October 15, 2018

CHANCELLOR CAROL CHRIST
EXECUTIVE VICE CHANCELLOR AND PROVOST PAUL ALIVISATOS

Subject: Divisional Council response to the campus strategic plan reports

Dear Carol and Paul,

On October 8, 2018, Divisional Council (DIVCO) discussed the draft campus strategic plan steering committee and working group reports, informed by the commentary of the committees on Admissions, Enrollment, and Preparatory Education (AEPE); Academic Planning and Resource Allocation (CAPRA); Budget and Interdepartmental Relations (BIR); Diversity, Equity, and Campus Climate (DECC); Research (COR); Graduate Council (GC); and Undergraduate Council (UGC). In addition, DIVCO convened a subcommittee of its elected members to review and comment on the Financial Strategies Working Group report. The committee commentary is appended in its entirety for your consideration.

We appreciate that the Senate has been an active partner in the strategic planning process. DIVCO nevertheless had a robust discussion of ways to sharpen and fine-tune the draft plan.

Student Experience
Our discussion of the Student Experience Working Group report primarily underscored points raised by GC and UGC.

With respect to graduate students, DIVCO underscored GC's primary recommendation:

> Increasing funding for doctoral student education should be the first and foremost priority. This need is recognized in the draft Plan. Funding for doctoral students is a focus of development efforts. However, we view the need as so pressing that funding for doctoral students must be increased by all means available. Development efforts and fiscal innovations are viable avenues to pursue but we also argue that graduate student funding deserves a larger share of the core University budget.

GC also proposed expanding the "discovery" theme, which in the Plan applies to undergraduates, to include graduate students as well. It argues for the development of "open-ended means for students to investigate opportunities or to entertain ideas not part of their standard studies." Please refer to the GC report for more detail.

With respect to undergraduates, we agree with UGC that relatively "[s]mall investments in student-facing support services," such as the Financial Aid Office, the Career Center, and Berkeley Connect, will greatly enhance the undergraduate student experience. UGC outlines a number of specific proposals supporting this recommendation for your consideration.

One major omission from the Plan is a focus on disability. Noting that disabled students are "the fastest-growing demographic at Berkeley" the UGC report provides a number of detailed recommendations for improvements to the student experience in this regard, including a call for a strategic plan for accommodating students with disabilities. DIVCO discussed and strongly supports the recommendation to "[l]aunch a capital campaign to build a Disability Resource Center."

Enrollment
DIVCO noted and shares AEPE's skepticism about the reinstitution of the transfer guarantee (TAG) program. The concerns are described well in the AEPE report.

DIVCO also supported two points raised by DECC in its report. First, we agree that innovative strategies, such as the African American Initiative, are needed to attract underrepresented minority (URM) undergraduate students. We second DECC's recommendation to add "language about the importance of pursuing increased funding for URM undergraduate students, while staying within the confines of Proposition 209."

DIVCO joins DECC in support for the campus striving to become a Hispanic Serving Institution:

> This is a concrete and ambitious goal that the campus may fail to achieve. However, having goals that are not guaranteed seems essential to make sure the campus is challenging itself on diversity and climate issues.

Much of DIVCO's discussion of the Enrollment Working Group report focused on the proposed expansion of combined bachelor's/master's degree programs. We agree with GC that "joint degrees are a means to diversify our graduate student body and to attract high-achieving undergraduate students to Berkeley." At the same time, we underscore cautionary notes struck in both the GC and AEPE reports.

GC noted several concerns, including:

> Given the growing diversity of graduate degree programs on campus, we worry about the potential financial burden when a student transitions from a state-sponsored undergraduate program to a self-supporting professional graduate program.

AEPE questions the curricular implications of the proposal:

> … in relation to hybrid programs, members were confounded by the proposal amounting to a "mix and match" approach of combined BA/MA or BS/MS degrees. More traditional combined programs, where a student completes coursework for a bachelor's degree in one curricular area that feeds directly into a master's in a related field make sense to the faculty. However, a proposal where a student could mix two (or more) seemingly unrelated degrees seems to stray well beyond the expected academic progression of a student.

In sum, while DIVCO sees the potential of combined bachelor's/master's programs, we believe that a number of critical concerns must be addressed in the implementation plan. As more such programs are proposed, the Senate will be attentive to these concerns during the review process.

Financial Strategies
The DIVCO subcommittee report highlights important issues of governance and consultation between the administration and the Senate, especially related to the review and oversight of campus units—both administrative and academic.

DIVCO also discussed the inherent tensions in developing a new financial model. While the development of metrics-informed budgeting seems quite reasonable, as CAPRA notes, the financial reform implementation team will need to think hard about the implications of different choices about metrics. For example, we noted the contradiction between using student credit hours as a budgeting metric and the high-touch, individualized programs, such as discovery experiences, a centerpiece of the undergraduate experience in the plan.

As we move from the high-level view of the plan, to on-the-ground implementation, these tensions and contradictions will need be to be resolved.

Signature Initiatives
DIVCO strongly believes Berkeley's comprehensive excellence and mission as a public university must be central to the Signature Initiatives.

To that end, we second BIR and strongly endorse its conclusion:

> We would like clarification on the connections envisioned between the Signature Initiatives and the future allocation of FTE, particularly given the understanding that the Signature Initiatives would be linked to the proposed growth of the faculty by 100 FTE …

> We believe that a more integrated incorporation of the great strengths of the Humanities and the Social Sciences on campus with its undoubted strengths in STEM into each Initiative would showcase Berkeley's commitment to comprehensive excellence, and best serve the

twin goals of increasing FTE and creating new and foundational intellectual work.

We underscore our expectation that the Signature Initiatives committees be broadly representative of the disciplinary diversity of the campus.

General observations
DIVCO recommends that each reference to "housing" throughout the plan documents be qualified by "affordable."

We endorse DECC's recommendation that the reference to financial constraints related to addressing the needs of disabled students should be deleted. Its inclusion seemed to DIVCO to be out of step with the overall, aspirational tone of the Plan:

> On page 18, the report suggests that we must maintain access and good climate for students with disabilities "despite the financial pressures of recent years, and increasing numbers of disabled students." Our understanding is that these documents are meant to work without concern for financial constraints, and we do not see these constraints mentioned as qualifiers in other parts of the document. As such, we … recommend this language be removed.

We believe that comprehensive excellence, which we believe to be a foundational concept in the Plan, should be featured more prominently in the one-page overview document.

Finally, with respect to the Steering Committee report, we underscore CAPRA's thoughtful commentary. DIVCO agrees that there are understandable tensions inherent in plotting a course to guide Berkeley for the next ten years and shares CAPRA's concern with the tension between our intellectual mission and philanthropic growth. Successfully addressing these types of challenges will be measures of our success.

In sum, DIVCO is pleased that the campus has undertaken this ambitious planning process and that the Senate has been a key partner throughout. We look forward to building on this partnership as the campus undertakes implementation of the plan.

Sincerely,

Barbara Spackman
Chair, Berkeley Division of the Academic Senate
Cecchetti Professor of Italian Studies and Professor of Comparative Literature

Encls.

Cc: Ignacio Navarrete, Chair, Committee on Admissions, Enrollment, and Preparatory Education

Jennifer Johnson-Hanks, Chair, Committee on Academic Planning and Resource Allocation

Raka Ray, Chair, Committee on Budget and Interdepartmental Relations

David Ahn, Chair, Committee on Diversity, Equity, and Campus Climate

Jack Colford, Chair, Committee on Research

John Battles, Chair, Graduate Council

Jonah Levy, Chair, Undergraduate Council

Nina Robinson, Strategic Planning Project Lead

Khira Griscavage, Associate Chancellor and Chief of Staff

Phyllis Hoffman, Associate Executive Vice Chancellor and Chief of Staff

Sumei Quiggle, Associate Director staffing Graduate Council and Undergraduate Council

Will Lynch, Manager, Committee on Budget and Interdepartmental Relations

Deborah Dobin, Senate Analyst, Committee on Academic Planning and Resource Allocation, and Committee on Research

Sumali Tuchrello, Senate Analyst, Admissions, Enrollment, and Preparatory Education

September 18, 2017

PROFESSOR BARBARA SPACKMAN
Chair, Berkeley Division of the Academic Senate

Re: AEPE's Comments to the Proposed Campus Strategic Plan

Dear Barbara,

On September 14, 2018 AEPE discussed the draft report of the Strategic Planning Steering Committee, revised as of August 2018. Members focused their comments on the content of the Enrollment Working Group's sub-report and have three points of concern.

First, in relation to a limited reinstitution of the transfer guarantee (TAG) program, members were skeptical. They are concerned that should Berkeley promise admission to a specific population of community college transfer students, this will simply result in that community college being flooded with students eager to enter UC Berkeley by any means necessary. It seems unreasonable to proactively impact a selection of community colleges by virtue of region or articulation agreement. It is also not improbable a ripple effect of a direct admissions agreement could be the further displacement from the community college itself of the traditionally underrepresented and educationally disadvantages students UC is hoping to attract as students who may qualify via other means utilize this pipeline.

Second, in relation to undergraduate enrollment growth, the members agree that the target growth areas (housing, instructional space, and faculty positions) are critical needs for the UC Berkeley campus. However, members are concerned about what the actual target growth points are and what the funding sources will be. Being mindful that enrollment growth is a complicated process that is subject to mandates from Sacramento and UCOP, AEPE faculty encourages the campus to reframe the future development plans. In other words, if enrollment growth is meant to be a game changer for the campus, the campus needs to change the conditions of the game along the way, or it will find itself with a much larger student population but the same problems that we have today. As a reference point, the 1996 State Proposition 209 was a game changer for the admissions process for UC. What are similar touchstones in 2018 that can be the game changer for campus resource development?

Third, in relation to hybrid programs, members were confounded by the proposal amounting to a "mix and match" approach of combined BA/MA or BS/MS degrees. More traditional combined programs, where a student completes coursework for a bachelor's degree in one curricular area that feeds directly into a master's in a related field make sense to the faculty. However, a proposal where a student could mix two (or more) seemingly unrelated degrees seems to stray well beyond the expected academic progression of a student. For example, would a student who quickly completes bachelor's coursework in rhetoric be sufficiently prepared for master's coursework in integrative biology?

Overall members find this to be an expansive plan addressing many of the critical needs of the campus. Further details on the implementation logistics would need to be considered and would likely address the types of questions raised by the committee.

Sincerely,

Ignacio Navarrete
Chair, Committee on Admissions, Enrollment, and Preparatory Education

IN/st

October 3, 2018

PROFESSOR BARBARA SPACKMAN
Chair, Berkeley Division of the Academic Senate

Re: CAPRA comments on Strategic Planning documents

Dear Chair Spackman;

DIVCO recently forwarded to CAPRA for consideration the five draft documents of the Campus Strategic Plan. CAPRA met and discussed these documents on September 12th, September 26th, and October 3rd, and I summarize those discussions here. This document first considers the Steering Committee and Financial Strategies reports separately. In each of these sections, I try as far as possible to first note the aspects of the reports CAPRA members most endorse, then note concerns or disagreements, and finally point to potential omissions. The other reports—on Signature Initiatives, Enrollment, and Student Experience—are discussed more tersely, as they fall less explicitly under our purview.

