The State Assembly Select Committee on the Master Plan for Higher Education in California

Meeting the Needs of Faculty and Staff to Support Students

Professional Development and Academic Initiatives

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Shane N. White, Chair University of California Academic Senate

Introduction

The Select Committee on the Master Plan for Higher Education in California was established in March 2017 to conduct a thorough legislative review to ensure that the Master Plan reflects students' needs to thrive in the 21st century. In today's panel on faculty professional development I will answer the 3 questions posed to me, in the context of the University of California's differentiated mission to be the State's primary research university, and its mandate to grant baccalaureate, master's, doctoral and professional degrees. Representative examples are given of the many ways that these questions are addressed on our 10 campuses through more than 150 academic disciplines, over 600 graduate degree programs, and for the faculty who serve a quarter of a million undergraduates, the most diverse student body in the history of our research university. These examples reflect the kaleidoscopic variety and depth of efforts in an extremely broad and complex organization. Different campuses and schools will often approach things in different ways; this allows local responsiveness to particular needs, as well as innovation, and the comparison and identification of best practices. Faculty development practices, those related to diversity, transfer, student support, pedagogy, and admission are not things mandated to the faculty, but much better are things organically birthed by the faculty for the University of California in its service to the people of California.

1. What do faculty need in terms of professional development in order to support students?

- UC faculty are committed to UC's culture, values and mission as a public institution and are invested in leading and shaping the direction of the institution, primarily through the Academic Senate. Their professional development opportunities are many and varied, reflecting both the formal and informal ways that faculty bring their intellectual interests and academic engagement to their roles.

- Professional development broadly includes the activities faculty take on to ensure they are doing the best job they can in their research, teaching, pedagogy, and service. Some is internal, some external. Almost all of it is about them, not as individuals, but as faculty serving the university's mission.

- Although UC faculty have access to a range of programs and peers, raising awareness of those programs and of supportive peer networks is important for improving faculty professional development to support students.

- As a result of lack of awareness, some faculty at UC may not receive the kind of formal development that can help bolster their effectiveness, both in the classroom and as academic leaders.

- Developing systematic, transparent processes for raising awareness will help increase the representation of individuals from underrepresented groups, and particularly women and faculty of color, among Academic Senate committees and in formal professional development programs.

- Because many of the efforts exemplified below resulted in changes in practice and conversation, they served as effective vehicles for faculty professional development. Ongoing responsive research, strengthening the evidence base for effectiveness, would enable UC to adopt these practices more broadly. Faculty embrace effective professional development.

- Time and other academic pressures may also impact faculty engagement; recognition and rewards must align and incentivize professional development.

- Our faculty have access to professional development opportunities; they live for professional development, but their far greater challenge is a much more basic one of institutional resources.

2. What professional development is available to faculty given academic initiatives such as remediation, transfer, and increasing faculty diversity?

- UC has nearly 23,000 faculty: approximately 11,000 being ladder-rank, under 4,000 lecturers, and the balance being clinical, in-residence and adjunct faculty. UC is unusual in its high proportion of ladder-rank faculty, who teach a higher proportion of courses than in other public American Association of Universities members. Given the recent surge in enrollment, as well as decreased funding, the faculty to student ratio has worsened.

- The faculty of the University of California are guided by a single systemwide Academic Personnel Manual (APM) that defines the relationship between a faculty member and the University. The faculty are the means by which the University carries out its mission of teaching, research and service. That mission is achieved by faculty through classroom teaching, conference with students, studying and writing, research, committee work, administration, and public service. The APM is a career management tool for the individual faculty member, linking their career-long development and contribution directly to the university mission.

- Under UC's APM policies, UC faculty are held to high standards in teaching and research: "Superior intellectual attainment, as evidenced both in teaching and in research or other creative achievement, is an indispensable qualification for appointment or promotion to tenure positions."

- UC is unique in that it employs rigorous career-long post-tenure review.

- The faculty have a singular role in ensuring that UC's academic initiatives promote UC's values as a public institution. The Academic Senate determines academic policy, establishes the conditions for admission to the University and the granting of degrees, authorizes and

supervises courses and curricula, and advises the administration on faculty appointments and other academic matters, through a distinctive practice of shared governance. All 12,000 Academic Senate members are expected to actively participate in the governance of the University through service in an integrated departmental, school, college, campus, and systemwide committee structure.

- The work of Senate committees to study, establish and communicate policies and best practices in all of these areas is an important form of faculty professional development. It is the best kind – peers supporting and encouraging peers to act in ways in keeping with the goals of the University.

