APPENDIX A - SEMI-STRUCTURED INTERVIEWS - FIRST CONTACT

Dear XXX,

I am in the process of collecting data for a Doctorate in Business Administration (i.e., DBA) with Heriot-Watt University. A DBA at Heriot-Watt University enables researchers to use research methods to define, implement, and evaluate strategies in a business environment. I am interested in Strategic Human Resources and how Human Resources Departments may partner with other departments to improve the company core competencies and competitive advantages in different aspects of the business (e.g., executive leadership, strategic management, and executive recruitment and development, etc.).

A very important stage of a DBA consists in generating a research project, securing access to information and collecting data. Most research projects are based on the use of subject companies the DBA candidate is familiar with (e.g., directly employed by). As such, I would like to focus a portion of my research project on a case study related to XXX. I was wondering if you were interested in being an informant for my research project.

Please note that a possible concern is that collaborating with the research could lead to the loss of sensitive information. XXX may try to reduce the risk of any such occurrences: (i) by requiring the researcher to sign a confidentiality agreement (i.e., contract between the researcher and XXX stating that the researcher will not publish, release, publicize, or otherwise communicate any part of the research data or findings to any third parties, without the consent of XXX), and/or (ii) by limiting the level of access allowed for the relevant thesis (i.e., agreement to classify the relevant thesis as being 'restricted access and not available for general inspection for a period of years).

If you were to be interested, I would love to meet at your convenience.

Kind regards,

APPENDIX B - SEMI-STRUCTURED INTERVIEWS - INFORMATION SHEET (ADAPTED FROM MCNALLY, 2009)

This aim of this research is to explore a number of issues impacting on Boards of Directors, Chief Executive Officers, Vice Presidents and Human Resources Directors. This research project focus on the competencies and support required for executive leaders to develop skills and abilities that are strategically aligned with their organization.

This project is being conducted as part of my Doctorate in Business Administration under the auspices of Heriot-Watt University and is supervised by Dr Tony Berry. For this research project, I will conduct a semi-structured interview that will last no longer than two hours.

To ensure accuracy in the data collection, I would like to be able to record the interviews. However, you have the opportunity to decline the recording. Also, I will provide you with the opportunity to review, correct and edit the transcript of the interviews.

With respect to matters of confidentiality, I will take all necessary steps to ensure that the information will not be disclosed or used in any way except to complete this research project. Firstly, your name and the names of people or organisations discussed in this interview will not be disclosed at any time. In other words, all write-ups will be anonymous with regard to the identity of all people and organisations. The findings will be written in such a way that no links could be made between people and organisations. Secondly, all information will be stored securely, so that it cannot be accessed by anyone other than the researchers named below. Thirdly, once the project has been completed, all drafts, notes, documents, recordings and computer files containing interview data will be destroyed.

The intent of the attached consent form is to acknowledge that you have been adequately informed about the purpose of this study and the steps that will be taken to ensure confidentiality. Informed consent is a standard requirement of the Heriot-Watt University Human Ethics Committee, which reviews the procedures being used whenever individuals are interviewed in a research study.

Please feel free to ask questions or decline your participation if applicable.

CONTACT INFORMATION

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APPENDIX C - SEMI-STRUCTURED INTERVIEWS - INFORMED CONSENT FORM (ADAPTED FROM MCNALLY, 2009)

The purpose of this form is to acknowledge that you have been adequately informed about the purpose of the study and the steps that will be taken to ensure confidentiality.

"I have been given a copy of the information sheet which describes the research project and I have had an opportunity to ask questions and have them answered to my satisfaction. I understand that my participation is voluntary and that I may withdraw (with any information that I have provided previously) from the study at any time. I can decide if I want the interview to be recorded and/or have the researcher take notes. I can see the transcripts if I want to. I understand that no one other than the researcher will have access to the recordings or notes. These will be securely stored and destroyed once the project is completed. I understand that anonymity will be guaranteed and that no remarks made during the interviews will be attributed to me. The researcher will supply general information about the research project, and any further information about the research project that I request, as long as this does not breach confidentiality for other participants.

Any other specific conditions for agreement:

_____

_____

_____

☐ I agree to take part in this research. ☐ I agree to have the interview recorded (tick here)

Participant:

Name:_____   Title:_____

Organisation:_____

Signature:_____   Date:_____

Researcher:

Signature:_____   Date:_____

APPENDIX D - SEMI-STRUCTURED INTERVIEWS - INTERVIEW SCHEDULE

Demographics

Sex:

Age:

Highest credential:

Main job title and department in the organization:

- Job title and department:

- Years in the organization:

- Years in the position:

- Year left position (if applicable):

Highest position and department in the organization:

- Job title and department:

- Years in the position:

- Year left position (if applicable):

- Level of power and reporting level in the organization:

    - Formal member of the organization's Top Management Team (TMT)?
    a. Yes
    b. No

    - Who did you report to? How many reporting levels were between you and the president?
    a. 0 (i.e., I am the President)
    b. 1
    c. 2 or more

Prompts

- Use silence, prompts (e.g., "Uh hum"),

- Use the repeating of end of a sentence with a question intonation (e.g., "The organization was not efficient?"),

- Use open-ended questions (e.g., "Tell me more?", "How long did it take?", "What happened?", "What else was going on at the time?", "Did that improve performance?", "How was performance measured?"),

- Use question related to the timeframe (e.g., "When was that?")

- No matter how the interview progresses there was an effort to introduce "counter questions" (i.e., question designed to cause the participant to reflect on the opposite to their response).

Interview Schedule

These questions are indicative questions only, since the interview is semi-structured. These questions are to be used at the start of the interview, the consequent direction of the interview and the responses of interviewees determine the exact wording of the questions, and the wording of intervening and supplementary questions. The answers to these questions are the primary data.

GENERAL UNSTRUCTURED QUESTIONS
1. Did the environment of the higher education industry change in the last 5 or 10 years? In what ways? Please give a timeline for changes.
2. What does strategy mean in your institution?
3. What does executive leadership mean in your institution?
4. What does organizational performance mean in your institution?
5. What do human resources practices look like in your institution?
HIGHER EDUCATION INDUSTRY
1. If the environment of the higher education industry changed, what are the factors that changed the business environment in the higher education industry?
• What are the factors that changed the rules in the higher education industry?
• What are the factors that changed the organizational culture in the higher education industry?
• What are the factors that changed the market environment in the higher education industry?
MANAGEMENT CONTROL SYSTEMS

1. What can you tell me about strategic alignment in your institution?

2. In your institution, what would demonstrate strategic alignment?

3. In your institution, what would demonstrate an increase in organisational performance?

4. Do you believe there is an association between strategic alignment, organizational performance, and executive leadership in your institution? What are the factors that cause this association to be observed or not?

5. How does your institution operate around its stated strategy? For example, who do they tend to recruit and/or who is promoted to support their strategy?

6. In your institution, what are the factors for an executive leader to be considered effective and efficient?

7. In your institution, what are the factors for executive leaders to be considered as a good fit to the organization?

8. In your institution, what are the factors for executive leaders to increase the organisational performance?

9. In your institution, is executive leadership expected to be distributed, servant (i.e., with a focus on serving the community) and/or related to academic leadership (i.e., emerges from academics instead of managers)? Is it changing?

HUMAN RESOURCES

1. In your institution, what are the ways the Human Resources Department contributes (or not) to the recruitment of executive leaders?

2. In your institution, what are the ways the Human Resources Department contributes (or not) to the development of executive leaders?

3. In your institution, is the Human Resources department considered to be a strategic partner?

4. In your institution, what should be in a future executive leader competency profile and/or previous work experiences for recruitment purposes?

5. In your institution, what should be in a leadership development program for executive leaders?

Is there a question I should have asked? Or something you want to add?

APPENDIX E - SEMI-STRUCTURED INTERVIEWS STUDY - ACCURACY FOR EACH INFORMANT'S SEMI-STRUCTURED INTERVIEWS

Demographics

- Participant: x
- Contact type: Network
- Site: Library
- Contact Date: March 13, 2012
- Summary Done: May 23, 2012
- Duration: 86.15 minutes
- Gender: Male
- Age: 40
- Type of institution:
  - Comprehensive Community College (Alberta)
  - University (BC)
- Highest position:
  - Dean
  - Dean
- Years in position: 2 years 4 years
- Left position: 2008
- TMT: yes
- Reporting levels: 1
- Highest credential: PhD

Transcript

Researcher: What does strategy mean in your institution?

Informant: Strategy for the xxx was a way to define what we were doing… The problem with what I would call a monolithic organization is that it doesn't matter if it's a bad year or not as long as long term they were keeping their place in the community as a strategy.

Researcher: What does executive leadership mean in your institution?

Informant: The xxx as a whole defines its executive leadership from the president, well actually, from the Board of directors, down to the deans level, ok? Executive leadership at the Board was really about community relationship. The presidents level is, the executive leadership there… is defined… really… as the boundary keeper between the government and the community and the College. When you get to the vice president level, they really are your… your organizational officer, right, they are focused on translating what is possible in those boundaries that the president and the Board of directors can create into plans inside the organization. At that time, it was taken down to the deans level, which their executive leadership per see, would be taking the functional unit they were responsible for and being implementing those shorter terms strategies with the goals. So that's another way of saying that executive leaderships is quite distributed around those levels.

Researcher: What do executive leadership recruitment and development practices look like in your institution?

Informant: Most of the leadership positions recruitment from the deans position up are done via an external hiring company. There was a portion in there, not so much directly interviews, but to meet with the president, to meet with HR and to meet with others... The president is a little bit different because the president is the sole employee of the Board of governors (...), the ultimate decision is taken by the Board of governors. The xxx has a much much more intensive approach to developing faculty than it does for leadership.It's literally night and day.   In the role that I had, development was not overly formal… It was more… there was an expectation that you would develop in your role, uuuhh, somehow, you were expected to build your team, you were expected to, uuuhhh, create internal strategy and implementation within your operation unit, your mentor per se is your director report so in the case of a dean it is the vice president. Even accountability is pretty limited so being able to create development without accountability is almost impossible. Performance evaluations resulted in a 30 minutes meeting with the VP academic annually … and the VP academic would tell you what he thinks. There were more accountability in financial reporting and financial management and an annual review. We did get some feedback from institutional surveys.

Researcher: Did the environment of the higher education industry change in the last 5 or 10 years? In what ways? Please give a timeline for changes.

Informant: The primary one in my mind is that we went from having decades to, you know, a century of existence of post-secondary education in Canada, where we were institutions that were sought after… so people came to us. In the last ten years, there's been a very distinct change that realizes that post-secondary education in fact is a business and it means that you have to market, it means that you have to sell yourself, it means that you have to promote yourself, you have to be more accountable, you have to report. We had the ivory tower complex, which is now turned into, in some respects, we have to operate strategically like, I hate to use the term to relate, but we have to operate like a McDonald.

Researcher: If the environment of the higher education industry changed, what are the factors that changed the business environment in the higher education industry? Please give a timeline for changes.

Informant: It's very cyclical, I mean post-secondary education has ups and downs in funding urrr has ups and downs based on which political parties are in power at the time, right? So a paradigm shift takes place… the… the leadership team goes sort of into a panic mode saying- well things are changing, I know they're changing, I am not sure exactly how they are changing, we need to do something to get things going, we're sort of losing our direction.

Researcher: What are the factors that changed the rules in the higher education industry?

Informant: Sometimes we have a more conservative approach to education, sometimes a more liberal approach to it, so that means that our funding levels fluctuate....
Researcher: What are the factors that changed the organizational culture in the higher education industry?

Informant: In all truth, I keep using the word monolithic, but that's exactly what post-secondary institutions are, they are very large organizations that are used to stable ship movements through the big ocean, right? Prior to my arrival they were having very high

transitional rate, to the point that hiring was a regular occurrence, it was sort of a weekly activity....

Researcher: What are the factors that changed the market environment (e.g., strategic enrolment, governmental funding, and for-profit strategies) in the higher education industry?

Informant: In the last fifteen years, we have seen a drastic change from students coming into an institution to be, I don't know if it's the right word, to be fed into an education, to students coming into an institution expecting to get a specific type of education. So, before it was more general education, now it's being sort of demand education. Students have expectations about technology use, they have expectations about flexibility of learning, they have expectations, uuuh, associated with what is going to be learned, and in fact they're looking more for, in essence, a more self-directed learning experience. At the same time, the students demand is translating into our employers who are out there, who also have a very customized expectation of what graduates are to be able to get out... and so, the xx especially in xxx face urrr, a changing dynamics with regards to the community. If the community is not getting the graduates they expect, then the xx doesn't get the support from the community, which affects its relationship with government. Here, we have a focus on oil and gas with some things from agricultural aspects, which is interesting that as a xx we don't do anything about it. We also have a very big focus, here in xx, with entrepreneurship and uurr until recently it was sort of lacking as a focus within the institution".

Researcher: What can you tell me about strategic alignment of executive leadership and organizational performance in your institution?

Informant: There was sort of an alignment with sorts of those aspects which all tied to the financial objective, right? There have been successes; certainly the xx had a direction to foster research….. But, I would say it's in development

Researcher: In your institution, what would demonstrate strategic alignment of executive leadership to organizational performance?

Informant: Strategic alignment, in my mind, has not only the elements of a strategic plan, but it has an implementational aspect to it, where individual units/divisions, all know the role they are playing. I think the xx has failed in really truly getting urrr a cohesive organization.   We fail to truly define who we are..   More stagnant or long term established post-secondary institutions typically lost their identity… They… Or, they shrink their identity "to be the post-secondary provider" or "to be the research institution" or "the teaching institution" as opposed to what it actually means to engage in the community". If you don't stop to figure out who you are, find what you are or at least to maintain to some extent, then that would impact you long term".

Researcher: In your organisation, what would demonstrate an increase in organisational performance?

Informant: Part of the strategic alignment, at the time that I was here, was to foster growth in the organization. So, growth, more physical growth... So, the plan was we want to grow the organization, so that we grow the enrolments so that we grow the organization as a whole. While I was I was there one of the major financial direction was, oh sorry one of the major goals, was financial stability.

Researcher: Do you believe that there is an association between strategic alignment, organizational performance, and executive leadership in your institution? What are the factors that cause this association to be observed or not?

Informant: I would say that we, that we… Our performance outcomes were partially met, because we, in general, as tough as the conversations always are, we balanced the budget, we had to cut back this and this other thing… In general, we managed to get the budget work, right? But I found that the role the president played and even the VP academic with advanced education was more of –let's not talk to them about how we need to move… to move in our direction for degree granting, let's see where they want us to go and be very sensitive to where they want us to go-" .

Researcher: How does your institution operate around their stated strategy? For example, who do they tend to recruit and/or who is promoted (i.e., profiles or criteria of selection and of promotion) to support their strategy?

Informant: My perception is that there was a very big disconnect between organization's strategy and hiring strategy. There was what, what connections exist were that, when there was a particular focus on one direction, there would be an acknowledgement that a position needed to exist. But, what was failed in my mind …. is that you need to inform what that position is going to be doing based on your strategic direction, but the link has to continue to say, people that are doing the hiring need to be trained and educated on how do we actually find someone who is skilled enough to be brought in and developed enough to implement the strategic direction.

Researcher: In your institution, what are the factors for an executive leader to be considered efficient (i.e., good return on investment and performance measures)?

Informant: The role of an executive leader is, urrr, a challenge role, and I am not sure everybody appreciates that.... rrrr... yes...

Researcher: In your institution, what are the factors for executive leaders to be considered as a good fit to the organization?

Informant: It was much more personal fit. Do I like you? Do I think you are a nice person which is an important aspect of hiring, but if you do that in lieu of strategic importance of the position, then what you end up doing is end up hiring a person that seems like a nice guy and lacks the skills.

