

The Implementation of an Accountability and Assessment System: A Case Study of  
Organizational Change in Higher Education

by

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## **Abstract**

This qualitative case study is exploratory in nature. The purpose of the study is to look at higher education organizational change processes related to accountability and the implementation of an assessment management system. Specifically, the study focuses on how one teacher education program approaches the process of implementing an assessment management system through the lens of effective organizational change.

*Keywords:* leadership, organizational change, faculty, accountability, assessment, technology



## **Chapter One: Introduction**

The discussion of accountability and assessment is unavoidable in the field of education. Entwistle (1996) writes that “the single, strongest influence on learning is surely the assessment procedures” (p. 111). Accountability and assessment processes cannot be ignored in higher education, as well as in the K-12 schools. The National Academy for Academic Leadership (2013) states “the ability to engage in high-quality assessment has become a sine qua non for the college-level educator” (para. 1). However, this focus on high-quality assessment requires a higher education institution to embark on a collaborative journey of organizational change and learning that is not familiar to faculty members who are accustomed to the more independent practice that previously defined traditional faculty roles. Indeed, Entwistle (1996) summarizes the challenge by stating “entrenched attitudes which support traditional methods of teaching and assessment are hard to change” (p. 112).

The role of accountability and assessment of student learning in higher education is a prominent factor in the accreditation process. A spotlight is focused on institutional accountability as a result of external pressure for transparency and public reporting which grew out of a 2006 Secretary of Education study. The authors of the study write, “postsecondary education institutions should measure and report meaningful student learning outcomes” (The Secretary of Education’s Commission on the Future of Higher Education, 2006, p. 24). The Higher Learning Commission (HLC, 2013), regional accrediting organization for universities and colleges, places so much weight on

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assessment that they have created an Academy for Assessment of Student Learning to assist in training institutions on assessment best practices. The HLC Assessment Academy's purpose is to provide "institutions with new ideas and techniques for influencing institutional culture, improving the assessment of student learning and increasing institutional capacity to complete those assessments." The New Leadership Alliance for Student Learning and Accountability (2012b) provides a set of guidelines for assessment procedures in higher education institutions. These guidelines are based on four areas of focus: (1) Set Ambitious Goals, (2) Gather Evidence of Student Learning, (3) Use Evidence to Improve Student Learning, and (4) Report Evidence and Results (pp. 5-9). When providing the framework for the gathering of evidence, focus area number three states,

Systematic processes for gathering evidence allow colleges and universities to discover how well students are progressing toward the institution's overall and programmatic learning outcomes. Evidence gathering efforts that are ongoing, sustainable, and integrated into the work of faculty and staff can suggest where the institution is succeeding and where improvement is needed. (p. 6)

For higher education teacher preparation institutions, the governing accreditation organization is the Council for the Accreditation of Educator Preparation (CAEP), which has formed out of a merger of the National Council for Accreditation of Teacher Education (NCATE) and the Teacher Education Accreditation Council (TEAC). The 2013 CAEP Standards for Accreditation of Educator Preparation specifically define the role of assessment and the collection of evidence of student learning. The design of the CAEP accreditation process requires teacher preparation institutions, referred to as an

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Educator Preparation Provider (EPP) in CAEP terminology, to provide evidence of successful implementation of the standards and the desired student learning outcomes.

The CAEP (2013) policy states,

EPPs have the burden to demonstrate that they meet CAEP standards. CAEP should expect providers to take responsibility for examining the quality of evidence on which they rely—in part to make their case that standards for accreditation are met but, routinely, for continuous improvement of their own programs. Providers should demonstrate that the data used in decision-making are valid, reliable, and fair (free of bias). In keeping with the Commission’s perspective that results matter, providers should give equal weight to the message from the data—the interpretation of the values or results. Through benchmarks, comparisons, and other means, the provider should describe its status and trends in relation to CAEP standards. (p. 28)

The New Leadership Alliance for Student Learning and Accountability (2012) also maintains that evidence should be used to improve student learning. The reasoning behind this guideline is, “the cycle of making evidence-based changes in programs and practices promotes continuous review, evaluation, and reporting of institutional action and improvement” (New Leadership Alliance for Student Learning and Accountability, 2012b, p. 7). Therefore, while the requirement for a robust assessment system is crucial for higher education organizations, the process of embarking on this organizational change remains a challenge for administrators and faculty. Higher education traditions and the culture of those organizations can potentially be embedded in decades, if not

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centuries, of stagnant procedures and processes. Zemsky et al. (2006) state that “while academic traditions are important, so are the needs of today’s world” (p. 67).

Based on organizational theory from the social learning perspective, this study will look at the process of change demonstrated through the implementation of a structured assessment management system (AMS). Approaching this assessment system implementation from the leadership perspective, the organizational change is viewed as a function of the process of human interaction which drives the behaviors of individuals. These interactions are rooted in an individual’s prior experiences as well as the culture of the organization itself, as theorized by social psychologist Kurt Lewin (1943) in his work on social learning, in which he stated that human behavior is a function of both the person and their environment,  $B = f(P, E)$  (p. 297).

### **Statement of the Problem**

Higher education institutions offering teacher education programs are under increasing pressure from accrediting bodies and government organizations to address accountability demands and strengthen teacher preparation assessment reporting. Accreditation organizations require assessment systems that demonstrate evidence of student learning. In order to meet the requirements of accreditation standards and accountability expectations, institutions and individual departments must depend on collaboration and faculty member support of the refocusing of efforts on an assessment driven agenda. Individual courses and the specific learning outcomes for each class must be viewed in the context of a full program curriculum review. However, higher education faculty members traditionally engage in autonomous practice (Andrade, 2011; Haviland, 2009).

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To work on collaborative instructional tasks requires a change in institutional culture and practices. In effect, an institution needs to adopt a culture of accountability and assessment. Schein (1984) defines organizational culture as,

A pattern of shared basic assumptions that a given group has invented, discovered, or developed in learning to cope with its problems of external adaptation and internal integration, and that have worked well enough to be considered valid, and, therefore, to be taught to new members as the correct way to perceive, think, and feel in relation to those problems. (p. 3)

Within any organization which maintains a shared history, there exists at least one predominant culture consisting of beliefs, values, expectations, assumptions and behaviors. There can be as many different cultures as there are separate groups and subgroups within a complex organization system (Schein, 1990). In higher education, traditionally there has been a strong tendency toward a culture which values individual effort and achievements. This culture embraces the pillars of faculty autonomy and academic freedom. External pressures to work in a less-autonomous manner have been met with resistance (Carless, 2009; Ecclestone & Swann, 1999; Ewell, 2002). The question then is not if an institution will utilize an assessment system, but rather: how does higher education leadership best approach the process of implementing a technology based assessment management system in order to ensure successful organizational change?

### **Purpose of the Study**

The purpose of this study is to analyze the organizational change process implemented in a higher education department, through the adoption of an assessment

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management system (AMS) for data collection. Through the use of data collected from departmental documentation as well as faculty questionnaire responses, effective practices will be identified and areas for improvement will be noted as well.

Implementation recommendations will be offered for leaders at similar institutions. It is the goal of the researcher to provide guidance for administrators who are interested in identifying the steps of institutional change processes which are beneficial to the AMS implementation.

### **Theoretical Perspective**

The study is based on the theory of organizational learning, with a focus on the social learning perspective through the lens of change theory (Kezar, 2001; Van Loon, 2001; Weick & Quinn, 1999). Social learning is framed by Kurt Lewin's field theory that maintains that behavior is a function of both the person and their environment (Lewin, 1943). Social learning theory maintains that individuals use observation and cognitive processes to interpret both their own behavior as well as that of others around them; this interpretation directs the individual's actions and decision-making processes (Bandura, 1991). Lewin's social learning theory, as applied to organizational change, requires three stages: unfreezing, moving, and refreezing (Lewin, 1947, pp. 34-35). The three stages are used as a foundation in this study to differentiate between the starting position of current faculty practices (unfreezing), the phase during which faculty are involved in the change process (moving), and the ongoing maintenance phase after the change is implemented (refreezing). Lewin's social learning theory will be juxtaposed with Kotter's Eight Step Change Model and Kantor's Ten Commandments for Executing

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Change to expand the scope of the study to include the complexities of organizational culture and change.

### **Research Questions**

Central Question: How does a university implement organizational change to facilitate the adoption of an assessment management system (AMS)?

Sub Questions:

- 1) What change model steps are effectively executed by institutional administrators in the implementation of the AMS?
- 2) Which change model steps are omitted, or ineffectively implemented, in the change process?
- 3) Does the implementation process result in organizational change?
- 4) What are the change model steps which can be improved to maximize faculty involvement and participation?

### **Delimitations**

The delimitations of the study are that the participants do not include any faculty members who are not involved in a teacher preparation program at a higher education institution. Due to the focus on an AMS, and the desire to narrow the scope of the study, the study is delimited to participants who meet the criteria of either working exclusively in teacher preparation or as a content area liaison for courses that are required to be taken by teacher candidates. Participants are not taken from teacher preparation institutions that are not currently utilizing, or in the initial implementation phase of, an AMS for data collection purposes. The geographic location of the principal investigator, coupled with

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limited financial resources for travel, delimits the study to a small university in the Midwest region of the United States.



## **Chapter Two: Literature Review**

This study is based on the theory of organizational change, with a focus on the social learning perspective through the lens of team effectiveness and change models. The review of the literature is focused on three specific themes: history of organizational and leadership theory, leadership in organizational change, and accountability and assessment processes in higher education. The history of organizational and leadership theories provides a framework for understanding how educational leaders function within an institution of higher education. The historical literature reviews the topics of the early theorists of the 1900s, contingency theory, situational leadership, expectancy theory, organizational culture, and social learning theory. The literature on leadership in organizational change explores the topics of transformational leadership, key stakeholders, skill-flexibility, force field analysis, groups and team effectiveness, and organizational change from the perspective of the Lewin, Kotter and Kanter models. Finally, the literature on accountability and assessment is reviewed focusing on the topics of the governmental role in accountability, the history of assessment in higher education, implementing an assessment plan in teacher education programs, and building a culture of assessment.

### **History of Organizational and Leadership Theory**

Organizational theory begins in the early part of the 20<sup>th</sup> Century with the classical theorists which are followed by the neoclassical theorists. The classical and

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neoclassical theorists recommend avoiding conflict because it interferes with organizational equilibrium (Scott, 1961). Theorists from this period in history include Frederick Taylor, Max Weber, and Chester Barnard. Taylor developed the scientific management theory, later referred to as “Taylorism,” and his early works garnered him the title of the “Father of Scientific Management” (Al-Haddad & Kotnour, 2015; Taneja, Pryor, & Toombs, 2011). Taylor (1911) delineates four key principles which embody the managerial duties:

1. Develop a science for each element of a man's work, which replaces the old rule-of-thumb method.
2. Scientifically select and then train, teach, and develop the workman, whereas in the past he chose his own work and trained himself as best he could.
3. Heartily cooperate with the men so as to insure all of the work being done in accordance with the principles of the science which has been developed.
4. There is an almost equal division of the work and the responsibility between the management and the workmen. The management take over all work for which they are better fitted than the workmen, while in the past almost all of the work and the greater part of the responsibility were thrown upon the men. (pp. 36-37)

Max Weber (1947) expanded on Taylor's theories, and focused on the need for organizations to reduce diversity and ambiguity. Weber framed bureaucracy as a strict hierarchical power structure that maintained clear lines of authority between the vertically arranged layers of leadership (pp. 329-333). Formal rules were established to

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maintain organizational stability (Kalberg, 2011; Meyer & Rowan, 1977; Pugh, 1966).

Weber's monocratic bureaucracy model was defined by: (a) a fixed division of labor; (b) a hierarchy of offices, (c) a set of rules governing performance, (d) a separation of personal from official property and rights, (e) the use of technical qualifications for selecting personnel, and (f) employment as primary occupation and long-term career (Bolman & Deal, 2013, p. 46). As a social theorist, Max Weber provided a definition of a charismatic leader which is still applicable decades later. Weber defined charisma as a "special personality characteristic that gives a person superhuman or exceptional powers and is reserved for a few, is of divine origin, and results in the person being treated as a leader" (Northouse, 2010, p.173).

Chester Barnard (1968) focused his work on the role of the executive within the organization. Barnard viewed organizational success as a result of a leader's ability to create a cohesive environment. Barnard states that the two conditions under which cooperation could endure are effectiveness and efficiency. Effectiveness in this instance is defined as the accomplishment of a cooperative purpose and efficiency is the satisfaction of individual motives (Stogdill, 1950, pp. 9-10). According to Barnard, the effective leader is one who can balance the technological tasks along with the human dimensions such as moral complexity and personal responsibility (Gabor & Mahoney, 2010; Smith, 1975).

### ***Contingency Theory***

The contingency theory of leadership emerged in the 1950s, and it revolves around the premise that effective leadership is born out of the match between leader and situation. Fiedler (1964) puts forth the theory that it is imperative to select the correct

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leader for the task at hand. Fiedler views leadership style as something that is inherent in an individual, an attribute that is not easily changed, and therefore the leader must be matched to the situation from the onset of the task. The subsequent effectiveness of a leader is contingent on the situation in which they are serving as leader (Northouse, 2010). The contingency theory defines the situation by including three variables: leader-member relations, task structure, and power position (Mestenhauer & Ellingboe, 2005).

Fiedler (1964) developed a contingency model that balanced leadership styles as either task-motivated or relationship-motivated. The task-motivated leaders, referred to as low Least Preferred Coworker (LPC), are individuals that Fiedler viewed as focused on reaching a goal. The relationship-motivated leaders, i.e. high LPC, are those that concern themselves with developing close interpersonal relationships within their groups or organizations (Morris & Fiedler, 1964). High LPC leaders are generally described as more considerate of the feelings of group members, less punitive, and more relationship-oriented in their behaviors than are low LPC leaders (Morris & Fiedler, 1964). The High/Low LPC theory can be applied to the study of higher education. As educators themselves, faculty in teacher preparation programs are encouraged to be caring and relationship oriented. Rogers & Webb (1991) state that “good teachers care, and good teaching is inextricably linked to specific acts of caring” (p. 174). Seifert (2011) indicates that “your goal, as teacher, is to demonstrate caring and interest in your students not just as students, but as people. The goal also involves behaving as if good relationships between and among class members are not only possible, but ready to develop and perhaps even already developing” (p. 5). As relationship-motivated individuals, faculty in leadership positions at teacher preparation institutions would be

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faced with the following scenarios based on their position power in the Least Preferred Coworker Contingency Model (C.G. Morris, personal communication, October 23, 2011):

- High control situations (Strong Position Power): High LPC leaders tend to become bored and are no longer challenged. They may seek approval from their superiors ignoring their subordinates, or they may try to reorganize the task. As a result, they often become inconsiderate toward their subordinates, more punishing, and more concerned with performance of the task.
- Moderate control situations (Moderate Position Power): High LPC leaders focus on group relations. They reduce the anxiety and tension of group members, and thus reduce conflict. They handle creative decision making groups well. They see this situation as challenging and interesting and perform well in it.
- Low control situations (Weak Position Power): High LPC leaders become absorbed in obtaining group support often at the expense of the task. Under extremely stressful situations, they may also withdraw from the leadership role, failing to direct the group's work.

The application of the contingency theory of leadership to higher education is especially clear when looking at position power. In a university setting, as well as most traditional K-12 public school systems, the power system is clearly defined in a vertical hierarchy. The presence of contracts and tenure can equalize the power base slightly, by taking away absolute power from the top leaders in the system. But, there is still strong power in the ability to promote and demote under ambiguous circumstances. In an

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institution where there is no tenure system (e.g. an “at will” employer), position power is more solidly held by those with seniority. Therefore, an individual that lacks chronological years at the institution will have to call on other forms of power and influence to gain leadership roles. In these situations, the contingency model will call for strong leader-member relations and a high task structure to give a low position power leader control over the group process or subordinate outcomes (Yukl, 2010). A moderate position power leader, with strong leader-member relations, will be most successful in creative decision making group situations.

### *Situational Approach*

Unlike Fiedler’s view that leadership style is fixed, other situational approaches see effective leaders as those who can adapt to the situations they face. The premise of the situational approach is that contexts change and as the situations change, so must the leadership approach that is used. Indeed, it is not beyond possibility that a leader could modify their style and behavior multiple times in one day as they interact with different groups of constituents in a variety of contexts. Doyle and Smith (2001) discuss the contextual variability faced by researchers of the situational approach by stating:

Some looked to the processes by which leaders emerge in different circumstances - for example at moments of great crisis or where there is a vacuum. Others turned to the ways in which leaders and followers viewed each other in various contexts - for example in the army, political parties and in companies. The most extreme view was that just about everything was determined by the context. But most writers did not take this route. They brought the idea of style with them, believing that the style needed would change with the situation. Another way of

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putting this is that particular contexts would demand particular forms of leadership. This placed a premium on people who were able to develop an ability to work in different ways, and could change their style to suit the situation. (p. 13)

The situational leadership model requires that a leader be very flexible in their roles with groups. The leader's behavior is determined by where the individual group members currently fall on the scale of competence and commitment. A group member may move along the development continuum during a task or between tasks. Therefore, the first step for a leader is to evaluate where all subordinates currently fall on the developmental level and then modify their leadership approach to match the group's needs. One situational leadership method is the Two-Factor Theory which is an approach defined by Frederick Herzberg (1974). In Herzberg's Two-Factor Theory, there are motivators and hygiene factors. The motivators are what lead to job satisfaction. The hygiene (or maintenance) factors are external items that, while not motivating by themselves, when combined with the motivators they work in tandem to increase employee motivation and satisfaction (Artis, 2009). Herzberg's motivators are defined as the work itself, achievement, recognition and opportunities for advancement. An effective leader would use these motivators as the basis of a plan to increase motivation and satisfaction. Hygiene factors are items such as working conditions, job security, salary and benefits, institutional policies, and relationships within the organization. These all add or detract from an employee's perception of their work environment. If the employee feels positive about these factors, they are able to enjoy the motivators that bring about job satisfaction and motivation. However, when these basic maintenance factors are damaged or undermined, the employee is not able to perform in a way that is

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mutually beneficial for both the individual and the organization (Herzberg, 1974). A leader who is aware of what motivates employees will be effective when able to adapt to the needs of their employees and/or the tasks before them.

### ***Expectancy Theory***

Understanding expectancy theory is another way in which an effective higher education leader can move faculty toward a new culture of accountability and assessment. Expectancy theory, attributed to Victor Vroom (1976), is rooted in the philosophy that people make decisions based on their belief that a positive outcome will be achieved through that choice or decision. Expectancy theory states that an individual will look at three factors when making a decision. The first factor is Expectancy, which is whether or not the individual believes that the effort put forth will result in the task at hand being successfully achieved. The second factor is Instrumentality, which is defined to be the probability in that individual's mind that the successful completion of the task will lead to a desirable outcome (essentially a reward). The final factor is Valence, which is the value that the individual actually places on the outcome or reward. In expectancy theory, "a faculty member must know what is to be accomplished, it must be important to the individual, they must know what is expected, and that there are possibilities for success" (Beyer, 2010a, p.3).

### ***Social Learning Theory***

Social learning theory is the belief that individuals can learn without having to actually experience something firsthand. Social learning theorists posit that people can learn vicariously through observation and the experiences of others. This theory stems from what social psychologists saw as an inadequacy in the explanation of how learning



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is acquired. Behavioral theorists maintained that all learning was acquired through conditioning, reinforcement and punishment. Social learning theorists, such as Albert Bandura (1977), believe that direct reinforcement is not responsible for all types of learning. Bandura's social learning theory contends that learning can also occur simply by observing the actions of others. Bandura (2001) identifies four sub-functions which regulate the observational learning processes: attentional processes, retention processes, production processes, and motivational processes. Bandura explains social learning by stating,

Learning would be exceedingly laborious, not to mention hazardous, if people had to rely solely on the effects of their own actions to inform them what to do.

Fortunately, most human behavior is learned observationally through modeling: from observing others one forms an idea of how new behaviors are performed, and on later occasions this coded information serves as a guide for action. (1977, p. 22)

### ***Grounded Theory***

Grounded theory is a qualitative research methodology that was founded by Glaser and Strauss in 1967. Grounded theory uses inductive processes to create knowledge and understanding of a situation or phenomenon. Grounded theory grows out of the data of a given social situation rather than from an existing theory or framework (Bryant & Charmaz, 2007; Liska Belgrave, 2014). A grounded theory is developed and revised as the researcher analyzes the data. The resulting grounded theory explores a certain situation, taking into account how the individuals involved respond to conditions and the consequences of their actions, and creates an abstract theoretical structure which

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can then be more broadly applied to similar situations and yet is still grounded in data (Corbin & Strauss, 2008). Corbin and Strauss (1990) identify eleven procedures that are necessary in grounded theory research:

- 1) Data collection and analysis are interrelated processes.
- 2) Concepts are the basic units of analysis.
- 3) Categories must be developed and related.
- 4) Sampling in grounded theory proceeds on theoretical grounds.
- 5) Analysis makes use of constant comparisons.
- 6) Patterns and variations must be accounted for.
- 7) Process must be built into the theory.
- 8) Writing theoretical memos is an integral part of doing grounded theory.
- 9) Hypotheses about relationships among categories are developed and verified as much as possible during the research process.
- 10) A grounded theorist need not work alone.
- 11) Broader structural conditions must be brought into the analysis, however microscopic in focus is the research.

### **Leadership in Organizational Change**

*A species that fails to develop at the same rate as or faster than its surroundings will become extinct.* -Charles Darwin, On the Origin of Species, 1859

Similar to Darwin's views on species such as animals and plants, an organization has the potential to become extinct if it is not developing in concert with its surroundings. An organization must be able and willing to change if it is going to survive. This also requires an organization to be aware of its strengths and weaknesses and how those

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attributes interact with a changing environment. Haggroth (2013) warns that “an organization that thinks itself fully evolved in its current manifestation lives dangerously” (p. 550). An organization that does not see the necessity of constantly scanning the impact of environmental forces, with a focus on identifying where change needs to be made, is setting itself up for potential extinction.

Fundamental to organizational change is the leadership that serves as its guide. Change leadership encompasses the values, skills, methodology and procedures that are employed to move an organization in a desired direction and toward an ultimate goal. The specific focus of these leaders is the methods through which employees can be positively motivated to accept the change while minimizing resistance, conflict, and disruption to the effectiveness and efficiency of the organization (Bandura, 1978; Griffith-Cooper & King, 2007; Neves & Caetano, 2009).

### ***Transformational Leadership***

Transformational leadership, a term coined by James Downton in the early 1970s, is a visionary approach to leading which takes in to account the employees’ values, emotions, ethics, standards, and goals (Northouse, 2010). When an organization approaches a substantial change in process or policy, obtaining key stakeholder support is crucial for successful implementation. For example, applying the transformational leadership model to this scenario, organizational leaders approach institutional change by motivating employees to behave in a manner that benefits the greater whole rather than simply looking to benefit their own individual self-interests.

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According to Northouse (2010), the factor in transformational leadership which describes the style that employs these skills is referred to as individualized consideration. This is a style by which the leader coaches and supports their followers, giving them encouragement and the tools to be self-motivated in moving toward the desired outcomes of the specified institutional change. However, the goal of getting key stakeholders to commit to the organizational change can only be obtained if the leader is also steadfast in their support of and belief in the change (Abrell-Vogel & Rowold, 2014). Neves and Eisenberger (2014) expand on leader commitment to change by identifying that there also needs to be clear trust in the organization itself, on the part of the leader, in order for employees to buy in to a change. The investment of resources in people and sufficient training opportunities encourages trust and minimizes faculty resistance to change (Andrade, 2011). Kouzes and Posner identify five effective leadership practices that lead to favorable change: (1) model the way; (2) inspire a shared vision; (3) challenge the process; (4) enable others to act; and (5) encourage the heart (as cited in Northouse, 2010, pp. 164-165).

