



University of Toronto

OFFICE OF THE VICE-PRESIDENT AND PROVOST

Appendix 'A' of Report 111 of AP&P

TO: Committee on Academic Policy and Programs

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DATE: December 1, 2004 for December 8, 2004

AGENDA ITEM: 4

ITEM IDENTIFICATION:

Policy for Assessment and Review of Academic Programs and Units

JURISDICTIONAL INFORMATION:

The Committee recommends to Academic Board for approval amendments to divisional academic policies or practices, or amendments to University-wide policy in academic matters.

PREVIOUS ACTION TAKEN:

The University has in place the *Guidelines for Review of Academic Programs and Units*, presented by the Provost as part of *Raising Our Sights (ROS)* framework for Academic Planning Cycle (1999) which was approved by Governing Council.

There is currently no University single policy that clearly governs the internal assessment of new programs and units' proposals nor the review of existing programs and units.

HIGHLIGHTS:

The proposed Policy for Internal Assessment and Review of Academic Programs and Units (Appendix 1) governs the overall framework for the internal assessment of proposed new programs and units and the review of existing programs and units at the University of Toronto and defines the overarching principles, scope, procedures and accountability within this framework. The Policy incorporates and replaces the *Accountability Framework* (approved by Executive in June 1999).

Several factors necessitated the evaluation of our Policy in these matters:

- In 2001, the University Program Reviews Audit Committee (UPRAC) audited the University of Toronto review system by selecting a sample of U of T reviews and the University's *ROS Guidelines for Review of Academic Programs*. The Audit Committee presented its Report to the University in January 2004. The Report made a number of recommendations and suggestions as to how processes at the University of Toronto might be improved. The reviewers also noted that U of T's *Guidelines for Review of Academic Programs* were tied to the planning process and our challenge would be to develop an overarching review policy.

- The UPRAC recommendations and suggestions were in general constructive and particularly helpful as they came at a time when the University was entering the new academic planning cycle, *Stepping UP*, and had begun the process of consolidating and updating the *Guidelines for Review of Academic Programs*.
- OCAV has established a target date of December 2004 by which all institutions are expected to have amended their policies so that they conform to the revised *UPRAC Review and Audit Guidelines* (February 2004, see attached Appendix 2). Assessments submitted and reviews conducted after September 2005 will be expected to be in compliance with our new Policy. (The history and background of the UPRAC and OCAV mandates in relation to this Policy are outlined in Agenda Item #3 – UPRAC Report of the Auditors).

The Policy specifies two administrative Guidelines that outline the procedures for the actual assessment and review of programs and units. **The Guidelines are presented to AP&P as draft appendices For Information only:**

- The *Guidelines for Assessment of Divisional Submissions* (Appendix 3) set out the procedures for the development and the internal assessment of proposed new academic programs and units. The document incorporates and replaces Section III of the *Guidelines for Divisional Submissions* (approved by the Committee on Academic Policy and Programs on October 23, 2002).
- The *Guidelines for Review of Academic Programs and Units* (Appendix 4) outline the procedures for the review of existing academic programs and units. This document incorporates substantially the *Guidelines for Review of Academic Programs and Units*, presented by the Provost as part of *Raising Our Sights* framework for Academic Planning Cycle (1999).

The proposed Policy and Guidelines have been developed in consultation with a committee representing a sample of divisions and chaired by the Vice-Provost, Academic (Appendix 5). The mandate of the committee was twofold: 1) to review the *ROS Review Guidelines* and to suggest amendments by taking into account the both the revised UPRAC Guidelines and the recommendations and suggestions of the UPRAC audit conducted at U of T; and 2) to re-evaluate the *ROS Review Guidelines* in view of the changing landscape of reviews at the University. The Policy and draft procedural guidelines have been reviewed by the Principals and Deans and have benefited from their suggestions.

In the course of committee discussions, it became clear that in order to best fulfill the UPRAC Guidelines by December 2004 within the University of Toronto setting, that we should work towards separating the Policy components from a set of two procedural Guidelines. This division of Policy and procedural Guidelines allows for the Policy to set the overarching principles, scope and consistent framework for the University, while allowing flexibility in periodically revising or updating the administrative guidelines.

The Policy delegates the authority for periodically revising and ensuring implementation of both procedural Guidelines to the Office of the Provost. Changes to the procedural manual will be made as the need arises and based on consultation with principals and deans. Any revised document will be presented to the Committee for information.

During the process of consolidating the various policies, guidelines, and frameworks currently in place at the University as part of a single Policy and associated Guidelines, it became clear that, although there are measures in place to govern assessment and reviews of programs and units, there is a benefit to bringing the information together in one cohesive package and re-communicating it to the University community.

During the process of consolidation and revision, our gaps with respect to meeting UPRAC Audit requirements became apparent, as did the need to update our procedures in order to fulfill our own University requirements. As specific examples of this second need, both the 1984 criteria for the establishment of Extra-Departmental Units (Appendix A of the *Guidelines for Assessment of Divisional Submissions*) and the *Elements of Self Study* (Appendix A of the Guidelines for Reviews of Academic Programs and Units) warrant consideration. The Provost's office will be convening an Interdisciplinary Task Force in 2005, one of whose mandates will be to review the 1984 *Report of the Provostial Committee on Centres and Institutes* (Marsden Report) criteria, modifying and updating as necessary. The *Elements of Self Study* will also be reviewed in 2005 in order to arrive at an optimal data set to meet our needs, as well as identifying core data sets that can be provided centrally to units and divisions and are in line with our future performance indicators.

We are seeing approval for the Policy for Internal Assessment and Review of Academic Programs and Units and presenting the draft Guidelines as For Information items. We will continue to revise both the Guideline appendices as outlined in the previous paragraph, and some minor changes will be made to the documents themselves based on further feedback but we do not anticipate major substantive changes. The Guidelines will also be presented to Academic Board as For Information items when the Policy is presented for approval.

FINANCIAL AND/OR PLANNING IMPLICATIONS:

There are no new/additional financial resources required to implement the Policy.

The implementation of the Policy will formalize university-wide principles for the assessment and review of academic programs and units within a standard framework and also allow the University to meet the OCAV target date of December 2004 by which institutions are expected to have amended their policies so that they conform to the revised *UPRAC Review and Audit Guidelines* dated February 2004.

RECOMMENDATION:

It is recommended that the Committee recommend to Academic Board:

THAT the Policy for Assessment and Review of Academic Programs and Units hereto attached as Appendix 1, be approved effective for proposals submitted as of September 2005 and for reviews that will be conducted after September 2005.

Policy for Assessment and Review of Academic Programs and Units

1. Preamble

- 1) This policy formalizes university-wide principles for the assessment and review of academic programs and units within a standard framework.
- 2) The purpose of the policy is to establish consistency at the University so that:
 - New program and unit proposals undergo internal assessment before submission to governance for approval in order to ensure their academic quality and merit are fully developed and documented.
 - Existing programs and units are reviewed on a regular basis in order to ensure their academic quality and merit.
 - Whether for proposed or existing programs and units, internal assessments and reviews ensure that the programs and units are aligned with the objectives of the University as specified within the *Statement of Institutional Purpose* and thereby advance the mission of the University.
 - Through the processes of internal assessment and review, a sound basis of information is provided in order for approval decisions or recommendations for improvement to be made. Both processes must address the questions of what is being done well, what is not being done well, and how the program or unit will compare or compares to the best in its field among international peer institutions. For the University of Toronto as a whole, those peer institutions comprise the first rank of public research universities in the world. For any given program or unit, the relevant peers may be drawn from a top tier that includes private as well as public institutions.
 - The assessment or review of an academic program and/or unit entails a review of the academic unit(s), and *vice versa*. The quality of the scholarship of the professoriate and students, and the degree to which that scholarship is brought to bear in teaching, are the foundations of academic excellence. More generally, all of the factors that contribute to collegial and scholarly life —academic and administrative complement, research and scholarly activity, infrastructure, governance, etc.—bear on the quality of academic programs and units and the broad educational experience of students. Reviews are intended to help ensure and improve quality in all of these aspects.
- 3) This policy incorporates (within Appendix A) and replaces the existing University Policy *Accountability Framework for Reviews of Academic Programs and Units*.

2. Scope

- 1) This Policy applies to submissions of internal assessments of proposed new academic programs and units and reviews of existing programs and units.

- 2) For the purpose of this Policy, a “program” is defined as an identified set and sequence of courses within an area of study, which is completed in full or partial fulfillment of the requirements for the granting of an undergraduate, second-entry or graduate degree. This Policy applies to all such programs to which resources are dedicated.
- 3) For the purposes of this Policy, academic unit is defined by Section 1(l)(a) of the University of Toronto Act 1971, amended in 1978: an "academic unit" means University College and a college, faculty, school, institute, department or other academic division of the University so designated by the Governing Council.
- 4) This Policy applies to reviews of existing programs and units commissioned by academic administrators at the University of Toronto to aid them in discharging their responsibilities of academic leadership.

Reviews of academic programs by external bodies form part of collegial self-regulatory systems to ensure that mutually agreed-upon threshold standards of quality are maintained in new and existing programs. Such reviews may serve different purposes than those commissioned by the University. In conducting a review of a program or unit, external reviewers should be presented, where appropriate, with any non-University commissioned reviews (for example, professional accreditation or Ontario Council on Graduate Studies) completed since the last review of the program or unit.

Where possible, the University process should aim to streamline the review process by assessing the alignment of mandates of externally and internally commissioned reviews and supplementing documentation as necessary.

