Directions for Providing Evidence of Learning in Higher Education

Gerald W. Patton

Contrary to some views today, the issue of outcomes assessment in higher education is not a passing fad or simply an issue in vogue. Over the last several decades, outcomes assessment and educational effectiveness have become integral components of higher education. For sure, mainly external political forces of late have insisted institutions of higher education demonstrate in real ways how they accomplish their stated goals and purposes. Institutions are thereby charged with documenting student academic achievement and institutional effectiveness as one way to justify continuous financial support from public coffers.

Concomitantly, within academia, scholars and officials questioned established paradigms that had been constructed to assess quality. The traditional approach that views quality as measured primarily by resources -- vastness of library holdings, prestige of the faculty, the number of laboratories, strength of the endowment, number of merit scholars, etc.,-- have to some extent given way to value-added and input/ output models. These new models provide a basis for determining the extent to which explicit goals are met, and the kinds of institutional improvements that are needed when goals are not met.

The regional accrediting associations have entered this academic/political fray as arbiters of quality and institutional improvement. All regional associations maintain criteria or standards that

document effectiveness, especially as it relates to student academic achievement or the assessment of student learning outcomes. It is well known that the United States Department of Education, as a prerequisite for continuous recognition, has long required and often prodded reviewers to insist that regionally accredited colleges and universities demonstrate their overall effectiveness and efficiency through qualitative and quantitative measures. In addition, most specialized accrediting bodies like the National Council for Accreditation of Teacher Education (NCATE), the Association to Advance Collegiate Schools of Business (AACSB), Commission on Collegiate Nursing Education (CCNE) and others place heavy emphasis on

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standards-based assessment of student learning and overall effectiveness. Clearly, the roots of accountability in higher education are well established.

The higher education community received a jolt in 2006 with the release of *A Test of Leadership – Charting the Future of Higher Education*, a critical report revealing that higher education in this country had declined to the extent that sweeping reforms were imperative. The highly publicized and oft-quoted findings of the Spellings Commission on the Future of Higher Education called for greater accountability, transparency, and assessment of inputs and outcomes in the country's higher education institutions. Essentially, what is being called for is "a more robust, more outcomes-focused, results-centered system of higher education that will benefit students and parents and empower them with information" (Press Release, U.S. Department of Education, November 29, 2006).

The pressure for colleges and universities to be more accountable to parents, students, legislators, donors and others has increased. Likewise, stakeholders have placed greater emphasis on the sharing and reporting of institutional assessment data. Receiving considerable attention in the ongoing discussion is accountability – the willingness to accept responsibility for *making known that we are doing what we say we are doing* –accomplishing the institution's purposes as delineated in the mission, goals, objectives, vision and other such public statements. If, for example, the first goal of the university is to "ensure the preeminence of learning" the question arises- how is that goal delimited and assessed, and how is that assessment reported or made available to internal and external constituents?

While all of the aforementioned indicators of effectiveness may be important in this era of heightened scrutiny, the mission most important and most central to the core of the university is **teaching** and **learning**. The university is challenged to develop a more *evidenced-based* culture to inform planning and decision making. This *evidence-based* culture extends appropriately to evidence of learning. This is underscored prominently in the institution's recent WASC institutional proposal. One of three themes for self-review is: **Student Learning and Its Assessment**.

The university is charged with answering several relevant questions over the next couple of years.

> What are the student learning goals that we hold in common across Baccalaureate degree programs?
>
> How are these learning goals articulated and achieved through curricular and co-curricular experiences?
>
> How can we improve the use of quality review processes such as program performance reviews and annual reports, and other disciplined-based accreditation, so as to assist departments in assessing student learning and using the results to improve their programs?

At the foundation of a comprehensive university-wide approach to documenting student academic achievement is the need for each academic department or program to develop and implement a plan for the assessment of student learning outcomes. Components of such a plan include a *mission statement*, *student learning goals*, *student learning outcomes*, *assessment strategies/ measures*, *and utilization for improvement.*

Faculty should start with the *mission statement* and provide a concise and coherent overview of the goals and purposes of the department/program. This statement should provide a comprehensive framework for student learning outcomes and describe the structure of the department or program's assessment. Links between the department/program and the university's mission, goals and objectives should be explicitly outlined.

The next step involves the development of *student learning goals* that identify and describe knowledge, skills or values expected of graduates. For example, *what do we want our graduates to know as a result of completing the program*? Learning goals should be consistent with the mission and should also provide the foundation for more detailed descriptions of learning outcomes.

Student learning outcomes must now be identified in alignment with the established learning goals. Learning outcomes use action verbs to describe knowledge, skills or values students should develop and to specify performance, competencies, or behaviors that are observable and measurable. For example, a learning goal in International Business is <u>ethical awareness;</u> the learning outcome

is each student will interpret ethical issues and responsibilities in a business organization. A learning goal in the Department of Philosophy is critical thinking; the learning outcome for this goal is the student demonstrates thorough and competent understanding of original texts, uses sound arguments and strong reasoning to support assertions, makes careful selection and presentation of evidence and argument to support assertions, and, when applicable, includes carefully constructed refutations of the opposing view.

The next step is critical to the assessment plan. Develop *assessment strategies, other than grades,* to measure specific learning outcomes. Though direct and indirect measures may be used, direct measures should predominate, e.g. capstone courses, portfolios, e-portfolios, performances, theses, various course embedded assessments, licensure examinations, faculty developed tests, comprehensive examinations and norm referenced tests such as the Collegiate Learning Assessment (CLA). Indirect measures, such as focus groups, alumni surveys, and exit interviews may provide useful information to the faculty but serve to supplement more direct measures as mentioned above. Measures/strategies should be aligned with learning outcomes and each outcome should be measured.

The final component, *utilization for improvement,* is that part of the plan that relates *to the teaching-improvement loop--* teaching, learning, assessment, improvement. This component should demonstrate how evidence/data is used to inform decisions about course or program improvement. The plan should identify who interprets the evidence and provide details of the process, and state how findings are used by providing examples.

The Nursing Department provides an example of how data that are collected and analyzed may be used to inform decision making related to program effectiveness and improvement. The faculty set a benchmark of 70 percent retention/graduation rate for a three year period. Because the progression and graduation rate was below 70 percent, the faculty determined there was a need to have better data to understand the reasons for attrition and to identify which factors could be prevented or ameliorated. To this end, the faculty is refining the exit interview guide to see if semester course loads need adjusting or if better student support is indicated.

Once department/program assessments of student learning plans are completed they will be posted on the university website. This database, along with a directory of assessment resources, best practices, and other related links will form a campus-wide assessment infrastructure.

An important way to assist departments and programs in assessing student learning and using the results to improve programs is through the **Program Performance Review (PPR)**, a comprehensive periodic review process required of all academic departments and programs. At present, the academic units are reviewed on a seven year cycle. A more evidence-driven PPR process with data for analyzing overall departmental effectiveness is essential. Such data can be used in strengthening continuous improvement efforts. The assessment of student learning outcomes is envisioned as a cornerstone of the PPR. Since departments and programs undergo periodic review only once every seven years, the **Annual Report** can provide more timely updates on ongoing assessment activities.

In creating a campus culture where the assessment of student learning is paramount and continuous, the role of the faculty is key. It is the faculty who have the primary responsibility and prerogative to develop and establish student learning outcomes linked to program goals. Likewise, the faculty of a given department or program creates, develops and implements assessment strategies and measures. In the process, faculty will obtain data that they will use to refine, tweak, and indeed improve teaching and learning. The creation of a university-wide committee, which includes faculty, administrators and students, will provide a structure for coordinating assessment activities and assist in establishing the primacy of outcomes assessment and institutional effectiveness on campus. All said, this will make any institution stronger and will provide evidence in documented and demonstrable ways that we are accomplishing our stated mission, goals and vision.

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Dr. Gerald W. Patton is Director of Assessment and Educational Effectiveness. Prior to arriving at CSUF this past May he had served as Deputy Commissioner for Higher Education, New York State Education Department where he was New York's State Higher Education Executive Officer (SHEEO).

Patton has also served as an administrator in regional accreditation at Middle States and North Central higher education commissions. He has been a faculty member/administrator at North Carolina State University and Washington University in St. Louis. He received his PhD in history from the University of Iowa.

