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ABSTRACT

In response to legislative mandate, the California Postsecondary Education Commission developed options for improving students' learning and development in college, including funding approaches designed to support these options. The commission's report summarizes a previous, related report and traces the origins of the current report from it, describes the three major types of state incentive funding programs presently used in American higher education, discusses current thinking regarding talent development and value-added assessment of student gains in higher education, and outlines two major priorities for incentive funding in California: achievement of broad student access and success, and the recruitment of more women and ethnic minorities in teacher training. The commission's four recommendations include: (1) establishment of a state challenge grants program to support initiatives for improving teaching and learning, including development of institutional assessment plans; (2) a state challenge grants program to support initiatives for increasing underrepresented students in teacher education in the state at all levels; (3) development of appropriate criteria and mechanisms for effective implementation, administration, and evaluation of the challenge grant programs; and (4) support for development of a statewide student information system to track individual students throughout their college experience and beyond. Related materials are appended, including a paper on higher education assessment in the United States and in California. Contains 25 references. (MSE)

Executive Summary

This report, prepared by Martin M Ahumada, responds to Assembly Bill 2016 of 1987, which directed the Commission to "develop and present options" for "measuring and implementing talent development or value added approaches to higher education," and "an incentive funding approach designed to develop appropriate methods of assessing the teaching and learning process."

- Part One on pages 1-4 of the report presents six conclusions and four recommendations regarding these several approaches.
- Part Two on page 5-8 summarizes the Commission's previous report on the topic and traces the origins of the current report from it.
- Part Three on pages 9-14 describes the three major types of state incentive funding programs presently being used in American higher education.
- Part Four on pages 15-20 discusses current thinking regarding talent development and value-added assessment in higher education.
- And Part Five on pages 21-26 outlines two major priorities for incentive funding in California -- achievement of broad student access and success, and more women and ethnic minorities in the teaching "pipeline."

The four recommendations of the report are that:

- 1 The Governor and Legislature should establish a California challenge grants program to support initiatives for improving teaching and learning in higher education, including the development of institutional assessment plans.
- 2 The Governor and Legislature should establish a California challenge grants program to support initiatives for increasing the number of under-represented students in the teaching "pipeline" in California education at all levels.
3. The California Postsecondary Education Commission, in collaboration with the segments and the Intersegmental Coordinating Council, should (1) develop the appropriate criteria and mechanisms for the effective implementation, administration, and evaluation of the challenge grants programs recommended above, and (2) determine their appropriate roles in the administration and the evaluation of these programs.
4. The Governor and Legislature should encourage and support the development of a statewide student information system that is designed to track individual students throughout their collegiate experience and beyond, in order to better understand the factors that influence student access and retention and to assess the impact of program changes on student performance.

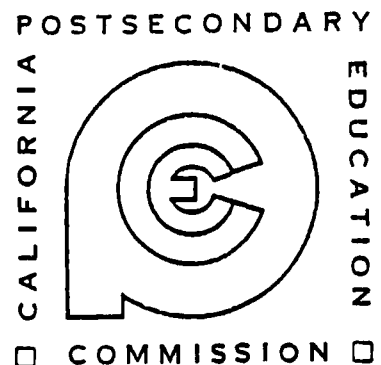
The Commission adopted this report at its meeting on December 12, 1988, on recommendation of its Policy Development Committee. Additional copies of the report and more information about it may be obtained from the Library of the Commission at (916) 322-8031.

BEYOND ASSESSMENT

Enhancing the Learning and Development of California's Changing Student Population

*A Report in Response
to the Higher Education Talent
Development Act of 1987 (Assembly Bill 2016;
Chapter 1296, Statutes of 1987)*

CALIFORNIA POSTSECONDARY EDUCATION COMMISSION
Third Floor • 1020 Twelfth Street • Sacramento, California 95814-3985





**COMMISSION REPORT 88-41
PUBLISHED DECEMBER 1988**

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PROMOTING educational quality through assessment and state budgetary strategies is one of the most discussed issues in American higher education today. In California, through AB 2016 of 1987 (Hayden), the Legislature asked the Postsecondary Education Commission to develop options for measuring and improving students' learning and development in college, including funding approaches designed to support these options.

The Commission submits this report in response to that request. In this first section, it summarizes its findings that it develops at greater length later in the report, and it offers four recommendations based on those conclusions.

Conclusions

1. Institutional excellence is most likely to be assured when states encourage their educational institutions periodically to review and sharpen their mission and functions, define and measure essential student learning, and adopt the appropriate organizational, structural, and evaluation systems to ensure that they meet their objectives.

In recent years, a number of states have used their state budgets in different ways to promote quality in higher education. In almost all cases, state leaders contend that their funding strategies are premised on widely accepted views of what constitutes sound educational processes to improve institutional performance. The experience of these states indicates that reliance on financial incentives to promote educational quality is more effective than punitive regulation. State incentive funding strategies in particular are increasingly being viewed as important *tools* or *means* for encouraging educational institutions to become self-evaluative and to embark on new institutional and state priorities for higher education.

2. State incentive funding programs are budgetary means to achieving the State's policy goals for higher education, rather than ends in themselves. They provide marginal increments or "add ons" to institutions' base budgets that state leaders can use for leverage in inducing institutions to engage in certain intended or desirable activities or to achieve specific ends.

States can stimulate much educational improvement and faculty and institutional creativity from a small amount of new money above current funding levels -- in the range of 1 percent to 2 percent of the total state budget for higher education. Incentive funding initiatives that best respond to states' interests are those designed as a means for (1) assisting students to make better informed decisions related to their educational needs and interests, and (2) assisting faculty members and institutions to determine which educational interventions will most likely promote student success. These initiatives would support locally developed rather than externally imposed methods for assessing, guiding and improving the teaching and learning process, but they can be expected to demonstrate institutional effectiveness to state leaders and other constituencies.

3. "Challenge grant" programs that are established on a multiple-year and entitlement basis and are designed to supplement the existing competitive grant programs of the segments are most likely to achieve California's priorities for its higher education institutions.

Three major types of state-level incentive funding approaches exist for improving higher education: (1) performance-based funding, (2) competitive grants, and (3) challenge grants. Competitive grant programs operated on an appropriate scale, such as the current segment-based programs in California, can be effective in encouraging institutional creativity and experimentation, as evidenced by the success of projects funded by the California State University's

Academic Program Improvement Fund, the University of California's Instructional Improvement Fund, and the California Community Colleges' Fund for Instructional Improvement. For example, the origins of the California Academic Partnership Program and the State University's English Placement Examination can be traced to pilot projects funded by its Academic Program Improvement Fund.

Yet challenge grants provide state leaders a powerful tool to channel appropriate types of incentives to appropriate levels -- institutional, departmental, or individual -- on the campuses, in order to encourage all institutions, rather than only those that win competitive grants, to achieve specific state objectives.

4. Value-added assessments should be designed to examine a variety of student and institutional outcomes through the application of multiple procedures that are developed with the full involvement of students and faculty and that are tailored to suit the needs of a particular course, program, or institution as part of a systematic and ongoing process of self-study and self-improvement.

"Value-added" assessment is an approach to measuring changes or gains in students' knowledge, attitudes, and skills between the beginning and the end of their collegiate experience. For several reasons, this approach must be carefully planned, designed, developed, and applied in order to be appropriate to the multiplicity of contexts found in California higher education. The best use of value-added assessment information is to track or chart student growth and change over time for improving the teaching-learning process and for promoting student success. Correctly developed and utilized value-added assessment information promises to result in major improvements in teaching and learning, but significant risks are associated with this information if it is inappropriately developed or misused. Most importantly, it is inappropriate to use value-added assessment data to drive the state budgeting process, to justify punitive measures against a program or institution, to compare one institution with others rather than with itself over time, or to rely on it to any significant degree in decisions related to faculty retention and tenure.

5. "Quality" and "diversity" are interdependent goals for California higher education that incentive funding should help achieve.

Expanding views of what constitutes "quality" in California higher education are emerging from the ongoing dialogue about how the State's higher education institutions can best respond to the educational needs of their rapidly changing student population. For example, the issue of achieving greater student and faculty diversity in all California institutions of higher learning as well as greater multicultural and international awareness across the curriculum has emerged as a priority "quality" initiative at the State and campus levels. Thus the terms *quality* and *diversity* are increasingly interdependent as State goals for higher education, premised on the notion that educational institutions fall short of providing a "quality" educational experience if they do not familiarize students with the socioeconomic and cultural character of the larger society in which they live and do not educate broadly among the diverse groups comprising a multicultural society.

6. California's priorities that should be served through incentive funding programs are demonstrable improvements in institutions' effectiveness in achieving (1) greater student access and success plus (2) greater faculty diversity.

In light of the changing demographics of California, the State's limited resources to support incentive funding programs should be targeted at achieving its priority goals of encouraging institutions to help all students succeed by improving their skills, knowledge, and motivation; improve the access, retention, and completion rates of underrepresented students; and support those initiatives that attract, prepare and retain women and ethnic minority faculty.

Recommendations

Based on the above conclusions, the Commission offers the following four recommendations regarding budget initiatives to address the priorities facing California higher education:

RECOMMENDATION 1: The Governor and Legislature should establish a California challenge grants program to support initiatives for improving teaching and learning in higher education, including the development of institutional assessment plans.

RECOMMENDATION 2: The Governor and Legislature should establish a California challenge grants program to support initiatives for increasing the number of underrepresented students in the teaching "pipeline" in California education at all levels.

RECOMMENDATION 3: The California Post-secondary Education Commission, in collaboration with the segments and the Intersegmental Coordinating Council, should (1) develop the appropriate criteria and mechanisms for the effective implementation, administration, and evaluation of the challenge grants programs recommended above, and (2) determine their appropriate roles in the administration and the evaluation of these programs.

RECOMMENDATION 4: The Governor and Legislature should encourage and support the development of a statewide student information system that is designed to track individual students throughout their collegiate experience and beyond, in order to better understand the factors that influence student access and retention and to assess the impact of program changes on student performance.

Scope of the remainder of the report

The Commission devotes the rest of this report to the rationale for these recommendations by focusing on two major issues: (1) developing the most appropriate State-level incentive funding strategies or "options" for California's colleges and universities, and (2) aiming these strategies at the most critical issues facing these institutions.

In Part Two of the report, the Commission explains the origins and development of the study that led to this document.

In Part Three, it describes the three major state-level funding approaches at work across the nation to promote educational quality (performance-based funding, competitive grant programs, and challenge grant programs) and reviews their primary aims, administration and funding.

In Part Four, it discusses "talent development" and "value-added" assessment and describes the purposes and uses of this method of assessment in higher education, noting the arguments that have been made for and against its application in various settings.

And in Part Five, it identifies the priority quality initiatives in California higher education that should be supported through State incentive funding and that form the basis of the preceding recommendations.

2 *Origins and Background of the Report*

SEVERAL forces have catapulted the issue of promoting educational quality through assessment and state budget strategies to center stage on the public policy agenda:

1. Reports of several distinguished national panels in recent years have stressed the need to improve education by assessing and enhancing the teaching-learning process.
2. Faced with major fiscal constraints, state legislators, citizen groups, and other constituents of higher education have sought evidence that public funds for educational purposes are used effectively.
3. The fact that public higher education is an increasingly diverse enterprise serving a variety of students has prompted public officials to ask how well it serves these different groups.
4. State leaders have sought new funding approaches that will provide institutions the types of incentives that are effective in addressing some of the new priorities facing higher education.
5. Finally, there is a growing interest in student outcomes assessment as a *means* to promoting greater institutional self-awareness and thus help improve curricular offerings, instructional processes, student services, and other practices necessary to achieve educational excellence.

It was with these concerns in mind that the Legislature asked the Commission to develop options for measuring and improving students' learning and development in college, including funding approaches designed to support these options.

Impetus for the study

In 1986, through Assembly Concurrent Resolution 141 (Hayden), the Legislature directed the Postsecondary Education Commission to study "talent development, value-added, and performance-based

budgeting approaches to measuring and improving the quality of higher education." In response, the Commission published its report, *Funding Excellence in California Higher Education*, in March 1987.

In that report, the Commission reviewed the literature on outcomes assessment in higher education and described the major approaches being taken currently by state and institutions elsewhere in the nation. It also examined state-level strategies to fund excellence in higher education and presented six "guiding principles" for developing viable state-level strategies for measuring and improving quality in higher education (pp. 11-13). Paraphrased, these principles advocate that:

1. State funds to improve quality in higher education should be supplementary to institutions' base budget.
2. Value-added assessments are of greatest value when linked with other student and institutional data.
3. Outcomes measurement must be sensitive to differences in missions and goals of the State's colleges and universities.
4. The thrust of quality improvement should be to assist faculty and students to improve the teaching process and enhance learning, and the definition and assessment of student outcomes should be primarily a faculty responsibility.
5. State-level quality improvement strategies should be developed carefully, phased in gradually, and reevaluated frequently.
6. Appropriate assessment is just one of several institutional practices that must exist in order to achieve institutional excellence.

Under these principles, state policy leaders have a legitimate interest in examining the objectives of their state's institutions of higher learning and in obtaining evidence that public funds for educational purposes are used for maximum effectiveness. In establishing state-level approaches to improving qual-

ity in higher education, these leaders can justifiably call for close attention to improvements in higher education and, particularly, to the appropriate role of assessment in judging these improvements. They also have a concomitant responsibility to uphold the authority of academic institutions by defining State goals of higher education but entrusting faculty and administrators with the task of determining the means to those goals.

Funding Excellence in California Higher Education constituted only the first phase of a larger initiative implicit in ACR 141 -- to develop, where appropriate, options for improving quality in California higher education. The Legislature explicitly requested development of these options through Assembly Bill 2016 (Hayden; enacted as Chapter 1296, Statutes of 1987, and reproduced in Appendix A), which directed the Commission to "develop and present possible options" for "measuring and implementing talent development or value added approaches to higher education," and "an incentive funding approach designed to develop appropriate methods of assessing the teaching and learning process."

Therefore, this study both completes the second phase of the ACR 141 directive and also responds to AB 2016.

Scope and conduct of the study

In conducting the study, the Commission staff focused on:

1. Clarifying the most appropriate responsibilities and challenges at the campus, segmental, and state levels regarding (1) institutional practices, including assessment, that help students succeed by improving their skills, knowledge, and motivation; and (2) achievement of greater participation and degree-completion rates of ethnic minorities and women, including their representation in the teaching ranks where they remain under-represented in specific fields of study, and
2. Developing State incentive funding strategies or options for supporting such activities.

The staff therefore conducted a nationwide survey of state fiscal and budgetary strategies aimed at explicitly promoting quality improvement in higher education, and the results of that survey are summarized in Part Three of this report. The staff examined assessment programs, policies, and issues in California and other states; and its findings appear in Part Four and Appendix C. Finally it identified the specific initiatives that will most likely contribute to broad student access and success in California higher education, and these initiatives are discussed in Part Five.

