UNIVERSITY OF CALIFORNIA   ACADEMIC SENATE
COMMITTEE ON AFFIRMATIVE ACTION AND DIVERSITY

Notice of Meeting
Thursday, June 20, 2013
10:00 a.m. – 4:00 p.m.
UCOP, 1111 Franklin Street, Oakland, CA -- Room 5320
Primary Dial-In: 1-866-740-1260   Passcode: 9879483

AGENDA

Action	Item		Enclosures
Information **10:00-10:25**	**I.**	**Chair's Report/Announcements/Updates** *Chair Manuela Martins-Green*	**1-3** **(pp. 1-45)**
Action **10:25- 10:30**	**II.**	**Consent Calendar** • Approval of the Draft Minutes from the April 18, 2013 Meeting • Approval of the Agenda *ACTION REQUESTED: Approve the draft minutes and agenda.*	**4** **(pp. 46-49)**
Action **10:30-11:00**	**III.**	**White Paper: Implementing APM 210.1.d** *Chair Manuela Martins-Green* *The committee will discuss how to best structure the APM 210.1.d White Paper for use by the campus CAAD committees.* *ACTION REQUESTED: The committee will agree on the the best language so that the White Paper can be finalized and sent to the campus CAADs.*	**5** **(pp. 50-52)**
Action **11:00-11:15**	**IV.**	**Endorsement: Climate and Diversity Group Recommendations** *Chair Manuela Martins-Green* *The committee will determine which specific recommendations it would like to officially endorse.* *ACTION REQUESTED: The committee will determine which recommendations from the Climate and Diversity Reports it would like to officially endorse.*	**6** **(53-55)**
Information **11:15- 12:00**	**V.**	**Announcements from the President's Office** *Susan Carlson, Vice Provost* *The Vice Provost will provide the committee with an update on the ADVANCE projects and on UC Recruit. She would also like to know the status of the APM 210.1.d White Paper*	
Working Lunch/ Information 12:00-1:00	**VI.**	**Consultation with Academic Senate Leadership** *William Jacob, Academic Council Vice Chair*	

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Any review or distribution by others is strictly prohibited.

Information/ **Discussion** **1:00- 2:00**	**VII. Creation of Regents' Fellowship** *Chair Manuela Martins-Green* *Graduate Studies Director Pamela Jennings* *The committee will discuss the creation of a Regents' Graduate Student* *Fellowship to increase diversity and will suggest language for its* *development.*	**7-8** **(pp. 56-62)**
Action **2:00-3:00**	**VIII. Mentorship Paper** *Chair Manuela Martins-Green* *The committee will discuss how to best compile the various mentorship* *documents for submission to the Academic Council for endorsement* *and subsequent distribution to the division chairs and to the campus* *provosts.* _**ACTION REQUESTED**: **The committee will determine the structure** **and content of the Mentorship Paper, and will determine next steps in** **its disbursement.**_	**9** **(63-67)**
Information/ **Discussion** **3:00-3:30**	**IX. Announcements from the President's Office** *Jesse Bernal, Diversity Coordinator* *The Diversity Coordinator will provide the committee with an update* *on the campus response statistics to the Campus Climate Survey.*	
Information/ **Discussion** **3:30-3:45**	**X. Consultation with Academic Senate Leadership** *Robert Powell, Academic Council Chair*	
Discussion **3:45-4:00**	**XI. New Business** *Campus representatives*	

Agenda Enclosures:

1. MMG Follow-Up Letter to Regent Ruiz. (pp. 1-19)
2. Robert Powell Letter to Vice Provost Carlson: Faculty Salary Equity Plans. (pp. 20-21)
3. Regents' Item E1 (May 15, 2013 Meeting). (pp. 22-45)
4. Draft Minutes of the Meeting of April 18, 2013. (pp. 46-49)
5. Draft: White Paper: APM 210.1.d (pp. 50-52)
6. Draft: MMG Letter to Council: Endorsement of Diversity Recommendations
7. Systemwide Diversity Student Support Program Guidelines (pp. 53-58)
8. Brief Overview: Historically Black Colleges and Universities Initiative (p. 59)
9. Draft: Mentoring and Being Mentored

Important Meeting Information

Location: The May 1 meeting will convene in Room 5320 at the UC Office of the President in downtown Oakland. UCOP is located at 1111 Franklin Street, between 11th and 12th Streets. Upon arrival, please check in at the security desk where you will be issued a visitor badge. Online directions and a map are available at: http://www.ucop.edu/services/directions-franklin.html.

If you are arriving by way of the Oakland airport, you may taxi or BART to the UCOP building. For BART, purchase an AirBART shuttle ticket from the ticket machines located at terminal exits. The shuttle will take you to the Coliseum BART station. From there take a Richmond-bound train and exit at the 12th Street/Oakland City Center Station.

Parking: Parking is available at 989 Franklin Street for $8/day if you park before 10 AM. Visitor parking is also available at UCOP on the 12th Street side of the building for $11/day if you enter the parking structure before 9:00a.m. Daily parking is also available at a number of lots in the building vicinity.

Travel Regs: Detailed travel information (booking travel and receiving reimbursements) is available online at:

http://www.universityofcalifornia.edu/senate/resources/

Please submit completed and signed travel voucher with original receipts within 21 days after the meeting to:

Business Resource Center - Team Blue
University of California Office of the President
1111 Franklin Street 9th floor
Oakland, CA 94607-5200

Account/Fund Number: M-430384-69085-03

UNIVERSITY OF CALIFORNIA, ACADEMIC SENATE

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June 12, 2013

REGENT FRED RUIZ
OFFICE OF THE REGENTS

Dear Regent Ruiz:

On behalf of the University of California Affirmative Action and Diversity (UCAAD) committee, I would like to thank you again for taking the time to meet with the committee at its meeting on April 18th.

As you requested, we have compiled a concise packet of reference materials related to the University's diversity policies and practices. I have also included some of the information from my PowerPoint presentation I prepared for the meeting.

Included please find:
1. Framework to Increase Faculty Diversity at the University of California
2. Briefing Paper: Promising Practices for Faculty Diversity
    (Please note: UCAAD particularly supports Practices 1, 3, 4, 6 and 11).
3. Regents' Policy 4400: University of California Diversity Statement
4. APM 210.1.d
5. Evaluating Contributions to Diversity for Faculty Appointment Under APM 210.
6. APM 240
7. APM 245

I have deliberately kept these materials as brief as possible for your convenience. However, if you would like additional information or expanded documentation, please do not hesitate to ask.
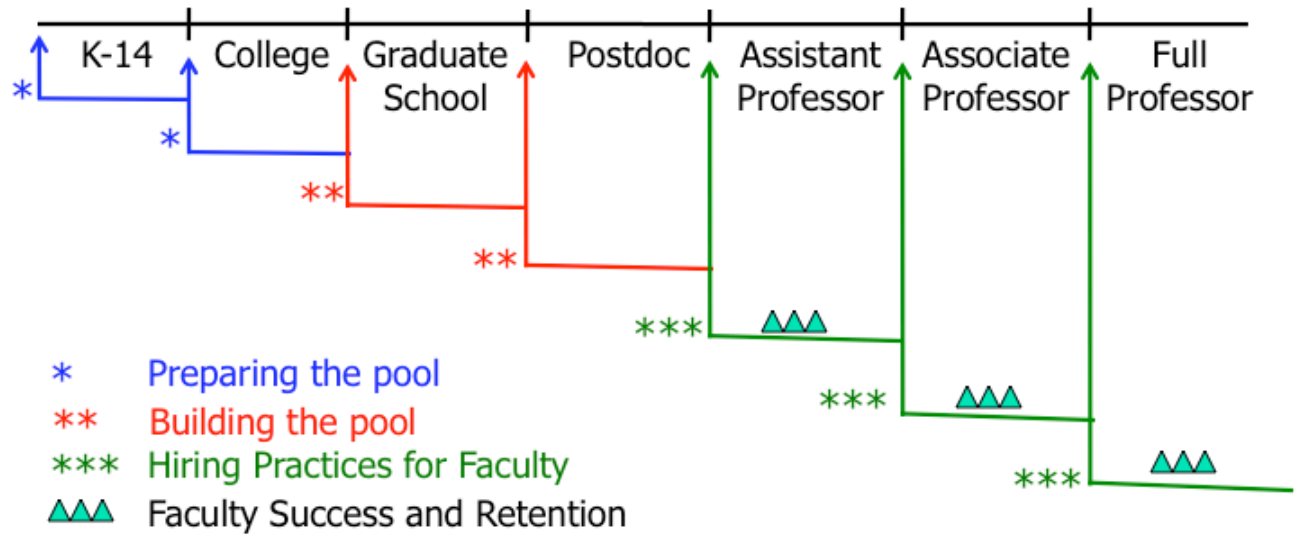
We are also working on your request that we develop language for a Regents Diversity Fellowship to increase the pipeline to build the diversity of the UC faculty. This document will come at a later date.

Thank you very much for your support. UCAAD very much looks forward to continuing its cooperative efforts with you to increase diversity of the UC faculty in the year to come.

Sincerely,

Manuela Martins-Green, Chair
University Committee on Affirmative Action and Diversity

Framework to Increase Faculty Diversity at the UC

K-14 | College | Graduate School | Postdoc | Assistant Professor | Associate Professor | Full Professor

*   * Preparing the pool
*   ** Building the pool
*   *** Hiring Practices for Faculty
*   △△△ Faculty Success and Retention

Critical to improve diversity in the faculty: Administration (Chancellor, EVCP, Deans, Chairs) and faculty commitment

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The schematic above depicts the various levels that we need to engage in order to truly increase diversity of the University of California Faculty. Many of the programs indicated below are national programs used by the UC but some are strictly UC programs. The latter will be appropriately identified.

* Preparing the Pool

K-14 – programs such as:
➢ CHAMPS (Climbing Higher with the Academy for Mathematics + Science) -- is a summer program for middle school students that gives them a stimulating environment for inquiry and provides hands-on experiences.
➢ GEMS (Girls Excelling in Mathematics with Success) – similar program but for girls
➢ THE SCIENCE SQUAD, developed by the Biological Sciences Initiative (BSI) is an outreach program that supports university science and engineering graduate students to give interactive, hands-on science presentations in area K–12 schools. According to its mission statement, the BSI seeks to "increase the number of students interested in careers in the biological or medical sciences, to strengthen their biology education, and especially to encourage minority and women students entering the sciences".
➢ Teaching teachers how to engage, stimulate and encourage students to become curious about the world around them. E.g MATE (Mathematics Academy for Teaching Excellence).
➢ Programs to encourage Community College students to go into teaching careers. E.g AURORA

College – Programs such as:
➢ UCLEADS (UC **L**eadership **E**xcellence through **A**dvanced **D**egree**S**) program prepares promising students for advanced education in STEM. These students come from disadvantaged backgrounds
➢ **MARC U STAR** (Minority Access to Research Careers Undergraduate Student Training in Academic Research). The purpose of the Program is to encourage under-represented minority students in the sciences to pursue graduate research leading to a Ph.D., M.D./Ph.D. or other combined professional degree/Ph.D.

** Building the pool

Graduate School – Programs such as:

➢ DSSP (Diversity Student Support Program) – It is a UC program that supports graduate students at various levels:
  (a) Graduate fellowships to support students in the early and mid portion of their graduate student careers.
  (b) Faculty-mentored research stipends to enable graduate students to improve research skills and to support dissertation-related research.
  (c) Dissertation-year fellowships for students in the final year of doctoral work.

➢ AGEP (Alliances for Graduate Education and the Professoriate) -- NSF funds AGEP. The primary goals of AGEP are:
  (a) To significantly increase the number of underrepresented minorities (i.e., African Americans, Hispanics, American Indians, Alaska Natives, and Native Hawaiians or other Pacific Islanders) obtaining graduate degrees in the STEM fields.

(b) To enhance the preparation of underrepresented minorities for faculty positions in academia.

➢ CAMP (California Alliance for Minority Participation) – is a program designed for students in the Science, Technology, Engineering, and Mathematics [STEM] fields pursuing graduate (Master/Doctoral) degrees.

➢ NSF Graduate Research Fellowship Program (GRFP)

➢ NIH pre-doctoral NRSA and non-NRSA fellowships

Postdoctoral Fellows – Programs
Growing our own at UC
- President's Postdoctoral Fellowship Program (PPFP)
- Chancellor's Postdoctoral Fellowship Program (CPFP)
- Postdoctoral Fellows from the UC Pool (PFUCP)

From other institutions
- NIH NRSA fellows
- NSF postdoctoral fellows and more (http://www.spo.berkeley.edu/fund/biopostdoc.html)

***Hiring Practices for Faculty**

1. *Resource allocation as an incentive*
2. *Search Committees* – must have diverse composition and guidelines to obtain a pool enriched in woman and URM and then give them the opportunity to interview if they are just below the cutoff. Committees must be aware of APM 210-1.d. Each committee should have a member in charge of making sure this happens.
3. *Department Chairs* – must be informed of the Regents' statement on diversity and become advocates for it. Must implement APM 210-1.d. They must be held accountable through APM 245.
4. *Faculty* -- must be made aware of APM 210-1.d when discussing new faculty appointments. Weighing diversity as positive attribute -- making diversity a mandatory element of short- and long-term planning.
5. *Deans* -- must be informed of the Regents statement on diversity and become advocates for it. Must implement APM 210-1.d. They must be held accountable through APM 240.
6. *Recruit President's and Chancellor's Postdoctoral Fellows* and Home-Grown Postdoctoral scholars (Postdoctoral Fellows from the UC Pool).
7. *Spousal hire when needed* – e.g., Higher Education Recruitment Consortium (HERC), Alumni Associations, local Foundations.
8. *Hires* at Associate and Professor levels should consider mentoring activities and contributions to diversity as criteria.
9. *EVC/Provosts must hold Deans accountable, Chancellors must hold EVC/Provosts accountable and the President must hold the Chancellors accountable*.

▲▲▲ **Faculty Success and Retention Practices**

1. Faculty inclusion and improved climate -- enrichment programs that lead to faculty satisfaction and a sense of belonging.
2. Campus Climate Surveys and Exit Interviews
3. Analysis and Reporting on Ranking and Salary Equity should be performed in a consistent manner.

4. Reward for Faculty that Make Special Efforts to increase Diversity on Campus.
   - Merit and promotion system
   - Specific Awards for faculty who make a difference
5. Faculty Career Development Awards
6. Mentorship Programs with Financial Support and Recognition for Mentors
7. Support programs such as:
   - Workshops
   - URM and Women's centers

UNIVERSITY OF CALIFORNIA, OFFICE OF THE PRESIDENT
PRESIDENT'S ADVISORY COUNCIL ON CAMPUS CLIMATE, CULTURE, AND
INCLUSION
Faculty Diversity Working Group

BRIEFING PAPER: PROMISING PRACTICES FOR FACULTY DIVERSITY

The Faculty Diversity Working Group was one of five groups created by President Yudof in December 2010. The purpose of the Group was to report to the Council and "recommend measures of progress, mechanisms for accountability, and advice regarding best practices" on issues related to faculty hiring, contributions to equity and diversity, and administrative structures and accountability.

One of the Working Group's initial premises was that there continues to exist a pressing need to diversify the UC faculty with regard to women and individuals from historically underrepresented minority (LIRM) communities. The University's ability to fulfill that need becomes even more pressing in the current budgetary environment.

Importance of Faculty Diversity for Campus Climate: The Working Group's hypothesis that there is a strong correlation between the presence of women and URM faculty and a positive campus climate was informed by contemporary research on climate issues. For example, UCLA professor Daniel Soldrzano and his colleagues write: "Faculty and administration who are open and responsive to concerns of people of color and other marginalized groups help define and create a healthy climate!" Moreover, the scholarly literature finds that "students engage with race and ethnicity not just in the curriculum but also through the people whom they encounter during college... Interactions with faculty and administrators of a different race or ethnicity may be particularly important in securing the advantages of diversity." Structural diversity among faculty, or the number of diverse faculty, has an influence on a campus's institutional climate because of faculty's ability to influence the campus environment over time.

The Faculty Diversity Working Group provides eleven practices and recommendations for review and discussion by the President's Advisory Council on Campus Climate, Culture, & Inclusion and the local campus climate councils. The Working Group considers these findings relevant not only for racial and ethnic groups, but also for gender, sexuality, and religion-based identities.

Systemwide-Level Best Practices and Recommendations

Practice #1: Fully Implement Academic Personnel Policy Section 210 (APM —210), Review and Appraisal Committees
Remind each campus that APM 210 was approved by the entire Senate and charge each campus to devise strategies for the implementation of APM 210 as criteria for appointment and promotion of faculty. The implementation process may take different forms at the various micro-levels of division, school, or department.

Practice #2: Provide Training for Members of Committee on Academic Personnel/Budget Committees
The Working Group recommends that training be developed regarding evaluating faculty contributions to diversity.

Practice #3: Accountability Reports on Diversity of Key Senate Committee Compositions
The Working Group recommends making available to appropriate Senate committees on each campus accountability reports, prepared by this Working Group, that identify URM and gender composition of

Budget/Academic Personnel committees over a five year period. Also, continue the collection of faculty search data (candidate pool and finalist demographics and search committee make-up) after this initial year.

Practice #4: Selection and Review of Provosts, Deans and Chairs and Annual Reports
The Working Group recommends integrating diversity and equity issues into the criteria for selection, appointment, reviews, and promotion of Provosts and Deans or Chairs. We recommend that UCOP require Annual Reports from the Chancellors on diversity and equity progress in these senior management positions. Additionally, we recommend that Provosts, Deans, and Department Chairs submit Annual Reports to the Chancellor to describe diversity and equity activities and progress.

Practice #5: Funding for a Reward Pool of FTE
The Working Group recommends established funding for a reward pool for campuses making noteworthy progress on faculty diversity issues.

Practice #6: President's Postdoctoral Fellowship Program
The President's Postdoctoral Fellowship program is one of the most successful programs for diversifying the faculty. Funding should be restored for this program as well as the UC Diversity Pipeline Initiative for the Health Sciences.

Practice #7: Update the UCOP 2002 Affirmative Action Guidelines for the Recruitment and Retention of Faculty Brochure
The Working Group recommends that Academic Personnel update this communication tool to include the following among other items: 1) UC Diversity Statement (2007, Regents), 2) Diversity activities relevant for the appointment and promotion of faculty in (APM 210) of Deans (APM 240), and of Chairs (APM 245), 3) Implementation methods and evaluation methods for diversity activities in APM 210, 240, and 245.

<u>**Campus-Level Practices**</u>

Practice #8: Crediting Contributions to Diversity
Encourage the adoption at each campus of a hybrid approach to the reporting of contributions to diversity. First, each file will catalogue relevant activities in the three basic areas of research, teaching, and service (the so-called integrative method), with contributions to diversity flagged by a double asterisk. Secondly, each bio-bib form and/or candidate's statement will include a diversity narrative box in which faculty members highlight diversity efforts, drawing from the activities in the three areas of responsibility (stand-alone method). This combination of the two methods for identifying contributions to diversity will be referred to as the "hybrid" method.

Practice #9: One-time half or whole step increase for extraordinary contributions to diversity
Allow for awarding a one-time half or whole step increase for exceptional service related to diversity and equity activities.

