

FOR RECOMMENDATION**PUBLIC****OPEN SESSION**

TO: Academic Board

SPONSOR: Sioban Nelson, Vice-Provost, Academic Programs
CONTACT INFO: (416) 978-2122, vp.academicprograms@utoronto.ca

PRESENTER: Sioban Nelson, Vice-Provost, Academic Programs
CONTACT INFO: (416) 978-2122, vp.academicprograms@utoronto.ca

DATE: January 20, 2016 for January 28, 2016

AGENDA ITEM: 4

ITEM IDENTIFICATION:

Policy on Certificates (For-Credit and Not-For-Credit) – replacing Policy on Diploma and Certificate Programs

JURISDICTIONAL INFORMATION:

Section 5.3.1 of the *Terms of Reference for the Academic Board* states that the Board has the authority to recommend to the Governing Council for approval “*new or repealed policies or extensive changes to existing ones*” in academic matters.

GOVERNANCE PATH:

1. Committee on Academic Policy and Programs [for recommendation] (January 12, 2016)
2. **Academic Board [for recommendation] (January 28, 2016)**
3. Executive Committee [for endorsement and forwarding] (February 9, 2016)
4. Governing Council [for approval] (February 25, 2016)

PREVIOUS ACTION TAKEN:

The *Policy on Diploma and Certificate Programs* was first approved by Governing Council in June 1999. Revisions to the *Policy on Diploma and Certificate Programs* were approved on November 13, 2003. The revisions to the *Policy on Approval and Review of Academic Programs and Units* were approved in June 24, 2010 and the *University of Toronto Quality Assurance Process (UTQAP)* brought to AP&P for information on April 7, 2010. The *Statement of Policy on Continuing Education* was approved November 1988.

HIGHLIGHTS:

The proposed Policy is the result of a highly consultative process. The initial impetus was the need to review continuing education at the University, an issue identified by the previous Provost, Professor Cheryl Misak, through discussions with the Deans. All felt strongly that work was needed to ensure academic and administrative oversight of these activities. In 2013 the Provost created a Working Group on Continuing and Professional Education consisting of Deans, or their designates, from 11 divisions across the 3 campuses. The Working Group also included representatives from the School of Continuing Studies and School of Graduate Studies, and was chaired by the Vice-Provost, Academic Programs. The proposed Policy and accompanying Guidelines result from the work of this group. Drafts of the proposed Policy and accompanying Guidelines were circulated to all Deans for feedback during the summer of 2015; further iterations were presented to the Committee of Principals and Deans on October 29, 2015 and distributed electronically for circulation by the Deans for divisional feedback. The final proposed Policy and Guidelines reflect this feedback.

The proposed *Policy on Certificates (For-Credit and Not-For-Credit)* replaces the existing *Policy on Diploma and Certificate Programs*. The purpose of the new Policy is to reflect that diplomas are now covered under the protocols of University of Toronto Quality Assurance Process (UTQAP) in alignment with Ontario's Quality Assurance Framework (QAF), and to provide increased clarity, oversight and accountability to for-credit and not-for-credit certificates at the University of Toronto.

The 2003 *Policy on Diploma and Certificate Programs* pre-dates the introduction of Ontario's Quality Assurance Framework, with which the *University of Toronto Quality Assurance Process* (UTQAP) protocols are aligned. Since 2011-12, degree programs and diploma programs have been governed by the UTQAP, and the *Policy for Approval and Review of Academic Programs and Units*. Therefore, the proposed Policy does not refer to diploma creation and oversight. This change will also be reflected in revisions to the Committee on Academic Policy and Programs Terms of Reference coming forward concurrently under a separate motion. The revisions to the Terms of Reference will reflect that diploma programs, like undergraduate and graduate degree programs, are subject to UTQAP creation, change and review protocols.

As the proposed Policy will not refer to diplomas, its focus will be solely on for-credit and not-for-credit certificates. The existing *Policy on Diploma and Certificate Programs* describes three types of undergraduate certificates: post-secondary certificate programs; certificate programs offered in conjunction with degree programs and certificate programs in continuing education. The proposed Policy further clarifies the types of certificates offered by the University and outlines that for-credit certificates include stand-alone certificates for which a bachelor's degree is required for admission (category 1) and certificates that may be taken in conjunction with an undergraduate degree program (category 2). Both are offered at the undergraduate level only.