Composition and role of the advisory committee

As called for by AB 2016, the Commission created an advisory committee representing students, faculty, and administrators from all segments of California education to assist in the conduct of the study. Its members were:

- Martin M. Ahumada, Commission Staff Member, Chair of the Committee;
- Edward A. Alpers, Dean of Honors and Undergraduate Programs, University of California, Los Angeles;
- Alexander W. Astin, Director and Professor, Higher Education Research Institute, University of California, Los Angeles;
- Richard Duran, Associate Professor of Education, University of California, Santa Barbara;
- Hans C. Giesecke, Assistant Vice President, Association of Independent California Colleges and Universities;
- Bernard Goldstein, Professor of Biology, San Francisco State University;
- Diane F. Halpern, Professor of Psychology, California State University, San Bernardino;
- Ronald Henderson, Professor of Education and Psychology, University of California, Santa Cruz;
- Kirk L. Knutsen, then Associate Director of Legislative Affairs, University of California Student Association (representing University of California students); currently on the staff of the Commission;
- Glenn Irvin, Associate Vice President for Academic Affairs and University Dean, California Polytechnic State University, San Luis Obispo;

- Barbara Kalbas, Vice President for Academic Affairs, Long Beach Community College District;
- Martha Kanter, Assistant Deputy Director, Chancellor's Office, California Community Colleges;
- Karen Merritt, Director of Academic Planning and Program Review, Office of the President, The University of California;
- Leigh Mintz, Associate Vice President of Academic Programs, California State University, Hayward;
- Maria Reyes, Consultant, State Department of Education;
- John Richardson, Liaison, California State Student Association (representing California State University students);
- Laurie Riddell, Student, West Los Angeles College (representing California Community College students);
- Robert Turley, Associate Professor of Sociology, San Bernardino Valley College; and
- Frank Young, Associate Dean, Academic Affairs, Plans, Office of the Chancellor, The California State University.

The committee met five times during the course of the Commission's study to review the provisions of the legislation, define the salient quality issues facing the State, develop operating assumptions to guide the committee's work, and identify the priority quality initiatives that can appropriately be supported through State incentive funding.

Where it was possible, committee members established consultative or networking processes through which faculty, administrators, and students from their segment could be actively involved in the Commission's study by obtaining their views and comments on the issues under study by the committee. A number of Committee members provided background papers which contributed to the development of this report. These processes were instrumental in providing the Commission with perspective on the assessment and related issues that are central to academe in California and are currently under close examination in all segments. A sample of consultative materials are included in Appendix B, and the Commission hereby expresses its gratitude to the members of the committee for their assistance in that consultation.

TO date, at least 18 states have mandated or are considering budgetary or assessment strategies explicitly designed to promote quality in higher education. California is among the more recent of them, with AB 2016 of 1987 and its forerunner -- ACR 141 of 1986 -- aimed at instituting State incentive-funding and assessment as a matter of State policy or statute.

Current incentive funding programs

Of the 18 states reporting that they have a state-level incentive funding program, 12 of them -- California, Colorado, Connecticut, Florida, Kentucky, Michigan, New Hampshire, New Jersey, Ohio, Rhode Island, Tennessee, and Virginia -- have programs directed at improving the teaching-learning process *per se* or at better serving underrepresented students. The six other states -- Alabama, Arkansas, Pennsylvania, Utah, Washington, and Wisconsin -- have programs concerned with such initiatives as economic development, endowed chairs, and technological innovation. Although this section reviews only the programs in the former states -- as only these relate to the educational improvement and student/faculty diversity initiatives addressed in this study -- it should be noted that in all 18 states, incentive funding strategies are viewed as important means for encouraging institutions to become self-evaluative and to address new institutional and state priorities for higher education.

Three major types of state-level incentive funding approaches are currently used for improving instruction and/or for better serving underrepresented students in higher education, all of which involve small increments or "add ons" to institutions' base budgets:

- One approach, which is commonly referred to as "performance based funding," ties appropriations directly to measurable outcomes or demonstrated results, such as the increased percentage of academic programs that have undergone peer review.

In essence, this type of funding approach purports to fund educational *results*, while the other two seek to shape educational *processes*.

- The other two funding approaches, which are commonly referred to as "challenge grant" and "competitive grant" programs, both set aside funds aimed at encouraging institutional practices that will improve institutional performance in areas important to the institution or the state. There are important distinctions between them, however. Challenge grant programs can be operated on a non-competitive basis, and they often are. That is, although a few state-level challenge grant programs are funded at least partially on a competitive basis, they can be perhaps most appropriately viewed as *entitlement* programs in which most if not all institutions receive some funding -- often on a multi-year basis -- to address specific needs, provided these institutions are deemed "eligible" by meeting preestablished criteria or guidelines for achieving program objectives.
- The state-level "competitive-grants" approach -- largely modeled after the federal Fund for the Improvement of Postsecondary Education (FIPSE) -- on the other hand assumes that one-time seed money awarded totally on a competitive basis can be effective in encouraging a select or limited number of institutions to develop model programs that could later be adopted on a broader scale.

Within these three categories of incentive funding strategies, a total of 24 programs are currently funded in the 12 states -- five "performance based" programs, 13 "competitive grant" programs, and six "challenge grant" programs, as described below.

Performance-based funding programs

Colorado: Colorado's Program for the Recognition of Excellence was established in 1985 to reward institutions' "demonstrated superior performance in achieving quality, access, diversity, accountability or efficiency." For example, fiscal rewards are pro-

vided for an institution-wide program-review process that has improved quality, a department that consistently produces outstanding graduates, and an academic unit that has made a unique contribution to improving access. The criteria used in making Recognition of Excellence awards are: (1) outcome information that demonstrates excellence in achieving a statewide goal; (2) importance to the institution's role and mission; (3) evidence of having met an institution/college/department goal; and (4) quality of experience of the personnel involved.

Florida: Florida operates two performance based funding programs:

- Its Faculty Awards for Excellence in Instruction Program was established in 1983 to support individual faculty awards of \$2,000 each in recognition of their "outstanding performance in instruction," based on peer and student reviews.
- Florida created its Postsecondary Education Cooperation Trust Fund in 1983 to promote a more unified, cooperative and coordinated system of postsecondary education, with effective linkages among the various educational sectors and between postsecondary education and the community. The Trust Fund's proceeds are to be used to reward institutional creativity and initiative in assisting student articulation and in cooperating with local business and industry, such as (1) local consortia and institutional arrangements; (2) organized faculty and professional staff networks; (3) the use of adjunct faculty from industry; and (4) apprenticeships or cooperative training programs for students.

Ohio: Ohio established its Program Excellence Program in 1983 to provide one-time awards to recognize and enhance the best undergraduate programs in the state. The stated purposes of the program are (1) to recognize and reward high-quality academic programs at state-assisted colleges and universities; (2) to increase the quality of instruction through enrichment grants; and (3) to encourage academic excellence in associate and baccalaureate programs.

The following criteria are used to make the *Program Excellence* awards:

- Program Characteristics

Articulation of purposes and objectives; and

Curriculum adequacy and appropriateness to purpose.

- Resource Characteristics

Student input characteristics (SAT or ACT scores, etc.);

Quality of faculty; and

Quality of instructional resources and supporting services.

- Program Evaluation

Performance of graduates on tests in major fields (nursing, education, etc.); and

Assessment of program graduates based on external measures (placement, national performance awards, GRE scores, etc.)

Tennessee: Tennessee's Performance Based Funding Program -- the most ambitious of its kind in the nation -- was established in 1978 to enhance the overall quality of the state's public system of higher education. The program incorporates the following outcomes criteria in making awards of up to 5 percent of each institutions' base budget for the previous year:

1. The percentage of programs eligible for accreditation that are accredited;
2. The percentage of programs that have undergone peer review;
3. The percentage of programs that administer a comprehensive examination to their majors;
4. The value added by the general education component of the curriculum, as demonstrated by students' scores on the College Outcomes Measures Project examination of the American College Testing Program;
5. Demonstration that specific improvement in campus programs and services have been stemmed from evidence about the quality of academic programs or services derived from surveys of enrolled students, alumni, community members, and employers; and,
6. The implementation of a campus-wide plan for instructional improvement based on findings derived from the above procedures.

Competitive grant programs

California: Each of California's three segments of public higher education operates at least one competitive grant program:

- The Instructional Improvement Fund of the University of California was originally established in 1971 to support innovative initiatives that will enhance the effectiveness of undergraduate instruction at the University's nine campuses. Among the activities supported through the Fund are the sponsorship of speakers on instructional improvement topics, the development of new courses and programs, and improved training of teaching assistants. The Fund is designed to provide each campus the autonomy to decide which areas of undergraduate education have the highest priority.
- The Academic Program Improvement Fund (API) of the California State University was established in 1972-73 to introduce a variety of new approaches to instruction, assessment, academic advising, program design, instructional support services, faculty development, instructional technology, and academic policy and planning. Changes initiated and implemented on a State University campus through API funding are designed to facilitate adaptation of model solutions by other campuses in the State University at reduced cost and to permit their continuance with regular institutional resources after external support has been discontinued.
- The Fund for Instructional Improvement of the California Community Colleges was established in 1977 to support alternative educational programs and services in the State's community colleges, including: (1) individualized instructional programs; (2) programs for improving faculty members' teaching effectiveness; (3) Summer "bridge" programs for the transition period into collegiate education; and (4) intersegmental summer programs including research projects and seminars.

Colorado: Colorado's Program for the Promotion and Encouragement of Excellence was established by the Legislature in 1985 to support activities with the highest potential for improving public higher education in Colorado, which include efforts to improve students' writing and critical thinking skills

and to enhance faculty members' effectiveness in conducting computer-assisted instruction.

Connecticut: Connecticut's Centers of Excellence Program was established by the Legislature in 1984 to encourage public institutions to enhance or develop distinctive instructional, research, or public service programs which have gained, or have the potential to gain, regional or national prominence. Program resources have also aimed at: (1) providing funds for libraries or equipment so as to enhance existing programs with potential for excellence; and (2) encouraging institutional mission differentiation by concentrating existing resources and building on areas of institutional strength.

Kentucky: Kentucky's Centers of Excellence Program was established by the Legislature in 1985 to enhance the distinctive strengths of the state's higher education institutions, consistent with their mission, by supporting centers which have the likelihood of acquiring regional or national prominence. For example, the "Center for Collaborative Advancement of the Teaching Profession" at the University of Louisville's School of Education, serves to design and implement new programs for teacher preparation and continuing professional development for teachers and faculty.

Michigan: Michigan's Select Student Support Services ("4-S") Program was established by the Legislature in 1987 to increase the number of academically and economically disadvantaged students who enroll and succeed in the state's public and independent colleges and universities. For the next year, the Program's focus will shift from student access plus retention to strictly retention, based on the view that improved retention rates will attract other students to the institutions as a natural occurrence.

New Hampshire: New Hampshire's Innovation and Opportunity Grants Program was established in 1988 to provide incentives to professors and institutions of the University System of New Hampshire to increase educational opportunity and to improve programmatic and institutional choice for the residents of New Hampshire. Funding is provided in three categories: (1) "program articulation" to improve, for example, the student flow among programs and institutions through agreements for

credit transfer and the sequencing of curricula; (2) "coordination of services" to bring program and other institutional services that contribute to a common purpose; and (3) "increases in resident enrollment" through, for example, bringing high school students into campus/course activities.

New Jersey: New Jersey's Competitive Grants Program was established in 1984 to encourage instructional innovation and to provide an institutional basis for making resource allocation decisions. Among the subgroups of competitive grant programs funded are: (1) the "Technical and Engineering Grant Program" designed to improve, expand or establish technical and/or engineering programs; (2) the "Computers in Curricula Grant Program" designed to foster the integration of computers into academic programs; (3) the "Math, Science and Computer Teaching Improvement Grant Program" designed to support non-credit summer training institutes for K-12 teachers of mathematics, sciences, or computers; and (4) the "Fund for the Improvement of Collegiate Education" designed to encourage improved student access and academic performance, to improve teaching and the student learning environment, and to improve student retention and graduation rates.

Rhode Island: Rhode Island's Incentive Fund for Excellence was established in 1987 to promote excellence in Rhode Island's three public institutions of higher education by supporting activities designed to strengthen undergraduate education that otherwise could not be undertaken or normally supported by the institutions. Examples of the projects funded are: (1) the "MATH-TUTOR: An Intelligent Computer-Aided Instructional Program" that engages students in an instructional dialogue with a computer program system that poses problems in mathematics, analyzes student errors, makes suggestions, instructs, and tracks students' progress; and (2) the "Improving Writing and Thinking Through Linked Courses Program" -- a pilot program in which a General Sociology course and a Composition course are linked so that content-centered material from the sociology course and skills-centered material from the composition course can simultaneously improve students' ability to write and think in academic content areas.

Virginia: Virginia operates three competitive grant programs of note:

- Its Funds for Excellence Program was established in 1980 to support activities with potential for excellence in the areas of undergraduate teaching and curriculum development in the liberal arts and sciences at Virginia's public colleges and universities. Projects funded by this Program fall into the following categories: (1) skills across the curriculum; (2) faculty and curricular development; (3) academic advising; (4) the integration of race and gender issues into the curriculum; (5) educating a diverse student population; (6) international education; and (7) engineering.
- Its Funds for Excellence Subprogram was established in 1983 to support innovative programs for the recruitment and retention of minority students through competitive grants at the institutions.
- Virginia's Academic Centers of Excellence-Commonwealth Centers Program was established in 1988 to recognize and promote existing disciplines or areas of excellence in the state's universities. The Centers funded are those regarded by peers as among the best in the nation or world and which possess the essential attribute of "knowledge"-- its discovery, development and application, and its transfer to students and others for enlightenment, further analysis, refinement, and utilization.

Challenge grant programs

Florida: Florida operates two challenge grant programs:

- Its Enhancing Undergraduate Education Program was established in 1983 to improve the State University System's performance in areas such as: (1) the diversification and differentiation of institutional mission; (2) State University and secondary school relationships; (3) academic and non-academic support services for non-traditional students; (4) student involvement in the classroom, extracurricular activities, and in public and community service; and (5) the assessment of students' undergraduate experience.
- The Florida Academic Improvement Trust Fund was created in 1983 to enable each community college in the state to establish a depository for

private contributions and matching state funds, which can be used to support efforts such as: (1) the purchase of scientific and technical equipment; (2) professional development and training for faculty; (3) activities appropriate to improving the quality of education at the community colleges; and (4) student scholarships.

New Jersey: New Jersey established its Challenge Grant Program in 1985 to promote improvement across all the state's institutions of higher education. For example, challenge grants have been given for (1) the Kean College project, designed to implement a "value added" assessment model and to infuse the use of computers over all fields of study; (2) the "Excellence Initiative" of Rutgers University, which is research oriented and is designed to, for example, recruit and develop outstanding junior faculty through release time for research and the enhancement of technical support; (3) the New Jersey Institute of Technology efforts to, for example, develop computing based curricula in both engineering and architecture; and (4) the two-year institutions to focus their excellence efforts on minority recruitment and retention, linkages to secondary schools, and the development and enhancement of technical programs.

Ohio: Like Florida, Ohio operates two challenge grant programs:

- Its Academic Challenge Program was established in 1985 to provide funds for Centers of Excellence at Ohio's colleges and universities to strengthen further their best programs. As a means to induce the institutions to target a few of their best programs, each program must receive Academic Challenge monies equivalent to a minimum of 10 percent of its total budget. As an example of program efforts, Academic Challenge monies to Youngstown State University's Department of English, which is recognized as a national leader in working with schools to improve writing skills, have served to provide opportunities for students to obtain practical writing skills through "real-world" communication projects that use micro-computers and internships with area newspapers, business, and other organizations.
- The Productivity Improvement Challenge Program was established in 1985 to support (1) job

training programs essential to Ohio's economy, and (2) programs that expand access, especially for minority students, by encouraging all students to pursue a degree beyond high school.

