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*Chair of the Assembly and the Academic Council
Faculty Representative to the Board of Regents
University of California
1111 Franklin Street, 12th Floor
Oakland, California 94607-5200*

January 21, 2009

**PRESIDENT MARK YUDOF
UNIVERSITY OF CALIFORNIA**

Re: Draft Accountability Framework

Dear Mark:

The Academic Senate has received comments on the draft Accountability Framework from eight divisions (UCB, UCI, UCLA, UCM, UCR, UCSB, UCSC, and UCSD) and ten standing committees (BOARS, CCGA, UCAAD, UCAP, UCEP, UCFW, UCIE, UCOLASC, UCORP, and UCPB). Members of the Academic Council appreciated the opportunity to discuss the framework with Vice Provost Greenstein and the project's chief data coordinator, Anne Machung, at our meeting in November. We understand that some of our comments and concerns will be incorporated into the upcoming version, with other comments and concerns incorporated into future reports as well as detailed reports on specific topics. Please note that the Academic Council will be happy to facilitate further Senate engagement with Vice Provost Greenstein as he revises and expands the report.

The Academic Council appreciates the extreme time constraints under which the draft Framework was prepared. Council and the Senate's divisions and standing committees devoted substantial time and effort to in-depth reviews of the Framework and offer the following comments in the spirit of constructive collaboration. Each of the standing committees focused on its particular area of expertise, offering specific comments on the data provided and suggesting other data that could be valuable to include. All comments submitted are enclosed.

There was a remarkable consensus in the respondents' general critiques of the document's definition of goals, its selection of data, and lack of interpretation. Two committees (BOARS, UCPB) felt strongly that the document should be constructed to convey that UC does not have enough state support to maintain excellence. Several committees and divisions suggested that Senate bodies could have contributed to the original drafting of the Framework if asked, and several are concerned that the report cedes the central message and interpretation of its data to the reader and could be used in unintended ways.

Definition of Goals. A majority of respondents noted that the draft Framework does not define accountability, articulate clear goals, or define its audience (UCB, UCLA, UCR, UCSD, BOARS, UCFW, UCORP, UCPB). They recommended that the purpose of the document and the audience for whom it is intended be clarified, as this affects the selection of data and best approach to analysis, as

well as the extent of explanation and interpretation required. Meaningful accountability depends upon the articulation of clear, actionable goals, which make possible measurement and evaluation of progress and assessment of what is needed to overcome deficiencies (UCPB).

Selection of Data. Many reviewers also questioned the selection of data, noting that the data appears to be limited to data that is either publicly available or easily accessible, but that it often is not inherently useful either in combination or as a snapshot (UCSD, UCFW, UCORP). There was consensus that the most accurate and valid data should always be used, even if it requires primary data collection to obtain it. In the current version, the data reflects what we can measure, rather than what we should measure (UCFW), and does not necessarily ask the questions that should be asked (UCSD, UCFW). There is no discussion of how the data relate to each other or to the report's goals (UCB, UCSD, UCFW, UCORP). Moreover, the data is descriptive, documenting trends with little guidance for evaluating those trends or for assigning a causal role to underlying "inputs" into the educational process (UCPB). The document should explicitly identify and discuss the need for better metrics (UCSD) and should include qualitative data (UCB).

Additional recommendations for improving the selection and presentation of data include the following: statistics should be normalized by population size (UCM, UCSC); percentages, not absolute numbers, should be used in some cases (UCSB, UCORP); data-specific caveats should be noted on the pages where the data are being presented (UCFW); campus-level data should not be disaggregated unless it is useful to do so (a standard format does not provide added value) (BOARS, UCFW); the Office of Academic Advancement and CPEC data on faculty salaries should be used rather than AAUP data (UCAP); and indicators measuring the accountability of UCOP should be included (UCB, UCR). Finally, reviewers feel that there is too little data on international students and UC students who study abroad (UCIE) and on graduate education (UCR, CCGA). The report should explain the value of graduate education to the state, and should distinguish between academic and professional graduate students (CCGA).

Interpretation of Data. There was consensus that the report should provide more context and interpretation of the data presented (UCLA, UCR, UCSB, UCSC, BOARS, UCFW, UCORP, UCPB). Specific recommendations include the addition of an executive summary (UCLA, UCORP), and a narrative for each section that outlines key themes (UCORP), summarizes the data, and lists the specific goals it measures (UCPB). Moreover, the narratives should refer to the principal question: how well the University is doing its job (UCFW) and how well it serves the state of California (UCR). A key message should be the connection between funding and accountability (BOARS, UCPB). The data should demonstrate the impact of declining resources over an extended period (UCSB, UCPB); document the funding necessary to bring each UC campus to a comparable standard of excellence and identify threats to that goal (UCPB); and document the true cost of education per student (UCR). Reference to national rankings should either be omitted entirely (UCFW) or used with caveats about methodologies and bias (UCORP).

Several reviewers objected to identifying some UC campuses as flagships and disaggregating the data by campus, which implicitly ranks them against each other and contradicts the notion that UC is one university. (UCM, UCSB, UCSC, UCSD, UCEP, UCPB).

Finally, UCPB notes that the Senate has shown strong leadership in analyzing all areas covered in the Framework and should be an equal partner in developing UC's approach to public accountability. UCPB recommends ongoing Senate oversight to monitor the development of the framework, perhaps through a special joint Senate-Administration task force.

We offer our expertise and stand ready to serve as the Accountability Framework moves forward. Please do not hesitate to contact me if you have any questions regarding our review, and thank you for the opportunity to assist with this critical document.

Sincerely,

A handwritten signature in cursive script that reads "Mary Croughan".

Mary Croughan, Chair
Academic Council

Encl. (18)

Copy: Interim Provost Robert Grey
Vice Provost Daniel Greenstein, Academic Information and Strategic Services
Coordinator Anne Machung, Academic Information and Strategic Services
Academic Council
Martha Winnacker, Senate Director



November 7, 2008

MARY CROUGHAN
Chair, Academic Council

Subject: University of California accountability framework

Dear Mary,

On November 3, 2008, the Divisional Council (DIVCO) of the Berkeley Division discussed the draft accountability framework. While DIVCO found it to be an interesting compilation of data, it was critical of the lack of an analytic and contextual foundation for the document. DIVCO recommends that such a framework begin with a clear and concise definition of accountability, and that the data presented relate directly to that definition.

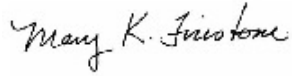
As the data presented were extensive, DIVCO recommends that the Office of the President work towards identifying which data are most meaningful in a defined assessment framework. The University can then justify the importance of the data sets selected and provide the necessary context for understanding and interpreting the data presented. In summary the metrics used should be better defined and focused in order to yield a more meaningful assessment of the University.

DIVCO also articulated a strong case for the development and inclusion of qualitative data. We compared the types of data and analysis used in our campus academic program review process to those used in the accountability framework and found the framework wanting. The framework provides a detailed profile of the University, but fails to address its quality or assess the challenges faced by the institution.

Finally, DIVCO noted that the framework provides no data on the Office of the President (UCOP) itself. UCOP should develop metrics to assess the value added by the institutional superstructure.

In sum, DIVCO recommends that future considerations of accountability provide more focused quantitative metrics, include highly relevant qualitative information, and include assessment of the University's systemwide "campus."

Sincerely,

A handwritten signature in black ink that reads "Mary K. Firestone". The script is cursive and fluid, with the first name "Mary" and last name "Firestone" clearly legible.

Mary K. Firestone
Chair, Berkeley Division of the Academic Senate
Professor, Environmental Science, Policy and Management



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November 18, 2008

Mary Croughan, Chair, Academic Council
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RE: REVIEW OF THE UC ACCOUNTABILITY REPORT

At its meeting of November 4, 2008, the Irvine Division Academic Senate Cabinet reviewed the draft of the UC President's Draft Accountability Framework, a step towards establishing an annual report that tracks the University's progress in meeting key goals. The framework is expected to assist in providing evidence-based, data-driven reports each year. It is already available online in a public draft form that will be finalized in early 2009.

We feel strongly that ongoing Academic Senate oversight is needed to monitor the development of the framework, drawing on the expertise present on each campus and system-wide in standing committees that devote a significant amount of time to precisely the issues the framework tries to address. Furthermore, if the framework is to serve as a template for annual reviews, it will need to incorporate a number of issues not currently addressed; for instance, the framework might well include a section on university hospitals, and a section on compliance.

As currently formulated, the framework does not do enough to permit an informed analysis of trends. Future versions could document progress in diversity or graduation rates. Without accompanying data for comparison, it will be impossible to evaluate the change and its potential causes. Without accompanying documentation, UC may in fact invite misinterpretation of the data in this publicly available document, and once such misinterpretations appear in the press, they may quickly become conventional wisdom.

The Senate Cabinet believes the budget message here could be stronger and clearer: that State support remains critical, and that UC does not have enough State support to maintain excellence. Data illustrating this message – how that budget is allocated and spent and what outcomes follow from those decisions – should comprise a larger share of the framework.

Reliable longitudinal data on postgraduate outcomes are missing. What is the value of a UC degree? This could take the form of data on lifetime earnings, but should also address the classical definition of the purpose of a liberal arts education, to make a better citizen. Also missing are any metrics of the impact of UC on the California economy.

It was noted also that there is currently no metric that reveals the extent of accumulated funding disparities among the campuses. For instance, endowment per student could be adjusted to reflect "endowment per student normalized by campus age" - i.e. divided by number of years since

campus inception. Another crucial area for greater transparency is campus-by-campus data on net State funds per enrollment, excluding nonresident tuition, a portion of federal indirect cost reimbursement, overhead on State agreements, application fees, and miscellaneous fees. The Council on Planning and Budget (CPB) requested that UCOP help campuses track net State funds per enrollment, adjusted by State fund allocations budgeted to health sciences and MRUs (since campuses operate MRUs for the benefit of all faculty university-wide), and also adjusted by State funds budgeted to agricultural field stations which are historically line-item funded.

It is not clear why only graphs were chosen instead of tables or numbers. It is important to note the source of each set of data to ensure that the data can be readily obtained, verified, and clearly analyzed.

Section 1: Undergraduate Student Success

- The data given are insufficient for pinpointing problem areas or even just identifying potential cause-effect relations, and consequently it is not clear that they can lead to corrective policy actions. For example, data is not presented according to area of major, academic performance, and socio-economic status.
- Indicator 1.6, undergraduate degrees awarded by discipline, contains a lot of good information, but it is hard to see the relative proportions when the campus sizes differ so much. We would suggest pie charts of different sizes, or report % in each discipline. Two tables report the number of undergraduate degrees awarded and the self reported post-graduate aspirations of students. It would be interesting to see data on the proportion of new college degrees that UC contributes to the State every year, if such data are available, compared to other in-state institutions, which could demonstrate the UC system's contribution of college-educated entries to the California workforce.
- What percentage of the undergraduate courses is taught by ladder rank faculty?
- We would like to know about faculty/student contact outside of the coursework.

Section 2: Undergraduate Affordability

- It was noted that a trend may be occurring at UCI (compared to the other UCs) whereby the percentage of UCI students from the highest income level (134K +) has been going up for the past few years. The opposite trend can be observed for Berkeley and San Diego. Additionally, the percentage of students from the lowest income level (0-45K) is falling. It was surmised that these effects could be the unintended consequences of a self-selection process whereby students from more affluent racial/ethnic groups are choosing to attend UCI while members of less affluent groups are choosing other growing UC campuses (e.g., Riverside.) More information about diversity and other characteristics of the UCI undergraduate population (such as acceptance vs. yield rate of diverse populations) to explore these trends in more depth should be included

Section 3: Undergraduate Access

- Sample Size: For example, Indicator 3.1, 3.4 3.5, and others did not provide an indication of the sample size or reference to graphs with the sample size.
- URM and related data: A version of Indicator 3.1 needs to be developed that corresponds to the top 12.5% of high school graduates. In addition, separation of the data into cohorts (African American, American Indian, and Chicano-Latinos) might provide some insight not supplied by the aggregated data. Further, since admissions might be based on criteria such as first generation, low income, rather than URM status, indicators corresponding to those

criteria should be prepared. Also, indicators for statewide disaggregated URM demographics as well as number of first generation low income should be presented.

- Quality Indicators: Indicators 3.4-3.8 are quality indicators for transfer and freshman. The committee felt that improved insight could be provided by on both a system wide and also a campus basis separating that data into discipline area such as STEM, Humanities and Social Sciences, etc. Finer differentiation, for example, by school, might provide more insight.

Section 4: Undergraduate Student Profile

- Student Profile Indicators: Indicators 4.3, 4.4, 4.5 and 4.6 show undergraduate enrollment by race ethnicity and gender. The committee felt that improved insight could be provided on both a system wide and also a campus basis by separating that data into broad discipline areas such as STEM, Humanities and Social Sciences, etc. Finer differentiation, for example, by school, might provide more insight.
- Student Profile Indicators: Indicator 4.9 separated into data for individual campuses does not indicate the sample size but should do so. Again, the committee felt that improved insight could be provided on both a system wide and also a campus basis by separating that data into broad discipline areas such as STEM, Humanities and Social Sciences, etc. Finer differentiation, for example, by school, might provide more insight.
- How does the UC numbers compare to state demographics or the population of CA high school graduates.

Section 5: Undergraduate Student Experience and Proficiencies

- How were the averages computed (i.e., what were the sample sizes and was a weighted average used to calculate the overall UC average)?
- The questions which measure the degree of participation in research by undergraduates do not appear to capture the actual level of research involvement by undergraduates. A general question about whether the student has been involved in his or her own research project could be added to this section so that all UC campuses can better showcase undergraduate critical thinking, logical argumentation, and research skills.
- A question should be asked about the number of hours students work on or off campus. Again, other data indicate that UCI's undergraduate population work significantly more than other UC undergraduates.

Section 6: Graduate and Professional Student Profile

- Systemwide funding for graduate students continues to lag behind that of its peer public and private institutions, as the report notes with regards to their "net stipend gap." (136) The report also recognizes that "The high cost of living in many California communities compared to other parts of the country exacerbates the net stipend competitiveness gap between the UC campuses and non-UC schools in many cases." (136) Because this difference in funding relative to actual cost of living is widely recognized by graduate and professional student admittees, it needs to be factored into the color graph that dominates the page, and not simply qualified in a bullet point.
- This real-life gap in cost of living versus abstract gap in absolute dollars is further obscured on the report's next page, whose lower graph shows that UCI and UCR offer more, not less funding to their admittees compared to their first-choice non-UC programs.
- Moreover, the data would be far more useful were it broken down for comparisons according to types of programs (Arts/Hum, Soc Sci, Bio/Life Sci, STEM), given that there can be significant funding disparities across such programs.

- Production during graduate school is more difficult to determine. One good measure is how early and often graduates publish in scholarly journals and present at conferences. Competitive external fellowships are another indicator of graduate production.
- Measuring post-graduation success could be supported with information on whether graduates are being hired and retained in the careers that they find most desirable. Some hints of these data are given in 6.11; these data could be improved by showing whether “Post-Doctoral Training” indicates that a student is planning to pursue a Post-Doc, or whether they actually have one lined up. It would be useful if future surveys asked whether they were hired for their first choice of jobs or not.

Section 7: Faculty

- Section 7.2 looks at full-time ladder-rank faculty by race/ethnicity. Finer-grained data would be useful, including a breakdown of historic trends by such large categories as humanities and arts, social sciences, and engineering and natural sciences, for comparison within the UC as well as with comparison institutions.
- On full-time ladder rank female faculty (7.4.), the framework again simply notes that the percentage varies by discipline. Overall, 29% of UC ladder faculty are women; this is slightly higher than comparison public universities, but significantly higher than comparison private universities, with between 20% and 25% female faculty: this needs to be disaggregated and better quantified. More careful presentation of data could also provide additional comparisons with Comparison 8 universities.
- In terms of student-faculty ratios (7.6), the difference between budgeted and actual shows UCLA and Berkeley in better shape. Comparing the number of lower division hours from campus to campus, and the ratio of lower-division to upper division for the different campuses, shows very uneven distributions. The use of lecturers ought to be disaggregated into general categories (e.g., humanities and arts, social sciences, and engineering and natural sciences).
- An additional measure focused on the composition and organization of the faculty worth tracking is interdisciplinary structures and interactions.
- What would it cost to become competitive with comparable institutions, and what will be the impact on our competitiveness of the return to retirement contributions? It was noted that the UCOP web site offers a thorough analysis by the Faculty Salary Scales Work Group. That report is not even mentioned in the framework, but it provides a far more detailed picture of the subject.
- An important metric is retention rate. How many faculty are leaving, at what stage in their careers, and why? These data could be obtained from resignation letters, outside offers, etc.; the UCI ADVANCE program has some studies based on exit interviews, and others on start-up costs (based on offer letters). UC should track whether we are losing faculty due to quality of life issues (affordability of housing, schools for children, etc.) or professional problems (inadequate research space, too few graduate students, etc.)