Practice #10: Central Diversity Office
Each campus would consider establishing a central Office of Equity, Diversity, and Inclusion with appropriate staffing and resources at each campus, with direct access to the Chancellor and Budget Committee.

Practice #11: Cluster Hiring
Encourage "cluster hiring" of URM and female faculty in areas where they are below the national eligibility pool.REGENTS' POLICY 4400: UNIVERSITY OF CALIFORNIA DIVERSITY STATEMENT
Adopted September 20, 2007
Adopted as Amended September 15, 2010

UNIVERSITY OF CALIFORNIA DIVERSITY STATEMENT

RECOMMENDED TO THE UNIVERSITY OF CALIFORNIA BY THE ACADEMIC SENATE OF THE
UNIVERSITY OF CALIFORNIA

Adopted by the Assembly of the Academic Senate May 10, 2006
Endorsed by the President of the University of California June 30, 2006
Adopted as Amended by the Assembly of the Academic Senate April 22, 2009
Endorsed as Amended by the President of the University of California August 17, 2010

The diversity of the people of California has been the source of innovative ideas and creative accomplishments throughout the state's history into the present. Diversity – a defining feature of California's past, present, and future – refers to the variety of personal experiences, values, and worldviews that arise from differences of culture and circumstance. Such differences include race, ethnicity, gender, age, religion, language, abilities/disabilities, sexual orientation, gender identity, socioeconomic status, and geographic region, and more.

Because the core mission of the University of California is to serve the interests of the State of California, it must seek to achieve diversity among its student bodies and among its employees. The State of California has a compelling interest in making sure that people from all backgrounds perceive that access to the University is possible for talented students, staff, and faculty from all groups. The knowledge that the University of California is open to qualified students from all groups, and thus serves all parts of the community equitably, helps sustain the social fabric of the State.

Diversity should also be integral to the University's achievement of excellence. Diversity can enhance the ability of the University to accomplish its academic mission. Diversity aims to broaden and deepen both the educational experience and the scholarly environment, as students and faculty learn to interact effectively with each other, preparing them to participate in an increasingly complex and pluralistic society. Ideas, and practices based on those ideas, can be made richer by the process of being born and nurtured in a diverse community. The pluralistic university can model a process of proposing and testing ideas through respectful, civil communication. Educational excellence that truly incorporates diversity thus can promote mutual respect and make possible the full, effective use of the talents and abilities of all to foster innovation and train future leadership.

Therefore, the University of California renews its commitment to the full realization of its historic promise to recognize and nurture merit, talent, and achievement by supporting diversity and equal opportunity in its education, services, and administration, as well as research and creative activity. The University particularly acknowledges the acute need to remove barriers to the recruitment, retention, and advancement of talented students, faculty, and staff from historically excluded populations who are currently underrepresented.

210-1 **Instructions to Review Committees Which Advise on Actions Concerning Appointees in the Professor and Corresponding Series**
The following instructions apply to review committees for actions concerning appointees in the Professor series and the Professor in Residence series; and, with appropriate modifications, for appointees in the Adjunct Professor series.

d. **Criteria for Appointment, Promotion, and Appraisal**
The review committee shall judge the candidate with respect to the proposed rank and duties, considering the record of the candidate's performance in (1) teaching, (2) research and other creative work, (3) professional activity, and (4) University and public service. In evaluating the candidate's qualifications within these areas, the review committee shall exercise reasonable flexibility, balancing when the case requires, heavier commitments and responsibilities in one area against lighter commitments and responsibilities in another. The review committee must judge whether the candidate is engaging in a program of work that is both sound and productive. As the University enters new fields of endeavor and refocuses its ongoing activities, cases will arise in which the proper work of faculty members departs markedly from established academic patterns. In such cases, the review committees must take exceptional care to apply the criteria with sufficient flexibility. However, flexibility does not entail a relaxation of high standards. *Superior intellectual attainment, as evidenced both in teaching and in research or other creative achievement, is an indispensable qualification for appointment or promotion to tenure positions.* Insistence upon this standards for holders of the professorship is necessary for maintenance of the quality of the University as an institution dedicated to the discovery and transmission of knowledge. Consideration should be given to changes in emphasis and interest that may occur in an academic career. The candidate may submit for the review file a presentation of his or her activity in all four areas.

The University of California is committed to excellence and equity in every facet of its mission. Teaching, research, professional and public service contributions that promote diversity and equal opportunity are to be encouraged and given recognition in the evaluation of the candidate's qualifications. These contributions to diversity and equal opportunity can take a variety of forms including efforts to advance equitable access to education, public service that addresses the needs of California's diverse population, or research in a scholar's area of expertise that highlights inequalities. Mentoring and advising of students or new faculty members are to be encouraged and given recognition in the teaching or service categories of academic personnel actions.

The criteria set forth below are intended to serve as guides for minimum standards in judging the candidate, not to set boundaries to exclude other elements of performance that may be considered.

(1) **Teaching** — Clearly demonstrated evidence of high quality in teaching is an essential criterion for appointment, advancement, or promotion. Under no circumstances will a tenure commitment be made unless there is clear documentation of ability and diligence in the teaching role. In judging the effectiveness of a candidate's teaching, the committee should consider such points as the following: the candidate's command of the subject; continuous growth in the subject field; ability to organize material and to present it with force and logic;

capacity to awaken in students an awareness of the relationship of the subject to other fields of knowledge; fostering of student independence and capability to reason; spirit and enthusiasm which vitalize the candidate's learning and teaching; ability to arouse curiosity in beginning students, to encourage high standards, and to stimulate advanced students to creative work; personal attributes as they affect teaching and students; extent and skill of the candidate's participation in the general guidance, mentoring, and advising of students; effectiveness in creating an academic environment that is open and encouraging to all students, including development of particularly effective strategies for the educational advancement of students in various underrepresented groups. The committee should pay due attention to the variety of demands placed on instructors by the types of teaching called for in various disciplines and at various levels, and should judge the total performance of the candidate with proper reference to assigned teaching responsibilities. The committee should clearly indicate the sources of evidence on which its appraisal of teaching competence has been based. In those exceptional cases when no such evidence is available, the candidate's potentialities as a teacher may be indicated in closely analogous activities. In preparing its recommendation, the review committee should keep in mind that a redacted copy of its report may be an important means of informing the candidate of the evaluation of his or her teaching and of the basis for that evaluation.

It is the responsibility of the department chair to submit meaningful statements, accompanied by evidence, of the candidate's teaching effectiveness at lower-division, upper-division, and graduate levels of instruction. More than one kind of evidence shall accompany each review file. Among significant types of evidence of teaching effectiveness are the following: (a) opinions of other faculty members knowledgeable in the candidate's field, particularly if based on class visitations, on attendance at public lectures or lectures before professional societies given by the candidate, or on the performance of students in courses taught by the candidate that are prerequisite to those of the informant; (b) opinions of students; (c) opinions of graduates who have achieved notable professional success since leaving the University; (d) number and caliber of students guided in research by the candidate and of those attracted to the campus by the candidate's repute as a teacher; and (e) development of new and effective techniques of instruction, including techniques that meet the needs of students from groups that are underrepresented in the field of instruction.

All cases for advancement and promotion normally will include: (a) evaluations and comments solicited from students for most, if not all, courses taught since the candidate's last review; (b) a quarter-by-quarter or semester-by-semester enumeration of the number and types of courses and tutorials taught since the candidate's last review; (c) their level; (d) their enrollments; (e) the percentage of students represented by student course evaluations for each course; (f) brief explanations for abnormal course loads; (g) identification of any new courses taught or of old courses when there was substantial reorganization of approach or content; (h) notice of any awards or formal mentions for distinguished teaching; (i) when the faculty member under review wishes, a self-evaluation of his or her teaching; and (j) evaluation by other faculty members of teaching effectiveness. When any of the information specified in this paragraph is not provided, the department chair will include an explanation for that omission in the candidate's dossier. If such information is not included with the letter of recommendation and its absence is not adequately accounted for, it is the review committee chair's responsibility to request it through the Chancellor.

(2) **Research and Creative Work** — Evidence of a productive and creative mind should be sought in the candidate's published research or recognized artistic production in original architectural or engineering designs, or the like.

Publications in research and other creative accomplishment should be evaluated, not merely enumerated. There should be evidence that the candidate is continuously and effectively engaged in creative activity of high quality and significance. Work in progress should be assessed whenever possible. When published work in joint authorship (or other product of joint effort) is presented as evidence, it is the responsibility of the department chair to establish as clearly as possible the role of the candidate in the joint effort. It should be recognized that special cases of collaboration occur in the performing arts and that the contribution of a particular collaborator may not be readily discernible by those viewing the finished work. When the candidate is such a collaborator, it is the responsibility of the department chair to make a separate evaluation of the candidate's contribution and to provide outside opinions based on observation of the work while in progress. Account should be taken of the type and quality of creative activity normally expected in the candidate's field. Appraisals of publications or other works in the scholarly and critical literature provide important testimony. Due consideration should be given to variations among fields and specialties and to new genres and fields of inquiry.

Textbooks, reports, circulars, and similar publications normally are contributions by faculty members to the professional literature or to the advancement of professional practice or professional education, including contributions to the advancement of equitable access and diversity in education, should be judged creative work when they present new ideas or original scholarly research.

In certain fields such as art, architecture, dance, music, literature, and drama, distinguished creation should receive consideration equivalent to that accorded to distinction attained in research. In evaluating artistic creativity, an attempt should be made to define the candidate's merit in the light of such criteria as originality, scope, richness, and depth of creative expression. It should be recognized that in music, drama, and dance, distinguished performance, including conducting and directing, is evidence of a candidate's creativity.

(3) **Professional Competence and Activity** — In certain positions in the professional schools and colleges, such as architecture, business administration, dentistry, engineering, law, medicine, etc., a demonstrated distinction in the special competencies appropriate to the field and its characteristic activities should be recognized as a criterion for appointment or promotion. The candidate's professional activities should be scrutinized for evidence of achievement and leadership in the field and of demonstrated progressiveness in the development or utilization of new approaches and techniques for the solution of professional problems, including those that specifically address the professional advancement of individuals in underrepresented groups in the the candidate's field. It is responsibility of the department chair to provide evidence that the position in question is of the type described above and that the candidate is qualified to fill it.

(4) **University and Public Service** — The faculty plays an important role in the administration of the University and in the formulation of its policies. Recognition should therefore be given to scholars who prove themselves to be able administrators and who participate effectively and imaginatively in faculty government and the formulation of departmental, college, and

University policies. Services by members of the faculty to the community, State, and nation, both in their special capacities as scholars and in areas beyond those special capacities when the work done is at a sufficiently high level and of sufficiently high quality, should likewise be recognized as evidence for promotion. Faculty service activities related to the improvement of elementary and secondary education represent one example of this kind of service. Similarly, contributions to student welfare through service on student-faculty committees and as advisers to student organizations should be recognized as evidence, as should contributions furthering diversity and equal opportunity within the University through participation in such activities as recruitment, retention, and mentoring of scholars and students.

The Standing Orders of The Regents provide: "No political test shall ever be considered in the appointment and promotion of any faculty member or employee." This provision is pertinent to every stage in the process of considering appointments and promotions of the faculty.

Evaluating Contributions to Diversity for Faculty Appointment and Promotion Under APM-210

Summary
The University of California remains dedicated to building a more diverse faculty, particularly those from under-represented racial and ethnic populations in the U.S. In the near future, a more diverse faculty will be an increasingly important measure of a great university.

Adhering to Academic Personnel Policy governing faculty appointment and promotion (APM – 210) is one method by which the University of California can recruit and retain a diverse faculty: policy requires that faculty contributions to diversity receive recognition and reward in the academic review process. APM-210-1-d provides clear guidance for both review and appointment of a faculty that is dedicated to the diverse goals of UC.

Examples of accomplishments meriting recognition in teaching, research and other creative work, professional activity, and University and public service are provided below.

Background: The Critical Need for Equity and Excellence
Removing the barriers that prevent participation of all qualified people – women, under-represented minorities, veterans, people with disabilities, internationals, the LGBT community – in the science and engineering fields as well as in social sciences, humanities, fine arts, and education is critical to developing an educated workforce with the values, creativity, culture, and perspectives to provide solutions to pressing local, state, national, and international problems.

In its 2007 report, *Beyond Bias and Barriers*, the National Academy of Sciences asserts that the United States must aggressively pursue the innovative capacity of all of its people – women and men, minority and non-minority – to maintain leadership in the global marketplace.

The challenges of recruiting and retaining a diverse faculty vary by discipline. Campus efforts to increase the representation of women and under-represented minorities on the faculty have resulted in limited progress. An overview of the current data reveal these challenges.

- Over the last ten years, women have accounted for an average of 35 percent of UC's Professorial Series new appointments. There is slight progress over the ten year period, from 30 percent in 2000-01 to 35 percent in 2009-10, although availability of women in all disciplines has increased (see the Biennial Accountability Sub-Report on Faculty Competitiveness, http://www.universityofcalifornia.edu/regents/regmeet/jan11/j1.pdf).
At a time when the nation's pool of doctoral degree recipients is showing increasing numbers and percentages of women, outreach and recruitment efforts are not resulting in faculty hires that reflect the changes in national availability pools.

- In 2009, 30 percent of UC's Professorial Series faculty were women, with the highest percentage in Education (52 percent) and the lowest percentages in Engineering/Computer Sciences (13 percent), and Mathematics (14 percent). Women continue to be represented at low levels in STEM (science, technology, engineering, and mathematics) fields.

- Data for under-represented minorities (American Indian/Alaskan Native, African American, Chicano/Latino) shows that UC has hired from these pools of potential faculty at a rate slightly over availability in selected areas (Arts/Humanities, Life Sciences, Education). Overall, under-

represented minorities accounted for 11.3 percent of the pool of nationwide doctoral degree recipients and 12.5 percent of UC's new hires. In the hiring of new Professorial Series faculty over the last decade, under-represented minorities have accounted for an average of nine percent and Asian Americans 17 percent of UC's Professorial Series new appointments.

- In 2009, eight percent of UC's Professorial Series faculty were under-represented minorities and 15 percent were Asian Americans.

Recruitment of both new and established faculty at the University of California draws from a national and international pool of talent; the hiring of assistant, associate, and full professors draws from foreign nationals educated abroad as well as from U.S. and international scholars educated in the U.S. Out of these populations, UC remains dedicated to building a more diverse faculty, particularly those from under-represented racial and ethnic populations in the U.S. In the coming decades, a more diverse faculty will be an increasingly important measure of a great university.

Academic Personnel Policy
To preserve and foster the quality of UC as one of the nation's leading public institutions, it is imperative that peer review committees evaluate the contributions of all faculty in view of the critical need for equity and excellence, as outlined in APM – 210, http://www.ucop.edu/acadpersonnel/apm/apm-210.pdf.

The University of California Academic Personnel Policy governing faculty appointment and promotion (APM – 210) requires that faculty contributions to diversity receive recognition and reward in the academic review process. An excerpt from the policy states:

> **CURRENT LANGUAGE**
> The University of California is committed to excellence and equity in every facet of its mission. Teaching, research, professional and public service contributions **that promote diversity and equal opportunity are to be encouraged and given recognition in the evaluation of the candidate's qualifications.** These contributions to diversity and equal opportunity can take a variety of forms including efforts to advance equitable access to education, public service that addresses the needs of California's diverse population, or research in a scholar's area of expertise that highlights inequalities. Mentoring and advising of students or new faculty members are to be encouraged and given recognition in the teaching or service categories of academic personnel actions.
>
> ***[Because the above language was consider by the CAPS at the various Senate Divisions as ambiguous, this year UCAP and UCAAD worked on new language that has been approved by the Academic Council and is now on the desk of the Vice Provost for Academic Personnel. The **NEW LANGUAGE** is not ambiguous and clearly states that research in issues of diversity must be considered the same way as any other type of research, something that many in this field feel is not happening under the current language].***

University policy states that an individual's race or gender may not be considered in selection for faculty appointment or promotion. However, to recruit and retain faculty who will contribute to the University's diversity mandate, search committees and division Committees on Academic Personnel need to be aware of APM – 210-1-d and *understand how to ensure this policy is being followed*.

Criteria enumerated in APM – 210-d serve as guides rather than boundaries for minimum standards for evaluating performance in (1) teaching, (2) research and other creative work, (3) professional activity, and (4) University and public service:

(1) Teaching

In judging the effectiveness of a candidate's teaching, the committee should consider…[the] extent and skill of the candidate's participation in the general guidance, mentoring and advising of students; effectiveness in creating an academic environment that is open and encouraging to all students, including development of particularly effective strategies for the educational advancement of students in various under-represented groups.

Among significant types of evidence of teaching effectiveness are development of new and effective techniques of instruction, including techniques that meet the needs of students from groups that are under-represented in the field of instruction.

(2) Research and Other Creative Work

Textbooks, reports, circulars, and similar publications normally are considered evidence of teaching ability or public service. However, contributions by faculty members to the professional literature or to the advancement of professional practice or professional education, including contributions to the advancement of equitable access and diversity in education should be judged creative work when they present new ideas or original scholarly work .

(3) Professional Activity

The candidate's professional activities should be scrutinized for evidence of achievement and leadership in the field and of demonstrated progressiveness in the development or utilization of new approaches and techniques for the solution of professional problems, including those that specifically address the professional advancement of individuals in under-represented groups in the candidate's field.

(4) University and Public Service

[C]ontributions to student welfare through service on student-faculty committees and as advisers to student organizations should be recognized as evidence, as should contributions furthering diversity and equal opportunity within the University through participation in such activities as recruitment, retention, and mentoring of scholars and students.

Appointment and Promotion Guidelines

APM-210-1-d provides clear guidance for both review and appointment of a faculty that is dedicated to the diverse goals of UC. Search committees and Committees on Academic Personnel should give appropriate consideration to the following accomplishments demonstrated by a candidate during the academic review process for appointment and promotion. These are examples and not an exhaustive list; other activities may also fit the guidelines described in APM – 210.