Virginia: Virginia created its Student Assessment Program in 1987 to fund the implementation of acceptable "comprehensive student assessment plans" at each public institution of higher education in Virginia, based on methods most appropriate to each institution's unique character and mission. Although funding for these plans will begin in 1988-90, in the 1986-88 budget, James Madison University received a special appropriation of \$90,000 to develop a pilot program in student assessment.

Administration and funding of programs in other states

For the most part, the administration of incentive funding programs rests with the states' central board for coordinating or governing their higher education institutions. Yet, decisions about which proposals to fund and the funding criteria to use are usually made with the assistance of a committee or panel comprised of institutional representatives plus staff of the state coordinating/governing board, and, in some instances, with out-of-state consultants or experts in the field. Programs targeting one system of institutions in a state (such as their research universities), are usually administered by that system's governing board -- as is the case with the segment-based competitive-grants programs in California.

The combined funding of California's three competitive grants programs comprises less than one-tenth of 1 percent of its budget for higher education -- the lowest percentage in the 12 states reviewed in this study. As a percentage of each states' total appropriations to higher education, funding for the incentive funding programs in the other 11 states comprises a low of 0.13 percent in Michigan and a high of approximately 4.7 percent in Florida, with the majority of the states falling in the range of 1.0 percent to 2.3 percent. It should be noted, however, that states such as Michigan supported only one incentive funding program, whereas states such as Florida and Virginia each supported up to six separate programs.

Current and potential incentive funding in California

As noted above, the three current incentive funding programs in California are the Academic Program Improvement Fund of the California State University, the Instructional Improvement Fund of the University of California, and the Fund for Instructional Improvement of the California Community Colleges. These programs operate on a competitive basis and are designed primarily to support "pilot" instructional improvement initiatives that, perhaps, could be subsequently implemented on a broader scale. At the California State University and the California Community Colleges, only selected campuses and programs actually receive funding each year.

Should additional incentive funding programs be established in California, it might serve the State best for these to be administered by the segments, owing largely to the State's political and demographic complexity as well as its large and heterogeneous higher education enterprise. Moreover, the segments already have the experience with administering the State's current competitive-grants programs. Yet, the appropriate responsibility for evaluating the effectiveness of new incentive funding programs and for recommending the changes needed to ensure their success should rest with the California Postsecondary Education Commission.

In sum, certain aspects of the performance based funding and competitive grant approaches appear to limit their likely success in achieving broad student and faculty diversity in California higher education. The competitive grants approach is generally designed to provide only selected institutions with funding for educational improvements or experimentation. Also, in certain situations these approaches could lead to a fragmented priority-setting

process wherein departmental or institutional parochialism would prevail at the expense of obtaining an integrated institution- or state-wide commitment to targeted priorities. Perhaps this would occur in California if a State-wide competitive-grants program is established, owing largely to the State's political and demographic complexity as well as its large and heterogeneous higher education enterprise. Further, in the truly open competitive-grants process, funding is often based on the quality of the proposals actually developed -- wherein institutions with the most resources will likely prepare the best proposals and therefore claim the lion's share -- rather than on the merits of the activities or desired results that should actually be funded.

The "performance based" funding approaches, on the other hand, not only requires the development of reliable criteria for justifying funding decisions -- which is a challenging task as the ongoing assessment debate has made evident -- but they also could have the ironic and often unintended consequence of denying improvement monies to those programs and institutions that have demonstrated the greatest need to improve.

In short, of the three major incentive funding approaches at work for promoting quality in higher education, the "challenge grants" approach appears the most promising for supporting initiatives to improve teaching and learning and to promote greater student and faculty diversity in California higher education. This view is premised on the known merits of the challenge grants concept, namely, that these grants can be awarded to institutions on an "entitlement" basis -- if they meet preestablished criteria or if they develop approvable institutional plans for implementing program initiatives -- and often with a multiple-year funding commitment from the State, contingent on the demonstrable achievement of program objectives.

4

Approaches to Talent Development and Value-Added Assessment

IN this section of the report, the Commission seeks to clarify the concepts and, as necessary, to redefine the terms of *talent development* and *value-added assessment*, in the interest not only of demystifying them but, most importantly, of considering how they relate to quality improvement in California higher education. As Frank Young of the California State University and a member of the Commission's advisory committee for this study has noted, these terms have often been defined in ways that are generally counterproductive to discussions of assessment:

Through their powerful historical associations and attractiveness of the concepts themselves as they relate to formal education, and through their most recent identification with specific and controversial institutional assessment programs, the terms *value-added* and *talent development* have acquired a degree of ambiguity that obfuscates rather than facilitates constructive discussion of assessment issues.

Most observers would agree that in the current discussions of assessment in American higher education, the terms *talent development* and *value-added* have been considered synonymous and used interchangeably. In addition, it is evident that considerable disagreement and ambivalence exists as to what the terms imply and how they might best be conceptualized in relation to the unique needs, goals, and circumstances of an individual institution or state.

Talent development

The term *talent development* can be most meaningfully conceptualized as the educational goal of facilitating or contributing to students' optimal learning and growth, consistent with an institution's mission and the student clientele it serves.

In this sense, California's universities and community colleges provide a wide diversity of contributions to "talent development" in the form of reading and writing skills, technical/vocational skills, breadth of knowledge in general education and a major discipline, critical thinking skills, a sense of civic responsibility, and so forth. The community colleges' contributions to the goal of "talent development" are perhaps the most diverse: the provision of remedial and/or refresher courses plus short-term technical/vocational training programs as well as the provision of traditional lower-division collegiate education in their transfer programs.

In short, all contributions made by colleges and universities to students' learning and growth across a wide range of desired cognitive and affective attributes -- including acquisition of specialized vocational skills, such as in computer programming, that are often sought by "reverse transfer" students -- can be legitimately viewed as contributions to "talent development."

Value-added assessment

"Value-added" assessment has come to be most commonly perceived as a pre- and post-testing process for measuring changes or gains in students' knowledge, attitudes and skills between the beginning and the end of their college experience. Value-added programs in place today, such as those at Northeast Missouri State University, the University of Tennessee in Knoxville, and of institutions participating in the FIPSE-funded Value Added Consortium, utilize a variety of instruments to measure these changes, including standardized tests, performance samples, essays, locally developed exams, interviews, and surveys. Other key components of the value-added assessment programs in these institutions are major field examinations for graduating students, and attitude surveys of current students

and alumni, conducted longitudinally. In addition, value-added assessments are often conducted on multiple levels. At Northeast Missouri and the University of Tennessee in Knoxville, for example, the assessment of student gains in general education between the freshman and the junior and senior years is conducted at the campus level -- utilizing the ACT-COMP (College Outcomes Measure Project) instrument -- yet each department undertakes its own, department-specific assessment process.

Although the value-added assessment method is a topic of considerable discussion today, its implementation has, to date, been on a relatively small scale. In addition, the method has been criticized by some as possessing major limitations, which include the following:

- Because value-added assessment requires a careful and accurate measurement of various student attributes at entry to the institution and on through graduation, it is a considerably time-consuming and expensive process that can expend some of the valuable resources that are needed for maintaining an effective instructional program.
- Value-added gains are difficult to link directly to the institution's instructional processes and overall environment because of the difficulty of isolating the influence of noninstitutional factors on student development, such as student maturation, public participation, family life, and personal circumstances.
- Because different students will achieve at different levels even when controlling for the curriculum and instructional processes, it is difficult to ascertain what student growth or "value-added" is attributable to the curriculum and the instructional processes.
- Value-added assessments discount the importance of bottom-line or "minimum" competency standards of student achievement since it places primary emphasis on gains or improvement as the primary criteria of excellence. The argument is that the process diminishes the importance of requiring a threshold of standards -- certain skills and knowledge -- that all college graduates should possess.

In responding to the above criticisms, proponents of value-added assessment concede that an effective value-added assessment program will require a con-

siderable commitment of resources to establish, and that the challenges of obtaining valid measures and comparisons of student gains over time -- which can then be linked directly to the relative contributions of the educational process -- are indeed real. For this reason, they hasten to note that value-added information is most useful when it is obtained: (1) as part of a more holistic evaluation process than it can be through pre- and post-testing testing alone, looking at a variety of student characteristics and noninstitutional factors that might influence student performance; and (2) to compare the effectiveness of a course, program, or institution over time, examining, for example, aggregated data on student gains that might account for the relative shifts in the levels of student performance as well as the changing contributions of the content and delivery of the instructional process. An example of such an approach to value-added assessment is proposed by Marcia J. Belcher (1987, pp. 34-35):

If standardized tests and placement tests are used and if improvement in writing and math skills is the issue (as it is in many community colleges), then a second and perhaps supplemental process might be employed to assess the value added. I propose a four-step process whereby the institution would administer an entry-level test in basic skills and use the resulting scores to place students in their initial level of coursework; decide which curricular variables should be related to the level of basic skills measured at the point when the student graduates and collect information on these skills for each student; select a test of basic skills to be given at the point of graduation (it can be the test used at entry, or it can be a more difficult test on the same content area); and conduct a yearly analysis (using a statistical technique, such as multiple regression) to assess the extent to which the entering level of basic skills and the curricular variables predict the exit level of basic skills.

Such a process could answer the question about the relative contributions of entering skills and the curriculum. Because the analysis would account for the possibility of shifting levels of basic skills, the changing contributions of the curriculum across the years could be assessed.

Proponents of value-added assessment note that the criticisms of the approach stem in large measure

from major misconceptions of the possible and appropriate applications of the value-added method and the many possible, constructive uses of value-added information. These misconceptions, they argue, result in the tendency to define it in a limited way: as applying only to nationally standardized testing. For example, according to Alexander Astin, the first major proponent of value-added assessment in higher education, a common misconception about the value-added approach is that it somehow reduces academic standards, when, in fact, the approach is neutral with regard to outcome levels of achievement that should be expected of students'. Agreeing that competency standards are important and should not be compromised, Astin and other major proponents of value-added assessment stress that its particular value is in guiding: (1) the student placement and remediation process by facilitating the task of matching the curriculum and various instructional alternatives to students needs and goals; and (2) the ongoing teaching-learning process by informing individual students and faculty about what they can or must do to attain the expected or desired levels of achievement.

The appeal of the value-added assessment approach stems from the emphasis it places on measuring student change and development over time as a necessary tool for guiding the teaching and learning process. Such assessment efforts enable institutions to better understand their actual contribution to student learning. According to Turnbull (1987), "the root idea of assessing how much students learn or improve or grow in school or in college, as well as how they stand at graduation, is not only a good and important idea but obviously one that lies near the heart of the educational experience" (p. 3).

Although the value-added approach is often associated only with the assessment of student growth, it could also involve measurement of the growth or development of the individual faculty members and of the institution since, presumably, the most value-added occurs when the teaching-learning process is dynamic as well as student and faculty centered, and when the faculty and institution are involved in a systematic and ongoing process of self-study and self-renewal. As Alexander Astin has noted, for example, the value-added view of excellence is one that focuses on the educational impact of institutions on their students and faculty members, with those institutions considered the most excellent that "add

the most value" during the educational process to these individuals, regardless of their initial skills or knowledge (1985, p. 1).

Several issues related to value-added assessment are becoming increasingly significant. First, as an "idea" it appears to be gaining some momentum across the nation, albeit slowly, as evidenced by the growing number of individual institutions that have implemented value-added initiatives or are considering doing so. At the state level, value-added assessments are already required in Tennessee and South Dakota, while states such as California, Colorado, Maryland, New Jersey, and Virginia are either seriously leaning toward its implementation or, as is the case with California, are under a legislative mandate to evaluate the advantages and disadvantages associated with its adoption. Second, because value-added assessments can serve to measure a variety of student and institutional outcomes, through the use of multiple procedures or approaches that are developed with the full involvement of students and faculty, it can and should be tailored to suit the particular needs and circumstances of each institution and state. Related to this point, Marcia Belcher arrived at the following conclusion about value-added assessment:

If value-added assessment is implemented without regard to the information needs of administrators, faculty, and students or to the unique character of the institution, it will probably fail. If it is implemented thoughtfully with the full participation of all interested parties and with multiple measures and approaches, it may succeed in providing focus to the real goal of higher education -- teaching and learning -- and in bringing lasting and beneficial change to higher education (1987, pp. 36-37).

In summary, on the one hand, it appears that appropriate value-added assessments can: (1) assist an institution to better understand the student changes and growth that are attributable to education-related experiences; and (2) serve as a stimulus for program change and curricular improvements by demonstrating where performance falls short of expectations. Further, the substantial appeal of the value-added assessment approach is the attention that it focuses on the teaching-learning process for the primary purpose of improving it -- a key *element* of the approach that can be embraced in the hierarchy from

classroom to Legislature. Moreover, some evidence suggests that the pre- and post-test procedures of value-added approaches may prove useful in identifying such competencies as writing, knowledge of the subject, analytical reasoning, and critical thinking. And although value-added approaches may be inappropriate or too problematic to operationalize in some educational contexts, as educational *processes* they serve the valuable and legitimate purpose of inducing educators and institutions to think of the teaching-learning process in developmental terms.

On the other hand, the value-added assessment programs that have been implemented to date and that are looked upon as models for possible evaluation by other institutions remain controversial, owing largely to their limitations in recognizing and accounting for key variables which influence student performance, such as students' maturation rates, general intellectual development, prior experience, and reasons for enrolling in the course or program. Also, some questions of method and measurement, such as the practical difficulties of establishing reliable baseline data and control group information, remain unresolved issues. Where these difficulties exist, complex statistical analysis and costly experimental methods are often necessary to determine value-added gains. Moreover, additional research appears needed to determine which multiple assessment methods are best suited for each discipline, especially those that are not necessarily cumulative or synthetic. For example, the study of History does not require a strict sequence of prerequisites to enable students to acquire an understanding of the discipline and knowledge of the field. For several reasons, then, the value-added approach must be rigorously examined and carefully weighed by faculty of any campus considering its adoption as a component of a student outcomes assessment plan. (More about assessment in general at the national level and in California can be found in Appendix C.)

Principles of institutional assessment

The Commission's advisory committee for this study discussed at length issues of desirable practice in institutional assessment, and the following ten statements summarize their conclusions:

1. The primary purpose of assessing student outcomes is to guide and improve the teaching-learning and academic advising processes at the individual, course, program, and/or institutional level, which, in turn, should facilitate students' learning and development as the basis for enabling them to achieve literacy, to think critically and abstractly, to adapt to changing environments, and to develop the capacity for further learning and growth.
2. The wide diversity of educational settings found in California requires that efforts to assess student learning and development are premised on the recognition that multiple definitions of *educational excellence* are both plausible and legitimate, owing to the State's large and diverse higher education enterprise. Thus, the approaches and methods adopted to assess student learning and development should be expected to assume several forms and be developed through a sufficiently decentralized process to reflect the multiplicity of missions, functions, and needs of the State's different segments, institutions, and programs of education.
3. Assessment methods and programs to assess student outcomes should be campus based, responsive to student needs, and developed as *tools* or *means* for improving the teaching-learning process, rather than as ends in themselves. Moreover, these should rely primarily on the faculty for decisions regarding: how assessment should be conducted; the design or selection and administration of assessment methods; the interpretation of the results; and how the data will be used to improve programs.
4. The development, implementation and refinement of effective assessment methods and programs is an evolutionary process that requires time and experimentation as well as campus-wide and segment-wide discussions and workable agreements about the concepts and appropriate purposes of assessment.
5. Consistent with the principle of institutional responsibility, State resources appropriated for assessment should support the development and operation of programs at the campus level. Yet, State support for these efforts should be expected

to facilitate the institutions' ability to demonstrate their effectiveness (accountability) to State leaders and a variety of other external constituencies.

