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#### **ABSTRACT**

Difficulties and rewards in using state assessment policy to benefit both students and the state are reviewed. The questions examined in this guide will help state policy makers know the questions they should ask about whether, what, and how well students are learning. Questions were developed from four seminars in 1989, 1990, and 1991 on assessment and undergraduate education sponsored by the Education Commission of the States in Cooperation with the National Governors' Association and supported by the Fund for Improvement of Postsecondary Education. The first section, "Importance," describes the history behind the current assessment movement and its significance. The second section, "Trends," examines state and campus assessment trends and how events have shaped what has happened in education. The third section, "Policy Development," summarizes lessons learned from state and college involvement in assessment. The fourth section, "Improvement of Undergraduate Education," discusses how to use results to ensure that assessment leads to improvement. Five resources for additional information are listed. (SLD)

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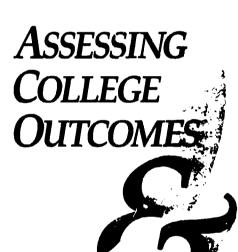
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What State Leaders Need To Know

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What State Leaders Need To Know



Education Commission of the States 707 17th Street, Suite 2700 Denver, Colorado 80202-3427

November 1991

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tate policy makers view assessment of college\* student learning as a means to improve the quality and effectiveness of higher education. Yet, after nearly seven years of state involvement, the results are mixed. Questions remain unanswered about the multiple purposes assessment can serve, the variety of approaches for conducting assessment and the number of uses for the resulting data. New questions arise about how state policy makers should proceed given the limited demonstration of educational improvement.

Since the mid-1980s, assessment activities in the states and in colleges have increased and become more sophisticated. This has led, in some colleges, to demonstrated improvements in teaching and learning at the classroom, discipline and department levels. But the results of assessment have not been far-reaching. Little evidence exists to suggest that assessment activities have influenced or altered the priorities and day-to-day operations of colleges. Further, even less has happened to answer the larger state and public questions now emerging about the effectiveness of the higher education system in ensuring that students collectively are capable of contributing productively to the work force and to society.

The challenge facing public policy makers is how best to accomplish and measure progress in meeting state education goals, while maintaining diversity on and among campuses. Because assessment focuses attention on undergraduate education, state assessment policy can be a powerful tool in determining if colleges are meeting expectations.

The need to focus on assessment is reinforced by the National Education Goals, adopted by President Bush and the governors in 1990. Although the goals focus primarily on improvements needed in elementary and secondary education, they call upon higher education to assist in improving the preparation of teachers, working with elementary/secondary schools and increasing the college enrollment and graduation rates of all students, especially minority, at-risk or underprepared students.

The difficulties and rewards in using state assessment policy to benefit both students and the state is the subject of this booklet. The questions examined in this guide will help state policy makers know the questions they should ask about whether, what and how well students are learning.

\*The term 'college" is used in this document to mean any and all public and private colleges and universities.



All of our people, not just a few, must be able to think for a living, adapt to changing environments and understand the world around them. They must understand and accept the responsibilities andobligations of citizenship. They must continually learn and develop new skills throughout their lives.

— National Governors' Association, 1990 Questions in this guide were developed from 1989-91 sessions on assessment and undergraduate education, sponsored by the Education Commission of the States (ECS) in cooperation with the National Governors' Association and supported by the Fund for the Improvement of Postsecondary Education. Each of the four seminars brought together national, state and campus representatives to discuss policy issues related to assessment: undergraduate teaching and learning, accountability, minority student participation and achievement, and links between elementary/secondary and higher education. This guide addresses the most common questions asked by state policy makers and others.

The first section, "Importance," describes the history behind the current assessment movement and its significance for states and colleges. The section on "Trends" examines state and campus assessment trends and how events have shaped what is happening in assessment. The third section, "Policy Development," summarizes the lessons learned from state and college involvement in assessment. And the fourth section, "Improvement of Undergraduate Education," discusses how to use results to ensure that assessment leads to improvements in the education that colleges and universities provide to undergraduate students.

The guide is designed primarily to assist state policy makers responsible for developing assessment policies, such as governors, legislators and members of higher education governing or coordinating boards. However, campus and other state leaders interested in assessment policy may also find it useful.