3. Procedures

- 1) Administrative procedures for the application and process of the internal assessment of proposed new academic programs and units will be set by the Office of the Provost, within the document *Guidelines for Assessment of Divisional Submissions*, and reported for information to Governing Council. The Provostial Guidelines incorporate and replace Section III of the *Guidelines for Divisional Submissions* (approved by the Committee on Academic Policy and Programs on October 23, 2002).
- 2) Administrative procedures for the application and process of reviews of existing academic programs and units will be set by the Office of the Provost, within the document *Guidelines for Review of Academic Programs and Units*, and reported for information to Governing Council. The *Guidelines for Review* will include procedures for the application of the reviews, the process by which reviews will be conducted, the content of the reviews and administrative response, as well as the circulation of any reports and submission to governance.
- 3) Authority for periodically revising and ensuring implementation of both the procedural Guidelines is delegated to the Office of the Provost. Any changes to the Guidelines will be presented to Governing Council for information.

4. Accountability

1) New Programs

Internal assessment of proposed new programs and units is part of the procedure of submission to governance. Proposal assessment is a critical process that ensures the quality and merit of the proposal is fully developed before entering governance so that appropriate decisions can be made by Governing Council as to whether the program or unit should be established.

2) Existing Programs and Units

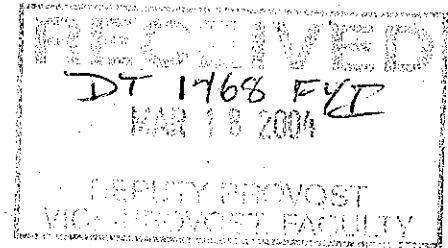
Reviews are important mechanisms of accountability. Academic administrators are accountable for the discharge of their responsibilities through a line of accountability that reaches from chairs and directors to deans and principals to the Provost to the President and ultimately to University governance. As part of this structure of accountability, governors have a responsibility to ensure that appropriate mechanisms for reviewing academic programs and units with a view to ensuring and improving their quality are in place. The *Accountability Framework for Review of Academic Programs and Units* was approved by the Executive Committee of the Governing Council in 1999 and is incorporated into the current document as Appendix A.

APPENDIX A

Accountability Framework for Reviews of Academic Programs and Units

Responsible Agent	Responsible for	Mechanism
Governing Council:	Ensuring that University administration is monitoring the quality of academic programs and units and is taking the necessary steps to address problems and achieve improvements	Receive annual program review report (including summaries of all reviews) and record of AP&P and Executive Committee discussion
a) Executive Committee	Monitoring overall review audit process; identification of any changes required in process; discussion of any major unresolved issues with President and Provost	Receive annual program review report (including summaries of all reviews) and record of AP&P discussion
b) Agenda Committee of Academic Board	Identifying any general academic issues raised by the overview of reviews that warrant discussion by the Academic Board	Receive annual program review report (including summaries of all reviews) and record of AP&P discussion
c) Committee on Academic Policy and Programs	Undertaking a comprehensive overview of review results and administrative responses	Receive annual program review report including summaries of all reviews, identifying key issues and administrative responses. Discuss annual report at dedicated program review meeting with relevant academic leadership; forward to Executive Committee
Provost	Monitoring quality of all academic programs and units in the University and taking necessary steps to address problems and achieve improvements	Commission and respond to reviews of faculties and colleges Prepare summaries of reviews of faculties and colleges, including administrative response Receive reviews of units within multi-departmental faculties Prepare overall summary of all reviews, for forwarding to Governing Council
Dean/Principal of multi-departmental faculty	Monitoring quality of all academic programs and units in the Faculty and taking necessary steps to address problems and achieve improvements	Commission and respond to reviews of academic programs and units within the Faculty Prepare summaries of all reviews within the Faculty Forward reviews and summaries, including administrative responses, to Provost

COUNCIL OF
ONTARIO UNIVERSITIES
CONSEIL DES
UNIVERSITÉS DE L'ONTARIO



March 15, 2004

MEMORANDUM

TO: Members of OCAV

FROM: David Leyton-Brown,
Executive Director, OCGS

SUBJECT: *UPRAC Review and Audit Guidelines*

At its October 15, 2003 meeting, OCAV approved the revised *UPRAC Review and Audit Guidelines*, and some further changes were approved at the February 5, 2004 meeting. It is obviously impossible for institutions being audited in the first year or so of the second cycle of audits to have amended their institutional approval and review policies to bring them in line with the revised *Guidelines*, and the auditors will take this into consideration when conducting those audits. However, it is desirable to have all institutions make the necessary changes by a specified date so that audits from that point on will be conducted under the same regulations.

Accordingly, at the February meeting OCAV established a target date of December 2004 by which all institutions will be expected to have amended their policies so that they conform to the revised *UPRAC Review and Audit Guidelines*. After that date, auditors will use revised *Guidelines* when they apply the conformity test for approval and review policies. (It is understood that, initially, the only program reviews and approvals available for the audit sample will have been conducted under earlier policy frameworks.)

Enclosed you will find a copy of *UPRAC Review and Audit Guidelines* that incorporates all the recent changes that have been made to that document. You may find an electronic version of *Guidelines* on the COU website at:

<http://www.cou.on.ca/affiliates/affiliates/UPRAC/UPRACHomePage.htm>.

To assist you with your work, an annotated version of *Guidelines* that points to these changes is also enclosed. They are indicated by boldface type for additions and strikeout lines for deletions. These revisions are broadly speaking of two kinds – organizational and substantive. Some are organizational matters of logical re-ordering, or consistency or clarification of language, etc. More important are the substantive ones.

Without discussing every detail, the substantive changes require universities to be explicit in the approval of new programs and in the review of existing programs, in considering the learning objectives and intended learning outcomes of the program. Furthermore they require the university in every review of an existing program not only to describe the various quality elements, but also to assess their appropriateness and effectiveness. This attention to learning objectives and outcomes is more a matter of explicit attention than of specific actions – it means that the curriculum should be designed to impart to students the information that the program intends that they should learn (and not to allow faculty members to teach what they want to teach), and the examinations and other modes of evaluation should be explicitly designed to test whether students have in fact learned what the program intends them to have learned (and not what is easiest to mark, or has traditionally been done), and so on.

The approval process and review process should require every program to think in these terms and ask these questions. Then when a UPRAC audit occurs, it will not examine whether the program has the “right” objective, but whether the approval or review process has appropriately ensured that the program think about its learning objectives, and assess its quality in terms of the achievement of those objectives.

Please note that the revised *Guidelines* will be on the agenda of the upcoming OCAV-UPRAC Audit Workshop.

Encl.

UPRAC REVIEW AND AUDIT GUIDELINES

1. Preamble

As part of their commitment to offering undergraduate programs of high quality and standards, the publicly-funded universities of Ontario have adopted the *UPRAC Review and Audit Guidelines*. Under *Guidelines*, universities undertake to establish, maintain and enhance the academic quality of their programs in accordance with their mission statements. To further this objective and to provide public accountability, they agree to: i) establish policies and procedures for the approval process for the introduction of new programs; ii) establish policies and procedures for the review process of existing programs; and iii) have these policies and procedures audited following the process described herein.

2. Approval Process for New Undergraduate Programs

The institutional policy for the approval of new programs should:

- 2.1 identify the authority responsible for the application of the policy;
- 2.2 define the steps in the approval process and the criteria to be applied;
- 2.3 address the following points:
 - 2.3.1 consistency of the program with the general objectives of the institution's mission and academic plans and with the standards, educational goals and learning objectives of the degree;
 - 2.3.2 appropriateness of the admission requirements, e.g., achievement and preparation, for the learning objectives of the institution and the program;
 - 2.3.3 appropriateness of the program's structure and curriculum for its learning objectives;
 - 2.3.4 appropriateness of the mode of delivery (including, where applicable, distance or on-line delivery) to meet the program's learning objectives;
 - 2.3.5 appropriateness of the methods used for the evaluation of student progress;
 - 2.3.6 appropriateness of the utilization of the existing human/physical/ financial resources;
 - 2.3.7 a sufficient number of faculty, including full-time appointments, with evidence of their quality and academic expertise in the area of the proposed program.

- 2.4 when the university has applied to the Ministry of Training, Colleges and Universities (MTCU) for authorization to count the students enrolled in a new non-core program toward its BIU entitlement, require evidence that the institution has evaluated and met the criteria established by MTCU for the approval and funding of new non-core programs. Specifically, the university should provide documentation related to each of the criteria identified in the program approvals certification form.

3. Undergraduate Program Review Process

A credible periodic undergraduate program review process undertaken by an institution must include the objective, structure, and elements presented below.

3.1 Objective of the Undergraduate Program Review Process

The objective of the institutional periodic undergraduate program review process is to assess the quality of the undergraduate programs that the university provides in all areas of study.

3.1.1 Scope:

- a) **Institution** - The institution granting a degree is responsible for ensuring the quality of all components of programs of study, including those offered: i) in full or in part by its federated and affiliated institutions, and ii) in partnership with other higher education institutions (colleges and universities) through collaborative or other affiliation agreements.
- b) **Degree Level** - The undergraduate program review process should apply to all programs, including second-entry degree programs that are not subject to OCGS appraisal.
- c) **Program** - A program is defined as a sequence of courses or other units of study prescribed by an institution for the fulfilment of the requirements of a particular degree, and is considered to be the comprehensive body of studies required to graduate with a specialization in a particular discipline (i.e., the "major"). Some institutions may choose to establish quality review processes for their degree programs *per se*, but all should ensure that all their "major" programs are part of coherently defined degree programs, and are the subject of program quality review.
- d) **Unit of Review** - Programs are not necessarily coterminous with academic organizational units, and institutions may decide to conduct reviews of their departments or other academic units. Nevertheless, for UPRAC audit purposes, the quality of each major academic program and the learning environment of the students in the program must be explicitly addressed. Provision should be made to include joint programs and multi- or interdisciplinary programs in a way that is appropriate for the institution. (See Appendix.)