6. Meaningful outcomes assessment must be multivariate if it is to provide valid information for use in improving teaching and learning. Standardized tests, when used alone, provide specific but limited kinds of information, and do not give an adequate picture of some of the most important outcomes of education.
7. Student characteristics and academic program variables that affect student learning need to be systematically considered as part of an assessment program. Thus, any assessment program must take into account changes in students' lives and development, both during and after their formal educational experience. Where these variables can be monitored using system-

wide databases, applicable data should be provided to the academic departments.

8. A full assessment program will take into consideration such factors as: academic advising, counseling and career planning, the quantity and quality of student-faculty interaction, laboratories, libraries, housing, financial aid services, extracurricular activities, health services, and campus social life.
9. Appropriate assessment is but one characteristic of an effective institution. A number of other institutional activities and practices are essential that not only complement the assessment function but that, in toto, must exist in order to achieve institutional excellence.
10. Data collected through institutional assessment programs should be governed by recognized codes of ethics treating research with human subjects.

5

Priorities for State Incentive Funding in California Higher Education

A **SUBTLE** but important development emerging from the national debate about quality assessment in higher education is the expanding view of educational "excellence" or "quality" -- how best to define it, measure it, and attain it. This expansion provides the basis for the Commission's recommendations about future State incentive funding for California's colleges and universities, and in this final section of the report, the Commission discusses its implications before turning to its proposals for incentive funding.

The expanding views of "excellence" and "quality" in higher education

California's recent Commission for the Review of the Master Plan for Higher Education and its Legislature's Joint Committee for Review of the Master Plan have sparked a continuing dialogue about ways to prepare the State's higher education enterprise for the challenges it will face over the next two decades. A major focus of this dialogue has centered on the educational needs of California's rapidly changing student population. Two examples serve to illustrate this focus.

- Underlying the discussion about needed improvements in curriculum, teaching, articulation, and remediation has been a concern for promoting student success and increasing student performance. State policy makers and educators have increasingly come to view student success or failure as a function not only of student ability, preparation, and effort but also of institutional characteristics such as the quality of courses, the effectiveness of pedagogy, and the character of the overall campus environment. In this view, students' success is affected by their experience with a rich and challenging curriculum, effective teachers, and adequate student support services. This view holds that students should not shoulder the entire "bur-

den of proof" about their success but that faculty members, administrators, and support staff are also partially accountable for student performance. From this perspective, an institution's student retention, transfer, and graduation rates can be looked to as important and legitimate indicators of its educational effectiveness or excellence, as long as the characteristics of incoming students is taken into account.

- Second, the issue of achieving greater student and faculty diversity in California's institutions of higher learning as well as greater multicultural and international awareness across the curriculum has emerged as a priority concern at both State and campus levels and has led to viewing quality and diversity as interdependent State goals for higher education. From this perspective, educational institutions must familiarize students with the socioeconomic and cultural character of the larger society in which they live -- and must educate broadly among the diverse groups comprising that society if they are to provide quality educational experiences for their students.

The implications of this expanding view of educational excellence for California are evident in the following statement of Leigh Mintz, associate vice president of California State University, Hayward, and a member of the advisory committee for this study:

In the '80s, access has come to mean more than simply entry, but support services and people to assist students through a meaningful educational process to graduation. As a result, we in education must pay considerably more attention to helping students improve their skills and knowledge so they can succeed. This means we must assess them when they enter to determine if and what level of deficiencies they may have, place them in the proper remedial courses when necessary, work with them in meaningful academic programs, and determine at the end that

our efforts have indeed made a difference. If we cannot show we have made a difference in the intellectual life of students and provided them with the skills necessary to survive in our economic system, we may have difficulty in asking for higher levels of public support. Hence, I believe the correct type of assessment, geared to improved teaching and learning, is a cornerstone of improved access and an issue we should strongly support.

Initiatives to achieve broad student access and success

Initiatives to achieve the State's priorities for broad student access and success involve institutional efforts to (1) articulate clearly what their educational goals are -- what student performance outcomes they most intend to achieve; (2) judge how students' performance is influenced by such factors as the curriculum, the pedagogical process, and the configuration and content of the overall institutional environment; and (3) provide effective instruction, a meaningful curriculum, and other institutional services that will improve student achievement. In short, the State should encourage several quality initiatives, including assessment, that enable institutions to know how well they are serving each of their students and, on an ongoing basis, to improve their capacity to respond effectively to their students' educational needs and interests.

Initiatives related to effective pedagogy

A major institutional initiative to improve student achievement involves the development of and/or experimentation with effective pedagogical methods -- such as those involving computer assisted instruction and "collaborative" or "team effort" learning -- that will respond best to different student abilities and modes of learning. An initial role for the State in this area could be to foster intersegmental efforts of collecting and disseminating broadly information on effective pedagogical approaches being developed and implemented successfully in programs and institutions in California and other states. These efforts, in turn, might be appropriately supported through an intersegmental center (or institute) on effective pedagogy that is based in and managed by

one of the State's public universities. In this regard, the California State University is already developing plans for a "Teaching and Learning Institute," wherein faculty systemwide can pursue research topics related to instruction.

The value of such a center to improving teaching and learning is evident. It could provide individual faculty members from all the segments with valuable recognition for their contributions to the area. Most importantly, it could also provide faculty members an enhanced understanding of pedagogical approaches that respond effectively to different student abilities and styles of learning reflected in California's increasingly diverse student population. New approaches to computer-assisted instruction, for example, appear particularly promising to the needs of California's rapidly changing student population and its transition from an industrial to an information economy. In addition to the appropriate use of the computer as an important requirement for many professions of the future, the computer as an educational tool is rapidly becoming inexpensive and educationally self-sufficient.

The statewide center envisioned here would serve to improve pedagogy largely insofar as it offers services that are both wanted by faculty and do not duplicate what they can obtain on their own campuses or through their own professional organizations and networks. In addition, this center would need to be engaged in active dissemination (conferences, consulting materials, etc.) in order to be effective.

Initiative related to institutional assessment

Another important initiative to improve student achievement in California involves the development of institutional assessment plans that are designed to:

1. Chart or track student change and growth over time along a continuum of expected dimensions of student learning and development, which would include but not be limited to breadth of knowledge in general education and in the major/specialized discipline; intellectual skills and habits; humane and ethical values; social responsibility; and career preparation.
2. Link student learning and development to the teaching-learning process and other major elements of the institutional environment, which

would include but not be limited to: the quality and quantity of student-faculty interaction; the range and depth of the curriculum; the quality of student support services (i.e., student financial aid, housing, libraries, tutorial services, child care opportunities, etc.), and the effectiveness of the teaching and student-advising processes.

3. Assist the faculty and administrative leadership of the institution to make the possible and necessary changes in the content and delivery of the instructional processes that would most contribute to student success -- consistent with the educational goals of the students, the faculty, the institution, and the State.

The institutional assessment plans should be developed locally, tailored to suit the particular needs of each institution, and aimed at guiding and improving the teaching-learning process. In addition, the creation and implementation of these plans should be guided by principles demonstrated to be consistent with effective institutional improvement models, such as those listed at the end of Part Four.

Appropriate interinstitutional and intersegmental collaboration in the development of institutional assessment plans could prove beneficial in enhancing each institution's understanding of the multiplicity of existing and new assessment purposes, programs and practices that could serve it best. The State's fiscal realities, however, dictate that funding for the institutional assessment plans must be a shared responsibility between the institutions and the State, and that State support for these plans must be phased-in gradually, building on what is learned about the effectiveness of those already in place.

A statewide student information system

Underscored in the initiatives to improve student achievement described above is the need for better longitudinal information on individual college students. Thus, the development of a comprehensive statewide student information system is a major quality initiative facing California.

This system is needed to track individual students from entry point through the educational program to the exit point and beyond. Information is needed on each stage of the students' collegiate career, which is

essential to the evaluation and planning processes at the campus and segmental levels. Although some of the student information collected by institutions should be institution specific, there is considerable need for information common to all institutions. Most important, this information is necessary for better understanding the factors that influence student access and retention and for assessing the impact of program changes and innovations on student performance.

Three categories of data should, at a minimum, be incorporated into the student information system:

- The first would be *entry data*, such as application and admissions information, demographics, and information about the student aspirations and plans. Where appropriate, these would include placement test results or "pre-tests" for subsequent assessments of student development over time.
- The second category would be *process data* that would document any experiences the student has had that could affect his or her progress. Examples of these data are: the courses taken by the student, the program or school the student enrolled in, students' participation in special programs such as remedial or honors, and information concerning place of residence, financial aid, and extracurricular participation -- factors that have been shown to affect student retention and development.
- The third category would be *exit or outcome data*, such as the student's status at exit, such as program completer or dropout, academic performance, including grade-point average, "post-tests" on assessments of student development over time, and information on changes, if any, in original plans, and alumni performance such as other institutions attended, performance in these institutions, graduate or professional school entry and completion, and jobs held.

A student information system that incorporated these facts would allow each institution to examine the following:

1. Student retention rates (proportion of students who successfully carried through on their original plans, categorized by gender, ethnicity, and so forth).

2. Student learning and development over time, measured through pre-test/post-test changes or other methods that prove more successful.
3. How (1) and (2) are affected by entry characteristics such as gender, ethnicity, and secondary school achievement, and by process factors such as courses and programs taken.

The development of the institutional assessment plans described earlier would constitute important efforts toward the partial development of the statewide student tracking system. Other efforts should proceed from the Commission's ongoing initiative of developing a California Comprehensive Student Information System and should be integrated with other related initiatives such as the systemwide management information system under development by the California Community Colleges.

Initiatives to increase the number of women and ethnic minorities in the teaching "pipeline"

With the impending escalation of faculty retirements in California over the next 15 years, coupled with the State's rapidly changing student population over this period, initiatives to increase the number of women and ethnic minorities in the teaching ranks could contribute the most -- over the long term -- to achieving greater student and faculty diversity across all the State's institutions of higher education. Specifically, the objectives of these initiatives should be two-fold:

- To actively engage underrepresented students in the teaching-learning process through greater involvement in small learning teams, in teaching activities, in faculty research groups, and in community service; and
- To establish closer working relationships between individual faculty members and underrepresented students -- as an effective means of providing these students a valuable educational support structure and enhancing their interest and ability in conducting research and teaching in an academic discipline.

Two sets of initiatives might be particularly effective in achieving the above objectives:

The first would involve increased financial aid support for underrepresented students in the State's community colleges and public and independent universities, largely in the form of stipends and of teaching and research assistantships. The "grants" and especially the "work-study" aspects of this support hold considerable promise in influencing positively the college performance of underrepresented students. Collectively, the research literature on the effects of student financial aid on student retention and persistence suggests that grants and work-study assistance have the greatest positive effect on student persistence and performance. Loan forgiveness programs also could be considered if their desired effect on underrepresented students is established and could, for example, be tied to community service such as serving as teaching assistants and counselors in the elementary and secondary schools.

The second set of initiatives would provide increased support to individual departments and faculty members to: (1) reduce selected faculty members' workload for the purpose of increasing interaction between underrepresented students and individual faculty members, and of enhancing the faculty members' advising, tutoring and mentoring roles with these students; (2) encourage and enable faculty members to bring underrepresented students into their research groups and teaching activities; (3) establish small cooperative learning teams, which would be comprised of a small number of faculty and community members and underrepresented students; and (4) increase the number of slots for graduate students in selected departments to accommodate additional underrepresented students.

Initiatives incorporating the above components are perhaps the most justifiable use of the State's limited resources for an incentive funding program for its colleges and universities. The priority that the Commission assigns to these initiatives is premised on its recognition that a narrow targeting of the highest priorities is essential for a State-level incentive funding program if it is to get the "biggest bang for the buck" in addressing the most critical shared need among all the segments -- of achieving greater student and faculty diversity. Yet it should be emphasized that new efforts in this area will likely provide

the most promising results if they are developed through intersegmental collaboration and if they build on the segments' related initiatives that have proven most successful.

Additional State support to higher education equivalent to a minimum of 1 percent of the State's budget for higher education -- approximately \$50 million -- can serve to provide each campus a small but still valuable number of teaching and research assistantships for underrepresented students and can also help support each institution's development of assessment plans, if these are phased-in over time.

Based on the preceding analysis, the Commission has offered the following four recommendations regarding budget initiatives to address the priorities facing California higher education:

RECOMMENDATION 1: The Governor and Legislature should establish a California challenge grants program to support initiatives for improving teaching and learning in higher education, including the development of institutional assessment plans.

RECOMMENDATION 2: The Governor and

Legislature should establish a California challenge grants program to support initiatives for increasing the number of underrepresented students in the teaching "pipeline" in California education.

RECOMMENDATION 3: The California Post-secondary Education Commission, in collaboration with the segments and the Intersegmental Coordinating Council, should (1) develop the appropriate criteria and mechanisms for the effective implementation, administration, and evaluation of the challenge grants programs recommended above, and (2) determine their appropriate roles in the administration and the evaluation of these programs.

RECOMMENDATION 4: The Governor and Legislature should encourage and support the development of a statewide student information system that is designed to track individual students throughout their collegiate experience and beyond, in order to better understand the factors that influence student access and retention and to assess the impact of program changes on student performance.

Assembly Bill No. 2016

CHAPTER 1296

An act to add a heading to, and to add Article 2 (commencing with Section 66910) to, Chapter 11 of Part 40 of the Education Code, relating to education, and making an appropriation therefor.

[Approved by Governor September 28, 1987. Filed with Secretary of State September 28, 1987.]

I am deleting \$20,000 appropriation contained in Section 3 of Assembly Bill No. 2016. This bill would require the California Postsecondary Education Commission to report by January 1, 1989, on state options for funding higher education based on assessment of students and programs, on value-added, or similar performance, or incentive funding measures. Also, this bill contains a \$20,000 appropriation to fund the study.

The demands placed on budget resources require all of us to set priorities. The budget enacted in July, 1987 appropriated nearly \$41 billion in state funds. This amount is more than adequate to provide the necessary essential services provided for by State Government. It is not necessary to put additional pressure on taxpayer funds for programs that fall beyond the priorities currently provided.

Thus, after reviewing this legislation, I have concluded that its merits do not sufficiently outweigh the need this year for funding top priority programs and continuing a prudent reserve for economic uncertainties.

I would, however, consider funding the provisions of this bill during the budget process for Fiscal Year 1988-89. It is appropriate to review the relative merits of this program in comparison to all other funding projects. The budget process enables us to weigh all demands on the state's revenues and direct our resources to programs, either new or existing, that have the most merit.

With this deletion, I approve Assembly Bill No. 2016.

GEORGE DELUKMEJIAN, Governor

LEGISLATIVE COUNSEL'S DIGEST

AB 2016, Hayden. Higher Education Talent Development.

Under existing law, the California Postsecondary Education Commission is vested with various duties and responsibilities regarding higher education.

This bill would require the commission to develop, implement, and oversee a performance-funding program which would allocate an unspecified percentage of state funds to public institutions of higher education based upon specified performance criteria.

This bill would require that the California Postsecondary Education Commission report to the Governor and the Legislature by January 1, 1989, as specified.

This bill would appropriate \$20,000 to the California Postsecondary Education Commission for the purposes of the bill as it relates to the California Community Colleges and the California State University. This bill would also direct the commission to fund the purposes of the bill relative to the University of California from funds available to it for that purpose from the Budget Act of 1987.