Steering Committee Report

CAPRA members endorse the framework within which the project of strategic planning was undertaken, including especially the "four principles" on the top of page 5: *Transparency; Integration of bottom-up with top-down thinking; Pursuing the greater good; and Intentional engagement.* We applaud the spirit of collaboration in which the process was undertaken, and the aim of transparent and inclusive discussion. We are also excited about some of the specific aims set out in the Steering Committee report, such as becoming a Hispanic Serving Institution and increasing funding for graduate students, which we see as concrete expressions of our joint commitment to our public mission and to scholarly excellence. In addition, CAPRA endorses the straightforward, even blunt, tone of much of the report, which acknowledges for example that forging new directions will require winding up old activities, and that philanthropy must become an increasingly important part of our financial future.

CAPRA is also mindful that this planning exercise and the resulting reports must be directed to multiple audiences, internal and external, and that it may be difficult or impossible to strike the perfect tone for all of those audiences. We have tried not to nitpick the reports, but to offer constructive overarching suggestions. We have three such suggestions for the Steering Committee report.

First, we are concerned that the report does not go far enough in acknowledging the potential for tensions or frictions between alternative visions of the university. For example, it seems inevitable that as the campus seeks to grow revenues to close the structural deficit, philanthropy will play a larger role. That raises difficult governance issues that have not yet been adequately addressed. How do we as a campus manage the risk that emphasis on philanthropy may be in tension with our academic priorities, and that the wishes of donors (or even what we believe will please potential donors) may come to have outsized influence on our academic choices? CAPRA notes that the Chancellor has proposed growing the faculty by 100 positions through philanthropy. That number is relatively small compared to the number of hires needed to maintain our faculty size, but is significant compared to recent hiring numbers. CAPRA members have a diversity of views on the extent to which this initiative might change the campus, but we agree that it provides an example of the potential for tension between academic priorities and revenue-driven priorities. We have been assured by the Provost that the two are not incompatible, but CAPRA members have yet to see clear information about what process will be used for allocating FTE in the future to balance these tensions. Especially in light of the current atmosphere of distrust, we believe it will be important that the principle of transparency be put into effect by openly acknowledging the possibility of tensions and outlining frameworks for addressing those tensions.

Another place where potential tensions are not yet sufficiently addressed is in whether our understanding of comprehensive excellence shifts as we talk more about aligning incentives at different scales. For example, what is at stake intellectually in making Student Credit Hours into a metric with financial consequences? CAPRA acknowledges that these questions have no simple answers; we would, however, like to see more overt discussion of the governance challenges they imply.

Our second concern is about realism. We can't afford to do what we are already doing, and "standing still" every year our expenses increase faster than our revenues. Yet much of what these reports propose are new initiatives that will generate new costs. In some cases, we do not know for sure what the cost implications will be. Undergraduate enrollment is an important example. Estimates for the net financial effect of additional in-state student vary widely, from net neutral to costing $5,000 more in expenses than we receive in state support and net tuition. If that latter is true, expanding UG enrollment is an enormously expensive proposal. CAPRA is concerned because we ourselves do not know what the right number is, or what existing data would allow us to ascertain it. We applaud the call to becoming a HSI, but acknowledge that will likely bring additional costs. The Financial Strategies report suggests some mechanisms for increasing revenue, but much of the new revenue will be needed simply to support the research and teaching that we are already doing. Which of the aspirations outlined here will we undertake regardless of philanthropic support, and which we will undertake if and only if philanthropy steps up? CAPRA members are concerned that there is not enough clarity around which priorities are most urgent, and what trade-offs should be made between them.

Finally, we turn to what is omitted here. This is intended to be a high-level strategic plan, and we recognize that implementation is a separate, second step. However, for many of the high-level ideas presented here, whether they turn out to be good or bad ideas will

turn on their implementation. Sometimes the devil really is in the details. As a small example, CAPRA fully agrees with the statement in the executive summary that it is important to build trust and work together, but what could we concretely and realistically do to reduce suspicion on campus? Similarly, in several places the reports call for some things to be closed or consolidated to make room for new things. What kind of process to close or consolidate things might we use that could possibly get campus buy-in?

Financial Strategies

Three members from CAPRA served on the Financial Strategies Working Group, and CAPRA discussed aspects of the draft report several times over the spring. It is therefore not surprising that the Financial Strategies report generally advocates for ideas that CAPRA has long supported, such as the need for simpler and more rational central allocations, the importance of full costing of new programs and gifts (to avoid "gifts that keep taking"), and the need to prioritize effectively, and to say no to less important things in order to say yes to more important ones. We continue to endorse those ideas. In particular, we note that the Working Group followed CAPRA practice in asking <u>to what end</u> do we need a good financial strategy, and answering in a very CAPRA-like way: "We need new financial strategies that will preserve and ideally extend our academic excellence and access to it; strategies that permit Berkeley to thrive, to fulfill its mission, and to attend to its pressing needs."

Our concerns with the Financial Strategies report echo our concerns with the Steering Committee report. One important tension is between increasing centralization—as implied by greater campus-wide strategic planning—and greater decentralization—as implied by focusing on local (decanal and department-level) incentives. How will this tension be managed? What does it imply for governance? Second, there is not enough attention to the tensions and potential conflicts around changing allocations. The politics here are complex, and there will be winners and losers in any change. The report is thin on attention to that issue.

In addition, the report makes a couple of assumptions that CAPRA questions. In particular, growing the student body is treated in the report as mostly cost neutral, assuming that additional students do not improve the budget but do not harm it much either. That appears to be wrong, although we would like to have clearer, more readily decipherable information on the relationship between enrollment growth, revenues, and expenditures. If increasing student enrollment does lead to a continuing and increasing gap between revenue and costs, how do the proposed financial strategies close this gap while maintaining quality education and research at Berkeley? Online education may offer some potential here, but CAPRA members are concerned that the financial model for enrollment growth is not well thought out.

The report is thin on detail about possible implementation. For example, what specific metrics should we use as we move to more metrics-informed budgeting? CAPRA members agreed that we should use different metrics for different purposes, not just whatever metrics are available. It is to be hoped that the financial reform implementation team will think hard about the implications of different choices about metrics. Finally, CAPRA members urged that we need a hold to the long view. The university simply must

move to a more functional financial model: the fact that the transition time is painful and complicated should not derail the end goal we aim for.

Other reports

In this last section, I note a variety of comments from the committee on the three other reports, which fall less solidly within our purview.

Signature Initiatives: CAPRA agrees that it is important to balance individual scholarship with broad, cross-cutting initiatives. We also support the idea implied in the report that the implementation of different signature initiatives should be different—some more institutionalized, others more a loose confederation of diverse scholarship. Specifically, in relation to "lighting the way to the public university of the future", some committee members would like to see a bigger role for critical university studies: acknowledge what we have done wrong as well as what we do right.

CAPRA applauds the principles used to develop the Signature Initiatives, the first of which emphasizes that such initiatives should "sit at the intersection of our core value of comprehensive academic excellence and our public mission." We read that principle as calling for each Signature Initiative to draw on our excellence in fundamental research while also having a dimension that addresses societal needs.

CAPRA understands that the Signature Initiatives are addressed in important part to external, particularly philanthropic, audiences. However, these documents will also be read by internal audiences and may unintentionally increase anxieties among the faculty. We urge the authors to make clear that these new initiatives are not intended to disparage the role of existing departments, initiatives, and ongoing research efforts, or to take anything away from other efforts. Again, we think it important to acknowledge that devoting even new resources to new efforts may complicate the efforts to support other existing work. We understand that to a large degree these initiatives are intended to describe, in a way that crosses institutional boundaries, work that is already ongoing. Making that clearer could help ease anxieties.

Enrollment: CAPRA's comments about the report of the enrollment working group is discussed as part of the sections on the steering committee and financial strategies reports. Namely, we have concerns about the assumption that enrollment needs to grow and that its growth is a cost-neutral proposition.

Student Experience: CAPRA applauds the recognition that diversity is an important part of improving student experience. But again we would like to see more concrete description of next steps. How are we going to increase the diversity of the faculty? We need more specifics on how the university is going to invest more resources to attract and retain a diverse group of faculty as well as students.

The plan currently stresses *the low availability* of housing, but the real problem is unaffordability. Expanding the number of units (for example through P3s) may not solve the real problem, because campus housing is more expensive than housing in the community.

The student experience report seems very focused on things that happen outside the classroom. This raises two worries for CAPRA. First, can students even get into the classes they want and need? We are not doing enough today to ensure that students today

can complete their intended majors. Second, does increasing the proportion of such "co-curricular" activities in undergraduate education reduce the faculty's authority to design and oversee the curriculum?

Conclusion

In summary, CAPRA's discussions of the strategic plan reports underline our overall agreement with the foundations underlying the plan, while raising concerns about areas where the planning documents make overly-optimistic assumptions or omit important considerations. Many of our concerns relate to the tension between looking forward and considering current constraints, especially financial ones, and others focus on the tensions between funding our needed growth through philanthropy and our worries that that focus will dilute or compromise our intellectual mission. We as a campus have many decisions still to make, and the success or failure of the plan will depend in part on whether we proceed with the kind of inclusive and transparent process begun here.

We appreciate the opportunity to comment and look forward to the next steps.

With best regards,

Jennifer Johnson-Hanks, Chair
Committee on Academic Planning and
  Resource Allocation

University of California, Berkeley　　　　　　COMMITTEE ON BUDGET AND
　　　　　　　　　　　　　　　　　　　　INTERDEPARTMENTAL RELATIONS

September 20, 2018

CHAIR BARBARA SPACKMAN
BERKELEY DIVISION OF THE ACADEMIC SENATE

RE: Signature Initiatives Working Group Report

Thank you for the opportunity to comment on the draft of the "Signatures Initiatives Working Group Report" as part of the new UC Berkeley Strategic Plan. As is customary, our comments are for the most part restricted to those areas falling within our purview. Silence on other aspects of the proposal should not be read as commentary on them.

We welcome the idea of the Signature Initiatives (SI) as forming the basis for the development of scholarly ideas about "critical issues … facing our state, our nation, and our world" that Berkeley is best placed to address. We particularly appreciate that the SI document seeks to emphasize that "*basic research and the work of individual contributors pursuing research questions whose implications may not be understood for many years must remain the foundation of our work* [emphasis in the original]." We also acknowledge the transdisciplinary sensibility of the SI proposal and would encourage the campus to lift up and consider existing transdisciplinary initiatives (where appropriate) as potential drivers for the development of SIs. While proposals are at this point very broad, we would like to register observations and suggestions regarding two aspects of the proposals: the likely impact of the SIs on faculty workload and recognition thereof, and implications of the SIs for FTE allocation.

(1) Faculty Workload

In this semester's planning phase, the Working Groups for the individual "Signature Initiatives" envision a substantial demand on faculty time and energy. The call for faculty nominations from the Vice Chancellor for Research (email to Deans and Chairs, dated August 31, 2018) specifies at least six hours per week for each member of each Working Group (and presumably more for the two co-chairs). It is important for the purposes of individual faculty's merit reviews that this substantial investment of time and effort be acknowledged and credited as service.

We also wonder what the time demands will be for participating faculty going forward; this is not clear from the high conceptual level of the reports.

(2) FTE Allocation

We would like clarification on the connections envisioned between the Signature Initiatives and the future allocation of FTE, particularly given the understanding that the Signature Initiatives

1

would be linked to the proposed growth of the faculty by 100 FTE. The framing of the SI proposals emphasizes their potential to elicit philanthropic support, possibly extending to the creation of new FTE that are wholly or partially supported by gifts. We think the six areas identified by the SI working groups are of vital importance, but, at least as currently described, they are unbalanced with regard to the divisions, disciplines, and units on campus they would involve. Most are centered in STEM fields and Data Science, though some, such as "Democracy, Values, Governance, and Freedom of Expression," "Inequality and Opportunity," and "Charting a New Course to Health and Wellbeing," allow for greater participation from disciplines in the Social Sciences and the professional schools.