### ***Human Resources Frame***

Bolman and Deal (2015) state that “effective human resource leaders empower others” (p. 361). The manner in which a leader interacts within the organization can be viewed through this human resources frame. The importance of building and sustaining positive relationships between organizational leaders and their employees is found repeatedly throughout the literature (Marsh & Farrell, 2015; Martin, 2007; Panayotopoulou, Bourantas, & Papalexandris, 2003; Seyfarth, 2008; Siddique, Aslam, Khan, & Fatima, 2011; Tella, Ayeni, & Popoola, 2007). In order to empower others

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toward adopting change, employees need to be motivated. Bandura (1978) identifies personal efficacy as an individual's belief that they can be successful in meeting the outcomes expected of them. Bandura states that personal efficacy is developed based on information the individual gains from "performance accomplishments, vicarious experience, verbal persuasion, and physiological states" (p. 139).

### ***Structural Frame***

Like the human resources frame, Bolman and Deal's (2015) structural frame provides a beneficial lens through which faculty motivation and the implementation of change can be viewed. The structural frame is defined by using "clear, well-understood goals, roles, and relationships" (Bolman & Deal, 2015, p. 44). The structural frame is similar to Taylorism in that the goal is to match employees with the correct tasks and groupings in order to capitalize on placing people where they best fit. Andrade (2011) explains that within the structural frame, problems which emerge during the change process can be fixed through reviewing and restructuring. The culture of change revision is well-suited for change driven by assessment goals because it mirrors the larger purpose of assessment for learning which emphasizes the importance of reflection and modification.

### ***Key Stakeholders***

The concept of involving key stakeholders in the change process is frequently cited as an imperative task (Fullan, 2007a; Häggroth, 2013; Kantanen, 2012; Northouse, 2010). Häggroth (2013) emphasizes the importance of leaders creating opportunities where all stakeholders can be included. Leadership must be effective and transparent in

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goal setting and communication of the change process. In terms of higher education faculty support of the assessment process, van Vught and Westerheijden (1994) state,

It is often argued in the higher education literature that, in order for academics to accept and implement changes, they must trust and 'own' the process in which problems are defined and solutions are designed. This is certainly also the case in quality assessment. Only if the academics accept quality assessment as their own activity, will the system be successful. Self-evaluation is a crucial mechanism for academics to accept a quality assessment system. (p. 366)

### *Skill Flexibility*

Research on organizational change, conducted by Rosenblatt (2004), indicates that when given input and a role in the proposed change, teachers are more “skill-flexible.” Skill-flexibility is defined as an “educator’s ability to acquire and use skills that are relevant to changing pedagogical and administrative demands, generated by technological developments and the implementation of social reforms” (Rosenblatt, 2004, p. 2). In situations where the school leadership controlled the initiation of change, or when the change was to satisfy administrative needs only, teachers were less skill-flexible. The key for effective leadership then is to involve teachers in change that is related to the educational processes or needs of their classrooms, wherein the teachers can see the benefit to their professional work and the students’ learning goals.

### *Systems Theory*

Heifetz and Laurie (1999) maintain that there is a zone of productive disequilibrium (see Figure 1) which necessitates a moderate level of chaos in an organization in order to motivate change. Heifetz and Laurie state that leaders should:

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Embrace disequilibrium. Without urgency, difficult change becomes far less likely. But if people feel too much distress, they will fight, flee, or freeze. The art of leadership in today's world involves orchestrating the inevitable conflict, chaos, and confusion of change so that the disturbance is productive rather than destructive. (p. 70)

Figure 1 The Productive Zone of Disequilibrium

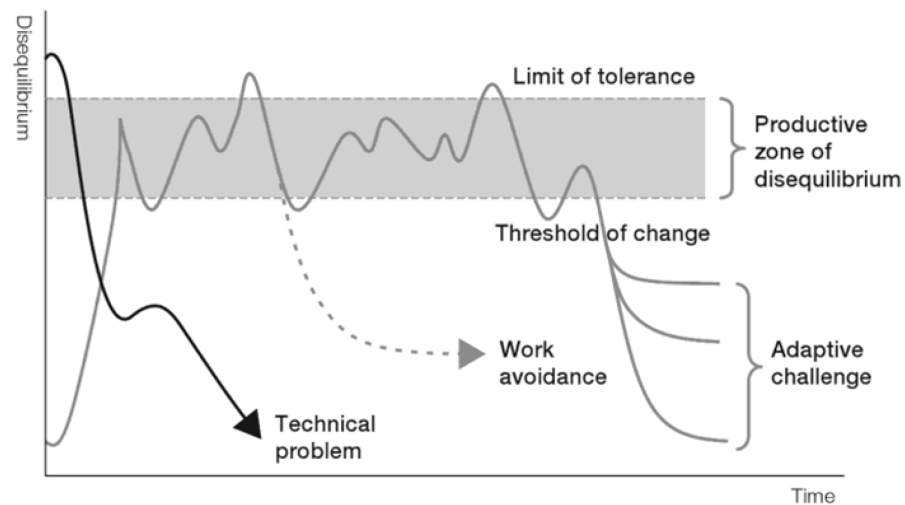


Figure 1. Heifetz and Laurie's Productive Zone of Disequilibrium, from *The leader's change handbook* (p. 70), by J. A. Conger, G. M. Spreitzer, and E. E. Lawler III (Eds.), 1999, San Francisco, CA: Jossey-Bass. Copyright [1999] by Jossey-Bass. Reprinted with permission.

When the systems approach to organizational change is viewed in tandem with organizational culture, a higher education institution has the formidable task to nurture and promote transformational leaders. The institution as a system requires each individual part to work in symphony. To do so, the organization must have a shared vision and stakeholders that uphold the values and beliefs of the institution. It is at this point that the organization can operate efficiently and effectively. For a higher education institution to simply maintain the status quo, it is entirely possible to have a well-

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organized system that is entrenched in traditional culture. However, to embrace change and concede that the organization's strategic plan needs substantial revisioning, an institution's leadership must be open to ideas and strategies that come from outside the existing culture.

### *Social Learning Theory*

Kurt Lewin provides a force field analysis model which identifies two methods by which change can be facilitated in organizations (Beyer, 2010b). These two methods are to increase the driving forces (such as incentives) and decrease the restraining forces (such as fear of failure). Within groups, there is a pressure to maintain equilibrium. Change creates tension by shifting the balance of the group, which in turn motivates individuals to move toward returning to a state of equilibrium (Cooley, 2013; Lewin, 1947; Weick & Quinn, 1999). "One of the typical responses towards change in school organizations is resistance and many of the problems related to change concerns [sic] the forces resisting it" (Yılmaz & Kılıçoğlu, 2013, p. 15). Bolman and Deal (2013) provide a pithy description of the perils of organizational change when they state,

Planning without broad-based participation that gives voice to the opposition almost guarantees stiff resistance later on. Change alters power relationships and undermines existing agreements and pacts. Even more profoundly, it intrudes on deeply rooted symbolic forms, traditional ways, and customary behavior. Below the surface, the organization's social tapestry begins to unravel, threatening both time-honored traditions and prevailing cultural values and ways. (p. 377)

Social learning is framed by Lewin's field theory which maintains that behavior is a function of both the person and their environment and requires three stages: unfreezing,



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moving, and refreezing (1947, pp. 34-35). These three stages are used in this study to differentiate between the starting position of faculty practices (unfreezing), the phase during which faculty are involved in the change process (moving), and the ongoing maintenance phase after the change is implemented (refreezing). The interactions and productivity of faculty collaborative groups during organizational change can be explored by starting with Lewin's field theory and adding layers from Kotter (1996) and Kanter (Kanter, Stein & Todd, 1992). Kotter (1996) created an eight-step model for organizational change that consists of the following stages:

1. Create a Sense of Urgency
2. Build a Guiding Coalition
3. Form a Strategic Vision and Initiatives
4. Enlist a Volunteer Army
5. Enable Action by Removing Barriers
6. Generate Short-Term Wins
7. Sustain Acceleration
8. Institute Change

The importance of establishing strong faculty groups is emphasized in Kotter's organizational change model, with specific reference to tasks in Step 2 - Build a Guiding Coalition and Step 4 - Enlist a Volunteer Army. In addition to the eight-step change model, Kotter (2008) identifies an Urgency of Change scale that includes Complacency, False Urgency, and True Urgency. Effective leaders of change need to be able to create a sense of true urgency, which is continuous as opposed to episodic in nature. Weick and Quinn (1999) define episodic change as occurring in "distinct periods during which shifts

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are precipitated by external events such as technology change or internal events such as change in key personnel” (p. 365).

Kanter expands on Lewin’s three-stage model with the “Ten Commandments for Executing Change” listed below:

1. Analyze the organization and its need for change
2. Create a shared vision and a common direction
3. Separate from the past
4. Create a sense of urgency
5. Support a strong leader role
6. Line up political sponsorship
7. Craft an implementation plan
8. Develop enabling structures
9. Communicate, involve people and be honest
10. Reinforce and institutionalize change (Kanter et al., 1992, p. 383)

By overlaying the three models from Lewin, Kotter and Kanter, a framework emerges which guides this study on the organizational change process as it pertains to the implementation of an assessment system. Utilizing the strengths of all three models, a more detailed and well-rounded structure is provided for the study. Lewin’s first step, unfreezing, is aligned with Kotter’s steps 1-4 and Kanter’s steps 1-6. Lewin’s second step, moving, aligns with Kotter’s steps 5-7 and Kanter’s 7-9. Lewin’s third step, refreezing, aligns with Kotter’s step 8 and Kanter’s step 10. The alignment is depicted in Figure 2 . The literature on faculty motivation and attitudes toward organizational change provides ample sources of suggested do’s and don’ts. While much of the research

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is little more than common sense, such as reminding education leaders that their subordinates do not like to feel chastised, there is a broad base of best practices that can be pulled out of the literature.

Figure 2 Alignment of Lewin, Kotter and Kanter Change Models

<b>Kurt Lewin's 3-step model</b>	<b>John Kotter's 8-step model</b>	<b>Rosabeth Moss Kanter's 10 Commandments for Executing Change</b>
Lewin Steps	Kotter Steps	Kanter's Steps
<b>Unfreeze</b>	1. Create a Sense of Urgency	1. Analyze the organization and its need for change 4. Create a sense of urgency 3. Separate from the past
	2. Build a Guiding Coalition	5. Support a strong leader role 6. Line up political sponsorship
	3. Form a Strategic Vision and Initiatives	2. Create a shared vision and a common direction
	4. Enlist a Volunteer Army	
<b>Move</b>	5. Enable Action by Removing Barriers	7. Craft an implementation plan
	6. Generate Short-Term Wins	8. Develop enabling structures
	7. Sustain Acceleration	9. Communicate, involve people and be honest
<b>Refreeze</b>	8. Institute Change	10. Reinforce and institutionalize change

### *Motivation*

Referring back to Lewin's 1951 Force-Field Model, increasing driving forces for change can be accomplished with incentives. Yukl (2010) states that building a feeling of empowerment in individuals can have positive outcomes in organizations. Specifically, "empowerment can lead to (a) stronger task commitment; (b) greater initiative; (c) greater persistence; (d) more innovation and learning, and stronger optimism; (e) higher job satisfaction; (f) stronger organizational commitment; and (g) less turnover" (Yukl, 2010, p. 114). Woods (2007) suggests that leaders motivate faculty by taking advantage of the intrinsic reward which comes from a sense of personal efficacy gained by successfully meeting goals and objectives. In addition to this feeling

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of competence, Thomas (2009) outlines three other sources of intrinsic reward as the sense of meaningfulness, choice and progress.

Andrade (2011) speaks to the important connection between faculty members' motivation and the implementation of assessment. Andrade states that assessment activities must involve all faculty members and that they must be viewed as meaningful aspects of the process of assessing for learning. Assessment processes which are forced upon the faculty in order to satisfy external requirements of the monitoring and regulating of learning are counterproductive to building positive faculty motivation (Driscoll & Wood, 2004; Souza, 2014). Avey, Wernsing, and Luthans (2008) identify the importance of what they term psychological capital and emotions. They state that employees who possess high psychological capital tend to be more positive emotionally, which results in higher engagement in the change process and less cynicism and organizationally deviant behaviors. Avery et al. state that "the positive resources of employees may combat the negative reactions often associated with organizational change" (2008, p. 64).

Prochaska, DiClemente, and Norcross (1992) identify four stages which people go through when faced with an organizational change. These four stages are: precontemplation, contemplation, action, and maintenance. Precontemplation and contemplation are the stages where most employees spend the most time. In precontemplation, the individual is not even aware that there is a need for change. In contemplation, the individual is aware of a problem or issue which needs to be addressed, and they are thinking about possible resulting changes, but they have not taken any action. In the action stage, individuals are actually modifying their previous behaviors and incorporating some or all of the change process into their habits of work. The final

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stage is where the change is in full implementation and is being maintained by the behavior of the employees and leadership.

In terms of extrinsically based rewards, several studies have identified the tenure system and employment promotions as effective ways to motivate faculty to engage in quality teaching (Andrade, 2011; Glenn, 2010; Hambrick & Cannella, 1989; Wray, Lowenthal, Bates, Switzer, & Stevens, 2010). For faculty members who have already reached the top levels of the tenure system, Surry (2000) suggests that leaders adopt satisfaction strategies which are designed to give the faculty a sense of accomplishment and fulfilment. These could include learning improved teaching methodologies, broadening of individuals' knowledge base, and the encouragement of collaborative experiences (Wray et al., 2010). Another motivator that is frequently identified in the literature is financial rewards such as stipends (Andrade, 2011; Ewell, Paulson, & Kinzie, 2011). However, Beer and Nohria (2000) caution that incentives should be peripheral factors which reinforce change as opposed to the catalyst driving the change. In higher education, release time can be used as an incentive to motivate faculty participation in departmental assessment processes (Andrade, 2011; Ewell, Paulson, & Kinzie, 2011).

### ***Collaboration***

“Whenever I board a commercial airline flight, I have the impulse to stick my head in the cockpit and ask, ‘First trip flying together?’” (Hackman, 2002). Hackman’s comment emphasizes the importance of building collaboration and cohesiveness in any team, whether the results could be life-threatening or simply organizational inefficiency and ineffectiveness. Hackman and Wageman (2005) state “when team members first come together to perform a piece of work, the most pressing piece of business, both for

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members and for the team as a whole, is for them to get oriented to one another and to the task in preparation for the start of actual work” (p. 275). Collaboration is a key attribute of successful teaming. The two terms are highly dependent on one another – teaming requires collaboration and collaboration needs teams (or groups) to exist. Beyer (2011) cites the core premises of collaborative decision making as: “emphasize the means; concentrate on people; build commitment; link to purpose; empower others toward self-management; allow people to make decisions; participants should develop the way; and end results should be consistent with a shared purpose and support the core values of the organization.” These processes give academic leaders a strong framework from which to build teams of individuals whose charge is to prepare the institution for various changes that are coming down the road.

Building collaboration on group tasks is challenging, and this difficulty is exacerbated by the interdepartmental structure of teacher preparation institutions. In many institutions, the faculty members teaching the education content-area courses are located in departments other than the main School/College of Education. For example, initial teacher preparation courses may involve faculty from the mathematics, science, history and English departments. These external departments have their own procedures, processes, and goals (Vanasupa, McCormick, Stefanco, Herter, & McDonald, 2012). We are reminded that there can be as many different cultures as there are separate groups and subgroups within a complex organization system (Schein, 1990). Thus, groups incorporating members from various disparate academic systems within the same institution may face additional challenges in the norming phase of group formation (Hackman, 1998; Tuckman, 1965). The importance of early identification of the

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relevance of the change, as it impacts and benefits the individual faculty, is pivotal in the success of the implementation process. This external force on the cultural evolution of the group can face strong resistance if it is not approached in a well-planned manner (Schein, 1990).

When faced with an organizational change as substantial as the implementation of an assessment system, educational leaders would want to encourage motivation by increasing the each faculty member's level of expectancy through guaranteeing that the support and resources are available to ensure that the task is able to be achieved. With the resources and support in place, there needs to be faculty confidence that if the task is achieved there will be a positive outcome. If past experience has shown the faculty members that when goals are achieved there is no positive result or reward, they will be less motivated to work toward that outcome. Finally, the reward gained through a positive work outcome must be something that faculty value. Without an attached personal value, a reward is not motivating to individuals. An effective leader must be in tune with what the faculty value and see as rewards that hold positive valence (Artis, 2009; Seyfarth, 2008).

Ewell (2009b) cautions against the practice of aligning negative consequences to poor assessment results. He indicates that the faculty member's desire to avoid negative repercussions could lead to resistance to the change process itself or a tendency to artificially engineer the assessment outcomes to reflect more positive results than were truly measured. Instead, Ewell suggests that assessment data results that are lower than expected should prompt departmental dialogue and reflection and serve as a motivator to reinforce the discussions on using data to positively impact continuous improvement.

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### *Team Building*

Integrating Lewin's social learning theory with the team effectiveness functions, it is suggested that the "unfreezing" phase of Lewin's model should take place after the initial task of team building is completed. Hackman and Morris (1975), in research conducted on the Group Effectiveness Model, describe team effectiveness as a function of: (a) level of effort group members collectively expend, (b) appropriateness to the task of the performance strategies used, and (c) amount of knowledge and skill members bring to the task. Hackman (2002) identifies three things that a leader should make sure are in place in order to increase the probability of team effectiveness: a compelling direction, an enabling structure and context, and expert coaching. These three effectiveness recommendations are present in the Kotter and Kanter models as well. A compelling direction is created through a sense of urgency, which is Kotter's step 1 and Kanter's step 4. The sense of urgency can be an internal need for change or an external catalyst to which the organization must respond. The need to have an enabling structure is verbatim in the Kanter model as step 8, and in Kotter's step 5. In this step, a leader should be evaluating whether or not there are obstacles blocking the change processes. Hackman's expert coaching recommendation is evident in Kotter's steps 2, 3 and 6, while it is in Kanter's steps 5, 6 and 8. The expert coaching skills of a leader encourage group members to "work interdependently and manage themselves" (Hackman, 2002, p. 60).

Marsee (2002) provides change steps which address the tasks which should be taken in the unfreezing stage as described by Lewin. Some of Marsee's first steps are: (a) align leadership style with organizational culture; (b) define the problem; (c) identify and remove barriers before implementing action plans; (d) assign responsibilities to



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individuals; and (e) empower the project team. A project team, or what Kotter's step 4 calls "Volunteer Army," is crucial to the pre-implementation phase. Van Loon (2001) describes the importance of a strong initial team construction stating:

There must be a small team of persons drawn entirely or almost entirely from the existing organization. The individuals must trust one another completely. While they may fight tooth and nail in private, they must always back each other up publicly. Anyone who does not accept these rules must be removed from the decision-making centre immediately. (p. 300)

Numerous sources in the literature emphasize the importance of faculty membership on the implementation team when making an organizational change in higher education (Bucalos, 2014; Council for the Accreditation of Educator Preparation [CAEP], 2013; Walvoord, 2010). Weiner (2009) indicates that without this level of faculty ownership in the process, an institution would have "an assessment program in theory, not in practice" (p. 29). For assessment specifically, the team should consist of faculty who will create the implementation plan, adopt the tools needed for assessment, and design the use of the resulting data. Bucalos (2014) recommends that the faculty team(s) schedule regular and consistent work sessions with clear timelines in order to keep the plan on a forward trajectory.

### ***Culture***

In order to give leaders a better grasp of what may be valued in their organization, it is ideal to examine the cultural components which define a particular group. Edgar Schein (1990) identifies three levels at which culture can be examined in an organization: (a) observable artifacts; (b) values; and (c) basic underlying assumptions. All three levels

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are important pieces of understanding the whole picture of the culture of the unit. In order to uncover the underlying assumptions that exist in the organization's culture, Schein (1990) states:

Through more intensive observation, through more focused questions, and through involving motivated members of the group in intensive self-analysis, one can seek out and decipher the taken-for-granted, underlying, and usually unconscious assumptions that determine perceptions, thought processes, feelings, and behavior. (p. 112)

Fullan (2007b) states that a critical aspect of successful organizational change is what he terms "reculturing" – a transformation of the organization's culture and how things are done (p. 177). According to Fullan, "if the culture does not change, people will revert back to doing things as they have done in the past" (as cited in Beyer, 2011b). Weick and Quinn (1999) reiterate the importance of nurturing continuous change as opposed to episodic change. They state that in episodic change, employees are more likely to relapse to previous habits multiple times before they eventually adopt the new processes. The need to create an environment that is supportive of continuous improvement through assessment is facilitated through the changing of group norms, roles and values which make up the EPP's culture (Al-Haddad and Kotnour, 2015).

### ***21<sup>st</sup> Century Change Theories***

A review of the literature on leadership in organizational change would not be complete without examining the 21<sup>st</sup> Century trends in change theory. While many of the theories that were developed in past decades are still applicable and widely implemented today, there are a few new arrivals to the body of research that should not be overlooked.

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Organizational leaders within higher education institutions are facing a dynamic environment with shifting, and at times unpredictable, factors which need to be understood in order to effectively lead.

In the past few decades, the composition of the faculty body at higher education institutions has changed from primarily full-time employees to a majority of adjuncts and part-time employees (American Association of University Professors (AAUP), 2015; Duke University, 2015; Goral, 2014; Rhoades, 2008; Schell & Stock, 2001; Umbach, 2007). According to Kezar and Maxey (2013), adjunct and non-tenured faculty, frequently referred to as contingent faculty, “now account for three-quarters of the instructional faculty at non-profit colleges and universities across the country” (para. 3). Kezar, Carducci, and Contreras-McGavin (2006) provide research that examines of the role of non-traditional, non-tenured faculty in the current higher education organization. Kezar (2013b) tackles the difficulties posed when attempting to initiate organizational change with a faculty base that are not full-time employees of the institution. Kezar (2014) also writes about the benefits that the focus on external accreditation has on encouraging and reinforcing innovation at the institution. Though, Kezar and Maxey (2013) caution that the issues regarding the role of contingent faculty, in particular their involvement in professional development opportunities and faculty meetings, must be addressed in order to encourage innovative processes.

Fullan’s work on educational reform and change is particularly important to those working in teacher education preparation because he applies an abundance of concepts to the K-12 organizations in which teacher candidates will eventually find themselves. Fullan maintains that change cannot be “managed” but rather leaders can only work to

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understand change and to direct its path (Fullan, 2007b). Fullan (2007a) writes that if a leader wants to implement organizational change, individuals must find meaning in both the process as well as the end goal. In order to lead organizations that sustain meaningful change, Fullan (2008) puts forward what he refers to as six secrets of change. When used as a blueprint for educational change, these six secrets give foundational structure to organizational change:

- 1) Love Your Employees
- 2) Connect Peers with Purpose
- 3) Capacity Building Prevails
- 4) Learning is the Work
- 5) Transparency Rules
- 6) Systems Learn

With respect to the intensified accountability requirements, under which 21<sup>st</sup> Century schooling must operate, Fullan (2014) is clear in his view that accountability should not be the driver of educational change. Rather, educational leaders should focus on continuous improvement as the goal and not simply respond to external pressures for compliance. In order to implement change as a function of continuous improvement, Fullan (2010) identifies nine elements of successful educational change:

1. A small number of ambitious goals
2. A guiding coalition at the top
3. High standards and expectations
4. Collective capacity building with a focus on instruction
5. Individual capacity building linked to instruction

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6. Mobilizing the data as a strategy for improvement
7. Intervention in a non-punitive manner
8. Being vigilant about “distractors”
9. Being transparent, relentless, and increasingly challenging (p. 21).

