

A STRATEGIC APPROACH TO IMPLEMENTING 4.2.g BOARD SELF-EVALUATION

Session: CS-81

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2018 PRINCIPLES SACSCOC

- Two new standards
 - 4.2.g (Board Self-evaluation)
 - 12.6 (Student debt)

Neither of these new standards are part of the Fifth Year Interim Report.

There are crosswalks to the 2018 Principles on the SACSCOC website for your review. And the Resource Manual provides a chart on the standards.

- Decennial crosswalk http://www.sacscoc.org/2019amho/CS/CS-19%20-%20Revised%20Principles,%20New%20Expectations-Guidelines%20for%20Successful%20Compliance_Handout%201_Bean.pdf
- Resource Manual-Appendix A – Chart of Standards <http://www.sacscoc.org/pdf/2018%20POA%20Resource%20Manual.pdf>

2018 PRINCIPLES SACSCOC

(1) Standard Number	(2) Descriptor	(3) Core Requirement?	(4) Fifth-Year Report?	(5) Application for Candidacy?	(6) Reviewed On-Site?	(7) Published Institutional Policy?	(8) SACSCOC Policy?
4.1	Governing board characteristics	✓		✓			✓
4.2.a	Mission review						✓
4.2.b	Board/administrative distinction					✓	
4.2.c	CEO evaluation/selection			✓			
4.2.d	Conflict of interest			✓		✓	
4.2.e	Board dismissal					✓	
4.2.f	External influence						
4.2.g	Board self-evaluation					✓	
12.1	Student support services	✓	✓	✓	✓		✓
12.2	Student support services staff						
12.3	Student rights					✓	✓
12.4	Student complaints		✓	✓	✓	✓	✓
12.5	Student records						✓
12.6	Student debt						

2018 PRINCIPLES SACSCOC

Learning outcomes from this presentation on [4.2.g](#)

Recommendations for:

1. Incorporating the language and requirements of the standard into Board policy and process.
2. Reviewing strategic planning and accreditation timelines to incorporate the self-evaluation.
3. Revising Board professional development to address the self-evaluation process.
4. Creating a Board self-evaluation instrument.
5. Generating Board minutes and other documentation that result in improvements.
6. Facilitating a new process that is cyclical and effective.

4.2.g BOARD SELF-EVALUATION

Need **four** things to facilitate 4.2.g

1. **Board process** to document an effective review that demonstrates meaningful feedback and dialog.
2. **Board policy** addressing the self-evaluation as a duty.
3. **Documentation** of appropriate approvals and outcomes of the process.
4. **Timeline** for both future and past implementations.

Resource Manual states under *Rational and Notes* for 4.2.g, "The process of institutional improvement underlies the *Principles of Accreditation*."
(page 35/29)

4.2.g BOARD SELF-EVALUATION

#1 A Process #4 Timeline

Creation of a process for 4.2.g

The governing board defines and regularly evaluates its responsibilities and expectations. (Board self-evaluation)

- *Resource Manual* indicates that this new standard is intended to be **something more substantive than a statement that "the board conducted a self-evaluation."**
- By connecting the self-evaluation to an identified and already existing strategic planning process, the institution can ensure that the new Board self-evaluation becomes a routine institutional effectiveness (IE) practice.

4.2.g BOARD SELF-EVALUATION

#1 A Process #4 Timeline

Think about your **strategic planning process** and your accreditation timeline.

Resource Manual cross-references to other related Standards/Requirements on 4.2.g. (page 37/31)

SACSCOC is pointing you to the Standard 7.1 (Institutional Planning)

4.2.g The governing board defines and regularly evaluates its responsibilities and expectations. (*Board self-evaluation*)

Cross-References to Other Related Standards/Requirements, If Applicable

Section 4 (*Governing Board*)—all standards
Standard 7.1 (*Institutional Planning*)

4.2.g BOARD SELF-EVALUATION

#1 A Process #4 Timeline

Think about your **strategic planning process** and your accreditation timeline.

- Do you implement **4.2.a (regular review of institution's mission)** as part of strategic planning? This is one of the existing Board duties.
- For the same reason, you could implement **4.2.g (Board self-evaluation)** as part of strategic planning. As a new Board duty.
- Also consider your **institution's mission** and **rotation cycle of Board membership**.

4.2.g BOARD SELF-EVALUATION

#1 A Process #4 Timeline

Think about your **strategic planning process** and your **accreditation timeline**.