(1) Teaching
- Contributions to pedagogies addressing different learning styles, for example: o Designing courses or curricula that meet the needs of educationally disadvantaged students
  - o Developing effective teaching strategies for the educational advancement of students from under-represented groups

- Experience teaching students who are under-represented, for example:
  - o Teaching at a minority-serving institution
  - o Record of success advising women and minority graduate students
  - o Experience teaching students with disabilities

(2) Research and Other Creative Work
- Research contributions to understanding the barriers facing women and minorities in academic disciplines, for example: o Studying patterns of participation and advancement of women and minorities in fields where they are under-represented
  - o Studying socio-cultural issues confronting under-represented students in college preparation curricula
  - o Evaluating programs, curricula, and teaching strategies designed to enhance participation of under-represented students in higher education

- Research interests that will contribute to diversity and equal opportunity, for example, research that addresses: o Race, ethnicity, gender, multiculturalism, and inclusion
  - o Health disparities, educational access and achievement, political engagement, economic justice, social mobility, civil and human rights
  - o Questions of interest to communities historically excluded by higher education
  - o Artistic expression and cultural production that reflects culturally diverse communities or voices not well represented in the arts and humanities

(3) Professional Activity
- Engagement in activity designed to remove barriers and to increase participation by groups historically under-represented in higher education: o Participation in academic preparation, outreach, or tutoring
  - o Participation in recruitment and retention activities
  - o Service as an advisor to programs such as Women in Science and Engineering
  - o Exceptional record mentoring students and junior faculty from groups under-represented in the field
  - o Promoting welcoming classroom environments for students from culturally diverse groups

(4) University and Public Service
- Participation in service that applies up-to-date knowledge to problems, issues, and concerns of groups historically under-represented in higher education: o Engagement in seminars, conferences, or institutes that address the concerns of women and under-represented minorities
  - o Presentations or performances for under-represented communities
  - o Honors, awards, and other forms of special recognition such as commendations from local or national groups or societies representing under-served communities
  - o The application of theory to real-world economic, social, and community development problems
  - o Election to office, or undertaking service to professional and learning societies, including editorial work, or peer reviewing for a national or international organization addressing disparities in access to higher education

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- o Selection for special public service activities and invitations to give talks within the field that address the needs of under-represented or culturally diverse groups
- o Participation in professional or scientific associations or meetings, and presentation of papers related to the needs of communities historically excluded from higher education

UCOP Academic Personnel
September 2011

APPOINTMENT AND PROMOTION **APM – 240 (Excerpt)**

Deans

240-4 **Definitions**

    a.   An academic Dean is head of a Division, College, School, or other similar academic unit and has administrative responsibility for that unit. This assignment includes fiscal responsibility for the unit; responsibility for ensuring diversity of the faculty, students and staff, including maintaining an affirmative action recruitment and retention program consistent with University affirmative action policies, Regental policy and applicable law; and responsibility for ensuring that systemwide and local policies, including Academic Senate regulations, are observed.

Rev. 1/1/10

APPOINTMENT AND PROMOTION **APM - 245**

Department Chairs APPENDIX A

Duties of Department Chairs (or Equivalent Officers)

The chair of a department of instruction and research is its leader and administrative head. Appointed by the Chancellor, the chair is responsible to the Chancellor through the Dean of the college or school.

As leader of the department, the chair has the following duties:

1.   The appointee is in charge of planning the programs of the department in teaching, research, and other functions. The chair is expected to keep the curriculum of the department under review, and to maintain a climate that is hospitable to creativity, diversity, and innovation.

2.   The appointee is responsible for the recruitment, selection, and evaluation of both the faculty and the staff personnel of the department. In consultation with colleagues, the chair recommends appointments, promotions, merit advances, and terminations. The appointee is responsible for maintaining a departmental affirmative action program for faculty and staff personnel, consistent with University affirmative action goals. The appointee is expected to make sure that faculty members are aware of the criteria prescribed for appointment and advancement, and to make appraisals and recommendations in accordance with the procedures and principles stated in the President's Instructions to Appointment and Promotion Committees.

3.   The appointee should be receptive to questions, complaints, and suggestions from members of the department, both faculty and staff personnel, and from students, and should take appropriate action on them.

The chair's administrative duties include the following (special assignments may be added from time to time, and the Chancellor or Dean may specify additional duties):

1.   To make teaching assignments in accordance with the policy described in Academic Senate Regulation 750 and to assign other duties to members of the department staff.

2.　　To prepare the schedule of courses and of times and places for class meetings.

3.　　 To establish and supervise procedures for compliance with University policy on the use of guest lecturers and Academic Senate Regulation 546 on special studies courses.

4.　　To make arrangements and assignments of duty for the counseling of students, and for the training and supervision of Teaching Assistants and other student teachers and teacher aides, subject to the terms of any pertinent Memorandum of Understanding.

5.　　 To prepare the budget and administer the financial affairs of the department, in accord with University procedures.

6.　　To schedule and recommend to the Chancellor sabbatical leaves and other leaves of absence for members of the department. (The chair may approve a leave of absence with pay for seven calendar days or less for attendance at a professional meeting or for the conduct of University business without submitting a leave of absence form.)

7.　　 To report promptly the resignation or death of any member of the department.

8.　　To be responsible for the custody and authorized use of University property assigned to the department, and for assigning departmental space and facilities to authorized activities in accordance with University policy and campus rules and regulations.

9.　　To be responsible for departmental observance of proper health and safety regulations, in coordination with the campus health and safety officer.

10.　　To maintain records and prepare reports in accord with University procedures.

11.　　To report any failure of a faculty or staff member to carry out responsibilities and to recommend appropriate disciplinary action.

12.　　To report annually on the department's affirmative action program, including a description of good faith efforts undertaken to ensure equal opportunity in appointment, promotion, and merit activities, as well as a report on affirmative action goals and results in accordance with campus policy.

In performing these duties, the chair is expected to seek the advice of faculty colleagues in a systematic way, and to provide for the conduct of department affairs in an orderly fashion through department meetings and the appointment of appropriate committees. The chair also is expected to seek student advice on matters of concern to students enrolled in the department's programs. In large departments, the chair may be assisted in the tasks involved in carrying out the responsibilities of the chair by a vice chair or other colleagues, and, when desired, by an executive committee chosen in an appropriate manner; however, the responsibilities themselves may not be delegated.

7/1/10

UNIVERSITY OF CALIFORNIA, ACADEMIC SENATE

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May 30, 2013

SUSAN CARLSON, VICE PROVOST
ACADEMIC PERSONNEL

Dear Susan:

The Academic Council discussed the campus salary equity plans at its April 2013 meeting. I asked UCAAD, UCAP and UCFW to review the plans in detail, and asked divisions to comment on their own campus plans. The responses of all three committees were very critical of the submissions. Council focused on two issues: 1) the lack of detail provided by approximately half of the campuses, particularly on data-collection methodology, and 2) the need for more robust consultation with the Senate in developing the plans. Council requests that campus administrators be directed to consult with their local committees on Faculty Welfare, Diversity, and Academic Personnel in developing the studies.

Following the Council meeting, UCAP discussed the plans again and in a letter on May 21 suggested that the campus studies should examine how quickly faculty progress through steps and their pay level at each step, and that each campus provide firm deadlines for the completion of the study and implementation of any resulting recommendations. UCAAD advised that the plans should address the points made in the President's letter of September 11, 2012, and that they should provide "explicit detail on their data-collection methodology and – most importantly – provide a clear process by which strategies for correction of any deficiencies or shortfalls will be identified and how those corrections will be implemented and disseminated."

Finally, although each campus appreciated the opportunity to develop its own campus-specific analysis and plan, several divisional chairs mentioned that they would benefit from sharing best practices regarding methodology and implementation strategies. These chairs, as well as UCAP, suggested that your office convene a committee to develop a set of common metrics to help guide further development of the plans, provide a consistent approach, and allow for comparisons.

Council appreciates your leadership and interest in ensuring equity at the University of California.

Sincerely,

R. L. Powell

Robert L. Powell, Chair
Academic Council

Cc: Provost Dorr
        Academic Council
        Martha Winnacker, Senate Executive Director

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Office of the President

TO MEMBERS OF THE COMMITTEE ON EDUCATIONAL POLICY:

DISCUSSION ITEM

For Meeting of May 15, 2013

ACADEMIC PERFORMANCE INDICATORS AT THE UNIVERSITY OF CALIFORNIA

EXECUTIVE SUMMARY

In this era of reduced State support for higher education, one of the untold stories is what the faculty and students of the University of California have accomplished, against all odds. As funding for UC core educational expenses declined by nearly $900 million and mandatory costs increased by $1.2 billion, the faculty stepped up, teaching more while also undertaking scholarly research and staying true to the University's public service mission. Students, too, have met the challenges created by two decades of roller-coaster funding. Graduation rates for undergraduates have risen dramatically during the past 20 years, and it is taking less time than ever for them to complete their degrees. Meanwhile, academic and administrative efficiencies, in combination with painful program cuts and hiring restraints that largely protected the University's instructional activities, have enabled UC campuses to maintain excellence in the educational enterprise while reducing costs.

Yet it is likely that providing a quality education to undergraduate, graduate academic, and graduate professional students will be increasingly challenging. The governor has called for a five percent increase in State funding of UC for 2013-14, but significantly increased mandatory costs, including non-salary expenses such as contributions to health benefits and the retirement plan, are expected to consume most if not all of the additional funding. Moreover, there is no provision for enrollment growth, and a clear expectation that tuition will be frozen at this year's level.

This discussion item offers evidence that UC has so far found ways to progress in fulfilling its instructional mission despite fiscal impediments. It also provides context for both current realities and future possibilities and outlines potential components of strategies to support student and faculty success in the future.

Key indicators of instructional performance show that to date the University has managed to sustain and even improve important outcomes for its students, almost always outperform other elite public universities, and sometimes match top private universities. Comparisons will typically be with the 28 U.S. public and 26 U.S. private universities that are members of the Association of American Universities (AAU), a consortium of 60 U.S. and two Canadian elite

research universities. Six of UC's nine general campuses are AAU members, an achievement that no other public university system comes close to matching. The following academic indicators present the most important of UC's educational achievements:

➢ For entering UC freshmen, four-year graduation rates <u>have increased</u> from 37 percent (1992 entering class) to 60 percent (2007 entering class); UC's current rate is <u>higher</u> than AAU publics (53 percent) and <u>lower</u> than AAU privates (81 percent).

➢ For entering UC freshmen, six-year graduation rates (which are a U.S. standard for comparisons among colleges and universities) <u>have increased</u> from 76 percent (1992 entering class) to 83 percent (2005 entering class); UC's current rate is <u>higher</u> than AAU publics (76 percent) and <u>lower</u> than AAU privates (90 percent).

➢ For entering UC transfers, two-year graduation rates <u>have increased</u> from 29 percent (1992 entering class) to 53 percent (2009 entering class).

➢ For entering UC transfers, four-year graduation rates <u>have increased</u> from 77 percent (1992 entering class) to 85 percent (2007 entering class).

➢ From 2006 through 2012, undergraduates reported consistently <u>high levels of satisfaction</u> with their overall academic experience (82 percent) and the quality of faculty instruction (89 percent) though their satisfaction with the cost of that education <u>decreased</u> from 71 percent to 60 percent.

➢ For academic doctoral degrees, in a special study by the National Research Council, the percent of UC students finishing in six years (or eight years for arts and humanities) was overall <u>higher</u> than it was for the four comparison AAU publics for three of the five disciplinary areas and <u>lower</u> than it was for the four comparison AAU privates which were the <u>highest</u> in all five fields.

➢ Time to the academic doctoral degree is exactly the <u>same</u> – 5.7 years – for UC, other AAU publics, and AAU privates.

These achievements can be attributed to many factors. The faculty role is key, of course. And faculty have done their part as shown by changes over time and comparisons with peer universities in the following productivity and effort indicators:

➢ The number of bachelor's degrees per UC ladder faculty member <u>have increased</u> from 5.5 in 2005-06 to 5.8 in 2010-11; UC's current number is <u>higher</u> than AAU publics (4.3) and <u>much higher</u> than AAU privates (2.3).

➢ The number of doctoral degrees per UC ladder faculty member <u>have increased</u> from 0.4 in 2005-06 to 0.5 in 2010-11; UC's current number is <u>higher</u> than AAU publics (0.4) and the <u>same</u> as AAU privates (0.5). Putting the bachelor's and doctoral degrees together shows that UC ladder faculty are graduating more undergraduate and doctoral students each year (6.3) than are AAU publics (4.7) and AAU privates (2.8).

➢ The number of student credit hours (SCH) per ladder faculty member <u>have increased</u> from 693 in 1990-91 to 782 in 2010-11 (12.8 percent increase), with a 10.5 percent increase in SCH from 2005-06 to 2010-11. SCH is a better measure of faculty workload than is number of courses taught because it is a nationally recognized measure that simultaneously considers both unit-value of the course and the number of students enrolled.

UC can take a great deal of pride in these many accomplishments. At the same time, it must continually ask whether the greater efficiency, productivity, and faculty involvement in instruction have come at too high a cost to the quality of a UC education and/or to faculty attainments in the research and service parts of their jobs. Vigilance, creativity, and commitment to sustaining UC's excellence in its teaching, research, and public service missions continue to be needed, particularly as the University faces a still uncertain future.

If current trends should continue, instructional workload would continue to rise. A commonly used indicator of instructional workload is the student-faculty ratio, which has increased by 17.5 percent, from 20.0 to 23.5, over the last 20 years, but mostly over the last five, because of decreased funds to hire faculty and UC's choice to continue to meet Master Plan commitments to undergraduate enrollment. If the recent trend continued over the next five years, the 20-year high student-faculty ratio would increase another 7.7 percent, to 25.4. Depending on UC's financial circumstances, there could be tough choices to make about how best to sustain UC's excellence as a public research university.

Should circumstances and choices result in a further increase in instructional workload, UC will employ a wide variety of strategies to meet its responsibility to students. Ladder faculty will do their part. According to projections, on average, it would require another ten percent increase in student credit hours per ladder faculty member. At the same time, a wide variety of other strategies would be used. Many have been previously described to the Regents. An extensive compilation of strategies is provided toward the end of this report. They include, for example, ensuring that needed courses are available; providing roadmaps, such as degree audit systems, to timely degree completion; reviewing student progress regularly and providing academic counseling for those falling behind; offering high-quality online general education and gateway courses, plus online learning supplements for particularly challenging courses; and adjusting the balance of academic staffing so that more of the teaching is done by lecturers and other faculty who are not expected to excel at research as well as teaching.

Whether or not instructional workload continues to increase, the University anticipates that even improvements in its fiscal environment will not obviate the need to increase academic effectiveness further. In doing so, UC will focus on outcomes (i.e., the goals to be accomplished) rather than inputs. The report ends with a proposed set of instructional outcomes addressing graduation rates, time to degree, and educational quality and the approach to achieving them. The methods for achieving them would be chosen by the individual campuses which can craft the strategies that best fit their local environments. The best way, that is, to sustain UC's academic excellence in a period of continuing financial exigencies is to give the UC campuses and system the flexibility – as well as the resources and authority – they need in order to produce the desired outcomes for each campus and the University as a whole.

BACKGROUND

In 1868, the newly created University of California and the University of California at Berkeley were one and the same. Today, Berkeley is one of ten campuses of the University of California system. The campuses range in age from 144 to eight. According to the Carnegie classification

system, eight are Research Universities (very high research activity), San Francisco is a Special Focus Institution, and Merced is not yet classified. Of the nine general campuses, six are members of the Association of American Universities (AAU), a consortium of the top U.S. and Canadian research universities. Each of the nine older campuses gets identified as one of the best in one or another rating/ranking system.

All UC campuses have great strengths, and the younger general campuses are clearly following the same trajectory the older ones followed from fledgling to the equivalent of a full-blown world-class research university. California is one of just a few states with the population numbers, economic diversity, and natural and human resources to make this possible. It has been the only one with the ambition and foresight to do so.

The 21st century has been a difficult one for institutions of higher education. Like most of them, UC has recently experienced an extraordinary reduction in the resources that traditionally supported its core teaching, research, and public service missions. Since 2007-08, State support dropped 27 percent, a reduction of nearly $900 million. Only a portion of these cuts plus the $1.2 billion in unfunded mandatory cost increases (38 percent) have been offset by increases in tuition and fees.

State funds as well as student tuition and fees – UC core funds – have traditionally been the main revenue sources for faculty compensation, other instructional costs, and some staff compensation. In response to the recent extraordinary reductions in State funds, the campuses individually and as a system have focused on cost-saving efficiencies, new revenue sources, cessation of "non-essential" activities, and new ways of carrying out and funding the University's teaching, research, and public service missions. There is clear evidence that through a wide variety of measures the campuses have achieved many academic efficiencies and sustained if not enhanced essential elements of UC's excellence.

Doing so has been a difficult and painful process that is not yet over. There are encouraging signs that there will be some greater predictability in the State's funding for UC and some funding increases. Nonetheless, many believe the University must adjust to a new reality of permanently diminished State resources. In this environment, there is continuing collective interest in exploring options to ensure the University can sustain its core endeavors without compromising the excellence, innovation, and intellectual vitality that have fueled the State's economy for almost 150 years and made UC the best public system of higher education in the nation.

For a variety of reasons, including Regental interest, this report focuses primarily on the University's instructional mission and the ladder faculty who are key to achieving that mission. Following brief sections on faculty responsibilities and work patterns, the report presents indicators of how and how successfully UC campuses have addressed their instructional mission. It includes information, as available, about changes in input and output over the last two decades and about how UC compares to similar institutions of higher education, particularly public research universities. The report ends with a discussion of the complex, and campus-specific, mix of levers that have been used to date and recommendations as to how best to move forward

as UC continues to adjust to its changed and still changing funding, always with the intention of sustaining and enhancing UC's excellence as a world-class research university.

FACULTY RESPONSIBILITIES

UC's mission-related activities in teaching, research, and public service are carried out by talented, committed people with a variety of titles and job descriptions (e.g., professor, professor-in-residence, lecturer, researcher, agronomist). As of October 2012, there were 19,368 headcount faculty (or the equivalent of 16,508 full-time faculty (FTE)); about half of these were ladder faculty, both tenured and non-tenured, in the professorial series; another 15 percent had "equivalent" titles (such as acting professor, lecturer with security of employment or potential security of appointment, astronomer or agronomist); the remainder held other faculty titles, such as lecturer, professor in residence, professor of clinical ___, visiting, adjunct or health sciences clinical professor.

The 9,578 headcount (or 8,613 FTE) ladder faculty on whom this report focuses constitute the core of UC's academic enterprise. The responsibilities of these faculty have been clear at least since 1935 when records show the then UC President promulgated them. Today, these responsibilities and resulting criteria for advancement "up the academic ladder" are codified in what is known as the Academic Personnel Manual (APM) and excerpted here.

> APM 210-1 d. Criteria for Appointment, Promotion, and Appraisal.
> The review committee shall judge the candidate with respect to the proposed rank and duties, considering the record of the candidate's performance in (1) teaching, (2) research and other creative work, (3) professional activity, and (4) University and public service…. *Superior intellectual attainment, as evidenced both in teaching and research or other creative achievement, is an indispensable qualification for appointment or promotion to tenure positions* [italics in the original]. Insistence upon these standards for holders of the professorship is necessary for maintenance of the quality of the University as an institution dedicated to the discovery and transmission of knowledge.

[NOTE: The term "creative work" is used to recognize the fact that "in certain fields such as, but not limited to, Art, Architecture, Dance, Music, Literature, and Drama, distinguished creation should receive consideration equivalent to that accorded to distinction attained in research. (The UCLA CALL, Appendix 5, Section V.B)]

It is clear from the APM, and all UC ladder faculty experience this reality, that although they are all certainly teachers, their job is different from that of K-12 teachers, the model with which virtually everyone is familiar. It is different too from that of community college instructors or faculty counterparts at comprehensive (primarily baccalaureate or master's) institutions. Ladder faculty cannot succeed at UC if they are not well-regarded, productive researchers, scholars, and creators as well as effective teachers and mentors. Moreover, both their teaching and their research must evidence superior intellectual attainment which must be sustained throughout their careers and affirmed in regular, post-tenure reviews. These realities are part and parcel of

working as ladder faculty in a research university with very high research activity or, simply put, of serving as a ladder faculty member at any UC campus. It is these realities too that bring outstanding undergraduate and graduate students to UC, to experience a high-quality education provided in a world-class research environment.