Leader-member exchange (LMX) theory grew out of the earlier Vertical Dyad Linkage Theory which was developed by Dansereau, Graen, and Haga (1975). LMX theory contends that successful leadership is achieved through the formation of high-quality dyadic relationships between leaders and followers. While many organizational leadership theories focus on the traits of effective leaders, LMX theory emphasizes the relationships between leaders and followers, particularly focusing on personal attributes of the individuals involved (Graen & Uhl-Bien, 1995; Power, 2013; van Breukelen, Schyns, & Le Blanc, 2006). According to Lunenburg (2010), LMX theory centers on the one-to-one relationship between a leader and a subordinate. Each relationship is between one leader and one employee, and not the leader and a group of subordinates. From the early stages of these individually designed relationships, an employee is either part of the “in-group” or the “out-group,” with the in-group members being given more responsibility as well as opportunities to participate in decision-making tasks. Relationships between the leader and the out-group members are much more rigid and adhere strictly to the contractual guidelines of each individual’s employment. The leader expects an out-group member to perform the tasks outlined in their contract, and does not entrust them with additional responsibility or leeway in innovative thought. Likewise, the out-group member does not contribute to the organizational goals and mission beyond what is specifically required of them through their contract. The out-group member does

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not volunteer to participate in any additional tasks, nor are they asked to do so by the leader (Lunenburg, 2010, pp. 1-2).

Power (2013) highlights the benefits that LMX theory brings to the higher education organization, stating:

LMX has been described as a perfect complement to transformational leadership because of its support for the autonomous nature of academic faculty and its ability to create social capital, act as an antecedent to organizational citizenship and transformative behaviors, and promote higher quality relationships between coworkers. Leaders who want to inspire others to participate in the transformation of higher education must have a good understanding of LMX theory and its benefits. (p. 278)

In the past few years, the term “mindfulness” has become a buzzword across many disciplines including business, psychology and education. However, the concept of practicing mindfulness is a Buddhist practice which is thousands of years old (Hochman, 2013; Ie, Ngnoumen, & Langer, 2014; Langer & Moldoveanu, 2000; Siegel, Germer, & Olendzki, 2008). In brief, mindfulness is an awareness and acceptance of one’s situation and surroundings. “Mindfulness means paying attention in a particular way; on purpose, in the present moment, and nonjudgmentally” (Kabat-Zinn, 1994). Mindfulness has recently appeared in the literature on organizational leadership and many are touting its positive benefits for the workplace (Meister, 2015; Perlman, 2015; Schaufenbuel, 2014; Skibola, 2011).

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Langer (1989) identifies the influences and outcomes of mindfulness versus mindlessness, stating that “mindfulness is expressed in active information processing, characterized by cognitive differentiation: the creation of categories and distinctions” (p. 138). Weick, Sutcliffe, and Obstfeld (1999) equate mindlessness with an organizational culture of inertia and unpreparedness for change. They describe mindlessness to be “characterized by reliance on past categories, acting on ‘automatic pilot,’ and fixation on a single perspective without awareness that things could be otherwise (p. 38). Weick and Sutcliffe (2005) discuss the positive connection between mindfulness and organizational behavior. They list five practices which develop mindfulness: (a) preoccupation with failure, (b) reluctance to simplify interpretations, (c) sensitivity to operations, (d) commitment to resilience, and (e) deference to expertise. By implementing these mindfulness practices, Weick and Sutcliffe assert that an organization can be more productive and nimble, increasing the likelihood that critical decisions and adjustments are made in an appropriate manner. The mindful organization is one that is prepared to encounter external pressures for change (Glomb, Duffy, Bono, & Yang, 2011; Reb, Narayanan, & Chaturvedi, 2014).

### **Accountability and Assessment Processes**

The roots of modern higher education can be traced back to the College of Sorbonne which was founded in the early 13th Century. The Sorbonne was a mission of the Catholic Church (Leff, 1968; Thijssen, 1998). Universities from that time in history are characterized by several defining features that are still present in today’s institutions of higher learning: (a) the use of a core of required texts which would provide the foundation of the lecture that would be enhanced through the professor’s expert insight,

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(b) well-defined academic programs lasting a more or less fixed number of years, and (c) the granting of degrees (Woods, 2012). For several centuries, only universities which were approved by a pope or king/emperor could award degrees. While these early institutions were under the authority of their benefactors, they were generally able to self-govern because as masters of their craft it was understood that the teaching guild would regulate its own practice (Marchand, Stoner, Jacob, & Luther, 2012; Woods, 2012). In terms of instruction and curricular content, faculty and administrators were accountable only to each other in the early days of higher education. Eight hundred years later, the American higher education institution is accountable to numerous stakeholders including the federal and state governments, students, institutional donors and benefactors, academia, as well as local community entities. Unlike the instructional independence of early European institutions, in present day the need to be accountable to a variety of interested parties results in “mutually incompatible demands and some difficult choices” (Mortimer, 1972, p.1).

### ***Federal Involvement***

Federal involvement in higher education accountability came under the spotlight after World War II. However, there was an interest on the part of the federal government concerning education since the early days of the nation. The Land Ordinance of 1785 and the Northwest Ordinance of 1787 outlined the country’s responsibilities to education by requiring that a system of public education was established in each new township. Over the next 60 years, these laws resulted in 77 million acres being designated as land to be used for public education (Center on Education Policy, 1999; Key, 1996). In 1862, the First Morrill Act, more commonly



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referred to as the Land Grant Act, supplied states with public land that was to be used for a college. These state colleges were intended to provide instruction in agriculture, mechanic arts (engineering) and industrial education (Duemer, 2007; Key 1996).

The United States federal government began taking an active role in higher education policy in the post-World War II years of the mid-1940s. The Servicemen's Readjustment Act of 1944, more commonly known as the "G.I. Bill," opened pathways for veterans to attend college through federal financial assistance (U.S. Department of Veterans Affairs, 2013). The involvement of the federal government in education was motivated by several factors: the interest in promoting democratic values, guaranteeing equality in educational opportunity, increasing national productivity, and bolstering the country's national defenses (Center on Educational Policy, 1999). It was during this time that scrutiny was first directed toward the teacher preparation programs. There was a concern that the United States was falling behind compared to other countries, and this situation was explained by a belief that teacher preparation was focusing too much on pedagogy and theory and not enough on the content area knowledge (Earley, 2000).

The ongoing Cold War between the United States and the former Soviet Union was the catalyst for the National Defense Education Act (NDEA) which was designed to increase the number of students pursuing math, science, engineering and technology degrees (U. S. Senate, 2015). In 1957, the Soviet Union had launched the first satellite, Sputnik, and Congress was determined to find ways for the U.S. to compete against a rapidly advancing Soviet Union. The NDEA, adopted in 1958, provided funding opportunities for postsecondary education in the form of both loans and grants. With the implementation of the NDEA, and subsequent legislative actions by the federal

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government, the debate was ignited regarding accountability in teacher education. As the government was providing financial support for many academic programs, and to the students pursuing those degrees, concerns and questions were raised about whether or not the desired educational results were being attained (Lewis & Young, 2013).

In 1965, President Lyndon Johnson signed the Higher Education Act (HEA). The purpose of this law was to “strengthen the educational resources of our colleges and universities and to provide financial assistance for students in postsecondary and higher education” (Higher Education Act [HEA], 1965). At the same time as the HEA was implemented, the Elementary and Secondary Education Act (ESEA) was also signed into law. The ESEA included the Title I program which provided federal aid for economically disadvantaged citizens, children with limited English proficiency and for educators teaching in particular content areas which were considered high-needs (Earley, 2000). In subsequent revisions of the ESEA, the Dwight D. Eisenhower Professional Development Program was identified under Title II, Part B. The Eisenhower Professional Development Program was designed to “provide financial assistance to state and local education agencies and to institutions of higher education to support sustained and intensive high-quality professional development, and to ensure that all teachers will provide challenging learning experiences for their students in elementary and secondary schools” (U.S. Department of Education, 1996, p. 126.1). The Eisenhower Program was not readily embraced due to the perception that the intention of the program was not to substantially change teacher preparation but instead to change the specific skills and attributes of a select group of educators (Earley, 2000).

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The late 1960s and early 1970s were a turbulent time in the United States. With the Vietnam War in full engagement, the country faced polarizing political, moral and ethical questions which manifested in public displays of rebellion and dissent. University students and faculty were articulating their views on these divisive issues and organizing campus events to demonstrate against the federal government. There was a mounting distrust of higher education institutions by the public at large, which prompted calls for colleges and universities to provide evidence to their effectiveness and efficiency.

Accountability to both internal and external stakeholders was demanded at the expense of the autonomy that these institutions had previously possessed. Colleges and universities were required to balance the need for student learning, commitment to critical scholarship, the mission of the institution at large, and increased public interest (McConnell, 1971; Mortimer, 1972). University administrators were faced with a delicate balance of fostering independence of thought and academic freedom while maintaining organizational structure and discipline. Questions emerged about the definition and purpose of higher education institutions. Anderson (1972) wrote in reference to the university organization:

Are they bureaucracies? Are they communities? Does it make any difference?

Arising primarily from the literature of political theory are concepts of processes relevant to decision-making. Who has power? Who has authority? Who has influence? Does it make any difference? (p. 2)

In the 1980s and 1990s, the focus on accountability in higher education continued to be in the forefront of national discussions. Federal involvement is evident in the 1983 report, "A Nation at Risk: The Imperative for Educational Reform" which was published

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during the presidency of Ronald Reagan. This report cautioned that the country's educational system was falling behind those of other countries, and that it was in the best interest of all Americans to be actively involved in correcting the deficits in our schools. In 1984, the Department of Education released a similar report, "Involvement in Learning," which focused on the institutions of higher education. "A Nation at Risk" and "Involvement in Learning" sparked a substantial interest in the reform movement to hold schools accountable for student outcomes (Lewis & Young, 2013; Mehta, 2014). "A Nation at Risk" identified five areas where improvements should be made: (a) Content, (b) Standards and Expectations, (c) Time, (d) Teaching, and (e) Leadership and Fiscal Support (National Commission on Excellence in Education, 1983).

On the heels of "A Nation at Risk" came "A Nation Prepared," a Carnegie report advocating for equal educational opportunities for all American children regardless of socioeconomic class. Focusing on teacher preparation and ongoing professional development, "A Nation Prepared" offered suggestions regarding: (a) raising the expectations for teachers through the creation of the national standards, (b) strengthening initial teacher preparation by requiring a bachelor's degree in the arts and sciences, (c) developing a graduate level Master's in Teaching degree, (d) revamping the compensation system to make teacher salaries competitive with other professions, (e) holding teachers accountable for student progress, (f) encouraging teacher leaders to promote high standards of teaching and learning, and (g) prioritizing the influx of minorities into the teaching profession (Carnegie Forum on Education and the Economy, 1986). The establishment of the National Board of Professional Teaching Standards (NBPTS) in 1989 was a key aspect of the Carnegie report. The NBPTS are based on five

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core propositions which have become the foundation of teacher preparation and ongoing professional development programs:

1. Teachers are committed to students and their learning.
2. Teachers know the subjects they teach and how to teach those subjects to students.
3. Teachers are responsible for managing and monitoring student learning.
4. Teachers think systematically about their practice and learn from experience.
5. Teachers are members of learning communities. (National Board for Professional Teaching Standards [NBPTS], 1989)

In 1986, the National Governors Association released the “Time for Results” report. This report included a discussion of reform at both the K-12 and higher education levels. The National Governors Association concluded that the main justification for educational reform was to “keep pace internationally and to grow states’ economies, governors need to demand more from their schools and universities” (Mehta, 2014, p. 897). The report identified that there was an issue with both the quality and quantity of teachers that were entering the profession. Competition among teacher preparation providers was to be encouraged. Utilizing national teaching standards, the premise was that institutional accountability would be reinforced because the higher education market would identify which type of teacher training was preferable to consumers (Kean, 1986). As part of the National Governors Association, the Task Force on College Quality focused on assessment and evidence of student learning writing:

Many colleges and universities do not have a systematic way of demonstrating whether their students are learning. Rather, learning - especially developing

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abilities to use knowledge - is assumed to take place as long as students take courses, accumulate hours, and progress "satisfactorily" toward a degree.

(Ashcroft, 1986, p. 2)

The Task Force on College Quality recommended that colleges and universities implement rigorous and systematic methods to assess the quality of student learning and academic programs. Using student outcomes, an institution could collect data to support their claim that learning was indeed taking place in their teacher preparation programs. The task force advised that accrediting organizations should insist that higher education institutions adhere to the requirements of providing evidence of student learning, which meets the established standards, and that the results of each institution's performance would be available for public review. The task force explained this process stating,

Colleges and universities can no longer take for granted the learning that should be occurring on their campuses. In most instances, systematic student assessment, including tough-minded grading, will document the learning that has been taking place. In other instances, a student assessment program will point to areas in which curricula and instruction need to be improved. In all instances, regular assessment will provide public institutions with the information they need to document that tax dollars and other resources are being invested wisely. In a similar vein, independent institutions will be able to demonstrate to their constituencies that the support they provide is making a vital difference in the lives of students. (Ashcroft, 1986, p. 3)

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As the educational reform movement gained momentum, the call was raised to address accountability in the teacher preparation programs. There was an opinion among legislators that the following issues needed to be addressed:

- More people must be recruited into teaching.
- Teachers are not well prepared in the subjects they are expected to teach.
- Teacher education is disconnected from the needs of K-12 schools and from collegiate arts and sciences units.
- The regulation of teacher preparation and licensure works against teacher quality.
- Presidents of institutions of higher education with teacher education programs pay little attention to these units. (Earley, 2000, p. 30)

In 1996, the National Commission on Teaching and America's Future (NCTAF) produced the report, "What Matters Most: Teaching for America's Future." The NCTAF report recommended that teacher preparation programs undergo more stringent examination for accountability purposes (Lewis & Young, 2013; National Commission on Teaching & America's Future [NCTAF], 1996). The NCTAF members included educational leaders from higher education and the K-12 schools, and the Commission's recommendations were based in research, both of which gave more credence to their report as far as educators were concerned (Earley, 2000). The NCTAF (1996) stated that it was imperative for there to be a system of standards which would be used to provide structure to teacher preparation and form the basis for accountability. The Commission's view on professional accountability started with the belief that only competent teachers and school leaders should be allowed in to the profession, and those who were

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incompetent that were already in the schools should not be permitted to continue. The NCTAF report maintained:

- In a comprehensive system of professional accountability, safeguards against incompetence should occur at several junctures:
- When prospective teachers pass demanding assessments before they receive an initial provisional license;
- When peer evaluation and review are used during the first years of teaching to support learning and counsel inadequate teachers out of the profession prior to tenure;
- When a continuing professional license is granted only after the passage of performance assessments;
- When districts refuse to hire unlicensed teachers or to allow teaching out of license; and
- When provisions are negotiated in staff agreements for ongoing professional peer review and intervention leading to dismissal where necessary. (pp. 98-100)

The focus on reform and accountability led to the reauthorization of the HEA (Lewis & Young, 2013). In 1998, President Clinton signed the Higher Education Amendments of 1998 (P.L. 105-422) which included provisions for teacher quality in Title II (Earley, 2000). The purpose of Title II was twofold: to build grant funded partnerships between the K-12 schools and the teacher preparation institutions in an effort for states to improve teacher quality, and the establishment of new federal reporting requirements for the states and the teacher preparation institutions (Earley, 2002; Higher



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Education Reauthorization Act of 1998 [HERA], 1998). Title II requires that states and institutions collect data and report on the status of their teacher preparation programs. This includes the reporting of pass rates for any required licensure exams, itemized by institution, and made available for public review (Earley, 2000). Teacher preparation institutions also have to report their data on the number of students in their program, the faculty/student ratios, and the hours spent in supervised field experiences. The repercussions are significant for an institution that does not receive state approval of their teacher preparation program. In those cases, the institution loses any federal professional development funds and students in the unapproved program are not eligible to receive federal student financial assistance (Earley, 2000; HERA, 1998; Lewis & Young, 2013).

Enacted in 2001, the No Child Left Behind Act (NCLB) requires all public schools which receive any federal funds to administer an annual standardized test to all students. The scores from these state-wide standardized tests are evaluated, and schools receiving Title I money are accountable for maintaining Adequate Yearly Progress (AYP). Additionally, NCLB requires that all teachers must be “highly qualified,” meaning that they have earned at least a bachelor’s degree, are state-certified in their field of instruction, and can demonstrate subject matter competence in their certified area(s) (No Child Left Behind Act, 2001).

In May of 2004, the National Commission on Accountability in Higher Education (NCAHE) convened to hear expert testimony regarding the state of higher education in the United States. The NCAHE stated that American colleges and universities had to find better ways to communicate the value that their institution provided to the national interests in order to remain viable (Arnone, 2004). The outlook of the NCAHE was that

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our higher education system lacked the foundation to support the national economy and American quality of life. The NCAHE's findings were published in "Accountability for Better Results: A National Imperative for Higher Education (National Commission on Accountability in Higher Education [NCAHE], 2005). The report found that the current accountability system in place in the American colleges and universities was "cumbersome, over-designed, confusing, and inefficient... It fails to answer key questions, it overburdens policymakers with excessive, misleading data, and it overburdens institutions by requiring them to report it" (NCAHE, 2005, p. 6).

In 2006, the United States Secretary of Education was Margaret Spellings. Spellings appointed a commission to research the future of higher education. The commission returned a report which in part states,

To meet the challenges of the 21st century, higher education must change from a system primarily based on reputation to one based on performance. We urge the creation of a robust culture of accountability and transparency throughout higher education. Every one of our goals, from improving access and affordability to enhancing quality and innovation, will be more easily achieved if higher education institutions embraces [sic] and implements [sic] serious accountability measures. (The Secretary of Education's Commission on the Future of Higher Education, 2006)

The Higher Education Act of 1965 was revised in 2008 resulting in the Higher Education Opportunity Act (2008). This revision provides more detailed accountability requirements for teacher preparation programs. Specifically, Section 201(2) requires

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programs that have students receiving federal financial assistance must provide an annual report to both the public and State detailing the preparation program's current:

- goals and assurances;
- pass rates and scaled scores on assessments used for teacher certification or licensure;
- program information, including criteria for admissions, the number of students in the program, the average number of hours of supervised clinical experience, the number of full-time equivalent faculty and students in the supervised clinical experience, and the total number of students who have been certified or licensed as teachers;
- in States that require approval or accreditation of teacher preparation programs, a statement of whether the institution's program is approved or accredited and by whom;
- whether the program has been designated as low-performing by the State
- a description of the activities that prepare teachers to integrate technology effectively; and
- a description of the activities that prepare general education and special education teachers to teach students with disabilities effectively. (Higher Education Opportunity Act, 2008)

Building on the accountability requirements of NCLB, in 2009 President Barack Obama introduced Race to the Top (RttT). RttT is funded as part of the American Recovery and Reinvestment Act (U.S. Department of Education, 2009). In order for states to be eligible for RttT funds, they must publish teacher and principal professional

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evaluation information online so that it is available for review by all stakeholders. A portion of the teacher evaluation criteria must include the results from student achievement scores on standardized tests. One outcome of the public focus being placed on teacher evaluations is that the teacher preparation institutions are being held accountable for the performance of their graduates once they enter the teaching profession (Cochran-Smith & Power, 2010; Lewis & Young, 2013). Individual states are building their data systems to be able to correlate the performance and effectiveness of each teacher to the institution from which they received their initial teacher certification credentials.

The Educator Preparation Reform Act of 2013 (Reed & Honda, 2013) presents four key provisions: (a) Improves the Teacher Quality Partnership Grants Program, (b) Strengthens Accountability for Programs that Prepare Teachers, (c) Coordinates Elementary and Secondary Education Act Teacher Quality Initiatives with Educator Preparation Education Programs, and (d) Reforms TEACH Grants in Title IV of the Higher Education Act. In an effort to implement the 2103 act, in December of 2014, United States Secretary of Education Arne Duncan drafted a set of regulations that specifically address teacher preparation programs and accountability for the effectiveness of their graduates (Rhodan, 2014; West, 2014). The proposed regulations would require institutional data to be available on the performance and satisfaction of the graduates from each teacher preparation program. These regulations would publically hold institutions accountable for the effective preparation of teachers (Federal Register, 2014).

The U.S. News and World Report website now publishes the National Council on Teacher Quality (NCTQ) Teacher Prep Rankings, which outline which bachelor's and

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master's education programs are building the best teachers according to their research (Sheehy, 2014). The NCTQ evaluates all public and private teacher preparation programs on nineteen standards which they have deemed to be “specific, measurable and designed to identify the programs most likely to produce graduates whose students have the best outcomes” (National Council on Teacher Quality, 2014). However, concerns about the methodology used by the NCTQ, as well as a lack of availability in staff time and resources required to compile for the ratings process, led to many of the teacher preparation programs declining to participate. In the initial Teacher Prep Rankings report, only 10% of the teacher preparation programs had provided complete data (Feuer, Floden, Chudowsky, & Ahn, 2013).

From the post-World War II initiatives through sixty years of legislation, reports and commissions, the debates about higher education accountability have continued at the federal level. At times, the conversations and policies have not appeared to move the profession any closer to a concrete model of higher education accountability. Simpson (2001) writes that "accountability measures unilaterally imposed by federal and state authorities have rarely proven successful" (p. 13). The accountability movement in higher education is not solely an American issue. For example, the literature contains information on higher education accountability in Canada (Kuchapski, 1998; Mawhinney, 1995), Ireland (Solbrekke & Sugrue, 2014), and Germany (Marchand, Stoner, Jacob, & Luther, 2012). Focusing on the United States' institutions of higher education, a review of the literature demonstrates a range of views on the importance of accountability and the federal role in ensuring quality education.

### *Assessing Student Learning Outcomes*

Suskie (2009) describes the assessment process as part of a continual four-step teaching-learning cycle: (a) articulating expected learning outcomes; (b) providing sufficient learning opportunities, through curricula and pedagogies, for students to achieve expected outcomes; (c) assessing how well students have achieved expected learning outcomes; and (d) using results to inform teaching-learning practice and thereby promote lasting learning.

Ping (1993) looks at the question of whether or not universities can accurately evidence value added outcomes. Ping points out that there are numerous variables that potentially impact students' growth over the years they are in higher education. He states that it is not possible to precisely determine a causal relationship between student change over their college career and the influence of a university's actions on that change. The validity of assessing growth in teacher candidates is also questioned by Feuer (2013) who writes that "social science is still far from reaching a conclusive judgment about how to measure pedagogical skills, content knowledge, temperament, interpersonal styles, empathy, and understanding of the learning needs of children" (p. 10). Banta, Suskie and Walvoord (2015) assert that higher education administration and faculty members need to identify accurate methods to collect evidence of successful student learning outcomes attainment and demonstrate their ability to use that evidence for continuous program improvement. However, many faculty members within institutions have yet to reach the point where they fully comprehend the association between their specific course goals and the program and institutional outcomes with which they must align and interconnect (Sayegh, 2013). McConnell (1969) identifies four areas in which faculty should be held

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accountable: (a) accountability to personal standards, (b) accountability to peers, (c) accountability to students, and (d) accountability to the institution (pp. 344-345).