- Review your current strategic planning cycle (3-year, 5-year) against submission cycles for the Decennial Reaffirmation because the Board Governance standard is **not a Fifth Year reporting requirement**.
- You need to know how many cycles of self-evaluation might be included in the Decennial report.
- You need to **revise** any Strategic Planning manuals to include this activity as a part of the institutional process. [The SP manual will be one of your documentation items.](#)

4.2.g BOARD SELF-EVALUATION

#1 A Process #4 Timeline

Think about your **strategic planning process** and your **accreditation timeline**.

My institution can get in 2 cycles prior to our next Decennial review.

However, my institution is Class of 2018, 2028.

Timeframe	Strategic Planning	Accreditation
Sept. 2015	SP Retreat for 2016-2020	
Mar. 2017		10-year report due Class 2018- reaffirmation letter
Sept. 2020	SP Retreat for 2021-2025	
Sept. 2022		5-year report due
Sept. 2025	SP Retreat for 2026-2030	
Mar. 2027		10-year report due Class 2028- reaffirmation letter

4.2.g BOARD SELF-EVALUATION

#2 A Policy

You need a **Board policy**.

- Regardless the frequency of the Board self-evaluation, you need to add language that reflects this periodic self-evaluation as a policy and requirement of your Board.

Do you add a new Board policy or could you update a current Board policy instead?

- One consideration is whether your governing Board's responsibilities and duties are set by state law as part of a state system or by a local Board's institutional control.

4.2.g BOARD SELF-EVALUATION

#2 A Policy

You need a **Board policy**.

- If you have local board policy, identify the current Board Policy that identifies/enumerates the Board powers and duties.
- Update this policy to include the "periodic self-evaluation" as one of the duties of the Board. Or you can explicitly state the timeframe (i.e. at least every two years)
- The policy language might look different if you are part of a state system.

4.2.g BOARD SELF-EVALUATION

#2 A Policy

You need a **Board policy**.

- This is probably the same local Board policy that identifies the approval of the institutional mission and evaluation of your President/CEO as responsibilities of the Board.
- [The updated or new Board Policy will be a documentation item, along with Board agendas and minutes where the new policy was introduced and approved.](#)

4.2.g BOARD SELF-EVALUATION

#2 A Policy

Descriptor Term: BOARD POWERS AND DUTIES	Descriptor Code: ABB	Issued Date: 6/13/2016
PAGE 1 of 1	Rescinds: ABB	Issued: 2/14/1977

Under law, the Board:

"subject to the provisions of 37-29-1 to 37-29-273 ... shall have full power to do all things necessary to the successful operation of the district and the college or colleges or attendance centers located therein to ensure educational advantages and opportunities to all the enrollees within the district."

STATUTORY

LEGAL REF.: 37-29-67

Board Policy:

The Board shall:

1. Select and appoint the President of the institution
2. Appoint faculty upon the recommendation of the President
3. Approve the operating and all special budgets
4. Approve the long-range plans
5. Approve appropriate legal documents
6. Determine all major policies
7. Approve the Institutional Mission
8. Define and Regularly Evaluate its Responsibilities and Expectations

4.2.g BOARD SELF-EVALUATION

#2 A Policy

BOARD PERFORMANCE EVALUATION (STATE SYSTEM EXAMPLE)

The Board of Trustees will regularly evaluate its responsibilities and performance with respect to the oversight of _____ institutions of higher learning. This assessment is designed to inform and improve the Board's a) policies and bylaws and operating procedures, including the orientation of new member, b) strategic planning, through an analysis of goals and progress made toward those goals, and c) adherence to expectations of other bodies concerned with higher education, including the state and federal governmental agencies, accrediting agencies, and university constituents.

The process or instrument to be used for this evaluation will be determined by the President and Vice President of the Board and may include surveys, individual self-reflection, and/or consultation. The evaluation of the Board will be conducted at least every two years.

Important general elements of the evaluation will include:

- Ethical performance of duties (e.g., adherence to ethics policy and related policies on conflict of interest, undue external influence, fiduciary responsibilities, etc.)
- Board logistical processes (e.g., adequacy, relevance, and availability of information provided to Board members, utility of agendas and minutes, effectiveness of communications, etc.)
- Board leadership and engagement (e.g., effectiveness of committee structure, leadership, participation by members, etc.)
- Oversight of institutions (e.g., review of mission and scope of institutions, selection/evaluation of CEOs, oversight of the financial health of institutions, etc.)
- Board level planning (e.g., effectiveness of the process of setting system-wide goals and evaluating progress toward implementation, etc.)
- Appropriateness of role (e.g., maintenance of a clear and appropriate distinction between the policy-making function of the Board and the responsibility of the institutions' administration and faculty to administer and implement policy)

4.2.g BOARD SELF-EVALUATION

#1 A Process #3 Documentation

How does the **self-evaluation process** work?

