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An exploration of the accreditation self-study process from the perspectives of organizational effectiveness

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AN EXPLORATION OF THE ACCREDITATION SELF-STUDY PROCESS FROM THE PERSPECTIVES OF ORGANIZATIONAL EFFECTIVENESS

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TABLE OF CONTENTS

LIST OF TABLES

Page

LIST OF FIGURES

Page

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ABSTRACT

A total of 22 sanctions were issued in 2009 for noncompliance of the accreditation standards by the Junior College Division of the Western Association of Schools and Colleges (WASC). The most common reason for these sanctions is not conducting program reviews. Another major cause is for not integrating organizational planning or using assessment results, and not correcting institutional deficiencies with governing boards. Yet, despite these warnings, many institutions continue to receive such sanctions. Models for organizational effectiveness could help institutions of higher education prepare for and become compliant with accreditation standards.

This case study involved the development of an assessment matrix that incorporated three popular organizational effectiveness models (Baldrige, Competing Values Framework, and Goal) thought to be helpful in assisting an institution in its preparedness for an accreditation visit. The final matrix included four sections which specified factors for institutional effectiveness, student learning, resources and leadership and governance. To assess the matrix, substantial evidence from departments or councils involved in ensuring accreditation guidelines were met from one college was reviewed. Also, three presidents from other organizations were interviewed regarding their perceptions regarding the value of using the matrix for accreditation preparation.

Findings revealed there was a correlation with the effectiveness models and the institution's actual preparedness. Baldrige criteria (50%) and the Goal model (43%) weighed heavily in the Institutional Effectiveness factors as well as with the Student Learning factors (Goal model, 48%; Baldrige 40%). The Resources criteria utilized both the Competing Values Framework (41%) and the Baldrige model (41%) equally. The

Leadership and Governance criteria largely utilized the Goal model (53%) due to the straightforward mandate for specific deliverables.

Conclusions were that the accreditation matrix is a helpful tool to help prepare an institution for an accreditation visit and that the Baldrige model added the most value to the process. Also, it was concluded that the matrix was an effective tool for stimulating dialogue among staff and faculty about the standards for accreditation and could positively impact the preparation process. Recommendations included the need for redesigning the matrix to focus more on the elements or factors of the organizational effectiveness models studied.

Chapter One: Introduction

In the United States, accreditation is critical for an institution to receive federal or state assistance (Abel & Fernandez, 2005; Eaton, 2009a, 2009c). Accreditation provides institutions with access to valuable operational resources that essentially enables it to operate. Most higher education institutions would perish financially if their access to federal lending programs were discontinued; it can be inferred that institutions place value on the accreditation process for operational stability.

Background of the Problem

Eight accreditation commissions have oversight of more than 3,000 regionally accredited universities and colleges, both public and private, in the United States (Eaton, 2009b). Accreditation is the process in which quality assurance reviews of higher education institutions—two-year and four-year colleges, universities, and graduate education programs—are performed to enable such institutions to implement improvement measures where and when necessary to deliver effectively quality educational service to their students. Universities and colleges rely on the accreditation process to ensure internal and external constituencies of the quality of educational programs offered and the caliber of their institutional capacity.

The external quality reviews carried out in America are conducted by private, nonprofit accrediting organizations that stand independent of government programs. As Eaton (2009a) noted, the nation's accrediting structure reflects the nature of American higher education insofar as they are both "decentralized and complex" (p. 1) systems, covering both degree and nondegree programs. Eaton cited a 2008 report by *The Chronicle of Higher Education* that stated that these institutions account for

approximately $375 billion per year in expenditures, employ around 3.37 million full- and part-time faculty and staff, and serve more than 17.7 million students. Given the wide array of higher education institutions, strikingly there are only about 80 "recognized institutional and programmatic accrediting organizations" (Eaton, 2009a, p. 2), employing about 740 paid and part-time staff, operating in the U.S. However, the staff numbers enhance by approximately 18,000 volunteers who work with the accrediting organizations.

According to Eaton (2009c) the tenets underpinning accreditation provide an excellent starting point for the merits of the accreditation process as a whole, as well as a framework for assessing specific accreditation strategies embarked on by institutions:

- Higher education institutions have primary responsibility for academic quality; colleges and universities are the leaders and the key sources of authority in academic matters.
- Institutional mission is central to judgments of academic quality.
- Institutional autonomy is essential to sustaining and enhancing academic quality.
- Academic freedom flourishes in an environment of academic leadership of institutions.
- The higher education enterprise and our society thrive on decentralization and diversity of institutional purpose and mission. (Eaton, 2009b, p. 3)

Accreditation provides internal and external constituencies with assurances of quality; yet in recent years, a surprisingly increasing number of these institutions receive citations—or sanctions. For instance, under the auspices of the Western Association of

Schools and Colleges (WASC) Junior College (Hoffman & Wallach, 2008), the regional accrediting agency for colleges based in California, Hawaii, and the Pacific Islands, 22 sanctions were issued to institutions in 2009. Many of these sanctions fall into only a few operational or academic areas (Hoffman &Wallach, 2008). The most common reason for these is not conducting program reviews. Another major cause for sanctions is for not integrating organizational planning or using assessment results, and not repairing or correcting institutional deficiencies or problems with governing boards.

The sanctions such colleges receive for noncompliance of accreditation standards can significantly impact or limit the institutions from offering new degree programs, further expansion of campus locations, and a host of other operational restrictions. For instance, warnings or probation for higher education institutions can result in further sanctions until the accreditation matters have been resolved. Furthermore, these sanctions are public relations nightmares, as the scrutiny and panic from the general public as well as students, staff, and faculty undermining colleges' can be overwhelmingly negative experiences for the reputations of these institutions. Finally, if accreditation sanctions manifest without being corrected, they can lead to revocation of accreditation, which is ultimately the end of an institution.

How can institutions develop organizational effectiveness processes to insure accreditors of the quality of programs and services? Knowing these processes can help institutions avoid such citations and meet accreditation eligibility requirements.

Statement of Purpose

The question of institutional quality is a vital one and yet it eludes a simple answer. It is not enough to determine an institution's effectiveness or ineffectiveness by

relying strictly on student outcome data largely drawn from standardized measurements. Miskel (1982) noted that to consider a myriad of factors, "a school can range from effective to ineffective on a large number of different and, in many cases, independent criteria" (p. 2). In order to obtain a meaningful picture of school success, it is necessary to assess the various criteria and identify areas of strength and weakness. This may be one reason why there are relatively few empirical studies that examine the impact of the accreditation process on higher education institutions (Smart, 2003).

Research Objective

This study addressed the gap in the research evidence by examining the organizational effectiveness of a college to determine what features or elements of process most meaningfully correlate with meeting the accreditation standards. Two-year colleges were the particular focus of this effort. McKinney and Morris (2010) stated that the success of a community college "is based on its ability and willingness to undergo significant organizational change, because its very mission is to provide comprehensive programs and services that meet the diverse and changing needs of the communities it serves" (p. 187), (Lee, 2004; VanWagoner, Bowman, & Spraggs, 2005). The accreditation process provides institutions the mechanism for evaluating their effectiveness and, along the way, provides the opportunity to create structures that can be utilized by the institution to engage quality improvements beyond the goal of simply achieving or maintaining accredited status (Barad & Dror, 2008; Briggs, 2007; Jones, 2002; Kinser, 2007; Lemaitre, 2004).

This study directly examined the experiences of one regionally accredited college as it prepared and participated in an accreditation review. Using a case study design,

components of organizational effectiveness were explored to assess how the institution used and applied these theoretical constructs in preparation for the accreditation visit.

The study utilized case study research methods to provide an action-oriented, real-time chronicling of the experience of preparing for an accreditation visit and self-study. Case study research views events through a lens focused on specific areas of interest (Rifkin & Fulop, 1997). The case study reviewed three organizational effectiveness models used to prepare a college for an accreditation review. The emphasis of the case study was grounded in my own experiences as president of a regionally accredited college; the study reviewed the three organizational effectiveness models relied upon to conduct an accreditation visit and self-study. This case study illustrated how successful accreditation visits can be determined by using these three organizational effectiveness models.

Significance of Study

Despite that large numbers of accredited institutions receive an increasing number of sanctions, not much is known about the accreditation process at the community college level of WASC accreditation. The study reviewed the institutions' evidence gathered for a regionally accredited review that incorporated a self-study and site visit by an accrediting team. This study added to the academic body of knowledge by chronicling the evidence gathered as well as the organizational structure involved in meeting each accreditation objective. The work to prepare for an accreditation visit provided a firsthand, real-world perspective on a subject that has remained somewhat undocumented.

The case study allows others within the higher education community to use it to

plan for their institutions' accreditation. It is hoped that college administrators will find techniques and tools to help prepare for their own accreditation visits using the precepts of the three organizational effectiveness models. The results of the case study may assist other college leaders to align better their institutions using organizational effectiveness techniques to meet the accreditation eligibility requirements and standards.

The research fills the void of theory and practical information on how colleges can incorporate several organizational effectiveness models to help prepare for their accreditation reviews. The oldest and most popular organizational effectiveness tool is the goal model. Another organizational effectiveness model more commonly used in higher education involves the Competing Values Framework, which delves into the competing demands inside organizations from the faculty, administrative, and other key stakeholders' perspectives. Last, a prominently known organizational effectiveness model utilized within the study will also include the Baldrige model for effectiveness, which emphasizes stakeholder involvement in decision making and assessment of results.

Prior Research

Prior research that looked at the relationship between accreditation performance and effectiveness models is minimal. Camp (1991) studied the alternative methods for assessing the organizational effectiveness of Wilmington Community College using a qualitative methods assessment to determine the value of those methods. However, none of these studies focused on the development of a matrix to be used as an assessment tools. Griggs (1966) conducted a case study of various small institutions, all of which had recently received regional accreditation, determining that colleges that focus on accreditation standards as a goal to improve learning outcomes significantly outperform

their peer institutions. Although this study focused on the importance of a college meeting learning outcomes, it did not demonstrate the change or effectiveness models used to reach such institutional milestones. McClure (1996) reviewed mandated assessment activities from technical accredited agencies and their impact on institutional effectiveness. Although this study closely correlates with the intent of this study, it does not provide a connection to the vastly different world of regional accreditation institutions.

Other prior studies focused on the learning outcomes of programs, but none address the institutional performance in its entirety to meet accreditation guidelines and expectations. Esposito (2009) studied the role organizational culture plays in effectiveness in student learning outcomes in colleges. Although Esposito's study proved that there is a conclusive relationship between organizational culture and student performance, the study does not establish a connection with the requirements of an accrediting agency. Provezis (2010) studied the relationship of regional accreditation and learning outcomes assessment. The study was conducted using data from documents, interviews, and other student learning outcomes of various regional accreditation bodies. Although, much of the learning outcomes were different, there were tendencies from various agencies to require specific nonwritten or articulated mandates.

Specific research has been conducted using organizational effective models such as the Baldrige approach in its relationship on accreditation. Anderson (1997) conducted a study using the Baldrige approach on a school district, which was found to be pertinent and valued as a research method of aligning a school district's performance around the Baldrige standards. Unfortunately, none of this research focused on the community

college level of accreditation. Faulkner (2002) studied the Baldrige educational criteria as another lever of assessing an institution for an accreditation visit and found that the Baldrige criteria does correlate with many of the requirements for an accrediting agency, but this work does not involve establishing a model for an accreditation review that is directly connected to the accreditation standards of a community college such as WASC. Equally driven by the Baldrige assessment criteria, Hackett (2001) studied the strategy for institutional improvement at a community college and found a correlation with using Baldrige as a means to improve institutional performance. Nonetheless, this case study did not provide a connection with the expectations of an actual accrediting organization.

Other studies have been conducted on the factors contributing to successful program accreditation visits, but none provide an overview of the entire institution's performance from the perspective of a regional accrediting body. Hassan (2000) studied the quality performance measures in health care that effect the standards on quality performance. Hassan's longitudinal study provided evidence in a quantitative designed self-assessment survey that there is demonstrated evidence of improvement in overall organizational performance, but it does not correlate with the standards of meeting an accreditation visit for a regional accrediting agency. Harris (1983) conducted a multicase study of the self-study process to determine the influential factors that contribute to achieving the goal of improved institutional performance. The Harris study revealed several influential factors that contribute to a successful accreditation visit, but it does not provide a matrix that can be readily used by other institutional leaders. Shackelford (2002) conducted an analysis of the factors that contribute to fire departments' accreditation process to discover its impact on the fire organization. This study that

compared five fire departments using a qualitative analysis of the effectiveness of the department in correlation with the department does not correlate with the accreditation standards of a regional institution nor does it provide a roadmap using organizational effectiveness models. Schwedtfeger (2005) researched the role of the chief instructional officer at California community colleges to determine that this role's the organizational factors correlate with the educational outcomes of the students' scholastic performance. Nevertheless, this study only focused on the role of chief instructional officer and does not correlate the findings from the study with an actual accreditation visit. Other research looked at the accreditation process involved in technical education programs to assess the leadership role. Budaghyan (2009) studied the quality assurance factors used to conduct an accreditation visit. The study was conducted as a case study using several of the regional accreditation guidelines to determine quality at institutions. The study revealed a significant correlation of the self-study process as a means to determine quality, but it does not correlate with the processes of organizational effectiveness as a central element in developing the study.

Other research focused on the intangibles such as leadership with regard to successful institutional performance. McComis (2006) looked at successful vocational institutions by examining the correlation between leadership and successfully operating colleges and determined that there was a strong correlation between successful performance and the effectiveness of the college's leadership. Because the study provided information about the performance of accredited schools, it demonstrates effectiveness models that help schools meet accreditation standards. Ferrara (2007) conducted a qualitative study of six academic departments at Fairleigh Dickinson University; here, the

researcher examined the president's effect on the institutional changes, looking at multiple case studies. Ferrara demonstrated how the relationship between leadership and accreditors' expectations changed the course of several programs at the university. Although Ferrara demonstrated how important leadership is, the work does not delineate the effectiveness models used by the institution nor the change methodologies incorporated. Hunnicutt (2008) conducted a cross-comparative qualitative analysis of the dean's leadership approach with organizational factors and environmental influences that can achieve successful accreditation visits. The results indicated that one's leadership approach positively influenced the overall accreditation process. None of these studies indicates colleges' performance on accreditation visits; further, they do not connect the kinds of organizational effectiveness that college presidents used to prepare for these visits.

Definition of Terms

The research objectives rely on conceptual definitions found in literature on institutional effectiveness (Andersen, 2006; Bass & Avolio, 1994; Botticelli, 2001; Christy, 1985; First, 2008).

Accreditation: The system in which an educational institution demonstrates its standards of educational practice through a self-study and examination by its peer educational institutions through a site visit (Alstete, 2007).

Mission: A statement that defines a higher educational institution's purpose. The mission statement is the primary objective on which the educational institution bases its plans and programs.

Organizational effectiveness: The degree to which an organization's members

perform to meet its primary objectives (Georgopoulos & Tannenbaum, 1957).

Institutional processes: The degree to which an organization demonstrates that it meets the standards of accreditation with verifiable and repeatable guidelines for handling administrative or faculty matters.

Chapter Two: Literature Review

This study explored the impact of the college accreditation process on institutional organizational effectiveness to meet the standards for accreditation. The focus of the research was on the self-study process and how organizational effectiveness theory can help to shape the institution. The case study was set at a community college, which while subject to essentially the same accreditation process as four-year colleges and graduate schools, represented a distinct and specific learning environment that was subject to different forces and encounters different obstacles than those experienced by other higher education institutions.

The review began with a discussion of the role of accreditation in higher education and its significance in society (Barad & Dror, 2008; Briggs, 2007; Eaton, 2009a, 2009b; Jones, 2002; Kinser, 2007; Kis, 2005; Lee, 2004; Lemaitre, 2004; McKinney & Morris, 2010; Miskel, 1982; Oz, 2005; Paewai, Meyer, & Houston, 2007; Pillai & Srinivas, 2006; Smart, 2003; VanWagoner et al., 2005) along with a brief history (Briggs, 2007; Eaton, 2006; Eaton, 2009b; Neal, 2008; Ruben, 2007).

Organizational effectiveness theory and its application in various professional realms were considered. The rational goal model of organizational effectiveness, one of the most popular and long-standing approaches to considering institutional operations, was discussed (Miskel, 1982; Ruben, 2007). The Baldrige model of organizational effectiveness was presented next (Bell & Elkins, 2004; Elkins, Bell, & Reimann, 2008; Leist, Gilman, Cullen, & Sklar, 2004; Ruben, 2007; Veenstra, 2007; Weinstein, 2009; Yoder, 2005), followed by a discussion of the competing values framework approach (Kaarst-Brown, Nicholson, & Stanton, 2004; Panayotopoulou, Bourantas, &

Papalexandris, 2003; Smart, 2003). All of these models show promise for taking into account the various complexities of the higher education culture.

A more specific look at accreditation processes was presented next in the literature review. The purpose of accreditation—what it means to accrediting bodies, the government, higher education institutions, and their various stakeholders—was explored (Eaton, 2003a; Eaton, 2006; Harvey, 2004; Neal, 2008). The organization of U.S. accrediting agencies was reviewed (Eaton, 2009c; Harvey, 2004). Studies discussing the role of accreditation in international schools of higher education (Anonymous, 2003; Eaton, 2009a; Hinaga, 2004; Kis, 2005; Kwan & Walker, 2003; Lock & Lorenz, 2007; Lomas, 2002; Parri, 2006; Pillai & Srinivas, 2006; Antony Stella, 2004), as well as those noting its impact on American professional and graduate schools (Abel & Fernandez, 2005; Cueto, Burch, & Adrian, 2006; Drtina, Gilbert, & Alon, 2007; Ehrensal, 2008; Gardner, Corbitt, & Adams, 2010; Gola, 2005; Peach, Mukherjee, & Hornyak, 2007; vanZanten, Norcini, Boulet, & Simon, 2008; Veenstra, 2007) were presented.

Strategies for meeting accreditation standards and pursuing quality improvements were outlined (Anonymous, 2006; Briggs, 2007; Brittingham & O'Brien, 2008; Kinser, 2007; Knight, Hakel, & Gronko, 2006; Lemaitre, 2004; Ruben, 2007; Weiner, 2009; Wood, 2006). Close attention was paid to literature discussing self-study goals and strategies, as this process was a key feature of this case study (Anonymous, 2006; Banta, 2003; Brittingham et al., 2008; Gribbons, Dixon, & Meuschke, 2002; Ruben, 2007; Sullivan, Reichard, & Shumate, 2005; Weiner, 2009) and to the accrediting body's site visit to the school.

The review then proceeded to a specific discussion of the literature on two-year

community colleges and the particular challenges they face in terms of accreditation (Eaton, 2006; Hoffman & Wallach, 2008; Honeyman & Sullivan, 2006; VanWagoner et al., 2005). Some of the recent literature on organizational effectiveness studies conducted on community colleges was considered (Jenkins, 2006; Smart, 2003; Stensaker, 2003), followed by research on efforts to implement culture improvement changes in two-year college environments (Lee, 2004; McKinney & Morris, 2010).

History of College Accreditation

The accreditation of higher education institutions is a practice dating back more than a century in the U.S. when the need arose to define and distinguish high school education from college-level offerings (Eaton, 2009b). Neal (2008) stated that the accreditation process got its most significant boost in the 1940s with the passage of the GI Bill, when Congress required official accreditation for schools applying for federal funds. This essentially transitioned accreditation from a voluntary system to a mandatory one.

The emphasis on accreditation is likely to continue for some time. In 2006, the Spellings Commission on the Future of Higher Education issued a report that was critical of the direction of the nation's education system as a whole and on the state of higher education in particular. Among the "urgent reforms" the commission highlighted, was the need to "change from a system primarily based on reputation to one based on performance" (Ruben, 2007, p. 61).The push toward accountability will be reflected in accrediting standards, which will prize greater innovation and quality improvement across curriculum strategies, technology implementation, and the development of new pedagogies (Briggs, 2007). A conversation over the idea of creating separate accrediting

bodies that are specifically charged with evaluating particular types of higher education institutions, one for community colleges, one for research universities, one for private liberal arts colleges, etcetera, has periodically gained traction and then gone dormant. However, in the last few years, Eaton (2006) revived the conversation by suggesting the idea of different accrediting agencies for different types of institutions is one that has merit but requires further study and consideration.

Clearly, the field of higher education is in a dynamic place at this moment in time, and how colleges respond to the challenges of accreditation and embrace the potential opportunities associated with self-study reflection and analysis is of particular interest to researchers and policy makers (Eaton, 2006).

Organizational Effectiveness Theory

Several of the theories on organizational effectiveness are reviewed briefly here for their relevance to the discussion of higher education accreditation processes. Ruben (2007) observed that the accreditation criteria for higher education institutions encompasses not only performance outcomes, but expectations of students and faculty, with greater attention "being given to assessing the effectiveness of the institution or program more holistically" (p. 64). This is a shift away from earlier accreditation practices of heavily weighting input and institutional intention and thus it necessitates a shift in theoretical approach to what constitutes higher education organizational effectiveness.

Goal model. The goal model of organizational effectiveness posits that organizational structure and operation is effective when the organization satisfies its stated objectives. Within the goal model, goals may be identified as either official or

operative. The official goals are those that generally guide organizational purpose. Writing specifically on the subject of school organizational effectiveness, Miskel (1982) stated that official goals are often "abstract and aspirational in nature" (p. 2) and are "usually timeless and serve to secure support and legitimacy from the public rather than guide administrator and teacher behaviors" (p. 2). Conversely, the operative goals are those that are implemented through the actions of the institution or its members. Thus, official goals are not necessarily operative goals if they are not being realized through institutional practices or member behaviors.