We note that the articulation of each area tends to be considerably more concrete and more detailed in describing the new knowledge that could be generated around these topics in the STEM fields, while treating the equally vital contributions from the Social Sciences and the Humanities somewhat as afterthoughts. For example, we would suggest that in the Inclusive Intelligence initiative, prominent mention be made of the groundbreaking research currently underway by faculty in several departments concerning the historical antecedents of artificial intelligence and the ethical reflections about the relations between human and mechanistic thought and labor. Similarly, in the SI on Environmental Change, Sustainability, and Justice, we would like to see some discussion of the contributions that could be made by the urgent investigations into the histories of the Anthropocene age by faculty in a number of departments, as well as of the creative projects currently in development by faculty in several arts departments that render data about climate change in performances and installations that constitute a form of critical thinking about climate, while also promoting public awareness.

We therefore recommend the modification of existing SIs to give the vibrant intellectual contributions of Arts & Humanities a more central role and recognize that campus scholarship in many of these areas are already transdisciplinary. Thus, for example, one might imagine a subfield of the SI on "Democracy, Values, Governance, and Freedom of Expression," to be "Linguistic and Cultural Diversity," which would leverage Berkeley's unparalleled resources in foreign languages, literatures, and cultures with the goal, for example, of preserving minority cultures and endangered languages. Such an initiative could draw in faculty working in Data Science, but would be led by Humanities and Social Science departments—including Linguistics, Anthropology, History, and Ethnic Studies—while also drawing in many of the museums and libraries on campus.
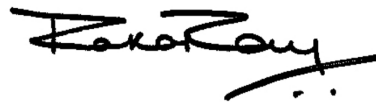
We also encourage the inclusion of kinds of "basic research" not obviously accommodated in the Signature Initiatives as currently described, such as basic research in Mathematics. Mathematics is a foundational department and field in which Berkeley is still ranked second in the country (according to *US News and World Report* 2018 rankings), provides vital service to the whole campus community, and is desperately in need of additional FTE.

In short we recommend that the relation of the Signature Initiatives to FTE allocation be clarified. Specifically, we urge that attention be paid to how the claims of the new Signature Initiatives interface with or be weighed against:

2

(a) The clearly demonstrated teaching needs of different units as outlined in our May 17, 2018, memo on faculty growth;

(b) Needs based on field-internal developments of particular departments and disciplines.

Thank you for the opportunity to comment on the Signature Initiatives Working Group Report. We believe that a more integrated incorporation of the great strengths of the Humanities and the Social Sciences on campus with its undoubted strengths in STEM into each Initiative would showcase Berkeley's commitment to comprehensive excellence, and best serve the twin goals of increasing FTE and creating new and foundational intellectual work.

Raka Ray
Chair

RR/wl

3

May 17, 2018

CHANCELLOR CAROL T. CHRIST
EXECUTIVE VICE CHANCELLOR AND PROVOST PAUL ALIVISATOS
VICE PROVOST BENJAMIN E. HERMALIN

RE: Projected Expansion of the Berkeley Faculty—Preliminary Thoughts

As we conducted our review of FTE requests for Target Year 2019-20, we kept in mind the administration's goal of expanding the faculty by 100 FTE, and gave some thought to what such an expansion might look like. We offer some preliminary reflections here as a basis for future discussion. In preparing this document, we drew on our collective sense of the different needs for FTE on campus, developed through committee members' experience of the yearly FTE-allocation process, and also issues we have noted in the conduct of our work as a committee more generally. Finally, we kept in mind the ongoing strategic-planning process, for example the ideas that "Berkeley should be as renowned for the quality of its student experience as it is for its academic excellence"[1]; that "Berkeley should plan for gradual increases in undergraduate enrollment that are supported with appropriate facilities, faculty, and staff"[2]; and that upon the identification of certain "Signature Initiatives," there should be "options for differential growth to support pursuit of these challenges."[3]

We divide our initial recommendations into three categories. The first is related to existing workload issues that have arisen as enrollments have increased while the size of the faculty has not and that our current process for allocating FTE has difficulty addressing. The second is related to areas in which we should (based on values and priorities we have stated and commitments to excellence that we maintain) be allocating FTE, but find it difficult to do so, given how constrained our resources are. The third is the area of new initiatives for the campus.

The proposal to expand the Berkeley faculty by one hundred positions is an ambitious one, but, given our sense of current needs, current unmet priorities, and priorities likely to emerge as a result of the strategic planning effort, it might arguably be a bit less ambitious than what is urgently needed. A slightly larger expansion (somewhere between 125 and 150) would do a world of good to the campus. Having said that, we would also like to emphasize our deep concern with the financial problem of start-up costs (including laboratory space—not to mention office space) for new positions in many fields. As everyone knows, this is an unwieldy problem

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[1] Preliminary draft of the "Report of the Strategic Planning Steering Committee," April 24, 2018, p. 1.
[2] Ibid., 2.
[3] Draft of the "Report of the Signature Initiatives Working Group Report," May 1, 2018, p. 1.

1

with the faculty at its *current* size, and intense planning to meet these costs will need to be a part of any plan to expand the faculty, if it hopes to be successful.

I. Workload issues on the campus presently.
Currently, crucial workload issues mostly impact a certain number of the social sciences and science, technology, engineering, and mathematics (STEM) fields. A small number of departments in the Division of Arts & Humanities have related issues. The situation in most cases is serious enough to impact the excellence of the unit as well as the undergraduate student experience. There is every reason to believe that further growth in undergraduate enrollment would add additional burdens to this set of units. Given the limited number of FTE available for allocation in any normal cycle, it proves difficult to allocate the extra FTE that would allow units to grow modestly (or sometimes to maintain their current size in the face of rapidly accumulated separations). In our view, a certain number of new FTE should simply be awarded to these units above and beyond what they would receive in the normal review process. A strategic decision would need to be made regarding how many of the new positions would be used to this end. To give a sense of the urgency of the need we see, we provide here our sense of the units currently most in need and what might be done to offset this need. Our sense is that what we suggest here is a *modest* response to the current level of need.

Social Sciences:
Anthropology (1-2 FTE)
Economics (4-5 FTE)
Political Science (2-3 FTE)
Psychology (2-3 FTE)
Sociology (2-3 FTE)

STEM fields:
Chemical and Biomolecular Engineering (2-3 FTE)
Computer Science Division of Electrical Engineering and Computer Sciences (EECS) (6-7 FTE)
Mathematics (4-5 FTE)
Nutritional Sciences and Toxicology (2-3 FTE)
Statistics (2-3 FTE)

Arts & Humanities:
Film & Media (1-2 FTE)
Philosophy (1-2 FTE)

Total (29-41 FTE)

At a recent Divisional Council meeting, Paul Alivisatos, Executive Vice Chancellor and Provost (EVCP), mentioned a possible point of view from which growth in the professional schools should be a priority in the campus's plans to expand the size of its faculty. While we are supportive of the Administration's commitment to the Law School to replace any lines it loses, we do not view further growth in the Law School or the Haas School of Business as a reasonable strategic priority for the campus given current workload issues, the goal of maintaining academic

2

excellence across the campus, the goal of improving the student experience on campus, and our understanding of the signature initiatives likely to emerge from the strategic-planning process. These Schools already rank among the few areas of growth over the past several decades relative to the rest of the campus. On the other hand, we note that there would be room for carefully planned growth in the Graduate School of Education and the School of Public Health. For those two units as well as for the Goldman School of Public Policy, a strategy of joint hires to exploit cross-campus synergies seems appealing and appropriate.

We are aware that the first category of possible new FTE that we outline might seem the most mundane. Our belief, however, is that this is the category that would most immediately boost faculty morale and enhance the educational experience available on campus. The addition of new early-career scholars in all of these areas would also unquestionably bring an intense innovative energy to the campus.

II. Current campus commitments, priorities, and values.
If need has risen to such an alarming extent in certain areas of the campus that it is difficult to address it through the regular FTE-allocation process, there is an interesting corollary problem. It has to do with requests for FTE that would support important commitments the campus has made, but that are difficult to address through the regular FTE process for a variety of reasons, including that such commitments might not address workload issues specifically. It does not seem unreasonable to envision devoting 30-40 FTE to the following areas.

a) Diversity Cluster Hiring. We wrote to you recently indicating our support for a cluster hire in Native American Studies, and we would be supportive of similar initiatives in Latinx Studies and African American Studies (AAS). A staged process of cluster hiring, where the campus learns from the lessons of each preceding effort, would seem appropriate. Whatever the virtues of cluster hires, however, they are difficult to incorporate into our yearly FTE-allocation process, given how urgent current programmatic needs tend to be because our faculty is already collectively so thinly stretched. To devote a significant number of new FTE (say, three interdisciplinary cluster hires of five FTE each) would strike us as representing a strategically wise and significant commitment to diversifying both the faculty and the curriculum.

b) HWNI/CCB/BCNM/GMS/Cog Sci.
Often, when attempting to fill commitments (sometimes made in a somewhat vague way) to "new initiatives," the campus depends on joint searches with existing departments, and those departments (again, quite understandably, given how thinly stretched most departments are) are reluctant to prioritize these joint searches over what they perceive to be their primary needs. As the campus pursues the project of expanding the faculty, devoting a separate small pool of FTE for joint searches meant to fill longstanding commitments would seem strategically sensible.

c) Religious Studies. We recall that earlier this year the College of Letters and Science Executive Committee recommended discontinuation of the Religious Studies major. In our memorandum to the Academic Senate on the matter, we noted that in our view this represented a loss of excellence to the campus. Neither Anthony Cascardi, Dean of the Division of Arts and Humanities, nor Bob Jacobsen, Dean of the Division of Undergraduate Studies, felt that

3

resources (including faculty FTE or support for Lecturers) would be available to reinstate this program any time soon. We expressed our hope that this major would be reinstated in the near future, and it seems reasonable to consider that this could be part of planning for an expansion of the Berkeley faculty. There would be possible overlaps with diversity hiring, and with ongoing efforts to strengthen Jewish Studies on campus as well.

d) Teaching Professors/Lecturers with (Potential) Security of Employment. While positions in this series are currently relatively rare on campus, a few years ago departments were encouraged to consider expanding their use of this kind of position. The results of that encouragement are apparent in the FTE requests that have been submitted for the past several years. We think the campus should clarify for itself the uses it wishes to make of positions in this series and the frequency of use of the series it wishes to encourage. We have no firm opinion on these questions, however we note that using positions in this series as a way of alleviating pressures on departmental or divisional temporary academic support budgets (as sometimes seems to be the case in requests we review) does not amount to good strategic planning in our eyes. We are not convinced, for instance, that the current request for a Lecturer with Security of Employment (LSOE) position by Theatre, Dance, and Performance Studies is the best choice. The request by American Studies to stabilize its offerings by using two LSOE positions where it has been using Lecturers in the past might be an instance where a desire to improve the undergraduate experience at Berkeley could justify the request. The same may be true of the request from the Berkeley Science & Math Initiative. We note that EECS, Economics, Statistics, and Mathematics are making good use of people in these positions. The Division of Biological Sciences now wishes to make a major investment in FTE for LSOE positions. (A fuller explanation of the set of circumstances that leads them to make this request would be informative.) Data Science, Civil and Environmental Engineering, and Anthropology are all also interested in FTE of this kind. Our sense is that the campus should decide where and when and to what extent it wishes to utilize positions in this series as part of the strategic effort to improve the quality of the student experience on campus and to help deal with any future enrollment growth. Having made that strategic decision, it should communicate to units the circumstances under which requests for FTE for this title will be entertained, and conceivably a certain number of such positions should be planned for as part of the expansion of the faculty.
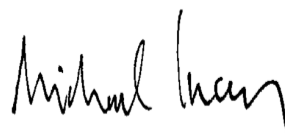
e) Less Commonly Taught Languages (LCTLs). As is appropriate for one of the world's great universities, Berkeley prides itself on the number of languages it is possible to study on campus (e.g., see http://guide.berkeley.edu/languages/). It is, however, difficult for requests for FTE in support of LCTLs to meet with success currently given the intense competition created by workload issues. Nonetheless it is our view that Berkeley's investment in this area is appropriate to its values and its stature, and so should be bolstered. The current precariousness of the study of Celtic languages, which no one seems to know how to deal with, is one example of the difficulties LCTLs face on campus at the present moment. While we would not recommend any startling new departures for the campus in terms of linguistic coverage, it is worth noting the range of past or current investments that could be better supported. The list would include, along with Celtic Studies, the study of Filipino/Tagalog in South and Southeast Asian Studies, of Finnish in Scandinavian, of Czech in Slavic, of Tibetan or Mongolian in East Asian Languages and Cultures, of Turkish in Near Eastern Studies, of African languages in AAS, and of Native American languages in Linguistics.

