Legislative History—Policy 6-001 (Rev 19)
Requirements for: Curricula Management Plans & Learning Outcomes Assessment

Prepared by Bob Flores, for the Institutional Policy Committee, Summer 2017.

The proposal revising Policy 6-001 was approved by the Academic Senate April 3, 2017, and approved by the Board of Trustees April 11, 2017, with a designated effective date of July 1, 2017.

Contents (copied from the agenda materials for the Academic Senate Meeting of April 3, 2017):

(i) Final version of the Policy revision, as approved by Senate & Trustees. Page 1.

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[LOA Policy6-001Rev19, draft] 2017-03-14

Proposal to add to Policy 6-001 a new section of policy on learning outcomes assessment (and to make other minor updating revisions of Policy 6-001)

Policy 6-001: Academic Units and Academic Governance - Roles of Faculties, Committees, Councils, and Academic Senate. Revision 1819 Effective date {July 1, 2017 ??}

I. Purpose and Scope

This Policy describes the types of academic units through which the academic missions of the University are carried out by its faculty and supporting personnel, prescribes processes and criteria for initially establishing, periodically reviewing and discontinuing such academic units, describes the faculties of the academic units and of the University as a whole, acknowledges the authority of the faculty for academic decision-making, describes procedures for meetings of the University faculty as a plenary body, establishes and describes a system of academic decision-making structures including various committees, the College Councils, and the Undergraduate Council and Graduate Council, and describes the general authority and responsibilities of the Academic Senate.

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II. Definitions
Credentialed Academic Program. As defined for purposes of this Policy and Policy 6-500 (Curriculum Management and Administration)—each Degree, Major, Minor, Certificate, or Emphasis is considered to be a Credentialed Academic Program.

Course-offering unit—for purposes of this Policy is as defined in Policy 6-100-II, (Instruction and Evaluation), "an academic unit authorized to offer credit-bearing courses and bearing primary responsibility for the content, instruction and evaluation of such courses."

Faculty-appointing unit—is an academic unit authorized by the cognizant vice president to make appointments of faculty members. Such authorization * * * *

III. Policy. A. Academic Units and Academic Organizational Structure Generally
1. Overview: Types of Academic Units.
   a. As further described below, academic activities furthering the academic missions of the University are carried out primarily by the members of the University faculty, supported and assisted in various ways by non-faculty academic personnel, students, and staff employees, working cooperatively within "shared-governance" academic decision-making structures. The work of the faculty, and those assisting and supporting the faculty, is organized through various academic units, each administered by an administrative officer of the University, reporting respectively to a cognizant vice president and ultimately the President of the University. This Part III-A-1 serves as a descriptive overview of the various types of academic units and the roles of the faculty and administrative heads of such units, within the University's overall academic organizational structure. Parts III-A-2 through 3, below, govern the processes for establishing, modifying, and periodically reviewing performance of such units. The responsibilities of the administrative heads of such units, as officers of the University (college deans, department chairpersons, and others), and the processes for periodic reviews of their performance, are governed by Policy 2-005.
   b. Academic Departments and Free-Standing Divisions, Colleges (and schools).
      i. The academic department is the standard academic unit of the University and is the most common unit of instruction. * * * *
      ii. An academic college is * * * The University, for historical and other reasons, includes the following units named "schools" that for all purposes function as academic colleges and are headed by academic deans: The School for Cultural and Social Transformation, The School of Dentistry, The School of Medicine, and The David Eccles School of Business. There are currently seventeen academic colleges: Architecture and Planning, Business, Cultural and Social Transformation, Dentistry, Education, Engineering, Fine Arts, Health, Humanities, Law, Medicine, Mines and Earth Sciences, Nursing, Pharmacy, Science, Social and Behavioral Science, and Social Work. * * * *
   c. Interdisciplinary Academic Programs (of limited authority).
      In specific circumstances in which academic activities to be conducted are of an interdisciplinary character such that they cannot be effectively conducted either entirely within the ordinary structure of a single academic department (or equivalent unit) within an academic college, or entirely through cooperative arrangements among academic departments or colleges, a special interdisciplinary academic program may be established for that purpose, with the following limited authority.
      Such units ordinarily may * * * *
      Currently the interdisciplinary academic programs which have been authorized as course-offering units are: The Entertainment and Arts and Engineering Program, The Environmental and Sustainability Studies Program, The Ethnic Studies Program, The Gender Studies Program, The Honors College, The LEAP Program, and the Middle East Center. Those which have also been granted limited faculty appointing authority under the terms of University Rule 6-310 are listed within that Rule. {Note that the University Writing Program*** being revisited to remove it from the list of Qualified IDT Programs.) * * * *
   d. Other Academic Units (Centers, Institutes, and Bureaus).
      **** the University authorizes certain types of academic activities to be conducted through other types of units, ordinarily including academic centers, academic institutes, and academic bureaus (hereafter "C/I/B"). These academic C/I/B types of units typically are authorized by the cognizant vice president to conduct academic research activities. They are not authorized faculty appointing units * * * are ordinarily not authorized as course-offering units * * * *
      Further information regarding C/I/B units. [Reserved ...User note: as of 2014, a project is underway to clarify and improve the University's regulations and processes regarding C/I/B types of units.]

2. Creation, Review, and Discontinuance of Academic Units
a. Proposals to create, modify, or delete academic units are considered first by the Graduate Council, then by the Academic Senate, then by the Board of Trustees.

b. Further information regarding creation, significant modification, review, and discontinuance of academic units. [Reserved. User note: As of 2014 a project is underway to develop additional detailed content for University Regulations regarding the procedures and standards for creation and significant modification of academic units, for their periodic review, and for their discontinuance. Principles for creation of academic departments, and other course-offering academic units; Procedures and principles for periodic reviews of various types of academic units, and... for discontinuance of academic units... For further information, contact the VP Office for Faculty and/or the Graduate School.]

i. Procedures for creation, significant modification, review, and discontinuance of academic units.

[work in progress]

ii. Principles for initial establishment and subsequent review of academic units with curricular responsibilities.

A. Curricula Management Process and Plan. An academic unit which has primary curricular responsibility for any Credentialed Academic Program (as defined above--degree, major, minor, emphasis, certificate or other such program of study), or is a course-offering unit of any credit-bearing course, shall have a curricula management process for developing, periodically assessing, and modifying the curricula over which that unit has primary responsibility. The process shall be appropriate for the type of curricular responsibilities of the unit, and shall be described in a written curricula management plan of the unit.