With reference to teacher preparation program accountability specifically, it is written that, “in the midst of today's heated discussions of the adequacy of teacher education programs, one might conclude that, in addition to their intensity, the number of teacher education criticisms has been great during the past decade” (Popham & Greenberg, 1958, p. 118). Ironically, this statement was made by Popham and Greenberg over fifty years ago. And yet, it rings as true today as it did when they wrote it. Lewis and Young (2013) write that there is not a single event or governmental body which drives the federal accountability reform efforts for teacher preparation. Rather, it is the “perfect storm” (p. 199) of the combination of concerns about low student achievement, disputed teacher quality, and the need to ensure educational equity for disadvantaged populations and minority students.

### ***Government Requirements***

Earley (2000) identifies that the majority of the discussions as they relate to teacher preparation accountability have been centered on dialog about curriculum content and the regulation of what is taught. Zeichner (2010) describes this as “excessively prescriptive accountability requirements from government bodies and accreditation agencies that seek to control the substance of the teacher education curriculum” (p. 1544). Zeichner criticizes what he refers to as the “new professionalism” in the teaching field, which he views as a movement to take away a teacher’s decision-making power to determine what is taught in their classroom and how student learning is assessed.

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Peck, Gallucci, and Sloan (2010) assert that teacher preparation faculty are faced with the “demoralizing effects” (p. 460) of following mandated policies that infringe on their sense of academic freedom, or, the repercussions of a potential loss of program accreditation. Zeichner maintains that the current accountability demands placed on teacher preparation programs are unreasonable, writing that there is “extreme pressure on teacher education institutions to rationalize their programs and student assessment systems to a point where the demands for accountability and compliance begin to interfere with and undermine the accomplishment of the goal of educating teachers” (2010, p. 1547). Rennert-Ariev (2008) writes that there is a hidden curriculum in higher education which encourages “superficial demonstrations of compliance with external mandates” over “authentic intellectual engagement” in order to conform to bureaucratic requirements. Zeichner (2010) describes a battle between doing what is best for student learning goals and what is necessary to meet accountability demands. He calls attention to the big business of electronic data management systems which are being promoted to teacher preparation programs as a method by which external accreditation requirements can be managed.

Key stakeholders expect institutions holding accreditation to be performing at satisfactory levels in their responsibilities to the education of their student body. Accreditation merges institutional self-regulation and peer review with the public aspects of ensuring student achievement (Council for Higher Education Accreditation [CHEA], 2010). Accreditation is earned through an institution’s demonstrated and evidenced accountability to student achievement. An institution cannot simply claim that their students are obtaining the stated program outcomes; accountability requires evidence to



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support those claims. Lessinger (1977) sums up the necessity of providing concrete evidence by saying, “if there was a ‘Mr. Accountability’ he would probably be from Missouri - the ‘show me’ state” (p. 151). With reference to institutional accountability, the United States Department of Education (2015) outlines the higher education accrediting procedure as requiring the following steps:

1. Standards: The accrediting agency, in collaboration with educational institutions, establishes standards.
2. Self-study: The institution or program seeking accreditation prepares an in-depth self-evaluation study that measures its performance against the standards established by the accrediting agency.
3. On-site Evaluation: A team selected by the accrediting agency visits the institution or program to determine first-hand if the applicant meets the established standards.
4. Publication: Upon being satisfied that the applicant meets its standards, the accrediting agency grants accreditation or preaccreditation status and lists the institution or program in an official publication with other similarly accredited or preaccredited institutions or programs.
5. Monitoring: The accrediting agency monitors each accredited institution or program throughout the period of accreditation granted to verify that it continues to meet the agency's standards.
6. Reevaluation: The accrediting agency periodically reevaluates each institution or program that it lists to ascertain whether continuation of its accredited or preaccredited status is warranted.

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An institution of higher education, in conjunction with the accrediting bodies, has the responsibility to provide students and the public at large with data detailing program outcomes and how the specific institution is performing in meeting those expectations of student achievement (Lewis & Young, 2013). The National Higher Education Accreditation Organizations (2013) lists three areas of evidence, which they refer to as “domains,” that should be required from any institution that is given accreditation: the student learning experience, student academic performance, and post-graduation outcomes. The cycle of employing measures to ensure accountability requires the following questions to be answered:

- What is to be achieved?
- Who is responsible for what and to whom?
- What was actually achieved?
- What resources were used to achieve the results?
- What “good practice” and technical help were available?
- What steps were taken to get the intended results? How effective were the steps?
- What will happen in the future? (Lessinger, 1977, p. 151)

### *Assessment Processes*

A significant portion of accountability and accreditation is based on effective assessment practices. Palomba and Banta (1999) define assessment as the “systematic collection, review, and use of information about educational programs undertaken for the purpose of improving student learning and development” (p.4). van Vught and Westerheijden (1994) explore the historical presence of assessment in higher education.

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Their review of historical assessment practices in early French and English models identifies two enduring themes. The authors state that providing accountability and peer review are both historically and currently viewed as crucial elements of quality assessment in higher education (p. 356). However, assessment is not exclusively utilized to satisfy external compliance requirements. Assessment should be implemented as a foundation for quality instruction and reflection (James, 2003; Suskie, 2009). Quality assessment programs are embedded throughout the instructional process to continually monitor whether or not the institution is meeting the targeted outcomes that they have set for student achievement (Boud, 2009; Walvoord, 2010).

The assessment movement began to gain momentum in the United States in the 1980s when the First National Conference on Assessment in Higher Education was held in 1985 (Ewell, 2002). At this first conference, there was already a level of friction present between those who felt that assessment should be used for internal self-improvement and reform on the one hand, and on the other hand, those who saw assessment as a requirement for the external stakeholders (Boser, 2010). States began to implement institutional assessment mandates, with 12 states having policies in effect in 1987 and more than 25 by 1989 (Ewell, 2002, p. 6). Yet even a decade later, the concept of assessment in higher education was not reaching the university faculty. Gray (1997) reports that “as much as the idea of assessment has been discussed in publications and conferences such as those sponsored by the American Association for Higher Education, many faculty only become aware of its existence when it is introduced on their campus or in their own department” (p. 6). Looking at assessment practices in this new century, Praslova (2013) maintains an optimistic view of the progress made in higher education

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assessment, stating “in the last few years, however, we have seen a transition in overall campus attitudes from somewhere between ‘resistance’ and ‘grudging compliance’ to ‘understanding acceptance’ and further toward ‘creative ownership’ of program- and institution-level assessment” (p. 10).

One of the aspects of assessment that is often a point of contention between administrators and faculty is the idea of assessment of learning versus assessment for learning (Ewell, 2009b; Price, O'Donovan, Rust, & Carroll, 2008). The assessment of learning tends to focus on the evaluation of learning at the end of a program, is usually summative in nature, and its primary goal is to be a measurement tool rather than a method to encourage learning. Assessment of learning is product-based and is often characterized by scores, grades and complete data. Conversely, assessment for learning is formative in nature, is ongoing, and the end goal is to improve the learning process through feedback and reflection. Assessment for learning is concerned with effective teaching and student learning outcomes, determining areas for improvement, and it is entrenched in a process-based pedagogy (Meyer et al., 2010; Price, O'Donovan, Rust, & Carroll, 2008; Simms & George, 2014; Taras & Davies, 2012). Brown (2003) identifies three of the main goals of assessment as: (a) improved teaching and learning, (b) the certification of students' learning, and (c) accountability (p. 25). The National Institute for Learning Outcomes Assessment (2012) breaks down assessment into six student learning components: student learning outcomes statements, assessment plans, assessment resources, current assessment activities, evidence of student learning, and use of student learning evidence.

*Assessment in Teacher Education*

In teacher preparation institutions, external pressure from accrediting agencies is forcing a change in the organizational processes. Indeed, these changes are now a requirement of teacher preparation programs, and without the accreditors' stamp of approval, a program would struggle to remain viable. Yılmaz and Kilicoglu (2013) conclude that "in order to ensure the survival and future success of educational organizations, it is necessary to be readily adaptable to the external demands placed upon these organizations" (p. 15).

In reference to the importance of assessment in teacher education, DeLuca and Bellara (2013) state "assessment literacy involves integrating assessment practices, theories, and philosophies to support teaching and learning within a standards-based framework of education" (p. 356). DeLuca and Bellara's research identifies themes that emerge in exploring the alignment between assessment policy and curriculum alignment. Among these themes are items which are applicable to considerations when designing an assessment implementation process: (a) Assessment Purposes: involves understanding multiple forms and purposes of assessment from formative to summative; (b) Assessment Processes: teachers' competency for reflecting upon classroom assessment process and adjusting procedures to better measure student learning in the classroom; and (c) Communication of Assessment Results: interpreting and using assessment information to communicate student achievement to educational stakeholders and articulating assessment procedures and practices to those stakeholders (DeLuca and Bellara , 2013, p. 369).

### *Obstacles to Implementation*

The literature provides copious amounts of research on obstacles that institutions may face when effecting a change such as the implementation of an assessment system. By examining leadership theory, the impediments to and pitfalls of organizational change can be identified to increase the probability of successful implementation. Lick describes the key reasons that educational leaders are unsuccessful at change as “(a) the all too common ‘cultural paralysis’ in education, (b) the lack of adequate transformational leadership for providing the necessary ‘learning vision,’ ‘change sponsorship,’ and relevant ‘circumstances and rewards,’ and (c) few proactive professional faculty development programs that meaningfully prepare faculty change methods, ‘change creation,’ that provide approaches for long-term improvement” (2009, para. 3).

One of the obstacles to change is the lack of support from an institution’s senior administrators, such as the absence of assessment from institutional policy. The data from a study conducted by Meyer, Davidson, McKenzie, Rees, Anderson, Fletcher, and Johnston (2010) demonstrate that in most cases assessment for learning was not explicitly mentioned in institutional policy documentation. In instances where there was a policy in place, the focus was on “issues such as consistency, reliability and integrity rather than validity, utility, feedback and fairness” (p. 347). Gautreau (2011) reviews several theories of motivation, technology use and higher education organizational change. In her research, she finds that one common factor among all the theories was the influence of administrative support and practices. Neves (2012) states that if employees do not trust their organizational leaders, they will not be motivated to perform to a higher level or to take on additional tasks. Conversely, if employees perceive that the leadership is

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respecting their needs and feelings, they will be more likely to be positive about a change initiative (Abrell-Vogel & Rowold, 2014).

The effective leader must also take into account the importance of the humanistic side of the organization. In order to understand what motivates employees, and conversely what impedes participation and stakeholder buy-in, the values, feelings and perceptions of the individuals cannot be ignored (Hall, 2010). Leaders must establish a culture of trust to offset tensions and feelings of uneasiness that arise during a significant organizational change (Boser, 2010; Carless, 2009; Ewell, 2009b; Meyer et al., 2010; Miller, 2012). It is also important to reassure faculty that assessment results will not be used in a punitive manner, such as a data point in performance evaluations (Bresciani, 2006; Ewell, 2009b; Hall, 2013; Knowlton, 2013; Walvoord, 2010).

Van Loon (2001) advises that leaders should not assume that all employees will be against the change. Even those employees who have worked under a previous system for many years may have been hoping for a change and will prove to be great advocates in the process. Van Loon writes that “support is always less visible than dissent” (p. 298). Faculty in higher education are accustomed to being viewed as the expert in their area of study. Introducing a knowledge set, which faculty may or may not be familiar with, can shift the dynamic from faculty member as the expert of their content area to faculty member as the novice in assessment knowledge. The literature cautions that this new role may cause some faculty to experience anxiety, frustration, or embarrassment, to which the effective leader must be attuned and prepared to minimize through a well-planned professional development program (Boser, 2010; Bresciani, 2006; Burrack & Urban, 2014; Carless, 2009; Driscoll & Wood, 2004; Gray, 1997; Meyer et al., 2010).

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Hambrick and Cannella (1989) identify additional sources of change resistance coming from faculty who: (a) are intolerant or afraid of change, (b) see the new plan as ill-fated or infringing on their own values, or (c) have a stake in the success of a previous plan.

And it ought to be remembered that there is nothing more difficult to take in hand, more perilous to conduct, or more uncertain in its success, than to take the lead in the introduction of a new order of things. Because the innovator has for enemies all those who have done well under the old conditions, and lukewarm defenders in those who may do well under the new. (Machiavelli, 1515/unk, p. 24)

Numerous researchers document faculty concerns over course quality and perceived restrictions being placed on academic freedom as potential obstacles to implementation (Ewell, 2002; Gray, 1997; Meyer et al., 2010; Ohlemacher, 2015; Wray et al., 2010). Participants in studies conducted by Meyer et al. (2010) reported trepidation that a more highly structured and formalized assessment plan might have the negative effect of “dumbing down” courses. The participants were concerned that some faculty would “choose assessments that are easiest to design, implement and mark, rather than based on educational and pedagogical merit” (p. 345). The literature review also conveys a widely held view among faculty that the assessment process is part of compliance requirements which remains separate from instructional practice (Boser, 2010; Driscoll & Wood, 2004; Farkas, 2013; Haviland, 2009; Lakos & Phipps, 2004; Shavelson, 2007; Simms & George, 2014; Walvoord, 2010).

Another area which serves as an obstacle to effective assessment plan implementation is a lack of resources. Institutions frequently do not include assessment expenses as a line item in the annual budget, leaving faculty with the view that



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assessment was simply an additional job duty for which they would not be compensated (Andrade, 2011; Boser, 2010; Bresciani, 2006; Ewell, Paulson, & Kinzie, 2011; Peterson & Vaughan, 2002). Knight (2002) warns that in terms of assessment design and alignment, “considerations of cost add to the skew away from judgements [sic] of complex learning” (p. 278). When dealing with a technology implementation, the issue of resources is aggravated when there are initial funds available for the start-up but nothing left in the budget for ongoing or follow-up support. As Gray (1997) states,

It may be that no additional funds are allocated to support an innovation’s adoption by the majority, which is more complex and time-consuming than is the case with early adopters, who are generally self-sufficient. It is counterproductive to ignore the support needed by mainstream adopters and the related resources that may be necessitated by the unanticipated and possibly disruptive side effects that occur when an innovation is spread to the mainstream. (p.14)

Communication problems are a significant obstacle to the implementation of an institutional change process (Kanuka, 2010; Marsh & Farrell, 2015; Martin, 2007; Siddique et al., 2011; Spendlove, 2007). As related to the implementation of an assessment plan, Lancaster (2015) states that “the two largest stumbling blocks to successful implementation of the process were in clarity of information and clarity of communication” (p. 12). Gray (1997) suggests that leaders lessen anxiety and pushback by communicating that the impact of the assessment plan will be a gradual process of continuous improvement and not a massive and immediate change. Duck (2011) recommends establishing an assessment plan that is communicated in principles rather than procedures in order to reduce the perception of infringement on academic freedom.

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Banta, Suskie and Walvoord (2015) suggest forecasting in assessment planning, by establishing who will work with the resulting data, allowing faculty to work on tasks that interest them, and outlining the resources that will be available to make data-driven changes. Walvoord (2010) maintains that in all communications from administrators regarding assessment, there should be an emphasis on the concept of assessment being a part of reflective instruction and beneficial to student learning, as opposed to being driven by external mandates. Andrade (2011) states that educational leaders should insist on “department-wide review and conversation” (p. 222) of assessment processes and require evidence of these collaborations.

### *Successful Implementation Strategies*

Before embarking on an organizational change, leaders need to have a plan in place to give structure to the process. While the plan can be modified and revised as the change process goes along, there must be a blueprint established prior to starting the pre-implementation phase. Furtwengler and Hurst (1992) explain that providing structure leads to:

- (1) a clear sense of reality and the existing situation among personnel,
- (2) continuous updating of programmatic goals, specific objectives, and the roles of personnel to achieve those goals,
- (3) a belief among personnel that the administrator is doing work, including taking risks, to "get the job done,"
- (4) the effective and efficient use of the administrator's attention, time, and resources. (pp. 20-21)

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In any organizational change, it is necessary to include the key stakeholders for their buy-in and support (Fullan, 2007a; Häggroth, 2013; Kantanen, 2012; Northouse, 2010). Knowlton (2013) recommends that assessment committees include representatives from all stakeholders groups. One such group of key stakeholders is the faculty. Andrade (2011) states that leadership should focus on assessment for learning, in which the end goal is “achieving excellence” (p. 221), as opposed to assessment of learning, which is a requirement of accountability or accreditation. “Too often one person - an assessment coordinator or department chair - determines outcomes, gathers data, and completes required reports without wide participation. All persons with a stake in the outcomes should be involved; otherwise, results will be ignored” (Andrade, 2011, pp. 221-222). Bucalos (2014) describes numerous benefits of involving faculty extensively in the assessment plan, including:

- Faculty are in the primary position to provide analyses and evaluation of curriculum, assessment, policies, academic advising, student support services, and retention efforts because they are in direct contact with students.
- Faculty are more likely to understand and cooperate with policy changes by administration if they have been involved integrally with decisions leading to those changes as a result of accreditation determinations.
- Faculty see the bigger picture of the workings of the institution and how one change can affect and effect many others.
- Faculty morale improves when they feel that they have directly contributed to a successful effort in which they have ownership, while distrust lessens when they feel included and engaged. (pp. 5-6)

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In higher education settings, adjuncts are important stakeholders in the assessment processes. One potential obstacle which needs to be addressed is the timing of departmental and group meetings on assessment. While some adjuncts may be available during “normal” business hours, many have other full time employment which precludes them from attending anything scheduled during the day. On the other hand, many full time faculty schedule their on-campus hours during the daytime. This creates a scheduling conflict between faculty who are available during the day, and those who are only available in the evenings or on weekends (Andrade, 2011; Eddy & Mitchell, 2012; New Leadership Alliance for Student Learning and Accountability, 2012b; Quick & Davies, 1999). One recommendation to avoid scheduling conflicts is to divide the full time and adjunct faculty into small groups based on the times when they would be available to meet. Then, the full time faculty can bring information back and forth between the small group and the larger departmental meetings (Walvoord, 2010).

Students are key stakeholders in the assessment process who are often overlooked in the planning process. However, as a fundamental part of the teaching/learning process, students should be included in the assessment planning and implementation (Burrack & Urban, 2014; Lauer & Korin, 2014; Marziliano, LaPan-Dennis, Zito, & Gillespie, 2015; Meyer, et al., 2010; Signorini, 2014). Students should be involved in the assessment process by providing feedback on assessments and instruction, which in turn gives strength to the goal of continuous improvement by providing an additional data point from which the effectiveness of the assessment plan can be reviewed (Hernon, Dugan, & Schwartz, 2006; Price, O’Donovan, & Rust, 2007; Simms & George, 2014).

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For an institution of higher education to effectively implement a comprehensive assessment plan, there needs to be a culture of assessment among the faculty and administrators. Boser (2010) defines a culture of assessment as having the “norms of decision and policy-making routinely” relying on “systematic data collection and analysis” (p. 3187). In order to develop a culture of assessment, faculty need to view the role of program assessment as being more than simply reporting and quantifying learning for the sole purpose of satisfying accountability and accreditation requirements (Burrack & Urban, 2014; Ewell, 2009b; Ewell, Paulson, & Kinzie, 2011; Feldhaus et al., 2015; Haviland, 2009).

Weiner (2009) provides a concise list of items for consideration in terms of higher education and the culture of assessment. “There are fifteen major elements contributing to the attitudes and behaviors of a true culture of assessment...institutions of higher education... must recognize them, be expert at some, and be moving toward achieving the rest” (Weiner, 2009, p. 28). The fifteen elements are: clear general education goals, common use of assessment-related terms, faculty ownership of assessment programs, ongoing professional development, administrative encouragement of assessment, practical assessment plans, systematic assessment, the setting of student learning outcomes for all courses and programs, comprehensive program review, assessment of co-curricular activities, assessment of overall institutional effectiveness, informational forums about assessment, inclusion of assessment in plans and budgets, celebration of successes, and responsiveness to proposals for new endeavors related to assessment.

In order to reinforce a culture of assessment, faculty need to see that their efforts are not in vain. Data that is collected in the assessment process should be used to

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improve teaching and learning, and the usage of that data needs to be evident to the key stakeholders (Andrade, 2011; Ewell, 2002; Ewell, 2009b; Knowlton, 2013; Simms & George, 2014; Walvoord, 2010). This requires careful thought in the planning stages of the assessment process because there is a tendency to collect as much data as possible without a clear plan on how it will be used. When planning to implement an assessment system, remember that:

It's much more important to collect a small amount of useful data than to proliferate data that sit in a drawer or on a computer file. If you are collecting information you are not using, either start using it or stop collecting it. (Walvoord, 2010, p. 5)

In order to effectively implement organizational change in the EPP, professional development is essential to both the pre-implementation phase as well as during implementation itself. DuFour (2003) suggests the role that educational leaders should play to effectively implement change through professional communities of learning. DuFour recommends that the group create a shared vision out of an understanding that change is needed. Once the vision is agreed upon, the educators can build the process by which they plan to work toward the implementation of the vision. Senge (1990) provides a structure for effective faculty development through the adoption of his theory of the five disciplines that comprise systems thinking. Higher education faculty development programs, based on Senge's model, would focus on personal mastery, mental models, shared vision, team learning and systems thinking to become a highly functioning learning group. In the early stages of organizational change, professional consultants can

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be brought in to train employees on specific knowledge and skills that are new to the institution (Beer & Nohria, 2000).

Kenney, Banerjee, and Newcombe (2010) suggest the use of learning communities to reinforce training that faculty members receive during professional development. There is a tendency to provide training and support during the initial implementation phase, only to have this important aspect of the assessment process fall by the wayside without opportunities for follow up and reinforcement. “Technological and pedagogical support must be provided not only during initial implementation of the new skills, but must also be readily available on an ongoing basis” (Kenney, Banerjee, & Newcombe, 2010, p. 100). Planning for a robust and continuous professional development program requires financial resources, which must be set aside at the beginning of the implementation, in order to ensure that the faculty will feel supported in their efforts and that a culture of assessment will be nurtured (Burrack & Urban, 2014; Clark, 2012; Haviland, Shin, & Turley, 2010; Meyer et al., 2010; Kenney et al., 2010; Straub, 2009). Through the use of professional development training sessions across all phases of the implementation, as well as the collaboration opportunities provided by ongoing learning communities, faculty are more confident in their developing assessment knowledge and skills while also seeing a positive impact on their own teaching (Bresciani, 2006; Gordon, 2015; Haviland et al., 2010; Hurtz & Williams, 2009; Jones, 2009; Reynolds-Sundat & Adam, 2014).

### **Chapter Three: Research Methodology**

#### **The Qualitative Research Paradigm**

This study was designed to be qualitative in nature in order to take the broad question of the implementation of an organizational change and apply it to a specific situation in higher education. The study was focused on the aspects of organizational learning in the process of the implementation of an assessment management system (AMS). Creswell (2014) describes qualitative research as research with “an inductive style, a focus on individual meaning, and the importance of rendering the complexity of a situation” (p. 4). Corbin and Strauss (2008) define qualitative analysis as “something that researchers have to feel their way through, something that can only be learned by doing” (p. 16). Qualitative research was appropriate for this study in order to incorporate site-based data from the cultural modification of one institution as it pertains to a specific external catalyst for change. Schein (1996) states that “concepts for understanding culture in organizations have value only when they derive from observation of real behavior in organizations, when they make sense of organizational data, and when they are definable enough to generate further study” (p. 229).

