reach its envisioned state. The required changes to bridge the gaps were translated to alternative solutions. Building faculty and cultural capacities was deemed as the most suitable combined solution. Furthermore, chapter two helped outline the foundational leadership approaches, change frameworks, and the adopted change path upon which the change implementation processes will structure. Using the transformational and instructional leadership approaches outlined in chapter two, and through Kotter's (2014) accelerators and the Change Path Model (Cawsey et al., 2016), this chapter presents a comprehensive change implementation plan, monitoring and evaluation plan, as well as a rigorous change communication plan to facilitate change and proactively manage stakeholders' reactions to change.

## Change Implementation Plan

A change implementation plan delineates how to keep a plane flying while you rebuild it (Cawsey et al., 2016). The latter analogy best describes what a change implementation plan should aspire to achieve. Action planning is the first step towards implementing change plans and thus, is a fundamental phase contributing to change success.  As mentioned in chapter two, and as per the Dean's approval, the steering team for the change in this OIP is the resources committee, which I am deputy head of. The resources committee and the DBA leadership together form the transition management team. The transition management team will form an implementation team comprising

of the DBA leadership (Department Head and Deputy Head), senior faculty, an instructional leadership team, and the resources committee. While the transition management team will oversee change initiation through institutionalization, the implementation team will oversee change facilitation.

A change implementation plan is summarized in Table 3.1 as shown in Appendix A and will be executed at the DBA in the 2019/2020 academic year and institutionalized in the 2020/2021 academic year. The table outlines the important components of a change implementation plan, including goals, priorities, key participants, and resources required. The plan will also explain how the transition will be managed in light of the goals set and how stakeholders' reactions to change will be understood.

**Goals, Priorities, & Strategies for Implementation**

To implement authentic formative assessment at the DBA, and given the adopted solution presented in chapter two, two main goals are set as per Table 3.1: (1) building DBA faculty capacity and (2) building DBA cultural capacity around formative assessment. Each of the two goals will require different strategies and aim at different, yet complementary, priorities. Strategies adopted to achieve the first goal include professional development (PD), peer coaching, the formation of an instructional leadership team, and faculty empowerment. Strategies adopted to achieve the second goal include the formation of Teacher Learning Communities (TLCs), humble inquiry conversations, redefining of values and assumptions around assessment through Schein's (2010) three stage conceptual model for managing change of organizational culture, and the promotion of a culture of assessment *for* learning. Each of the goals and their respective priorities and resources as well as their strategies in each of the Change Path Model phases are explained in the following discussion and outlined in Table 3.1 as exhibited in Appendix A.

**Goal # 1: Building DBA faculty capacity.** The first goal aims at empowering the DBA faculty through educating them about formative assessment, its purposes, practices, uses, and benefits. As outlined in Table 3.1 in Appendix A, priorities associated with this goal include enhancing faculty's understanding of formative assessment and developing their ability and competence in using formative assessment practices. Furthermore, the first goal aims at improving faculty's pedagogical skills through the effective use of formative assessment and its embedded feedback mechanisms. Generally, the first goal targets to support teaching and learning through cultivating competence among faculty in the area of formative assessment. To achieve this goal, strategies are outlined through each of the Change Path Model (Cawsey et al., 2016) phases as shown in Table 3.1 over the course of two years. The *Awakening* and the *Mobilization* phases will take place in the fall term, and the *Acceleration* and *Institutionalization* will take place in the winter term of the 2019/2020 academic year. In the *Awakening* phase, the need and vision for formative assessment will be articulated and communicated. More on communicating vision and need for change will be covered in the change communication plan section of this chapter.  The *Awakening* phase will happen in the first 10 weeks of the fall term. Next, the *Mobilization* phase will happen in the remaining six weeks of the fall term. In the *Mobilization* phase, a 'stakeholder analysis' (Cawsey et al., 2016) will be carried out to identify key and influential stakeholders, who will be invited by the implementation team to join the action planning phase and empowered to take part in change implementation planning.  The active involvement of stakeholders will enhance the quality of action planning for change initiatives (Cawsey et al., 2016). Based on the stakeholder analysis, the department leadership along with the resources committee will form an instructional leadership to oversee and assist in the PD program for faculty, as well as to support faculty in implementing formative assessments. In addition, five senior faculty will be assigned to peer

coaching under the guidance of the instructional leadership team. Furthermore, the instructional leadership team will contract with two PD consultants. The instructional leadership team and senior faculty will serve as members of the guiding coalition (Kotter, 2014) alongside the resources committee throughout the change transition. During the *Acceleration* phase, momentum will be built through the engagement of DBA faculty in PD sessions, which will be held in two-hour sessions, twice-a-week. To further build momentum and progress (Cawsey et al., 2016), the instructional leadership team and the senior faculty coaches will empower faculty and provide support throughout the PD sessions. Empowerment will take place through effectively engaging the DBA faculty in action planning and inviting their participation throughout the implementation of the change. For example, empowering faculty will happen in the form of engaging them in discussions and decisions related to the nature of formative assessments employed into each of their courses. As an effective strategy at the time of change, faculty empowerment will demonstrate that faculty's help and contribution in the desired change is valued and needed (Cawsey et al., 2016). "Stakeholders must experience initiative in ways that make them feel they are valued members who are contributing to a collective identity, destiny, and vision" (Adelman & Taylor, 2007, p.64). Additionally, the resources committee will establish collaborative platforms and opportunities between faculty and the teaching and learning committee to further support faculty. Feedback on the *stages of concern* and *levels of use* from faculty and the instructional leadership team will be collected using the Concerns Based Adoption Model (CBAM) (Roach et al., 2009), which will be thoroughly described in the 'monitoring and evaluation' section of this chapter. CBAM will help in understanding stakeholders' reactions to change by identifying their concerns on the change. These concerns will then help inform and adjust the implementation process in ways which address stakeholders' concerns. Barriers identified from the concerns will be removed

(Kotter, 2014) to allow for the generation of small wins such as improved faculty knowledge on formative assessments. *Acceleration* will happen over the course of the first 10 weeks of the winter term of the 2019/2020 academic year. In *Acceleration*, faculty will engage in the PD sessions and peer coaching interactions. Afterwards, in-class implementations of formative assessments will start and collaborations between faculty and the teaching and learning committee will take place to offer support and guidance on formative assessment practices. Feedback through CBAM will once more be gathered to understand and manage stakeholders' reactions. More on CBAM and how stakeholders' reactions will be understood and managed will be covered in the 'monitoring and evaluation' as well as the 'communication plan' sections. Finally, the *Institutionalization* phase entails updating and modifying course syllabi to embed and reflect formative assessment practices. This stage will also include follow-ups on implementation to align instructional practices with formative assessment practices, as well as to monitor and evaluate change using CBAM. *Institutionalization* will start in the last six weeks of the winter term and will continue through the 2020/2021 academic year.