B. For new academic units, the curricula management plan shall be included with the proposal for initial establishment of the unit. For existing units, the plan shall be submitted at or before the time of the University’s next Seven Year Academic Unit Review of that unit. These plans will be reviewed as part of the University’s Seven Year Academic Unit Reviews of academic units, and should also be reviewed whenever a unit undergoes extensive organizational changes significantly affecting the unit’s curricula management responsibilities.

C. The curricula management process, described in the written plan, shall include (i) an internal curricular decision-making process, and (ii) a schedule and procedures for conducting periodic curricula reviews (specifically including program learning outcome assessment). These shall serve the University’s fundamental commitment to excellence in its teaching mission through continual reevaluation and improvement of curricula.

1. The unit shall have an internal consultation and decision-making process which places primary responsibility for curricula management decisions with a body comprised mainly of voting-qualified members of the faculty of the unit, and also provides for oversight by another body comprised mainly of voting-qualified faculty members. Consultation with student representatives is encouraged. For example, in a typical structure of an academic department within a multi-department academic college, the process will include formal approval by the voting-qualified faculty of the department (possibly assisted by a designated departmental curricula committee), and consultation or formal approval by a body
representative of the college faculty (either the full college council, or a curricula committee of the council).

For any curriculum which is interdisciplinary in nature such that the curriculum management responsibilities are shared by two or more academic units, the process shall include means of formal oversight by representatives of the faculty of all units which share in those curriculum management responsibilities.

2. The curricula management plan shall include a schedule and procedures for periodically reexamining all curricula over which the unit has primary responsibility.

   a. The schedule shall provide for (i) a thorough review of every credentialed academic program (degree, major, minor, emphasis, certificate, or other such academic program of study), on a review cycle of no more than seven years, and (ii) two interim summary program learning outcome assessment reports within the seven-year cycle (ordinarily in the 3rd and 5th years). This is to ensure that at least one such thorough curriculum review will have been completed at the time the University conducts each Seven-Year Academic Unit Review of the unit, and that summary reviews addressing learning outcomes will be performed in the interim. The written plan shall describe the roles of any committees and administrative positions responsible for carrying out the scheduled reviews. The University Administration shall designate and adequately support a resource office (Learning Outcome Assessment) to coordinate and provide guidance for such reviews, and to receive review reports.

   b. Seven-year thorough review. The procedures for the seven-year-cycle thorough reviews for each such program of study shall at a minimum include: identification of the program expected learning outcomes; and development and implementation of methods for assessing effectiveness in achieving those expected learning outcomes, and preparation of a curricula review report.

   The unit shall submit a thorough curricula review report which shall include, for each credentialed academic program: (i) description of the credentialed program of study; (ii) description of the learning outcomes assessment methods and results; (iii) description of the number of students participating in the program of study year-by-year; (iv) consideration of the role of the particular credentialed program of study in the larger context of curricula offerings of the unit’s parent college, and of the University as a whole; and (v) description of any changes for the program of study made or being contemplated. It shall also describe any changes of the unit’s internal consultation and decision-making process.
for curricula management decisions. The designated University resource office (Learning Outcome Assessment) shall provide a sample report form and other appropriate guidance to assist units preparing their curricula review reports.

The thorough review report shall be approved by the voting-qualified faculty of the unit, presented to the dean of the college and the college council (or delegated committee), and submitted to the designated University resource office (Learning Outcome Assessment). A copy shall be included in materials provided for the University’s Seven-Year Academic Unit Review of the academic unit.

c. Interim Program Learning Outcome Assessment report. The procedures for interim summary learning outcome assessment reports (ordinarily 3rd and 5th years) shall include conducting learning outcomes assessment for each credentialed program of study, analyzing the results, and considering any needed curricular changes. The unit shall prepare a summary report describing, for each credentialed program of study, the learning outcomes assessment conducted and the results; and describing any substantial changes made subsequent to the most recent thorough or summary review regarding the program of study, or the expected learning outcomes or methods of assessment. The interim report shall be submitted to the designated University resource office (Learning Outcome Assessment), and copies presented to the voting-qualified faculty of the unit, the dean, and the college council (or delegated committee of the council).

d. Any changes to the credentialed program of study following either a thorough or a summary review shall be processed through the University’s usual approval procedures as appropriate for the nature and extent of the changes. [See Policy 6-500 Curriculum Administration/Management.]

(Drafting Note: New Policy 6-500 is being developed at the same time work is underway on this Policy 6-001 revision, and is expected to be brought up for approval soon after approval of 6-001. It will include a detailed description of the processes for approvals of new or modified curriculum. For further information contact the Office of Curriculum Administration.)

3. It is a fundamental principle that the review and reporting process is intended to assist units in ensuring the high quality of the University’s curricular offerings, and to avoid imposing undue burdens of work which do not substantially contribute to academic quality. Reports from reviews of more than one credentialed academic program may be combined in a single document when convenient. Units which periodically undergo reviews of curricula by external accrediting bodies are encouraged to coordinate the University’s curricula review process with those external reviews for maximum efficiency in use of University resources.
The University Administration, in consultation with the Graduate and Undergraduate Councils, will provide technical assistance and guidance for units for developing and implementing curricula management plans, conducting and reporting on periodic curricula reviews generally, and in particular for identifying expected learning outcomes, and developing and implementing methods for assessing effectiveness in achieving expected learning outcomes. The Administration shall designate officers responsible for providing such technical assistance and guidance.

D. [__________ further info about principles applicable in the processes of establishing, periodically reviewing, and discontinuing academic units]

B. Faculties of the University -- Composition and Authority

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3. Authority of the Faculties, * * *

   a. Authority of Faculties of Academic Departments, Colleges, and other Academic Units.

   The faculty of each academic department, academic college, or other academic unit, shall have, subject to the approval of the Academic Senate and appeal to the University faculty, jurisdiction over all questions of educational policy affecting that academic unit, including requirements for entrance, graduation, and major, and prescribed subjects of study.

   Majors shall be authorized by the college faculty concerned, but the content of the major shall be determined by the department or departments in which it is given. Majors and their content shall be subject to the review of the Academic Senate in accord with Part III-D of this Policy.