A Meditation on "Assessment"

Richard Lippa

There's no doubt about it, assessment is in the wind. Administrators and politicians want it as part of the "accountability in education" movement, and assessment is increasingly a part of accreditation processes. Therefore, I fully expect that the university will implement various forms of assessment, including a variety of "objective" tests.

Is this a good thing? I suspect not. Why not? I think that the results will be used mainly for political

purposes (e.g., demonstrating the success of one's department, college, university, system to justify support from deans, VPs, governors, legislatures, and citizens). However, I am skeptical that assessment will lead to meaningful educational reform.

Here are some of the reasons for my skepticism.

The difficulty of rigorous assessment

As a research psychologist, I know that bona fide, high-quality assessment requires a lot of time, money, and people hours. Some issues to consider:

It is not sufficient to test "where students are"— e.g., when they graduate or when they complete classes. We also need to know "where they started from." Thus, rigorous assessment requires both "before" and "after" measures. Obtaining such measures is hard, expensive, and complicated.

Valid assessment is difficult in a fluid and changing student population. Many of our students complete courses at two-year colleges. Students transfer. Students drop out. Students take breaks. This greatly complicates data collection, data analysis, and drawing reasonable conclusions.

What should be assessed? Let me give examples from the Psychology Department. Should we develop an omnibus, general psychology test to be administered to graduating seniors? Or, should we develop tests to assess students' knowledge and skills after completing core classes (e.g., in computer methods, research methods, statistics, etc.)? Should we assess general verbal, math, and analytic skills?

When should students be assessed? Should we assess students completing general education classes, with the goal of seeing how well they "get" basic material" and with the related goal of assessing how standardized instruction is in multiple sections of classes? Should we assess students completing "core course" to see how well our core curriculum is functioning? Should we assess all graduating seniors to see "how much our graduates know?" All such assessments are misleading in the sense that "forgetting curves" are steep, and knowledge possessed immediately after a class or after graduation is not the same as knowledge possessed weeks, months, or years later.

Should we assess just some students or all students? A rigorous research project might randomly sample several hundred incoming freshmen and follow them periodically and systematically over the course of their college careers. Such a study could yield much useful information. However, political pressures will likely mandate that all students be assessed, but in a piecemeal, helter-skelter fashion.

How will tests be developed and administered? There will be a strong temptation to develop short "objective" instruments. Rigorous test development—i.e., developing tests that survey the knowledge domain adequately, that are reliable (i.e., that measure something consistently) and valid (that measure what they are supposed to measure)—is a time-consuming, difficult process. It is likely that many assessment tests will not be truly rigorous—they will instead be make-do, mini-measures. I do not blame the test developers for this, for it is likely that departments, colleges, and universities will not devote sufficient resources to the task. (By the way, who *will* provide the resources for this? Will the university and the CSU system underwrite the effort, or will it, once again, be "taken out of the hide" of departments and faculty? And this sidesteps the more fundamental question: Is it *wise* to allocate scarce resources to the task?)

"One solution to the 'dumbing down' of the student body has been the 'dumbing down' of instruction and grading."

Other key questions: Will assessment tests be administered by instructors, by advisement offices? Will they be delivered online? Given that many students do not attend classes regularly, how do we guarantee that all students in a class or major complete the assessment instrument? What "carrots" and "sticks" will we use to get students to take their assessment tests—e.g., will their graduation depend on completing a test? Will tests be "secret"? Will they be known to faculty members? How will we prevent instructors from "teaching to the test" (a horrible possibility reminiscent of "No Child Left Behind")?

The inevitable bad news

Rigorous and honest assessment will inevitably generate a lot of bad news. I regularly teach Introductory Psychology (Psychology 101), so I have no illusions about the intellectual performance of many of our freshmen. Consistent with university requirements, I assign a short paper to each of my Psych 101 students (that's often about 200 papers a semester to read!). A least a third of my students are not functioning at an adequate junior or senior high school level, let alone a good university level. Good assessment, which samples student performance at various stages in their undergraduate careers, will throw a spotlight on this substantial group of poorly performing students.

One solution to the "dumbing down" of the student body has been the "dumbing down" of instruction and grading. I have no doubt that many basic English and math courses taught at CSUF are frankly remedial in nature. (And then, freshmen come to me and say, "I'm doing okay in my other classes; I don't know why I'm having problems with *your* class.") Even courses that are not remedial by design (like basic writing classes) are probably remedial in practice. Much material that was covered in junior or senior high school decades ago is now taught in college. It is definitely not "progress" to send more and more people to college, only to teach in college what was formerly taught at lower levels. Rather, it is the illusion of progress. (An important assessment issue lurks here: We will be sorely tempted to emphasize *changes* in students' scores over their university careers rather than their often disappointing absolute levels of knowledge and performance.)

The inertia of the system and the difficulty of change

It is hard to change educational systems. Furthermore, when we do change systems, there are inevitable tradeoffs. Nothing comes free. "Toughening standards" and requiring that students master basic content will likely entail more student dropouts and lower rates of graduation. It may also differentially affect various ethnic and cultural groups. Real solutions cost money. Instead, we want Pollyanna solutions and Lake Wobegon outcomes, where "all the women are strong, all the men are good looking, and all the children are above average."

The assessment movement tries to apply to higher education methods that have recently been applied, with mixed success, to the K through 12 system. I label this trend the "high-school-ization" of the university. Do we really want to become California State High School, Fullerton? Do we really want to "teach to tests?" Do we want to standardize the content of many of our courses? We need to have a full and open debate about these and related questions.

University-level teaching appeals to some of us because it is somewhat quirky. The best university teachers have their individual flavor and savor; they trigger new thoughts and sometimes even intellectual epiphanies in students, which no standardized curriculum can do. If and when university teaching becomes automaton-like—as much K through 12 instruction is now becoming—it will be time for me to retire. I believe that one likely downside of assessment will be a move to standardize and pre-program curricula. Today's educational administrators too often seek improvement via command-and-control strategies, not by addressing underlying structural problems.

Finally, I think the assessment movement risks focusing attention too much on our worst students. We should also worry about adequately stimulating our best students and helping them to function at a genuine university level. This is an issue that will likely "pass under the radar" of most assessment regimes.

Conclusion

In this short essay I have outlined some of the problems I see with the "assessment movement," and I have informed you of some of the basic facts that I think we will learn through rigorous, objective, and honest assessments of our students. Many of our students have deficits in basic skills, both at the beginning and end of their university careers. Some of our students are very good, and many are very bad. The quality of instruction at CSUF is variable. We are sometimes (perhaps often) teaching material in "university" classes that, in previous times, would have been taught in junior or senior high school classes. Many students have a hard time mastering basic material, for a variety of reasons.

Shall we now spend hundreds of thousands of dollars to learn all of this from formal "assessment"?

More importantly, *should* we?

I leave that to your judgment.

Dr. Richard Lippa is a Professor of Psychology. His research focuses on gender differences in individual behavior in terms of "masculinity" and "femininity." The second edition of his most recent book, *Gender, Nature, and Nurture*, was published in 2005. Dr. Lippa has published articles in numerous journals, including the *Journal of Personality*, the *Journal of Personality and Social Psychology*, and the *Journal of Nonverbal Behavior*.

The Proof is in the Pudding: Authentic Assessment of Workplace Competencies

Kristi Kanel

The question posed by governmental officials and higher education administrators regarding how to assess whether universities are really teaching effectively and whether students are really learning is a valuable one. Higher education instructors should be accountable for their competence at teaching, and students should learn. And of course, there must be some way to assess for all this teaching and learning.

Fortunately for governmental officials and administrators, our wonderful institutions of higher

Education (I'm speaking of CSUF, of course) have an effective infrastructure that already assesses teaching and learning at many levels on our campus. Not that there isn't room for improvement, but in these days of fiscal troubles, it seems prudent to utilize what exists rather than spend money on unnecessary programs that will serve no new purpose.

Three issues to deal with regarding assessment are how, what, and why. To develop valid and reliable assessment tools each department must determine what the purpose of a college education is: to be prepared for any profession that the graduate chooses or to develop specific skills for specific types of jobs. While researching the field of Industrial Psychology for a course I was teaching, I discovered that most hiring practices and performance reviews are based on the EEOC (Equal Employment Opportunity Commission) requirements. Specifically, people are assessed as potential employees and evaluated on current job performance based on demonstrating behaviors that have been shown to lead to success on the job.