**Goal # 2: Building DBA cultural capacity.** The second goal aims at building the DBA's cultural capacity (see Table 3.1 in Appendix A). The priorities for this goal are to promote a positive school learning climate, transforming the present underlying values and assumptions around assessment, changing the assessment policy, instilling a culture of assessment *for* learning, and encouraging collaborative platforms around learning. In the *Awakening* phase, the need for a collaborative culture of learning and the need to shift from a culture of assessment *of* learning to a culture of assessment *for* learning will be communicated. A vision which emphasizes the moral purpose underpinning the change towards assessment *for* learning (i.e. formative assessment) will be echoed. *Awakening* will also witness the '*unfreezing*' stage of organizational culture change

(Schein, 2017, 2010). During '*unfreezing*', disconfirming data on the present values and assumptions around learning and assessment will be communicated to create a state of disequilibrium and motivation for change. The *Awakening* phase for this goal will happen in parallel with the *Awakening* phase of the first goal of building faculty capacity, and hence, will also take place in the first 10 weeks of the fall term in the 2019/2020 academic year. In the remaining six weeks of the term, the *Mobilization* phase will take place. In *Mobilization*, the transformational leadership approaches (*idealized influence* and *inspirational motivation*) outlined in chapter two will be put into action in preparation for defining the new cultural values and assumptions around learning and assessment. *Mobilization* represents the second stage of Schein's (2017, 2010) model for changing organizational culture, which is referred to as '*changing*'. It is the stage where the new beliefs, values, and assumptions are defined and instilled. Defining the new cultural values and assumptions around learning and assessment through several communication channels will be an important task during *Mobilization*. Examples of the new espoused values for the change are outlined later in this chapter. The department head and the resources committee members will also engage in humble inquiry conversations to nurture positive relationships through expressing interest in faculty's experiences and viewpoints and actively listening to responses of genuine questions asked (Schein, 2013). *Mobilization* will also include the formation of Teacher Learning Communities (TLCs) under the supervision of the instructional leadership team. TLCs will help promote a collaborative culture of shared learning.  Faculty will be relieved from some of their administrative duties in order to offer them more time to engage in TLCs as well as PD sessions as highlighted earlier. With the aforementioned, hiring of additional staff, who will cover some of the duties faculty will be relieved from, will take place during *Mobilization*. This additional expense will be covered from the DBA's staffing budget and

approved by the department head. The *Acceleration* phase will entail the '*refreezing'* of the new values and assumptions around assessment and learning (Schein, 2017, 2010). It will also entail the activation of the TLCs with the new assumptions and values adopted at the heart of the TLCs work. Humble inquiry conversations will continue through the *Acceleration* phase to promote trusting relationships with the DBA faculty and garner their support and commitment towards the new cultural values. *Acceleration* will happen in the first 10 weeks of the winter term. Finally, in the *Institutionalization* phase, the change in culture will be measured through an assessment of the belief systems (Cawsey et al., 2016) in order to re-align perspectives if need be. A TLC policy will be endorsed and the *refreezing* of the new values and assumptions will continue over the course of the next academic year of 2020/2021.

**Resources**

The resources required for the accomplishment of the two goals include human, financial, informational, and technological resources. Financial resources encompass monetary amounts required to cover the expenses resulting from the hiring of the additional staff and the assignment of PD consultants. The PD consultants will cost USD 4,000 and the additional staff costs will be determined at the time of the hiring and will be contingent upon the availability of budget. These amounts will be approved by the department head and covered from the DBA's PD and staffing budgets. Human resources include members of the instructional leadership team, transition management team, implementation team, PD team, resources committee, teaching and learning committee, DBA leadership (Head & deputy), and TLCs. These will all be mobilized to facilitate the change and support its successful implementation. Informational resources include the formative assessment model and practices adopted by the PD team, instructional practices and feedback mechanisms promoted by the instructional leadership team, new formative assessment

tools adopted by faculty and integrated on course syllabi, as well as the new cultural values supporting the change towards formative assessment and a culture of assessment *for* learning. The new values will be thoroughly articulated by the transition management team and reverberated throughout the change. Technological resources include the creation of an online TLC platform on which faculty can collaborate and exchange experiences and learning. Finally, time resources are required for peer coaching by senior faculty, collaboration and follow-up of the instructional leadership team with the faculty, attending PD sessions, and engaging in TLCs. To avail for the time requirements, and as explained earlier, faculty will be relieved from some of their administrative duties and additional staff hiring will cover for these duties.

**New DBA Values**

This section outlines literature-informed values of learning and assessment, which will be promoted within the DBA culture and reverberated throughout the change transition.

**Assessment for learning.** Value and belief statements relevant to assessment *for* learning which will be promoted include (1) student learning improves when educators adapt instruction on the basis of evidence, making changes and improvements to their instructional practices (Chappuis & Chappuis, 2007) and (2) students are better able to manage and adjust their own learning when they use evidence of their current progress (Stiggins et al., 2007).

**Formative assessment.** Value and belief statements relevant to formative assessment include: (1) formative assessment is a reliable tool for evidence of student learning and evidence of the effectiveness of instructional practice (Stefl-Mabry, 2018), and (2) formative assessment helps students be more successful as it provides a platform for educators to understand struggles students have, identify areas of deficiency, and promote deeper understanding (Bakula, 2010).

**Collaborative culture of learning.** Values relevant to the promotion of a collaborative culture of learning will emphasize that (1) TLCs offer an effective platform for educators' development and collaboration through sharing experiences and learning to change deeply ingrained practices and substitute them with ones which better serve student learning and achievement (Wiliam, 2009), and that (2) when educators collaborate on teaching and learning, shared responsibility is built and student learning is improved (Hirsh & Killion, 2009).

**Potential Implementation Issues and Challenges**

As with every organizational change, the change implementation plan outlined in this OIP may face some challenges and roadblocks. Therefore, thinking in advance of what challenges an implementation plan may encounter can tremendously help in planning to address these challenges, and in turn, facilitate a smoother change implementation journey. This section will cover three of the challenges which may be faced during implementation. One of these challenges pertains to stakeholder's reactions to change. Faculty may have ambivalence, cynicism, and/or negative feelings towards the change. This may be due to the fact that the change may require faculty to give up some of their practices which they have been used to and have strongly believed in for years. In planning to address this challenge, a communication plan to understand and manage stakeholders' reactions is outlined later in this chapter. The communication plan will emphasize stakeholder engagement, and promote the gathering of feedback from stakeholders throughout the change transition, as well as offer facilitation and support on the change to clear any misconceptions on the change. A second challenge pertains to the difficulty of changing values and assumptions around assessment and learning within the DBA culture. The unfreezing stage may invite faculty resistance, a feeling of loss of integrity, and a lack of willingness to unlearn behaviors (Schein, 2010). In attempting to address this, the transition management team will

constantly connect the new learning to strong moral purposes and ideals, as well as emphasize that a solution and path for change with means of support are well planned for. This will help instill a feeling of psychological safety and confidence towards the change (p. 320). A third challenge pertains to the time it will take to change values and assumptions. It may take more time than expected to align the assumptions and values of organizational members to those which the change is promoting. To mitigate against this obstacle, I have allotted a second academic year for the *Institutionalization* phase. This will allow ample time for the stabilization of the new values and assumptions around learning and assessment. A fourth challenge pertains to PD results. The PD sessions may not produce the intended results, which is to develop faculty competence and bring faculty's skills to a level where they can implement the change in the classroom seamlessly. The execution, however, may not unfold as planned. The hired consultants may not have sufficient competence, the number of sessions may be insufficient to build the required faculty capacity, and the approved budget may not allow for a comprehensive training program which serves the goals initially set for it. In mitigating against these challenges beforehand, PD consultants will be carefully selected by the DBA leadership and the outcomes of PD sessions will be well-articulated and agreed upon prior to the delivery of the sessions. Furthermore, and as a back-up plan, I will follow-up with the instructional leadership team to continue with faculty development should the budget allotted not allow for comprehensive PD sessions.