Section 8: Research

- Indicators 8.1 and 8.4 on “annual growth” would mean more if there was also information about any growth in federal research dollars.
- Would a comparison to comparable research universities be better here? The initial positions of indicator 8.1 suggest that annual % growth is the most important measure.
- Research funding source information in Indicators 8.5 and 8.6 is represented in a stacked bar graph, which makes it difficult to see trends in the various sources. It would be useful to see research dollars per faculty member at each campus, aggregate as well as medical versus non-medical. In 8.6, again some information is being emphasized, whereas productivity per

faculty member and the breakdown at smaller campuses is lost. In 8.7, there should be a national benchmark here. What was the University's market share?

- Some of the comments under 8.9 should be supported with more in-depth and all campus data. Data regarding how UC contributes to economic growth in California is sorely needed. There is an effort under way nationally and at UC to develop additional measures of technology transfer success that better reflect the important goal of fostering relationships. As alternate metrics are developed, they should be included in future accountability reports. It should be possible to present other measures of scholarly activity and research productivity, such as number of articles, books, citations (total across system, total per campus, and rate per faculty). These indicators could also be compared to faculty at peer institutions, and they should encompass disciplines beyond science and engineering.

Section 9: Campus Rankings

- The inclusion of this section is controversial. Some faculty believe that campus rankings are a terrible idea and the entire section should be cut. The feeling is that campus rankings serve to reinforce the flagship model and stratify the system.
- Inclusion of *US News & World Report* rankings ignores the last decade of debates about their reputational methodology. UC should lead in recommending carefully considered criteria for campus rankings. For instance, another ranking to consider is *The Chronicle's* "Top Research Universities Faculty Scholarly Productivity," where in 2007 UCI ranked very high among 375 universities which offer PhD degrees, based on books published, journal publications, citations of journal articles, federal-grant dollars awarded, honors and awards. The NRC ranking, though out of date here, is another one to monitor, as a new assessment exercise is due out later in 2009. In 2001 the NRC authorized a study to address methodology questions from previous rankings. That study proposed a variety of approaches, and outlined methods to put the rating and ranking tasks on a sound statistical footing. Of all the rankings noted, it appears to be the most credible, but it may take another six months before we see any of the results of the current assessment.

Section 10: Finance, Capital and Development

- The quality of Section 10 varies considerably. A negative example is the very first topic, namely the development of University-wide Revenue by Source (Indicator 10.1, p. 194). This is arguably the most important page of the whole section. Unfortunately the presentation of the data neither allows comparisons to see trends and notice problems, nor are such comparisons, trends or problems discussed in the annotation. For instance, the stacked histogram in Fig. 10.1 hardly shows changes over the years for smaller categories of income. The report also does not compare the UC revenue structure with those of other universities. Consideration should be given to using the same sources for revenue and expenditures by source in Indicators 10.1 and 10.2. Medical Centers should not be included in the indicators, and the DOEs should be separated from other research. The latter is particularly important due to the formation of the LLCs and intent to make long-term comparisons with these indicators. Moreover, indicator 10.1 covers only the period 2003-04 to 2006-07 and makes it appear that state funding for UC is holding steady. The stacked histogram in Figure 10.1 does not allow one to see changes over the years for smaller categories of income, and the report does not compare the UC revenue structure with other universities.
- In figure 10.2, blue (bottom) includes what faculty actually produce in terms of research, the other research band is what research assistants and lab staff do – the chart seems to pretend that faculty are here to teach, not to conduct research. Figure 10.3 (Per-Student Average Expenditures for Education) provides insight because it shows trends (declining state funds) and contains numbers that allow for an exact comparison. Unfortunately, the graph for indicator 10.3 makes it appear that student fees have not changed or are decreasing, when in

fact the students' share of the expenditure total has risen 29% in 10 years while the overall average expenditure per student has declined 20%. If quality of education is to be correlated with the amount of money spent per student, then quality is going down. The most important conclusion from these data is that over the past 10 years students have paid a higher proportion of the costs for a cheaper and possibly lower quality of education at UC. It might be interesting to see this same "per-student average expenditures for education" by campus to reveal how these three fund sources are distributed by UCOP to the individual campuses relative to actual enrollment numbers. Can we not break out expenditures per student by campus? This also should be related to a national benchmark. Regarding 10.4, it would be helpful to see the same assignable square feet growth rate by "room use categories" to understand how UC is developing its space resources to accommodate the various needs of the campuses. And regarding 10.7: How do these data on seismic retrofitting and cross campus comparisons of completed retrofitting compare with the other charts comparing campuses using CPEC standards?

- The fundraising measures (10.8–10.12) appear to be almost tautological tools for comparing state support to fund-raising. These charts skirt and dodge the issue of privatization. A clear message about the erosion of state support is buried. Year-to-year trend line graphs would be more helpful than 5-yr stacked bar graph. The point is to understand how campuses are growing their private support programs relative to peers and comparison institutions. Rather than reflecting which tax-exempt entity donors direct their giving to (Regents vs. Foundation), it would be better to show private support by constituent group: for instance, trends in alumni giving and participation rates, corporate & private giving, non-alumni individual giving, maturing planned gifts, annual giving program productivity, new donors, repeat donors, etc.
- Important indicators not included in this crucial section are a) net State funds per student enrollment by campus and b) unfunded or under-funded facilities and capital projects (both for construction and maintenance). Now that UC has adopted a full transparency policy regarding allocations, UCOP can provide campus-by-campus data on total State fund allocations by campus for 2008-09 (rather than "General Funds," which include nonresident tuition, a portion of federal indirect cost reimbursement, overhead on State agreements, application fees, and miscellaneous fees), adjusted by State fund allocations budgeted to health sciences. Second, these State fund allocations could be analyzed after being further adjusted by allocations budgeted to MRUs (since campuses operate MRUs for the benefit of all faculty, University-wide), and adjusted by State funds budgeted to (historically line-item funded) agricultural field stations, by campus.

The Irvine Division appreciates the opportunity to comment.



Jutta Heckhausen, Senate Chair

C: Martha Kendall Winnacker, Executive Director, Academic Senate



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November 7, 2008

Mary Croughan
Chair of the Academic Council
University of California

In Re: Expedited and Informal Review of President Yudof's Accountability Framework

Dear Mary,

Thank you for the opportunity to review the University of California Draft Accountability Framework. Due to the expedited turn-around time, I was not able to seek full UCLA Academic Senate review, and instead limited review to the Executive Board. I look forward to receiving a later draft of the framework, at which time I would solicit a more thorough Academic Senate review.

The Executive Board reviewed the document and is quite sympathetic to the reasons President Yudof has created the framework. It is supportive conceptually of the framework, and applauds President Yudof's efforts. Still, the Board raised several hesitations with regard to the framework, which I will outline here.

- The title, "University of California Accountability Framework" requires further clarification: Accountable to whom and in what way?
- The framework lacks an executive summary. The Board believes that the document would be greatly improved by adding an executive summary for the entire document that guides the reader through the myriad of graphs, charts, and statistics, setting a context in which to understand the data. Moreover, each section would likewise greatly benefit by a summary introductory section. Generally speaking, the document would be greatly enhanced by adding narrative.
- The Board was struck by what was absent from the report. There is nothing stated about the library, about educational technology, enrollment rates relative to campus targets, or internal salary equity rates.
- Regarding the section on Undergraduate Access, the Board found that the emphasis on SAT's is disturbing. What other metrics, besides GPA, should be included? Some

examples include high school class ranking by decile (percent of students admitted and enrolled, by decile).

- Very little in the section on Undergraduate Student Experience and Proficiencies section addresses the actual quality of the undergraduate experience or the achievements of our students. Reports on numbers of majors, number and percent of students completing a capstone project, number of students participating in international educational experiences, etc., would greatly enhance the report.
- Regarding the section on graduate students, the Board believes that any accounting of the success of our graduate programs must consider the fact that the UC is creating the next generation of scholars, researchers, and professionals. Metrics should be developed that measure this and the narrative should clearly state it. Moreover, it would be useful to include time-to-degree data for PhD students.

Again, thank you for the opportunity to review this document. I look forward to discussing this with you further.

Sincerely,

A handwritten signature in black ink, appearing to read "Michael L. Goldstein", with a stylized flourish at the end.

Michael Goldstein
UCLA Academic Senate Chair

Cc: Martha Kendall Winnacker, Executive Director, Academic Senate
Jaime R. Balboa, Chief Administrative Officer, UCLA Academic Senate

UNIVERSITY OF CALIFORNIA, MERCED

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SANTA BARBARA • SANTA CRUZ

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November 21, 2008

To: SENATE CHAIR MARY CROUGHAN

From: MARTHA CONKLIN, CHAIR, UC MERCED DIVISION COUNCIL

Re: UC Accountability Framework Report

UC Merced Divisional Council has grave concerns that the current design of the accountability indicators does not capture the characteristics of the UC Merced. Being a nascent campus, presenting the data in terms of total numbers (e.g. students, research dollars) puts us at a severe disadvantage. We recommend that specific indicators be added that are based on per capita performance. By doing so, it allows UCM to be benchmarked against the other UC campuses. In addition, the time period chosen for this analysis is the year UC Merced opened, which is atypical in many respects. It may be useful to note the opening date of UC Merced in sections where it is not yet noted, as users of the data may skip to particular sections and misinterpret the data. Below is a list of specific concerns and suggestions listed by section:

1. Introduction. It is inappropriate (p 4) to label two campuses as “flagship” campuses. This section also poses the question of appropriate benchmark campuses for the Merced campus. The answer is obvious—Merced should be benchmarked against the other UC campuses, as we plan to achieve an equal level of quality as the other UC campuses. Similar to all the other campuses, we anticipate having range of research programs in varying stages of development. Our progress will be best addressed by comparing us on a per capita basis with the other campuses.
2. **Section 1. Indicator 1.6 Undergraduate Degrees Awarded by Discipline, 2005-06. The analysis** of undergraduate degrees by discipline would be more useful if also presented as percentages
3. Section 4. An additional indicator that may be of use is retention of under-represented students or under-represented student enrollment in the Freshman through Senior years.
4. Section 5. Several additional indicators would be useful as well as modifying Indicator 5.2:

- a. Participation in community-based research and learning on a per capita student basis, since it is a stated goal of the UC system to instill a sense of civic engagement in its students and since employers are proponents of this type of educational experience. UCM has built this goal into its curriculum.
 - b. How many undergraduates, on a % basis, opt to continue their graduate studies at their undergraduate institution or another UC campus. This is a good indicator of satisfaction with the undergraduate experience, the students are "voting with their feet".
 - c. **Indicator 5.2 Active Learning Experiences, Spring 2006.** There are two self-report measures related to research, pertaining to whether students were enrolled in an independent research course and whether students assisted faculty with research, that could be complemented by more objective measures. The first suggestion is to determine if the TIE system of course classification includes data on student participation with faculty on a research project. How many students take 199 independent study courses? In the future we might suggest the TIE system might be modified to tag courses specifically oriented toward undergraduate research experience.
5. Section 6. There are some indicators that should not include UCM for the time period 2005-06. **Indicator 6.7 Graduate, Professional and Undergraduate Degrees Awarded, 2005-06** reports the proportion of graduate to undergraduate degrees awarded. UCM shows an unusually high proportion of graduate degrees awarded, but this is because most undergraduates were Freshman students that year. **Indicator 6.8** shows all undergraduate degrees being awarded in the Biological Sciences, and that it is also not typical of subsequent years. An additional indicator of nationally competitive fellowships (NSF, NIH, DoD) awarded per graduate student would be useful.
6. Section 7. An additional indicator that could be useful for campuses such as UC Merced that have an unusually high percentage of untenured faculty is early career awards per faculty member.
7. Section 8. This section is simply making the point that bigger is better—many of the indicators are largely a measure of campus size and whether or not there is a medical school.
 - a. Much of the data in Section 8 might be better reported on a per capita basis, in order to normalize for the number of faculty at each campus, e.g. research expenditures (Section 8) would be useful to report on a per capita basis. UCM has a good research profile in terms of research \$ per faculty member, but section 8 makes the Merced campus invisible.
 - b. Research \$/faculty member should also be split by medical school versus non-medical school, otherwise the document is just making the point that it's better to have a medical school.
 - c. In addition to student/faculty ratio, number of courses taught per faculty member would be another useful indicator of faculty teaching effort.

- d. Why is annual % *increase* in research funding emphasized so much? Is this the most important measure of research quality? Aren't there other measures of research quality (e.g., citations), independent of research \$?
8. Section 10. Student expenditures and space omissions.
- a. There is a glaring omission, **Indicator 10.3, Per-Student Average Expenditures For Education**, is not split by campus. What is the *average* expenditure per student at each campus? Why is there no transparency on this point? *Average* expenditure per student, by campus, has important implications for Academic Senate planning and analysis, and it is very odd to leave out this information.
 - b. This section lacks information about campus research space (as opposed to teaching space and earthquake-proof space). The most obvious figure would be % CPEC adequacy by campus and year, for each campus.

cc: UC Merced Divisional Council
Martha Winnacker, Executive Director
Nancy Clarke, Merced Senate Director



CHAIR, ACADEMIC SENATE
RIVERSIDE DIVISION
UNIVERSITY COLLEGE BUILDING, RM 225

ANTHONY W. NORMAN
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November 21, 2008

Mary Croughan
Professor, Obstetrics, Gynecology, and Reproductive Sciences
Chair, UC Systemwide Academic Senate
1111 Franklin St., 12th Floor
Oakland, CA 94607

Dear Mary:

RE: REVIEW OF PREISDENT YUDOF'S ACCOUNTABILITY FRAMEWORK REPORT

The UCR Senate's Executive Council at its November 17, 2008 meeting reviewed UC President Yudof's *draft* of his Accountability Framework Report. This document has been prepared by the President as mechanism for him to fulfill his and the University's responsibility to the Regents, Legislature and citizens of the state of California to be "accountable for the University's actions, past and present, and for its future developmental trajectories". The Report consist of 10 Sections, each of which have on average 10 key indicators; these by and large consist of histograms or pie charts with little or no description beyond a title for each descriptor. This *draft* document will be published in final form in Spring of 2009 and will be updated annually thereafter. President Yudof will report annually

Chair Norman informed the committee that the transmittal memo he received indicated that the purpose of the review was (i) to draw the report to the attention of the entire University community, and (ii) to provide feedback to the ongoing development of the report, which the President plans to have produced, on an annual basis. Ultimately the primary audience will be the California legislature and the citizens of California.

The Executive Council members all unanimously felt that the objective of the report is sufficiently complex and important to warrant a much more thorough review by the Executive Council and Senate than the time allotted.

Some issues raised by the committee members include:

- How will the report be used?
- There has been no critical analysis of the data provided in the document. Even though this information is already in the public domain, the collection of it in a single document and its promotion as a measure of faculty merit is potentially dangerous without a critical analysis,

especially to the smaller campuses. While the indicators may seem obvious to us, a more detailed discussion of these measures is needed to tell others what they really mean. One gets the impression that they are all equivalent.