In light of this EEOC requirement, it appears that CSUF is doing a very good job at providing students with appropriate education because our graduates possess behaviors necessary for success at many jobs. I don't believe it is an urban myth to suggest that the reasons students go to college is to get a personally satisfying and well paying job.

In our department (Human Services), in particular, we have designed an assessment procedure that provides us information on how well our students are prepared for employment in a variety of human service agencies in the community. We regularly distribute surveys to these agencies and modify our curriculum based on the feedback from these agencies to ensure our interns are given the necessary skills and knowledge, and develop personal qualities vital to success on the job as human service workers.

We are one of the departments here on campus that believes that our students' college education serves the purpose of helping them obtain a satisfying job in the field of their choice. By ensuring that they learn the skills and knowledge that the employing agencies describe as necessary for success on the job, we are implementing the results of our assessment.

When our students are hired and perform

successfully on the job (information easily gathered by alumni surveys and agency surveys), we have proof that, in reality, our students are learning what allows them to get a job and be competent at it. These surveys have indicated to us that about 90% of our graduates are employed in human service jobs, which is quite convincing evidence that we are providing a solid education. That fact that students are able to be competent workers in agencies that require certain skills and knowledge that were taught in our program makes it pretty clear that students are learning.

In addition to the goal of getting a job, another goal of a liberal arts education might be to prepare students for graduate school. It is easy enough to assess acceptance into and completion of graduate school via alumni surveys, which our department already does every 3-5 years. When we learn that almost half of our graduates have completed or are attending graduate school, we have yet another measure that the "proof is in the pudding." Voila! Assessment complete.

Of course some departments may have different goals for their students and can set up similar processes that are major specific to assess the effectiveness of their students' educational process. Some majors are designed for more general occupational choices, and faculty invested in general education may have ideas on the "what", "how", and "why" to assess in these cases.

In fact, our university does have many faculty invested in assessing general education. Several standing committees made up of seasoned faculty scrutinize courses to ensure they are appropriate for our campus. Part of the scrutiny includes assessing the why, how, and what of each course offered on campus, on-line, and even at internships. Not only are specific courses reviewed, but entire programs are assessed as to their need and purpose.

Current standing committees such as the University Curriculum Committee, the General Education Committee, the Academic Standards Committee, and the Graduate Education Committee ensure that courses and programs contain appropriate and effective assessment measures. A newly formed committee, the Committee on Assessment, will soon take its place on our campus to deal with overall assessment on campus. Because current committees already do so much work on assessment, it is debatable whether this new committee was needed. With this infrastructure

already in place, why create more assessment policies and procedures?

The bottom line is that graduates of CSUF are already well prepared to compete in the job market and graduate schools. They are well received by many employers such as schools, businesses, various agencies, community colleges, media, sports teams (isn't the fact that many of our baseball team members get recruited to the major leagues also proof in the pudding?), and almost all graduate schools across the country. I encourage us all to trust in the outstanding reputation of our University. Instead of developing a cost inefficient program to assess for Academic Excellence, why not observe the results of an education at CSUF? The Proof is in the Pudding.

Dr. Kristi Kanel earned her PH. D. in Counseling Psychology at the University of Southern California. As a Licensed Marital and Family Therapist for the past 25 years, she has provided mental health services in southern California at a variety of settings, including a Battered Woman's Shelter, a Free Clinic, County Mental Health, Health Maintenance Organizations, and her own private practice. Dr. Kanel has also been a college educator for the past 25 years and is currently an Associate Professor in the Department of Human Services. Her research areas include mental health needs of Latinos, crisis intervention, and counselor training. These research interests have culminated in her authoring three nationally adopted textbooks, *A Guide to Crisis Intervention,* 3rd Ed., *An Overview of the Human Services*, and *Human Services Delivery to Latinos*.

A Commentary on the Access to Excellence Report: February 2008 Revision

Vince Buck

As a follow up to the Cornerstones report published by the CSU in 1998, the Chancellor's Office initiated a process in 2006 to update its strategic plan for the system. This process involved "campus conversations" conducted at each of the 23 CSU campuses between October 2006 and March 2007, followed by a system-wide summit held in April 2007. Like Cornerstones, the Access to Excellence initiative was geared toward developing a long-term plan to establish the mission of the CSU and guide decisions on priorities and appropriation of resources. The Board of Trustees deemed that a new planning initiative was needed to reflect the changing social, economic, and demographic forces within the state.

A preliminary Access to Excellence report was released by the Chancellor's Office in November 2007. The Steering Committee solicited comments on the preliminary report from constituents at each of the campuses. Based on this feedback, the committee produced a revised draft that was released in February 2008. This report can be obtained online at http://www.calstate.edu/aca.

The revised version of the Access to Excellence document is more coherent than the previous one and some of the more objectionable language has been toned down. But what remains is a document that on one hand seems like pabulum and on the other provides a grab bag of items – some significant others clearly secondary -- any one of which can be selected or ignored in the future. It seems like a paltry result for all the effort and expense that went into it. An opportunity to fundamentally change the climate for higher education in California is being lost.

The critical weakness of the previous version remains: this is not a visionary document with clear goals for excellence and guidelines for how to achieve it. Although the document includes many important and commendable points, they are lost in

the grab bag which includes among significant items such as funding and recruiting faculty, items which – however commendable -- are clearly of lesser importance: service, student research and public accountability for learning results. Wheat and chaff are not separated and these secondary items detract from the critical needs of the CSU.

This is a system-wide document and it should focus on where the system can and must provide leadership. First and foremost is to obtain funding to regain quality and continue to insure access. To obtain that funding the views of political and business leaders, the media and the public must be changed. That will only happen if the leadership of the three systems of higher education work together and accept the leadership role that Clark Kerr once filled. If we continue to accept politics as usual then the mediocrity (or worse) that we have achieved over the past decade will become permanent.

This document should focus on:

Creating a state policy vision and mobilizing all of our resources -- in conjunction with the other systems of higher education -- to persuade the essential constituencies in the state of the value and needs of quality higher education;

Spelling out the needs for quality and access: adequate faculty, adequate facilities and new campuses to meet the suggested 130,000 new degrees;

Making achieving the goals on Assembly Concurrent Resolution 73 (a 2001 State Assembly Measure urging the Trustees of the CSU to study its hiring practices and to develop a plan to increase the percentage of tenure-track faculty to 75%) the highest priority, not just one of many ignored "priorities" as it was under Cornerstones;

All of the above, with the foremost objective of obtaining adequate funding for quality and access, not simply for access as is the current reality

One of the most widely accepted measures of quality in higher education is the percent of the faculty members who are full time faculty, especially tenured and tenure-track faculty. In perhaps the most misleading statement in this document (Page 9) it is stated that the percentage of instruction offered by faculty that are not

tenured/tenure track is less than the national average of 65%. But that 65% figure includes community colleges. The figure for 4-year institutions should be the point of reference and that is much lower. In fact, on this measure, the CSU has some of the poorest figures among major 4-year institutions in the nation (equally true of SFR). In its Education Life Supplement of July 29, 2007 the NY Times provides a list, comparing the percentage of full-time faculty at the nation's largest higher education institutions. http://www.nytimes.com/2007/07/29/education/edlife/29big.html?_r=1&emc=eta1&oref=slogin

The Fullerton campus has the lowest percent, 36 %, of any campus its size except for some community colleges. And there are several other CSU campuses under 50% (Note, while this is not the same as the 65% figure above, there is no reason to assume that the NY Times figures are not internally consistent; and by those figures several of our larger campuses, on the most widely used measures of quality, are closer to community colleges than major four year institutions.) Under Cornerstones quality as measured by SFR and percentage of full-time faculty has declined in spite of the assertion in this document that it was a "priority" (p.10). Reversing this should be our highest priority, and specific goals and time-lines should be stated as they are with the student achievement gap on page 12.

This is something that this document can do, and something that the leadership of the CSU should do.

Other items are of lesser importance but need to be noted:

The paper as it stands is not well written. The first sentence contains a tautology: "The great public universities of our country sustain their stature because they are both durable and adaptable." If the authors of this paper truly understood why universities are "durable" then this would be a better paper: professors do a good job and provide a valued and necessary service; they are not driven by a corporate, profit making model; power and governance is shared with professional employees having important policy inputs. Instead, the authors work from the viewpoint that the universities are neither valued nor effective.

There are many poorly worded or not well thought out statements such as the one on page 3 that says "... a postsecondary degree is now necessary…" This is patently untrue and there are other statements that do not seem to be saying what the authors probably intend them to say.