**Limitations**

Two limitations of the change implementation plan pertain to the TLC functioning and the PD results. First, the change implementation plan does not include a measure for the functioning of the TLCs. Ensuring that TLCs are functioning well and are serving their purpose are essential measures, but are big tasks to be included in the change implementation plan within this OIP.

Ensuring that TLCs are fulfilling the goal of authentic collaborations and group learning will be included in the 'conclusion, next steps, and future considerations' section of this OIP. Second, the change implementation plan does not include a measure for the PD results. Although measuring and evaluating the effects of the PD program on faculty is important, it is not considered within the scope of this OIP. To mitigate against this limitation, specific and clear goals will be defined and agreed upon with the PD consultants. Furthermore, evidence of improved faculty knowledge and skill development in formative assessment will be monitored by the instructional leadership team and reviewed periodically with the PD consultants. Monitoring and evaluation are crucial to the success of the change implementation plan. The next discussion highlights the important role of monitoring and evaluation and outlines tools adopted to monitor and evaluate the change process.

## Change Process Monitoring and Evaluation

The monitoring and evaluation of change are two important functions in the journey of change management. Monitoring and evaluation of change entail the employment of tools and measures which help track change, gauge progress, assess the implementation and impact of change, and finally inform the change process. Evaluating the effects of change on organizational members will help provide insights on necessary modifications and overall progress (Cawsey et al., 2016). Using control systems, throughout the change process, such as "obtaining feedback regarding the success of a change initiative relative to environmental factors", "confirming that new systems, processes, and behaviors established by the change are working appropriately" (p.351), and evaluating belief systems to ensure they are congruent with the change will help provide an accurate assessment of the change success. Formative and summative approaches in monitoring and evaluating change are adopted for this OIP. While a summative approach gathers

information towards the end of the change, a formative approach gathers information from the beginning of and throughout the change processes. A formative approach is used for monitoring change and a summative approach is used for evaluating change. Before outlining the monitoring and evaluation tools adopted for this OIP, it is important to identify the elements which will be monitored and evaluated. One can only monitor and evaluate what one have identified as worthy of monitoring and evaluation. Figure 3.1 summarizes the elements which will be monitored and evaluated within this OIP. It is worth noting that while monitoring will focus on the change processes and will take place throughout the change processes, evaluation will focus on change outcomes and will take place at the end of change processes. The next discussion will explain the elements and tools for the change process monitoring and evaluation.

**Change Process Monitoring**

As depicted in Figure 3.1, elements to monitor include faculty engagement and reactions towards change, PD sessions, peer coaching, and TLCs. The tools adopted to monitor these elements are (1) the Concerns Based Adoption Model (CBAM), (2) focus group meetings with key stakeholders, and (3) instructional leadership team observations. Faculty engagement and stakeholder's reactions to change will be monitored throughout the change phases through the adoption of the CBAM. In addition, focus group meetings with key stakeholders will be conducted to gather data on stakeholders' reactions towards the change and towards the process of PD sessions, peer coaching, and TLCs. In addition, observations by the instructional leadership team will be carried out to ensure congruence between plan and implementation. Each of the monitoring tools is briefly described in the next section.

**CBAM.** Moving towards authentic formative assessment at the DBA is an innovation which calls upon change (Moreira, de Aquino Guimarães, & Philippe, 2016). In order to best

monitor and evaluate the integration of this innovation within the DBA, CBAM will be used to

assess the concerns and reactions towards the shift to formative assessment as well as to identify

impact points during the change processes (Roach et al., 2009). "CBAM focuses on the perceptions

and lived experiences of individual teachers as they encounter innovation…" (Gundy & Berger,

2016, p. 234).

**Monitoring & Evaluation**

**Elements to Monitor (Change Processes)**
- Faculty engagement
- Stakeholders' reactions to change
- PD sessions
- Peer coaching
- TLCs

**Elements to Evaluate (Change Outcomes)**
- Improved student learning & achievement
- Faculty competence
- Improved instruction
- Culture of assessment
- Values & assumptions

**Monitoring Tools**
- CBAM
  o Stages of concern (one-legged conferences & SoCQ)
  o Levels of use
  o Innovation configurations
- Key stakeholders focus group meetings
- Instructional leadership team observations

**Evaluation Tools**
- Review of Student achievement records
- Student feedback questionnaires
- Instructional assessments (observations & surveys)
- Belief systems assessment (Department surveys & humble inquiry conversations)

*Figure 3.1.*  Monitoring and Evaluation Elements and Tools

The *stages of concern*, *levels of use*, and *innovation configurations* are three diagnostic

frameworks proposed by the CBAM model and serve as powerful tools to collect information on

change implementation (Gundy & Berger, 2016; Hall, Dirksen, & George, 2013; Roach et al.,

2009), serving as an effective change monitoring and evaluation tool. While it is inevitable for the

DBA faculty to have concerns and difficulties throughout the implementation of change, Roach et al. (2009) remind us that concerns and attitudes changed in predictable patterns as educators became more adept and experienced practitioners. This is reassuring and, in fact, reflects the instrumental role CBAM plays in understanding concerns for the purpose of addressing them to facilitate the change transition. First, during the implementation of the shift towards authentic formative assessment, the *stages of concern* within the DBA faculty implementing the change will be assessed using 'one-legged conferences' and 'stages of concern questionnaires' (SoCQ) (Roach et al., 2009, p. 307) throughout the change phases. In one-legged conferences, faculty's concerns will be assessed through short informal interactions in hallways, staff lounges, and short discussions before or after meetings.  One-legged conferences allow for candid and open feedback, which more accurately reflects faculty's viewpoints, making it a valuable information channel. For example, during the *Awakening* phase, feelings and concerns towards the communicated need for change will be assessed. During the *Mobilization* phase, feelings and concerns towards the shared change plans and their effects on faculty will be assessed and during *Acceleration*, feedback on the PD sessions, peer coaching, and TLCs will be solicited. The SoCQ will remain anonymous and will be administered online to gather feedback from faculty on their concerns and reactions to change. Feedback from the SoCQ will be accessed by the department leadership and the resources committee. The *stages of concern* framework allows for ongoing monitoring of concerns and reactions throughout the change processes and also serves as a comparative measure of the various concerns among different stakeholders' groups. The latter helps with designing appropriate support strategies to address the varying concerns among stakeholders (p. 305). Second, the *levels of use* will be assessed through the instructional leadership team who will assess the extent of formative assessment usage by faculty in the classroom through observation of and collaboration