Researcher: In your institution, what are the factors for executive leaders to increase the organisational performance?

Informant: We've had very specific examples of very significant positions, where they hired based on that premise of liking the person, and a year and a half later, they have to be fired because they are not achieving the strategic directions.

Researcher: In your institution, is executive leadership expected to be distributed (i.e., among all stakeholders), servant (i.e., with a focus on serving the community) and/or related to academic leadership (i.e., emerges from academics instead of managers)? Is it changing?

Informant: The institution that I was part of, the notion of distributed leadership was a façade. They would talk about distributed leadership in meetings, but ultimately the real knowledge, decision making came from one or two individuals..... I would say, this institution was a servant to the government specifically to the ministry of advanced ed. … It was just more do what the Minister wants kind of thing.... and before the shift started taking place, absolutely it was academic, it was really, more of an internal development, umm, people became faculty, faculty became chairs, chairs became deans and way we go. With the shifts that's taking place what is really interesting, …. is that the leadership construction has actually been infused with some development internally but more so with people that don't have an academic background. So, you are now getting presidents and vice presidents academics that come from some other industry as a CEO or a COO and have locked in and said: ok well it's a service industry in education, I can learn about education, and I can direct the institution as a business".

Researcher: In your institution, what are the elements that should be found in a future executive leader competency profile and/or previous work experiences for recruitment purposes?

Informant: That person needs to make some tough decisions sometimes and that means that they can't be your friend and you need to be able to, in the hiring process, to realize that they're going to do stuff that you may not agree with and you need to know that they can make the right decision to do it....

Researcher: In your institution, what are the elements that should be found in a leadership development program for executive leaders?

Informant: It's overly simple and lacks in my opinion true development. True development is … that we have to realize that people are doing different projects … Part of that is branching out and seeing what colleagues are doing in other institutions. Part of it is the mentoring component …., the president wants to build the skills of the VP so that it enhances that position and where the VP is going".

Researcher: What are the ways the Human Resources department contributes (or not) to the alignment of the recruitment of executive leaders to the strategic profile of your institution?

Informant: HR, their role at the time, would be 3 things: They were benefit managers, so anything to do with your healthcare, they were a major component of negotiation with associations and unions, and they were a weak form of a consultative service provider. The reality of practice, they (i.e., HR) were just another person who would tell you how much personality would fit with the organization. All positions at the executive levels were done by an external agency.

Researcher: What are the ways the Human Resources department contributes (or not) to the alignment of the leadership development of executive leaders to the strategic profile of your institution?

Informant: The faculty development is done very well, the staff development is done very poorly, the executive development is non-existent. I can never imagine once where the HR department provided myself or any of the members of the leadership team with support other than dealing with conflicts. How do you effectively hire to tie with strategic development, how I learn new skills to be better at what I am doing, that never came from HR what's so ever.

Researcher: In your institution, is the Human Resources department considered to be a strategic partner?

Informant: They were a service provider to maintain collective agreement. Everything else was very weak, very hit and miss. People involved were generally junior people, so my guess would be that they didn't have the skills to be strategically involved.

Researcher: Is there a question I should have asked? Or something you want to add?

Informant: No.

Summarise the information the research got (or failed to get) on each of the target questions in the semi-structured interview schedule

Questions	Key Sentences Transcript	Notes
GENERAL		
What does <u>strategy</u> mean in your institution?	• *"Strategy for the College was a way to <u>define</u> what we were doing…"*. • *"The problem with what I would call a <u>monolithic</u> organization is that it doesn't matter if it's a bad year or not as long as <u>long term</u> they were keeping their place in the community as a strategy"*.	
What does <u>executive leadership</u> mean in your institution?	• *"The College as a whole defines its <u>executive leadership</u> from the president, well actually, from the Board of directors, down to the deans level, ok?"* • *"Executive leadership at the <u>Board</u> was really about <u>community</u> relationship"*. • *"The <u>presidents</u> level is, the executive leadership there… is defined… really… as the <u>boundary</u> keeper between the government and the community and the College"*. • *"When you get to the <u>vice president</u> level, they really are your… your organizational officer, right, they are focused on translating what is possible in those boundaries that the president and the Board of directors can create into plans inside the organization."*. • *"At that time, it was taken down to the <u>deans</u> level, which their executive leadership per see, would be taking the functional unit they were responsible for and being implementing those <u>shorter terms</u>*	Surprised as would have thought down to VPs instead of Deans

	strategies with the goals. • *"So that's another way of saying that executive leaderships is quite* <u>*distributed*</u> *around those levels".*	
What do <u>executive leadership recruitment and development</u> practices look like in your institution?	• *"Most of the leadership positions recruitment from the deans position up are done via an* <u>*external*</u> <u>*hiring*</u> *company"* • *"There was a portion in there, not so much directly interviews, but to* <u>*meet*</u> *with the president, to meet with HR and to meet with others"* • *"The president is a little bit different because the president is the sole employee of the* <u>*Board of governors*</u> *(...), the ultimate decision is taken by the Board of governors."* • *"The College has a much much more intensive approach to* <u>*developing faculty*</u> *than it does for leadership. It's literally night and day."* • *"In the role that I had, development was* <u>*not overly formal*</u>*... It was more... there was an expectation that you would develop in your role, uuuhh, somehow, you were expected to build your team, you were expected to, uuuhhh, create internal strategy and implementation within your operation unit, your* <u>*mentor*</u> *per se is your director report so in the case of a dean it is the vice president."* • *"Even* <u>*accountability*</u> *is pretty limited so being able to create development without accountability is almost impossible."* • *"*<u>*Performance evaluations*</u> *resulted in a 30 mns meeting with the VP academic annually*	Surprised: HR not really involved at all Surprised: low accountability and almost no review

	... and the VP academic would tell you what he thinks". • *"There were more accountability in <u>financial</u> reporting and financial management and an annual review"* • *"We did get some feedback from institutional <u>surveys</u>."*	
HIGHER EDUCATION INDUSTRY		
Did the <u>environment</u> of the higher education industry change in the last 5 or 10 years? In what ways? Please give a timeline for changes.	• *"The primary one in my mind is that we went from having decades to, you know, a century of existence of post-secondary education in Canada, where we were institutions that were <u>sought after</u>... so people came to us".* • *"In the last ten years, there's been a very distinct change that realizes that post-secondary education in fact is a <u>business</u> and it means that you have to market, it means that you have to sell yourself, it means that you have to promote yourself, you have to be more accountable, you have to report".* • *"We had the <u>ivory tower complex</u>, which is now turned into, in some respects, we have to operate strategically like, I hate to use the term to relate, but we have to operate like a McDonald".*	I liked the use of the analogy with running a Mc Donald's.
If the environment of the higher education industry changed, what are the <u>factors</u> that changed the business	• *"It's very <u>cyclical</u>, I mean post-secondary education has ups and downs in funding urrr has ups and downs based on which <u>political parties</u> are in power at the time, right?"* • *"So a <u>paradigm shift</u> takes place... the... the leadership team goes sort of into a <u>panic</u> mode saying- well things are changing, I*	Did not work as repeat of the previous question

environment in the higher education industry? Please give a timeline for changes.	*know they're changing, I am not sure exactly how they are changing, we need to do something to get things going, we're sort of <u>losing our direction-</u>".*	
What are the factors that changed the <u>rules</u> in the higher education industry?	• *"Sometimes we have a more <u>conservative</u> approach to education, sometimes a more <u>liberal</u> approach to it, so that means that our funding levels fluctuate."*	
What are the factors that changed the <u>organizational culture</u> in the higher education industry?	• *"In all truth, I keep using the word <u>monolithic</u>, but that's exactly what post-secondary institutions are, they are very large organizations that are used to <u>stable ship movements</u> through the big ocean, right?"* • *"Prior to my arrival they were having very high <u>transitional rate</u>, to the point that hiring was a regular occurrence, it was sort of a weekly activity".*	
What are the factors that changed the <u>market</u> environment (e.g., strategic enrolment, governmental funding, and for-profit strategies) in the higher education industry?	• *"In the last <u>fifteen years</u>, we have seen a drastic change from students coming into an institution to be, I don't know if it's the right word, to be fed into an education, to students coming into an institution expecting to get a specific type of education. So, before it was more general education, now it's being sort of <u>demand education</u>".* • *"Students have <u>expectations</u> about technology use, they have expectations about flexibility of learning, they have expectations, uuuh, associated with what is going to be learned, and in fact they're*	

	looking more for, in essence, a more self-directed learning experience".	
	• *"At the same time, the students demand is translating into our <u>employers</u> who are out there, who also have a very customized expectation of what graduates are to be able to get out".*	
	• *"And so, the Colleges especially in central Alberta face urrr, a changing dynamics with regards to the <u>community. If the community is not getting the graduates they expect, then the College doesn't get the support from the community, which affects its relationship with <u>government</u>."*	
	• *"Here, we have a focus on <u>oil and gas</u> with some things from <u>agricultural</u> aspects, which is interesting that as a College we don't do anything about it. We also have a very big focus, here in central Alberta, with <u>entrepreneurship</u> and uurr until recently it was sort of lacking as a focus within the institution".*	
MANAGEMENT CONTROL SYSTEMS		
What can you tell me about <u>strategic alignment of executive leadership and organizational performance</u> in your institution?	• *"There was sort of an <u>alignment</u> with sorts of those aspects which all tied to the financial objective, right?"* • *"There have been successes; certainly the College had a direction to foster <u>research</u>....."* • *"But, I would say it's in <u>development</u>".*	Didn't work well as needed reformulation
In your institution, what would demonstrate	• *<u>Strategic alignment,</u> in my mind, has not only the elements of a strategic plan, but it has an implementational aspect to it, where individual units/divisions, all know the role*	

strategic <u>alignment</u> of executive leadership to organizational performance?	*they are playing".* • *"I think the College has <u>failed</u> in really truly getting urrr a <u>cohesive</u> organization".* • *"We fail to <u>truly define</u> who we are""* • *"More stagnant or long term established post-secondary institutions typically lost their identity… They… Or, they <u>shrink</u> their identity "to be the post-secondary provider" or "to be the research institution" or "the teaching institution" as opposed to what it actually means to engage in the community".* • *"If you don't stop to figure out who you are, find what you are or at least to maintain to some extent, then that would <u>impact you long term</u>".*	
In your organisation, what would demonstrate an increase in <u>organisational performance</u>?	• *"Part of the strategic alignment, at the time that I was here, was to foster growth in the organization. So, <u>growth,</u> more physical growth. So, the plan was we want to grow the organization, so that we grow the enrolments so that we grow the organization as a whole."* • *"While I was I was there one of the major financial direction was, oh sorry one of the major goals, was <u>financial stability</u>".*	
Do you believe that there is an <u>association</u> between strategic alignment, organizational performance, and executive leadership in your	• *"I would say that we, again, that we… Our performance outcomes were <u>partially met</u>, because we, in general, as tough as the conversations always are, we balanced the budget, we had to cut back this and this other thing… In general, we managed to get the budget work, right?"* • *"I found that the role the president played and even the VP academic with advanced*	

institution? What are the factors that cause this association to be observed or not?	*education was more of –let's not talk to them about how we need to move… to move in our direction for <u>degree granting</u>, let's see where they want us to do and be very sensitive to where they want us to go-".*	
How does your institution operate around their stated strategy? For example, who do they tend to <u>recruit</u> and/or who is <u>promoted</u> (i.e., profiles or criteria of selection and of promotion) to support their strategy?	• *"My perception is that there was a very big <u>disconnect</u> between organization's strategy and hiring strategy".* • *"There was what, what connections exist were that, when there was a particular focus on one <u>direction</u>, there would be an acknowledgement that a <u>position</u> needed to exist".* • *"But, what was failed in my mind …., is that you need to inform what that position is going to be doing based on your strategic direction, but the link has to continue to say, people that are doing the hiring need to be <u>trained</u> and <u>educated</u> on how do we actually find someone who is skilled enough to be brought in and developed enough to implement the strategic direction".*	Not so clear as asked for reformulation
In your institution, what are the factors for an executive leader to be considered <u>efficient</u> (i.e., good return on investment and performance measures)?	• *"The role of an executive leader is, urrr, a <u>challenge</u> role, and I am not sure everybody appreciates that... rrr.. yes... ".*	
In your institution, what	• *"It was much more <u>personal fit</u>. Do I like you? Do I think you are a nice person which*	

are the factors for executive leaders to be considered as a <u>good fit</u> to the organization?	*is an important aspect of hiring, but if you do that in lieu of strategic importance of the position, then what you end up doing is end up hiring a person that seems like a nice guy and lacks the skills".*	
In your institution, what are the factors for executive leaders to increase the <u>organisational performance</u>?	• *"We've had very specific examples of very significant positions, where they hired based on that <u>premise of liking the person,</u> and a year and a half later, they have to be fired because they are not achieving the strategic directions".*	
In your institution, is executive leadership expected to be <u>distributed</u> (i.e., among all stakeholders), <u>servant</u> (i.e., with a focus on serving the community) and/or related to <u>academic</u> leadership (i.e., emerges from academics instead of managers)? Is it changing?	• *"The institution that I was part of, the notion of <u>distributed</u> leadership was a <u>façade</u>. They would talk about distributed leadership in meetings, but ultimately the real knowledge, decision making came from one or two individuals".* • *"I would say, this institution was a <u>servant</u> to the government specifically to the ministry of advanced ed. ... It was just more do what the Minister wants kind of thing".* • *"And... Before the <u>shift</u> started taking place, absolutely it was academic, it was really, more of an internal development, umm, people became faculty, faculty became chairs, chairs became deans and way we go."* • *"With the shifts that's taking place what is really interesting, ... is that the leadership construction has actually been infused with some development internally but more so with people that don't have an academic background. So, you are now getting*	Question a little bit long

	presidents and vice presidents academics that come from some other <u>industry as a CEO or a COO</u> and have locked in and said: ok well it's a service industry in education, I can learn about education, and I can direct the institution as a business".	
HR		
What are the ways the Human Resources department contributes (or not) to the <u>alignment</u> of the <u>recruitment</u> of executive leaders to the strategic profile of your institution?	• *"HR, their role at the time, would be <u>3 things</u>: They were benefit managers, so anything to do with your healthcare, they were a major component of negotiation with associations and unions, and they were a weak form of a consultative service provider".* • *"The reality of practice, they (i.e., HR) were just another person who would tell you how much <u>personality</u> would fit with the organization".* • *"All positions at the executive levels were done by an <u>external</u> agency".*	HR was not strategically involved so hard to answer questions
What are the ways the Human Resources department contributes (or not) to the <u>alignment</u> of the <u>leadership development</u> of executive leaders to the strategic profile of your institution?	• *"The <u>faculty development</u> is done very well, the staff development is done very poorly, the executive development is non-existent. I can never imagine once where the HR department provided myself or any of the members of the leadership team with support other than dealing with conflicts".* • *"How do you effectively hire to tie with <u>strategic</u> development, how I learn new skills to be better at what I am doing, that never came from HR what's so ever".*	
In your institution, is the	• *"They were a <u>service provider</u> to maintain collective agreement. Everything else was*	

Human Resources department considered as a <u>strategic partner</u> (i.e., partner in the process of strategic planning, strategy implementation, strategy evaluation and strategic alignment) or more as a <u>transactional department</u> (i.e., focus on pay-roll, etc.).	*very weak, very hit and miss"*. • *"People involved were generally <u>junior people</u>, so my guess would be that they didn't have the skills to be strategically involved".*	
In your institution, what are the elements that should be found in a future executive leader <u>competency profile and/or previous work experiences</u> for recruitment purposes?	• *"That person needs to make some <u>tough decisions</u> sometimes and that means that they can't be your friend and you need to be able to, in the hiring process, to realize that they're going to do stuff that you may not agree with and you need to know that they can make the right decision to do it."*	
In your institution, what are the elements that should be found in a	• *"It's overly simple and lacks in my opinion <u>true development</u>. True development is … that we have to realize that people are doing different projects …, part of that is branching out and <u>seeing what colleagues</u>*	

leadership development program for executive leaders?	*are doing in other institutions".* • *"Part of it is the mentoring component ... the president wants to build the skills of the VP so that it enhances that position and where the VP is going".*	
OTHERS		
Is there a question I should have asked? Or something you want to add?	*No*	

Anything else that struck the research as salient, illuminating and important in this semi-structured interview?

