Effective Trusteeship Workshop

West Kern CCD
May 13, 2015
Effective Trustee Practices

- Trusteeship
- Policy Development
- Accreditation
- Student Success
- Governance Q & A
Your Commitment

- Contribute to the effective functioning of the board
- You are “always” a trustee
- You represent and serve the community at large, the public good
- Be willing to uphold principles of effective trusteeship
What Makes a Board Successful

- Regular Member Attendance
- A Virtuous Cycle of Respect, Trust & Candor
- Fostering a Culture of Open Dissent
- Ensuring Individual Accountability
- Self-Evaluating the Board
Standards of Practice

- All boards must have a code of ethics and policies on conflict of interest
  - Know and abide by your board’s code of ethics, code of conduct, and protocols for board behavior
  - Policy must contain how to address violations
  - Be aware of and disclose potential conflicts of interest
Red Flag Raisers

- “Rogue” or “renegade” behavior.
- Media Finger Pointing
- Political Agendas
- Lack of Preparation
How to Solve Difficult Problems

- Pay Attention to how you speak & listen.
- Speak up when appropriate – be engaged.
- Remember you do not have all the truths.
- Engage with and listen to your colleagues.
- Listen with empathy.
- Listen to all sides & reflect on other views.
- Stop Talking and think.
- Reflect on your own role on the Board.
- Be fully present and relaxed.
Tips for Effectiveness

- Build trust
- Listen first
- Be patient
- Respect different opinions
- Speak in the affirmative
- Drop the ego

- No personal agendas
- No pride of authorship
- Hold yourself and others accountable
The Board is **NOT** there to do

- The board determines the **WHAT**
  - Broad policy goals and outcomes

- The board ensures that the **DOING** is done by others...
  - Produces the desired outcomes
Policy, Practices, & Protocols
Policy Role

- Policy is the board’s voice
- Policy fulfills the board’s role
- Ensures districts comply with law
- Three general categories of policies
  - Policy direction: broad district goals
  - Standards for college operations
  - Governing board process
Policy Direction & Goals

- A key Board responsibility

- Define the benefit students and community should receive from the college
  - Global student learning outcomes; student success

- Part of institution-wide planning processes

- Frame district strategic and long-range plans
College Operations Policies

Adopt policies that require.

- Legal, prudent and ethical operations
- Fiscal health and stability
- High quality staff and fair personnel practices.
- Fair treatment of students and standards of performance
- Institutional planning and review
Governing Process Policies

- Are the most extensive and detailed board policies
- Address topics such as:
  - Governing philosophy and values
  - Board meetings
  - Board structure and officers
  - Participation in decision-making
  - Code of ethics & conflicts of interest
  - Board development
  - Communication protocols
- Delegation to the Chief Executive
Delegation to CEO

Policy Example
- The Chief Executive Officer is accountable to the board acting as a body. The board directs the chief executive through written policies, delegating to him or her reasonable interpretation and implementation of those policies.
Difference between Policy and Procedures

- **Policy defines the “what”**
  - broad goals & expected outcomes
  - standards of prudence and ethics

- **Procedures define the “how”**
  - The “doing” by college employees
  - Developed by college staff; approved by the CEO

- Focusing on policy helps boards avoid micromanagement
Monitor Policy Implementation

- Progress toward the mission and goals
  - Meet institutional effectiveness and accountability expectations
- Adherence to policy standards for college operations
  - Periodic internal reports
  - External evaluation (e.g. audits & accreditation)
- Governing Process/Board Policies
  - Board self-evaluation
The Purposes of Regional Accreditation

- Provide quality assurance to the public, to students, to other institutions that an institution is achieving its stated mission
- Give credibility to degrees and credentials awarded to students
- Stimulate institutional improvement through evaluation, planning, implementation and evaluation again
The Quality Assurance Purpose of Accreditation

- Conduct regular reviews of quality (six-year cycle) through a comprehensive evaluation
- Monitor certain aspects of institutional quality (USDE Regulations)
  - Student Achievement/Institutional Effectiveness
  - Substantive Changes/Distance Learning
  - Financial Integrity/Financial Aid Issues
  - Integrity in Relation to Students, the Public
- Inform the USDE, Students the Public of Results
- Evaluation reports and visits as needed
The Improvement Purpose of Accreditation

- The accreditation process is designed to help institutions focus on helping students learn what they are supposed to learn, and to complete courses, certificates, degrees, and transfer or get jobs.