ALLOCATION OF FACULTY TIME

Most UC academic employees have flexible work schedules that include considerable time on campus during "usual weekday work hours," as well as on or off campus during the weekends, early in the morning, and throughout the night. In the late 1970s and early 1980s, the Academic Senate and UC administration jointly sponsored a series of studies on how much full-time UC faculty from the then eight general campuses worked in a 24-hour a day, seven-day week and what they did when they were working. Faculty from all fields except dentistry, law, medicine, nursing, optometry, public health, and veterinary medicine participated. The participation rate was extraordinarily high – above 90 percent. Meticulously conducted by an independent group with external advisors, the work provided virtually the same picture each year. Different faculty participated each year, and no faculty member reported on more than two consecutive days Monday through Friday or both weekend days plus either Friday or Monday using a time log. The consistency of results and the expense of the undertaking led to a decision to stop conducting the survey.

What did these studies show? Given the similarity of year-to-year findings, just the results from nearly 1,000 faculty who participated in the research in 1983-84 are described. During the academic year when classes were scheduled (i.e., not intersession or summer), faculty worked 61.3 hours in a seven-day, 24-hour a day week. Depending on whether one counted instruction in the context of faculty research activities, they spent 26.0 or 33.3 hours a week (54.3 percent of total work time) on instructional activities. Professional activity and university and public service took up another 12.1 hours a week. The remainder of the time (23.2 hours, 37.8 percent) was spent in research and other creative activity.

Because of the way in which these time allocation studies were done, one can be confident that UC faculty in the late 1970s and early 1980s worked well beyond the standard 40 hours per week job and devoted the largest share of their time to instructional responsibilities. Those most familiar with typical work patterns of current UC faculty believe the same is true today. In fact, using data and informed estimates, a UC Berkeley dean (unaware of these earlier studies) recently came up with similar conclusions about total faculty work hours per week and the proportion of these hours devoted to instructional activities.

The entire series of time allocation studies included activities in all four areas of UC ladder faculty responsibility, but they focused heavily on instructional activities. They were prompted by policymakers' questions about faculty work habits, particularly their investment in instruction. Continued financial strains on UC today and the importance as well as public prominence of UC's instructional mission have again focused attention on teaching. To address these questions thoughtfully, it is useful to understand the range of instructional activities ladder faculty perform and the synergistic integration of those activities with their research.

INSTRUCTIONAL ACTIVITIES OF LADDER FACULTY

Instruction at the University's ten campuses takes many forms and occurs in many settings. It includes but goes far beyond the most familiar image of a professor lecturing to students in a large auditorium or discussing with students around a seminar table. Selecting, preparing, updating, and, as needed, completely reworking course materials are integral parts of teaching. Likewise, instruction encompasses hours devoted to answering students' questions, assisting them with challenging concepts, and providing an opportunity for exchange about specific course assignments. Instruction also involves mentoring and apprenticeship for most graduate students and many undergraduates. It also includes evaluation of students' work, administration of exams, and supervision of teaching assistants, who increase in number as student enrollments increase. Given national accountability trends, ladder faculty and others who teach UC students must also devote effort to documenting student learning in ways that meet new expectations from both regional and professional accreditors.

Less obvious but nonetheless critical are ladder faculty responsibilities for developing new courses, general education requirements, undergraduate capstones, and undergraduate and graduate degree programs. Ladder faculty also routinely review the content and structure of existing degree programs to ensure continued intellectual vitality, instructional rigor, and scholarly relevance. These departmental reviews occur roughly every seven years, but they may occur any time there are serious concerns about a degree program. Critical to quality assurance, the reviews involve a department self-study, surveys of students and faculty, performance indicators, and a site visit by campus and external ladder faculty. Collectively, these reviews support robust teaching and learning throughout the system.

The balance of ladder faculty instructional efforts is embedded in research activities. In the conduct of their own research, ladder faculty supervise doctoral students as part of the learning process required for advanced degree programs. In labs, field stations, arts studios, and other settings, students receive instruction and guidance, as well as hands-on experience, in the conduct of original inquiry. Ladder faculty also co-author research and other scholarly reports with graduate students and often enough undergraduates.

Ladder faculty research also provides an important foundation for the entire undergraduate curriculum. UC undergraduates learn not only the basics of a field but also the big questions, the latest findings, and the methods by which scholarship is carried out. Not as well known is the fact that an increasing number of undergraduates participate directly in research. As of 2010-11, according to the 2012 University of California Undergraduate Experience Survey (UCUES), 56 percent of seniors had done some kind of research or creative project with faculty and 54 percent had taken at least one student research course. These experiences help develop the critical thinking, communication, and problem solving skills, as well as domain-specific knowledge, that employers are looking for and that are useful across many different careers, many different life circumstances, and in all areas of citizenship.

In sum, ladder faculty provide undergraduate and graduate students with opportunities to learn in a wide variety of ways and circumstances, including regularly scheduled courses. Teaching often

occurs outside the classroom, and the many activities that comprise instruction are not captured in the very significant but not singular measure of the number of courses taught or number of hours a week in a regular classroom. To perform well as teachers, ladder faculty at a research university such as UC are expected to be on the cutting edge of their fields and to reflect their research and creative work in their multifarious instructional activities with undergraduate and graduate students alike.

CHALLENGES TO UC'S EXCELLENCE IN INSTRUCTION

It is well known that in recent years there have been both an extraordinary decrease in State funding for the University and also an extraordinary increase in mandatory costs to the University. The loss in operational funds has been only partially offset by tuition increases, cost savings, and revenue generation. Virtually every long-term UC employee today would report that she or he has a markedly increased workload.

For UC faculty involved in instruction, a clear expression of the increasing instructional workload is the continuing increase in the student-faculty ratio. As shown below, over the last 20 years and particularly the last five years, the rate of growth of UC students has been much greater than the rate of growth of the faculty (Display 1) and consequently the student-faculty ratio has risen from 20.0 to 23.5 in 2010-11 (Display 2). This is a 17.5 percent increase in workload over 20 years, but much of the increase has occurred over the last five years. The "budgeted" student-faculty ratio remains as a distant memory at 18.7. The current student-faculty ratio varies across the campuses, in 2010-11 ranging from a low of 19 to a high of 29. The 23.5 student-faculty ratio is based on general campus student full-time equivalents and general campus faculty full-time equivalents (e.g., all faculty who participate in instruction, not just ladder faculty). If the student-faculty ratio only considered ladder faculty, then in 2010-11 it would be 31.8 systemwide (campus range from 27.7 to 37.9). Although ladder faculty, as previously described, have instructional responsibilities that are theirs alone, these other faculty contribute meaningfully to the work of instruction, and their greater or lesser employment in instructional roles is a choice every university makes as it seeks to ensure that ladder faculty have sufficient time to succeed in all aspects of their job – teaching, research and other creative work, professional activity, and University and public service.

Display 1: Actual and projected percent growth in numbers of students and of faculty, UC,
1990-91 to 2015-16

**Student and Faculty Growth
1990-91 to 2010-11 with projections to 2015-16**
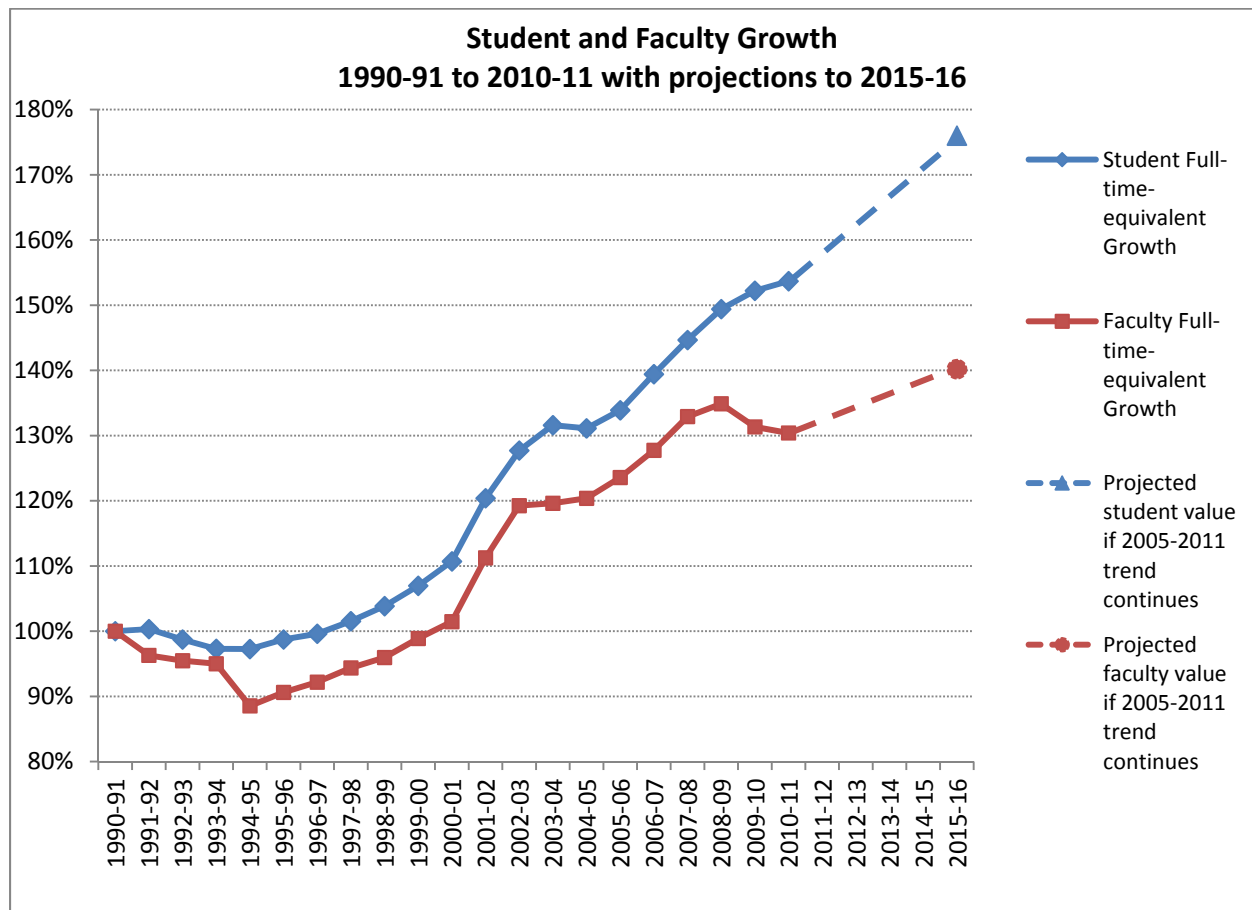
Source: UCOP Institutional Research, Accountability methodology.

Display 2: Actual and projected increases in student-faculty ratio, UC, 1990-91 to 2015-16
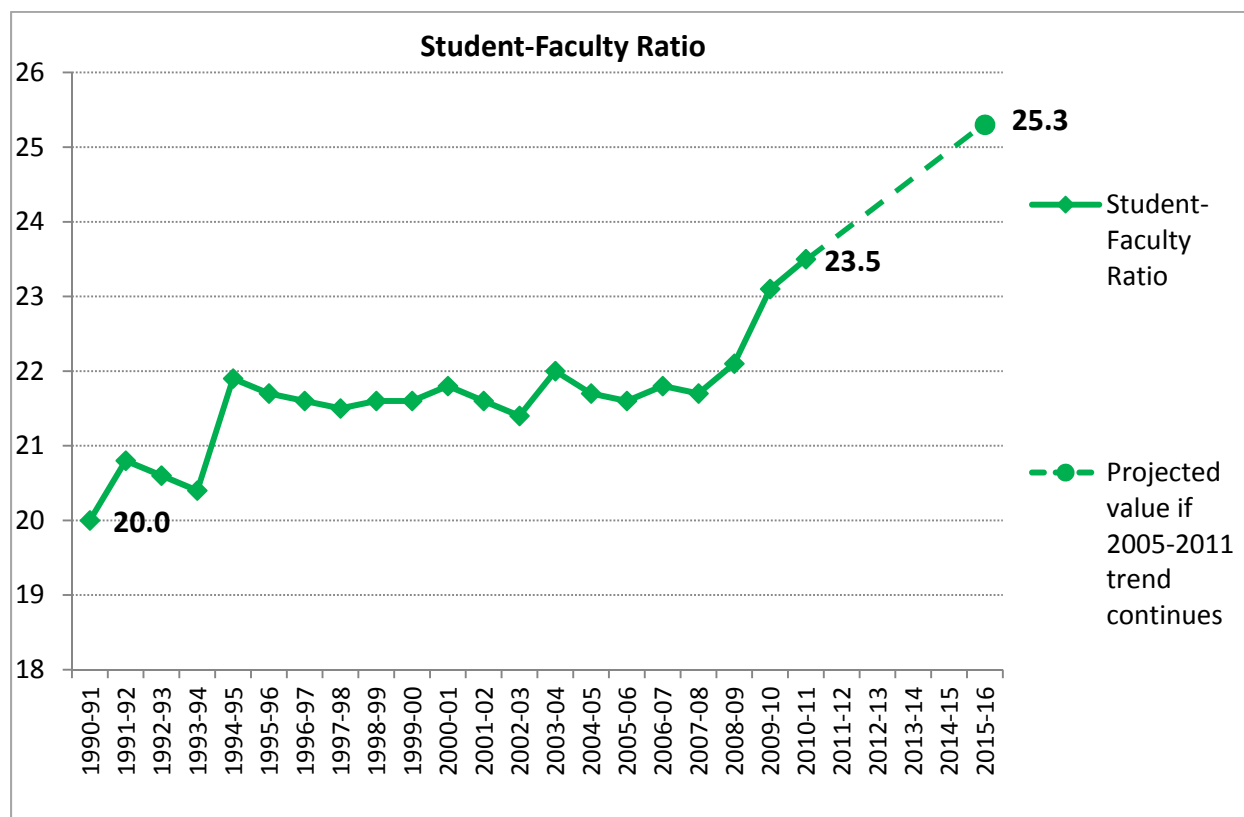
Source: UCOP Institutional Research, Accountability methodology; see Display 1 for complete description of methodology.

In the face of the greater workload that the increase in students per faculty member represents, campuses have adopted a wide range of approaches to providing outstanding education to undergraduate, graduate academic, and graduate professional students, while also sustaining the University's research and public service missions. With the exception of a limited number of systemwide administrative initiatives that have been reported to the Regents, each campus has crafted the mix and balance of approaches that are best suited to that campus. These have also been reported to the Regents. There is good evidence these approaches have not only sustained but also enhanced student achievement, done so without diminishing undergraduates' positive perceptions of their UC academic experiences, and done so with increased instructional efforts from the faculty. The next sections present that evidence with a variety of academic indicators. It is one of the largely untold stories of what UC faculty, students, and staff have accomplished, against all odds.

UNDERGRADUATE INSTRUCTION

A variety of academic indicators suggest that, despite the evident challenges, the educational outcomes for UC's undergraduates remain positive and some have continued to improve during

this time. There are also indicators that suggest that faculty have increased both their workload and their productivity during this period. Moreover, for many of these indicators UC does better than the average of other AAU public universities and about the same as AAU private institutions, which tend to have greater resources.

Undergraduate graduation rates have increased and time to degree has decreased.

All measures of UC undergraduate graduation rates and time to degree have improved over the last two decades for students who entered as freshmen and for those who entered as transfers. For those who entered as freshmen, four-year rates increased from 37 percent (1992 entering cohort) to 60 percent (2007 entering cohort. Six-year graduation rates, as defined by the Integrated Postsecondary Data Education System (IPEDS), are the nationally accepted performance measure of student success for those entering baccalaureate or higher degree-granting institutions as freshmen. Six-year rates increased from 76 percent (1992 entering cohort) to 83 percent (2005 entering cohort), slightly more than a ten percent increase. For undergraduates entering UC as transfers, two-year graduation rates increased from 29 percent (1992 entering cohort) to 54.4 percent (2010 entering cohort), an increase of 88 percent over that time period. Four-year graduation rates also increased from 77 percent (1992 entering cohort) to 85 percent (2007 entering cohort), an increase of almost nine percent.

One of UC's points of pride is that it educates many undergraduates who come from low-income families. In 2009-10, for example, 35 percent of all UC undergraduates were recipients of Pell Grants, awards available only to students from families with incomes under $50,000. In comparison, the University of Virginia had about 11 percent, University of Michigan, Ann Arbor, about 15 percent, Stanford, about 17 percent, and Illinois about 18 percent. Pell Grant students are as able and committed as are students from middle- and upper-income families, but all too often they have been less well-prepared by their K-12 schools for what college requires. In general, fewer complete the bachelor's degree and those who do take longer compared to undergraduates who never had a Pell Grant. This is the case at UC as well; however, the differences between Pell and non-Pell Grant students are not as large. At UC, 80 percent of the freshmen who entered fall 2005 who received a Pell grant sometime during their undergraduate years graduated within six years. This 80 percent figure is lower than UC's average but greater than or within three percentage points of the six-year graduate rates of four of the eight general campuses (Merced excluded). The 80 percent figure needs to be improved but it is also an interim achievement of which to be proud.

Displays 3 and 4 provide details on graduation rates for students entering since 1992 at each campus. Merced is not included in these displays because it is too new to have meaningful trends. The campuses vary in where they were in 1992 and where they are now, but all have been increasing their four-year and two-year graduation rates for freshmen and transfers respectively, and all have room to increase these rates further. Doing so saves students and their families money, and increases the number of students UC can serve at the same cost. So long as the quality of the undergraduate academic experience is sustained, further increases in efficiency are a win-win for everyone.