### What does "assessing student learning outcomes" mean?

A: "Assessment" is best understood as the posing and answering of questions related to student learning in college. It is not synonymous with testing. Testing is only one method of assessing "student learning outcomes," which refer to the knowledge and skills, plus the talents, attitudes and values that students attain in college. From a state perspective, assessment is a way to focus the attention of colleges on undergraduate learning. Although specifics might differ from state to state and campus to campus, questions states and campuses might ask include:

- How much are students learning?
- Are students learning what we expect them to learn?
- Are students developing the kinds of knowledge, skills and values that the state needs for a strong society and economy?

Finding the answers to such questions requires that assessment methods focus on *performance* — what students know and can do — and, more broadly, how effective a college is in creating an environment in which students can and do learn.

### How does the focus on assessment change the definition of "quality" in higher education?

A: A college's resources and reputation rating have been the traditional hallmarks of "quality." Often, for instance, the public's view of which colleges are the "best" rests on tuition charged, annual expenditures per student or SAT scores of the entering student body. Assessment, however, focuses on what colleges actually do with these resources and how well they do it. This approach does more than just change the focus of attention from resources to outcomes; it also suggests that many different kinds of colleges can excel. All colleges can demonstrate high levels of quality—not just the selective few—and this is what state policy should encourage.



### Why are state policy makers interested in assessment?

A: There are two fundamental reasons why state policy makers should take an active interest in assessment of undergraduate education. First, states can be positive forces for change by questioning colleges about student learning and by providing incentives for improvement. Second,

states have a responsibility to the public to monitor the effectiveness of the higher education system.

This document defines a system of higher education as the collection of colleges and universities in the state, both public and private. An *effective* system requires states to recognize and support differences among colleges, for example, urban col-

"What we urgently need loday is a constructive debate about the meaning of the undergraduate college and a willingness to make this part of the educational enterprise more vital and enriching. At the same time, the diversity of our system must be acknowledged and protected. The responses to the challenge of enriching the baccalaureate experience will surely differ from one institution to another and, in the end, the quality of the effort must be measured not by the certainty of the outcome, but by the quality of the quest."

- Ernest Goyer, in College, 1987

leges, colleges whose mission is to prepare teachers, community and technical colleges, colleges that focus on applied regional research and service, and "flagship" universities engaged in basic research.

A system approach also requires colleges and universities to work *together* to promote the public interests of higher education in their state and to produce students who are literate, resourceful and responsible.

### Who else is interested in assessment?

A: In addition to state assessment policies developed by governors, state legislatures, university system officials and statewide coordinating or governing boards, outcomes assessment is part of regional and national reform efforts.

All six regional associations that accredit American colleges and universities require some systematic outcomes assessment as a condition of accreditation. The requirement that colleges assess their effectiveness in providing a strong undergraduate education was, in fact, the impetus that set a new kind of assessment in motion on many campuses.

In the past year, interest in assessment has gained momentum at the national level. Three significant activities are under way: (1) The federal "Student Right to Know" legislation requires that all colleges disclose student retention and graduation rates. This requirement means that standard methods for calculating and reporting common statistics on college outcomes must be developed. (2) Under the newly passed federal "Ability to Benefit" legislation, passage of a standardized test is required for those entering higher education without a diploma and who want federally funded student aid. As a consequence, the federal government is involved for the first time in setting specific minimum standards of performance for college admission. (3) As part of the National Education Goals process, a panel of governors has recommended the development of a performance-based examination to assess graduating college seniors' ability to "think critically, communicate effectively and solve problems."







# How have state assessment policies developed?

A: Interest in assessment has increased dramatically over the past few years. During the mid-1980s, only three or four states were actively involved in a statewide assessment initiative. By 1987, the number had grown to a dozen. A national survey conducted in 1989 by ECS, the American Association for Higher Education and the State Higher Education Executive Officers revealed that 27 states had assessment policies. Another 10 states were in the planning stage.

State assessment policy, for the most part, has resulted from mandates or strong encouragement of statewide coordinating and governing boards. State boards, sensing pressure from legislatures, the business community and the public, were the first to start asking questions about college outcomes. Sixteen of the 27 state initiatives resulted from state board actions; the remainder stemmed from legislation, governors' initiatives or university system action.