   A statement of the action taken upon educational policy by any academic unit faculty shall be presented at the next regular meeting of the Academic Senate for consideration and action thereon.

   b. Authority of the University Faculty

   The University faculty shall have authority, subject to the approval of the Board of Trustees, to legislate on matters of educational policy, to enact such rules and regulations as it may deem desirable to promote or enforce such policies, and to decide upon curricula and new courses of study involving relations between colleges or departments. The faculty has a right to a meaningful role in the governance of the University including primary responsibility for course content and materials, degree requirements and curriculum; it has a right to participate in decisions relating to the general academic operations of the university including budget decisions and administrative appointments.

   ****

   The legislative power of the University faculty collectively will normally be exercised by the faculty through their representatives in the Academic Senate and the college and Graduate and Undergraduate councils,* * * *

C. Academic Governance Committees and Councils

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3. Councils of the University—Graduate, Undergraduate, Academic Deans.

   a. In addition to the system of college councils (Part III-C-1 above), there are three University-wide councils: The Graduate Council, the Undergraduate Council, and the Council of Academic Deans.

   b. Graduate Council—Composition and Authority.

   The Graduate Council is hereby established within the system of academic governance of the University. As more fully described in Policy 6-200, the Council supervises graduate study at the University, and reviews and evaluates proposals for new graduate degrees and certificates, or name changes or major revisions. However, the administration of professional degrees may be delegated by the Graduate Council to colleges or departments. The Council is responsible for the review and evaluation of all existing departments and programs that award graduate and undergraduate degrees and certificates. The Undergraduate Council participates with the Graduate Council in
the review of undergraduate programs based in departments awarding graduate degrees. The Graduate Council also reviews and evaluates proposals for new academic administrative units (e.g., departments, divisions); centers, institutes and bureaus, and proposals for name changes or major revisions of the preceding, through the processes described above in Part III-A-2 ("Creation, Review, and Discontinuance of Academic Units"). It assumes other responsibilities as established by University Regulations or Board of Regents Policy.

The Graduate Council members * * * The Graduate Council shall establish policies and procedures for the Graduate School, such policies and procedures being subject to review by the Academic Senate.

c. Undergraduate Council—Composition and Authority.

The Undergraduate Council is hereby established within the system of academic governance of the University. The Council consists of one elected faculty representative from each academic college offering undergraduate degrees and making a significant contribution to undergraduate education across the campus (currently including [listed here only for convenience and subject to change by authority of the cognizant vice president as needed without formal revision of this Policy] --Architecture and Planning, Business, Cultural and Social Transformation, Education, Engineering, Fine Arts, Health, Humanities, Mines & Earth Science, Nursing, Science, Social and Behavioral Science, and Social Work), a second elected representative from three colleges (Humanities, Science, and Social and Behavioral Science), one elected representative from the University Libraries, one elected representative from the “Honors College interdisciplinary program,” and an appointed representative of other interdisciplinary programs and three undergraduate students each representing a different college and recommended by ASUU, two of which shall come from the Student Senate.* * * *

The Undergraduate Council is charged with the responsibility: (1) to coordinate and encourage the development of undergraduate studies across the University and (2) to oversee all University-wide undergraduate requirements. The Associate Academic Vice President for Undergraduate Studies and Council shall have the responsibility of establishing and maintaining General Education and Baccalaureate Degree requirements in accord with Policy 6-101—Undergraduate Study and Degrees, in cooperation with the academic departments and colleges. It shall be the responsibility of the Associate Academic Vice President for Undergraduate Studies to insure quality in the instruction and in the content of the courses meeting those requirements through periodic review of curriculum. To facilitate such review, the Associate Academic Vice President for Undergraduate Studies will appoint representative faculty committees which will report to the Undergraduate Council for approval. The Council is responsible for reviewing and evaluating proposals for new undergraduate programs as well as proposed deletions of undergraduate programs and degrees by colleges and departments. It assumes other responsibilities as established by Policy 6-101, and other pertinent University Regulations or Board of Regents policy. In addition, the Council is responsible for reviewing and evaluating all undergraduate degrees and programs that are not located in departments with graduate degrees. The Undergraduate Council also participates with the Graduate Council in the review and evaluation of undergraduate programs based in departments awarding graduate degrees (see Part III-C-3-b above, and Policy 6-200-III-Section 1). *
Memorandum

From: Senate Ad Hoc Learning Outcomes Assessment Committee 2015-2017 (Chairpersons: Ann Darling and William Nesse)

To: Senate Executive Committee

Re: Project Report and Proposal for creating policy on learning outcome assessment

Date: March 15, 2017

I. Introduction:

This is a report of our Committee’s work and a proposal to create policy governing when and by whom program learning outcomes will be assessed. The proposal specifically is to add to existing University Policy 6-001 a new section that focuses on curriculum management and learning outcome assessment.

The documents include (i) this Memorandum, (ii) the recommended draft revision of Policy 6-001, and (iii) a sample template of a department Curriculum Management Plan (as one example of the various guidance documents which will be provided to assist departments in complying with the various documentation requirements under the new Policy contents). Also included for historical purposes is (iv) the February 2015 Report to the Senate from the 2014-2015 Ad Hoc LOA Committee.

This proposal comes to the Senate after an extended period of deliberation and in response to recommendations from the Northwest Commission on Colleges and Universities (NWCCU).

Deliberation about policy regarding learning outcomes assessment has been ongoing. The project began as a direct outgrowth of an accreditation review of the University by the Northwest Commission of Colleges and Universities, with the NWCCU at that time applying to the University a newly developed format for reviews and a new set of accreditation requirements. As explained to the Senate at that time “NWCCU has implemented new academic performance requirements, including development and use of Expected Learning Outcomes and Outcomes Assessment for every academic program at the University.” (Senate minutes March 2014). During that review it was established that the University must undertake a thorough examination of and upgrading of its systems for identifying program learning outcomes and conducting regular assessments of learning outcomes. To that end, the Senate has impaneled in series two ad hoc committees, each making substantial progress during its term of activity, to study, strategize, and ultimately develop a policy proposal to respond to the requirements of the accreditation review.