HR's impact on recruitment and development of executive is non-existent, so questions about the timeline not useful:

- Designed and managed program (i.e., formal leadership programs)?
- Processes of social transmission (i.e., social construction via mentors and peers)?
- Behaviours of actors developing themselves (i.e., self-awareness)?

What new or remaining target question does the researcher have in considering the next contact?

Some strategies to reformulate some questions need to be provided.

APPENDIX F - SEMI-STRUCTURED INTERVIEWS STUDY-EXAMPLE OF OPEN CODING GRID FOR EACH INFORMANT

Questions	Key Sentences Transcript	Open Coding
GENERAL		
What does executive leadership mean in your institution?	• *"The College as a whole defines its <u>executive leadership</u> from the president, well actually, from the Board of directors, down to the deans level, ok?"* • *"Executive leadership at the <u>Board</u> was really about <u>community</u> relationship".* • *"The <u>presidents</u> level is, the executive leadership there… is defined… really… as the <u>boundary keeper</u> between the government and the community and the College".* • *"When you get to the <u>vice president</u> level, they really are your… your organizational officer, right, they are focused on translating what is possible in those boundaries that the president and the Board of directors can create into plans inside the organization.".* • *"At that time, it was taken down to the <u>deans</u> level, which their executive leadership per see, would be taking the functional unit they were responsible for and being implementing those <u>shorter terms strategies</u> with the goals.* • *"So that's another way of saying that executive leaderships is quite <u>distributed</u> around those levels".*	Wide definition of executive leadership Board of Governors: • Community focus President: • Advanced education/community and College focus Vice Presidents: • Internal focus • Whole organization Deans: • Internal focus • Unit of organization SO, Distributed leadership

APPENDIX G - SEMI-STRUCTURED INTERVIEWS STUDY - EXAMPLE OF MEMOS FOR EACH INFORMANT

The informant spoke of the changes in the higher education industry, with changes from an "ivory tower" culture with no market focus to a tendency to operate like a McDonald. In terms of the factors, those are cyclical with paradigm shifts. The rules change with people in power (i.e., liberals vs. conservatives). In terms of organizational culture, institutions want stability (i.e., monolithic), so high turn-over is observed with changes. In terms of the market, this has been changing in the last 15 years, with different students, employers, community, and economic realities. In terms of strategic alignment and organizational performance, the key informant stated that generally, there was a misalignment as the organization failed to be cohesive and to have a true definition of what they were and impact on the long run. Performance was measured by physical growth and financial stability. There was some strategic alignment in terms of finance (i.e., balanced budget), but not in terms of directions for degrees and credentials. The institution just followed the government. It didn't have a strategy on its own. In terms of executive leadership, the key informant stated that there was a disconnect between the organization strategy and leadership.It was more a question of personal fit than strategic fit. The institution was keeping a façade of distributed leadership and servant leadership was observed in terms of serving the government more than the community. There was a shift to hire managerial people from other industries that used to be CEOs or COOs with no understanding of the education industry. In terms of competencies, those people should have the desire to take on some tough decisions even if not popular among the staff. Their development should be focused on what other institutions are doing and mentoring each other. In terms of HR, it does not play a strategic role, just a personnel type of department. This applies for recruitment and development.

APPENDIX H - SEMI-STRUCTURED INTERVIEWS STUDY - DATA COLLECTION AND ANALYSIS TO ACHIEVE SATURATION OF THEMES FOR ALL SEMI-STRUCTURED INTERVIEWS (E.G., CHANGE OF RULES)

Interview 1 to 20-Key Sentences for Open Coding

Data collection starts with the open coding of interview 1, then the open coding of interview 2 to refine the themes, and so on, as a zigzag data collection and analysis process until the point of closure when the themes are saturated at interview 20.

• *"What we have been seeing in the last 10 years, is less <u>base funding</u> and more <u>enrolment</u> driven funding, so institutions are dependent on their enrolments to ensure government funding. The result of that is that there is much more focus on enrolment and enrolment management and in the last 5 years on student retention."* • *"My guess would be than in the next 10 years or so we are going to see the evolution of the <u>accreditation</u> system."* • *"You have administration trying to cope with budgetary pressures, people like students, alumni or faculty focusing on other goals, and so getting things into alignment is a <u>political process</u> and on most campuses is very difficult."*	• Funding • Accreditation • Political
• *"We were like a College, so if we want to compete against the xxx, that the way we call the other Colleges in xxx, we didn't have a choice, we needed to be very quick to launch or really offer like <u>innovative</u> programs".* • *"Students for a business administration College diploma, typically they will, it will <u>cost</u> them like, urrr, for example 1500 dollars per semester then the College they need to pay 350, so they pay*	• Innovation • Cost

more than 5 times the price per year to, urrr, to enroll, so I mean you don't have a choice you really need to find the best instructors."	
• *"There is a lot of strain going on in the north-west, because xxx College had been kind of hanging out there, it had kind of <u>dropped its enrolments</u> (...) The mix of that College was a lot of trades, vocational education, uuur, turf grass, rrr, golf course maintenance, small engine repairs, they had the only Harley Davidson school in Canada for mechanics (...) I was running xx College and we had a <u>partnership</u> with yyy and then that slipped over to a partnership with zzz (...) So with the <u>politics</u> at the time, the conservatives, xxx, actually comes from xxx, and she doesn't want her College in xxx to close because that's where she gets the votes, so she had to find a way to keep it running. They had that flash of brilliance that they would <u>merge</u> this College with the other bigger ones."*	• Enrolments • Partnerships • Political
• *"In regards to the <u>government</u> impact on the organization, uuuh, they first of all, there was a change in government in the early, it was probably in about 2002, when the <u>NDP was defeated and the liberal party</u> came in and they have much more of a conservative influence. and so that played itself in two ways, one was a <u>reduction of funding</u> simply because they wanted to be more <u>fiscally responsible</u> I suppose. and that of course brought programs cuts and lay off and so forth. I guess the other change from government is that they became much more militant in terms of making the College accountable for their use of the funds and so, uuuh, more and more funding became tied to*	• Political • Funding • Government

specific target groups or very specific objectives as opposed to giving us a block a funding we can do as we chose. The funding was split up between envelopes for, you know, aboriginal issues or, you know, developing trades etc… And, so the College lost a great deal of flexibility in terms of how they could allocate the funding."	
• *"Number one is the <u>government</u> because the institution is significantly funded by the provincial government…. 2 or 3 things in my mind….."* • *"From the viewpoint of funding, the whole approach has changed from a period of 10 years ago….10 years ago, we had <u>stable and predictable funding with 6 % increase</u> every year guaranteed on a 3 years rolling cycle ! And 4 years ago all changed over bight… 1% a year for the last 3 years !... and 60% of revenue comes from the government so it had a major impact on how to develop the strategy. Before it was a multi-years increase with an idea on the <u>long run</u> of what we would be getting. So, you were able to build a strategy because you knew what would happen…. But now, you don't know anything until the last minute."* • *"There is that obsession with <u>accountability</u> and all the jargon stuff but they don't know how to measure productivity… government reacts to polls so their strategy reflects <u>the latest poll</u> and evolves! And accountability is important for them but they <u>don't have a good model to measure it</u>… So, we did it every year in terms of what measures are and that made strategic planning more difficult…. What the outputs are and who is accountable is important but they focused more*	• Government • Funding • Accountability • Political • Roles & Mandates Collaboration but competition (campus Alberta)

on input measures (like students, courses taught, hours per week of work) instead of the outputs measures (what type of students do we have). Bureaucrats do not consult institutions… So, it is not clear and makes a fair bit of chaos in higher education in Alberta and in the country. People just report whatever shows best in the report. And it doesn't really mean anything."

- *"5 years ago, the government to make us accountable, they made the <u>campus Alberta</u>: the 6 sector model. <u>Mandates</u> of Institutions were defined by whatever category they were in… with the research institutions, the baccalaureate institutions, the polytechnics, the special purposes and independent academic institution (or faith based institutions) and comprehensive community Colleges… It helps institutions to focus BUT 7 years or so ago the <u>Post-Secondary Act</u> was changed too with the <u>Quality Council of Alberta</u> to review our programs and recommend or not our programs to the Minister… The community wanted a business degree, so we started the process with the quality council and we went through the process and submitted… I remember like it was yesterday…. and then the Boards, Chairs, and Presidents were there and then the Minister announced that 6 sector model…. Our institution would NOT move to have their <u>own degrees</u>!!?So it was confusing… And we had to lobby the Minister and our MLAs to open the door despite our mandate….. From a strategic and leadership perspective, people were really upset (Business people in the community would mail the ministry)… That kind of last minute changes continue to go on! Now it is that*

we need to collaborate to have <u>collaborative degrees</u> so we have to change all the strategy at <u>the last minute</u>!"	
• *"I can't talk about the industry as a whole… But where does that come in Alberta…. The <u>ACT</u> was changed around Universities with the addition of 2 Universities and University-Colleges… So we saw changes in Alberta…"* • *"The government just tries to answer <u>political pressure from the society</u>… "*	• Government (ACT) • Political
• *"There was the government change in terms of policy… In response to that I have several different parts … In the time I was there was an <u>advisory committee</u> from the <u>government</u> to formulate how education should be organized. There were internal reports and other reports, we had a number of significant changes in attributes too.(…) I am not arguing about the value of this… But, when I was there, some policies were formulated and there were many shifts in policy environment during my 6 years…. At the time, the government had lost a <u>lot of sits</u>, so the government wanted to emphasize on … they thought we should work with other institutions and <u>close our institution</u>….So, in my time, we were threatened in a very harsh way… "* • *"The funding away from bum on seats to investment plan. Tightening of <u>funding</u> and the way we would be receiving funding changed dramatically with a change from bums on seats to an investment plan for the institution…."*	• Government • Political • Funding
• *"With <u>degree granting</u> there was more emphasis to do research and get more credentials, so that Universities would recognize them as equal. We needed to fit with those institutional goals. The*	• Role & Mandates • Government

government must have been pounding it. In terms of assessing the performance of faculty, it was more related to the evaluations by the peers and students in terms of teaching. Research wasn't important at all, now, it is very important to focus on research."	
• *"I have been in the post-secondary for 14 years..... I have seen a stiff decline in funding from the government. As a consequence, a more businesslike approach had to be taken for people..... To be more entrepreneurial... engaging in partnerships that are beneficial or more linkages in terms of programs and engaging donors not only for students but for the industry to give money... And also, the need for us to be more accountable always. "* • *"The government gives us mandates for the post-secondary.... It is structured in terms of these mandates, these decide on our strategy .... Each post-secondary is formatted in line with the mandates; I have seen that change in the last 10 years."* • *"I think the mandates of entrepreneurship come out to the fact that our government is now the Enterprise and Advanced Education ... So by definition, they are asking us to be more entrepreneurial..."*	• Funding • Managerial/entrepreneurial • Accountability • Role & Mandates Government
• *"Definitely, within the post-secondary act, post-secondary institutions are defined by something called the 6 sector models... So this model basically defines the types of postsecondary institution that will exist in the Province..... Previously they were more trying to be comprehensive... It was to focus on the kinds of programs that allowed them to respond to a*	• Role & Mandates (programs) • Accountability (efficiency and financial report)

- *specific segment of the population and employer…. The best example is XXXX, still XXX is accused to be all things to all people yet in order to be responsive to central Alberta, we <u>need to have a broad range of programs</u>, 1 year certificate, 2 and 4 years applied degrees, the trades and apprenticeship because this is the mix of our economy… "*
- *"Then institutions could align themselves in these 6 sectors, so that there could be some collaboration to benefit the institutions and beyond…. But it did put some <u>restrictions</u>…"*
- *"One thing is missed… In order to insure tax payers that we were using their dollars wisely, there was more requirements on the way we try to report <u>efficiency</u> and <u>financial</u> report… While we strive to be small enough to make people be together with informal relations… We have many more <u>policies</u> regarding travel expenses reimbursements; they have more rules and regulations… In that regards, we spend more time reporting how we are doing things, we need more <u>support staff</u> to fulfill these functions…".*

• *"We are doing very well because we are an <u>economic driver</u> for the whole country and we need an <u>educated workforce</u>… Because we had high paid job, because people could get so much money out of school in the field. So we had to give more scholarships…. What the department of advanced education had to stop high school drops out and encourage high school graduates to move into graduate …. That was given by the government. The whole cabinet was given the direction from the Minister… We were focused on adding sites in all the institutions. That was a*	• Economy (educated workforce) • Political (favour people from your area for voters) • Rules and regulations • Funding (budget cuts)

time were a lot of money was available…. But also everybody realized that it was important to move that money in advanced education to have a higher number of educated people…. That was before 2008."

- *"It was not so much the fact that <u>voters</u> wanted money to go to healthcare… It was much more that we had no choice… It was always crisis management with a huge black hole that was eating up all the money and never ending… It is always a shore to compete against healthcare! Wealth is also necessary and building and construction,,, The easy place to take money from is infrastructure … They say that roads can wait and not healthcare… And education is a little like that… You have to educate kids when they are young but healthcare is more in a crisis."*

- *"You are never supposed to get money just because you are stronger… Everybody should be treated equal, but the reality is that there are people sitting on the table and it is very hard not to <u>favor people from your area</u>… It is your area that elected you so you need to represent them… If you have somebody that just bad mouth you and never agree you don't go out of your way to favor them…. That is what was good about letting the bureaucrats having a little bit of power… They know who they really need support from. Bureaucrats were very important to convince, if you don't have a very good sale pitch for them to go in that direction they will not go into an idea."*

- *"In my experience of <u>politics</u>, everybody talks about changes, but everybody would really fight changes… Once you did it they are happy but*

- *sometimes it is not broken, still working but everything around is so far away... And people are afraid to change."*

- *"Once you become a Minister you have a deputy Minister who controls the department, he is not in the legislature... And some don't want people to talk to the Minister.. They get very upset if someone called the Minister and not the deputy Minister... Deputy Ministers are kind of a president; they have an organizational chart.... and then they have executive directors, managers, and then assistant deputies and then executive directors underneath that. "*

- *"Environmental rules and regulation can very much put the oil sector out of business in the long run so you need to focus on the environment... And you have to do your research and that could mean a lot to industry and that is where the government needs to collaborate with the business to see how to avoid the leaks or you will kill that industry."*

- *"There wasn't ... We always had changes specially in things like environment and rules and regulations because it was the way of the future but we competed for business, we wanted investment dollars coming to Alberta from an investment company... They say ok, it's going to be so much ... they will never nationalize it so it is safe investment dollars wise whereas in Venezuela it would be a quarter of the money but the government might just say it's ours now or may tax them ...But the costs is the environment regulations... so it is give and take... "*

