

HOW TO BREATHE LIFE INTO STANDARD IV RECOMMENDATIONS

Governance, Board & Standard IV

John Freitas, Los Angeles City College, ASCCC

Wanden P. Treanor, Trustee – College of Marin

Roberta Eisel, Citrus College, Facilitator

ASCCC Accreditation Institute

February 7, 2014

WHY IS ACCREDITATION IMPORTANT?

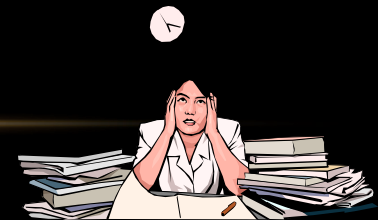
ACHIEVING AND MAINTAINING ACCREDITATION ASSURES:

- the public that the institution meets standards of quality
- that the education earned there is of value to the student who earned it
- that employers, trade or profession related licensing agencies and other colleges and universities can accept a student's credential as legitimate



WHY CARE?

- Accreditation enables colleges to qualify for federal Title IV financial aid for students and other federal grants and contracts
- Any level of sanction hurts the institution
- Any level of sanction negatively impacts students
- Students worry if the courses will transfer, students don't enroll, the community loses confidence, morale deteriorates



A BIT OF CONTEXT...

Trends in Deficiencies Leading to Sanction

- **2009 – 2013**
 - **Program Review**
 - **Planning**
 - **Internal Governance**
 - **Board**
 - **Financial Stability or Management**

Trends in Deficiencies Leading to Sanction

(ACCJC Newsletter, June 2013)

Colleges on Sanction	Program Review	Planning	Internal Governance	Board	Financial Stability or Management
2009 Sanctions (n=24)	71% (17)	92% (22)	46% (11)	46% (11)	54% (13)
2010 Sanctions (n=19)	68 % (13)	89% (17)	42% (8)	58% (11)	58% (11)
2011 Sanctions (n=21)	19% (4)	71% (15)	24% (5)	67% (14)	62% (13)
2012 Sanctions (n= 28)	21% (6)	71% (20)	18% (5)	71% (20)	50% (14)
2013 Sanctions (n=25)	28% (7)	64% (16)	20% (5)	68% (17)	52% (13)

Trends in Deficiencies Leading to Sanction

- ❖ The proportion of institutions with deficiencies in program review work has decreased considerable from 71% of those on sanction in 2009 to 19% of those on sanction in 2012, then increased to 28% in 2013.
- ❖ The proportion of institutions with deficiencies in planning practices has decreased somewhat from 92% of those on sanction in 2009 to 64% of those on sanction in 2013.
- ❖ Internal governance deficiencies have decreased from 46% of those institutions on sanction in 2009 to 20% of those on sanction in 2013.

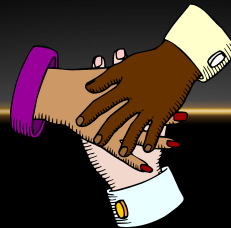
Trends in Deficiencies Leading to Sanction

- ❖ **Of most concern, the proportion of institutions with deficiencies in governing board practices has remained too high at 68% in 2013.**
- ❖ **The proportion of institutions on sanction with deficiencies in financial stability or management has remained at or slightly above 50% since 2009.**

(ACCJC Newsletter, June 2013)

LEADERSHIP ISSUES

- **Approximately 68% of all institutions on sanction in the Western Region have been cited for governing board issues**
- **Board issues can cause an institution to lose its accreditation**
- **If a board is unable or unwilling to correct its deficiencies, the Commission may terminate accreditation**



STANDARD IV: LEADERSHIP AND GOVERNANCE

The institution recognizes and uses the contributions of leadership throughout the organization for promoting student success, sustaining academic quality, integrity, fiscal stability, and continuous improvement of the institution.

Governance roles are defined in policy and:

- Facilitate decisions that support student learning programs and services and improve institutional effectiveness
- Acknowledge the designated responsibilities of the governing board and the chief executive officer
- Allow the governing board, administrators, faculty, staff, and students work together for the good of the institution.