Like the 2003 Policy, the proposed Policy also includes not-for-credit certificates. Such certificates are offered by the divisions and the School of Continuing Studies. The proposed Policy expands and clarifies the description of not-for-credit certificates, category 3 in the proposed Policy. The proposed Policy states that these certificates comprise a coherent sequence

of not-for-credit courses which may not be counted for credit toward any degree program at the University of Toronto. They normally include a mechanism for assessment of student performance and they are not usually included on the academic transcript. The *Statement of Policy on Continuing Education* will continue apply. The 2003 Policy lists “Other academic activities” which include certificates of attendance or completion of activities, and certificates of attendance for auditing courses. The proposed Policy also lists these types of certificates under “Other Certificates”. Implementation of the proposed Policy’s sections on not-for-credit offerings will be supported by the accompanying *Guidelines for Continuing, Professional and Executive Education*, presented for information. The Guidelines provide a framework to support the development of not-for-credit continuing education of excellent quality.

A significant change in the proposed Policy is in certificate oversight and accountability. Under the current policy, for-credit certificates are to be approved by the Committee on Academic Policy and Programs (AP&P). This has not consistently occurred.

The proposed Policy delegates authority to the divisions to approve and close post-baccalaureate certificates (category 1) through a process that follows the UTQAP major modification protocol. The process for approving or closing a for-credit certificate offered in conjunction with an undergraduate degree program (category 2) will follow the minor modification protocol. This change allows for full Decanal oversight of for-credit certificates, which in scope and impact are akin to major and minor modifications over which divisions already have delegated authority. Existing reporting protocols for major and minor modifications will facilitate annual reporting of new for-credit certificates to AP&P, addressing the lack of a reporting mechanism under the 2003 Policy. Deans and their divisions will determine criteria for developing not-for-credit certificates and the appropriate approval protocols. Approvals of not-for-credit certificates will be reported to the Provost’s Office for inclusion in an annual report to the Committee on Academic Policy and Programs.

The change in oversight requires changes to the Terms of Reference of the Committee on Academic Policy and Programs (AP&P) to reflect that divisions will be responsible for the final approval of all certificates and that the Committee will receive an annual report on certificates, just as it receives other academic annual reports. The change to the Terms of Reference is coming forward concurrently as a separate item.

FINANCIAL IMPLICATIONS:

None

RECOMMENDATION:

Be It Recommended to the Governing Council

THAT the proposed *Policy for Certificates (For-Credit and Not-For-Credit)* be approved, replacing the *Policy for Diplomas and Certificate Programs*, effective immediately, subject to approval of the revisions of the Terms of Reference of the Committee on Academic Policy and Programs.

DOCUMENTATION PROVIDED:

Policy on Certificates (For-Credit and Not-For-Credit) (Draft for Approval)

Policy on Diploma and Certificate Programs (Current Policy)

Guidelines on Continuing, Executive and Professional Education (Draft for Information)

Policy on Certificates (For-Credit and Not-For-Credit)

Preamble

The University of Toronto offers three types of for-credit programs: degrees, diplomas and certificates. Undergraduate degree, graduate degree and diploma programs are governed by the *Policy for Approval and Review of Academic Programs and Units* in conjunction with the *University of Toronto Quality Assurance Process (UTQAP)*. The third type, for-credit certificates, are offered at the undergraduate level only and include stand-alone certificates and certificates that may be taken in conjunction with an undergraduate degree program. They consist of a coherent sequence of for-credit courses.

In addition to for-credit certificates, divisions at the University of Toronto may offer not-for-credit certificates as part of their continuing, professional and executive education programming. Not-for-credit certificates require in-depth knowledge in a particular subject area and comprise a coherent sequence of courses. Divisions also offer a range of continuing, professional and executive education activities.

Scope

This Policy is intended to define the parameters around for-credit and not-for-credit certificates and will:

- a) establish categories of certificates;
- b) ensure consistency in the use of the term “certificate” across divisions of the University of Toronto, so that its meaning will be clear to applicants, students, employers and the public;
- c) ensure that certificates constitute evidence of achievement of appropriate standards of learning;
- d) ensure that the resource implications of certificates and continuing, professional and executive education programming are appropriately addressed; and
- e) establish an approval process appropriate to each category of certificate.