4

III. Signature Initiatives. Other Initiatives.

This third area might seem the most immediately exciting. However, we would like to note that FTE devoted to areas I and II would buoy the intellectual energy of the campus in consequential ways, and significantly enhance its intellectual and public profile. We also do not view areas I, II, and III as distinct from each other. Hiring in the areas of the Signature Initiatives might well help solve workload issues, as might diversity cluster hiring, or joint hires devoted to various existing initiatives.

In any case, it seems worthwhile to us to envision something like six or seven cluster hires of five to seven FTE to pursue signature and other initiatives. We say "signature and other" initiatives because, for instance, we tend to view the campus data-science effort as something like an already existing signature initiative, and we are aware of at least two other efforts that might fall into this category. One would be the effort to combine in a forward-looking way the intellectual projects of the Graduate School of Journalism, Berkeley Center for New Media, and Media Studies. We have also read the report recently forwarded to us on the Future of Biology at Berkeley Retreat, which has as its initial recommendation: "Fund 16 new faculty FTE for prioritized new research areas."[4] We also note the statement later in the report: "As specified by the EVCP when discussed with the [Chancellor's Advisory Committee on Biology], 30 of the approximately 100 new faculty FTE at UC Berkeley will be allocated to biology across the campus."[5] We take this statement as indicative of three things: 1) the urgency of the need felt by faculty across the campus that the size of the faculty be expanded, 2) the possibility that there are areas of inquiry worthy of strategic investment that will not be specifically identified by the Signature Initiatives Group of the current strategic-planning process, 3) the need for clarity in communication so that expectations that cannot be met will not be raised. It is difficult for us to see how any strategic view of the campus would lead to the idea of nearly a third of the planned expansion of the faculty occurring in the biological sciences, but it is not at all inconceivable to us that even after the signature initiatives are finalized and a mechanism for targeted hiring is developed in those areas, there would still remain a compelling case to be made for further strategic growth in the biological sciences (or in some other area).

We look forward to further discussions on this immensely important topic.

Michael Lucey
Chair

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[4] "Future of Biology at Berkeley Retreat Discussion Document," p. 4.
[5] Ibid., 6.

5

ML/wl

October 3, 2018

PROFESSOR BARBARA SPACKMAN
Chair, 2018-2098 Berkeley Division of the Academic Senate

Re: DECC's Comments on the Strategic Planning Reports

As requested, DECC reviewed and discussed the Report of the Strategic Planning
Committee, the Enrollment Working Group Report, and the Student Experience Working
Group report drafts, revised as of August 2018. We separate our comments across the
three reports.

COMMENTS ON THE REPORT OF THE STRATEGIC PLANNING COMMITTEE

We have only a few thoughts about two general issues that might be
underexplored across the Strategic Plan. The first is general consideration of disability
issues in the Plan. We attach a response to the Plan's discussion of disability issues
written by staff and faculty associated with disability studies and the Disabled Students
Program to these comments and urge that this thoughtful response be read carefully.

The second general issue we found underexplored is the climate for non-ladder
faculty like lecturers and adjunct professors. Non-ladder faculty bear a large and growing
share of teaching responsibilities. Despite this, the process of selecting and hiring these
faculty seems more or less ad hoc at the level of the academic unit. We encourage some
further thought about how to monitor the diversity and climate for these instructors.

COMMENTS ON THE ENROLLMENT WORKING GROUP REPORT

There are many laudable suggestions in the Enrollment Working Group Report,
but we will highlight several that seemed especially important to DECC. First, we are
heartened to see the Report recognize the link between funding and diversity. This point
is recognized for undergraduates on the top of page five ("The great majority of highly
selective institutions … pursue diversity using both admission and financial aid practices
designed to attract high-achieving minority students"). We think this language can be
made even stronger. There are many and consistent reports from the Multicultural
Student Development Programs (that are often our frontline for undergraduate
recruitment efforts) of URM students who choose to enroll at private universities because
these universities end up being much more affordable for them after comparing financial

aid packages, despite our lower nominal tuition. Our relative lack of affordability for URM students is clearly associated with the unique regulatory constraints on UC admissions and financial aid policies. Nonetheless, there have been creative policies, like the African American Initiative, enacted to increase funding targeted to attract URM students, for example by having donors fund a third party who then gives private scholarships directly to the students. In the case of the African American Initiative, the data show these policies had a very large effect in improving matriculation rates among the targeted students. We encourage adding some language about the importance of pursuing increased funding for URM undergraduate students, while staying within the confines of Proposition 209.

The importance of funding packages for graduate students is emphasized on page 9. We stress that a consistent refrain in academic program reviews is that funding is a very important factor in prospective URM graduate students' decisions to enroll at Berkeley versus other institution. In terms of attracting graduate students to Berkeley, we feel this is a very important, and possibly the single most important, general factor in increasing matriculation rates for URM students into our graduate programs across the campus. That is, while we observe that some units have idiosyncratic concerns that deter URM graduate students, funding for Ph.D. students is a factor stressed by the external review committee in every program review we can recall.

DECC also commends the goal on page five of the campus qualifying as an HSI in ten years. This is a concrete and ambitious goal that the campus may fail to achieve. However, having goals that are not guaranteed seems essential to make sure the campus is challenging itself on diversity and climate issues. We appreciate seeing such a clearly defined and ambitious goal as part of the plan.

Finally, we concur with the reports concerns with self-supporting programs, and may even amplify these concerns. Beyond the possibility of creating a two-tier system, we worry that the demographics of the students in these programs are different than those of the general student body. While these programs are charge to avoid have impact on state-funded students, we wonder how a deluge of students in self-supporting programs cannot influence the general climate of a unit. We hope the campus is careful and intentional in assessing the impact of these programs on the climate of particular units and of the general campus.

While we generally appreciate the thoughtful report, we did have a few suggestions. We would first like to again refer to the attached response on disability issues. We concur that climate for disabled students, staff, and faculty should be more prominently featured.

Next, we encourage some care in understanding how increased use of technology expands access and improves diversity. Our worry is that electronic grading or other online features may substitute away from face-to-face time with faculty. In some cases, for example in the online courses in the School of Public Health technology can be complementary to personal contact: there are online office hours where instructors can

teleconference directly with students and online grading provides a way to send personalized comments quickly to students on their work. We hope that if technology is used, it is to increase the intimacy of the course, and not to decrease it, particularly because there is evidence that impersonal courses have an especially deleterious effect on URM students. We also encourage looking at existing models, like those in Public Health, to inform our implementation of expanded technology in the classroom.

Some of the language in the Enrollment Working Group Report might be reworded. For example, consider the following sentence on page four: "Greater selectivity favors students from higher income, more educated families and disadvantages those from less resourced schools and socioeconomically disadvantaged communities." This might be read out of context as implying that applicants from these less-resourced school or socioeconomically disadvantaged communities are generally less able or less qualified than applicants higher income, more educated families. We urge that "selectivity" be made more precise here. For example, saying that traditional quantitative criteria like GPA and test scores tend to work against disadvantaged students is a more precise statement. Similar language about selectivity also appears in the last sentence of the penultimate paragraph of page seven.

As another example, the first full bullet point on page six makes the good point that perceived climate issues are important. However, it seems to separate "real" climate from "perceived" climate. We would like to stress that perceptions of bad climate are climate issues per se. As such, we would encourage changing the last sentence to something like "We recognize that perceived climate issues are real climate issues."

COMMENTS ON STUDENT EXPERIENCE WORKING GROUP REPORT

We appreciate the report's discussion of student-athletes. The faculty generally underappreciates the importance of student-athletes in maintaining the diversity of the undergraduate students. Many do not accommodate changes in exam times for athletic competitions, which has a doubly pernicious effect because not making these accommodations is especially disadvantageous for low-income and URM students and because student-athletes have many more low-income and URM students than the general undergraduate population. We would appreciate if some mention of how very essential student-athletes are to our diversity at Berkeley.

We also commend the report for bringing up students with disabilities, which are generally overlooked in the other reports. However, we would like to make one specific point regarding language. On page 18, the report suggests that we must maintain access and good climate for students with disabilities "despite the financial pressures of recent years, and increasing numbers of disabled students." Our understanding is that these documents are meant to work without concern for financial constraints, and we do not see these constraints mentioned as qualifiers in other parts of the document. As such, we echo the attached response on disability issues and recommend this language be removed.

Sincerely,

David Ahn
Chair, Committee on Diversity, Equity, and Campus Climate

DA/lc

September 19, 2018

Lisa Alvarez-Cohen, Co-Chair, Strategic Planning Steering Committee
Richard Lyons, Co-Chair, Strategic Planning Steering Committee
Henry Brady, Co-Chair, Grand Challenges Working Group
Fiona Doyle, Co-Chair, Student Experience Working Group
Oscar Dubon, Member at Large, Strategic Planning Steering Committee
Benjamin Hermalin, Co-Chair, Financial Model Working Group
Jennifer Johnson-Hanks, Co-Chair, Financial Model Working Group
Ignacio Navarrete, Co-Chair, Enrollment Working Group
Genaro Padilla, Co-Chair, Student Experience Working Group
Barbara Spackman, Co-Chair, Grand Challenges Working Group
Jennifer Wolch, Co-Chair, Enrollment Working Group

To the Strategic Planning Steering Committee:

We write to thank the committee members who have worked on the UC Berkeley Strategic Plan and to note a disturbing gap in the existing drafts: disability issues barely appear in the Plan, and when they do they are limited entirely to the category of student services. We appreciate and very much agree with the ideals expressed in this line in the Student Working Group report: "Disability access must move from the legal mandate of what is required through the Americans with Disabilities Act (ADA) to what is necessary to ensure full access and inclusion in the student experience." This is true for the experience of faculty, staff, and visitors as well. Disability can occur at any time over the course of life, and everyone in all these groups is getting older, over time more likely to experience some type of disability. Strategic planning must take this into account.