The data from this study will be used to lay the foundation for future grounded theory methodology. Grounded theory methodology, as first defined by Glaser and Strauss (1967), involves collecting and coding data until a point of “theoretical saturation” is reached (Corbin & Strauss, 2008, p. 113). For the purposes of this initial



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study, an insufficient number of participants will make theoretical saturation difficult.

Therefore, this study will consist of the case study process and data collection and coding, in preparation for future grounded theory work which may be comprehensive in both scope and applicability.

### **Qualitative Research Strategy**

The research strategy used in this study was a case study. According to Creswell (2014), case studies are an “in-depth analysis of a case, often a program, event, activity, process, or one or more individuals” which is “bounded by time and activity” (p. 14). Gillham (2010) asserts that before the term “case study” can be defined, the term “case” must be understood. Gillham defines case as “a unit of human activity embedded in the real world; which can only be studied or understood in context; which exists in the here and now; that merges in with its context so that precise boundaries are difficult to draw” (2010, p. 1). Yin (2009) supports the use of a case study approach due to the need to observe the “how” and “why” of change processes.

Marshall and Rossman (2011) define a case study as a study “focusing on society and culture in a group, a program, or an organization” (p. 93). Yin (2009) characterizes a case study as “an empirical inquiry that investigates a contemporary phenomenon within its real life context, especially when the boundaries between phenomenon and context are not clearly evident” (p. 18). Lee, Collier and Cullen (2007) apply the case study strategy to education, stating “the richness of the data also makes empirically researched case studies extremely important in teaching” (pp. 169-170). Gillham (2010) describes six situations in which qualitative research methods may be used to learn more about the processes at hand:

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1. To carry out an investigation where other methods - such as experiments - are either not practicable or not ethically justifiable.
2. To investigate situations where little is known about what is there or what is going on. More formal research may come later.
3. To explore complexities that are beyond the scope of more 'controlled' approaches.
4. To 'get under the skin' of a group or organization to find out what really happens - the informal reality which can only be perceived from the inside.
5. To view the case from the inside out: to see it from the perspective of those involved.
6. To carry out research into the processes leading to results (for example how reading standards were improved in a school) rather than into the 'significance' of the results themselves. (p. 11)

### **Role of the Researcher**

As the primary investigator in this study, the researcher comes to this area of interest with experience as an educator in both the K-12 classroom as well as in higher education. The focus institution elected to implement an AMS in order to collect assessment data and artifacts to be used for ongoing accreditation evidence of student learning and continuous improvement. The researcher was interested in the change steps employed by the institution in the implementation of an assessment system, and whether or not the process has met the intended goals and needs of the organization.

The researcher must acknowledge that a level of observer bias may have occurred. DeWalt and DeWalt (2011) describe the presence of an observer is necessary

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to observe a phenomenon, and yet, that presence in and of itself alters the environment being studied (pp. 92-93). Efforts were made to minimize observer bias through the use of standardized questionnaires and historical departmental documentation which was created prior to the initiation of this study. Additionally, data triangulation and investigator triangulation were used as cross-validation to reduce any influence of observer bias (Bickman & Rog, 1998; Fielding, 2012; Johnson & Christensen, 2008).

### **Site and Sample Selection**

The site and participant selection was based on the following criteria. The site was a higher education institution offering teacher preparation programs which result in initial certification of teacher candidates as well as post-baccalaureate education degrees. Survey participants were both undergraduate as well as graduate level course faculty. Participants were not compensated for their participation in this study.

### **Data Collection**

The data collected in this study included questionnaire responses and departmental documentation. The departmental documentation consisted of:

- Analytic reports generated via the AMS
- Departmental program reports submitted to state and national accrediting agencies
- Departmental documentation including archived agendas and minutes from meetings
- Correspondence from departmental administration to faculty

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The survey data was collected using a questionnaire distributed digitally via Qualtrics (2015). The questionnaire was constructed following best practices of survey design (Johnson & Christensen, 2008). The questionnaire was distributed via email to all faculty (adjunct, part time and full time) who used the AMS in at least one course since the institution adopted the program in August 2012. At the study site, the definition of full time, part time and adjunct faculty was defined as follows:

Table 1 Study Site Faculty Designations

Full Time Faculty	Part Time Faculty	Adjunct Faculty
<b>Faculty who are under a contract of one or more years in length, which is renewed at expiration upon employee review. Receive health and retirement benefits. Teach a minimum of 24 credits per academic year.</b>	Faculty who are under a one year contract, which is renewed annually upon employee review. Do not receive health and retirement benefits. Teach a minimum of 12 credits per academic year.	Faculty who are under a one semester contract, which may or may not be renewed based on institutional needs and employee performance. Do not receive health and retirement benefits. Teach a variable number of credits based on institutional need.

The total number of faculty who were sent the Qualtrics questionnaire invitation was 85. Of that total, completed responses were received from 45 participants for a response rate of 53%. The faculty status of the participants was 13 full time faculty, 4 part time faculty, and 28 adjunct faculty. Out of the 40 invitees who did not respond to the questionnaire, 39 were adjuncts and 1 was a full time faculty member.

### Data Analysis and Interpretation

Research validation was conducted through data triangulation and investigator triangulation. The data was triangulated during the analysis phase of the study using multiple sources of information. The initial data was collected through questionnaire responses and a review of the departmental documentation (Bickman & Rog, 1998;

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Fielding, 2012; Johnson & Christensen, 2008). The purpose of this data collection was to identify potential common themes (Saldaña, 2009, p 13) that relate to the organizational change process that accompanies the adoption of data management system software.

Investigator triangulation resulted from an evaluation team comprised of two additional members in addition to the principal investigator.

The study used the following critical success factors to evaluate whether or not positive organizational change had been actualized:

- Data assessment system (AMS) adoption metrics on key assessment with rubric (KAwR) creation
- Faculty training participation logs
- AMS reports on faculty usage
- AMS analytic reports on faculty, program and department assessment completion
- Faculty readiness and satisfaction survey results
- Continuous program improvement metrics at the course, program and departmental levels

## **Chapter Four: Results and Data Analysis**

The purpose of this study was to analyze the organizational change process implemented in a higher education department, through the adoption of an assessment software management system (AMS) for data collection. During the course of this study, information was collected by scrutinizing data from several sources. These data sources are summarized below with connections and interrelated themes discussed where applicable. The data sources used in this study were:

- Analytic reports generated via the AMS
- Responses to a questionnaire (Appendix A) distributed digitally to faculty through Qualtrics
- Departmental program reports submitted to state and national accrediting agencies
- Reports regarding areas for improvement (AFI) received from national accrediting agency and related NCATE EPP feedback
- Departmental documentation including archived agendas and minutes from meetings
- Correspondence from departmental administration to faculty

### **Unfreezing: Pre-Implementation Steps**

Extensive departmental meeting records were examined for this case study. These records included meeting agendas and subsequent minutes spanning the years of

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2009-2015. The study site generally had two monthly meetings during the academic year: a departmental business meeting and a curriculum meeting. Full time faculty were the only personnel who are required to attend curriculum meetings. Part time faculty attended only the business meeting. Adjunct faculty did not attend either meeting. This appeared to be problematic from the standpoint of implementing an assessment process as, according to the agendas and minutes, the curriculum meetings generally addressed topics that were more closely related to teaching and learning pedagogy while the business meetings were primarily a reporting environment in which student club moderators' reports, committee updates, and other upcoming events were shared. Therefore, the majority of the individuals who taught the department courses were not present for the curriculum discussions.

In 2009 the institution completed a site visit from NCATE that resulted in accreditation being granted through 2016. The review of the minutes and agendas from the months prior to the accreditation visit indicated that the organizational culture was such that a formal assessment process at the departmental level was seen primarily as a requirement related to accreditation needs and unrelated to continuous improvement of courses or programs. This was evident in the absence of any significant mention of assessment topics in the departmental documentation prior to the 2009-2010 academic year. The records were searched for any occurrence of the following terms and no results were returned: student learning outcomes, rubric(s), assessment, accountability, revision, continuous improvement, program goals, and course objectives.

The meeting minutes reflected a viewpoint in which faculty and program directors did not need to invest time in continuous assessment and program improvement except to

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address the reporting requirements for the 2009 NCATE visit. There were references to a sense of relief that the EPP has at least six years to wait for those issues to become an important aspect of their departmental work again just prior to the next accreditation site visit. For example, in 2010 meeting minutes there was discussion of potentially switching accrediting organizations from NCATE to the Teacher Education Accreditation Council (TEAC). The meeting minutes reported a lack of urgency in that decision process because the institution had just received NCATE accreditation and therefore there was the mindset that future accreditation visits were not a priority item at that time. Internal departmental correspondence offered additional examples of this, with several faculty members stating that they did not have time to discuss assessment processes because they had to focus on their teaching responsibilities. The organizational culture as depicted in these documents was indicative of an organization where assessment for learning was not understood to be an integral part of teaching, and rather, assessment of learning was seen as a hurdle that needed to be jumped in order to reach accreditation goals.

Departmental documentation identified a change in the senior leadership of the EPP just prior to the NCATE site visit in the Spring of 2009. During the six years between the NCATE visit and the next accreditation visit, which would be a site visit with the newly formed CAEP in 2016, the departmental records reflected an effort by the EPP's administrators to encourage continuous program improvement and the initiation of a more vigorous assessment plan. According to the meeting agendas and minutes starting with the 2009-2010 academic year, the leadership of the department initiated many discussions about quality assessment and the use of assessment results in student learning



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outcomes. However, according to the minutes, these topics were not embraced by the faculty and there was continual pushback from individual faculty members who repeatedly raised concerns about the lack of time and financial resources that were needed for assessment tasks. Meeting minutes indicated that due to a sharp decline in local economic conditions and decreasing institutional enrollment, the university did not have the finances to provide necessary departmental resources for additional staffing, professional development, and release time for faculty to learn new skills and revise courses. Meeting minutes and department email communications showed that this situation created conflict within the organization.

During the 2010-2011 and 2011-2012 academic years, the department leadership initiated more formal methods of data collection and storage, which needed to be implemented to address the NCATE Standard 2: Assessment System and Unit Evaluation. Standard 2 requires that “the unit has an assessment system that collects and analyzes data on applicant qualifications, candidate and graduate performance, and unit operations to evaluate and improve the performance of candidates, the unit, and its programs” (National Council for Accreditation of Teacher Education (NCATE), 2008). Prior to the 2010-2011 academic year, departmental records indicated that each program director and faculty member was using different methods to keep records of their students’ achievement. Examples of the methods that were being employed ranged from data on notepads and spreadsheets to no records beyond the students’ grades entered for each course. There was no consistent recordkeeping of student achievement and overall successful instruction of program outcomes. This led to department leadership exploring the adoption of a commercial data collection system, with the goal being the ability to

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systematically and consistently record the data that was being collected by each individual faculty member.

It was evident from meeting minutes that there was disagreement in the department in terms of even the basic mechanics of a rubric design, how key assessments were going to be assessed, and the value placed on those key assessments. One issue that demonstrated the difficulty in reaching a consensus was the presence of the topic of “Portfolio Rubric Design,” which occurred on the agenda and minutes of departmental meetings beginning in October of 2009 and continued to be a topic of substantial discussion through November of 2013. During the four years of meeting minutes, there was evidence of ongoing discussions, revisions, subcommittee formations, and votes while the organization struggled to reach an agreement on the exact design of the department-wide portfolio rubric. The complexity of this issue was exacerbated by the fact that none of the adjunct faculty were involved in departmental meetings. Therefore, a substantial number of people who were going to be expected to conduct assessments using the portfolio rubric were not included in the discussions of its design and usage.

Another issue discovered in the examination of the agendas and minutes was the continual placement of the topics of assessment planning, data collection, and student learning outcomes near the bottom of the agenda. This could be problematic as it gave the impression of a higher priority being placed on the items at the top of the agenda such as student club moderators’ reports and administrative housekeeping. This was especially true in the instances where the minutes reflected that earlier topics dominated the entire allotted time and the meeting ended prior to addressing the assessment process topics at all. Several months of minutes indicated that the topics of assessment, the use of

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an assessment system, and the development of key assessments with rubrics (KAwR) were pushed to the following month's agenda. For example, during the 2014-2015 academic year, the topic of assessment was on the meeting agenda six times, but according to the meeting minutes, was only discussed two times. The minutes reflected that the other four meetings ran out of time before the assessment item was reached on the agenda. Successful organizations rely on the existence of a cooperative and cohesive environment, built on effectiveness and efficiency (Barnard, 1968). The problematic structure of the study site's departmental meetings could be seen as an indicator of inefficiency that may in turn erode cohesion in the organizational culture.

In addition to the departmental records of meeting agendas and minutes, another source of data came from the reports generated through the institution's Assessment Management System (AMS). In the current climate of heightened accountability requirements and the need for teacher preparation programs to demonstrate evidence of student achievement, many institutions have turned to the use of a proprietary AMS. The choices in commercial AMS products are expanding with the following being some of the better known at the time of this study: Chalk&Wire, Digication, Foliotek, LiveText, TaskStream, and Tk20. The AMS serves as an electronic method for data collection, reporting of data, and storage of artifacts and evidence supporting the assessment process. Reports generated by the AMS adopted by the study site provide information on departmental, faculty, and student usage of the KAwR within all program courses. Key assessments, also called signature assessments, are common assignments designed by faculty, which use the same rubrics and weighting across all class sections of a course.

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These rubrics are aligned with national and state standards and reflect applicable course and program-level outcomes.

Departmental newsletters, emails and attendance records outlined the initial implementation phase of the AMS. On the first day of the 2012-2013 semester, corporate-provided training was held as part of the adoption of the system. The attendance records indicated that 11 faculty members participated in this professional development, which was a three hour workshop of training in a computer lab on the campus of the study site. According to the AMS usage records, there were 36 faculty teaching graduate courses in the Fall 2012-2013 semester. As the corporate-provided workshop was the first training opportunity for the faculty, and the expectation was that all 36 instructors would be utilizing the AMS in the Fall semester, a 31% participation rate did not establish a strong start for the initial implementation year. Additional departmental correspondence records that were examined showed dissatisfaction among the faculty that did attend the initial professional development. The faculty expressed concern that the trainer sent by the AMS company was ineffective and had essentially left the participants more confused about the system and the assessment process in general than before they attended the training. As cited in the literature review, Gray (1997) cautions technology implementers about the negative repercussions of exhausting all of the financial resources on the training of the early adopters, with little or no money left to train the larger numbers of faculty who will be adopting the AMS in later semesters. According to the documentation at the study site, the corporate-provided training was costly and was only offered once at the very beginning of the implementation. Therefore, only the early adopters received the benefit of these resources.

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The next recorded effort to provide AMS faculty professional development was designed as a train-the-trainer model. According to departmental communications, the intent was that graduate directors and lead professors would attend a series of one hour workshops. After these initial faculty were comfortable with the system, they would train the other faculty, listed as 2<sup>nd</sup>-tier trainees, who taught sections of the course(s) for which the trainer was the assigned lead. The selection of the initial faculty trainees was based solely on their position as lead instructors and/or directors of a graduate program. The selection process did not take in to account the individual's knowledge of assessment processes nor their comfort level in using technology. Complications arose because some of the individuals designated to be the trainers were either unable to grasp the technological aspects of the system, or they were unwilling to invest the time required to train the next group of faculty. Other trainers did not have a fundamental understanding of assessment for learning, which created obstacles in the implementation process as the initial trainers were using differing terminology and passing along inconsistent information to their trainees. Departmental correspondence documented these issues with numerous examples of 2<sup>nd</sup>-tier faculty trainees requesting basic assistance because they had not received the appropriate help from their lead trainer. The frustrations that arose from this situation can be seen in the Qualtrics questionnaire items in which the participants indicated they needed additional technology skills and/or departmental resources during the implementation process.

One additional limitation to the train-the-trainer model that impacted the study site was that two of the initial trainers retired from the institution within the first two years of the AMS implementation, leaving their successor with the task of trying to jump

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in to the implementation midstream without the benefit of the foundational training and knowledge base. Departmental documentation shows a 55% decrease in the EPP's core full time faculty numbers over the span of three years. One result of this attrition was that over half of the faculty who had received the most training resources were no longer available to pass along their knowledge to their colleagues. Essentially, the institution was left with a faculty base of which only a small minority had participated in any of the planned professional development on assessment and the AMS, and no additional funding was available for new training. As Schein (1984) describes in his work on organizational culture, the shared basic assumptions of a group are expected to be passed along to new members. In the case of the study site, these assumptions may not have been conveyed effectively to new faculty due to the substantial reduction in the number of core members of the organization through retirements and resignations.

A Qualtrics survey was distributed to all faculty (full time, part time and adjuncts) who taught a course utilizing the AMS over the past nine semesters since the system was implemented. The respondents were able to complete the questionnaire anonymously, allowing the faculty to openly reply without fear of repercussion or identification. The purpose of the Qualtrics questionnaire was to determine the level of participation in the assessment plan implemented by the study site and to evaluate how the faculty were utilizing the resulting data from identified key assessments to continuously improve their instruction. Table 2 shows that the total number of faculty who were sent the questionnaire invitation was 85. Completed responses were received from 45 participants: 13 full time faculty, 4 part time faculty, and 28 adjunct faculty.

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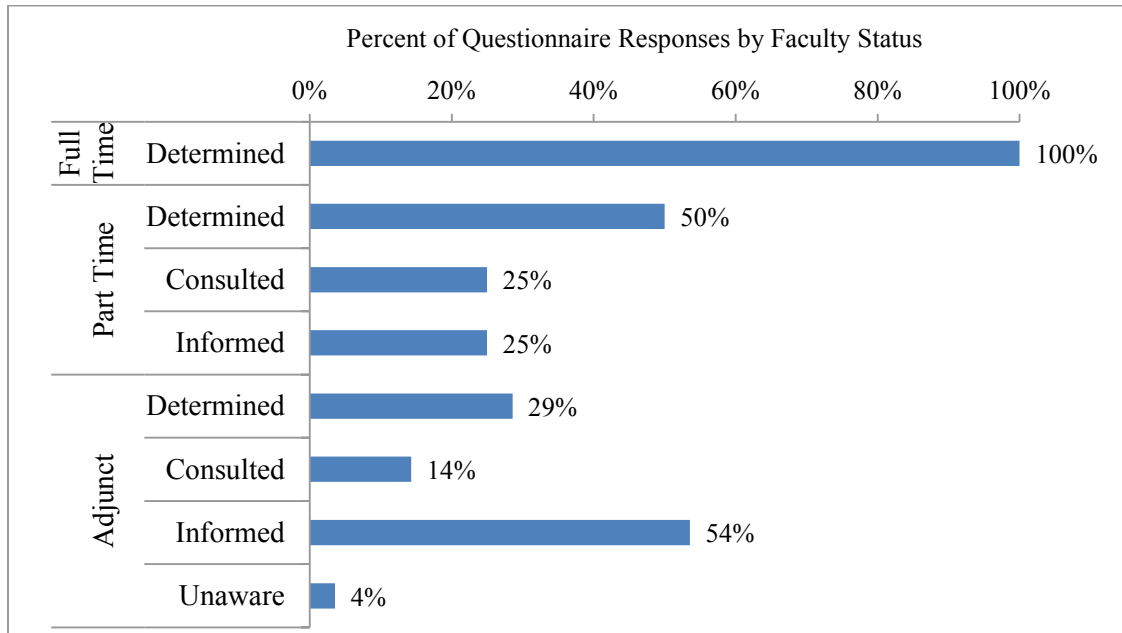
Table 2 Qualtrics Questionnaire Participants

Qualtrics Questionnaire	Faculty			Total
	Full Time	Part Time	Adjunct	
Potential Participants Invited	14	4	67	85
Participants Responding	13	4	28	45

One of the items in the Qualtrics questionnaire asked participants about their level of involvement in the development of course-level key assessments. At the study site, a full time faculty member had been identified as the lead professor for every course offered in the department, with every faculty member responsible for at least one course. In terms of full time faculty involvement in the AMS implementation process, the criteria of success for this item would be 100%. As such, the expectation was that all full time faculty members would report that they “determined” the content of the key assessment(s) for their course(s). As seen in Figure 3, that aspect of the assessment plan was successfully accomplished with 100% of the full time faculty reporting that they determined the key assessments.

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Figure 3 Faculty Participation in Development of KAwR



A review of the study site's departmental documentation indicated that there was a strong collaborative relationship with the department's part time faculty. These individuals taught at least half time in the college and were required to attend departmental meetings to reinforce their involvement and to build a cohesive knowledge base regarding the department's continuous improvement plan. Therefore, the criteria for success for part time faculty involvement in the KAwR development would be that the majority of the part time faculty would respond that they had either determined or been consulted on the task. This accounts for the incidences in which a part time faculty member had temporarily taken on the instruction of a course for a lead professor to balance out course load requirements. In those situations, the part time faculty would have indicated that they were "informed" of the key assessment content, which had already been implemented in the AMS by the lead full time professor. Therefore, the expectation was that 100% of the part time faculty would respond with determined,



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consulted or informed. Referring again to Figure 3, the data reflected these expectations with 50% of the part time faculty reporting that they “determined” the KAwRs, 25% reporting that they were “consulted” in the development, and 25% reporting that they were “informed” of the KAwRs.

Adjuncts teaching within the education preparation program had a range of involvement in the development of KAwRs based in part on their length of time involved with the institution. Some of the adjunct faculty had been teaching their respective courses for many years and had been involved in the development of course outcomes and the associated key assessments. Other adjuncts were new to the institution and had not had the opportunity to be involved in the development steps. This is reflected in the survey results in which 29% of the adjuncts reported that they “determined” the KAwRs, 14% were “consulted,” and the majority of respondents (54% of adjuncts) indicated that they were “informed.” One area of potential concern for the study site would be the 4% of adjuncts who indicated on their questionnaire that they “...don't know what the key assessments are for my courses.” Since the questionnaire was only sent to faculty members who, according to the AMS records, had taught at least one course that had been uploaded in to the system, the lack of awareness of a KAwR in their course highlighted a breakdown in the effective communication of the overall assessment plan. As noted in the literature review, Lancaster (2015) identifies the lack of clarity of information and communication as being the two biggest obstacles to effective assessment plan implementation.

The Qualtrics questionnaire items were grouped into five overall themes: (1) Government Role in Accountability and Assessment Practices, and Student Learning

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Outcomes; (2) Collaboration and Communication Processes; (3) Effective Use of Data; (4) Positive Statements Regarding Overall Accountability and Assessment Process; and (5) Negative Statements Regarding Overall Accountability and Assessment Process.

Theme One through Theme Four consisted of positively worded questions. Theme Five consisted of negatively worded questions. Participant responses were on a Likert Scale ranging from Strongly Agree to Strongly Disagree. Strongly Agree and Agree were combined to indicate “Agreement” to each question statement. Strongly Disagree and Disagree were combined to indicate “Disagreement.” Responses indicating the participant was Neutral were removed to give a clearer representation of the levels of agreement and disagreement. The results from the positively worded questions, in Themes One through Four, are depicted in Figure 4. The results from the negatively worded questions, in Theme Five, are depicted separately in Figure 5 to reduce confusion in interpretation of the results. Specifically, a response that was in disagreement to one of the Theme Five questions, which were presented in a negatively worded statement, would relate to a positive attitude toward that aspect of accountability and the assessment process. For example, the statement “new assessment practices are unscientific or lack credible research support,” was worded to reflect a negative attitude toward the assessment process. Therefore, a lack of agreement with this statement reflected a positive perception of that item.