Likewise there are non-sequiturs. Just one example: what is the connection between students who work so much and a perceived need to augment classroom based instruction with internships etc. I find that students who work long hours do not think they have time for internships (p. 10). This sentence and several others need to be rethought or documented.

Many assertions in the paper need documentation. Over and over again I kept asking myself if a statement was really true. Again an example: On page 2 it is asserted that the "shortfall will be most acute among scientists and engineers…" In fact there is a healthy debate going on about whether or not we are producing too many scientists and engineers. See the following Urban Institute study: http://www.urban.org/publications/411562.html

But all of this pales in contrast to the larger failings: the document is watered down by the inclusion of many secondary items that can be cherry-picked at a later date to the detriment of the truly important items. This document fails to provide a vision with clear goals of excellence and guidelines for how to achieve it. Such a document could be a starting point to change the current political climate in the state in a manner that would assure the funding necessary to regain quality in

Dr. Vince Buck is a professor of Political Science. He is a member and former Vice Chair of the CSU Statewide Academic Senate, and past-Chair of the campus Academic Senate. Vince writes and publishes frequently on topics related to social and environmental concerns. In addition, Vince is a member of the Fullerton Library Board and several other city and county committees. He is active in the University Club and a strong supporter of building the academic community.

Functional or Dysfunctional Department: How does YOUR Department "Measure Up"?

Linda Orozco

Two past Forum articles discussed dysfunctional departments. These discussions highlight critical issues of department functionality, effectiveness, and success. How does one measure whether a department is functional? Where does your department rank on a scale of "functionality"? Two previous articles attempted to provide guidance in this area.

However, a department cannot, and should not, be measured by popular "business practices" which measure success by stockholder profits, bottom line sales, or profit margins. Using such a gauge, university department functionality would be measured in terms of large student enrollments, even larger class sizes, and cost-cutting measures such as a preference for cheaper part-time faculty over tenured faculty. However, "education is a different kind of activity, a unique culture that occupies a special place in our democratic society" (Scott, 2002, p. 2). Academia holds two core foundations sacred, and both have long established academia as a unique professional environment. These two foundations should be the guide in measuring department functionality- "shared governance" and "academic freedom."

Shared Governance and Academic Freedom

In the university setting, these terms are tossed around quite liberally. Yet what do they really mean, and how do they relate to the "successful functioning" of departments? Let's begin with basic definitions of both terms.

Academic freedom is commonly defined in two contexts. First, academic freedom is defined as the right of an individual faculty member to teach, conduct research, and associate freely. More specifically, it is "the freedom enjoyed by those with disciplinary credentials grounded in their scholarly expertise to express their ideas, however critical; to call established beliefs into question;

and to open new areas of scholarly inquiry, even if doing so meant challenging what was taken to be received wisdom or common sense" (Scott, 2002, p. 1). Second, academic freedom is defined as a collective right for a *community* of faculty. A 1957 Supreme Court decision described the academic community "as a marketplace of free ideas where 'a free spirit of inquiry' reigns" (Rajagopal, 2003, p. 4).

Shared governance is defined as the regular exchange of information, opinion, consultation, reflection, mediation, and compromise. This deliberate and consultative practice contributes to an atmosphere of mutual respect and trust. Our very own California State University echoed these elements in a statewide study supported by the Academic Senate, CSU and Chancellor's Office. "The single most important element in effective shared governance is mutual trust and respect" (California State University, 2001, p. 14). Tolerance and a civil regard for differing opinions and points of view are also key to shared governance. Other characteristics detailed by the CSU report included civility, honesty, truthfulness, early and effective communication, broad and frequent consultation, and open and frank discussions. In addition, "procedures must be open and transparent. Closed meetings, processes or procedures undermine trust and the attitudes necessary for shared governance to succeed" (California State University, 2001, p. 16). A 1985 report by the CSUs defined shared governance as consisting of twin elements: a process and a "state of mind" (or a set of attitudes) (Academic Senate-California State University, 1985).

> **"The most revealing opportunities to observe and assess department function are during times of challenge, not when the department is 'at rest'."**

The link between shared governance and academic freedom has been articulated simply as: "The faculty's role in governance… is the foundation for academic freedom" (Scott, 2002, p. 2).

These widely accepted and established definitions of "shared governance" and "academic freedom" transform simple words of general concept into useful operational terms, which will be used later as part of an informal process to assess your own department's functionality.

But first, let's take a look at four considerations which would earn your department an automatic "flunk" in functionality.

Warning Indicators: Fear, Marginalization, Fair Weather Only and Contingent Faculty

Fear = Dysfunction

"Fear," if present in your department, is an indicator of tremendous dysfunction. Are some faculty members afraid to voice opinions, ideas, or questions? Is "keeping your head down" the mode of some or all faculty in your department? Trust and respect are simply not compatible with fear. If fear is present in your department, even in a few, seriously question the functionality of your department.

Marginalization = Dysfunction

Assessing your department functionality isn't an individual endeavor. Instead, the very nature of the department requires a broader perspective. A department can't be "functional" for just one or a few "favored" faculty members. ***True department functionality is a team enterprise.*** Observe those faculty members exercising high levels of academic freedom and even higher levels of expectation for shared governance. How are they treated within the department? By the department chair? Are they silenced, marginalized, or worse? Faculty members who challenge the "status quo" provide rich opportunities to observe the functioning of your department. Just as a democratic society cannot exist when some cannot vote, a department is not functional if only for "the few."

"Fair Weather" Only = Dysfunction

The most revealing opportunities to observe and assess department function are during times of challenge, not when the department is "at rest." What happens when faculty members exercise high levels of academic freedom and/or demand higher levels of shared governance? How does your department and/or department chair react then? For example, assessing a boxer's ability requires watching him in the boxing ring at maximum performance. Assessing a department's "functionality muscle" requires observing your department "in action" under conditions when "maximum performance" is required. During

creative, difficult, or controversial challenges, does your department rise to the occasion by demonstrating high levels of functionality, or is it a "fair weather" only department? Does your department collapse under the weight of any significant internal challenge, intimidate key players, or worse yet, run from the experience? When the going gets tough, does your department abandon key elements of shared governance and academic freedom including respect, trust, and a free spirit of inquiry?

High Contingent Faculty = Dysfunction

"The model environment for shared governance would have faculty that is largely tenured or tenure track with a long-term commitment to the university [department], whose workload provides opportunities for participation in governance, is rewarded for participation, and is provided the resources to support effective participation"

(California State University, 2001, p. 9-10). Part-time faculty and full-time lecturers, also known as contingent faculty, do not hold the same commitment, time, nor investment in the department and sometimes rarely participate or are invited to participate in department meetings and operations. What percentage of your department's courses are taught by part-time faculty or lecturers?

The higher the percentage, the higher the risk of department dysfunction. The burden of developing department purpose, policies, operations, curriculum, decision-making, advising students, mentoring students' field work, dissertations, and projects, and other work all fall to the few tenure and tenure-track faculty by the lopsided weight of contingent faculty. Or worse yet, the chair alone wields tremendous power over hiring, firing, and evaluating a large cadre of contingent faculty outside the parameters of trule shared governance. Tenured faculty members are essential to the robust nature of shared governance. The more your department contains tenured and tenure-track faculty, the stronger the likelihood of true functionality through shared governance among equals.

How did your department do with the four gatekeepers above? Are shared governance and academic freedom in your department unhampered by these four indicators of dysfunction? The next section will provide a survey to further assess your department's functionality within the contexts of shared governance and academic freedom.

How does YOUR Department Measure Up?

"Walking the talk," that is the hard part. The 2001 CSU Study found strong support for the *ideal* of mutual trust and openness; however, it found that the perceived reality was far from what would be desirable. "The [2001] survey indicated that faculty, in general, are skeptical not only of administrators' intentions and motives, but also of the notion that shared governance even exists. In short, it appears that some people believe the notions of 'respect' and 'trust' are so important to concepts of shared governance that *their absence* indicates that share governance does not really exist—despite the presence of formal structures and processes" (California State University, 2001, p. 4). With an understanding of such academic skepticism, how do you rate your department?

The following assessment survey is anchored in the important core foundations of academia: shared governance and academic freedom. The definitions provided earlier create a robust perspective and clarity to assess your department's functionality. As you move through the questions below, reflect on your time as a member of your department. Use your observations, experiences, impressions, and affective responses to assess your department's functionality.