- The Academic Senate recommended a Diversity Statement to the Board of Regents in 2006, who adopted it as Regents Policy 4400. Furthermore, The Academic Senate initiated revision of the APM (210-1d) to read: "Contributions in all areas of faculty achievement that promote equal opportunity and diversity should be given due recognition in the academic personnel process, and they should be evaluated and credited in the same way as other faculty achievements", explicitly codifying such efforts in the appointment and promotions process. Diversity statements are now sought from applicants to faculty positions.

- UC's Academic Senate has been committed to student preparation since the foundation of the University 150 years ago; that work has resulted in extensive faculty culture and expertise in matters of remediation, transfer, and diversity. The Academic Senate comprises committees tasked specifically with carrying out the faculty's role with respect to these issues.

- The University Committee on Preparatory Education (UCOPE) is the Academic Senate committee that sets the standards for student success and decides upon methods appropriate to satisfy requirements. In so doing faculty engage in matters of student success directly, and understand through this work the challenges and opportunities students confront. For example, a key interest of UCOPE is the availability of resources and support for UC's multilingual domestic students.

- Academic matters concerning freshman and transfer admission to the University are the purview of the Board of Admissions and Relations with Schools (BOARS), another Academic Senate committee, which regulates the policies and practices of admission to UC. An example of BOARS engagement is their current work on implementation of the brand new Transfer Guarantee of Admission to the UC System, built upon the 21 Transfer Pathways, which is intended to incentivize and reward good academic preparation. These efforts, along with efforts such as the individual Transfer Admission Guarantee (TAG), which BOARS developed over two decades ago, are part of our on-going efforts to reach out to and counsel potential transfer students.

- The University has been extremely successful in admitting and enrolling transfer students, reaching a 2:1 freshman to transfer ratio systemwide. But there is more to be done both in reaching potential transfer students and in their support after enrollment. Although 4-year graduation rates of transfer students equal or surpass 6-year graduating rates of entering freshman, a more relevant comparison is to the 6-year graduation rates of freshman who persisted to the 3rd year; this shows a distinct lag. More resources for faculty to better support enrolled transfer students is needed.

- UC provides unparalleled access for low income students, enrolling approximately twice the proportion of Pell Grant recipients as its American Association of Universities (AAU), peers, but UC also has a higher graduation rate than for the combined public members of the AAU. More than half of the Pell Grant recipients who graduate from UC and work in California go on to earn more than their total pre-UC family income within 5 years.

- Likewise, admission, enrollment, retention and graduation rates for first generation students, underrepresented minority students, and transfer students are extremely high, and continue to steadily rise. The systemwide First Generation program connects first gen faculty with first gen students. BOARS has achieved great successes in improving student diversity, with steady improvement even since the enactment of Proposition 209 in 1996. These efforts are foundational to improving the pipeline to diversify the professoriate. UC's high graduation rates mean higher returns on enrollment investments; for every 10 students enrolled, 9 students earn a degree.

- The University Committee on Affirmative Action, Diversity and Equity (UCAADE) consults on policies concerning affirmative action, diversity and equity for academic personnel, students, and for academic programs. As such, the members focus on improving faculty diversity and climate, and review and consult with the administration on its faculty diversity strategies, including professional development programs such as President's Postdoctoral Fellowship Program and studies of faculty salary equity.

- The President's Postdoctoral Fellowship Program (PPFP) is key to supporting diversification of the UC faculty through financial support and career development training for postdoctoral scholars who show promise to be successful faculty at UC or elsewhere. This program has been incredibly effective; last year it received 854 applicants for just 24 slots; it has been emulated nationally and internationally. Achieving diversity through normal attrition and enlightened replacement is insufficient at the University of California or in the other segments. The President's Postdoctoral Fellowship Program should, in my opinion, be radically expanded.

- The State's investment of $2M in one time funds in 2017-18 and 2018-19 to support best practices in equal employment opportunity in faculty employment supported innovative and focused programming to support faculty diversity. These efforts contributed to the recruitment of a diverse set of new faculty, and the results suggest that additional funding on targeted interventions impacts the diversity of UC faculty.

- In addition to Academic Senate activities, faculty engage in student success and faculty diversity initiatives in multiple other ways, primarily through peer-to-peer interactions both formal and informal. In the research university, some of the most valuable interactions occur outside the classroom, through mentorship, the common pursuit of scholarship, in the research laboratory, or through public service.

- For example, across UC campuses faculty serve as equity advisors in their departments, receiving intensive training in mitigating bias and evaluating candidates' contributions to diversity in order to raise awareness of best practices and to guide equitable faculty searches. Equity advisors also provide important professional development to their faculty peers through formal programs and informal mentoring to foster inclusive cultures for faculty and students.