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Figure 4 Questionnaire Responses to Positive Theme Items (Themes 1-4)

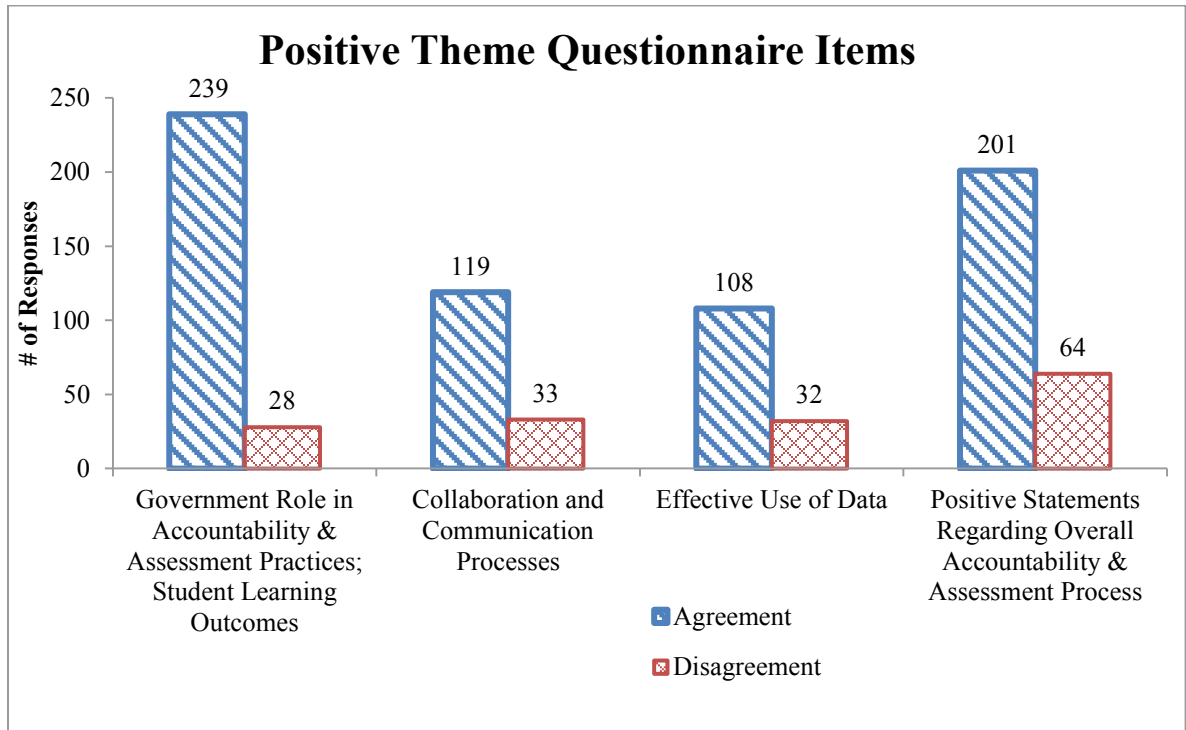
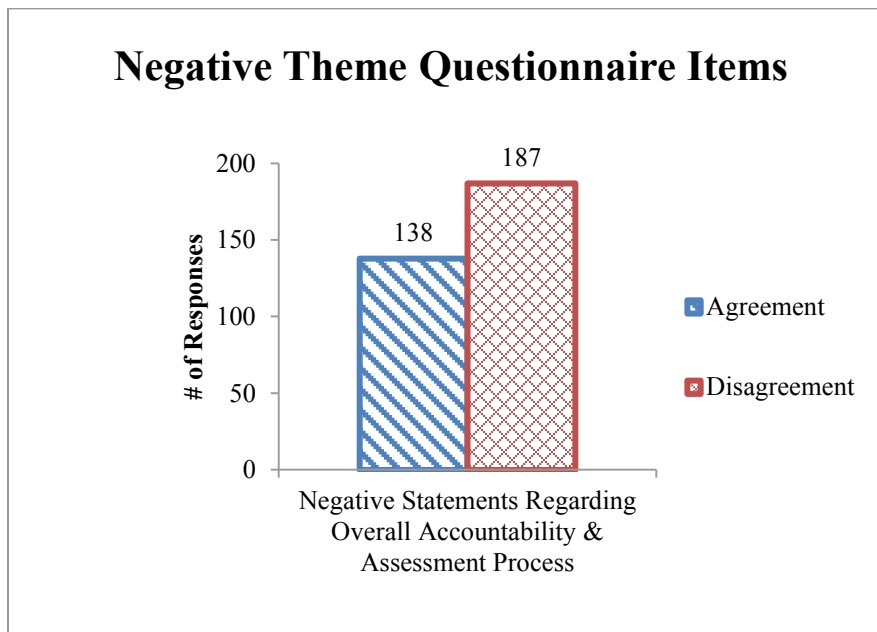


Figure 5 Questionnaire Responses to Negative Theme Items (Theme 5)



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Within the five questionnaire themes, individual question items were examined to identify points of importance where there were differences in the results data. In Theme One, questions were designed to get feedback on the participants' level of agreement on the topics of Government Role in Accountability and Assessment Practices, and Student Learning Outcomes. There is a substantial amount of literature, which notes the tension between the belief that assessment stems from requirements to satisfy external entities versus the belief that assessment is a beneficial individual practice to improve instruction. Therefore, the questionnaire respondents were asked their level of agreement with two statements regarding state and national influences over institutional accountability and accreditation.

Overall, the responses from all three faculty groups were more in agreement than not as seen in Figure 6. In terms of governmental focus on accountability having a positive impact on the quality of teacher education, full time faculty responded with 60% in agreement and 40% in disagreement. Part time faculty responded with 75% in agreement and 25% in disagreement. Adjunct faculty responded with 78% in agreement and 22% in disagreement. Regarding the positive influence of governmental accreditation requirements on teacher education, full time faculty were evenly split between 50% in agreement and 50% in disagreement. Part time faculty response to the governmental requirements for accreditation showed 100% agreement. Adjunct faculty responded with 81% in agreement and 19% in disagreement.

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Figure 6 Faculty Views on Government Influence

		Full Time Faculty	Part Time Faculty	Adjunct Faculty
Increased state and national focus on institutional accountability has improved the quality of teacher education.	Strongly Agree			
	Agree	60%	75%	78%
	Disagree	20%	25%	22%
	Strongly Disagree	20%		
State and national accreditation requirements have improved the quality of teacher education programs.	Strongly Agree			5%
	Agree	50%	100%	76%
	Disagree	40%		19%
	Strongly Disagree	10%		

When asked about their general impressions regarding the role of assessment in teaching effectiveness and student learning outcomes, the majority of each of the three faculty groups responded in agreement to those five questionnaire items:

- Faculty should spend more time assessing and reflecting on student learning. (61% in agreement)
- Frequent assessment accurately verifies student learning in the classroom. (78% in agreement)
- Frequent assessment of student learning is a professional responsibility for faculty. (91% in agreement)
- It is necessary for faculty to be able to show evidence of student learning. (98% in agreement)
- Teaching effectiveness is increased when faculty frequently assess students. (87% in agreement)

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With respect to Theme Two, the questionnaire included six questions related to collaboration and communication within the organizational culture of the study site. Two of the items received a majority response that was in agreement with the statements:

- Frequent communication with colleagues improves my understanding of student assessment practices. (77% in agreement)
- My department maintains an environment which is conducive to faculty collaboration. (65% in agreement)

Four of the questions for Theme Two resulted in mixed reactions from the faculty, with more participants replying in disagreement than agreement to the statements:

- Adequate opportunities are provided to full-time faculty to work collaboratively on assessment practices. (27% in agreement)
- Adequate opportunities are provided to part-time faculty/adjuncts to work collaboratively on assessment practices. (23% in agreement)
- The department's approach to assessment tasks is clear and consistent. (40% in agreement)
- When assessment disagreements occur in our department, we work together to achieve a consensus. (45% in agreement)

One interesting finding to note is related to adjunct faculty responses to the question about having opportunities to work collaboratively. The data from that questionnaire item was cross-referenced with the question regarding whether or not the respondent had participated in professional development opportunities. Adjunct respondents with the strongest disagreement responses were the group that had not participated in any professional development opportunities. Of the group of respondents

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who indicated that they had not participated in professional development offerings, 83% were in disagreement with the statement about adequate time for collaboration. This finding would be interesting to explore in greater depth to determine whether or not there is a connection between involvement in professional development offerings and the belief that collaboration opportunities are available to all faculty.

In the questionnaire, faculty were asked to respond to three statements, which portrayed assessment practices in a negative frame. For example, one questionnaire statement was “New assessment practices are unscientific or lack credible research support.” Therefore, a respondent who indicated that they were in agreement with the negative statement would reflect a less-than-positive opinion on that item. When the responses from the three faculty groups were analyzed separately, the responses remained consistent across all three faculty groups for:

- Current assessment practices are not as effective as traditional grading techniques. (7% in agreement)
- New assessment practices are unscientific or lack credible research support. (13% in agreement)

However, one question reflected a more pronounced difference between the full time faculty responses and those of the part time and adjunct faculty. While the majority of the responses to the statement “Assessment practices are usually determined by the accreditation needs of administrators” were not in agreement (58% disagreed), when separated by faculty groups, the data indicated that 77% of full time faculty responded in agreement but part time and adjunct faculty were generally neutral with only 31% agreeing with the statement. One explanation for why the majority of full time faculty

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perceived assessment processes to be driven by accreditation needs, while the majority of part time and adjunct faculty did not, may be a result of the division of accreditation responsibilities at the study site. According to departmental documentation, all accreditation reports were authored by full time faculty members. Therefore, with the ratio of full time faculty to part time/adjuncts at the study site approximately 1:5, only a small portion of the faculty were responsible for all of the accreditation requirements. In addition to the department-wide tasks involving the use of assessment for improving teaching and student learning outcomes, the extra volume of accreditation tasks may have impacted the overall perception of the full time faculty leading them to maintain a more negative view of the driving forces behind the processes.

Three questionnaire items focused on faculty perceptions regarding the potential negative repercussions resulting from the increased focus on assessment planning. The respondents did not indicate a significant level of concern about the possibility of their academic freedom being limited by assessment requirements imposed by the department's administrators. There was also positive feedback from the data that showed the majority of the faculty did not relate the assessment practices to a reduction in time available for other academic pursuits. As a group, the respondents did not relate the assessment practices to potential negative repercussions on their performance evaluations. This is an indication that the culture of the organization did not use the threat of negative evaluations as a method to coerce faculty in to engaging in the process of adopting the new assessment plan. As was discussed in the literature review, Ewell (2009b) identifies the use of negative consequences as being an ineffective method of addressing issues in assessment implementation which could result in faculty resistance



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to the process. The agreement percentages for the three survey questions on potential negative repercussions were:

- Departmental assessment requirements limit faculty academic freedom. (33% in agreement)
- Faculty are reluctant to engage in departmental assessment practices for fear that student assessment results will be used in their performance evaluations. (11% in agreement)
- Monitoring student assessment for program accountability reduces the amount of time faculty have for pursuing other academic activities. (42% in agreement)

The question regarding the impact of the monitoring student assessment on time available for faculty to pursue other academic activities did show a difference between the faculty groups in terms of responses. The full time faculty responded with 69% agreement that their time was being limited, while only 31% of the part time/adjunct respondents were in agreement with that statement. Similar to the reasoning behind the response differences between groups that was seen in the statement about assessment driving forces, the additional accreditation workload, which was only shared by the full time faculty, may have been reflected in the higher level of agreement in that group of respondents' view of time constraints.

Several questionnaire items involved the respondents' perceptions of the departmental assessment process itself. The responses were grouped in to positive and negative items. The three questions related to positive perceptions of the assessment process were:

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- Assessment results are accessible so that everyone can get the data he or she needs when it's needed. (89% in agreement)
- Accountability and assessment process planning is continuous and involves all faculty in the process to some degree. (96% in agreement)
- The assessment process is organized so that each faculty member can see the relationship between his or her teaching and the accountability needs of the department. (82% in agreement)

The data showed that the majority of respondents were positive about the manner in which the department involved all faculty, organized the process to relate accountability requirements to faculty teaching, and made assessment results available to all. One inconsistency in the results was that while 89% of the respondents indicated that they were able to get assessment results data when needed, AMS implementation records showed that the percentage of courses assessed in the system never reached an equivalent level of completion. Consequently, assessment results data would not have been available for a large percentage of the faculty to use and therefore it brings in to question whether they had even tried to utilize the system.

The data from six negative perception questions were examined. The responses showed concerns over the lack of departmental resources and technological skills that the assessment process demanded. This theme was echoed in other departmental records, which reflected an overall reduction in financial resources as well as a decline in staff and faculty numbers over the prior few years.

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- Challenges in the assessment process frequently surface because we do not have the technology skills necessary to do the job. (48% in agreement)
- Challenges in the assessment process frequently surface because we do not have the departmental resources necessary to do the job. (36% in agreement)
- Challenges in the assessment process frequently surface because the role of assessment in higher education accountability has not been explained to us. (16% in agreement)
- Short-term actions often compromise our long-term vision. (33% in agreement)
- Attempts to initiate departmental change are generally resisted by the faculty. (16% in agreement)
- Things often "fall through the cracks" in our department. (14% in agreement)

Interesting information came to light when the data on the negative perception items were scrutinized. By cross-referencing the data from the adjunct responses (to the negatively worded statements of the assessment process) with the professional development training in which they participated, the view that problems arose from the lack of technological skills was more prevalent among the adjuncts that chose to not attend any AMS training than those who did get involved in PD training. The questionnaire asked respondents to indicate in which, if any, professional development training opportunities they participated. The instructor-facilitated face-to-face training (F2F) opportunities were: one hour workshops, half day workshops, conference session(s), and one-on-one instruction. The independent training (INDEP) opportunities were: online 'live' webinars, video tutorials, and paper tutorials/handbook. As seen in

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Table 3, only 33% of adjuncts who attended F2F training or pursued INDEP training agreed with the statement “Challenges in the assessment process frequently surface because we do not have the technology skills necessary to do the job.” Adjuncts who had not participated in any form of professional development training were twice as likely to be in agreement (67%) with the statement. This result may indicate a connection between participation in AMS training and an increase in technology skill proficiency. Further research would be required to see if this relationship is evident in similar studies.

Table 3 Adjuncts' Negative Perceptions of Assessment Process in Comparison to Training Received

	Adjunct Responses	F2F or INDEP PD Training	No PD Training
Challenges in the assessment process frequently surface because we do not have the technology skills necessary to do the job.	Strongly Agree or Agree	33%	67%

Participants responded to seven items related to the study site’s planning and goal setting during the AMS implementation process. All seven of the items had a majority of responses that were in agreement with the statement:

- There is a clear assessment plan that provides relevance and structure for faculty work. (79% in agreement)
- Department administrators set assessment goals that are challenging but not unworkable. (95% in agreement)
- We continuously evaluate our progress in meeting our stated assessment goals. (86% in agreement)
- Faculty understand what needs to be accomplished in order for us to be successful with the ongoing assessment process. (88% in agreement)

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- Faculty and administrators have a shared vision of what the goals and values of the College of Education will be in the future. (86% in agreement)
- Our assessment goals energize and motivate our faculty. (74% in agreement)
- The faculty are in agreement about the department's assessment goals. (77% in agreement)

When the responses were separated by faculty group, the data reflected full time faculty's concerns over two items in particular. The statement about assessment goals energizing and motivating the faculty dropped from 74% agreement with all three faculty groups to 23% when only referencing the full time faculty data. The statement about faculty being in agreement about the departmental assessment goals dropped from 77% agreement with all three faculty groups to 38% with the full time faculty only. The negative perception reflected in responses to the question about assessment goals being energizing and motivational may be related to the previously identified concerns over lack of departmental resources, lack of perceived administrative support, or the unequal delegation of accreditation related tasks to the full time faculty group. The data from the question pertaining to the lack of agreement among faculty regarding assessment goals may reflect the situation in which only the full time faculty were involved in the conversations revolving around that topic. Due to the fact that the full time faculty were the only respondents who were involved in every aspect of the assessment and accreditation process at the study site, the data from that group regarding the implementation process should potentially be given more weight as being representative of the overall AMS implementation. The disconnect between adjuncts and full time faculty with respect to the departmental reporting tasks and curricular discussions and

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decision making created a scenario in which the adjuncts may have been unaware of issues pertaining to assessment and accountability goals.

### **Moving: Implementation Steps**

Using the AMS, information regarding program implementation progress at the study site was recorded over the span of nine academic semesters, beginning in the fall of the 2012-2013 academic year and continuing through the spring of 2015. In the initial year of implementation, the AMS was piloted in the graduate level programs exclusively. After the first implementation year, the assessment process was expanded to include the undergraduate programs during the academic years of 2013-2014 and 2014-2015.

The AMS process requires that at least one key assessment is identified for each course. The key assessment must be aligned to applicable program standards using a rubric, which is then uploaded to the online system. According to the AMS Faculty Handbook at the study site institution, the graduate programs each had a faculty member who was the designated director of the graduate degree program. It was the responsibility of each graduate director to ensure that all courses in their program have at least one key assessment, which had been identified as representative of addressing the applicable course learning outcomes. While a part time or adjunct faculty member might have identified the assignment(s) that would be used in the AMS and participated in the assessment rubric development, every KAwR had to be approved by the lead professor or program director before being uploaded to the AMS. This process was designed to ensure that there was assessment consistency between sections of the same course, across semesters, and throughout the program as a whole.

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During the initial implementation year, the AMS data reports showed the implementation progress for the development of KAwR in all graduate programs increased from 59% of the courses having one or more KAwR developed in the Fall 2012 semester, to 68% in the Winter 2013 semester, and 75% in the Spring 2013 semester. The faculty AMS usage data from the first year of implementation did not show the same steady rise in implementation progress. Instead, the Fall 2012 semester report indicated 48% of the courses that had a KAwR uploaded were actually assessed using the AMS rubric so that assessment data was recorded in the system. Referring back to the low participation percentage in the corporate-provided AMS training (31%), the lack of exposure to the system may be one of the direct factors contributing to the low successful usage rates depicted in Table 4. In the Winter 2013 semester, the number of courses with a KAwR that were actually assessed using the AMS dropped to 27%. It rose modestly in the Spring 2013 semester to 35%. Therefore, in terms of implementation process progress, the reports indicated that 65% of the Spring 2013 graduate courses that had a KAwR in the AMS were not assessed and thus no programmatic data was collected for those courses in that semester.

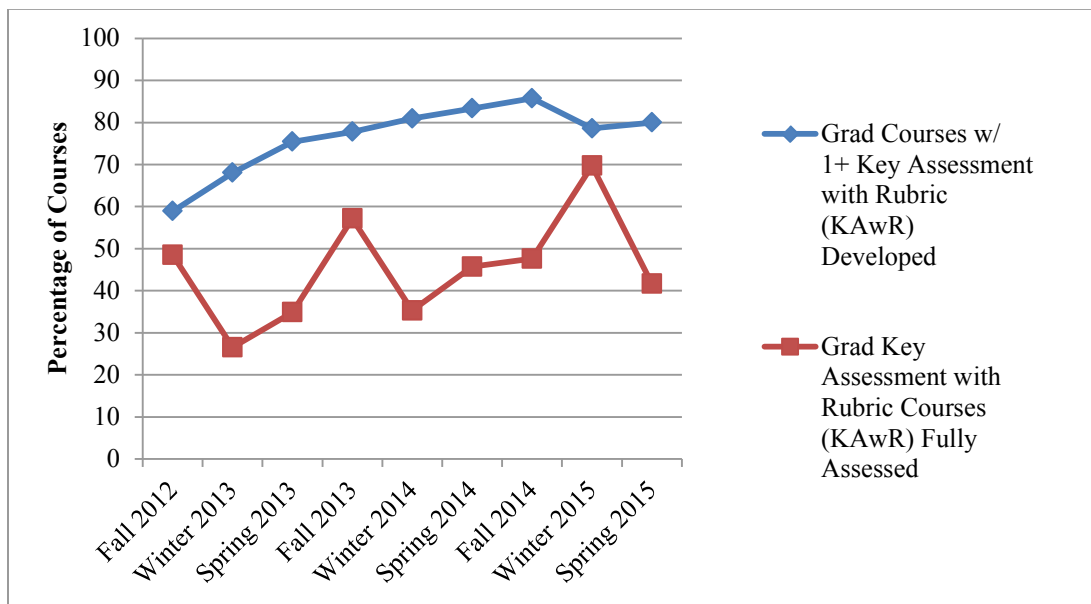
Table 4 Implementation in Graduate Courses, 2012-2015

Semester	Grad Courses w/ 1+ Key Assessment with Rubric (KAwR) Developed	Grad Key Assessment with Rubric Courses (KAwR) Fully Assessed
Fall 2012	59 %	48 %
Winter 2013	68 %	27 %
Spring 2013	75 %	35 %
Fall 2013	78 %	57 %
Winter 2014	81 %	35 %
Spring 2014	83 %	46 %
Fall 2014	86 %	48 %
Winter 2015	79 %	70 %
Spring 2015	80 %	42 %

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Over the span of the nine semesters of AMS implementation at the graduate level, the data showed inconsistent results making it difficult to establish a defined trend in the implementation process as seen in Figure 7. While the percentage of courses with a KAwR developed generally increased during the time of the implementation, the successful use of the AMS by course instructors fluctuated widely with levels that never reached more than 70%. Therefore, other sources of data were required to determine the factors impeding the successful adoption of the AMS by 100% of the graduate faculty.

Figure 7 Nine Semester Trend of Graduate Course Implementation



The implementation of the AMS at the undergraduate level began in the Fall 2013 semester. Table 5 shows the six semesters of AMS implementation at the undergraduate program level. The data reflected inconsistency in both the development of the KAwR in the undergraduate courses as well as the successful use of the AMS by the undergraduate



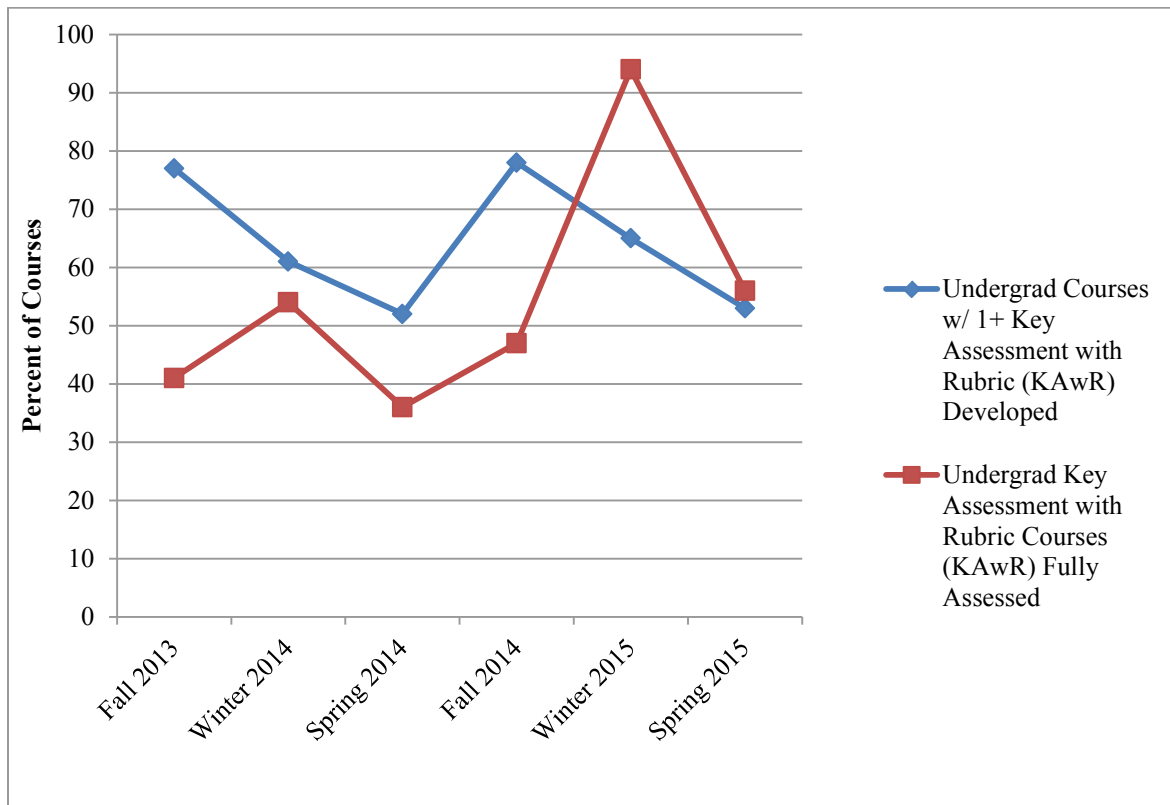
## IMPLEMENTATION OF AN ACCOUNTABILITY AND ASSESSMENT SYSTEM

faculty. The trend of AMS implementation in the undergraduate courses is depicted in Figure 8.