3.2 Structure of the Undergraduate Program Review Process

The institutional undergraduate program review policy statement should:

- 3.2.1 identify the statutory authority for the policy and the authority responsible for the application of the policy;
- 3.2.2 define the issues to be addressed in the undergraduate program review;
- 3.2.3 specify an appropriate role for faculty deans in the review process;
- 3.2.4 prescribe at least the following steps:
 - a) self-appraisal by professors and students¹ participating in the program. This should lead to the drafting of a reflective, self-critical, analytical self-study report that is the outcome of active involvement of faculty and students. The self-study should address, at a minimum, the review Elements contained in section 3.3;
 - b) evaluation, including a site visit, by at least one expert from another university, including universities outside Ontario. The expert(s) must be at arm's length from the program under review. At a minimum, the evaluation should address the review Elements contained in Section 3.3;
 - c) appraisal by peers chosen among professors from the institution who do not participate in the program under review. Appraisal by peers could consist of either or both of: i) one or more internal-external reviewers, ii) a committee that receives and acts on the self-appraisal study and reviewers reports;
 - d) the university may also, where appropriate, seek the advice of others such as representatives of industry, professions and practical training programs;
- 3.2.5 specify the mechanism for action on the recommendations arising from the undergraduate program review. This mechanism should bring closure to the undergraduate program review by specifying the actions to be taken (and not taken) as a result of the recommendations of the external expert(s), and other aspects of the review process. The mechanism should also describe the monitoring steps that will be followed to ensure that the actions have been taken;
- 3.2.6 determine the maximum period for the cycle of reviews; this should not exceed 10 years for a university's full set of programs;

¹ Student involvement in the preparation of the self-appraisal report has included *inter alia* a student survey, open meetings, attendance at a program retreat, etc.

- 3.2.7 require the publication of a report (excluding all personal information) that summarizes the findings and conclusions of the institutional undergraduate quality review for each program. The report should include a statement of the strengths and weaknesses of the program, and the action to be taken on the recommendations arising from the undergraduate review. This report shall be presented to the Senate, and a report that summarizes the outcomes of the review shall be presented to the governing body of the university.

3.3 Elements of the Undergraduate Program Review Process

Those who know where they intend to go have a better chance of getting there, and of understanding whether they could have done so in a faster, more efficient or otherwise better way. Undergraduate programs that know what they intend their students to achieve have a better chance of having their students indeed achieve what is intended, and of understanding whether those intended outcomes can be achieved more effectively.

The curricular content, admission requirements, mode of delivery, bases of evaluation of student performance, commitment of resources and overall quality of any undergraduate program and its courses are all necessarily related to its goals, learning objectives and learning outcomes. Goals provide an overview for students, instructors and program/course evaluators of what the program or course aims to accomplish. Learning objectives are an expression of what the instructor(s) intends that the student should have learned or achieved by the end of the program or course. Learning outcomes are what the student has actually learned or achieved in the program or course.

The institutional policy for review of existing undergraduate programs should ensure that members of every program give conscious attention to the goals and learning objectives of the program and its courses. Teaching and learning methodologies should be selected that are most likely to lead to the achievement of the stated objectives. Testing and other assessments of student performance should be directly related to determining the extent to which students learned what was intended. Evaluation, monitoring the level of student performance over an extended time period and implementing changes to improve the integrity and quality of a program should be tied explicitly to the outcomes.

In order for the unit to assess the integrity and quality of the program, the institutional policy for review of existing undergraduate programs should address the following points:

- 3.3.1 consistency of the program with the general objectives of the institution's mission and academic plans, and with the standards, educational goals and learning objectives of the degree;

- 3.3.2 appropriateness and effectiveness of the admission requirements, e.g., preparation and achievement, for the learning objectives of the institution and the program;
- 3.3.3 appropriateness of the program's structure and curriculum to meet its learning objectives;
- 3.3.4 appropriateness and effectiveness of the mode of delivery (including, where applicable, distance or on-line delivery) to meet the program's learning objectives;
- 3.3.5 appropriateness of the methods used for the evaluation of student progress and, where possible, consideration of the effectiveness of the methods used;
- 3.3.6 the level of achievement of students, consistent with the educational goals for the program and the degree, and institutional standards;
- 3.3.7 appropriateness and effectiveness of the utilization of the existing human/physical/financial resources;
- 3.3.8 definition of indicators that provide evidence of quality of faculty, student clientele (applications and registrations), student quality, and the outcomes of the program (graduation rate, length of studies, etc.) and achievement of its learning objectives. (The indicators are invariably best developed by the unit whose program is under review, but examples of possible indicators could be provided in the institutional policy for undergraduate program reviews. Data on indicators should be collected over an extended time period rather than simply once every review cycle, and the results should be discussed in the self study as a means to enhance program quality and student satisfaction.)

3.4 Relationship of Undergraduate Program Reviews to Professional Accreditation Reviews

Program reviews required for professional accreditation (e.g., engineering and medicine) overlap to a greater or lesser degree with the standards of the undergraduate program review process described above. Universities may use such accreditation reviews to satisfy the undergraduate program review process to the extent that the accreditation reviews can be demonstrated to be consistent with the objective, structure and elements of the undergraduate program review process. Where accreditation reviews are more focussed than required by the undergraduate program review process, an institution should supplement the accreditation review so that the broader requirements are met.

3.5 Review of Multidisciplinary and Interdisciplinary Programs

In order to conform with UPRAC guidelines, the review of undergraduate inter-disciplinary and multidisciplinary programs, however they are managed, must be clearly shown to have effectively considered such programs as entities distinct from the larger academic units within which they may be included. (See Appendix 1 for more details.)

4. Steps in the Audit

In performing the audit, Auditors should follow three main steps: i) an analysis of the documentation submitted by the institution, ii) appropriate interaction with the institution as defined below, and iii) the preparation of an audit report. The purpose of the audit is to look for assurance that the institution's policies and practices explicitly address the objective, structures and elements described in the previous sections, and that each specified component is covered in the institution's undergraduate program approvals and reviews. The audit is not undertaken to assess the quality of programs themselves, or to judge the "correctness" of any particular objective or outcome, but rather to assess the extent to which the institution's quality assurance policies and practices comply with these guidelines.

The Auditors must ensure that the audit takes place in an atmosphere of co-operation and open dialogue with the institution concerned.

4.1 Auditors Examination of the University Submission

It is essential that the Auditors have a clear understanding of the review process followed by the institution and, to this end, they must have access to all documents and information that they deem necessary.

4.1.1 Documents and information submitted by the institution:

General documents that present the program approval policies, procedures and practices, program review policies, procedures and practices adopted and implemented by the institution, and the schedule of completed and planned periodic quality reviews.

Complete record of the approvals of programs and the reviews of programs as requested by the Auditors. The Auditors reserve the right to choose the programs whose review they wish to examine from the lists of approvals and reviews completed by the institution over the last cycle. In making their choice of programs, the Auditors will take into account the diversity of educational programs offered by the university, whenever possible.

Institutions are required to submit the documents mentioned above, and may provide additional documents they deem appropriate.

The Auditors will undertake to preserve the confidentiality of all documentation.

4.2 Auditors Interaction with the Institution

Following a review of the documentation provided, the Auditors will normally visit the institution, although other modes of interaction may be appropriate (e.g., conference calls, video-conferencing, etc.).

In the course of their site visit or other interaction, the Auditors will speak with members of the senior administration, those responsible for implementation of the approval and review processes, etc. The program and schedule of interaction will be established in consultation with the institution.

4.3 The Audit Report

In the preparation of their report, the Auditors shall refer to articles 3.3, 3.4 and 5.1 of Bylaw 1 of the OCAV Constitution (see Appendix 2), and shall follow the guidelines presented below.

4.3.1 Outline

- a) description of the methodology and the verification steps used by the Auditors;
- b) status report on the program approvals and reviews carried out by the institution;
- c) presentation of the general principles and guidelines used by the institution in the approval and review of its programs;
- d) the Auditors' comments detailing how well the approval and review procedures and practices conform to the institution's own policies, and how well the institutional process as a whole conforms to the objectives, structure and elements of approvals and reviews as defined in 2 and 3 above;
- e) the Auditors' recommendations.

4.3.2 Report

- a) The Auditors prepare a draft report and send a copy to the institution. This consultation is intended to ensure that the report does not contain errors of fact.

- b) The institution may submit any comments that it considers appropriate in response to the draft report. Such comments become part of the official record and may be used by the Auditors to revise their report prior to submission to UPRAC.
- c) UPRAC submits the report to OCAV which shall dispose of it as specified in article 5.2 of Bylaw 1 of the OCAV Constitution (see Appendix 2).

4.3.3 Follow-up on the recommendations

Within a year of publication of the final report, the institution must inform OCAV, through the Auditors, of the steps taken as a result of the recommendations in the report.

Appendix 1: Review of Multidisciplinary and Interdisciplinary Programs (Ref. Section 3.5)

For the purposes of this document, multi- or interdisciplinary undergraduate programs may be considered to fall under three different categories:

- 1 programs that have a multi- or interdisciplinary content, but that exist as an independent, free-standing entity within the university, with a core faculty devoted to the program. This core faculty is usually supplemented by faculty from other disciplines who participate on an as-needed basis. These programs should be fully reviewed through the university's undergraduate program review process like any disciplinary program.
- 2 double majors or double honours programs should be reviewed as part of each of the contributing programs.
- 3 programs that are made available to students (usually in limited numbers) by combining offerings from two or more disciplines. These programs generally do not have a dedicated core faculty. Often, but not always, they are the responsibility of a coordinator or a coordinating committee. These programs need some attention in the review cycle of the university.

It would be unreasonable for OCAV to expect that such programs would individually receive the same kind of review as their "parent" programs. Nevertheless, such offerings must be assessed for their quality on a regular basis.

