

The Journal of Academic Administration In Higher Education

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The Journal of Academic Administration in Higher Education.

JAAHE is devoted to providing a venue for the distribution, discussion, and documentation of the art and science of administration of academic units in colleges and universities. A cornerstone of the philosophy that drives JAAHE, is that we all can learn from the research, practices, and techniques of administration in discipline-based units other than our own. The Information Systems Chair can share with and learn from the Chair of the English Department. To enhance this cross pollination, submitted manuscripts should not dwell on the disciplines involved but rather the methods, techniques, environments, etc that make administration more or less effective or efficient.

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THE AACSB FACULTY QUALIFICATIONS STANDARD: A REGIONAL UNIVERSITY'S METRICS FOR ASSESSING AQ AND PQ

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ABSTRACT

This paper describes how an AACSB accredited business school at a regional university assesses individual faculty members to determine who is and who is not "academically" or "professionally" qualified in accordance with the Standards of AACSB International.

This schema has been developed and refined by the authors and their faculty colleagues over a three-year period. None of the ideas presented herein are particularly unique. One of the authors who has substantial experience as a member of AACSB accreditation committees visitation teams developed our basic approach as an amalgamation of concepts garnered from these experiences. We do not offer this approach as a prescription for any other business school, but rather as information to assist the school in developing its own approach consistent with its mission.

The Relevant Standards

AACSB Standard #10: The faculty has, and maintains, intellectual qualifications and current expertise to accomplish the mission and, to assure that this occurs, the school has a clearly defined process to evaluate individual faculty member's contributions to the school's mission.

AACSB Standard #2: The school's mission statement is appropriate to higher education for management and consonant with the mission of any institution of which the school is a part. The mission includes the production of intellectual contributions that advance the knowledge and practice of business and management.

There is a "Basis for Judgment" narrative for each AACSB Standard. These narratives provide guidance for the school to evaluate its status vis-à-vis the standards. Regarding faculty qualifications, the Standards are not precisely explicit in that business schools are expected to develop operational definitions of "qualified" that are congruent to the mission of the business school. Further, the school should have established clear expectations regarding the intellectual contributions of individual faculty members to provide assurance that the faculty, in the aggregate, produces a "portfolio of intellectual contributions ... from a substantial cross-section of faculty in each discipline".

The operational criteria for academic (AQ) and professional (PQ) qualifications, as specified below, are intended to reflect carefully the intent of the AACSB standards and to provide sufficient guidance for faculty members to assure that there are very few, if any, ambiguities regarding expectations. Our goal as a business school is to always have more than 50% of FTE faculty as AQ and 90% as AQ or PQ during any rolling five-year period.

Academic Qualification (AQ)

For Initial Qualification: The faculty member must have a terminal degree in the field of study for which the faculty member has teaching responsibility, or a degree in a closely allied field with evidence of intellectual and teaching activity in the area of teaching responsibility, or a terminal degree in another field with graduate or professional education equivalent to obtaining a master's degree in the area of teaching responsibility. Faculty members who are ABD and join the school directly from a doctoral program will be considered AQ for one year. It is possible for faculty members who do not hold a doctorate to be classified as AQ (limited to 10% of FTE). Those without a doctorate must have completed substantial coursework in the teaching discipline beyond the master's degree and must have an accomplished record of producing intellectual contributions.

For Continuing Qualification: This qualification requires a level of intellectual activity that is sufficient to provide currency in the faculty member's area of teaching responsibility. This must be demonstrated by the creation of intellectual works that are shared with the greater academic community and the accomplishment of professional service/development activities which advance the school's mission and enhance the faculty member's teaching.

Professional Qualification(PQ):

For Initial Qualification; Normally this qualification requires a master's degree from an accredited university in the teaching area (or a master's degree in another field plus at least 18 semester hours of graduate coursework in the teaching area) and more than five years of experience with significant management responsibility for activities in the intended teaching area from business or public service, consulting, or as a business owner-operator in the intended teaching area, some of it occurring within the last five years. In specialized professions, such as law or accounting, current licensure and active practice within the last five years will be required.

For Continuing Qualification: For this qualification there must be evidence of successful college-level teaching in the area of expertise and evidence of substantial effort to maintain qualification through continuing education in the teaching area, consulting, or through independent research and publication. (For "non-participating" PQ faculty (see Standard 9), qualification may be maintained through continued employment, licensure, or practice in the teaching area).

Metrics for Maintenance of Qualifications:

The following italicized paragraphs are taken from pages 46 and 47 of the current Standards:

Regardless of their specialty, work experience, or graduate preparation, Standard 10 requires that faculty members maintain their competence through efforts to learn about their specialty and how it is applied in practice. Likewise, faculty members must engage in constant learning activity to maintain currency with their fields' developing research and theory.

Classification as academically or professionally qualified may be lost if there is inadequate evidence of contributions in the last five years through learning and pedagogical

research, contributions to practice, or discipline-based scholarship.

Faculty members can maintain qualifications through a variety of efforts including production of intellectual contributions, professional development, and current professional experience.

(It is very important to note the conjunction "and" as opposed to "or" in the preceding sentence. It is highly unlikely that a team of visitors would agree that a faculty member has maintained AQ status if he/she has not produced intellectual contributions).

Various opportunities to produce intellectual contributions and development experiences which are considered "validating" for purposes of maintaining AQ or PQ status are listed in three groups in Appendix I of this document. Each year every faculty member is expected to cite his or her accomplishments within each of the groups and to provide documentation, as requested, for each citation.

The listings in Appendix I are not intended to be all inclusive. All faculty entries, whether listed in this document or suggested for consideration by an individual faculty member, will be reviewed for appropriateness by both the faculty member's department chair and the CCBA Participants Standards/Faculty Committee. If the department chair and the committee disagree regarding the appropriateness of any entry, the Dean's Executive Committee will make the decision.

The "litmus test" for determining the validity of a citation will include its scope and the amount of effort required by the faculty member. For instance, a faculty member who is on an editorial review board of a journal but is not asked to do any work in that capacity during a particular year should not cite that activity or expect it to be credited. Likewise, a member of the board of a business or professional organization should be able to demonstrate substantial involvement in the strategic planning and decision-making activities of that board.

A faculty member may **maintain AQ** status by meeting one of the following four measures during the most recent five-year period:

1. **At least three validating experiences from Group A**
2. **At least five (5) validating experiences including at least (2) from Group A**

3. **At least ten (10) validating experiences including one (1) from Group A and at least three (3) from Group B**
4. **At least fifteen (15) validating experiences including at least six (6) from Group B**

indicate the appropriate area (L, P, or D) for each contribution.

Appendix I Validating Experiences

A full-time faculty member may **maintain PQ** status by meeting one of the

Group A

1. **At least 12 validating experiences**
2. **At least eight (8) validating experiences including at least two (2) from the combination of Groups A and B**
3. **At least six validating experiences including two (2) from Group A**

- Article in a peer-reviewed journal
- Article in an editorially reviewed journal listed in a Cabell's Directory
- Book (scholarly, applied scholarship, first-edition textbook)
- Chapter in a peer-reviewed scholarly book
- Peer-reviewed case published in a journal or a textbook

Faculty members will be evaluated at the end of each academic year to determine if AQ or PQ status has been maintained.

Notes:

1. A faculty member's experiences to meet these minimum specifications for maintenance of AQ or PQ status should be approximately uniformly distributed across the most recent five-year period to demonstrate a continuing commitment to maintaining currency in the his/her teaching discipline.
2. A faculty member who has held a terminal degree for less than five years or who has been on the full-time faculty as PQ for less than five years will be considered AQ or PQ, respectively. However, to contribute to the aggregate faculty portfolio, these faculty members should be completing validating experiences in approximate proportion to the number of years since completion of the degree (AQ) or initial employment (PQ).
3. The faculty's portfolio of intellectual contributions must include contributions to learning and pedagogical research (L); contributions to practice (P); and disciplined-based research (D). Given the missions of JSU and CCBA, the relative emphasis should be on the first two of these areas. (An appropriate portfolio of intellectual contributions for CCBA may be approximately 60% P, 30% L and 10% D) Each faculty member will be expected to

It is assumed that peer-reviewed articles or cases published in journals listed in one of Cabell's Directories of Publishing Opportunities have been subjected to a documented formal review process. If the journal is not listed in Cabell's, it is the author's responsibility to document the journal's review process.

Self-published or "vanity press" books are not appropriate validating experiences.

Group B

- Publication in an editorially reviewed journal not listed in a Cabell's Directory
- Chapter in an editorially reviewed book
- Revision of a textbook
- Research monograph such as a final report to a grant funding agency
- Peer-reviewed proceedings from a meeting of an academic association
- Significant technical report to a discipline-based association
- Editor of a book of readings
- Publication of a discipline-based software product

- Presentation or posting (e.g. on MERLOT) of an innovative teaching module for external review
- A book review published in a journal

**** Note:** For purposes of preparing AACSB Table 10.1, all of the items in Group A and Group B above are entered as “Intellectual Contributions” (IC’s) – either PRJ (peer-reviewed journal) or OIC (other intellectual contribution), as appropriate. In Group C only the first five items will be reported as IC’s in Table 10.1 – all as OIC’s.

Group C

- Presentation of a paper at a meeting of an academic professional association (without proceedings) ******
- Invited speaker or panelist at a meeting of an academic professional organization ******
- An in-house publication which is widely distributed beyond the University community (e.g. an academic treatise in a publication of the JSU Center for Economic Development) ******
- Business consulting report (non-proprietary) ******
- A discipline-based academic report for a business, governmental, or quasi-governmental organization in the University’s service region (such as an economic impact study) ******
- Editor of a journal
- Editor of a conference proceedings
- Manuscript reviewer for a journal or proceedings (with substantial participation)
- Creating and/or delivering an executive education seminar for a business organization or a discipline-based professional association (e.g.; an accounting professor teaches a CEU course for the Alabama Society of CPA’s ; a management professor delivers a seminar on ethical leadership practices for a regional bank)
- A faculty internship (where a faculty member works full-time for a business for at least four

weeks and completes a project or a significant assignment)

- Obtaining a new professional certification
- Elected officer, board member or major task-force/committee member of an academic or discipline-based professional organization (with significant responsibilities).
- Member of the board of a business organization
- Attendance at a seminar/workshop in the area of one’s teaching discipline (e.g., a business statistics professor attends a two-day workshop on how to use a software package in the classroom). Note: Attending a session at a professional meeting would not pass a “litmus test” regarding the scope of the activity.
- Attendance at an AACSB seminar on assurance of learning, curriculum issues, etc.
- Successfully performing the annual activities expected of an externally funded research grant.
- Program chair or track chair for a professional association (including the responsibility for reviewing paper submissions).

Note: For continuing activities, such as being a member of the board of a business, each year may be considered a separate validating experience.

Group D

Following are some examples of research products and activities which would not be counted in areas A, B, or C are:

- Completion of annual requirements to maintain a professional certification
- Working papers
- In-house presentations at faculty research seminars
- Newspaper editorials/letters
- Attendance at in-house seminars (eg. Using Blackboard)

- Activities for local community service or religious organizations
- On-campus service (Faculty Senate, committees, etc.)

The foregoing examples and other similar activities are all worthwhile and valuable contributions to the school and its service region. However, maintenance of one's academic or professional qualification for purposes of AACSB requires intellectual contributions and development activities of the nature cited in areas A, B, and C above.

ADMINISTRATIVE GRADE CHANGES IN A PUBLIC UNIVERSITY: TO “B” OR NOT TO “B”

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ABSTRACT

In this paper, a scenario discussing a public university administration's request for a professor to make a change to a student's final grade is presented. The paper will discuss this situation in light of First Amendment rights, the right to free speech, public concern and a little used defense strategy known as qualified immunity. The paper presents court case findings and presents ideas to be considered whenever a faculty member feels that his or her First Amendment rights have been violated.

Introduction

Consider the following scenario: At the end of the spring semester, a tenured public university faculty member receives a call from a high ranking administrator with a request to change a student's grade from an “D” to a “B”. The faculty member explains that the student failed to attend class for the last two months of the semester, failed to turn in course assignments and failed to take a major exam. The administrator persisted with the request and stated that if the faculty member did not change the grade that the administration would. Again, the faculty member respectfully refused and the administrator ordered the registrar to change the grade to a “B”. The Registrar's office complied. At the start of the next fall semester, the faculty member's teaching schedule changed to a less desirable and more burdensome load.

What right if any, does the administration of a public university have to change a student's grade over the objections of the faculty who taught the course? What liability, if any, do the administration and university have for taking action against a professor who refuses to change a student's grade? These questions can only be answered by considering the issues related to a public university professor's academic freedom and first amendment rights as they relate specifically to administrative grade changes, as well as the application of qualified immunity to public university administrators.

Academic Freedom/ First Amendment Rights

Academic freedom, tenure, and the First Amendment to the United States Constitution provide guarantees of free speech and expression, as well as varying levels of protection and job security to university professors. However, there are numerous exceptions and limitations on professors' rights to speak freely both inside and outside of the classroom. While it is well established and implicitly understood that grading is part of a professor's instructional duties, what is less clear is who ultimately owns and is responsible for the reporting of and accuracy of official grades. More specifically, are grades considered to be an extension of a professor's academic freedom and freedom of speech as an element of instruction that is protected from outside interference by University administration, or does the control over assignment of final transcript grades fall within the university's power?

These issues, in part, were explored in depth by Jennifer Jacobs (Jacobs, 2003). Jacobs highlighted three areas of First Amendment case law that she suggested pertained to the issue of faculty speech interests in the grades assigned to students. These areas included decisions addressing academic freedom, the public concern test as defined in *Pickering v. Board of Education* (391, U.S. 563, (1968)) as expanded upon and modified by the Supreme Court's decisions in *Connick v. Myers* (461 U.S. 138 (1983)), and the concept of the compelled speech doctrine (Jacobs, 2003).

While the American Association of University Professors (AAUP) provided what appears to be the first American definition of academic freedom in 1915 (Jacob, 2003), it was not until Chief Justice Warren of the U.S. Supreme Court first mentioned academic freedom in his majority opinion in *Sweezy v. New Hampshire* (*Sweezy v. New Hampshire*, 354 U.S. 234, (1957)) that, according to Jacobs (2003), the Court linked the notion of academic freedom to the notion of political freedom by suggesting that governmental intervention into the intellectual life of a university should be avoided. A critical role of a university is to allow for the expression and development of ideas, including those ideas that might be contrary to the views of the university or the government. Allowing this type of interference would be tantamount to that of a “police state” which would limit the advancement of social, political, and scientific exploration and refinement. The *Sweezy* Court also identified four essential freedoms of a university, suggesting that the university may determine who may teach, what might be taught, how it should be taught, and who might be admitted into the university to be taught (*Sweezy v. New Hampshire*, 1957).

Sweezy set the stage for further interpretations of academic freedom. In *Keyishian v. Board of Regents of New York* (*Keyishian v. Bd. Of Regents of the Univ. of the State of N.Y.*, 385 U.S. (1967)), the Court for the first time specifically linked academic freedom to the First Amendment, suggesting that the concept of academic freedom is a special concern of the First Amendment. In the *Regents of the University of California v. Bakke* (*Regents of the Univ. of Cal. v. Bakke*, 438 U.S. (1978)), the majority of the Court indicated that academic freedom applies not only to professors but to the universities, themselves. As such, both professors and the universities in which they teach possess an interest in academic freedom. However, the lines between where a university’s academic freedom interests end and a professor’s academic freedom rights begin are still unclear. Whose interests prevail if their interests are conflicting? The courts have attempted to resolve this issue by applying a public concern or compelled speech analysis.

Public Concern

A professor’s exercise of academic freedom and free speech appears to hinge upon the idea of whether or not the actions and utterances of the professor involve matters of public concern or are merely private matters. This was recognized by the Court in the *Pickering* Case (*Pickering v. Board of Education*, 1968). *Pickering* was fired by the board after writing an editorial which criticized the Board of Education’s handling of a bond is-

sue. In this case, the Court posited that the Court must “arrive at a balance between the interests of the teacher, as a citizen, in commenting upon matters of public concern and the interest of the State, as an employer, in promoting the efficiency of the public services it performs through its employees” (*Pickering v. Board of Education*, 1968).