Table 5 Implementation in Undergraduate Courses, 2013-2015

Semester	Undergrad Courses w/ 1+ Key Assessment with Rubric (KAwR) Developed	Undergrad Key Assessment with Rubric Courses (KAwR) Fully Assessed
Fall 2013	77 %	41 %
Winter 2014	61 %	54 %
Spring 2014	52 %	36 %
Fall 2014	78 %	47 %
Winter 2015	65 %	94 %
Spring 2015	53 %	56 %

Figure 8 Six Semester Trend of Undergraduate Course Implementation



In both the undergraduate and graduate courses there was additional evidence from departmental documentation, which provided information explaining why the

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percentage of courses with at least one KAwR would potentially decrease. Once a course had a KAwR developed, the assumption was it would then be in the AMS permanently going forward over subsequent semesters. However, over time some courses were revised necessitating the creation of new KAwRs. Revisions based on changes in the EPP's adopted state and national standards or as a result of the analysis of assessment data required a previously developed KAwR to be removed from the AMS with the goal of replacing it with a new or modified version. According to AMS reports, at times this process extended over the course of several semesters, resulting in fluctuations in the percentages of courses with KAwRs developed. Additionally, the data from the AMS reports showed that at the graduate level a few new courses were introduced to programs over the three years of implementation. The new courses were generally first introduced in a semester and made available for student enrollment, but a KAwR was not developed until one to two semesters later.

Further analysis was conducted on the implementation reports to delineate the courses taught by adjunct instructors versus those taught by the full time and part time faculty to see if there were any clear trends between these three groups' use of the AMS. Figure 9 and Figure 10 show the percentages of implementation for the three groups over the span of the nine semesters. It is important to note that the part time faculty group had an  $N = 4$ . In some semesters, there were only one or two part time faculty teaching courses. The small number of part time faculty participants may have led to larger fluctuations in the AMS usage percentages, especially in cases where the data was based on one individual.

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Figure 9 Graduate Course AMS Usage by Faculty Status

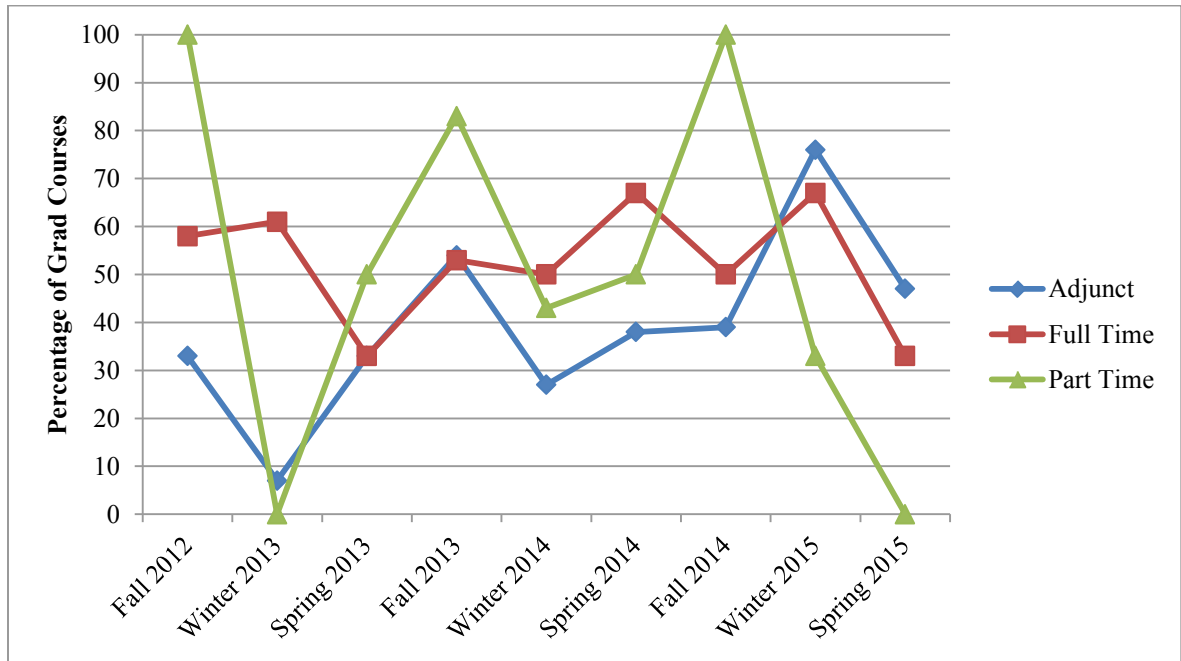
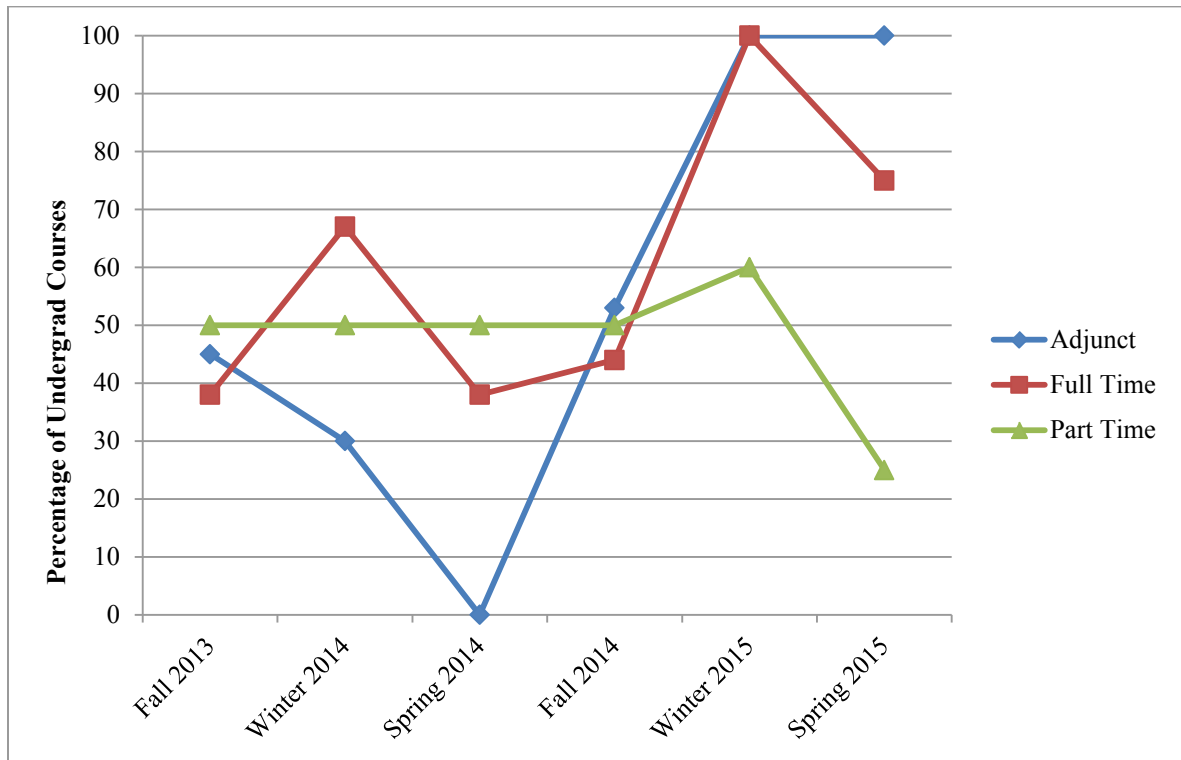


Figure 10 Undergraduate Course AMS Usage by Faculty Status



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The data from the faculty questionnaire and the AMS analytic reports were a portion of the larger review of evidence to determine whether or not critical success factors were met in the implementation of the department's overall assessment plan through the adoption of the AMS. Another source of data that was useful in the study of this department's implementation of the assessment system was the archive of institutional accreditation reports. In order to evaluate the program level progress of assessment data and continuous improvement, the past five years (2010-2015) of NCATE Educator Preparation Program (EPP) Annual Reports were examined.

In the 2010 NCATE EPP Annual Report, the study site responded to areas for improvement related to: (a) the assessment system in place to monitor candidate performance, (b) the validity, reliability, and absence of bias in assessments; and (c) the number of personnel dedicated to supporting the systematic collection and analysis of data. In response to the issue of an assessment system for monitoring candidate performance, the report outlined the EPP's efforts at the undergraduate level to initiate a collaborative process with liaisons from the content area departments outside of teacher education. At the graduate level, the report described the initial stages of developing an assessment process that would involve a feedback loop with key stakeholders. According to the 2010 EPP Report, the graduate programs were in the process of aligning their program assessments with the applicable national standards. Regarding the issue of assessment bias, validity and reliability, the report stated that the EPP had been researching, discussing and redesigning rubrics as a collegial group to improve assessment validity and reduce potential bias. The issue of adequate support personnel was addressed in the report with the explanation that due to budgetary constraints, the

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EPP was unable to hire additional employees to assist in the assessment process. The EPP noted that in lieu of additional personnel, one current staff position was being modified to include some data collection duties, and there were plans to hire a future department chairperson with job qualifications requiring experience with assessment processes and accreditation.

The 2011 NCATE EPP Annual Report addressed the same issues outlined in the 2010 report: (a) the assessment system in place to monitor candidate performance, (b) the validity, reliability, and absence of bias in assessments; and (c) the number of personnel dedicated to supporting the systematic collection and analysis of data. Additionally, the 2011 EPP Report included a section on the continuous improvement goals of the EPP toward reaching the target level for one self-selected standard. With regard to the assessment system to monitor candidate performance, the report specified that key assessment data was being collected in both undergraduate and graduate level programs and that the key assessments had served as a catalyst for the substantial revisions of existing assessments and rubrics. The 2011 EPP Report contained the first mention of the adoption of an AMS, which was planned for a fall 2012 pilot. To address the issue of assessment validity and lack of bias, the 2011 EPP Report identified the planned creation of a departmental committee, which was tasked with the review of all key assessments in both the undergraduate and graduate programs. Additional support personnel continued to be unfeasible due to budgetary issues, but the 2011 EPP Report area for continuous improvement necessitated that a current full time faculty member held a .75 position as the EPP's Assessment Coordinator in the fall of the 2012-2013 academic year.

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The 2012 NCATE EPP Annual Report addressed the same issues outlined in the previous two years of reports: (a) the assessment system in place to monitor candidate performance, (b) the validity, reliability, and absence of bias in assessments, (c) the number of personnel dedicated to supporting the systematic collection and analysis of data; and (d) the continuous improvement goals of the EPP toward reaching the target level for one self-selected standard. The 2012 EPP Report noted the implementation of the AMS over the previous academic year at the graduate level with the planned implementation at the undergraduate level for the upcoming academic year. Addressing the issue of adequate support personnel, the 2012 Report stated that the EPP had been allocated the budgetary funds to hire a full time Accreditation Coordinator. The continuous improvement target standard was addressed in the 2012 Report with the information that the initial preparation programs needed to fully revise key assessments in order to align to the newly adopted InTASC standards, which replaced state-level program standards. The remaining NCATE EPP Annual Reports (2013, 2014, and 2015) did not contain new information or data that was not reported in prior years and therefore were not detailed in this study.

During the 2012-2013 academic year, ongoing AMS training opportunities were offered to the faculty. According to the departmental records and correspondence, of the 48 graduate faculty (full time, part time and adjuncts) teaching in courses with a KAaR during the fall and winter semesters of 2012-2013, only nine participated in a training course that had been created within the AMS in which the faculty could test out the system features from the perspective of both a student and an instructor. Face-to-face (F2F) AMS training workshops were offered on ten occasions between December 2012

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and September 2013. Invitations encouraging participation were sent multiple times to the 52 faculty members who were teaching during those initial semesters. According to the department records, a total of 12 faculty members attended at least one training workshop over the course of the nine months. One of the factors that may have contributed to the lack of attendance is the method of information dissemination used at the time. The institution as a whole had not enforced a policy which required faculty to use their university email account for all communications. Yet, departmental correspondence indicated that the system employed to send out group emails to faculty, such as the invitations to the training sessions, used the employee's university email account exclusively. As many adjunct instructors were not using that account, and some stated they did not even know their email account existed, they did not get the pertinent messages regarding professional development opportunities or the assessment process in general.

Focusing on faculty motivation, rewards, and reinforcement, a review of the departmental documentation and correspondence highlighted issues, which could impede the change process. Under the situational leadership theory set forth by Herzberg (1974), two of the four identified motivators are opportunities for advancement and recognition. At the study site, as an at-will employer which does not utilize a tenure system for faculty, there was little connection between assessment practices and opportunities for advancement. Furthermore, recognition for successful assessment process implementation would not be garnered outside of the teacher preparation department as the AMS utilization was only at the departmental level and not institution wide. Departmental records reflected faculty concern that receiving "release time" to focus on

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assessment processes reduced their teaching load, thus decreasing the individual faculty member's semester hour generation totals for a given academic year. In the current state of heightened awareness of low enrollment numbers, the faculty expressed trepidation that any additional activities, which decreased their teaching load, may have been met with punitive actions from the senior leadership. Herzberg's (1974) hygiene factors of salary and benefits are also evidenced in the departmental documentation. According to archived correspondence, faculty salaries had been frozen for the past two academic years and the upcoming year would also necessitate an increase in the employee's cost of benefits. The undermining of hygiene factors detracts from a faculty member's perception of their work environment and directly impacts motivation.

### **Refreezing: Post-Implementation Steps**

In questionnaire items related to the use of assessment data, all three faculty groups responded positively to statements about the study site's actions. There were four questions related to the department's use of data. The four questions gave respondents the choice to answer "frequently," "occasionally," or "not at all." As seen in Table 6, the majority of the respondents indicated frequently or occasionally to all four questions. These responses reflected what is perceived by faculty to be successful use of the AMS data to support continuous improvement on the part of the leadership at the departmental level.



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Table 6 Departmental Use of Data Results

<b>How often does the department engage in the following practices:</b>	<b>Frequently</b>	<b>Occasionally</b>	<b>Not at All</b>
<b>Uses student assessment data to improve teaching and learning.</b>	43%	57%	0%
<b>Encourages faculty to use student assessment data to reflect on their own teaching.</b>	46%	49%	5%
<b>Uses assessment data to drive academic planning and policy.</b>	48%	48%	4%
<b>Evaluates departmental plans for recording student learning outcomes.</b>	40%	50%	10%

Two questions were included which pertained to the faculty's use of the data results from the AMS. The respondents indicated overall agreement with the statement that they were using the AMS data to make revisions in their courses. Similar to the departmental level data, this was a positive indication that the information being collected in the AMS was being used at the course level to improve student learning and not just collecting dust as an archived record for accreditation purposes. The second question asked about changes that the faculty had made to their grading practices in light of data from the AMS. Again, the overall response was agreement to that item, which added additional evidence to the argument that the department faculty were integrating the assessment process into their instructional practices.

- I have revised my courses based on the results from my student assessment data. (69% in agreement)
- My grading practices have been influenced by the results from my student assessment data. (51% in agreement)

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The last three items on the questionnaire related to the study site's level of effective assessment plan communication, encouragement of faculty ingenuity and ambition, and flexibility in modification of the assessment plan as needed. The results from these three questions were mixed. Approximately half of the respondents (51%) were in agreement with the statement that "effective communication channels are used to coordinate assessment expectations and tasks."

Less than half of the respondents (44%) indicated that ingenuity and ambition were encouraged and rewarded. For future research, this question should be unpacked because as written, it contains too many individual factors within one item. Faculty ingenuity and faculty ambition could be two very different attributes, but by bundling them in one question, the respondents were unable to give accurate feedback if one attribute was present and the other was not. For example, some respondents could have perceived that ingenuity was encouraged in the department, but ambition was not, but there was no way to indicate this on the questionnaire. The second half of that same question also contains multiple sub questions – encouraged and rewarded - that should be unpacked for future studies. Attributes such as ingenuity and flexibility may have been encouraged but not rewarded, or vice versa. The departmental documentation showed that, at the study site, financial resources were not available for monetary rewards. Due to a salary freeze at the institution, faculty promotion in rank was stalled and therefore this would not have been an option as a reward either. However, it would have been possible to have a non-monetary incentive such as encouragement as a motivator for faculty. By bundling encouragement and rewarded in the same question, there was not a method to separate out those two distinct items. Although the question was written in

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that manner in an attempt to reduce the overall number of questionnaire items with the hope that a shorter questionnaire would encourage more potential respondents to participate, it did not yield valid data.

The questionnaire item regarding whether or not the way assessment results were collected was flexible and easy to modify had a low level of agreement from the participants. The questionnaire data indicated that only 30% of the faculty felt that the system was flexible and easy to modify. This speaks directly to the issues that the study site had with the AMS product selected to use at the institution. As reported in the departmental meeting minutes, the AMS adoption and associated training occurred in the first week of a new academic year. The corporate-provided training was reported to be “ineffective,” “disorganized,” and “thoroughly unsatisfactory” in the departmental correspondence records. Specifically, one archived internal departmental message stated that the AMS implementation team was “not told by {company} that once a rubric was used to assess an assignment, if modifications were subsequently made to that rubric, there would not be a way in which the AMS could connect the data from the two versions of the rubric.”

The imperative information regarding the necessity of ensuring that a rubric version was finalized prior to being used to assess students was not relayed to the faculty. Instead, in their rush to load the KAwRs to courses in the first semester of implementation, meeting minutes show that faculty indicated that they submitted a “draft” to the AMS with the intention of making adjustments to the rubric descriptors when they were not pressured for time. After the first semester of use, when modifications were made to the rubrics, the faculty learned that they would not be able to

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create analytic reports comparing the Fall 2012 semester data with the Winter 2013 data.

This was a larger issue than simply informing faculty that once their KAwR had been uploaded, no modifications could be made without disconnecting the data sources in the AMS program. According to meeting minutes and NCATE reports, program level state and national standards changed during the first two years of implementation, which required re-alignment of the rubrics to the current version of the applicable standards.

The AMS product selected by the study site did not have the functionality to accommodate these types of rubric modifications without the aforementioned problem of severing the data from the previous rubric version to an updated one. This created significant problems for accreditation and assessment reporting when an attempt was made to view programmatic assessment data across several semesters or between cohorts of students.

## **Chapter Five: Discussion**

The purpose of this study was to analyze the organizational change process implemented in a higher education department, through the adoption of an assessment software management system (AMS) for data collection. One of the objectives of this study was to generate AMS implementation recommendations for leaders at similar institutions. By identifying the steps of institutional changes process undertaken by the study site, answers to the research sub questions will help guide future implementation at other EPPs as well as to structure the ongoing assessment plan at the study site. To reiterate, the original central research question and related sub questions were:

How does a university implement organizational change to facilitate the adoption of an assessment management system (AMS)?

- What change model steps are effectively executed by institutional administrators in the implementation of the AMS?
- Which change model steps are omitted, or ineffectively implemented, in the change process?
- Does the implementation process result in organizational change?
- What are the change model steps which can be improved to maximize faculty involvement and participation?

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## Interpretation of the Findings

As a result of this study, a framework has been developed for utilization in the specific organizational change scenario of the implementation of an assessment management system at a small educator preparation institution. Building upon the foundational models of Lewin, Kotter and Kanter, the Assessment Management System Implementation Framework (AMSIF) for Teacher Preparation Programs is created with four phases of organizational change (see Figure 11):

1. Pre-Implementation
2. Early Implementation
3. Full Implementation
4. Continuous Implementation and Evaluation

Figure 11 AMSIF Relationship to Models by Lewin, Kotter and Kanter

<b>Kurt Lewin's 3-step model</b>	<b>John Kotter's 8-step model</b>	<b>Rosabeth Moss Kanter's 10 Commandments for Executing Change</b>	<b>Assessment Management System Implementation Framework for Teacher Preparation Programs</b>
Lewin Steps	Kotter Steps	Kanter's Steps	AMSIF Steps
<b>Unfreeze</b>	1. Create a Sense of Urgency	1. Analyze the organization and its need for change 4. Create a sense of urgency 3. Separate from the past	1. Pre-Implementation
	2. Build a Guiding Coalition	5. Support a strong leader role 6. Line up political sponsorship	
	3. Form a Strategic Vision and Initiatives	2. Create a shared vision and a common direction	2. Early Implementation
	4. Enlist a Volunteer Army		
<b>Move</b>	5. Enable Action by Removing Barriers	7. Craft an implementation plan 8. Develop enabling structures 9. Communicate, involve people and be honest	3. Full Implementation
	6. Generate Short-Term Wins		
	7. Sustain Acceleration		
<b>Refreeze</b>	8. Institute Change	10. Reinforce and institutionalize change	4. Continuous Implementation and Evaluation

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The literature shows that it is imperative to create an assessment plan prior to implementation which includes a stated mission, a description of the plan, the goals of the plan, and the evaluation methods which will be used. The plan should include clear information regarding who will be responsible for each portion of the tasks, as well as a timeline for the implementation process (Baker, Jankowski, Provezis, & Kinzie, 2012; Farkas, 2013; Furtwengler & Hurst, 1992; Miller, 2012; Walvoord, 2010; Weiner, 2009). Once a comprehensive assessment plan has been created, there must be effective and reliable communication methods to exchange information with the key stakeholders (Kanuka, 2010; Marsh & Farrell, 2015; Martin, 2007; Siddique et al., 2011; Spendlove, 2007). The documentation from the study site showed no evidence of an assessment plan, information on the delegation of tasks, or a timeline for the implementation process. Additionally, as was seen in the discussion of the problems related to the training opportunities in Chapter Four, ineffective communication methods (email) were used to communicate with adjuncts.