Appropriation: yes.

The people of the State of California do enact as follows:

SECTION 1. A heading immediately following the chapter heading is added to Chapter 11 (commencing with Section 66900) of Part 40 of the Education Code, to read:

Article 1. General Provisions

SEC. 2. Article 2 (commencing with Section 66910) is added to Chapter 11 of Part 40 of the Education Code, to read:

Article 2. Higher Education Talent Development Act of 1987

66910. The Legislature finds and declares the following:

(a) The primary goal of every educational institution should be to improve and add to the intellectual and personal development of each student.

(b) The ultimate measure of the effectiveness of an educational institution is the success of its students in acquiring knowledge, competencies, and skills in learning their meaningful application; in forming reasoned attitudes, and in examining and adopting values; and in developing the capacity for further learning.

(c) Educational institutions should have the capacity to create educational environments, teaching practices, and evaluative procedures which enable, stimulate, and encourage significant learning for students served.

(d) The measures of quality in most colleges and universities often fail to evaluate the impact of the institution on the improvement of the individual students from entrance to graduation or otherwise leaving the institution.

(e) The State of California spends nearly five billion dollars (\$5,000,000,000) annually on its system of higher education, but the budget formulas tend to be based more on enrollments and physical space needs than on rewarding institutions for improvement of student learning.

(f) While every student has a certain amount of underdeveloped educational potential, California students appear to fall short of meeting their potential as evidenced by the need for a high number of remedial course offerings and inadequate student retention rates.

(g) Future success in coping with California's critical problems through higher education will depend on the development of new partnerships and a more cooperative approach to common issues, such as transfer and minority student access and retention efforts, on the part of all segments of education, kindergarten through the university.

(h) The public would benefit greatly and be well served by maximizing educational potentials and improving student performance.

66911. The California Postsecondary Education Commission, after consulting with students, faculty, staff, and administrators, at

the state and local campus levels and from all segments of public postsecondary education, shall develop and present possible options for all of the following:

(a) Measuring and implementing talent development or value added approaches to higher education.

(b) An incentive funding approach designed to develop appropriate methods of assessing the teaching and learning process. This assessment shall include, but not be limited to, an evaluation of the usefulness of the following higher education outcomes criteria:

(1) The percentage of programs eligible for accreditation that are accredited.

(2) The percentage of the programs that have undergone peer review and that have administered a comprehensive exam to academic majors.

(3) The value added by the general education component of the curriculum, as demonstrated by the students' performance on examinations taken at different intervals during a student's experience.

(4) Demonstration that generalizations about the quality of academic programs or services derived from surveys of enrolled students, alumni, community members, and employers have formed the basis for specific improvement in campus programs and services.

(5) Demonstration that the quality of teaching has improved as evidenced by items, including, but not limited to, the following:

(A) Student evaluations of faculty and teaching assistants.

(B) Availability and utilization of teaching improvement programs for faculty and teaching assistants.

(C) The number of undergraduate classes taught by ladder rank faculty.

(D) Faculty involvement in academic advising and class size.

(6) Demonstration that the quality of campus life has increased as evidenced by items, including, but not limited to, the availability of quality student support services, including, but not limited to, affordable student housing, child care services, and academic and personal counseling.

(7) Demonstration of an improvement in the number of women and minorities enrolled in, and graduating from, the institutions and the number of students successfully transferring from community colleges to baccalaureate degree-granting institutions.

(8) The implementation of a campuswide plan for instructional improvement based on findings derived from the above procedures.

66912. Pursuant to Section 66911, the California Postsecondary Education Commission shall be guided by the following principles as set forth in its report "Funding Excellence in California Higher Education," prepared in response to Resolution Chapter 115, Statutes of 1986:

(a) State funding incentives to promote quality in California higher education should be funds that are supplementary to the

institution's base budget and premised on a cooperative model, where financial incentives are geared toward the aggregate performance of the state's whole system of higher education.

(b) State funding incentives to promote quality improvement in higher education should recognize that value-added assessments are of greatest value when linked with other data about the students' educational experience and when used for institutional self-assessment, student counseling, and program evaluation.

(c) State funding incentives to promote quality improvement in higher education should establish that outcome measurements shall be tied to the multiplicity of missions, goals, and functions of the different segments and institutions of higher education in California.

(d) State policy on assessment and quality improvement in California higher education should establish that the primary objective is to assist faculty and students to improve the teaching-learning process, and that the definition and assessment of student outcomes and competency standards at the course, program, and departmental level is primarily a faculty responsibility and one that should be influenced by student opinion.

(e) The state-level assessment and incentive-funding strategy adopted in California to improve the quality of higher education should be developed as carefully and rapidly as feasible, and be frequently reevaluated in order to ensure effectiveness.

(f) The state-level strategy adopted in California to fund and promote excellence in higher education shall recognize that appropriate assessment is but one characteristic of an effective institution. The state needs to support and promote a number of other institutional activities or practices that not only complement the assessment function but that, in toto, must exist in order to achieve institutional excellence.

66913. The California Postsecondary Education Commission shall submit a report to the Governor and Legislature not later than January 1, 1989, detailing the results of this study and recommendations for implementation of state policy to achieve the intent of this article.

SEC. 3. The sum of twenty thousand dollars (\$20,000) is hereby appropriated from the General Fund to the California Postsecondary Education Commission for the funding of that portion of Article 11 (commencing with Section 66910) of Chapter 11 of Part 40 of the Education Code that is related to the California Community Colleges and the California State University. That portion of the act related to the University of California is to be funded by the California Postsecondary Education Commission from any moneys available to it for this purpose from the Budget Act of 1987.

Appendix B Sample Networking Documents

Note: These memoranda and letters illustrate the networking processes established by members of the Commission's advisory committee to the AB 2016 study in order to assume wide discussion of the issues in the study.

Memorandum from Frank W. Young, The California State University	33
Memorandum from Lee R. Kerschner, The California State University	35
Letter from Kirk L. Knutsen, University of California Student Association	37
Memorandum from the Community College Subcommittee	39
Letter from Maria Reyes, California State Department of Education	41
Memorandum from Sherry L. Skelly, California State Student Association	43
Memorandum from Bernard Goldstein, California State University Academic Senate	45

Memorandum

To: Martin M. Ahumada
Senior Policy Analyst
California Postsecondary Education
Commission

Date: 29 October 1987

From: Frank W. Young
Associate Dean
Academic Program Improvement

Subject: PLAN FOR UNIVERSITY COMMUNITY DISCUSSIONS OF STATE INCENTIVE APPROACHES

In accordance with the agreement reached at the October 9, 1987, meeting of the Advisory Committee on State Incentive Funding Approaches, I am writing to inform you of the process we have initiated to involve faculty, administrators and students on the nineteen CSU campuses in discussion of the issues raised by the charge of your committee.

As may be noted in the appended memorandum to Academic Vice Presidents, our approach is to ask each campus to propose options for incentive funding programs for consideration by a system level advisory committee. The members of this body include: a campus President, a Vice President for Academic Affairs, three faculty nominated by the statewide Academic Senate, two representatives of the California State Student Association and two persons from the Chancellor's staff.

The CSU Assessment Advisory Committee, as the group will be known, will provide guidance in preparing recommendations to the Chancellor and to the State Incentive Funding Advisory Committee.

After due consideration, we have decided against circulating copies of the San Mateo conference report, *Educating the Changing Student Population for a Changing World*. Some of the recommendations regarding assessment in that report are of such a nature as to undermine the credibility of the current round of discussions.

If you have any questions about the process, please do not hesitate to contact me.

FWY/na(APPSTWO:1183n)

Attachment

cc: Lee R. Kerschner
Ray Geigle
Sally L. Casanova
CSU Members, State Incentive Funding Advisory Committee
Members, CSU Assessment Advisory Committee

THE CALIFORNIA STATE UNIVERSITY
Office of the Chancellor
400 Golden Shore
Long Beach, California 90802-4275
(213) 590-

Code: APPS 87-31

Date: October 28, 1987

To: Vice Presidents
Academic Affairs

Reply Requested by
January 11, 1988

From: Lee R. Kerschner
Vice Chancellor
Academic Affairs

Subject: State Incentive Funding Approaches

Attached please find a copy of Assembly Bill No. 2016, "Higher Education Talent Development," that has been signed by the Governor. In accordance with the bill, the California Postsecondary Education Commission has established an Advisory Committee on State Incentive Funding Approaches for Promoting Quality in California Higher Education. Six members of that committee are from The California State University:

Dr. Bernie Goldstein, Academic Senate, CSU, San Francisco
Dr. Diane Halpern, CSU, San Bernardino
Dr. Glenn Irvin, CPSU, San Luis Obispo
Dr. Leigh R. Mintz, CSU, Hayward
Ms. Sherry Skelly, CSSA
Dr. Frank Young, Chancellor's Office

The anticipated outcomes of the CPEC study (for which a proposed prospectus is attached) are a list of quality improvement options or proposals designed to:

1. Stimulate institutional practices to promote quality in higher education;
2. Provide greater accountability for the quality and content of college instruction;
3. Understand better how the budget process can be used to improve the educational process.

As its title implies, Assembly Bill 2016 specifies that the options CPEC is to develop and present to the Legislature focus on measuring gains in student learning and on assessing the effectiveness of the teaching-learning process.

In fulfilling its charge to develop State funding incentives to achieve these ends, AB 2016 requires CPEC to consult with "students, faculty, staff, and administrators at the state and local campus level." This provision is consistent with the guiding principles developed by the ACR 141 Task Force last year and incorporated into the text of the legislation (Section 66912). These principles recognize that "the definition and assessment of student outcomes and competency standards at the course, program and departmental level is primarily a faculty responsibility."

The CPEC advisory committee has ascertained that it will begin its work by requesting that as many faculty and administrators as possible be polled on the following question:

How can incentive funding be used at the course, departmental, university, system and state levels to effect improvement in educational quality?

I am asking each campus to consider this complex question and to propose options amenable to incentive funding. In soliciting recommendations, campuses should keep in mind the legislative stipulation (page 5) that "State funding incentives to promote quality in California higher education should be funds that are supplementary to the institution's base budget . . ." Please return your recommendations to Dr. Frank Young by January 11, 1988.

To coordinate the CSU responses to the CPEC advisory committee, and to address related issues raised in supplemental budget language (copy attached), the CSU Assessment Advisory Committee is being established. Dr. Young will convey campus responses to this group whose members will be asked to compile the system report.

You may be interested to know that this question will be discussed with the campus Senate chairs when they meet at Asilomar on November 13, and will be a topic of discussion at an Academic Senate Retreat workshop on November 14. However, the Retreat discussions are not intended to produce campus or system responses.

Please call Dr. Frank Young at (213)590-5856 or ATSS 635-5856 if you have any questions.

LRK/na(APPSTWO:1161n)

Attachments: 2

Copies to:

Presidents
Associate Vice Presidents, Academic Affairs
Academic Senate, CSU
Chancellor's Office Staff
Campus Faculty Senate Chairs
CPEC Committee Representatives
CSU Assessment Advisory Committee Representatives
Chair, California State Student Association



University of California Student Association

An Association of University of California Student Governments

Berkeley • Davis • Irvine • Los Angeles • Riverside • San Diego • San Francisco • Santa Barbara • Santa Cruz

October 27, 1987

Martin M. Ahumada
Senior Policy Analyst
California Postsecondary
Education Commission
1020 12th Street, 3rd Floor
Sacramento, CA 95814

Dear Martin,

As requested, I have outlined the process through which UCSA plans to solicit student input into identifying "quality factors" for consideration by the AB 2016 Advisory Committee.

1. The UCSA Academic Affairs Committee.

As one of three standing policy committees on UCSA's Board of Directors, the Academic Affairs Committee will meet in November to consider the question of quality factors, as it relates to the work of the Advisory Committee. Committee members will be briefed on the work of CPEC and will be advised to solicit student input on their campuses. UCSA staff will receive lists of potential quality factors from the committee members by the end of December.

2. The UCSA Council on Academic Affairs

The Council on Academic Affairs is an advisory body to the UCSA Board of Directors and is comprised of each campus student government's academic affairs specialist. The Council on Academic Affairs is also meeting in November and we plan to use with them the same consultive process we have outlined for UCSA's Academic Affairs Committee. We also expect to receive responses from the members of this group by the end of the year.

3. Student Body Presidents and Other Interested Students

We plan to distribute a packet of background information asking for input on this issue to numerous student leaders in the U.C. system, including all of our Student Body Presidents. We also expect to receive feedback from these persons by the end of the year.

4. Final Identification of "Quality Factors"

Upon receipt of all student responses, UCSA staff in Sacramento will review the collected materials and formulate a final recommendation for consideration by our Board of Directors at their January meeting. Staff recommendations will then be reviewed by our Academic Affairs Committee.

926 J Street, Suite 522 • Sacramento, California 95814 • 916.447.1111

which will adopt or amend our proposal and send it on to the full Board of Directors for final approval.

Upon adoption by the Board of a final set of recommendations, we will forward a copy to your office. We anticipate no problem with meeting the January 29 deadline outlined in your October 14 memo.

I hope this brief outline provides you with the information you need. If you have any comments, questions, or suggestions regarding our proposed consultive process, please don't hesitate to call.

Sincerely,



Kirk L. Knutsen
Associate Director

cc: Jim Lites, Chair UCSA
Academic Affairs Committee
Adrienne Graham
file copy (3)

LONG BEACH COMMUNITY COLLEGE DISTRICT

4901 EAST CARSON STREET
LONG BEACH, CALIFORNIA 90808



BARBARA J. KALBUS
INTERIM SUPERINTENDENT-PRESIDENT

BOARD OF TRUSTEES
HUGH DAVID BURCHAM
C THOMAS DEAN
TRUDY POLSKY
DONALD H SCOTT
RUTH TODD

January 14, 1988

To: Martin M. Ahumada
Senior Policy Analyst
California Postsecondary Education Commission

From: Community College Subcommittee of the CPEC AB 2016 Advisory Committee on State Incentive Funding Approaches for Promoting Quality in California Higher Education
Martha Kanter, California Community Colleges Chancellor's Office
Barbara Kalbus, Long Beach City College
Eric J. Nicolet, Ventura College
Bob Turley, San Bernardino Valley College

Subject: Consultative Process

Wide participation and involvement from all community college constituencies will be sought and encouraged through the Chancellor's consultative process, two field advisory meetings on the California Community Colleges Board of Governors' 1988-89 Basic Agenda, to be held February 5 at San Francisco City College and February 11 at El Camino College, and conferences. The conferences are: CACC Asilomar Research Conference: Measuring Community College Success, April 13-15, 1988, and Institutional Effectiveness Conference, to be held at Rancho Santiago College, April 28-29, 1988.

The following constituent groups will be consulted:

1. Chief Executive Officers Council
2. Chief Instructional Officers Council
3. Statewide Academic Senate
4. Council of Student Body Governments
5. Chief Student Services Officers Council
6. Chief Business Officers Council
7. Californians (Council of 14 Community College Organizations, such as ACCCA, CEOs, CCCT, CTA, CSEA, Academic Senate, CFT, FACCC, CACC, California Student Associations of Community Colleges)

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8. **Statewide field meetings of groups not represented above: Accrediting Commission for Community and Junior Colleges, California Association of Postsecondary Educators of the Disabled, California Community College Administrators of Occupational Education, California Community College Occupational Education Coalition, California Community College Counselors Association, LaRaza Faculty Association for the California Community Colleges, Learning Resources Association of the California Community Colleges, Western Region - Council on Black American Affairs, EOPS Association, Affirmative Action Task Force, California Community College Council of Community Services and Continuing Education, California Community College Student Affairs Association, California Community College Student Financial Aid Association, English Council of California Two-Year Colleges, Health Services Association of the California Community Colleges.**

In addition, the Chancellor's Office will also disseminate a questionnaire for direct input from CEOs, CIOs, CSSOs, Academic Senate Presidents, and Student Body Presidents.