Connick v. Myers (1983) further clarified the public concern test. In this case, an employee was dismissed after distributing a questionnaire regarding the internal affairs of her office. The Supreme Court found that because the employee’s speech did not involve a matter of “political, social, or other concern to the community,” her superior did not violate her First Amendment rights by terminating her employment. The Court suggested that whether or not a professor or employee’s speech is of concern to the community must be decided on a case by case basis. Although public employers may not legally quiet an employee’s speech on matters of public concern simply because the administration does not like it or agree with it, the employee’s free speech interests must be balanced against the employer’s ability to efficiently manage its operations, including personnel decisions which are part of the management process. Because public university professors are, in essence, government employees, the *Pickering-Connick* public concern balancing test applies when speaking out on issues of public concern.

Although professors at public universities have protection when speaking on matters of public concern such as matters of political, social or other concern to the community, when professors speak on solely private matters, such speech is not protected. “Teachers may [not] constitutionally be compelled to relinquish First Amendment rights they would otherwise enjoy as citizens to comment on matters of public interest in connection with the operation of public schools in which they work.” (*Pickering v. Bd. Of Educ.*, 1968) Under the *Pickering* analysis, professors at public universities generally have no greater rights than other non-public employees to free speech under the guise of a professor’s academic freedom.

In applying this analysis to grade assignment, the question becomes whether or not grades assigned to students are a matter of public concern. One might first argue that a student’s individual grades are inherently private matters rather than matters of public concern as is evidenced by privacy laws protecting against public disclosure of student grades. However, if the question is phrased a little differently, one may draw a contrary conclusion. Are administrative changes made by a uni-

versity, without a professor’s consent, matters of public concern? Assuming one student’s grades are raised from those assigned by the professor, is this fair to other students? Could the university be accused of discrimination against those whose grades were not raised? If an entire class’ grades are raised, is this tantamount to grade inflation by the university? If the answer to any of these questions is “yes”, then such administrative changes should be considered matters of public concern and professors should have the right to voice their opinions and concerns without fear of retaliation.

Even if a professor does not speak out publicly about administrative grade changes, it may still be a matter of public concern whether or not public universities accurately post and report student grades. The integrity and reliability of university transcripts is undeniably of utmost importance. Accurate reporting of grades actually earned is important to the integrity of the education system, the university, and third parties, such as employers, graduate schools and others who rely on transcripts as a measure of assessment of student learning and achievement. Therefore the accurate reporting of grades should arguably be considered a matter of public concern to all involved. Should professors not be able to voice concerns and objections to administrative grade changes internally to administrators without having to decry publicly their concerns and still have them be considered matters of public concern rather than purely private matters? If grades are not accurately reported, then one of the primary purposes of obtaining a college degree would cease to exist. Surely this amounts to and should be considered a public concern.

Existing case law overwhelmingly supports the idea that a professor’s assignment of student grades is purely a private matter which is not entitled to First Amendment protection. In *Brown v. Armenti* the court held that grading is pedagogic and that the assignment of grades is an element of the university’s freedom to determine how a course is to be taught; therefore, a “public university professor does not have a First Amendment right to expression via the school’s grade assignment procedures” (*Brown v. Armenti*, 247 F.3d 69, 75 (3rd Cir. 2001)) (see also *Lovelace v. Southeastern Mass. Univ.*, 793 F.2d 419 (1st Cir. 1986)). Although, this issue has not been addressed in other circuits or by the Supreme Court, no court to date has supported the contrary position that a professor’s right to assign grades constitutes speech on matters of public concern entitled to First Amendment protection.

Compelled Speech Doctrine

The third major area of law that Jacobs (2003) identified as being germane to the discussion of grade ownership is in the area of compelled speech by government officials. While the Pickering – Connick balancing tests may provide a professor with some degree of protection against censorship by the university, the compelled speech doctrine appears to put great limits on the university’s rights to force a professor to speak in a particular way on behalf of the university. With respect to student grades, the question under the compelled speech doctrine is whether requiring a professor to change a student’s grade is compelling a professor to speak against his wishes or beliefs on behalf of the university?

As with the Pickering – Connick balancing tests, the compelled speech analysis involves a balancing test which, in this case, focuses on the issue of who ultimately owns or controls student grades, the professor or the university. *Sweezy* (1957) pointed out that the university has the right to determine on academic grounds who may teach, what is to be taught, whom might be admitted to study, and how it shall be taught. Typically, once a faculty member has been hired, academic freedom generally allows a faculty member to teach his or her course in the manner that s/he feels most appropriate. Even in cases where a university standardizes course content and desired approaches to the course, it is then the professor’s responsibility to carry out the objective. How the faculty member elects to carry out this teaching and research responsibility lies at the heart of academic freedom, and many believe that the assignment of grades may be an extension of how the faculty member elects to teach. Although the administration typically provides the grading scale for final course grades, faculty decide the type of assignments, number of tests and weight given to exams, homework, and other course work. A faculty member then scores the assignments and then calculates final grades based on the method provided in their course syllabus. How the faculty member assesses knowledge and insures learning in his classroom should be an element of the professor’s academic freedom.

However, from a practical perspective, it would appear that the university should ultimately be the owner of student grades. First, a student receives a diploma from the university, not from specific professors. Second, since students have multiple professors, ultimate responsibility and accountability for a student’s education and grades should lie with a single source. Third, since it is the responsibility of the university to determine who and what is taught, the university’s control should carry over to include all student grades. Finally, while a professor’s

grading scheme may be a part of the professor's overall approach to how s/he teaches a class, the class and the student-professor relationship generally is a short-term relationship whereas the relationship between the university and the student is long-term, often lasting well beyond the student's college years. It would make sense that if the administration is deemed to be the owner of and ultimately responsible for student grades, it should be able to change a student's grades, with or without the consent of the professor. If changes are made without the professor's consent or without requiring the professor to sign off on the grade change, then arguably the university is not compelling a professor's speech, especially if the final grades are ultimately deemed to be the speech of the university and not of the individual professor.

However, an argument can be made that grades students receive in a particular professor's class should be considered compelled speech if the administration assigns those grades, contrary to the professor's grading, even if the professor is not forced to sign off on the grade change. If it is university policy for faculty to grade their coursework and assign grades, then those grades may be perceived to be a reflection on that professor's teaching, course rigor, etc... If the administration changes a professor's assigned grades, then to outsiders, it still appears that the grades were assigned by the professor that taught the course. Grades typically reflect a professor's impression and measurement of a student's mastery of course material according to established grading standards. Therefore if the final grade is contrary to that assigned by a professor and is changed without the professor's consent, it might still be considered to be compelled speech by a professor, which was altered and/or compelled by the university, contrary to the professor's beliefs.

Although the issue has not been directly addressed by the Supreme Court, at least one appellate court has held that if a professor is required to acquiesce in, approve, or sign off on the grade change, then this is compelled speech in violation of the professor's first amendment rights to free speech (*Parate v. Isbor*, 868 F.2d 821 (6th Cir. 1989)). Parate was a non-tenured, Assistant Professor of Engineering at Tennessee State University. After a semester, two students asked that their grades be reconsidered and raised to an "A" from a "B". Parate agreed in one case, feeling that the student presented a compelling argument which justified the request. In the second case, Parate caught the student cheating on the final and had, on good authority, information that the student had provided false medical documentation for missing several classes. He elected not to change the

grade. The student appealed to Isibor, Parate's Dean. Parate discussed the issue with Samuchin, his department head, who concurred with Parate that the grade should not be changed. Despite this discussion, Dean Isibor instructed Parate to change the grade as well as sign a memorandum that in essence implied that the grade change was being originated by Parate. When Parate refused, Isibor began berating and insulting Parate. Parate finally signed the form and included "as per instructions from Dean and Department Head at meeting". Later that day, his department head returned with a copy of the same original memo and instructed Parate to sign it without including the comments. Parate signed the memo not using his normal signature. Still later, the department head again returned with an original memo and instructed Parate to sign it with his normal signature. Soon after, the Department began to take what appeared to be retaliatory actions against Parate, including not authorizing travel and research expenses which negatively affected his research. The following year, Parate received a letter from the President's office informing him that the University would be terminating his contract due to a loss of productivity. In the meanwhile, department officials appeared in Parate's class and disrupted the class several different times by verbally instructing him what to do or not to do in the teaching of his class. They later relieved him of his teaching responsibilities in that class, but ordered him to attend the class as a student. He attended several times at their request but ultimately stopped going.

After he was terminated, Parate brought suit against the institution and against Isibor individually, alleging, in part, violations of his First Amendment rights to free speech and academic freedom. Parate asserted that the assignment of a grade is a communication to a student and as such entitled to First Amendment and academic freedom protections. In this light, grading may be viewed as a symbolic act or communication designed to send a specific message to a student, which, in turn, may be an integral part in the professor's teaching methodology. As such, some degree of first amendment protection should be afforded.

The district court dismissed Parate's claim with prejudice, and granted Isibor's motion for summary judgment. On appeal, the appellate court acknowledged that the forced grading change potentially could be a First Amendment violation in that forcing a professor to change the grade ultimately could be viewed as "forced speech". Even though Parate was employed as a non-tenured faculty member in an employment-at-will setting, he would be entitled to freedoms from "forced speech" or "compelled silence" at the hands of the Uni-

versity. The appellate court acknowledged that the institution also has first amendment rights and should be reasonably free from any type of outside interference in the running of the institution. However, in the Parate case, the Administration forced Parate to make the grade change without the right to express in writing his objections. The court viewed this action as compelled speech clearly in violation of the First Amendment. Had Isibor and Samuchin simply authorized the change in grade without forcing Parate to implement the change, the outcome may have been different. While Parate would still have been able to allege a First Amendment violation, courts have historically sided with the First Amendment right of the administration to make this type of change when it fits within the University's mission and teaching pedagogy. In fact, the Parate court found that Parate had no constitutional interest in the grades which his students ultimately received; and the only reason Parate's First Amendment right to academic freedom was violated was because he was ordered to change the student's grade (*Parate v. Isibor*, 1989).

Qualified Immunity

In claims against universities for first amendment academic freedom violations, university administrations, deans, and other officials are often named individually as defendants in the suit. A citizen who believes that his federal rights have been infringed upon by a state government official may bring a lawsuit directly against that official in federal or state court pursuant to 42 U.S.C. 1983 which provides, in part: Every person who, under color of any statute, ordinance, regulation, custom, or usage, of any State or Territory or the District of Columbia, subjects, or causes to be subjected, any citizen of the United States or other person within the jurisdiction thereof to the deprivation of any rights, privileges, or immunities secured by the Constitution and laws, shall be liable to the party injured in an action at law. However, the government official may be protected from personal liability if he/she is entitled to qualified immunity. The eleventh amendment to the Constitution provides a qualified immunity defense to a government official (including university administration) performing official duties, whose actions allegedly violate a citizen's federal rights; thereby insulating the official from personal liability. The purpose of the qualified immunity defense is to provide government officials with some measure of protection from personal liability in carrying out their official duties. This qualified immunity protection applies unless the affected citizen can show (1) that a constitutional right was violated on the facts alleged and (2) that the right was clearly established at the time of the offense, i.e., that it should have been clear to a reasonable

official that the conduct was unlawful in the particular given situation (*Saucier v. Katz*, 533 U.S. 194 (2001)); see also *Hope v. Pelzar* 536 U.S. 760 (2002)).

Herein is where the difficulty lies. What is required in order to establish that the constitutional right was clearly established at the time of the official's actions? Although it is clear that government officials may not violate a citizen's First Amendment rights, and it is clear that public university professors have a constitutional right to academic freedom, it is not always clear exactly what these protections encompass in any given factual scenario. Further complicating the issue is the fact that it is also unclear what authority is required to show that the law was clearly established so that the government official should have had notice that his actions were clearly wrongful, and therefore should not be protected by qualified immunity. Must there be Supreme Court authority, appellate court authority from within the jurisdiction, or is case authority from other jurisdictions sufficient? How similar must the fact situations of such case authority be in order for the law to be "clearly established"? Although there are no definitive answers to any of these questions, the Supreme Court has indicated that the law may be established by controlling case authority within the proper jurisdiction or by a "consensus of cases" of persuasive authority from other jurisdictions. In one case the court stated that "Petitioners have not brought to our attention any cases of controlling authority in their jurisdiction at the time of the incident which clearly established the rule on which they seek to rely, nor have they identified a consensus of cases of persuasive authority such that a reasonable officer could not have believed that his actions were lawful (*Wilson v. Layne*, 141 F.3d 111 (4th Cir. 1998); aff'd 526 U.S. 603 at 617 (1999)). Despite this indication that cases from other circuits may be used to determine whether a law was clearly established at the time, the Supreme Court has yet to deny the protection of qualified immunity by finding that any right has actually been clearly established through reliance on such persuasive authority (*Brosseau v. Haugan*, 543 U.S. 194 (2004)).

Given the fundamental requirements of defeating a qualified immunity defense, it is unlikely that any suit against university administrators for violation of a professor's First Amendment right to freedom of expression with respect to student grading would be successful. First, a professor would have to show that a constitutional right had been violated. The right to assign grades would most arguably fall under the professor's First Amendment right to freedom of expression and academic freedom. However, based on the existing case law, there appears to be no constitutionally protected

right of professors to assign grades for courses that they teach. The only reported case to date to directly address the issue of qualified immunity as it pertains to a professor's First Amendment right to assign grades held that no such First Amendment right existed (*Brown v. Armenti*, 2001). The court held that no constitutional right of the professor had been violated by terminating him for failing to change a student grade; therefore, the university president and administrators were entitled to qualified immunity protection (*Brown v. Armenti*, 2001). Although not specifically addressing the issue of qualified immunity, the 1st and 7th circuits have also held that a professor does not have a constitutionally protected right to assign a student's grades (*Lovelace v. Southeastern Massachusetts University*, 1986; *Wozniak v. Conry*, 2001). Accordingly, in the 1st, 3rd and 7th circuits a qualified immunity defense would unquestionably prevail; thereby insulating public university officials from personal liability with respect to issues surrounding the university versus the professor's right to assign student grades.

In other circuits which have not specifically addressed the issue, a qualified immunity defense should still prevail. Even if a court in one of the other circuits should find that a professor does have a constitutionally protected right to assign grades, thus possibly meeting the first requirement for disallowing a qualified immunity defense, the professor would still have to show that the right was "clearly established" under existing law at the time of the administration's action against the professor. Even if case law from other jurisdictions could be considered in establishing such a determination, there is clearly no consensus of authority. In fact, if there is arguably any consensus, it would be that there is no constitutional right of professors to assign student grades and therefore the administration could not be put on notice that it was violating any clearly established law at the time. Accordingly, at this time, it appears that public university administrators, presidents, deans, and department heads are protected from personal liability for actions taken with respect to assignment of student grades, irrespective of the jurisdiction in which the issue arises.

Conclusion

Issues of academic freedom and a professor's first amendment rights are still not clearly defined in the jurisprudence. While valid arguments can be made on behalf of public university professors that it is within their purview to assign the grades for students in their classes pursuant to their first amendment freedom of speech rights, case law tends to lean in favor of the uni-

versity having control over student grades and official transcripts.

The majority of circuits have upheld a university's rights to change a student's grades from those assigned by his/her professor. However, if the university forces the professor to acquiesce in or sign off on the grade changes, then this may subject the university to liability for compelling the professor to speak out against his wishes and beliefs on behalf of the university. Finally, university administrators, deans and other personnel who request, initiate or implement student grade changes against a professor's wishes, should be protected from personal liability based on the concept of qualified immunity because at the present time there is no clearly established right of university professors to control a student's grades based on currently existing case law.

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A REGIONAL UNIVERSITY'S FACULTY DRIVEN, CAPITAL EFFICIENT, AND SUSTAINABLE ASSURANCE OF LEARNING (AOL) SYSTEM

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ABSTRACT

The AOL process component mandated for business colleges accredited by the Association to Advance Collegiate Schools of Business (AACSB International) continues to evolve in a dynamic and institution specific manner. This paper describes a faculty driven approach to meeting the AOL requirements that reduces the opportunity cost incumbent on administrators and faculty while delivering effective, verifiable and sustainable results at the degree program level.