The first ad hoc committee was created by the Academic Senate in spring 2014 and worked through the 2014-15 academic year. As formed by then Senate President Steve Alder, it was chaired by Jennifer Garvin, and worked with the Graduate School Dean’s office which had primary responsibility for the accreditation review (valuable assistance from Dean Dave Kieda, and Assistant Dean Jennifer Mabey). The committee charge was to “undertake a comprehensive study of the process of academic assessment at the University of Utah for the undergraduate, graduate, and professional degree programs.” That first
committee led a series of Senate discussions in September 2014, November 2014, and February 2015. The February 2015 report to the Senate from that first committee is provided with this memorandum. That committee recommended, in part, that 1) the identification and assessment of program learning outcomes rests with the faculty, 2) administration’s role in this process is to enable and facilitate regular program assessment and evaluation, 3) there should be a new university level committee formed to oversee learning outcome assessment (University Outcome Assessment Committee) and, 4) learning outcomes assessment should be conducted on an annual basis. The work of the first committee was a significant contribution for the University’s first major response to the accreditation reviewers concerns regarding learning outcomes assessment, when the University submitted a “Seven Year Self Study” in August 2015. Under the new regime for NWCCU accreditation, the review process is an ongoing process, with periodic reports to document the University’s efforts and accomplishments in responding to reviewer-identified concerns.

With the first ad hoc committee having laid a foundation, the Senate in fall 2015 impaneled this second ad hoc committee to carry the work forward, and in particular to complete the task of bringing forward a proposal for a University Policy which will establish University-wide requirements for program learning outcomes assessment, and thereby bring the University into compliance with the commitments from the NWCCU accreditation review. As formed by 2015-2016 Senate President Bill Johnson this committee has been co-chaired by Ann Darling, Office of Undergraduate Studies and William Nesse, Department of Mathematics and included membership from a variety of colleges including Engineering, Nursing, Humanities, and Social and Behavioral Sciences (see details below). The Committee’s charge included “developing policy to guide campus wide adoption of outcomes assessment, implementation of which will include provision of supporting guidance materials, development of best practices across campus, and identification of support needed from central administration.”

This committee has reviewed the recommendations from the prior ad hoc committee as well as explored best practices from peer institutions including the University of Arizona, University of Washington, University of Nebraska and UCLA. On our behalf Prof. Bob Flores as Senate Policy Liaison visited and met with administrators at the University of Arizona who administer their well-developed program, and held related discussions with representatives of PAC12 member institutions through the periodic meetings of the PAC12 Academic Leadership Coalition.

With the background of the combined extensive groundwork of the prior committee, multiple discussions with the Senate Executive Committee and Senate, and this second committee’s additional research and deliberation, we now bring forward the requested proposal for a University Policy for a system of learning outcomes assessment processes, as well as reporting on accomplishments completed or underway for developing related guidance materials.

II. Overall Implementation of LOA at the University

The proposed Policy is one important part of a multi-faceted approach the University is engaged in to implement Learning Outcome Assessment (“LOA”), and integrate it into the management and administration of curricula across the institution.

Guiding principles for the overall project have been to (i) ensure that all important decisions about curriculum planning and assessment are being made primarily by the faculty of the unit which offers the curriculum, (ii) ensure that all academic units are regularly conducting assessment of the effectiveness
of their curricular offerings, (iii) assign to appropriate central offices the responsibility of providing units with resources, guidance and other assistance for implementing LOA, and the responsibility to oversee the regular assessments process, and (iv) implement LOA in a lean and efficient manner, keeping to a minimum the demands implementation imposes on individual academic units and central resources, while adequately responding to the accreditation concern and serving the University’s commitment to excellence in the teaching mission.

The main functions of the proposed Policy will be to clearly communicate to academic units the obligation to regularly conduct assessments, and to put in place procedures for conducting those assessments and submitting reports about them to a central office.

The University has already made significant progress on developing the resources to assist units in conducting LOA, and setting up centralized systems for assisting units in implementing LOA, and then for periodically overseeing the assessments, and work on those facets of the overall project is ongoing.

First, as a significant step in responding to the NWCCU Accreditation process described above, the University has established and staffed a new Office of Learning Outcomes Assessment, located in the Sterling Sill Center, administered by the Assistant Dean of Undergraduate Studies (Mark St. Andre), and Assistant Vice President for Undergraduate Studies (Ann Darling). The LOA Office has already assisted greatly with the work of this Ad Hoc Committee, including gathering information about best practices from across the University and at other institutions, including PAC12 member institutions. It is already operating a website through which it is offering a growing set of resources to assist units with LOA tasks. http://learningoutcomes.utah.edu/

This Policy proposal has been timed such that the LOA Office and its important resources have been made available to academic units well before the new Policy requirements will be taking effect. And the Office will continue identifying, gathering and disseminating useful guidance materials and providing other resources as academic units are implementing the new Policy requirements over the coming years.

Second, the University has identified the offices that will have central responsibilities for guiding initial implementation of LOA throughout the institution, and then ongoing responsibilities overseeing LOA procedures over the long term, and those offices are preparing for their relative roles. Through the efforts of the Ad Hoc Committee and the two offices, it has been determined that the central responsibilities will be shared by the new LOA Office (situated with Undergraduate Studies/ the Undergraduate Council) and the office of the Graduate School (Assistant Dean Katharine Ullman, Dean Dave Kieda, situated with the Graduate Council). The offices are preparing by developing appropriate procedures, guidance materials and other resources to assist units as the units gradually begin participating in the regular LOA reporting process as provided for in the new Policy. The Graduate School has already been incorporating LOA-related inquiries into the guidance materials for units preparing to submit a “self-study” for purposes of a seven-year review.

These assignments of central oversight and assistance responsibility are made in keeping with the principle of maximum efficiency and minimal burden on individual academic units. This arrangement is based on a decision that the newly required LOA-related periodic reporting from individual units should be integrated into the existing process by which the University reviews academic units on a seven-year periodic cycle. For that seven-year-cycle review process, which is required statewide by Utah Board of Regents Policy R4-111, the University, through existing Policies 6-001 and 6-200 has long assigned
central responsibility for overseeing those reviews to the Graduate Council and Graduate School for most of the University’s academic units (all that offer graduate curriculum, and instead to the Undergraduate Council and Undergraduate Studies Office for the very few units which exclusively offer undergraduate curriculum).