Inasmuch as the "parent" programs themselves are reviewed, the opportunity should be taken to use the substantive review of one of the "parents" to review the multi- or interdisciplinary program. Therefore, each of this type of multi- or interdisciplinary program should be attached to one of the parent programs for the purpose of review. To avoid losing sight of these programs, the attachment for

the purpose of review should be permanent; that is, the actual affiliation of the current program coordinator should have no bearing on the designation of the academic unit charged with the review.

Each of these undergraduate interdisciplinary and multidisciplinary programs must be assigned a clearly indicated "parent" unit with responsibility to ensure that programs under its aegis undergo a periodic review.

The reviews of these programs must be included in the schedule of reviews prepared by the institution.

The elements of the review should be simpler than those of a free-standing program, as many elements will have been assessed through the review of the individual "parent" programs. They could consist of the following:

- a description of the program and a rationale for its existence;
- evidence that all contributing units are assessed on a regular basis and the date at which each has been assessed;
- a description of the manner in which the program is managed;
- details of the curriculum and evidence that the academic requirements are aligned with those of the contributing programs;
- evidence that there is demand for the program (i.e., appropriate use of existing resources);
- outcomes of the program.

Appendix 2: Excerpts from OCAV Bylaw 1. (Ref. Section 4.3)

- 3.3 The primary function of Auditors shall be to audit the processes used by universities for the assessment of their existing undergraduate programs and for the implementation of new undergraduate programs, and to prepare reports on their findings for submission by the Undergraduate Program Review Audit Committee to OCAV.
- 3.4 In their reports, the Auditors shall comment on the processes in place at universities, and their appropriateness, and may propose measures for improvement. Additionally, the Auditors shall review the reports submitted by universities in response to recommendations of previous audits.
5. **Disposition of Reports**
- 5.1 In its review of each Audit Report, OCAV shall consider such points as:
- a) whether or not the university has had adequate opportunity to submit data and documentation regarding its evaluation process;

- b) whether or not the Auditors carried out the audit according to the methodology laid down in the Guidelines established by OCAV;
 - c) whether or not the university had adequate opportunity to respond to the Audit Report;
 - d) whether or not the university had adequate opportunity to argue its position with the Auditors.
- 5.2 Following OCAV's review of the report and, if necessary, consultation with the Auditors, and being satisfied that the UPRAC Audit Guidelines have been followed, OCAV shall receive the report by majority vote. It shall be transmitted by the COU secretariat to the institution concerned, COU and to MTCU.

Accepted by OCAV, May 16, 1996
Approved by COU, December 13, 1996
Amended by OCAV, February 27, 1997
Approved by COU Executive Committee, March 7, 1997
Amended by OCAV, February 5, 1998
Approved by COU Executive Committee, March 13, 1998
Amended by OCAV, October 13, 1999
Amended by OCAV, May 18, 2000
Amended by OCAV, May 16, 2001
Amended by OCAV, Oct. 15, 2003
Amended by OCAV, Feb. 5, 2004

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University of Toronto

OFFICE OF THE VICE PRESIDENT AND PROVOST

DRAFT Dec 10/04

Guidelines for Assessment of Divisional Submissions

1. Purpose and Scope

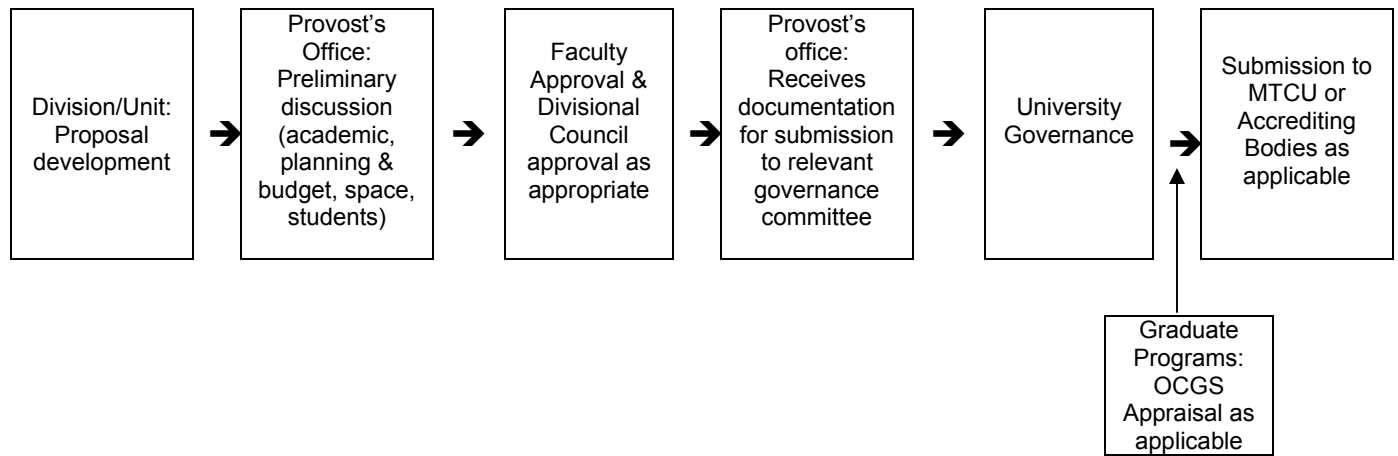
The purpose of the *Guidelines* is to ensure that the procedures are established for the internal assessment of proposed new academic programs and units in accordance with the University *Policy for Assessment and Review of Academic Programs and Units*. The purpose and scope of the assessments are specified in the *Policy*.

2. Application

- Assessments of submissions for new programs and units are conducted as part of the procedure for program development and submission to the University governance.
- Interdivisional programs and units that are inter- and multidisciplinary must have an identified permanent affiliated division for the purpose of the submission development and for identification of a commissioning officer for the future review of the program or unit if it is approved.
- Programs offered by St. George colleges within the Faculty of Arts and Science should be submitted in the context of the relevant Arts and Science department(s) and their programs.
- Interdivisional and interdepartmental units, “extra-departmental units” (EDUs) should refer to the Governing Council Report of the *Provostial Committee on Centres and Institutes* (Appendix A contains Part II: Units and Their Administrative Functions). This report differentiates four EDUs offering research and/or teaching programmes that operate within the University outside the basic structure formed by departments. Each EDU has a defined set of characteristics for their establishment, operation, governance, reporting and administration. Proposals for new EDUs should follow the classification in this report and the guidelines for structure and administration.
- These *Guidelines* are meant to allow latitude for variation and flexibility in divisional practices in the submission of new programs and units proposals. However, the core submission criteria related to the purpose, process and content of submissions, and accountability must be addressed.
- Programs that are inter-institutional and offered in partnership with other higher education institutions (colleges and universities) through collaborative or other affiliation agreements, should be assessed as entities distinct from the larger institutions within which they may be included. Such programs must specify how future reviews will be conducted - whether on a stand-alone basis or in the context of reviews of the participating institutional divisions with which they are aligned.

3. Approval Process and Submission to Governance

The approval of proposed new academic programs and units involves several offices at the University. A synopsis is provided below along with a diagram reflecting the process:



- Assessments and development of new programs and units are conducted as part of the procedure for submission to the University governance. Major academic program and unit proposals may be submitted at any time, although new program proposal to take effect for the fall should be forwarded no later than the end of the previous February.
- Divisions are encouraged to consult with the Provost's Office early on in the process of proposal development. The Provost's office will respond to queries and facilitate proposal development with regards to institutional academic and financial aspects of the proposal. A checklist of items to be considered in developing a proposal is included in Appendix B.
- Proposal submissions should be approved by the relevant divisional council or faculty. For interdivisional proposals, a lead division should be identified for purposes of the submission and for future reviews of the program or unit.
- Graduate programs and units should also coordinate with the School of Graduate Studies to ensure that graduate program proposals follow the Council of the School of Graduate Studies approval process.
- Proposals are submitted to governance through the Provost's Office, which recommends items to the Committee on Academic Planning and Programs, Planning and Budget Committee and Academic Board through their Senior Assessors.
- Programs may not be advertised until approved by the appropriate level of governance, and if required, the Ministry (MTCU). Accordingly, divisions should take into account calendar and other advertising deadlines in determining the timetable for program development and submission. Appendix C includes a schedule of important dates for the UofT governance cycle and MTCU submission deadlines.

APPENDIX A

Governing Council Report of the Provostial Committee on Centres and Institutes

[The full report can be found on the Governing Council web site at <http://www.utoronto.ca/govcncl/pap/policies/provoci.html>]

Part II: Units and Their Administrative Functions

The pages below describe the processes and procedures involved in the establishment and work of each type of unit. These are intended to establish lines of authority and reporting, and to clarify issues concerning reviews and the work of coordinators or directors.