STANDARD IV – 2012 UPDATE AND 2014 DRAFT REVISIONS

2012 Update

- Standard IV A – Decision-Making Roles and Processes
- Standard IV B – Board and Administrative Organization
 - IV B 1 - Governing Boards
 - IV B 2 – Presidents
 - IV B 3 – Multi-College Districts/Systems

2014 Draft Revisions

- Standard IV A – Decision-Making Roles and Processes
- Standard IV B -The Chief Executive Officer and
- Standard IV C – Governing Board
- Standard IV D – Multi-College Districts or Systems

STANDARD IVA: PARTICIPATORY GOVERNANCE IS GOOD PRACTICE

Effective leadership and governance:

- Recognizes talents and contributions of individuals regardless of position
- Encourages innovation and taking initiative
- Encourages collegial dialog for the common cause of student success



ROLES AND RESPONSIBILITIES OF CONSTITUENCIES IN DECISION-MAKING

From Standard IVA2 (Same in 2012 Revision and 2014 Draft)

- Written policy authorizing administrator, faculty, and staff participation in decision-making is established and practiced. (Aligns with Title 5 §51023, 51023.5, 53200)
- Consideration of student views and judgments in those matters in which students have a direct and reasonable interest is included. (Aligns with Title 5 §51023.7)
- Manner in which individuals bring forward ideas to committees and work together is specified.



ROLES AND RESPONSIBILITIES OF CONSTITUENCIES SHOULD BE CLEAR

- **Education Code and Title 5 Regulations**
 - **Minimum requirements for participatory governance in districts (EC 70902, CCR Title 5 51203, 51023.5, 51023.7, 53200, for example)**
- **Board policies and administrative procedures**
 - **Establish local participatory governance roles of constituencies**
 - **May include academic senate, classified senate and student senate agreements**



ROLES AND RESPONSIBILITIES OF CONSTITUENCIES SHOULD BE CLEAR

- **Governance Handbooks**

- Defines the constituencies and their roles in college participatory governance



- **Collective bargaining agreements**

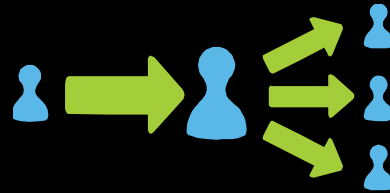
- May include contractual requirements for representation on committees and additional participatory governance requirements



FACULTY AND ADMINISTRATORS SHARE THE PRIMARY ROLES

Standard IVA3 (IVA2a)

- Administrators and faculty have a substantive and clearly defined role in institutional governance and exercise a substantial voice in institutional policies, planning, and budget that relate to their areas of responsibility and expertise.



Standard IVA4 (IVA2b)

- Faculty and academic administrators, through well-defined structures and processes, have responsibility for recommendations about curriculum and student learning programs and services.

(Compare to the 10 + 1!)

FACULTY ACADEMIC AND PROFESSIONAL MATTERS

THE 10 + 1 AND STANDARD IVA

- 1) curriculum, including establishing prerequisites and placing courses within disciplines (IVA4)
- 2) degree and certificate requirements (IVA4)
- 3) grading policies (IVA3)
- 4) educational program development (IVA4)
- 5) standards or policies regarding student preparation and success (IVA4)
- 6) district and college governance structures, as related to faculty roles (IVA2)
- 7) faculty roles and involvement in accreditation processes, including self-study and annual reports;
- 8) policies for faculty professional development activities;
- 9) processes for program review (IVA3)
- 10) processes for institutional planning and budget development (IVA3); and
- 11) (the so-called “+1”) other academic and professional matters as are mutually agreed upon between the governing board and the academic senate.



GOVERNANCE STRUCTURE MUST BE CLEARLY DEFINED AND DOCUMENTED

- **Governance handbook**
 - Should be approved by Academic Senate and College Council
 - Clear and accessible
 - Everyone should be familiar with it
- **Definitions and roles of governance bodies**
 - Committee purpose, charge, and membership
 - Clear distinction between Academic Senates, College Councils, Classified Senates

GOVERNANCE STRUCTURE MUST BE CLEARLY DEFINED AND DOCUMENTED

- **Clear description of decision-making process**
 - How are proposals initiated? Who gets to do this?
 - How are decisions made?
 - Is it broadly understood?
 - Are decisions documented and widely communicated?
 - Are processes assessed regularly and are improvements made? Is this widely communicated?
 - Evidence? Committee charters/operating agreements, minutes/meeting reports, committee assessments, signed recommendation forms



DECISIONS TO ACTION

Standard IVA5 (Formerly IVA3)

- **Through its system of board and institutional governance, the institution ensures the appropriate consideration of relevant perspectives; decision-making aligned with expertise and responsibility; and timely action on institutional plans, policies, curricular change, and other key considerations.**

Standard IVA6 (New!)