Introduction

AACSB International (AACSB) is a prestigious external accreditation attainable by a college of business; Whittenburg *et. al.* (2006) enumerate both the benefits and costs associated with accreditation. AACSB overhauled its standards for business accreditation in 2003 redirecting, once again, most of the business and management assessment activities. Assessment became more direct and is now known as assurance of learning (AOL) in the business accreditation nomenclature. The Standards have been subsequently revised annually, and assessment related content has evolved significantly. These significant revisions made the AOL Standards moving targets and AACSB's transition schedule looming hurdle.

Those schools now seeking initial accreditation or reaccreditation (called maintenance of accreditation in the AACSB vernacular) must have developed, implemented, and evaluated AOL systems. Contrasting approaches, many of which may impose substantially different cost structures, must be evaluated by weighing inherent costs against the perceived benefits of enhancement of learning and an appropriate level of measurement. Business schools choose on a continuum between AOL centers dedicated to implementing these processes and faculty-driven approaches requiring significant "buy-in" on

a college wide basis. This paper details Valdosta State University's (VSU's) Langdale College of Business' (Langdale College) adoption of capital efficient, sustainable AOL processes using cross-disciplinary committees; these systems have been evaluated by an AACSB maintenance of accreditation review team as "unique, noteworthy, and of potential interest to other business educators." The balance of the paper includes a synopsis of the literature supporting the development of the process, the model developed by the Langdale College, and a summary of its relevance.

Evolution of Assessment: A Synopsis

AACSB's Assessment Resource Center provides an extensive list of articles, books, and journals, and the website is listed in the reference section. The website also lists upcoming assessment seminars sponsored by AACSB, offers an online discussion board for faculty and administrations interested in the topic, and outlines models used by several other business schools. Given AACSB's comprehensive and centralized collection of relevant facts and literature, this section provides a synopsis of the evolution of AOL doctrines for the past three decades.

For nearly thirty years prior to the change in AACSB's Standards, many stakeholders of a business school relied

upon reputation as a means of assessment. AACSB, however, evaluated resource adequacy as the primary means of stated mission fulfillment; input measures included teacher-student ratios, quality of faculty, etc. Most assessment was indirect because it was generally assumed, and at the time seldom questioned too rigorously, that if inputs were adequate to meet the mission, student learning outcomes would, consequently, be sufficient.

Prior to the actual change in the accreditation standards, however, many in academia recognized that inputs were a necessary but not a sufficient condition to ensure student learning. Thomas A. Angelo was at the forefront of this movement; in fact, his “10 Guidelines for Assessing As if Learning Matter Most” are perhaps the most recognized principles that argued in favor of using assessment to improve student learning (Angelo, 1999). Some business schools adopted this ideology despite the lack of AACSB mandate at that time. For example, Kerby and Weber (2000) stressed the importance of linking mission objectives to assessment, and Michlitsch and Sidle (2002) surveyed U.S. business schools and found a wide variety of assessment techniques (both direct and indirect) in use. These forces of change were also being embraced by AACSB, and Black and Duhon (2003) alerted business schools of the impending emphasis on assurance of learning.

When the Standards were originally adopted in 2003, the AOL Standards mandated that “each graduate” demonstrate proficiency in all the learning objectives (Zhu and McFarland, 2005). Subsequent revisions, however, eliminated this verbiage and required only that a representative sample be utilized to satisfy the Standards. In other words, the business school should intend that all graduates satisfy the objectives, but documentation that the business school has met AOL Standards is based only a sample of said population. As the dust settled after the subsequent revisions, current accreditation of business programs requires (1) development of measurable learning goals which must be consistent the university’s and business school’s missions, (2) implementation of various direct measures of assessment to demonstrate successful student attainment of these learning goals, and (3) evaluation of both the processes and outcomes to ensure the continuation of assurance of learning programs. With these requirements in mind, the Langdale College faculty began to develop its model.

The Langdale College Model

Development of Learning Goals

The specification of learning goals may vary depending on the size and mission statement of the business school, but the processes developed and used at Langdale College may be appropriate for other business schools whose mission is classroom driven; the website of the Langdale College’s mission statement is listed in the references. VSU is a designated regional university in the University System of Georgia and has nearly 11,000 students and a faculty of 511 during fall semester 2006. South Central Georgia is VSU’s primary service area although a significant number of freshmen come to VSU from the metropolitan Atlanta area. Langdale College enrolls close to 1,400 students in five undergraduate programs (Accounting, Economics, Finance, Management and Marketing) and a small MBA Program. Langdale College has a total of 41 faculty.

The processes that comprise an AOL system begin with the development of program specific learning goals. For the Langdale College, the evolution of these AOL processes began during spring semester 2003 when an AOL Task Force was formed with at least one representative from each major discipline. Initially, this task force was charged with the initial development of the institution’s specific learning goals. The Standards specify that AACSB expects an accredited school to adopt four to ten learning goals. These goals must include both knowledge and skills that would normally be expected of program graduates. The seven goals adopted by Langdale College faculty resulted from input provided by faculty, students, and the Langdale College Business Advisory Board (members include both community business and government executives); these goals are listed below:

- **Analytical Skills:** Business majors will be able to effectively utilize analytical skills to solve business problems.
- **Communication:** Business majors will be effective oral and written communicators in a business environment.
- **Legal and Ethical:** Business majors will be able to recognize and resolve business dilemmas in a legal and ethical manner.
- **Global:** Business majors will be aware of the global business environment.
- **Knowledge:** Business majors will be competent in management-specific areas.
- **Teamwork:** Business majors will be cooperative and productive in group settings.

- **Technology:** Business majors will be competent in the use of technology.

Implementation via Cross-Disciplinary Subcommittees

While AACSB mandates faculty involvement/ownership in the AOL process, the dilemma faced by the AOL Oversight Committee (formerly known as the AOL Task Force) was balancing the opportunity cost of faculty time and energy with the gain in student learning (Mouhamud, 2006). Cargile and Bublitz (1986) find a negative correlation between committee assignments and accounting faculty research productivity. Faculty evaluations are typically dissected into teaching, research, and service activities. Student achievement should be positively correlated to the teaching component of the faculty evaluation. Ideally, some faculty will “buy-in” to the AOL process because this “buy-in” is congruent with personal professional objectives and/or association with the overall institutional goal of AACSB International accreditation. However, in the end a significant number of faculty will “buy-in” to the process only if the resulting marginal gain in student achievement exceeds the marginal cost of diverting limited faculty resources including time. Thus, the marginal gain is a function of the relevant weight given to this component; Langdale College weights teaching, research, and service at 50 percent, 30 percent, and 20 percent, respectively.

Eventually, a subcommittee was formed for each learning goal. The chair of each learning goal subcommittee was a member of the AOL Oversight Committee chaired by the Dean. Remaining faculty were allowed to self-select a subcommittee on which to serve. Internal capital relocation costs, while significant, were in part capped in three ways: (1) faculty self-selected a knowledge or skill goal that interested them thus ensuring that faculty were engaged, (2) the chairs of the learning goal subcommittees judiciously distributed the demands of the AOL process such that no one professor or course carried an inequitable burden, and (3) the pace of implementation was steady, methodical, and sustainable. Furthermore, more holistic measures of student achievement were a valuable consequence the cross-disciplinary approach to committee involvement.

Each learning goal subcommittee then continued the process by refining its learning goal to include measurable objectives. Subsequently, by spring semester 2004, each subcommittee developed an assessment instrument (these rubrics are available upon request) and designed the testing methodology for each goal. The fol-

lowing year, the first samples were used to evaluate the effectiveness of the instrument designs to determine if modifications were necessary. Finally during fall semester 2005, these revised course embedded instruments were systemically administered to random samples of students as part of the operational assessment.

Evaluation of Systems and Outcomes

As expected, empirical results were mixed for both the processes and learning outcomes. The AOL Task Force's spring semester 2006 assessment report indicated students met or exceeded expectations in goals relating to ethics, teamwork, technology, and global. Deficiencies, however, were well documented in the writing component of the communications goal and in the analytical thinking goal. Results were inconclusive for the oral component of the communications goal and the knowledge goal due to insufficient data and assessment instruments, respectively. Hence, initial benchmarks have been set in six of the seven goals.

Ultimately, successful AOL processes operationalize the continued evaluation of the relevance of the learning goals and seek continuous improvement in the students' achievement of these goals via management of the curricula. Given the failure of the majority of students sampled to meet the expectations of the written communications and analytical thinking learning goals, the AOL Task Force recommended and Langdale College implemented the following curricula changes:

- During spring semester 2007, a trial remediation program in basic math and writing skills was embedded in the Introduction of Business course, a required core course taken before students are allowed to enroll in upper-level division courses. If deemed to successfully improve students' achievement in written communication and analytical thinking, the remediation program will continue in this course.
- Langdale College and English faculty teaching the Business Writing course were provided with the communication skills rubrics.

In addition to these curricula changes, additional research as to the availability of learning/testing programs in the business core areas and the development of a junior or senior level course focusing on testing and remediation of skills needed for upper-level classes and future employment are also currently being considered. Further, it is expected that in subsequent iterations of the AOL process, Langdale College AOL task forces

will also determine if initial benchmarks were, indeed, appropriate (i.e. too high or too low).

Summary

In conclusion, best practices AOL processes engage faculty without excessively consuming capital while simultaneously improving student learning measurable and observable by all stakeholders, faculty, students, and business community alike. VSU's Langdale College designed such processes, and these processes have been recently evaluated by an AACSB review team for maintenance of accreditation. The formation of the cross-disciplinary learning goal subcommittees was cited by this team as unique, noteworthy, and of potential interest to other business school educators seeking accreditation by the AACSB International.

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FACULTY LEADERSHIP: A GUIDE FOR SERVICE TO YOUR COLLEAGUES AND INSTITUTION

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ABSTRACT:

While much is written about higher education administration, faculty leadership roles such as that of a Faculty Senate President deserve attention as well. Success in faculty leadership depends on planning, influence, and relationships - and an awareness of priorities and limitations. The following paper offers twelve observations about how to approach such a position.

Introduction

Do you aspire to hold a faculty leadership position? Are you now entering such a role? Here are some thoughts gleaned from my year as one such leader. They take the form of twelve observations. This list began as a series of computer files, scraps of paper, and memories of conversations. To assist with clarity, the observations divide into three categories, the first one being preparing for the job.

Preparing for the job

In May, 2004, I was elected Faculty Senate President at Austin Peay State University for a term to run through May, 2005. The year was an opportunity for me to learn and grow as well as to serve. Now that it's over, I've taken time to reflect on what is needed for faculty leadership. While I had always enjoyed reading leadership literature and biography, I had never held such a position before. This was an entirely new experience. My learning actually began a year before assuming office.

Observation #1: Learn as much as you can beforehand. Ask questions before you commit to run for and/or serve in the office. Try to get as good a sense as possible of what to expect.

Unless the position is purely an honorific title, you should find out as much as possible before your commitment. Try to come up with a list of both questions to ask and people to consult. Before being asked to run for Senate Vice President with the expectation that I would stand for election to President the next year, I only saw the Senate President preside over monthly meetings. Of course the job entailed more than that. For me, I

wanted to get a sense of the role of the Senate President on a personal basis.

Serving as Vice President helped prepare me for the next year. Working with the previous Senate President during that year gave me a better picture of what was involved in leadership. An added benefit was that I saw *effective* leadership - my predecessor was a colleague full of energy and commitment. From him I learned about time management and priorities associated with the job.

Questions were important, but so were relationships.

Observation #2: Get an idea of what your working relationship would be with administrators and other individuals central to the work. If you don't think you can work with someone on a regular basis, and that person is a key to faculty success, then you should let someone else represent the faculty.

As part of getting ready, I needed a sense of what my working relationship would be with administrators. Before committing, I asked to meet with both the University President and the Vice President for Academic Affairs. What I wanted to assess how well we could work together - I had had limited contact with them in the past. A question I had to answer for myself was: "Whether we agreed or disagreed on a particular issue, could I have a relationship with administrators that would benefit faculty and the university as a whole?" After talking with the President and Vice President, I could answer that question with a "Yes." If I couldn't have answered that satisfactorily, then it wouldn't have been good for the faculty as a whole or for myself to serve as Senate President.

Relationships are important, and so is a frame of reference for dealing with issues.

Observation #3: Come up with a statement or statements to guide your work during the term of office, even though you won't know everything that comes up. The simpler, the better. My statement was, "How would _____ [whatever the issue or challenge was] affect the retention and recruitment of excellent faculty at Austin Peay?"

One thing was clear: issues that came up before the Senate as a whole and the Senate President in particular varied from year to year. The challenges my immediate predecessor faced would differ from mine. What was necessary was to come up with a guideline or a way of thinking about the issues that would arise. After giving it long thought, I decided that the following statement would be the primary yardstick I used with any new issue that came up: "How would _____ [the particular issue or situation] affect the retention and recruitment of excellent faculty at Austin Peay?"

How did I choose that idea? First, the statement provided a long-term outlook. I teach Business courses at Austin Peay, in particular those related to technology and its associated changes. In class, we study the strategic implications of new technology. Individuals and organizations who fail to look to the long term fail in the long term. Passions form in the near term, plans form for the long term.

Second, my focus was the faculty, and beyond them, the university. Related to Senate responsibilities, the Senate President needed to be an advocate for the faculty. The overall health of the university depends on its faculty.

Third, any organization should retain and recruit the best employees it can. Again, this is a lesson I gleaned from teaching Business courses. Notice my statement put the word "retention" before the word "recruitment?" That was on purpose. It's hard to recruit excellent new faculty when you can't retain the ones you have.

After asking questions, assessing relationships, and developing a frame of reference, the focus shifted to specifics of the job.

Observation #4: Plan ahead. Make a list of yours and your fellow officers' responsibilities so that you can tackle them at a time that works to your advantage.

The best way to handle a problem is to deal with it before it becomes a problem. That's the approach I took with what I called "mechanical" responsibilities of the Senate President and the team of Senate officers - things like reserving meeting rooms for Senate sessions, appointing Senate standing committees and chairs, and scheduling events such as the Academic Council elections at Austin Peay. I devoted the summer before the start of the regular 2004-2005 academic year to setting up as much of the mechanical part of the job as possible. A well-thought-out "to-do" list helps. A good relationship with your fellow officers, your predecessors, and your colleagues helps even more.

Working with others

A faculty leader has to build working relationships with a variety of people starting with his or her fellow officers.

Observation #5: Get to know the people you work with. Find out how you can help them succeed and have a rewarding experience. Are there particular issues or concerns that are important to them?

The years I served as Senate Vice President and President I got to work with a fine group of colleagues as Senate officers. As a group we were termed the "Executive Committee" of the Senate. Austin Peay has been blessed not only by their presence as faculty but also by their service to the school. These were the faculty I worked with most closely, and they deserved time and attention to their concerns. They made a sacrifice of their time and energy, and the Senate President needed to help them achieve their own goals.

Working closely with fellow officers of course provided a sounding board and a source of counsel. A faculty leader should take advantage of that.

Observation #6: Listen! Have people you can rely on for counsel.

The previous Senate President served on the Executive Committee the year I was President. What a source of insight and perspective! I consulted him regularly, often meeting for breakfast. He willingly offered his time.

But I relied on all the officers. We were a diverse group that came from across the university - the humanities, the sciences, and the technical and professional programs. Also, our Senate Vice President had served

as Senate President a few years before. To top it off, our Secretary had been my Dean for many years and a role model for how a leader should personally conduct himself or herself.

Beyond the Senate officers, I sought out information and ideas from a variety of colleagues across campus. Limiting input to only those in your immediate discipline impairs your ability to serve the faculty as a whole.

Another benefit of working closely with your fellow faculty leaders is accountability.

Observation #7: Have accountability for yourself - beyond just a report at a monthly meeting. For me it was my fellow Senate officers.

Our regular meeting of the full Senate occurred once a month. In the meantime, the Executive Committee met every week. Executive Committee meetings provided a time for the Senate officers to discuss issues and bring up matters they had encountered. For me, it was a time to update fellow faculty and get feedback. Talking with others on a regular basis gives the leader a picture of what's going on across campus, and it also lets peers know what the leader is doing.