Kotter and Kanter's pre-implementation steps involve the first stage of Lewin's unfreezing process (see Figure 11 above):

- Kotter:
  - 1) Create a Sense of Urgency; 2) Build a Guiding Coalition
- Kanter:
  - 1) Analyze the organization and its need for change; 3) Separate from the past; 4) Create a sense of urgency; 5) Support a strong leader role; 6) Line up political sponsorship

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These steps consist of the tasks related to reculturing and obtaining key stakeholder buy-in. During this pre-implementation phase, the effective leader should be (a) getting stakeholder buy-in by helping faculty see the need for change, (b) identifying organizational strengths and weaknesses, and (c) demonstrating a commitment to moving beyond the old structures and routines of the previous culture.

From the review of the study site's departmental records prior to academic year 2009-2010, the organizational culture was indicative of an EPP where assessment for learning was not part of the department's culture. Rather, in the years prior to 2009, assessment of learning was viewed as a task to satisfy external accreditor mandates during their site visits every seven years. Recalling the literature concerning Lewin's (1943) formula for social learning,  $B = f(P, E)$ , the culture of the EPP prior to 2009 can be viewed as a negative influence over faculty behavior in light of the organizational environment. The shift in the EPP's organizational environment began to emerge in departmental records from the fall of 2009 and continued in subsequent years. From the work of early organizational theorists it is known that conflict causes an organization to be in a state of disequilibrium (Scott, 1961). Conflict and disequilibrium are described in the literature as a potential catalyst for organizational change (Heifetz et al., 2009). Departmental records indicate that this was indeed the case for the study site as the faculty worked through a sense of discomfort, prompted by a changeover in the senior leadership of the department, to become more motivated to change. The introduction of annual accreditation reports, on the areas marked for improvement, added to a sense of urgency in which the faculty and administrators began to recognize the need for ongoing, continuous assessment which would result in quantifiable evidence being recorded in the



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years between accreditation visits. The early indicators of the pre-implementation phase were evident beginning in 2010, as there was an increased frequency of departmental documentation references to assessment-related topics of discussion.

As in any learning process, a reflection on the steps taken can provide insight into what was done effectively, and suggestions for ways to improve in the future. Because the EPP's new leadership had the challenge of reculturing the organization, it would have been beneficial to move important items such as assessment design and comprehension closer to the beginning of meeting agendas, so that these items didn't get bumped to the next meeting due to time constraints. By putting the assessment topics before routine housekeeping tasks, the leadership would convey their commitment to, and the importance of, the assessment planning process (Andrade, 2011; Dinwoodie, Pasmore, Quinn, & Rabin, 2015; Hord, Rutherford, Huling-Austin, & Hall, 1987). Meeting minutes indicated that resistance to assessment tasks and training opportunities was frequently voiced by a small handful of faculty members. However, those individuals were the most vocal and tended to intimidate others who had different ideas or were more supportive of the concept of assessment for learning. This situation led to a divisive culture within the department, wherein accreditation and the individuals in support of the change process were seen as the "bad guys."

The error in the process at that point was to not have established a culture of assessment in which faculty concerns were supported through individual meetings with the leadership. Private meetings, in which each faculty member could express their apprehensions and be provided reassurance that they would be provided ample learning opportunities to build their knowledge of assessment and the use of the AMS, would have

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increased their confidence in the change process while not negatively influencing their colleagues in a department-wide meeting environment. Since key stakeholder buy-in was not achieved early in the pre-implementation process, the few naysayers in the group were able to dominate the groupthink culture of the department to create a negative environment around these topics. Assessment processes were professed to be an assault on faculty academic freedom and an encroachment on their limited time. This led to unproductive meetings in which the same discussions were held over and over again, and no progress was made in terms of an overall understanding of assessment for learning and the necessity for continuous program revision and improvement.

Another aspect of the pre-implementation phase which was not effectively managed was consideration of the methods through which the adjunct faculty would be included in the process. The structure of the departmental meeting schedule, as well as unreliable communication methods, led to adjunct faculty being completely in the dark about all of the assessment discussions and decisions taking place. Furthermore, the literature review shows that students should also be included as key stakeholders when an institution implements an assessment program. This was an area that the study site omitted in the planning of the assessment program.

One way in which the study site could have built faculty support of the change, prior to the AMS implementation, would have been to determine the faculty's knowledge of assessment practices. It is advisable to assess faculty awareness of assessment processes, as well as their comfort level in using assessment, prior to any implementation of the AMS. By launching the AMS at the study site before establishing these base levels, training that was conducted was less effective because there was an assumption

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that the faculty understood the concepts of assessment for learning and design, which was not the case. Comprehensive professional development on the concepts of assessment for learning, rubric design, evaluation of program outcomes, and alignment of course content to meet established standards sets, would have been beneficial to ensure that all individuals felt competent in their skills before they were required to perform the tasks using the AMS.

At the point where the department leadership decided to adopt an AMS, which was in the months prior to the 2012-2013 academic year, there was insufficient time allocated to fully develop the implementation plan. In the pre-implementation phase, the AMS corporate representative did not provide the institution with sufficient advance information about implementation recommendations. The department needed a lot more lead time than they prepared for because they did not know the extent to which repetitive training and extensive support structures would be required by the faculty during the learning process. The decision to hold the initial AMS training on the first day of the semester, in the year in which the assessment plan implementation was going to occur, gave insufficient time for faculty to become comfortable with the system. This ignited a negative undercurrent which grew out of faculty frustration, confusion, and discomfort over their own perceived inability to understand the AMS technology. Additionally, low attendance at the professional development training opportunities led to a majority of the faculty being expected to use a system with which they were unfamiliar. For future implementation, it is recommended that the faculty are given at least one semester to test out the use of the AMS prior to introducing it in their courses. Mock courses and assessments can be created in the AMS for training purposes, which will give faculty the

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opportunity to interact with the system in the role of both instructor and student. This practice run would be time well spent, as it would enable the leadership to address areas that need additional training as well as provide experiences designed to increase faculty comfort and confidence.

In hindsight, the study site should have piloted the undergraduate courses first and not started with the graduate programs. At the study site, there was less collaboration possible between the graduate directors due to the difference in nationally-prescribed program standards and the accompanying assessment rubrics. Additionally, at the time of the initial implementation, the study site was running remote cohorts at off-campus satellite locations. The physical distance between the lead faculty on the main campus and the students and instructors at the satellite sites increased the likelihood of communication problems and created barriers to professional development opportunities and collaborative work.

There are numerous commercial AMS products available to higher education institutions, and it is important for an implementation team to identify the appropriate product for their programmatic needs. If possible, it may be advantageous to purchase an AMS which is an add-on to an institution's current learning management system (LMS). The LMS is a course management tool that has a grading instrument. The AMS is an assessment tool. If an institution can upgrade their existing LMS to include the assessment tool, there is a higher likelihood that faculty will participate in the implementation more quickly and thoroughly than if they have the additional hurdle of learning another digital system. In the case of the study site, the AMS that was selected was not connected to the institution's LMS. There was no integration between the AMS,

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LMS and the system used for student registration and records. The consequence of the lack of integration was that data and assessment information could not be shared between the platforms. The lack of connectivity between the AMS and the LMS required that faculty and students utilize two systems, and thus had to be trained on the operation of both.

The pre-implementation phase is the bedrock of the rest of the change process. The recommendation to other institutions is to take the time to carefully plan the pre-implementation steps, taking in to consideration all of the factors that may be unique to a specific institution's culture and leadership structure, prior to initiating the change. By building strong pre-implementation processes and being aware of potential pitfalls learned vicariously through the experiences of institutions such as the study site, valuable resources will not be wasted as a result of a hastily implemented plan.

Kotter and Kanter's early implementation steps involve the second stage of Lewin's unfreezing process (see Figure 11 above):

- Kotter: 3) Form a Strategic Vision and Initiatives; 4) Enlist a Volunteer Army
- Kanter: 2) Create a shared vision and a common direction

The literature provides substantial information about the use of rewards and incentives to influence faculty motivation. Vroom's (1976) Expectancy Theory factor of instrumentality relates directly to the probability that successful task completion will lead to a positive outcome such as a reward. Herzberg's (1974) work on hygiene factors, including salary and benefits, indicates the negative impact on faculty motivation when these factors are not present. Effective leaders must understand what the faculty value

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and view as rewards with positive valence (Artis, 2009; Seyfarth, 2008). There is a conflict between the intention to use motivational techniques and the reality of a lack of resources. If the leaders do not have sufficient financial resources available to them, they will be unable to provide any type of stipend or material reward. In reference to the Least Preferred Coworker (LPC) Contingency Model, a leader without the financial resources to spend on facilitating a change is put into a low control situation. This weak position power situation, coupled with an educational leader who generally exhibits high LPC, leads to more focus and energy being placed on gaining the support of the faculty group rather than making progress toward implementing the change (Morris & Fiedler, 1964). Due to financial constraints, the study site did not have the resources to compensate faculty - whether full time, part time, or adjunct - for additional workload and expenses incurred as a result of the assessment implementation plan. Without the incentives that would motivate faculty to embrace the change process, the EPP leadership was forced into a low control environment.

It is critical to note that for small institutions, having the financial support of the senior administration is a necessity that cannot be underestimated. Large universities have the ability to utilize an entire staff of assessment professionals, who are available to assist in the various design and implementation tasks and can lend their experience to help guide the EPP in this process. For the small institution, the assessment and accreditation “department” may consist of only one or two employees. In the case of the study site, there was a part time assessment coordinator for the first year and then a full time accreditation director was added to the staff beginning with the second year of implementation. However, the entire implementation process can be significantly more

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difficult for a small staff because many of the assessment plan tasks remain the same regardless of enrollment numbers. For example, the key assessment rubric creation for a course takes the same amount of planning and creation work, regardless of whether there are 10 students in the course or 100. Likewise, a graduate program at a small institution that consists of 30 credits of coursework generates the same amount of assessment preparation tasks and reflective continuous improvement work as the 30 credit hour program at a large university. So while the faculty and staff numbers are reduced, and there may not be sufficient financial resources available to support the process, the small department must produce the same volume of evidence and data as the large university.

As the literature review detailed, in the process of the early implementation phase, it is crucial to obtain buy in from key stakeholders and ensure communication paths are open between all constituents. One group of key stakeholders in the use of the AMS is the students themselves. At the study site, there were issues preventing the consistent and effective notification of students regarding the AMS and overall department assessment plan. Due to multiple points of entry in to the program, it could not be assumed that all students would take the initial education course which was where the AMS program was first introduced. The study site had a large number of students, over 50%, who transferred to the institution in their sophomore or junior years and had already completed the initial education course at their previous institution. Furthermore, there were many post-degree students who had already received a bachelor's degree and had resumed their education to earn their initial teacher certification or an additional endorsement. The assumption could not be made that all students would receive an introduction to the AMS in their first semester of usage. Therefore, an alternative method

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of information dissemination, such as a program orientation meeting, would have been beneficial.

In the full implementation phase, Kotter and Kanter's steps involve Lewin's moving process (see Figure 11 above):

- Kotter: 5) Enable Action by Removing Barriers; 6) Generate Short-Term Wins; 7) Sustain Acceleration
- Kanter: 7) Craft an implementation plan; 8) Develop enabling structures; 9) Communicate, involve people and be honest

As seen in the Qualtrics survey results, the articulation of the department's assessment plan needed to be communicated more thoroughly and effectively to the adjunct faculty. The recommendation would be to have strategies implemented to convey pertinent information to the adjuncts through departmental retreats, newsletters, and smaller program-level meetings. At the study site, the assessment results were accessible to all faculty through the AMS reporting features. However, repeated training needed to be implemented to remind faculty of the steps required to retrieve the assessment data from the system. This information was also available on the institution's internal network server where tutorials were located to facilitate the use of the AMS features. As in the case with the AMS tutorials, training also needed to be provided to remind faculty how to access the internal network server materials. The assessment plan must take in to account the time and expense of frequent and repetitive training opportunities in order to maximize faculty participation.



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In the continuous implementation and evaluation phase, Kotter and Kanter's steps involve Lewin's refreezing process (see Figure 11 above):

- Kotter: 8) Institute Change
- Kanter: 10) Reinforce and institutionalize change

In the Qualtrics questionnaire items related to the use of assessment data (for reference, see Table 6, p.114), faculty responded positively to statements about the study site's actions. The responses reflect what is perceived by faculty to be successful use of the AMS data to support continuous improvement on the part of the department's leadership at the departmental level. This demonstrates the EPP's adherence to the New Leadership Alliance for Student Learning and Accountability's (2012b) third guideline of using evidence to improve student learning through a cycle of program review and revision. It is advantageous to have full AMS implementation compliance from all instructors teaching courses with a KAwR. When there is not comprehensive usage of the AMS, it is difficult to see the positive benefits of the assessment plan because there is not sufficient data collected to effect change or to even establish trends and patterns. It is recommended that the leadership keep in mind that organizational change is not linear and a certain amount of flexibility is required as the EPP moves through the implementation process. The implementation of an accountability and assessment system is a cyclical process that involves reflection on the data and a continuous refinement of the key assessments to ensure that the student learning outcomes are being met. There will be ample opportunities to modify the processes as the organization learns what works for their specific culture and needs.

### **Recommendations for Future Research**

In the Qualtrics questionnaire, faculty were asked to respond to statements which portray assessment practices in a negative frame (previously depicted in Figure 5, p.106). There is an interesting area for future exploration when comparing this data to the earlier responses on the influence of state and national accreditation requirements on teacher preparation (previously depicted in Figure 6, p. 94). The questionnaire data indicates that while faculty are neutral to positive about the influence that accountability and accreditation have on improving teacher preparation, full time faculty responded in agreement to the statement that assessment practices are usually determined by the accreditation needs of administrators. This is an area which would be interesting to explore further to determine faculty perceptions as they pertain to the line between accreditation being beneficial to improving teacher preparation and when the assessment process becomes driven by the accreditation requirements.

Another potential area for future research would be to examine in detail the AMS usage in the Winter Semester of 2014-2015. In Chapter 4 of this study, Figure 7 and Figure 8 indicate a high-level of AMS implementation and evaluation use in the Winter Semester of 2015 at both the undergraduate and graduate course levels. Pertinent insight could be gained by looking at the specific faculty members who taught that semester to determine potential explanations for the spike in usage. Questions to consider in the comparison of that specific semester, to the semesters prior to and after it, would be whether or not any of the faculty were brand new to the assessment system or if they were all now familiar with the system after having used it for multiple semesters. Interviews could be conducted with the faculty to try to ascertain why there was such

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high compliance in this one semester. This information could be beneficial in determining methods of AMS implementation at other institutions or in future semesters at the study site.

Future research could be conducted on the implementation process as it specifically pertains to adjunct faculty. This population of instructors is unique in their connections to the institution as well as their sense of responsibility toward the EPP. In many cases, the adjuncts have a full time job elsewhere and their university teaching is only a small part of their activities. Adjuncts will often teach once per year, and then not interact with the institution for the next two semesters until it is time for their course to be offered in the schedule again. As the literature has shown that the percentage of adjunct faculty at universities continues to rise, defining the role of the contingent faculty in program assessment processes will be beneficial for higher education leaders.

An additional area for future research would be to explore the question of whether or not a culture of accountability can ever harmoniously co-exist with culture of faculty autonomy in higher education. As was stated in the literature review, in higher education there has traditionally been a strong tendency toward a culture which values individual effort and achievements. This culture embraces the pillars of faculty autonomy and academic freedom. External pressures to work in a less-autonomous manner have been met with resistance (Carless, 2009; Ecclestone & Swann, 1999; Ewell, 2002). Further case studies at a variety of EPPs, ranging in both size as well as the extent to which they are utilizing an AMS, would be useful to see how much progress is being made in the accountability movement and at what cost to faculty autonomy.

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The data from this study will be used to lay the foundation for future grounded theory methodology. Grounded theory methodology, as first defined by Glaser and Strauss (1967), involves collecting and coding data until a point of “theoretical saturation” is reached (Corbin & Strauss, 2008, p. 113). For the purposes of this initial study, an insufficient number of participants make theoretical saturation unfeasible. Therefore, this study provides one data source in preparation for future grounded theory work which will be comprehensive in both scope and applicability.

### **Conclusion**

The implementation of an accountability and assessment system is a complex and often fluctuating process. For the small EPP that was the focus of this study, there were the added challenges of a small faculty base as well as substantial financial constraints. The study site made noteworthy progress in the change process over the first three years of the AMS implementation while working with limited resources and a prior culture that did not embrace assessment for learning. Through the reculturing process, as well as the downturn of local economic conditions, the leadership piloted the organizational change through pre-implementation, early implementation, and full implementation to the point of the evaluation phase. The result was the emergence of a new organizational culture, which nurtured the concept of continuous improvement and teaching for learning practices. The prognosis for continued success looks good as the study site has established a collaborative and motivational environment for future assessment planning and the leadership is receptive to reimagining the process as time goes on.

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**Appendices**

**Appendix A**

**Assessment System Implementation Questionnaire (HUM00101223)**

*(site name removed)*

{Site} has adopted the {Product Name} assessment system. According to {Product Name}'s corporate materials, their assessment system:

- allows creation and long-term storage of electronic portfolios, projects, and documents.
- allows faculty to use rubrics to assess candidate work and give feedback online.
- allows teacher preparation programs to collect and aggregate data for program evaluation and improvement.

Q1 What is your faculty status at {site}?

- Full time faculty
- Part time faculty (at least 1/2 time)
- Adjunct faculty/instructor

Q2 How many semesters have you used {Product Name} at {site}?

- 1 semester
- 2-4 semesters
- 5 or more semesters
- I have not used {Product Name} in my {site} course(s).

Q3 Thinking about the primary courses that you teach at {site}, please indicate your involvement in the decision regarding key assessments (assignments which are submitted via {Product Name} and assessed with the {Product Name} rubric).

- I determined which assignment(s) would be used as a key assessment for my courses.
- I was consulted regarding which assignment(s) would be used as a key assessment for my courses.
- I was informed what the key assessment(s) are for my courses but I did not provide any input on the decision.
- I don't know what the key assessments are for my courses.



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Q4 In which of the following {Product Name} training options did you participate?  
(check all that apply)

- Face-to-face 1 hr workshops at {site}
- Face-to-face 1/2 day workshops at {site}
- Online "live" webinars
- Video tutorials
- Paper tutorials/handbook
- One-on-one instruction at {site}
- Conference session(s)
- None

Q5 In terms of the {site's} assessment goals and practices, which vehicles of information dissemination do you prefer the most/least? (check all that apply)

	Most Preferred	Least Preferred
Printed report (i.e. "hard copy")	<input type="radio"/>	<input type="radio"/>
Emailed report	<input type="radio"/>	<input type="radio"/>
Report posted on MyPortal	<input type="radio"/>	<input type="radio"/>
Presentation at institution-wide faculty meeting	<input type="radio"/>	<input type="radio"/>
Presentation at departmental meeting	<input type="radio"/>	<input type="radio"/>
Presentation at a "Brown Bag" session or other time designated specifically for this task	<input type="radio"/>	<input type="radio"/>

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Q6 Indicate your level of agreement with the following statements.

	Strongly Agree	Agree	Neither Agree nor Disagree	Disagree	Strongly Disagree
Increased state and national focus on institutional accountability has improved the quality of teacher education.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
State and national accreditation requirements have improved the quality of teacher education programs.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
I have revised my courses based on the results from my student assessment data.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
My grading practices have been influenced by the results from my student assessment data.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Q7 Indicate your level of agreement with the following statements.

	Strongly Agree	Agree	Neither Agree nor Disagree	Disagree	Strongly Disagree
Student assessment is more effective when designed by each individual faculty member rather than by department administration.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
New assessment practices are unscientific or lack credible research support.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Current assessment practices are not as effective as traditional grading techniques.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Assessment practices are usually determined by the accreditation needs of administrators.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

## IMPLEMENTATION OF AN ACCOUNTABILITY AND ASSESSMENT SYSTEM

Q8 Indicate your level of agreement with the following statements.

	Strongly Agree	Agree	Neither Agree nor Disagree	Disagree	Strongly Disagree
It is necessary for faculty to be able to show evidence of student learning.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Teaching effectiveness is increased when faculty frequently assess students.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Frequent assessment accurately verifies student learning in the classroom.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Frequent assessment of student learning is a professional responsibility for faculty.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Faculty should spend more time assessing and reflecting on student learning.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Q9 Indicate your level of agreement with the following statements.

	Strongly Agree	Agree	Neither Agree nor Disagree	Disagree	Strongly Disagree
Departmental assessment requirements limit faculty academic freedom.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Monitoring student assessment for program accountability reduces the amount of time faculty have for pursuing other academic activities.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Faculty are reluctant to engage in departmental assessment practices for fear that student assessment results will be used in their performance evaluations.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

## IMPLEMENTATION OF AN ACCOUNTABILITY AND ASSESSMENT SYSTEM

Q10 In the {site}...

	Strongly Agree	Agree	Neither Agree nor Disagree	Disagree	Strongly Disagree
Assessment results are accessible so that everyone can get the data he or she needs when it's needed.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Accountability and assessment process planning is continuous and involves all faculty in the process to some degree.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The assessment process is organized so that each faculty member can see the relationship between his or her teaching and the accountability needs of the department.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Challenges in the assessment process frequently surface because we do not have the <b>technology skills</b> necessary to do the job.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Challenges in the assessment process frequently surface because we do not have the <b>departmental resources</b> necessary to do the job.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Challenges in the assessment process frequently surface because the role of assessment in higher education accountability has not been explained to us.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

IMPLEMENTATION OF AN ACCOUNTABILITY AND ASSESSMENT SYSTEM

Q11 In the {site}...

	Strongly Agree	Agree	Neither Agree nor Disagree	Disagree	Strongly Disagree
There is a clear assessment plan that provides relevance and structure for faculty work.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The faculty are in agreement about the department's assessment goals.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Department administrators set assessment goals that are challenging but not unworkable.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
We continuously evaluate our progress in meeting our stated assessment goals.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Faculty understand what needs to be accomplished in order for us to be successful with the ongoing assessment process.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Faculty and administrators have a shared vision of what the goals and values of the {site} will be in the future.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Short-term actions often compromise our long-term vision.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Our assessment goals energize and motivate our faculty.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Q12 How often does the {site} engage in the following practices?

	Frequently	Occasionally	Not At All
Uses student assessment data to improve teaching and learning.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Encourages faculty to use student assessment data to reflect on their own teaching.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Uses assessment data to drive academic planning and policy.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Evaluates departmental plans for recording student learning outcomes.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

IMPLEMENTATION OF AN ACCOUNTABILITY AND ASSESSMENT SYSTEM

Q13 Indicate your level of agreement with the following statements.

	Strongly Agree	Agree	Neither Agree nor Disagree	Disagree	Strongly Disagree
Frequent communication with colleagues improves my understanding of student assessment practices.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
My department maintains an environment which is conducive to faculty collaboration.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Adequate opportunities are provided to full-time faculty to work collaboratively on assessment practices.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Adequate opportunities are provided to part-time faculty/adjuncts to work collaboratively on assessment practices.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
When assessment disagreements occur in our department, we work together to achieve a consensus.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The {site's} approach to assessment tasks is clear and consistent.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Frequent communication with colleagues improves my understanding of student assessment practices.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Q14 In the {site}...

	Strongly Agree	Agree	Neither Agree nor Disagree	Disagree	Strongly Disagree
Attempts to initiate departmental change are generally resisted by the faculty.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The way assessment results are collected is flexible and easy to modify as needed.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Faculty ingenuity and ambition are encouraged and rewarded.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Things often "fall through the cracks" in our department.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Effective communication channels are used to coordinate assessment expectations and tasks.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>