By integrating the new LOA periodic reporting process into that existing seven-year unit review process, as typically administered by the Graduate School, the University will avoid expending central resources to create an entirely new LOA-related review process, and keep to a minimum the burdens that periodic reporting requirements impose on individual academic units. The new LOA Office will share in the central responsibilities by providing its guidance materials and overall expertise on the LOA issues for the LOA-specific portion of the seven-year review process.

(Note that as further described below, the Policy will call for additional minimal reporting from units in the interim years between the major seven-year review cycles—and the LOA Office will take primary responsibility for coordinating and assisting units with those interim reports on LOA).

III. Highlights of Policy Revision

Earlier it had been contemplated that this project would result in an entirely new University Policy focused solely on LOA. Ultimately, our Committee concluded that it was a much wiser approach to add the LOA topic to the existing Policy which addresses the roles of faculty and the University’s academic units, and describes the fundamental characteristics academic units must have to be authorized to offer curriculum. Accordingly, the proposal is to revise existing Policy 6-001 Academic Units and Academic Governance, adding the LOA requirements to a section of 6-001 which governs the “Creation, Review, and Discontinuance of Academic Units.” The new content will describe “Principles for initial establishment and subsequent review of academic units with curricular responsibilities.” Placing the LOA topic within the Policy governing creation and periodic review of units ensures that the LOA concepts and processes are fully integrated into the structure of each academic unit from the time the academic unit is being initially created, and on through every major seven-year review cycle.

In brief, the proposed policy language accomplishes the following:

- Places responsibility for the creation and assessment of program learning outcomes in the hands of the faculty of an academic unit, by placing this LOA work in the context of curriculum management processes, and requiring written descriptions of those curriculum management processes to confirm the primacy of the faculty as decision-makers.
- Rather than create a whole new structure and process (with attendant added burdens and resource requirements) the proposed language inserts learning outcome assessment into the ongoing process of program reviews conducted every seven years (in most cases by the Graduate School).
- Rather than structure reporting on program learning outcome assessment on an annual schedule (as was recommended by the first Ad Hoc Committee and is followed by some universities) the policy instead adopts what is effectively a biennial schedule (requiring one full report integrated with the seven-year cycle self-study of the academic unit, and two interim reports within the seven-year cycle).
A. Creating Curriculum Management Process and Plan

Our research and discussions made it clear that learning outcome assessment needed to be attached to policies related to curriculum management. Conducting learning outcome assessment outside of the goals and structure of a curriculum decision-making process could result in a meaningless exercise; furthermore, the strong sentiment in our group and the previous committee was that curriculum management and learning outcome assessment needed to be vested in the decision making practices of the faculty of the academic unit which has direct responsibility for each program.

Proposed language in 6-001 III 2 b ii A introduces the concept of a Curriculum Management Process, to be described in a written Curriculum Management Plan, with LOA as the central feature of the Plan.

Eventually, each of the University’s academic units will prepare written descriptions of their scheduling for and procedures for conducting learning outcome assessments of the curricula for which that unit is primarily responsible (e.g., each degree, minor, certificate, etc.). That description of LOA procedures will be the most significant portion of a document the Policy refers to as a “curriculum management plan.” In addition to describing the LOA process of the unit, that Plan document will describe the decision-making process followed within the unit (to ensure that the unit’s faculty have the primary authority in decisions over the curriculum).

Implementing the requirement of submitting a written curriculum management plan for each unit will occur gradually over a seven year period—to keep to a minimum burdens imposed on the units, and to allow the central offices that receive and review the plans to operate efficiently and smoothly.

Any newly created unit (such as a new academic department) must have its curriculum management plan at the time it begins operations. Existing units, however, will not have this requirement applied until a unit comes up for its next regular periodic review (commonly known as the Graduate Council Review), when the unit will submit that plan as an integral part of its self-study report for the seven-year review. Because the University’s existing schedule for conducting reviews of units effectively spreads the entire set of units evenly across a seven-year period, the two central offices that share responsibility for overseeing and assisting with the LOA reporting will have a steady flow of these curriculum management plans with their LOA components coming in over the initial seven years, rather than being suddenly inundated with a large number.


Our research and discussions made it clear that integrating learning outcome assessment in an ongoing process would be preferable to creating a new process and attendant administrative structure. The 7-year academic unit/program review (often known as the Graduate Council Review process) seemed the most appropriate process to target for this integration. Further study of the 7-year formal review confirmed this inclination; attention to LOA has already been incorporated to some extent in that review process. As those familiar with the review procedures will recognize, in the so-called “Redbook” of the Graduate Council in which the procedures are described, existing section 5 invites programs to provide evidence of effectiveness, and learning outcome assessment is one such kind of evidence. Accordingly, the Policy proposed sets as the most important requirement that each academic unit conduct one “thorough review” of its LOA on a seven-year cycle, and include the report from that as part of the familiar seven-year review of the overall academic unit (submitted to the Graduate Council).
There is also provision for *interim reporting* on LOA within the seven-year cycle, and our Committee recommends a balanced approach for that. Leaving LOA unexamined for a full seven years would poorly serve the University's commitment to excellence in teaching (and inadequately respond to the NWCCU accreditation concerns). The first ad hoc committee recommended an annual reporting, and several of our peer institutions do employ annual learning outcome assessment. However, after many discussions and careful consideration of the pros and cons, our strong inclination is to require regular periodic assessment on a less frequent schedule, so that the process is both manageable and meaningful. We conclude that annual reporting would likely become merely routine ‘make-work’ and that a schedule of two interim reviews, coupled with one thorough review spread over a seven-year cycle (effectively *biennial reporting*) will be both a wise use of unit-level and central resources and most likely to produce meaningful results.

Proposed language in 6-001 III 2 b ii C 2 a prescribes that learning outcome assessment schedule, with *reports in years 3-5-7 of a seven-year cycle*. One is a *thorough review* report, and the other two are *interim summary* reports.

**C. Contents of Learning Outcome Assessment-related Reports**

Again using our discussions and research of best practices, we identified the essential components of the two types of reports which a unit should prepare within a seven-year cycle. Those essential components are described in the proposed Policy, (in 6-100 III 2 b ii C 2 b& c) for both the interim summary reports (3rd and 5th years), and the thorough review reports (7th year). Additionally, it is our strong recommendation that reporting units be provided with extensive guidance materials and assistance in preparing their reports, and the LOA Office has committed to and has already made significant headway in preparing for that assistance.