- **The processes for decision-making and the resulting decisions are documented and widely communicated across the institution.**
-

DECISIONS TO ACTION



- **Questions to consider**
 - **Are processes followed and decisions made for the good of the institution and its students? Or is it process for the sake of process?**
 - **Are decisions widely communicated, documented and understood? Are they implemented? Do they result in institutional improvement?**

SUCCESSION PLANNING IS IMPORTANT!

In 2009, L.A. City College received the following recommendation:

In order to increase institutional effectiveness, the team recommends that the college engage in succession planning to increase leadership capacity, institutional consistency, and employee involvement and engagement.

SUCCESSION PLANNING

- **The dilemmas**
 - **Veteran leadership or new blood?**
 - **Appropriate turnover**
 - **Precipitous change**
 - **Sense of entitlement**
 - **Apathy**
-

SUCCESSION PLANNING

What L.A. City College did

- **Drafted a governance handbook (still a work in progress, but it didn't exist before)**
- **Instituted standardized committee operating agreements with emphasis on actions taken**
- **Instituted annual committee assessments**
- **Improved web posting practices (committee documents)**
- **Initiated committee chair training**

GOVERNANCE REQUIRES GOOD LEADERSHIP

- **Governance structures and processes need to work regardless of the people involved, but effective governance requires effective leadership**
 - **Veteran leaders must identify, encourage and nurture new leaders...and then know when to step aside**
-

ASCCC LEADERSHIP RESOURCES

- Annual Faculty Leadership Institute (June 10-12, San Diego)
 - <http://asccc.org/events/2014/06/faculty-leadership-institute-2014>
- Fall and Spring Plenary Sessions – Spring session April 10-12, SFO Westin
 - <http://asccc.org/events/2014/04/2014-spring-plenary-session>
- ASCCC Publications – Position papers, *Rostrum* articles
 - <http://asccc.org/publications>
- Technical Assistance (Jointly with the CCLC) – designed to prevent/solve problems
 - <http://asccc.org/services/technical-assistance>

THE CHIEF EXECUTIVE OFFICER (NEW STANDARD IV B, FORMERLY IV B 2)

The institutional chief executive officer (CEO) has primary responsibility for the quality of the institution. The CEO provides effective leadership in

- Planning
 - Organizing
 - Budgeting
 - Selecting and developing personnel,
 - Assessing institutional effectiveness.
-

WHAT IS EVALUATED UNDER STANDARD IV?

- **Leadership, governance**
- **Understanding the role of the trustee**
- **Understanding the responsibility to provide leadership**
- **Policy development**
- **Evaluation**
- **Good stewardship**



STANDARD IV C (FORMERLY IV B1): THE GOVERNING BOARD

The Governing Board is Responsible for

- **The (Educational) quality, integrity & financial stability of the institution**
- **Assuring that the institution's mission is being carried out**

THE BOARD IS NOT A CITY COUNCIL

- **Board members must operate in the best interest of the overall institution**
- **DO NOT operate in response to special pleaders if those interests are not aligned with the basic mission, direction and resources of the institution**
- **The Board's job is to focus on achieving educational effectiveness within the bounds of the institution's mission and available resources**
- **NO single board member has authority; the board as a body has authority**
- **A college board member should be a careful steward of higher education quality and integrity, and champion of student achievement and student learning**

THE COMMISSION EMPHASIZES:

- **The *policy role*** of boards, which means stewardship and oversight, i.e. the Big Picture, and the Long View
- **Measurable standards** and a focus on results.
- Coordination rather than silos; formal, integrated, and "transparent" planning;
- **Ethical conduct**
- Strategic thinking, **focus on data and results**, robust research, and diligent follow through

EXAMPLES OF STANDARD IV BOARD RECOMMENDATIONS

In order to meet the Standard, the Board of Trustees shall complete an analysis of its self assessment pursuant to Board Policy and **formally adopt expected outcomes and measures for continuous quality improvement** that will be assessed and reported as a component of the immediately succeeding self-assessment.

(current IV B.l.g)

ANOTHER EXAMPLE..

The Board of Trustees shall assess its actions in relation to its policy making role and **implement a program for ongoing Board member professional development to enhance and improve the demonstration of its primary leadership role** in assuring the quality, integrity, and effectiveness of the student learning programs and services delivered by the District.