Additional related policies and guidelines are the *Transcript Policy* (January 26, 2012), *Guidelines on Academic Transcript Notations* (December 8, 2011), the *Statement of Policy on Continuing Education* (November 15, 1988), the *Guidelines for Continuing, Professional and Executive Education* (2016), and the *Policy on Approval and Execution of Contracts and Documents* (November 17, 2008).

Categories of Certificates

The categories are as follows:

1) Post-baccalaureate certificates (stand-alone, for-credit):

- Normally require completion of an undergraduate degree or equivalent, as a condition of admission.
- Comprise a coherent sequence of for-credit undergraduate courses which may be eligible for credit towards a subsequent undergraduate degree program.
- Provide a mechanism for the assessment of student performance.
- Successful completion of the certificate is recorded on the academic transcript.
- Students are registered as University of Toronto undergraduate students and receive a parchment at Convocation.

Examples of certificates that fall under this category include:

- Certificate in Human Resources Management (Faculty of Arts & Science)
- TESOL Certificate Program (Faculty of Arts & Science)

2) **Certificates offered in conjunction with an undergraduate degree program (for-credit):**

- Students must be enrolled in a specific University of Toronto undergraduate degree program in order to qualify.
- Comprise a coherent sequence of for-credit undergraduate courses, relating to an identified topic or theme that may complement the degree program. Will normally consist of fewer full-course equivalents than a minor in an equivalent area.
- Provide a mechanism for the assessment of student performance. Will normally conform to the established rules and regulations relative to student progression and good standing.
- Completion of the certificate is recorded on the academic transcript as a component of the undergraduate degree; students do not receive a separate parchment at Convocation.

Examples of certificates that fall under this category include:

- Certificate in Global Engineering (Faculty of Applied Science & Engineering)
- Language Citation in French Studies (Faculty of Arts & Science)

3) **Certificates in continuing, professional and executive education (not-for-credit):**

- May have open admission, but may be targeted to particular professional and quasi-professional areas¹.
- Comprise a coherent sequence of not-for-credit courses.
- Normally provide a mechanism for the assessment of student performance.
- Not-for-credit courses may not be counted for credit toward any degree program at the University of Toronto.
- Participants are not registered as University of Toronto students.
- Normally, courses and certificates are not included on the academic transcript. Completion of the certificate program is to be recognized by a certificate from the division offering the program.

Examples of certificates that fall under this category include:

- Certificate in Information Management (School of Continuing Studies; Faculty of Information)
- Certificate in Financial Analysis (School of Continuing Studies)]

¹ In some cases these certificates in continuing, professional and executive education may be designed to fulfil the requirements of external professional, quasi-professional or other organizations and may have specific admission requirements.

Certificate Nomenclature

Category 1 and 2: Post-baccalaureate certificates and certificates offered in conjunction with an undergraduate degree program

The names of certificates in these two categories should be simple, consistent and specific to the area of study. Examples include:

- Certificate in Human Resources Management (Faculty of Arts & Science)
- Certificate in Global Engineering (Faculty of Applied Science & Engineering)

Category 3: Certificates in continuing, professional and executive education

A certificate in this category should clearly indicate it is a continuing education activity and:

- a. will normally be referred to as a “Not-For-Credit Certificate”, “Certificate in Continuing Studies”; “Certificate in Continuing Education”, “Certificate in Professional Development”, or “Certificate in Executive Development”;
- b. in exceptional circumstances, and with the approval of the Provost, may have different terminology to align certificates awarded by divisions at the University of Toronto with that of peer institutions offering similar programs, or with that in common use in a given professional or quasi-professional area.

Oversight and Accountability

Category 1: Post-baccalaureate certificates

Category 1 certificates are for-credit certificates offered at the University of Toronto that are eligible for and receive government funding, and as such, are subject to the same quality assurance accountability processes as other for-credit programming. While not explicitly referenced in the UTQAP, category 1 certificates will follow the protocols for approval and closure for major modifications in the UTQAP (section 3). Category 1 certificates are subject to periodic reviews under the UTQAP. In addition, certificates in this category will be included in an annual report by the Provost to the Committee on Academic Policy & Programs.

Category 2: Certificates offered in conjunction with an undergraduate degree program

Category 2 certificates are for-credit certificates at the University of Toronto that are offered in conjunction with an undergraduate program, and as such, fall under the UTQAP. Certificates in this category will follow the protocols for approval and closure for minor modifications in the UTQAP (section 3.1). Category 2 certificates will be reviewed with the relevant undergraduate program under the UTQAP. In addition, certificates in this category will be included in an annual report by the Provost to the Committee on Academic Policy & Programs.