Related to accountability is confidentiality. Some matters require confidentiality, and I respected that.

Observation #8: Confidentiality is based on trust. If you sense that you will be asked to keep something confidential and you don't feel that you can do so, say so up front - it's better for all concerned.

Personnel issues are a common area where confidentiality is required. A faculty leader must be prepared to maintain confidentiality, and that confidentiality will likely extend past your term of office. Think of it as extended service to your faculty and your institution.

Exercising leadership

Once on the job, effective faculty leaders have a sense of the possibilities and limitations of their position. They also have a sense of their formal and informal roles.

Observation #9: Know that you can't do everything. Prioritize.

What can you accomplish? For me, there were three major issues that came up: program change that affected faculty in one academic unit, salary equity distribution among university employees, and personnel policy revision (retention, tenure, and promotion).

While those issues were not the only ones that came up during the year, they were three that made a significant impact on faculty. Further, I believed that each had long-term as well as immediate implications. Thus, those three issues deserved special time and attention.

Observation #10: Take issues "off the table" if possible.

If there is an issue that you can "take off the table" - in other words resolve it satisfactorily for the faculty without having to resort to formal action such as discussion in the Senate, then do so by all means. This is especially true if the issue is minor in nature - something you have prioritized lower than other issues. As veterans of Faculty Senates know, meetings can run long simply dealing with the matters of greatest importance on the agenda.

Observation #11: Build your and your faculty's influence.

You will have to understand the particular nature of your and your Senate colleagues' influence at your own campus. One major guideline I shared with my fellow Senate officers concerned our influence with faculty, administrators, and staff:

Rayburn's Rule on Influence: You have your greatest influence when you can be

1. (1) positive,
2. (2) collaborative, and/or
3. (3) early (ahead of the curve).

I've come to see that as applying in all manner of situations in life, both personal and professional. Of course there are times when none of those three cases can happen, but as much as possible you should strive for one or more of them.

Observation #12: Support your colleagues by your presence and praise.

One regret that I have is that during my term in office I did not get to attend more university functions that

recognized individual faculty member's successes and achievements. A Senate President by his or her presence at such an event can help in a small way to recognize what an individual faculty member and by extension what the faculty as a whole have accomplished. I did some of this - particularly Austin Peay's Faculty Research Forum and also music recitals by faculty. There's always room for more though.

In addition to attendance, consider every opportunity to praise colleagues across campus. Do so quickly, in writing if possible. Acknowledge those around you who help out and who excel. Handwritten notes have become more appreciated as they have become rarer.

Conclusion:
Feel liberated by your constraints

You will only serve a specific term. For me, that was one year. Accept the limitations of your service, and you can concentrate on serving your faculty and your institution. Awareness of your limitations also helps you to find things to enjoy about your work. For me, that was learning more about my colleagues across the university and about Austin Peay. Part of your planning should include at least some thoughts about what you plan to do immediately after your term of office is over. By all means have something else to do, something different, when you finish. Maybe you want to develop a new course in your discipline. Maybe you want to pursue a grant. Maybe you want to write a paper!

Good luck and best wishes for your service to your faculty and your school!

STRATEGIES FOR INCREASED KNOWLEDGE MANAGEMENT EFFECTIVENESS IN HIGHER EDUCATION

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ABSTRACT

The concept of effective Knowledge Management (KM) strategies for higher education based on the principles of Organizational Citizenship Behavior (OCB) is explored. In the past, KM has been thought of as the collection of technological assets and managerial policies that compensate for information failures. Recent studies have uncovered the popularity of KM research since most large organizations have lost the potential for personal information sharing to take place.

Our work begins with the evolution of KM and many of its common practices. Motivating factors from OCB for strengthening KM in higher education are then presented. Forces that have been shown to positively influence OCB in organizations are provided and then strategically linked to KM. Finally, opportunities for the dissemination of knowledge to increase productivity in higher education are offered.

Introduction

The concept of Knowledge Management (KM) has been around for decades, but most organizations accept it only as theory and have not put it into practice. It has been difficult for many firms to evolve their organizational thinking from an information focus to a knowledge focus. Throughout the past several decades, information systems practices were sufficiently developed to accomplish efficient information production. Problems arose when information was in abundance, but key individuals possessing pertinent knowledge did not or would not share it with others who stand to benefit from its discovery.

The Gartner Group, an international technology consulting group, defines KM and offers it as a discipline that encourages a mutually supported method to create, capture, organize, and use information (Duffy 2000). From a more intuitive standpoint, it is using whatever means possible to compensate for the fact that most organizations are too big for everyone to know each other and share information at a person-to-person level (Novins 2002). Therefore, necessary incentives must be put into place in order for KM to be viewed by firms as an asset that goes beyond the value of their available information.

In our work, we explore the topic of KM in the context of institutions of higher education (universities). Recent studies have centered on how educators might use KM to enhance or create more effective learning environments (student centered). Of particular interest is the need to examine KM practices to compensate for deficits in tacit knowledge (administration/faculty centered). Thus, we explore the alternate view of enhancing the administrative environment and faculty productivity of universities by identifying common practices inhibiting the widespread deployment of KM. Strategies are proposed based on the relationships between KM and Organizational Citizenship Behavior (OCB), as well as the development of a potential reward system for information sharing in higher education.

Review of Knowledge Management

Dunn and Neumeister (2002) provide a synopsis of the evolution of KM. They postulate that instances of KM may have first been recognized around the time of World War II. It was during this time that it became evident how workers learned from experience. For instance, it was noticed that building a second airplane took considerably less time than building the first. Nobel Prize-winning economist Kenneth Arrow (1962) addressed the issue of learned experience (i.e. KM) in his

article entitled “The Economic Implications of Learning by Doing.” It was during this same time period that resources began to be devoted to the cause of determining significant performance variations in output within organizations.

Attempts to increase organizational learning in the 1970s and 1980s included Information Management and Total Quality Management. Another practice called the Human Capital Movement also arose during this time frame and is based on the belief that investment in individuals through education and training has a high rate of return. Although it is unclear when the term “Knowledge Management” was officially coined, its concept intensified in the 1990s. Karl Wiig (1993) authored “Knowledge Management Foundations: Thinking about Thinking – How People and Organizations Create, Represent and Use Knowledge” which was possibly the first published use of the term.

Dunn and Neumeister (2002) define KM as *a systematic approach to managing and leveraging an organization’s knowledge assets, which may include knowledge of the organization’s customers, products, markets, processes, finances and personal services*. Novins (2002) shortens the definition to simply say KM can be thought of as *packaging the right content and delivering it to the right people who can make use of it at the right time*. Koskinen’s (2004) work categorizes KM into two components to support communication and implementation in management. First, he defines *explicit knowledge* as knowledge that can be embodied in a code or a language, and, as a consequence, can be communicated easily. The code may be words, numbers, or symbols like grammatical statements, mathematical expressions, specifications, manuals, and so forth. In addition, he defines *tacit knowledge* as knowledge based on the experience of individuals. It expresses itself as human actions in the form of evaluations, attitudes, points of view, commitments, motivation, etc. Some have summarized tacit knowledge by the phrase, “We know more than we can tell.” To distinguish between the two, explicit knowledge is about *why* things work, and tacit knowledge is about *what* things work.

The effective use of KM involves a systematic process of finding, selecting, organizing, distilling and presenting information in a way that improves an employee’s comprehension in a specific area. Ultimately, people must be enabled to collaborate with one another through the use of KM. The ability to let individuals share their ideas is an integral part of a KM solution that is meaningful.

Knowledge Management Characteristics and Roles

In an e-Business presentation, Peter Novins (2002), a vice president at Cap Gemini Ernst & Young, summarized the characteristics of KM. His remarks were that good KM should have three characteristics. They are:

1. KM needs to address a real business problem that everybody agrees is a problem.
2. An organization cannot sustain a KM system without some kind of community interest or practice that provides content and accepts responsibility for continuing to build and share that content.
3. KM systems have to make it very easy for people to get the content they need.

In addition, O’Dell (2004) describes the three roles of a KM system. These roles are identified and defined in Table 1:

TABLE 1 ROLES WITHIN KM SYSTEMS	
KM Role	Description
Knowledge Steward	One who collects, analyzes and organizes knowledge held by individuals within an organization.
Knowledge Facilitator	One who establishes connections between individuals in order to share knowledge.
Community of Practice Leader	One who sets the direction and climate for knowledge sharing in the community and ensures that the organization and the members are all benefiting from the exchange.

To successfully apply these characteristics and roles, it is important for organizations to realize that KM will not happen without sufficient resources. Such resources should be dedicated to the task of making information sharing possible.

Knowledge Management Barriers in Education

Thus far, KM has been presented as a practice that makes sense for organizations. It is the concept of combining the expertise, wisdom and insights of those individuals who have come to their wisdom the hard way. If the wisdom could be captured and shared within the community, intuitively, it would make sense that organizations should be able to benefit infinitely.

Certainly, this premise could be applied to organizations or institutions of all types. We choose to focus on the dynamics of KM in educational institutions. The continuous drive for improvement and accountability in education makes it a prime example of the need for knowledge repositories. Government funding for education at all levels is tightening while there is increased pressure for improvement and assessment of student outcomes (Miller 2002; Ewell 2002). Colleges and universities, as well as primary and secondary schools are being called to a higher level of accountability in terms of the mission and needs of students. In research published by *The Institute for the Study of Knowledge Management in Education*, several barriers were discussed that make it difficult to use and share data and information effectively in educational institutions (Petrides and Nodine 2003). Table 2 presents these barriers.

Educational institutions frequently employ an information architecture that is disjointed and counterproductive, not unlike the business environment (Petrides and Guiney 2002). Combined with the above barriers are the issues of asynchronous “technology culture” and “information culture.” Many colleges, universities and schools are pouring millions of dollars into information technology without considering how to effectively integrate those technologies into shared decision-making processes to improve academics, operations and planning.

Cultural Obstacles to Knowledge Management in Higher Education

Having explored the nature of KM in organizations and educational institutions, we now focus on the specific culture that causes barriers to effective KM in colleges and universities. KM, in this particular context, is based on the understanding that effectively sharing knowledge in an organization is more about natural relationships between colleagues rather than just databases. It involves the willingness of the individuals within the

TABLE 2
BARRIERS TO EFFECTIVE KM IN
EDUCATIONAL INSTITUTIONS

KM Barrier	Description
Lack of Staff	Schools do not always have enough qualified staff to provide proper analysis of raw data.
Data Collection not Uniform	Various departments within educational institutions often use different software and other means to collect and organize data.
Lack of Leadership	Many schools face high turnover rates among upper-level managers, which makes it difficult for them to remain consistent in using and sharing data and information.
Lack of Integration of Technology	Many teachers, faculty and staff adopt a “hands-off” approach to technology issues, leaving them to those who might know a lot about hardware, but very little about the information needs of people in the organization.
Unclear Priorities	Information collection and analysis is often isolated and not clearly related to the mission of the organization.
Distrust of Data Use	Many faculty members have witnessed the manipulation of data and are wary of any process that would have their work subject to institutional “bean counting.”

higher education organization to share their experience and judgment.

The question is: “How can administrators and faculty in higher education become motivated to share the knowledge gained from their experience?” The typical culture in colleges and universities is not one that rewards the sharing of ideas and wisdom. Promotion and job security are functions of a faculty member’s ability to generate original ideas, and apply them in unique ways. In such cases, knowledge can be thought of as a belief that is justified and then internalized. Thus, it can be lost, shared, or hoarded.

In general, faculty members fear the theft of their research ideas. Advances in technology have made shared research ideas vulnerable to capture and unethical reproduction. When job security depends on the demonstration of originality and vision, there is little or no incentive for those with knowledge insights to share with those who are struggling. The basic premise which motivates most individuals to share is a valued reward system. Basically, behaviors that are rewarded get repeated. Although some individuals are rewarded for the sense of good citizenship in having shared valuable information, others only feel rewarded by more tangible results.

Although higher education needs common practices involving both explicit and implicit knowledge, our work focuses on the barriers produced by tacit (subjective) knowledge failures. In exploring the problems associated with tacit knowledge deficits in higher education, universities need to realize that faculty will expend their time and energy on high-payoff, high-value activities.

Organizational Citizenship Behavior

The phrase "Organizational Citizenship Behavior" was first used by Organ (1990) to denote organizationally beneficial behavior of workers that was not prescribed, but occurred freely to help others achieve the task at hand. OCB emphasizes the social context of the work environment in addition to the technical nature of the job. OCB has been defined in terms of pro-social behavior, altruism and service orientation. These behaviors are usually not monitored by the organization's reward system, but provide the organization with a long-term social advantage (Skarlicki and Latham 1995). It is true that what is considered OCB in one organization may not be considered OCB in another. That is why research has been done to assess OCB in many different organizational settings. The fact that the duties of university faculty require professional judgments that cannot adequately be prescribed in a job description makes OCB an important aspect in higher education (DiPaola and Hoy 2005).

Research conducted in order to define the dimensionality of OCB in organizations has provided conflicting results. There appears to be support for a two-factor model to universally define OCB (Williams and Anderson 1991). The two factors are:

1. OCB that benefits the organization in general, such as volunteering to serve on committees, and

2. OCB that is directed primarily at individuals within the organization, such as altruism and interpersonal helping.

Skarlicki and Latham (1995) conducted much of their OCB research in a university setting. The most significant of their findings was that certain types of OCB may contribute to an individual's performance while other types of OCB may detract from an individual's performance. Most college and university faculty in the U.S. are evaluated with regard to a tenure decision based on their research productivity and teaching effectiveness. Their findings indicated that if greater emphasis is placed on research productivity, then a focus on institutional OCB may be detrimental to a faculty member's research productivity. By contrast, OCB directed at colleagues and coworkers showed a positive correlation with publication productivity. Hence, it is certainly beneficial for faculty members to critique and review each other's research and exchange ideas.

Another interesting component of the study by Skarlicki and Latham (1995) involved the negative relationship between OCB directed at the organization and years on the job. This suggests that new members of a college or university may be more likely to participate in extra-role behaviors than senior faculty. By combining the work of Skarlicki and Latham (1995) with the work of Organ (1990) (who described OCB as a controlled behavior), we conclude that an individual is likely to commence extra-role behaviors in an organization with the belief that there will be reciprocity by the organization. Unfortunately, once an individual's trust is breached by some experience of non-reciprocal behavior, the willingness to perform extra-role behaviors will also cease.

Motivating Forces of Organizational Citizenship Behavior

A comparative analysis of four motivational bases of helping forms of OCB was conducted by Settoon (1997). The study performed in his research examined the relative influence of variables reflecting different views of helping behavior. The variables studied were: Instrumental Assistance, Support, and Need-Based Monitoring.

The hypotheses for the motivational bases of OCB were as follows:

1. Employees who trust their coworkers will engage in helping forms of citizenship behavior.

2. Employees in central positions in informal organizational networks will engage in helping forms of citizenship behavior.
3. Employees who have received help from co-workers will engage in helping forms of citizenship behavior.
4. Employees with demanding jobs will reduce the amount of helping forms of citizenship behavior they engage in.

His results indicated that the importance of each variable in predicting helping behavior varied depending on the type of behavior being predicted. Although the degree of influence was stronger for some variables than others, each hypothesis was validated.

Linking Organizational Citizenship Behavior to Knowledge Management

Important links exist between the two well-explored topics of KM and OCB. In general, the OCB findings indicate a correlation with the factors that inhibit KM in universities. It is interesting to examine two of the facets of KM that mirror the two-factor model for OCB.

The first type of KM to fall short in a university setting is that which relates to the university as an organization. Most universities utilize a traditional hierarchical business structure. With its definite distinction among the administrators in charge and employees, there is very little honest knowledge sharing (Nielsen 2004). For the most part, traditional leaders control information and monopolize decision-making. Nielsen (2004) explains that in a rank-based structure, managers are still “telling you that you have to contribute to a knowledge system.” The result of this type of structure leads to behaviors of secrecy, distrust and being controlled.