	EDU:01	EDU:02	EDU:003	EDU:004
1. Description of Extra-Departmental Units	This is a multidisciplinary, multi-departmental group with faculty and students working in a defined area of academic study and research investigation. It is a centrally established and independent unit designed to foster research and teaching in new or highly specialized areas.	This is normally a multidisciplinary multidepartmental research unit with a broad research domain in a particular area of academic work. It exists to foster research and scholarly interest in the area. It may sponsor EDU:004's	This is a cluster of scholars who have come together for the purpose of pursuing specific research objectives. It may be multidisciplinary or it may arise within a single discipline or department, EDU:01 or EDU:02.	This refers to a set of courses in a area of academic interest not offered under departmental course offerings. Such programmes may be offered jointly by more than one Faculty or may exist between departments in a Faculty. An EDU:004 may also be established in an EDU:02
2. Establishment	Faculty from at least two fields draft a proposal for a multidisciplinary teaching and research unit with University base budget funds and possible external funding. If approved by the departments and division(s) involved, proposal for the multidepartmental unit is brought by the dean(s) before the Academic Affairs Committee through the Vice-President and Provost, the Planning and Resources Committee through the President, and then the Governing Council for approval.	Proposal for a multidepartmental research unit is brought for approval before the council or governing body of the division(s) concerned, by the faculty in several fields who are developing the concept of the unit. If approved, proposal for the unit, including recommendations on internal University and external grant funding and on staffing, is reported to the Vice-President and Provost, the Vice-President (Research and Government Relations), and the Office of Research Administration by the dean(s) of the divisions(s) involved, who have agreed upon resource commitments and budget.	Proposal for a research unit is brought for approval before the head(s) of the division(s) concerned, by faculty in the department(s) within the division(s) involved in developing the research project(s). The existence of the unit and the name of the Coordinator are reported to the Vice-President and Provost, the Vice-President (Research and Government Relations), and the Office of Research Administration.	Proposal for a programme is brought for approval before the department(s) and curriculum committee(s) concerned, by faculty in the department(s) involved in developing the proposed course of study. Consideration by the Academic Affairs Committee or its subcommittees may be required.

3. Appointment of an Administrator: Director Coordinator	See University of Toronto Policy Statements (The Haist Rules): Academic Administrators: Sections 23-27 Termination of the appointment of a director follows the procedures in the Rules.	For SGS Units, see School of Graduate Studies The Yellow Book: Item 11-1-2 to 11- 1-3: The Search for a Director If not in the SGS, a director is appointed for a fixed term by the dean(s) by whom the unit was created. Termination of the appointment of a director rests with the dean(s) of the division(s) concerned. The name of the director is filed with the ORA. Any change in status of the director must be reported to the ORA.	The Coordinator is appointed by the head(s) of the division(s) concerned to serve a fixed term determined by the department(s) involved. The Coordinator serves as designated authority of the unit, but may share authority for a specific research project with another member so designated. Termination of the appointment of a Coordinator rests with the head(s) of the division(s) concerned.	The Coordinator is appointed by the head(s) of the department(s) or division(s) concerned for a fixed term. Termination of this appointment rests with the head(s) involved.
4. Reporting Authority	The director, under guidance of an advisory panel of three or more members appointed by the dean(s) concerned, is responsible for policy and administrative and financial operations to the dean(s) of the division(s) with significant involvement in the unit. Governing Council, through the recommendations of the Vice-President and Provost to its committees, is the ultimate reporting authority.	The director, with the guidance of an advisory panel appointed by the dean(s) concerned, is responsible for policies and administrative operations to the dean(s) of the division(s) with significant involvement in the unit, as specified in Section 2 above. The director is responsible for financial operations to the dean(s) involved, and registers the unit with the ORA.	The Coordinator is responsible for administrative operations to the head(s) of the division(s) concerned. To simplify reporting, reporting authority should be formalized at the time of establishment of the unit. The Coordinator is responsible for financial operations to the head(s) involved, and registers the research project(s) with the ORA.	The Coordinator is responsible for administrative operations to the head(s) of the department(s) or division(s) concerned.
5. Appointing Rights for Faculty	See Manual of Staff Policies Academic Staff: Policy and Procedures on Academic Appointments: Code number 3.01.02 Pages 4, 22 Faculty usually are cross- appointed, but the units have the right to make tenure-stream appointments.	All faculty are cross- appointed. Faculty members may not hold their primary appointment in an EDU:02. Cross- appointment of faculty rests with the dean(s) of the division(s) involved, with the original department or college as the unit of primary appointment. All appointments are reviewed from time to time. Advice on merit pay, tenure review, or other matters relating to the appointment of faculty will be sought from the director in accordance with the policies of the University.	No rights of appointment or cross- appointment exist. Research fellows are appointed through the related department(s) or division(s).	No rights of appointment exist.

6. Teaching Role	Students enrol in a distinctive course of study at the undergraduate and/or graduate levels. These courses of study are established and reviewed in a manner similar to those of a department. However, since the academic requirements will span departments or divisions, approvals must be sought in all units involved, and may be required ultimately from any external agencies concerned.	EDU:02's do not register students.	None.	A set of courses in an academic area is the reason for the existence of an EDU:004. Students follow a designated programme as prescribed in the calendar(s) of the units involved. Students register for information with the programme coordinator who is responsible for their guidance through the course of study.
7. Research Role	In addition to its teaching role, an EDU:01 is concerned with a broad area of research.	An EDU:02 is concerned with a well-defined area of multidisciplinary research.	An EDU:003 is formed to pursue specific research objectives. Each proposal for outside research funds and the name of its designated head for grant management should be reported to the appropriate divisional head(s).	None.
8. Budgetary Authority	The director administers an operating budget from divisional budget(s) and external research grant sources. Ultimate financial authority goes through the appropriate dean(s). Annual budgets are operated through the appropriate dean(s).	The director administers an operating budget from divisional budget(s) and external research grant sources. Financial authority rests with the appropriate dean(s), who coordinate the annual budget as part of the appropriate decanal budget(s).	Research funds are administered through a department or Faculty. This is normally the department, EDU:01, EDU:02, or Faculty to which the Coordinator reports.	The Coordinator may administer funds, if so delegated by the division(s). Ultimate financial authority goes through the appropriate head(s) to the dean(s) of the division(s) involved.
9. Administration of Grievances	Faculty have access to the grievance procedures in the Memorandum of Agreement between The University of Toronto and The University of Toronto Faculty Association (Article 7: Grievance Procedure). Administrative staff have access to procedures in the Manual of Staff Policies (Code number 4.02.11). Students have access to the academic administrative appeal procedures of the divisions(s) concerned. Step No. 1 authority for faculty is the director, Step No. 2 authority the appropriate dean(s).	Faculty may pursue grievances through their department or division. Administrative staff working solely in the unit have access to the procedures in the Manual of Staff Policies (Code number 4.02.11).	Faculty and staff may pursue grievances through their department or division.	Faculty, staff and students may pursue grievances through their department or division.

10. Process of Review	Reviews should be undertaken by the Office of the Vice-President and Provost at the fixed intervals set aside for the appointment of a director, and reported to the Academic Affairs Committee under its guidelines.	Reviews should be undertaken by the dean(s) of the appropriate division(s) at the fixed intervals set aside for the appointment of a director. The review procedures should be defined by the division(s) at the unit's inception and approved by the Vice-President and Provost as being consistent with University-wide standards.	A periodic review is conducted by the division(s) concerned, at such times as the appointment of a coordinator, the review of the division(s), and the evaluation of the research project(s).	A periodic review of courses or the course of study is conducted by the department(s) or division(s) concerned through normal curriculum committee procedures.
11. Disestablishment	Dissolution of the unit, upon the decision of a regular or special review or for academic or budgetary reasons, is finalized through Governing Council, upon the recommendations of the Vice-President and Provost and the Academic Affairs Committee.	Dissolution of the unit, upon the decision of a regular or special review or for academic or budgetary reasons, is finalized through the dean(s) of the divisions(s) whose departments constitute the unit, and is reported to the Vice-President (Research and Government Relations).	Dissolution of the unit, for lack of divisional or external support or at the completion of the research project(s), is through the head(s) of the division(s) concerned.	Dissolution of the unit, for lack of departmental or divisional support or at the ending of the unit's course of study, is through curriculum committee procedures and, by the established process, the Academic Affairs Committee of Governing Council.

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APPENDIX B

CHECKLIST FOR NEW PROGRAM DEVELOPMENT

Academic	<ul style="list-style-type: none">• Coordination of program submission through Committee on Academic Policy and Programs (AP&P):<p>The Committee approves or recommends the academic content and requirements of all new degree programs.</p><p>The Committee has identified the areas which should be addressed when bringing major academic program proposals forward for approval. All program proposals should be accompanied by an executive summary prepared by the division which:</p><ul style="list-style-type: none">• identifies important initiatives in the proposal and gives the rationale for the proposal, including its fit with the division's academic plan;• explains the pedagogical and other academic issues underlying the proposal and the benefits expected as a result of its approval;• identifies projected student demand;• describes their expected impact on the nature and quality of the division's program of study and any impact that such major proposals may have on other divisions;• provides evidence of consultation with other affected divisions;• explains the appropriateness of the name and designation (e.g. certificate, diploma, non-degree, new degree, stream within an established degree program, combined, collaborative, co-operative, etc.) in accordance with "truth in advertising," to ensure that users recognize the name and know what it means; The degree designations should be specified. If a new degree designation is requested, the proposal should include a rationale for why a new degree designation is required.• includes program description and requirements, course titles/numbers, and lists faculty members involved, where known;• In addition to above, undergraduate program proposals must indicate the following in order for the University to be in compliance the Ontario Undergraduate Program Review Audit Guidelines (UPRAC):<ul style="list-style-type: none">○ consistency of the program with the general objectives of the institution's mission and academic plans and with the standards, educational goals and learning objectives of the degree;○ appropriateness of the admission requirements, e.g., achievement and preparation, for the learning objectives of the institution and the program;○ appropriateness of the program's structure and curriculum for its learning objectives;○ appropriateness of the mode of delivery (including, where applicable, distance or on-line delivery) to meet the program's learning objectives;○ appropriateness of the methods used for the evaluation of student progress;○ appropriateness of the utilization of the existing human/physical/ financial resources;○ a sufficient number of faculty, including full-time appointments, with evidence of their quality and academic expertise in the area of the proposed program.
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Planning & Budget	<ul style="list-style-type: none"> • Coordination of program submission through Planning and Budget Committee, including: <ul style="list-style-type: none"> • Resource implications of new proposals, including, but not limited to such areas as staffing, space, libraries and computing facilities, enrolment/admissions, revenue/costs, financial aid. • If a proposal does has no or minimal resource implications, this must be clearly stated. • MTCU Program Approvals Process and Submission requirements. Some programs will require submission to MTCU for eligibility for enrolment in order to be counted. These include graduate and undergraduate professional and quasi-professional programs. The submission to MTCU require “certification” of seven criteria (Nomenclature, Academic Quality, Societal Need, Student Demand, Institutional Appropriateness, Financial Viability, and Justifiable Duplication). The first six criteria are evaluated as part of the program development for the AP&P and Planning & Budget Committees, the last criterion is produced by the Office of Planning and Budget.
Space & Facilities	<ul style="list-style-type: none"> • Coordination of Space & Facility issues: The requirements for physical facilities should be identified by providing information on the change in the number of people to be accommodated by type, (i.e. faculty, graduate students, administrative staff etc.), as well as information on changes in equipment and activities requiring housing. The Division must state whether it expected that additional space is required or that existing space must be renovated or that the space allocation presently assigned to the academic program will satisfactorily accommodate the new initiative. The operating costs of space attributable to the Division may increase or decrease depending upon the nature of the changes to the space allocation. This impact will be assessed by Campus and Facilities Planning. • Coordination of capital projects for approvals The construction of new space or renovations will require AFD or Governing Council approval in accordance with the Policy on Capital Planning & Capital Projects (June 2001)
Students	<ul style="list-style-type: none"> • Coordination of aspects of the program related to non-academic matters and matters that directly concern the quality of student and campus life, including: <ul style="list-style-type: none"> • Student affairs and services • Student discipline • Awards and admissions • Student exchanges • Student registrarial and information systems