with faculty. Based on the *stages of concerns* and *levels of use* observed, adaptations will be outlined to facilitate successful change implementation. How the concerns and difficulties will be addressed and through what channels will be highlighted in the communication plan outlined later in this chapter. Finally, the last CBAM framework is *innovation configuration*. In *innovation configuration*, components of the intervention (i.e. the implementation of formative assessment) will be outlined and mapped as either successfully implemented or ineffectively implemented (p. 316). This method of mapping and classification of change components is an important tool to evaluate the process of change implementation because it is through these mappings that important refinements to implementation are made.

**Key stakeholders' focus group meetings.** In monitoring the change, the views and perceptions of key DBA stakeholders about the change will be gathered through focus group meetings. Key stakeholders for this OIP include senior faculty in charge of peer coaching, the resources committee in charge of initiating and facilitating change, and the instructional leadership team as change facilitators. Feedback solicited from key stakeholders will be particularly important as it will also help reveal challenges faced by faculty, hidden oppositions among faculty, and barriers in the face of implementation. The DBA leadership will schedule weekly one-hour focus group meetings with the aforementioned key stakeholders to collect feedback and input on the change processes including the PD sessions, peer coaching, and TLCs. This tool will help the DBA leadership track the change as well as gauge progress.

**Instructional leadership team observations.** As an important change facilitator working under my supervision (resources committee) as well as the supervision of the DBA leadership, the instructional leadership team will serve as the helm of the change processes constantly collaborating with faculty and overseeing the execution of the PD sessions, peer coaching, and

TLCs.  The instructional leadership team will be assigned the task of conducting observations on how the PD sessions, peer coaching, and TLCs are being accelerated and on the barriers and/or challenges faced. These observations will then be shared with the DBA leadership and the resources committee in order to inform and make necessary refinements to the change processes as well as offer the required support for the effective implementation of change.

**Change Process Evaluation**

As shown on Figure 3.1, elements to evaluate include improved student learning and achievement, faculty competence around formative assessment, improved instruction, culture of assessment, and values and assumptions around assessment and learning. The aforementioned elements to be evaluated represent the change that this OIP is primarily targeting. These elements also reflect the components embedded in the vision for change, which was outlined in chapter one. Furthermore, the elements will help evaluate the accomplishment of the goals set in the implementation plan, which was delineated at the beginning of this chapter. The tools adopted to evaluate these elements are (1) the review of student achievement records, (2) student feedback questionnaires, (3) instructional assessment, and (4) belief systems assessments. Each of the evaluation tools is briefly described in the next section.

**Student achievement records.** In order to evaluate if change has realized its purpose of improved student learning and achievement, a comparative review of student records will be conducted at the end of the change processes. The review will compare student achievement rates before and after the change, as well as individual course grades before and after the change. This evaluation will indicate the effect the change had on student learning and achievement.

**Student feedback questionnaires.** Students are the main change recipients and serve as an important source of feedback which pertain to the effects of change in the classroom and on

student learning in general. Student feedback will be collected through questionnaires during the *Acceleration* and *Institutionalization* phases. Specifically, quantitative and qualitative feedback from students, who witnessed the implementation of formative assessments in a given course, will be collected and analyzed to evaluate the effects of change on student learning experiences. These questionnaires will be online and anonymous in order to protect student confidentiality. Data from these questionnaires will be analyzed by the resources committee and stored at the department head's office. Both the department leadership (head and deputy) and the resources committee will have access to the data.

        **Instructional assessments.** To evaluate whether the implementation of formative assessment has improved instruction, instructional assessments will be conducted through instructional leadership team observations and faculty surveys. Through faculty surveys, faculty will have the opportunity to indicate the effects of formative assessment on their instructional practices and whether they believe formative assessment has resulted in improved instruction.

        **Belief systems assessments.** Finally, and since this OIP is targeting changes in the DBA cultural values around student assessment and learning, an evaluation of the belief systems (Cawsey et al., 2016) will be carried out at the *Acceleration* and *Institutionalization* phases as well as after *Institutionalization*. Department wide surveys evaluating the values and assumptions of faculty and staff will be conducted to measure their congruence with the desired values and assumptions. Furthermore, humble inquiry (Schein, 2013) conversations will continue to take place between the DBA leadership and faculty to carefully listen to their values and assumptions around learning and assessment. In addition to asking genuine questions to faculty and listening to their perceptions and beliefs, these conversations will aim at realigning the DBA values with the

change. The next section will cover the communication plan for this OIP outlining its elements, approaches, and layers.

## Communicating Change

A detailed communication plan to understand how to manage transitions and stakeholders' reactions to change is inherent in the work of successful change agents (Cawsey et al., 2016). To actively engage stakeholders, I developed a communication plan to carefully and thoroughly delineate to stakeholders, through multiple communication channels, what the change plans are, why they are pursued, and their implications (Cawsey et al., 2016). An effective communication plan will help avoid rumors and misconceptions around the change plans, motivate stakeholders to support the plans (Rose, 2010), encourage commitment towards the desired change, increase the likelihood of positive reactions towards change, and most importantly, keep the stakeholders informed and engaged (Cawsey et al., 2016). Furthermore, an effective communication plan can help guide organizational change without fatigue and cynicism (Torppa & Smith, 2011).

### Communication Plan Elements

To design an effective communication plan, I will ensure that important and specific change information is included and embedded within the plan. My communication plan will aim to cover and explain the discrepancy, appropriateness, efficacy, principal support, and valence (Armenakis, Bernerth, Pitts, & Walker, 2007; Armenakis & Harris, 2002; Klein, 1996) as they pertain to the desired change at the DBA. Discrepancy refers to the "difference between where the organization is and where it needs to be", appropriateness refers to "how the proposed initiative addresses the discrepancy" (Torppa & Smith, 2011, p. 63). Efficacy refers to communicating the organization's capability to implement the new initiative (Armenakis et al., 2007) and principal support relates to communicating that leader support exists for the initiative (p. 488). The latter

communication will strongly influence whether the change initiative will be embraced. Finally, valence refers to communicating information which conveys that the change will be beneficial to the organization and its members (Torppa & Smith, 2011). I will strive to ensure that my communication plan thoroughly considers and reflects these important elements.

**Communication Plan Approaches**

The communication plan for this OIP is founded on three core approaches in communicating change. These are *Knowledge Transformation*, *Programmatic*, and *Participatory* approaches. These approaches are each explained in this section.