- The STEAD program (Strength through Equity and Diversity) at UC Davis uses trained faculty members to provide information and advice about achieving excellence, equity, and diversity in faculty recruitment for faculty and administrators who are involved in hiring. Through these workshops, faculty learn evidence-based approaches that maximize the likelihood that excellent and diverse scholars will be identified, selected for offers, and recruited to the faculty. All campuses have similar initiatives.

- Training for members of faculty search committees is generally required as a condition of their participation, At UCLA, the Office of Equity, Diversity and Inclusion provides a variety of tools including templates, primers, communication best practices, as well as requiring attendance at a training seminar and viewing a series on instructional videos on implicit bias.

- At UC Irvine, the Office of Inclusive Excellence trains and equips faculty and graduate students to be change agents and advocates for institutional transformation, cultivating an affirmative climate for both faculty and students.

- As a public research university, another key role of UC faculty is to contribute the scientific perspective of what works to effect change. At UC Berkeley, the Office for Faculty Equity and Welfare conducts cutting-edge research on faculty equity and inclusive hiring practices. Their investigation of the value of widely recommended best practices for diversifying applicant pools is aimed at helping Berkeley and other UC campuses achieve the well-documented benefits of having a diverse faculty.

- Academic leadership development programs such as UCLA's W30 program, which is offered in partnership with the Anderson Executive Education program, prepare women at the assistant dean and higher levels with tools, training and knowledge to expand their leadership capabilities to assume leadership positions of increasing responsibility in an increasing complex higher education landscape. The systemwide Faculty Leadership Development Toolkit lists another 9 similar programs.

- At the systemwide level, the UC-CORO Leadership Collaborative provides emerging faculty leaders with experiential learning and exposure to leadership tools, increasing their confidence in leading change and fostering innovation, and for managing initiatives such as those of interest to this committee. This past year both UC Northern and Southern CORO cohorts studied faculty development: UC Leveraging Leadership Initiative: Faculty Leadership Skills Assessment.

- Much faculty professional development centers on their scholarly role within their discipline: how to write effectively, publish their work, manage their time, prepare their courses, and compete for peer-reviewed grants and contracts, at the level of the institution, state or federal government, or industry. Cultivating their intellectual talent in these ways, and helping them to embody the university's mission in their scholarship and teaching, best prepares them to meet the needs of students and society.

- UC faculty have established national and international reputations, and maintain networks of colleagues within and beyond the institution. As a result, they are frequently chosen to serve in academic leadership roles as journal editors, Federal NIH and NSF scientific review panelists, presidents of scholarly and professional associations, and administrative leadership

roles as deans, vice provosts, vice chancellors, provosts, and chancellors, both within and beyond our University.

- The Innovative learning Technology Initiative (ILTI) is an example of a systemwide effort supporting faculty to harness emergent technologies, online and hybrid models, to assist UC students by helping them access high demand courses, satisfy degree requirements and graduate on time. ILTI has provided campuses hard and soft infrastructure for pedagogical development, a cross-campus enrollment system with a searchable database of online courses to help students find and enroll in needed classes, and funding to develop several hundred online courses.

- The UC Berkeley Center for Teaching & Learning exemplifies campus-based approaches. It works with a board of special faculty advisors to advance best practices in all aspects of curriculum, instruction, and assessment. It spotlights innovation and offers opportunities to enrich, promote, and support teaching and learning effectiveness by offering grants, learning circles, recognition programs, fellowships, and communities of practice.

- Bridge Programs are offered at every undergraduate campus to prepare entering undergraduates; these focus on academic needs, literacy and math, but also provide coaching around study skills and college life. Others, such as SummerUp target students who fall just short of meeting UC and CSU admissions criteria.

- UC SCOUT extends resources to deliver University of California-quality interactive online classes, curriculum, and supplemental education materials to middle school and high school students and teachers across California and beyond, assisting the pedagogical development of our partners and the advancement of our youth. Other outwardly-facing pedagogical support includes a variety of K-12 and Community College Programs, the CalTeach science and mathematics teacher initiative, and the UC President's Pre-College Scholars program.

- In general, UC does not offer remedial courses, per Academic Senate Regulation 761. Instead it first works to ensure that California's students are prepared for postsecondary education through such work as the "a-g" college preparatory curriculum, a course of study that all students must complete to be admitted to UC and CSU. All admitted students must fulfill the Entry Level Writing Requirement (ELWR). UCOPE ensures that there are multiple pathways to fulfilling ELWR, one being the University's Analytical Writing Placement Exam (AWPE). Most enrollees are thus ready to compete and succeed at college-level work. Secondly, those who have not completed ELWR do so by completing intensive college-level courses in composition, language and rhetoric, for credit, taught by UC faculty. Likewise, in mathematics, a pre-calculus course containing advanced algebra; log, exponential and trigonometric functions; and analytical geometry is not considered remedial.