- It would be best if the report included a broader scope on what Accountability is. It reads a lot like – are we doing our job – what are all the things are we doing to make the state feel that the faculty are doing the job they get paid for? But if you took a broader scope and looked at it from the perspective of what should a public university be doing for the state and look at issues like how do our graduates contribute to the state, the accountability criteria might be different.
- What is the justification for using these particular indicators? The analysis should also distill these data down into some more specific statements or conclusions that will have meaning to non-educators (i.e., the Regents, legislators, the general public). What accounts for the differences and similarities between campuses? Are these important? These accountability indicators need a context that relates them to our goals and objectives in a more thorough way than the simple statements at the beginning each section.
- Other general more specific concerns include, what is the true cost to education for each undergraduate, not the cost of attending, which is in the report? This is not reflected by looking at just the student fees because public universities subsidize the educational costs with state funds. Comparing true costs would tell us sometime about our efficiency of operation in comparison to private universities.
- The issue of graduate student salary also came up, especially the comparison that showed UCR students as being paid very poorly compared to the other UC campuses. This possibly had a lot to do with the fact that some graduate students were being paid for 9 months, and others for 11 months or whether they were in a medical school campus.
- The EC committee members also felt that the report is light on outcomes, not just for the education of our undergraduates, but for graduate education, the research enterprise and the impact of all other facets of UC on the State and the Country. This is important for justifying our relationship to the Cal State system. Finally, many of the parameters of the data (e.g., details about the population demographics, etc.) are missing. They will often cite a source, but the reader must return to the source for this critical information.
- Regarding the question on whether the Report used the right indicators, the majority of the EC members felt that they would have preferred to know what the indicators were to be used for? The general feeling was that they cannot change the indicators, but perhaps there should be a way of framing them so that they are compelling to the Regents and also include a broader scope.
- The Report has absolutely no data on UCOP. This quasi 11th campus, must be included in the final version of this Report, with its own set of metrics.
- Some specific concerns about UCR data
pg 137/section 6.12
pg 135/section 6.11

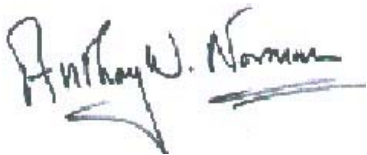
Possibly there may be a methodology issue with the "first-choice non-UC school" statistic for Riverside. This went from \$12.5K to \$10K going from 2004 to 2007. It should stay the same

or go up, unless we became much less selective. Alternatively we have to wonder if someone was averaging zeros in, or averaging a small group that is not representative of the whole population due to poor reporting.

- We have to question the methodology that led to the statistic that a large portion of UCR PhD graduates are "looking for work" -- 36% at Riverside. Just this week one EC member was queried by his Graduate Administrative Assistant in Chemistry to define the location of PhD graduates in an e-mailed spreadsheet. Of five recent PhD graduates listed just from this professor's group, three of them were listed as "location unknown." However, all three actually had jobs, and have had jobs either before graduation (postdoc) or shortly after graduation (industrial). We can only guess that the data rely on self-reporting, and therein lies the issue, we believe.

The EC would welcome the opportunity to review the next *draft* version of the Accountability Framework Report.

Sincerely,

A handwritten signature in dark ink, appearing to read "Anthony W. Norman". The signature is fluid and cursive, with a horizontal line underneath the name.

Anthony W. Norman
Distinguished Professor of Biochemistry and
Biomedical Sciences; and
Chair of the Riverside Division

CC: Martha Kendall Winnacker, Executive Director of the Academic Senate
Sellyna Ehlers, Director of UCR Academic Senate office



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Joel Michaelsen, Chair
Deborah Karoff, Executive Director

November 17, 2008

Mary Croughan, Chair
Academic Senate

RE: UC Accountability Framework

Dear Mary,

The Santa Barbara Division has reviewed the UC Accountability Framework developed by President Yudoff and offers the following comments. Overall, most Councils found the Framework to be a useful document that could provide California Legislators, members of the public, and other interested parties useful information about the University of California. Given the complexity of UC, there are some areas which could use improvement to strengthen the document so as to provide the fullest institutional perspective.

Several of the reviewing Councils stated that much of the data should be provided in percentages or proportions rather than absolute numbers as that would better explain the relationship of one campus to another. There is concern on this campus that the graphs and tables may be skewed based on campus size or resource capacity and some of the strengths of the smaller campuses could be lost. For example, in the Research Section (Section 8), it would be better to normalize the data on a per faculty member basis to give a clearer picture of the growth of overall R & D. In addition there are commonly used metrics such as citation and impact factor for research results that would highlight the quality of research, not simply the output or resource allocation. Another example is in the Finance, Capital, and Development Section (Section 10). Total dollars garnered for external support are described, but using percent dollars raised per faculty member would provide a more informative picture.

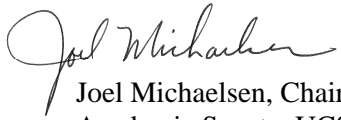
Some of the reviewing Councils found that the graphs and tables needed more information on the data sources, saying that "many of the indicators cannot be interpreted meaningfully without appropriate controls or norms." Other groups suggested that the document needs more narrative to tell the real story about UC. Graphics are secondary, and trying to make a point that could be far stronger/evident if explanatory narratives accompanied the graphics. Similarly, benchmark indicators could offer further explanation and a solid point of reference.

Some of the more specific comments from the reviewing groups include a concern that the Introduction uses the word "flagship campuses" in reference to UCLA and Berkeley where the words "larger" or "more established" might be more appropriate. One group found that Indicator 10.3 (Per Student Average Expenditures for Education) is very interesting but they were uncertain of methodology; they suggest that expanding the explanation would help and further suggest that future tracking would be especially useful to identify changes over time. This is in keeping with another suggestion that some data should describe the impact of declining resources over time, especially in these difficult budget times. In addition, there ought to be some data that would highlight UC's success in training students who are deficient in their preparation for college. Finally, the Committee on Academic Personnel expressed concern that the data about faculty salaries relies on comparison

data of the American Association of University professors (AAUP) which they believe to be a poor choice; they recommend that the Comparison Eight be used instead.

Thank you for the opportunity to comment.

Sincerely,

A handwritten signature in cursive script, reading "Joel Michaelson". The signature is written in black ink and is positioned to the left of the printed name.

Joel Michaelson, Chair
Academic Senate, UCSB



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November 21, 2008

Mary Croughan, Chair
Academic Council

RE: UCSC Response UC Accountability Framework Report

Dear Mary,

In what follows, I divide UCSC's comments on the Accountability Framework Report into Overarching Comments and Specific Comments. Three committees (Educational Policy, Planning and Budget, and Research) responded to the request for "informal comment."

Overarching Comments on the Report

The report relies throughout on comparative data across the campuses, yet there is no clear statement defining the manner in which these data are intended to be used. What types of budget decisions, tradeoffs and reprioritization will follow from the results? Will greater investment flow to campuses with the most eroded student/faculty ratios, for example, or will those campuses be penalized for poor management of enrollment growth?

On a similarly broader level, how does the Office of the President (OP) view the political uses of the Accountability Report? As it currently stands, the report includes such an array of multiple measures that it could be received and used in many possible unintended as well as intended ways. A public document consisting of multiple accountability measures that are presented without explanation or prioritization runs the risk of being political naive. Hence, some level of analysis/discussion/interpretation would be of value for providing a modest degree of perspective on many of these metrics—as it stands, "Accountability" at UC appears to mean simply placing a large amount of data in a single place.

As a public document, the reliance on comparative data, measuring success across the campuses, may have the unintended effect of pitting the campuses against one another. The implied assumption of stratification within a system known for its coherence as an educational unit built on and reflecting the diverse needs of the state of California emerges explicitly in the references to "flagship" campuses: references to which we strenuously object. We naturally recognize that the campuses differ in their scope and strengths, but actively defining some campuses as "flagships" implies a hegemony and stratification that has not been part of UC, and fundamentally marginalizes a majority of the campuses. We urge the Office of the President to

excise this term from the document. Indeed, the Senate should take every opportunity to remind the President and his staff that this idea is not appropriately extended from places like Texas to UC.

Finally, with respect to a solicitation for “informal comment:” given the timing of releasing the report and then soliciting informal comment from the Senate, OP appears to have quite effectively minimized and marginalized faculty input on an extremely important document. Indeed, my experience during this review suggests that busy campus Senate committees rightly reprioritize such a puzzling and ill-defined process as “informal comment” (particularly on a tight timeline, with a document that deserved and merited formal scrutiny).

Specific Comments

In spite of these presentational and logistic difficulties associated with document, most of the proposed measures, in and of themselves, seem reasonable and appropriate. The document has made some progress relative to a prior version in normalizing the measures by campus size so that simple bulk is not the primary effect on the metric. Indeed, since this document will be perused by audiences that might not necessarily understand this normalization issue (such as legislators and Regents), appropriate normalization is critical. Whether such normalization is best done by size, by funding, or by other means is a question we leave open. In our view, the following measures remain inappropriately normalized.

Indicator No. Title

1.6 Undergraduate degrees awarded by discipline

1.7 Undergraduate degrees awarded

8.3 Rankings of Total NSF Research and Development Expenditures

8.5-9 (Various measures of expenditures, patents, licenses)

9.1 National Research Council’s Ratings of UC Doctoral Programs (indeed, such rankings are typically very strongly correlated with Departmental size)

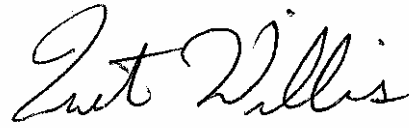
10.8 Total Five Year Giving

The list of comparison institutions also inspires some questions. What principles guide their choice? On the one hand, it is good that we compare ourselves to strong competitors, which provides one way of holding ourselves to a high standard; on the other hand, most of the comparison institutions take in a relatively privileged body of students compared to many of the UC’s (this is true even of some of the public comparison universities: Michigan and Virginia embody the “flagship campus” model). In this instance, an enhanced focus on educational outcomes may be appropriate.

In accord with the canonical assessment of faculty on the basis of teaching, research and service, another kind of accountability measure might be incorporated: one that gauges service (whether to a field, as outreach, or as public service, or to the local community). UC considers such service--local, California, and higher--to be part of its mission. Yet such service does not seem to appear as a significant part of this “accountability” framework? Clearly, some aspects of service to an academic discipline might be quantified as, for example, in the form of membership on journal boards, editorships, etc.

With respect to research metrics, the lack of data on citations and scientific impact seems to be a glaring omission. Additionally, indicators 7.10-7.12 on extramural faculty recognition and awards seem to be rather incomplete—many awards across a range of disciplines are not included, from examples such as the Kyoto Prize (just awarded to Richard Karp at UCB) to foreign memberships in Academies of other countries to Fellows of major scholarly societies in different disciplines. In particular, very few awards in the humanities seem to be included.

Sincerely,

A handwritten signature in black ink, reading "Quentin Williams". The signature is written in a cursive style with a large, stylized "Q" and "W".

Quentin Williams, Chair
Academic Senate
Santa Cruz Division



OFFICE OF THE ACADEMIC SENATE

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November 7, 2008

Professor Mary Croughan
Chair, Academic Senate
University of California
1111 Franklin Street, 12th Floor
Oakland, California 94607-5200

SUBJECT: University of California Accountability Framework – Draft for Discussion, September 21, 2008

Dear Chair Croughan:

In response to your recent request, the San Diego Divisional Senate Council briefly discussed the September 21, 2008 Draft of the University of California Accountability Framework at its meeting on November 3. A variety of opinions were voiced and are summarized below.

At the outset, we note with dismay the apparent ranking of the UC campuses that appears on page 14: “To take a polar example, should Merced, which opened in 2005 with approximately 1,000 students, be benchmarked against the same institutions as Berkeley or UCLA, UC’s two flagship campuses, which each enroll approximately 35,000 students and are widely recognized as two of the leading public research universities in the country?” The University of California operates on the premise that each of our ten individual campuses is equally important and that in time all will achieve comparable levels of excellence. We note with pride that a UCSD faculty member is the only recipient of one of this year’s group of Nobel Prizes, yet we are not – nor do we wish to be – singled out as a “flagship campus”.

Council members expressed support of having the University of California presented as a transparent educational organization. The UC Accountability Framework is certainly one possible way to achieve this goal, although concern was voiced that any endorsement of such a framework not be interpreted as implied endorsement of testing. Council members were adamantly opposed to any possible testing of students as a measure of accountability and agreed that such testing would lead to pervasive faculty discontent. The Senate and the administration should continue to emphasize that accountability does not necessarily equate with testing, and that testing does not become inevitable simply because the University produces an accountability report.

Concerns were also raised by campus reviewers on two main points. First, what is the target audience of the “Accountability Framework?” This might include The Regents, state legislators, the public at large, parents of prospective students, or others. A clearer understanding of the intended target would allow a more careful selection of the appropriate data to include. Second, what are the principle issues that are being addressed? Currently, the “Accountability Framework” strikes us as an almost random assortment of potentially interesting data with no clear theme. A careful selection of one or two main issues from the many currently addressed would help to bring the “Accountability Framework” into clearer focus for readers.

Certainly, the Office of the President is to be complimented for compiling such extensive statistical data from already existing campus information and for presenting the results in a manner that provides a seemingly comprehensive view of each campus. Additional concern was expressed, however, that the amount of data may be overly ambitious with no mechanism for ensuring its accuracy. If similar methods of data collection are not used on each campus, the results will not be strictly comparable. On the other hand, strong opposition was voiced for imposing the burden of additional data gathering on individual campuses. Given workforce reductions at the Office of the President, Council members were apprehensive that campuses might be required

to shoulder more of the responsibility and effort for compiling future reports without being given additional resources, i.e., imposing yet one more unfunded mandate. Even if additional resources were provided, Council members were uncomfortable with more responsibility being put on the campuses, as this could lead to the data being subject to low level bias and a “U.S. News and World Report” approach.

It was noted that the information contained in the “Accountability Framework” represent easily measured data points; other more substantive questions might be harder to ask and to answer, but could prove more interesting and present a more complete picture of the campuses. Faculty should carefully consider what aspects of accountability are important, whether these data sufficiently represent those aspects, and whether there are other questions that need to be asked.

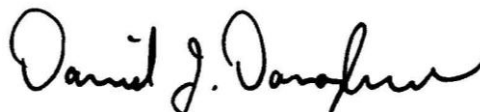
Specific comments were obtained from one local reviewer concerning Sections 1 and 2. This reviewer notes that Section 1 provides data on undergraduate success without really defining success and fails to provide an underlying theory of how these variables relate one to another:

This chapter provides basic measures of graduation rates for freshmen and for transfer students, retention rates and degrees awarded by field and by division, together with a survey, without an indication of the method used to draw the survey, of students’ future plans. What is missing is how we define success. Usually, if we are going to measure something, we have a theory in mind of how variables relate one to another. This theory should inform us how to measure each component. If, for example, we have a poor theory, say that the University does nothing, that learning is unimportant, and that the only thing that matters is graduating, and that once graduated we have vetted to society that a student is ready to be a good citizen, an able laborer, or whatever, then we’d like to see how efficiently we graduate students. We could skip measures of actual education (of which none are offered here), and just see how many diplomas we can graduate. If we have another idea about student success, one that involves education, one that includes not just outcomes but also the value of those outcomes, so that we can measure marginal productivity of education at each division or within each field, or that measures the cost, so that we can measure net marginal productivity, we might actually be able to measure student success.

In additional specific comments, with respect to the section on Undergraduate Affordability, again, how do we define affordability? The measures actually given are about family income, hours worked by students, debt, and gifts, aid and grants to students. There is also an estimate of the cost of attending each division. What is the theory that relates these metrics to affordability? Why, for example, do we measure hours worked? How is that related to affordability? The point is, we don’t actually observe or quantify the students who do *not* come or do not stay or who do not even apply to UC because they cannot afford it, we only observe those who do come and stay. The economics of this are actually fairly well understood and could be easily tackled, but it appears from what we were given that we do not actually care. The problem is that UCOP and the legislature will hold our feet to the fire on these statistics. We will need to keep improving these statistics. We will need to keep dropping the debt acquired by students, the hours worked by students, and keep increasing the number of students from the lower end of the income distribution. This could very well ruin the University without actually improving affordability.

We regret not having more time to review this document. The lack of adequate review and comments on such an important document is a certain path to poor shared governance. With additional time, we would be happy to provide a more detailed response.

Sincerely,



Daniel J. Donoghue, Chair
Academic Senate, San Diego Division

cc: W. Hodgkiss



BOARD OF ADMISSIONS AND RELATIONS WITH SCHOOLS (BOARS)

Sylvia Hurtado, Chair
sylvia.hurtado@gmail.com

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November 13, 2008

MARY CROUGHAN, CHAIR
ACADEMIC COUNCIL

Re: Draft UC Accountability Framework

Dear Mary,

At its October 2008 meeting, the Board of Admissions and Relations with Schools (BOARS) reviewed the President's draft UC Accountability Framework, and as you requested, we are now providing you with feedback about the document, including areas we believe may not have been addressed.