Display 3: Four-, five-, and six-year graduation rates by campus, entering freshman cohorts, fall
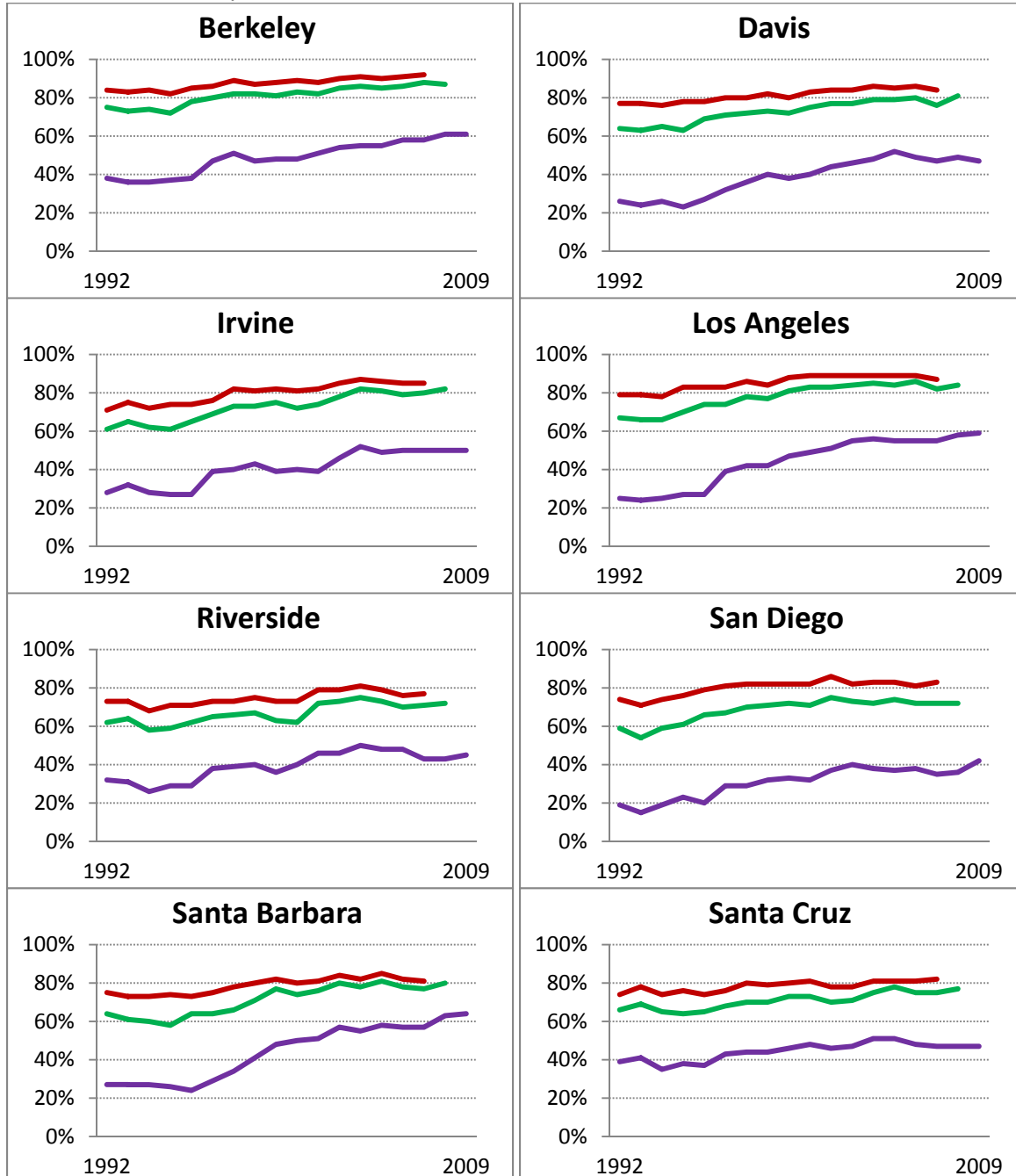1992 to fall 2007

Four, **Five** and **Six** year rates
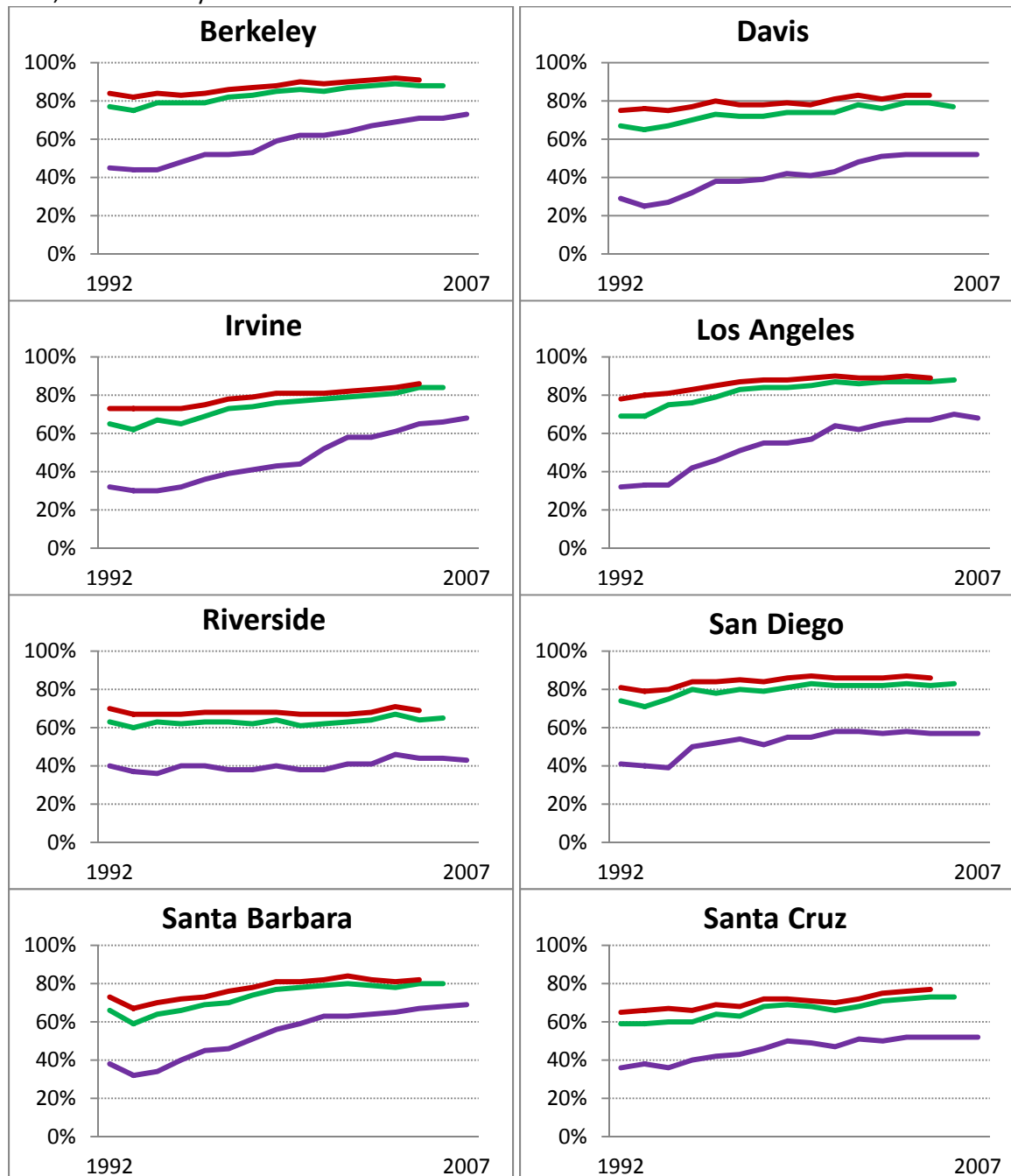
Source: UC Corporate Student System

Display 4: Two-, three-, and four-year graduation rates by campus, entering transfer cohorts, fall 1992 to fall 2009

Two, **Three** and **Four** year rates

Source: UC Corporate Student System

UC's graduation rates compare favorably to peer institutions, particularly the publics. Four- and six-year graduation rates for the 28 non-UC AAU publics averaged 53 percent and 76 percent respectively for the entering freshmen cohorts, fall 2003 – the most recent year for which comparable data are available; for the 26 AAU privates these averages were 81 percent and 90 percent respectively. Four- and six-year graduation rates at UC for the same 2003 entering freshman cohort were 57 percent and 82 percent. The most recent UC data show figures of 62 percent and 84 percent respectively. Clearly, both four- and six-year graduation rates at UC exceed those of the AAU publics but trail those of the AAU privates.

Finding exactly the right comparison is really impossible. Because undergraduate degree completion and time to degree are hot-button topics these days and because UC campuses vary in their performance, a special group of "the best" AAU flagships of U.S. public university systems was selected and their performance compared to that of UC's AAU campuses, as a further examination of UC's performance. The results are shown in Display 5.

Display 5: Six-year graduation rates, UC and leading AAU public flagships, entering freshman
           cohorts, fall 1992, 1997 and 2005

	1992	**1997**	**2005**
Berkeley	84%	86%	91%
Davis	75%	78%	83%
Irvine	73%	78%	86%
Los Angeles	78%	87%	89%
Santa Barbara	73%	76%	82%
San Diego	81%	85%	86%
UC AAUs	**77%**	**82%**	**86%**
UC System	*76%*	*80%*	*83%*
Illinois Urbana	-	81%	82%
Michigan Ann Arbor	-	85%	90%
Texas Austin	-	71%	81%
Virginia Main	-	92%	94%
Washington Seattle	-	71%	80%
Wisconsin Madison	-	76%	82%

Source: UC Corporate Student System, IPEDS Graduation Rate Surveys.

UC's average six-year graduation rates at its six AAU campuses (86 percent) exceed those of four of the six selected public AAU flagships. The exceptions are Michigan and Virginia. Six-year graduation rates at Berkeley (currently 91 percent) and Los Angeles (currently at 89 percent) are comparable to those at Michigan, but they do not reach the performance level of Virginia which, at 94 percent, has the highest six-year graduation rate for any public research university in the country.

Overall, UC has improved its six-year graduation rates over time, has good rates absolutely and compared to peer institutions, and has room to improve still further.

<u>Undergraduates continue to be satisfied with their overall academic experience and the quality of faculty instruction.</u>

The best source of information about undergraduates' experience at the University comes from UCUES, UC's biennial survey of undergraduates. Remarkably, a very high percentage of students from 2006 through 2012 have been satisfied with their overall academic experience and with the quality of faculty instruction. (See Display 6.) Most importantly, the percentage has not decreased despite the many changes campuses have had to make as funding has decreased. The UCUES data were combed to be sure that these two very positive findings were not counterbalanced by negative findings. The only negative is undergraduates' decreasing belief that the UC education they receive is a good value for the cost. Clearly this finding reflects the steep increases in tuition over the last few years. Overall, however, the UCUES data indicate that the efficiencies so far achieved have not substantially lowered students' opinions about the overall quality of education they are receiving.

Display 6: Undergraduate student satisfaction, UC, 2006 through 2012

Item	2006	2008	2010	2012
Overall academic experience	82%	83%	82%	82%
Quality of faculty instruction	-	89%	89%	89%
Value of your education for the price you're paying	71%	70%	63%	60%

Source: University of California Undergraduate Experience Survey (UCUES), 2006-2012; percent of students reporting that they are very satisfied, satisfied, or at least somewhat satisfied with their experiences at UC.

<u>Faculty are graduating more undergraduate students and teaching more undergraduate and graduate students.</u>

There are many reasons why graduation rates for undergraduates have increased, their time to degree has decreased, and their satisfaction has remained high. Principal among them are the leadership and commitment of UC faculty. Here the focus is on increases in degree production and teaching by UC ladder faculty; other factors will be described later.

With respect to bachelor's degree production, Display 7 shows that the number of bachelor's degrees per UC ladder faculty member have increased over the last five years and markedly exceed the number per faculty member in AAU public and private institutions. One might suspect that the greater bachelor's degree productivity for UC ladder faculty compared to faculty at AAU privates is explained by the privates' smaller proportion of undergraduate students. However, as will be seen later in Display 10, UC matches the AAU privates in doctoral degrees per faculty member. When it comes to graduating students, UC faculty are simply more productive than are their public and private AAU peers.

Display 7: Bachelor's degrees per ladder faculty, UC and AAU comparison institutions, 2005-06 and 2010-11

Institution Type	2005-06	2010-11
AAU Private (26)	2.3	2.3
AAU Public (28)	3.9	4.3
University of California	5.5	5.8

Source: IPEDS Completions Surveys, 2005-06 and 2010-11, for degree counts; IPEDS Employees by Assigned Position (EAP) Surveys, Fall 2005 and Fall 2010, for faculty counts.

With respect to teaching, the best single indicator of faculty workload is student credit hours (SCH), because it is a nationally recognized measure that simultaneously considers both the unit-value of a course and the number of students enrolled (one four-credit course for 100 students is 400 student credit hours). Because it is derived from the courses a faculty member teaches, it does not account for all the other time devoted to associated instructional activities. These activities were described earlier in the "Instructional Activities of Ladder Faculty" and a sense of the time faculty give to them was provided in the "Allocation of Faculty Time" section.

Display 8 charts SCH per ladder faculty member from 1990-91 through 2010-11 and shows that ladder faculty have over the last several years increased their teaching. SCH is for all undergraduate and graduate teaching combined. Ladder faculty teach about 80 percent of all graduate SCH, nearly two thirds of all upper division undergraduate SCH, and close to half of all lower division undergraduate SCH. It has been a point of pride for UC ladder faculty that they are more involved in undergraduate teaching than is the case at many peer institutions. SCH per ladder faculty have ranged from a low of 693 in 1990-91 to a high of 782 in 2010-11, a 12.8 percent increase. There is a steep increase over the last several years, amounting to a 10.5 percent increase in SCH per faculty member in the last five years. It is clear that ladder faculty have stepped up.

Display 8: Actual and projected student credit hours per ladder faculty full-time equivalent
(FTE), UC, 1990-91 to 2015-16
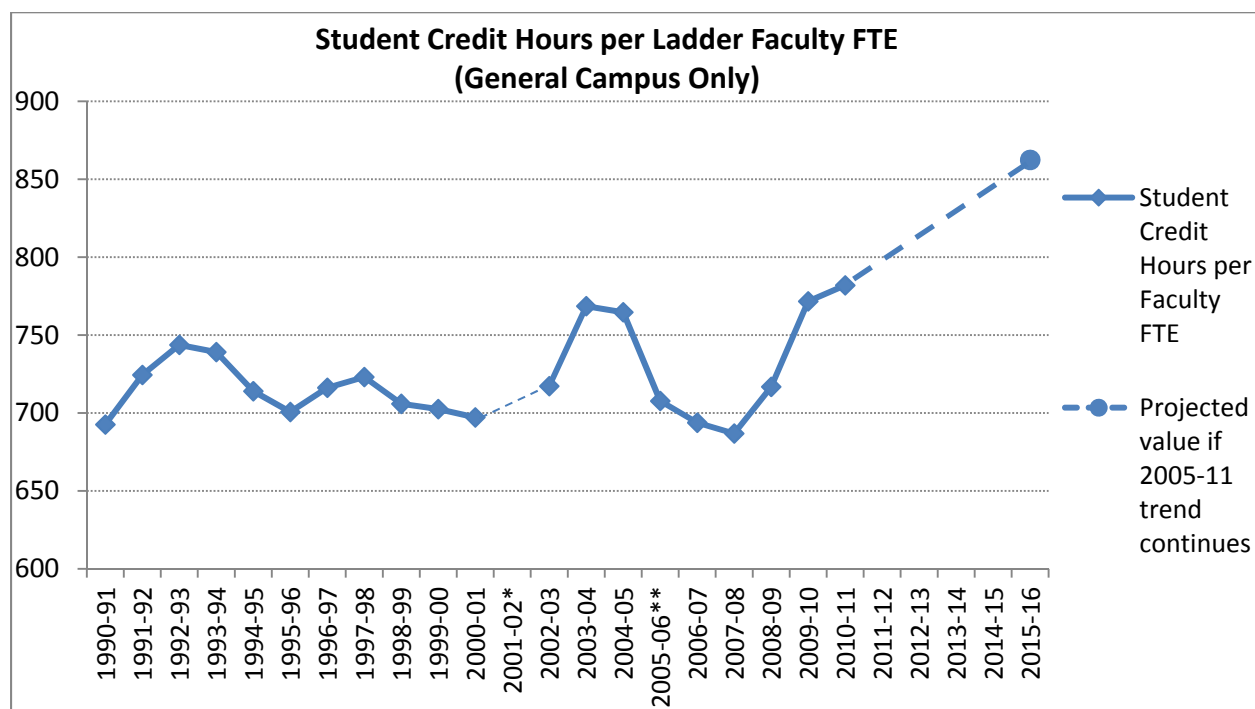
*Source: UCOP Institutional Research, Faculty Instructional Activities Report. *Data for 2001-02 are not available.*
**2005-06 data do not include UC Merced.*

GRADUATE EDUCATION

Graduate academic and professional degree programs are essential elements of elite research
universities. For years, UC has lagged behind its AAU public and private peers in this area. As of
2010, 21.8 percent of UC's student body were graduate students, compared to 27.2 percent for
the other AAU publics and 52.8 percent for the AAU privates. UC has long sought to increase its
number and percent of graduate students, particularly for the newer campuses. In fact, the
recently adopted model for distributing State funds includes "incentive funding" to help the
newer campuses do so. Over the last ten years, the numbers of UC graduate students have
increased from 37,787 (Fall 2000) to 49,863 (Fall 2010); however, because of the continuing rise
in undergraduate enrollment, graduate students have not increased meaningfully (from
21.1 percent to 21.8 percent) in their representation in the UC student body. An increase in this
percentage to achieve parity at least with AAU publics continues to be a UC goal.

There are fewer academic indicators altogether for UC's graduate than undergraduate students.
The types of degrees (e.g., MD, Ph.D., JD, MA) and associated expectations for a graduate vary
widely; consequently, the experiences and requirements for the different types of degrees vary
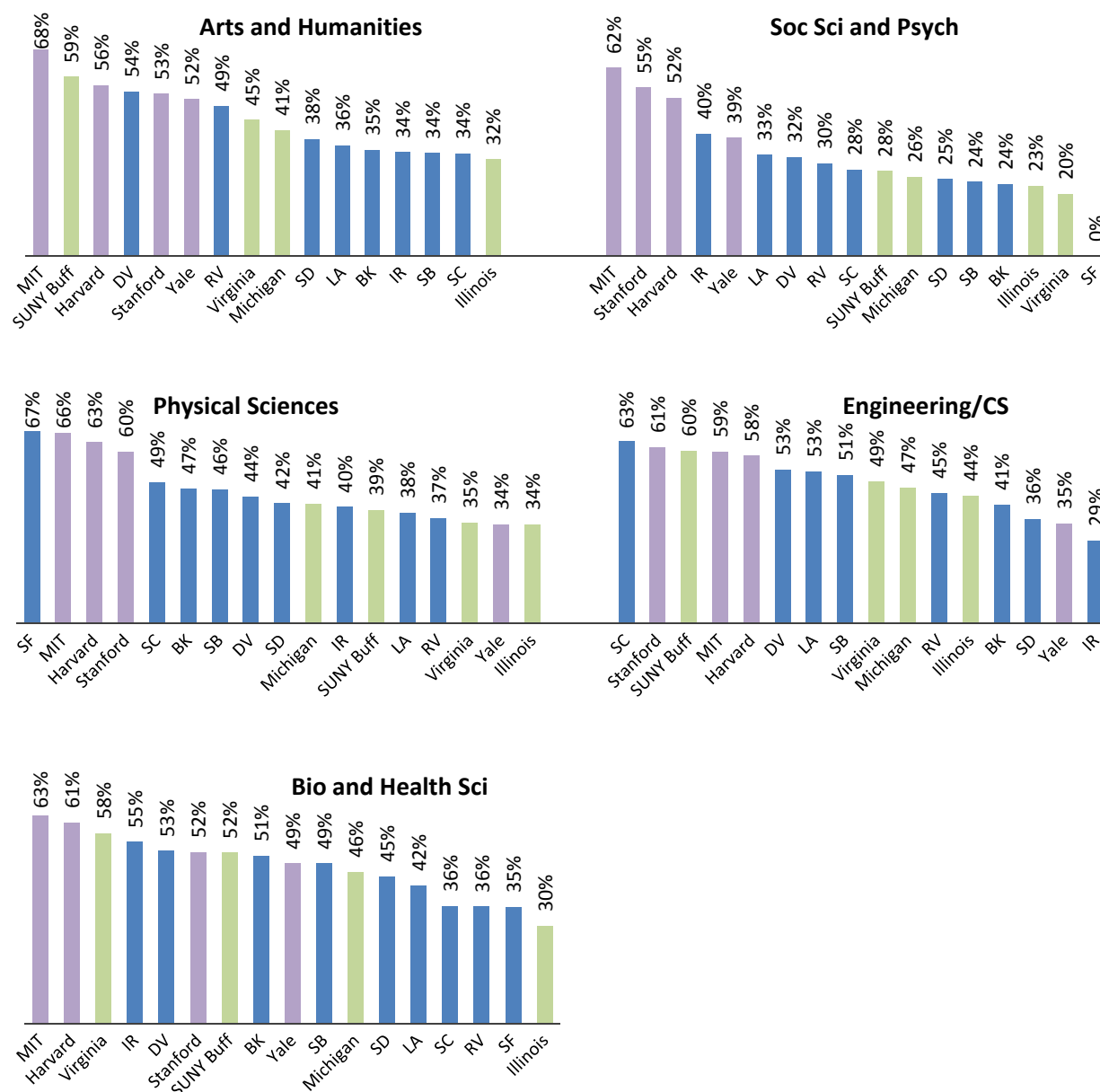
widely. There is a very wide range in the expected time to complete various degrees and in how much more experience (e.g., residency, postdoctoral fellowship) is expected before the graduate actually embarks on the career for which she or he has been preparing. In these circumstances, summary statistics for UC can be misleading as can comparisons if the indicators encompass a wide or widely differing set of graduate degrees or even degree fields. For example, median years to doctorate for 2007-09 exit cohorts ranged from 6.7 to 7.4 for arts and humanities doctorates and from 5.3 to 5.7 for physical sciences, mathematics, engineering, and computer sciences.