The second facet of KM examined within a university is that of knowledge sharing between peers. Universities must understand that effective KM between peers not only strengthens individual performance, but also strengthens the university as a whole. When peers feel free to share their ideas and experiential wisdom, learning curves for faculty, as well as administrators, are greatly shortened. An example of a situation possessing a potential KM deficit concerns the initiation of a new academic department chair. If a new department chair begins his/her position with little or no experience, every decision-making situation calls for some type of knowledge from the predecessor. The problem exists when the predecessor, who may still be available,

may not be willing to share his/her knowledge and expertise due to their own experience of disenchantment. The same principle holds true for faculty experienced in research productivity. An experienced faculty member may have the opportunity to share knowledge and expertise with a colleague who might be considered a novice in the practices of research and publication effectiveness, but choose not to for similar reasons.

Proposed Strategies for Knowledge Management in Higher Education

A foundation has been formed that indicates the relationship between OCB and those factors that motivate KM. Based on existing research, we attempt to provide strategies for increased KM based on those factors that OCB researchers have found to create a willingness for extra-role behaviors.

First, it was shown that trust is instrumental in fostering OCB. In universities, there are tendencies for feelings of mistrust among faculty due to the opportunistic misuse of original ideas. In order to produce environments that are conducive to trust and willful knowledge sharing, universities need to create innovative, non-threatening solutions. Possible solutions could include implementing team-based projects and providing opportunities for social interaction. Greater social interaction has been shown to reduce feelings of mistrust. With an atmosphere of trust among colleagues, the inhibition for knowledge sharing can be significantly reduced. It is also recommended that universities create forums for sharing wisdom that utilize technology for idea documentation. Ideas are less likely to be inappropriately credited to opportunistic colleagues if there is some way to formalize them at their inception.

Second, it was shown that those who receive help will in turn provide social support. The solution here could be as simple as a university instrument to reward (maybe in the form of merit points) senior faculty who mentor younger faculty in research and teaching practices. For example, there could be additional rewards for those senior, tenured faculty who co-author publications with untenured colleagues. As stated by O'Dell (2004), “Behavior that is rewarded gets repeated.”

Third, research has also shown that OCB, and subsequently KM, are influenced by those who have network centrality. In particular, those with expertise were shown to heavily influence instrumental assistance and social support. Many times, new university faculty members are unaware of those individuals who can be instrumental in providing assistance, expertise and competent ad-

vice. As a strategy for extracting the knowledge of these university central employees, institutions of higher education should develop, and document as a service, positions for specific attainment of expertise. For example, university service could be documented for those willing to provide their expertise to faculty in the areas of student advising, technical problem solving, publication guidelines, etc.

Finally, the work of Settoon (1997) indicated that work overload served to reduce social support behavior. In universities, employees will generally reduce the amounts of knowledge that they share in response to their own difficult performance goals and approaching deadlines. Therefore, it is important for academic departments within universities to establish fair and consistent guidelines for faculty workloads. Simply put, when faced with behavior choices, individuals will engage in those behaviors that are seen as less costly or more rewarding.

Concluding Remarks

Having gained insight into the study of KM through OCB, our work provides a theoretical foundation for the development of strategies that can enhance KM in higher education. As stated by Novins (2002), "The solution isn't creating the world's greatest database repository of all wisdom with the world's fanciest search engine. Instead, we need to give people specific tools designed to help them do their job and solve specific business problems." Hopefully, those in higher education will be enlightened to see that they possess the knowledge to create situations that enhance not only their own performance, but the performance of their colleagues and the productivity of the institution as a whole. The theoretical correlations discussed here have provided the opportunity to continue this research and offer empirical evidence on the success of the proposed strategies.

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ASSURANCE OF LEARNING: A THEORETICAL APPROACH WITH BALANCED SCORECARDING

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ABSTRACT

Universities accredited by the AACSB International have recently focused on assessment of teaching effectiveness and student learning outcomes, or assurance of learning. In the past, many colleges of business used standardized questionnaires as the primary vehicle to judge the effectiveness of their programs. These questionnaires succeeded at gathering information, but as AACSB moved to mission-based standards, universities were forced to assemble other types of evidence to support their claims of continuous improvement. One proposed view of the assessment process is based on strategic planning using balanced scorecarding, and incorporating Bloom's Taxonomy as the framework for the cognitive process. That is, based on the mission of the college, the next step is to establish objectives and then determine balanced measures (internal/external, subjective/objective) using the levels of knowledge set forth in Bloom's Taxonomy.

Introduction

University educators preparing students in business programs must assure their graduates possess skills needed to succeed in a diverse, global business environment. One recent survey obtained perceptions from employers of accounting graduates on what professional and technology topics should be covered in college courses (Burnett, 2003). The top professional skills employers considered important were analytical/critical thinking, written and oral communications, teamwork, decision-making, and computing technology. The top technology skills deemed important were spreadsheet software, Windows, word-processing software, World Wide Web, and information system planning and strategy. Those colleges of business accredited by the Association to Advance Collegiate Schools of Business International (AACSB) have recently focused on assessment of teaching effectiveness and student learning outcomes, referred to as assurance of learning (AOL.)

For a number of years, many colleges used standardized questionnaires as the primary vehicle to judge the effectiveness of their programs. These questionnaires solicited information from students enrolled in various courses, senior-level students, recent graduates, and employers of recent graduates. Such questionnaires succeeded at gathering information, but as AACSB moved to mission-based standards, universities were forced to

assemble other types of evidence to support their claims of continuous improvement.

When the gathering of data via questionnaires was deemed to be insufficient to establish AOL, colleges were forced to use additional methods to measure their outcomes. However, it seems that everyone jumped so quickly to the questions of how and where to gather measures that a theoretical framework may have been overlooked. One proposed design of the assessment process is based on business strategic planning. Balanced scorecarding is the tool of choice, combined with the levels of knowledge identified in Bloom's Taxonomy. That is, based on the mission of the college, the next step is to establish objectives and then determine balanced measures (i.e., internal/external, subjective/objective), incorporating Bloom's Taxonomy as the framework for the cognitive process.

The purpose of this paper is to offer an approach to colleges of business for the assessment process through combining strategy mapping (balanced scorecarding's method for making sure that the objectives are cause-and-effect related) and Bloom's Taxonomy as the theoretical framework for identifying learning outcomes. Following the Introduction, the second section of the paper discusses Bloom's Taxonomy. The third section is a discussion of strategic planning and balanced scorecarding. The fourth section, a strategic process for the

AOL, describes how balanced scorecarding can be used, combined with Bloom's Taxonomy and strategic planning, to have an effective process for evaluating AOL. The fifth section gives some examples of how colleges of business have used either Bloom's taxonomy or balanced scorecarding for various assignments such as curriculum improvement or teaching quality. The last section of the paper contains interpretative comments and concluding remarks.

Bloom's Taxonomy

In 1956, Benjamin Bloom headed a committee of educational psychologists that developed levels of intellectual behavior important in learning. The following discussion is from Bloom's book where he identified six levels within the cognitive domain (Bloom, 1956).

Bloom's first level in the cognitive domain is knowledge, in which students give evidence that they remember something encountered in the educational process. This knowledge may be in the form of recalling or recognizing some idea or phenomenon.

The second level is comprehension. This part of the domain suggests that students will know what is being communicated to them and be able to make some use of the material or ideas contained in the communication. Bloom allowed for a broad use of the term "communication."

The third level, application, requires students to apply, use, or demonstrate their comprehension of a method, theory, principle, or abstraction studied. Students must have more than knowledge or comprehension; they must be able to use or demonstrate that knowledge in a specific problem or to a particular situation.

Analysis, Bloom's fourth level, emphasizes the breakdown of material into its constituent parts and detection of the relationships of the parts and of the way they are organized. Although the line between comprehension and analysis is not clear, comprehension deals with content of material whereas analysis deals with content and form.

Synthesis, the fifth level, is defined as the putting together of elements and parts so as to form a whole. It is a process of working with the elements and parts to combine them in such a way as to constitute a pattern or structure not clearly there before. Within this level, students are expected to work within the limits set by particular problems, materials, or some theoretical and methodological framework.

Finally, evaluation is placed as the sixth level because it is regarded as being at a relatively late stage in a complex process which involves some combination of some or all the other behaviors. The emphasis at this stage is largely cognitive rather than emotive. However, evaluation is also a major link with the affective behaviors where values, liking, and enjoying are the central processes involved.

A recent revision of Bloom's Taxonomy is structured as a two-dimensional table. This Taxonomy Table contains rows and columns delineating and defining categories of where the knowledge and cognitive process dimensions intersect (Anderson and Krathwohl, 2001). The authors suggest that their revised framework is intended to help teachers teach, learners learn, and assessors assess. In their Taxonomy Table, the first dimension, knowledge, is divided into four major types: factual knowledge, conceptual knowledge, procedural knowledge, and metacognitive knowledge. The second dimension, the cognitive process contains six categories: remember, understand, apply, analyze, evaluate, and create. The focus of this revised taxonomy is on the teacher and his or her objectives, instruction, assessment, and alignment. The authors of the revised Taxonomy Table, Anderson and Krathwohl, recognize the value of Bloom's table and do not attempt to replace it, but incorporate new knowledge and thought into the framework.

Strategic Planning and Balanced Scorecarding

Strategic management involves setting objectives that are aligned with the unit's mission, choosing actions that should lead to achievement of the objectives, and selecting measures that communicate the degree of success in implementation of the actions and attainment of the objectives. Kaplan and Norton, the creators of the Balanced Scorecard framework, defined strategy, in part, as choosing segments the unit intends to serve, identifying the critical processes that the unit must excel at to deliver the value propositions to customers in the targeted segments, and selecting the individual and organizational capabilities required for the objectives (Kaplan and Norton, 1992).

Although their definition was intended for a business environment, the process can be used in colleges of business as a part of the AOL process. A strategic plan should start with a stated mission. An academic unit's mission should be clearly and carefully defined. The mission must be transferable into goals for the unit, including goals relating to student learning. Student learning objectives (actions taken by students to reach the unit's

goals) should be identified and measures of performance that reflect the objectives should be established in order to assess student learning.

According to Kaplan, a balanced scorecard of performance is used to identify and communicate key factors that drive future values. A single measure does not adequately summarize the kinds of targets and goals that create future value. Rather, a balanced set of measures is needed. Measures are balanced across objectives, and are also balanced among types of measures (subjective/objective; internal/external; inputs/outcomes). One of the measures identified by Kaplan and Norton is “innovation and learning” (Kaplan, 1994). Thus, it seems the balanced scorecard approach combined with Bloom’s Taxonomy would be appropriate for assessing AOL in an academic unit.

A Strategic Process for the Assurance of Learning

The AOL component of educational strategy is comparable to Kaplan & Norton’s internal processes component of a business balanced scorecard. This component should address the following questions:

- What processes do we perform to educate a student for entry into the business world?
- How will we be assured that the necessary student-learning has taken place during these processes?

Upon consideration of these questions, AOL systems should include mission-driven learning objectives and measures by which student-learning performance can be gauged. The balanced scorecard’s key value is that its objectives are integrated. When applied to assurance of learning, the balanced scorecard objectives can be integrated by incorporating Bloom’s Taxonomy of learning. The input/outcome type of balanced performance measures will be enhanced through the use of strategic mapping.

Integrating objectives in a balanced scorecard is accomplished through the use of strategic mapping. A strategy map is a visual tool which emphasizes cause-and-effect relationships among objectives (Kaplan and Norton, 1992). Maps can be constructed after considering a series of “if-then” statements. For example, “If students with basic learning skills gain business knowledge, then they will comprehend the organization and operation of a business.” Figure 1 illustrates how strategy maps might be used for AOL.

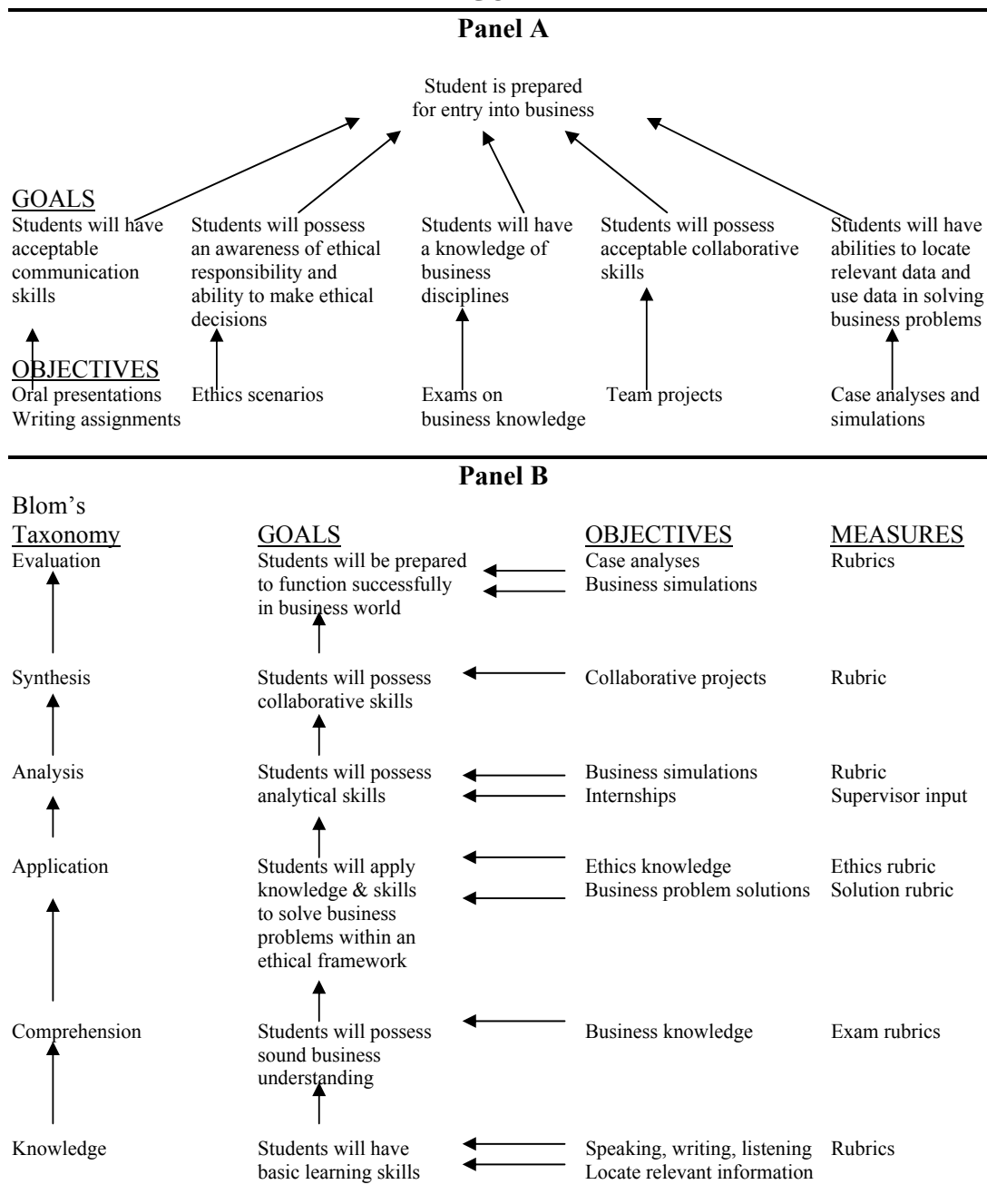
Consider the two AOL diagrams in Figure 1 on the following page. The diagram in Panel A shows five mission-driven learning goals judged by the authors to result in a student prepared for entry into a business career. However, there is no attempt to recognize or capitalize on obvious interrelationships that exist among the objectives. For example, the ability to use data (part of the fifth goal) might be enhanced by first ensuring that the student has a sound foundation of business knowledge. The Panel A type of AOL will tend to place most of the assessment measures in the student’s senior year when it is too late to assist that student with an area of weakness. If a program-related weakness is discovered and a curriculum change intervention is necessary in a sophomore level class, the college must wait two years before obtaining measures to evaluate the effectiveness of the curriculum change. Neither of these results contributes to effective continuous improvement.