Remember, your department's environment, climate, spirit, and 'state of mind' are as important as actual events and processes. Reflect, not only on your own experiences, but what have you observed regarding the experiences of your colleagues. Try to answer each question, not from your singular vantage point, but from a larger more collegial perspective. How does your department measure up?

Catalyst for Discussion

How can this article and survey serve you and your department to begin the discussion of department functionality related to academic freedom and shared governance? Can you use this article and survey as a catalyst in your department? Even that question is one each faculty member should be asking themselves.

ASSESSMENT OF DEPARTMENT FUNCTIONALITY: **Based on Indicators of** **Academic Freedom and Shared Governance**	Strongly Agree	Agree	Disagree	Strongly Disagree
PART I: INDICATORS OF TRUST AND RESPECT				
There is an overwhelming atmosphere of "mutual trust" among and between all faculty				
Truth, honesty, fair play, high ethics, feelings of trust are all valued, expected and present in my department				
Cheating, dishonesty, back-biting, end runs, power plays, and favoritism are absent in my department.				
There is an overwhelming atmosphere of "mutual respect" among and between all faculty				
All faculty members are treated equally (with respect) by each other and by the chair				
All faculty feel equally respected, regardless of their tenure or position				
All individual, group and department communications are equally respectful regardless of the speaker or listener				
Impressive levels of respect are extended to those with divergent ideas, recommendations, criticism, or questioning of the status quo				
No faculty members are cut off, interrupted, or disrespected				
No dialogs contain yelling, name calling, bullying, intimidation, or accusations				
PART II: INDICATORS OF FACULTY FREEDOM WITHIN A DEPARTMENT				
Freedom to express ideas, however critical				
Freedom to call established beliefs into question				
Freedom to open new areas of scholarly inquiry				
Freedom to challenge "what is taken to be" received wisdom or common sense				
PART III: INDICATORS OF HEALTHY DEPARTMENT ENVIRONMENT				
Nurtures an atmosphere to create a "community of scholars"				
Marketplace of free ideas				
Free spirit of inquiry reigns				
Collegial state of mind				
Climate supports diversity of opinion, schools of thought, perspectives, and personal styles				

PART IV: INDICATORS OF COMMUNICATION AND COLLABORATION				
Honesty is present and important in all communication				
Open and frank discussions are part of department communication				
There is civil regard for differences of opinion and points of view				
Faculty can express dissenting views without fear of reprisals				
There is early and effective communication				
There is a regular exchange of information				
Opinions are solicited, exchanged and are part of regular communication				
There is regular collaboration and consultation				
There is regular reflection as individual faculty and as a department				
The department regularly uses mediation processes				
There is regular compromise				
PART V: INDICATORS OF SHARED GOVERNANCE				
Attitudes and actions of all faculty and chair support an atmosphere of genuine shared governance				
The chair position in my department changes regularly to reflect and include a variety of faculty in department leadership				
During an absence of the chair, other faculty represent the department at dean's meetings and other university administrative meetings				
Department meetings are led by a variety of faculty, not just the chair				
Governance in my department is truly shared, not held by a few or solely by the chair alone				
Department meeting agendas are created jointly by faculty				
Budgets are regularly reviewed, discussed, and debated				
All department expenditures are regularly presented and reviewed, particularly money provided to individual faculty for supplies, etc.				
Faculty regularly evaluate the department chair in a spirit of collegiality to offer constructive feedback				
The department is free of preferential treatment, perks, rewards, special funding, or special assignments to those faculty members in the "in crowd."				
Faculty members feel free to hold the chair accountable for actions and decisions the chair is making outside of department meetings				
Political or manipulative power-plays are not part of my department, including:				
---Department decisions are not for sale with political rewards or perks. Faculty is not rewarded for supporting the chair, or others' proposals.				
---Department decisions are not controlled with punishments or penalties. Faculty is not punished for disagreeing with the chair or others' proposals.				
---No top down administrative announcements or "decision-forcing"				
---Information is not controlled, censured, or withheld in my department				
---There is no insisting on "quick decisions"- feigning a need for speed				
---No false information is provided to faculty to influence decisions				
---No bullying/intimidation is part of department decisions or meetings				

---No meetings are cancelled, changed to avoid presence of some faculty				
---Department decisions are not overturned by chair later				
---No key decisions involving budget, release time, teaching assignments, etc. are made in secret, outside of formal department meetings				

PART VI: INDICATORS OF OPEN PROCEDURES AND PROCESSES

Department actions involving budget, staffing, assignments, etc. are open and understood by faculty			
The faculty has an influential role in developing the department budget			
Department procedures and processes are open			
Department procedures are transparent, clearly understood and mutually developed			
There are no closed department processes			
There are no closed procedures			
There are no closed meetings			
Agendas are not controlled by the few or chair alone			
Department meetings can easily take place in the absence of the chair			
Meetings are not scheduled, changed, cancelled or rescheduled at whim of the chair			

PART VII: SEVERE WARNING INDICATORS **If present, these warning indicators signal high department dysfunction.**	N O	Y E S
"Fear" is a part of the climate in my department		
Some faculty members in my department are marginalized		
During "high stress" my department displays dysfunctional characteristics		
My department includes a high percentage of contingent faculty		
I would feel uncomfortable discussing this survey within my department		

SUMMARY

 LEFT: If most checkmarks are to the left, your department is more functional, but may need some minor adjustment. Congratulations!

MIDDLE: If most checkmarks are in the middle, your department is struggling. Your department seriously needs review, discussion, and debate regarding healthy indicators of academic freedom and shared governance. Bring this survey to a department meeting to begin the process.

RIGHT: If your checkmarks are primarily to the right, "dysfunction" is unfortunately your department's middle name. Academic freedom and shared governance are either absent in your department or being held hostage. But you probably already knew this but lacked documentation and constructive evidence. Now you have it! What are you going to do about it? Good luck….

Dr. Linda Orozco is Professor of Educational Leadership at CSUF and former Director of the Professional Administration Credential Program. She has been with the CSU's for over 12 years. Her experience includes 30 years in educational leadership including administrator in both public and private educational settings, district and county offices of education, and Dean of Instruction in higher education administration. Her research includes leadership effectiveness and international leadership preparation.

Shared Governance:

The Role of the Academic Senate in Decision Making at CSUF

Jack Bedell and Herb Rutemiller

Why should you care about the campus Academic Senate, its history, and its role at CSUF?

Well, do you care about developing new courses? A new degree program or concentration? A grade appeal that may be lodged against you? How to handle academic dishonesty? Student rights and responsibilities? Academic standards? Getting a sabbatical or professional leave? And, finally, do you care about your own career (promotion and tenure)? If you answered, "yes" to one or more of the above, you need to pay attention to what our campus Academic Senate does in drafting, approving, and recommending policies to the President. In each of the above cases, the Academic Senate was historically and is now the source of the guidelines and policies that govern these issues of extreme importance to you and your colleagues.

In this article, primarily intended for recently recruited faculty at CSUF, we briefly describe the membership of the Academic Senate and the scope of the Senate's authority, while offering some notable historical examples of Senate policy making. We also review some exciting groundbreaking decisions, some problem solving in troublesome times, and also some occasional failures (either failure to act or failure to effectively implement policies).

The Composition of The Academic Senate

The Senate consists of elected representatives at CSUF. It is more like the U.S. House of Representatives than the U.S. Senate, because faculty seats on our Academic Senate are proportioned approximately to the size of constituencies. Each college is a constituency, along with the Library/Counselors/Coaches, and Student Affairs. Senators in constituency seats are elected by the campus members they represent. In addition, there are Senate seats for the President, Vice President of Academic Affairs, two students, the CFA president, two part-time faculty members, and one Emeritus. Beyond the constituency seats, there are 15 at-large seats voted upon by the entire Senate electorate.

The Senate was called the Faculty Council for many years. The name change reflects that the Senate, while predominantly made up of faculty, has expanded to truly become an academic body, not just a faculty body.

The Function of The Senate

The Senate generates University Policy Statements, often referred to as UPS documents. If approved by the University President, a UPS document becomes the governing policy of the University. As with most legislative bodies, the bulk of proposed UPS documents from standing committees to the floor for adoption. All the UPS documents are available on the Academic Senate website at http://www.fullerton.edu/senate.ups.htm. See the Senate constitution and bylaws, UPS 100.000 and UPS 100.001, for a list of standing committees and the scope of their activities.