The framework has the potential to generate discussion among many constituents internal and external to the University. It is a great opportunity to better communicate what UC accomplishes, to track the University's progress relative to its mission, and to help us identify areas for improvement. From BOARS' perspective, one of the central questions the framework should seek to illuminate is how well UC is fulfilling its core mission to serve the State of California in admissions outcomes – specifically, our charge to admit the top 12.5% of public high school graduates and to achieve representative diversity in our student body. We note that the framework should demonstrate ways in which UC may or may not be fulfilling its mission in these, and other areas.

The intended audience of the report could be clearer. Is it really a report for the public, or is it intended for legislators and other public sector bureaucrats? There are two ways to convey data – as absolute numbers or in comparison to a set of standards. The latter is a more effective way to communicate accountability, but some of the data are not presented in a context that allows that kind of evaluation. Some of the graphs may be better expressed as deviations from a norm (e.g. the national six-year graduation rate for public universities is 57.7 percent, and all UC campuses are well-above this). Further, given the different selectivity levels of each campus, is each doing better than expected in retention (relative to the students it attracts)? The size of the report may also make it less accessible, and we risk losing many readers who are seeking the big picture, in a sea of data. Perhaps the report can be divided into two sections: first, a general, shorter overview (intended for the general public, and using more direct and concrete forms of presenting the data) and secondly, a more detailed account (intended for the more specialized audience of journalists, legislators, UC staff and faculty, etc, using other forms of presentation)

We have a number of specific suggestions for improving the framework:

- The Undergraduate Student Profile section (Section 4) should begin by presenting data on the racial, economic, and geographic composition of the state before moving on to show the corresponding demographic makeup of UC. Moreover, it would be useful to organize the undergraduate sections (Sections 1-5) in a more intuitive or logical order – that is, undergraduate access, undergraduate student profile, retention of new freshmen and graduation (with retention data before graduation data), undergraduate student success, student experience, and finally, affordability.
- The report discusses the important issue of racial and ethnic diversity and touches on socioeconomic diversity, but it fails to discuss geographic diversity. This will be of interest to legislators. There should be data indicating representation at UC by California county or region, or data that gives a sense of the urban vs. rural mix at our campuses. We suggest the framework might employ the geographic subdivisions used by CPEC to organize the state. To enable comparisons, normalization information, such as the number of high school graduates, should also be provided.
- There should be a section on staff, which is the third major component of the University, along with students and faculty. The University is a significant employer in many areas of the state, and the public may not be aware of the magnitude of this economic benefit.
- In the Undergraduate Student Success section (Section 1) the data on graduation and retention rates and degrees awarded should be broken down by demographic characteristics – race/ethnicity, gender, and family income. Undergraduate Student Experience and Proficiencies (Section 5) should also provide similar demographic data. Finally, the Graduate and Professional Student Profile section (Section 6), should include data on retention and graduation rates, time to degree, and demographics of degree recipients.
- Indicators 4.5 and 4.6 of the Undergraduate Student Profile section on pages 90-93 provide data and trends for female students, but those data and trends should also be provided for males. In addition, Indicators 7.4 and 7.5 of the faculty section on pages 150-153 should provide data on both genders.
- In Student Experience (Section 5), it would be useful to have an accurate depiction of the experience students have in the classroom over the course of a college career, particularly in light of the transformation in class size over time, which impacts the student experience and accessibility to certain majors. It might be useful to show the availability of smaller classes and seminars relative to large lecture classes for undergraduates as a more accurate depiction of the experience, instead of simply an aggregate student-faculty ratio.
- In Undergraduate Access (3.7), one of bullet point descriptors notes that “In determining students’ eligibility for UC, UC considers only grades earned in college preparatory (“a-g”) coursework completed in 10th and 11th grade.” We are concerned that this wording may send a message suggesting that that senior year does not matter. In Part II Section III, Undergraduate Access (page 65) the third sentence of the second paragraph under “Goals,” should also be re-written for clarity.

- The framework should address postgraduate outcomes, including alumni satisfaction and success through some measure or measures that communicate the impact of a UC degree on the California economy and public good, to help communicate the “return rate” on public investment in UC. Possible indicators in this category might include employment rates, income after graduation, postgraduate work, and the percentage of UC graduates working in certain fields or sectors. Alumni giving rates are often also used as a measure of satisfaction. Finally, it might help to determine the number of public leaders who are UC graduates as well as current and former students engaged in public service to illustrate how UC graduates advance the public good.
- The Faculty section (Section 7) should provide demographic data by faculty tenure status and rank or by disciplinary area.
- Finally, we note that much of the University’s success is tied to external factors such as resource availability, particularly state funding. Some measures in the framework might take into account resources in calculating the outcome. Sustaining recent gains in diversity and retention rates, for example, will depend on outreach funding. There is a related concern that funding agencies demand accountability without providing the adequate resources to achieve goals. This might be expressed in data on per capita taxpayer spending over time on UC. The public may expect more from UC, but the question is whether we can do more with declining resources.

We hope the Senate and the administration find these comments useful as the accountability framework project moves ahead. We look forward to the release of this framework and resulting discussion.

Sincerely,

A handwritten signature in cursive script, reading "Sylvia Hurtado".

Sylvia Hurtado
BOARS Chair

cc: BOARS
Martha Winnacker, Senate Executive Director

UNIVERSITY OF CALIFORNIA, ACADEMIC SENATE

BERKELEY • DAVIS • IRVINE • LOS ANGELES • MERCED • RIVERSIDE • SAN DIEGO • SAN FRANCISCO



SANTA BARBARA • SANTA CRUZ

COORDINATING COMMITTEE ON GRADUATE AFFAIRS (CCGA)

Farid Chehab, Chair

chehabf@labmed2.ucsf.edu

ACADEMIC SENATE

University of California

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November 23, 2008

**MARY CROUGHAN, CHAIR
ACADEMIC COUNCIL**

Re: President Yudof's Draft Accountability Framework Report

Dear Mary:

At its meeting on November 2, CCGA discussed President Yudof's Draft Accountability Framework Report. In particular, members considered the indicators associated with graduate education and appropriate for reporting to the legislature and the public.

The committee's comments are as follows:

- The proposed indicators ought to consistently distinguish between graduate and professional students or professional and research programs.
- Better explanations and language are needed to explain what the University and UC graduate education does for the public and that there is not necessarily a data problem here.
- It was suggested that if Council or the President's office thinks it would be helpful or needed, CCGA could broadly identify indicators of graduate issues that are lacking in the draft report.
- The draft contains very few indicators on graduate student financial aid, e.g., how many students are on financial aid.
- The graph on p. 136 suggests that UC is not far behind our peers with respect to stipends offered to admitted Academic Doctoral Students. The cost of living differences should be reflected in this chart and stipends should be disaggregated among the different disciplines and private vs. public schools ought to be used for comparison.
- Members thought that knowing when the UC campuses were established relative to its peer institutions might illustrate how long it takes to develop top tier programs and how the UC system has been uniquely successful in creating high quality programs and research of benefit to the state in a comparatively short period of time.
- It would be helpful for the public to know how the "Comp. 8" institutions are selected; a slightly larger group might be more meaningful to public and appear less idiosyncratic.

Please do not hesitate to contact me if you have any questions regarding CCGA's comments.

Sincerely,

A handwritten signature in black ink, appearing to read "Farid Chehab", is written over a faint, circular watermark of the University of California seal.

Farid Chehab, Ph.D.
Chair, CCGA

Copy: Martha Winnacker, Executive Director

UNIVERSITY OF CALIFORNIA, SAN FRANCISCO



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November 21, 2008

Mary Croughan, Ph.D.
Chair, Academic Senate
University of California

Dear Chair Croughan:

I am writing to provide feedback generated at the UCAAD at its meeting on November 13, 2008. On the September 21, 2008, draft of University of California Accountability Framework UCAAD greatly appreciates the opportunity to provide feedback on this important document. Please contact me at cell 415 608 3707 or francislumd@aol.com if you have any questions.

Sincerely,
Francis Lu, MD
Chair, UCAAD

Page 143. **Goals** section. UCAAD recommends that the third sentence should be modified as follows:

"In addition, the faculty's gender, ethnic and racial composition is indicative of the University's progress in achieving the Regents' diversity goals, which is intrinsic to the University's excellence." *Rationale:* The addition of this clause would reinforce the UC Diversity Statement's linking of diversity and excellence. Without this clause, in the context of the preceding sentence, diversity appears to be separate and not related to the excellence of UC.

Page 143. **Measures** section. UCAAD recommends that the third sentence of the second paragraph should be modified as follows: "To respond to the challenge, efforts must be made to identify and overcome the barriers preventing women and minorities from obtaining and retaining faculty appointments through academic advancement, as well as to expand the pipeline and pool of women and minority students entering graduate and professional programs." *Rationale:* This sentence should include minorities as well as women since both groups were referenced in the preceding sentence concerning the small percentages of women and minority faculty. Secondly, the problem of small percentages of women and minority faculty is related to both

recruitment and retention, which needs to be stated to ensure that this issue is not missed.

Page 144-145. **Indicator 7.1** UCAAD recommends that similar longitudinal data by campus also be displayed in additional tables for other series such as “Other Academic Senate faculty,” “Clinical,” “Adjunct,” as well as “Tenured Ladder-Rank” and “Non-Tenured Ladder-Rank.” *Rationale:* These other series encompass large segments of the university faculty that may contain larger percentages of women and minority faculty as compared than to the Ladder-Rank faculty. It would be important for a more accurate assessment of faculty diversity if such outcomes were longitudinally displayed to capture the trends. (This recommendation will be repeated whenever this situation appears and will be noted as **“other series data should be displayed.”**)

Page 146-147 **Indicator 7.2** UCAAD recommends **“other series data should be displayed.”** In addition, this indicator should also be displayed longitudinally over time so trends can be noted in reference to the comparison institutions. (This recommendation will be repeated whenever this situation appears and will be noted as **“longitudinal data should be displayed.”**) Lastly, we believe the statement on page 146 “This reflects UC’s commitment to increasing faculty diversity.” should be eliminated since this snapshot of the situation in Fall 2005 does not provide sufficient information to reach this conclusion.

Page 148-149 **Indicator 7.3** UCAAD recommends **“other series data should be displayed.”** Furthermore, it is recommended that separate indicators should exist for each of the three URM ethnic/racial group so trends over time for each of these three groups can be more easily understood. In other words, in addition to the aggregate data display, the data for each of the three URM groups should also be displayed individually.

Page 150-151 **Indicator 7.4** UCAAD recommends both **“other series data should be displayed”** and **“longitudinal data should be displayed.”**

Page 152-153 **Indicator 7.5** UCAAD recommends **“other series data should be displayed.”** Also, there appears to be a typographical error on page 153; the term “average gift aid” seems out of place.

Page 158-159 **Indicator 7.8** On page 159, UC Merced has been left out of the data display and should be included. Also, there needs to be a clarification whether the data displayed refers to all series or just the Ladder-Rank Faculty. If the latter, then UCAAD recommends **“other series data should be displayed.”**

Page 160-161 **Indicator 7.9** There needs to be a clarification whether the data displayed refers to all series or just the Ladder-Rank Faculty. If the latter, then UCAAD recommends **“other series data should be displayed.”** Furthermore, UCAAD recommends that in addition to this indicator, additional indicators should display faculty salary data comparing UC vs. Private vs. Public for women (total, and by rank and series) and for each of the URM racial/ethnic groups. Lastly, a separate indicator for

executive leadership compensation comparisons longitudinally may also be of interest for the sake of transparency.

Page 162 and 163 **Indicators 7.10 and 7.11** UCAAD recommends that if possible, that in addition to this display, this data also be displayed by gender and ethnic/racial groups to understand the diversity of those faculty receiving these awards and honorary memberships.



UNIVERSITY COMMITTEE ON ACADEMIC PERSONNEL (UCAP)
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October 27, 2008

MARY CROUGHAN, CHAIR
ACADEMIC COUNCIL

Re: UC Accountability Framework

Dear Mary,

UCAP 's comments regarding the Accountability Report are restricted to the parts of the document concerning salary equity. The committee finds this section of the report to be substantially flawed.

The accountability report uses the American Association of University Professors (AAUP) data set for comparison. The committee is concerned that the AAUP data is not a suitable comparator. Because of the omission of crucial detail, and lack of refined reporting methodologies, comparisons to AAUP data result in an incorrect assessment of UC faculty compensation. The danger of such a falsely favorable picture is the creation of an unrealistic impression of our ability to remain competitive as we vie with other top universities to recruit and retain the most accomplished faculty. It is these distinguished faculty who form the foundation upon which the University of California's reputation as one of the world's leading institutions of higher education is based.

The committee believes that a more accurate assessment could be obtained from comparison to data available from the California Postsecondary Education Commission (CPEC). Comparison with CPEC data will permit important adjustments that improve accuracy and most realistically describe the magnitude of the salary gap between UC faculty and faculty at our competitive Universities.

CPEC's data set provides information allowing meaningful adjustments by correction for the proportion of faculty at each professorial rank, exclusion of non-comparable faculty positions, accounting for the size difference between public and private institutions and constructing appropriately weighted averages and other measures of central tendency. The information needed to make these adjustments is not available with the AAUP data set.

UCAP recommends that the accountability report make use of the most accurate and comparable information available; specifically that provided by CPEC. We recognize that the CPEC data are, to a certain extent, confidential and that a substantial burden may be placed upon the analysts and support staff in order to re-structure the information so that meaningful comparisons are feasible while respecting the requests for confidentiality from the comparator institutions. In addition, we understand that all analyses will have to be redone and that additional, properly adjusted, comparisons will probably also be indicated.

The committee is concerned that, as presently staffed, the Academic Advancement Data Management Unit might be unable to address this important work in a timely manner and would like to encourage increased staffing (temporarily if necessary) and other necessary support to the unit.

Respectfully,

Steven Plaxe, M.D.
Chair, UCAP



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November 10, 2008

MARY CROUGHAN, CHAIR
ACADEMIC COUNCIL

Re: Accountability Framework

Dear Mary,

At our October and November, 2008 meetings, UCEP conducted a review of the UC Accountability Framework. Committee members were impressed with the scope of the effort to assess the University of California's performance and standing across numerous measures and found a wealth of useful and interesting information assembled in the report. UCEP has provided feedback about indicators included in the framework as well as suggestions for additional indicators.

Part I. Introduction

C. Methodology

The reference to "flagship" campuses on page 14 should be removed. We think the idea can be conveyed without using that term. Alternatives might include larger, more established, etc. It is our opinion that "flagship" is a term that should be avoided when describing the differences between sister UC campuses.

Section 1. Undergraduate Student Success

Indicator 1.6 Undergraduate Degrees Awarded by Discipline, 2005-06

The analysis of undergraduate degrees by discipline would be more useful if also presented as percentages.

Section 2. Undergraduate Affordability

Indicator 2.1 Estimated Total Cost of Attendance, 2007-08

Indicator 2.4 Estimated Per Capita Gift Aid and Net Cost of Attendance for Need-based Aid Recipients, 2007-08

Note that the comparison with the private institutions will change because of their new policies on financial aid that extend aid further up into the middle income brackets thereby reducing the net cost for the privates.

Indicator 2.2 UC Cost of Attendance, 2000-01 to 2007-08

The text analyzes the graphs in terms of the dollar amounts from fees and non-fees, but a more telling analysis might be that fees have increased 59% from 00-01 to 07-08, whereas non-fees (e.g. cost of living) increased 22%.

Indicator 2.8 Undergraduate Income Distribution, 2004

An informative statistic for this indicator is the median family income for UC and comparison institutions.

Section 5. Undergraduate Student Experience and Proficiencies**Indicator 5.2 Active Learning Experiences, Spring 2006**

There are two self-report measures related to research, pertaining to whether students were enrolled in an independent research course and whether students assisted faculty with research, that could be complemented by more objective measures. The first suggestion is to determine if the TIE system of course classification includes data on student participation with faculty on a research project. How many students take 199 independent study courses? In the future we might suggest the TIE system might be modified to specifically tag courses specifically oriented toward undergraduate research experience.