The Panel B diagram in Figure 1 is a strategy map. It reflects an integrated AOL which recognizes a progression of learning (Bloom’s Taxonomy) and uses that progression to effectively position assessment measures and promote continuous improvement in the student and in the business curriculum. The goal, “Students will possess sound business understanding”, will be effectively achieved by first ensuring that students have basic learning skills. Assessments relating to students’ speaking, writing, and listening skills should be positioned very early in the college of business coursework or as an entry requirement for the college.

Next, students are exposed to factual information about business (business terminology, organizational structure, etc.) to comprehend how businesses are organized and how they operate. Students can then be given opportunities to combine basic learning skills with business knowledge and apply them to solve business problems. Using carefully designed grading rubrics, student performances on these opportunities will provide measures of success or failure toward the desired objective(s). Failures necessitate interventions, student-related or curriculum-related. The assessment measures taken may be from scoring rubrics for specific traits (subjective measure) as well as from scores on exams or projects (objective measure).

Introducing students to professional codes of ethical conduct at the application level will enable students to apply skills and knowledge in an ethical framework to reach a business decision. The resulting critically thoughtful students can now be given opportunities to analyze business problems in simulated and real-world situations through in-class business simulations and

FIGURE 1



internships. Students are expected to break material down into constituent parts, discover relationships of those parts, and use the relationships to structure business problem solutions. Performance measures may be obtained through grading rubrics for simulations (internal measure) and work supervisor evaluations of internship performance (external measure).

Bloom's fifth level, synthesis, fits well with an AOL's objective of having students gain collaborative skills. Synthesis is the process of working with elements and parts

of a whole to combine them in such a way as to constitute a pattern not clearly there before. Collaborative opportunities allow students to combine knowledge, skills, work ethics, and cultures of different students to complete a business project.

Evaluation, Bloom's sixth level of the learning process, involves some combination of the other cognitive levels. The final goal in Panel B's AOL is for students to be prepared for entry-level, or even management, positions in the business world. Most business curricula contain

a capstone course in the last year of coursework. The course often involves case analyses or business simulations which can be used to measure students' evaluative abilities. If desired, grading rubrics can be used to measure again those abilities obtained from earlier objectives, thus providing pre- and post- data for evidence of continuous improvement.

Bloom's Taxonomy provides a framework of the cognitive process. Educational units, following a balanced scorecard approach to strategic management, can improve student learning and program curriculum, by incorporating Bloom's framework into strategic plans. The following section provides examples of how Bloom's framework or balanced scorecarding has been used by colleges of business.

Use of Bloom's Taxonomy and Balanced Scorecarding

As early as 1977, Bloom's Taxonomy was considered an effective approach to evaluation in college of business courses. Everett analyzed the potential conflict between student evaluation of teaching and teaching higher-level cognitive skills in economic courses (Everett, 1977). He concluded that the conflict holds at least two important research implications: (1) a systematic empirical testing is needed where experienced raters can analyze course outlines, teaching materials, and tapes of lectures and discussion in terms of a standard taxonomy such as Bloom's and (2) more immediate, pragmatic studies on how to reduce the potential conflict is needed.

Bloom's Taxonomy has been applied to the teaching of business ethics. Reeves (1990) illustrated how each of the six levels could be used and tested in a business ethics classroom using a case-method model. Reeves suggested that almost everything could be taught at the first level; for example, memorizing cases and terminology. Level two, comprehension, could be evidenced by having students solve problems similar to those studied in class. Level three, application, could be shown when students encounter unfamiliar problems, restructure them from their knowledge into a familiar context and then solving them. Testing for analysis can be done by asking for unstated assumptions or stated premises to support a conclusion. Synthesis requires students to have an action plan and carry it out. Students would demonstrate creative thinking and self-expression. Evaluation would require students to give a theoretical ethical defense of their action plan.

One study used the levels of learning in Bloom's *Taxonomy of Education Objectives* to investigate the efficiency

of measurement of learning objectives presented in six principles of economics texts (Karns, Burton, and Martin, 1983). The study evaluated the level of learning expressed in the stated objectives of the textbooks, the level of learning measured by the accompanying instructor's manual, and the degree to which the latter measures the former. The results of the study indicated a pronounced tendency to provide a distribution of course objectives containing many higher level statements while the accompanying distribution of exam questions concentrated measurement on a lower level learning objectives. The study concluded that greater care should be taken in the selection of textbooks based on the adequacy of the text's learning objectives and the supportive value and compatibility of the instructor's manual.

Chang and Chow demonstrated how the balanced scorecard may be used to stimulate, guide and sustain continuous improvement efforts in accounting education (Chang and Chow, 1999). They conducted a mail survey of 250 heads of accounting departments. Participants were asked to suggest components, goals, and measures that might form an effective balanced scorecard for their department. Respondents were generally supportive of the balanced scorecard's potential applicability and benefits to accounting programs. Although few participants had implemented the use the balanced scorecard or a similar approach, most indicated that the approach would be beneficial to their departments.

Andrews and Wynekoop mapped information systems core curriculum frameworks to accounting core curriculum frameworks for information systems courses and confirmed the value of a core information system curriculum for accounting majors (Andrews and Wynekoop, 2004). Their study resulted in the development of a three-dimensional modular information systems curriculum model mapping topical areas in information systems to specific major with Bloom's taxonomy represented on the third axis indicating how the learning takes place.

Papenhausen and Einstein applied the balanced scorecard approach to an AACSB accredited college of business in a public university (Papenhausen and Einstein, 2006). They developed three strategy map themes: teaching themes, research themes, and outreach themes. Although their focus was not "student learning," one group of stakeholders identified were students. Goals attached to student stakeholders included attracting, developing, and graduating high-quality students. Teaching quality and academic excellence were also identified as goals. The authors concluded that the balanced scorecard approach offers a promising and valuable tool

for implementing a strategic performance management system in a college of business.

These are just a few examples of how Bloom's taxonomy or balanced scorecarding has been used in helping disciplines within most colleges of business. These tools have helped in the areas of continuous improvement, curriculum development, evaluation, and measurement. However, each of the above studies used either Bloom's taxonomy or balanced scorecarding, but not both. This paper seeks to encourage combining the two approaches to develop a model for evaluating AOL.

Conclusion

Colleges of business struggle not just to meet AACSB requirements for AOL, but to truly continuously improve their programs. Strategic planning using the balanced scorecard, combined with Bloom's Taxonomy is a viable tool to use to measure performance of objectives pulled from a college's mission.

Assessment directors and college of business deans face challenging decisions concerning what knowledge students should be gaining and how to assure that they have gained that knowledge from their programs. Such theories as Bloom's can be used to enhance that process. As stated earlier, AOL systems should include mission-driven learning objectives and measures by which student-learning performance can be gauged. When applied to AOL, the balanced scorecard objectives can be integrated by incorporating Bloom's Taxonomy of learning into the process.

This paper is meant to be food for thought in the assessment and AOL processes. It is hoped that ideas have been introduced that will help those persons responsible for AOL demonstrate that positive student learning outcomes are tied to the unit's objectives and mission.

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DO CONCERNS ABOUT ERROR AND PROFILING CORRELATE WITH STUDENTS' DEMAND FOR FORMAL INFORMATION MANAGEMENT PROCEDURES AT UNIVERSITIES?

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ABSTRACT

What do customers want information-intensive organizations to do in response to customers' growing concerns about error in data and data aggregation or profiling practices of organizations? Using data collected from a survey of 187 students at a large U.S. university, we find that concern about error in data (X1) and concern about use of data for personal profiling (X2) are positively related with students' demand that universities implement formal procedures for managing information about students stored in databases (Y). Implications of the results are discussed in light of ethics, strategy, design, control and administration of personal information management systems in organizations.

Introduction

As information management activities in organizations continue to be dependent on computerized databases and networks that connect computers, ethical tensions between organizations and individuals affected by organizational practices related to the management of personal data gain heightened importance. Concern about error (X1) in data (Smith, and Milberg, 1996) and concern about uses of data for personal profiling (X2) (Manski, 2005; Olivero and Lunt, 2004; Mason, Mason and Culnan, 1995; Culnan, 1993) have been identified as two important considerations facing knowledge workers ranging from law enforcement officers to e-commerce managers and database administrators responsible for managing organizational information resources. Since it is common for information technologists to be more process oriented than people-oriented, it is important to note that emphasis on process over what customers want has been identified as a concern that can be responsible for failure of programs such as customer relationship management programs and database marketing programs (Ozimek, 2006). As organizations become more information-based (Drucker, 1988), ethical concerns related to error in data and control over uses of personal information for personal profiling become more relevant factors for keeping the information management functions of organizations customer-centered. These concerns create an urgency to examine the antecedents and consequences of individuals' concerns about organizational information management practices. Concern about error (X1) has been defined in this paper as an individuals' level of discomfort, fear of harm, and feeling of loss of control associated with error in personal data stored in databases and

used in operations of organizations such as universities. These fears can lead consumers such as students of a university to demand that universities put in place formal procedures to protect students from the ill effects of errors in data or the uses of data for personal profiling against the interest and well being of students from and about whom data are collected. The dependent variable in this study is students' demand that universities put in place formal procedures for managing student related information resources (Y). The research question we ask is: do concern about error in data and concern about use of data for personal profiling positively correlate with students' demand that administrators put in place formal procedures to handle student information store at US universities? There are at least two reasons that make this question timely and relevant for information managers at organizations such as universities. First, students at US universities who come from all over the world are subjected to practices of personal data collection. Second, recent legislation such as the USA Patriot Act has relevant implications for information exchange relationships between organizations and individuals (Rackow, 2002) and between universities and external agencies and organizations. The question asked in this study is timely and can be relevant to managers such as those responsible for reducing error in data and improving data quality and for organizations and agencies that use personal profiling for marketing, law enforcement or other purposes often unknown to consumers.

Literature Review

Concern about Error (X1) and Concern about Profiling (X2)

To create the context for understanding the effects of concern about error and concern about profiling, and to show continuity of the current study with prior studies it is necessary to briefly review relevant prior studies. Organizational responsibility to effectively respond to individuals' concern about error in data stored in computerized databases has been mentioned by database design experts (Date, 1986), information ethics scholars (Laudon, 1986; Mason, 1986; Mason et al, 1995) and scholars who wrote about the legal responsibility of information management (Miller, 1982). Smith and Milberg (1996) define concern about error in data as "Concern that protections against deliberate and accidental errors in personal data are inadequate."

Concern about use of data for personal profiling can be considered part of the construct 'concern about secondary use of data' which was identified by Smith and Milberg (1996) as one of the four dimensions of individuals' information privacy concern. Concern about suffering the harmful effects of being a subject of profiling has been mentioned by many researchers (Manski, 2005; Olivero and Lunt, 2004; Culnan, 1993). Mason et al, (1995) included the items used to measure individuals' concern about use of data for profiling in their ethics checklist for information management professionals. It can be argued that the Association for Computing Machinery (ACM) code of ethics prohibits in broad terms unnecessary and unjustifiable use of data for personal profiling under the principles of avoiding harm to others, being fair and taking action not to discriminate and respecting the privacy of others.

However, studies that have attempted to build theories and test hypothesized relationships between concern about error (X1) and demand for formal procedure (Y) or concern about profiling (X2) and Y are not plenty. Examples of outcome variables or consequences of individual's information privacy concerns that have been theorized and empirically tested indicate that organizational information management practices, individuals' ethical perceptions of these practices, and societal responses are inextricably linked (Culnan, 1993; Smith, 1994, and Stone et al., 1983). It has been found that privacy concerns affect an individual's willingness to give personal data to traditional organizations (Culnan et al., 1999) as well as to web-based vendors (Panichpathom, 2000;). Culnan (1993) found that privacy

concern was a viable cause of negative public attitude toward organizations engaged in privacy-invasive marketing practices. Milberg and Burke (1995) and (Milberg, Smith and Burke, 2000) found that increase in privacy concerns led people to support more governmental intervention over industry self-regulation. Vance (2000) found that privacy concern led employment seekers to evaluate some organizations more positively than others as a work environment. In another related study, Westin (1979) studied an individual's attitude toward information privacy in the U. S. and found evidence of individual's feeling of alienation from society and government in general that could be attributed to privacy-threatening data management practices. Mollick (2006) found that student's concern about error in data was positively related to students' feeling of alienation from university.

Demand for Formal Procedures of Information Management (Y).

The discussion about the need for formal procedures of information management in organizations, as understood and expressed by different stakeholders such as employees or customers, can be understood in the context of some concepts of organization theory and the information intensity of organizational processes. Students' demand for a university to put in place formal procedures in managing information about students can be viewed in the context of the relationship between an organization and customers who have been internalized (Thompson, 1967) by their organization. In the context of an existing relationship between an organization and its internalized customers, members have a sense of belonging (Barnard, 1938) and membership (Simon, 1976), and mutual dependency (Donaldson, 1975). Internalized customers who carry out their transactions with their organization in the context of a reciprocal relationship operate on the basis of an expectation of good faith that their organization will be ethical, trustworthy, procedurally fair and just and responsible in how it manages their personal information. Demand for formal procedures to govern information management can arise when the positive sense of belonging, membership and trust is poisoned with concerns such as the concerns about error in data and improper use of data for personal profiling.

We have chosen to study the effects of privacy concerns in the context of a relationship between students and their university because of the information-intensive nature of the exchanges and processes that define these individual-organization relationships. Peter Drucker (1988) predicted

that organizations of the future would become increasingly information-based such as hospitals and universities. Organizations such as universities are expected to be conscience-carriers (Mason et al 1995, p.196) and moral agents (Mason et al., 1995; p.198-200) in how they use information-power (Mason et al., 1995; p.996) over different stakeholders (Freeman, 1984; Smith, 1994). Sources of power include information-based organizations' ability to collect, access, store, possess, legally own, control, share, communicate and buy or sell information about different stakeholders. Organizations are networks among individuals within and around an invisible legal entity. As such, as such organizations are often more powerful than individuals. Different scattered individual stakeholders of the organization can be subjected to indignity, injustice and harm because of what powerful information-based organizations do or fail to do with regard to ensuring the accuracy of customers' personal information and keeping in place management practices to protect customers from the harm that can befall them from improper use of data such as for unjustified personal profiling. In light of the research model stated in Figure 1, we theorize below that as organizational processes become more information-intensive, concerns about error and profiling increase, and so does individuals' demand for formal procedures to govern the organizational information management function.

Research Model, Constructs and Hypotheses

A large U.S. university represents what Peter Drucker (1988) would call an 'information-based' organization, and students would represent customers of that information-based organization. As presented in the research model in Figure 1, we attempt to theorize and empirically test the effects of two independent variables—students' concern about error in data (X_1), and concern about use of data for personal profiling (X_2)—on students' demand for formal procedures of information management (Y).

Ethics, Privacy and Security in Records Management and Formal Procedures of Information Management

This study focuses on students' concerns about organizational practices related to ensuring accuracy of data and controlling use of data stored in universities for personal profiling through matching and aggregating data from multiple databases. Mason (1986) identified four ethical issues related to management of information: property, access, privacy and accuracy. Smith and Milberg (1996), through an extensive literature review and empirical testing and validation, identified four dimensions of individuals' privacy concern: concern about data *collection*, concern about data *use*, concern about *access to data* and concern about data *error*. This study about information privacy concerns was related to organizations in general—not specifically about universities. The current study extends existing knowledge about individuals' information privacy concerns in that it theorizes and tests how concern about error in data (X_1) and concern about use of data for personal profiling (X_2) are related to students' demand that universities put in place formal procedures to govern the information management function (Y).