- The accreditation process builds institutional capacity for educational excellence and institutional effectiveness that produces desired forms of student success.
What is the Process for Comprehensive Review?

- Institutional self evaluation
- External evaluation by professional peers
- Commission evaluation -- the body of 19 Commissioners renders a judgment on the accreditation status of the institution
- A decision on accredited status
- Institutional Improvement if needed

A Six-Year Cycle of Review (Seven year cycle, beginning 2016)
Who Are the Commissioners?
Peers and the Public

- 5 Faculty from Member Institutions
- 3 Administrators from Member Institutions
- 1 from California Community Colleges System
- 1 from Pacific Institutions
- 1 from University of Hawaii System
- 1 ACSCU and 1 from ACS
- 1 from the private Member Institutions
- 5 representing the public
What are the Accreditation Standards?

- **Standard I: Mission, Academic Quality and Institutional Effectiveness and Integrity**
  - Data-driven assessment and improvement, focus on learning
    - Requirement that an institution set standards for student achievement

- **Standard II: Student Learning Programs and Support Services**
  - Instructional, Support and Learning Services, focus on learning and student outcomes

- **Standard III: Resources**
  - Deployment of resources toward achievement of mission, fiscal integrity maintained to insure continued operation

- **Standard IV: Leadership and Governance**
  - Leadership to focus institution on mission and student success, roles of governance structures, CEO and governing board
Important Ideas Embedded in the Standards

- Focus on achieving institutional mission, avoiding diversion to other purposes
- Integrity and honesty in institutional policies and actions
- Focus on student outcomes – completion of meaningful education, learning, demonstrable knowledge and skills
- Metrics and evidence used to assess institutional quality
- Ongoing internal Quality Assurance Practices
- Continuous improvement for high performance
Key metrics, or measures, must be identified by the institution to assess achievement of institutional mission

- These may be mission specific/ are related to the institution’s set of educational programs
- There should be data over five years prior to the Institutional Self Evaluation Report
- Institution should set standards, and goals or benchmarks, for student outcomes
- Institutional performance on key metrics should be examined regularly and used for decision making at the institution

The Accreditor must review these data/standards
Metrics: ACCJC Measures

- Common measures of institutional effectiveness include:
  - Course completion
  - Enrollment in next course in sequence
  - Completion of sequences, certificates, degrees
  - Graduation, transfer, job placement*
  - Student learning of general skills and knowledge areas broadly applicable to life and work* -- degree SLOs
  - Student learning of specific skill sets* and knowledge associated with the area of study - program SLOs

*Federal and national pressures are strong in this area.
Are Institutions Expected to Meet All Accreditation Standards at All Times?

- Member institutions agree to adhere to Accreditation Standards at all times when they seek initial accreditation – Eligibility Requirement 21

- Institutions should have ongoing internal quality review and quality improvement processes – program review, planning, implementation of changes, assessment of learning outcomes, evaluation of institutional effectiveness

- Six–year cycle of accreditation checks on what should be ongoing institutional practices to review and improve quality
If the Institution is found to be Non-Compliant with the Standards, how long may it take to Comply?

- Federal regulations require accreditors to terminate accreditation if an institution has not complied in two years.
- Commission works with institutions as they improve, and can extend the time allowed for “good cause”
  - Accreditation team recommendations and institutional plans for improvement work together.
- Accréditor’s recognition is threatened by non-compliant institutions.
## ACCJC Data on Sanctions – 5 years

### Five-Year Trend - Colleges on Sanction January 2010 - January 2014

**Top Deficiencies Causing Sanctions**

<table>
<thead>
<tr>
<th>Colleges on Sanction</th>
<th>Program Review</th>
<th>Planning</th>
<th>Internal Governance</th>
<th>Board Roles &amp; Responsibilities</th>
<th>Financial Stability or Management</th>
<th>Student Learning Outcomes Implementation</th>
<th>Employee Evaluation</th>
</tr>
</thead>
<tbody>
<tr>
<td>2010 Sanctions (N=19)</td>
<td>68% (13)</td>
<td>89% (17)</td>
<td>42% (8)</td>
<td>58% (11)</td>
<td>58% (11)</td>
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<tr>
<td>2011 Sanctions (N=21)</td>
<td>19% (4)</td>
<td>71% (15)</td>
<td>24% (5)</td>
<td>67% (14)</td>
<td>62% (13)</td>
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<tr>
<td>2012 Sanctions (N=28)</td>
<td>21% (6)</td>
<td>71% (20)</td>
<td>18% (5)</td>
<td>71% (20)</td>
<td>50% (14)</td>
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<tr>
<td>2013 Sanctions (N=25)</td>
<td>28% (7)</td>
<td>64% (16)</td>
<td>20% (5)</td>
<td>68% (17)</td>
<td>52% (13)</td>
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<tr>
<td>2014 Sanctions (N=16)</td>
<td>37.5% (6)</td>
<td>87.5% (14)</td>
<td>31% (5)</td>
<td>37.5% (6)</td>
<td>50% (8)</td>
<td>75% (12)</td>
<td>62.5% (10)</td>
</tr>
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Roles and Responsibilities of Trustees