The way of thinking in which disability is siloed into "the Disabled Students Program" is in and of itself a barrier to equity and inclusion and a guarantee of insufficient planning for our future. The first step towards ensuring full disability access and inclusion is to *include* disability throughout this Plan. The second is to provide *access* to the Plan itself: currently the PDFs linked to the strategy plan site are not accessible to people with visual impairments. This fact is symptomatic of a larger problem with digital access and the campus; it is also symptomatic of a larger problem with the Plan that we urge you to address.

Below we consider specific moments in the plan where planning for disability can and should occur.

I. Signature Initiative on Inequality and Opportunity Draft Report

The Signature Initiative Working Group Report dated May 1, 2018 states a general principle about these initiatives: "we must be able to articulate how each has the potential to enhance and support diversity at Berkeley and/or serve underrepresented populations (broadly defined) across the nation and around the globe." Whether they are

understood to fall under a broad or a specifically targeted definition, disabled people are underrepresented here at Berkeley and more generally in higher education, in the workplace, and in positions of leadership nationally and globally. It is imperative that the Strategic Initiatives address this.

This would be true at any university. But UC Berkeley has played a significant historic role in combating inequality and illuminating opportunity for disabled people. In the 1960s, beginning with Ed Roberts, a group of disabled people who each had broken through admissions barriers to attend Berkeley began to come together to organize. In the spring of 1971, disabled students participating in a seminar led by Profs. Fred Collignon and Michael Teitz in City and Regional Planning generated the idea of a "Physically Disabled Students' Program" and then put it into practice. These events played a pivotal role in the development of the disability rights movement.

Despite this major achievement, disability is never mentioned as a locus of inequality and opportunity in this initiative, even though HIFIS has a cluster focused specifically on these issues. We ask that you include disability and specifically that you include the faculty working on the issue in the presentation of this "signature initiative," in the section where you provide examples of work on equality that is happening at UC Berkeley and list faculty names.

One of the University of California's important social and cultural contributions is its support of the creation of a "center for independent living" for and controlled by disabled people. The Berkeley center, which emerged as an extension and development of the PDSP, was the first of its kind in the U.S. National and state legislation quickly sought to spread the CIL concept. For many people worldwide, the work in Berkeley has become a model and a symbol of the transformative possibilities of the community-based independent living movement. The Bancroft Library's Regional Oral History groundbreaking project on the Disability Rights and Independent Living Movement (DRILM) records these events and is in and of itself an important resource for public understanding of disability inequalities and opportunities; it has been a primary source for historians and scholars around the world. Faculty research today in the HIFIS Disability Studies cluster carries on and critically transforms this legacy. This work extends across disciplines. For instance: in the English Department, Georgina Kleege has transformed museum access practices in the U.S. and beyond; in Anthropology, Karen Nakamura is critically analyzing disability, social policy, and augmentive technology in contemporary Japan and the USA; in Disability Studies, Marsha Saxton works on disability and climate change; at the Berkeley Food Institute, the foodscape map policy report co-written by Alasdair Iles and Rosalie Z. Fanshel attends at length to disability access in agriculture and food education and research. It is important not only to include research on disability in any presentation of this signature initiative but also to include reference to supporting and promoting that research as a core part of what Berkeley does.

II. Student Experience Working Group Draft Report

a. In the Executive Summary, in the brief summary on "facilities," an explicit commitment is made: "As the campus plans and seeks support for new housing, classrooms, and other academic buildings, it should focus on opportunities to create spaces that foster engaged learning (including group and collaborative space), leading-edge creative making and interdisciplinary research, and a sense of belonging." We think disability access should be foregrounded at the outset of this report. This sentence should include (or another sentence should address) a commitment to state-of-the-art accessibility in planning for all future spaces from the very start of the design process.

b. In the "other key basic needs" section, disability *is* mentioned a few times, including a reference to the history described above.

> **Students with Disabilities.** Berkeley as a community and a campus has a long and proud history of welcoming students with a range of disabilities and supporting movements and programs to empower those students. We need to ensure that despite the financial pressures of recent years and increasing numbers of disabled students, our support services for disabled students are easy to access and navigate, so that our students have the support they need to succeed on a par with the entire student body.

This is excellent as an acknowledgement and as an aspiration, but it lacks the specificity of many other moments in this report where particular programs and ideas are explored. The discussion consists of a single paragraph, for instance, in striking contrast to the more detailed discussions of the sections on "food insecurity" and "mental health" that immediately precede it. The need for faculty to learn "best practices" is addressed in the "mental health" section, for instance, but not here. Practices that might be specified include:

- Foregrounding the perspectives of disabled students, faculty, administrators and staff in planning for and responding to disability issues on campus
- Supporting faculty in development of accessible pedagogical practices
- Promoting disability inclusion in all facets of student life to support participation in recreation, socializing, clubs, and so forth
- Requiring campus-wide training in disability issues alongside, for example, the mandated harassment training
- Creating the social and cultural disability space/center recently pushed for by The Coalition of Disabled Student Leaders
- Ensuring that people with disabilities who represent and speak about disability openly are in administrative leadership positions, thereby demonstrating that disability is a valued part of campus diversity.

We strongly suggest that the "on a par" phrase be cut. There is no need to invoke a measuring stick for this or any other group of students, and the phrase vaguely hints that all disabled students, as a group, are less successful than others. The sentence could simply end with "easy to access and navigate."

We also strongly suggest cutting "despite the financial pressures." We recognize the issue being addressed here, but budget pressures impinge on the other needs addressed in this section too, where cost is not mentioned (and on every plan the campus makes). Note that the "mental health" section above this addresses financial issues by proactively encouraging "seeking new sources of financial support"—a very different tone. In addition: accommodations for disabled students are the law. A subtle, possibly negative association of disability with *cost* goes against the principles and ideals for which this section speaks.

Earlier in the "basic needs" section, there is a discussion of housing. Physical accessibility is not mentioned. The section includes these lines:

> While we pursue the long-range plan to double affordable housing, we must also ensure that we have a robust safety net that includes homeless student protocols and emergency housing resources. We need to understand whether housing is disparately impacting students from different experiences. What are the housing challenges of transfer students? of student parents? of commuters? We also need to look at the housing services and advising we provide to students as they transition out of campus housing and proactively prepare students to effectively navigate this process.

"Disabled students" should be added to the list of transfers, parents, and commuters. There is a great deal of work that needs to be done to address needs for accessible housing for undergrads, transfers, graduate students, and visitors such as post-docs.

Also in the "basic needs" section, in the part on "Financial Support," there's a recommendation to increase work/study opportunities for students. How will students with disabilities be supported and accommodated in this effort?

Finally, a few words on the "Mental Health" subsection here. We admire the way that "mental health" is understood as a basic need, and we strongly recommend that this subsection mention the services for psychological disability available at DSP, a crucial component of support for well-being. The university has been making progressive efforts towards modifying normative time for disabled graduate students when necessary; this should be highlighted. We find one aspect of the discussion of the "culture of mental health" striking. The last sentence in this discussion reads: "But Berkeley must recognize and confront the fact that many of the role models whom students see—that is, their faculty and GSIs—do not demonstrate the work-life balance that we know to be important." The subtle implication seems to be that faculty are causing some mental health issues. Again, we want to stress that faculty and GSIs also experience psych disability. We strongly think this Plan needs to grapple structurally somehow with the fact that disability needs and services and opportunities are in no way limited to the student population. The Plan should fully integrate disability across every part of our campus.

c. The "Diversity and Climate" section.

1. The discussion of diversity in admissions in the opening subsection here focuses on a crucial issue: "Berkeley should have a faculty, staff, and student body that fully reflects the ethnic diversity of our state and nation and every member of our community should feel welcome, respected, and safe." In the discussions that follow on underrepresentation, there is no further breakdown focused on disability, on the numbers of African American, Latino/Latina, and Native American admits who identify as disabled.

We do not know the statistics on admission of the general pool of disabled students to Berkeley (and their relation to the percentage of disabled students in the state); we do know that the number of DSP students has increased in recent years, and that the expectation is that these numbers will grow. Our point is that this is a striking silence in this discussion of demographics, diversity and inclusion. It merits mention in a separate discussion.

We know something about the national picture. A 2015 study from National Center for Education Statistics found that 11% of U.S. undergraduates (in 2011-12) reported having a disability. https://nces.ed.gov/fastfacts/display.asp?id=60 A 2017 NSF study, focused on science and engineering, found that only 7.6% of the identified disabled students in the national undergraduate college population attend a traditional 4-year institution like ours. https://www.nsf.gov/statistics/2017/nsf17310/

At the local level we have some other information. Though this exploration of "Diversity and Climate" comes in the section on students, it does mention faculty and staff, and we note that Professor Karen Nakamura's 2017 public access records request (https://ucbdisabilityrights.org/2017/02/26/number-of-disabled-faculty/) revealed a shockingly low rate of self-identified disabled faculty here at Berkeley: 1.5%. According to the Census Bureau's 2014 American Community Survey, 13% of the U.S. population has some disability; this population varies by age. (As Prof. Nakamura explains in the linked article, that 1.5% is obviously too low and the result of underreporting, but this raises another question directly related to campus climate: *why* are faculty underreporting?)

It's worth re-emphasizing that faculty, staff and administrators are aging and so increasingly likely to become disabled in some way. Strategic planning needs to be alert to this in order to ensure retention of experienced and productive members of our community. Areas to consider include workplace modifications, leave policies, and provision of and training in the use of assistive technology. Such adjustments can benefit everyone on this campus, not just specific disabled faculty and staff.

d. In the "advising, mentoring and navigation" and "study abroad" sections, there are calls for greater opportunities for students to participate in internships, externships, off-campus service learning projects and study abroad programs. Strategic planning needs to recognize that while the DSP can support disabled students on campus, specific

supports for disabled students who wish to pursue these opportunities should be developed.

III. Enrollment Working Group Report.

The report on enrollment has no mention of disability. In the lengthy discussion about increasing diversity, disability is not considered a diversity category. This basic issue of inequity and opportunity needs to be recognized, and it needs to be proactively planned for. If UC Berkeley is to build a population that reflects the broad diversity of our country's people, then purposeful and directed efforts must be made to recruit disabled students and to provide them with the support and accommodations they need to succeed here.

Sincerely yours,

Karen Nakamura, Robert and Colleen Haas Distinguished Chair in Disability Studies (Professor of Anthropology)
Karen Nielson, Director, Disabled Students Program
Georgina Kleege, President, Faculty Coalition for Disability Rights (Lecturer SOE, English)
Alastair T. Iles, HIFIS Disability Studies Cluster (Associate Professor, Environmental Science, Policy and Management)
Arlene Mayerson, HIFIS Disability Studies Cluster (Directing Attorney of Disability Rights Education and Defense Fund; Lecturer, Berkeley Law)
Susan Schweik, HIFIS Disability Studies Cluster (Professor of English)

October 1, 2018

PROFESSOR BARBARA SPACKMAN
Chair, Berkeley Division of the Academic Senate

Re: COR comments on Strategic Plan

At its meeting on September 12, 2018, the Committee on Research discussed the reports from strategic planning process. Due to time constraints and wanting to stay within COR's charge, we focused primarily on the report of the Steering Committee.

COR appreciates the general forward-thinking tenor of the plan, as well as the fact that extensive consulting with interested representative groups was part of the process of framing it. We are particularly heartened to see that there is a strong emphasis on additional housing and graduate student support to help the research mission of the university and to support the already large enrollment growth of recent years.