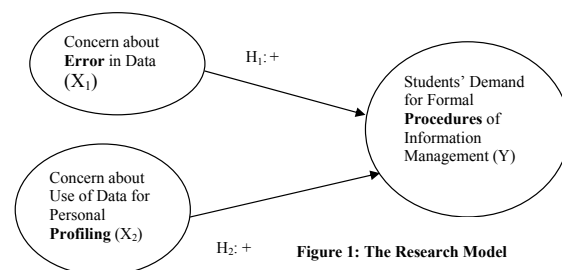


Figure 1: The Research Model

The Dependent Variable (Y): Demand for Formal Procedures in the Information Management Function

Customers' demand for implementation of formal procedures in the organizational information management function can be viewed in light of the structural contingency theory (Thompson, 1967) that claims that faced with risk and uncertainty, an organization attempts to reduce risk and uncertainty through formal structures and bringing uncertain external elements under control of formal structure of the organization. By specifying in written documents procedures, methods and steps that must be followed in each step of the organizational data management function—collection, storage, updating, and disposing of data—an organization can bring structure to what was previously unstructured and therefore uncertain, risky and prone to error, neglect and abuse. Mahmood and Becker (1986) found a significant pre-

dictive relationship between Nolan's (1973) organizational maturity variables and satisfaction of information systems end-users. Demand for formal procedures can also be viewed in light of organizational maturation (Nolan, 1973; Mahmood and Becker, 1986) theory—the more the information management function matures in organizations, the more procedurally formal end-users may expect its management procedures to become. Formal procedures can be viewed as helpful for the development and maintenance of trust in a system because formalization makes it more routine and predictable and less uncertain or unpredictable. To protect themselves from the harmful effects of irresponsible information management, students will want formal procedures to prevent errors or unethical uses of data such as for unjustifiable personal profiling through matching and aggregating data from multiple databases. Formal procedures may include that procedures and methods of archiving, updating and disposing of data be clearly and adequately specified in writing. It may include the provision that each person in charge of updating data be adequately identified by a signature or mark so that a complete audit trail can be established and accountability can be established. Demand for formal procedures includes the demand that each step of data processing be documented and recorded so that an audit trail is maintained. As part of the procedures, periodic monitoring activities need to be carried out to check that the university is complying with information-oriented laws (Mason et al, 1995; p.215-224).

Independent Variable X1: Concern about Error in Data

Individuals' concern about error (X_1) in personal data collected, stored and used by organizations has been defined and measured in this study in light of two studies: Mason et al (1995; p. 221-224) and Smith and Milberg (1996). Smith and Milberg (1996) identified concern about error as one of the four dimensions of individuals' information privacy concern and define as follows:

“Many individuals believe that organizations are not taking enough steps to minimize problems from errors in personal data. Although some errors might be deliberate (e.g., a disgruntled employee maliciously falsifying data), most *privacy*-related concerns involve instead accidental errors in personal data. Early *privacy* studies detail some procedures for minimizing such errors (HEW, 1973; Westin and Baker, 1972; also see minor references in PPSC, 1977). Later works (Laudon, 1986;

Linowes, 1989) document continuing problems in this domain.

Provisions for inspection and correction are often considered as antidotes for problems of erroneous data (HEW, 1973; PPSC, 1977; Smith, 1994). But many errors are stubborn ones, and they seem to snowball in spite of such provisions (Smith, 1994). In addition, a reluctance to delete old data—which can clearly become “erroneous” because of their static nature in a dynamic world—can exacerbate this problem (Miller, 1982). Also at issue are questions of responsibility in spotting errors: does a system rely on individuals to monitor their own files, or is there an overarching infrastructure in place (Bennett, 1992)? Although errors are sometimes assumed to be unavoidable problems in data handling, whether controls are or are not included in a system does represent a value choice on the part of the system's designers (Kling, 1978; Mowshowitz, 1976).”

Independent Variable X1: Concern about Data Use for Personal Profiling

Individuals' concern about use of data for personal profiling has been mentioned in research literature in many areas of study such as law enforcement, statistical modeling, economics, marketing, database management, information systems and e-commerce research. In the area of law enforcement, policies that make search rates vary with personal attributes are variously defended as essential to effective law enforcement and denounced as unfair to classes of persons subjected to relatively high search rates (Manski, 2005). The Internet is increasingly being used as a medium to collect information for consumer profiling. However, attempts at data collection face potential difficulties due to consumers' unwillingness to provide personal information. (Olivero and Lunt, 2004) found that perceived risk and awareness of information collection/extraction are associated with a shift in concerns from issues of trust to issues of control. Risk awareness reduces the level of trust and increases the demand for control and rewards complicating the relationship between the retailer and the consumer. In the context of the relationship between students and their university, students' fear of being profiled can lead to students demand that procedures be in place to protect them from abuses of information power and information asymmetry. Students' concern about use of data

for personal profiling (X_2) refers to students' fear that an organization is not protecting customers' best interest and is unfairly taking advantage of the asymmetry of information (Akerlof, 1970) about uses of customer information and the resulting information power (Mason et al, 1995). Implementing formal procedures and informing student of such procedures can reduce the uncertainty, informational asymmetry and unfair power gap between organizations and customers about whom organizations collect, store and use data.

Research Questions (RQi) and Hypotheses (Hi)

The discussions presented this far can be summarized in the form of two research questions and the related hypotheses.

RQ₁: Do customers' level of concern about error in data stored in organizational databases positively correlate with customers' demand that the organization put in place formal procedures in the management of its organizational information resources?

H₁: The higher students' concern about error in data (X_1), the higher their demand that the organization put in place formal procedures in the management of its organizational information resources. It is hypothesized that there is a *positive correlation* between X_1 and Y. $B_1 > 0$ in the model $Y = B_0 + B_1X_1 + B_2X_2$.

RQ₂: Do customers' level of concern about profiling positively correlate with customers' demand that the organization put in place formal procedures in the management of its organizational information resources?

H₂: The higher the level of customers' concern about use of data for personal profiling (X_2), the higher their demand that the organization put in place formal procedures in the management of its organizational information resources. It is hypothesized that there is a *positive correlation* between X_2 and Y. $B_2 > 0$ in the model $Y = B_0 + B_1X_1 + B_2X_2$.

Sample, Data Collection and Methodology

Out of 220 students at a university in the mid-eastern USA whom we solicited with the promise of extra credit points in exchange for participation, 187 completed the survey. Because of a high response rate of 85%, non-response bias, if any existed, would not be high. Of the 187 students, 37 were graduate business students and 150 were undergraduate business students. Statistical tests indicated no significant differences between graduate

and undergraduate or male and female students' scores on the X_1 , X_2 and Y variables under study. The percentage of male (52%) and that of female (48%) students were almost equal. Because the survey was set up online in a way that did not allow respondents to submit the survey without answering all the questions, there were no instances of missing data.

Seven-point Likert scales were used to measure the level of concerns students had about error in data, use of data for personal profiling and students' support for formal procedure in information management. The items for measuring concern about error in data were taken from Smith and Milberg (1996) and Mason et al (1995). The items for measuring concern about profiling (X_2) and demand for formal procedures (Y) were taken from the information ethics check list in Mason et al (1995; 221-224). The items in the questionnaire were adapted to the context of students' at US universities. These modified items are presented in Appendix A.

Results

The statistics for X_1 , X_2 and Y presented in Table 1 are from multi-item scales used in the survey instrument presented in Appendix A. A paired two-sample t-test shows that the mean score of 5.88 on students' concern about error in data (X_1) is statistically significantly higher, with p-value $< .001$, than the mean score of 4.96 on students' concern about profiling (X_2). The mean score 5.81 out of 7 on Y can be interpreted as evidence that students do indeed demand that formal procedures be implemented in organizations like universities to systematically address customers' concerns about organizational information management practices.

Cronbach's alpha values in Table 2, each being greater than the threshold value of .70, show satisfactory reliability for each of the three constructs used in this study (Cronbach and Meehl, 1955).

The F-test p-value $< .001$ in Table 3 indicates that the multiple regression model in which X_1 , X_2 have been used to predict and explain Y is statistically significant. The correlation coefficient $r = .1548$ between X_1 and X_2 is far less than the rule of thumb threshold value of .70, indicating there is no problem of multicollinearity that could make this multiple regression model invalid (Hair et al 1998, p.188).

We see in Table 3 that each of the two p-values associated with b_1 and b_2 is less than .01 indicating that both H₁ and H₂ are supported with more than 99% confidence.

Discussion, Implications and Future Research

The results indicate that students' concern about error in data and their concern about use of data for personal profiling are positively associated with students demand that formal procedures be used in a university's information management function. While evidence of significant correlation between X1 and Y or X2 and Y variables does not necessarily prove that X1 or X2 cause Y, this finding can be a call for university administrators, information policy makers, information system designers and administrators to implement formal procedures in the management of organizational information about students.

For future research, one could interview managers, system designers, policy makers, data managers, and database administrators to identify with greater detail what specific aspects of information management practices,

policies and activities related to management of student records need to be procedurally formalized to reduce students' concerns about error in data or their concern about use of data for personal profiling.

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TABLE 1
AVERAGE, SAMPLE STANDARD DEVIATION AND CORRELATION MATRIX

n=187	Average	Sample Std	X1	X2	Y
Concern-Error(X1)	5.88	0.66	1		
Concern-Profiling(X2)	4.96	1.20	0.1548	1	
Demand for Procedures(Y)	5.81	0.83	0.6034	0.2354	1

TABLE 2
RESULTS OF RELIABILITY ANALYSIS FOR SCALES OF MEASUREMENT X1, X2 AND Y

	Cronbach's Alpha	Cronbach's Alpha Based on Standardized Items	N of Items
Concern-Error(X1)	0.778	0.783	8
Concern-Profiling(X2)	0.773	0.772	3
Demand for Procedures(Y)	0.701	0.703	3

TABLE 3
MULTIPLE REGRESSION RESULTS

Regression Statistics		$\hat{y} = 1.0357 + 0.72658 * X1 + 0.10037 * X2$				
		Coefficients		Standard Error	t Stat	1-tailed P-value
R Square	0.3848	Intercept	1.035699	0.44847016	2.309	0.011016
Adjusted R Square	0.3781	(X1) Concern-Error	0.726584	0.073204869	9.925	0.000000
Standard Error	0.6512	(X2) Concern-Profiling	0.100365	0.040385042	2.485	0.006920
Observations	187					
ANOVA						
	df	SS	MS	F	Significance F	
Regression	2	48.809	24.405	57.542	0.000000	
Residual	184	78.038	0.424			
Total	186	126.847				

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Appendix A
Items on the survey*
1. Strongly Disagree 2. Disagree 3. Slightly Disagree 4. Uncertain 5. Slightly Agree 6. Agree 7. Strongly Agree
Error 1: All the personal information in SIUC's computer databases should be double-checked for accuracy against errors in data entry or updating.
Error 2: Universities should take more steps to make sure that the personal information about students in their files is accurate and free from recording errors.
Error 3: A university should have the best procedures to correct errors in personal information.
Error 4: A university should devote more time and effort to verifying the accuracy of students' personal information in its databases.
Error 5: The method for ensuring the accuracy of the data should be adequate.
Error 6: System designers and planners should make sure that the person who can be held responsible for data accuracy problems can be clearly identified.
Error 7: Errors in estimation and the degrees of uncertainty should be adequately reported to information takers, users and stakeholders.
Error 8: The fidelity, accuracy, and integrity of the information should be maintained throughout its
Profiling 1: Data about students stored in multiple files and databases should not be aggregated to build profiles of individual students.
Profiling 2: Unnecessary matchings should not be made with student data stored in different files, databases and transaction records to create individual profiles (academic, psychological, athletic, disciplinary, library, criminal) of students.
Profiling 3: Unnecessary comparisons of data in multiple files, databases and records should not be made with student data to create individual profiles (academic, psychological, athletic,
Procedure 1: The procedure and method of archiving, updating and disposing of data should be clearly and adequately specified.
Procedure 2: Each person in charge of updating data should be adequately identified by a signature or mark so that a complete audit trail can be established.
Procedure 3: Each step of data processing should be documented and recorded so that an audit trail is
*The actual survey did not have labels such as error, profiling or procedure for different items.

**FACTORS THAT INFLUENCE FACULTY DECISIONS
REGARDING ACADEMIC DISHONESTY:
A STUDY OF A PRIVATE LIBERAL ARTS UNIVERSITY**

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ABSTRACT

Academic dishonesty continues to increase in higher education. Bowers (1964) completed the first landmark study considering the problems of student misconduct when he addressed student dishonesty and how it was changing the face of higher education. Other writers have also documented the deterioration of academic integrity and its growing impact in education (Campbell et al., 2000; Gligoff, 2001; Thomas, 2001). Numerous researchers focused their attention on why students choose to cheat (Barnett & Dalton, 1981; Derryberry & Thoma, 2000; McCabe & Trevino, 1996; Paldy, 1996; Rittman, 1996) although there is only a limited amount of research that focuses on faculty perspective of academic dishonesty (McCabe 2005; Lim & Coalter, 2006, and Coalter, Lim, & Wanorie, 2007).

The current study explores factors that impact faculty decisions at a small, private liberal arts university in the Midwest. The factors identified offer insights into the intricate decision making process faculty consider when choosing the course of action in the face of academic misconduct.

Introduction

Higher education is an important and necessary factor for success in the growing globalized world. Faculty members are charged with the responsibility to train the future leaders of this and other, nations. Moreover, faculty members are entrusted to nurture and develop the morality of their students (Hickok, 2006; Rainey, 2006; Colby et al., 2000; Kibler, 1993a, Kohlberg, 1981). Ethics is no longer a luxury but rather an expected behavior that is demanded by a world intolerant of unethical conduct. Yankelovich and his colleague (2005) stated that the recent scandals in the business community are the result of general disregard for ethical behavior. Marino posits that there is an inverse relation between academic training in ethics and fraud in the workplace (2004); furthermore, honesty and integrity were reported as some of the most desirable skills employers look for in their new hires (Keying In, 2004).

After the corporate scandals in recent years, transparency and accountability are two words often heard in every industry. Some critics blame higher education for not fulfilling its duty to instill strong work ethics in their students. Some institutions rush to offer courses in ethics in hopes of absolving themselves. Although it is plausible that ethical training can help students build stronger work ethics, at this point, institutions of higher education do not appear to be in a position to make substantial positive contributions since they are waging a losing battle with the continuous increase in academic misconduct.

At a time when accountability is being questioned, it is absolutely vital for constituents in academia to revisit the important role higher education plays in molding its students. Integrity in academia means honesty and independence in all its educational efforts (Zoll, 1996, p. 7). The Center for Academic Integrity defined academic integrity as “a commitment even in the face of adversity, to five fundamental values: honesty, respect, trust, fair-

ness, and responsibility” in an effort to help academia regain some clarity and direction in its battle with dishonesty (CAI, 1999, p4).

Literature Review

The worsening of academic integrity is threatening the validity of higher education and there does not seem to be any viable solution in sight. Many scholars have devoted their research on honor code systems, preventive methods, and disciplinary measures to curtail the rising occurrence of academic misconduct (McCabe & Pavela, 2000; Kidwell, 2001; McCabe et al., 2001; Roach, 2001; and Karlesky & Stephenson, 1971). The majority of the work done thus far to lessen dishonesty appears to be futile and does not seem to do enough to change students’ propensity to cheat. One critical factor to deter academic misconduct that has not been extensively researched is faculty involvement.

There is very limited research on how faculty members impact academic dishonesty. Faculty members’ actions can influence students’ decisions on committing acts of academic dishonesty. There is a lack of research into the rationale and decision making processes that faculty use to charge a student, but there are several important questions: What factors compel faculty members to file charges against students suspected of academic misconduct? Under what circumstances do faculty members decide not to file charges when the misconduct is obvious?

It is clear that faculty members have the duty to teach their students about responsibility and accountability (ACPA, 2002, Section 2.9). Furthermore, faculty members are responsible to promote and cultivate a high standard of academic conduct (AAUP, 1987). Students in higher education are impressionable and they look toward their faculty to set standards. To inspire students to behave ethically, all the constituents of higher education must possess irreproachable high standards of integrity themselves (Boyer, 1987). Students often expect their faculty and administrators to hold offenders accountable when incidents of misconduct do take place (McCabe, 2005). An ideal way to end the cancer of dishonesty in academia is to hold students responsible for their actions (McCabe, 2005). Although it would be utopian to instill a strong sense of responsibility to all the students and stop misconduct, the process will take time and an entire culture would have to be modified.