**Knowledge transformation approach.** Recent research literature has emphasized the importance of knowledge transformation at times of change (Dee & Leisyte, 2017). It is argued that under conditions of change, "the creation and movement of knowledge may require the development of new structures and the use of communications that have a high level of media richness" (p. 355). Rich media, such as face to face communication which allows for immediate feedback, has a strong capacity to change understandings in a short time and is more likely to build shared understandings and support change (Daft & Lengel, 1986; Dee & Leisyte, 2017). To support the change towards formative assessment, my communication plan will strive to transform knowledge within the DBA by using rich media throughout the change phases. This is especially important for changing values and assumptions around assessment at the DBA. Reflecting on the connection between the communication approach and the change this OIP is promoting, a knowledge transformation approach is most applicable to this OIP and its adopted solutions. Building faculty and cultural capacities at the DBA, as the two main goals in the implementation plan of this OIP, require a great deal of knowledge transformation around learning and assessment.

A knowledge transformation approach will help transform assessment and instructional practices as well as transform the values and assumptions within the DBA culture.

**Programmatic approach.** A programmatic communication approach focuses on 'telling and selling' using a top-down approach to share change information (Russ, 2008). To communicate the 'right message', it emphasizes the cognitive aspects of change implementation efforts and is intended to convince the audience to comply with the planned change. It also emphasizes the importance of employees perceiving the change vision as relevant, practical, and urgent to their jobs (p. 202). In programmatic communication, information on what is to change, why, and how the change will take place will be shared through presentations, memos, newsletters, posted information, and meetings. This approach matches the nature of the change in this OIP and plays an essential role in the change transition. The process of TLCs, PD sessions, peer coaching, as well as the moral purpose behind the change will be communicated in a programmatic manner.

**Participatory approach.** Participatory communication invites followers input through an emphasis on involvement and empowerment. Stakeholders' perceptions, suggestions, and concerns are solicited and allowed to inform and shape the change processes (Russ, 2008). This approach places stakeholder participation at the heart of change implementation and is intended to build consensus and support for the change (p. 204). For example, a participatory approach to communication is vital in managing stakeholder reactions to change and in understanding concerns which may impede successful change implementation. Again, this approach is well suited to the change in this OIP since it is extremely difficult to manage the transition and realize change without the active participation and involvement of faculty. The solution of building faculty competence is entirely contingent upon faculty's engagement in the PD sessions and TLCs. With an understanding that each of the approaches has its benefits, and a realization that the three

approaches are not mutually exclusive, the three approaches are used in combination throughout the change communication plan in order to capitalize on the benefits of each. The combined approaches target effective communication and, in turn, successful change implementation.

**Communication Plan**

For the context of this OIP, I designed a communication plan in Figure 3.2 as shown in Appendix B, which consists of four layers of communication to effectively cover the span of change processes. The term layer is used instead of stage to reflect that the communication layers need not to necessarily be in order. Rather, they may take place in parallel, in different orders, and are interwoven throughout the change path. Having said that, it stands to reason that communicating the need for change and its urgency will precede any other form of communication. However, communicating the need for and rationale behind the change will still be reverberated in other phases of the change, possibly during the navigation of stakeholders' reactions to change and also during implementation. The four layers of communication are explained in the following section.

**Layer # 1.** As illustrated in Figure 3.2 (see Appendix B) the first layer of communication entails communicating urgency and need for the change including communicating understanding at large (Bajaj, 2007). This layer will take place in the *Awakening* phase of the Change Path Model and corresponds to Kotter's first accelerator which calls for creating a sense of urgency. In this communication layer, I, along with the department leadership, will address the '*Why'* question of change and aim at creating a heightened sense of urgency and a state of cognitive dissonance to influence the alteration of beliefs, attitudes, and behaviors at the DBA. It is argued that the degree of cognitive dissonance generated at the *Awakening* phase of change influences the depth and type of employee involvement required to create a positive climate for change (Burnes & James, 1995).

The need for formative assessment and a culture of assessment *for* learning will be echoed and supported by empirical evidence. The message relayed in this communication layer will account for a convincing rationale for the change, as well as explain the discrepancy between the present assessment system and the desired assessment system. To increase the richness of the communication, information sessions will be held and a 'need for change' booklet will be disseminated to provide a clear and compelling rationale for the change (Cawsey et al., 2016). Furthermore, one-to-one conversations and meetings with faculty will be carried out to strengthen the message and create enthusiasm towards the change.

**Layer # 2.** The second layer of communication, as shown in Figure 3.2 in Appendix B, includes communicating the change vision and processes. While the first layer addresses the '*why'* question of change, this second communication layer addresses the '*what'*, '*how'*, '*when*,' and '*who'* questions of change. The envisioned future state at the DBA, with a focus on how the envisioned future state will benefit multiple social and organizational actors will be communicated. As mentioned in chapter one, the change vision will be framed around the big opportunity of adopting formative assessment practices to improve student learning as well as instruction. In addition to the vision communication, this layer also encompasses the communication of change processes. The vision communication will take place in the *Awakening* and *Mobilization* phases and the change processes communication will take place in the *Mobilization* phase and reverberated during the *Acceleration* phase. All stakeholders will be informed about the change plans and the specific steps that will be taken such as the formation of an instructional leadership team, the assignment of peer coaching, and the forming of TLCs. What this change will mean for faculty, students, and other stakeholders will be delineated. Clear, specific, and timely messages on the nature and impact of the change will be communicated to reduce uncertainty and lessen

ambivalence (Cawsey et al., 2016). The timeline for the change will also be communicated. Furthermore, information on how the change plans will help address the discrepancy (i.e. appropriateness) will be detailed and communicated. The communication of the appropriateness of the change plans will help build confidence in the plan, and in turn, invite positive reactions towards the change.  This communication layer will be carried out through information sessions, presentations, and a change website which explicates the change vision and processes. Moreover, faculty meetings and focus group meetings will be carried out to leverage change agents and explain to specific change facilitators their role in change implementation.