This report will focus only, and briefly, on graduate students seeking the doctorate. This is where there are the best data, the greatest similarity in expectations as to degree requirements, and the majority (53 percent in 2010) of the total graduate academic and professional student enrollment.

Doctoral degree completion rates and time to degree vary by field; UC's indicators are generally the same as or better than those for AAU publics and the same as or worse than those for AAU privates.

Display 9 illustrates the field-based variation described above, as well as the variation within UC, selected AAU publics, and selected AAU privates themselves. For five fields, the percent of students who complete the doctorate in six years (eight years for arts and humanities) is graphed for all UC campuses (except Merced) that offer the degree in that field and for four elite AAU publics and AAU privates (study by the National Research Council). Clearly, graduation rates are greater for engineering/computer science and biological/health sciences than they are for social science/psychology or arts/humanities. Just as clearly, UC campuses vary across fields in their performance, as do the selected AAU publics and privates, each group of which has one university that is lower than the other three in all five fields. Overall, UC students' doctoral completion rates in five fields are higher than those for the four selected AAU publics for three of the five fields and lower than those for the four selected AAU privates for all five fields. Other indicators (UC Annual Accountability Report 2012, Display 5.4.2, p. 50) show field-based variation in median years to the doctorate. For all seven fields combined, UC, the other AAU publics, and the AAU privates had exactly the same 5.7 median years to the doctorate. UC's was the same as or shorter than those of the AAU publics and privates for the fields of physical sciences and mathematics, engineering and computer and information sciences, life sciences, arts, humanities, and professional and other. For one field, social sciences and psychology, UC median time was longer than the AAU publics and privates.

Display 9: Doctoral completion rates by field, UC and AAU comparison institutions, graduate student cohorts entering 1996-97 to 2000-01 (1996-97 to 1998-99 for humanities)

Arts and Humanities

MIT	SUNY Buff	Harvard	DV	Stanford	Yale	RV	Virginia	Michigan	SD	LA	BK	IR	SB	SC	Illinois
68%	59%	56%	54%	53%	52%	49%	45%	41%	38%	36%	35%	34%	34%	34%	32%

Soc Sci and Psych

MIT	Stanford	Harvard	IR	Yale	LA	DV	RV	SC	SUNY Buff	Michigan	SD	SB	BK	Illinois	Virginia	SF
62%	55%	52%	40%	39%	33%	32%	30%	28%	28%	26%	25%	24%	24%	23%	20%	0%

Physical Sciences

SF	MIT	Harvard	Stanford	SC	BK	SB	DV	SD	Michigan	IR	SUNY Buff	LA	RV	Virginia	Yale	Illinois
67%	66%	63%	60%	49%	47%	46%	44%	42%	41%	40%	39%	38%	37%	35%	34%	34%

Engineering/CS

SC	Stanford	SUNY Buff	MIT	Harvard	DV	LA	SB	Virginia	Michigan	RV	Illinois	BK	SD	Yale	IR
63%	61%	60%	59%	58%	53%	53%	51%	49%	47%	45%	44%	41%	36%	35%	29%

Bio and Health Sci

MIT	Harvard	Virginia	IR	DV	Stanford	SUNY Buff	BK	Yale	SB	Michigan	SD	LA	SC	RV	SF	Illinois
63%	61%	58%	55%	53%	52%	52%	51%	49%	49%	46%	45%	42%	36%	36%	35%	30%

Source: 2005-06 National Research Council's Assessment of Doctorate Programs (released in 2010).

Faculty are graduating more doctoral students and teaching more graduate students.

Doctoral productivity is always low compared to bachelor's productivity, as can be seen in a comparison of Displays 7 and 10. In this context, the increase from 0.4 to 0.5 doctoral degrees per ladder faculty member from 2005-06 to 2010-11 is probably a meaningful indication of increased productivity at UC. Comparisons for 2010-11 show that UC produces somewhat more

doctorates per faculty member than do the other AAU publics and the same as do the AAU privates. The faculty teaching data reported earlier (Display 8) combine undergraduate and graduate students and cannot be disaggregated. Given that total student credit hours per faculty member have increased, it is likely that faculty teaching of graduate students has increased because total student credit hours for lower division undergraduates, upper division undergraduates, and graduates have all steadily increased during this same period.

Display 10: Doctoral degrees per ladder faculty, UC and AAU comparison institutions, 2005-06 and 2010-11

Institution Type	Doctoral degrees per ladder faculty	
	2005-06	**2010-11**
AAU Private (26)	0.5	0.5
AAU Public (28)	0.3	0.4
University of California	0.4	0.5

Source: IPEDS Completions Surveys, 2005-06 and 2010-11, for degree counts; IPEDS Employees by Assigned Position (EAP) Surveys, Fall 2005 and Fall 2010, for faculty counts.

LOOKING TO THE FUTURE

UC can take a great deal of pride in these many accomplishments. At the same time, it must continually ask whether the greater efficiency, productivity, and ladder faculty involvement in instruction have come at too high a cost to the quality of a UC education and/or to ladder faculty attainments in the research and service parts of their jobs. Vigilance, creativity, and commitment to sustaining UC's excellence in its teaching, research, and public service missions continue to be needed, particularly as the University faces a still uncertain future.

If current trends in ladder faculty and student numbers should continue for the next five years as projected in Display 1, the student-faculty ratio would continue to rise from the current 20-year high of 23.5 to an unprecedented 25.4. (See Display 2.) Instructional workload would continue to rise. Depending on UC's financial circumstances, there could be tough choices to make about how best to sustain UC's excellence as a public research university. Should circumstances and choices result in a further increase in instructional workload, UC would employ a wide variety of strategies to meet its responsibility to students. Ladder faculty would do their part. According to projections of current trends (Display 8), on average, it would require another ten percent increase in student credit hours per ladder faculty member.

The main strategies used to increase graduation rates, reduce time to degree, and provide an academically rich and rewarding education are identified below as those that focus on structure, students, and faculty.

Structure-Focused Strategies

Review and adjust, as appropriate, requirements for undergraduate and graduate degrees.
Degree program requirements can accumulate over time to the point that they do not well
reflect current views of what is essential for a high-quality program. Reviewing programs
with a high number of requirements and eliminating those that are outdated can streamline
programs in an educationally sound manner that promotes improved time to degree.

Provide roadmaps to timely degree completion.
Undergraduate and graduate students alike benefit from having explicit models of which
courses to take and hurdles to clear year by year. These roadmaps must be specific to each
student's degree program and must also reflect the course offerings and hurdles program
faculty are committed to having available. Under these conditions attentive advisors and
motivated students together can achieve timely degree completion and, in special
circumstances, completion well below the norm; for example, a three-year bachelor's degree
or Ph.D.

Expand summer session capacity and encourage summer enrollment.
Summer enrollments of UC students have risen steadily over the past decade, from
11,800 full-time equivalent (FTE) enrollments in 2001 to 15,800 FTE in 2011. Offering high
demand courses (e.g., gateways, overflow writing sections, pre-calculus, statistics for social
sciences doctoral students) during the summer provides students with more opportunities to
get the courses they need and stay on track to complete their degrees in a timely manner.

Review student course-taking needs regularly to identify any bottlenecks and remove them.
Determining campus course needs requires careful planning and regular updates in order to
anticipate and meet enrollment needs in a timely fashion. One approach to addressing
projected bottlenecks for which a department has not planned is maintenance of a "bridge"
fund reserve. Set aside by central campus administration, these funds are distributed to
departments to cover unmet course needs on a one-time or short-term basis.

Offer online high-enrollment, general education, and/or gateway (e.g., pre-major,
introductory major) undergraduate courses.
With the right choice of course topic, campus approval for general education or major credit,
and largely asynchronous interaction of the enrolled student with course content, instructors,
and fellow students, online courses can greatly increase undergraduate students'
opportunities to complete bachelor's degree requirements in a timely way.

Offer online courses that bring the substantial expertise of faculty across the ten-campus
(and National Laboratories) system to students from multiple campuses to enrich
undergraduate and graduate education.
Online offerings, whether synchronous or asynchronous, make it possible for faculty to offer
courses on very specialized topics, those that would get very small enrollments from just
their own campus, in a cost-effective way by enrolling students from their own and other
campuses at the same time. They also make it possible to turn to expertise on other campuses

rather than hire a special instructor on one's own campus, just as departments on the same campus often turn to another department to provide particular learning opportunities for their students (e.g., advanced statistics).

Student-focused Strategies

Enhance the preparation of freshman and transfer students to succeed at UC through a variety of strategies prior to full-time enrollment at UC.
Prior to enrolling as full-time undergraduates at a UC campus, some students would benefit from additional preparatory work that ensures they enter with the requisite knowledge and skills for the UC courses they will immediately take. For example, there are a number of community college transfers entering science disciplines who would be well served by better articulation of pre-major requirements to ensure those requirements are met upon admission.

Review student progress regularly and provide academic counseling for those lagging.
Degree audit systems are important tools for ensuring students make timely progress to graduation. These systems compare students' academic work with requirements of degree programs in which they are enrolled. They may be used to improve (1) academic advising (provide feedback to ensure students takes classes that fulfill major or other graduation requirements), and (2) curriculum planning (provide better information about students' course needs). Resources to support staff advisors to work with students on degree audits also are key. In general, the technologically based systems are used for undergraduates, but regular reviews of progress, whether technology based or not, are useful for graduate students as well.

Create instructional enhancements.
For courses known to have high retake rates (e.g., organic chemistry), offer online (or other) supplements to improve student learning and successful completion of the course the first time it is taken.

Faculty-focused Strategies

Continue to increase the student credit hours provided on average by each ladder faculty member.
Projections of student enrollments and total faculty numbers, as described earlier, indicate that faculty will be asked to increase their instructional workload over the next few years. They will expect to do so. Based on current projections, SCH per ladder faculty member should grow by approximately ten percent over the next five years. Though not calibrated in courses per year, additional hours would represent a further increase in teaching effort.

Adjust the balance of academic titles involved in meeting instructional needs.
In addition to ladder faculty, employees with a variety of other academic titles, such as lecturers, provide instruction. Different academic titles have different job descriptions, for some of which teaching is the principal activity. Given that ladder faculty are responsible equally for teaching and research, economies can be achieved by altering the balance of

academic titles so that somewhat more of those teaching are in positions where instruction is virtually their entire job. The extent of ladder faculty teaching at all levels is a point of pride for the UC system, and in any re-balancing ladder faculty would continue to be the major providers of instruction, teaching courses for lower- and upper-division undergraduate students and also for graduate students.

Adjust ladder faculty instructional responsibilities based on their preference and performance.
There is variation in the degree of scholarly engagement and research productivity among faculty and often for the same individual during his or her professional career. Campuses can employ flexible mechanisms to encourage faculty members to concentrate energies on teaching if they so choose. These efforts could use incentives and rewards in a manner that takes advantage of faculty strengths and that is consistent with their evolving interests over the course of their University careers.

CONCLUSION

Over the last several years, the University has demonstrated that it can become more efficient in both its administrative and academic activities. In contemplating academic efficiency and determining what constitutes the best return for each dollar invested – public or private – UC must balance the notions of economies achieved with the quality of the instruction, research, and public service produced. This is what UC faculty, staff, administrators, and students seek and in many ways have thus far found.

High-performing ladder faculty dedicated to the proposition that UC is and should be a world-class public research university, with all that entails, are essential to UC's success. Their job description and advancement require that they demonstrate superior intellectual attainment in both teaching and research or other creative achievement. The same expectations would apply were they at any other world-class public or private research university. UC must maintain an environment in which it can recruit and retain such pre-eminent faculty. If it does, evidence presented earlier shows that they will work far beyond a 40-hour work week and devote about half their UC work time, and about two-thirds of a 40-hour work week, to instructional activities and carry them out very well.

As UC moves into a future that can reasonably be expected to remain challenging even if it improves, it must continue to craft complex sets of adaptations that will support ladder faculty success, and sustain and enhance excellence in all of UC's academic endeavors. The campuses individually and as a system have been doing that. They do it differently, according to their own particular context, goals, and resources. Overall, they have been successful judged by such important outcomes as graduation rates, time to degree, and student satisfaction, and judged in comparison to their public and private research university peers. If the University or the State is looking for concrete goals to espouse, the focus should be on outcomes, and not on specific adaptations that are expected to achieve the outcomes. This approach stays with the essential and recognizes the need for each campus to work somewhat differently to achieve overarching goals that all the campuses share.

In terms of UC's instructional mission, an example of meaningful instructional outcomes on which the campuses could all focus would be the following four:

- ➢ Maintain or increase the percent of undergraduate students who graduate within six years with a bachelor's degree.
- ➢ Increase the proportion of undergraduates completing a bachelor's degree in four years if they enter as freshmen and two years if they enter as transfers.
- ➢ Maintain or increase graduate enrollments and for some programs decrease time to degree.
- ➢ Sustain or enhance the positive evaluations of students and faculty with respect to the quality of education provided.

It is no easy matter to establish meaningful, achievable, measurable goals and a reasonable timetable for doing so. Should any goals be established for UC, as has been done in the past and is again proposed now, they should be about important outcomes not inputs. UC looks to be directly involved in setting them and determining how they will be achieved. From long experience, the University knows that meaningful achievements come about in differing ways on the campuses.

The UC system might well be thought of as a family with ten high-functioning brothers and sisters, certainly not as a family with ten high-functioning clones. The UC family has a shared view of what it means to be a high-functioning campus and recognizes that achieving that status is best done in somewhat differing ways depending on the age, stage, and particular characteristics of each campus. All campuses expect to succeed in the circumstances given to them in achieving the teaching, research, and public service missions of the University. The best way, then, to sustain UC's academic excellence in a period of continuing financial exigencies is to give the UC campuses and system the flexibility – as well as the resources and authority – they need in order to produce desired outcomes for each campus and the University as a whole.

UNIVERSITY OF CALIFORNIA   **ACADEMIC SENATE**

COMMITTEE ON AFFIRMATIVE ACTION AND DIVERSITY
==DRAFT== MEETING MINUTES – APRIL 18, 2013

Present: Manuela Martins-Green (Chair), Emily Roxworthy (Vice Chair), Byron Adams (UCR), Katherine Arosteguy (UCD alternate), Anthony Davis (UCSD), Kimberly Lau (UCSC alternate), David Lopez-Carr (UCSC), Francisco Ramos-Gomez (UCLA), Janet Shim (UCSF), Grace Tonner (UCI), Student Representative Michael Navarro (UCSD); Robert Powell (Council Chair, Ex Officio), William Jacob (Council Vice Chair, Ex Officio); Fredye Harms (Committee Analyst). Consultants Jesse Bernal, Susan Carlson, Janet Lockwood, and Martha Winnacker. Guest: Regent Fred Ruiz.

I.   Chair's Announcements/Updates

- Academic Council Meeting
  Chair Martins-Green provided updates from the meeting including discussion around SB 520 and SB 259.

  She added that Bylaw 128.C has just been amended and approved to read, "…the at-large chair of a standing committee of the Assembly may not be a member of the corresponding committee of any division." Chair Martins-Green noted that this change will have particular ramifications for UC Merced.

  The Chair noted that Mary Gilly from UC Irvine has been approved by the Academic Assembly to be the 2013-14 Academic Senate Vice-Chair.

II.   Consent Calendar – *Chair Martins-Green*
   A. Approval of the Draft Minutes from the October 18, 2012 Meeting and the January 10, 2013 Meeting
   B. Approval of the Agenda
   ___ACTION___: *Members approved the Minutes and the Agenda.*

III.   APM 210-1.d
   Chair Martins-Green reminded the committee about the extensive back-and-forth between UCAAD and UCAP regarding the revision of the language in APM 210-1.d. At the last Academic Council meeting, Chair Martins-Green accepted the latest revision of the policy, and it has since been forwarded to the Provost.

   Although the language of APM 210-1.d is not ambiguous, the Chair feels that it would be beneficial to have a white paper to substantiate it. The committee discussed some examples from various campuses that could be culled to form a sharp and concise white paper. This paper would be distributed to the division deans and chairs to underscore the importance of contributions to diversity.

   ___ACTION:___ *Chair Martins-Green asked the members to collect examples and best practices related to diversity and send them to her so that she can begin drafting the white paper as soon as possible.*

IV.   Preparation for Regent Ruiz Visit
   During Executive Session, the committee discussed topics it wanted to share with Regent Ruiz.

V.   Visit with Regent Ruiz
   During Executive Session, Regent Ruiz visited with the committee to discuss diversity-related topics within the University.

VI.   Announcements from the President's Office

Diversity Coordinator Jesse Bernal remarked that the Annual Sub-Report on Diversity at the University came before the Regents in January and focused on faculty diversity. Over the next two years, the report will focus on campus climate; in 2015 it will report on graduate/professional degree diversity. Every four years, the report will summarize comprehensive indicators for faculty, student, and staff diversity.

The University has had tremendous response to the campus climate survey. Close to 150,000 complete surveys have been received, with a high percentage of faculty response. The campuses will get high-level reports of their individual findings as they close the survey.   Systemwide results with significant findings will be presented to the campuses in November, and the comprehensive survey results will be presented at the Regents' meeting in January 2014.

Each campus will receive a draft report from the consultant and will be able to respond and provide context for its findings and outcomes. Each campus will also help develop a communication strategy to most effectively convey the survey information to its constituencies. The campuses will have about two weeks to work on the draft reports. Ultimately, all of the information will be public and available on the website. The University wants the data to be used to advance teaching, learning, and diversity.

The President's Advisory Council on Campus Climate has been suspended until new president is selected and determines how to use the survey data.   UC leadership sees the climate study as a solid launching pad for the new president and a road map to move forward.

The Professional Degree Supplemental Tuition (PDST) Task Force has been working for the past 18 months to revise the policy surrounding professional degree tuition.   The findings of the Task Force are awaiting student input and will not be available until fall 2013. It is anticipated that they will be presented to the Regents in November 2013 or January 2014.