In the current study, we surveyed faculty members of a small, liberal arts private institution in the Midwest. The institution we selected has an academic integrity policy

in place that clearly placed the responsibility to deter dishonesty on its faculty members. The integrity policy also specifies procedures for both faculty members and students if a charge has been filed. The academic honesty policy is a statement of what the institution believed to be the set norm for its members and how they expect their members to behave (Kilbler, 1993a). Having an institutional policy provides all parties involved a formal guideline for actions, but the question is how closely do its members follow the policies? Why would some of the faculty select not to follow the guidelines? Are there other factors that encourage faculty members to take action into their own hands?

There is strong evidence that academic policy can help deter dishonesty but the strength of any policy is in the implementation. Students learn quickly whether a particular faculty member would implement the institution’s policy and students take corresponding action toward those they deem would respond and enforce set policies (Jendrek, 1989; Hall, 1996; Wajda-Johnston et al., 2001; Zelna & Bresciani, 2004; and Lim & Coalter, 2006). The increase in academic dishonesty in recent years can be partially attributed to the inaction of faculty members who admitted being concerned with dishonesty but chose to not take any action against students suspected of misconduct (Wajda-Johnston et al., 2001; and Coalter, Lim & Wanorie, 2007). It was also reported that a majority of faculty prefers to confront dishonesty without following institutional protocol (Wright & Kelly, 1974; Singhal, 1982; Nuss, 1984; Jendrek, 1989; Graham, Monday, O’Brien & Steffen 1994; McCabe, 2005; and Coalter, Lim & Wanorie, 2007).

Faculty members often chose not to follow institutional policy because of the time required to collect documentation which is sometimes difficult to obtain, and also because of a personal struggle with their perception of severe punishments (McCabe, 1993). On the other hand, faculty members who decided to follow proper protocol had expressed displeasure with the procedure (McCabe, 1993; and Lim & Coalter, 2006). If higher education is serious about eliminating the problem of dishonesty, administrators and faculty will have to unite in their cause and focus on what it takes to stop dishonesty once and for all. Unethical conduct has no place in higher education, Simon et al. stated (2003) that for faculty to carry out institutional policy, they must trust that the system in place is just and fair to everyone involved.

It seems that there is a problem with institutional policies when faculty members are reluctant to charge students and would rather handle cases of suspected misconduct themselves; however, if faculty members choose not to

follow proper protocol, there is an even greater problem because it becomes highly subjective and susceptible to litigation. Obviously, there is room for improvement when students strongly feel that institutional policies are biased, ambiguous, archaic, and disregarded by faculty (McCabe, 2005).

The Current Study

The current study aims to identify what factors influence faculty to act on academic misconduct. It is apparent that there are factors that discourage following set protocols; however, there is limited research on factors that influence faculty decisions. The current study is exploratory and focuses on selected attributes that faculty members at a small, liberal arts private university might consider when faced with academic misconduct. The findings of the current study will shed some light on faculty responses to unethical behavior in their classrooms.

Purpose of the Study

A lack of empirical research on faculty perspectives about academic dishonesty prompted the authors to conduct several studies that might offer insights. The abundance of research regarding why students cheat provides good foundation to curtail unethical conduct but student perspective alone has proven to be insufficient to stop the growth of dishonesty. The purpose of this study is to find a possible missing link to cease the deterioration of academic integrity and to identify key factors that either motivate or discourage faculty to take action.

Methods

The Instrument

To measure the important constructs that relate to faculty attitudes and responses to academic dishonesty, we adopted the thirty-five item instrument developed for that purpose by Coalter, Lim, and Wanorie (2007). In the instrument, fifteen questions measured attitudes on a five-point scale anchored by the terms "Strongly Disagree" and "Strongly Agree." Responses to those questions are reported as "Attitude Measures" in Table 1.

The sixteenth question, "If you were convinced that a student had engaged in academic dishonesty, what would be your three most likely actions?" allowed faculty to select any of eight options. Results for the question are recorded in the "Response to Academic Dishonesty" in Table 2. Question seventeen asked about suspected

cases of academic dishonesty when action was not taken. Participants who noted that the situation applied to them were requested to indicate any number of eight actions noted in the section marked "Reasons for Not Taking Action" in Table 2.

Six additional questions measured attitudes regarding the frequency of dishonesty based on class size, and six questions measured faculty responses to academic dishonesty in undergraduate and graduate classes. One question measured class size, and three demographic questions (rank, tenure status, and sex/gender) and one open-ended question ("Please provide any comments you have about academic dishonesty") completed the instrument. The demographic question regarding departmental affiliation in Coalter, Lim, & Wanorie's (2007) original study was omitted because of concerns regarding non-participation because of the question. This decision was partly based on Coalter, et al.'s finding that the department related question was the most reactive question in the instrument and that the faculty in the current study is considerably smaller than the faculty in the previous study.

Procedure and Subjects

The instrument referenced above was distributed to all full-time faculty ($N = 45$) of a small, liberal arts private university through the university mail system. After two weeks, a reminder was distributed to all faculty members requesting participation from those who had not yet participated. Potential participants were provided contact information for the researchers and instructions for obtaining a copy of the instrument in the event that the original had been misplaced. Additional instructions indicated that participation was optional, voluntary, and anonymous.

Results

In the three weeks allowed to respond, twenty-seven usable instruments were returned, yielding a response rate of 60.0%. Of the respondents, 12 (44.4%) were female, 13 (48.1%) male, and 2 (7.4%) did not respond to the question. Fourteen (51.9%) of the respondents were tenured, and 13 (48.1%) were non-tenured. With regard to academic rank, 5 (18.5%) were instructors, 6 (22.5%) were assistant professors, 11 (40.7%) were associate professors, 4 (14.8%) were full professors, and 1 (3.7%) did not mark academic rank. Approximately one half of the respondents (48.1%) provided written comments regarding academic honesty. Relevant comments are included in the discussion section.

TABLE 1
ATTITUDE MEASURES
(1 = STRONGLY DISAGREE, 5 = STRONGLY AGREE)

	Item Stem	mean	S.D.
1	Upholding the academic integrity of this university is an important part of my job	4.63	0.56
2	I give written instructions about what constitutes academic dishonesty	3.70	1.23
3	I take class time to discuss what constitutes academic dishonesty	3.96	1.13
4	I believe that part of my job as an instructor is to help students learn ethical behavior	4.59	0.57
5	I do not believe that dealing with academic dishonesty is a good use of my time	1.96	1.19
6	I am uncomfortable with formally charging a student with academic dishonesty	2.70	1.17
7	Charging a student with academic dishonesty makes it appear that I do not manage my classes well	1.63	0.74
8	I am familiar with the procedures of charging students with academic dishonesty	3.70	1.07
9	It is hard to collect enough evidence to charge students with academic dishonesty	3.11	1.12
10	Faculty members at this university try hard to detect academic dishonesty	2.93	0.96
11	Faculty members at this university handle academic dishonesty in a uniform manner	2.19	0.96
12	The judicial process at this university is fair and impartial	3.41	0.75
13	I consider plagiarism a form of academic dishonesty	4.78	0.42
14	I disregard a dishonest behavior unless such behavior affects/disrupts other students	1.74	0.98
15	Academic dishonesty is a serious problem at this university	3.33	0.96

TABLE 2
RESPONSE TO ACADEMIC DISHONESTY

If you were convinced that a student had engaged in academic dishonesty, what would be your three most likely actions?	
44.4%	Give a warning
3.7%	Do nothing about the incident
14.8%	Consult the Academic Catalogue
77.8%	Report the incident to my Chair/Dean
77.8%	Give a failing grade on the test or assignment
11.1%	Give a failing grade for the course
25.9%	Lower the student's grade
25.9%	Allow the student to redo an exam/assignment
Have you ever not taken action (for any reason) when you suspected academic dishonesty in one of your courses?	
29.6%	No
70.4%	Yes
If YES, did any of the following factors influence your decision? (Check all that apply.) Reasons for Not Taking Action	
51.9%	Lack of evidence/proof
3.7%	No time to pursue suspected incident
3.7%	Cheating was trivial/not serious
3.7%	Student will ultimately suffer
0.0%	Did not want to deal with it
3.7%	Lack of experience
3.7%	Lack of support from administration
3.7%	Other

TABLE 3
BELIEFS REGARDING ACADEMIC DISHONESTY

“In the past two academic years, how frequently do you think the following occurred in your classes?” (Responses are per 100 classes taught.)			
	Class Size		
	20 or fewer	21-50	>50
Plagiarism on any assignment	20	63	(no data)
Unauthorized collaboration on any assignment	24	38	(no data)
Copying exam answers	5	14	(no data)
Copying another student's assignment and turning it in	17	13	(no data)
Using unauthorized materials during a quiz	1	0	(no data)
Using unauthorized materials during an exam/final	2	0	(no data)

TABLE 4
OTHER MEASURES

OTHER MEASURES		
Class Sizes Taught (In the past two years)		
Classes of 20 or fewer	10.9 (sd = 5.88)	
Classes of 21-50	3.4 (sd = 4.24)	
Classes of 50 or greater	0.0	
How often have you responded to the following incidents of academic dishonesty (two years)?		
	Undergraduate	Graduate
Accidental or unintentional plagiarism	4.00 (6.07)	0.07 (0.38)
Deliberate plagiarism	1.93 (2.07)	0.00
Cheating on an in-class exam	0.96 (1.56)	0.00
Cheating on an online exam	0.00	0.00
Submitting another student's work as their own	1.04 (2.03)	0.00
Submitting a paper taken from of the Internet	0.81 (2.00)	0.00

Discussion

The results of our survey clearly indicate that faculty at the institution strongly believe that as instructors, they are charged with the responsibility to help students learn ethical behavior. This is potentially correlated with the religious affiliation of the institution. In addition, the respondents strongly believe that maintaining integrity at the institution is an integral part of their profession.

The respondents also indicated that they would take proactive measures to deter dishonesty. Most believe that taking class time to inform students about the components of academic dishonesty is a good use of their time, and they would provide students with written guidelines. Interestingly, there appears to be no consensus that academic dishonesty is a serious problem at the institution although the respondents did indicate potential problems with the judicial process. The result shows that the respondents were not convinced that academic dishonesty is handled uniformly at the institution. The lack of familiarity with the judicial process adds further complications.

The Academic Policy of this university includes a section on academic integrity which provides a broad guideline of actions faculty can take when faced with dishonesty although the guideline also indicated that the Academic Dean has the final decision and can alter faculty decisions. The respondents indicated (see Table 2) that if they were convinced that academic dishonesty actually took place, they would report the incident (77.8%) which follows the policy. The variety of results for the other survey options may reflect the lack of concrete consequences in the policy. No clear “right” response is given in the policy leaving each individual faculty to decide the proper response. Very few faculty members (11.1%) chose the harsher option of giving a failing grade for the course. Over three quarters (77.8%) chose to give a failing grade for the test or assignment, 44.4 % would give a warning, 25.9% chose the option of lowering the grade, and the same percent of respondents choose the option of giving the student an opportunity of redoing the work.

The fact that the Academic Dean can alter the faculty's choice may influence the faculty's reluctance to impose

a harsh penalty for academic dishonesty. These results support the finding that respondents were not convinced that academic dishonesty is handled uniformly at the institution. Finally, plagiarism and unauthorized collaboration were the two most prevalent forms of academic dishonesty at the institution. Based on the results of our analysis, the frequency of dishonesty increased as the class size increases in most cases. In this study, we found that perceptions regarding cheating are lower in classes that contain twenty or fewer students when compared to classes with more students. See Table 3.

Exploratory Data Analysis

We proceeded with several exploratory statistical analyses based on Coalter, Lim, & Wanorie (2007). First, we submitted items 1-15 in Table 1 (the attitudinal

measures) to an exploratory factor analysis for the purposes of data reduction—to narrow down the number of measures and to increase understanding of the basis for faculty responses to academic dishonesty. Based on the eigenvalues and scree plot analyses, the rotated results indicated six factors collectively explain 74.9% of the variation. The six factors, the items that comprised them and the variance explained for each is included in Table 5. When we compared the factors that Coalter, Lim, & Wanorie (2007) reported, we noted that the same number of factors was derived, but that our result differed significantly from theirs, with no single factor overlapping completely. With that concern in mind, we then calculated factor scores for each of the six factor scores and analyzed the level of the factor scores at differing levels of each of the demographic variables, which yielded no usable results. Consideration of the remain-

TABLE 5
FACTOR ANALYSIS EXTRACTION RESULTS WITH PROMAX ROTATION

Factor	Factor Name	Variance Explained	Cumulative Variance	Items
1	Prevention/ uniformity	20.7%	20.7%	4. I take class time to discuss what constitutes academic dishonesty 16. Academic dishonesty is a serious problem at this university 3. I give written instructions about what constitutes academic dishonesty 12. Faculty members at this university handle academic dishonesty in a uniform manner
2	Evidence/ ethics	15.2%	35.9%	15. I disregard a dishonest behavior unless such behavior affects/ disrupts other students 10. It is hard to collect enough evidence to charge students with academic dishonesty 5. I believe that part of my job as an instructor is to help students learn ethical behavior
3	Faculty/ Institutional Integrity	11.9%	47.8%	2. Upholding the academic integrity of this university is an important part of my job 11. Faculty members at this university try hard to detect academic dishonesty 14. I consider plagiarism a form of academic dishonesty
4	Teaching Issues	7.6%	59.5%	9. I am familiar with the procedures of charging students with academic dishonesty 8. Charging a student with academic dishonesty makes it appear that I do not manage my classes well
5	Resource Mgt.	7.8%	67.3%	6. I do not believe that dealing with academic dishonesty is a good use of my time
6	Faculty/ Institutional Equity	7.6%	74.9%	13. The judicial process at this university is fair and impartial 7. I am uncomfortable with formally charging a student with academic dishonesty

ing relations resulted in no significant findings related to the research questions, so the results of those tests are omitted.

Analysis of Comments Provided by Study Subjects

Based on the analysis of the items in this study, there is no strong support that the faculty at this university felt academic dishonesty was a serious problem, but this finding seems to be contradicted by the comments made on the survey in response to the final open-ended question. Faculty members' comments reflect a belief that academic dishonesty is widespread and increasing. There is much frustration on the part of the faculty and the comments suggest that faculty use two very different approaches in addressing the problem. Some faculty members mentioned both approaches. Many faculty members are trying to use preventative measures such as alternative copies of a test to lessen academic dishonesty, and also working to clarify the precise meaning of "academic dishonesty" in their classes. The other approach is disheartening in that a few faculty members admitted that they do not address the issue.

Another major finding was that faculty members did not feel the institution's policy was being handled uniformly. The comments again supported this finding stating that the administrative response was inconsistent and unclear to faculty.

Lack of evidence to support a claim was reported as the main reason faculty did not pursue a charge of academic dishonesty. Several comments mentioned the lack of time to search for evidence of dishonesty as a major factor in faculty response to academic dishonesty. At small, private institutions, support staff tends to be limited. In the university in this study, there were no graduate assistants, two librarians for the whole institution, and only two academic departments had full-time secretaries so the burden of finding the evidence fell on the faculty alone.

Conclusions, Limitations, and Opportunities for Further Research

We consider this study to be an important step began by Coalter, Lim, & Waronie (2007) with regard to faculty attitudes regarding academic integrity. The key to unravel the growing problem of academic dishonesty in institutions of higher learning is not obvious and will not be easy. Research that has focused on why students engage in academic dishonesty has shed light on possible approaches to address the problem. This study examines

another aspect of the problem. The answer depends in part on all constituencies working together diligently and effectively. This study identifies some of the factors that influence faculty when they must address cases of academic dishonesty. The institution's policy is a crucial factor affecting faculty actions. If faculty members perceive the policy is fair, impartial, and consistently applied, they are more likely to take the actions the policy requires. Lack of evidence due to lack of time and ability to document sources was another factor that had a major influence on faculty's decisions.

Although this study has some limitations due to the size and classification of the university studied, it offers some insights into the factors that impact faculty decisions on academic dishonesty at a private, small, religious-based university. It is necessary to expand the study to include other institutions of varying sizes and compositions. The preliminary nature of this study is another limitation of this study as we continue to pinpoint factors that impact faculty decisions on academic integrity. Finally, the instrument used relied on self-reported data, and as Coalter et al. (2007) noted, "Academic integrity is a very emotionally charged issue that has pretty clear 'right answers' and 'wrong answers.'"

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