In terms of effects on research, we want to focus our comments on two main points:

1) With the additional FTE envisioned to be added to respond to the 6 signature initiatives, we feel strongly that the balance of added FTE needs to be reflective of the true research and teaching needs of the university and supportive of Berkeley's mission of comprehensive excellence. We are concerned that the balance not be overly tipped toward those areas that are most able to generate donor support. Not only is balanced FTE distribution critical to the long-term health of the university but areas favored by donors change from year to year, and Berkeley needs to stay consistent within its mission.

2) We are not confident that continued increased growth of undergraduate enrollments (especially in advance of sufficient support in housing and teaching and administrative staff) is a good idea, either for the research mission of the university or for its other missions.

Further, we note that the emphasis on page 9 of the Enrollment Working Group report on only admitting graduate students who have strong "reasonable job opportunities [...] when they leave" creates a possibly complicated criterion for admissions. In many circumstances, it is difficult to predict job market opportunities, and there are growing and changing opportunities for graduate

degree holders outside of academia that may not be clearly reflected in known or existing job paths.
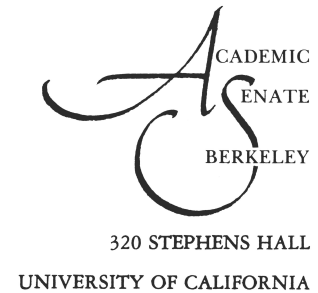
We also note, in relation to point 2 above, that the increased enrollment (which makes it hard, at a base, to include students in the courses they may want to enroll in) also make it less and less feasible to include undergraduates in research projects, as faculty, staff, and graduate students are often stretched to the breaking point just to make up for the lost resources due to recent cuts, unfunded mandates, and the like. That, along with Berkeley's inferior infrastructure supports and its relatively low faculty-student and staff-student ratios, can place us at a disadvantage when competing with our peer universities for the top undergraduate students, and is at odds with the stated goal of increasing research opportunities for undergraduates.

There is much to support in the plan, and we hope that the campus will continue to consult with the Senate as it makes revisions and plans for implementation. We appreciate the opportunity to comment.

With best regards,

John Colford, Chair
Committee on Research

October 4, 2018

BARBARA SPACKMAN
Chair, Berkeley Division of the Academic Senate

Re: Graduate Council Comments on Campus Strategic Planning Reports

Dear Chair Spackman:

The Graduate Council (GC) reviewed the Strategic Plan (Plan) and discussed the implications for graduate education at UC Berkeley. Our deliberations spanned two consecutive meetings (9/10 and 10/1). As requested, we have organized our response into three categories: elements that we support; elements where we have concerns; and elements that are missing.

Elements that we support

If the GC could make one recommendation regarding strategic planning for graduate education, it would be: **Increasing funding for doctoral student education should be the first and foremost priority.** This need is recognized in the draft Plan. Funding for doctoral students is a focus of development efforts. However, we view the need as so pressing that funding for doctoral students must be increased by all means available. Development efforts and fiscal innovations are viable avenues to pursue but we also argue that graduate student funding deserves a larger share of the core University budget.

The GC supports the Plan's goal of providing University housing to 25% of the graduate student population. However, we note that there is no mention of the affordability of this housing. While we recognize the market based arguments of supply and demand, graduate students earn stipends and pay tuitions whose amounts are set, in large measure, by the University (i.e., the landlord). Thus we recommend that the housing goal of the Plan be revised to read: the University will provide **affordable** housing to 25% of the graduate student population. While we endeavor not to be prescriptive, we suggest that affordable be defined using a reasonable and accepted standard (e.g., the US Department of Housing and Urban Development recommends that families pay no more than 30% of their income on housing).

Delivering a world-class PhD education that spans disciplines is at the core of who we are. The overriding concern of the GC is the increasingly perilous financial position of our graduate students. Therefore these two measures are fundamental to our existence as a premier institution for graduate education.

Elements where we have concerns

The Plan touts the value of 3+2 and 4+1 joint bachelors/masters degree programs. The GC agrees. These joint degrees are a means to diversify our graduate student body and to attract high-achieving undergraduate students to Berkeley. We did note several concerns. Given the growing diversity of graduate degree programs on campus, we worry about the potential financial burden when a student transitions from a state-sponsored undergraduate program to a self-supporting professional graduate program. The oversight of new 4+1 and 3+2 programs also poses a potential challenge as degrees are shared between undergraduate and graduate education. Finally we suggest there needs to be a fair and transparent admissions protocol for internal applicants to avoid real or perceived bias.

In principle, the GC supports the Plan's proposal to expand opportunities for interdisciplinary graduate education. However, as the Senate committee on the frontlines of approving new programs and reviewing existing ones, we see the administrative and logistical challenges confronting interdisciplinary efforts. These programs tend to be small with minimal support. They often are "labors of love" proposed by dedicated faculty who work together to provide a rich intellectual environment. They are often jewels of graduate education. However, sustaining these programs is often a struggle particularly in the absence of an empathetic home department (or similar academic unit). Thus any strategic effort to expand interdisciplinary education must be accompanied by a tactical plan that addresses issues such as the minimum size to maintain an intellectual critical mass, impacts on faculty effort and availability, and sources of administrative and financial support. Moreover, since it is always easier to start than end programs, we strongly recommend that every new interdisciplinary effort include an exit plan that states the conditions (e.g., lack of interest, shift in scholarship, and absence of support) and process for dissolution.

In several places, the Plan mentions the ongoing shift in graduate education at Berkeley where professional and masters degrees account for a larger share of the population. A noted benefit is that this increase may offset the decline in doctoral students and their service as graduate student instructors. However, the GC identifies two issues not mentioned in the Plan. There is no consideration about the potential downside associated with increased teaching expectations for professional and masters students. For many of our doctoral students, teaching is more than just a source of support. It is an essential part of their training to work as professors. In contrast, teaching is typically not a core element of professional education. Thus the cost/benefit equation is different. Is it reasonable that a professional student can maintain a full-course load and a 25% GSI? Our other issue relates to the cost of preparing students for undergraduate teaching duties. UC Berkeley is a recognized leader in its training of GSIs. These programs and policies are expensive. We have already seen that given the shorter tenure of masters students, the demand for training increases as does the expense. These costs must be factored into the equation as we increasingly rely on masters and professional students to serve as GSIs.

Elements that are missing

Discovery is a primary theme of the Plan with regard to undergraduate education. A similar emphasis on discovery is absent for graduate education. Yet it is no less important to our graduate students. While graduate education is more self-directed than the typical undergraduate curriculum, both academic and professional students must meet a plethora of expectations defined by their programs. Meeting these demands is not only necessary to progress but also

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often tied to continued funding. On the other hand, our advice and rhetoric encourages students to step outside the narrow confines of their chosen program. A "**Discovery Summer Fellowship**" for graduate students would be a way to make real our encouragement to explore. We envision these Discovery Summers as open-ended means for students to investigate opportunities or to entertain ideas not part of their standard studies. For example, these fellowships could support outreach and community engagement efforts or provide the chance to experience professional careers outside of the academy. They also could be used to delve deeply into questions from a different field or at the intersection of disciplines. These opportunities could be particularly valuable in the early stages of the student's career. The GC envisions that a Discovery Summer program could also take advantage of the proposed Signature Initiatives to enhance training and opportunities for graduate students in the defined areas of excellence. Funding should be sufficient (e.g., 2-month GSR) to provide a full-time commitment to discovery. The Discovery Summer represents a cost-effective way to attract the best students. Indeed it could become a signature Berkeley innovation given its emphasis on the unrestricted, student-initiated, pursuit of knowledge.

Sincerely,

John J. Battles
Chair, Graduate Council

October 2, 2018

PROFESSOR BARBARA SPACKMAN
Chair, Berkeley Division of the Academic Senate

Re: UGC Comments on Strategic Planning Reports

Dear Chair Spackman,

Introduction

The Undergraduate Council (UGC) was tasked by DIVCO with providing feedback on the reports of the Strategic Planning Steering Committee, the Student Experience Working Group, and the Enrollment Working Group. In particular, DIVCO asked that UGC establish clear priorities as to which recommendations should be implemented and by what means. This request seems especially warranted, given that the Strategic Plan has a mostly aspirational character, identifying goals like becoming a Hispanic-serving institution within 10 years without specifying how those goals are to be achieved. UGC certainly endorses the main recommendations of the Strategic Plan, including: expanding access and diversity; promoting an inclusive environment; fostering cross-disciplinary learning; improving advising and mentoring; ensuring that every undergraduate have some kind of "Discovery Experience"; and guaranteeing adequate housing and financial aid. Some of these objectives will depend on a significant increase in funding from the state, but UGC believes that other meaningful improvements to the experience of undergraduates at UC Berkeley can be made with more limited resources.

Before turning to our recommendations, UGC feels that it is important to draw attention to one critical challenge that was all but completely ignored in the Strategic Planning process – accommodations for students with disabilities. UC Berkeley currently enrolls nearly 2700 students with disabilities, roughly 8% of all students, and disabled students are the fastest-growing demographic at Berkeley.[1] Yet for all the calls to "celebrate, embrace, and deliver on enhanced inclusion and diversity" (p. 2), "create a community where all Berkeley students can thrive both academically and personally" (p. 1), and expand opportunity and access to excellence (p. 2), *the Strategic Plan makes no mention whatsoever of students with disabilities. Nor does the Working Group Report on Enrollment, even though enrollment of students with disabilities increased from 2100 to nearly 2700 in just the past year.[2]* The Student Experience Working Group Report

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[1] Presentation to Faculty Workshop by Karen Nielson, Director of Disabled Students' Program (DSP), July 12, 2018.

[2] Presentation to Faculty Workshop by Karen Nielson, Director of Disabled Students' Program (DSP), July 12, 2018.

references students with disabilities specifically and calls for providing adequate support services so that these students can "succeed on a par with the entire student body" (p. 18) and for moving beyond "what is required through the Americans with Disabilities Act (ADA) to what is necessary to ensure full access and inclusion in the student experience" (p. 19). However, the Report offers no concrete recommendations for achieving these goals. UGC cannot help but feel that the Strategic Planning process has neglected the needs of students with disabilities, hence that it is appropriate for UGC to offer a number of suggestions.

In formulating recommendations, whether with regard to disabled students or other aspects of undergraduate education, UGC has prioritized concrete, relatively low-cost measures. Obviously, not everything can be done inexpensively, and some of our recommendations do involve significant outlays. But UGC believes that when it comes to improving the experience of undergraduates, there is a reasonable amount of low-hanging fruit, and we especially want to draw attention to ways of harvesting that fruit.

Summary of UGC Recommendations
UGC has four sets of general recommendations, each with several specific implementation measures. These recommendations are listed below. The recommendations are then discussed in the following section.

1. Improved accommodations for students with disabilities.
  1a. Develop a strategic plan for accommodating students with disabilities.
  1b. Include questions and metrics concerning the well-being of students with disabilities in department self-studies, external program reviews, and UCUES questionnaires.
  1c. Reduce the ratio of Disability Specialists to students from 450:1 to no more than 300:1.
  1d. Hire a technology specialist to work with faculty on providing accessible course materials to all students.
  1e. Launch a capital campaign to build a Disability Resource Center.

2. Small investments in student-facing support services that greatly affect the undergraduate experience, most notably the Financial Aid Office, the Career Center, and Berkeley Connect.
  2a. Eliminate all fees charged by the Career Center for strictly budgetary reasons and provide additional resources to match the Career Center's growing responsibilities.
  2b. Organize a task force to assess the operations of the Financial Aid Office.
  2c. Restore the budget for Berkeley Connect to $2 million.