The purpose of the consultative process will be to review the CPEC draft report of the various State-level models for funding or budgeting quality initiatives in higher education.

cc Advisory Committee



CALIFORNIA STATE DEPARTMENT OF EDUCATION

721 Capitol Mall; P.O. Box 944272

Sacramento, CA 94244-2720

Bill Honig

Superintendent

of Public Instruction

December 3, 1987

Martin M. Ahumada
Senior Policy Analyst
California Postsecondary Education Commission
1020 12th Street, 3rd Floor
Sacramento, CA 95814

Dear Martin:

I am responding to your request to report on the process through which the Department of Education will be advising and assisting the Commission to develop a number of options for improving quality in California higher education.

As a representative from the Department, the views expressed by me will be the result of consultation with the Superintendent of Public Instruction and with selected colleagues in the Department and in the field who are knowledgeable and actively involved in intersegmental efforts and issues of quality in higher education.

Although I understand that we are not being asked to obtain an "official" endorsement from our respective segments, our input will reflect the best thinking of my colleagues on the issue of incentive funding for student assessment as it relates to K-12 education.

Thank you very much for the opportunity to work with you on this project.

Sincerely,

Maria Reyes, Consultant
Intersegmental Relations Division
(916) 323-0546

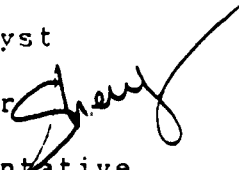
MR:cm

California State Student Association

926 J Street, Suite 701 • Sacramento, California 95814 • (916) 441-4514
400 Golden Shore • Long Beach, California 90802-4275 • (213) 590-5560 • ATSS 635-5560

November 12, 1987

TO: Martin M. Ahumada, CPEC Senior Policy Analyst

FROM: Sherry L. Skelly, CSSA Legislative Director 
cc: CSSA Board of Directors
John Richardson, CSU student representative,
CPEC Committee on State Incentive Funding Approaches

RE: Process Letter for Committee on State Incentive Funding Approaches

As agreed to by the Committee, I am submitting a process outlined by our Association, in order to facilitate communication regarding quality/assessment and budget incentive options from the student perspective on each of the 19 CSU campuses.

It is my understanding that the results of this process shall not constitute an official position of the CSSA on any particular proposals at this time, but instead it is our responsibility to provide the opinions and perspectives of CSU students at large.

To receive feedback at the campus level, John Richardson and the CSSA Board shall:

1. Schedule forums at the campus level on issues identified by the CPEC committee and staff. No more than 3 to 5 forums may be possible by the deadline.
2. Survey assessment programs in other states from the student perspective.
3. Schedule a special statewide session on Talent Development and Assessment January 9th or 10th at Cal Poly San Luis Obispo. Students from all 19 campuses will be present.
4. Mail questionnaires to each of the 19 student academic affairs committees, to be completed and returned by early January.

Please contact John Richardson for progress reports on the above proposals.

I have enjoyed working with you and the ACR 141 Task Force over the past year. I wish the committee and staff all the best on a very complex but exciting project.

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representing 340,000 students statewide



ACADEMIC SENATE
OF
THE CALIFORNIA STATE UNIVERSITY

400 Golden Shore, Suite 134, Long Beach, California 90802-4275 • (213) 590-5578 or 5550, ATSS: 635-5578 or 5550

M E M O R A N D U M

DATE: November 2, 1987

TO: Hal Charnofsky, Chair
Academic Affairs Committee
Chairs, Campus Senates

FROM: Bernard Goldstein, Assessment Specialist
Academic Senate CSU

SUBJECT: Incentive Funding Approaches for Promoting
Quality in California Higher Education

Bernard Goldstein

Recently, AB 2016 (Hayden) entitled "Higher Education Talent Development" was signed by the Governor. The bill requires the California Postsecondary Education Commission to develop a performance-funding program which would allocate an unspecified percentage of state funds (based on specified performance criteria) to public institutions of higher education. The bill requires the Commission to report to the Governor and the Legislature by January 1, 1989 and includes the following important provisions:

1. "a. State funding incentives to promote quality in California higher education should be funds that are supplementary to institutions base budget and premised on a cooperative model, where financial incentives are geared toward the aggregate performance of the state's whole system of higher education."
2. "d. State policy on assessment and quality improvement in California higher education should establish that the primary objective is to assist faculty and students to improve the teaching-learning process, and that the definition and assessment of student outcomes and competency standards at the course, program, and departmental level is primarily a faculty responsibility and one that should be influenced by student opinion."

The California Postsecondary Education Commission has established an intersegmental "Advisory Committee on State Incentive Funding Approaches for Promoting Quality in Higher Education." The charge to the advisory committee is to coordinate activities as required by AB 2016. As a member of the committee, I have urged that significant consultation take place, particularly at the campus level, to ensure faculty participation and decision making on all issues concerning state incentive funding and quality. Vice Chancellor Lee Kerschner has mailed copies of a memorandum outlining the CSU's initial approach on incentive funding to Campus Vice Presidents of

November 2, 1987

Page Two

Academic Affairs and Academic Senates. Included in the materials are copies of AB 2016, a CPEC "Prospectus" on "State Funding Approaches for Promoting Quality in California Higher Education" and a list of advisory committee members.

The faculty of the CSU are being asked to begin the process of consultation. I have listed below the questions I believe to be the most important -- see page 3 of the "Prospectus":

1. "How is quality in higher education measured -- at the student, program, and institutional levels -- and how could State incentive funding approaches deal with each level?"
2. "How can the State budget be appropriately utilized as a tool for encouraging institutions to improve the educational process?"

May I suggest that the campus senates begin discussions concerning these questions as soon as possible. Incentive funding will be one of the topics of discussion when the statewide Senate meets with the campus senate chairs at the Asilomar Academic Retreat on Friday, November 13th. Finally, I am asking that the Academic Affairs Committee of the statewide Senate address the above question at its next several meetings. It is clear that we will have until January 29, 1988 to synthesize our thoughts on these questions.

These steps apparently are only a beginning. A revised schedule for the work of the CPEC advisory committee is included on page 4 of the CPEC "Prospectus." Please note that the advisory committee is being asked to provide preliminary answers to the above questions and more by January 29, 1988. I would very much appreciate receiving your ideas, thoughts and senate positions (if any) on incentive funding by January 27, 1988.

I suggest that one important area open for possible incentive funding in the CSU is the disciplinary certification process for prospective teachers.

Please feel free to contact me if you have any questions or concerns about the issues I have outlined above.

Bernard Goldstein
Department of Biology
San Francisco State University
(415) 591-2576

BG/he

cc: Dr. Martin Ahumada CPEC
Dr. Frank Young
Executive Committee
Dr. Sandra Wilcox

Appendix C

Higher Education Assessment Nationally and in California

In educational circles, *assessment* commonly refers to any process of gathering concrete evidence about the impact and functioning of education. The term can apply to processes that provide information about individual students, about curricula or programs, about institutions or about entire systems of institutions. As the Education Commission of the States has noted, the term encompasses a range of procedures including testing, survey methods, performance measures or feedback to individual students, resulting in both quantitative and qualitative information (1987, p. 1).

Developments in assessment nationally

Assessment in American higher education is not a new phenomenon. It has a long tradition as both an integral part of instruction and as a means for reassuring public constituencies of the individual and societal benefits of higher education.

The recently renewed interest in assessment in higher education was encouraged in large part by the books and reports of influential education leaders and distinguished national panels calling widespread attention to the needed improvements in the quality of higher education and, particularly, to the role of assessment in achieving and judging these improvements.

In *Involvement in Learning* (1984) -- the report most responsible for catapulting assessment to the center stage of the current national debate about the quality of higher education -- the Study Group on the Conditions of Excellence in American Higher Education argued that effective learning required high student involvement and expectations, including a systematic approach to assessing students' knowledge, capacities and skills.

The Association of American College's report, *Integrity in the College Curriculum* (1985) stated that: "One of the most remarkable and scandalous aspects of Ameri-

can higher education is the absence of traditions, practices, and methods of institutional and social accountability" (p. 33). The report went on to recommend that faculty assume the fundamental responsibility for "designing and monitoring the mechanisms of assessment."

Paralleling the above developments were expanding views of educational quality that emerged within academe itself. For some time, for example, Alexander Astin has been proposing a new approach to measuring and promoting educational excellence, namely, one that emphasized the educational impact or "value added," since "true excellence resides in the ability of the college or university to affect its students favorably, to enhance their intellectual development and to make a positive difference in their lives" (1984, p. 27). Astin's views found their most recent and eloquent expression in *Achieving Excellence in Education* (1985), in which he contends that traditional gauges of an institution's excellence, namely its resources and reputational rankings, are less meaningful than indicators of its contributions to the intellectual and knowledge gains of students.

In 1986, several key reports signaled, and perhaps even expedited, the emergence of assessment on the active policy agenda at the state level. Among these were *Time for Results* by the Task Force on College Quality of the National Governor's Association, and *Transforming the State Role in Undergraduate Education* by the Working Party on Effective State Action to Improve Undergraduate Education of the Education Commission of the States. In the latter, assessment was endorsed by the task force as one of five broad strategies to improve undergraduate education, referring to it as "an integral part of an institution's strategy to improve teaching and learning and of the state's strategy to monitor the effectiveness of higher education" (p. 32). Moreover, the task force's recommendations, while directed at state leaders, called for a comprehensive approach to evaluating student and institutional outcomes requiring state- and campus-level agreement about the purposes and expected outcomes

of assessment programs as well as the capacity to evaluate the extent to which students were being served and state priorities were being met.

Many recent state and institutional initiatives to improve the effectiveness of higher education have been placed under the assessment umbrella. Yet although the term *assessment* has assumed numerous connotations that are often used interchangeably, it is more frequently equated with *student testing* for admission, progression through and graduation from college, and with *evaluation* of the effectiveness of programs and institutions of higher learning. In *The Growing Interest in Measuring the Educational Achievement of College Students* (1985) – a report prepared for a recent conference on assessment, Terry W. Hartle describes six separate but overlapping facets of assessment in higher education that provide a useful analytic framework for illustrating the range of state and institutional assessment activities that are receiving much attention today.

1. Multiple measures and observers to track intellectual and personal growth over an extended period of time.

Perhaps the country's most notable example of this approach is the institution-wide assessment program at Alverno College in Milwaukee – a small liberal arts institution for women. Alverno's "competency-based" student assessment program emerged out of an overhaul of the curriculum to emphasize student competencies or "general abilities" in one or more of eight core areas: effective communications ability; analytical capability; problem solving ability; valuing in a decision-making context; effective social interaction; effectiveness in individual and environmental relationships; responsible involvement in the contemporary world; and aesthetic responsiveness. Moreover, students must demonstrate competence at six levels of performance within these eight areas. While the same assessment criteria are applied to all disciplines – a process that involves more than 100 distinct exercises over the students' four college years – the assessments are conducted by various parties: students, faculty members, community members, and expert assessors. The assessment results are used to tailor each student's program as well as to assist faculty to improve the institution's overall academic program. (More information about Alverno's assessment program can be found in Mentkowski and Loacker, 1985.)

2. State-mandated requirements to evaluate students and/or academic programs.

A 1987 survey of all 50 states conducted by the Education Commission of the States found that two-thirds of the states had formal initiatives labeled "assessment" – an indication that the state-level discourse on assessment has become more aggressive – yet it reported few state-mandated assessment programs have been established. Such programs have been widely viewed as among the most ominous efforts by state political leaders to improve the quality of higher education. In addition, despite their high visibility on the national assessment landscape, there remains growing controversy regarding the rationale, effectiveness, and actual consequences of these programs. New Jersey, Florida, and Georgia appear to have the most visible and widely-discussed state-mandated assessment programs.

New Jersey: The New Jersey approach has aimed at assessing students for counseling and placement in all public institutions of higher education with some independent institutions participating on a voluntary basis. Specifically, the New Jersey College Basic Skills Placement Test was created in 1977 to assess the basic skills proficiencies of entering freshmen and to evaluate the effectiveness of each institution's remedial efforts. The exam was developed in cooperation with the College Board and the Educational Testing Service and involves an essay exercise plus multiple-choice questions in elementary algebra, computation, reading comprehension, and sentence logic.

The known success of the New Jersey program has prompted several states to begin considering a similar state-wide approach to assessing the basic skills of entering freshmen. In California, for example, the passage of Assembly Bill 3 (Campbell, 1986) resulted in the 1987-88 implementation of the Statewide Matriculation Plan of the California Community Colleges. This plan provides funding for a six-component program of admission, orientation, assessment, advisement, follow-up, and evaluation available to each Community College student. The plan enables the Community Colleges to provide in-depth diagnostic assessment of students' basic skills, educational aspirations, and program goals.

Florida: Florida uses student testing as a "promotional gate" to ensure students' readiness to progress to a higher level of education or to receive their degree. All

its high school seniors are required to pass a statewide test in order to receive their high school diploma. In addition, all its public university students are required to pass all four tests of the College Level Academic Skills Project (CLASP) in order to obtain junior standing, and all community college students must also pass the tests to obtain the associate degree. The CLASP exam assesses students' communications skills in reading, writing and speaking. In the area of mathematics, the exam measures skills in algorithms, concepts, generalizations, and problem solving.

According to Florida's political and higher education leaders, the state's mandated use of standardized tests has led to the acceptance of basic skills concepts, the effective targeting of remedial education, and greater public assurance of the quality of higher education. In addition, Florida officials contend that diagnostic testing for counseling and course placement serves the purposes of: (1) increasing the "success rate" for faculty and students by having students better matched with the curriculum; (2) providing a more effective system of remedial education; and (3) helping define standards of accomplishment, since the "open-door entry" process gives students no real notion of what achievement is expected of them. Yet, there is growing controversy about the standards for the rising junior examination in Florida, including the issues of faculty members' "teaching to the test" and the lowering of cut-off scores for the exam owing to its low passage rate by ethnic minority students. Clearly, the uncritical reliance on standardized tests is a serious issue and one that should be of much concern to all.

Georgia: In Georgia, all college and university students are required to pass the Board of Regents Examination -- comprised of a one-hour Reading Test and a one-hour Essay Test -- in order to achieve junior status. The Reading Test consists of five to eight questions on each of ten reading passages and serves to assess, for example, literal and inferential comprehension. The Essay Test is similar to the California State University's Graduate Writing Assessment Requirement in that it employs multiple faculty evaluators to judge student's writing proficiency. Students may retake the exam until they pass and in order to graduate. In certain instances, then, a situation may develop where the testing process transitions from "promotional gate testing" to "graduation testing."

3. A shorthand way of focusing on the "value added" by postsecondary education.

Value-added assessments are approaches to measuring changes or gains in students' knowledge, attitudes and skills between the beginning and the end of their collegiate experience. The Northeast Missouri State University in Knoxville provides a good example of an institution-wide value-added assessment program that has attracted national attention. Its evolution from a teachers college to a multi-purpose university gave the institution the impetus in the early 1970s to develop a value-added assessment program in order to know if it was producing nationally competitive graduates in its diverse fields as well as demonstrate that its instruction made a positive difference in each student's knowledge, attitudes, and skills. The University has assessed the achievement of its students in their general education programs and in their majors through the use of standardized examinations, such as the Graduate Record Examination and the College Outcome Measures Project tests of the American College Testing Program. It also administers questionnaires at each college year to examine changes over time in students' educational goals, their choice of major, their overall perceptions of the institution, and their progress toward specific educational outcomes and the university's general education objectives.