A second suggestion is to survey faculty regarding how many of their papers included undergraduate student authors, but this information could only be supplied by the divisions to UCOP.

Additional suggestions included:

- Increased tracking of how many undergraduates go to another tier one school after UC.
- Incorporating data on what percentage of UC students take the GRE, MCAT and similar tests, and how well they perform.
- Incorporating data on the number of students who take advantage of intra-campus exchange, a program unique to UC.
- Establishing the infrastructure for surveying students with standardized language so that comparisons can be made longitudinally, between divisions and with other institutions.

Section 6. Graduate and Professional Student Profile**Indicator 6.1 Graduate and Professional Enrollment, Fall 2006**

The data show that UC's graduate and professional enrollment is 22% of the total, relative to 33% in the public 4 and 60% in the private 4. There has not been much change in the UC percentage from 2000 to 2007, but it would help to have data from before 2000.

Section 7. Faculty**Indicator 7.6 UC Trend in Student-Faculty Ratios, 2002-03 to 2006-07**

The framework includes data on the faculty to student ratio but the measures are abstract. A more direct measure that reflects an undergraduate's contact with faculty is needed. There should be a distinction between upper and lower division classes and, recognizing that larger classes can still be very good depending on the subject, there is a need to distinguish the kinds of courses where class size is an issue, (e.g. language and writing classes).

Measures of quality of education are needed. Class size is certainly one indicator of educational quality. The normal way to calculate average class size is to add up the enrollments in all the classes and divide by the number of classes. But it might present a clearer picture of the students' experience if we average the

size of all the classes a given student takes. Then we could aggregate that by class level and/or by major. (And it would be interesting to correlate it with GPA--- do students who seek out smaller classes have higher grades?) Other indicators might be the number of lower division seminars or the number and percentage of small classes (say under 25) taken by lower- and upper-division students. How many upper division laboratory classes (or student-units) are being offered? How many lower/upper division classes are repeated? How many students are closed out of classes because of enrollment limits?

Indicator 7.7 Student Credit Hours by Course Level and Faculty Appointment, 2005-06

It would be good to see this data in a longitudinal sense. How has it changed over these recent difficult budget years? Who constitutes 'Other'? Is this primarily graduate student instructors? It is my understanding that the TIE course classification system code for instructors lumps 'pre-' and 'post-six year' lecturers together (as 03). It would be good to distinguish between these two categories in the future, i.e. that the TIE methodology be modified. We would further suggest that in the future Indicator 7.7 break out the Faculty appointment by: Senate faculty, pre-six year lecturers, post-six year lecturers, graduate student instructors, and other (which would include visitors and adjuncts).

It would be good to see this data in a longitudinal sense. How has it changed over these recent difficult budget years?

General feedback

UCEP agreed that the inclusion of SUNY at Buffalo is an incongruity and suggested that it should not be a comparison institution.

UCEP understands that some of the requested information is not presently available to UCOP, but most if not all of it can probably be made available with reasonable effort by the various divisions. Therefore, we recommend that a request be made to divisions to collect the desired data from their departments and make it available systemwide. This generally will involve establishing a template that once programmed into the various systems will become automatic output in the future.

Sincerely,

Stephen R. McLean, Chair
UCEP



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November 17, 2008

**MARY CROUGHAN, CHAIR
ACADEMIC SENATE**

RE: Draft UC Accountability Framework

Dear Mary,

I am writing to forward a synthesis of the discussions and comments of the University Committee on Faculty Welfare (UCFW) on the draft UC Accountability Framework. As you will see below, our committee focused on Part II, Section 7, Faculty, although comments on other Sections were also offered. The primary impression, common to all members of UCFW, is that the Framework lacks a clear enunciation of its purpose, an indication of the audience for whom it is written, and sufficient context and interpretation of the data presented. It is broadly perceived that this preliminary version of the Accountability Framework document does not do justice to the preeminent position of the University of California among the world's leading universities.

UCFW supports the idea of accountability of the institution for its progress in achieving its mission. We should be able to indicate why we do what we do, examine our actions and decisions, and take responsibility for making changes when things are not working as well as they should. However, it is not clear from this version of the Framework exactly for what the university and/or the campuses is/are being held accountable. For example, if the goals outlined on p. 11 hold equally true for all the sections of the framework, the indicators in the Section on Faculty (II.7) would be used to measure "management performance" or to guide "budgeting, including budget trade-off decisions." How do the indicators in the specific sections relate to the general goals of the document?

Each of the ten Sections in Part II begins with its own specific goals. Rather than choosing indicators that clearly relate to these goals, however, the focus appears to be on what we can measure, rather than what we should measure. We certainly do not advocate doing nothing until we have "perfect" measures, as that is unrealistic and counterproductive. However, in addition to providing data in areas that can be measured at the current time, the document should discuss the need for better metrics. To give one concrete example from Section 7, while several fields have national or international prizes and medals, others do not. This is especially true for emerging and inter-disciplinary areas. As another example of useful metrics that should be considered moving forward, faculty exit interview data, which are not currently being gathered systematically, could provide valuable information to guide retention efforts.

In the Introduction, a few caveats with regard to comparative data are presented (e.g., with regard to faculty membership, salaries, and student faculty ratios on pages 13-14), but such cautionary statements are completely absent from where they should be most prominent. On the same page where the data are being presented, there should be data-specific caveats regarding the difficulty of gathering and interpreting comparative data along with what conclusions are being drawn from the data and how these relate to the accountability goals of the Framework.

The decision to present all data in a standardized fashion should be reconsidered. While there should be some uniformity and compatibility of data presentation, to force every data set into the same mold of, for example, aggregation or disaggregation by campus, not only often leads to less meaningful information but lends an arbitrary homogeneity that is unnecessary and, in some cases, makes the data difficult to comprehend. (Some examples of unnecessary individual campus data, which should be placed in an Appendix, are Indicators 1.2, 1.3, 1.5, 1.8, 2.2, 2.5, 2.7, 2.9, 2.11, 2.14, 3.7, 3.8 4.1, 4.2, 4.6-4.10, 5.7, 6.2, 6.6, 6.10, 6.11, 6.13, 7.2, 7.3, 7.7.) At a minimum, the reader should be informed of what we learn from the disaggregation by campus and, if the purpose cannot be made clear, such disaggregation probably should not be done.

Finally, the narrative (sometimes quite brief, often absent altogether) does not indicate the principal take-home messages. Are we doing well? Across the board for all disciplines? Across all campuses? For example in looking at the data on faculty numbers, it seems obvious that we have two problems that are more severe than some might have suspected: (a) The faculty pay issue is particularly troublesome at the middle and upper-middle ranks; and (b) The lack of growth in the faculty makes it incredibly difficult to have any substantial gains in diversity. Are these conclusions warranted? If so, why not state that clearly? In some cases, the conclusion stated about the data presented is inconsistent with the data (e.g., Indicator 1.2) or does not seem to be based on any of the data presented (e.g. Indicator 2.14).

Below are comments that pertain to the individual Sections in Part II of the Accountability Framework with the main part of our discussion and response focused on Section 7, Faculty:

Section 1. Undergraduate Student Success

Examples of the next level of analysis that would be useful are a comparison of graduation rates of transfer students with native freshmen (Indicator 1.3) and a measure of what proportion of these students stay in California to enrich the state's economy and social fabric (Indicator 1.6).

Section 3. Undergraduate Access

The introductory section needs editing to indicate that students can become eligible to be guaranteed admission to a UC campus (not guaranteed at all UC campuses). Indicators 3.7 and 3.8 are examples of presentations in which individual campus data is not a useful addition and could be contained in an appendix.

Section 4. Undergraduate Student Profile

There is a lot of data in this section that reflects positively on UC in terms of access of underrepresented minorities relative to comparator institutions, although clearly we have a ways to go relative to the population of California. This section, though, is almost devoid of meaningful commentary on the data. Again, there does not seem to be a message that the data are there to support.

Section 7. Faculty

This Section begins with a statement of its Goals (p. 143) in which it is correctly stated that the faculty are crucial to the quality of the institution both in terms of teaching and research. Service to the University, their profession and the citizens of the State should also be included here. This paragraph then goes on to talk about The Regents' diversity goals as they pertain to faculty. This is the correct order of these two interrelated topics because without being able to attract and keep excellent faculty, the prospects of doing so with excellent faculty who bring racial, ethnic and gender diversity is very small indeed. Thus data related to these topics, recruitment and retention of faculty and increasing diversity, should be presented in the same order as the Goals in the Introduction.

Section 7 continues with an assortment of measures grouped together, some having to do with status and representation of faculty (data on rank of ladder faculty, on rank by race/ethnicity and by gender), some on use of faculty by the campuses (student/faculty ratios), some on compensation (salary), some on reputation (awards, honors). While all of these legitimately have to do with faculty, without a narrative explaining how these measures relate to one another and add up to a portrait of faculty that could then be used as a starting line for annual accountability reports, we are left with a fairly incoherent set of indicators, likely drawn from data that are easily accessible but not inherently useful as a group nor as a snapshot.

Specific comments on Section 7:

1. The connection between data and stated goals is especially tenuous in the case of the presentation of Student/Faculty ratios. While this indicator may play an indirect role in recruitment and retention of faculty, there is probably another place in this document where this information would fit more comfortably.
2. A lot of campus-by-campus data on diversity are presented, both for UC and the comparison privates and publics. Comments following the figures indicate, quite correctly, that the number of women and minority faculty varies by discipline. It would make more sense to present the data by discipline (or groups of related disciplines, such as social sciences, engineering, life sciences, physical sciences, etc) averaged for UC, and comparison institutions (public and private averaged separately, if deemed important).
3. There is a great deal of emphasis on comparison institutions in the diversity section. Unless the reasons for the comparisons, and how these relate to our accountability is made clear, there is no reason to make these comparisons.
4. There are serious problems with the faculty salary data. We know that AAUP and CPEC data are not collected and presented identically. Many analyses have been carried out using the CPEC data over the years by Academic Advancement and UCFW, and, more recently, the Faculty Salaries Working Group. The methodology for gathering and analyzing the CPEC data was jointly developed by the California Department of Finance, the California Legislative Analyst's Office, CPEC, and UC administration and Senate leadership. It seems illogical, confusing, and counterproductive to use an entirely different data set in the Accountability Framework. At the very least, it should be explicitly stated that different data is being used and the reason for the decision to do so should be given.
5. It may be that the justification for using AAUP rather than CPEC data (see comment 4, above) is that it allows comparisons by campus for both UC and the public and private

comparison institutions. Since the basis of the UC salary scales is one of equal pay for equal merit regardless of the campus, the reasons for and meanings of intercampus differences are complex and difficult to analyze. It certainly is not clear what such comparisons have to do with accountability. Taking the issues in comments 4 and 5 together, UCFW believes it would be far preferable to present the CPEC data in its aggregated form rather than the less reliable AAUP data in its disaggregated form as in the present draft.

6. It is a good idea to include some measures of research quality of faculty, and awards are one measure of this quality. Perhaps some of those need a bit more information. Consultation with Faculty in a variety of disciplines would be quite helpful in assembling an annotated, credible list of awards and honors.

Section 8: Research

The goals listed at the beginning of this section include achieving a high level of cross-disciplinary, multidisciplinary, intercampus and global research. The data presented are primarily measures of extramural funding, patents and licenses, etc., which are largely indicators of success in science and technology. If the goal is to focus on these areas to the exclusion of humanities and social sciences, then this should be stated. Otherwise it should be made clear that measures of achievement in non-technological areas, if not currently available, will be developed.

Section 9: Rankings

This section should be omitted for the reasons stated in its Introduction, i.e., that it is not a strategic goal to rise in particular rankings. Therefore this ranking information has no place in an Accountability Framework.

Section 10: Finance, Capital, and Development

In keeping with the idea of using this Framework to identify and develop more useful metrics, it might be useful to normalize space usage by numbers of students (classroom and laboratory space) and faculty (research laboratory space). Specificity in enumerating the goals at the beginning of the section will be helpful in focusing on what measurements will be useful in determining whether they are being met.

UCFW appreciates the opportunity to comment on the Accountability Framework and is supportive of its goals. In the spirit of that support, we would be pleased to participate in the re-drafting of this important document, particularly those portions that fall directly within our charge and expertise – as does the section on Faculty.

Sincerely yours,



Helen Henry
Chair, UCFW

Copy: UCFW
Martha Winnacker, Executive Director, Academic Senate



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November 25, 2008

MARY CROUGHAN, CHAIR
ACADEMIC COUNCIL

RE: Accountability Report

Dear Mary,

The University Committee on International Education (UCIE) has completed its review of the draft accountability report. While the committee appreciates the value of the numerous indicators that have been incorporated into this report, it would be remiss if it did not point out the fact that this report does not show the value of the Education Abroad Program (EAP) in internationalizing the University, particularly through its exchange and reciprocity programs. Although the report does include indicators that show the geographic distribution of undergraduate students (indicator 4.7), the first language spoken at home for UC undergraduate students (indicator 4.10), graduate and professional enrollment by race/ethnicity that includes international students (indicator 6.3), and the geographic distribution of new UC graduate and professional students (indicator 6.10), these indicators do not effectively illustrate the 'internationalization' of the University of California against its comparator institutions.

UCIE would like to suggest that future drafts of the report include more robust statistics on international students and domestic undergraduate students who study abroad. Indicators for international students might include fields of study and place of origin, as well as UC's standing among its comparator institutions with respect to the number of international students on its campus(es). A cursory glance at these kinds of statistics, which is collected annually by the Open Doors project (<http://www.opendoors.iienetwork.org/>) shows that UC does not even rank in the top 25 of leading institutions hosting international students (<http://opendoors.iienetwork.org/?p=131540>).

UCIE also encourages UCOP to measure both the percentage and numbers of undergraduate students who study abroad. However, in making this recommendation, the committee cautions that these statistics often include all types of study abroad experiences, from two week vacation-like travel to full one-year immersion programs that are academically rigorous (such as many EAP programs). Towards the goal of refining this statistic, UCIE recommends translating the number of students studying abroad into full-time equivalents (FTEs). Other measures on study abroad might include percentages of undergraduate, graduate,

and professional students studying abroad, host regions of study, fields of study, duration of study abroad, and student profiles of those that choose to study abroad.

Above all, the committee is concerned that the dearth of measures regarding the internationalization of the University devalues the important role that EAP plays, especially in the current financial and economic environment. In terms of its academic rigor, EAP enjoys a stellar reputation and is often pointed to as the 'gold standard' in international education. We at UC are fortunate to have one of the best study abroad programs, thereby making the UC system more attractive to college bound students. In short, UCIE feels that the lack of thoughtful measures in this area will not only impact the future of UCEAP deleteriously, but will also have a significant effect on international education at the University.

Thank you for the opportunity to comment on this important report. If you have any questions, please let me know.

Respectfully submitted,

A handwritten signature in black ink, appearing to read "Errol Lobo". The signature is fluid and cursive, with the first name "Errol" written in a larger, more prominent script than the last name "Lobo".

Errol Lobo
Chair, UCIE

cc: UCIE
Executive Director Martha Winnacker



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November 4, 2008

MARY CROUGHAN, CHAIR
ACADEMIC COUNCIL

Re: UC Accountability Framework

Dear Mary,

UCOLASC reviewed the UC Accountability Framework and noted that the University's libraries are not included in the report. UCOLASC recommends that the report includes data on the libraries.

Sincerely,

Larry Armi, Chair
UCOLASC



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November 17, 2008

**MARY CROUGHAN, CHAIR
ACADEMIC SENATE**

RE: Draft UC Accountability Framework

Dear Mary,

At its November 10, 2008, meeting, the University Committee on Research Policy (UCORP) discussed the draft UC Accountability Framework. We have several suggestions to improve the document going forward, grouped below in two sections: general comments and research-specific comments.

General comments:

Overall, the committee feels that the document at present is a mere “data dump” that was hastily assembled. Many members of the committee were unclear as to its purpose and intended audience. The document would be enhanced by an executive summary that outlines not only its purpose, but also key themes to which the report will return in each section. Similarly, throughout the document, interpretation and framing are absent. By leaving readers to make sense of the voluminous data on their own, the absence of interpretation and framing encourages misapprehension and misuse of the figures. Specific suggestions include the following.