"A good starting place is a self-reflective examination of the issues that underlie the **governance standards** of the *Principles of Accreditation*." (page 35/29)

4.2.g BOARD SELF-EVALUATION

#1 A Process #3 Documentation

How does the **self-evaluation process** work?

The best place to start is literally a review of Section 4.

This naturally leads to a review of current practices for **Board professional development training** because this is usually how you educate the Board members on their duties/responsibilities.

4.2.g BOARD SELF-EVALUATION

#1 A Process #3 Documentation

How does the **self-evaluation process** work?

You may be part of a state system.

I would suggest that you identify what training/PD practices are in place for your state board. The self-evaluation can become part of their routine professional development practice and timeline.

The self-evaluation still needs to cover the General Elements, which are mapped to the Governance Standards.

4.2.g BOARD SELF-EVALUATION

#1 A Process #3 Documentation

Create a **Board Training Accreditation Alignment** document

Spreadsheet that demonstrates the alignment between SACSCOC expectations for Board Governance (subsections of 4.1 and 4.2) and the legal authority and training provided at your institution.

- [The Board Training Accreditation Alignment resource will be one of your documentation items and used in the Self-Evaluation process.](#)
- The **gap analysis** in the PD/training materials will identify areas that are missing from the alignment to subsections of 4.1 and 4.2.

4.2.g BOARD SELF-EVALUATION

#1 A Process #3 Documentation

Create a **Board Training Accreditation Alignment** document

- Remember that 4.1 is a Core Requirement.
 - These **identified gaps** will be the topics that will be added to the PD/training process.
 - The **revised PD manual** will be the basis for demonstrating “how” the Board is informed of its role and requirements.
 - [The PD manual will be one of your documentation items.](#)

4.2.g BOARD SELF-EVALUATION

#1 A Process #3 Documentation

Self-Evaluation versus Professional Development Training

- The PD Training could be covered annually (to capture any new members with turnover in your board membership) using the training manual. This will cover all the details.
- The review of the PD process through a review of the Board Training Accreditation Alignment could be done strategically (every 3-5 years) as part of the Self-Evaluation and Effectiveness Review. This is simply a reminder that the PD training aligns to SACSCOC expectations by reviewing the alignment spreadsheet.

4.2.g BOARD SELF-EVALUATION

#1 A Process #3 Documentation

Self-Evaluation Instrument

Resource Manual's Questions to Consider

- As you check-off the questions addressed by a revised Board Professional Development, you will see that some questions are still unaddressed by an updated PD process. These can become the basis for the creation of a new Board Self-Evaluation Effectiveness assessment.

4.2.g BOARD SELF-EVALUATION

#1 A Process #3 Documentation

Self-Evaluation Instrument

Resource Manual's Questions to Consider

- Use the remaining unanswered questions as the basis for the evaluation instrument. List the questions as a Likert-scale, yes/no, open text response survey that will become the **Board Self-Evaluation Effectiveness assessment**.
- The review of the **Board Training Accreditation Alignment** and general discussion of SACSCOC expectations will prepare the Board for the effectiveness assessment.
- [The survey instrument and report of results will be documentation items.](#)

4.2.g BOARD SELF-EVALUATION

#1 A Process #3 Documentation

You will have **Board agenda** and **minutes** documenting the **Board Training Accreditation Alignment review and Self-Evaluation**.

- This review will generate discussion that is captured in Board minutes.
- You can have a PD Training manual on hand with all the documentation if detailed questions arise.

You could do this over two board meetings.

1. A first where the review and Self-Evaluation assessment take place.
2. A second where the assessment results are shared and follow-up discussion is documented on any assessment items where there are concerns.

4.2.g BOARD SELF-EVALUATION

#3 Documentation

Sample Documentation Summary

You should have all the necessary documentation.

- Updated **Strategic planning manual** showing that the Board Self-Evaluation process is part of the strategic planning process.
- Updated or new **Board Policy** regarding Board Powers and Duties.
- **Board Training Accreditation Alignment** document.
- Updated **Board Professional Development/Training manual** as a result of the gap analysis.
- **Board Effectiveness Survey Instrument and Summary results** for each cycle.
- **Board agendas** demonstrating a schedule of activities in the self-review process that took place.
- **Board minutes** documenting that the policy was updated, the review process took place, the effectiveness evaluation was conducted, the consensus of any recommended changes or satisfaction with the status quo, and the implementation of recommended changes at points in the future.