Value-added assessments that are thoughtfully designed and carefully controlled can assist an institution to better understand the student changes and growth that are attributable to education-related experiences, and can serve as a stimulus for program change and curricular improvements by demonstrating where performance falls short of expectations. Yet, the value-added assessment programs that have been implemented to date and that are looked upon as models for possible evaluation by other institutions remain controversial, owing largely to their limitations in recognizing and accounting for key variables which influence student performance, such as students' maturation rates, general intellectual developments, prior experience, and reasons for enrolling in the course or program. Also, some questions of method and measurement, such as the practical difficulties of establishing reliable baseline data and control group information, remain unresolved issues.

4. Standardized tests to examine either general or specialized knowledge.

Most institutions have developed their own methods for measuring students' general and specialized knowledge. Examples of the standardized, objective tests often used for this purpose are the College Outcomes Measures Program (COMP) assessments of the American College Testing - perhaps the most widely used general education battery - and the Graduate Record Examination (GRE) Subject Tests of the Educational Testing Service, which are used to assess the specialized knowledge and skills students achieve in their major field. The Subject Tests are offered in biology, chemistry, computer science, economics, education, engineering, French, geology, history, literature in English, mathematics, music, physics, political science, psychology, sociology, and Spanish. The COMP exam offers three options to assessing the outcomes of general education. The first two are the Composite Examination and the Objective Test, which cover the three "process" areas of oral and written communication, problem solving, and values clarification, in addition to the three "content" areas of "functioning within social institutions," "using science and technology" and "using the arts." The third COMP option is the Activity Inventory, which is used to elicit directly from students the effects of general education on the same process and content areas of the Composite and Objective examinations.

It is important to reiterate, however, that the uncritical reliance on standardized tests must be avoided, owing to the significant risks associated with the inappropriate use of standardized test results and with the unreliability of these in predicting students' college performance.

5. A way of making decisions about funding by rewarding institutions for student performance on established criteria.

Perhaps the best illustration of this dimension of assessment is Tennessee's Performance-Based Funding Program discussed in Part Three above. Although state encouragement of outcomes assessment in higher education is on the rise, few state officials have encouraged the adoption of a performance-based funding approach. A major criticism of this approach stems from the perception that the "new" funds for higher education appropriated by the legislature for alloca-

tion through such a program are actually funds that would otherwise have gone into the general budget of the state's colleges and universities. Also, it is difficult to establish meaningful and reliable criteria to guide performance funding. Moreover, if incorrectly designed, these funding strategies could have the ironic and often unintended consequence of denying improvement monies to institutions most in need of improvement. Yet officials of Tennessee's institutions believe that these funds are indeed "new" money and that, overall, the performance-based plan has been instrumental in enhancing the educational quality of their programs.

6. Measuring changes in student attitudes and values.

Undoubtedly, one of the most valuable contributions made by higher education institutions is their ability to develop in students the attitudes, beliefs, values, and behaviors that are personally redeeming and beneficial to society; among them: enhanced moral and emotional sensibilities; tolerance for ambiguity and diversity; improved performance in and commitment to responsible citizenship; and positive self-identities needed to live rewarding lives within their family and professional roles. Thus, in addition to assessing their students' cognitive development, colleges and universities have been particularly interested in gauging changes over time in their students' attitudes and values.

While most institutions have developed their own instruments to assess change in this area, a number of commercially developed instruments are available for examining students' attitudinal development and growth. For example, over 600 institutions currently participate in the Cooperative Institutional Research Project's (CIRP) Annual Survey of American College Freshmen, and a smaller but significant number of other institutions use the NCHEMS/College Board Student Outcomes Information Service (SDIS) instruments. The CIRP was established in 1966 by the American Council on Education and its surveys are now administered by UCLA's Higher Education Research Institute. In 1987, 289,875 freshmen enrolling in 652 two- and four-year institutions across the country returned completed CIRP surveys. The CIRP Annual Freshman Survey is the nation's largest and oldest continuing empirical study of demographic, experiential, and attitudinal information about college students. In addition, there is a CIRP Follow-up Survey used to con-

duct longitudinal studies of entering freshmen and which focuses on students' satisfaction with their college experience.

Assessment in California

Matriculation in California's Community Colleges is the State's only mandatory statewide assessment program in higher education, although both the University of California and the California State University employ common assessment efforts at the system-wide levels, and the independent institutions use a variety of assessment instruments.

Given the size and diversity of the State's higher education enterprise, a comprehensive inventory of the broad range of assessment activities in place or being proposed on each campus would be a tall order to meet. Yet, even a cursory overview of these serves to demonstrate that a vast and complex array of system- and campus-wide evaluation efforts have been under way for some time, and stem from *self-initiated* reflection and reexamination of the quality of teaching and student learning, program effectiveness and the accomplishment of institutional mission. Much of the impetus for these activities can be traced, for example, to such recent reports as *Lower Division Education of the University of California* (commonly referred to as the Smelser Report) of the University of California, the *Academic Senate Self Study of Undergraduate Education* of the California State University, and the *Statewide Matriculation Plan* of the California Community Colleges.

It should be acknowledged, therefore, that assessment efforts and discussions in California higher education were initiated by the segments and campuses and largely in recognition of their merits rather than in response to external pressures.

The primary impetus for addressing assessment in California higher education as a matter of State policy or statute has come about recently from ACR 141 (Hayden, 1986), AB 2016 (Hayden, 1987), and Supplemental Language to the 1987 Budget Act. In the latter, the Legislature's intention was "to seek the development and adoption of comprehensive assessment mechanisms for evaluating student learning, program effectiveness, and institutional accomplishment of mission for public postsecondary education" in order to re-

view educational budget expenditures more effectively. The University of California responded to this legislative intent in its *Report to the Legislature on University of California Progress in Comprehensive Outcomes Assessment: A Response to Supplemental Language to the 1987-88 Budget Act (1988)*. The California State University responded to the intent in its *Report to the Joint Legislative Budget Committee, Pursuant to Section 9, Budget Act of 1987, Item 6610-001-001 "Student Outcomes Assessment."*

The above reports provide a useful, albeit contained, overview of the broad range of traditional evaluation approaches the University and State University have employed, including: student testing for admission, placement, and graduation and licensure; program review, including curricular approval and improvement processes; program and institutional accreditation; and surveys of current and former students to determine their satisfaction with their educational experience. The following discussion of assessment in California higher education comprises a synthesis of these reports, including the *Statewide Matriculation Plan* of the California Community Colleges and, particularly, the recent report of the Subcommittee on Student Assessment of the California Education Round Table, *Systemwide and Statewide Assessment in California, April 1988 Draft*.

Finally, because the purpose of this review is merely to describe the established systemwide assessment programs and practices in California higher education, it is not exhaustive nor is it designed to discern the policy implications of these programs and practices.

Assessment for admissions and placement

The Math Diagnostic Testing Project: Four levels of multiple-choice, diagnostic tests are administered under the Math Diagnostic Testing Project to gauge students' ability to progress to the next college-preparatory mathematics course from Algebra I through Calculus. The results of the assessment are used for curriculum development and in-service programs as well as for individual-student counseling and appropriate placement and remediation. While these tests are given on a voluntary basis, they are used by all the University of California campuses, 13 of the California State University campuses, and 24 of the State's 106 Community Colleges, as well as 816 middle schools or high schools throughout the state.

Intersegmental Writing Diagnostic Exams: The Intersegmental Writing Diagnostic Exams are two-hour essay-form tests designed to assist students and teachers to understand the University's and State University's expectations about freshman-level writing skills and consequently, to assist teachers to develop those skills. At present, these exams are being pilot-tested on selected groups of eleventh-grade students and from high schools in the UCLA/CSU-Northridge and the UC-Davis/CSU-Sacramento service areas. In 1987, the numbers of students tested in each of these areas were 522 and 789, respectively.

Chemistry Diagnostic Testing Project: Beginning in fall 1987, 45-minute multiple-choice exams will be administered under the Chemistry Diagnostic Testing Project (CDTP) to diagnose the knowledge, skills, and abilities that students should possess if they are to succeed in general chemistry. While the tests will serve both diagnostic and advising purposes, the intent is for the University, the State University and the Community Colleges to use them on a voluntary basis for placement purposes. It appears likely that most of the State's institutions will use the new CDTP exam stemming from their current dissatisfaction with the standardized test they have used to date for advising and/or admissions purposes.

The Entry-Level Mathematics Examination: The Entry-Level Mathematics Examination (ELM), a multiple-choice test used by the California State University, assesses entering undergraduate students' entry-level skills in mathematics. While the major portion of the test covers algebra topics, the other portions relate to problems in arithmetic and geometry. The test serves to ensure that students have the mathematics skills required to enroll in the General Education mathematics course. Consequently, students must pass the examination if they are to complete their course of study toward a degree. Exempt students include those with scores above specified levels on standardized tests, such as the ACT and the SAT, which correlate highly with success on the ELM.

The English Placement Test: The English Placement Test (EPT) is a multiple-choice essay test used by the California State University to assess the writing proficiency of its entering undergraduate students. The test, which specifically assesses skills in reading, sentence structure, logic and organization, and compo-

sition, is constructed by faculty of the State University and is instrumental for student placement in English coursework as well as for remediating identified deficiencies and eventually enabling students to satisfy the Graduation Writing Assessment Requirement. Exempt students include those with standardized test scores that correlated highly with success on the EPT.

The English Equivalency Exam: The English Equivalency Exam consists of a 90-minute objective test on analysis and interpretation of literature and two 45-minute essay tests. The California State University administers the examination to its entering freshmen in order to grant them college-level English credit (a credit-by-examination policy) and/or to exempt these students from the State University English Placement Test.

The Subject A Examination: The University's system-wide Subject A examination is a two-hour essay examination designed to assess students' writing proficiency in response to reading material characteristic of that assigned in beginning courses at the University. Its results are used for student placement in either freshman composition or Subject A courses. Exempted students are those who score 600 or better on the College Entrance Examination Board "English Composition Achievement Test" or an "Advanced Placement" English core of 3, 4, or 5 by the April 1 preceding their freshman year. Several forms of the examination and sample papers published in the 1987 *Information Booklet for the University-wide Subject A Examination* and the forthcoming *Report to High Schools* on the 1987 examination will serve to do outreach work with students and in-service work with teachers.

Community Colleges Placement Testing: Community Colleges conduct comprehensive assessment in language, computation, and English as a second language for placement of students in college courses. Supplemental assessment is provided on a voluntary basis in the areas of study skills, vocational aptitudes and interests, and related learning skills. While each college selects its own set of assessment instruments and procedures, all colleges use assessment results as one factor in advising students in the selection of their educational programs. Following the passage of AB 3 in 1986, the Statewide Matriculation Plan for Community Colleges was implemented in 1987-88. This plan provided funding for a six-component program of admission, orientation, assessment, advisement, follow-

up, and evaluation available to each Community College student. As a result, Community Colleges are able to provide in-depth diagnostic assessment of students' basic skills, educational aspirations, and program goals. In conjunction with the implementation of the new matriculation program, Community Colleges are now engaged in an extensive reexamination of assessment practices and curriculum offerings.

Recent 1987-88 survey information from the college matriculation plans submitted to the Chancellor's Office Management Information Systems Division shows that the following tests are commonly used in the 106 Community Colleges. (The numbers in Parentheses indicate the number of colleges using the test.)

Reading

The College Board Comparative Guidance and Placement Examination (7)

The College Board Assessment and Placement Services for Community Colleges (25)

American College Testing Asset (35)

Nelson-Denny (22)

Writing/Composition

The College Board Comparative Guidance and Placement Examination (6)

The College Board Assessment and Placement Services for Community Colleges (26)

American College Testing Asset (39)

Writing Sample/Essay (85)

Mathematics

Mathematics Diagnostic Testing Project (16)

The College Board Comparative Guidance and Placement Examination (5)

The College Board Assessment and Placement Services for Community Colleges (21)

American College Testing Asset (37)

English as a Second Language

Michigan Test of English Language Proficiency (Subcommittee on Student Assessment of the California Education Round Table, pp. 38-39).

Assessment for and after completion of matriculation

Skills Competency Testing: Many Community Colleges conduct exit testing to ensure that their graduates have achieved a specified level of competence in a discipline area. Most typically, competency assessment is done in English, mathematics, and in a number of vocational areas.

The Graduation Writing Assessment Requirement (GWAR) is a California State University systemwide requirement for graduation -- to be satisfied at the junior level or above. It is designed to ensure that students are awarded a baccalaureate degree having demonstrated proficiency in writing skills. Students may satisfy this requirement by passing a locally developed and scored examination, a course, or a combination of the two.

Comprehensive examinations for vocational and professional certification, licensure, and graduate study: Nearly all California community colleges offer vocational programs in which comprehensive examinations are administered for certification or license.

Graduates of the University and State University applying for admission to graduate degree programs are often selected on the basis of their performance on comprehensive examinations of their general and specialized knowledge in their field. The passing rates on these exams provide the academic departments and the institutions with a valuable indicator of how well they prepared their students. In addition, students entering certain fields, such as nursing and teaching, must pass the comprehensive examinations to obtain the license or certificate required to practice in those fields. For example, the State's Board of Registered Nurses and its Commission on Teacher Credentialing control access to employment in California in the fields of nursing and teaching, respectively. Graduates' performance on State licensure examinations also are viewed as important indicators of the preparation they receive from their academic programs, the results of which are often used in the program review and accreditation processes.

Seniors of the California Maritime Academy take a three-day multiple-choice examination administered by the U.S. Coast Guard that tests their maritime-related education at the Academy -- approximately 2 1/2

years of their four-year curriculum – and that leads to the issuance of a Coast Guard License. Graduates of the Academy receive both a Bachelor of Science degree and this license, and neither document can be obtained alone. The passing rate on the exam provides the Academy with internal monitoring of the quality of its graduates, since the Coast Guard itself sets the passing score on the test. Further, comparison of its passing rate with those of other state maritime academies across the country gives the Academy an objective comparative measure of the quality of its program.

Surveys of current and former students

The Californic State University: The California State University is the State's only segment of higher education that conducts systemwide surveys of its current and former students. The "Student Needs and Priorities Survey" (SNAPS) obtains information from currently enrolled students regarding: (1) life goals and educational priorities; (2) levels of satisfaction with various aspects of their academic and social experience on campus; and (3) problems or barriers, whether institutional or personal in nature, which impede progress toward their educational goals. The data collected through this survey permit inter-campus and longitudinal comparisons of student opinions and characteristics and they enable campuses to monitor the effects on student satisfaction resulting from changes in programs and support services.

Since 1975, the State University has also conducted a biennial spring employment survey of all its graduates for the purpose of providing current and prospective students, faculty, and counselors with information on the employment of the State University's bachelor's and master's degree recipients relevant to career and life planning. The survey serves to document the status of students who have successfully completed academic programs at the State University and assists the campuses to respond to the following questions:

- What do CSU students do after graduation?
- What are rates of employment for women, minorities and older graduates who seek employment?
- Do CSU graduates get the jobs for which their major programs prepare them?
- What are starting salaries for CSU graduates?