States most commonly require that each public college or university, consistent with its particular mission and clientele, assess students in ways of its own choosing. Mandates of instruments to be used have been relatively rare, although some states specify purposes, such as measuring students' basic skills or evaluating the quality of the general education curriculum.

Only about
one-quarter lof
colleges | are making
noticeable progress,
while about half are in
the planning stages.
Most of the rest are
talking about
assessment, but
basically waiting for
the political
winds to change.

— Peter Ewell, National Center for Higher Education Management Systems, 1991

### How common is assessment on college campuses?

A: In 1991, according to a survey by the American Council on Education (ACE), 81% of colleges had assessment activities under way, up from 55% in 1988. Many of those efforts do not go far beyond planning, however. For the past six years, nearly half of campus administrators surveyed said states should require colleges to collect evidence of their effectiveness and show how they use results, yet they have consistently expressed concern about the potential misuse of assessment data by external agencies.



#### Virginia — New Notions of Accountability

In 1986, the Virginia legislature directed all state public colleges "to establish assessment programs to measure student achievement." The State Council of Higher Education in Virginia (SCHEV) spearheaded the effort by establishing guidelines. The guidelines, published in April 1937, encouraged colleges to use multiple indicators of assessment, such as:

- Absolute measures of student learning, such as achievement tests
- Existing information, such as that pertaining to admissions, retention, graduation rates and community college transfer rates, licensing and certification examinations, job placement and alumni surveys
- New, faculty-developed assessment measures
- Basic skills testing and evaluations of the success of remediation

At a minimum, colleges must assess students in their major and general education courses, survey alumni, evaluate remedial courses and provide information on graduates' success to feede\* high schools and community colleges. The guidelines allow colleges to develop their own assessment plans with incentive funding available for those with an "adequate student assessment plan." Since this initiative began, Virginia has faced severe state budget cutbacks. Some colleges report that in spite of reduced funding to higher education, assessment has helped improve curricula.

It is interesting to note how the tone and tenor of the campus conversation about assessment has changed. When ACE first began tracking college-level assessment, much of the survey data related to faculty support for assessment, concern about state intrusion and perplexity about what and how to assess. Results from the 1991 survey indicate that activities to assess student learning are no longer rare and experimental. ACE noted in *Campus Trends*, 1991:

- Two-thirds of all colleges reported that assessment is part of their self-study procedures for a regional accrediting agency.
- Almost all of the colleges active in assessment have developed their own assessment instruments.



- Roughly four in 10 of the campuses involved in assessment estimated that more than 40% of their full-time faculty participated in assessment activities.
- About eight in 10 colleges required to submit assessment data to external agencies did so. Seven in 10 made the information public.
- Almost all colleges with an information mandate reported that submission of assessment information does not affect their funding.
- Just over half the colleges reported that assessment had led to changes in their curricula or programs.

### How do colleges assess student learning?

A: Colleges have a variety of assessment methods at their disposal. Some are locally developed, others are "off-the-shelf" examinations purchased from testing companies. Many campuses are beginning to rely on innovative approaches that can more authentically reveal the extent of student learning. Methods in use include:

- Specially designed standardized examinations that chart gains in general knowledge and skills. Increasingly, testing companies are experimenting with exams that rely less on "blackening boxes" and more on student writing and problem solving.
- Faculty-designed comprehensive examinations, exercises and "capstone courses" that assess students' ability to apply what they know to complex, real-world situations.
- Portfolios and samples of actual student work, judge. against established learning goals, that can be used to determine how effective teaching and learning are.
- Surveys of students, graduates and their employers that can be used to determine satisfaction, areas of strength and weakness and later success on the job or in society.
- Performance on professional licensing and certification examinations taken by college graduates.



# What do trends suggest for the future direction of state assessment policy?

A: Current campus trends show that assessment methods are becoming more linked to the actual practice of teaching and learning. While significant improvement in individual classrooms and departments has resulted from assessment activities on many college campuses, evidence of college-wide change is lacking. State assessment initiatives have also failed to address adequately questions about how all colleges in a state, or system, are meeting state goals and expectations for an educated citizenry.

The current status of state-level policies reflects states' mixed experiences with assessment:

- Most established policies are still in place, but a number of states with severe economic problems have decreased or dropped implementation of policies and programs.
- Policies often are implemented as separate programs with inadequate attention to integration with other state or campus priorities; some appear likely to be dropped in difficult times.
- State policies requiring standardized instruments and public reporting are increasing as legislatures grow impatient with lack of results.