**III. Project consultations, and next steps.**

The 2015-2017 Ad Hoc Committee members included: Margaret Clayton, Nursing; Robert Nathan Mayer, Family and Consumer Studies; Paul Jewell, Geology & Geophysics; Rachel Hayes-Harb, Linguistics and Office of Undergraduate Research; Bill Johnson, Geology & Geophysics; William Nesse, Mathematics; Ann Darling, Office of Undergraduate Studies. Mark St. Andre, Office of Undergraduate Studies was included in our conversations as an assessment expert. Additionally, Senate Policy Liaison and Professor of Law Bob Flores was assigned by the Senate Leadership as ex officio to provide the committee technical assistance in the task of drafting a proposed policy.

As described above, the Committee, with assistance of the new LOA Office, has obtained information from multiple other universities, particularly PAC-12 members, and in particular received valuable information from the University of Arizona.

This proposal has been reviewed by the Senate Leadership Team and by the Associate Dean of the Graduate School. The policy revision project has been tracked through the Institutional Policy Committee as per standard operating procedure for policy changes.
If the Senate Executive Committee finds this report and proposal suitable, we look forward to the opportunity to present the proposal to the Academic Senate before the end of spring 2017, and recommend that it be approved and that the new Policy contents take effect July 1, 2017.

Attachments: (a) the recommended draft revision of Policy 6-001, (b) a sample template of a department Curriculum Management Plan, and (c) the earlier report of the 2014-2015 Ad Hoc LOA Committee, presented to the Senate in February 2015.
A. Internal Curricular Decision Making Process

(Instructions: describe the important steps and participants in the processes the department follows for creating or modifying any “Credentialed Academic Program” (defined in Policies 6-001 & 6-500 as a Degree, Major, Minor, Certificate or Emphasis), and also the process for creating or significantly modifying individual credit-bearing courses. Include a brief description of the organizational structure of the unit, and just sufficient detail of involved committees/faculty bodies, to demonstrate compliance with requirement that “The unit shall have an internal consultation and decision-making process which places primary responsibility for curricula management decisions with a body comprised mainly of voting-qualified members of the faculty of the unit, and also provides for oversight by another body comprised mainly of voting-qualified faculty members. Consultation with student representatives is encouraged. For example, in a typical structure of an academic department within a multi-department academic college, the process will include formal approval by the voting-qualified faculty of the department (possibly assisted by a designated departmental curricula committee), and consultation or formal approval by a body representative of the college faculty (either the full college council, or a curricula committee of the council).” Policy 6-001-Ill-A-2, & Policy 6-500.)

Example:

i) The department of XXX is an academic department situated within the college of XXXX. Administratively the department is headed by a Department Chairperson, who reports to the Dean of the college, and in turn to the Senior Vice President for Academic Affairs.

ii) A proposal to create a new Credentialed-Academic-Program (Degree, Major, Minor, Certificate or Emphasis), or to modify any existing such Credentialed Program, and a proposal to create or modify a credit-bearing course, will include a required Learning Outcome Assessment Plan for the Credentialed Program or course. Such a proposal is first considered at the department level by the Department Curriculum Committee, then the Voting-Qualified Faculty of the Department. The Curriculum Committee voting members include five faculty members, the majority of whom are Tenure-line, and the others are Clinical or Lecturer faculty members who have held full-time (at least .75FTE) positions for at least three years. There is [one] voting student representative. All voting members are appointed by the Department Chairperson. The assistant department chairperson serves as a non-voting ex officio member. The Committee seeks and incorporates input from the department Student Advisory Committee (SAC).

The Voting-Qualified Faculty of the Department, for curriculum decision purposes, includes all Tenure-line faculty members, and [a set number/percentage, or all] Clinical or Lecturer
faculty members who have held full-time positions for at least three-years. (Presently the numbers are ### Tenure-line, ### Clinical, and ## Lecturer).

iii) Once approved at the department level, a proposal for a new/modified Credentialed Academic Program, or a new/modified course, is reviewed [and formally approved] at the college level by the the College of XXX Curriculum Committee, and then by the voting members of the College Council. The College-level Committee membership is [_____] and College Council membership is [_____] (Either describe membership here, or may instead simply refer to and attach the relevant portion of the current college council Charter).

iv) After college-level review, a proposal for a new/modified Credentialed Academic Program is presented to the appropriate University-level bodies--- Undergraduate or Graduate Council, and Academic Senate (as coordinated by the Office of Curriculum Administration, see Policy 6-500). A proposal for a new/modified course is presented to the Office of Curriculum Administration for coordination and inclusion in the University Catalog, in accord with policies of the University Curriculum Policy Review Board.

v) For both any new/modified individual course, and any new/modified Credentialed Academic Program (Degree, Major, Minor, Certificate or Emphasis), an approvable proposal must describe identified learning outcomes, and a plan for assessment of those outcomes, with details of the appropriate assessment methodologies.

B. Schedule and Procedures for Conducting Periodic Curriculum Reviews

Every seven years, ordinarily in conjunction with the University’s seven-year cycle review of the department as an academic unit (as coordinated by the Graduate Council), the department will conduct a thorough review of its curriculum and submit a report of that review. It will conduct the thorough review in accord with Policy 6-001 and the current guidelines developed for such reviews by the Office of Learning Outcome Assessment and the Graduate Council (as described in University of Utah Graduate Council Program Reviews: Descriptions and Procedures, aka “the Red Book”) [; and any guidelines of appropriate accrediting bodies].

Twice within the seven-year cycle, ordinarily on years three and five, the department will conduct an interim periodic learning outcomes assessment. This process will begin with the assessment plan and culminate in an interim summary learning outcome assessment report, submitted in accord with Policy 6-001, and current guidelines developed by the Office of Learning Outcome Assessment.

The Department Chairperson is responsible for ensuring that the third and fifth-year interim summary reports, and subsequently the seventh-year thorough report, are completed and submitted.

The Department Curriculum Committee is responsible for organizing and conducting the learning outcomes assessment as the primary basis for the reports.
The Department Voting Faculty will review the interim summary reports and make recommendations for changes to the curriculum based on elements of the reports. These process steps of outcomes formulation, assessment, review, and recommendation are reflected in periodic reports, and then are documented and used as the basis for the thorough year-seven report.