and

Advice for Board Excellence and Examples
Advice: Trustees Have Two Challenges

1) Mission Directed Leadership, and

2) High Performance of the Board and Institution

Setting standards of excellence and measuring performance linked to the District’s goals will help meet both challenges. To perform well Trustees must be accountable as well as hold others accountable.
Measuring Performance

- The Board leads the College – the Board representing the entire community establishes the mission and vision for the College and from that mission, staff develops the strategic goals and methods of achieving them. The respective roles of board and college staff are iterative, the final mission and vision must be approved by the Board.

- The Board must then assure itself that the College goals are achieved (as an example, the 2012 target date for the completion of the SLO process as required by ACCJC).

- Focus on the “what” not the “how.”
Accountability Responsibilities

- Coordination with Strategic Plan / Mission and Vision – how does the Board know mission and goals are being achieved?

- Process / Frequency / Accountability – how often and when in the planning cycle is the board given data and analyses?

- Focus on reliable data, trends and lagging & leading indicators not stories / anecdotes/feelings – systematic program review data, institutional summative data

- Ethical Behavior – apply expectations to all programs, transparency
Importance of College Planning Documents

Sample Planning Documents that must fit together to help organize and direct college efforts:
- The Mission and Vision of the College.
- The College’s Strategic Plan and Educational Master Plan
- The Facilities Master Plan, a Technology Master Plan, and Annual Budget.
- Unit Plans and Program Plans

How do college plans “roll up” to District plans? How do District priorities “roll down” to colleges?

How does the Board hold the College accountable to assure compliance and timeliness?
Defining Mission, Assuring Achievement

The institution's educational mission is clearly defined, adopted, and published by its governing board consistent with its legal authorization, and is appropriate to a degree—granting institution of higher education and the constituency it seeks to serve. The mission statement defines institutional commitment to student learning and achievement.

Eligibility Requirement #6 and Standard I.A.
Advice: Review of Mission and Effectiveness

- The Board should regularly review institutional effectiveness data at multiple levels, the institution and the program(s).

- The review of mission should answer the questions, “How effectively is our institution(s) achieving its stated mission?”

- The Board should consider plans for change in educational programs as it sets institutional plans and goals, and annual and multiple year resource allocation plans (i.e., budgets).
The governing board is responsible for the quality, integrity and financial stability of the institution and for ensuring that the mission is being carried out and is achieved.

- The mission of a college is student achievement and student learning!

The governing board is responsible for ensuring that the financial resources of the institution are used to provide a sound educational program.

Eligibility Requirement #7 and Standard IV.C.1.
Institutions recognize the designated responsibilities of the governing board for setting policies and of the chief administrator for the effective operation of the institution.

The institution has a governing board responsible for setting policies to assure the quality, integrity and effectiveness of the student learning programs and services and the financial stability of the institution.

Standard IV.C.5
Policy Governance

- The governing board establishes policy to assure the quality, integrity and effectiveness of the student learning programs and services, and the financial stability of the institution.

- The governing board has ultimate responsibility for educational quality, legal matters and financial integrity.

- The governing board publishes its bylaws and policies, and keeps them current.

Standard IV.C.1.
The governing board has a program for board development and new member orientation.

The governing board has a self evaluation process for assessing board performance, and implements it.

The governing board has a code of ethics that includes a clearly defined policy for dealing with behavior that violates the code.

The governing board is informed about and involved in the accreditation process.