- *"In advanced education... when they have less income how do you adapt to that budget... You*

have to change your budgeting or your lifestyle… If we could get Presidents to buy into that…. …. The President go out and says that the government is faulty… Alberta will recover, oil and gas of course for a long time…. "	
• *"The <u>government</u> was the primary stakeholder…. They were the primary funding of the organization……. "* • *"<u>Financial constraints</u> have impacted the organization…. What is the money left now is minimal."*	• Government • Funding
• *"What we have been seeing in the last 10 years, is less <u>base funding</u> and more <u>enrolment driven funding</u>, so institutions are dependent on their enrolments to ensure government funding".* • *"The result of that is that there is much more focus on <u>enrolment</u> and enrolment management and in the last 5 years on student <u>retention</u>."* • *"My guess would be than in the next 10 years or so we are going to see the evolution of the <u>accreditation</u> system."*	• Funding • Enrolment/retention • Accreditation
• *"Yes there was a divide into 4 Colleges. xxx had pursued a learning centre and we were doing that for business and other programs in relation to con ed... Then new <u>roles and mandate</u> came, and we had to leave some of the campuses... We had to retrench… They told us that we had to leave Edmonton for example… Then, we had a partnership with an Eastern University for a MBA... We had to quit this too. "* • *"There was a lot of money lost in the Edmonton area for us as a consequence of the <u>change in roles and mandates</u>. A lot of people thought it wasn't worst half a million dollars. We were there for 4 years. When we had to give up the*	• Role & Mandates government • Cyclical

campus, we lost a lot money."	
• *"The <u>government</u> took the decisions instead of the College."*	
• *"Every spring, there seemed to be cut backs anyway…At least 5 major restructuring…. It is hard to market yourself when your organization is <u>changing because of the government all the time</u>."*	
• *"From the <u>Province</u> view point, <u>funding</u> had a big impact and certainly in my role, we were so much dependent on the <u>ministry</u> for funding. Rules change <u>every year</u>… you may have to cut back or have students make the difference in terms of tuition. So you can't program new programming if you can't get some dollars… You need some <u>sponsors</u> from the community."* • *"Degree granting cost a lot of money. To start up a University would cost much more… It depends who is in the higher position… who they talk to. But the biggest part is <u>finance</u>. We want our graduates to have good degree, but I think there is more than one way to do that… And it is cheaper to run College programs."* • *"Degree granting and diploma granting was very hard too,… XXX had a <u>mandate</u> to be a community College, and they needed to have access to the degrees… I used to be on the committee for xxx that would be degree granting… Edmonton and Calgary got it… And it changes all the time. We are totally dependent from the Province."*	• Government • Funding • Cyclical • Alternative sources • Role & Mandates
• *"I was growing up, first a dean and then VP, and then President at XXX….There were several things that happened under the realm of <u>accountability</u> measures... The <u>government</u>*	• Accountability • Government

wanted to measure how efficient institutions were and to compare them... The theory was that they would reward financially institutions that would perform best. It was king of a buzz word... Nothing else!" • *"When I was a president, xxx was new president; they were meeting with people from Universities... I sat between the provosts and president of xxx* *and the big institutions believed that the purpose of the <u>Ministry</u> was to do what they told them to do... But the Minister said: "I write the cheque I decide what you do... and they all sat quietly, because they were shocked! "*	
• *"The <u>mandate</u> of the institution changed from a 2 years to 4 years. The funding structure did change too.... "* • *"The <u>cut in funding</u> did change in the strategy of the institution ... The institution had to become more <u>flexible</u>... with less focus on funding per program, also known as "envelops funding" and more on total number of students."*	• Role & Mandates • Funding cut and structure
• *"The first thing the role of <u>government</u> has increased and the role of <u>funding</u> in terms of level is reduced.... government assumes a larger role, with less autonomy for Universities.... "* • *"government has connected institutions to some social and political <u>mandates</u> for the Province, mmmm, to fix social changes in the Province. Many more social needs and economic rules to follow up with changes in the mandate coming from the government ..."* • *"They were reinventing the entire <u>funding</u> policy too and lower the resources."* • *"Now, we have a lot of <u>partnerships</u> with other*	• government • Funding • Role & Mandates Partnerships

institutions to survive... "	
• *"In the institution situation, I would say the transition to the University with <u>mandates</u> from <u>government</u> was a 10 years process with applied degrees and with funding that changed... Like access <u>funding</u> to full-time students, with a lot of funding cuts... Access funding was problematic because you need to show demand before you have funding, so you need to get funding first and then students and then ask for funding. Which doesn't make sense!??"* • *"Also, they promised a grant increase that will be a 2 percent ... A 80 % model was used for xxx and for xx it was a parity model with other University levels. People should have release time to be prepared to teach higher level courses. But then there was a <u>shortfall</u> in the balance sheet because of budget cuts... So, they have switched to a transition to retirement for people and hiring freeze..."* • *"And... ummm... We represented all the aviation institutions in Canada, we were a <u>liaison group</u> <u>with government</u>, so we were quite powerful ... We were able to change the rules related to the use of a simulator for example... The Colleges founded the association, to have access directly to the regulators because it is hard to communicate with them and to lobby with them..... "*	• Funding • Role & Mandates government • Lobby with government
• *"Yes, they did <u>redefine</u> the institutions roles, uuum we started offering more types of programs ... and it was a positive change.... Ummm not too much changes in funding yet.... We'll see on March 7th!! We are in the north so nothing they can do... They need us... "*	• Role & Mandates

• *"Not the needs of the students that change... The government gave us apprentices and trades, we used to be 2 Colleges and now we are both together... Students were the same at each campus, but not anymore with the <u>mandate</u> changes......."*	

Interview 1 to 20-Axial and Selective Coding (i.e., with Log Book)
Selective coding is involved in examining and collapsing the themes into subordinate themes or core themes.

Selective Coding

- Cyclical
- Financial cuts
- Need for alternative sources of income
- Political shifts
- government
- Regulations/legislations
- Roles & Mandates
- Fiscally responsible

Log Book

A-HIGHER EDUCATION INDUSTRY

1-governmental Rules:

- Political Parties and Cycles
- Roles & Mandates and Funding from government
  - o government and Roles & Mandates
  - o Funding from government
- Roles & Mandates and Alternative Sources of Funding (i.e., trades, short-courses, fundraising, donation, international students)

Interview 1 to 20-Theoretical Coding with Memoing and Mind Mapping
Mind maps were formalised to assist in the identification of interrelationships

between core themes. As themes and interrelationships were developed during the coding process, the ideas generated are also written into sortable memos.

Memoing

"The informants spoke of the changes in the higher education industry with changes in governmental rules that were cyclical, based on the political parties in powers that impacted the Roles & Mandates *imposed by the government on HE institutions, the funding structures (i.e., including budget cuts) and the pressure to find alternative sources of funding."*

Mind Mapping

Rules
- Cyclical Changes in Political Parties
- Changes in Roles and Mandates (Government)

Rules
- Change in Funding
- Changes to Alternative Sources of Funding
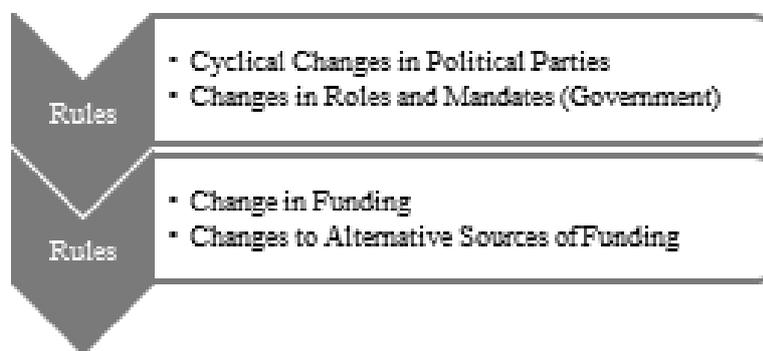
APPENDIX I - SEMI-STRUCTURED INTERVIEWS STUDY - LOG BOOK FOR AXIAL AND SELECTIVE CODING FOR ALL SEMI-STRUCTURED INTERVIEWS

A-HIGHER EDUCATION INDUSTRY

1-governmental Rules:

- Political Parties and Cycles
- Roles & Mandates and Funding from government
    - government and Roles & Mandates
    - Funding from government
- Roles & Mandates and Alternative Sources of Funding (i.e., trades, short-courses, fundraising, donation, international students)

2-Competitive Markets:

- Partnerships vs. Institutional Competition (i.e., Co-Petition)
- Students and Employers Demands (and others)
    - Programs and Innovation
    - Economy
    - Students Demand
    - Employers Demand
    - government Demand

3-Organizational Culture:

- Culture Shift
    - Paradigm Shift
    - Turn-over, Termination, Retiring, Fear
- Managerial and Entrepreneurial Culture
    - Distributed
    - Servant to government/Community
    - Academic/Corporate/Managerial or Administrative

B-MANAGEMENT CONTROL SYSTEMS

1-Strategy and Strategic Alignment

- Strategic Alignment to the Roles & Mandates

- Strategic Alignment of Executive Leaders
- Strategic Misalignment of Faculty and Staff

2-Executive Leadership

- Board of Governors
- Executive Leaders
    - Distributed vs. Non-Distributed (i.e., devious)
    - Academic vs. non-Academic (i.e., devious)
    - Servant vs. Non-Servant (i.e., devious)
    - Managerial and Entrepreneurial

3-Organizational Performance

- Compliance (i.e., devious)
- Professional accountability: Effectiveness (i.e., devious)
- Managerial accountability: Efficiency (i.e., devious)

C- HUMAN RESSOURCES

1- Recruitment

- HR Department
- Board
- Agency

2- Development

- HR Department
- Board
- Others

3-Strategic Human Resources

- Transactional, Personnel, Non-Strategic
- Business Structure and Resources

APPENDIX J - SEMI-STRUCTURED INTERVIEWS STUDY - THEORETICAL CODING WITH MIND MAPPING FOR ALL SEMI-STRUCTURED INTERVIEWS
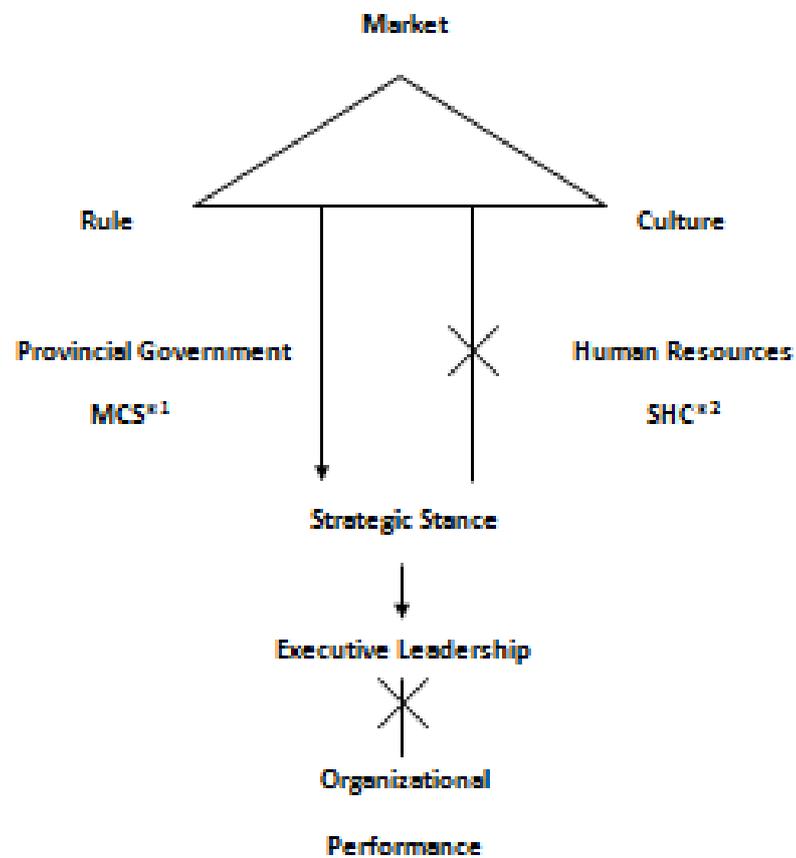
Market

Rule

Culture

Provincial Government

Human Resources

MCS[*1]

SHC[*2]

Strategic Stance

Executive Leadership

Organizational

Performance

[*1]   Management Control Systems

[*2]   Strategic Human Capital

Note: The strategic stance is related to the Roles & Mandates of the Higher Education Institution

APPENDIX K - SEMI-STRUCTURED INTERVIEWS STUDY - THEORETICAL CODING WITH MEMO FOR ALL SEMI-STRUCTURED INTERVIEWS

The changes in governmental rules related to political parties in power and associated changes in Roles & Mandates had an impact on the way higher education had to focus on the market environment and changes in terms of organisational culture. The changes in the market environment were related to competition between institutions and students and employers demands. The changes in organizational culture were related to a culture shift that resulted in a more managerial and entrepreneurial culture.

The strategic stance of higher education institutions was shown to reflect changes in Roles & Mandates (i.e., Management Control Systems) and there was a strategic alignment of executive leaders as opposed to faculty and staff. Changes in strategic stance were shown to impact the governance structure (i.e., Management Control Systems) and the executive leadership profile within the higher education institutions. Indeed, members on the Board of Governors were mainly appointed by the provincial government, and even if the governance structure was still largely profiled as shared governance, executive leaders profiles were described as less distributed, less academic, with a growing focus entrepreneurial and managerial skills. Changes in strategic stance were also shown to be related to an increased pressure for accountability in terms of effectiveness and efficiency (i.e., Management Control Systems). Importantly, however, a profile of "devious compliance" was highlighted in the higher education industry with a divergence between what executive leaders reported and what actually happened inside the institution (i.e., enacted strategy as opposed to stated strategy).

Human Resources were not involved in the recruitment and development of executive leaders, because of the potential for a conflict of interest. However, this lack of interrelationship varied as a function of the reporting level of Human Resources to the President and the resources allocated to the Human Resources department.

APPENDIX L - INSTITUTIONAL DOCUMENTS STUDY- EXAMPLE OF OPEN CODING GRID FOR EACH INSTITUTION

Institution	Key Sentences Transcript	Open Coding
Comprehensive academic and research institutions		
Athabasca University	**MCS** • No problems • President: male, PhD, political experience, was vice-president • President only **PRESIDENT MESSAGE** • Today, AU is regarded as a world leader in distance education and e-learning, and nearly 40,000 students annually benefit from the high quality instruction and academic services provided by its outstanding faculty and staff. • During the past year, as outlined in the following report, AU, with the support of both federal and provincial governments, took significant strides toward further advancing its leadership in online learning by initiating a project to digitize 450 additional courses for online delivery and by moving forward on its visionary Open Learning Environment, an innovative online post-secondary system in which cutting-edge technologies will integrate with advanced pedagogical practice to form a supportive, student-centred, world-class learning environment • AU is also at the forefront of the academic world in its support for and encouragement of the Open Educational Resources	• No problems • President only • World leader in distance education and e-learning • 40,000 students annually • High quality instruction and academic services • Course development • Scholarly activity
	movement. Nowhere is that support more evident than in the development of and early success of Athabasca University Press, a scholarly publishing house committed to open access and digital publishing in order to serve the needs of a global community of adult learners and researchers. **MISSION** • Mission: Athabasca University, Canada's Open University, is dedicated to the removal of barriers that restrict access to and success in university-level study and to increasing equality of educational opportunity for adult learners worldwide. We are committed to excellence in teaching, research and scholarship and to being of service to the general public. • Values • We value excellence. The search for excellence is the hallmark of all our endeavours. • We value learning. Student learning and satisfaction are measures of our success. • We value scholarly research. We engage in reflective practice through the scholarship of discovery and the scholarship of teaching. • We value the free exchange of ideas. A respectful climate for open discourse promotes innovation, discovery and social responsibility. • We value openness and flexibility. Reducing barriers to education enhances access and social equity. • We value diversity and inclusiveness. Diversity and inclusiveness enhance the quality both of learning and of the workplace. • We value our employees. The commitment, innovation, creativity and continuous learning of every employee contribute to our success. • We value accountability. We are accountable to our students, to each other and to the public	• Mission: equality of educational opportunity for adult learners worldwide, excellence in teaching, research and scholarship, service to the general public. • Values: excellence, learning, scholarly research, exchange of ideas, openness and flexibility, diversity and inclusiveness, our employees, accountability. We are accountable to our students, to each other and to the public
	MANDATE SUMMARY • Comprehensive baccalaureate & graduate programs. • Comprehensive research function. • Learners interested in open, flexible learning opportunities.	• Comprehensive baccalaureate & graduate programs. • Comprehensive research function. • Learners interested in open, flexible learning opportunities.