The Meaning of "University Policy Statements"

A UPS is a governing agreement submitted in good faith by the Academic Senate and signed by the University President (or a previous President). Each UPS must be consistent with state and federal educational and administrative codes, policies of the CSU Board of Trustees, the CSU Chancellor's Office and the collective bargaining agreement.

Once a UPS has been adopted, the faculty on the Academic Senate expects compliance by the administration. What if the administration violates the agreement? The President has the legal right to do so. The Senate can certainly ask for a "showdown" meeting, and there is a mechanism for a formal request by the Senate for such a meeting. The Senate Chair submits an "Academic Senate Question" to the administration (See Senate Bylaws, BL 89-3). If that is unsuccessful, then the only alternative available to the Senate is to ask the faculty for a vote of no confidence in the administration.

Override of The Senate's Passage of a
UPS by the Electorate

There is a referendum procedure that is possible when a substantial proportion of the Senate electorate objects to a newly passed UPS. See the Senate Constitution, Section VIII and Senate bylaws section BL 03-5. If ten percent of the electorate signs a petition, the document will be put before the electorate for approval. A recent instance was the Senate's passage of a UPS breaking HDCS into two schools, HDCS and Education. The Senate electorate approved this action in a referendum

In preparing this article, we asked former Senate chairs to offer input on the role of the Senate at CSUF. This comment by Jane Hall is pertinent:

> Something I learned from my experience as Senate Chair (in fact, from all of my experiences on myriad committees) is that the day to day, often dull, business of developing, amending, negotiating, and implementing university policies is truly a core role of the faculty. Even while larger events swirl around the campus and the CSU, the Senate manages to get work done, to engage in debate about matters large and small – ranging from major

amendments to UPS210.000, to where to place a comma in a non-binding resolution – and to treat all of it as serious. The Senate, and its many tributary committees, is at the heart of an effective faculty voice in the life and future of our University. At the end of the day, the thing to remember is not so much discrete action A or discrete action B, but that the faculty have a means to be fully and effectively engaged and to make a difference over the long haul.

The Senate's Role In Curriculum Planning and
Implementation

In the curriculum area, the Senate's power is absolute. No new course in the CSUF catalog may be offered without approval by the Senate. Initially, the Senate Curriculum Committee, the General Education Committee, and the Graduate Education Committee reviewed all courses. As the University grew, the major role in reviewing process was delegated to College committees, with a final audit by the appropriate Senate curriculum committees and submission to the entire Senate for approval.

By examining the 35 UPS documents on curriculum (UPS 400 thru 450), one can easily discern from the titles that most of them concern academic quality control, an impressive testimonial to the Senate's dedication to high academic standards. Two recent examples of the Senate's oversight role are UPS 411.103 and UPS 411.104, which set standards for televised courses and Internet courses respectively.

The Senate has made periodic efforts to address grade inflation, with varied levels of success. What can be done with courses where the modal grade is "A"? UPS 300.020 addresses this issue. The proposal from the Academic Standards Committee was that any undergraduate course where 66% of the grades were habitually A's and B's shall be changed to pass-no pass. The Senate watered this down to "the department should consider changing to pass-no pass." Next, the Senate took a different approach.

Finally implemented, with much opposition, was the current requirement that the student's transcript shall indicate for every class the number of students and class average GPA.

Especially in the early days at CSUF, the Senate

settled many jurisdictional clashes about course offerings. Most of these were in Humanities and Social Sciences. Some famous ones were History vs. American Studies, English vs. Afro-Ethnic Studies, Foreign Languages vs. Afro-Ethnic Studies, Psychology vs. Counseling, and Mathematics vs. Engineering. See UPS 411.102 for the Senate's method of resolving jurisdictional disputes.

Every new degree program or concentration requires Senate approval. For newly proposed degrees, the first step is permission from the Chancellor's Office to pursue approval. Next, the Senate creates an ad hoc committee to create the proposal. Included with the curriculum must be new course proposals, demonstration of demand for the program, staffing considerations, resource requirements, and jurisdictional problems. Once the Senate has approved the proposal, it goes to the President and the Chancellor's office for approval. It is a lengthy process!

One of the most recent examples of "breaking new ground" was the Senate's approval of the very first doctoral program at CSUF, first a joint ED.D with UC Irvine and now a stand-alone Ed.D.

The Senate took a major step in 1985 that generated a lot of extra work for faculty (and chairs and deans as well!), but was essential for the quality of departments and of degree programs. The issue was program performance review (PPR), and UPS 400.020 was the end result. Every department and degree program, including interdisciplinary and joint degrees, must periodically undergo a detailed self-analysis. The dean and VPAA provide feedback to the report, which must include a 7-year plan for the future. A subsidiary benefit of PPRs has been their usefulness in accreditation.

Not all is sweetness and light when current programs are reviewed. The Senate has had two instances in which criticism of a current degree program was serious enough to necessitate Senate actions. See UPS 100.060 for Senate procedures concerning the possible termination of a degree program.

In the first case, the B.A. in Library Science had failed to achieve accreditation. The program was reviewed by the University Curriculum Committee.

The committee's recommendation to the Senate was to phase out the program, and the Senate and the President approved this action.

The second case was the B.A in Nursing Program. Here, the impetus to terminate the degree program came from the then Academic Vice President, based primarily on cost and a perceived projection that the demand for nurses would be declining. An ad hoc committee of the Senate investigated and their conclusions were 180 degrees from those of the administration. The committee had the enthusiastic support of HMOs and hospitals in Orange County. The Senate won this battle and the Nursing Program is thriving. In the minds of many faculty members, this disagreement contributed to the departure of the Academic Vice President.

Substantive revisions or additions to current degree programs also require Senate approval. One indication of the power of the Senate to reach into the graduation requirements of current degree programs and specify a curriculum change was the Senate's response to feedback from employers and graduate programs. They suggested over and over again that our graduates were frequently weak in writing ability. The Senate addressed this problem with an ad hoc committee that proposed a highly controversial new graduation requirement, that every undergraduate degree program at CSUF shall require an upper-division writing course. After an extensive floor fight and some difficulties with approval by the President, the result was UPS 320.020, which established the upper-division writing requirement and created a University Writing Board to monitor the implementation. The Board must approve each program's approach to meeting the writing requirement.

The Senate, subject to some general CSU system-wide requirements, controls General Education. Many battles have been fought over G.E. requirements. The issues have been philosophical, but also political. A department's possession of an approved and popular G.E. course, especially if that department is the sole proprietor, is a guaranteed resource generator, and an insurance policy in the event of a decline in enrollment in the major. The Senate G.E. Committee has always had one of the most demanding agendas.

The Senate's Role in Administrative Appointments

The first level of administration for faculty is the Department Chair. It would be nice to assert that the Senate won a hard-fought battle to have department chairs elected for a fixed term by the department faculty rather than department heads appointed by the President, but that was not the case. Our first president, Dr. Langsdorf, was anxious from the beginning to delegate responsibility to the Senate for a governing document on appointment of Department Chairs. See UPS211.100, which also deals with the possible recall of chairs (a vote of no confidence).

Dr. Langsdorf also gave the Senate the right to appoint faculty to every search committee for administrative personnel at CSUF. Under current policy, each search committee has 5 faculty appointed by the Senate. See UPS 210.007, which governs search committee procedures.

Resolution of the Presidential Selection Process

In the late 1980's, the CSUF Academic Senate decided to boycott the presidential selection process when it became abundantly clear that we could not get our views about the candidates directly to the Board of Trustees. The Chancellor, the Vice Chancellor, and select trustees came to the CSUF campus and, hearing the strength of our arguments and commitment to opening up the process, then acted to modify trustee policy in order to guarantee input of campus evaluations of the candidates.

Relationship with Students

UPS documents with a 300-designation deal with student rights and responsibilities, and with grading practice. Here the Senate has implemented requirements on individual faculty members. For example, UPS 300.004 requires faculty members to provide a syllabus for every section of every course. The syllabus is a contract with the students and must contain a description of how the course grade will be calculated.

Students have a right to appeal a grade. An academic appeals board consisting of three faculty appointed by the Senate and two students appointed by the Associated Students President

serves as a jury. The process is described in detail in UPS 300.030.