(current IV A.3, IV B.1. e-g)

ANOTHER EXAMPLE..

District shall document evidence that a review of District Policies and Procedures that may impede the timely and effective operations of the departments of the colleges has taken place and that appropriate modifications are made that facilitate the **operational effectiveness of the colleges. A calendar that identifies a timeline for the regular and consistent review of policies** shall be developed.

(current IV B.1.e)

QUESTIONS ASKED



Standard IV B - Board and Administrative Organization

- Do the records of board actions (minutes, resolutions) indicate that it acts consistent with its policies and bylaws?
- Does the board have a system for evaluating and revising its policies on a regular basis? Is this system implemented?
- What is the board's program for development and orientation?

QUESTIONS ASKED



Standard IV B - Board and Administrative Organization

- What is the board self-evaluation process as defined in its policies? Does that process as described likely to be an effective review?
- Does the policy call for **regular self-evaluation? Does the institution's board regularly evaluate its own performance?**

QUESTIONS ASKED



Standard IV B - Board and Administrative Organization

- What kinds of training are provided to the board about the accreditation process, and Commission standards?
 - How does the board participate appropriately in institutional self-study and planning efforts?
-

QUESTIONS ASKED



- How do board actions, including planning and resource allocation, indicate a commitment to improvements planned as part of institutional self-evaluation and accreditation processes?
 - How do board actions reflect the commitment to supporting and improving student learning outcomes as reflected in the Accreditation Standards and expectations for institutional improvement?
-

QUESTIONS ASKED



Standard IV B - Board and Administrative Organization

- Is the board informed of institutional reports due to the Commission, and of Commission recommendations to the institution?
- Is the board knowledgeable about Accreditation Standards, including those that apply to the board?
- Does the board assess its own performance using Accreditation Standards?

QUESTIONS ASKED



Standard IV B - Board and Administrative Organization

- How is the board delegation of administrative authority to the chief administrator defined? In policy documents? In a contract with the chief administrator?
 - Is this delegation clear to all parties?
-

QUESTIONS ASKED



- How effective is the board in remaining focused at the policy level?
 - How does the board set expectations for sufficient information on institutional performance to insure that it can fulfill its responsibility for educational quality, legal matters, and financial integrity?
-

QUESTIONS ASKED



Standard IV B - Board and Administrative Organization

- What mechanisms does the board use in its evaluation of the chief administrator's performance on implementation of board policies and achievement of institutional goals?
- How does the board set clear expectations for regular reports from the chief administrator on institutional performance?

QUESTIONS ASKED



Standard IV B - Board and Administrative Organization

- What is the board's stated process for dealing with board behavior that is unethical? Is there any track record of the board implementing this process?

- What was the result?

EVALUATING THE SELF EVALUATION REPORT

- Regarding previous recommendations- provide **evidence** the institution fully addressed the recommendations
- The evaluation team should verify that the **evidence** referenced in the Self Study Report demonstrates that the institution meets or exceeds the Accreditation Standards and that the institution is achieving its educational goals and objectives
- Provide **evidence** that systematic and effective institutional planning and evaluation are being incorporated into institutional decision-making

EVIDENCE FOR DECISION- MAKING ROLES AND PROCESSES

- Institutional statement of mission
- Institutional vision or philosophy
- Institutional planning documents
- Policy Manual



EVIDENCE -B. BOARD AND ADMINISTRATIVE ORGANIZATION

- Board minutes
- Materials from board training workshops
- Board's policy and instruments used for self evaluation
- Analyses and reports on the last few self-evaluations completed



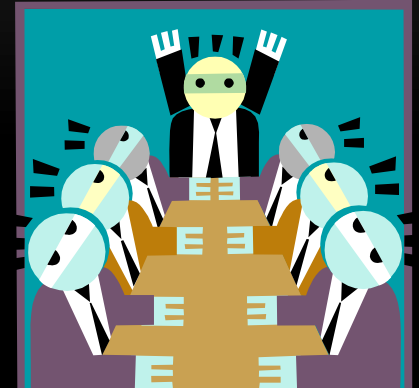
EVIDENCE -B. BOARD AND ADMINISTRATIVE ORGANIZATION

- Contracts with administrators that specify delegation of authority
- Board agreements with faculty bodies regarding delegation of authority
- Statements to college constituents on this delegation of authority
- Board policy statement of ethics