While the goal model of organizational effectiveness has been traditionally implemented in research studies of effectiveness, it does have its drawbacks. There is evidence that the practice of using goals to evaluate organizational efforts often leads to an overemphasis on administrative goals rather than the academic objectives articulated by faculty and students. Miskel (1982) also noted that school goals are often "contradictory" in nature and that while official goals "tend to be logical and internally consistent…the operative goals often conflict with each other" (p. 2). The goal model may not properly account for such contradictions and, therefore, meaningful assessment of goal achievement remains elusive.

Because actual institutional operations are complex, assessing the operative goals can be a challenge. It is easier to perform an evaluation of official goals, for they tend to be broadly stated and can, therefore, be more easily addressed. This frequently leads to official goals receiving greater emphasis than the harder to assess operative goals. Also, the goal model is static while school goals are often in flux, and so the mechanism for evaluation is not properly suited to the dynamics of changing school objectives. Miskel

(1982) further observed that school goals are "retrospective" (p. 3) and tend not to direct the organization but rather justify its existence.

As Miskel (1982) described it, the guiding assumption of the goal model is that "effectiveness deals with the relative attainment of feasible objectives (for example, physical facilities and equipment, human energy of students and employees, curricular technologies) and some commodity [for example, money] that can be exchange for other resources" (p. 3).Thus, the goal model may be successful in helping higher education institutions meet their profit-making expectations, but may be less successful in guiding determinations capturing individual and public objectives.

The goal model of organizational effectiveness may have had greater application in previous decades when, as Ruben (2007) claimed, "resource and accountability pressures were less intense" (p. 64) and thus the "academic mission" (p. 64) or the official goals, of the institution could serve as the "primary focus for institutional accreditation" (p. 64). However, these days, there is a tremendous emphasis on fiscal management, as schools struggle to compete in a challenging economic market, and trends in American educational policy have put standardized measurement of student outcomes at the center of all educational accountability studies. However student productivity assessment alone cannot capture the mission or programs of an institution, nor accurately identify where institutional strengths are found and where improvements are necessary.

Institutions of higher education are multidimensional, covering myriad groups and systems that do not necessarily share the same expectations and values regarding the institution's work. Thus, organizational effectiveness can only be genuinely evaluated

through a consideration of these multiple forces and by examining the balance of tensions that exist within the institution. A simple linear input and outcome assessment would appear to be ill-suited to the task.

Baldrige model. The Baldrige model, formulated by Malcolm Baldrige, is designed to assess multiple criteria on a continuing basis. Bell and Elkins (2004) claimed that "regardless of size, location, or type of business, the Baldrige Criteria provide a valuable framework for performance improvement" (p. 13), while Ruben (2007) stated that among the "various rigorous and systemic approaches to the assessment, planning, and improvement of organizations, none has been more successful or more influential than the Malcolm Baldrige model" (p. 65). The model is widely employed in business and health care organizations and, increasingly, in educational institutions (Weinstein, 2009). To this end, the Baldrige education criteria have been adapted from the original model and articulated. Leist et al. (2004) identified 11 core values underscoring the criteria:

> (a) visionary leadership; (b) learning-centered education; (c) organizational and personal learning; (d) valuing faculty, staff, and partners; (e) agility; (f) focus on the future; (g) managing for innovation; (h) management by fact; (i) social responsibility; (j) focus on results and creating value; and (k) systems perspective. (pp. 59-60)

The Baldrige education criteria proceed from these core values to consider leadership, strategic planning, student/stakeholder/market focus, measurement/analysis/knowledge management, faculty and staff (workplace) focus, process management, and organizational performance results. Ruben (2007) employed

the terms beneficiaries and constituencies in lieu of student/stakeholder/market focus, and assessment and information use in lieu of process management, though describing the same functions. These criteria are detailed more extensively in terms of items, and within items may exist even smaller and more specific areas. All together, the seven criteria contain 19 items and 32 areas that provide structure for integrated assessment. As the themes captured in the education criteria suggest, the model is applicable across the range of higher education departments and functions, from business to academics, student service to structural growth.

Elkins et al. (2008) stated that the vision for the Baldrige model emerged from an awareness that organizational effectiveness arose from a commitment to "quality and productivity across organizations, not narrowly on quality control of…products and services or on specific tools and techniques used to achieve output quality" (p. 13). In other words, effectiveness was truly measured by examining the comprehensive operations of the institution and not simply determining success based on the number of students who graduate, for instance. Ruben (2007) contended that the Baldrige model was especially well-suited to address higher education accreditation criteria because it helps institutions identify independent and shared goals within and across all levels and departments, brings these into a common discussion, and ties them together through a common assessment approach. The key is effective and visionary leadership, as numerous studies have suggested (Yoder, 2005). In advocating for the usefulness of the Baldrige education model, Veenstra (2007) was direct: "It encompasses a leadership approach that promotes systematic thinking, strategic planning, and alignment of processes that can lead to college-level innovation and institutional effectiveness" (p. 24).

Competing values framework. The competing values model of organizational effectiveness squares sets of values against one another and acknowledges the tension between opposing forces. The first set is external versus internal focus of the organization. The second set of values positions control against flexibility. There is also the tension between individual needs of the members of the organization and the needs of the organization to fulfill its goals. The framework acknowledges that the more an organization observes one value in a given set, the less it will observe the opposing value. In order to be effective, organizations then must strike a balance that is appropriate to the institution between the competing values. The competing values framework then captures the conflicting forces within the institutional environment (Panayotopoulou et al., 2003).

These competing values are positioned in four quadrants with four theoretical models, including one to each quadrant, along with respective culture types and leadership roles (Kaarst-Brown et al., 2004; Smart, 2003). The Human Relations Model is in the internal focus-flexibility quadrant, which has the clan culture type and responds to the motivator leadership role. The Open Systems Model sits in the external focus-flexibility quadrant, and is an adhocracy that responds to a vision setter leadership style. The internal focus-stability quadrant corresponds with the Internal Process Model, which is a hierarchy led by an analyzer. Finally, the external focus-stability quadrant is associated with the Rational Goal Model and reflects a market culture with a task master as leader.

As Smart (2003) noted, real organizations do not rigidly adhere to one model or quadrant alone. Some organizations (e.g., military organizations with a predominantly hierarchy culture) are heavily weighted in one direction. However, most organizations

contain elements of all four models and reflect practices associated with each to varying degrees, depending on their mission and practices. Smart reported that in the field of higher education research, there has been consistent and compelling evidence that organizational effectiveness for both two- and four-year colleges is significantly impacted by the institution's dominant organizational culture. Smart reported that schools with a predominantly clan or adhocracy culture may be the most effective. This suggests the effectiveness of both the Human Relations Model and the Open Systems Model in determining effectiveness, as well as the value of a flexible orientation regardless of internal or external focus. The next most effective culture appears to be the market culture (corresponding to the Rational Goal Model and stability coupled with external focus). The least effective higher education culture, Smart reported, appears to be the hierarchical one associated with the Internal Process Model and an internal focus married to stability.

Kaarst-Brown et al. (2004) described the competing values framework as a "validated and focused method" (p. 38) to assess organizational effectiveness and provided a thorough summary of how the institution's reflection of one set of values over another can characterize both its work and mission:

> The first dimension of organizational effectiveness distinguishes criteria that stress flexibility, discretion, and dynamism from criteria that emphasize stability, order, and control. This means some organizations are effective when they are changing, adaptable, and organic, while others are effective when they are stable, predictable, and mechanistic. The second dimension discriminates between criteria that emphasize an internal orientation, integration, and unity from criteria

that highlight an external orientation, differentiation, and rivalry. For example, some organizations are effective when they have a unified, congenial, internal culture, while others are perceived as effective when their culture emphasizes competition with others. (Kaarst-Brown et al., 2004, p. 38)

This description captures many of the facets of the higher education institution's concerns. Schools must be flexible and dynamic in order to react effectively to rapidly changing environments (cultural, political, economic, technological, and social) and evolving educational needs; this is a vital aspect of institutional survival. At the same time, schools must provide stability, order, and control through the rigorous designs of curricula and programs while maintaining consistency in their delivery of services and ability to report outcomes. Integration and unity are key to internal operations, ensuring that collegiality is realized within and across institutional departments and in maintaining the focus on student needs. On the other hand, external orientation is critical if higher education institutions are to remain economically viable. Competition with other institutions for the most qualified candidates (both faculty and students) is a fact of academic culture, as is the pursuit of awards and recognition at all levels (student achievement, faculty research and publishing requirements, institutional reputation).

Organizational effectiveness in higher education. Smart (2003) observed that there is surprisingly little empirical research examining the organizational effectiveness of higher education institutions. He noted that in the mid-1980s, research on organizational effectiveness of colleges and universities fell away in favor of research examining institutional quality. However, Winn and Cameron noted that "the literature has not confirmed that implementing certain quality principles and processes leads to

organizational effectiveness, as many advocates of quality claim" (Winn & Cameron, 1998, pp. 492-493, as cited in Smart, 2003, p. 674). However, Smart noted that despite a lack of definitive evidence for specific organizational processes that guarantee quality improvement, there is compelling research indicating that the impact of leadership is a crucial factor in quality improvement and organizational effectiveness of higher education institutions.

Cameron (1978, 1986, as cited in Smart, 2003) created a nine-dimension framework of organizational effectiveness for four-year colleges, which encompassed a range of performance evaluations across student learning, faculty professional development, and staff satisfaction, but which also included a strong element of fiscal evaluation. Given that the majority of schools (and there are not many, relatively speaking) that have lost accreditation during the last century have done so largely as a result of financial mismanagement and failure (Neal, 2008), the focus on fiscal stability and health present in Cameron's model is an important feature.

Within the context of his own research, Smart (2003) outlined Cameron's higher education organizational effectiveness dimensions:

1. Student educational satisfaction
2. Student academic development
3. Student career development
4. Student personal development
5. Faculty and administrator employment satisfaction
6. Professional development and quality of the faculty
7. System openness and community interaction

8. Ability to acquire resources
9. Organizational health (p. 684)

The structure of Cameron's organizational effectiveness dimensions greatly emphasizes the student experience, with four of the nine dimensions devoted to aspects of student achievement and satisfaction. Faculty and administration are also the focus of half the dimensions concentrating on students, and organizational functions are covered in the final three dimensions, which are impacted by the previous six dimensions and so have relevance to student, faculty, and administrative experience as well (Smart, 2003).

The Cameron model is weighted toward evaluation of the student experience, which is apt, given higher education's mission to serve the student and thereby serve society at large. An interesting component is the dimension of student personal development, which is described as sitting outside the academic and professional career arenas and seeks to limit how students perceive that their college experience contributes to their emotional, social, cultural, and individual development as human beings. There is no similar focus for faculty or administrators who, after all, are there to serve the students rather than their own personal development. Nevertheless, Cameron's model captures the importance of professional development for faculty and that employment satisfaction also constitutes a dimension of the model and reflects the degree to which these factors are understood to impact the culture and environment of a college campus (Smart, 2003).

The degree of organizational openness and responsiveness to external concerns is a critical dimension and linked to the dimension identifying the school's ability to acquire resources. These resources are not just monetary, but extend to quality of students and faculty and the institution's political and social clout (Smart, 2003). Finally,

organizational health is the overarching dimension that is essentially informed by the effectiveness of the institution on the other dimensions. It also captures the operational effectiveness of the institution as well as its commitment to addressing its mission and realizing its purpose.

This overview of organizational effectiveness theories and Cameron's dimension model of higher education organizational effectiveness is the prism through which the subsequent discussions on college accreditation processes may be considered.

Accreditation Processes

Purpose of accreditation. Accreditation serves a number of purposes. First and foremost, it serves as the bellwether of institutional quality assurance and ensures the public that an institution is fiscally solvent. Accreditation allows programs to qualify for federal and state funding. This is significant, for as Eaton (2009a) noted, in the 2006–2007 school year alone, approximately $86 billion in student grants and awards were made by the government to accredited institutions. It also serves a similar function in encouraging private individuals and companies to make donations and provide various economic supports. Employers look to accredited institutions to provide well-trained employees. For students and families, in addition to these benefits, accredited schools are able to effect transfers of course and program credits by virtue of being on the same page in regard to standards (Eaton, 2003b). Students from nonaccredited institutions may be severely hampered in their efforts to transfer credits to an accredited program.

The accreditation process does have its critics. Eaton (2009a) observed that there is periodic public debate over whether and how accrediting processes accurately assess program quality in a way that meets stakeholders' changing needs. Harvey (2004)

suggested that accreditation might more accurately be regarded as a process that ensured minimum standards were being met, rather than a guarantee of quality. Neal (2008) argued that in the 60 years since accreditation became critical to obtaining federal monies, only a very small number of schools have lost their accreditation and most of these lost it as a matter of financial collapse, rather than directly for quality failures. Neal was vociferous in arguing that American higher education is in decline and that one of the chief contributors to this decline is mandatory accreditation. Ewell (2007) attributed some of the backlash against accreditation to the fact that very few institutions have experienced any sanctions for failing to meet student learning outcomes and accountability measures. While a proponent of America's accreditation process, Ewell further observed that accrediting bodies have to do a better and more forceful job of ensuring that institutions really are working to improve their organizational effectiveness and to meet student needs.

How accreditation is organized. Eaton (2009c) noted there are four basic types of accrediting organizations operating in the U.S. Regional accreditors are charged primarily with the quality review of degree-granting two- and four-year colleges (both public and private). National faith-related accreditors review institutions that are affiliated with a particular religious group and provide doctrinally informed academic programs; many of these institutions grant degrees and are nonprofit. National career-related accreditors conduct reviews of predominantly for-profit and specifically career-targeted institutions that may or may not offer degree programs. Finally, programmatic accreditors examine "specific programs, professions and freestanding schools, e.g., law, medicine, engineering and health professions" (Eaton, 2009c, p. 2). Funding for

accrediting groups predominantly comes from the institutions and programs through annual dues and fees structures. Some accrediting organizations obtain money through sponsoring organizations, private foundations, and sometimes, through government grants.

The accreditation process for all American institutions is an ongoing one, with periodic reviews for previously accredited institutions. At a minimum, reviews occur at least once a decade but tend to happen more frequently. Institutions that have been accredited in the past can lose their accreditation if they fail to meet the established standards. Harvey (2004) identified these standards as including staff and faculty qualifications, institutional research efforts, student intake, and academic resources. It may also take into consideration such factors as curriculum design, the degree of support provided to students, and even, sometimes, the employability of the institution's graduates. Harvey also stated that accreditation may include "an estimation of the potential for the institution to produce graduates that meet explicit or implicit academic standard or professional competence" (p. 302).

The accreditation process typically includes a number of tasks affiliated with the basic stages of preparation of evidence by the institution, a site visit by peer faculty and staff, followed by the review of the evidence by the accrediting organization, and a determination of whether to grant or extend accreditation through the next review period. As Harvey (2004) observed, the accreditation process reflects many of the same mechanisms used for auditing, assessment, and external examination practices. For the institutions, this means that school leaders must engage in self-study practice, which generally means preparing a report outlining the school's performance throughout the

previous period, using the accrediting group's standards as the basis for the assessment. The self-study report is then reviewed by faculty and administrative peers engaged by the accrediting organization to provide an informed analysis of the school's performance and a determination of whether the school meets the accrediting organization's standards. Contributing to the evidence reviewed by the peer team is the report of the site visit, which is performed by a site visit team composed of faculty and staff peers, but also public individuals who have a vested interested in higher education processes. As Eaton (2006) noted, many of the site visit team members are uncompensated volunteers. The information drawn from the peer review and site visit teams is then referred to the accrediting organization's decision-making commission, composed of faculty and administrators as well as public members, and this commission is responsible for making the final judgment as to accreditation for the institution under consideration (Eaton, 2009a).

International, professional, and graduate school studies. The influence of accreditation on higher education systems around the world is evident in the significant number of studies describing accreditation processes in other countries and the prevalence of organizational effectiveness studies that track with professional accreditation for graduate education programs in the U.S. Studies examining the impact of accreditation standards on business school programming (Drtina et al., 2007; Ehrensal, 2008; Gardiner, Corbitt, & Adams, 2010; Julian & Ofori, 2006; Peach et al., 2007), medical school programs (Cueto et al., 2006; vanZanten et al., 2008), and engineering schools (Abel & Fernandez, 2005; Gola, 2005; Oz, 2005; Veenstra, 2007) constitute a good deal of the recent literature on higher education organizational effectiveness. In

many instances, the theories discussed earlier in this chapter are utilized in the research studies, for instance the use of the Baldrige model by Veenstra (2007) in a study on engineering school program effectiveness, and Leist's et al. (2004) employment of the model in analysis of medical school organizational effectiveness.

Parri (2006) contended that higher education accreditation in America is fundamentally different than that seen in many other countries, arguing that its voluntary accreditation system in which institutions apply for accreditation is grounded in the capitalist market system that is common in the country. Parri (2006) stated that countries with very different market systems, such as some in South America and Eastern Europe, have very different education systems with a strong emphasis on private institutions. In these countries, a government controlled or supported accrediting body often provides and monitors the minimum standards required of educational institutions (Kis, 2005), although countries such as Japan and India now maintain autonomous accrediting bodies (Hinaga, 2004; Pillai & Srinivas, 2006; Stella, 2004).

Eaton (2009b) noted that most international accrediting bodies employ "qualifications frameworks [alignment of education level (degree, credentials, qualifications) with expected student competencies]" (p. 1) as well as ranking systems for quality assurance, systems which are not much in use in U.S. accreditation processes. Eaton reported that 46 countries use ranking initiatives; however, the U.S. is not one of them. She suggested that as the global market continues to exert gentle pressure, the U.S. government may move toward embracing rankings to facilitate exchanges of students and credits between countries and programs. America has a regional accreditation system and Ewell (2007) argued that whatever its drawbacks, it has made "improvement-oriented,

faculty-owned approaches to assessment" (p. 2) a centerpiece of educational evaluation in this country.

Harvey (2004) conducted a qualitative study by surveying 53 institutional administrators and academics, drawn from schools based in the U.S. as well as the United Kingdom, Australia, and Canada, in order to ascertain their views on college accreditation. The researcher noted that the U.S. administrators and academics reported a more significant effect of accreditation in their educational system than did the respondents from the other countries. The majority of the respondents reported that institutional accreditation was likely a necessary aspect of enhancing the employability of the institution's graduates and, therefore, a critical aspect of the school's marketing to future student populations. Uniformity of academic integrity and discipline consistency was another advantage these respondents associated with accreditation (Anonymous, 2006).

Strategies for accreditation. To help schools meet accreditation standards, Weiner (2009) identified 15 "elements of success" (p. 28) she considered integral to college institutions' establishing a "culture of assessment" (p. 28). The first element is to establish the school's general education goals by identifying the core competencies each student, regardless of major, is expected to demonstrate upon graduation. She noted that most higher education institutions recognize critical thinking skills, scientific and quantitative reasoning ability, the ability to communicate effectively (both written and oral), and to demonstrate information literacy as central to these competencies. A second element identified by Weiner is to arrive at a common assessment language that faculty and administrator could rely on to provide direction in regard to assessment and

accreditation processes. Faculty ownership of the institution's general education goals and assessment efforts is another critical factor. Related to faculty ownership is the element of ongoing professional development, which can help institutions achieve faculty buy-in on school improvement and accreditation strategies, while also improving faculty best practice knowledge.

Weiner (2009) also cited administrative support as an essential component for creating a climate leading to successful assessment. She suggested that college presidents actively participate in workshops for faculty and staff designed to improve school performance and review student satisfaction surveys to get a sense of how the most immediate stakeholders respond to programming and initiatives. A sustainable assessment plan is also essential to school success and must be coupled with regular and consistent assessment. Student learning outcomes must be clearly articulated so that they may be properly assessed, using the right instruments or mechanisms. Regular and comprehensive program review at both the department and student levels is necessary. Weiner also advocated taking stock of and assessing the school's commitment to activities that support student learning. Determining campus climate through student surveys and considering how students regard the institution's effectiveness is another element of Weiner's culture of assessment. Also important are such practices as information sharing, transparency of communications, and effective planning and budgeting approaches.

In order to encourage faculty, staff, and students to pursue a culture of assessment, Weiner (2009) contended that a celebration of success is a necessary, but often overlooked, element of this strategy. When the school climate is improving, it is

necessary to observe and reward those improvements. Equally important is to identify failed assessment strategies, which, Weiner stated, can lead to "openness to collegiality and trust of colleagues" (p. 30). She also observed that new initiatives provide an excellent opportunity for institutions to further their commitment to a culture of assessment by inviting engagement at all levels in the assessment of whether a new initiative is working and what improvements might be suggested by the various stakeholders (Briggs, 2007; Kinser, 2007; Knight et al., 2006; Lemaitre, 2004).

Wood (2006) suggested that colleges embark on accreditation preparation by proceeding through nine stages of planning and task fulfillment. First and foremost, she recommended that college leaders identify an accreditation coordinator and then select an accreditation team numbering four to eight members who are drawn from the faculty and staff. She advised that at least one member should be affiliated with the school's administration so as to effect regular and clear communications between the administrative unit overseeing the self-study and the team, which is generally charged with writing much of the self-study report. The next step is to review the school's vision and mission statement, consider objectives, and devise the conceptual framework. Faculty should be involved in this process of reviewing the statements guiding the self-study effort; as Wood observed, it can be a vital aspect of achieving buy-in from stakeholders once change strategies are eventually implemented by the institution. The next steps are to develop a budget and create a master calendar that directs the self-study steps and accounts for all aspects of the accreditation process up and through the follow-up with the accrediting body after the site visit and accreditation review.