In addition to the information provided above, proposals should be

- provided in paper copy, with signatures (for filing) and electronically (for distribution)
- accompanied by a cover letter from the division head to the Senior Assessor of the Committee which states:
 - when the proposal was approved at the divisional level,
 - what the planned implementation date is.

APPENDIX C

Governance Cycle – Office of the Provost Deadlines 2004-05

The Provost's Office is responsible for bringing forth items to the respective committee in a timely and comprehensive manner. For the academic year 2004-05, please refer to the following deadlines for submission of items to the Provost's Office. Major items or items that require discussion should be brought to the attention of the Office of the Provost as soon as possible in order that we can ensure that all the required materials will be included in the final proposal package. This helps to facilitate the governance process by ensuring that the material that is received by the respective committees is thorough, and that it is received in a timely manner.

Committee on Academic Policy and Planning (Calendar entries, policies, etc.)

Provost's Office deadline	Agenda Meeting	Meeting Date
Sept 7	Sept 10	Sept 22
Oct 5	Oct 12	Oct 27
Nov 17	Nov 25	Dec 8
Dec 10	TBD	Jan 12
Jan 12	Jan 19	Feb 2
Feb 16	Feb 23	Mar 9
Mar 24	Mar 31	Apr 13
Apr 20	Apr 27	May 11

Planning and Budget Committee (Resource implications, capital projects, etc.)

Provost's Office deadline	Agenda Meeting	Meeting Date
Sept 7	Sept 8	Sept 21
Oct 11	Oct 13	Oct 19
Oct 25	Nov 1	Nov 10
Nov 16	Nov 23	Dec 7
Jan 3	Jan 11	Jan 25
Feb 7	Feb 14	Mar 1
Feb 14	Feb 21	Mar 8
Mar 7	Mar 14	Mar 28
Mar 29	Apr 5	Apr 19
Apr 19	Apr 26	May 10

Academic Board (Appointments, promotions, etc.)

Provost's Office deadline	Agenda Meeting	Meeting Date
Sept 16	Sept 23	Sep 27
Oct 21	Oct 28	Nov 11
Dec 2	--	Dec 9*
Dec 9	Dec 16	Jan 13
Feb 3	Feb 10	Feb 24
Mar 23	Mar 30	Apr 7
Apr 21	Apr 28	May 5
May 12	May 19	Jun 2

* Last Academic Board for approval of appointments beginning Jan 1, 2005

Submissions for approval to governance may not be advertised until approved by the appropriate level of governance; accordingly divisions should take into account calendar and other advertising deadlines in determining the timetable for governance approval.

Questions regarding the above timetable should be addressed to Helen Lasthiotakis, Director, Policy and Planning, 416.946.0501, h.lasthiotakis@utoronto.ca.



University of Toronto

OFFICE OF THE VICE PRESIDENT AND PROVOST

DRAFT Dec 10/04

Guidelines for Review of Academic Programs and Units

1. Purpose and Scope

The purpose of the Guidelines is to ensure that procedures are established for the review of academic programs and units in accordance with the *University Policy for Assessment and Review of Academic Programs and Units*. The purpose and scope of reviews are specified in the *Policy*.

2. Application

2.1 Reviews of programs and units

- Given the purpose of reviews as stated in the *Policy for Assessment and Review of Academic Programs and Units*, and in order to minimize the number of different review cycles as discussed below, the review of an academic unit should normally include a thorough review of each of the programs offered by the unit. Conversely, program reviews should normally be embedded in reviews of the unit(s) upon whose resources they draw.
- In some cases, the inclusion of program reviews in reviews of units is not feasible. Most notably, the review of a multi-departmental division with departmentally-based programs (which are assessed in reviews of the departments) should not include a review of all of these programs, although general issues of curriculum may be considered.

2.2 Inter-departmental and Inter-divisional programs:

- Interdivisional programs that are inter- and multidisciplinary should be reviewed as entities distinct from the larger academic units within which they may be included. Existing and proposed new programs must have an identified permanent affiliated commissioning division for the purpose of the review.
- Programs which draw upon the resources of more than one department or division, and which are not administered by a single academic unit, may be reviewed on a stand-alone basis or in the context of reviews of one or more of the participating units. Programs administered as single units may be reviewed

outside of departments, colleges, or divisions or in the context of reviews of relevant departments. The process of review should, however, be explicit for such existing or proposed programs.

- Programs offered by St. George colleges within the Faculty of Arts and Science should be reviewed in the context of reviews of the relevant Arts and Science department(s) and their programs. The periodic review of the college will not include a review of its academic programs.
- In some cases, programs do not have dedicated resources, but rather are composed entirely of courses offered in other programs and require no administrative coordination. Such programs need not undergo the full process of regular self-study and external review set out in these Guidelines. However, the head of the relevant unit should periodically review enrolment trends and curricular coherence in such programs.

2.3 Divisional variation:

- These guidelines are meant to allow latitude for variation and flexibility in divisional practices in the conduct of reviews. However, the core review criteria related to the purpose, process and content of reviews, accountability, and regarding circulation of the review reports form the core of the review guidelines and must be addressed.

2.4 Inter-institutional programs:

Programs that are inter-institutional and offered in partnership with other higher education institutions (colleges and universities) through collaborative or other affiliation agreements, should be reviewed as entities distinct from the larger institutions within which they may be included. Such programs may be reviewed on a stand-alone basis or in the context of reviews of one or more of the participating institutional divisions. Existing and proposed new programs must have an identified permanent process and timeline for the purpose of the review and the process of review should be explicit.

3. *Process:*

3.1 Commissioning Officer:

- Reviews of academic units and the programs they offer are to be commissioned by the academic administrator to whom the head of the unit reports: the dean or principal in the case of multi-departmental divisions, and the Provost in the case of single-departmental divisions. Commissioning officers are responsible for maintaining a schedule of reviews of programs that are their responsibility.
- In the case of programs that cut across units, the review should be commissioned by the academic administrator to whom the heads of the relevant units report: the dean or principal where the program cuts across departments within a division; the Provost or the Dean of the School of Graduate Studies where the graduate program cuts across divisions.
- In the case of programs and units that are inter-institutional and offered in partnership with other higher education institutions (colleges and universities) through collaborative or other affiliation agreements, the review should be commissioned jointly by agreed upon and identified commissioning officers at the institutions. For the University of Toronto the commissioning officer should be the Dean or Principal of the participating institutional division or the Dean of the School of Graduate Studies.

3.2 Timing

- Reviews should be conducted on a regular basis, frequent enough to ensure that the academic leadership is kept informed of developments in all academic units, but at sufficiently long intervals that the effects of given actions can be determined and that the system is not over-burdened by the logistical demands of the process. Reviews are usually timed to coincide with the end of term of the unit's head, as the review then also provides a clear mandate for the next leadership of the unit. While reviews are normally conducted every five years, the time interval between reviews must not exceed ten years. Reviews of the various programs offered by a given academic unit should be synchronized wherever possible.
- Internally-commissioned reviews should not be waived because an externally-commissioned review, such as an accreditation review, has recently been conducted. Reviews of academic programs by external bodies such as the Ontario Council on Graduate Studies (OCGS) and professional accrediting bodies form part of collegial self-regulatory systems to ensure that mutually agreed-upon threshold standards of quality are maintained in new and existing programs. Such reviews may serve different purposes than those commissioned by the University. Academic administrators within the University have limited discretion over the conduct of these externally-commissioned reviews; and these guidelines are not intended to apply to such reviews. In such cases, however, the University process may be streamlined by assessing the alignment of mandates of externally and internally commissioned reviews and supplementing documentation as necessary.

For example, reviews of undergraduate and graduate programs could be timed according to the OCGS review cycle. The OCGS process allows for "augmented" reviews that include reviews of undergraduate programs and additional terms of reference. Academic units may explore the feasibility of using this option. There is also value in convening an internal review committee. Divisions may choose to devote the first phase of the deliberation of the search committee for the unit head for this purpose, rather than striking a separate review committee. There may, however, be circumstances in which reviews may be timed on a different basis -- notably at the beginning of a planning cycle.