**Layer # 3.** The third layer includes communication to motivate and inspire stakeholders on the change initiative. Motivation of stakeholders will help strengthen commitment towards the desired change before, during, and after change implementation. As depicted in Figure 3.2 (see Appendix B), this form of motivational communication will mainly take place during the *Mobilization*, *Acceleration,* and *Institutionalization* phases of the Change Path Model, and Kotter's accelerators 2,5,6,7, and 8, which call for building a guiding coalition, enabling action by removing barriers, generating short term wins, sustaining acceleration, and instituting change, respectively. This layer will communicate efficacy, valence, leadership support, enthusiasm, moral purpose, as well as wins and milestones. Communicating efficacy entails sharing with stakeholders why it is believed that the DBA can successfully implement the change. It also includes communicating the availability of resources and structures required to achieve the envisioned state to instill confidence in the organization's capability for change (Torppa & Smith, 2011). Communicating valence includes emphasizing the change benefits for stakeholders. For example, valence for this OIP will be framed around the fact that change towards formative assessment will improve instructional practices and help faculty accelerate student learning. In addition, communicating to stakeholders

that the DBA leadership and faculty dean are supporting the change initiative (i.e. communicating principal support) will help develop positive attitudes towards the change and increase the receptivity to change. Next on the list of what to communicate within this communication layer is enthusiasm and moral purpose. With the help of key stakeholders (resources committee and instructional leadership team), the moral purpose underpinning the change vision will be communicated repeatedly up, down and across the DBA to ensure ongoing momentum and enthusiasm (Graetz, 2000). The strong moral purpose of improved student learning and achievement will be echoed throughout the change phases. Lastly, wins and milestones accomplished throughout the implementation will be shared with stakeholders to strengthen commitment and reinforce trust towards the change plans. The aforementioned communication messages have several purposes. They aim at garnering support, building commitment, nurturing trust, developing positive attitudes towards change, and marking progress and success of change plans. The channels which will be used for this communication layer include change reports and emails, meetings, and one-to-one conversations. While change reports can help communicate change wins and milestones, emails and meetings are good channels to communicate the moral purpose, leadership support, efficacy, and valence. Finally, one-to-one conversations will also take place to support the other channels and offer a rich and present form of communication. These conversations will aim at motivating and inspiring stakeholders to adopt the new values of assessment *for* learning.

Layer # 4. Finally, the fourth layer includes all essential bilateral communication that must take place throughout the change phases and in particular in the *Mobilization*, *Acceleration*, and *Institutionalization* phases of the Change Path Model. This communication layer emphasizes a participatory approach to communication. It stresses the importance of two-way communication

and is founded on the values of stakeholder participation and engagement, which is instrumental to achieving implementation success. First, this communication layer promotes the gathering of feedback from stakeholders throughout the change transition. As previously described, one-legged conferences, meetings, and surveys, as tools to measure the *stages of concern* and the *levels of use*, will help garner stakeholder feedback on the change and its implications. This form of feedback is instrumental to the change *Mobilization* and *Acceleration* phases as it helps reveal concerns and shares information on the restraining forces in the face of change implementation. These concerns and forces are only made possible to address and reconcile after being shared and identified through bilateral communication. Second, this communication layer focuses on managing reactions to change and addressing defense mechanisms of DBA members who fear, reject, or are skeptical about the change (Bajaj, 2007).  In any change initiative, stakeholders have different perceptions of change, which may result in different reactions to change: acceptance, ambivalence, and/or resistance (Cawsey et al., 2016). The department head along with the resources committee will effectively address these reactions in order to garner support and move desired change forward. Positive feelings towards change will be harnessed to support the change and employed when facilitating change processes and influencing mixed feelings among others. Ambivalent feelings will first be addressed by understanding the reasons behind them through feedback channels. Then an invitation to sharing and discussing of concerns and ambivalent feelings towards the change will be extended to offer support, reduce uncertainty, reconcile the ambivalence, and align change interpretations (p. 224). This bilateral form of communication will produce information that offers insights on how change plans can be improved and/or modified. Negative feelings will be responded to with engagement and open conversation, which will either help align perspectives with the change, point out a need to align systems and/or structures with the change,

or bring overlooked perspectives to the surface. Change plans can then be amended accordingly. As shown in Figure 3.2 (See Appendix B), the fourth and last communication layer has several purposes. It aims at building trusting relationships, offering facilitation and support, overcoming potential resistance, aligning perspectives on the change, and clearing misconceptions on the change. Channels chosen for this communication layer include Q&A sessions, feedback surveys, focus group meetings, one-legged conferences, and humble inquiry conversations.

**Communication Plan Timeline**

To complement the communication plan with an action agenda, a timeline for the communication plan is designed in Figure 3.3, where the communication layers are matched with the phases of the Change Path Model. As mentioned earlier, the communication layers are interwoven throughout the change transition and hence, layers of the same communication take place in several phases. As Figure 3.3 depicts, the *Awakening* phase will start in the fall term of the 2019/2020 academic year from September to November and will witness the implementation of the first communication layer which pertains to communicating the vision and change processes. The *Mobilization* phase will follow from November to December and will witness the communication layers of vision and change processes, motivation and inspiration, and bilateral communication. The *Acceleration* phase will start in the winter term of the 2019/2020 academic year and will continue to witness the communication of vision and change processes, motivation and inspiration, and bilateral communication. Finally, the *Institutionalization* phase will follow from March to May and will extend through the 2020/2021 academic year.
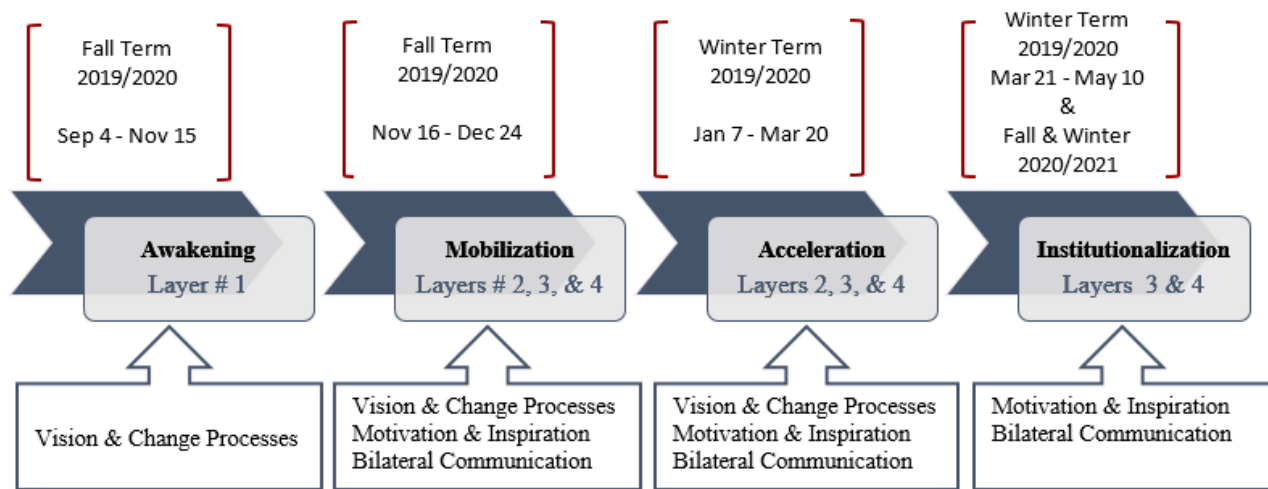
*Figure 3.3.* Communication Plan Timeline

As can be synthesized from the timeline, most of the change processes will take place in the 2019/2020 academic year. To ensure a series of effective communication throughout, the department leadership and I, along with other members of the resources committee will oversee the appropriate articulation of communication messages in each of the change phases as well as the adjustment of communication messages based on stakeholders' reactions and/or requirements. The next section concludes on the work of this OIP and offers a glimpse of some of the future considerations and next steps for this OIP.