Category 3: Certificates in continuing, professional and executive education

Category 3 certificates are not-for-credit certificates and therefore do not receive government funding and are not subject to the same approvals as certificates governed by the UTQAP. However, these certificates should be consistent with the University’s general objectives and the strategic direction of the divisions offering them. They should adhere to the same standards of excellence that are expected of all University

of Toronto program offerings. Certificates in this category must meet institutional and divisional criteria with respect to quality assurance including any review process, fit and resource allocations and shall align with the protocols set out in the *Guidelines for Continuing, Professional and Executive Education* (2016). Certificates in this category must undergo the appropriate divisional approval and are submitted to the Provost's office for inclusion in an annual report by the Provost to the Committee on Academic Policy & Programs.

For the School of Continuing Studies, certificates in this category are approved by the Dean, School of Continuing Studies and included in an annual report to the Provost's office and will be included as part of the Provost's report to the Committee on Academic Policy & Programs.

Other Certificates

1. Certificates of attendance/certificates of completion for continuing education activities: with decanal approval, "Certificates of Attendance" or "Certificates of Completion" may be issued by divisions using the division's logo to recognize other continuing education activities, provided that the certificate makes it clear what is being signified—for example, attendance at a course or workshop (specifying the length), passing of an examination, etc. For more information, please refer to the *Guidelines for Continuing, Professional and Executive Education*.
2. Certificates of attendance for auditing courses: auditing of courses may be allowed by a division as provided for in the University's *Policy on Auditing of Courses*. Certificates of Attendance may be issued by the division as provided by that Policy. Credit for audited courses or other continuing education activities may not be transferred to degree programs at the University of Toronto.

[January 12, 2016 – Committee on Academic Policy and Programs]

Recommended for Approval by the Academic Board, January 28, 2016 (*replaces Policy on Diplomas and Certificate Programs*)

UNIVERSITY OF TORONTO
Policy on Diploma and Certificate Programs

1. Objective:

- a) to ensure consistency in the use of the terms “diploma program” and “certificate program” across the divisions of the University of Toronto, in order that their meaning be clear to students, employers and the general public
- b) to ensure appropriate standards of quality in diploma and certificate programs
- c) to ensure that the resource implications of diploma and certificate programs are appropriately addressed
- d) to establish a categorization of diploma and certificate programs, and an approval process appropriate to each category

2. Application:

This policy applies to all courses of study leading to the conferral of a form of certification other than a degree.

3. Categories:

a) Diploma programs:

- require completion of an undergraduate or graduate degree for admission¹
- comprise a coherent sequence of courses
- provide for a mechanism of assessment of student performance
- students are registered as University of Toronto students, and receive diplomas at Convocation
- may include courses offered for credit in a graduate degree program, for which credit may be transferred if the student enrolls in the degree program.

b) Post-secondary certificate programs:²

- require completion of secondary school as a condition of admission
- comprise a coherent sequence of courses
- provide for a mechanism of assessment of student performance
- students are registered as University of Toronto students, and receive diplomas at Convocation
- may include courses offered for credit in an undergraduate degree program, for which credit may be transferred if the student enrolls in the degree program.

c) Diploma and Certificate programs offered in conjunction with degree programs:

- Diploma programs may be offered in conjunction with a graduate degree. Students must be admitted to the graduate degree program in order to qualify for such diploma programs
- Certificate programs may be offered in conjunction with an undergraduate degree. Students must be admitted to the undergraduate degree program in order to qualify for such diploma programs

¹ Diploma programs are typically offered in specialized professional areas, with a content different than that expected in a graduate degree program. A list of diploma programs currently offered is appended to this policy.

² Several such certificate programs are currently offered at the University, as indicated in the attached list. The University does not anticipate a significant expansion of this type of academic programming.

- The content of the diploma or certificate program should complement that of the respective degree program
- Completion of such diploma and certificate programs is to be recognized through an appropriate form of attestation by the division offering the program; students do not receive diplomas at Convocation.

d) Certificate programs in continuing education:

- open admission, but may be targeted to particular professional and quasi-professional areas³
- comprise a coherent sequence of courses
- credit may not be transferred to degree programs
- students are not registered as University of Toronto students, and do not receive diplomas at Convocation.