Once the calendar is set and the budget clarified, Wood (2006) noted that the self-

study investigations can begin in earnest. The accrediting committee may designate specific tasks to faculty members and may consider the hiring of consultants if the need arises and finances allow. It is necessary that all participants share a common understanding of accreditation language and standards. An assessment committee should also be established to evaluate the data collected in order to shape the program planning, and Wood suggested sending accreditation team members to accrediting workshops to prepare them for assessment. From here the stages of preparation become more detailed, focusing on collection and presentation of supporting documents and ensuring the necessary support and technical staff to prepare the report materials. The final stage of accreditation planning involves the peer editing of the accreditation documents, the submission of the self-study and other reports, executing a trial run of the accreditation visit, and devising the schedule and activities for the site visit (Brittingham & O'Brien, 2008; Wood, 2006).

School presidents and provosts are vital to the accreditation process and Weiner (2009) stated that if they "encourage assessment with grants, travel funds, and incentives to present and share findings, a visiting team will recognize the institution's seriousness about assessment" (p. 32). The Council for Higher Education Accreditation (CHEA) has also underscored the significant role that college presidents can and should play in the accreditation process. A report issued by the organization (Anonymous, 2006) stated that presidents' commitment to achieving and maintaining accreditation has a profound and positive impact on the process. The report echoes many of the suggestions outlined by Weiner (2009) and emphasizes the role of the president in reinforcing the commitment to accreditation through all policy recommendations and communications with the

institutions' stakeholders at every level, from governing board members, to staff, to students, to community representatives.

Ruben (2007) proposed that institutional leaders embark on accreditation preparation by using the Baldrige Education model and conducting workshops through the seven criteria with faculty and staff of specific institutional units. The unit-specific group would meet to discuss the ideas underlying each criteria, create a list identifying the institution's strengths in regard to each specific criteria and a list of weaknesses or areas of improvement, review best practices in for the respective criteria category, and then score their units on a scale of 0 to 100 "to capture perceptions of the extent to which the unit is fulfilling the standards of the category" (p. 71). Ruben suggested that the next step be to rank in terms of priority the areas of improvement, outline the goals and strategies designed to rectify them, and identify which members of the institution would be involved with improvement efforts and in what manner. In other words, the faculty, staff, and administrators would create a strategic plan, with detailed actions and timelines for addressing the seven criteria of the Baldrige model within their particular unit.

Despite the growing popularity of the Baldrige education model, Ruben (2007) noted that the research into the model's effectiveness either in terms of school organizational effectiveness or impact on the accreditation process has been very limited. The researcher summarized several recent studies that have considered elements of the Baldrige model's application and effectiveness and concluded that there is evidence that improvements have been realized. Ruben cited one study (Ruben, Russ, Smulowitz, & Connaughton, as cited in Ruben, 2007), of which he was a coauthor, that found that unit faculty members who participated in a workshop process like that described above,

reported satisfaction with the process that appeared to correlate with organizational improvement: 70% of the participants reported medium to high positive learning outcomes from their participation in the assessment process, and they identified moderate to significant improvement in 67% of the priorities they targeted through the assessment effort.

Self-study. The CHEA called self-study "the most valuable element of the accreditation process" (Anonymous, 2006, p. 8), while also suggesting it may be the process most dreaded by higher faculty and staff. While the self-study does add to the workload of faculty and staff, the CHEA indicated that much of the resistance to self-study work may be traced to a lack of awareness on the part of faculty and staff as to how accreditation processes may improve institutional performance and effectiveness. It is imperative, therefore, that the president lead the charge for accreditation work by advocating the benefits of self-study work and demonstrating how the assessment efforts will improve institutional conditions for all stakeholders. The goal of self-study is not simply to help the institution achieve or maintain accreditation but to realize quality improvement (Brittingham et al., 2008).

The CHEA (Anonymous, 2006) observed that while the college president should not be creating the self-study plan or managing every detail of the process, the president should be integrally involved in the selection of the committee members leading the self-study effort and participate in the conversations that surround how the work plan will take shape and what it will cover. One aspect of this is to articulate the final objectives of the self-study; the CHEA stated that when outcomes are clearly delineated, the self-study can be referred back to when future planning efforts are undertaken. Borrowing from the

popular idea of using electronic portfolios to capture and track student learning goals and data, Banta (2003) recommended that institutions employ electronic portfolios related to their self-study work. The researcher noted that the continuity and ease of access that electronic portfolios provide are well-suited to the long-term nature of institutional evaluation planning and implementation. At the center of the self-study work must be questions that address the institution's academic integrity and the achievement of student learning outcomes. Ruben (2007) noted that the self-study process often takes several years to perform and given that most schools undergo accrediting review every three to 10 years, for some schools the self-study process may always be in effect, rolling from one accreditation period to the next.

Gribbons et al. (2002) reported on a survey that College of the Canyons, a community college based in Santa Clarita, California, distributed to all members of its administration, staff, and faculty in order to gather relevant data to inform the self-study process leading to its accreditation review. The data drawn from the survey was used in conjunction with student performance data and academic and nonacademic program reviews, in addition to other information sources, to flesh out the college's self-study effort, Gribbons et al. observed that response rates were highest for general staff (50%), faculty responded at a 48% rate, and administration reported at the lowest rate (47%), though not by much. The survey revealed that administrators had a very high knowledge rate of the college's mission and vision statements as well as the strategic plan. Faculty knowledge of these factors was somewhat lower but still quite positive, while staff responses were also overwhelmingly positive.

The survey did note discrepancies in knowledge related to evaluation processes,

fiscal issues, and job orientations. Faculty demonstrated adequate, though not overwhelmingly positive understanding of planning and budgeting processes, even in matters specific to their own departments. The survey demonstrated that College of the Canyons needed to improve its communication functions and encourage greater participation and buy-in on planning processes by both faculty and staff members. These determinations through the survey function of the school's self-study process proved to be instrumental in helping the administration shape strategic plans for moving the college forward (Gribbons et al., 2002).

Sullivan et al. (2005) provided a discussion of a similar effort undertaken by Johnston Community College in North Carolina as a component of its self-study preparation for accreditation review by the Southern Association of Colleges and Schools. In this case, the school employed a Personal Assessment of College Environment survey to get a fix on the college stakeholders' perceptions of the campus culture. Sullivan et al. noted that the school had established a benchmark of faculty and administrative response when the Personal Assessment of College Environment survey was last conducted in 1999. They reported on the 2001 Personal Assessment of College Environment resurveying and reported that college administrators, faculty, and staff demonstrated an improvement across many categories of work satisfaction relating to greater productivity, improved collaboration and cooperative decision making, and the identification of higher performance goals. Sullivan et al. attributed the improved satisfaction levels to change strategies that had been devised and implemented as a response to the 1999 survey results and the identification of areas of weakness. The researchers noted that the 2001 Personal Assessment of College Environment results

guided new change initiatives, addressing such areas as greater integration of technology in employee communications and greater professional development and collaboration opportunities.

The site visit. Each accrediting agency has its own process for conducting a site visit and specific procedures that are followed. However, the functions they are evaluating are essentially the same. Institutional presidents and other school leaders should be familiar with the particular protocol of the accrediting organization they work with so that they can direct the self-study to meet most effectively their accrediting agency's guidelines and to prepare for the site visit by familiarizing faculty and staff with the expectations of the accrediting agency. To this end, the CHEA proposed that presidents hold open meetings in the period preceding the site visit to review elements of the self-study document created by the institution's accreditation steering committee. The CHEA stated that presidents can be instrumental in fostering a responsive climate on campus by promoting the site visit as an opportunity for faculty and staff to present the institution's strengths and demonstrate its uniqueness (Anonymous, 2006).

Presidents are also responsible for scheduling the site visit with the accrediting agency and the CHEA recommended that presidents would do well to set a date early to avoid getting caught in a shuffle of institutions scheduling site visits at the last minute. Additionally, scheduling early places the institution in a better position for effectively planning and preparing for the site visit. It also allows the president time to review the names of the accreditation site team members and to report any conflict of interest to the accrediting agency while there is still time to substitute team members. The CHEA also advised presidents to make arrangements for appropriate accommodations and activities

for the site visit team. While accrediting agencies do not expect "lavish hospitality" (Anonymous, 2006, p. 13) for team members, it is important to provide private work spaces for them and to assign school staff to be available to assist the site team members where needed. Presidents should also be present for the site team at welcoming or closing activities (or both) to convey further the institution's commitment to accreditation.

Weiner (2009) devoted a substantial part of an article to institutional preparation for accrediting organization site visits by urging higher education leaders not to procrastinate in their preparation and to provide self-study reports in a timely fashion. Weiner further suggested that colleges demonstrate their commitment to meeting or exceeding accreditation standards by implementing their own internal accreditation or assessment team that focuses on the institution's success in realizing the elements outlined immediately above. Institutions that are already conducting thorough assessment processes internally are well-positioned to communicate their seriousness of purpose to the accrediting agency. By providing site visit teams with clear documentation of internal assessment efforts, minutes of board and department meetings, and summaries of department activities, for instance, institutions convey their intention to meet assessment guidelines.

Two-Year Colleges: Cases and Considerations

While accreditation processes for two-year and four-year colleges are fundamentally the same, with school leaders and faculty required to engage in self-study preparation for accreditation team site visits, there are significant differences between the institutional structures and the challenges they face. The articles discussed in this section explore accreditation processes as they have impacted two-year colleges and their impact

on organizational effectiveness in these institutions. While America's community colleges are experiencing a period of tremendous growth and increasing significance, the graduation rates are disappointing and the need to improve retention and graduation results is critical (Raisinghani, Bowman, & Spraggs, 2005). Many of the educational researchers working on community college issues have noted the promise of these schools for reaching and assisting wide swathes of American society, providing opportunity to students who might otherwise not have access to a college education. The challenge is how best to improve community colleges so that they can fulfill their overarching mission of preparing students who are personally and academically qualified to graduate according to recognized standards of performance.

Accreditation of two-year colleges. The case of Compton Community College, one of California's oldest community colleges, which lost its accreditation in 2006 as a result of extreme financial and management issues, was presented by Hoffman and Wallach (2008). It is a notable case since Compton is the only community college in the nation to have ever formally lost its accreditation (a handful of four-year colleges have befallen this fate), though several other community colleges have been issued a formal warning of accreditation challenges unless they can reverse their declining performance figures (Seymour, 2004). Hoffman and Wallach's (2008) report offers an interesting and useful inside view—both authors were employed at the college prior to its formal closure—of the deaccreditation process.

WASC withdrew accreditation after several years of severe financial difficulties left the school teetering on the brink of collapse. Hoffman and Wallach (2008) noted some of the circumstances preceding the revocation of accredited status that were

obvious red-flag indicators of the college's mismanagement. At its most vital point, the college had served approximately 6,500 full-time equivalency students, but by 2006, that number had dropped drastically to just 1,200 students. This triggered a series of faculty layoffs, which contributed to loss of morale and further contaminated the college campus culture. Hoffman and Wallach (2008) provided a devastating summary of the problems plaguing the college near the end:

> The scandals primarily involved financial malfeasance and misappropriation of funds. Buildings were constructed without adequate supervision and, thus, were not functioning appropriately. An $11 million student learning center constructed in 2005 still had not opened due to design flaws and sat idle on campus. The problems were poor communication and poor decisions that were made in a unilateral top-down fashion (p. 608).

At the time of the WASC determination to withdraw accreditation, Compton College was regularly failing to meet fiscal commitments, such as paying vendors for services and the WASC Financial Crisis Management Administrative Team determined the college was in a state of insolvency (Hoffman & Wallach, 2008).

What is evident from this description is the utter failure of leadership at Compton Community College and the inability of other stakeholders to alter the downward trajectory of the institution. Hoffman and Wallach (2008) described the faculty's responses through the well-known Kubler-Ross construction of the stages of dying—denial, anger, negotiation, depression, and acceptance—throughout which the central hope was that the state and the accrediting agency would step in and replace the administration with more effective leadership and keep the college intact. Instead, on the

verge of Compton Community College's dissolution, another area community college (El Camino Community College) stepped in to partner with the remnants of Compton's faculty to maintain it and continue to serve Compton's students. Hoffman and Wallach closed their article by expressing their hope that Compton might one day reopen as an "autonomous" (p. 612) and reaccredited school.

Seymour (2004) described the challenging accreditation review experienced by Los Angeles City College, a community college in Los Angeles that received a warning in 1997 by WASC that it was at risk of losing its accreditation. The WASC identified physical environment problems as one issue, but more significant was the accrediting body's determination that the school's leadership and governance were "'fragmented,' 'disconnected,'" (p. 60) and departments functioned "'independently'" (p. 60) of one another. These issues produced more tangible problems related to resource limitations, fiscal instability, and inconsistent planning and programming. In an effort to address the accrediting agency's concerns and improve their school's quality, the college president, administration, faculty, and staff embarked on a master planning process of continual improvement that brought departments into much closer collaboration and improved relations between faculty and administration. Seymour noted that within 2 years of initiating the improvement plan, the college was able to demonstrate significant improvement across a number of standards targeted by WASC as essential to accreditation approval.

A more pleasant report of how a community college accreditation process was used to strengthen a school's service was offered by Moore (2009), who described the rapid growth of Mississippi Delta Community College to satellite campuses and offering

online courses, and increasing minority student enrollment (48% in 1995 to 60.4% in 2006). While the school was encouraged by its outreach and growth efforts, it was also increasingly challenged by a growing number of entering students who were insufficiently prepared with the basic language and computation skills necessary for college-level work. Moore noted that the college's preparation for accreditation review through the Southern Association of Colleges and Schools revealed the students' weaknesses and that the college's programming was, in its current state, insufficient to the task of truly meeting student needs. This faculty-led inquiry guided the school's development of a quality enhancement plan. Moore reported that the self-study inspired by the accreditation preparation process "energized the English faculty members to pursue a more collaborative, research-based approach to improving our writing program rather than remain in the defeatist cycle of passing blame for poor student performance" (p. 66). This is an example of the kind of specific and tangible program improvement that accreditation advocates identify as a key benefit of the accreditation process.

Eaton (2006) and Honeyman and Sullivan (2006) considered the question of whether community colleges might benefit from having a separate accrediting body established, separate from other agencies, which would address accreditation of other higher education institutional types. Eaton (2006) outlined the broad advantages of such a development, stating that specifically targeted accrediting organizations will have a more comprehensive understanding of what issues impact community colleges differently from other institutions. More detailed and targeted standards can be brought to bear with a community college-specific accrediting body, rather than subjecting all types of higher education institution to the less-specific and homogenized evaluation designed to be

utilized across institutional type. Eaton contended that there would be "more robust, richer peer review activity" (p. 94), if the accrediting body was populated by higher education professionals who were well-informed on the range of community college operations. However, Eaton cautioned that a danger also lies in separate accreditation processes; there exists the potential to segregate community colleges from four-year colleges and research universities. The current accreditation process ensures that schools are assessed by similar standards, which means that a certain continuity of practice is accepted and this facilitates exchange of information and knowledge among faculty and students. Honeyman and Sullivan (2006) extended this argument and noted that many have suggested that the current accrediting standards be modified to "better reflect the realities in the community college setting" (p. 182).

Organizational effectiveness. Jenkins (2006) examined the institutional effectiveness of six community colleges based in Florida to determine the characteristics and policies of high-performing schools versus low-performing schools, particularly in their delivery to African American and Hispanic students who have been traditionally underserved in higher education. Jenkins examined student data for 28 community colleges and ranked them according to their impact on recruiting and maintaining minority students through to completion, transfer, or persistence throughout a three-year period and selected the three highest impact schools and three schools with the lowest impact. The study design incorporated two-day site visits to each of the six community colleges selected for the study. The teams were composed of two to three members affiliated with the Community College Research Center at the Teachers College of Columbia University. During the site visits, the team conducted interviews with the

college president, other senior administrators, faculty and staff, and representatives of the African American and Hispanic student populations.

The Community College Research Center had posited seven hypotheses regarding what distinguishes high-impact schools from low-impact schools in terms of this population. These ranged from focusing on student retention and targeting support to struggling students, to maintaining comprehensive student services to support efforts, providing support and professional development to faculty, exploring changes in pedagogy and curriculum delivery to meet better the needs of diverse student populations, tracking student outcomes and redirecting programming efforts if necessary to meet student needs, and managing the operations of the school to "promote systemic improvement in student success" (Jenkins, 2006, p. 1). Interestingly, the three schools that had high-impact ratings for their minority students also had a high-impact on all their students. The processes they had in place to support minority involvement appeared to, if not directly, benefit nonminority students, then not negatively to impact them. Conversely, the low-impact schools also had relatively low impacts overall on their student populations. The high-impact schools demonstrated strong commitment to providing targeted support and services to their minority student populations and encouraged a campus culture that was inclusive of all, rather than reflective of a dominant White majority culture. Jenkins observed that leadership beliefs and practices were at the heart of a school's performance in terms of its minority students, with the low-impact schools invariably espousing a "color-blind" (p. 24) policy and the leaders arguing against "preferential" (p. 25) treatment for minority students.

Smart (2003), noting that he could locate "no studies in the higher education

literature…that examined the link between the effective performance of colleges and universities and the cognitive and behavioral complexity of either their organizational cultures or actions of senior campus leaders" (p. 682), embarked on just such an empirical research effort. He surveyed all full-time faculty and administrators working within a statewide system of 14 community colleges and received useable responses from 1,423 subjects (52% of the target population). The survey addressed items of higher education organizational effectiveness (based on Cameron's nine-dimension model discussed earlier in this chapter), types of organizational culture, and perceptions of the types of leadership seen in the colleges. Of the respondents, approximately 54% identified as administration and the remaining 46% identified themselves as faculty and they averaged just over 11 years in their professional experience at their respective two-year colleges, ranging from one year's employment to 34 years' employment.

Respondents were surveyed as to their perceptions of their organizational culture as corresponding to the competing values framework model—Clan, Adhocracy, Hierarchy, and Market—and their views of their community college's leadership style, classified as Motivator, Vision Setter, Task Master, and Analyzer. Smart (2003) performed two sets of analyses on the data. He cross-tabulated the perceptions of complexity of overall campus culture with that of leadership performance and style, with scores ranging from little to no complexity (0) to great complexity (4). The second analysis was a multivariate analysis of variance performed on subjects' perceptions of organizational effectiveness (the nine dimensions), campus culture complexity, and behavioral leadership complexity.

The analyses revealed a powerful, positive correlation between the complexity of

the campus culture and the leadership performance and style of senior college leaders. Further, leadership and campus culture each had a statistically significant impact on respondents' perceptions of organizational effectiveness. The community colleges that reflected the greatest degree of complexity in campus culture, balancing elements of clan, adhocracy, hierarchy, and market, also reported the highest perceptions of organizational effectiveness. Thus, while prior studies have favored a clan or adhocracy model, Smart's (2003) evidence favored systems that incorporated elements of hierarchical and market models to balance clan and adhocracy features. On a similar note, the leadership style that was most frequently associated with perceptions of organizational effectiveness was the complex variation that demonstrated elements of the four basic leadership styles (Motivator, Vision Setter, Task Master, and Analyzer) present in a well-balanced tension. Leaders who managed to serve in all these capacities were more successful than leaders who demonstrated an adherence to just one or two styles.

Based on his findings, Smart (2003) argued that efforts to improve higher education organizational effectiveness be concentrated in improving campus culture through complex and balanced leadership. He referenced the myriad studies that have explored the effects of implementing various management processes and systems in higher education environments and noted that the evidence clearly establishes "there is little hope of enduring improvement in organizational performance without a fundamental change in organizational culture" (p. 698). This fits neatly with accreditation's requirement for self-study, a process that invariably entails a review of relationships on campus and the nature of the campus culture. Specific strategies for achieving comprehensive self-study can investigate how campus culture is informed and

where more complex and balanced approaches to leadership and practice may be brought to bear. Smart concluded, based on the compelling and statistically significant evidence produced from his study, that the competing values framework is a valid and useful construct for guiding research on higher education organizational effectiveness.

McKinney and Morris (2010) provided a case study of institutional change in two community colleges embarking on an expansion of their service delivery through the introduction of community college baccalaureate programs. The researchers observed that community college baccalaureate s are of increasing interest in the higher education field as a nontraditional model for allowing students who are otherwise unable to obtain a four-year degree because of limited personal resources as well as limited structural resources, including a limited number of four-year college and university programs in some regions. The move toward community college baccalaureates is also a reflection of the market environment and that an increasing number of jobs require four-year degrees of their employee candidates. Of course, introducing a four-year degree program into a two-year college environment will fundamentally alter the institution and McKinney and Morris were interested in determining how to ameliorate the negative aspects of transition and encourage positive growth and development.