The LGBT Task Force has brought forward an issue regarding tax disparity in UC hiring. Same-sex domestic partners who receive health benefits through UC are required to pay federal taxes on the value of that benefit because those partners are not recognized by the federal government. The Task Force recommended UC immediately implement tax equity benefits for same-sex partners by providing funds that would offset the federal tax.   President Yudof has asked the Vice President of Human Resources to determine the impact of such a measure on the University.

Vice Provost Susan Carlson discussed the mentoring workshop held earlier in the month at Riverside. She will send the link to the workshop video once it is available; materials from the workshop are already up on the OP website. The next roundtable in will be in San Diego on October 25 and will focus on review, including discussion of APM 210-1.d.

The President has committed one-time money to the Presidential Post-Doctoral Fellowship Program specifically to fund a large group of STEM fellows. The University will have 60 fellowships next year; heretofore, it has never had more than 45.   The Vice Provost has requested that this additional funding become a permanent part of the program. Similarly, the Executive Vice Chancellors have agreed to keep funding UC Recruit.

VII.   Mentorship Document Planning

As a follow-up to Sheila O'Rourke's January presentation on mentoring, Chair Martins-Green compiled information from a number of sources regarding mentoring techniques, approaches, and challenges. She provided a PowerPoint presentation that outlined the components of a successful mentorship program and asked the committee for input as to how it could develop a comprehensive paper that the campuses could use as a roadmap for mentorship planning. The committee discussed the needs and obstacles of a

strong mentorship program at length. Effective practices and shortfalls on each campus were discussed as well as individual perceptions and experiences.

The chair discussed the traditional mentoring model, involving a single mentor/mentee relationship that can vary in components, length, scope, and focus. The alternative model, introduced by Ms. O'Rourke, is multifaceted and based on the premise that a team of mentors can best address the many needs of a new faculty member.   The chair showed a graphic depicting the many roles mentors can play in the life of a mentee: advisor, life balance, career, research, and peer.   These mentors can come from informal interactions, broad professional networks, and off-campus networks and services.

Chair Martins-Green acknowledged that mentorship can some pose some challenges. It is, by necessity, time-consuming, requiring training, development, communication, networking, feedback, and follow-up. With those challenges in mind, the Chair asked the committee for thoughts on creating a comprehensive paper that the campuses could use as a roadmap for a mentoring program.

Members discussed hindrances experienced by mentoring programs. Efforts are often thwarted by departments and individuals who feel that they do not need mentoring – that their current system is working well. In many cases, faculty might not come forward because requesting a mentor could be interpreted as a sign of weakness. Legal liabilities also can pose a concern.

Several members suggested ways to reduce concerns about stigma or awkwardness associated with a mentoring program. If all faculty -- across the board -- were required to have a mentor, concerns about special needs would be eliminated. Similarly, the institutionalization of a mentorship program – having it as a requisite expectation for faculty – makes the task of seeking a mentor less onerous. The Chair added that the creation of a mentoring website that facilitated pairings between mentors and mentees would be very helpful

Professor Janet Shim (UCSF) noted that her campus has a standard baseline expectation for mentoring; everyone is expected to have multiple mentors. This expectation grew out of campus climate survey that revealed a profound lack of mentoring for faculty. The campus then identified resources to hire a half-time mentoring director. That director created an institutional infrastructure for mentoring that includes mentor and mentee training programs and prestigious awards with recognized award ceremonies. The award structure is staggered for new, mid-career, and long-term faculty; the expectation is that aspects of the mentoring process with continue through a faculty member's trajectory.

Professor Shim stated that all new faculty members have to report that they have secured a research mentor and a career mentor – those are the two baseline requirements. If they are unable to find a mentor, the director helps them identify potential candidates. She also noted that when she got tenure, she was encouraged to apply for UCSF's mentor training program and leadership training programs. Some sections of the mentoring training are explicitly about learning to to mentor female and URM faculty. These programs, she explained, are by application-only, with selective admission. Overall, she said, the culture surrounding mentoring at UCSF has changed quickly for the better in about six years.

The committee discussed the UCSF program and how it might be adapted to other campuses. Consideration was given to the creation of new vice and assistant positions that would provide leadership shadowing opportunities for women and URM. Concerns about potential conflicts of interest with regard to mentors and evaluation were also voiced. Members shared aspects of small campus efforts that could be incorporated into a larger mentoring program.

The committee agreed that UCAAD should create a document that strongly recommends a formal mentorship framework/program for the campuses. This effort will need to include education about the benefits of mentoring.

> ***ACTION:*** ***The Chair offered to collect some materials related to mentoring and asked committee members to forward their best practices and suggestions to her. The goal would be to provide campuses with a framework for developing a mentoring program that is easily perpetuated and adaptable to the needs of each campus.***

VIII. **Revised Summary of Faculty Equity Plans**

Chair Martins-Green asked if the committee had taken the time to read the campus submissions and asked members for their opinion on the content of the plans. Surprise was expressed at the lack of plans to acquire and analyze the data in the vast majority of the plans submitted. Additionally, most of the plans did not provide any information on how the campuses would address their findings. It was felt that the cover letter from the president providing direction for the plans was clear and explicit. Academic Senate Chair Robert Powell has asked a few key committees for feedback on the plans which will then be conveyed to the Academic Council.

The committee discussed the shortcomings and brevity of most of the plans in contrast to the more thorough analysis provided by a few. Suggestions were made as to how the data collection could and should be improved. Senate Chair Powell suggested that the committee should not be prescriptive in its response, but instead should provide direct feedback as to whether the plans did or did not meet the set expectation.

> ***ACTION:*** *It was agreed that the committee should submit a letter expressing extreme dissatisfaction with the effort put in to the plans. Chair Martins-Green will draft a letter that she will circulate through the committee members for comment and then sign and send to Chair Powell.*

IX. **Consultation with the Academic Senate Leadership**

Academic Senate Chair Robert Powell explained that the amendments to SB 520 (Steinberg) were released yesterday and that the Senate is going to oppose the bill. An Academic Council meeting will be held in Sacramento so that the chairs can testify at the bill's hearing. At that time, Council members also will suggest amendments to SB 547 (Block) that could make it acceptable to the University.

All of the University workgroups met last week at UC Irvine and at OP to talk about online education and how to handle the $10M set aside by the governor. Chair Powell remarked that the meetings went well and generated significant enthusiasm on the part of faculty.

Admissions data for 2013 will be out shortly and is likely to precipitate interesting discussions due to the marked increases in international student admissions. This increase is particularly glaring in light of California resident admissions which are down 2.2 percent.

The meeting adjourned at 4:10 P.M.

Attest: Manuela Martins-Green, UCAAD Chair
Prepared by Fredye Harms, Committee Analyst

White Paper with suggestions for implementation of APM210-1.d

Because the University of California is dedicated to build a faculty more diverse in gender and ethnicity, APM 210-1.d was introduced into the language of APM 210 in 2005. The intention was to make official and clear to the UC faculty and administrators that contributions to diversity are to be appropriately acknowledged in the Merit and Promotion process. In 2007, the UC Regent's formulated Policy 4400 "University of California Diversity Statement" (Appendix 1), making clear their commitment to increasing Diversity at the University of California.

However, since APM 210-1.d was approved, the Divisional Committees on Academic Personnel (CAPs) have struggled with its implementation because they consider that the language can be interpreted as if it is requesting extra credit for specific topics of diversity and the memberships of their committees consider this an unacceptable attempt to establish a system in which some areas of scholarship are favored over others. The original intention of APM210-1.d, however, was to ensure equal treatment in the merits and promotion system not special treatment. As a consequence, in the Fall of 2012, Academic Senate Chair Robert Powell charged the Chairs of UCAP and UCAAD to work out unambiguous language. UCAAD and UCAP spent a great deal of this year working to design unambiguous language for APM210-1.d. After considerable back-and-forth between the two committees, agreement was reached on all but the final sentence of the paragraph. The version favored by UCAAD and the version favored by UCAP were forwarded to Council and, at the March meeting of the Council, a compromise version of new wording for APM 210-1.d was approved by a strong majority of the Academic Council during its meeting of March 27th, 2013 and forwarded to the Provost to initiate further review by the campus Divisions of the Senate and others.

The purpose of this White Paper is to provide suggestions on how diversity-related work might be included in merit/promotion packages with the goal of facilitating the work of departments, deans, and CAPs when evaluating contributions to increasing diversity at the University.

Description of contributions to diversity can come in a variety of forms. UCAAD has reviewed the ways some campuses are addressing this issue. We present below a few possibilities with the goal to assist the campuses to further develop a process that best fits their Merit/Promotion system.

Information for faculty contributions to diversity could be reported in a variety of forms:

1) A specific section of the file dedicated to contributions to diversity.
2) Extra space allowed in the personal statement for description of contributions to diversity or a separate personal statement focused on diversity matters.
3) Specific areas in the biobib section of the academic personnel file where candidates can cite activity involving diversity issues in each of the categories of evaluation (research, teaching and service) that are above and beyond normal duties. Advising and mentorship might appear under teaching or service, depending on the particular context.

Examples of contributions to diversity (excerpts taken, with considerable modifications, from two documents that are currently posted on the web by UCOP[1,2]).

1. Faculty Teaching Contributions to Diversity and Teaching

a) Merits and Promotions

- ➢ Development of effective strategies for the educational advancement of students in under-represented groups. Among significant types of evidence of teaching effectiveness is development of new techniques of instruction, especially those that meet the needs of students from groups that are under- represented in the field of instruction.
- ➢ Designing courses or curricula that meet the needs of educationally disadvantaged students.

b) Appointment of New Faculty

- ➢ Experience teaching students who are under-represented (e.g. having taught at at a minority- serving institution)
- ➢ Record of success advising and mentoring women and minority graduate students
- ➢ Experience teaching students with disabilities

2. University, and Public Service in Merits, Promotions and Appointments

Faculty or candidates who have engaged in service to increase participation in science, education, humanities, fine arts, or social sciences by groups historically under-represented in higher education such as:

- ➢ participation in undergraduate, graduate, postdoctoral or faculty academic preparation, outreach, tutoring or other programs designed to remove barriers facing women, minorities, veterans, people with disabilities and other individuals who are members of groups historically excluded from higher education
- ➢ serving as an advisor to programs such as Women in Science and Engineering, SACNAS or other equivalent programs in all disciplines
- ➢ exceptional record mentoring students and junior faculty from groups under-represented in their field or historically under-represented in higher education
- ➢ contributions to student welfare through service on committees and as advisers to student organizations
- ➢ contributions furthering diversity and equal opportunity within the University through participation in such activities as recruitment, retention, and mentoring of scholars and students.

4. Additional documents

There are a number of documents on the websites of various campuses that explicitly call for the incorporation of contributions to diversity in the preparation of personnel files:

1. The UC Santa Cruz Committee on Academic Personnel (CAP)

http://senate.ucsc.edu/committees/caad-committee-on-affirmative-action-and-diversity/Evaluating%20Contributions%20to%20Diversity%20APM%20210.pdf

http://senate.ucsc.edu/committees/caad-committee-on-affirmative-action-and-diversity/Recognizing%20Diversity%20in%20the%20Academic%20Personnel%20Review%20Process%20APM_05.pdf

http://diversity.ucsc.edu/resources/images/engaging_in_diversity.pdf

http://senate.ucsc.edu/committees/cap-committee-on-academic-personnel/CAP-TOP10TIPSforFACULTY.pdf

http://diversity.evc.ucsb.edu/resources/

2. UC San Diego's Department of Academic Affairs features an online database of diversity opportunities for faculty. This database offers information on activities ranging from research and mentoring to teaching and community outreach.

http://academicaffairs.ucsd.edu/faculty/diversity-opportunities/

http://facultyequity.ucsd.edu/Faculty-Applicant-C2D-Info.asp

References

1. http://www.ucop.edu/academic-personnel/_files/documents/eval-contributions-diversity.pdf

2.http://www.ucop.edu/academic-personnel/_files/documents/eval-contributions-diversity_old.pdf

The University Committee on Affirmative Action and Diversity (UCCAD):

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June 17, 2013

BOB POWELL, CHAIR
ACADEMIC COUNCIL

RE: Endorsement of Faculty Diversity Workgroup Recommendations

Dear Bob:

As you know, the Faculty Diversity Working group was charged by the President to report to his Advisory Council on Campus Climate, Culture, & Inclusion and "recommend measures of progress, mechanisms for accountability, and advice regarding best practices" on issues related to faculty hiring, contributions to equity and diversity, and administrative structures and accountability. Last June, the Academic Council commented on specific recommendations contained in the report to Vice Provost Carlson. In that review, UCAAD supported most of the recommendations contained in the initial report. Following Council's recommendation to revise APM 210-1.d in April, UCAAD would like to reiterate its support, with special emphasis on the following recommendations that we consider to be critical for the advancement of diversity at the University:

1. **Practice # 1** – Fully implement APM 210-1.d as revised.
The Faculty Diversity Group recommended implementation of the original APM 210-1.d as approved in 2005. UCAAD and UCAP recommend implementation of the new language of APM210-1.d. These two committees spent a great deal of this year working to design unambiguous language for APM210-1.d. This was necessary because many of the CAPs have not implemented APM 210-1.d, because they consider that the language can be interpreted as requesting extra credit for specific topics of research. As a consequence, in the fall of 2012, Academic Senate Chair Robert Powell charged the Chairs of UCAP and UCAAD to work out unambiguous language. After considerable back-and-forth between the two committees, Council endorsed a compromise version of new wording for APM 210-1.d by a strong majority and forwarded it to the Provost. UCAAD strongly supports this proposed modification to APM210-1.d. It unambiguously clarifies the problem language of the existing paragraph concerning how research into issues of diversity and equity are to be evaluated during merit and promotion reviews and proposes flexibility in evaluation of teaching and mentoring of diverse students and junior faculty. It is our hope and recommendation that the Provost will submit the proposed new language to the Divisions as soon as possible in the new academic year.

2. **Practice # 6** – Significantly increase the funding for the President's Postdoctoral Fellows Program (PPFP).
UCAAD recommends that Practice #6 be expanded to include:
   (a) Chancellors also fully implement and enhance the Chancellor's postdoctoral fellowship program. Several campuses have done well but others have had no such fellowships implemented.
   (b) UC as a whole adopt "growing our own" by encouraging permanent recruitment of the best postdoctoral fellows trained in the UC under any program. This program could be called UC

Postdoctoral Fellows Pool (UCPFP). A set of criteria should be developed that would automatically define a fellow as a UCPFP. Further selection could be considered once the number for the year has been identified.

3. Practice #4 – <u>Selection and review of Provosts, Deans and Chairs during appointment and during annual reports regarding their efforts in advancing diversity</u>. APMs 240 and 245 already have language regarding these evaluations. We would like to strongly support this request of the Faculty Diversity Group that these two APMs be fully implemented by the Chancellors.

4. Practice #3 – <u>Accountability Reports on Diversity of Key Senate Committee Compositions</u>. While acknowledging Council's concern that unrepresented minority faculty not be overburdened with service requests, UCAAD believes that the composition of the major committees of the Division Senates such as the Budget/Academic Personnel Committees should represent diversity to the extent of availability. Therefore, UCAAD requests that the Chairs of the Divisions work with their COCs to implement this recommendation. UCAAD also urges the Division Chairs to work with appropriate local committees to ensure that search committees are diverse, as recommended by Council.

5. Practice #11: <u>Cluster Hiring</u> – Encourage "cluster hiring" of URM and female faculty in areas where they are below the national eligibility pool.
UCAAD notes that Council recommended further study of the effectiveness of cluster hiring and would be "inclined to support" the practice if there were more evidence of its efficacy. UCAAD recommends efforts to hire clusters of diverse faculty who work in related areas in different departments, so that a faculty member might be hired in a department but yet have close research ties with another in another department hired at or approximately the same time. This would mitigate the problem of having to allocate several positions at the same time for one department.

UCAAD asks that you convey this advice to the President through the Council.

Sincerely,

Manuela Martins-Green, Chair
University Committee on Affirmative Action and Diversity

CC: William Jacob, Academic Council Vice Chair
            UCAAD Members
            Martha Winnacker, Senate Executive Director

Enclosures: Final Report of the Faculty Diversity Working Group

The University Committee on Affirmative Action and Diversity (UCCAD):
Manuela Martins-Green, Chair (UCI)
Emily E. Roxworthy, Vice Chair (UCSD)
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Michael Navarro (Student Representative, UCSD)

University of California
Systemwide Diversity Student Support Program Guidelines

In July 1995, The Regents of the University of California reiterated the University's longstanding goal of achieving a student body and faculty that reflect the diversity of the state. The Diversity Student Support Program (DSSP) is designed to facilitate the academic career development of students who show potential to become excellent faculty or researchers in institutions of higher education as well as to foster multi-faceted diversity in graduate education at UC. To maintain academic excellence, the University places high value on achieving a diverse graduate student body and faculty because diversity is critical to promoting the lively intellectual exchange and the variety of ideas and perspectives that are essential to advanced research and because graduate students represent the pool of the academic leaders of the future.

The DSSP consists of three program components: Eugene Cota-Robles Fellowships, Graduate Research Mentorship awards, and Dissertation-Year Fellowships.[1] These guidelines set forth objectives, eligibility criteria, implementation requirements, and reporting instructions for the three program components.

The DSSP establishes support activities in the following essential stages of graduate education:

- ♦ Graduate fellowships to support students in the early and mid portion of their academic career;

- ♦ Faculty-mentored research stipends to enable graduate students to improve research skills and to support dissertation-related research; and

- ♦ Dissertation-year fellowships for students in the final year of doctoral work.

Campuses are encouraged to allocate support to departments and programs that successfully promote the objectives of the DSSP. Campuses are encouraged to provide other types of support, such as teaching or research appointments for program participants between periods of DSSP support.

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[1] The three programs that currently comprise DSSP formerly were a part of the Academic Career Development Program (ACDP) along with the Graduate Academic Outreach and Recruitment Program. The Graduate Academic Outreach and Recruitment Program, now known as Graduate Academic Preparation, has been incorporated into the Student Academic Preparation and Educational Partnerships (SAPEP) funding mechanism. The ACDP has been renamed DSSP in recognition that its remaining three programs are all student financial support programs.

Objectives

The DSSP welcomes participation by all qualified individuals, including those from socioeconomic, cultural, ethnic, gender, linguistic, and geographic backgrounds whose presence in graduate education is low. The DSSP seeks to serve the following objectives:

♦ To increase multi-faceted diversity of domestic graduate students at the University of California;

♦ Through faculty mentoring, to place on a "fast-track" for academic careers graduate students who have superior academic credentials and who meet program objectives, thereby fostering a high quality and diversity of backgrounds and perspectives among candidates for faculty positions at UC and other universities;

♦ To prepare potential leaders in the professions, industry, government and public service who will reflect the growing diversity of the state's population; and

♦ To encourage University faculty to reach out through recruitment and mentoring efforts and to encourage cooperation within disciplines among faculty at different campuses.

Eligibility

For all components of the DSSP, campuses will recruit candidates according to the following eligibility criteria:

1. Participants should demonstrate high potential and promise to contribute to the academy.

2. Participants should be domestic students (e.g., citizens or permanent residents) or students who qualify for nonresident tuition exemptions under AB 540.[1]

3. In accordance with state law and Regental policy, preference may not be given to applicants on the basis of race, color, ethnicity, gender, or national origin. Campuses should encourage applications from minorities, women, and individuals from cultural, linguistic, geographic, and socioeconomic backgrounds who would otherwise not adequately be represented in the graduate student and faculty populations. Participants should demonstrate one or more of the following characteristics:

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[1] Eligibility for undocumented AB 540 students is effective January 1, 2013.