UPS300.030 also provides students with an appeal process for a faculty member's report of academic dishonesty. Here, the student is the defendant, rather than the plaintiff, and the faculty member must provide convincing evidence of dishonesty to the Appeals Board.

Faculty Personnel Procedures

Three years ago the Academic Senate began a review of UPS statements for currency, conformity to current practice, and need. Some documents had not been reviewed for 35 years or more. As a result of this review, some documents were left untouched, others were amended, and some were recommended for rescission. One of the main documents governing the professional lives of faculty is UPS 210.000 Faculty Personnel Policy and Procedures. UPS 210.000 was not a part of the review process, quite simply because this 24-page document is almost guaranteed to be reviewed annually. It has been an almost constant work in progress.

With the advent of collective bargaining, revisions in personnel procedures were mandated. With each subsequent bargaining agreement, UPS 210.000 was revised by the Academic Senate. In addition, the campus Faculty Personnel Committee instituted a complete overhaul of UPS 210.000 The Academic Senate finally approved the revisions in spring 2007after almost three years of debate, and was recently remanded for further modification by President Gordon. Hence, we are currently operating under a 2007 UPS 210.000, which was slightly modified at the request of deans regarding three- and five-year year reviews. Other than that, it is essentially a 2004 document, one of our "newer" ones.

Your Academic Senate has been at the forefront in making sure that you and your colleagues have a transparent personnel policy. The Academic Senate encourages department prerogatives and allowed for "local" guidelines honoring disciplinary uniqueness. This document clearly delineates roles and responsibilities of those involved in the personnel process. UPS 210.000 is clearly faculty derived and faculty driven, and this was achieved through the CSUF Academic Senate.

A contentious issue in evaluation of faculty is "to what extent student opinions of instruction should be weighted in evaluations of faculty teaching effectiveness?" The proposed 2006 Senate revision of UPS 210.000 stated that student opinions could not count for more than 50% in the evaluation of teaching effectiveness at any level of review. This is the one major change the President rejected. The Senate reached an agreement on this issue in early-February of 2008, and the President is expected to give his approval.

Resource Allocations

The "Wave 1 and Wave 2" Situation

As we are writing this, the governor has announced a possible 10% budget cut for the coming 2008-2009 year. In the late 1970's, the CSUF Academic Senate participated in an extremely difficult budgetary crisis. The CSU faculty did not have a bargaining agent until 1983, so campus Academic Senates were deeply involved when it appeared that the governor's budget for 1979-1980 would result in some severe cuts.

Sebastian Junger wrote "The Perfect Storm," a description of the worst Atlantic storm ever, which resulted from three separate low-pressure weather fronts colliding. We had a perfect storm at CSUF in 1979-80.

First, faculty positions were generated on the assumption that substantial enrollment growth at Fullerton would occur. The enrollment targets were set rather high to help justify a desperately needed new building. There was some growth, but it was significantly short of the target. Consequently, a budget "payback" was coming for CSUF.

Secondly, the state was in deep financial trouble, primarily from the looming initiative, Proposition 13, which was expected to pass, and indeed, became law in June 1979. In spring of 1979, every state agency was asked to plan for two possible budget cuts. Wave 1 was for sure a 10% cut. Then, unless revenues improved, Wave 2, an additional 5% cut would be given. How serious was the problem? The Chancellor's Office held a series of meetings of the L.A. Basin campuses. Their proposal was to eliminate many degree programs. Each campus would have a small subset (say

English, History, Mathematics) offered everywhere but only one or two campuses would offer most current degrees.

The third factor was a significant change in major selection. Humanities majors were falling and professional degrees such as Business, Computer Science, and Communications were rising. Many departments in HSS were "tenured-in" or would be tenured-in if faculty positions were withdrawn. They would have no part time positions to retrieve, while the growing departments, which had plenty of student demand, were the ones with the soft positions. Clearly, retrieval of the soft positions would exacerbate any enrollment shortfall.

About 80% of the CSUF budget was in salaries, so faculty and staff positions would have to go. The administration offered a simple solution in spring of 1979. Every class across the board would have a "temporary" increase in class size. Small enrollment classes would be canceled. The Senate reacted unfavorably to both these proposals. Their thinking was that if the legislature saw us handle our enrollment with substantially fewer faculty positions, we would never retrieve the lost positions. Low-enrollment classes were often upper division major requirements needed for graduation or were graduate classes.

A compromise solution was worked out to handle the 10% cut. A slight (5%) increase in class size was accepted. Faculty from tenured in departments agreed to teach in other departments, if qualified. A reduction in the offering of upper division electives was accepted. The goal of the Senate was no layoffs of tenured faculty and, ideally, no layoffs of tenure-track faculty either.

Wave 2 was another story. There was no question that Wave 2 would involve layoffs of tenure-track and possibly tenured faculty. Our Senate's position was that the Wave 2 reductions in faculty positions should be uniform percentage-wise across departments, whether enrollment was rising or falling. (One school at CSUF with 6 departments created a "Wave 2" committee to propose merger of departments down to three.)

But the Board of Trustees had different ideas about layoffs. They initially considered adopting a policy that layoff would be by "merit," not by seniority or by tenure status. The Statewide Academic Senate,

with unanimous support from campus senates, was able to torpedo this frightening proposal.

The Board of Trustees adopted a policy that layoffs, where needed in a department, will be by "teaching service areas (TSA)," not by department. No other issue, in our memory, resulted in as much controversy as this one. For example, the Trustees' ruling was that, if a faculty member was qualified to teach in more than one TSA, then he/she had seniority in both TSA's departments. So what was a TSA? Some departments (e.g., History, Mathematics) immediately declared that they had only one TSA. The Academic Senate was saddled with creating a policy statement. A benighted ad hoc committee labored mightily to create a UPS, and much of the Senate's time was spent in 1979-80 battling about TSA's.

While the battles went on, we finally were told that Wave 2 was not going to occur. Other CSUF campuses had some layoffs of tenure track faculty under Wave 1, but Fullerton just barely escaped this.

The arrival of collective bargaining in 1983 has removed layoff procedures from the Senate. They are spelled out in the current California State University/California Faculty Association contract, available on the CFA website. Layoff procedures are delineated in section 38 of the contract.

A major outcome of all these trying times was the creation of the Academic Senate Priorities Committee (now replaced by the Planning, Budget, and Resource Committee [PRBC]), which gave the Senate a substantive roll in planning resource allocations.

Why should you be concerned about what happened 30 years ago, in the late 1970's? Our current governor, Arnold Schwarzenegger, has declared a fiscal emergency and is using recently given powers to cut program funding, e.g., suspending the guarantees to our K-14 colleagues and the students they serve. Thirty years ago, before collective bargaining, we had a similar situation, but we had the Priorities Committee. Today, we have the PRBC. Does this really mean anything different? The Priorities Committee with its 8 faculty, 2 students and the Vice President for Academic Affairs reported directly to the then Faculty Council. The Faculty Council selected all

faculty members.

Contrast this with the PRBC. Here is its makeup of this huge (21- member) committee described in the Senate constitution:

The Planning, Resource, and Budget Committee shall consist of the Vice President for Academic Affairs, Vice President for Administration, Vice President for Student Affairs, Vice President for University Advancement, Executive Vice President, Chief of Budget Planning & Strategy, the Chief Information Technology Officer; one faculty member from each college except the College of Humanities and Social Sciences, which shall have two members, one from the Humanities and one from the Social Sciences elected by the Senate, including one member of the Library faculty, two staff members jointly appointed by the President and Academic Senate Chair, and two students appointed by Associated Students.

What has changed here is the significant drop in faculty proportion. Very importantly, the PRBC is a "creation" in response to the Chancellor's Office that each campus has a representative budgetary committee. Although it is true that it is listed with the other Standing Committees of the Academic Senate, in reality, it is the President's vehicle. In fact, the PRBC chair is invited to make a report to the full Academic Senate twice a year. To be fair, recently the Academic Senate was responding to a fiscal audit and it recommended that lottery funds be given to the departments. This recommendation was then referred to the PRBC, which discussed it and recommended a similar action that was subsequently approved by the president.

The Priorities Committee, before collective bargaining, looked at layoff policies, including layoff order. It examined specific courses and staffing of departments, and recommended the allocation of newly budgeted faculty positions. These were a few of the functions that the current PRBC does not perform. Some may say this is to the good because the Priorities Committee, which did not enjoy very much support from the Deans (more on them later), "micromanaged", i.e., the committee made recommendations on the annual allocation of new faculty and staff positions to colleges and even to departments.