They utilized John Kotter's (1996) eight step model for large-scale organizational change in their analysis. They identified several key themes that emerged from the evidence of their research that correlated with Kotter's model. The themes driving the two community colleges' plans for embarking on community college baccalaureate programs were identified as (a) justifying the need for the change; (b) acquiring authorization from their regional accrediting agency; (c) exercising the effective

leadership to realize and manage the change; (d) addressing challenges as they arose during the change process (particularly in the areas of budgeting, staffing, and stakeholder resistance); and (e) the ability to change institutional policy and practice to meet the new demands (admission processes, financial aid, and range of academic services, were cited among the likely variables). A consideration of these themes, taken altogether, suggests the need for strong and clear-sighted leadership at every stage of the change process. McKinney and Morris (2010) observed that the presidents of the two community colleges at the center of their research each evinced a powerful and effective presence throughout the community college baccalaureate change process. They identified this leadership as key to the success of both colleges' efforts to implement the major institutional change represented by the community college baccalaureate program.

In her article discussing the creation of the relatively young and yet very successful River Parishes Community College in Louisiana, Lee (2004) indicated that the founding members of the college reviewed some of the theories and models of organizational effectiveness outlined in this chapter, from rational goal theory to competing values framework to Cameron's nine dimensions of higher education organizational effectiveness (Smart, 2003) in order to inform their determinations for the formulation of a campus culture that fosters organizational effectiveness. She observed that River Parishes Community College mixed clan and adhocracy culture that emphasized a great deal of collegiality and sought to increase cooperation between various departments within the institution. At the time of her article, River Parishes Community College had only been in operation for five years, but it had received top ranking among all two-year colleges in Louisiana for three years running, a reflection,

Lee (2001) said, of the "combination of effective leadership and dedicated and committed student-centered faculty and staff" (p. 509).

Conclusion

Perhaps the most compelling and salient observation that can be distilled from the literature discussed in this chapter, across the domains of accreditation (Gribbons et al., 2002), organizational effectiveness (Elkins et al., 2008; Leist et al., 2004), and community college research (Eaton, 2006; McKinney & Morris, 2010), is that active, balanced, and positive leadership is critical to meaningful culture change in higher education.

The literature on accreditation asserts the role of the president and other school leaders in shaping the culture of the organization and leading the charge for improvement efforts (Anonymous, 2006; Eaton, 2009c; Wood, 2006). The president is integral to the effective conduct of the institution's self-study process (Brittingham et al., 2008; Weiner, 2009; Wood, 2006). The president also serves a vital role in the site visit and must remain responsive to the accrediting body through the lead-up, follow-through, and follow-up to the accreditation review for the institution (Anonymous, 2006; Weiner, 2009).

In those rare situations when community colleges have been cited for accreditation failures or in the case discussed in this chapter in which accreditation was withdrawn, there is persuasive evidence that a failure of effective leadership and management triggered a domino effect of a general systems collapse, fiscal instability, and academic program failure (Hoffman & Wallach, 2008; Seymour, 2004). Organizational effectiveness theory has been extensively explored for its effects on improving higher education institutional culture but the research on management models

of effectiveness has been largely inconclusive (Smart, 2003; Stensaker, 2003). The models that appear to provide promising direction for quality improvement efforts in higher education institutions generally (Veenstra, 2007; Weinstein, 2009) and in community colleges specifically (Lee, 2001; Yoder, 2005) are the Baldrige model (Ruben, 2007; Smart, 2003; Yoder, 2005) and the competing values framework (Kaarst-Brown et al., 2004; Panayotopoulou et al., 2003).

What the literature discussed in this chapter firmly establishes is that higher education institutions are complex structures that do not appear to respond to easy solutions in terms of culture change and quality improvement (Eaton, 2009a; Miskel, 1982; Smart, 2003). However, instances where strong leadership has manifested and effectively used the accreditation standards and preparation processes, particularly self-study initiatives, demonstrate that genuine change improvement can be realized within higher education institutions (Gribbons et al., 2002; Kinser, 2007). This study proposed to explore these themes and to contribute to the growing base of knowledge on the use of accreditation processes to foster positive improvement toward achieving organizational effectiveness in the higher education institution.

Chapter Three: Methodology

The study examined the organizational effectiveness models used to meet accreditation guidelines. This study considered the experiences of one regionally accredited college as it prepared and participated in an accreditation review. Using a case study design, components of three organizational effectiveness models were used to assess how the institution applied these theoretical constructs in preparation for the accreditation visit. The research objective was "to explore the accreditation self-study process from the perspectives of Organizational Effectiveness."

The Case Study Design

Many researchers used the case study method to study various aspects of higher education accreditation. Lake (2004) used a case study analysis of the continuous improvement processes used by two progressive universities to determine the factors that contributed to the institution's accomplishments. In this research, the case study method was used because of multiple analysis methods to determine the correlates of one institution's success factors. Marshall (2006) incorporated the case study perspective to analyze the factors that contributed to the self-study process for a Jamaican higher education institution. Marshall also used cross-case study because of the number of institutions studied. Fryer (2007) conducted a single case study looking at the factors that contributed to a high school in California's accreditation and accountability process. The study determined that the processes involved in case study research was more essential than the outcome. In another study involving the case study methodology, Krause (1980) used the case study method to see the factors that contribute to student services, focusing on nontraditional students at a higher education institution.

Researcher Merriam (2005) states that case studies illustrate the processes incorporated as opposed to reporting the outcomes. The processes for the preparation of an accreditation visit are the essence of the accreditation and reaffirmation process. For this research study, the case study design was the most effective to assess the organizational effectiveness and change processes based on the WASC standards for accreditation. Using the case study method in this manner confirms that the reaffirmation of accreditation is a review of the institution's effectiveness. The case study method correlates and emphasizes processes, as does the accreditation process. The underlying premise of the study looked at the various processes implemented to demonstrate organizational effectiveness in a higher education institution.

Setting and Accreditation Process

The institution of focus was a two-year nonprofit institution located in California and offers programs primarily oriented to the marine technology and commercial diving sectors. The institution was under the tutelage of its current accreditors (WASC) since 1973; its enrollment was approximately 300 students across the six academic degree-certificate programs. The institution employed eight full-time faculty, 26 part-time adjunct faculty, five administrators, and 11 full-time staff members. The institution had a 40-year history in marine technology; it recently expanded its programs to include allied health and homeland security.

In 2002, the institution was acquired by a large nontraditional educational provider and was then subsequently converted from a for-profit to a nonprofit educational institution. The affiliation with the major nontraditional conglomerate institution allowed the college to receive extensive academic, administrative, and student support services.

This relationship allowed the institution to leverage its resources to provide students with premier campuses, valuable institutional resources, 24-hour student services, and essential program improvements.

The accreditation process for WASC relies on the institution's ability to demonstrate that it meets the accreditation standards in all phases of operating an institution, which includes the administration, academics, and student services. The reaffirmation of accreditation process also involves the institution developing a self-study that covers the institution's past performance is areas such as academics, student services, and administration. The accreditation reviews culminate with a site visit to the college campus by a voluntary group of peers from the higher education community. These site visit reviews also include an assessment of the quality of the staff, faculty, the board of trustees, and student performance to verify that the college meets the accreditation standards. College administrators and faculty, ultimately led by the president, coordinate the institution's effectiveness to meet the standards for accreditation.

The overall goal of any institution is to meet or exceed the standards for accreditation by its approving agency. The processes, based on the organizational effectiveness models deployed, should meet the accreditation standards without recommending any one particular method over another. These organizational effectiveness processes to meet the standards for reaffirmation of accreditation are the focus of the study.

Role of the Researcher

During my first two years in Pepperdine's doctoral program, I served as president of a nursing and allied health college that underwent four program reapprovals and one

institutional reaccreditation visit, which also involved managing an accredited school out of an accreditation sanction. Entering my third year in the doctoral program, the allied health college merged with another institution that was about to embark on upon its reaffirmation of accreditation. As an incoming college president faced with making final preparation for an accreditation visit, I would have greatly benefited from a case study describing the steps toward accreditation preparation from the perspective of the administrative leadership. In the spirit of Hock's (1999) *Birth of the Chaordic Age*, where he discusses one's ability to listen to the universe, I heard well what the world was saying. I selected the topic of accreditation for my dissertation research. In that manner, I chronicled how I used the theory and tools I learned during the doctoral program in my latest accreditation preparation endeavor.

Any higher education administrator who has gone through an accreditation process would verify that the process is not full of the proverbial kicks and giggles. I proposed the case study from the perspective of a private, nonprofit institution I inherited (as president) only several months before the accreditation visit and self-study. I barely had time to change my business cards before work on the accreditation process had to start. I saw that, as incoming president, I needed to impart change and organizational effectiveness models that would-could help improve employee morale, get faculty reengaged in the college, and implement new organizational structures to make the institution effective from the accreditation perspectives. It was in this environment that I decided to chronicle the restructuring of the college based on the organizational effectiveness models and assessment matrix to meet the accreditation standards.

Sources of Data

The literature on organizational effectiveness was used as a basis for development of a matrix to assess the accreditation preparedness of the target institution. Each of the WASC major standards for accreditation was categorized in an assessment matrix that was developed to assess the WASC accreditation expectations. WASC articulates the standards for accredited institutions (in the Standards for Accreditation), prescribing the steps in evaluating an institution based on several predetermined criteria. The WASC standards are used by colleges in their development of the self-study to determine the institution's effectiveness. The standards serve as the focus of the accreditation review processes; they also serve as the guidelines for the various organizational effectiveness models used in this study.

Other sources of data consisted of the various accreditation materials from within the institution, the WASC accreditation literature, and interviews of other leaders of institutions who assessed the matrix based on its ability to assist their institutions in its preparedness. The target institution's artifacts such as prior accreditation self-studies and midterm reports provided data on the colleges accreditation, particularly those between 2003 and 2010.

As part of assessing the matrix, interviews were conducted with college and university leaders who have recently participated in an accreditation visit. Merriam (2005) also argues that interviews are invaluable during case study research. Interviews were used to gain qualitative perspectives of other institutional leaders at colleges and universities to assess the organizational effectiveness matrix to gauge whether these could improve their college or university preparedness.

Data Collection Process

A three-phase data collection process was used. Phase 1 involved developing a matrix based on the various aforementioned organizational effectiveness models so that they assist the institution in meeting the accreditation standards. Phase 2 focused on using the matrix while assessing the artifacts from the college's most recent accreditation visits in the 2003 midterm report. Phase 3 consisted of interviews of leaders from other colleges and universities that participated in a similar accreditation process.

Phase 1: Development and assessment of organizational effectiveness/change assessment matrix. The literature included the WASC Standards for Accreditation and also organization effectiveness and change models. A matrix that represents these standards and models was developed for use in Phase 2. The assessment matrix allowed institutional leadership to assess each area to make certain that they all meet the standards of accreditation as well as demonstrate processes and practices known to contribute to organizational effectiveness.

Phase 2: Artifacts from prior accreditation reviews. The artifacts used to prepare for the accreditation visit included the institution's 2003 mid-term accreditation report. This key document, which illuminated the institution's historical performance, was used to assess the development of the matrix. The institution's strengths and weaknesses in meeting the WASC standards as well as organizational effectiveness models were considered.

Phase 3: Interviews. The interviews included conversations with other institutional leaders who have participated in an accreditation visit. The interviews allowed these institutional leaders to consider the matrix and how it could potentially

assist their institutions in preparation for future accreditation visits. The interview questions were unstructured and mostly conversational in nature in order to gain insights from these colleagues' experiences. Contacts with potential subjects were made through professional networking activities. Three individuals were interested and agreed to be interviewed and have the conversation tape recorded.

Human Subjects Considerations

For this study, potential interview candidates were given the option to participate at their own volition. Within accordance of federal guidelines, all subjects involved were informed that the study was completely voluntary and that all subjects remained anonymous in any final reports. As presidents of the college and senior executives within their organizations, the perceived risks associated were minimal, as those institutional leaders agreeing to be interviewed had no direct connection with the researcher's organization. Means for keeping any information provided confidential and solely within the auspices of my office were also communicated to all possible interviewees. As the accreditation process is part of a senior executive's normal and expected work responsibilities, informal interviews about associated issues are not out of the normal expectations. Artifacts that contain any personal identifying information were handled with extreme caution and no identifying information was reported in the case study final report.

An application for exempt status was submitted and approved through Pepperdine University's Graduate and Professional Schools Institutional Review Board (see Appendix A). An alteration in the informed consent process was also requested in order not to require a signed consent form. Subjects were assured of the confidentiality of any

information they provide about their experience with accreditation processes and advised of the confidentially of their own and their institutions' names. Additionally, each interviewee was assured that none of their identifying information or names would ever be associated with comments or responses shared or discussed during the interviews. In short, all information remained confidential and opinions also remained anonymous.

Analysis

Phase 1 involved the development of an assessment matrix, which was validated by individuals familiar with associated conceptual and practical application. The process included comparisons to historical research findings that utilized organizational effectiveness in various institutional or organizational studies. Once a framework and structure were developed, the tool was reviewed by a higher education accreditation consultant with experience in such preparation methods as well as someone familiar with the conceptual areas.

To develop the matrix, the accreditation standards were listed and possible artifacts identified that provide evidence of attainment of each accreditation standard. Organizational effectiveness models' benchmarks were also used to associate with each accreditation standard. These organizational effectiveness models also included three commonly used models. The goal model was used when items were specific, the competing values framework when items conflicted across divisional units, and the Baldrige model in instances in which multiple stakeholders were identified as needing to be informed of the activities or outcomes. These three organizational effectiveness models can also aid an institution in recognizing the conflicting requirements for accreditation. Table 1 provides an illustration of the accreditation matrix applied to

Standard 1. A of the WASC Standards for Accreditation (2009).

Table 1

Institutional Organizational Effectiveness Accreditation

WASC Standards	Evidence (Textual Analysis)	Organizational Effectiveness Model	Departments Utilized
Standard Ia. Mission Statement Connected to Institutional Goals	Review of historical information from board of trustees meetings and institutional meetings.	Baldrige	Faculty, staff, institutional leadership, students, and the board of trustees.

Phase 2 involved application of the matrix to the various artifacts from the accreditation process. In order to do this, textual analysis was involved. According to Merriam (2005) document analysis assesses the various written materials in relation to subject variables. For the research study, the document analysis involved the gathering of all materials associated with the previous accreditation. First, the WASC accreditation self-study guide was reviewed so that key institutional benchmarks were in place to meet the accreditation standards. These documents, when used effectively, allow the institutional leadership to implement the right level of processes and organizational effectiveness techniques to demonstrate evidence of compliance to the WASC standards. The review of documents also provided invaluable insight about the history of the college in relation to its accreditation performance. This review of materials encompassed a review of notes from previous institutional meetings, previous accreditation documents such as the self-study from the last accreditation visit in 2003, and the midterm report that was submitted in 2006. Other materials that were reviewed included prior annual operating plans, long-term strategic plans, financial audits, and reviews from the past

several financial audits. These documents were reviewed to determine the key institutional processes that must be in place to demonstrate that the institution meets the objectives of providing the administrative, academic, and student services that are sufficient within the learning environment of the institution.

Phase 3 involved textual analysis of interview data to determine how participants perceived accreditation matrix to prepare for the accreditation visit. A topical and thematic analysis process was conducted on both interview transcripts and on the researcher's field notes of anecdotal interviews.

Methods to Ensure Internal Validity

Qualitative studies often do not correlate with the sample sizes selected. As Merriman (2005) states, the reliability of the study often results when a single variable analyzed is matched against the measurable variables implemented. The results from these variables should strongly correlate with the variables and implement the steps toward the results should be strong correlates. These factors often determine the reliability of factors involved in case study research.

Additionally, Merriam (2005) states that reliability is often achieved when the data make sense, which in turn makes the data reliable. Also, since case study research is often about the process, the apparatus determined for reliability of the study should be based on the process and not outcomes. In this regard, the applications of the processes applied should make the data valuable and reliable.

Chapter Four: Results

The study examined three organizational effectiveness models used to assist a higher education institution in its preparation for an accreditation visit. To address this issue, Phase I of this study was organized around the development of the organizational effectiveness matrix.

Phase II involved matching the matrix to the institution's prior accreditation midterm report to verify that the matrix had validity in an accreditation document. Validity of the matrix was based on matching the evidence (provided to the accrediting agency) with the processes implemented from the organizational departments, divisions, or committees involved in meeting the objective. Next, Phase II of the study then involved using the organizational effectiveness matrix to assess the case study institution's preparedness for the accreditation visit, based on the WASC Standards for Accreditation. The WASC Standards for Accreditation are divided into four areas for assessment of the institution's performance and include: institutional effectiveness, academics, resources, and leadership and governance. For the study, the four Standards for Accreditation were matched against the matrix that the author developed to measure three commonly used organizational effectiveness models: (a) Goal, (b) Competing Values Framework, and (c) Baldrige. To aid in understanding the model, each accrediting criterion was listed along with the departments or functional divisions involved in completing the objective to produce the results.

Phase III involved interviewing institutional leaders from other universities or colleges who have embarked on accreditation processes and visits to determine if the matrix would have value on accreditation materials.

Phase I:Development of Matrix and Assessment of Organizational Effectiveness

The study examined the effects of the three organizational effectiveness models on the accreditation process. To address this objective, each accreditation standard from the WASC published manual called, *Standards for Accreditation*, which references the expectations of accredited institutions to meet performance standards, was matched with the matrix to help assess whether the institution's performance meets the accreditation standards. The organizational effectiveness matrix was then applied to each accreditation standard along with one of the identified organizational effectiveness model.

The organizational effectiveness matrix included either a single, multifunctional, or competing deliverables. Single variable deliverables are inclined to use the Goal model, while deliverables that involve competing or leveraging against other institutional resources from cross-varying departments would typically be associated with the Competing Values Framework, and then items that involve repeatable processes for assuring effectiveness are inclined to utilize the Baldrige model.

How Does the Assessment Matrix Work?

The assessment matrix is divided among four columns to identify the artifacts or evidence required for the accreditation visit, the standards of accreditation as prescribed by the accrediting agency, and the organizational effectiveness models. Each column in the matrix is described in greater detail below.

Column 1. This includes the standards for accreditation as outlined by the accrediting agency, WASC. These standards are typically based on the performance of the institution from student services, academics, and administration.

Column 2. The evidence provided for an accreditation visit is essential to the

accreditation process. Institutions are encouraged to provide the sight review team with evidence that substantiates that the accrediting agency's objectives are being met. These evidentiary requirements involved each institutional stakeholder to assess how the institution meets the standard. The institutional stakeholders are also required to provide physical artifacts of the evidence during the site review. The evidence gathered should demonstrate that the standards have been met. The evidence provided can include documents such as minutes from various institutional meetings, written documents such as key institutional milestone reports, other artifacts that substantiate assessments of programs or services, and samples of any plans that have been developed by the institutional stakeholders. Some of the other key documents utilized in the assessment of an institution include: Three Year Program Reviews, which are assessments of educational programs that include internal and external assessments of students, graduates, faculty, employers, and other key stakeholders; Annual Operating Plans; and other key documents referenced throughout the accreditation process. Many of these documents are provided to the accreditation team as evidence and as key deliverables in this accreditation matrix.

Column 3. Column three includes an assessment of the organization using the three organizational effectiveness models. For this column, items can be denoted as utilizing several effectiveness models or a singular model. Another important aspect of the matrix is to identify the effectiveness model and to encourage institutional leadership stakeholders to identify essential stakeholders.

The accreditation preparation models in the assessment matrix are demonstrated by one or several of the three organizational effectiveness models: Goal model, Baldridge

model, and Competing Values Framework. The goal model is ideally effective for singular departmental sectors where there is little to no crossover into other organizational sectors to assess the results or achieve the desired outcomes. The study reviewed the goal model as used in divisional units the work of which does not cross other work sectors. One example of effectiveness measures using the Goal model is setting specific goals for the registrar's office in higher education institutions, which are primarily where such goals are less likely to involve allocation of resources or services from academics or other departmental sectors. Table 2 provides an illustration of the accreditation matrix using the goal model of organizational effectiveness.

Table 2

Example of the Goal Model Applied to the Accreditation Matrix

WASC Standards	Evidence (Textual Analysis)	Organizational Effectiveness Model	Divisional Units Involved
Standard III a. Registrar Services Broad Range of Students	Registrar Assessment Plan and Graduate Evaluations	Goal	Primarily Registrar's Office

The Baldrige model is most applicable in scenarios where there are multiple dual work sectors involved in the assessment of the outcomes or results. The Baldrige model emphasizes work that coordinates and collaborates with essential stakeholders. This model includes discussions or thought processes that focuses on stakeholder involvement at essential communication and results-driven work so that there is alignment on all levels by such stakeholders. Table 2 illustrates the Baldrige process which illustrates the number of stakeholders involved in the discussion about the mission as well as those who

need involvement on this key institutional process.

Table 3

Example of Baldrige Applied to the Accreditation Matrix

WASC Standards	Evidence (Textual Analysis)	Organizational Effectiveness Model	Departments Utilized
Standard Ia. Mission Statement Connected to Institutional Goals	Review of historical information from Board of Trustees meetings and institutional meetings.	Baldrige	Faculty, Staff, Institutional leadership, students, and the Board of Trustees.

Many of the questions in the study should rely on the competing values framework as a result of the cross-functional and often competing roles inside higher education institutions. The competing values framework in higher education institutions, for example, recognizes the roles of administrators who need to manage expenses as the primary objective of sound operations. However, reduction of operational expenses can result in misalignment in the level of services offered in academics and student services, as these nonrevenue generating sectors can skew the balance of profits if one purely views them from the perspective of expense reductions. In this aspect, the competing values framework articulates the need for balance in the management of such operational areas. Table 4 provides an illustration of the competing values framework as it is applied to the WASC Standards for Accreditation.