First, statistics should be normalized for population size. While it may be useful to know the raw numbers, it would be more useful to know how the raw data measures up comparatively—both between UC campuses and its Comparison 8. As it is, the smaller campuses are made to look bad, even if per capita, they are better than many of the comparisons suggest.

Second, the use of external rankings (Section 9) should be accompanied with caveats. While many are familiar with the *US News and World Report* rankings, their methodology is controversial, and they (and other rankings) should not be presented in a manner that assumes their validity or legitimizes or endorses them. Nonetheless, additional *US News and World Report* rankings, such as “Campuses to watch”, could be added, if UC campuses appear on them. Each campus could be asked for campus-specific ranking in books and articles that favor them.

Third, there should be more than 3 scholarly/academic indicators of faculty quality under Section 7. Faculty. As it stands, the paragraph of introduction says “In addition, the faculty’s gender, ethnic and racial...”, but then lists these matters up front as Indicators 2 through 5. Prizes won by faculty are last, numbers 10-12. Why not foreground the prizes? Also, the strategic implications of including the Indicators of faculty salaries should be explored more fully.

Fourth, cross-references should be used. For example, undergraduate research is listed in one undergraduate section, but not the research section. Each section should include a link to the parallel campus profiles, whether campus life, research/VCRs, staff/faculty diversity, etc.

Research-specific comments:

The committee believes that other creative work should be included in the framework, not just research. Focusing exclusively on research may do a disservice to leading faculty in the arts and humanities whose contributions are significant but whose extramural funding is comparatively light. Specific suggestions/comments include the following.

First, the list of extramural awards and recognitions is quite incomplete, as it leaves out a large number of national and international awards from the Kyoto Prize (which has just been awarded to UC Berkeley computer scientist Richard Karp) to data about Foreign Members of Academies in countries other than the US, to fellows of major scholarly societies (only IEEE Fellows and APS Fellows are listed, but not, for example, Fellows of the Association for Computing Machinery, Fellows of the Linguistics Society of America, and many others).

Second, publications and citations should be included. Omitting industry-standard metrics should be discouraged, and the public ought to be able to appreciate the numbers of books and articles published by UC faculty. Additional metrics (and themes) that might be included are: i) percentage of new faculty who receive NSF/NIH/etc grants (UC research is cutting edge); iii) after graduation salaries since research is good for education (research income from sources other than the federal government should be included with meaningful comparison data (research is cutting edge and good for the economy) as well as revenue to the state/community from start-up industries (research is good for the economy).

Third, the committee believes that current web-based efforts at promoting UC's research portfolio are lacking. As a point of comparison, many noted that MIT's website is effective at demonstrating that institution's value to its community. <http://web.mit.edu/research/>

We hope that this document is part of a larger strategy of public relations within the state. We would like to be informed about the comprehensive strategic plan underlying the framework.

We thank you for the opportunity to comment on this proposal. Please do not hesitate to contact me if you have questions or concerns.

Sincerely,

James Carey, Chair
UCORP

cc: UCORP
Martha Winnacker, Executive Director, Systemwide Academic Senate



UNIVERSITY COMMITTEE ON PLANNING AND BUDGET (UCPB)

Patricia A. Conrad, Chair

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November 13, 2008

MARY CROUGHAN, CHAIR
ACADEMIC COUNCIL

Re: Draft UC Accountability Framework

Dear Mary,

The University Committee on Planning and Budget (UCPB) has reviewed the President's draft UC Accountability Framework. We are pleased to offer our comments about the Framework, including both larger philosophical points and specific comments and recommendations for improving each section of the report (see attached).

General Comments

While UCPB appreciates the opportunity to review the Framework now, it is disappointing that the Academic Senate did not have a chance to review the document before it was released for general comment. Prior Senate review could have helped ensure a more academically credible document and flagged instances where misleading statements appear, where the presentation is substandard, where the analysis is problematic, and where the graphical presentation is poor. We feel strongly that ongoing Senate oversight is needed to monitor the development of the Framework, perhaps through a special joint administration-Senate task force or some combination of standing Senate committees. Moreover, it is not clear that the statement on page 15 that UC "supports the development of a statewide accountability bill" has ever been discussed with the Senate. Given that the reference is to a specific bill, SB325 (Scott), a discussion should have taken place with the Senate about that legislation. Unfortunately, the scrutiny UC has received in the press since 2005 suggests that what the public and Legislature consider to be accountability has at least as much to do with Senior Management Group compensation or the governance of UCRP as it does of the indicators selected for this report.

Our first recommendation is that the Framework should explain more clearly what is meant by "accountability." The purpose of the document and audience for whom it is intended should be clarified as this affects the selection of data and best approach to analysis, as well as the extent of explanation and interpretation required. Meaningful accountability depends upon the articulation of clear, actionable goals. Goals will lead to actions that can be measured and evaluated to determine progress, and to recommendations for overcoming deficiencies. As such, the introduction to each section should provide a succinct summary of the subsequent material and

list specific, coherent, measurable goals. Certainly, we support the stated goal in the Research section for “unparalleled quality and breadth in the University’s research-intensive academic programs,” but it is unclear what actionable means will allow UC to achieve such a vaguely stated goal, and how the measures that follow will provide data to determine UC’s progress and success in meeting that goal. We also recommend that the Framework take into consideration the Master Plan for Higher Education to help guide the development of those goals.

As currently formulated, the Framework is not designed to advance beyond the purely descriptive, to permit an informed analysis of trends. The reader is unable to tell if the trends are good or bad, nor assign any causal role to underlying “inputs” into the educational process. We anticipate that future renditions could document progress in diversity or graduation rates, for example, but without accompanying data, it will be impossible to evaluate the sources of change. Indeed, it is not clear why only pictures were chosen instead of tables of numbers. Data is not value neutral. The framework should be viewed strategically as an opportunity to sell the University to the public. If UC does not interpret the data, someone else will, perhaps to our detriment. Without accompanying documentation, UC may invite misinterpretation of the data, and once such misinterpretations appear in the press, they become conventional wisdom. It is important to note the source of each set of data to ensure that the data can be readily obtained, verified, and clearly analyzed.

The final version of the Framework should be much shorter, and should show a more unified vision of UC as a whole. In many cases there is no apparent advantage or purpose to showing the individual campus data, except possibly as examples. Although these data should be made available, the repeated, extensive campus breakout for so many indicators tends to reinforce the public impression that the system is not really unified and has unequal campuses. This form of presentation tends to distract readers who are more likely to devote their attention to comparing and ranking campuses, rather than understanding the more meaningful but complex realities that impact the University as a whole.

Most importantly, UCPB believes the budget message in the Framework should be stronger and clearer – that state support remains critical to the University, but UC does not have enough support from the state to maintain excellence. Data illustrating this message – how that budget is allocated and spent and what outcomes follow from those decisions – should comprise a larger share of the Framework. UCPB recently had the opportunity to review Executive Vice President Katie Lapp’s long-range funding model, which, like UCPB’s own [Futures Report](#) and [Cuts Report](#), raises serious questions about UC’s continuing ability to meet its basic functions and obligations without an infusion of new budgetary support. It is disappointing that the Framework appears to be separate from such ongoing analyses at UCOP – the [UCOP study](#) about the impact of Year 1 of the Faculty Salary Scale Plan is another example – and both of these reports would have provided a much clearer message had they been incorporated into the Framework. We are also particularly concerned that some of the indicators in the Framework send a message about general fund state support that is quite different from the one in EVP Lapp’s forecast, which isolates this important message very effectively. The same can be said about the use of only average salaries to describe UC’s faculty salary competitiveness – the salary scales are far below the market, and the critical distinction between on- and off-scale salary competitiveness is completely ignored by the Framework.

Many faculty fear that the increasingly terrible funding situation is forcing UC into decline, and is moving the University toward a lower quality education with greater use of lecturers, a higher student to faculty ratio, and minimal student contact with research faculty. That educational model is not what parents are paying for, what the Legislature is supporting, or what the faculty want, but these are all consequences of the budget. Indeed, the Legislature can come away from this document with descriptions of various symptoms of underfunding, but learn little about the potential impact of more funding or the mechanisms by which the funding would improve UC. Moreover, too many claims that UC is doing a great job could also lead readers to believe UC's funding is adequate and can still take hits to its budget without irrevocable damage.

UCPB believes it would be effective to use the Framework to document the funding necessary to bring each UC campus to a comparable standard of excellence and to identify threats to that goal. We note the potential harm in referring to "flagship" campuses, on page 14, which plays into the hands of those who advocate stratification of our ten campuses. In addition, the Framework should use jargon and bureaucratic language sparingly, and definitions should accompany their first use; for example, "longitudinal" data on page 13, "future developmental trajectories" on page 1, and "Interpretative annotations are used sparingly and reflect the University wide picture" on page 11. Also notable is the statement on page 1 that accountability will be demonstrated by transparent decision-making and disclosure, but performance itself is not mentioned.

The Accountability Framework is being presented for the first time, so it is imperative that it specify clearly the goals and scope of the effort, because what we do now will set the foundation for future reports. The Senate has shown strong leadership in analyzing all areas covered in the Framework and should be an equal partner in accountability. The **Futures Report** and **Cuts Report** represent only two such efforts. Real accountability would include the message in the **Cuts Report** about the decline in UC's quality and the need to identify solutions and alternatives or face consequences.

Please find attached additional comments about each section of the Framework, starting with Section 10 which was deemed to be critically relevant to UCPB and proceeding thereafter to other important recommendations for Sections 1-9 in numerical order.

Sincerely,



Patricia Conrad
UCPB Chair

cc: UCPB
Martha Winnacker, Senate Executive Director

Encl.

University Committee on Planning and Budget
Additional Comments about Specific Sections of the Accountability Framework

Section 10: Finance, Capital and Development

- Indicators 10.1-10.3 are arguably the most important indicators in this Section. Unfortunately the presentation of these data do not allow one to easily make comparisons, see trends, and notice problems, and the text does not discuss such comparisons, trends or problems. Consideration should be given to using the same sources for revenue and expenditures by source in Indicators 10.1 and 10.2 as are used in Katie Lapp's Long Range Budget Planning Model. Auxiliaries and Medical Centers should not be included in the indicators, and the DOE laboratories should be separated from other research. The latter is particularly important due to the formation of the LLCs and intent to make long-term comparisons with these indicators in future accountability reports. Transparency is needed in the discussion of Discretionary Funds, especially indirect cost recovery and how these are allocated.
- Indicator 10.1 covers only the period 2003-04 to 2006-07 and makes it appear that state funding for UC is holding steady. The stacked histogram in Figure 10.1 does not allow one to see changes over the years for smaller categories of income, and the report does not compare the UC revenue structure with other universities.
- Indicator 10.2, Expenditures for Instruction (includes academic "support" and student services) = 27%. How does this number compare to the analogous figure for revenue? How are they calculated? Symmetrical bases?
- Figure 10.3 (Per-Student Average Expenditures for Education) provides insight because it shows trends (declining state funds) and contains numbers that allow for an exact comparison. Unfortunately, the graph for indicator 10.3 makes it appear that student fees haven't changed or are decreasing when in fact the students' share of the expenditure total has risen 29% in 10 years while the overall average expenditure per student has declined 20%. UCPB has done some work on the moving target of this measure, what counts and what doesn't, according to whom, and the political controversies it generates (see **Futures Report**). If quality of education is to be correlated with money spent per student, then quality is going down. The most important conclusion from these data is that over the past 10 years students have paid a higher proportion of the costs for a cheaper and possibly lower quality of education at UC. UCPB believes that UC can no longer afford to deny these realities, particularly as this trend is likely to increase at an accelerated rate. What is called "Expenditure For Education" is really a big bundle that covers all of undergraduate education plus graduate education plus faculty research throughout the academic year. One must disaggregate the expenditure for undergraduate education from that whole bundle in order to obtain a truthful measure. UC Berkeley Professor Charlie Schwartz has shown one way to do this using a variety of official data from the University (<http://socrates.berkeley.edu/~schwartz/Approp.pdf>). His results show that undergraduate student fees at UC are now at a full 100% of what this university spends, averaged per student, for undergraduate education. The discrepancy between his findings and the 29% quoted in the Framework should be clarified.
- Indicator 10.5, Average Hours per Classroom Use, makes clear that UC is not meeting a legislative mandate for 35 weekly student contact hours per classroom. One problem with use of an average is that it ignores the heterogeneity in classrooms. Especially on older

campuses, it may be that some classroom configurations are not optimal, while the more suitable classrooms are fully booked. It seems unlikely that classrooms that hold 50 or more students are under utilized, and it may be more illuminating to report classroom use separately by categories of room size.

- 10.7: How do these data on seismic retrofitting and cross campus comparisons of completed retrofitting compare with the other charts comparing campuses using CPEC standards?
- Indicators 10.8– 10.12, the fundraising measures, are crude, unsurprising, and almost tautological tools for comparing state support to fund-raising. These charts skirt and dodge the issue of privatization. What should be a clear message/conclusion about the erosion of state support is buried. Indicator 10.8 says little more than campus development programs are at different stages. Indicator 10.9 is a little more nuanced, measuring the balance of gifts between Regents and foundations. Indicator 10.11 is also more nuanced, comparing UC endowment with comparison institutions. Two conclusions should be added to these sections – first, that public schools such as UC have relied on state support in the same way that private schools have relied on endowments; and second, that in the past 20 years, the endowments at UC’s private comparison institutions have grown substantially while state support has failed to keep pace.
- Now that UC has adopted a full transparency policy regarding allocations, UCOP can provide campus-by-campus data on Total State fund allocations by campus for 2008-09 (rather than “General Funds,” which include nonresident tuition, a portion of federal indirect cost reimbursement, overhead on State agreements, application fees, and miscellaneous fees), adjusted by State fund allocations budgeted to health sciences. Second, these State fund allocations could be analyzed after being further adjusted by allocations budgeted to MRUs (since campuses operate MRUs for the benefit of all faculty, University-wide), and finally, adjusted by State funds budgeted to agricultural field stations, by campus (historically line-item funded).
- The Framework should document the enormous growth in UC management over the last 15 years (by our estimate, 179% increase between 1993-2007 whereas FTEs increased only 41% during the same period).
- Important indicators not included are 1) net State funds per student enrollment by campus and 2) un- and underfunded (both for construction and maintenance) facilities and capital projects. The policy that no state funds be provided for maintenance and utilities of new buildings unless specifically for teaching means that newer campuses or campuses undergoing major new projects are penalized relative to others.

Undergraduate Issues:

There are five sections in the Undergraduate portion of the *UC Accountability Framework*. In general, they describe the undergraduate experience at UC, both systemwide and at the campuses. The information will be valuable as baseline data in the subsequent years. In particular, the affordability and student work data will be critical for evaluating the effect of the current state and national financial crises on the UC undergraduate experience. The following are general comments and questions pertaining to each of the five sections.

Section 1: Undergraduate Student Success

In this section we are given basic measures of graduation rates for freshmen and transfer students; retention rates and degrees awarded by field and by division; and a survey of students’

future plans. What is missing is how UC defines success. Usually, if we are going to measure something, we have a theory in mind about how variables relate to each other that connects causes to effects and that tells us how to measure each component. It might be possible to measure student success if our notion of success involves education, and includes not only outcomes but also the value of those outcomes, so that we can measure marginal productivity of education at each division or within each field, or that measures the cost, so that we can measure net marginal productivity.