4. Program Nomenclature:

- a) Divisions wishing to offer a form of certification to recognize the completion of a course of study other than a degree program shall normally use the following terms:
- “diploma” for programs as defined in 3(a) and 3(c)
 - “certificate” for programs as defined in 3(b) and 3(c)
 - “certificate in continuing studies” or “certificate in continuing education” for programs as defined in 3(d)
 - with the approval of the Provost, terms such as “certificate in professional development” or “certificate in executive development” for programs as defined in 3(d) as consistent with program content and clientele.
- b) In exceptional circumstances, the terminology prescribed in 4(a) may be varied to align program nomenclature at the University of Toronto with that in peer institutions offering similar programs, or with that in common use in a given professional or quasi-professional area.

5. Approval criteria:

Programs must meet the following criteria:

- a) quality control:
- for programs in categories 3(a),3(b) and 3(c) curriculum and instructors must be approved through an established process involving full-time faculty at the divisional⁴ level; and a process for periodic review must be in place. Programs in category 3(c) should be reviewed in conjunction with the relevant degree program.
 - for programs in category 3(d), curriculum and instructors must be approved by the academic head of the division
- b) institutional fit: the program should draw upon established strengths of the sponsoring unit
- c) student demand: the program should respond to an identified student demand
- d) resource implications: certificate programs in continuing education (category 3d) must be self-funding.

6. Level of approval by University governance:

- a) programs in categories 3(a),3(b) and 3(c) require approval by the relevant divisional council⁴ and by the Committee on Academic Policy and Programs. For programs without resource implications for the University’s operating budget, no further approval is required.

³ In some cases these programs may be designed to fulfill the requirements of external professional, quasi-professional or other organizations.

⁴ For diploma programs, the relevant division is the School of Graduate Studies.

- b) programs in category 3(d) must be approved by the relevant divisional council and reported for information to the Committee on Academic Policy and Programs
- c) for programs in categories 3(a),3(b) and 3(c) any resource implications for the University's operating budget must be reviewed by the Planning and Budget Committee and approved by Governing Council as necessary.

7. Other academic activities:

- a) Auditing of courses may be allowed by a division as provided for in the University's Policy on Auditing of Courses. Certificates of Attendance may be issued by the division as provided by that Policy.
- b) Certificates of Attendance or Certificates of Completion may be issued by divisions to recognize other continuing education activities, provided that the certificate makes it clear what is being signified – for example, attendance at a course or workshop (specifying the length), passing of an examination, etc.
- c) Credit for audited courses or other continuing education activities may not be transferred to degree programs.

November, 2003

APPENDIX I

Current Graduate Diplomas and Certificates

Faculty of Applied Science and Engineering

Professional Pilot and Aviation Management Diploma--Dip.P.P.A.M.

Faculty of Information Studies

Graduate Diploma of Advanced Study in Information Studies--G.Dip.ISt.

Faculty of Medicine

Diploma in Child Psychiatry--D. Child Psych.

Diploma in Clinical Chemistry--D. Cl. Chem.

Diploma in Clinical Epidemiology--D.C.E.

Diploma in Community Health

Diploma in Health Administration--D.H.Ad.

Diploma in Industrial Health--D.I.H.

Diploma in Ophthalmic Science--D.Oph.Sci.

Faculty of Music

Advanced Certificate in Performance--Adv. Cert. Perf.

Diploma in Operatic Performance--Dip. Op. Perf.

(Operatic Repetiteur)

(Stage Director)

Faculty of Nursing

Post Masters Nurse Practitioner Diploma—Dip.N.P.

OISE/UT

Diploma Program in Holocaust & Genocide Education--D.H.G.E.

Joseph L. Rotman School of Management

Diploma in Investigative & Forensic Accounting--D.I.F.A.

January 2004

APPENDIX 2

Current Undergraduate and First Professional Diplomas and Certificates

Faculty of Dentistry

Certificate of Qualification in Dentistry--Cert.Q.P.Dent.

Faculty of Music

Artist Diploma--Art. Dip. Mus.

Faculty of Nursing

Certificate as a Nurse Practitioner (Primary Health Care)--Cert. N.P. (PHC)

OISE/UT

Diploma in Technical Education--Dip. T. Ed.

University of Toronto at Scarborough

Certificate in Business--Cert. Bus.

Woodsworth College

Certificate in Human Resource Management--C.H.R.M.

Certificate in Teaching English as a Second Language--C.T.E.S.L.

January 2004

28904