Table 4

Example of the Competing Values Framework Applied to the Accreditation Matrix

WASC Standards	Evidence (Textual Analysis)	Organizational Effectiveness Model	Divisional Units Involved
Standard Ia. Mission Statement Connected to Institutional Goals	Review of historical information from board of trustees meetings and institutional meetings.	Competing Values Framework	Faculty, staff, institutional leadership, students, and the board of trustees.

Column 4. The fourth column identifies the departmental sectors or committees responsible for the organizational outcomes or reporting of the status of the standard. The case study institution is described below.

Case Study Institution

A key section of the assessment matrix involved identifying the departments, divisional sectors, or councils in charge of meeting the objectives. These committees assure that evidence is appropriately gathered so that the accreditation standards are met. Although the structure of colleges and universities differ from institution to institution with regard to the committees or departments that have oversight of the deliverables, the organizational structure of this case study involved several committees that have oversight of the various components of academics, administration, and student services. These departments or divisional sectors are made up of those people within the organization who have a role in the management of the evidence or textual artifacts. However, the academic units of the institution largely have oversight of several functions that include Faculty Governance Committee, Faculty Bylaws, Curriculum Review Committee, Retention Committee, and Safety, Facilities, and Student Advisory

Committee, Equipment Committee. The administration and student services of the institution are governed by the Student Advisory Board, an external advisory board, and the President's Council.

President's Council. The President's Council is responsible for assessing institutional research data on academic and operations processes and its implications for overall institutional effectiveness. The council makes recommendations for improving institutional effectiveness, including academic and business processes as well as increased efficiencies along with targeted recommendations for budget and resource allocations.

Curriculum Review Committee. The Curriculum Review Committee supports the faculty in the planning, development, and evaluation of courses, and the articulation of student learning outcomes for all courses and certificate and degree programs. The Curriculum Review Committee ensures the integrity of the curriculum, promotes continuous improvement of curriculum, and provides faculty with a system that contributes to the effective and innovative delivery of instruction.

Faculty Council. The Faculty Council plays an essential role in governance through participation on various subcommittees. The Faculty Council is charged with the development of academic operations procedures, preparation of reports, and collaborating with the president and the academic dean to implement the college's strategic plan and on other matters pertaining to the institution and general welfare of faculty. Subcommittees that serve as part of the Faculty Council include: Saftey, Facilities, and Equipment Committee, Teaching Resources Committee, Retention Committee, and the Technical Advisory Committee. Each sub-committee is described in greater detail below.

Safety, Facilities, and Equipment Committee. The Safety, Facilities, and Equipment Committee is charged with stewardship of safe diving and medical procedures, safety inspections, regulating agency visits and citations, risk management and safety initiatives, chemical hazards, and providing safety education to the college community with the goal maintaining a safe educational and working environment. The committee makes timely recommendations to the administration regarding any critical safety concerns and provides an annual report of its deliberations.

Teaching Resource Committee. The Teaching Resource Committee reviews and recommends policies regarding the use of library, audio-visual resources, computer labs, diving equipment, medical devices, and other academic facilities. By participating in the annual review process, the faculty is able to ensure appropriate materials are available to students, identify lists of instructional materials associated with the programs, and develop a process by which the materials are included in the annual budgeting and ordering process.

Retention Committee. The Retention Committee provides leadership in the areas of development, implementation, and assessment of strategies, programs, resources, and activities that support and facilitate the student recruitment, retention, and successful completion through recommendation to the president's and faculty councils.

Technical Advisory Board. The Technical Advisory Board is composed of experts and professionals who represent the hiring community from the various degree-related program disciplines. Advisory board members provide counsel regarding the relevancy of program curriculum and alignment with standards and practice in the field and employer workplace needs. The institution's long-range plans are codified with

inclusion of all institutional stakeholders in the long-range development of strategic planning for up to 5 years. Figure 1 provides a list of each committee, and the number of yearly meetings below.

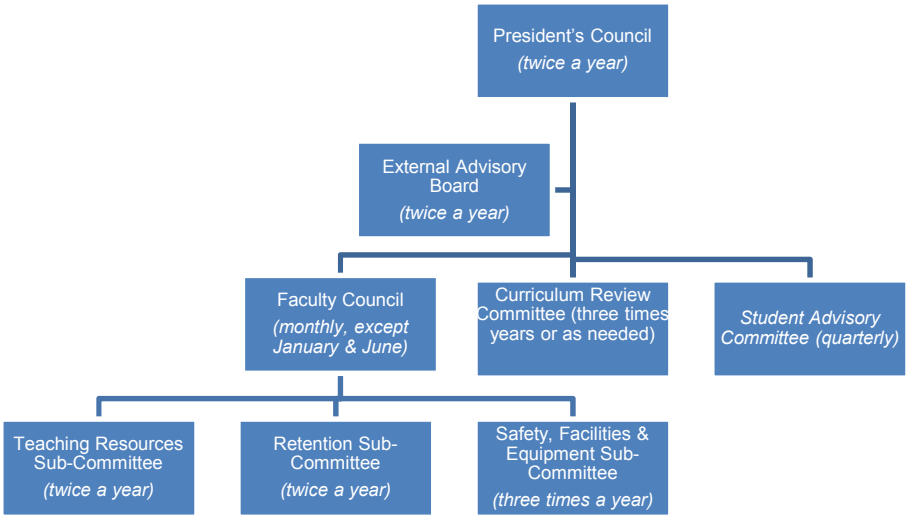

Figure 1. Case study institution's structure and frequency of meetings

Organizational structure. The president of the college has primary academic and administrative responsibilities for the institution. The board of trustees and the chancellor of the system institution oversees the college, giving authority to the president to operate as the Chief Executive Officer. With a staff of eight full-time faculty, 26 part-time or adjunct faculty, 11 full-time staff members, and five administrators, the college had sufficient human resources to provide the administrative and education services required. These services were further supplemented by receiving extensive academic, administrative, and student support services through the college's affiliation with the system institution. The academic programs were organized into four divisions, including Allied Health, Engineering Technology, Marine Technology, and Security Management, with academic leadership provided by program faculty lead-chairs. Figure 2 provides an

illustration of the organizational structure of the case study institution below.

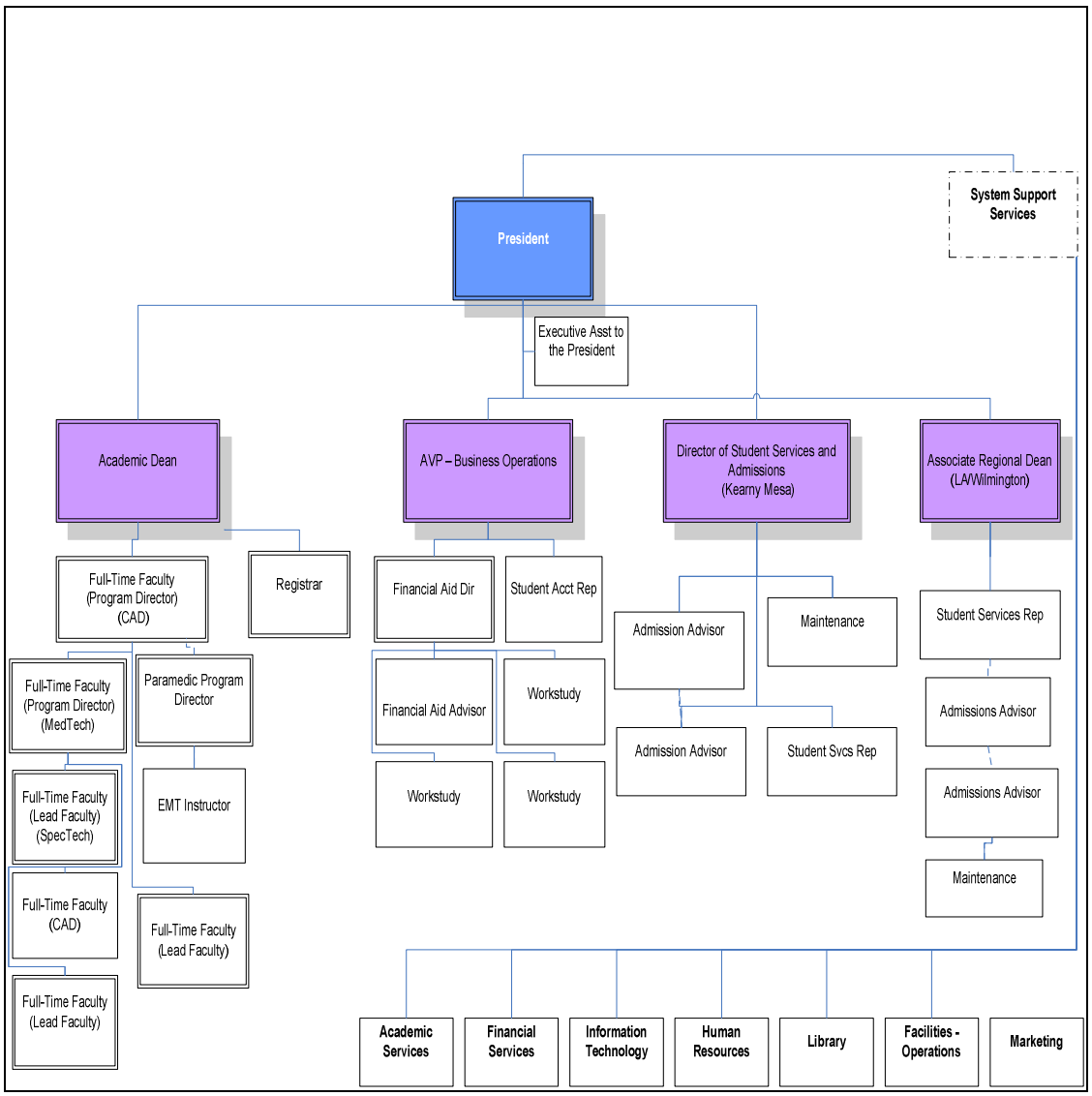

Figure 2. Case study institution's organizational structure

Within this case study institution, most of the functional units involved should reside within one of the various committees or departments previously identified. Nonetheless, the evidence was maintained by each department, as they were expected to maintain notes from meetings, along with evidence of the outcome of each deliverable or initiative taking place.

Phase II: Prior Accreditation Documents

Phase II of the research involved analyzing the matrix against prior institutional accreditation reports. A sample selection of the 2003 Midterm Accreditation Report was matched according to each of the four accreditation standards to determine whether the matrix has validity. Next, the case study institution's evidence was then matched against the WASC Standards for Accreditation to determine the effectiveness of meeting the guidelines proscribed by the accrediting organization.

Midterm 2003 WASC Accreditation Report

Standard I: Institutional Mission

WASC requires accredited institutions to review their missions to conduct institutional planning and decision making in congruent with the services they provide. WASC expects that the institutional mission is reviewed using internal and external evaluation methods to insure that planning, integration, and implementation of the plans improve effectiveness to accomplish the institutional goals.

Percentage of distribution. Based on a review of the institutional mission section from the institution's Midterm Accreditation Report for 2003, the 32 standards equated to 38% of the items deemed as Baldrige while the Goal model was noted on 25% of the organizational effectiveness items, and the Competing Values Framework was noted on 38% of the models. Figure 3 illustrates the distribution of organizational effectiveness models applied to the Institutional Mission section from the WASC Standards for Accreditation (2009).

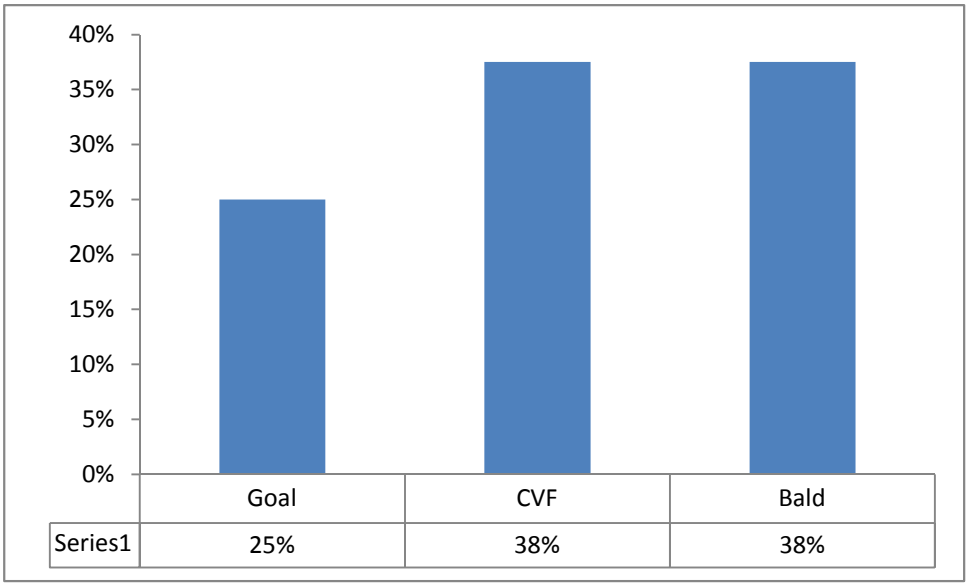

Figure 3. WASC institutional mission section applied to organizational effectiveness matrix

Standard II: Institutional Integrity

WASC maintains that each accredited institution demonstrates truthfulness in its representations to the university-college community and in its treatment of faculty, staff, and students. Listed below are the specific standards for the institutional integrity section. Table 5 provides an inllustration of the accreditation matrix when applied to the WASC Standards for Accreditation: Institutional Integrity

Table 5

WASC Institutional Integrity Section Applied to the Accreditation Matrix

WASC Standards**	Evidence (Textual Analysis)	Organizational Effectiveness Model	Departments Utilized
I	Collateral	Goal	Administration/Faculty Council

(table continues)

II	Faculty Bylaws	Goal	Faculty Council
III	Technical Advisory Board Notes	Competing Values Framework	Technical Advisory and Faculty Council
IV	Institutional Policy and Procedural Manual	Baldrige	Faculty Council
V	Catalog	Goal	Administration/Faculty Council

Percentage of distribution. Based on a review of the institutional integrity section from the institution's Midterm Accreditation Report for 2003, the matrix identified that of the five standards for institutional integrity, 20% of the items were deemed as being Baldrige, while the Goal model was noted on 60% of the organizational effectiveness items, and the Competing Values Framework was noted on 20% of the criteria for effectiveness. Figure 4 provides an illustration of the organizational effectiveness matrix applied to the Institutional Integrity section.

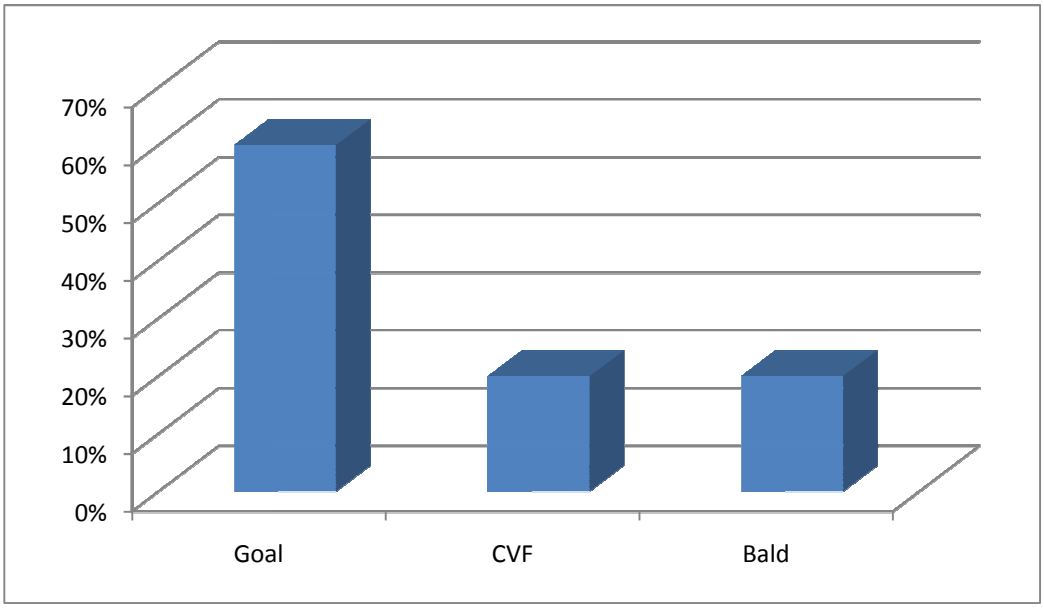

Figure 4. WASC institutional integrity section applied to the organizational effectiveness matrix

Standard III: Institutional Effectiveness

WASC maintains that each accredited institution operates in alignment with its mission. These standards for effectiveness should also be maintained by demonstrating a broad-based system of research, evaluation, and planning to assess its effectiveness. WASC further maintains that each accredited institution identifies institutional outcomes of student learning and other support services that are assessed regularly. Listed below are the standards for accreditation for institutional effectiveness. Table 5 illustrates the organizational effectiveness matrix applied to the WASC section Institutional Effectiveness

Table 6

WASC Institutional Effectiveness Applied to the Effectiveness Matrix

WASC Standards	Evidence (Textual Analysis)	Organizational Effectiveness Model	Departments Utilized
A1	Technical Advisory Committee	Competing Values Framework	Faculty Council
A2	Pass rates from nationally standardized exams	Baldrige	Faculty Council
A3	Technical Advisory Board	Baldrige	Technical Advisory Council
A4	Technical Advisory Board	Baldrige	Technical Advisory Board

Percentage of distribution. Based on a review of the institutional effectiveness section from the institutions Midterm Accreditation Report for 2003, the five standards for institutional effectiveness: 80% of the items were deemed as being Baldrige, while the Goal model was noted on 0% of the organizational effectiveness items, and the Competing Values Framework was noted on 20% of the criteria for effectiveness. Figure 5 provides an illustration of the distribution of the accreditation matrix when applied to the WASC Institutional Effectivenss section.

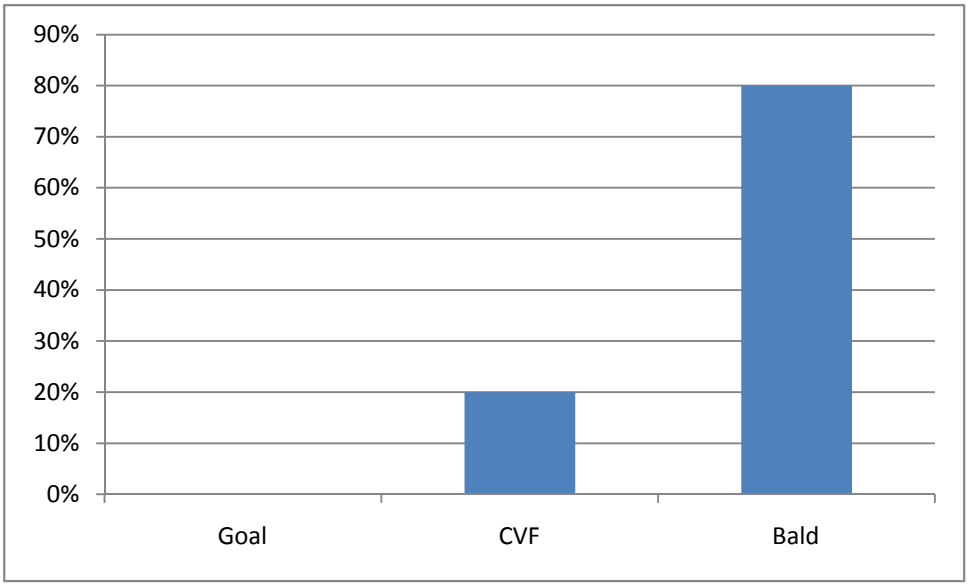

Figure 5. WASC institutional effectivenss section applied to the organizational effectiveness accreditation matrix

Standard IV: Educational Programs

WASC maintains that educational programs include college-level content with identified competencies for programs that lead to degrees or certificates. This standard is expected for all educational activities regardless of learning modality or campus location. Table 7 provides an illustration of the accreditation matrix applied to the WASC Educational Programs section.

Table 7

WASC Educational Programs Applied to the Organizational Effectiveness Matrix

WASC Standards**	Evidence (Textual Analysis)	Organizational Effectiveness Model	Departments Utilized
A1	5-Year Program Reviews	CVF	Faculty Council

(*table continues*)

A2	5-Week Format Assessment	Baldrige	Faculty Council
A3	Student Graduation and Retention Surveys	Baldrige	Student Services/Faculty Council
A4	5-Year Program Reviews	CVF	Student Services
A5	5-Year Program Reviews	CVF	Student Services/Faculty Council

Based on a review of the educational programs section from the institution's Midterm Accreditation Report for 2003, 60% of the items were deemed as being competing values framework, while the Baldrige was noted on 40% of the organizational effectiveness items. Appendix B includes the Case Study Institution's Evidence List. Figure 6 provides a visual perspective of percentage of distribution applied to the accreditation matrix using the WASC manual titled Educational Programs.