	GOVERNANCE • AU operates with a bicameral governance system. Governing Council members are appointed by the Government of Alberta. The Governing Council consists of the chairperson, up to 10 public members, two academic staff members, one tutor, one non-academic staff member, one graduate student, two undergraduate.	• Bicameral governance system • Appointed by government • 10 public members, 2 academics, 1 tutor, 1 non academic, 1 graduate student, 2 undergraduate students
	PROGRAMS • AU offers the following 9 graduate degrees as well as 15 related graduate diplomas and certificate. • In addition to 25 undergraduate certificate and diploma program, AU offers the following 12 undergraduate degrees, many of which are available through both regular and post-diploma programs. • AU's overall student enrolment for 2009–10 was 38,190 (7,701 full-load equivalents). Enrolment in the graduate degree programs was 3,738 in 2009–10; in undergraduate degree programs, 6,250 • In the 10-year period from 1999–2000 through 2009–10, AU experienced a 100 per cent cumulative growth in enrolment (from 3,848 full-load equivalents to 7,701), an average yearly growth of 7.2 per cent. AU's staff complement has gradually grown to meet the needs of this larger student body.	• 9 graduate degrees as well as 15 related graduate diplomas and certificate • 25 undergraduate
	FINANTIAL MEASURES • Deficiency: -$11,282,000	• Not healthy
	PERFORMANCE MEASURES • FLEs: 7526 • Total enrolment at AU dropped slightly from 38,417 in 2008–09 to 38,190 in 2009–10, a decrease of 0.6 per cent. While enrolment in graduate programs grew by 5.8 per cent, undergraduate enrolment declined by 1.2 per cent during the period • A total of 1,746 academic credentials, 774 at the graduate level and 972 at the undergraduate level, were awarded by AU during the 2009–10 academic year • AU awarded $980,743 in undergraduate and graduate student bursaries and scholarships in 2009–10. Though this amount is lower than the previous year's total, 2008–09 was an exceptional year for student awards, owing to strong investment market performance and substantial one-time grants from the Access to the Future Fund and the Queen Elizabeth II Graduate Scholarship Program.	• FLEs: 7526 • Enrollments: 38,417 • Students awards, bursaries, scholarships: 980,743 • Graduated students: 1,746 • Students satisfaction: 96.6% in 2008 • Labor force: 94.1 in 2008 • Research output: 66+20+247+42+400 in 2010

	• AU consistently exceeds the provincial average level of satisfaction on the Government of Alberta's Alberta Graduate Outcome Survey	

	Athabasca University	Alberta Average
2008	96.6%	89%
2006	97.4%	90%
2004	92.7%	89.4%

• That AU's graduates consistently enjoy a very high rate of participation in the labour force is an indirect measure of the high quality of the university's programs.

	Athabasca University	Alberta Average
2008	94.1 %	88.4%
2006	90.6 %	88.2%
2004	94.6%	73.9%

• Faculty and staff members actively disseminate their research findings through various publications and presentations. The following table provides a summary of these activities.

Research Publications	2007-08	2008-09	2009-10	Three-Year Average 2007-09	Three-Year Average 2009-10
Number of full-time faculty	162	173	162	159	172
Books authored or co-authored	49	65	66	58	60
Books edited or co-edited	12	17	20	12	16
Articles in refereed publications	203	230	247	193	227
Non-refereed publications	35	38	42	38	38
Conference presentations	306	378	400	327	361

	HR Mission The Human Resources team of Athabasca University is a diverse group of professionals who remove barriers that enable people to succeed, achieve professional growth, and improve productivity. We are dedicated to achieving Athabasca University's vision, mission and goals within a respectful workplace that expresses Athabasca University's values.	• Recruitment • Organizational development • Succession planning • Mission and vision for department

Vision

Athabasca University is the employer of choice for faculty, professionals and support staff and Human Resources aids in fostering an interactive and collaborative workforce within a respectful, healthy, effective work environment.

Our Functions and Services

- Recruitment and Retention
- Job Evaluation
- New Employee Orientation
- Labour and Employee Relations
- Performance Management
- Succession Planning
- Team and Organizational Development
- Staff Learning and Development
- Compensation, Benefits, and Pension
- Occupational Health and Safety
- Ability Management
- Organizational Employee Recognition Events
- Personnel Records Management

Human Resources Staff

Human Resources Main Line - (780) 675-6655

Human Resources Fax - (780) 675-6135

APPENDIX M – INSTITUTIONAL DOCUMENTS STUDY - EXAMPLE OF MEMOS FOR EACH INSTITUTION

"Institutional documents for XX a focus on rules and culture and no real market focus. The organizational culture is described as distributed and servant. In terms of the market, this has been changing with different students, employers, community, competitors and economic realities. Strategic alignment and organizational performance is aligned to Roles & Mandates. Performance is measured in terms of effectiveness and efficiency with compliance and accountability to tax payer. Executive leadership shift to hire managerial and entrepreneurial people BUT allegedly very servant and very distributed and President with a PhD. Human resources have a good level transactional/strategic role in line with mission and vision."

APPENDIX N - INSTITUTIONAL DOCUMENTS STUDY - DATA COLLECTION AND ANALYSIS TO ACHIEVE SATURATION OF THEMES FOR ALL INSTITUTIONAL DOCUMENTS (E.G., STEWARDSHIP)

Interview 1 to 20-Key Sentences for Open Coding	
Data collection starts with the open coding of document 1, then the open coding of document 2 to refine the themes, and so on, as a zigzag data collection and analysis process until the point of closure when the themes are saturated at institution 46.	
• "Athabasca University, Canada's Open University, is dedicated to the removal of barriers that restrict access to and success in University-level study and to increasing equality of educational opportunity for adult learners worldwide. We are committed to excellence in teaching, research and scholarship and to being of <u>service to the general public</u>."	• Servant
• "Within a vibrant and <u>supportive</u> learning environment, the University of Alberta discovers, disseminates, and applies new knowledge through teaching and learning, research and creative activity, community involvement, and partnerships. The University of Alberta gives a national and international voice to innovation in our Province, taking a lead role in placing Canada at the global forefront."	• Servant (supportive)
• "The University of Calgary is a place of education and scholarly inquiry. Its mission is to seek truth and disseminate knowledge. Our aim is to pursue this mission with integrity for <u>the benefit of the people of Alberta, Canada and the world</u>."	• Servant (benefit of the people)
• "The University strives to ensure that our students have a premium student experience. We continue to work at improving <u>our services to our students</u> to	• Servant

build a sense of community and belonging for all students."	
• "NAIT's vision is to be globally valued for student success, applied research, and innovation. Students are successful when they realize their academic, career, and personal goals. Their individual accomplishments define NAIT's . Success as an organization Mission: Educated, skilled, and successful learners."	• Success
• "SAIT shall be an innovative organization equipping people to compete successfully in the <u>changing world of work</u> by providing relevant, skill-oriented education."	• Innovation
• "Where people live and work, Bow Valley College will <u>contribute to the vitality of communities and the strength of the economy</u> through innovative adult education programs and services which equip people for successful living, lifelong learning, and work in a global, knowledge-based economy."	• Servant (vitality of community)
• "Keyano College is committed to providing excellent education, training and <u>services that will prepare people </u>for the challenges of work and enhance individual growth. Keyano College holds the fundamental belief that its purpose is to enable students to meet the challenges of the future through accessible programming that maximizes the potential of students and promotes individual and community development, which will improve the quality of life in our region and throughout Alberta."	• Servant
• "Lethbridge College provides high quality, innovative programs and <u>services enabling learners to achieve</u> their educational and career goals."	• Servant
• "With respect for cultures and the needs of communities, Northern Lakes College provides quality educational programs and <u>services which</u>	• Servant

enable adults to continue their education, to improve their employment opportunities, and to enhance their quality of life."	
• "Our mission is to create an environment for learning, inquiry, partnership and communication that <u>supports our students, our employees and our communities in the service of society</u>."	• Servant (service to society)
• "We strive to deliver the best education possible and create an environment where excellence is expected. The <u>learners we serve</u> will have a foundation of knowledge and skills that prepare them for successful careers and successful lives."	• Servant (we serve)
• "GPRC is recognized by its learning communities for leadership in educational excellence. Creating connections to knowledge, experience and <u>community one life at a time</u>."	• Servant (one life at a time)
• "To inspire our learners to <u>realize their individual potential</u>."	• Servant (realize potential)
• "Medicine Hat College is a learner focused provider of quality education, training, and <u>services to its community</u>."	• Servant (service to community)
• "NorQuest College inspires lifelong learning and the achievement of career goals by offering relevant and accessible education. NorQuest College is a vibrant, inclusive and diverse learning environment that transforms lives and <u>strengthens communities</u>."	• Servant (strengthen communities)
• "Portage College provides education, training and services to facilitate learning and development of knowledgeable, <u>serve</u> skilled citizens in a caring, supportive and dynamic College environment."	• Servant
• "Grant MacEwan University is a vibrant, innovative educational institution focused on student learning. MacEwan fosters student success and student <u>contributions within local, national and international communities</u>. Teaching and learning are central to	• Servant (contribution)

the academic endeavour, which is informed and enriched by research and scholarly pursuits of highly engaged faculty and staff. MacEwan strives to exemplify the values of respect, integrity, citizenship and environmental stewardship through teaching, learning, scholarship, research and service."	
• "We are a learning community that focuses on instruction and is informed by scholarship. We are committed to individual learning, the principles of general education, the value of experiential learning and the achievement of program outcomes. Diverse by design, Mount Royal welcomes, supports and celebrates all its communities. Recognizing that diversity strengthens us all, we work in an environment of respect and inclusion. At Mount Royal University we deliver high-quality programs that are <u>relevant to our students' needs</u>. Dynamic in our thinking, we adapt quickly to changing environments and are making Mount Royal the place of choice for students at all stages of their lives."	• Servant (relevant to needs)
• "We are a teaching-focused University offering a wide range of programs and services that enable students to succeed in their current studies, in their on-going education, in their chosen careers, in their lifelong pursuit of knowledge, and in their <u>contribution as responsible citizens</u> in a rapidly changing and diverse global community."	• Servant (contribution as citizen)
• "Emily Carr University of Art + Design is a learning community <u>devoted</u> to excellence and innovation in Visual Arts, Media Arts and Design."	• Servant (devoted)
• "Kwantlen is British Columbia's Polytechnic University. As a leader in innovative and interdisciplinary education, we <u>offer all learners</u>, regardless of background and preparation,	• Servant (offer all learners)

opportunities to achieve the highest standards of academic performance. Our many programs of study provide applied learning and broad-based University education."	
• "We are leaders and partners creating an enduring prosperity. Transformation in career and life results from our teaching and research applied to solve problems and create opportunities in the world."	• Servant (enduring prosperity)
• "To be the leading engaged University, defined by its dynamic integration of innovative education, cutting edge research, and far-reaching community engagement. Equipping students with the knowledge, skills and experiences that prepare them for life in an ever-changing and challenging world. Being a world leader in knowledge mobilization, building on a strong foundation of fundamental research. Being Canada's most community-engaged research University."	• Servant (community engaged)
• "Thompson Rivers University is a leader in open, distance and online education to support the needs of our learners and community."	• Servant (support needs)
• "The mission of the University of British Columbia, as articulated in its strategic plan Trek 2010 – A Vision for the 21st Century, includes the commitment that it will "create new comprehensive knowledge, prepare its students for fulfilling careers, and improve the quality of life through leading edge research." It also includes the requirement that its graduates "will have developed strong analytical, problem solving and critical thinking abilities; will have excellent research and communication skills; and will be knowledgeable, flexible and innovative."	• Servant (prepare its students)
• "The University of the Fraser Valley, as established by the *University Act* of British Columbia, is mandated to serve the post-secondary educational	• Servant (serve educational needs)

<u>needs of its region</u>. Specifically, UFV provides post-secondary academic, trade, technical, career and adult basic education programs that lead to certificates, diplomas, and degrees, at both the undergraduate and master's level. Faculty and staff are also engaged in foundational and applied research and other scholarly activities that support its program areas and the development of the Fraser Valley. "	
• "UNBC aims to <u>improve the quality of life in its region, Province, and beyond by attaining the highest standards of undergraduate and graduate teaching, learning, and research</u>."	• Servant (improve life quality)
• "Our mission is to inspire, support <u>and</u> promote excellence in teaching and learning University-wide in order to enhance the educational experience for everyone."	• Servant (support)
• **"**Vancouver Island University is a dynamic and diverse educational organization, <u>dedicated</u> to excellence in teaching and learning, service and research."	• Servant (dedicated)
• "Our mission is to engage in Aboriginal education, services, and leadership that <u>enhances student learning and enriches relationships with community</u>."	• Servant (enhances and enriches links with the community)
• "The College of New Caledonia, as a comprehensive College, provides access to lifelong learning and facilitates the achievement of personal and educational goals. We are responsive to the <u>diverse needs of our students, our employees, and the communities</u> in our region. In the dynamic, consultative environment, we deliver quality programs and promote the success of every student."	
• "To be as spectacular as the mountains from which we take our name, inspiring and challenging learners to set and reach noble goals and become intellectually agile, socially engaged and empowered	• Servant (engage communities)

global citizens. To enrich lives and <u>engage communities through the power of education</u>.”	
• “At Douglas College, we <u>commit</u> to enhancing the skills, knowledge and values of life-long learners in meeting their goals. At Douglas College, we respond to diverse community needs in a rapidly changing society.”	• Servant (commit)
• “Langara College provides accessible undergraduate education opportunities <u>that meet the needs</u> of our diverse community. This means the offering of a variety of programs and services focused on University, career, and continuing studies at an undergraduate level.”	• Servant (meet the needs)
• “Our Mission Statement says it clearly: we <u>transform lives and communities</u>. As a student of Okanagan College, you will benefit from the comprehensive education and training offered here, and you will also contribute to the transformation of other individuals and the communities where you live, study and work.”	• Servant (transform lives)
• “North Island College is committed to <u>meeting the education and training needs</u> of adults within its service region by: providing high quality, affordable higher education and skills training, collaborating with our partners to create pathways to learning, and empowering individuals to achieve their full potential.”	• Servant (needs)
• “Northern Lights College provides the educational <u>means</u> for the <u>continued growth and prosperity</u> of our students, and the communities and businesses across northern British Columbia.”	• Servant (educational means for growth and prosperity)
• “Northwest Community College provides quality learning experiences that <u>help prepare our students for successful, positive futures</u>. We celebrate the	• Servant (prepare students, needs of community)

diversity of our northern and First Nations populations and reflect this diversity in our programs, services and our workforce. We approach every interaction with respect and integrity and collaborate with our partners to meet the unique educational <u>needs of our communities</u>."	
• "<u>Selkirk College</u> will <u>develop empowered, effective citizens</u> through rewarding educational and life experiences that are built on our Region's distinct identity."	• Servant (effective citizens)
• "Vancouver Community College <u>serves a diverse urban community</u> by providing excellent programs and services that prepare learners for on-going education, direct entry into employment, career advancement and greater participation in the community."	• Servant (serve diverse community)
• "The mission of BCIT is to <u>serve the success</u> of learners and employers: ››by providing high quality technical and professional education and training that supports our graduates as practitioners and as citizens; and ››by advancing the state-of-practice."	• Servant (service and success)
• "Nicola Valley Institute of Technology: A comprehensive public post-secondary institute, governed by the Aboriginal community, leads by anticipating and responding to the <u>educational needs</u> of our learners to build a better future."	• Servant (educational needs)

1 to 46-Axial and Selective Coding (i.e., with Log Book)

Selective coding is involved in examining and collapsing the themes into subordinate themes and core themes.