### Conclusion, Next Steps, and Future Considerations

In an endeavor towards quality improvement, a systematic approach was used in this OIP to (1) study the problem of the lack of a formative assessment system at the DBA, (2) plan for leading the change towards the integration of formative assessment, and finally, (3) plan for change implementation, monitoring and evaluation, and communication. To address the problem of practice, theoretical and evidence-based frameworks of change leadership, and organizational culture (Schein, 2010; 2013; 2017) were introduced and adopted to arrive at solutions for change.

Transformational and instructional leadership (Day & Sammons, 2013; Hallinger 2003; Marks &

Printy, 2003; Printy et al., 2010) approaches were integrated to navigate the change processes. The

Change Path Model (Cawsey et al., 2016) and Kotter's (2014) accelerators were adopted as the

two change frameworks to guide the systematic management and implementation of change. Using

a cultural lens, gaps between the present state and the envisioned state at the DBA culture were

examined, and solutions which aimed at bridging these gaps were adopted. Building faculty and

cultural capacities through PD, the formation of an instructional leadership team, peer coaching,

humble inquiry conversations, and the formation of TLCs were the main change strategies chosen

for this OIP. The change implementation plan delineated in this OIP to introduce and support the

integration of formative assessment at the DBA, as well as the transformation from a culture of

assessment *of* learning to a culture of assessment *for* learning, will not only help address the POP,

but further contribute to improved student learning and instruction at the DBA.

Next Steps for this OIP include the management and sustainability of the effective

functioning of the TLCs. While a plan for the formation of TLCs was outlined in this OIP, a

strategy to ensure it does not serve a superficial role and lose its essence have not been developed

within this OIP. As a next step for this OIP, it is important to ensure that TLCs are effectively

functioning around the core principles of focusing on learning rather than teaching, promoting a

collaborative culture, and focusing on results (DuFour, 2004). Another next step is to focus on

classroom climate change (Popham, 2011). In order for students to best benefit from the integration

of formative assessments, they must understand their role in the process of formative assessment

and how they can use formative assessment to improve their learning experiences. This will be

accomplished through meeting with students and explaining their role in the process of formative

assessment and how their learning can be accelerated through formative assessments. An

understanding that students must assume responsibility of their learning and that they must gather evidence to make learning tactic adjustments will be promoted.

An important future consideration related to formative assessment is to consider the authenticity of learning objectives. Since congruence among learning objectives, teaching, and assessments is essentially required, it is incumbent upon educational leaders to ensure that learning objectives are accurately set. Formative assessment can bring students closer to achieving learning objectives. However, an important question to ask is 'are the learning objectives initially designed comprehensive, suitable, and legitimate?'. Taking this OIP a step backwards, learning objectives must be appropriately and meticulously defined. The suitability and legitimacy of the learning objectives designed must be examined as they will influence the domains of knowledge and skills learnt by students, and in turn, influence the assessments adopted. The learning objectives designed will also influence the type of formative assessment chosen. How can the DBA or any other educational institution ensure that learning objectives designed on the course and program level are adequate, appropriate, indispensable, and not lacking? This is an inquiry which warrants future consideration in a potential OIP.

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**Appendix A**

Table 3.1

*Change Implementation Plan through the Change Path Model Phases*

| Goals | Priorities | Strategies/Tools through Change Path Model stages | Timeline | Key Participants & Facilitators | Support / Resources |
|---|---|---|---|---|---|
| **Goal # 1**<br><br>**Build DBA Faculty Capacity** | • Enhancing faculty's understanding of the benefits and purposes of formative assessment<br><br>• Developing faculty's ability to use formative assessment practices<br><br>• Improving faculty's pedagogical skills through the implementation of formative assessment<br><br>• Emphasizing the role of feedback which formative assessments offer in improving learning<br><br>• Supporting teaching and learning through effective use of formative assessments | **Awakening**<br><br>• Communicating need for change<br><br>• Vision articulation & Sharing<br><br>**Mobilization**<br><br>• Stakeholder analysis<br>• Forming an instructional leadership team<br>• Assigning peer coaching (Senior Faculty)<br>• Contracting with PD Trainers<br><br>**Acceleration**<br><br>• PD sessions engagement<br>• Peer coaching<br>• In-class implementation of formative assessments<br>• Collaborations among faculty and teaching and learning committee<br>• Feedback - CBAM Model<br><br>**Institutionalization**<br><br>• Update assessments on course syllabi<br><br>• Stabilize formative assessment practices and instructional adjustments through modifications and follow-up on implementation<br><br>• Monitor and evaluate using CBAM | Medium Term<br><br>2.5 months (10 weeks)<br>Fall Term 2019/2020<br><br>Medium Term<br><br>1.5 months (6 weeks)<br><br>Fall Term 2019/2020<br><br>Medium Term<br><br>2.5 months (10 weeks)<br><br>Winter Term 2019/2020<br><br>Long Term<br><br>1.5 months (6 weeks)<br><br>Winter Term 2019/2020<br>&<br>2020/2021 | • Faculty (Main change implementers)<br><br>• Senior Faculty (Change Facilitators)<br><br>• Department Head (Change Initiator)<br><br>• Deputy Head (Change Facilitator)<br><br>• PD Trainers (Change Facilitators)<br><br>• Resource committee (Change Initiators &Facilitators)<br><br>• Teaching & Learning committee (Change Facilitators)<br><br>• Students (Change Recipients) | **Human**<br><br>• Instructional leadership team<br><br>• Implementation team<br><br>• Transition management team<br><br>• PD trainers<br><br>• Committees<br><br>**Financial**<br><br>• US$ 4000 from the PD Budget<br><br>**Informational**<br><br>• Formative assessment model and practices<br><br>• Instructional practices aligned with formative assessment<br><br>• Role of feedback in learning<br><br>• New course assessments in syllabi<br><br>**Time**<br>• PD sessions<br>• Instructional Leadership Team<br>• Peer Coaching |

| Goal # 2  Build DBA Cultural Capacity | • Promoting a positive school learning climate  • Transforming present underlying assumptions around assessment  • Changing assessment policy  • Instill a culture of 'assessment for learning'  • Encouraging collaborative platforms | **Awakening**  • Vision sharing  • Communicating the need for a 'culture of learning and continuous improvement'  • 'Unfreezing' of cultural values & assumptions (Schein, 2010) | Medium Term  2.5 months (10 weeks)  Fall Term 2019/2020 | • Faculty (Change implementers) & Recipients)  • Department Head (Change Initiator)  • Deputy Head (Change Facilitator)  • Resource Committee (Change Initiators & Facilitators) | **Human**  • Teacher Learning Communities (TLCs) • Leadership Team  **Financial**  • Monetary amounts to cover additional staff expenses  **Technological**  • Online TLC Platform  **Informational**  • New values and assumptions around assessment and learning  **Time**  • TLCs sessions |
|---|---|---|---|---|---|
| | | **Mobilization**  • Transformational leadership (Idealized influence, inspirational motivation)  • Engaging in humble inquiry and nurturing positive relationships  • 'Changing' (Schein, 2010), Defining new cultural values and assumptions  • Promoting a collaborative culture of shared learning  • Forming and activating Teacher Learning Communities (TLCs)  • Hiring staff to cover some of the duties faculty was relieved from | Medium Term  1.5 month (6 weeks)  Fall Term 2019/2020 | | |
| | | **Acceleration**  • Implement Teacher Learning Communities (TLCs)  • Continue to engage in humble inquiry  • 'Refreezing' (Schein, 2010) | Medium Term 2.5 months (10 weeks)  Winter Term 2019/2020 | | |
| | | **Institutionalization**  • Assess belief systems and support new values  • Endorse TLC policy  •'Refreezing' (Schein, 2010) | Long Term  1.5 months (6 weeks)  Winter Term 2019/2020 & 2020/2021 | | |