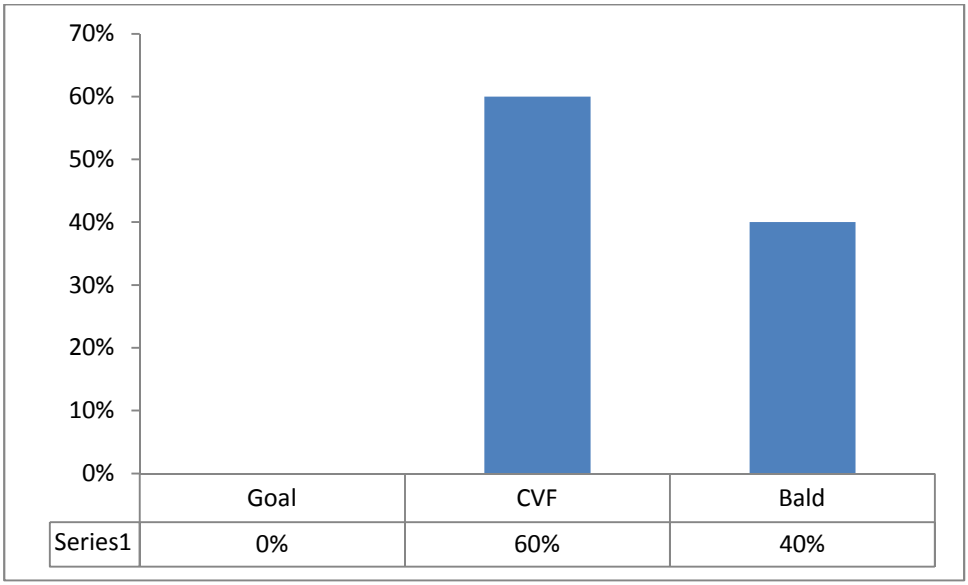

Figure 6. WASC educational programs section based on the percentage of organizational effectiveness matrix

WASC Standards Applied to the Assessment Matrix

Standard I: Institutional Effectiveness

Section I of the Standards for Accreditation weighs heavily on a balance of institutional internal stakeholders being involved in the maintenance of the institution's mission. This equal balance is, in large part, a result of the overarching demand by accreditors for institutions to hold periodic discussions throughout to assure that the mission continues to be met. Listed below are the standards for accreditation applied to the case study institution's structure.

Results from the data. The purpose of this study was to examine the various organizational effectiveness models to prepare an institution for an accreditation visit. Based on a review of the institutional effectiveness criteria, many of the items involved specific goals to meet the accreditation standards, which largely referenced the Goal model for organizational effectiveness. The other items, (A1-A4) involved competing or continuous review of the item to verify that the accreditation standards are met, while other items within that same group required competing against other departments or divisional units, which leads to the competing values framework.

Percentage of distribution. Of the seven standards for institutional effectiveness, 50% of the items were deemed as being Baldrige oriented because of the need for inclusion of multiple stakeholders. The Goal model was noted on 43% of the organizational effectiveness items, and the Competing Values Framework was noted on 14% of the criteria for effectiveness. Figure 7 demonstrates the organizational effectiveness accreditation matrix applied to the WASC accreditation section titled Institutional Effectivenss.

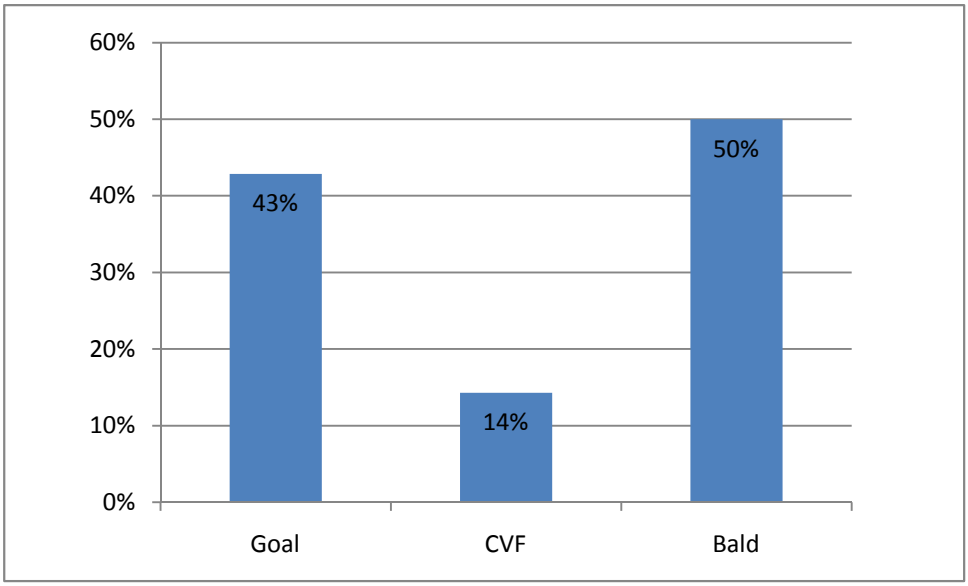

Figure 7. WASC institutional effectiveness section based on the percentage of organizational effectiveness utilized

Standard II: Student Learning Matrix

Section II of the Standards for Accreditation involved the student learning portion, which largely resides under the direction of the Faculty Council or the various subcommittees of the Faculty Council, and includes Curriculum Review, Teaching Resources, Retention, and Safety, Facilities, and Equipment committees. These departments or committees are represented fully or in part as functions of the Faculty Council.

Results from the data. The study involved examining the various organizational effectiveness models to prepare an institution for an accreditation visit. Based on a review of the matrix for the student learning section, items A1 through A2G are inclined to utilize Baldrige as a result of the repeatability factors involved in the assessment of student learning, which is obviously a continuously evolving process in an effectively running higher education institution. Items A2G to A8 involve the Goal model, as the

items are singular, specific, and tangible with regard to meeting the standards for accreditation. These items are largely straightforward and specific in nature of the requests from an accreditation perspective.

The student services items that fall under B1 through B4 and the library services items under C1 through C2 are best to use the Baldrige model because of the various demands for repeatability as well as the need for multiple stakeholders. For instance, the assessment of the library resources and holdings involved evaluations from students attending the institution, the faculty members who develop and ultimately are charged with assessing the quality of the programs, and the employers who hire the graduates also have a role in determining effectiveness of such resources.

Percentage of distribution. Of the 42 standards for student learning, 40% of the items were deemed as being Baldrige oriented as a result of the need for inclusion of multiple stakeholders. The Goal model was noted on 48% of the organizational effectiveness items, and the Competing Values Framework was noted on 12% of the criteria for effectiveness. Figure 8 provides an illustration of the organizational effectiveness accreditation matrix applied to the WASC accreditation section, Student Learning.

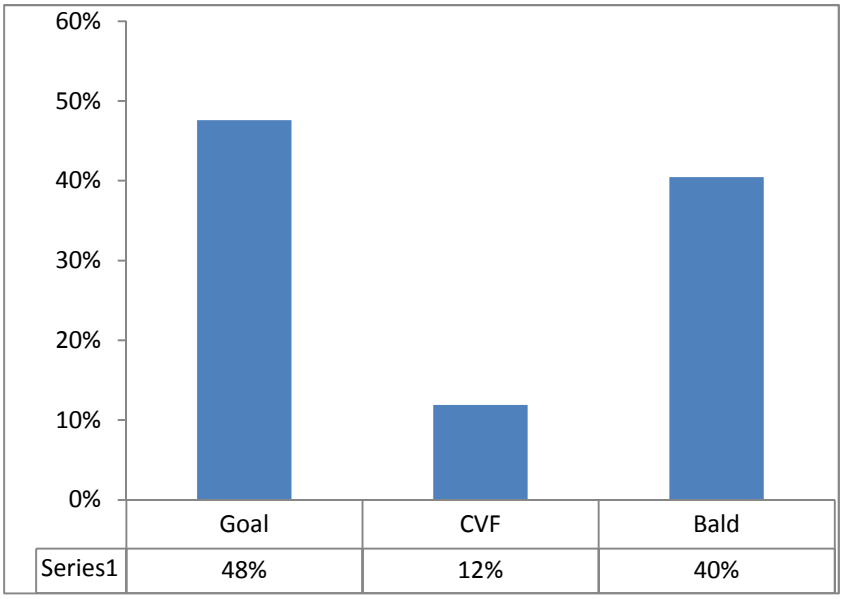

Figure 8. WASC student learning section based on the percentage of organizational effectiveness matrix

Standard III: Resources

Section III of the Standards for Accreditation involves the Resources Committee, which includes the administration of the institution, but also plays a heavy role with the various other sections in order to maintain an equitable balance of resources.

Results from the data. The purpose of this study was to examine the various organizational effectiveness models to prepare an institution for an accreditation visit. Based on a review of the matrix for resources, most of the items competed against other departments or sectors to maintain a balance between the institutional departments and sectors. This means that the items are largely inclined to utilize the Competing Values Framework. Other items within the section that do not require competing or a balance between resources require repeatable reviews of the items to determine that the effectiveness continues to be met. These items utilize the Baldrige model.

Percentage of distribution. Of the 34 standards for resources, 41% of the items

were deemed as Baldrige, while the Goal model was noted on 18% of the organizational effectiveness items, and the Competing Values Framework was noted on 41% of the criteria for effectiveness. Figure 9 provides a visual perspective of the organizational effectiveness matrix applied to the WASC accreditation section, Resources.

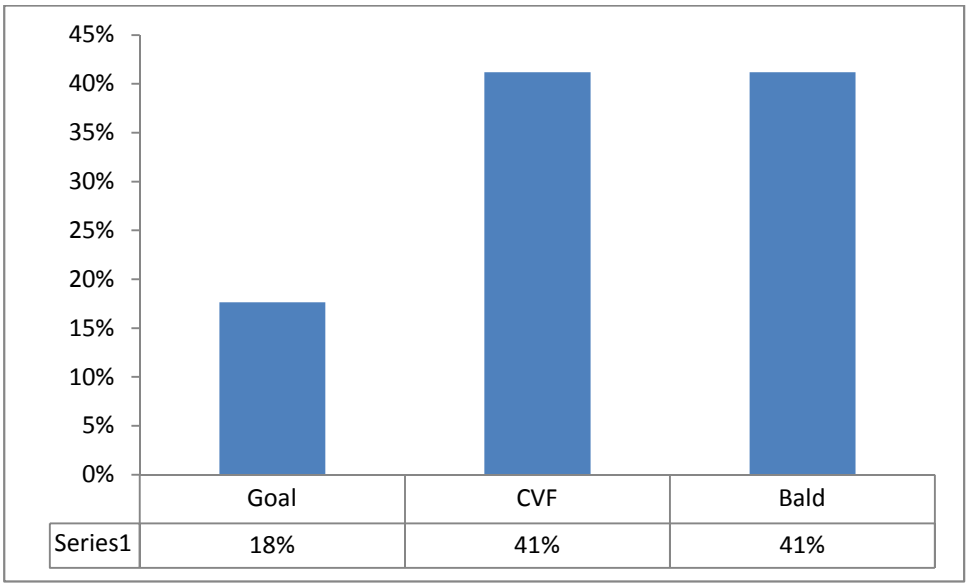

Figure 9. WASC resources section based on the organizational effectiveness matrix

Standard IV: Leadership and Governance

Section IV largely involves the president, Faculty Council, and the board of trustees to assure that the leadership of the institution has the appropriate oversight and involvement in decision making. These divisions or sections assure that the correct stakeholders are identified early so that the necessary evidence is provided and the essential processes are in place to maintain an institution at an operable level.

Results from the data. The purpose of this study was to examine the various organizational effectiveness models to prepare an institution for an accreditation visit. Based on a review of the matrix for leadership and administration, the requirements from the accrediting agency are specific in nature with regard to oversight of the board of

trustees and other institutional leadership. However, several of the items noted in Items B1 to B2G require feedback loops that are Baldrige items on the organizational effectiveness matrix. The remaining items under the section demonstrate competing for resources, which places them at the Competing Values Framework.

Percentage of distribution. Of the 32 standards for leadership and governance, 6% of the items were deemed as being Baldrige, while the Goal model was noted on 53% of the organizational effectiveness items, and the Competing Values Framework was noted on 28% of the criteria for effectiveness. Figure 10 illustrates the distriubution of organizational effectiveness applied to the accreditation matrix.

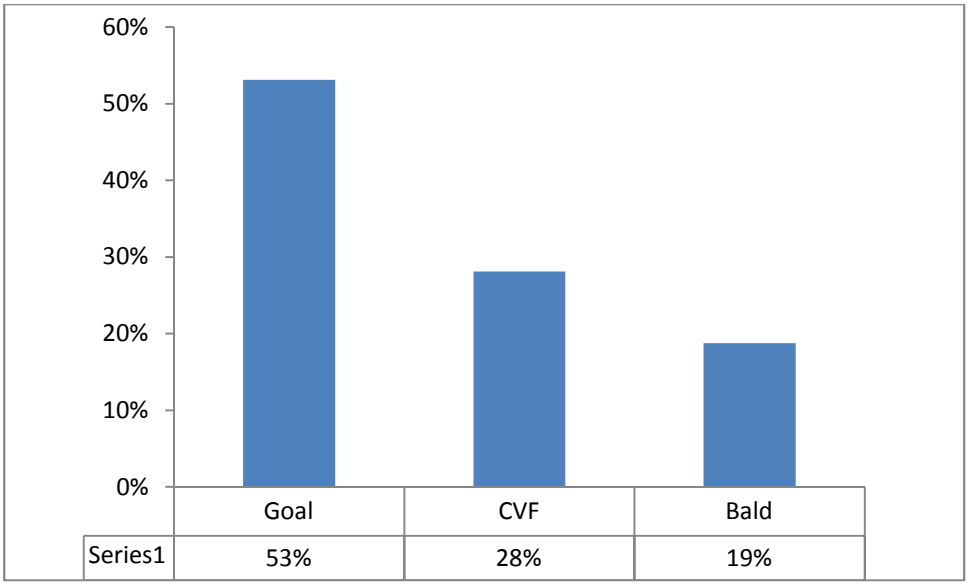

Figure 10. WASC leadership section based on the percentage of organizational effectiveness utilized

Analysis of the Matrix

The data revealed that the organizational effectiveness model correlates with the WASC Standards of Accreditation. Baldrige and the Goal models weighed heavily in the institutional effectiveness and the student learning section. For the institutional

effectiveness section, the correlation with the Baldrige is because accrediting agencies expect that the mission inside higher education institutions is an inclusive process with consistent discussions and assessments conducted by each member of a higher education community. Several additional items in the institutional effectiveness section were straightforward, which may lead to them being aligned with the Goal model. Next, the resources section greatly utilized the Competing Values Framework, which is attributable to the factors involved in managing the allocation of resources throughout an institution involving a balance among, academics, student services, and the administration of a higher education institution. While the leadership and governance section greatly utilized the Goal model, which was a result of the straightforward demands for specific deliverables in leadership and governance to verify that the institutional accreditation standards are met in this section. Based on the review of these three organizational effectiveness models, there appears to be an equal distribution of the value of the three models for effectiveness throughout the standards for accreditation. Appendix C includes the Case Study Institution's Accreditation Matrix.

Summary of the Data

The accreditation matrix was applied to the institution's 2003 midterm accreditation report, which also included a review of the evidence gathered by each council and department. In short, the evidence and information was that by correlating the standards for accreditation with the evidence and the organizational effectiveness models could help to demonstrate compliance.

Phase III: Findings From Interviews

Phase III involved providing the assessment matrix to other institutional leaders to

allow them to comment on its effectiveness and possible use in their institution's accreditation preparation. Three institutional leaders who represent public and private higher education organizations and who have recently participated in accreditation visits were interviewed. The interviewed president's names and the names of their institutions were not provided to protect confidentiality.

President 1: Master's and bachelor's granting private institution. An interview was conducted with a president from a predominately master's degree granting institution about to embark on an accreditation visit. The president of this organization has been in office for more than 2 years. The institution had a successful operation for academics, resources, and student services, as it received a seven-year award during its most recent accreditation cycle (The maximum award available is for 10 years). The president of this organization reviewed the assessment matrix and commented on how easily the Organizational Effectiveness models helped to determine the items that need an assessment focus from the Baldrige applications, those in need of competing for resources, and services that are found in the Competing Values Framework. The president also focused on how the matrix provided executives with a much needed snapshot of the status of items and the key documents or deliverables that must be supplied in the evidence room. The president felt that the models of Organizational Effectiveness were also useful in delineating those items that require continuous focus and improvement from those items that are straightforward items found in the Goal model.

President 2: Two-year community college. A president of a public community college with approximately 5,000 full-time students and 400 administrators and faculty

members was also interviewed to provide an assessment of the matrix and its effects on an institution's preparedness. The college recently completed its accreditation visit, which resulted in the institution receiving a warning. This president liked the matrix from the standpoint of identifying key items for the accreditation process, but also commented that it would be much improved if the matrix extended to other portions of the accreditation process and included items such as the institution's benchmark for accreditation. The president also felt that the matrix had some value but recommended making certain that before embarking on using it in an visit, the institutional stakeholders would need to be able to assess the document further.

President 3. A chancellor of a major community college district within a major metropolitan city was interviewed and given the opportunity to assess the organizational effectiveness matrix. The community college district has three higher education institutions under its tutelage and provides programs to very diverse student population of more than 20,000 students annually. The community college district recently had an organization that serves under its tutelage experience an accreditation review from the same agency, which resulted in the institution being given a warning for several areas of noncompliance.

President 3 (the chancellor of the community college) reviewed the assessment matrix and determined that it could have broad applicability to the institution, but also commented that the matrix may not capture many of the implicit expectations of the accrediting bureaus, which is what led to the aforementioned sister affiliate receiving a warning for noncompliance of several of the standards.

Interview Question 1: Organizational Effectiveness and Evidence Gathering

The institutional leaders unanimously felt that using organizational effectiveness to assist in the evidence gathering for an accreditation visit has several notable benefits. President 1 recognized that the scholarly aspects of using organizational effectiveness would be a significant enhancement to encourage faculty to be better participants in the process. The benefits of applying a scholarly approach to accreditation evidence would serve as "a tremendous asset to the preparedness of the institution by engaging full-time and adjunct faculty members," (personal communication, December 3, 2010) said the president. Ironically, President 2, the president of a two-year community college, considered the role of organizational effectiveness in gathering evidence as "an important step in articulating the language of accreditation to a lay-person level" (personal communication, December 3, 2010). This references the importance of understanding which items in the accreditation standards are expected to be continuously revolving and reviewed by institutional leadership stakeholders as opposed to those accreditation items that are static and do not require continuously reviewing the items to meet the standards for accreditation. President 3, from a community college that was recently approved, stated that the organizational effectiveness matrix benefits the evidence gathering by "creating dialogue amongst the college that would encourage everyone to participate in the process" (personal communication, December 3, 2010). This college leader further articulated that the "the process of evidence gathering provides valuable insight into how much each member needs in order to meet the guidelines for accreditation."

Interview Question 2: Organizational Effectiveness Matrix and Accreditation Preparation

When asked to provide an assessment of the accreditation matrix and the potential for using it in the accreditation preparation, President 1 stated that any matrix that allows easy use and then dissemination of the level of preparedness to meeting the standards could have tremendous benefits. The president also commented on how easily the matrix could be explained to constituencies without an academic background or without having knowledge of the organizational effectiveness models utilized in the study. Ironically, President 2 shared the same assessment that a matrix based on each standard articulated in the accreditation standards would have tremendous applicability in helping the institution prepare for the visit. President 3 noted concerns with the matrix in that the additional items in the evidence sections could also meet the accreditation guidelines; so, it was important to note that a multitude of items could be used to meet the accreditation standards.

Interview Question 3: Use of Accreditation Matrix

President 1 stated that the accreditation matrix would be welcomingly received on an executive level at his institution so that the institutional leaders could have a quick reference document that would help them to gauge areas requiring improvement, as opposed to those areas that meet the standards. President 1 cautioned that it may be a problem using the matrix as a mandate, as it may interfere with the faculty governance structure, so it should not appear as though administration was forcing the faculty and other administrators to utilize a document. However, the president commented openly "that the matrix would provide an essential executive snapshot that could be an invaluable benefit to the administrative leadership team" (personal communication, December 7, 2010).

President 2 also commented that the accreditation matrix could be a tool for a snapshot and also commented that the administrative management team for the institution along with the team for the faculty leadership, such as deans and program chairs, could also use modified versions of such a matrix to help them determine preparedness.

Interview Question 4: Sustainability of Organizational Effectiveness Models

When asked about the sustainability of using organizational effectiveness in helping their institutions meet the accreditation standards, President 1 stated that the models would be used only "as far as the management of the institution can expect." This comment spoke to the fact that the model of a matrix may not be embraced by all members of the learning community. Additionally, President 1 commented that an issue may arise with other members of the organization who may question the selection of the three models. As such, President 1 commented that there may be interest in selecting different models that may have been more scholarly reviewed in other higher education settings. President 2 stated that "as long as I continue to inspect what I expect from the management team—it will be used" (personal communication, December 2, 2010). This comment spoke to the fact that the assessment matrix maybe used as a high-level, visual snapshot of the accrediting organization's management team. President 3, the chancellor, stated that certain elements of organizational effectiveness models would be used to assist future accreditation preparation. Finally, President 3 stated that it would be too difficult to ascertain which models would be used because of the need to conduct a faculty and administration review of organizational effectiveness models before implementing them.

Summary of Findings

This chapter examined the impact of organizational effectiveness on an

institution's accreditation preparation in a single case study of higher education institution. An accreditation matrix was developed to assist the institution in meeting the standards of accreditation as prescribed by the accrediting organization. Next, the study involved interviewing current presidents of regionally accredited institutions to gauge the organizational effectiveness initiatives and the matrix in possibly helping their institutions meet accreditation guidelines. The comments from those interviewed were recorded to substantiate (or not) that the accreditation process could greatly enhance an institution's chances of successful visits.