- For programs that cut across units, care needs to be taken by the appropriate commissioning officer to ensure that they are reviewed on a regular cycle, since the discipline-based units involved in offering such programs are likely to be on differing review cycles. While reviews are normally conducted every five years, the time interval between reviews must not exceed ten years.

3.3 Selection of reviewers:

- The composition of review panels will vary according to divisional circumstances, subject to the provision that at least two scholars external to the University of Toronto be involved. Normally at least one of these reviewers should be from outside Canada.
- Some divisions may rely entirely on external reviewers; others may strike an internal review committee as well. And where appropriate, some divisions may wish to seek advice of others, such as representatives of industry, professions and practical training programs. In all cases the reports of external reviewers should be identifiably separate from internal reports, although the internal review committee, if any, may wish to comment upon the external review(s) and/or to include them as appendices.
- The selection of reviewers, like the commissioning of the review itself, should be done on a "one-up" basis. The commissioning officer should select reviewers in consultation with the unit to be reviewed. In selecting reviewers, an appropriate balance needs to be struck between familiarity with the unit

under review and sufficient distance to allow for objective assessment. The external reviewers must be at arm's length from the program under review, that is, they should not have a particular interest in the outcome of the review due to personal or professional relationships with members of the unit.

3.4. Conduct of the review:

- The review should be publicly announced through appropriate University media and submissions invited.
- A thorough self-study should be prepared, as discussed below.
- External reviewers should be provided with a copy of the terms of reference, the self-study of the unit under review, the previous review report including the administrative response, and, where appropriate, any non-University commissioned reviews (for example, for professional accreditation or Ontario Council on Graduate Studies) completed since the last review of the program or unit in advance of a site visit. In addition, external reviewers should be provided with access to all course descriptions and the *curricula vitae* of faculty.
- Reviewers should be encouraged to visit together. During their visit, provision must be made for reviewers to meet with faculty, students and staff as well as members of relevant cognate units as determined by the commissioning officer.
- External reviewers should submit team reports.

4. Content of reviews

4.1 Self-study:

- Guidelines regarding the content of self-studies are set out in *Elements of the Self-Study* (Appendix A).
- The self-study is intended to be a reflective, analytical, self-critical and evaluative process that assesses the appropriateness of all areas of activity in the unit or program.
- The self-study must include the involvement of faculty, students and staff and describe the nature of this involvement.
- The self-study should address the criteria raised in the objectives set out in the terms of reference for external reviews.
- The self-study should incorporate the use of data as specified in *Elements of the Self-Study*. These data will provide the skeleton of the self-study, and are to be fleshed out in commentary that provides a rounded view of the unit and its programs.

4.2 External Reviews Terms of Reference

The terms of reference for external reviewers should be established by the commissioning officer. These terms may vary to address issues of particular relevance to a given unit. They should however ask reviewers to comment upon each of the following elements, in order to assess each of the programs offered by the unit against the scope set out under the *Policy for Assessment and Review of Academic Programs and Units* and the *Statement of Institutional Purpose*:

1. Size, scope, quality and priorities of Unit's Education activities:
 - Consistency of the programs with the general objectives of the University's mission and academic plans, and with the standards, educational goals and learning objectives of the degree.
 - Appropriateness of admission standards (e.g. achievement and preparation) at both the University and, where applicable, program levels for the learning objectives of the program.
 - Appropriateness of the program's structure, curriculum and length for its learning objectives.
 - Extent to which programs within the Unit make appropriate use of a variety of learning formats, with particular attention to courses with large enrolments and distance learning components.
 - Appropriateness of the methods used for the evaluation of student progress.
 - The level of achievement of students, consistent with the educational goals for the program and the degree, and institutional standards.
 - Demand for the programs as evidenced by the quality of the students attracted.
 - Quality of teaching, and evidence that research, professional activities and scholarships are brought to bear in teaching.
 - Extent to which there is collaboration among the Unit's degree programs.
 - The quality of the educational experience provided to students beyond the classroom, commenting such as opportunities for international mobility and availability and utilization of student advising and counseling.
2. Scope, quality and relevance of the Unit's Research activities. Is the level of activity appropriate in terms of comparisons nationally and internationally? Are research activities appropriate for the undergraduate and graduate students in the Unit?
3. The scope and nature of the Unit's relationship with cognate academic departments and units at the University of Toronto. Has the Unit developed or sustained fruitful partnerships with other universities and organizations in order to foster research, creative professional activities and to deliver teaching programs?
4. The scope and nature of the Unit's relationship with external government, academic and professional organizations. What has been the social impact of the Unit in terms of outreach and impact locally and nationally?
5. The appropriateness and effectiveness of the Unit's organizational and financial structure. How well has Unit managed resource allocation, including space and infrastructure support? What are opportunities for new revenue generation by the Unit?
6. The vision of the special challenges facing the Unit's in long-range planning and consistency with the University's academic plan:

- Complement planning, including balance of tenure-stream and non-tenure stream faculty
- Enrollment strategy
- Student financial aid
- Development/fundraising initiatives
- Management and leadership

7. The morale of the faculty, students and staff.

8. Extent and effectiveness of measures to recruit and retain students, faculty and staff from demographic groups under-represented in the unit and its programs.

9. Assessment of the Unit and Programs relative to the best of their kind offered in Canada/North America and internationally, including areas of strength and opportunities.

- Reviewers should be asked to submit a report that summarizes their findings, conclusions and key recommendations. The report should also include a summary of the key findings and recommendations of the previous review report and resultant steps taken to address any recommendations. The report should end with a statement of strengths and weaknesses and the action to be taken on their recommendations.

5. Administrative Response:

- As part of the discharge of accountability, the academic administrator who commissioned the review should respond formally to the review report, indicating areas of agreement and (if relevant) disagreement, and describing the action to be taken in response to issues raised in the review. This administrative response is an important part of the review process, since it indicates how the recommendations of the review will be dealt with in the broader context of the multi-departmental division or the University as a whole.
- The outgoing, incoming, or continuing head of the unit under review should have the opportunity to respond as well. Responses should reflect both the views of the head of the unit and the views of the unit as a whole.

6. Circulation of the report

- The review report is a public document, and should be circulated within the unit reviewed. As noted above, reports of external reviewers should be identifiably separate from the report of the internal review committee, if any.¹
- External reviewers will be asked to make recommendations relating to personnel issues or other matters specifically involving individuals, if any, on a confidential basis to the academic officer commissioning the review.

¹ The issue of the breadth of circulation of the review report is one on which there is considerable difference of opinion and of divisional practice. Some have argued that confidentiality increases the likelihood of frankness on the part of reviewers. However, if reviews are to have their intended effect of maintaining and improving the quality of programs, and if changes are to be made accordingly, it is important that the reasons for change be transparent. Furthermore, if the review is highly favourable, it can provide important recognition and reinforcement for an academic unit. To release some reports and not others would, of course, invite invidious comparisons. Divisions that follow the practice of circulating review reports, including the reports of external reviewers, moreover, have not found that frankness has been inhibited.

- Review reports are submitted for information to governance through the Committee on Academic Policy and Programs of the Academic Board (AP&P). A compendium of summaries of review reports is submitted annually to AP&P by the office of the Provost and discussed at a dedicated AP&P meeting. The summaries are presented in a standard template (Appendix B) prepared by the office of the commissioning officer and reviewed by the Office of the Provost. The review reports themselves are filed with the Governing Council office for consultation.

The compendium of summaries, as well as the record of the discussion at AP&P, is forwarded to the Executive Committee of Governing Council. These documents are also considered by the Agenda Planning Committee of the Academic Board to determine whether they raise any overall academic issues warranting discussion by the Board. The purpose of this consideration of reviews by governance is to allow governors to discharge their responsibility to ensure that academic administrators are reviewing programs and units on a regular basis and are responding to these reviews in a manner that achieves the purpose of maintaining and improving program quality.

7. Accountability

Reviews are important mechanisms of accountability. The *Accountability Framework for Review of Academic Programs and Units* is contained within the *Policy for Assessment and Review of Academic Programs and Units*. The Framework outlines the following responsibilities and mechanisms:

- The Dean/Principal of a single- and multi-departmental division is responsible for monitoring quality of all academic programs and units in the Faculty and taking necessary steps to address problems and achieve improvements. S/he commissions and responds to reviews of academic programs and units within the Faculty, prepares summaries of all reviews within the Faculty and forwards the reviews and summaries, including the administrative responses, to the Provost.
- The Provost is responsible for monitoring the quality of all academic programs and units in the University and taking necessary steps to address problems and achieve improvements. S/he commissions and responds to reviews of faculties and colleges and prepares summaries of reviews of faculties and colleges, including the administrative response. The Provost is responsible for maintaining a schedule of future reviews and/or compiling this information from the responsible commissioning officers. S/he receives reviews of units within multi-departmental Faculties and prepares an overall summary of all reviews, for forwarding to Governing Council.
- Governing Council:
 - ◊ The Committee on Academic Policy and Programs (AP&P) is responsible for annually undertaking a comprehensive appraisal of review results and administrative responses. The Committee ensures that reviews are performed on a regular basis, that they were conducted appropriately and that the issues identified in the self-study and by reviewers were dealt with appropriately by the administration. The Committee receives annual program review reports, commissioned in the previous academic year, including summaries of all reviews, identifying key issues and administrative responses commissioned in the previous academic year. The annual report is discussed with relevant academic leadership at a dedicated program review meeting and then forwarded to Executive Committee.
 - ◊ The Agenda Committee of Academic Board is responsible for identifying any general academic issues raised by the overview of reviews or in the AP&P discussion that warrant discussion by the Academic Board. The Committee receives the annual program review report (including summaries of all reviews) and record of AP&P discussion.