EVIDENCE -B. BOARD AND ADMINISTRATIVE ORGANIZATION

- Financial policies and manuals
- Internal audits and reviews
- Annual independent external audits
- Fiscal program reviews conducted by other agencies
- Annual budget documents



EVIDENCE -B. BOARD AND ADMINISTRATIVE ORGANIZATION

- District's evaluation instruments
- Results of the evaluation
- Plans for improvement
- Results of surveys, other evaluations of the president's activities directed toward the communities served



EXAMPLE OF COMMENTS ABOUT BOARD CONDUCT:

- ***Deliberate with due diligence and make timely decisions that are in the best interests of the institution***
- ***Act as a whole and adhere to board policy once a decision has been made***



TRUSTEE CONDUCT ALONE

The following comment concerned the conduct of one Trustee that caused the District to be placed on Show Cause:

" a particular board member's disruptive and inappropriate behavior, (it is) the entire board's responsibility to address and curtail it."

A CONSULTANT'S VIEW ..

- The preceding comments are indicative of the Commission's concern that the Board has difficulty doing its homework, keeping its eyes on-the prize, and getting along with each other
- **If problems such as this are not firmly addressed, the college can lose its accredited status**



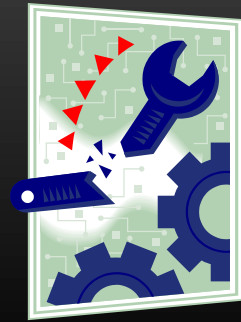
THE BOARD MUST DEAL WITH INEFFECTIVE OR DISRUPTIVE TRUSTEE CONDUCT

The preceding quote regarding a disruptive trustee was addressed head-on by that District's Board.

THE RESULT:

The District went from Probation to full accreditation following a mid term report.

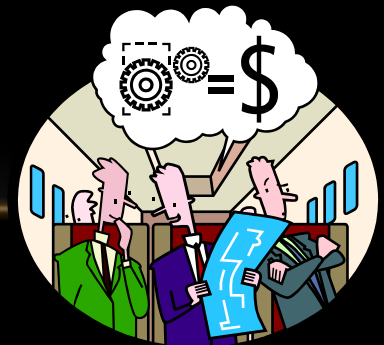
KEY CONCERNS



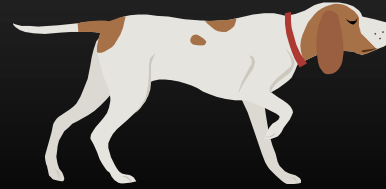
- Sorting out the roles of boards and CEOs is an ongoing concern of the Commission
 - Tensions about authority undermine a college's ability to plan effectively, leading to personal exchanges
 - Disrespect of the CEO in public reduces the CEO's ability to function effectively and contributes to administrative turnover, leading to instability
-

BOARD DYSFUNCTIONS

- ACCJC's analyses show that governing board difficulties provide opportunities for other organizational deficiencies to emerge or to go unaddressed
- Negatively impacts an institution's adherence to good practices
- Reduces likelihood of maintaining educational quality or even fiscal viability



ACCJC TIPS TO PREVENT BOARD DEFICIENCIES



- Get early training and regular re-training for every Board member
 - Get clear on the policy role of Governing Board Members
 - Adopt and enforce strong policies on Ethics and Conflict of Interest
-

ACCJC TIPS



- Pay serious attention to external financial and accreditation reports
- Think short and long range in adopting the Institution's fiscal plans
- Actively review and adapt the institutional Mission Statement
 - That review should ensure that the institution examines the effectiveness of the educational learning programs and services the mission statement promises to provide, and **wisely use, its resources in achieving that mission.**

HOW TO BREATHE LIFE INTO STANDARD IV RECOMMENDATIONS

- Don't run and hide
- Boldly tackle the issues
- Embrace the opportunities to ensure institutional & board self-improvement



HELPFUL PUBLICATIONS

- *Eligibility Requirements, Accreditation Standards (note: draft revisions available for comment)*
- *Guide to Evaluating Institutions*
- *Accreditation Reference Handbook*
- *Team Evaluator Manual*
- *Guide to Accreditation for Governing Boards*
- *Guide to Evaluating Distance Education and Correspondence Education*
- *USDE update for External Evaluation Teams, Spring 2013*
- Rubric for Evaluating Institutional Effectiveness

ACCJC website: <http://www.accjc.org/>

THANK YOU

NOW IT'S YOUR TURN