Analysis of the data revealed that there was significant benefit from implementing such a matrix to assist an institution in meeting the guidelines for accreditation. Analysis further revealed that there was a single benefit in using the various models in the fashion of the matrix as a high-level document to assist executive leadership teams in maintaining accountability with the entire organization. These analyses of the documents and the interviews of the institutional leaders demonstrate that there is great value in utilizing the tools found in organizational effectiveness inside higher education institutions.

Chapter 5: Discussion

Summary, Conclusions, and Recommendations

This chapter presents a summary of the study's results. The organization of this chapter is presented in: (a) a summary of the study that restates the study's purpose and research objectives, a review of the study's methodology, along with a presentation of the major findings from the study as well as the limitations; (b) conclusions and discussion of the study's findings that correlate with the existing body of literature on the subject is also the focus; and (c) the study concludes with recommendations for future research and final thoughts from the author's perspective about the study.

Summary of the Study

The pressures higher education institutions face when embarking upon accreditation and then seeking reaccreditation weigh heavily on the academic lives of the faculty, staff, and institutional leadership. Nevertheless, the responsibility of leading an institution to successful accreditation ultimately falls under the tutelage of the president. This research provided a detailed analysis of a review of the evidence gathered to meet the objectives of an accreditation self-study. Using the accreditation standards of a regionally accredited institution, this study utilized a matrix using three organizational effectiveness models (the Goal, Competing Values Framework, and Baldrige) to measure the college or university embarking upon its reaffirmation of accreditation. This study matched the selected organizational effectiveness models used to meet each standard for accreditation. This case study illustrated the results using such organizational effectiveness models to prepare for an accreditation visit.

Purpose Statement and Research Objectives

The purpose of the study was to provide a case study of the organizational effectiveness models utilized to help prepare an institution for an accreditation visit. The research objective was to explore the organizational effectiveness factors that most influenced the self-study process. The study was conducted using case study methodology along with an assessment matrix to gauge the preparedness of the institution. The primary purpose of the study was to utilize the organizational effectiveness matrix as an assessment tool in alignment with the standards for accreditation. Next, samples of the college's historical accreditation data were reviewed using the matrix. Last, the study concluded with a few interviews of leaders of institutions that recently embarked upon their own reaffirmation of accreditation visit. These interviews allowed the institutional leaders to assess the value of the matrix for future accreditation visits.

Study Methodology

The case study was conducted using two major data sources. Primary data consisted of the assessment matrix that was developed around three organizational effectiveness models, which were then codified according to each of the WASC Standards for Accreditation. The matrix was validated by incorporating the matrix with a previously submitted document to the accreditation agency along with the identification of the evidentiary materials that were provided. The secondary data source consisted of other institutional leaders of higher education institutions who were interviewed and asked to review and assess the matrix for possible applicability to their organizations. The processes provided qualitative assessments as evidence for validity in an accreditation

visit.

Findings and Conclusions

The major outcome of this study was the development of an accreditation matrix in response to the intended objective: To explore the accreditation self-study process from the perspectives of organizational effectiveness. Following the use of the matrix, a few institutional leaders were interviewed as to their perceptions regarding the value of the matrix.

The Accreditation Matrix

The matrix was organized into four sections: institutional effectiveness and mission, student learning, resources, and leadership and governance. WASC standards and two organizational effectiveness models were used to guide the matrix development.

The data revealed that the organizational effectiveness model correlates with the WASC Standards of Accreditation. Baldrige (50%) and the Goal model (43%) weighed heavily in the institutional effectiveness section, as the Standards for Accreditation states that institutions are expected to demonstrate clear operations that connects to the institutional mission. The questions from the institutional effectiveness section included questions aligned with the Goal model such as Section A.1: "The institution establishes student learning programs and services aligned with its purposes, its character, and its student population" (Anonymous, 2009, p. 39) and Section A.2: "The mission statement is approved by the governing board and published" (Anonymous, 2009, p. 84). These questions are associated with the Goal model, as they reference clear, concise directives for actions and assessments of the results. The majority of the additional items in the institutional effectiveness section were also straightforward, which may lead to them

being with the Goal model.

Other questions from the institutional effectiveness section were associated with Baldrige because of the need for continuous review. The correlation with the Baldrige is because accrediting agencies expect that the mission inside higher education institutions is an inclusive process with consistent discussions and assessments conducted by each member of a higher education community. For example, using the institutional effectiveness section, Section A. 3 and Section A. 4 state, "Using the institution's governance and decision-making processes, the institution reviews its mission statement on a regular basis and revises it as necessary" (Anonymous, 2009, p. 40) and "The institution's mission is central to institutional planning and decision making" (Anonymous, 2009, p. 41). These questions are associated with the Baldrige model because the statements within the context of the accreditation guidelines refer to reviewing the mission statement on a "regular basis" (Anonymous, 2009, p. 14) which denotes a continuous review of the accreditation item. Additionally, the statement in guideline A4 references a need to review the institutional planning and decision so that it also continues to be in alignment with the mission. This statement denotes that all decision making and planning are central to the mission, which means that it must also be evaluated regularly. Both of these statements that reference continuous reviews are associated with the baldrige model in the matrix. Evidence gathered for these sections could include copies of meeting minutes and notes in which the institutional mission is regularly discussed, as well as board of trustees minutes in which the mission is also reviewed.

Next, the student learning section was evaluated. The Goal model (48%) and

Baldrige (40%) scored heavily. In reference to the Goal model, guidelines such as the one in Section A.1.B., which states, "The institution utilizes delivery systems and modes of instruction compatible with the objectives of the curriculum and appropriate to the current and future needs of its students" (Anonymous, 2009, p. 29). This statement alludes to clear, concise directives for reporting progress and outcomes which associates with the Goal model. In reference to the Baldrige model, guidelines such as the Section A.2.A, which states, "The institution uses established procedures to design, identify learning outcomes for, approve, administer, deliver, and evaluate courses and programs. The institution recognizes the central role of its faculty for establishing quality and improving instructional courses and programs" (Anonymous, 2009, p. 57). Once again, the statement that references established procedures and improving instructional courses and programs alludes to the need for continuous review in order to substantiate meeting the accreditation guidelines. Further accreditation guidelines within the student learning section clearly denote a balance between the goal and Baldrige models.

Next, the resources section greatly utilized the Competing Values Framework (41%) and the Baldrige model (41%). The competing values framework, which requires maintaining a fair balance of resources throughout an institution, are used as reference points of the accreditation expectations. In the competing values framework, the allocation of resources throughout an institution that involves a balance among, academics, student services, and the administration of a higher education institution is the focus. To illustrate this point, Section 3.A.2 references (Anonymous, 2009):

> The institution maintains a sufficient number of qualified faculty with full-time responsibility to the institution. The institution has a sufficient number of staff

and administrators with appropriate preparation and experience to provide the administrative services necessary to support the institution's mission and purposes. (p. 121)

This statement largely resonates with the term sufficient number of qualified faculty, which alludes to the need to maintain an adequate ratio of resources in this section. Obviously, these resources need to be balanced against other institutional resources, which is why the competing values framework was chosen. The references to the Baldrige model were made because of the continuous need to review resources. Accreditation guidelines such as Section A.1.B., which states (Anonymous, 2009):

> The institution assures the effectiveness of its human resources by evaluating all personnel systematically and at stated intervals. The institution establishes written criteria for evaluating all personnel, including performance of assigned duties and participation in institutional responsibilities and other activities appropriate to their expertise. Evaluation processes seek to assess effectiveness of personnel and encourage improvement. Actions taken following evaluations are formal, timely, and documented. (p. 43)

The statements within the accreditation guideline, evaluating all personnel systematically and at stated intervals and actions taken for evaluation…timely denotes the need for continuous of review of personnel but also of the processes to determine effectiveness. Evidence gathered in this section could be copies of previously articulated personnel evaluations and a written statement about the processes and timelines for evaluation.

The leadership and governance section largely utilized the Goal model (53%) because of the straightforward mandate for specific deliverables. For example, the

accreditation guidelines found in Section 4.A.2 (Anonymous, 2009) states:

> The institution establishes and implements a written policy providing for faculty, staff, administrator, and student participation in decision-making processes. The policy specifies the manner in which individuals bring forward ideas from their constituencies and work together on appropriate policy, planning, and special-purpose bodies. (p. 129)

The mandates within this example are straightforward in nature, as they are clear guidelines for the deliverable of a written policy providing for faculty, staff, administrator, and student participation in decision making, which clearly means that the Goal model is used in meeting the objective. Evidence gathered for this straightforward item would be a copy of the written policy that has also been ratified by appropriate decision makers such as the faculty council and board of trustees.

Findings: Interviews

The findings from interviews revealed that the institutional leaders interviewed felt that the accreditation matrix could be greatly utilized as a tool to create necessary dialogue among stakeholders as well as to help institutions prepared for an accreditation visit. They also felt it could be used as an executive tool to provide a snapshot of institutional preparedness for the visit. Table 7 provides a brief overview of the major questions from the interviews.

Table 8

Summary of Interview Questions

Questions	Responses
Question 1: Organizational Effectiveness and Evidence Gathering	
President 1	A tremendous asset to institution by encouraging full and part-time faculty
President 2	An important step in articulating the language of accreditation visit to a lay person level
President 3	Creates dialogue amongst the college that would encourage everyone to participate
Question 2: Organizational Effectiveness Matrix and Accreditation Preparation	
President 1	Easily explained throughout college community
President 2	Help institution become better prepared for a visit
President 3	Concerned as several items in accreditation standards can be leveraged for other standards
Question 3: Usage of Accreditation Matrix at Their Institutions	
President 1	Welcomingly received on executive level as a quick reference to gauge performance
President 2	Snapshot tool
President 3	Could be used in some fashion
Question 4: Sustainability of Organizational Effectiveness Models	
President 1	Used as a management tool but not by all in university community
President 2	As long as I continue to inspect what I expect
President 3	Certain elements of model could be used in some fashion

Conclusions

The findings from the study revealed that there is a significant value in the creation of an organizational effectiveness matrix. The study substantiated that there is

significant value in incorporating several organizational effectiveness models as opposed to a single model. The study determined an additional benefit of using the organizational effectiveness models fostered greater communication with the internal institutional stakeholders who are tasked to have oversight of meeting the accreditation objectives. Last, the matrix used in the study was determined to provide a readily accessible snapshot of the accreditation standards.

Conclusion 1: Value of several organizational effectiveness models. The study revealed that there was a significant correlation with the effectiveness models used and the institution's preparedness. The study determined that the organizational effectiveness models were identified in several portions of the accreditation standards. Based on the review of these three organizational effectiveness models, there appears to be an equal distribution of the value of the three models for effectiveness throughout the standards for accreditation. The study also determined that a significant improvement can be made in the effectiveness of an institution that uses several of the organizational effectiveness models as a roadmap to determine the kinds of evidence required for the accreditation self-study and visit. The implications for applying the organizational effectiveness models used in such a matrix could add significantly to the academic body of knowledge by providing other institutional leaders with a pragmatic approach to evidence gathering to help prepare their institutions for an accreditation visit.

The study found, which supports several scholarly perspectives, that there are significant benefits by using several effectiveness models to help in the interpretation of the accreditation literature as opposed to using a single organizational effectiveness model. As Miskel (1982) described the goal model, "Effectiveness deals with the relative

attainment of feasible objectives (for example, physical facilities and equipment, human energy of students and employees, curricular technologies) and some commodity (for example, money) that can be exchange for other resources" (p. 3). Equally useful, Ruben (2007) contended that the Baldrige model helps institutions identify independent and shared goals within and across all levels and departments through a common assessment approach. Last, the Competing Values Framework, as Kaarst-Brown et al. (2004) described, is a "validated and focused method" (p. 37) that provides a validated and focused method that summarizes the institution's reflection of its set of values over another.

The study revealed that institutions' answers in the Standards for Accreditation for the section titled Institutional Mission used the Baldrige and Goal models, the student learning section in the Standard for Accreditation manual used Baldrige, and the resources section in the Standard for Accreditation had most significance in the Competing Values Framework. These three models appeared also to assist each interviewee to understand the expectations from the Standards for Accreditation. Using the various organizational effectiveness models in a combined manner was most instrumental in preparing the case study institution and those interviewed also indicated that it has a major significance. The finding from this perspective also could add to the academic body of knowledge by demonstrating that the integration of several organizational effectiveness models in this manner greatly benefits an institution's performance in preparing for an accreditation visit and self-study.

Conclusion 2: Dialogue created from the matrix. Findings revealed that significant benefits can be generated from dialogue among staff and faculty about the

various standards for accreditation using the organizational effectiveness models. The presidents interviewed stated that the largest benefit of using a matrix is that it allows college personnel to communicate to form necessary dialogue about the accreditation process. The benefits of generating dialogue means that, as one president stated, "College staff and faculty understand the nature of the Standards for Accreditation as opposed to merely just generating dialogue that is not comprehended" (personal communication, December 7, 2010). The dialogue generated from the conversations about accreditation and the organizational effectiveness models was an unforeseen benefit to the accreditation study.

This dialogue that can be generated within an organization from the use of this study also supports Weiner (2009) by creating a "culture of assessment" (p. 28). The study could be beneficial in helping an institution, as Weiner states, to begin using common assessment language so that the institutional dialogue includes open discussions about how the institution plans to perform in key areas related to the assessment. The discussion from such dialogue provides an invaluable asset to higher education institutions. The study also revealed through the interviews with other college leaders that significant benefits can be realized from the increased dialogue. Using such a matrix and the elements of organizational effectiveness can, first, articulate the standards for accreditation and then, second, generate dialogue about the level of evidence required to maintain such institutions. The dialogue that can be generated from the matrix that incorporates the various organizational effectiveness models can greatly enhance an institution's chance of a successful accreditation visit.

Conclusion 3: Overwhelming emphasis on Baldrige. An additional conclusion

relevant to this matrix and the accreditation expectations was that those who wish to apply the principles of organizational effectiveness by using this or any other matrix should be aware that the overarching expectation from accrediting organizational members was that many of the accreditation guidelines need to be continuously reviewed, which alludes to the Baldrige model. In this event, it should be generally understood by anyone using the matrix that continuous and regular review of the accreditation standards by all institutional stakeholders is expected and warranted in order to meet the guidelines—regardless of whether the organizational effectiveness model states Baldrige or any other model.

As Leist et al. (2004) states that the Baldrige model underscores important areas of assessment that include the learner, systems, faculty, staff, and partners in order to assess a higher education institution. Many of the standards in this section were written from the perspective of Baldrige. As Anderson (1997) and Faulkner (2002) noted in their studies of higher education institutions using the Baldrige model as a tool for gauging their institution's performance, the Baldrige model provides benefits in that it underscores the importance of regular reviews of key milestones and the value of maintaining and assessing stakeholder relationships. These are all valuable traits to be used as important elements in this study. The information from the study, furthermore, provides an invaluable level of information to the academic community, as Baldrige is essential to the organizational effectiveness process, but there are significant advantages from utilizing other models in conjunction with Baldrige, such as the Competing Values Framework and Goal model that were used in this study. Table 9 provides an overview of the accreditation matrix applied to the WASC Standards for Accreditation.

Table 9

Summary of Organizational Effectiveness Matrix

	Baldridge	Goal	Competing Values	*N* =
Institutional Effectiveness	50%	43%	7%	11
Student Learning	40%	48%	12%	44
Resources	41%	18%	41%	34
Leadership & Governance	19%	53%	28%	30
Total				115

Limitations of the Study

A key limitation of the study is that results were captured in a short, specified time period that isn't necessarily reflective of an accreditation and self-study process. In reality, an accreditation review results in determinants of the institution's performance to meet the guidelines over a longitudinal period. Accrediting agencies and, primarily, the reaffirmation of accreditation process requires the institution to demonstrate that the standards are being routinely met over the duration of the accreditation period. In many circumstances, this study did not demonstrate these standards over a longer period because of the time limits of the accreditation visit. Nonetheless, implementing organizational effectiveness for an accreditation self-study and visit obviously can be utilized in meeting the guidelines for accreditation, in demonstrating institutional compliance, and in meeting the standards for regional accreditation agencies. As such, organizational effectiveness models such as the ones used in the study should be put in place well in advance of a visit to demonstrate that the performance standards are met. (As my grandfather used to say, "If you stay ready, you don't have to get ready").

Another limitation of the study was that only three college or university presidents were interviewed to gauge their assessment of the matrix. More perspectives of the matrix would be helpful to get feedback on the viability of using such a tool in other higher education environments. These assessments could serve to strengthen the usefulness of the matrix and the accreditation process could also benefit from these additional perspectives.

An additional limitation, and one that must be considered in making any claims for external validity, involved a change in the institution's structure. Prior to, and unrelated to the findings from the visit, the board of trustees chose to merge the institution with a sister affiliate. Nevertheless, it should be noted that the performance of the institution was reflected in the numerous positive affirmations received by the faculty, staff, and college administration. The collective thought from all of those members of the institution who participated in the accreditation visit was using the principles of organizational effectiveness was a positive experience, which fostered a greater spirit of collaboration and accountability among all members of the institution.

Implications and Recommendations

The study revealed that there was a clear connection to an institution's effectiveness when applied in this manner. The study also demonstrated that there was tremendous value in deciphering each written articulated standard for accreditation in a manner that provides clarity and comprehension of the standards of accreditation. As a college president interviewed stated after reviewing the matrix, "The dialogue generated from getting the faculty, administrators, staff, and community representatives to view each item from the perspective of the accreditor is an invaluable commodity to an

institution's process in preparing for a visit" (personal communication, December 3, 2010).

The matrix and organizational effectiveness model also demonstrated that there is a need for more scholarly based organizational effectiveness tools applied within the sphere of higher education. The matrix, along with the application of the organizational effectiveness tools, seemed especially beneficial to the accreditation process. The presidents who reviewed the matrix thought that there was overwhelming support for such a model that used organizational effectiveness in helping to prepare an institution for a visit.

Another recommendation is to get more perspectives of the accreditation matrix by having other institutional leaders and those tasked to use the matrix in an accrediting visit to provide feedback on the viability of the tool. These views could be extremely helpful in implementing the matrix in additional higher education environments. Also, it would be recommended to utilize the matrix over a longer period of time in an organization.

Another area of implication involves external reviews and assessments. The accreditation expectations at times far surpass what is written in the standards. As such, it is highly recommended to retain an external consultant or advisor who has participated in a successful accreditation visit by such agencies within the last 24 months. Most notably, the consultant should have direct experience with the particular agency to provide the institutional leadership with the intricate and often unwritten expectations of such agencies. The information the consultant provides can help participants understand the requirements accrediting agencies are maintaining as well as any specific plans such as

operational plans connected with budget allocations for areas such as student services and academics. This information, which is typically available by way of program reviews for most institutions familiar with other sectors of WASC or other accrediting agencies, has been a requirement for providing direct plans that connect with student classroom evaluation historical data, budgets for any operational or institutional changes, and resources that have been acquired as a result of the reviews of such information.

There was tremendous value added from the study, as it provides a rarely seen perspective of the accreditation process from the perspective of the president of a higher education institution. Largely because of the size of the case study institution, the president had a pronounced role in helping the organization to gather key documents and information to prepare for the accreditation visit. The perspective from a person who served as the primary overseer of an institution and who led the endeavor of preparing the institution for the visit allowed for a unique observation as a participant observer. The combined roles of leading an instiutiton while being a primary catalyist in preparing for the visit allowed insight into the rationale for organizing an institution to meet the compliance standards of the accrediting agency from the perspective of that office.

An additional element was added by the interviewed presidents who offered perspectives on the usefulness of an accreditation matrix. Many of those presidents responses to whether a matrix would be utilized spoke to complexity of implementing such as a tool, as it may offer minor consternation from the faculty or operating units and it could have some negative ramifications. This level of insight was beneficial if someone were to attempt to implement such a tool or matrix. These points can be avoided while implementing such a matrix inside a higher education institution.

Recommendations for Future Research

The findings from the study suggest some important options for future research into the relationship of organizational effectiveness and an accreditation visit. These recommendations for future research are based on the literature and observations. First, is the replication of this study with a substantially longer period for preparation. A significant detriment to this study was the limited amount of time to prepare the institution for the accreditation visit. Accreditation and, most especially, the reaffirmation of accreditation process is about the longevity of an institution's performance. This study should be replicated in an institution within a few years of the accreditation visit to gauge its performance over a longer period of time. Longitudinal implementation of the organizational effectiveness models will allow the institutional leadership to have in place the accreditation expectations necessary for the institutional leadership to demonstrate compliance.

A second recommendation for further research would be to replicate this study in multiple settings and higher education cultures. The college reviewed in the case study was a nontraditional institution within the marine technology industry, which largely caters to adult learners at the community college level. Although the study did not utilize or focus on the learner as a primary focus, there is a recommendation for utilizing future research studies on a more traditional higher education institution.

Last, the exploration of other organizational effectiveness methodologies in higher education settings could contribute to a better understanding of what theories and models best fit the environment. Although it was found that there is significant use of the models for organizational effectiveness as applied to this particular study, it is

recommended that other organizational effectiveness models be utilized on similar studies to determine their validity as well. Additional organizational effectiveness can be used to gauge a higher education institution's preparedness, which can be either applied using a single organizational effectiveness model or a collection of models, as demonstrated by this study.