- How do CSU graduates find jobs? (California State University, 1987, p. 8)

University of California: Several campuses of the University of California conduct surveys to gauge different aspects of their students' undergraduate experience. These surveys are one of several information-gathering strategies used by these campuses to support their assessment activities. At the Riverside campus, standardized student course ratings are designed to obtain student perceptions of the value of their learning in each course. In Fall 1985, the Irvine campus administered the Quality of Student Life Survey to a stratified sample of its new students and repeated the survey the following fall that included all Student Affirmative Action admittees.

The Berkeley, Santa Barbara, San Diego and Davis campuses of the University conduct alumni surveys to determine their graduates' satisfaction with their undergraduate experience as well as to monitor postgraduate activities. Surveys of recent graduates of the Berkeley and San Diego campus showed that 91 percent and 95 percent of the respondents, respectively, were very satisfied with their overall campus experience. At the Davis campus, the Student Affairs Research and Information Office periodically issues reports on student transfer and retention, program effectiveness, and quality of student services. Periodic surveys of Davis alumni have provided the campus with valuable insight into their graduates' satisfaction with their undergraduate experience, with a majority of them consistently reporting that their undergraduate studies provided them the basic tools to meet their educational and career aspirations.

California Community Colleges: Most of the California community colleges regularly conduct student satisfaction and follow-up surveys to ascertain student perceptions about the value of the first two years of their undergraduate experience. A major longitudinal follow-up survey on a sample of 7,500 community college freshmen examined student satisfaction with the skills and experience gained as a result of completing English courses. This survey was administered to students in one third of the community colleges; a second follow-up survey is being conducted in the skills area of reading; and the first year of a major mathematics study which investigates skills gains, student goal satisfaction and retention is in its first year. On an

annual basis, student follow-up is continuing on all of these identified subgroups.

The "Statewide Student Follow-up Project" was initiated by the California Community Colleges in 1972 to obtain information on advanced occupational students over two consecutive years. The instruments used are the "Classroom Survey" and the "Follow-up Survey," which serve to obtain from students and former students information such as: their reasons for the courses they have taken, the nature of their work, their view of the usefulness of the skills provided them by the college, and their view of the general benefit they have derived from their classes and the college. To date, approximately 50 percent of the California Community Colleges have participated in the Project, but for the 1988-89 academic year it is projected that all of the institutions will be involved.

Student assessment in the California Community Colleges can accurately be described as in a "period of change." Community colleges are in the first year of implementing the *Statewide Matriculation Plan*. This legislated program has brought about a comprehensive review of assessment and placement procedures. Proposed revisions to the State *Education Code* adopted by the Board of Governors of the Community Colleges have led to a strengthening of academic standards and the associate degree (Board of Governors, 1987). These policies are being used to guide colleges in the following:

- Developing operational definitions of "the full range of basic skills instruction and services";
- Establishing skill requisites for certificate and degree courses;
- Providing method(s) for measuring a student's academic progress, including clarification of the amount of basic skills instruction available to students;
- Setting parameters for the scope of student assessment as required in matriculation and the relationship of assessment to setting of course requisites.

At the same time, the Board of Governors adopted the *Statewide Matriculation Plan* (January, 1987), which describes the agreement made between each student and the community college that he or she attends for the purpose of realizing the students' need, the community colleges provide:

- An admissions process;
- An orientation to college programs, services and procedures;
- Preenrollment assessment and counseling;
- Advisement and counseling for course selection;
- Continuous follow-up on student progress with referral to support services when needed;
- A program of institutional research and evaluation.

As an integral part of matriculation, comprehensive assessment in Community Colleges is based on the use of multiple measures to assess the basic skills of entering students and their educational needs. The Chancellor has convened a statutory committee -- the Matriculation Assessment Advisory Panel -- to provide further guidelines, evaluative support, and technical assistance for Community College assessment practices and procedures. (Subcommittee on Student Assessment to the California Education Round Table, pp. 39-40).

Program review

The California Community Colleges have systemwide procedures for reviewing two categorical programs, the Extended Opportunity Programs and Services (EOPS) and the Disabled Students Programs and Services (DSPS), which have been in place for the past five years. In addition, the community colleges are reviewing degree and general education programs as a result of new proposed Title 5 standards for strengthening the associate degree.

All campuses of the University of California and the California State University have established schedules for the qualitative review of existing programs on five to eight year intervals. The State University's formal requirement for a periodic review of each academic program at each campus has been in place since 1971 -- making it among the first of its kind in the country. The requirement to review degree and general education programs is a systemwide policy for both University systems and the California Community Colleges, yet the specific criteria and procedures for conducting the review vary according to campus. The University of California's regular faculty peer review of undergraduate programs has been an established component of its overall strategy for promoting program effective-

ness and the efficient allocation of resources consistent with the goals of the University.

The program review process usually begins with a self-study by the department offering the program, which is then reviewed by a committee of college faculty and administrators. These self studies often involve surveys of students, faculty and alumni designed to offer observations on the programs' strengths and weaknesses. External reviews, involving experts in the area of the discipline, are usually employed to provide more objectivity to the review process.

The program review process serves to examine the goals and objectives of individual degree programs and the extent to which these have been achieved as well as to determine how the programs' effectiveness might be enhanced. For the most part, program reviews have tended to emphasize "process" measures related to the program, such as coherence and breadth of the curriculum, faculty involvement in scholarly and community affairs, adequacy of the library and instructional equipment, counseling and other student support services. However, with the renewed national interest in student outcomes assessment, the "product" measures of the academic programs may assume added significance. That is, there is a growing interest in incorporating student outcomes assessment into the program review process as a means to better gauge the overall competence, skills, knowledge, and educational and career satisfaction of the programs' graduates.

Institutional and programmatic accreditation

In addition to the ongoing program review process described above, California postsecondary education institutions rely on institutional and program accreditation as an indicator of excellence in education. Accreditation is a non-governmental, voluntary process of evaluation of academic programs and institutions that has evolved to determine that educational quality has been maintained as measured against a set of predetermined standards. The primary purposes of accreditation are:

1. To assure the education community, the general public, and other organizations and agencies that an institution has clearly defined objectives appropriate to higher education and that it meets Commission standards;

2. To encourage institutional development and improvement through self study and periodic evaluation by qualified peer professionals;
3. To develop and use standards to assess and enhance educational quality and institutional performance, and to validate these standards by ongoing research; and
4. To promote interchange of ideas among public and independent institutions through peer review. (Accrediting Commission for Senior Colleges and Universities, 1988, p. 2)

Degree programs of the State's institutions are accredited by specialized agencies such as the Accreditation Board for Engineering and Technology, the Commission on Teacher Credentialing, and the American Assembly of Collegiate Schools of Business. Specialized accreditation has aimed at ensuring program compliance with national standards designed to assure adequate professional preparation and that the programs' objectives have been met. Related to institutional accreditation, the State's Community Colleges and universities are accredited by the Accrediting Commission for Community and Junior Colleges and the Accrediting Commission for Senior Colleges and Universities. Both Commissions operate under the aegis of the Western Association of Schools and Colleges (WASC) and are recognized by the Council on Postsecondary Education Accreditation (COPA), a nongovernmental agency representing most of the nation's accrediting bodies, and the U.S. Department of Education. Nine accreditation standards have been developed to review the essential dimensions of an institution of higher education: institutional integrity; institutional purposes, planning and effectiveness; governance and administration; educational programs, faculty and staff; library, computing, and other information and learning resources; student services and the co-curricular learning environment; physical resources; and financial resources.

Each institution in the State undergoes a full accreditation review every ten years with follow-up reviews conducted mid-way to determine how well the institution has responded to problems diagnosed in the full review. The accreditation process begins with the preparation of a programmatic or institutional self-study report adhering to criteria and guidelines provided by the accrediting Commission. This report serves as the basis for evaluation, including a site visit to the institution, by a team of peer evaluators organized by the

accrediting Commission. The site-visit team, representing specialists appropriate to the type of institution or program being reviewed, meets with administrators, faculty, staff, and students to review the self-study report and to judge the extent to which the accreditation standards have been met by the program or institution. A final team report with accompanying campus documentation is then prepared for the appropriate accreditation commission which determines the accreditation status of the program or institution.

In its report, *The Master Plan Renewed: Unity, Equity, Quality, and Efficiency in California Higher Education*, the Commission for the Review of the Master Plan

for Higher Education made two recommendations aimed at strengthening the accreditation process. One called for programmatic accrediting agencies to acknowledge the larger institutional missions and purposes of undergraduate education as well as the importance of upholding the integrity of the general educational curriculum. The other called on regional accrediting commissions to take sufficient cognizance of student outcomes in evaluating institutions. The latter recommendation echoes the national trends in which accreditation reviews have begun to emphasize the use of outcomes-based qualitative criteria by encouraging institutions to undertake appropriate assessment initiatives.

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CALIFORNIA POSTSECONDARY EDUCATION COMMISSION

THE California Postsecondary Education Commission is a citizen board established in 1974 by the Legislature and Governor to coordinate the efforts of California's colleges and universities and to provide independent, non-partisan policy analysis and recommendations to the Governor and Legislature.

Members of the Commission

The Commission consists of 15 members. Nine represent the general public, with three each appointed for six-year terms by the Governor, the Senate Rules Committee, and the Speaker of the Assembly. The other six represent the major segments of postsecondary education in California.

As of January 1989, the Commissioners representing the general public are:

Mim Andelson, Los Angeles
C. Thomas Dean, Long Beach
Henry Der, San Francisco
Seymour M. Farber, M.D., San Francisco
Helen Z. Hansen, Long Beach
Lowell J. Paige, El Macero, *Vice Chairperson*
Cruz Reynoso, Sacramento
Sharon N. Skog, Palo Alto, *Chairperson*
Stephen P. Teale, M.D., Modesto

Representatives of the segments are:

Yori Wada, San Francisco; representing the Regents of the University of California

Claudia H. Hampton, Los Angeles; representing the Trustees of the California State University

John F. Parkhurst, Folsom; representing the Board of Governors of the California Community Colleges

Harry Wugalter, Thousand Oaks; representing the Chairman of the Council for Private Postsecondary Educational Institutions

Kenneth L. Peters, Tarzana; representing the California State Board of Education

James B. Jamieson, San Luis Obispo; representing California's independent colleges and universities

Functions of the Commission

The Commission is charged by the Legislature and Governor to "assure the effective utilization of public postsecondary education resources, thereby eliminating waste and unnecessary duplication, and to promote diversity, innovation, and responsiveness to student and societal needs."

To this end, the Commission conducts independent reviews of matters affecting the 2,600 institutions of postsecondary education in California, including Community Colleges, four-year colleges, universities, and professional and occupational schools.

As an advisory planning and coordinating body, the Commission does not administer or govern any institutions, nor does it approve, authorize, or accredit any of them. Instead, it cooperates with other state agencies and non-governmental groups that perform these functions, while operating as an independent board with its own staff and its own specific duties of evaluation, coordination, and planning.

Operation of the Commission

The Commission holds regular meetings throughout the year at which it debates and takes action on staff studies and takes positions on proposed legislation affecting education beyond the high school in California. By law, the Commission's meetings are open to the public. Requests to address the Commission may be made by writing the Commission in advance or by submitting a request prior to the start of a meeting.

The Commission's day-to-day work is carried out by its staff in Sacramento, under the guidance of its executive director, Kenneth B. O'Brien, who is appointed by the Commission.

The Commission issues some 40 to 50 reports each year on major issues confronting California postsecondary education, and it makes these publications available without charge while supplies last.

Further information about the Commission, its meetings, its staff, and its publications may be obtained from the Commission offices at 1020 Twelfth Street, Third Floor, Sacramento, CA 98514; telephone (916) 445-7933.

BEYOND ASSESSMENT

California Postsecondary Education Commission Report 88-41

ONE of a series of reports published by the Commission as part of its planning and coordinating responsibilities. Additional copies may be obtained without charge from the Publications Office, California Postsecondary Education Commission, Third Floor, 1020 Twelfth Street, Sacramento, California 95814-3985.

Recent reports of the Commission include:

88-27 Proposed Construction of Off-Campus Community College Centers in Western Riverside County: A Report to the Governor and Legislature in Response to a Request of the Riverside and Mt. San Jacinto Community College Districts for Capital Funds to Build Permanent Off-Campus Centers in Norco and Moreno Valley and South of Sun City (June 1988)

88-28 Annual Report on Program Review Activities, 1986-87: The Twelfth in a Series of Reports to the Legislature and the Governor on Program Review by Commission Staff and California's Public Colleges and Universities (June 1988)

88-29 Diversification of the Faculty and Staff in California Public Postsecondary Education from 1977 to 1987: The Fifth in the Commission's Series of Biennial Reports on Equal Employment Opportunity in California's Public Colleges and Universities (September 1988)

88-30 Supplemental Report on Academic Salaries, 1987-88: A Report to the Governor and Legislature in response to Senate Concurrent Resolution No. 51 (1965) and Subsequent Postsecondary Salary Legislation (September 1988)

88-31 The Role of the California Postsecondary Education Commission in Achieving Educational Equity in California: The Report of the Commission's Special Committee on Educational Equity, Cruz Reynoso, *Chair* (September 1988)

88-32 A Comprehensive Student Information System, by John G. Harrison: A Report Prepared for the California Postsecondary Education Commission by the Wyndgate Group, Ltd. (September 1988)

88-33 Appropriations in the 1988-89 State Budget for the Public Segments of Higher Education: A Staff Report to the California Postsecondary Education Commission (September 1988)

88-34 Legislation Affecting Higher Education Enacted During the 1987-88 Session: A Staff Report to the California Postsecondary Education Commission (October 1988)

88-35 Meeting California's Adult Education Needs: Recommendations to the Legislature in Response to Supplemental Language in the 1988 Budget Act (October 1988)

88-36 Implementing a Comprehensive Student Information System in California: A Recommended Plan of Action (October 1988)

88-37 Proposed Establishment of San Jose State University's Tri-County Center in Salinas. A Report to the Governor and Legislature in Response to a Request by the California State University for Funds to Create an Off-Campus Center to Serve Monterey, San Benito, and Santa Cruz Counties (October 1988)

88-38 Progress in Implementing the Recommendations of the Commission's 1987 Report on Strengthening Transfer and Articulation: A Staff Report to the California Postsecondary Education Commission (October 1988)

88-39 Proposition 98 -- The Classroom Instruction Improvement and Accountability Act: A Staff Analysis for the California Postsecondary Education Commission (October 1988)

88-40 The Fourth Segment: Accredited Independent Postsecondary Education in California. The Fifth in a Series of Reports on the Financial Condition of California's Regionally Accredited Independent Colleges and Universities (December 1988)

88-41 Beyond Assessment: Enhancing the Learning and Development of California's Changing Student Population. A Report in Response to the Higher Education Talent Development Act of 1987 (Assembly Bill 2016; Chapter 1296, Statutes of 1987) (December 1988)

88-42 The Role of the Commission in Achieving Educational Equity: A Declaration of Policy (December 1988)

88-43 Education Needs of California Firms for Trade in Pacific Rim Markets: A Staff Report to the California Postsecondary Education Commission (December 1988)

88-44 Distribution of Revenue from Concurrent Enrollment at the California State University: A Report to the Legislature in Response to Supplemental Language to the 1988-89 Budget Act (December 1988)

88-45 Prepaid College Tuition and Savings Bond Programs: A Staff Report to the California Postsecondary Education Commission (December 1988)