A glaring non-difference over the years is that whether the body is Faculty Council or an Academic Senate, many meetings have been spent

on UPS 210.000, our "legendary personnel document." The advent of collective bargaining has changed little on this except that now what the Academic Senate does is in terms of the agreement. But with regards to fiscal issues, checking the minutes of the Faculty Council, one is struck by how much the Faculty Council involved itself in priorities, e.g., calling for a "master plan" regarding resource allocation and space.

When we "dissolved" the Priorities Committee and moved to the PRBC, one issue that was lost to faculty involvement, for all intents and purposes was, in fact, space allocation. Members of the Priorities Committee even measured buildings. The PRBC had not established itself as particularly oriented to buildings, elevators, and the like. The Academic Senate in the last two years re-established a "space committee" entitled the Campus Facilities and Beautification Committee, a standing committee of the Academic Senate with a majority of members from the faculty. This committee addition brought us into conformity with Chancellor's Office policy regarding the need for faculty input into deliberations and conversations about buildings and space. So have the faculty lost since migrating to the PRBC? If yes, they are not alone.

The Academic Vice President was a mediator between the Priorities Committee (on which he/she served) and the Council of Deans (which he/she chaired). The PRBC has no direct involvement with the Deans, nor vice versa, other than through the Academic Vice President. The Deans' views were brought directly to the Faculty Council on a regular basis. Our campus has been known for the "Fullerton Way" where open covenants are openly arrived at and reasonable people disagree reasonably always with the institution and its students foremost in our minds.

Our Priorities Committee was a model of the Fullerton Way because it guaranteed that the Faculty Council would receive and review its deliberations via its recommendations. Today, that is not the case with the PRBC. For example, a few years ago the PRBC unanimously voted to increase to $1 million the President's Mission and Goals Initiatives. This was not reviewed by the Academic Senate. Is this tragic? No, but the collegial process requires good faith, good appointments, and open conversations. Is there evidence that the present structure undermines the Fullerton Way? No, but the potential is there because the Academic Senate

no longer has "its own" budget and priorities committee and must depend upon the good will of the administration to provide the requisite data, involve all in the conversations, and take any and all recommendations to heart.

Input to the Senate from its Constituents

You have an opportunity to offer advice to the Senate on what you think is of priority for Senate action in the coming year. Once per year, the Senate Executive Committee initiates a questionnaire to the electorate. Anyone may offer suggestions for questions to the Executive Committee. Responses are tabulated and sent to the electorate and help set the agenda for Senate committees in the next academic year.

Some Important Issues Yet to be Finalized

In example of the Senate and university academic administration not implementing a new curriculum requirement concerns UPS 410.007 (second language graduation requirement). This document was passed by the Senate and signed by the President on 6/25/05. To date, the policy has not been implemented.

Another example is the inability of the Senate to agree on a UPS concerning intellectual property rights after several years of trying. The campus remains without a policy at this time.

A third example is email policy. Here a policy was passed after years of discussion, referrals, and ultimate approval, only to languish at the Chancellor's Office.

Service on Senate Committees

Please take advantage of the annual call for service on committees. Here you will meet interesting colleagues from all over campus, make new friends, work on policies, and clearly make a difference. We guarantee that you will not be sorry to be participating in the "Fullerton Way."

Dr. Jack Bedell served five terms as Chair of the CSUF Academic Senate, and has also served three terms as Chair of the CSU Statewide Academic Senate.
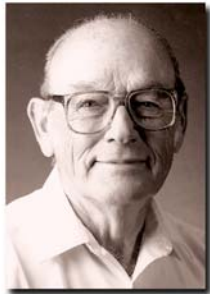
Dr. Herb Rutemiller served for eleven years on the CSUF Senate as a faculty member, and, after retirement, six years as the Emeriti member.

Keeping Our UPS (University Policy Statements) Current: Progress Report

Diana Wright Guerin
Chair, Academic Senate

The Academic Senate shall develop and formulate educational and professional policy, which shall become University policy if approved by the President…It shall also review such policy. Educational and professional policy shall include, among other things: curricula, academic standards, criteria and standards for the selection, retention, and promotion of faculty members; academic and administrative policies concerning students; and allocation of resources. (UPS 100.000 Academic Senate Constitution)

A major function of the Academic Senate is the formulation and review of the policies that guide campus processes. At the beginning of his term as senate chair in 2004, Jack Bedell recognized the need to review and update our existing UPS. Given that we have over 125 such documents, this has been a multi-year task requiring high levels of commitment from the faculty, staff, administrators, and students who work on our senate committees as well as our senators. After nearly four years of work, approximately one-half (65) of our policies have effective dates of 2003 or later, approximately 10 have been rescinded or recommended for rescission following committee and Senate review (Table 1 lists the most recent), and another 30 are on the agenda of a committee or the Senate itself for action. Approximately 15 other UPS have effective dates between 2000 and 2003; they should be reviewed in the next year or two.

Eighteen policies, listed in Table 2, still need our attention. Space does not permit a detailed discussion of these policies individually. Although 11 of these 18 policies were passed prior to 1990, many address issues of continuing concern. UPS 107.000, for example, called for faculty review (Priorities Committee) of the allocation of faculty resources. We are making progress in rebuilding the permanent faculty, but much remains to be done and this remains a serious resource issue. It is unclear to me when (if ever) UPS 100.620 and UPS 210.200, pertaining to review of administrative units and academic administrators, respectively, were implemented. The number of administrators and administrative units is substantially larger now than when these policies were put in place in the early 1980s; it is time to have a dialogue about the wisdom of these two policies. Some of the remaining policies are challenging to address because they touch on legal or bargaining issues, including patents, conflict of interest, affirmative action, investigating scientific misconduct, email, and so forth.

Although we have made significant progress in the review and revision of our UPS, our Senate leadership will need to continue to devote substantial attention to these remaining policies. We may also want to consider adding a bylaw to institutionalize a periodic review so that our policies are updated every 5 to 7 years on a rotating basis based on their effective date.

Table 1. Policies Rescinded/Recommended for Rescission (Effective Date)

Administrative and Support Procedures

(UPS 100.000-108.000)

100.302 Philosophy, Functions, and Operations of the Computer Center and Office of Institutional Research and Studies (1969)

100.504 Student-Faculty Publications Board (1979)

Faculty Personnel Procedures

(UPS 210.000-293.000)

210.012 Guidelines: Pre-Development Plan (1998)

210.013 Guidelines: Development Plan (1998)

260.101 Leaves Policy (1981)

Student Related Policy (UPS 300.000-370.200)

300.001 Student Responsibility (1977)

360.103 Student Research Fellowship Program (1971)

Curriculum (UPS 400.010-450.700)

None

Library (UPS 500.100-508.000)

500.100 Policy on Library Usage (1981)

Research (UPS 610.000)

None

The *Senate Forum* is a publication of the Academic Senate at California State University, Fullerton. It is designed to stimulate discussion, debate, and understanding of a variety of important issues that the Senate addresses. Individuals are encouraged to respond to articles contained in the forum, or to submit their own contributions.

Table 2. Policies Requiring Attention

Administrative and Support Procedures

100.005 Patent Policy, CSUF (1979)

100.605 Policy on Administrative Restructuring of Academic and Academic Support Programs (1993)

100.620 Review of Administrative Units (1982)

106.000 Campus Selection Committee for Conferring the Honorary Doctorate Degree (1984)

107.000 Role of the Priorities Committee in Allocation of Faculty Positions (1984; President's Office)

1xx.xxx CSUF Email Policy (President's Office)

Faculty Personnel Procedures

210.100 Affirmative Action Policy (1984)

210.200 Performance Review of Administrative Personnel (1981)

Student Related Policy

330.230 Tape Recording of Class Lectures (2000; President's Office)

330.231 Policy Regarding the Illegal Use of Drugs by Students (1968; President's Office)

370.200 Exclusion of Person(s) from Campus Meetings (1976)

Curriculum

410.200 Program Performance Review Policy (1992)

411.103 Policy on Interactive Televised Courses: Guidelines and Procedures (1995)

411.400 Teacher Preparation (1968)

420.105 Right of Non-Compliance, Risk Activities (1975)

420.106 Investigating Instances of Possible Scientific Misconduct (1991)

Editorial Review Board of the Senate Forum