The interviewed presidents also revealed that there was tremendous value in using the Baldrige model in an accreditation review. This was largely a result of the Baldrige model that emphasizes continuous review of organizational processes, which also correlates largely with the expectations from most accrediting agencies. However, another recommendation is to redesign the matrix so that the focus is not only on the various organizational effectiveness models used, but more specifically, what elements or factors of the various accreditation criteria identify most specifically. For example, it is not only useful to identify an accreditation item as being associated with the Baldrige model, but to delve deeper to ascertain what elements of the accreditation criteria make it Baldrige and why they would add great value in gaining consensus on the accreditation item and increase the learning or understanding by those who are participating in the accreditation process.

Concluding Remarks

This study evaluated the impact of organizational effectiveness in preparing an institution for an accreditation visit. The study confirmed that there is a direct correlation with utilization of the methodologies selected for review in the organizational effectiveness study to improve organizational performance. The findings from the study demonstrated a significant need for various accreditation models utilized, but also

demonstrated a significant influence from the Baldridge model as a result of the accreditation expectations for continuous review of the standards for accreditation.

The findings from the study confirm that applying these organizational effectiveness models can have a positive impact on the institution's preparedness for the accreditation visit. It is hoped that this study provides other higher education professionals with a roadmap and guide for preparing for an accreditation visit. By using the tools and techniques outlined here, higher education institutions can improve the performance of their institutions, thereby, increasing the learning students experience and further improving the educational process.

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APPENDIX A

IRB Approval Letter

PEPPERDINE UNIVERSITY

Graduate & Professional Schools Institutional Review Board

October 22, 2010

Troy Roland
3620 Wild Oats Lane
Bonita, CA 91902

Protocol #: E1010D01
Project Title: ***A College President's Perspective on the Self Study and Accreditation Process Using Organizational Effectiveness: A Case Study Analysis***

Dear Mr. Roland:

Thank you for submitting your application, *A College President's Perspective on the Self Study and Accreditation Process Using Organizational Effectiveness: A Case Study Analysis*, for exempt review to Pepperdine University's Graduate and Professional Schools Institutional Review Board (GPS IRB). The IRB appreciates the work you and your faculty advisor, Dr. Kay Davis, have done on the proposal. The IRB has reviewed your submitted IRB application and all ancillary materials. Upon review, the IRB has determined that the above entitled project meets the requirements for exemption under the federal regulations (45 CFR 46 - http://www.nihtraining.com/ohsrsite/guidelines/45cfr46.html) that govern the protections of human subjects. Specifically, section 45 CFR 46.101(b)(2) states:

> (b) Unless otherwise required by Department or Agency heads, research activities in which the only involvement of human subjects will be in one or more of the following categories are exempt from this policy:
>
> **Category (2)** of 45 CFR 46.101, research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: a) Information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and b) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation.

In addition, your application to waive documentation of consent, as indicated in your **Application for Waiver or Alteration of Informed Consent Procedures** form has been approved.

Your research must be conducted according to the proposal that was submitted to the IRB. If changes to the approved protocol occur, a revised protocol must be reviewed and approved by the IRB before implementation. For any proposed changes in your research protocol, please submit a **Request for Modification Form** to the GPS IRB. Because your study falls under exemption, there is no requirement for continuing IRB review of your project. Please be aware that changes to your protocol may prevent the research from qualifying for exemption from 45 CFR 46.101 and require submission of a new IRB application or other materials to the GPS IRB.

A goal of the IRB is to prevent negative occurrences during any research study. However, despite our best intent, unforeseen circumstances or events may arise during the research. If an unexpected situation or adverse event happens during your investigation, please notify the GPS IRB as soon as possible. We will ask for a complete explanation of the event and your response. Other actions also may be required depending on the nature of the event. Details regarding the timeframe in which adverse events must be reported to the GPS IRB and the appropriate form to be used to report this information can be found in the

Pepperdine University Protection of Human Participants in Research: Policies and Procedures Manual
(see link to "policy material" at http://www.pepperdine.edu/irb/graduate/).

Please refer to the protocol number denoted above in all further communication or correspondence related to this approval. Should you have additional questions, please contact me. On behalf of the GPS IRB, I wish you success in this scholarly pursuit.

Sincerely,

Doug Leigh, Ph.D.
Associate Professor of Education
Pepperdine University
Graduate School of Education and Psychology
6100 Center Dr. 5th Floor
Los Angeles, CA 90045
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(310) 568-2389

cc: Dr. Lee Kats, Associate Provost for Research & Assistant Dean of Research, Seaver College
Ms. Alexandra Roosa, Director Research and Sponsored Programs
Dr. Doug Leigh, Chair, Graduate and Professional Schools IRB
Ms. Jean Kang, Manager, Graduate and Professional Schools IRB
Dr. Kay Davis
Ms. Christie Dailo

APPENDIX B

Case Study Institution's Evidence List

Document Name	Where Hard Copy Physical Evidence is Located
Institutional Catalog	Standard I
National University Writing Center	Standard I
National University Math Center	Standard I
Minutes-2007 Board of Trustees Meetings	Standard I
Substantive Change Proposal to Change the Name of National Polytechnic College of Engineering and Oceaneering to National Polytechnic College of Science and to change the Institutional Mission	Standard I
Substantive Change to Change the College Mission	Standard I
Academic Program Three-Year Review Process	Standard I
Program Review Schedule	Standard I
Role and Responsibilities of the	Standard I

Curriculum Review Committee	
Marine Technology Program Review	Standard I
Graduate Exit Survey/Student Exit Survey	Standard I
Continuous Improvement Process-Graduate Exit Survey	Standard I
Continued Improvement Process with Results-Graduate Exit Surveys	Standard I
Continuous Improvement Process-AS in Marine Technology	Standard I
Continuous Improvement Process with Results-AS in Marine Technology	Standard I
Logon access to Accountability Management System (AMS)	Standard I
Employment Handbook	Standard I
Strategic Plan 2014	Standard I
2009 Annual Plan	Standard I
Strategic Plan 2010 with Accomplishments	Standard I
2010 Annual Operating Plan with	Standard I

Addendum-Online Programs	
Budget Cycle	Standard I
Course Surveys/Course Evaluations	Standard I
Alumni Surveys	Standard I
Employer Surveys	Standard I
Minutes from 2009 President's Advisory Board Meeting	Standard I
Minutes from 2008 Board of Trustees Meetings	Standard I
Minutes from 2009 Board of Trustees Meetings	Standard I
Faculty Council Meeting Minutes	Standard III
Faculty Development Plans	Standard I
Maintenance	Standard I
Air Quality Sample Tests	Standard I
Monthly Budget Reports	Standard I
Detailed Expenditure Reports	Standard I
Overview of Governance Structure	Standard I
Minutes of Curriculum Review Committee	Standard I

Faculty Policies	Standard I
Institutional Planning Using Assessment Results	Standard II
Sub-Change-Construction Management	Standard II
Sub-Change-Health Information Technology	Standard II
Sub-Change-Hyperbaric Medical Technology	Standard II
Sub-Change-Homeland Security	Standard II
Sub-Change-Substance Abuse Counseling	Standard II
Sub-Change-EMT-Paramedic	Standard II
Approval Letter from County of San Diego for Paramedic Training Program	Standard II
Course Outlines	Standard III
Course Syllabi	Standard III
Institutional Benchmark Testing	Standard II
Three-Year Program Self-Study Format	Standard II
Commercial Diver Training Minimum Standard	Standard II
Student Dive Log	Standard II
Course Descriptions	Standard II
Course Schedules	Standard II
Curriculum Developer Contract	Standard II

EMT Basic Standard Curriculum	Standard II
IPEDS	Standard II
National Board of Hyperbaric Medical Technology	Standard II
Standards for Non-Destructive Testing	Standard II
Equipment-EXO Mask	Standard II
Peer Evaluations	Standard II
Grade Book Samples	Standard II
Faculty Development Plans	Standard II
Comprehensive Skills Exam for EMT 282	Standard II
Logon access to General Education Course Psychology 100 through Spectrum	Standard II
DV-131-Diving Operations I	Standard III
DV-135-Diving Operations II	Standard III
Diving Medic Technician Capstone Project	Standard II
U.S. Navy Diving Manual Revision 6	Standard III
Student Advisory Council Meeting Minutes-Wilmington	Standard II
Student Advisory Council Meeting Minutes-San Diego	Standard II
EMT Pass Rates	Standard II
Articulation Agreements	Standard II

Rules of Conduct, Corrective Action and Discipline	Standard II
Enrollment Application	Standard II
Student Orientation Program	Standard II
President's Quarterly Address to the College Community	Standard II
Chancellor's Commission on Student Services	Standard II
Student Concierge Services Information	Standard II
NULS Library Information	Standard II
Logon to Spectrum for eCompanion	Standard II
MT-135 Diving Operations	Standard II
MT281/282-Emergency Medical Technician	Standard III
Logon access to Student Portal	Standard II
Logon access to Faculty Portal	Standard II
Logon access to EDMS	Standard II
Logon access to National University Library System	Standard II
Logon access to National University Library System	Standard II
Logon access to National University Interlibrary Loan	Standard II
License Agreement with EZ-Proxy	Standard II

National University Library System Contract	Standard II
Annual Report of the Library	Standard II
Standard Operating Procedures of the Registrar's Office	Standard II
Spectrum Pacific Learning Information	Standard II
Samples of Job Descriptions	Standard III
Faculty Curriculum Vitae	Standard III
Faculty Professional Development Certificates-AMS Training	Standard III
Adjunct Faculty Contract Sample	Standard III
Board of Trustees Policies and Procedures	Standard III
Employee Resumes	Standard III
Logon access to Talent Manager	Standard III
Sample Staff Performance Reviews	Standard III
Professional Development–Staff	Standard III
Full-time and Part-time Faculty Roster	Standard III
Roster of Administrative Positions from Student Concierge Services	Standard III
Logon access to NUS SharePoint	Standard III
Logon access to online Benefits	Standard III

Orientation/Automated Enrollment Process	
Logon access to Singularity	Standard III
Equal Employment Opportunity Policy	Standard III
Americans With Disabilities Act Policy	Standard III
Sexual Harassment and Misconduct Policy	Standard III
Logon access to Professional Development Unit of National University System	Standard III
Position Analysis issued by Human Resources	Standard III
Certificate of Worker's Compensation Insurance	Standard III
Discovery Safety Manual	Standard III
Safety Manual-San Diego	Standard III
Harbor Evacuation Plan	Standard III
Barge-Discovery Documentation	Standard III
Barge-Discovery Blueprints	On Shelf
Campus Lease Agreements	Standard III
Commercial Diving Program Equipment Safety Plan-Wilmington	Standard III
Commercial Diving Program Equipment Safety Plan-San	Standard III

Diego	
Maintenance Records	Standard III
Purchase Orders for Equipment	Standard III
Sub-Change to Close the Campus in Hawaii	Standard III
Safety Representative Materials	Standard III
Information Technology Strategic Plan for Institutional	Standard III
FY10 Technology Planning	Standard III
What Does It Do?	Standard III
Information Technology Plans for FY10	Standard III
Annual Budget	Standard III
IT Status Report	Standard III
Logon access to CampusVue/CampusVue Management Agreement	Standard III
Talisma Agreement and Supporting Documentation	Standard III
IT Help Desk Log	Standard III
Career Center Home Page	Standard III
Logon access to eCollege	Standard III
Logon access to Adobe Connect	Standard III
Logon access to Taslima	Standard III
Budget Planning Process	Standard III
EMT Program Analysis	Standard III
Budget Reports	Standard III

Financial Statements	Standard III
JGD&Associates Audits	Standard III
3-Year Financial Trends and Analysis	Standard III
Logon access to PeopleSoft	Standard III
Required Evidentiary Documents for Financial Review	Standard III
A-133 Financial Aid Compliance Audits	Standard III
National University System Affiliate Resource Manual	Standard III
Little Company of Mary Contractual Agreement	Standard III
Scripps Health Contractual Agreement	Standard III
Monthly Operating Financial Report	Standard III
Audited Financial Statement (Refer to Note Payable on Financial Statement)	Standard III
Federal Tax Exemption	Standard III
State Tax Exemption	Standard III
Expense Tracking Spreadsheet Narrative	Standard III
Expense Tracking Spreadsheet	Standard III
Paid Invoices and Requisitions (Samples)	Standard III
Institutional Website Home Page	Standard IV

Institutional Marketing Development and Approval Process/FaceBook Launch	Standard IV
Institutional Collateral	Standard IV
List of Professional Affiliations and Memberships	Standard IV
Members of the Board of Trustees	Standard IV
Faculty Governance Structure	Standard IV
Midterm Report	Standard IV
2003 Self Study Report	Standard IV
Administrative Contracts	Standard IV
Faculty Contracts	Standard IV
Merger Document	Standard IV
National University System Organizational Chart	Standard IV
National University Website Home Page	Standard IV
National University Mission Statement	Standard IV
National University System Affiliates	Standard IV
National University Fact Book	Standard IV
National University Standard Practices	Standard IV
National University Assessment Summit 2009	Standard IV

National University System IT Budgeting for Affiliates	Standard IV
National University System Human Resources Policies and Procedures	Standard III
Board of Trustees Bylaws	Standard IV
Board of Trustees Handbook	Standard IV
Institutional Organizational Chart	Standard IV
Organizational Support and Integration	Standard IV

APPENDIX C

Case Study's Institution Accreditation Matrix

Standard One: Institutional Effectiveness

ACCJC Standards*	Evidence (Textual Analysis)	Organizational Effectiveness Model	Departments Utilized
A. Mission	Review of meeting notes where the mission is also highlighted.	Baldrige	Faculty, Staff, Institutional leadership, students, and the Board of Trustees.
I.	Review of historical information from Board of Trustees meetings and institutional meetings.	Goal, CVF	Board of Trustees and Student Service Operating Units
2.	Minutes of governing board approval of mission	Goal	Board of Trustees minutes
3.	Review of mission minutes from several departmental meetings.	Goal	Board of Trustees, Administrative, Student Services, and Faculty Meeting minutes.
4.	Process of continuous improvement	CVF, Baldrige	Institutional Annual Planning Retreat
5.	2014 Strategic Plan	Baldrige	Institutional Annual Planning Retreat
6.	Annual operating plans	Baldrige	Institutional Annual Planning Retreat

7.	Minutes from meetings discussing the plans that includes faculty, staff, and administration	Baldrige	Institutional Annual Planning Retreat

Standard II: Student Learning

ACCJC Standards*	Evidence (Textual Analysis)	OE Model	Departments Utilized
Instructional Programs			
A1	Faculty Council meeting minutes	Baldrige	Faculty Council
A.1.a	Faculty Council meeting minutes Academic Program Reviews	Baldrige	Faculty Council Student Services Administrative Departments
A.1.b.	Technical Advisory Committee meeting minutes	Goal	Technical Advisory Committee
A.1.c	Program Reviews	CPV Baldrige	Faculty Council Meeting 3 Year Program Review
A2.	Faculty Council Meeting Minutes	Goal	Faculty Council
A2a	Faculty Council Meeting Minutes	Goal	Faculty Council Student Services Committee
A2b	Academic Program Review Student Learning Outcomes Institutional Planning	Baldrige	Faculty Council Student Services Presidents Leadership Council

	Retreat Minutes		
A2c	Annual Program Review	Baldrige	Faculty Council
A2d	Three Year Program Review	Baldrige	Faculty Council Meeting Notes
A2e	Three Year Program Review	Bal	Program Review Committee
A2f	Three Year Program Review	Baldrige	Academic Program Review Process
A2g	Three-year academic program review	Goal	Faculty Council
A2h	Three-year academic program review	Goal	Faculty Council
A2i	Sample program syllabi	Goal	Faculty Council
A3	Catalog	Goal	Faculty Council
A3A	Catalog/Program Descriptions	Goal	Faculty Council
A3B		Baldrige	
A4	Sample Course Outlines	Goal	Faculty Council
A5	Licensure pass rates	Goal	Faculty Council
A6	Catalog	Goal	Faculty Council
A6A	Catalog	Goal	Faculty Council
A6B	Policy on program elimination	Goal	Faculty Council
A6C	Sample of website,	Goal	Faculty Council

	and catalog		
A7	Faculty Policies	Goal	Faculty Council
A7B	Catalog	Goal	Faculty Council
A7C	Catalog	Goal	Faculty Council
A8	Catalog	Goal	Faculty Council
	Student Services		
B/B1	Housing and Employment Assistance Policy	CVF	Student Services Plan
B2	Catalog	Goal	Faculty Council
B3	Graduation Surveys	CVF	Faculty Council
B3B	Catalog	Goal	Faculty Council
B3C.	Student Exit Surveys	CVF	Student Services Survey
B3D.	Catalog, course descriptions	Baldrige	
B3E.	Admissions entrance exam scores	Baldrige	Faculty Council
B3F.	EDMS Contract	Goal	Student Services
B4	Graduate Surveys/Exit Surveys	Baldrige	Student Services/Faculty Council
	Library and Support Services		
C/C.1	Library Surveys	Baldrige	Teaching Resources Subcommittee
C1A	Library	Baldrige	Teaching Resources

			Subcommittee
C1B	Library Survey	Baldrige	Teaching Resources Subcommittee
C1C	Student Concierge	Baldrige	Teaching Resources Subcommittee
C1D	Student Concierge	Baldrige	Teaching Resources Subcommittee
C1E	N/A		
C2	Library Annual Reports and Surveys	Baldrige	Teaching Resources Subcommittee

Standard III: Resources

ACCJC Standards*	Evidence (Textual Analysis)	OE Model	Departments Utilized
A./A.1.a	Job descriptions	CVF	Administration
A.1.B	Evaluations of personnel and performance reviews	Baldrige	Administration
A1c	Course descriptions	CVF/Baldrige	Faculty Council
A1d	Catalog	Goal	Faculty Council
A2.	Faculty to student ratio	CVF	Faculty Council
A3	Policy manual for faculty and administration along with reviews of HR Policies	CVF	Assessment Retreat Notes
A3b	Singularity contract	Goal	Administration
A4/A4a	Diversity statement in catalog	Goal	Administration
A4b	Diversity hiring and review of ethnic makeup of administrators	Goal	Administration
A4c	Employee manual: Rules of conduct, and discipline	Goal	Administration
A5/A5a	Professional development policies	Baldrige	Administration

	and offerings		
A5b	Evaluations of professional development offerings by staff and faculty	Baldrige	Administration
A6	HR planning integrated with personnel plans / Assessment Retreats	CVF	Administration
B/B1	Plan for physical resources	Baldrige	Administration
B1B	Inspection reports for Facilities and student surveys of equipment	Baldrige	Administration
B2 / B2A	Inspection reports	Baldrige	Administration
B2B		CVF	Administration
C1	Graduation and student surveys	Baldrige	Student Services
C1a			
C1b	Professional development training plans and assessments	Goal	Administration
C1c	IT Work plan for infrastructure upgrades	Baldrige	Administration
C1d		CVF	Administration
C2		Baldrige	Administration
D1/D1a	Budget plan and process	Baldrige	Budget Committee
D1b	Budget plan and process	CVF	Budget Committee

D1c	Budget plan and process	CVF	Budget Committee
D1d	Budget plan and process	CVF	Budget Committee
D2/D2a	Budget plan and process	CVF	Budget Committee
D2b	Communication samples of memos and emails	Baldrige	
D2c	Cash flow statements and two years audits	CVF	
D2d	Audit reports	CVF	
D2e	Audit reports	CVF	
D2f	Lease agreements	CVF	
D2g		Baldrige	
D2h		Baldrige	

Standard IV: Leadership and Governance

ACCJC Standards**	Evidence (Textual Analysis)	OE Model	Departments Utilized
A/A1	Board, Faculty, Organizational Retreat minutes	Goal	Various
A2	Governance structure document and notes.	Goal	Various
A2A	Faculty Handbook, Governance Structure	Goal	Various
A3	Strategic Plan 2014/2010	Goal	Various
A4	Self Study Reports	Goal	Various
A5	Annual Plans	Goal	Various
B/B1	Governance Structure Faculty Handbooks	Goal	Various
B1A	Board of Trustees Minutes	Baldrige	Various
B1B	Board of Trustees review of mission	Goal	Board of Trustees
B1C	Board of Trustees governance policies manual	Goal	Board of Trustees
B1D	Board of Trustees governance policies manual	Goal	Board of Trustees
B1E	Board of Trustees	Goal	Board of Trustees

	governance policies manual		
B1F	Board of Trustees governance policies manual	Goal	Board of Trustees
B1G	Board of Trustees governance policies manual	Goal	Board of Trustees
B1H	Board of Trustees governance policies manual	Goal	Board of Trustees
B1I	Board of Trustees governance policies manual	Goal	Board of Trustees
B1J	Board of Trustees governance policies manual	Goal	Board of Trustees
B2	Organizational chart	Baldrige	President's Leadership Council
B2A	Board of Trustees Bylaw	Baldrige	Board of Trustees
B2B	President's Council	Baldrige/CVF	President's Council
B2C	President's Council	Baldrige	President's Council
B2D	President's Council	Baldrige	President's Council
B2D	Budget reviews	CVF	President's Council
B2E	Presidents Advisory Committee	Goal	President's Advisory Council Minutes

B3		CVF	
B3A		B/CVF	
B3B	Various institutional student services	CVF	Student Concierge Service
B3C	NU System Affiliate Resource Manual	CVF	
B3D	Annual Reports and plans on budget	CVF	
B3E		CVF	
B3F		CVF	
B3G		CVF	