State policy should encourage colleges to continue and extend their local improvement efforts. Yet the growing need to chart progress toward state goals and expectations for college graduates requires more summary performance information.



#### POLICY DIVITORMENT

### What is the most critical ingredient of an effective state assessment policy?

A: Having a clear purpose is the key factor in most successful efforts. Unfortunately, lack of purpose has been the downfall of many state assessment plans. State officials should ensure that both coileges and the public understand why assessment is being done before determining how it will be done. Too many state assessment proposals have spelled out what colleges should do but failed to explain why and to what end. Different purposes may require quite different assessment methods.

Local campus improvement, for instance, is best stimulated through a campus-centered approach such as that undertaken in Virginia, Colorado or Arizona. But this approach may be ill-suited for providing information about higher education's performance as a whole. "Benchmark" examinations at college entrance and beyond, as done in Florida, Georgia, New

Jersey and Texas, measure student progress at different points, but that information has little use in spurring local improvements. Clarifying and reinforcing state assessment purposes early in the process is critical to future success.

#### Washington: State- or Campus-based Testing?

In 1987, the Washington Higher Education Coordinating Board accepted a new master plan for revitalizing higher education. Among other initiatives (including higher levels of public investment in state colleges), the plan called for a nationally normed "sophomore test" of enrolled college students. When it became clear that the state's main interest was to improve teaching, college leaders convinced state officials to conduct a pilot study to gauge the usefulness of available tests. Results showed that test score results could not be used effectively to guide improvement, and state officials opted for a campus-centered approach instead.



# What objectives do states have when developing assessment policy?

**A**: States can use assessment policy to address a variety of objectives with respect to undergraduate education. Among the most prominent are:

- Sending colleges a clear message about priorities. Because assessment strategies require colleges to investigate the quality of teaching, undergraduate teaching has moved to center stage on many campuses, balancing campus preoccupation with research and graduate teaching.
- Enabling campuses to revitalize curriculum and teaching practices. Significant improvement in undergraduate teaching and learning can take place only on campus. State policy makers need to set clear goals and provide incentives for colleges to monitor their own performance and make needed improvements.
- Establishing appropriate standards for student achievement. Sound state assessment policies help colleges focus on the knowledge and skills that all college graduates regardless of their major field of study or which college they attend need to know and be able to do. They also help colleges and policy makers address growing public concerns about the meaning and worth of a college degree.
- Informing state planning and budgeting decisions. Assessment results can help state leaders identify areas in which additional investments are needed. In several cases, results have pointed out weaknesses that led campuses and the state to target scarce resources more effectively.

In many cases, several objectives can be addressed through the same policy approach. But state leaders should be clear about (and prepared to explain) which objectives will be pursued through assessment and why.

- One can examine the catalogs and brochures of many colleges and never find a detailed description of common goals of undergraduate education.
- Derek Bok, former president of Harvard, in Higher Learning, 1986



## What is the role of standardized testing in higher education assessment?

A: Unlike elementary/secondary education, which uses standardized tests as the cornerstone of state assessment efforts, higher education rarely uses such tests for this purpose. Standardized tests are difficult for colleges to administer and often are ill-suited for assessing more complex college-level skills and abilities. In addition, standardized test scores don't give college faculty and administrators much information about how to improve. For these reasons, state policy makers in South Dakota and Washington, for example, abandoned proposed standardized testing programs in higher education after a trial period.

Such difficulties don't mean that standardized tests have no place in college assessment; they do if their purposes are clear and limited in scope. New Jersey, Texas, Florida and several other states use standardized basic skills examinations to place *entering* college students in the courses that best match their abilities. Only New Jersey has developed and used (for a short time) a sophisticated, task-based instrument to assess college-level *outcomes* of a representative sample of students.

#### Tennessee's Benchmarks

Tennessee's assessment initiative is incorporated into a set of goals for all levels of public education. Tennessee Challenge 2000, passed into legislation in April 1989, instructed the Tennessee Higher Education Commission to develop long-term, quantifiable goals for higher education. One of the "legislative benchmarks" for measuring progress toward these goals is increasing average scores of students and graduates on standardized tests such as the ACT, SAT or Graduate Record Examination (GRE). Tennessee uses such results as part of its criteria for rewarding colleges that demonstrate improvement. Funds are allocated on the basis of results from the ACT-COMP, which measures the general education component of the curriculum. Questions remain, however, about whether the results of a single test are an appropriate basis for the allocation of funds.