Standards IV.C.6–13
Advice: Board Evaluations

- Performed annually / timely review of results / establishment of goals / corrective actions.
- Watch out for conflicts of interest and poor preparation by Board members.
- More specifically, Boards must recognize which Trustees need help, and then provide the help through mentoring, education, coaching, establishing ground rules, and enforcing state and local laws, policies, regulations and ground rules.
- Only the Board can regulate its members!
Responsibility of Trustees: Wise Use of Resources to Achieve Mission

- Financial Resources are sufficient to support student learning programs and services and to improve institutional effectiveness.
- The distribution of resources supports the development, maintenance and enhancement of programs and services.
- The institution plans and manages its financial affairs with integrity and in a manner that ensures financial stability.
- The level of financial resources provides a reasonable expectation of both short term and long term financial solvency.
- Financial planning is integrated with institutional planning.

Standard III.D.
Good to Great

- Good Boards assure that the College’s mission is periodically re-evaluated and is adequately funded.
- Good Boards protect their core mission by not creating potential unfunded liabilities for the College.
- Great Boards assure their policies and budget allocations are linked and correspond to the educational priorities in the College’s Missions and Strategic Plans.
Responsibility of Trustees: Financial Integrity

- To assure the financial integrity of the institution and responsible use of its financial resources, the financial management system has appropriate control mechanisms and widely disseminates dependable and timely information for sound financial decision making.

- Financial documents, including the budget and independent audit, reflect appropriate allocation and use of financial resources to support student learning programs and services. Responses to external audit findings are timely and comprehensive.

Standard III.D.4–10
Advice: Budget Policy & Monitoring

- **Budget Approval (Policy Adoption)**
  - Balanced
  - Focused on Student Success / College Goals
  - Long Term / Multi-year Impacts

- **Monthly / Quarterly Financial Performance Reports**
  - Follows approved budget / Reports on benchmarks
  - Identifies potential fiscal issues

- **Annual Financial Audits**
  - Provides budgetary accountability
  - Assure staff respond timely to any audit findings
Responsibility of Trustees: Coherent Action and Direction

- Once the board reaches a decision, it acts as a whole. It advocates for and defends the institution and protects it from undue influence or pressure.

- The governing board has ultimate responsibility for educational quality, legal matters and financial integrity.

- The governing board has a program for board development and new member orientation, and a mechanism for providing continuity of membership and staggered terms of office.

Standard IV.B.
Responsibility of Trustees: Integrity in Board Operations

- The governing Board publishes board bylaws and policies specifying the board’s size, duties, responsibilities, structure, and operating procedures (e.g., Robert’s Rules, Brown Act, etc.)
- The governing board acts in a manner consistent with its policies and bylaws, and evaluates and revises its own practices as needed
- The governing board’s self evaluation processes are clearly defined, implemented, and published
- The board has a code of ethics and a policy for dealing with behavior that violates the code (The board members are willing to require proper behavior of their colleagues.)

Standard IV.B.
Role of Trustees: Partnership with the CEO

- The governing board has the responsibility for selecting and evaluating the college CEO.

- The governing board delegates full responsibility and authority to the chief administrator to implement and administer board policies \textit{without board interference} and holds the CEO accountable for the operation of the college.

\textit{Standard IV.B.}
Advice: The Board / CEO Team

- Build Trust between the Board & the CEO
- Avoid Public Conflict – Be Respectful (Prevent a hostile work environment)
- Expect & Provide Commitment to Board decisions
- Hold the CEO Accountable
- Focus on Results
- Maintain Open Communication
- The CEO is not only an employee but also a team member!
Summary

- Work as a Team with CEO and with BOT
- Build trust, avoid destructive conflict, provide commitment, be accountable, and focus on retaining the College’s accreditation.
- Act with intelligence, respect, care, and integrity
- Base decisions on data not stories
- Be future-oriented
- Represent the entire community / not single interests.
ACCJC Publications of Interest to Governing Boards

These publications, and other valuable resources, are available online at: www.accjc.org

- Guide to Evaluating Institutions
- Guide to Accreditation for Governing Boards
- Accreditation Basics (online course)
- ACCJC NEWS Newsletters
- Manual for Institutional Self Evaluation
  - General Information about Accreditation
  - Role of CEO is articulated
Trustee Role in Student Success
What is Student Success?