3. Greater use of undergraduate students to perform important University functions for which they are suited.
  3a. Deploy work-study students who have come from underperforming and under-resourced high schools, community colleges, and high schools with high proportions of URMs as ambassadors and recruiters to those same schools.
  3b. Employ work-study students to provide academic advice and mentor URM students, first-generation students, students from underperforming high schools, and transfer students both individually and in a collective setting.

3c. Hire advanced undergraduates to aid in undergraduate instruction.

4. <u>Systematic Academic Senate oversight of all courses of instruction that grant credentials, certificates, and so-called "micro degrees."</u>
> 4a. Affirm that Senate Academic oversight is required for the creation of any new degree program bearing the Berkeley name.
> 4b. Establish a template, with clear procedures and requirements, that any unit wishing to create a new degree program would need to follow.
> 4c. Propose safeguards to protect the financial interests of students in these new programs.
> 4d. Provide for periodic review of new degree programs at specified intervals, with the authority for the Academic Senate unit to sunset programs.

Discussion of UGC Recommendations
This section discusses UGC's recommendations in response to the reports of the Strategic Planning Steering Committee, the Student Experience Working Group, and the Enrollment Working Group. Some of these recommendations, such as building a Disability Resource Center or deploying advanced undergraduate students as teaching assistants, are long-term projects. Most, however, could be implemented reasonably quickly and inexpensively.

1. Improved accommodations for students with disabilities. Students with disabilities are woefully underserved by the University. The Disabled Students' Program (DSP) counts a staff of 19 (https://dsp.berkeley.edu/about/contact-us/staff). By way of comparison, the DSP program at the University of Arizona, another public university with a comparable number of students, has a staff of 43 (https://drc.arizona.edu/about/staff). Most critically, DSP lacks the staff and rooms to proctor exams for more than a limited number of students with accommodations. Instead, under Berkeley's "shared model for test accommodations and proctoring services," it is "academic departments and faculty members [who] are primarily responsible for providing testing accommodations to students with disabilities" (https://dsp.berkeley.edu/faculty/proctoring).

This "shared model" is not working. Perhaps the number one complaint of faculty, after low pay and high housing costs, is the burden for finding rooms and proctors to manage what can be dozens of disability accommodations in a large lecture class with little or no support from DSP. Students with disabilities are also poorly served by the system, which produces considerable uncertainty as to how – or even *if* – their legal right to accommodation will be met. The "shared model" is also a lawsuit waiting to happen. Unless the University addresses the proctoring problem, it is only a matter of time before a disabled student whose rights have not been respected, whether due to faculty frustration or administrative inadequacy, takes the University to court and, as has already been the case in the area of disability rights, the University loses. UGC has five recommendations with regard to DSP.

1a. <u>Develop a strategic plan for accommodating students with disabilities.</u> The disabled student population is expected to increase dramatically in the coming years. How will the University meet the resulting demands for services? How many Disability Specialists will be required? How

will exams be proctored? What other services do students with disabilities need, and what kinds of personnel does the University need to meet them? UGC believes that the University needs to get in front of the disability challenge, as opposed to responding to crises or lawsuits. A first step would be to form a task force including the relevant stakeholders to formulate a strategic plan for accommodating the growing number of students with disabilities in the years ahead.

1b. Include questions and metrics concerning the well-being of students with disabilities in department self-studies, external program reviews, and UCUES questionnaires. The University systematically includes questions and metrics concerning the well-being of URM students in department self-studies, external program reviews, and UCUES questionnaires. The practice should be extended to students with disabilities.

1c. Reduce the ratio of Disability Specialists to students from 450:1 to no more than 300:1. The current staffing ratio is too high. Students with disabilities receive inadequate attention, and faculty have difficulty contacting and receiving information about students in a reasonable time frame. DSP leadership believes that a ratio of 300:1 would be workable.[3] The University should meet that target, but also be prepared to reduce the ratio still further should problems persist.

1d. Hire a technology specialist to work with faculty on providing accessible course materials to all students. Recently, a campus-wide Course Content Affordability and Accessibility Committee (CCAAC) delivered a report to the Vice Chancellor of Undergraduate Education on measures to improve the accessibility of course materials for students who are unable to or have difficulty reading written materials (sight-impaired, dyslexic, etc.).[4] Thanks to new technologies, it is possible to make most course materials convertible to audio, but guidance for instructors generally takes the form of "help" buttons and webpages, so instructors continue in their old ways. The move to Campus Shared Services has aggravated the problem, as there is no one in the Departments to get the message out about the possibilities for making course materials accessible or to provide technical assistance to faculty wishing to do so.

UGC recommends that the University hire a technology specialist, whether based in DSP or the Library, whose primary responsibility would be to teach faculty how to produce accessible course materials. A further benefit of this initiative would be to reduce costs for all students, not just the disabled, since accessible online materials, such as digital textbooks, are generally much less expensive than print materials. Indeed, many online accessible materials are available free of charge.

1e. Launch a capital campaign to build a Disability Resource Center. The percentage of students at Berkeley with disabilities will continue to climb in the years ahead; the nationwide average is currently between 10% and 15% of students.[5] The expectation that faculty will be able to find rooms and proctor the lion's share of exams for students with disabilities will become even more untenable. At some point, if not already, Berkeley will need a dedicated building, where a large

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[3] Communication from Karen Nielson, Director of Disabled Students' Program (DSP), August 28, 2018.
[4] *Report of the Course Content Affordability and Accessibility Committee (CCAAC)*, June 1, 2018.
[5] Presentation to Faculty Workshop by Karen Nielson, Director of Disabled Students' Program (DSP), July 12, 2018.

number of students can take exams, a growing DSP staff can be housed appropriately, and other disability services for can be provided (e.g., interpreting and captioning, IT, physical access and accommodations). The University of Arizona, a large public university like Berkeley, recently opened a "Disability Cultural Center" (https://drc.arizona.edu/campus/disability-cultural-center-now-open), where all of the above services are provided by a large staff (https://drc.arizona.edu/about/staff). This should be the model for Berkeley.

Obviously, funding for a Disability Resource Center will not be secured overnight. Still, as part of a planning process seeking to identify priorities for the coming decade, disability services should figure prominently. Moreover, given Berkeley's tradition of reaching out to marginalized groups and providing opportunities for advancement, many alumni donors could be expected to embrace the idea of funding a Disability Resource Center.

2. Small investments in student-facing support services that greatly affect the undergraduate experience, most notably the Financial Aid Office, the Career Center, and Berkeley Connect. DSP is part of a broader phenomenon at Berkeley, which is the underfunding and understaffing of highly visible, student-facing services. Last year, student representatives on UGC told horror stories of students who could not pay their rent because their financial aid checks had not yet been issued. Career Services, which the Student Experience Committee rightly points out should play a greater role in securing internships and externships for undergraduates, is forced to raise a significant share of its budget by charging user fees, especially to recent alumni, which has led students and alumni to shy away from the office. And Berkeley Connect – a highly regarded program that provides mentoring to new students, is associated with improved academic performance, and is described in the Strategic Planning Steering Committee Report as "a model" that "should be available to more students" (p. 9) – saw its budget cut from $2 million to $1.4 million, then was targeted for elimination in fall 2017, before being allowed to continue with a budget of $1 million.

University policy toward student services has been penny-wise and dollar-foolish. The amounts saved are very small, while the damage to students is direct and keenly felt. For example, the fees charged to alumni by the Career Services raise just $150,000 per year, while making it harder for the 20% of students who graduate from Cal without a job to find employment.[6] The fees also make it far less likely that those alumni will ever feel that they should donate to a university that nickel-and-dimed them in their time of need. Fortunately, the fact that University policy is penny-wise and dollar-foolish means that relatively small investments in student services could yield significant improvements in the student experience. UGC has three recommendations in particular.

2a. <u>Eliminate all fees charged by the Career Center for strictly budgetary reasons and provide additional resources to match the Career Center's growing responsibilities</u>. There may be occasions when it is appropriate for the Career Center to charge fees, perhaps for highly personalized services or those that require the Career Center to make direct financial outlays.

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[6] Presentation by Thomas Devlin, Executive Director, Career Center to the Undergraduate Council, April 14, 2018.

Such charges should be the very rare exception, however. Fees should never be used as a straightforward revenue-raising device.

UGC wants to be clear that eliminating fees should not mean cutting the resources available to the Career Center. The foregone fees must be replaced by normal budgetary funding. Indeed, UGC believes Career Center resources will need to be increased as the Center takes on new responsibilities.

UGC endorses the recommendations of the Student Experience Working Group that all students meet with Career Center counselors during their first two years at Berkeley (p. 10), that all undergraduates "have the opportunity to participate in at least one off-campus, paid internship experience" (p. 12), and that the Career Center expand its externship program, especially to low-income students (p. 13). Implementing these recommendations will require additional resources for the Career Center, but the pay-offs to students, in terms of better integration of career and academic advising and improved job placement, will be immense. The pay-offs to the University are also likely to be significant: a well-functioning, supportive Career Center, which nurtures students throughout their years at Berkeley and provides assistance to recent graduates free of charge, will improve the University's image and create a better climate for soliciting donations from alumni.

2b. Organize a task force to assess the operations of the Financial Aid Office. UGC endorses the recommendation of the Student Experience Working Group that, "We should work to ensure that our financial aid office has the staffing needed to provide accessible, easy-to-navigate services and that financial aid awards are made in a timely fashion" (p. 17). It is completely unacceptable for deadlines for processing student financial aid packages and making payments to be missed. Perhaps the Financial Aid Office lacks adequate staffing; perhaps there are organizational issues; perhaps there are other problems altogether. A review of the operations of the Financial Aid Office could be conducted with the objective of identifying the source of the delays and proposing solutions.

2c. Restore the budget for Berkeley Connect to $2 million. The severe cuts to Berkeley Connect's budget were motivated by purely financial calculations, not any perceived failure or excess resources in the program. Indeed, these cuts had a direct, negative impact on our students. When the budget was cut from $2 million to $1.4 million in 2017-18, eight full-time fellowships for graduate mentors were eliminated, and Berkeley Connect served 300 fewer undergraduates (http://www.dailycal.org/2017/09/12/uc-berkeley-mentorship-program-faces-possible-loss-funding-due-budget-crisis/). The subsequent cut to $1 million will only cause more damage. This nickel-and-diming approach to critical student services should be reversed and the budget restored to its pre-reduction level of $2 million.

3. Greater use of undergraduate students to perform important University functions for which they are suited. It is a truism that the greatest resource of Berkeley is our students, but that resource could be used more effectively. This is particularly true of work-study students, who are often assigned to uninspiring activities. At the same time, the University has a host of unmet

needs that the undergraduates are especially eager and suited to handle. UGC has three recommendations for making greater use of our undergraduates.

3a. <u>Deploy work-study students who have come from underperforming and under-resourced high schools, community colleges, and high schools with high proportions of URMs as ambassadors and recruiters to those same schools</u>. It is no secret that Berkeley has a reputation as being unwelcoming to URM students. In addition, many students from disadvantaged groups, underperforming high schools, and community colleges do not believe that they could ever gain admission to Berkeley or afford to attend. As a result, viable students do not even apply.