# Why is it so difficult to collect summary information about the effectiveness of the higher education system?

A: Problems in collecting appropriate information stem partly from weaknesses in standardized tests. Such tests are rarely sensitive to differences in campuses and students and are limited in their usefulness for assessing complex college outcomes. The difficulty of the task, however, should not prevent officials from pressing forward on how best to assess outcomes common to all college graduates.

A second difficulty in collecting summary information about college outcomes stems from the fact that assessment, for the most part, has taken hold at the college department and program levels and not across campus. Because assessme activity is so confined, state policy makers must continue to press for more campus involvement and the development and use of campuswide assessments. This push might yield more summary information that can be used both to make campuswide improvements in teaching and learning and to help state policy makers improve the system of higher education.

### Does assessment require additional money?

A: Some states have provided colleges with additional funds to implement assessment initiatives. But most of the resources have come from colleges themselves. State policy makers increasingly argue that collecting information about results should be a natural part of the education process and is a hallmark of good institutional management; they are reluctant to fund assessment as an "add-on" activity. Further, they fear that "add-ons" will be dropped when special funding ceases. New dollars may be required, however, to follow up on what assessment results reveal. Policy makers should consider whether they are ready to invest or reallocate resources toward improving campus weaknesses, once they are identified.



### How have states used assessment results?

A: The predominant use of assessment results has been at the local level—within college departments and programs—to improve teaching. Most state policy makers believe that by requiring colleges to design and operate their own assessment programs, with an emphasis on involving full-time faculty, improved teaching will follow. Keeping a focus on improvement, state officials often ask colleges to report what actions they have taken on the basis of assessment evidence.

Beyond this primary purpose, some states have used assessment results in the following ways:

- To determine strengths or weaknesses in the state's higher education system. Often assessment results help state officials identify problems that need to be addressed systematically across all campuses. Examples of the weaknesses identified from assessment results include low quantitative skills of entering college students, low minority student achievement and lack of articulation between two- and four-year colleges. Such findings help policy makers and college leaders decide where available discretionary resources might best be spent and what steps they should take to track progress in remedying weaknesses.
- To help target available resources. In some cases, state leaders use results to guide investment, for example, in challenge grant or incentive grant programs targeted at particular issues or innovations. In other cases, they use assessment results to reward colleges that demonstrate improvement or better-than-average performance.
- To enforce minimum standards of achievement. Basic skills examinations given on entrance to college, or between the sophomore and junior year in usually require a minimum level of performance. While such tests rarely are used to bar student progress, results of such examinations often are used to direct students to certain levels of study and to send a strong signal to the public that minimum standards are being upheld.



To report to the public regarding "return on investment." Overall assessment results are frequently the topic of a state's periodic report to the public about the condition of higher education. In most cases, this report requires disclosure of key results on a statewide basis, where appropriate, or in the form of campus summaries. The primary intent is to assure funding authorities and the public that tax dollars invested in higher education are well spent. A secondary intent is "consumer protection" — to assure students and their parents that they are receiving a good college education.

These basic uses of assessment often occur in tandem, and many state approaches combine, in one way or another, all four.

#### **Enhancing College Effectiveness**

- Virginia colleges use assessment results to improve teaching on individual campuses. Results are summarized biannually for the public. The State Council of Higher Education uses the results to target improvement initiatives and incentive grants.
- Colorado colleges also use assessment results individually, and state authorities use them in allocating "funds for excellence" awards to exemplary college programs.
- In Tennessee, assessment results are used to allocate up to 5.45% of instructional resources to colleges on the basis of their performance against established standards. Summary results are reported to the legislature and the public to demonstrate "return on investment."
- Texas and New Jersey use assessment results to place entering college students in programs for which they are best prepared and to help alleviate detected weaknesses.
   In Florida, entering students are tested in reading, writing and computation, and all must achieve minimum standards in these areas before entering upper-division courses.
- New Jersey previously used results of a general assessment of college-level thinking skills to report to the public on the effectiveness of state colleges. An additional objective was to pinpoint the problems that additional state funding might address.