- Indicator 1.6, undergraduate degrees awarded by discipline, contains a lot of good information, but it is hard to see the relative proportions when the campus sizes differ so much. We suggest pie charts of different sizes, or report % in each discipline.
- Graduation rates for entering freshman are reported for 4- and 6-year degrees (p.19). There has been a steady increase in graduation rate (at both 4 and 6 year rates) across the system (p. 20). The graduation rates are higher for transfer students and the success rates for these students are similar across the campuses. Retention rates for freshman range from 83-97%, for transfer students 91-92%. Does the graduation rate data control for attrition?
- Degree by discipline (p. 29) holds some surprises. There are low rates overall for degrees in Science, Engineering, Technology, and Mathematics; when Biology is added to this group, the rates are still relatively low. The highest proportion of degrees awarded is in Social Sciences. There is some variability across the campuses in these patterns, but the overall pattern is quite similar. It would be interesting to link these data in some way to the performance data, especially entering scores (reported in Section 3). However, we note that the similarity of patterns across the campuses in major degrees would not be expected to relate in any direct way to the disparity in entering scores across the campuses.
- Two tables report the number of undergraduate degrees awarded and the self reported post-graduate aspirations of students. It would be interesting to see data on the proportion of new college degrees that UC contributes to the State every year, compared to other in-state institutions, which would demonstrate the UC contribution to the college-educated workforce in the state. There is little variation in post-graduate aspirations across campuses, which seems surprising given the relative differences in entering scores. There are three pieces of information that could added to the story to make it useful: (1) were these goals realized (i.e., did going to college at UC help students reach their goals? (2) did these graduates enter the workforce in California, and if so, in what capacity? and (3) did the students who went on to post-graduate training attend a UC? This information seems important to document UC's return-on-investment to the State.
- Using graduate/professional school success as a measure of undergraduate success seems to present some internal contradictions. Indicator 1.9 says 40% of graduating seniors at UCB plan on graduate/professional school, while 1.8 gives highest degree aspirations among graduating UCB seniors at 27% for PhD. Official UCB data, however, report only 18.8% enrolled in a graduate/professional program and only 5.5% in a PhD program some months after graduation.

Section 2: Undergraduate Affordability

- The affordability measures given relate to family income, student hours worked, debt, and gifts, aid and grants to students. There is also an estimate of the cost of attending each campus. What metric relates these metrics to affordability? Why, for example, do we measure hours worked? We don't observe the students who do not come or do not stay or

who do not even apply to UC because they cannot afford it, we only observe those who do come and stay. If accountability requires us to improve these statistics over time, we will need to keep dropping the debt acquired by students; the hours worked, and keep increasing the number of students from the lower end of the income distribution. This could very well ruin the university without actually improving affordability.

- UC should consider more, or at least different, comparison institutions. In addition to the important comparisons between UC campuses, there are comparisons with UC's "Comparison 8." We should also include data for institutions UC competes with more directly, such as Arizona, Arizona State, Colorado, and USC.

Conclusions and Other Observations:

- The cost of attending UC falls midrange in relation to our public comparison schools. The slight variation across the campuses is due to local cost of living but can this information be augmented in some way to explain what is included in this estimate?
- The proportion of need-based aid recipients varies substantially across the campuses (low to high: 42% UCSB to 62% UCR), which is also a statement about the student profile more generally. (p. 42)
- One-half of need based aid to students is in the form of gifts, which may change substantially in the coming years, and therefore, is important to track. Also, what are the sources of these gifts?
- There is a high rate of Pell grant recipients, which is a very good indicator of UC service to low-income population in state. (p. 45).
- There has been a gradual increase in the net cost of attending UC over the last 6-7 years (p. 48). This point needs to be underscored throughout the document.
- P. 51 reports the enrollment of students from different income brackets. Do these distributions mirror the state distribution of income for age-eligible (or college- or UC-eligible students)? The report says this information is difficult to assess in relation to the comparison schools, but can it be assessed for California only?
- The proportion of students working more than 20 hours per week during the academic year varies considerably across campuses, with UCI, UCR, and UCSB having the highest rates. How does this workload factor into the years to graduation data?
- Student loan debt at UC has declined slightly in recent years, which is surprising. However, the note in the table suggests that this may be due to parents using Home Equity loans to support college. How will this be affected by recent financial problems? This may be a particularly important indicator to watch in the coming year(s).

Section 3: Undergraduate Access

This section provides appropriate data and graphs for various measures of access to UC, including applications, admissions, enrollments, SAT scores, GPAs, and underrepresented minority enrollments. Several of these measures are presented on a campus by campus basis, and provide a useful comparison between the UC campuses. The graphs show a sharp stratification of the UC campuses into three tiers based on SAT scores and grade point averages.

- There is no report of the actual number of UC-eligible students statewide from the high schools for a given year, nor information about how many of these students applied to UC, how many were admitted, and how many actually enrolled.
- The term American Indian is used to refer to Native Americans, though it was not specified. Also, could the subgroups that belong to this classification be identified?
- Access is greatly affected by state support; 2004-05 data speak to this clearly. The data suggest that campuses more dependent on state funds are more affected by such support, which affects UC access to underrepresented minorities overall. This link could be made clear to the reader.
- P. 71 reports SAT scores for Math and Critical Reading combined; can these scores be reported separately?
- There is a sizable range in SAT scores for entering students across the campuses. This raises the question of whether outcome measures should be analyzed so as to control for entering scores. As a related point, although some campuses have lower average entering scores, these campuses may be quite successful in training the students who attend, a point which should be made if individual campus data are retained in the report on the scores.
- The figures on p. 79 are somewhat difficult to compare visually because the scales differ; some have a low figure of 2.40 and others have a low of 2.80.

Section 4: Undergraduate Student Profile

- Section 4.3 considers undergraduate enrollment by race/ethnicity by comparing UC to comparison institutions. A more telling comparison might be how the UC numbers compare to state demographics or of the population of California high school graduates.
- Section 4.6 shows UC female undergraduate enrollment. It might be more telling to show a breakdown by school and major. Do women enroll in Math, ICS, Engineering, and the physical sciences in more equal numbers with males over time? Also, it is easier to interpret the % female student statistics than the absolute number of female student statistics; e.g., UCLA has the same absolute number of female students as Illinois, but the % differs. Here the absolute numbers don't tell an interesting story.
- The female trends in attending UC are excellent; the male trends less so. This fits the pattern of overall male vulnerability or risk across many domains across the nation, and is, therefore, a troubling trend.
- Especially for majors where women make up a small percentage of students, it would be helpful to know if this pattern is present for entering students, or if the pattern is due partly (or largely) to the failure to retain female students in the major.
- Section 4.9's data on first-generation UC undergrads should be compared to public and private comparison institutions.
- Is it possible to chart ethnicity and gender by degree major at graduation? This may be an indicator of future earning potential of students in the various groups who attend UC, and may help address questions such as whether students from diverse backgrounds and women have more earning potential if they attend a UC versus another state institution.
- How does the changing distribution of ethnicity among the student body reflect the changing ethnic distribution in the state? How much do the problems of recruiting minorities reflect fundamental problems in the K-12 educational system where UC has little control?

- Geographic data: it would be useful to include data on the actual number of college eligible high school graduates broken down by geographic regions in the state. Also, are some UC campuses more “regional” than others— that is, do some campuses attract more local students than other campuses? If so, is this pattern changing over time?
- P. 98-99 reports the college profiles of UC parents; this is very impressive and interesting data regarding the contribution made by UC to changing the educational profile of the state.
- P. 100 presents data pertaining to languages spoken in student homes; it would be useful to list some of these languages, not the actual values, but some rank ordering of the more to less common languages to trace any trends in home language that may emerge over time.
- Stylistic suggestion: For Section 4.3 (continued) and Section 4.5, label the top chart with “Number” and the bottom chart with “Percent”

Section 5: Undergraduate Student Experience and Proficiencies

- The average class size for courses in a student’s major would be informative about the quality of that major.
- P. 105 lists the students’ responses to questions about group learning experiences, but no information as to why this is valuable to assess and how it contributes to the undergraduate experience.
- On p. 105 there is a report of student active leaning experiences; is involvement in outreach programs included in the final item? If so, perhaps include this in the label in the table.
- On p. 106, students state that the availability of required courses was a big problem in graduating on time. This is a serious issue that needs attention if years-to-graduation is to be lowered. However, it may also be the case that many students cannot get into these classes as a result of changing majors during their years at school. Can information about changing majors be included in this survey? If not, perhaps some report of this information could be included in another section of the accountability report.
- It may be worthwhile to tabulate future data in relation to graduation rate, debt owed upon graduation, financial support provided, ethnicity, and gender. As a practical note, if any subgroup data are reported, given the large number of items per topic, it might be worthwhile to determine if one item per topic can function as an adequate indicator for each topic.
- P. 108 includes the item “contact with someone of another nationality.” Given the low rate of international students in the undergraduate population at UC, this seems uninformative.
- P. 110 reports data of freshman and seniors on their analytic, thinking, and writing skills as a measure of growth or change. The data need to be identified as cross-sectional, longitudinal, or retrospective. We assume it is the latter; however, this needs to be made clear.
- General comments on the UCUES survey. The survey appears useful, especially for tracking these categories across years. However, we have some questions:
 1. Biennial administration is troubling. Why not administer it annually?
 2. The response rate is low, especially among key populations (male, minority, and low-GPA students). There is a need to increase the response rate if these data are to be useful as a measure of accountability, perhaps a web-based administration or linking completion to some type of incentive would increase the response rate.

3. The overall survey description refers to students' civic engagement as a topic; however, the items pertaining to this type of behavior are not clearly identified.
4. The cover page says slightly less than half of students reported participating in four different activities that indicate individual instruction, but these numbers average 50.75%, so it is above half. An interesting detail is the range across these four activities, with 41% reporting an internship and 75% reporting class presentation. However, these activities represent very different types of involvement by students and faculty, and lumping them together in a summary statement does not do justice to the overall role each may play in the undergraduate experience. Finally, these values are important to evaluate in relation to how many students sought out such activities, particularly for involvement in research. The participation questions are posed as if the desire to participate is a given for all students, but it is more important to determine if the available resources or educational opportunities meet the actual student demand and not assume that all students seek such opportunities, e.g., what % of UC undergraduates who seek such opportunities were able to find them on the campuses?
5. Will the learning outcome data currently being requested in the WASC reviews be integrated with this student report data?
6. In this section, all data are self-reported. For many of the items it would be useful, in fact imperative, to have some university-based data on student proficiencies to complement the students' own reports. With only the student data included, the information comes across more as a user satisfaction survey than as a report of student experience and proficiencies.

Section 6: Graduate and Professional Student Profile

- It would be helpful if the data were disaggregated into discipline. While it is good to know that the proportion of Latino/Chicano students is increasing at UC, it is meaningless if all of these students are enrolling in the same program and that program is simply enlarging. The indicators for race, gender, and financial support are all meaningless if they are not disaggregated by program of study. A shift from engineering to education would increase the proportion of female graduate students, but would not indicate a real shift in demographics. Data should also be disaggregated amongst masters and PhD students.
- In order to fully gauge the effectiveness of the academic graduate enterprise at UC, we need to know the quality of incoming students, the level of productivity of students during graduate school, and performance of graduates. It is not sufficient to know that UC is attracting high level students, or that we are graduating qualified students. We need to see how we are developing incoming students into graduates in comparison to other institutions.
- Standard metrics for judging incoming graduate student competitiveness are similar to those for undergraduates: GPA, GRE scores, and school selectivity. Another useful measure of incoming graduate students is how many receive external fellowships. The number of recipients of competitive undergraduate scholarships would also be useful.
- Assessing productivity during graduate school is a valuable indicator but may be difficult to determine. One good measure is how often, and perhaps how early, graduates publish in scholarly journals and present at conferences. This will be dramatically different for each discipline, but in general, publishing often (perhaps early) in significant journals is a sign of successful graduate education. Another sign of success is timely progression toward a degree. While these numbers could be inflated by lowering standards for graduation, a shorter average time to degree generally should indicate a more successful program. Finally, later stage, competitive external fellowships are another indicator of graduate production.

- Teaching productivity is also an important measure of graduate student success, particularly in the humanities and social sciences. UCSD currently collects teaching assessments of TAs at the end of each quarter. If these assessments are common, such data could be aggregated for the purposes of the accountability report.
- Since the experience of a UC graduate education is designed to benefit a student over a lifetime, post graduation success is the most difficult to measure. We would really like to know whether graduates are being hired and retained in the careers that they find most desirable. A hint of these data are given in 6.11. These data could be improved by showing whether “Post-Doctoral Training” indicates that a student is planning to pursue a postdoctoral position, or whether they actually have one lined up. It would be useful if future surveys asked whether they were hired for their first choice of jobs or not.
- In addition to the average stipend for incoming graduate students, an important indicator of graduate school success is how many students are fully supported 3, 4, or more years out. The data on how many students are supported at 49% for their program of study should not be difficult to find, as well as whether they are supported by fellowships, research or teaching assistance-ships or training grants. Another useful metric would be the average required teaching load for each department vs. comparison schools.
- From the standpoint of California, different metrics must be considered to judge UC effectiveness. Is UC generating graduates that improve the state? Are they more competitive than people coming from other places to fill the jobs? Are they taking the jobs that the state most needs filled? We must know that graduates are being produced in relevant areas, and that those graduates are competitive.
- Also of interest to the state is the quality of the research coming out of UC. While patents and licensing revenue are useful metrics, exclusive reliance on them will lead to a de-emphasis on innovative “blue sky” research that has traditionally been the role of the university. It would be easy to increase the production of patents by focusing more on development and less on research, or by eliminating astronomy departments and replacing them with structural engineering, but this might not be in the best interests of the state. Publication in journals, particularly in high-esteem journals such as *Science* and *Nature* and discipline-appropriate, high citation index journals, along with citation numbers may be a good indicator of scholarly impact, as well as the ability to attract funding for research projects.

Section 7: Faculty

General comments:

Two goals appear: “the recruitment and retention of a world-class faculty” and “the faculty’s gender, ethnic and racial composition is indicative of the University’s progress in achieving the Regents’ diversity goals.” Under “Measures,” data are presented that cover the size and diversity of the UC faculty, student-faculty ratios (only for undergraduate programs), teaching activity, and comparison of UC faculty salaries with selected other institutions. However, the reader is thrown into the tables and graphs with little additional explanation or discussion. While the authors note that they wanted to have consistency in graphic format, one size does not fit all. For example, a number of graphics need to be reformatted when presenting comparisons of data for large campuses such as UCB or UCLA with data from UCM or UCSF.

The graphic on Page 144 shows the impact of the VERIP on the number of ladder-rank faculty, and on Page 145 there is an individual campus breakdown. The UCSF data look suspicious. While all other campuses show a drop in faculty in 1994, then either a leveling off or a slow recovery, UCSF shows a continued decline that does not stop until 2006 when the number of ladder-rank faculty suddenly jumps to almost the level of 1993. One explanation could be that for the health-sciences campuses, there are issues in defining faculty because of the number of job titles used, but that is not an excuse for questionable data. Moreover, the concept of the VERIP was to cut costs and not reduce the number of faculty; i.e., to replace expensive full professors with “cheap” assistant professors. This would have decreased the cost to the campus but not the number of faculty. At UCSF, to the best of our knowledge, any positions opened by the VERIP were filled within a year, so that the graphic should show at most a one year drop and not the steady decline. Similar questions can be asked about what happened in 2000 that caused such a large drop in the number of ladder-rank faculty at UCI. The effectiveness of the Framework rests on the confidence that the reader has in the data being used.

An additional measure focused on the composition and organization of the faculty worth tracking is interdisciplinary structures and interactions. Collaboration is increasingly important in research. Since the point of the framework is to provide a diagnostic tool for measuring what matters in the university, there might be ways to quantify “collaboration” as part of the life of the campuses. For example: 1. Number and size of centers, including metrics for degree of the interdisciplinary nature of the centers (percentage of faculty from the same department and school); 2. Number of team-taught courses that cross department and school boundaries; 3. Number of split appointments across departments and schools; 4. Number and size of majors / graduate programs requiring courses that cross department and school boundaries

Faculty Diversity:

Over the past three decades UC has worked to identify and overcome “the barriers preventing women from obtaining faculty appointments.” The graphics in this report, however, show the University in the worst possible light; for example, the discussion of full time female faculty starting on Page 150. We all know there was less diversity in faculty hiring in the past. This legacy is going to haunt the data because of the long lifetimes of these faculty (>30 years). If the graphics are to show how well (or not) UC is achieving its goal of increased diversity, the better graphic would be a plot by year of the proportion of women in the cohort of newly recruited faculty. That gives a snapshot of where the total faculty will be going. On page 152 there is a one sentence attempt to explain these data regarding the distribution of women in various fields without providing the hard data, “For example, in 2006-07, 50 percent of full-time ladder-rank faculty in education were women, while 41 percent in arts and humanities and 12 percent in engineering were women.” Those data could have been more informative as to where UC needs to focus its attention. For example, comparisons to national data would reveal, presumably, that the patterns for engineering and education mirror national patterns, rather than revealing some problem unique to engineering departments at UC.