<u>Selective Coding</u>

- Compliance to government and Community, Province, Learners Needs and Expectations (i.e., stewardship)

Log Book

A-HIGHER EDUCATION INDUSTRY

1-governmental Rule

- Stewardship
- Accountability

Institution 1 to 46-Theoretical Coding with Mind Mapping

Mind maps were formalised to assist in the identification of interrelationships between core themes. As themes and interrelationships were developed during the coding process, the ideas generated were also written into sortable memos.

Memoing

The mission of higher education institutions as per Roles & Mandates from the provincial governments is to serve the community, province, and the needs of the students, which implies the notion of stewardship and associated accountability.

Mind Mapping

Serve • Community

Serve • Province

Serve • Learners
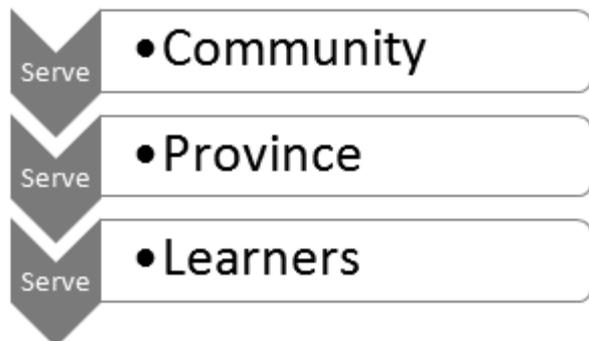
Stewardship & Accountability

APPENDIX O - INSTITUTIONAL DOCUMENTS STUDY - LOG BOOK FOR AXIAL AND SELECTIVE CODING FOR ALL INSTITUTIONS

A-HIGHER EDUCATION INDUSTRY

1-governmental Rules

- Stewardship

- Accountability

2-Competitive Markets

- Growth Management

- Students and Employers Demands (e.g., international students)

- Alternative Learning Models

3-Organizational Culture

- Ivory Tower vs. Students Centred and Innovation

B-MANAGEMENT CONTROL SYSTEMS

1-Strategy and Strategic Alignment

- Strategic Alignment to the Roles & Mandates

- Baccalaureate and Applied Studies Institutions and Comprehensive Academic and Research Institutions

- Specialized art and Culture Institutions and Polytechnical Institutions

- Comprehensive Community Institutions

2-Executive Leadership

- Board of Governors

- Executive Leaders

    - Academic-Distributed

    - Servant Stewardship

    - Managerial

3-Organizational Performance

- Compliance

- Professional Accountability: Effectiveness

- Managerial Accountability: Efficiency

C- HUMAN RESOURCES

1-Recruitment

- Unspecific

2- Development

- Unspecific

3-Strategic Human Resources

- Unspecific

APPENDIX P - INSTITUTIONAL DOCUMENTS STUDY - THEORETICAL CODING WITH MIND MAPPING FOR ALL INSTITUTIONS
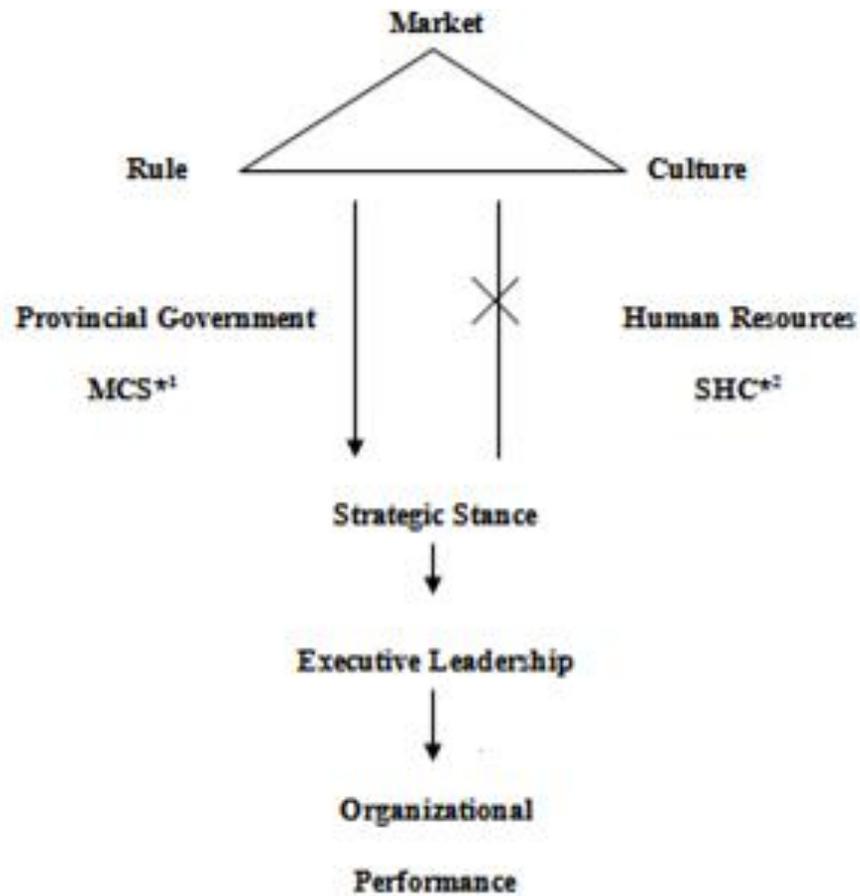
Market

Rule   Culture

Provincial Government   Human Resources

MCS*¹   SHC*²

Strategic Stance

Executive Leadership

Organizational

Performance

*¹   Management Control Systems

*²   Strategic Human Capital

Note: The strategic stance is related to the Roles & Mandates of the Higher Education Institution

APPENDIX Q - INSTITUTIONAL DOCUMENTS STUDY - THEORETICAL CODING WITH MEMO FOR ALL SEMI-STRUCTURED INTERVIEWS

Changes in governmental rules related to the need for higher education institutions to be more servant and accountable to the community had an impact on the way higher education institutions had to focus on changes in competitive markets and changes in the organisational culture. Changes in competitive markets resulted in the necessity to find new markets (i.e., international students) and alternative models of teaching (i.e., blended and online teaching models) to satisfy students and employers demands. Changes in organizational culture were related to a paradigm shift that resulted in a "no ivory tower" mentality allowed inside the institution and a focus on students success and innovation instead.

The strategic stance of higher education institutions in Western Canada was shown to closely follow Roles & Mandates as issued by the provincial government. Changes in strategic stance were shown to impact the governance structure (i.e., Management Control Systems) and the executive leaders profile. Indeed, even if the governance structure was still largely profiled as shared governance, and even if executive leaders profiles were described as academic (i.e., Presidents described as PhDs with previous experience in education), distributed and servant, executive leaders profile was also described as entrepreneurial and managerial (i.e., Presidents described as CEOs or as having to take business decisions). Changes in strategic stance were also shown to be related to an increased pressure for accountability (i.e., Management Control Systems) in terms of effectiveness and efficiency (i.e., even if this may be "devious compliance" as described in the semi-structured interviews study).

The Human Resources department was generally not described as involved in the recruitment and development of executive leaders. In fact, the Human Resources department was not described as involved in any strategic or executive leadership matter for most higher education institutions.

APPENDIX R - TABLE AND DIAGRAM OF SIMILARITIES AND DIFFERENCES BETWEEN SEMI-STRUCTURED INTERVIEWS AND INSTITUTIONAL DOCUMENTS

Table of similarities and differences

	Semi-Structured Interviews	Institutional Documents
Core Theme I	Higher Education Industry	Higher Education Industry
Subordinate Theme I	Governmental Rules	Governmental Rules
Other Themes	- Political cycles - Roles & Mandates and Funding from Government - Roles & Mandates and Alternative Sources of Funding	- Stewardship - Accountability
Subordinate Theme II	Competitive Markets	Competitive Markets
Other Themes	- Partnership vs. Institutional Competition (i.e., Co-Petition) - Students' and Employers' Demands	- Growth Management - Students and Employers Demands - Alternative Learning Models
Subordinate Theme III	Organizational Culture	Organizational Culture
Other Themes	- Culture Shift - Managerial and Entrepreneurial Culture	Ivory Tower vs. Students Centred and Innovation
Core Theme II	Management Control Systems	Management Control Systems
Subordinate Theme I	Strategy and Strategic Alignment	Strategy and Strategic Alignment

Other Themes	• Strategic Alignment to the Roles & Mandates • Strategic Alignment of Executive Leaders • Strategic Misalignment of Faculty and Staff	• Strategic Alignment to the Roles & Mandates
Subordinate Theme II	Executive Leadership	Executive Leadership
Other Themes	• Board of Governors • Executive Leaders	• Board of Governors • Executive Leaders
Subordinate Theme III	Organizational Performance	Organizational Performance
Other Themes	• Compliance • Professional Accountability: Effectiveness • Managerial Accountability: Efficiency	• Compliance • Professional Accountability: Effectiveness • Managerial Accountability: Efficiency
Core Theme III	Human Resources	Human Resources
Subordinate Theme I	Recruitment	Recruitment
Other Themes	• HR Department • Board of Governors • Agency	• Unspecific
Subordinate Theme II	Development	Development
Other Themes	• HR Department • Board of Governors • Agency	• Unspecific
Subordinate Theme III	Strategic Human Resources	Strategic Human Resources
Other Themes	• Business Structure • Resources	• Unspecific

Note: Core themes and subordinate themes were similar between semi-structured interviews and institutional documents. Other themes are generally similar with different levels of precision which is expected as institutional documents are generally less detailed and more controlled than semi-structured interviews.

Diagram of similarities and differences
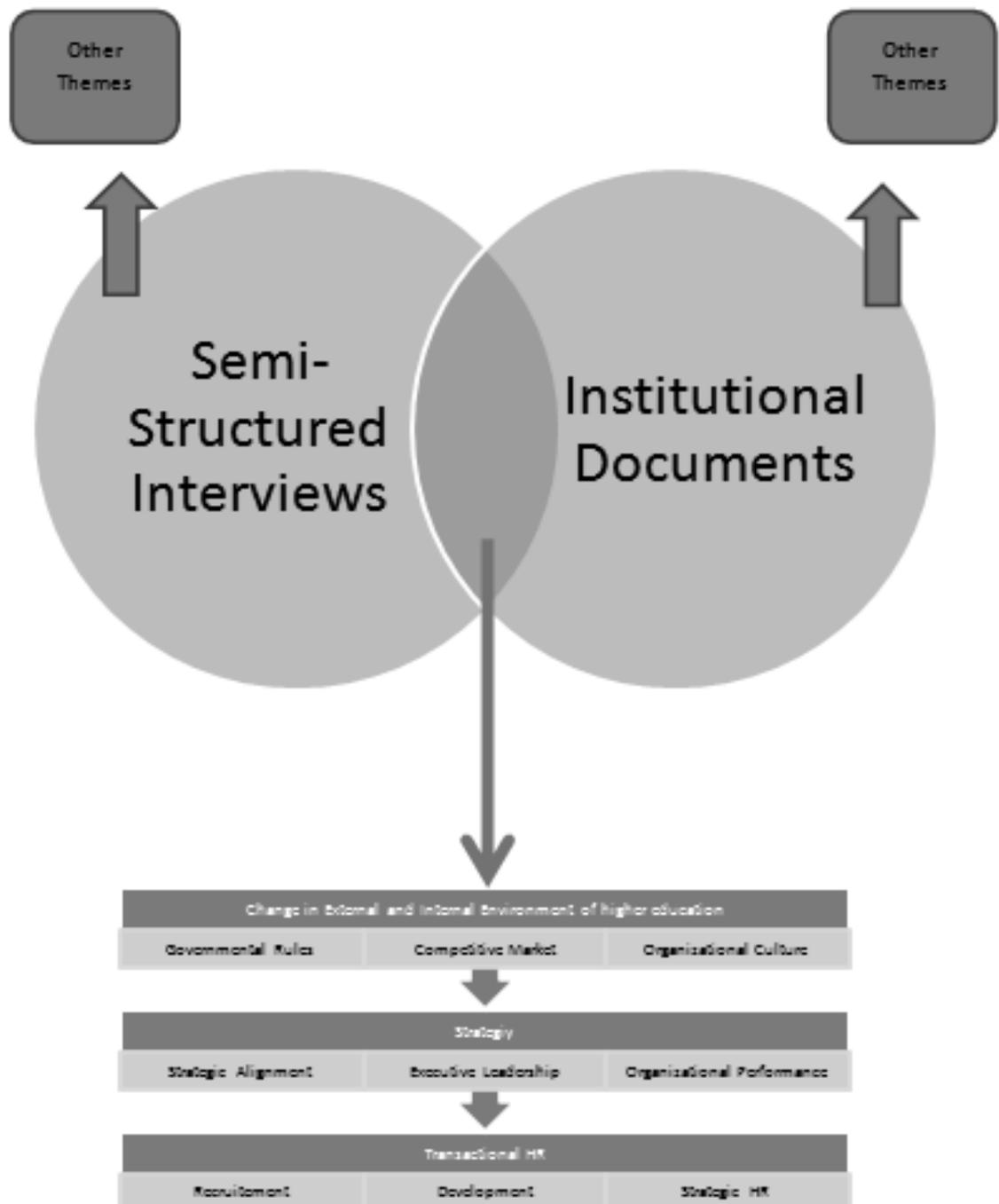
Note: Overlapping circles represent overlapping themes.

APPENDIX S - REFERENCE FOR RAW DATA FOR SEMI-STRUCTURED INTERVIEWS AND INSTITUTIONAL DOCUMENTS.