**Appendix B**

**LAYER I**

**URGENCY & NEED**

**Stage(s)**

Awakening Phase
Kotter's Accelerator 1

**What**

- Urgency & Need
- Discrepancy
- Rationale
- Why change?

**Purpose**

Build Urgency, Create
Cognitive Dissonance
and Awareness

**Channels**

- Information Sessions
- Change need booklet
- One-on-one
  Conversations
- Faculty & Department
  Meetings

**LAYER II**

**VISION & CHANGE PROCESSES**

**Stage(s)**

Awakening,
Mobilization, &
Acceleration
Accelerators 2, 3, 4

**What**

- Change Vision
- What, How, Who &
  When to change
- Appropriateness

**Purpose**

Build guiding coalition,
Engage Stakeholders,
Leverage Change
Agents & Structures,
and Relay
Appropriateness

**Channels**

- Information Sessions
- Change Website

**LAYER III**

**MOTIVATION & INSPIRATION**

**Stages(s)**

Mobilization,
Acceleration, &
Institutionalization
Accelerators 2, 5, 6, 7, 8

**What**

- Efficacy & Valence
- Leadership Support
- Enthusiasm
- Moral purpose
- Wins & Milestones

**Purpose**

Garner Support, Build
Commitment, Nurture
Trust, Develop Positive
Attitudes, Mark Change
Progress and Success

**Channels**

- Change Reports &
  Emails
- Town Hall Meetings
- One-on-One
  Conversations

**Stage(s)**

Mobilization, Acceleration, & Institutionalization

**What**

- Receiving feedback from stakeholders – CBAM & Humble Inquiry
- Managing reactions to change & addressing defense mechanisms

**Purpose**

Building Trusting Relationships, Facilitation & Support, Overcome Potential
Resistance, Align Perspectives, Clear Misconceptions,

**Channels**

Q&A Sessions, Feedback Surveys, Focus Group Meetings, One-legged
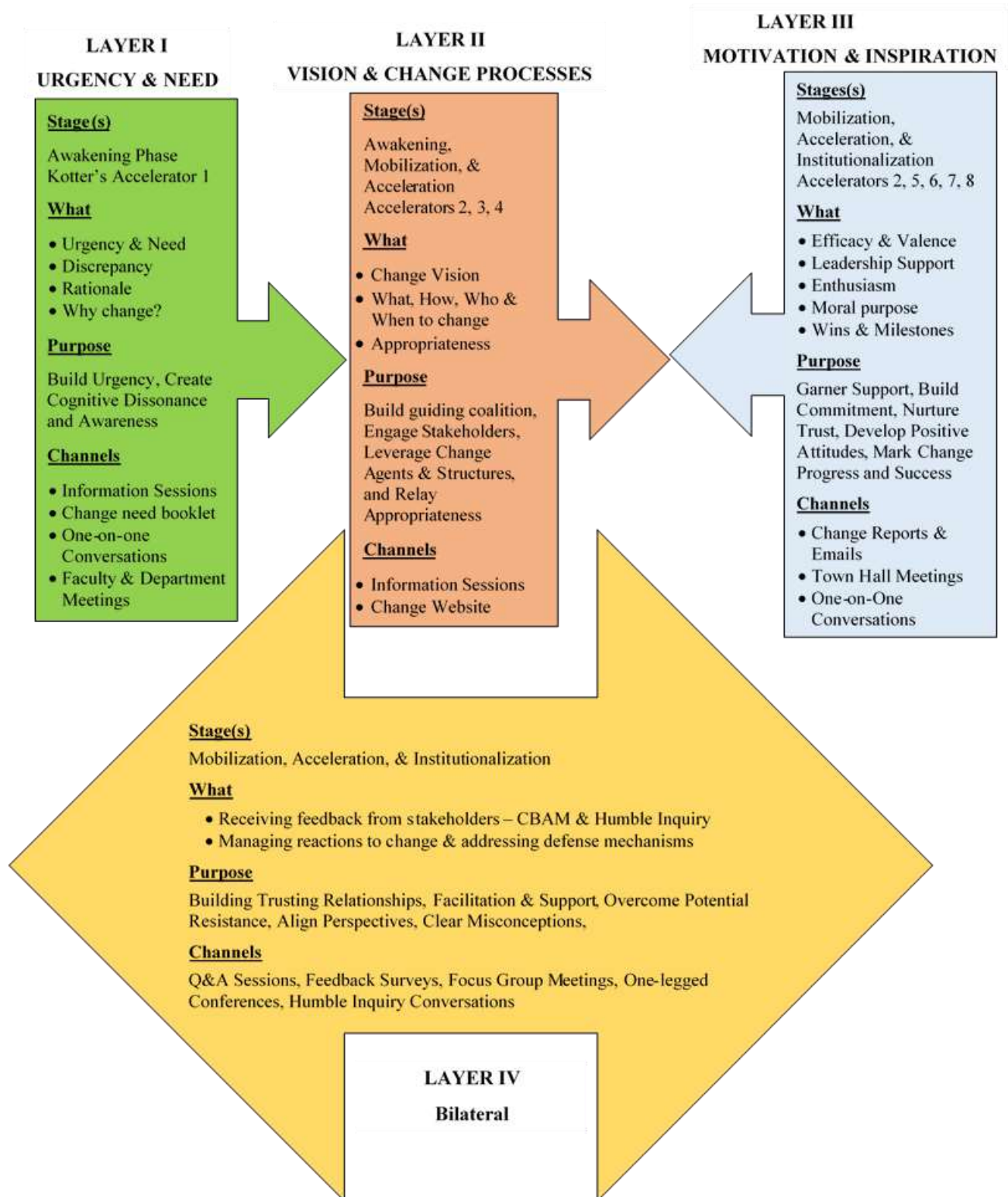Conferences, Humble Inquiry Conversations

**LAYER IV**

**Bilateral**

*Figure 3.2.* Four Layer Change Communication Plan.