C. “Credentialed Academic Programs” Currently Offered by This Academic Unit.

{Instructions: list by official name each Credentialed Academic Program (defined as Degree, Major, Minor, Certificate or Emphasis) this academic unit has been approved to offer and is therefore currently listed in the University Catalog. Use the precise official name as it is listed in the University Catalog. It will be assumed that the “program of study” for each listed credentialed program is exactly as currently described in the University Catalog, and so there is no need to describe that here. And there is no need to list individual courses here. }

Example:

The Department currently offers two bachelor of arts degree majors. It offers a Major in “XX”, for which it offers three Undergraduate Emphases (“XXX”, “XXX”, and “XXX”). It offers a Major in “ZZ”, for which it offers two Undergraduate Emphases (“ZZZ”, and “ZZZ”). It also offers a Master of Arts Degree in “YYY”. And it offers a Graduate Certificate in “XXX”. The details of each, including the “official program of study” for each, are as currently described in the University Catalog, as maintained by the Office of Curriculum Administration.
Report and Recommendations of the
2014-2015 Senate Ad Hoc Committee on Enhanced Learning Outcomes
Assessment
University of Utah

Presented to the Academic Senate February 2, 2015.

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Senate Agenda site:
http://www.boarddocs.com/ut/uutah/asop/Board.nsf/goto?open&id=9T2T2U6FDDD2
Enhanced Learning Outcomes Assessment Senate Ad Hoc Committee Recommendations

Submitted on Behalf of the Enhanced Learning Outcomes Assessment Senate Ad Hoc Committee Members by Jennifer Garvin, PhD, MBA (Chair).

Review of Committee Charge:
Committee Charge: Undertake a comprehensive study of the process of academic assessment at the University of Utah for the undergraduate, graduate, and professional degree programs. Our charge includes the following:
1. Create a campus-wide system to support assessment activities that consolidates current coordination and evaluation activities, aligns with currently required activities, and provides a feedback loop to each department and college.
2. Provide recommendations for a university-wide oversight body that will track periodic review results of Outcome Assessments (OA’s) in each program and evaluate ongoing improvements in student outcomes.
3. Provide recommendations for improving access and accuracy of Office of Budget and Institutional Activities (OBIA) data to departments and colleges to assist in their yearly program evaluations.
4. Recommend a periodic interval (e.g. yearly) for departmental and college reports to the institution wide assessment oversight body.
5. Develop an educational assessment vision based on strong partnership between faculty and administration.

In response to our charge the Senate Ad Hoc Committee is pleased to submit the following recommendations:

Section A- Core Principles and Educational Assessment Vision

The following six core principles guiding University of Utah policies for continuous improvement of program quality and student achievement with the Academic Senate were discussed and agreed upon. We recommend that these core principles serve as a guide for the development of policies, procedures, and rules related to the data collected from the assessment of courses, degree programs, and certificates at the University of Utah.

1. All policies shall be developed in the spirit of partnership between faculty staff, and administration, with the goal of continuous, data-driven improvement of the quality of the educational experience for the students of the University of Utah.

2. All policies must acknowledge the faculty stewardship of the program curriculum, learning outcomes, and outcomes assessment. University faculty members are responsible for evaluating curricula and learning outcomes, as well as for using the resulting information to make appropriate changes to the curriculum.

3. The role of administration in curriculum management is to enable and facilitate regular program assessment and evaluation. The administration will work with colleges and departments to ensure faculty members and academic programs are implementing changes to their curricula in response to the outcomes assessment. Administration is also responsible for providing common resources (such as institution, college, or departmental-wide statistics) for assisting the faculty in
performing its assessment of expected learning outcomes. We note that it would be very helpful if negotiating arrangements with outside sources of information, such as: a) licensing test scores from the state licensing board, b) alumni surveys could be undertaken as these are some of the most valuable data in the evaluation process (particularly from the viewpoint of professional accreditors), and they are difficult to get.

4. The primary purpose of collecting data is to aggregate a collection of program assessment indicators that will be employed at the program level to improve student learning and program outcomes. Data collected for outcomes assessment and curriculum improvement should be aggregated to deemphasize the identity of individuals (students, faculty and staff).

5. Changes to curriculum as a response to outcomes assessment are performed at the program level, and these efforts are reported to administration in periodic reports.

6. These core principles emphasize transparency of data collection, reporting, and usage. These processes include a plan for archiving relevant data, as well as for making metrics and progress accessible to the appropriate constituencies in a timely manner.

Section B- Structure for a System to Support and Coordinate Activities

According to the Six Core Principles for Learning Outcomes Assessment that were discussed by the Senate in November, we recommend that the primary assessment be done by faculty at the program level. We also recommend that faculty at this level take primary responsibility for modifications to curriculum (if any) for improvement. Based on the charge for the Senate Ad Hoc Committee, we will make recommendations regarding coordination of these efforts. We recommend that the Administration have the responsibility of ensuring that outcomes assessment and curricular enhancement be done on an ongoing, regular basis, and that they also assist the individual programs by developing and providing access to common, university-wide resources for the assessment of learning outcomes and program objectives. Based on the Six Core Principles we also recommend that polices be established for the archiving of outcomes assessment data, and that data be aggregated so as to protect the identity of faculty members, students, and staff.

We recognize that there is a wide variation in how these activities can be coordinated at the college level and department level. For example, there may be multiple departments in a given college that have similar professional accreditation requirements, so the college level may be a useful level at which to coordinate. And, if applicable to the college, coordination at the college level is also an excellent way to activate college councils from which department reports may move to the University Outcomes Assessment Committee (UOAC) from each college council as a coordinated package. Alternatively, a given college or department may develop other pathways of monitoring, analyzing, and distributing information with the goal of using existing assessment and reporting activities to the greatest extent possible.

The following are high-level recommendations for learning outcomes assessment. We also recommend that operational steps be planned and carried out after the foundational work undertaken by the Senate Ad Hoc Committee and the Senate is completed.
We recommend that the coordination of enhanced learning outcomes have the following structure:

**Section C- Other Recommendations**

We also recommend the following:

- The faculty representation in the enhanced learning and outcomes assessment process occur primarily at the program and college level. The committee UOAC is best kept lean and two or so faculty on this committee would be good. Potential faculty members could include one graduate faculty member and one undergraduate faculty member.