# How can state policy makers ensure that assessment is not isolated from other policies related to higher education?

A: If assessment stands alone or is in conflict with other policies, little will be accomplished. Assessment should be linked with other levers for change, such as review or approval of campus missions and programs or budgets.

State leaders must avoid policy that sends colleges conflicting signals. In a number of states with assessment initiatives, colleges report that while assessment policies created incentives to direct resources and attention toward improved teaching, budgetary incentives embedded in other state programs led in other directions.

Evaluating higher education policies to determine their cumulative effect on improving higher education is a valuable step. ECS, through its project, "State Policy and Higher Education's Commitment to Student Learning," is developing a guide to help states, university systems and colleges 'audit" the impact of policies on teaching and learning.

We need concerted state attention to the ways state behaviors enhance or detract from the undergraduate function.

— Theodore Marchese, American Association for Higher Education 1989

### How can state policy makers determine if assessment programs are working as intended?

**A**: The success of state-mandated assessment is best seen in what colleges do. For example:

- Do colleges reallocate local resources to address what assessment results suggest should be done?
- Do colleges invest more resources in undergraduate education through such mechanisms as faculty development or the use of full-time faculty in freshman and lower-division teaching assignments?
- Do colleges routinely communicate assessment results to their governing or coordinating boards and to state officials, even when this is not explicitly requested?

Answering such questions will begin to show whether assessment is on track as a way to improve teaching and learning in college.





hile assessment practices are widespread on college campuses, there is little cuidence to suggest that they have transformed colleges. Campus leaders are often unable and/or unwilling to answer straightforward, tough questions about what students are learning. State leaders have a short memory when it comes to asking the important questions patiently, persistently and consistently and making these questions a continuing priority.

The assessment movement is at a crossroads. Although officials at college after college are talking and thinking about assessment, such conversations are not enough. What is needed is a renewed commitment to asking the right questions, insisting on answers and pressing for action.

Through assessment policy, states can create incentives that encourage and support colleges in restructuring their undergraduate programs in ways that improve teaching and learning. Yet, policy and incentives alone cannot accomplish what the states, and the nation, require as they move into the 21st century. To be effective, college and political leaders in every state must understand that higher education must be improved and that assessment is a powerful policy tool states can use to stimulate needed change.





#### · Quishors Lo Ask About Assissment

- What is the primary purpose of assessment policy?
- How will this purpose be consistently communicated to the public and to college and university leaders?
- How does assessment policy fit in with the wider state agenda for improving undergraduate education?
- How and when should the state raise the question of what all college graduates should know and be able to do?
- How will the state use assessment results and how will their use affect other state policy areas, such as resource allocation, faculty/staff policies or program review?
- What kinds of state incentives are available to encourage campuses to assess themselves?
- How will the state ensure that the timeline for implementation of assessment policy is sufficient?
- How and in what forums will the results of assessment be communicated to the public?



### Whire to Learn More

- ECS maintains a higher education clearinghouse and has numerous publications dealing with assessment. See the order form in the back of this document or write: Distribution Center, ECS, 707 17th Street, Suite 2700, Denver, Colorado 80202 or call 303-299-3692 for more information.
- The AAHE Assessment Forum maintains a resource library and network of assessment practitioners. For information on how various campuses have responded to state directives to conduct outcomes-based assessment of student learning, write: AAHE Assessment Forum, One Dupont Circle, Suite 600, Washington, DC 20036.
- The Center for Assessment Research and Development at the University of Tennessee at Knoxville offers training and materials related to conducting assessments. Center staff also can answer questions about choosing and using assessment instruments and methods. Contact the center at 1819 Andy Holt Avenue, University of Tennessee, Knoxville, TN 37996-4350.
- Assessment Update is a quarterly newsletter containing information on recent developments, opinions and new publications related to assessment. Subscriptions are \$60 a year from Jossey-Bass, Inc., Publishers, 350 Sansome Street, San Francisco, CA 94104-1310.
- The American Council on Education (ACE) conducts an annual survey on changes taking place in the academic and administrative practices (including assessment) of American colleges and universities. For a copy of the annual publication, *Campus Trends*, write: ACE, Division of Policy Analysis and Research, One Dupont Circle, N.W., Washington, D.C. 20036-1193.



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