- ◇ The Executive Committee is responsible for monitoring the overall review audit process, for the identification of any changes required in process, and discussion of any major unresolved issues with the President and Provost. The Committee receives the annual program review report (including summaries of all reviews) and record of AP&P and Academic Board Agenda Committee discussion.
- ◇ Governing Council is responsible for ensuring that the University administration is monitoring the quality of academic programs and units and is taking the necessary steps to address problems and achieve improvements. The Council receives the annual program review report (including summaries of all reviews) and record of AP&P and Executive Committee discussions.

[D R A F T]

APPENDIX A ***Elements of the Self-study***

The self-study must include the involvement of faculty, students and staff. It is intended to be a reflective, analytical, self-critical and evaluative process that assesses the appropriateness of all areas of activity in the unit or program. The self-study should address the criteria raised in the objective set out in the *Policy for Assessment and Review of Academic Programs and Units* as well as the issues outlined in the terms of reference for the review. It should be comprehensive and should include the data and indicators specified below, **as relevant to the particular unit and programs**. These data will in effect provide the skeleton of the self-study, and are to be fleshed out in a reflective, analytical, self-critical and evaluative commentary that provides a rounded view of the unit and its programs. The self-study should identify real or potential problems and opportunities.

a) Complement -- Academic and Administrative

On the basis of the below data, the self-study should **offer commentary on the pattern of retirements and other aspects of faculty demographics, and their implications for the capacity of the unit to deliver its programs**. It should also describe **measures taken to recruit, integrate and retain faculty members and assess the effectiveness** of these measures. Finally, it should also **comment upon the appropriateness of the level and distribution of administrative staff resources** in supporting the unit's academic activities, as well as career development support provided to administrative staff.

- Age distribution and retirement projection for tenure/tenure-stream professoriate, by gender
- Academic staff count by rank and source of funds, at the disciplinary level
- Source of new faculty by institution granting Ph.D., and by specialization, hired during the past five years
- Number and specialization of faculty who have left in the past five years, by reason for leaving
- Gender and visible minority distribution of new appointments in the past five years
- Number of named Chairs and Professorships
- Number of FRSC, FRSL, etc.
- TA budget and actual expenditures in the past five years
- Current FTE staff and total expenditure for support services by category and by source of funds.
Suggested categories:
 - ◊ Registrarial and student services
 - ◊ Financial and human resources management
 - ◊ Technical support, including computing support
 - ◊ Alumni relations and development
 - ◊ Libraries
 - ◊ General administrative support (e.g. secretarial/administrative assistant support)
- Age distribution and retirement projection for support staff
- Ratio by FTE of staff to faculty, student to faculty, student credit hours to faculty, senior lecturer to tenure-track faculty, tenure-track + instructor to total FTE
- Ratio grant funding to number FTE staff engaged in research support

b) Academic Programs

Drawing upon the below information, each unit should **assess each of its programs against the criteria established in the Terms of Reference**. In doing so, it should also comment upon **changes and innovations** in program structure and content, including the fostering of the research-teaching linkage and interdisciplinary developments and innovations in learning formats if any, over the past five years.

(Unless specified, data should be provided for the past five years when available.)

Undergraduate First Entry Programs

- Frequency distribution of entering OAC averages
- Applications/Offers/Yield rates
- Intake
- Total enrolment, November 1 headcount and FTE
- Year to year retention rates
- Graduation rates
- Area from which students are arriving to UofT
- Student engagement/satisfaction

Measures Specific to Arts and Science Programs

- Specialist and Major Enrolment by program
- November 1 FTE enrolment by sector: B.A., B.Sc., B.Comm

Second Entry Programs (includes Professional Masters)

- Applications/Offers/Yield rates
- Where applicable, average GMAT/LSAT/MCAT scores
- Intake
- Total enrolment, November 1 headcount and FTE
- Year to year retention rates
- Graduation rates
- Placement of graduates by employment sector

Doctoral Stream Programs

- Applications/Offers/Yield rates
- Entering averages
- Domestic and international total enrolment
- BIU-eligible vs. ineligible domestic enrolment
- Domestic and international intake
- Retention rates
- Median time to Ph.D.
- Ph.D. completion rate
- PhDs granted, with comparison to Canadian and AAU peer programs
- Ph.D. enrolment: graduate faculty ratio for the current year only, with comparison to Canadian and AAU peer programs
- Placement of graduates by employment sector
- Graduate student satisfaction

Instructional Activity

- Instructional Activity Index
- Involvement of faculty in programs offered by other units in the current year
- Percentage of courses taught in the current year by tenure/tenure-stream faculty, by level

- Definition of indicators that provide evidence of quality of faculty, student clientele (applications and registrations), student quality, and the outcomes of the program (graduation rate, length of studies, etc.) and achievement of its learning objectives. (The indicators are invariably best developed by the unit whose program is under review. Data on indicators should be collected over an extended time period rather than simply once every review cycle, and the results should be discussed in the self study as a means to enhance program quality and student satisfaction.)

c) Learning Environment

This section should draw upon the below data, together with descriptions of action taken over the past five years, to assess **changes in the learning environment, both positive and negative.**

- availability and utilization of:
 - ◊ teaching development programs
 - ◊ student academic counseling services
 - ◊ writing support
 - ◊ internships, PEY, summer programs, and other forms of experiential learning
- distribution of class size and number of large courses with sections, tutorials or laboratories, over the past five years

d) Student Financial Support

On the basis of these data, each division should indicate **its compliance with the University's Policy on Student Financial Support**, and should describe funding available for students. For doctoral stream students, each unit should describe **its practices regarding the provision of packages of support**, over and above the University's guarantee under that *Policy*.

- level of financial support available per FTE student over the past five years
- Student support by type and by source of funds for the current academic year (N.B. for doctoral stream students include research assistantships and teaching assistantships)
- OSAP and UTAPS participation rates over the past five years
- level of need unmet by OSAP and grant/loan mix used to meet this need
- availability and utilization of financial counseling

e) Consolidated Operating Budget

On the basis of the below information, each unit should comment upon the **appropriateness of the level and distribution of financial resources** in support of its academic programs, and the capacity for **flexibility and re-allocation** within existing resources.

- Gross and net operating budget for the past five years
- Operating budget for the current year and for next year by major object of revenue and expense
- Divisional carryforward for the past four years, excluding the current year
- Balance of OTO budget reductions to the end of next year
- Analysis of divisional revenue budget vs. actual for the past four years, excluding the current year

f) Research

In this area in particular, there will be variation across academic units as to the appropriate measures. Drawing upon the above information, each unit should comment upon **the level of activity in research and scholarship** among its members. In all cases, an assessment of the quality of research output, supported by evidence appropriate to the discipline, will be essential.

- Federal and provincial granting council awards for the past five years
- Research grants and contracts for the past five years
- Research Yield: the ratio of the unit's share of SSHRC, NSERC and/or MRC funding (# of awards and overall \$ amount) to the unit's national share of eligible faculty
- Where relevant, success to date in governmental research infrastructure competitions
- Measures of scholarly and research productivity, selected by the academic unit as appropriate to the discipline. For example, publications in lead journals and by major university presses.

g) Infrastructure

Each unit should assess the **adequacy of the infrastructure** available to support its activities, including the capacity for **re-allocation of space and other resources**. Space and/or equipment which might be made available to other units, given appropriate terms of exchange, should be identified. Units with libraries outside the UTL system should address the potential for **consolidation of library resources through UTL**.

- Actual vs. COU Formula-Generated Space, by category: faculty offices, graduate student space, administrative offices, teaching laboratories where relevant
- Instructional technology and equipment
- Research equipment
- Library resources where relevant: volumes, acquisitions, expenditures, for the past five years
- Unit's record in providing start-up funding for new faculty

h) Philanthropic Support

This section should serve as an assessment of the unit's actual and **potential capacity to attract private support**.

- By annual fund constituency:
 - ◊ Percentage of alumni donors for the past four years excluding the current year
 - ◊ Annual fund donations for the past four years excluding the current year
- Actual performance against campaign target
- Endowment by major category of activity supported as at last April 30
- Income from endowments and expendable donations for the past four years excluding the current year

i) Organizational Issues

Each unit should describe its organizational structure and relationship to other units, to assess, from an academic perspective, whether these arrangements are **best suited to the delivery of its programs and for program enhancement and innovation** or whether there are any organizational impediments to program development. The potential for linkages with other units should be considered.

The appropriateness of the administrative and governance structure for the effective functioning of the unit should also be assessed.

APPENDIX B REVIEW SUMMARY

DIVISION/UNIT:

Department of
Faculty of

DATE:

COMMISSIONING OFFICER:

PROGRAMS OFFERED:

REVIEW COMMITTEE COMPOSITION:

EXTERNAL REVIEWERS, HOME UNIVERSITY:
International

Canadian

DATE OF PREVIOUS REVIEW:

SUMMARY FINDINGS AND RECOMMENDATIONS OF PREVIOUS REVIEW:

DATE OF RECENT OCGS REVIEW(s):

DOCUMENTATION PROVIDED TO REVIEWERS:

CONSULTATION PROCESS:

FINDINGS AND RECOMMENDATIONS - OVERALL ASSESSMENT AND SPECIFIC ISSUES:

ADMINISTRATIVE RESPONSE



University of Toronto

OFFICE OF THE VICE PROVOST, ACADEMIC

Members of the U of T Review Guidelines Committee:

Edith Hillan, Vice-Provost, Academic (Chair)

Leslie Bush, Executive Assistant to the Dean of Medicine

Lois Chiang, Assistant Dean Students, Faculty of Law

Will Cluett, Former Vice-Dean, Undergraduate, Faculty of Applied Science & Engineering

Gretchen Kerr, Associate Dean, Undergraduate Education, Faculty of Physical Education

Anne Lancashire, Vice-Dean, Academic, Faculty of Arts and Science

Lynn Snowden, Assistant Dean, University of Toronto at Mississauga