One of the ways of countering Berkeley's negative perception is to send students from these communities, who are currently enrolled at Berkeley, back home to recruit. Most Berkeley students are very enthusiastic about Cal and eager to get the word out. In addition, these students have experienced many of the same concerns and doubts about Berkeley as students in their communities and can speak to these concerns and doubts head on. Finally, Berkeley undergraduates tend to have a lot more credibility with students in their communities than adult admissions officials from outside those communities.

Given that a high proportion of URM students, students from low-performing high schools, and students from disadvantaged communities have some kind of work-study package, these students should have the opportunity to work as ambassadors and recruiters in their home communities. UGC endorses the recommendation of the Student Work Experience Working Group that work-study students be given "more meaningful work opportunities" (p. 17), and serving as ambassadors in their home communities would seem like such an opportunity. In addition, paying students to recruit in their home communities would be especially valuable to low-income students who might otherwise have difficulty affording a trip home. Deploying work-study students in this way would also help advance the recommendations of the Enrollment Working Group to expand outreach to underserved high schools and community colleges, "including high-touch, intentional programs that increase the pipeline and direct it towards Berkeley" (p. 5) and to involve "students and alumni more heavily in recruiting and yield activities" (p. 5).

3b. <u>Employ work-study students to provide academic advice and mentor URM students, first-generation students, students from underperforming high schools, and transfer students both individually and in a collective setting</u>. It is not enough for Berkeley to recruit and admit more URM students, first-generation students, students from underperforming high schools, and students from community colleges; the University must also ensure that these students feel welcome and succeed once they arrive on campus. UGC endorses the recommendation of the Student Experience Working Group to integrate peer mentors, especially work-study students, into undergraduate advising, thereby freeing up professional staff and faculty to focus on more complicated questions (p. 10). UGC believes that work-study students could do even more, though. These students could serve as personal mentors or "buddies"; they could organize academic meetings and social events among groups of students in the same major and/or from the same community; and they could conduct tutoring and social events in dorms in which URM and disadvantaged students tend to cluster. As the University increases its proportion of students from underrepresented and disadvantaged backgrounds, it will become increasingly critical to

provide onramps and support systems for these students, and work-study mentors would seem ideally suited to the task.

3c. <u>Hire advanced undergraduates to aid in undergraduate instruction</u>. Berkeley is experiencing a structural squeeze on undergraduate teaching. In recent years, Ph.D. programs in most departments have shrunk dramatically, reducing the pool of GSIs, while undergraduate enrollment has continued to increase. Today, there are not enough GSIs to meet the undergraduate teaching needs of the University, and the situation can only be expected to worsen in the years ahead. If the University does nothing, the inescapable outcome will be more and more undergraduate lecture classes with no GSIs.

In many small liberal arts colleges that do not have Ph.D. candidates to serve as GSIs, undergraduates who have taken a particular class and done well often serve as teaching assistants the following year. This practice has several benefits. The TA's learn the material more deeply by teaching it and improve their presentational skills. They can also put their teaching experience on their resumes and possibly secure a recommendation from the instructor. Perhaps of greatest importance to the academic world, once bitten by the teaching bug, undergraduate TA's may decide to go on to become teachers or even enroll in Ph.D. programs.

Berkeley has had some limited experiments with using undergraduates as assistants in scientific or language labs, but not as full-fledged TA's. Moreover, there is considerable resistance from various quarters. Even within the existing system, UGC believes that there is room to make greater use of undergraduates, but UGC also believes that there is no reason why the possibility of undergraduate TA's should remain taboo. One possibility might be to start with a pilot project to see how advanced undergraduates fare in the classroom as well as any issues or problems that might arise.

Obviously, moving toward having undergraduates as TA's would be an extremely difficult challenge, involving a rewriting of University policies and extensive negotiations with all the key stakeholders, including COCI, the Graduate Council, and the UC Student-Workers Union. It is not something that will happen anytime soon. However, the topic merits further exploration. UGC believes that Berkeley undergraduate education should consist of more than large lecture classes with no one to help students work through and understand course concepts and materials.

4. Systematic Academic Senate oversight of all courses of instruction that grant credentials, certificates, and so-called "micro degrees." There is tremendous enthusiasm on campus for creating new credentials, certificates, and other kinds of non-traditional degrees. These degrees can provide important advantages, including transcending traditional boundaries, reaching new populations of students, boosting employability, and tapping the potential of online technologies. However, there are also risks. The education provided, particularly online, could be sub-standard; the micro-degrees might not significantly improve the employment and salary prospects of students, while saddling graduates with debt; and the teaching and advising resources devoted to micro degree programs might crowd out resources for students in the traditional programs. More generally, there is a concern that many of initiatives are being driven

primarily by financial objectives, as a way of funding cash-strapped Departments, rather than by pedagogical objectives.

UGC is not opposed to the expansion of non-traditional degrees and online learning per se, but we do oppose expansion without proper oversight. Our recommendation is that DIVCO form a Task Force on Micro Degrees to establish procedures and guidelines for all new credentials, certificates, and other degrees that bear the Berkeley name. UGC has four main recommendations for that Task Force.

4a. <u>Affirm that Senate Academic oversight is required for the creation of any new degree program</u> bearing the Berkeley name.

4b. <u>Establish a template, with clear procedures and requirements</u>, that any unit wishing to create a new degree program would need to follow.

4c. <u>Propose safeguards to protect the financial interests of students in these new programs</u>, such as a requirement that proposers of new degree programs provide jobs listings showing salaries offered to those with the new qualification and/or attestations from some employers that they have the means and will to provide assistance toward the expense of acquiring the degree.

4d. <u>Provide for periodic review of new degree programs at specified intervals, with the authority for the Academic Senate to sunset programs</u> for various reasons including poor-quality education or low job placement records and/or low salaries of graduates.

Sincerely,

Jonah Levy
Chair, Undergraduate Council

Report of the Ad Hoc Subcommittee to Review the Financial Strategies Report

Victoria Frede, Shannon Steen, and R. Jay Wallace

October 8, 2018

General Remarks

The Financial Strategies Report recommends greater coordination—both between faculty and administration on the one hand and between departmental units on the other—in making a host of decisions, from approaches to increasing revenue, to determining how to apportion expenditures, to better harnessing existing resources. Overall, our group endorses the cooperative spirit of the report. Several of our recommendations will concern the institutions and locations we view as best suited to achieve coordination between faculty and administration. Principally, we recommend reliance on the bodies already created by the Faculty Senate for governance, so that faculty are maximally well-informed and can make use of existing lines of communication to provide systematic feedback to the administration in the areas outlined below.

1. Cooperation and trust between faculty and the administration.

Like the overall strategic plan, the Financial Strategies Report calls for building greater trust between faculty and administration. This trust has been eroded over the years by top-down decisions by administrators without faculty input or against faculty remonstrance (as in the case of Campus Shared Services). Faculty trust has also been eroded by lack of information sharing, most particularly with regard to university finances and expenditures. The Financial Strategies Report recommends greater transparency as a means to increase trust, including greater access to information about how funds are distributed, but also better information about how administrators make decisions and how they implement them. In the current climate, trust is impossible without transparency, and transparency includes oversight.

The Financial Strategies Report praises the campus administration for releasing unprecedented amounts of information about finances to CAPRA over the past two years. The report also calls for greater oversight of the efficiency, quality, and quantity of work performed by administrative units. Administrative units should be subjected to scrutiny akin to that experienced by departments, where the overall functioning of an administrative department is assessed. Should the unit grow or shrink? Our group endorses this recommendation but would like clarification of which individuals or groups should be charged with such oversight. Should oversight be delegated to a group such as CAPRA? Should it be delegated to a special body combining faculty and administrators?

As the Financial Strategies Report emphasizes, there are currently too many units on campus, if one counts all departments, ORUs, and graduate groups/schools, as measured by the number of units per number of faculty. According to the Report, some units are deficient in their productivity, and there needs to be more oversight over units, with a

view to potentially closing or "sunsetting" those that have outlived their day. The Financial Strategies Report recommends that "for research centers and other significant areas, some systematic review should be undertaken, perhaps along the lines of a 'base-closing' commission (or commissions)." This matter is delicate, because sunsetting has the potential to radically undermine faculty trust in the administration, and may pit units in competition against one another. In this regard, our group found it particularly important that decisions rely on extensive input from ladder faculty and that they be made by standing committees in the Academic Senate, not by hand-picked committees of faculty and administrators appointed by the Chancellor or Provost.

The Financial Strategies Report also signaled that administrators should be granted greater flexibility in seeking savings. "We should reward executive leaders in campus support who find ways to do their work more efficiently and at less cost. Make individual incentives align with the campus need for cost reductions on the administrative side. (p. 15) Our group hopes that executive leaders will seek feedback from relevant faculty senate groups as they seek efficiencies and implement cuts.

2. Cooperation between units, as opposed to parochial thinking

The overall strategic plan and the Financial Strategies Report both exhort faculty to move forward in a cooperative manner, identifying efficiencies cooperatively by mutual consent. Our group noted, however, that there were aspects of the Report that are likely to increase competition and mistrust between units. One of them included tying FTE allocations to SCH (student credit hours), something that is already done, to some extent, on our campus. Departments competing for students are less likely to cooperate in recommending one another's courses to their students. Even cross-listing courses can become the object of tension. If SCH is to increase as a factor in determining FTE allocations, the Senate and administration both must be maximally transparent as to its application.

3. Allocation mechanisms must take comprehensive excellence into account.

Further, our group was concerned that the increasing reliance on SCH as the primary driver in the process of allocating FTE's does not take into account the reality that many forms of instruction do not "scale up." As is well known, there are many critical courses at universities (especially instruction in foreign languages, studio art, theater, and music), in which SCH standards cannot apply. Berkeley's excellence would be damaged by their reduction.

4. Fiscal Burdens on Units

A trend at Berkeley not mentioned by the Financial Strategies Report is the growing fiscal responsibility faced by departments and other units. To name two weighty examples, these are increasingly responsible for paying staff benefit increases as well as for funding Unit 18 lecturers, a financial model that will soon prove unsustainable for many departments. Indeed, shifting this burden to departments may bankrupt some. In

addition, in the wake of CSS, some departments have also begun to pay for staff members out of their budget. Our group questions the rationale behind this budgetary model, which imposes heavy financial burdens on departments without creating overall cost savings for the university.

5. SSGDPs

Self-supporting graduate degree programs have long been identified as one means to increase university revenue. The Financial Strategies Report identifies "certificate programs and micro-credentials" in addition to revenue-generating master's programs as potential funding sources. It also voices concerns about the assessing the financial viability of each program: some may come with hidden costs, some may not prove profitable, while most risk taking ladder-faculty time away from regular teaching obligations. These concerns are very valid. Our group would like to add that academic quality, too, should be of major concern to the University at large. Certificate programs and micro-credentials may not be subject to regulation by standing committees of the Faculty Senate. Some mechanism must be created to ensure that these programs indeed offer a quality of education that is commensurate with Berkeley's standards, and that they are generally consistent with its academic values.

6. Public University, Public Funds

This group commends the Financial Strategies Report for noting the continued importance of the public funding to the university. "[C]urrent state support is roughly equivalent to a $9 billion endowment and tuition almost a third of central revenues. (…) We must (…) continue to work to ensure such increases, while simultaneously ensuring investment in student aid and scholarship" (4). Even as the university seeks to expand revenue through philanthropy, patents, intellectual property, leasing out university lands, branding, etc., our group emphasizes that Berkeley must retain its identity as a public university. This is essential, not only for the sake of revenues, but also for the overall spirit of the university and the self-understanding of faculty and graduate students, who see teaching at a public university as essential to their mission, both as researchers and educators.