More careful presentation of data could also provide additional comparisons with these institutions. It is doubtful that the Comparison 8 universities have any less commitment to increasing faculty diversity than UC; however, the metrics have to be carefully addressed. What are the patterns of hiring? Have they grown at comparable rates in recent years, and in comparable fields? What is the tenure success rate? This metric probably has a greater explanatory power than just stating UC’s commitment to increasing diversity as an explanation of UC’s greater diversity. Also, what lies behind the simple numbers? For example, the Public 4

appear to have a greater percentage of African-American faculty; does this reflect their greater commitment, relative to UC, or just better recruitment packages?

Student-Faculty Ratios:

A useful metric to add to the graphic on Page 144 would be a plot showing the increase in student enrollment and the corresponding impact on SFRs. The ultimate support for the ladder-rank faculty (LRF) must also be clearly delineated. When there are plots involving LRFs, the origins of their support must be considered; i.e., whether their positions are due to undergraduate or graduate enrollment.

The only goal mentioned in the legend for the graphic on Page 154 is “The University’s goal is to achieve a long-term budgeted SFR of 17.6 to 1 in order to increase the funding available to support faculty hires.” This statement seems to obscure as much as it reveals, in an environment where vacant FTEs fund lecturer salaries, start-up funds, off-scale salaries, and more. What is preventing UC from reducing its Actual SFR to the Budgeted SFR? The reader will not come away from this report with any understanding of the issue, but will be confused by the statement quoted above—what is the mechanism by which reducing the SFR increases available funding? This seems to have the causal direction reversed.

Moreover, the graphics in the Framework may be obscuring an even darker truth. As stated, the actual SFRs “refer to full-year actual general campus FTE student enrollment divided by estimated actual general campus FTE faculty employed.” It is this number that is represented in the graphs. The validity of this calculation, however, crucially depends on the definition of “general campus FTE faculty”. There is a potential problem with this analysis because there are faculty who are supported by the graduate programs (health sciences/professional schools excluded) and those supported by the undergraduate headcount. On Page 126 there is a graphic showing that 13% of the degrees awarded went to graduates students. If we assume graduate students generate FTEs at a ratio comparable to undergraduates (a conservative assumption), then approximately 13% of the FTE faculty will be based on graduate student enrollment and thus should not be counted in the SFR graphic on Page 154. If that is the case, then the “actual” SFR will go to ca. 22. The degree to which graduate programs enjoy more favorable SFRs would move this ratio even higher. These higher ratios are more in line with what would be expected from the diversion of FTE salary funds to support the wide spread use of off scale salaries as outlined in the **Futures Report**. Simply put, it seems that the SFRs were calculated by dividing the number of undergraduate students and all faculty, thus mixing apples and oranges (faculty supported by undergraduate and graduate student populations), to get the number of ladder-rank faculty. That is not an appropriate student faculty ratio, especially if we want to focus on undergraduate education. Of course, if general campus enrollment and faculty include the graduate students, and graduate students generate the same SFRs, then this critique is moot. If the point is not moot, then this is a major inaccuracy that masks a much less favorable situation at UC (and one that is by and large of our own making when we chose work-arounds rather than protest funding cuts).

For the analysis to be truly informative there would be no aggregation of graduate students and undergraduate students; i.e., these two groups would be analyzed separately. For example, that would permit us to understand the low ratio of graduate to undergraduate students at UC, relative to the Private 4.

It also appears that the SFR data do not conform to what is already reported online. The Davis campus reports copious detail concerning various measures of teaching workload. Davis reports

an SFR for 2006-07 of 20.44, which does not seem to match what is in this report (page 155 puts Davis at around 19.0 for 2006-07). The Davis data are opaque with regard to the involvement of graduate student-supported faculty being included in the undergraduate analyses. Again these data raise questions about the reliability of the Framework data.

A final point concerns summer teaching. Several years ago, there was an effort to increase the “utilization rate” of summer sessions. Reporting SCH over the academic year alone ignores a significant portion of faculty workload. The report does not address the role of summer sessions in either student progress or measuring workload.

Faculty Salaries:

There are questions with regard to the salary data starting on Page 158. Is the salary that is shown based on their step or their total compensation (are off scale and negotiated components included too)? Given the current inadequacy of UC’s salary scales, the salaries surely include off-scale, but what about negotiated components? Are Health Sciences and other professional schools even included? How are fiscal-year appointments treated? Are they converted to nine-month salaries? At what rate? A faculty member with a fiscal-year appointment does not earn 11/9ths of the academic year rate, but only around 16% more.

Most importantly there is no analysis of all the salary data. By showing only average salaries, the framework obscures the problem with deteriorating UC salary competitiveness. For example, what would it cost to become competitive with our comparable institutions, or what will be the impact on our competitiveness of the return to retirement contributions? Do we need to compare total remuneration (including benefits, retirement, tuition remissions for family members, etc.)? Most of this was covered in the **Futures Report**, but the Framework now has to continue this level of detail in these annual reports. Another important question, do salaries for full professors differ across campuses as well as in comparison to the Comp 8, and if so, then is it because of different age distributions, different disciplines, or because of UC’s lower salaries or tiering? One has no way to tell here.

The report also obscures the complexity of the issue of closing UC’s gap in average salaries. The UCOP web site has a very thorough analysis from the Faculty Salary Scales Work Group, distinguishing between the separate problems of fixing the salary scales and closing the gap in average salaries. That report is not even mentioned as part of accountability, but it provides a far more detailed picture of the subject.

Ongoing work within UCOP addresses total remuneration issues for all employee groups. It is very surprising that this played no role in the Framework.

Retention:

An extremely important metric of the health of the faculty is the retention rate. How many faculty are leaving, at what stage in their careers do they leave and why do they leave? These are data that can be obtained at the department level from resignation letters, outside offers and attempts to counter them, but that must be available to be passed up the chain so that global issues can be recognized and hopefully addressed. It makes a huge difference with respect to how UC could respond if we are losing faculty to quality of life issues (affordability of housing, schools for children, etc.) versus professional problems (inadequate research space or too few graduate students). All of the graphs in the report do not address that issue, yet it is at the core of the health of the faculty.

Up until now, UC has been among the elite universities, which has enabled UC to attract the best faculty from other institutions. It does not take much of a slipping in standings, however, to turn UC into a cherry orchard where other universities come to cherry pick us. If this were to happen, it would lead to a precipitous drop in the quality of the faculty and all that implies. It would also impose a large financial burden. Startup packages in the sciences for assistant professors are expensive. New hires really only begin to pay back those packages well after achieving tenure through overhead on their grants. Therefore, if they leave UC just as they are set to advance to associate professor, then most of that startup money is lost and a comparable amount needs to be raised all over again to recruit the replacement faculty member. This becomes a death spiral for any program or institution. At the very least, data on separations by faculty rank would be a start.

Awards and Honors:

The table on Page 164 is a useful start. There should, however, be a separation of awards for new faculty from lifetime achievement awards (this is hinted at in the legend on Page 164). Another important metric would be to separate who developed their career at UC versus those hired either before or after being awarded the honor or prize. These data would get at the heart of the questions; how well do we foster innovation and scholarship of our own faculty and how competitive are we to hire the best and the brightest from around the world? Further subcategorizing them would be useful with respect to, for example, humanities, journalism/writing, sciences, medicine, and engineering.

Other Comments:

- 7.2. Full-time ladder-rank faculty by race/ethnicity: also rather blunt. Finer-grained data would be useful; in particular, a breakdown of historic trends by such large categories as humanities and arts, social sciences, and engineering and natural sciences would produce meaningful comparisons within the UC system and with the comparison institutions.
- 7.3. Full-time ladder-rank African American, Latino/Chicano and American Indian faculty: the framework blandly acknowledges “The percentage of African American, American Indian and Latino/Chicano faculty varies by discipline.” This is not very helpful.
- 7.4. Full-time ladder rank female faculty, 2005 - here too, the framework simply notes: The percentage of women faculty varies by discipline. For example, in 2006-07, 50 percent of full-time ladder-rank faculty in education were women, while 41% in arts and humanities and 12% in engineering were women. This needs to be better disaggregated and quantified.
- 7.5. Full-time ladder rank female faculty, 1993-2007: longitudinal data are useful (although there is an incorrect legend).
- 7.6. Student-Faculty ratios: the difference between the budgeted and actual is interesting in that they tell us what we know - that UCLA and Berkeley are in better shape - but also that Santa Barbara and Davis are not far behind.
- 7.7. Student Credit-hours: compare the number of lower division hours campus to campus, and compare the ratio of lower-division to upper division by campuses. Also, the use of lecturers needs to be disaggregated into a few general categories (e.g., humanities and arts, social sciences, and engineering and natural sciences).
- 7.9. Average Faculty Salaries: Breaking down the data for full, associate, and assistant into a few sub-categories that can be compared across campuses and institutions might be more useful. It is interesting how the system average seems to track quite well with the public comparison institutions, despite our complaints about not being competitive.

- 7.10 and 7.11. Faculty recipients of national and international awards, cumulative and Faculty recipients of honorary memberships: these are just system-wide tables of fairly marginal value as presented. They should also break them down by campus. The UCSD website has a [great map](#) that indicates life science companies founded by UC graduates and their location.

Section 8: Research

- Indicator 8.1 shows UC's total research expenditures, including both indirect and direct research costs associated with research, carried out by UC campuses in comparison to "all other academic institutions." These data were used because they conform to the definitions used in the National Science Foundation Research and development (R&D) Expenditures survey. The rationale for making this comparison to "all academic institutions" needs to be clarified. Is this all 'research universities' or truly "all" universities? The more meaningful comparison is to other research universities. What is the purpose of this indicator, and what does it really tell us?
- The initial positions of Indicator 8.1 suggest that annual % growth is the most important measure. Indicator 8.1, pooled across campuses, is somewhat interpretable, but when split across 10 campuses, it's a mess, and one wonders whether annual % growth per campus is the most important indicator (as opposed to, say, growth over five years). These comments also apply to Indicator 8.4. Since these two indicators are measuring closely related concepts, shouldn't they be grouped together? It would also be important to consider the corresponding changes in the primary sources of research funds. For example, if UC continues to increase research funding even during periods of level or even decreasing availability of national research resources, then that would be a strong indicator of the quality of our research enterprise.
- Indicator 8.2 requires the same clarification mentioned above; however, it is more meaningful as a source of comparison than 8.1.
- The table for Indicator 8.3 requires clarification and more interpretation to show significance of these data. What does "rankings" mean? Is this a measure of quality or just size?
- Indicator 8.4 emphasizes anomalies and raises more questions than it provides useful information. The difference between and significance of Indicator 8.4 **Federal** Research and Development Expenditures and Indicator 8.1, **Total** Research and Development Expenditures, Annual Growth is not readily apparent. Of the two, 8.4 appears to be more useful. However, as with 8.1, the individual campus comparisons are more confusing than of value in terms of accountability.
- The first part of Indicator 8.5 is useful. It clearly makes the point that some campuses have more research spending than others, but this could be influenced by number of faculty or presence of a medical school. Also, the figures for the smaller campuses are illegible—so one point is being emphasized (dollars per campus) while other points (dollars per faculty member, the breakdown at smaller campuses) is lost. It would be useful to see research dollars per faculty member at each campus, aggregate as well as medical versus non-medical. These also apply to Indicator 8.6. Again, some information is being emphasized, whereas productivity per faculty member and the breakdown at smaller campuses is lost.

- For some of the same reasons as indicated in the footnote to 8.5, consideration should be given to distinguishing direct and indirect funds and costs in the analyses done for research indicators.
- Indicator 8.6 is useful but requires a key to abbreviations. HHS should be indicated as NIH to be consistent with previous explanations.
- In Indicator 8.7, is this the number of inventions reported to OTT? What is the number of patents filed? A comparison between filed and issued patents over the years would be of interest and potentially a useful indicator of the productivity and decision-making processes of OTT as well as of the faculty. The time points at which each campus took over their own intellectual property and established campus OTT offices should be indicated since different campuses decentralized at different times. Indicators to assess whether campuses are doing better or worse in filing and obtaining patents after decentralization would be important.
- The footnote under the figure in 8.8 gives several examples of commercialized inventions, but it is not clear why these were selected. Perhaps a breakdown of numbers and trends of patents in categories such as medical, veterinary, agricultural, biotech, green etc. would help to identify market opportunities met and missed. This is also the basis for the CalISI programs and some metric related to them should be included.
- 8.8: Foreign patents should be included in this indicator or an explanation given for their exclusion. We should have some way of comparing our success in filing and obtaining patents compared to other selected public and private institutions.
- Indicators 8.7-8.9: see comments above about larger versus smaller campuses. Why was annual % growth emphasized for research dollars, but left out for patents?
- Indicator 8.9 shows income from licenses. Is this the total income or UC's share? What is the the profit from patents and licenses after subtracting OTT and patenting/licensing expenses?
- A useful indicator would be the level and nature of gifts to UC, including individual campuses and even individual faculty. Large donations for buildings or endowed chairs are made possible by the quality of the programs. Individuals and foundations will only support the best, and if UC is not the best, they will go elsewhere. The extent to which UC has enjoyed continued success in raising large amounts of money reflects strongly on the perceived quality of the university.
- Some of the comments under Indicator 8.9 are of interest and should be supported with more in-depth and all campus data. Data regarding UCs contributions to private industry and economic growth in California is much needed. These efforts should be coordinated with TTAC and its Metrics subcommittee.
- There is an effort under way nationally and at UC to develop additional measures of technology transfer success that better reflect the important goal of fostering relationships. As alternate metrics are developed, they should be included in future accountability reports. We should be the leaders in developing these metrics and including them in this Framework.
- Most importantly, it should be possible to present other measures of scholarly activity and research productivity, such as number of publications, books, and citations (total across system, total per campus, and rate per faculty member). These indicators could also be compared to faculty at peer institutions and encompass disciplines beyond science and engineering.

Section 9: Campus Rankings

The inclusion of these indicators was controversial amongst UCPB members. Some believe that campus rankings are a terrible idea and this entire section should be cut. The feeling of these members is that campus ranking serve to reinforce the flagship model and stratify the UC system. Inclusion of *US News & World Report* rankings ignores the last ten years of debate about their reputational methodology, which has resulted in the mutiny of a large number of schools who are no longer participating in their rankings. There is a feeling that UC should be a leader in recommending more carefully considered criteria for campus rankings now and in the future. The Framework might point also to The Chronicle of Higher Education's "Top Research Universities Faculty Scholarly Productivity," which ranks 375 universities that offer PhD degrees, based on books published, journal publications, citations of journal articles, federal-grant dollars awarded, and honors and awards.

In 2001 the National Resource Council authorized a study to address methodology questions from previous graduate program rankings. That study proposed a variety of approaches, and outlined methods to put the rating and ranking tasks on a sound statistical footing. This new assessment exercise is due out in 2009.

This discussion gets at the heart of the Master Plan. UC is modeled on the concept that within each level the campuses should be treated equally. Any attempts to tier the system by relegating certain campuses to second tier status would begin to blur the differences between UC and the larger, well-established CSU campuses. The most important point is to use these evaluation metrics to determine why individual campuses are ranked as they are. With this information then plans can be made to address the issues. Simply cutting funds to an "underperforming" campus will certainly guarantee that the campus will not improve.

Members with an alternative perspective argue that the "economy of prestige" is controversial, as the very first sentence of Section 9 points out. Yet it is an important section, with regard to discussions of stratification within the UC system. This also (now more than ever) affects what Section 7 looks at: as anyone who went for a retention knows, the UC will only recognize certain institutions as its peers or aspirational peers. That said, it is not clear why the selection of comparison institutions is so slim here.

What is missing?

- The Framework should include data on postgraduate outcomes in order to highlight the value of a UC degree, as well as UC's impact on the California economy and the workforce. These could include easily measurable data on, for instance, lifetime earnings of UC graduates. But they should also somehow address how well UC is fulfilling its classical mission to create in its graduates complete individuals and better citizens. The latter is more difficult to measure but equally important – looking at the public service contributions of alumni might be one angle.
- There are no data presented in this report on the Pension fund, an issue of great importance to all faculty. Alumni offices should be able to supply this information as its collection and evaluation would likely be useful for future fund raising efforts.
- Some indicators that describe the overall value added to the state of having a world-class research and teaching university should definitely be added to the Accountability Framework.