Reference for Raw Data for Semi-Structured Interviews

Interviewees	Status	Institution	Transcript Reference in Data Archives
Stage in Research Process and Nature of Interview: Formal Semi-Structured Interviews			
Participant 1	• Executive leader • Consultant Higher Education	• All	p.1
Participant 2	• Executive leader	• Polytechnic	p.9
Participant 3	• Executive leader	• College	p.21
Participant 4	• Executive leader	• College	p.30
Participant 5	• Executive leader Assistant Deputy Minister • Consultant • Member of Legislative Assembly (MLA)	• University • College	p.39
Participant 6	• Executive leader	• University	p.46
Participant 7	• Executive leader Consultant	• Polytechnic	p.51
Participant 8	• Executive leader	• University	p.58
Participant 9	• HR Director	• College	p.63
Participant 10	• HR VP	• College	p.68

Participant 11	• Minister • Executive leader • Member of Legislative Assembly (MLA)	• Government of Alberta	p.76
Participant 12	• HR consultant	• University • Polytechnic	p.83
Participant 13	• Executive leader Board of Directors	• University	p.88
Participant 14	• Executive leader	• College	p.93
Participant 15	• Executive leader City Councilor	• College	p.100
Participant 16	• Executive leader MLA for NDP	• College	p.107
Participant 17	• Executive leader	• College	p.114
Participant 18	• Executive leader	• University	p.120
Participant 19	• Executive leader	• University	p.127
Participant 20	• Executive leader	• College	p.134

Stage in Research Process and Nature of Interview: Informal Unstructured Follow-Up Interviews	
1- Participant 5	Same as above
2- Participant 9	Same as above
3- Participant 10	Same as above
4- Participant 11	Same as above
5- Participant 3	Same as above
6- Participant 17	Same as above
7- Participant 14	Same as above
8- Participant 16	Same as above
9- Participant 2	Same as above

Reference for Raw Data for Semi-Structured Interviews

Interviewees	Date and Place of Interview	Length of Interview	Mode of Interview	Transcript Reference in Data Archives
Stage in Research Process and Nature of Interview: Formal Semi-Structured Interviews				
Participant 1	April 05 2012 Office	43:00+28:00	SKYPE	p.1
Participant 2	April 17 2012 Office	53:00	Face-to-Face	p.9
Participant 3	April 26 2012 Home	67:00	Face-to-Face	p.21
Participant 4	April 26 2012 Office	60:00	Face-to-Face	p.30
Participant 5	December 5 2012 Office	88:00+38:00	Phone	p.39
Participant 6	December 7 2012 Office	43:00	Phone	p.46
Participant 7	December 12 2012 Office	64:00	Phone	p.51
Participant 8	December 15 2012 Office	38:00	Phone	p.58
Participant 9	December 17 2012 Office	52:00	Phone	p.63
Participant 10	December 17 2012 Room	78:00	Face-to-Face	p.68
Participant 11	December 18 2012 Room	22:00	Face-to-Face	p.76
Participant 12	December 19 2012 Office	27:00	SKYPE	p.83
Participant 13	December 20 2012 Office	37:00	SKYPE	p.88
Participant 14	February 15 2013 Office	48:00	SKYPE	p.93

Participant 15	February 18 2013 Office	50:00	SKYPE	p.100
Participant 16	February 19 2013 Office	47:00	SKYPE	p.107
Participant 17	February 19 2013 Office	34:00	SKYPE	p.114
Participant 18	February 21 2013 Office	67:00	SKYPE	p.120
Participant 19	March 1 2013 Office	53:00	SKYPE	p.127
Participant 20	March 1 2013 Office	23:00	SKYPE	p.134

Stage in Research Process and Nature of Interview: Informal Unstructured Follow-Up Interviews			
1- Participant 5	December 20 2012 Office	35:00	Phone
2- Participant 9	December 21 2012 Office	18:00	Phone
3- Participant 10	December 21 2012 Office	25:00	Phone
4- Participant 11	December 21 2012 Office	13:00	Phone
5- Participant 3	December 21 2012 Office	9:00	Phone
6- Participant 17	March 8 2013 Office	16:00	Phone
7- Participant 14	March 8 2013 Office	20:00	Phone
8- Participant 16	March 8 2013 Office	11:00	Phone
9- Participant 2	March 8 2013 Office	31:00	Phone

Reference for Raw Data for Institutional Documents

Institutions	Title of Documents and Web Site Addresses	Number of pages	Date	Transcript Reference in Data Archive
Publicly Funded Institutions in Alberta (n=21) A page to access accountability information and report in Alberta was http://eae.alberta.ca/post-secondary/institutions/public/accountability.aspx				
1-Alberta College of Art + Design	Annual Report http://issuu.com/acad/docs/acad_annual_report_?mode=embed&viewMode=presentation&layout=http%3A%2F%2Fskin.issuu.com%2Fv%2Fdark%2Flayout.xml&showFlipBtn=true	84	2012	p.1
2-The Banff Centre	Annual Report http://www.banffcentre.ca/about/publications/	23	2012	p.9
3-Athabasca University	Annual Report http://www2.athabascau.ca/aboutau/documents/annual/report.pdf	64	2012	p.14
4-University of Alberta	Annual Report http://www.strategic.ualberta.ca/en/ReportsandPublications/~/media/uastatistics/ReportsAndPubs/Docs/Annual_Report_original_signed_by.pdf	66	2012	p.21
5-The University of Calgary	Annual Report http://www.ucalgary.ca/about/annualreport/	62	2012	p.30
6-University of Lethbridge	Annual Report http://www.uleth.ca/vp-admin/?type=10	47	2012	p.34
7-Northern Alberta Institute of Technology	Annual Report http://www.nait.ca/44764.htm	80	2012	p.38
8-Southern Alberta Institute of Technology	Annual Report http://www.sait.ca/about-sait/publications.php	88	2012	p.46
9-Bow Valley	Annual Report	76	2012	p.50

College	http://www.bowvalleyCollege.ca/about-bvc/annual-report.html			
10-Keyano College	Annual Report	48	2012	p.56
	http://keyano.ca/business/leadershipdirection/annual-report			
11-Lethbridge College	Annual Report	29	2012	p.65
	http://www.lethbridgeCollege.ca/sites/default/files/imce/about-us/goals-plans/annual_report-pdf			
12-Northern Lakes College	Annual Report	1	2012	p.71
	http://www.northernlakesCollege.ca/content.aspx?id=12144&terms=annual+report			
13-Olds College	Annual Report	44	2012	p.61
	http://www.oldsCollege.ca/admin/pdf/annual-report-.pdf			
14-Red Deer College	Annual Report	48	2012	p.82
	http://www.rdc.ab.ca/about_rdc/policies_and_publications/Documents/RDC_Annual_Report_WEB.pdf			
15-Grand Prairie College	Annual Report	26	2012	p.91
	http://www.gprc.ab.ca/about/administration/reports/index.html			
16-Lakeland College	Annual Report	44	2012	p.99
	https://www.lakelandCollege.ca/files/PDF/About_Lakeland/corporate_publications/LakelandCollegeAnnualReportWeb.pdf			
17-Medicine Hat College	Annual Report	56	2012	p.108
	http://issuu.com/medicinehatCollege/docs/web_annual_report			
18-NorQuest College	Annual Report	72	2012	p.113
	http://www.norquest.ca/media-centre/calendars-publications.aspx			
19-Portage College	Annual Report	70	2012	p.120
	http://www.portageCollege.ca/About_Us/Administration/College_Publications.htm			
20-Grant MacEwan University	Annual Report	60	2012	p.129
	http://www.macewan.ca/contribute/groups/public/documents/document/annual_repo			

	rt.pdf			
21-Mount Royal University	Annual Report	20	2012	p.136
	http://www.mtroyal.ca/wcm/groups/public/documents/pdf/fin.pdf			

Publicly Funded Institutions in British Columbia (n=25)
A page to access accountability reports in BC was
http://www.aved.gov.bc.ca/publicpsed/welcome.html

1-Capilano University	Facts	2	2012	p.142
	http://www.aved.gov.bc.ca/publicpsed/docs/FS_Capilano.pdf			
	Institutional Accountability Plan and Report	24	2012	
	https://www.capilanou.ca/WorkArea/DownloadAsset.aspx?id=20882			
2-Emily Carr University	Facts	2	2012	p.143
	http://www.aved.gov.bc.ca/publicpsed/docs/FS_ECU.pdf			
	Institutional Accountability Plan + Report	11	2012	
	http://www.ecuad.ca/sites/www.ecuad.ca/files/pages/3/Accountability%20Plan%20and%20Report%202011.12%20to%202013.14.pdff			
3-Kwantleen Polytechnic University	Facts	2	2012	p.144
	http://www.aved.gov.bc.ca/publicpsed/docs/FS_Kwantlen.pdf			
	Institutional Accountability Plan and Report	65	2012	
	http://www.kwantlen.ca/__shared/assets/Accountability_plan_2011_12_to_2013-14_Final23388.pdf			
4-Royal Roads University	Facts	2	2012	p.146
	http://www.aved.gov.bc.ca/publicpsed/docs/FS_RRU.pdf			
	Institutional Accountability Plan and Report	33	2012	
	http://www.royalroads.ca/sites/default/files/reports_files/pdf/Plans_and_Reports/2008_-_2009_Institutional_Accountability_Plan_an			

	d_Report.pdf			
5-Simon Fraser University	Facts http://www.aved.gov.bc.ca/publicpsed/docs/FS_SFU.pdf	2	2012	p.148
	Institutional Accountability Plan and Report http://www.sfu.ca/content/dam/sfu/finance/Planning-Analysis/University%20Planning%20Framework%20Jan%2025.2012.pdf	39	2012	
6-Thompson River University	Facts http://www.aved.gov.bc.ca/publicpsed/docs/FS_TRU.pdf	2	2012	p.151
	Institutional Accountability Plan and Report http://www.tru.ca/__shared/assets/2008-11_AccountabilityPlan9788.pdf	78	2012	
7-University of BC	Facts (i.e., 2 campuses) http://www.aved.gov.bc.ca/publicpsed/docs/FS_UBC-All.pdf	2	2012	p.152
	http://www.aved.gov.bc.ca/publicpsed/docs/FS_UBCO.pdf	2		
	Annual Report http://strategicplan.ubc.ca/files/2009/08/2011-12-Place-and-Promise-Annual-Report-Final-June-2012.pdf	103	2012	
8-University of Fraser Valley	Facts http://www.aved.gov.bc.ca/publicpsed/docs/FS_UFV.pdf	2	2012	p.154
	Institutional Accountability Report http://www.ufv.ca/Assets/IRP/UFV+Institutional+Accountability+Report+Plan++2011-12+to+2013-14.pdf	58	2012	
9-University of Northern BC	Facts http://www.aved.gov.bc.ca/publicpsed/docs/FS_UNBC.pdf	2	2012	p.157
	Institutional Accountability Report http://www.unbc.ca/sites/default/files/reports/2010_2013_accountability_plan_and_report.pdf	22	2012	

10-University of Victoria	Facts http://www.aved.gov.bc.ca/publicpsed/docs/FS_UVic.pdf	2	2012	p.159
	Accountability Plan http://web.uvic.ca/president/pdf/Accountability_Plan_2012.pdf	44	2012	
11-Vancouver Island University	Facts http://www.aved.gov.bc.ca/publicpsed/docs/FS_VIU.pdf	2	2012	p.160
	Institutional Accountability Plan and Report http://www.viu.ca/upa/KeyDocuments/StrategicPlanning/VIU_IAPR_2012Final.pdf	20	2012	
12-Camosun College	Facts http://www.aved.gov.bc.ca/publicpsed/docs/FS_Camosun.pdf	2	2012	p.162
	Accountability Plan http://camosun.ca/documents/about/accountability-plan.pdf	35	2012	
13-College of New Caledonia	Facts http://www.aved.gov.bc.ca/publicpsed/docs/FS_CNC.pdf	2	2012	p.164
	Accountability Report and Plan http://www.cnc.bc.ca/__SHARED/ASSETS/CNC_2010-11_ACCOUNTABILITY_REPORT_AND_PLAN_-_JULY_15_201120183.PDF	20	2012	
14-College of the Rockies	Facts http://www.aved.gov.bc.ca/publicpsed/docs/FS_College_Rockies.pdf	2	2012	p.165
	2011-2012 Reporting Cycle http://www.cotr.bc.ca/webs_media/public_info/_docManager/docs/Institutional_Accountability.pdf	19	2012	
15-Douglas College	Facts http://www.aved.gov.bc.ca/publicpsed/docs/FS_Douglas.pdf	2	2012	p.167
	2010-2011 Accountability Plan http://www.douglas.bc.ca/__shared/assets/2			

	010_Accountability_Plan_August_version6 5802.pdf	32	2012	
16-Langara College	Facts http://www.aved.gov.bc.ca/publicpsed/docs/ FS_Langara.pdf	2	2012	p.170
	Accountability Plan and Report http://www.langara.bc.ca/about- langara/institutional-research/planning-and- accountability/acc_docs/2011- 12%20Langara%20College%20Accountabil ity%20Plan%20and%20Report.pdf	16	2012	
17-Okanagan College	Facts http://www.aved.gov.bc.ca/publicpsed/docs/ FS_OC.pdf	2	2012	p.172
	Accountability Plan and Report http://www.okanagan.bc.ca/Assets/Departm ents+(Administration)/Finance+$!26+Corpo rate+Services/IR/Our+Institution/Accountab ility+Reports/Accountability+2009- 10+to+2012-13.pdf	21	2012	
18-North Island College	Facts http://www.aved.gov.bc.ca/publicpsed/docs/ FS_NIC.pdf	2	2012	p.174
	Institutional Accountability and Report http://www.nic.bc.ca/about_us/PDF/Publicat ions/NIC_Accountability_Plan_and_Report _2011_2012_Cycle_Final.pdf	66	2012	
19-Northern Lights College	Facts http://www.aved.gov.bc.ca/publicpsed/docs/ FS_VCC.pdf	2	2012	p.177
	Community Report http://www.nlc.bc.ca/Portals/0/documents/A boutUs/2011_Community_Report.pdf	24	2012	
20-Northwest Community College	Facts http://www.aved.gov.bc.ca/publicpsed/docs/ FS_NWCC.pdf	2	2012	p.179
	Institutional Accountability Plan and Report http://www.nwcc.bc.ca/About/President/PD	46	2012	

	Fs/INSTITUTIONAL%20ACCOUNTABIL ITY%20PLAN%20AND%20REPORT%20 2011_12%20NWCC%20_R2.pdf			
21-Selkirk College	Facts http://www.aved.gov.bc.ca/publicpsed/docs/ FS_SELKIRK.pdf	2	2012	p.182
	Accountability and Plan Report http://selkirk.ca/sites/default/files/President's %20Reports%20and%20Agreements/Report s/Selkirk-College-Accountability-Plan- Report-2011-to-2014.pdf	74	2012	
22-Vancouver Community College	Facts http://www.aved.gov.bc.ca/publicpsed/docs/ FS_VCC.pdf	2	2012	p.134
	Institutional Accountability Plan and Report http://www.vcc.ca/deptUploads/governance/ VCC_AccountabilityPlanReport.pdf	23	2012	
23-BC Institute of Technology	Facts http://www.aved.gov.bc.ca/publicpsed/docs/ FS_BCIT.pdf	2	2012	p.185
	Institutional Accountability Plan and Report http://www.bcit.ca/files/about/pdf/accountab ility_plan_2011-14.pdf	119	2012	
24-Justice Institute of BC	Facts http://www.bcit.ca/files/about/pdf/accountab ility_plan_2011-14.pdf	2	2012	p.187
	Annual Report http://www.jibc.ca/annualreport2012	1	2012	
25-Nicola Valley Institute of Technology	Facts http://www.aved.gov.bc.ca/publicpsed/docs/ FS_NVIT.pdf	2	2012	p.189
	Accountability Plan and Report http://www.aved.gov.bc.ca/publicpsed/docs/ FS_NVIT.pdf	72	2012	

*These documents were obtained online.