A. Experience of situations or conditions which were an impediment to advancing to graduate study, such as the absence of a family member who attended college; matriculation at a school or schools with poor financial or curricular support; having a physical or learning disability; or having worked long hours while attending school; or

B. Academic research interests focusing on cultural, societal or educational problems as they affect educationally disadvantaged segments of society; or

C. Evidence of an intention to use the doctoral degree toward serving educationally underrepresented segments of society.

Funding

Campuses are to provide a minimum amount of funding for each of the program components as specified in Appendix A. These minimum commitments are equal to the program funding levels for 1995-96, the year in which the Academic Career Development Program (ACDP), the predecessor to DSSP, was permanently budgeted at the campuses.[2] Campuses are encouraged to supplement the required minimum commitment with other campus funds to ensure that program awards are large enough to be prestigious and coveted. Campuses have discretion on the number and size of individual awards.

Analysis and Reporting

Analysis and reporting will be through the Corporate Student System. Campuses will provide accurate data on recipients and award amounts for the three graduate education funding programs on their financial aid input files to UCOP.

The Role of Mentorship

The emphasis on mentorship in all components of the DSSP is based on the premise that students' attainment of academic and professional career goals is enhanced by sustained faculty mentorship. Students in a mentorship relationship enjoy the benefits of professional socialization, the acquisition of specialized skills, and participation in collegial relationships with their mentors, and through them, other scholars within their areas of study.

Duration of DSSP Guidelines

The implementation and reporting requirements set forth in these guidelines will remain in effect until new guidelines are issued.

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[2] These minimum funding commitments supersede the maintenance of effort requirements under the decentralization of all graduate student financial support programs to the campuses effective 1997-98. Those decentralization requirements included an additional maintenance of effort based on spending levels for the former Graduate Opportunity Fellowships (GOF) program. The GOF became defunct as a systemwide diversity fellowship program when it was incorporated into the Graduate Block Grant Program in 1993-94. The current minimum funding commitment is only for the three current systemwide programs in DSSP.

Program-Specific Guidelines

I. Eugene Cota-Robles Fellowship Program

The Eugene Cota-Robles (ECR) Fellowship Program, initiated in 1989-90, provides mentored fellowship support to students who are enrolled in doctoral programs at the University. A particular objective of the Eugene Cota-Robles Fellowship Program is to release recipients from employment or loan obligations that might delay progress in graduate study during their first years of graduate study.

Eugene Cota-Robles Fellowships will be awarded competitively by the campus graduate divisions. Each recipient will be expected to work closely with a faculty sponsor whose role will be that of mentor, guiding the graduate student through the development of a curricular plan, and the acquisition of knowledge and skills that will permit the selection of an appropriate dissertation topic leading to the completion of a doctoral degree. Faculty guidance, counseling and orientation are encouraged at the departmental level for first-year students. Academic departments and the graduate divisions will be responsible for assisting students in the selection of appropriate mentors and for informing mentors of their responsibilities within the program.

II. Graduate Research Mentorship Progra

Research Mentorships form an important link in the continuum of support for academically promising graduate students. The distinctive purpose of the Graduate Research Mentorship Program (GRMP) component of the DSSP is to assist recipients in acquiring and developing advanced research skills under faculty mentorship. The program's expected outcome is to increase the number of students who persist toward and complete the Ph.D. degree and who show promise as potential candidates for faculty appointments.

The Program supports students who have completed basic coursework requirements. Awards are recommended to support second-, third-, or fourth-year graduate students, but graduate divisions may select students farther along in their graduate programs who are making timely progress toward completion of the doctoral degree. Each Graduate Research Mentorship award holder may be appointed up to one year, and may be renewed for an additional year. Faculty mentors are expected to assist student participants with research leading to the development of a doctoral dissertation.

III. Dissertation-Year Fellowship Progra

The Dissertation-Year Fellowship Program (DYFP) is designed to assist graduate students to complete the dissertation requirement for the Ph.D. degree and to enhance their qualifications as candidates for university faculty teaching and research appointments. It is recommended that Dissertation-Year Fellowships be awarded to eligible graduate students whose doctoral

work will be completed by the end of the program year and who demonstrate strong potential for university teaching and research.

Key objectives of the Dissertation-Year Fellowship component of the DSSP include releasing candidates who are writing their dissertations from employment obligations that might impede full concentration on completion of the Ph.D. degree by the end of the academic year. Enhancing these scholars' ability to complete their dissertations is expected to increase the pool of available qualified candidates for faculty positions at the University of California and other institutions of higher education.

Dissertation Year Fellowship awards may, at campus option, include travel funding to support visits to other universities for presentation of dissertation research. Dissertation-Year Fellows are required to present a seminar on their dissertation research twice during the program year: once at an appropriate department or graduate group function on their own campus and once at a UC campus other than their own, a California State University campus, or an independent California university. It is the responsibility of the graduate divisions to make clear that presentation of research during the program year is a condition of accepting this fellowship. Mentors should be responsible for assisting in the arrangement of such presentations. Additional mentoring and networking opportunities for Dissertation Year Fellowship recipients are strongly encouraged. It is recommended that Fellows appointed to this Program be expected to complete the PhD degree at the end of the academic year for which they are appointed.

Appendix A
Diversity Student Support Program
Minimum Annual Funding Levels[1]

Campus	Eugene Cota-Robles Fellowship	Graduate Research Mentorship	Dissertation Year Fellowship
Berkeley	$473,200	$200,527	$155,640
Davis	$151,000	$108,845	$77,820
Irvine	$181,200	$68,821	$38,912
Los Angeles	$362,400	$199,249	$155,640
Merced	----	----	----
Riverside	$180,000	$60,000	$37,913
San Diego	$211,400	$94,843	$51,880
San Francisco	$150,625	$54,023	$38,860
Santa Barbara	$152,000	$90,217	$64,877
Santa Cruz	$151,000	$62,025	$51,880

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[1] Minimum funding levels for the Diversity Student Support Program (DSSP) are equal to the program funding levels for 1995-96, the year in which the Academic Career Development Program (ACDP), the predecessor to DSSP, was permanently budgeted at the campuses.

UC-HBCU Initiative

The UC-HBCU Initiative seeks to improve the representation of African Americans/Blacks in UC graduate programs, particularly Ph.D. programs, by investing in relationships and efforts between UC faculty and Historically Black Colleges and Universities (HBCUs). At the graduate level, African Americans/Blacks are extremely under-represented in UC graduate and professional programs. The five year average (2007-2011) for enrollment of African Americans in UC academic doctoral programs is 2.5%.

HBCUs have long played a role in providing educational opportunities for those previously excluded from education. The first HBCU was established in 1837, with most other institutions established after the American Civil War. Currently there are 105 HBCUs serving more than 300,000 students. For a complete list of HBCUs, please visit the White House Initiative on Historically Black Colleges and Universities.

Through the UC-HBCU Initiative, the Office of the President encourages UC faculty to actively engage in collaboration and cooperation with faculty and students at Historically Black Colleges and Universities. Such efforts will serve to strengthen and enrich UC's mission of teaching, research, and public service.

In 2011-12, 11 of the 33 submitted proposals were selected for funding. In 2012 thirty-six HBCU students participated in summer research internships at UC campuses. For the summer of 2013 more than fifty-five UC-HBCU Initiative Fellows are expected to conduct research across nine UC campuses.

Additional information, including links to UC-HBCU Initiative Application Information and UC-HBCU Initiative Campus Programs and News can be found at:

http://www.ucop.edu/graduate-studies/initiatives-outreach/uc-hbcu-program/

Mentoring and Being Mentored   DRAFT

Achieving tenure and moving through the ranks into positions of leadership in the UC and the Comparison Institutions has proven to be a challenging process. This is particularly true for women, and for both men and women of underrepresented groups. Mentoring by senior colleagues has proven of value in helping their junior faculty navigate the difficult waters of achieving tenure. In the health sciences, faculty and trainees who identify mentors are more likely to be promoted [1-4], are more productive [5-8] and publish more often [4,7,9,10]. However, non-health sciences faculty and faculty at different campuses may have different mentoring needs. Similarly, faculty at different stages of their careers and in different departments require diverse mentoring approaches.

Efforts to establish mentoring programs are often thwarted by departments and individuals who feel that they do not need mentoring – that their current system is working well. As a result, in many cases, faculty might not come forward because requesting a mentor could be interpreted as a sign of weakness. Legal liabilities also can pose a concern for a potential mentor. However, if all faculty -- across the board -- were strongly encouraged to have a mentor, the stigma surrounding it would be dissipated. Similarly, the institutionalization of a mentorship program – having it as a requisite expectation for faculty – makes the task of seeking a mentor less onerous. A mentoring website that facilitated pairings between mentors and mentees could be very helpful. Moreover, setting up formal expectations among department chairs for mentoring is critical, particularly to assist faculty who might be more likely to be left out of informal networks – who are not part of the traditional social power structure of academia – eg. women and people of color. UC may want to consider incorporating mentoring as a part of the job description for Department Chairs, along with the expectation that each department will create its own mentoring program.   Academic program review could be used as an institutionalized quality-control process on each campus.

Approaches to Mentoring

Traditionally, mentoring has been defined as "a dynamic and reciprocal relationship" between two people that is designed "to promote the development of both." However, in today's complicated academic world it is probably more fruitful to have mentors for specific needs. This approach looks at mentoring as a mosaic that addresses the multiple needs that a faculty member might have.
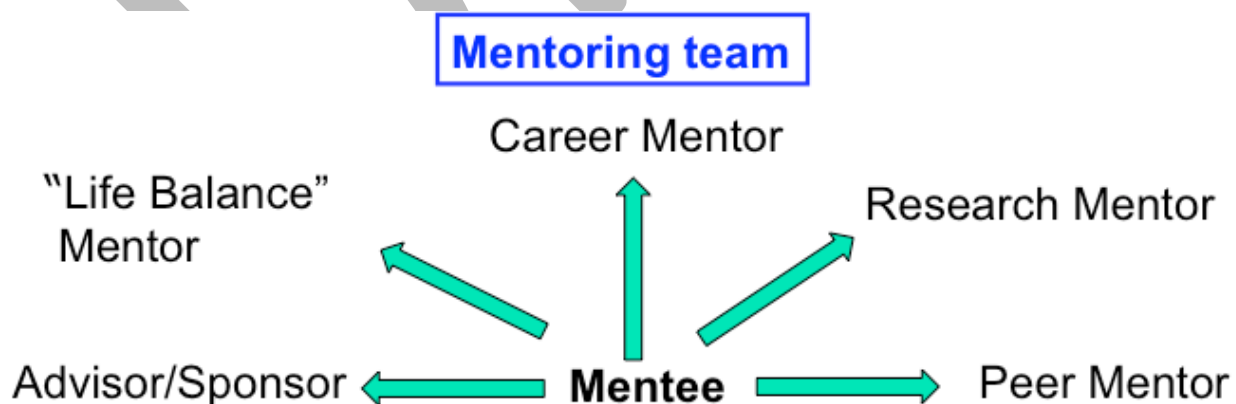
This multifaceted approach encourages:
1. Strong disciplinary engagement
2. Formal and informal interactions
3. Use of broad professional networks
4. Use off-campus networks and coaching services

Characteristics of an outstanding mentor:
1. Enthusiastic, compassionate, empathetic and selfless
2. Offers support tailored to each mentee
3. Makes strong time commitments with regular, frequent, and high-quality meetings
4. Lends support for both personal and professional issues
5. Leaves a lasting desire in the mentee to become a future mentor

The mentor/mentee relationship can be thought of as having three components:
1. Duration (long vs. short)
2. Scope (focused vs. comprehensive)
3. Focus (professional vs. personal)

Mentoring poses many challenges, among which are:
1. Establishing a good match
2. Commitment of time of both mentor and mentee
3. Commitment to quality
4. Obtaining feedback and follow up

Important components of a strong Mentorship Program are:
1. Recognition – awards, Merit and Promotion process, mentor of the month!
2. Mentee/mentor – increase knowledge of how to mentor and be mentored through:
   ➤ Mentor development programs
   ➤ Meet the Mentor gatherings
   ➤ Mentee training workshops, seminars, luncheons
   ➤ Development of mentoring skills
3. Networking amongst mentors
4. Feedback and assessment -- need to establish how to get feedback from Mentees and Mentors and how to evaluate the program.

One important aspect of mentoring involves dealing with personal issues. In this case, the Department Chair is not a good candidate that junior faculty should be encouraged to approach. Look for others, both within and outside the department. Having advice and support outside the department, far from people in positions of influence or power, is important. Also, online mentoring programs are earning tremendous positive feedback. These anonymous and national accountability groups provide workshops on advancement and are highly tailored to the needs of modern faculty who are inundated with demands on their time. Examples of Online Mentoring Resources:
http://www.facultydiversity.org/
http://academicladder.com/
http://www.mentornet.net/

The last facet of the mosaic is affinity group mentoring that historically has – and continues to have – a lot of value for faculty, particularly for those from groups that have been underrepresented in higher education.

Mentoring beyond attaining tenure

There tends to be an emphasis on mentoring of Assistant Professors, but the mentoring of Associate Professors – particularly in the book-based disciplines – is a huge area of need. Right after getting "the great" promotion (i.e. tenure), the new Associate Professor can be overwhelmed with the numerous tasks he/she is now asked to do. This is particularly true for women and underrepresented men and women because at this time in the University they are still not numerous.

As was pointed out at the ADVANCE PAID workshop on Mentoring (April, 2013, at UCR), Associate Professors may need to retool, refresh and restructure in order to continue to be successful. This requires continued mentoring to ensure that these midcareer faculty do not get stuck and miss opportunities for advancement because the issues revolving around midcareer progression are fundamentally different from those experienced pre-tenure. The early years are primarily concerned with attaining tenure, hence junior faculty are very focused on that single goal. Once that is achieved, however, the issues become much more about planning for a long-term academic career that will be meaningful, will involve identity and leadership, as well as leaving a legacy.

The need to establish a career roadmap is critical because if that is not done shortly after attaining tenure, there is a tendency to lose focus and to eventually find oneself pulled in many directions, leading to lack of direction and accomplishment. In order to avoid career paralysis:

1. Make your scientific priorities and put in place a set of evaluation criteria.
2. Manage your time, learn to say NO. Accept only to do the things that you determine will propel your career forward and can benefit the institution. This is critical to maintaining a balanced life.
3. Avoid conflicts as they can consume a lot of your time. Choose your battles
4. Be effective in your teaching. This can bring enormous rewards to you and your students and good teaching evaluations will contribute greatly to your sense of achievement and to your advancement.
5. Be flexible -- being flexible helps adapt to those very critical times in which a change of plans needs to occur. Doing it with good spirits and a positive attitude goes a long way to help accept change.

Mentoring for faculty at the professor level

Other Resources on Mentorship Programs:

UCB Mentoring Program
"Berkeley values mentoring as a valuable investment in its future academic excellence by enabling faculty to do their very best work throughout their academic careers. There is no standard model for faculty mentoring across the campus, but there is an overarching goal to promote the development of mentoring programs that are tailored to the traditions and values of individual departments and schools, and are attentive to mentoring across differences such as gender, race, culture and generational lines. Faculty mentoring should include all aspects of academic life, such as balancing professional and family obligations, and should address the needs of assistant, associate and full professors as they advance through the ranks."

The Berkeley faculty mentoring website is designed to support efforts by departments and schools to advance faculty mentoring at Berkeley: http://diversity.berkeley.edu/mentoring

Faculty Mentoring Programs - Departments and Schools (with links to individual programs in L&S): http://diversity.berkeley.edu/mentoring/programs
Principles and Best Practices: http://diversity.berkeley.edu/mentoring/principles
Other University Faculty Mentoring Programs and Resources: http://diversity.berkeley.edu/faculty-mentoring-resources-and-literature

UCSF Mentoring Programs
UCSF has a standard baseline expectation for mentoring; everyone is expected to have multiple mentors. This expectation grew out of a campus climate survey that revealed a profound lack of mentoring for faculty. The campus then identified resources to hire a half-time mentoring director. That director created an institutional infrastructure for mentoring that includes mentor and mentee training programs and

prestigious awards with recognized award ceremonies. The award structure is staggered for new, mid-career, and long-term faculty; the expectation is that aspects of the mentoring process will continue through a faculty member's trajectory.

All new faculty members at UCSF have to report that they have secured a research mentor and a career mentor – those are the two baseline requirements. If they are unable to find a mentor, the director helps them identify potential candidates. Once tenure is secured, some faculty are encouraged to apply for UCSF's mentor training program and leadership training programs. Some sections of the mentoring training are explicitly about learning to mentor female and URM faculty. These programs are by application-only, with selective admission. Overall, the culture surrounding mentoring at UCSF has changed quickly for the better in about six years.

UCAAD discussed the UCSF program and how it might be adapted to other campuses. Consideration was given to the creation of new vice and assistant positions (unpaid) that would provide leadership shadowing opportunities for women and URM. Concerns about potential conflicts of interest with regard to mentors and evaluation were also voiced. Members shared aspects of small campus efforts that could be incorporated into a larger mentoring program.

Faculty Mentoring Program: http://academicaffairs.ucsf.edu/ccfl/faculty_mentoring_program.php

Distinction in Mentoring Awards :(http://senate.ucsf.edu/2012-2013/dim-2012-13-callfornominations.html).

Mentor Development Program (MDP): http://accelerate.ucsf.edu/training/mdp-announcement

Note: One interesting concept that's available but doesn't seem to be featured on the above websites is Mentor of the Month. It's one designated senior faculty person each month -- who's gone through all of the mentor training, and who's been identified as a great mentor by others – who fields calls/emails/questions/dilemmas from anyone anywhere on campus. It's a completely confidential process, and I've heard that it's central in helping people in very sticky mentor-mentee situations navigate through/out of them.

UCSD Mentorship Program:
Diversity Opportunities Database: http://academicaffairs.ucsd.edu/faculty/diversity-opportunities/.

Faculty Candidate Information about Contributions to Diversity:
 http://facultyequity.ucsd.edu/Faculty-Applicant-C2D-Info.asp.

Presentation made at the ADVANCE PAID Workshop on:
Mentoring Faculty in an Inclusive Climate: Supporting Women and URM STEM Faculty at UC Overview/Documents/PowerPoints: http://www.ucop.edu/ucadvance/events/past-events/roundtable-april-10-2013.html

Video Links:
http://www.uctv.tv/shows/How-Can-We-Promote-the-Advancement-and-Success-of-Tenured-Women-Faculty-25201

http://www.uctv.tv/shows/We-Want-You-Here-How-Can-We-Help-You-Thrive-25200

http://www.uctv.tv/shows/Welcome-and-Research-Context-Mentoring-Faculty-in-an-Inclusive-Climate-Supporting-Women-and-URM-STEM-Faculty-at-the-University-of-California-25197

http://www.uctv.tv/shows/The-Importance-of-Mentoring-Women-and-Minority-Faculty-at-Every-Career-Stage-A-National-View-25198

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