- Mission of college focused on learning
- Students set and accomplish goals
- Educated citizens
- Skilled employees/employers
- Degrees and certificates
- Literacy
- What is success to your board?
Challenges for Trustees

1) Mission Directed Leadership, and
2) High Performance/Educational Effectiveness

- Setting standards of excellence and measuring performance linked to the District’s mission will help meet both challenges.
- To perform well, trustees must be prepared for Board meetings.
Effective Board Leadership

• Ensure district fulfills mission
  • Evaluate that students goals achievement
• Provide visible, persistent leadership
  • expect a strategic focus on access, equity and student success
• Define and distinguish the role of the CEO and Board
• Ensure that programs and services align with student and community needs and state/federal expectations
Effective Board Leadership

- Expect and engage faculty in achieving student success
- Identify and support strategies and programs that foster student success
- Foster a culture of evidence
  - Expect and use data in decision-making
  - Have “courageous conversations”
- Set a tone that supports innovation and improvement
Policy Direction from Board

- Responsible for district policy
- Define the benefit (success) that students and community should receive from the college (first through mission statement)
- Respond to community needs and future trends
- Mission and policies frame district strategic and long-range plans
Board Policy on Student Success?

- Defines board role and accountability for student success
- Defines broad student success goals
- Defines delegation to the CEO, particularly related to student success in planning and budgeting
- Establishes expectations for involvement of faculty and others in student success
- Establish expectations, standards, and perhaps a schedule for monitoring student success
- Evolves through participatory decision-making process
Broad Student Success Goals

• Access & Equity:
  – The District ensures access to higher education. The demographics of the student population reflect the demographics of the community.
  • Some Measures: Who attends, Participation rates

• Basic Skills:
  – Students have the broad literacy skills needed to function well in college and as a citizen
  • Some measures: Course completion and persistence in basic skills; transition to college level courses
Broad Student Success Goals

- **Workforce Development**
  - Students will have the workforce skills necessary for employment at a family-wage level.
    - Some measures: Employment rates; employer satisfaction

- **Transfer**
  - Students will have the courses and skills necessary to succeed at transfer institutions.
    - Some measures: transfer rates and success

- **Economic Development**
  - The community will have a vital, healthy economy and strong workforce.
    - Some measures: Training partnerships with business; success rates, economic impact
Broad Student Success Goals

• Citizenship
  – Students will have the knowledge and skills needed to succeed in and contribute to a global community, and to exercise their rights and responsibilities as citizens.
    • Some measures: Service learning; student survey reports

• Diversity
  – Students have the skills and awareness required to live in a diverse and global society; the community reflects a spirit of tolerance and inclusiveness
Two Approaches to Data

• Cohort tracking looks at a group of students over time, e.g. three years
  – All first time students”
  – All students who indicate transfer as a goal,
  – All students receiving financial aid
  – all students enrolled in developmental education

• Snapshot data reflects at a particular point in time
  – ARCC report
Common measures of effectiveness include:

- Course completion
- Enrollment in next course in sequence
- Completion of sequences, certificates, degrees
- Graduation, transfer, job placement
- Student learning of general skills and knowledge areas broadly applicable to life and work* -- degree SLOs
- Student learning of specific skill sets* and knowledge associated with the area of study – program SLOs

*Federal and national pressures are strong in this area.
What Boards Can Do

- Engage in discussions related to student success at every board meeting
- Educate themselves about student success (national and state trends, laws, accreditation standards, college initiatives)
- Learn about and use available data and information and their use as evidence in decision-making.
  - Agenda items, workshops and study sessions. Reading and conferences.
What Boards Can Do

- Set broad goals
  - Expect that planning focuses on student success and that it is a long-term priority.
  - Expect campus-wide commitment to student success
  - Adopt policies related to board’s responsibility for student success, evaluation of mission, goals and policies, definitions of/expectations for student success, and improvement,
  - Expect CEO is dedicated to student access and success
Your Accountability Responsibilities

- Process / Frequency / Accountability
- Focus on data such as lagging and leading indicators, not stories and feelings
- Coordination with strategic plan / mission and vision
- Ethical leadership and behavior
Measuring Performance

• How does the Board assure itself that the District is fulfilling its mission and meeting its goals?

• Focus on the what not the how.
Contact Information

John Nixon, Ed.D. Associate Vice President, ACCJC
jnixon@accjc.org, 714–915–0853
Community College Web Sites:

- Community College League of California: www.ccleague.org
- Association of Community College Trustees: www.acct.org
- California Community College Chancellor’s Office: www.cccco.edu
- Association of Governing Boards: www.agb.org
- Complete College America: www.completecollege.org
- Campaign of College Opportunity: www.collegecampaign.org
- Inside Higher Education: www.insidehighered.com
- Institute for Higher Education Leadership & Policy: www.csuc.edu/ihelp
- Board Source: www.boardsource.org
- Calif. Education Collation for Health Care Reform: www.ccscenter.org/cechcr/