- The UC faculty do not just drive their own professional development, but their students compromise 25% of the UC and 21% of the CSU faculty bodies. They provide 28% of all the bachelors degrees, and a staggering 63% of all graduate academic doctorates, awarded in the state, over half of whom go on to work in the State's higher education workforce, an incalculable contribution to the social and economic development of the state.

3. How should the Master Plan and/or California's higher education system address professional development for faculty to meet their needs? What is one action the state can take that would not require funding? What is one action the state can take that would require funding?

- It is difficult for me to identify an action that the State could take that does not involve funding. All the low-hanging fruit have long ago been picked. The University faculty and administration have long collaborated to improve professional development. All of the initiatives listed above have cost. An improved systemwide coordination of development assets through a clearinghouse would improve awareness and utilization of assets with a relatively low cost.

- The State's recognition of the important role that faculty play in student welfare is an important step in ensuring greater professional development for faculty. Recognizing the success of shared governance in public education and the importance of a reasonable student-faculty ratio helps to support faculty in their primary role as scholars and teachers. The faculty to student ratio is not just about who is in the classroom, it is a much broader measure of the resources needed to meet the teaching, research and public service mission.

- A Pilot Report from the Collaborative on Academic Careers in Higher Education (COACHE) at the Harvard Graduate School of Education examined compelling factors considered by faculty when deciding to stay or leave UC. The results indicated that factors relating to institutional resources such as salary, quality of the professoriate, and departmental reputation were recognized to be more critical than those relating to faculty development. This finding affirms the critical effect of prolonged state disinvestment on the university.

- The student to faculty ratio is a universal metric of academic quality. Interaction with the faculty is the key factor in achieving the research university's mission of teaching, research and service. In order to promote access, affordability and economy, the Master Plan designated the CCC and CSU as the state's teaching institutions, and designating the UC as the research and graduate institution, while limiting its enrolment and funding to support the top one eighth of high school graduates along with qualified transfer students, inherently limiting the number of research faculty to serve the state's social and economic needs.

- A steady worsening of the student to faculty ratio adversely impacts the ability of the faculty to serve our students. In 2000 the University of California had a student to faculty ratio that was as good as its AAU Public and Comp 4 Public peers, but the University of California has progressively been left behind, and the gap continues to widen. This negatively impacts the faculty diversity pipeline; diminishes research capability; decreases graduate program quality; and accordingly devalues the undergraduate experience, leading to overcrowding of many kinds.

- UC students want the things that the research university provides. Indeed, higher proportions of young Californians than ever before are applying to the University, but they are becoming less satisfied with their experience due to higher pricing; increased difficulty in getting into their first-choice major; less access to small courses; and less ability to get to know their professors. A majority of our entering students, and an even higher proportion of our underrepresented minority students already aspire to graduate and professional education, but the steady worsening of the student to faculty ratio harms their chosen trajectory. Likewise a

majority of our students want to have courses with faculty members who can refer to their own research as part of the class, a testament to the importance students attach to attending a university with world-class researchers. Our students really want to be the creators, innovators, and transformers of our future society and economy.

- Improving the student to faculty ratio by one percentage point would cost approximately $225M annually. This must be a key priority for State reinvestment.

Conclusions

(1) Faculty actively engage in the governance of the University of California; this unique governance structure most profoundly and positively improves and is part of professional development and student support.

(2) Faculty actively participate in creating programs and initiatives for professional development. These include post-doctoral fellows, graduate students and undergraduates, in addition to peer faculty members. Our faculty recognize the importance of building the pipeline.

(3) Faculty actively participate in the setting of expectations for their professional development.

(4) Professional development is necessary for career advancement in the University.

(5) Professional development includes emphasis on supporting students through many areas including remediation, or rather its alternatives; improving the transfer process in many ways before and after admission; and in improving student and faculty diversity.

(6) The UC, CCC and CSU faculties work together on such issues as diversifying the broad faculty pipeline in direct and indirect ways, and formally through ICAS, the Intersegmental Coordinating Committee of Academic Senates.

(7) The Master Plan's differential segmentation of higher education in the State of California has allowed each segment to be extremely and distinctively successful. The University of California owes much to its partnership with the California Community College and the California State University systems.

(8) The framework of the Master Plan continues to serve well the students of California, but the State's funding for the University of California has fallen short by many metrics, notably in funding per student and in student to faculty ratio.

(9) Professional development and student support are constrained by a steadily worsening student to faculty ratio, a metric for broad academic teaching, research and service quality; reversing this trend must be a key priority for the State.