Other Documents and Web Site Addresses	Number of pages	Date
Institutional Arrangement under the Six Sector Model http://eae.alberta.ca/media/133783/rmpf.pdf	3	2007
Roles and Mandates Policy Framework http://eae.alberta.ca/post-secondary/policy/roles.aspx	22	2007
Alberta_BC Memorandums Http://www.gov.bc.ca/igrs/attachments/Alberta_BC%20Memorandums.pdf	5	2007
Report of the Auditor General (2011) http://www.oag.ab.ca/files/oag/OAGApr2011report.pdf	128	2011

APPENDIX T - CORRELATION COEFFICIENTS

All variables (except Province)

Spearman's rho	Role & Mandate	Strategy program	Strategy research	Leader cred.	Leader exp.	Leader title	Board exec.	Board intern	Board pub.	Grant	FTE	Grant /FTE	HR
Role & Mandate	1.000 . 46												
Strategy programs	**.697** **.000** **46**	1.000 . 46											
Strategy research	**.661** **.000** **46**	**.922** **.000** **46**	1.000 . 46										
Leader credential	**.355*** **.017** **45**	**.480** **.001** **45**	**.378*** **.010** **45**	1.000 . 45									
Leader exp.	.015 .923 45	.084 .582 45	.145 .343 45	-.098 .523 45	1.000 . 45								
Leader title	**.594** **.000** **46**	**.577** **.000** **46**	**.503** **.000** **46**	.233 .065 45	-.096 .529 45	1.000 . 46							
Board exec.	.017 .913 46	.013 .932 46	.018 .907 46	-.081 .595 45	-.234 .122 45	-.209 .164 46	1.000 . 46						
Board intern	**.565** **.000** **46**	**.510** **.000** **46**	**.448** **.002** **46**	.168 .211 45	-.192 .207 45	.262 .065 46	.143 .344 46	1.000 . 46					
Board public	.007 .962 46	.053 .725 46	.099 .513 46	.098 .520 45	.060 .698 45	-.133 .379 46	.196 .192 46	.197 .190 46	1.000 . 46				
Grant	**.449** **.002** **46**	**.452** **.002** **46**	**.406** **.005** **46**	.245 .104 45	.260 .085 45	.250 .069 46	-.063 .679 46	**.346*** **.018** **46**	.241 .106 46	1.000 . 46			
FTE	**.444** **.002** **46**	**.519** **.000** **46**	**.477** **.001** **46**	.131* .622 45	.172 .258 45	.191 .204 46	.046 .761 46	**.359*** **.014** **46**	.131 .360 46	**.891** **.000** **46**	1.000 . 46		
Grant/ FTE	.174 .248 46	-0.44 .771 46	.011 .944 46	-.149 .329 45	.116 .448 45	.234 .118 46	-.130 .388 46	.116 .442 46	-.105 .488 46	.152 .312 46	-.214 .153 46	1.000 . 46	
HR	**.498** **.000** **46**	**.515** **.000** **46**	**.503** **.000** **46**	**.352*** **.018** **45**	**.333*** **.025** **45**	.212 .157 46	.069 .650 46	.185 .218 46	.096 .527 46	**.429** **.003** **46**	**.466** **.001** **46**	.013 .934 46	1.000 . 46

**. Correlation is significant at the 0.01 level (2-tailed).
*. Correlation is significant at the 0.05 level (2-tailed).

Spearman's rho < .3 = Weak correlation
Spearman's rho > .3 and < .7 = Moderate correlation
Spearman's rho > .7 = Strong correlation

Province and all variables

Rank Bi-Serial	Role & Mandate	Strategy program	Strategy research	Leader cred.	Leader exp.	Leader title	Board exec.	Board intern	Board pub.	Grant	FTE	Grant /FTE	HR
Province	.163 .281 46	.078 .607 46	.094 .534 46	-.005 .972 45	.241 .155 45	.199 .184 46	-.211 .181 46	.004 .978 46	-.114 .451 46	.131 .386 46	.026 .862 46	.056 .714 46	.193 .199 46

APPENDIX U - COMPARATIVE ANALYSIS OF FINDINGS FOR SEMI-STRUCTURED INTERVIEWS, INSTITUTIONAL DOCUMENTS, AND TRIANGULATION

Semi-Structured Interviews
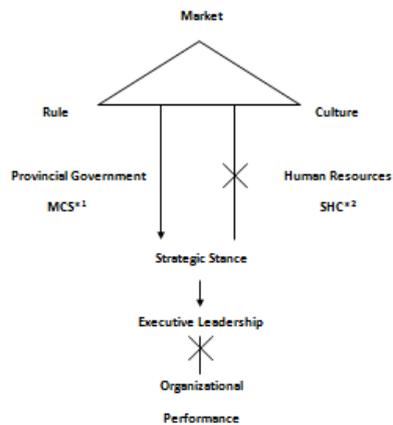
*1   Management Control Systems

*1   Strategic Human Capital

Note: The strategic stance is related to the Roles & Mandates of the Higher Education Institution

Institutional Documents

*1   Management Control Systems

*2   Strategic Human Capital

Note: The strategic stance is related to the Roles & Mandates of the Higher Education Institution

Triangulation


```
    Rule ────────────────►  Culture

Provincial Government        Human Resources
                      ╳
    MCS*¹                        SHC*²

              Strategic Stance
                    │
                    ▼
            Executive Leadership
                    ╳
             Organizational

              Performance
```
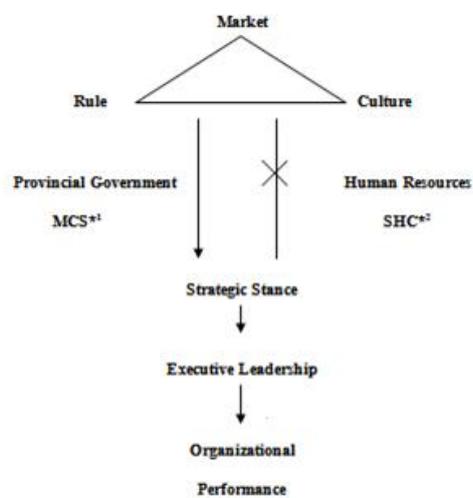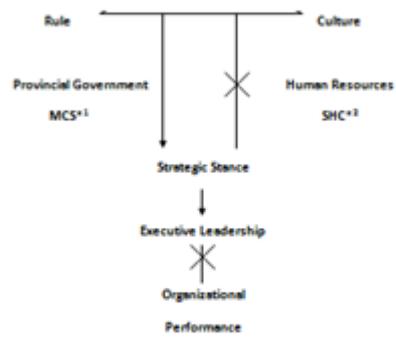
*¹   Management Control Systems

*²   Strategic Human Capital

Note: The strategic stance is related to the Roles & Mandates of the Higher Education Institution

APPENDIX V - REVIEW OF THE LITTERATURE AND FINDINGS

<table>
<tr><td colspan="2">Empirical outcome 1:

Resolution of empirical debate on whether and how the higher education industry had changed on dimensions related to governmental rules, competitive markets and organizational culture in a way that could be described and explained as related to "collegial managerialism".</td></tr>
<tr><td>Literature Review</td><td>Findings</td></tr>
<tr><td>

Position 1: Collegiality

Executive leadership in higher education is:

1. Distributed (Meek *et. al.,* 2010, p.10; Bolden, Petrov and Goslin, 2008, pp.257-277).

2. Servant with Stewardship and Corporate Social Responsibility (Tetrevova, 2010, pp.807-813; Borosky and Grief, 2009, pp.113-120; Collier and Esteban, 2007, pp.19-33; Carroll, 1999, pp.5-29).

3. Academic (Habib and Jungthirapanich, 2009, pp.25-38; Kekale, 2011, pp.556-563; Bolden, Petrov and Goslin, 2008, pp.257-277; Bush, 2007, p.391; Yielder and Codling, 2004, pp.315-328; Knight and Trowler, 2000; Law and Glover, 2000, p.8).

Position 2: Managerialism and Governance

1. Concerns with effectiveness and efficiency have been growing in higher education (Glass *et. al.,* 2009, pp.249-267; Gordon and Fisher, 2008, pp.217-255; Broadbent, 2007, pp.193-198).

2. Executive leadership in higher education is increasingly required to be managerial and accountable (DaConceicao DaCosta Marques and Mano, 2012, pp.303-315; Habib and Jungthirapanich, 2009, pp.25-38; Mattei, 2009, p.21; Fried, 2008, pp.15; Broadbent, 2007, p.193-198; Bok, 2006, p.21; Kezar, Carducci and Contreras, 2006, p.15; Deem and Brehony, 2005, p.217).

</td><td>

In line with position 1:

Executive leadership in higher education in Western Canada was:

1. Distributed.

2. Servant with Stewardship and Corporate Social Responsibility.

3. Academic.

In line with position 2:

1. Concerns with effectiveness and efficiency had been growing in higher education in Western Canada.

2. Executive leadership was increasingly required to be corporate in higher education in Western Canada.

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Contribution and significance of empirical outcome 1:	
In line with position 1 and 2, resolution of empirical debate in the higher education industry in Western Canada with "collegial managerialism".	
Empirical outcome 2:	
Resolution of empirical debate on whether and how there was an interrelationship between strategy, executive leadership and organizational performance (i.e., strategic alignment) in a way that could be described and explained as related to strategic management by executive leaders.	
Literature	**Findings**
Position 1: Strategic management and executive leadership are pre-requisites for improved organizational performance. 1. Strategic management increases organizational performance (Franken, Edwards and Lambert, 2009, pp.49-73; Christiansen and Higgs, 2008, pp.13-33; Kaplan and Norton, 2006, pp.167-176; Mintzberg *et. al.,* 2003, pp.14-22; Peters and Smith, 1998, pp.284-291; Makridakis, 1996, pp.1-43; Peters and Waterman, 1982, p.11). 2. Executive leadership increases organizational performance (Ekaterini 2010, pp.14-16; Lichtenstein and Dade, 2007, pp.15-31; Kezar, Carducci and Contreras, 2006, p.15; Vries, Roe and Taillieu, 1998, pp.486-501; Cairns, 1996, p.115; Drucker 1973, p.18). **Position 2: Strategic management and executive leadership are not pre-requisites for improved organizational performance.** 1. Cognitive limits in strategic management and executive leadership (Nadkarni and Barr, 2008, pp.1395-1427; Fiol and O'Connor, 2003, pp.54-70; Bogner and Barr, 2000, pp.212-226; Daft, Sormunen and Parks, 1988, pp.123-139). 2. Motivational bias and "devious" reasoning in strategic management and executive leadership (Fiol and O'Connor, 2003, pp.54-70; Bogner and Barr, 2000,	**In line with position 2:** 1. Strategic management by executive leaders were biased as institutions and leadership "deviously" complied with demands of the provincial government and associated Management Control Systems in the higher education in Western Canada. 2. Strategic management by executive leaders were not interrelated with organizational performance in higher education in Western Canada.

pp.212-226; Daft, Sormunen and Parks, 1988, pp.123-139). 3. Impact of strategic management and executive leadership modest at best (Hatry, 2006, p.11; Crossland and Hambrick, 2007, pp.767-789; Podolny, Khurana and Hill-Popper, 2005, pp.1-36; Finkelstein and Hambrick, 1996, p.23).	

Contribution and significance of empirical outcome 2:

In line with position 2, resolution of empirical debate in the higher education industry in Western Canada with strategic management by executive leaders not increasing effectiveness and efficiency.

Empirical outcome 3:

Resolution of empirical debate on whether and how there was an interrelationship between strategy, executive leadership and organizational performance (i.e., strategic alignment) in a way that could be described and explained as being related to strategic Human Resources as opposed to transactional Human Resources.

Literature	Findings
Position 1: Human Resources as strategic partners. 1. Aligned succession management programs (Arnone, 2010, pp.27-28; Conlon and Smith, 2010, pp.53-55; Goleman, 2009, pp.78-90; Ohlott, 2004, pp.151-182; McCauley, Eastman and Ohlott, 1995, pp.93-115). 2. Aligned recruitment and development programs for executive leaders (Lamoureux, 2010, pp.38-39; Gupta and Wasylyshyr, 2009, pp.37-41; Albers-Mohrman and Worley, 2009, pp.431-443; Conger and Fishel, 2007, pp.442-454; Lawler and Worley, 2006, pp.1-5; Menkes, 2006, pp.51-56; Beer, 2001, pp.233-247). 3. Other Aligned management systems (Chaserio and Legault, 2009, pp.1113-1131; Mathis, Jackson and Zinni, 2008, pp.11-56). **Position 2: Human Resources as transactional department.** HR still needs to: 1. Become strategic.	**In line with position 2:** Human Resources in higher education in Western Canada needed to: 1. Become strategic. 2. Link people to profits. 3. Move away from transactional work.

| 2. Link people to profits (Stopper, 2010, pp.11-13; Becton and Schraeder, 2009, pp.11-18; Mathis, Jackson and Zinni, 2008, pp.11-56). | |
| 3. Move away from transactional work (Becton and Schraeder, 2009, pp.11-18). | |

Contribution and significance of empirical outcome 3:

In line with position 2, resolution of empirical debate in the higher education industry in Western Canada with Human Resources being transactional.

Theoretical outcome 1:

A central focus of the contingency theoretical framework was to describe and explain the impact of changes in external and internal strategic environment of the higher education industry on dimensions of governmental rules, competitive markets and organizational culture.

Literature	Findings
Theory:	**In line with theory:**
1. Higher education relies on rule-based, market-based or culture-based control systems depending on contingencies (Malni and Brown, 2008, pp.287-300; Portnoff, 2007, p.15; Berry *et. al.,* pp.2-20; Bakar and Berry, 1993, pp.55-63; Lebas and Weigenstein, 1986, pp.259-272; Ouchi 1980, pp.129-141).	1. Institutions relied on rule-based, market-based, or culture-based control systems in higher education in Western Canada.
2. Higher education follows contingencies (Malni and Brown, 2008, pp.287-300; Portnoff, 2007, p.15) with stronger emphasis on some control systems depending on contingencies (Lebas and Weigenstein, 1986, p.259).	2. Institutions followed contingencies in higher education in Western Canada.

Contribution and significance of theoretical outcome 1:

In line with theory, explanation of processes in the higher education industry in Western Canada with rule-based, market-based or culture-based control systems depending on contingencies.

Theoretical outcome 2:

A central focus of the contingency theoretical framework was to describe and explain the impact of changes in the higher education industry in Western Canada on the strategy, executive leadership and organizational performance (i.e., strategic alignment) with a mediating role played by Management Control Systems.

Literature	Findings
Theory: Higher education uses Management Control Systems (Berry *et. al.,* 2009, pp.2-20; Malni and Brown, 2008, pp.287-300; Anthony and Govindarajan, 2007, p.5; Radnor and Barnes, 2007, pp.384-396, Cameron and Quinn, 2006, p.23; Berry, Broadbent and Otley, 2005, p.6; Delery and Shaw, 2001, pp.67-78).	**In line with theory:** Institutions used Management Control Systems set up by the provincial government in higher education in Western Canada.
Contribution and significance of theoretical outcome 2: In line with theory, explanation of processes in the higher education industry in Western Canada with Management Control Systems.	
Theoretical outcome 3: A central focus of the contingency theoretical framework was to describe and explain the impact of changes in the higher education industry in Western Canada on the strategy, executive leadership and organizational performance (i.e., strategic alignment) with a mediating role played by a strategic Human Resources department.	

Literature	Findings
Theory: Higher education uses Strategic Human Capital Systems (Wright, Gardner, Moynihan and Allen, 2005, pp.409-446) for: 1. Recruitment (Conger and Fishel, 2007, pp.442-454; Spekle, 2001, pp.419-441; Snell and Dean, 1992, pp.467-504; Ouchi, 1980, pp.129-141). 2. Development (Conger and Fishel, 2007, pp.442-454; Spekle, 2001, pp.419-441; Snell and Dean, 1992, pp.467-504; Ouchi, 1980, pp.129-141).	**In contrast with theory:** Institutions did not use Strategic Human Capital systems for recruitment and development in higher education in Western Canada.
Contribution and significance of theoretical outcome 3: In contrast with theory, no possibility to explain processes in the higher education industry in Western Canada with Strategic Human Capital Systems.	

Contingency theoretical framework	
Preliminary contingency theoretical framework	**Contingency theoretical framework**
The preliminary contingency theoretical framework developed from the literature contained the following propositions: • Changes in the external and internal strategic environment of the higher education industry can be described and explained in terms of changes in governmental rules, competitive markets and organizational culture. • Strategic stance of higher education institutions, executive leadership and organizational performance can be described and explained as strategically aligned with a mediating role played by Management Control Systems. • Strategic stance of higher education institutions, executive leadership and organizational performance can be described and explained as strategically aligned with a mediating role played by Human Resources.	The contingency theoretical framework extracted from the data contained the following propositions: • Changes in the external and internal strategic environment of the higher education industry can be described and explained in terms of changes in governmental rules, competitive markets and organizational culture. • Strategic stance of higher education institutions, executive leadership and organizational performance can be described and explained as strategically aligned with a mediating role played by Management Control Systems. • Strategic stance of higher education institutions, executive leadership and organizational performance cannot be described and explained as strategically aligned with a mediating role played by Human Resources.