- The aggregate information about outcomes be developed by each program department college, and they plan any resulting actions. Note that our charge is to recommend the development of plans for university units and to recommend how the plans are communicated. Specifics about data and operational steps are beyond this charge.

- A yearly reporting process.

- The UAOC function mainly in an advisory capacity. The authority and power for these efforts comes from the curriculum committees in the program, department, and college. The UAOC could have some or all of the following functions:
  - Track departmental activity report to ensure that individual departments/colleges are evaluating their outcomes assessment data and making changes to curriculum.
  - Report on campus-wide progress in curriculum development to SVPAA, SVPHS, President, Board of Trustees, accrediting agencies.
  - Alert SVPA, SVPHS, President, Board of Trustees regarding issues in colleges, needs for additional resources/changes.
  - Receive requests from individual programs and colleges for assistance with University-wide outcomes assessments; work with administration to develop university-wide support strategy for standardization/collection/distribution of commonly requested outcomes assessment indicators.
Membership should be Deans of Graduate School and Undergraduate Studies, Center for Teaching and Learning Excellence, advisors, perhaps Institutional Assessment, and a faculty member from main campus, and from Health Sciences.

Yearly report to SVPAA, SVPHS and work with OBIA/ACS (and others) for development of university-wide OA infrastructure, as required.

- The role of the college in this process be based on the current curriculum committee, college council structure and charge.
- The role of the college dean in this process be based on the current configuration of the program, department, or college. Generally, the dean is the leader who provides centralized effort for the college through the council or curriculum committee structure. As such, they should have the purview of developing operational aspects of undertaking the enhanced learning and outcomes assessment process and for advocating for additional resources for university wide outcomes assessment.
- The faculty, curriculum committee chair, and the department head at the program level drive the curriculum including the plan to assess graduating students.
- Faculty see and vote on a plan for enhanced learning and outcomes assessment and review and vote on changes to the curriculum. Data related to these efforts should be available to faculty at any time.
- Resources to assist coordination be determined including partnering with the University of Utah Alumni Association or OBIA to undertake surveys, to engage with librarians and members of the Center for Teaching and Learning Excellence to revise the curriculum and to use Canvas to collect data and that the university obtain licensure results.

**General next steps and discussion following completion of the Senate Ad Hoc Committee charge may include the following:**

Concrete implementation of such a structure needs the following clarifications (there may be more) after the process of coordination is agreed upon. Important aspects of coordination that should be decided include:

1) The structure and purpose of the committee are tentatively called UOAC (University Outcomes Assessment Committee).
   a. Who are the members? Is this just a committee of the Academic Leadership Team (deans?) Is there a role for faculty members? If so, how many faculty members, how are they chosen, how long do the serve?
   b. Who does UOAC report to?
   c. What do they report on?
   d. How will the UOAC be staffed (i.e., minute development, reports, requests, etc.)?
   e. What data is required by the UAOC from the colleges/departments?
   f. Does UAOC have the power to initiate action or implement policy, or is its role mainly advisory?

Draft UOAC interlocking functions could include:
   i. Tracking departmental activity report to ensure that individual departments/colleges are evaluating their outcomes assessment data and making changes to curriculum.
ii. Reporting on campus-wide progress in curriculum development to SVPAA, SVPHS, President, Board of Trustees, and accrediting agencies.

iii. Alerting SVPA, SVPHS, President, Board of Trustees regarding issues in colleges, needs for additional resources/changes.

iv. Receiving requests from individual programs and colleges for assistance with University-wide outcomes assessments; work with administration to develop university-wide support strategy for standardization/collection/distribution of commonly requested outcomes assessment indicators.

v. Membership could potentially be Deans of Graduate School and Undergraduate Studies, Center for Teaching and Learning Excellence, perhaps Institutional Assessment, and a faculty member from main campus and from Health Sciences.

vi. Providing a yearly report to SVPAA, SVPHS and work with OBIA/ACS (and others) to develop university-wide OA infrastructure, as required.

vii. Influencing a given dean/department chair who is not making needed effort toward evaluating outcomes and modifying curriculum.

viii. Providing feedback to the department or college if the documentation is not sufficient.

ix. Working with CTLE to develop training and having the authority to require existing and new department chairs, program curriculum chairs to attend training, and perhaps having the ability to set a policy for required training.

2) What is the role of the college in this process? According to University Policy 6-003, College Councils, “College councils shall develop curriculum and related academic programs to meet the goals and purposes of the university.” Consequently, they already have an existing role in the creation and development of academic programs and curricula, and so any new policy needs to reflect this role.

a. What is the authority, if any, of the college council to impose or require specific curricular modifications?

b. What data is available to the college council?

c. Is the college council allowed to add additional information or recommendations into the report which goes to the next level (dean? UAOC?)

d. Is the college council allowed to advocate for additional resources for university wide outcomes assessment, or for implementing additional curricular changes at the program level.

3) What is the role of the college dean in this process? It would seem appropriate that they take responsibility for ensuring the yearly assessment of learning outcomes is occurring, and that changes, as appropriate, are made to program curricula and that this data be reported to the UAOC or the relevant party who will in turn report the data to the UAOC. We would also suggest that:

a. The dean may request to see some of the aggregated data from each program and the question of how much data is important to address.

b. The dean will work with faculty to develop specific changes to curriculum based on the results of outcome assessment activities.
c. Similarly, is the dean allowed or required to provide additional data or recommendations to the next level (UAOC)?

d. Is the dean allowed to advocate for additional resources for university wide outcomes assessment, or for implementing additional curricular changes at the program level?

4) What is the role of the faculty, curriculum chair, and department head at the program level?

a. Does University policy proscribe a particular set of required meetings between the program faculty, the data from outcomes assessment, department chair, and chair of the curriculum committee? Or does the policy require programs to develop their own policy, and merely require that the policy be written, have certain elements (including yearly deadlines and defined deliverables to the college/UAOC) and be ratified by the department faculty?

b. What is the minimum amount of reporting necessary at the department level?

c. Is the report written by the chair, curriculum chair, or a subcommittee? Does the faculty need to see and vote on it each year? Or should it be made available each year to the faculty for a set period of time?

5) How are the above procedures and policies modified for

a. Single department colleges

b. Interdisciplinary programs

c. Programs (if any) residing in centers, institutes, or bureaus
After accounting for the above issues, a realistic coordination process will need to be determine but might have a somewhat larger and more detailed structure such as the following: