

ACADEMIC PROGRAM REVIEW



UC BERKELEY GUIDE FOR THE REVIEW OF EXISTING INSTRUCTIONAL PROGRAMS

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Introduction

The Academic Program Review is designed to enhance the educational mission of the University of California, Berkeley, by providing opportunities for programs and departments, and the university as a whole, to assess and improve its teaching and scholarship. We consider each review a rare opportunity for the unit and the campus to take a comprehensive look at the unit, to evaluate its opportunities and challenges, and to assess its future. Such a review process allows the campus to pursue exciting new paths of inquiry and discovery, while also sustaining excellence in each scholarly area.

Our goal is for the review process to take no more than 18 months. The emphasis of the reviews is on forward planning, informed by analysis of recent data trends, with units identifying through the self-study and the review process, the necessary steps to maintain excellence and to correct deficiencies. It is not expected that the unit under review will address issues in the course of the review, but rather will develop plans to do so in a timely fashion following the review. The Office of the Provost expects two of the focus areas for each unit will be its undergraduate program and its strategies for promoting equity and inclusion.

The centerpiece of the review process is the unit's self-study. It is expected that this self-study will express the unit's unique culture and provide an opportunity for reflection and critical assessment of the unit's scholarly directions and academic programs. The self-study should involve an assessment of strengths and deficiencies and a strategy to meet the opportunities and challenges that the unit anticipates over the next eight years. Within this framework, the unit should emphasize one to three key areas for in-depth examination. In addition, the Dean, Provost and the Program Review Oversight Committee (PROC), a joint faculty-administrative committee, may specify one or two additional areas for in-depth analysis.

Each review includes an extramural review component, the External Review Committee (ERC), comprised of three to five distinguished scholars selected for their expertise, demographic attributes and institutional affiliation. Prior to their visit they receive copies of the Office of Planning and Analysis (OPA) summary of statistical data, the unit's self-study, and a charge letter signed by the Executive Vice Chancellor and Provost (EVCP) and the Vice Provost for Strategic Academic and Facilities Planning (VP-SAFP). The ERC spends one to one-and-a-half days visiting the unit, depending on the unit's size and range of subfields, and an additional day writing their report.

The role of the Academic Senate is critical to the review process. Five committees (the Graduate Council, the Undergraduate Council, the Committee on Budget and Interdepartmental Relations, the Committee on Diversity, Equity, and Campus Climate and the Committee on Academic Planning and Resources Allocation) are represented on the PROC. In addition, each External Review Committee is accompanied by a Senate member who serves as the Academic Senate Liaison and who writes an independent review following the external visit. The Senate assigns a member of each committee represented on the PROC to be involved in the review of each unit; these members receive a copy of the OPA statistical summary and the unit's self-study prior to the drafting of the charge letter to the External Review Committee and are provided the opportunity to request additional information from the unit and to identify key areas to which they want the External Review Committee to pay particular attention. Subsequent to the visit, the Senate

representatives receive the External Review Committee’s report, with a factual corrections addendum, if necessary, from the unit, the Senate Liaison’s report, and the unit’s response. Each Senate committee prepares a commentary on these reports which is then reviewed by the Divisional Council of the Berkeley Academic Senate (DIVCO) and sent to the Office of the Vice Provost for Strategic Academic and Facilities Planning (VP-SAFP).

For departments in the College of Letters and Science, the Letters and Science Executive Committee submits salient curricular issues to the Office of the VP-SAFP for consideration by the units in completing their self-study or for input into the charge letter. The Letters and Science Executive Committee participates in L&S reviews in a role which parallels the role of the five committees of the Academic Senate.

This review guide was prepared in response to the Program Review Task Force (for “Historical Background,” see Appendix 1). The intention is to re-examine and amend the academic program review process as appropriate to provide additional support to units under review and to facilitate input into the process from the Academic Senate, L&S, and PROC. This may necessitate occasional revisions to the Guide.

The authority for these guidelines rests on the Principles for Program Reviews strategic plan endorsed by the 2001-2002 by Berkeley Division Chair David Dowall, as well as written authority from Executive Vice Chancellor and Provost Paul Gray (Appendix II).

The Academic Program Review website is available at <http://vpsafp.berkeley.edu>. It provides various sections clarifying the process and includes this Guide, contact information for support staff, and FAQs.

Review of Existing Instructional Programs/Units

Step 1: Selection of Units for Review

An eight-year cycle (see Appendix III) (extended to nine years for the duration of the budget crisis) for the review of units has been established by the Program Review Oversight Committee (PROC), in consultation with the cognizant deans, based on the timing of the previous review and an equitable annual distribution of reviews per dean. The PROC consists of the Executive Vice Chancellor and Provost (EVCP), the Vice Chancellor for Equity and Inclusion (VCEI), the Vice Chancellor for Undergraduate Education (VC-UG), the Vice Provost for Strategic Academic and Facilities Planning (VP-SAFP), the Vice Provost for the Faculty (VP-F), the Graduate Division (GD) Dean, and the Chairs of the Graduate Council (GC), Budget and Interdepartmental Relations (BIR), Undergraduate Council (UGC), Committee on Diversity, Equity, and Campus Climate (DECC), Committee on Academic Planning and Resources Allocation (CAPRA), and the Executive Director, Office of Planning and Analysis (OPA). Divisional Council makes its suggestions known through the Senate committees that are represented on the PROC and through a summary letter. A representative of the L&S Executive Committee is invited to participate in the wrap-up meetings for departments in the College of Letters and Science.

A brief, graphic representation of the academic review process timeline is found in Figure 1, on p. 36 of this document, with a more detailed narrative in the sections which follow. A task check-off list is provided in Figure 2 (p. 37).

Step 2: Determining Self-Study Issues

The VP-SAFP notifies the chairs of the units and their cognizant deans of the upcoming review. A “kick-off meeting” is hosted by the VP-SAFP, including the Assistant VP- TLAPF, the APR policy analyst, the department chair or dean of the professional school, and the MSO/DOA, to discuss the review process in general.

Subsequent to the kick-off meeting, the VP-SAFP’s staff in consultation with the chair/professional school dean schedules a meeting with the unit head, or their designate, the MSO/DOA, and the APR support team (the Assistant VP-SAFP and the APR policy analyst from the Office of the VP-SAFP, an analyst from the Office of Equity and Inclusion, a data analyst from the Office of Planning and Analysis, and a consultant Learning + Organizational Development (L+OD)), to introduce themselves and the services they can provide and to address questions the unit may have. See Figure 3 (p. 38) for names and contact information for APR support team.

The PROC may recommend a specific issue or issues for the unit to consider in its self-study. Also, the VP-SAFP contacts the cognizant dean to establish additional salient issues to be addressed in the unit’s self-study, which will be conveyed to the unit at the time the VP-SAFP meets with its leadership. The issues are communicated to the unit by the VP-SAFP and by the “Questions to the Department” at the conclusion of the data summary provided by the Office of Planning Analysis (OPA), with the expectation that they will be addressed in the self-study. The unit is also expected in the course of its deliberations over the self-study to identify additional issues that it wishes to consider.

Key issues identified by the PROC, the dean, and those that arise in the self- study are transmitted to the External Review Committee in a formal charge letter.

Step 3: Self-Study and OPA Data Summary

Each unit under review conducts a self-study as part of its strategic planning process, focusing on areas of priority to the unit, including in its discussion topics enumerated in Appendix IV, “Self-Study Questions,” and additional issues highlighted by the PROC, and other salient issues identified when the review is initiated. The deadline for the self-study is dictated by the schedule for the arrival of the external visiting committee, i.e., two months prior to the external committee site visit. To comply, the unit submits 31-35 (depending on number of external reviewers) bound and one unbound, double-sided, copies of the self-study and one electronic copy to the office of the VP-SAFP.

To facilitate the unit’s self-assessment, the OPA, in consultation with the unit, provides a summary and analysis of the statistical data that pertains to their unit, comparable campus peers, and external peer departments when available. Such data includes information on the unit’s resources (e.g., financial, faculty, staff, and space), programs (undergraduate and graduate programs, course curriculum, and student satisfaction surveys), faculty characteristics (e.g., age, ethnicity, gender, and rank), research activity, and faculty workload). The data also will include demographic information (e.g. race and gender) and survey data (as available) for undergraduate majors, graduate students and staff. In addition, the summary highlights specific trends, comparisons and potential issues for the unit to consider. By providing this information the unit can focus on the major issues and questions for their program, rather than on data compilation and analysis. If the

OPA cannot provide the completed data summary in a timely manner, the OPA or the unit may request a meeting to review the preliminary data assembled by the OPA.

The OPA summary and all data tables are bound by the OPA and paired with the self-study by the VP-SAFP's office for distribution to reviewers. *Please DO NOT reproduce the OPA data summary with the self-study.*

Deliberations for completing the self-study are central to the review process. It is expected that the self-study will provide the unit with an opportunity for reflection and critical assessment of the unit's scholarly directions, as well as a celebration of its achievements and successes. The self-study will show how scholarly directions (i.e., in instruction, research, and service) affect the academic programs of the unit. The self-study should involve an assessment of strengths, weaknesses, opportunities, and challenges that the unit anticipates over the next eight to nine years. Such an assessment will naturally draw on any current academic plan of the unit but should go beyond any current plan both in its critique and in its strategic plan. Examples of areas that might be selected for in-depth analysis are: undergraduate education, relations with cognate ORUs, departments, or UGIS programs, extramural or private support, the status of women or ethnic minorities among students, faculty or staff, matching new research directions and faculty recruitment, or graduate student recruitment. As part of the self-study, each unit is also requested to complete a Strategic Plan for Equity and Inclusion, based on the guidelines in Appendix VII. Analysts from the Office of Equity and Inclusion are available to help in developing these plans as needed. If the department already has an existing Equity and Inclusion Plan, please attach it to the self-study materials.

In many instances, the APR self-study also evolves into a broader overall strategic plan for the department. In other cases, a strategic plan is the first step undertaken by the unit at the conclusion of the review.

The unit's faculty are the key players in the development of the self-study; they may also choose to consult with the heads of related academic programs, such as ORUs and institutes. Opportunities for staff, graduate and undergraduate students to provide input to the self-study are essential. This input may be reported in a variety of ways, through the use of unit-administered surveys, a report on the results of a town hall-style meeting, or memos from individuals or groups of these constituents.

Appendix IV provides guidelines for the self-study. These questions represent the interests of the constituent members of PROC and are intended as *guidelines*, not as a list of required components of the self-study. The Guide is available online on at the program review website (http://vpsafp.berkeley.edu/media/GUIDE_June2015.pdf) where the current version is available to users.

Please Note: Units typically include a description of faculty gained and lost over the period of the review. Please do not indicate the reasons for faculty separations (e.g., resignation, tenure denial). You may, however, list the former faculty members' areas of expertise and dates of separation.

To reiterate, the self-study should be completed by the unit and transmitted to the office of the VP-

SAFP no later than two months prior to the External Review Committee's visit. The External Committee, the Senate Liaison, the PROC, the cognizant dean, the L&S Executive Committee for L&S departments, and the five Senate committee representatives receive copies of the self-study (and the OPA data summary). Submission of the self-study two months prior to the visit of the External Review Committee provides sufficient time for the Office of the VP-SAFP to draft the charge letter to the ERC, circulate it to PROC for review, and obtain the signatures of the EVCP and the VP-SAFP.

During the 18 months of the review, if there are significant changes in any key areas reported in the data summary or self-study, such as the successful recruitment of an underrepresented minority faculty member, we encourage units to report this to the VP-SAFP's office.

Step 4: External Review Committee and Senate Liaison - Selection and Charge

As indicated in Figure 1, during this first phase of the review, the chair/professional school dean is asked to provide the VP-SAFP with four lists: 1) a ranked list of 10-15 faculty nominees (depending upon the size of the unit) from peer institutions who could serve on the External Review Committee - professional schools may include a local practitioner whose expertise is relevant - annotate the list with institutional affiliation, subfield expertise, and contact information; 2) five to seven UCB faculty nominees who could serve as Senate Liaison; 3) a list of three comparison departments on the Berkeley campus, and 4) a list of two to four comparison peer institution departments or schools. Comparison data for Berkeley and the outside institutions will be supplied by the OPA, if available.

In selecting potential external reviewers, department chairs/professional school deans are asked to observe the following guidelines:

In the achievement of the primary goal of the review—a rigorous, objective, intellectually up-to-date examination of the unit and all its practices—the selection of appropriate External Reviewers is critical. In selecting potential reviewers, units should list nominees who fulfill these criteria:

- scholars who are widely acknowledged to be of national and/or international eminence, who are also noted for good judgment and objectivity
- individuals connected with, and with good experience in, departments and institutions of comparable rank and type
- scholars reflective of the gender and ethnic diversity in the field
- scholars representative of the major subfields within the department and the discipline; and those with broad knowledge of the discipline as a whole

It is equally important, to avoid bias or the appearance of bias, to avoid nominating individuals with prior recent (within 10 years), strong connection with the unit under review, as for instance former students (or teachers) of current faculty or former UCB faculty, or those with substantial collaborative research associations (or strong personal ties) with UCB faculty. If this is not possible, then units should disclose any potential conflicts of interest of suggested external reviewers when submitting their names.

Units are asked to annotate their list of extramural reviewers as fully as possible, indicating their subfield and specific area(s) of expertise and their home institution, at least, if not a complete listing of contact information— and by order of preference within each subfield.

In consultation with the unit dean and the PROC, the VP-SAFP's Chief of Staff assembles an External Review Committee of three to five members. A charge letter is sent to the external reviewers, signed by the EVCP and the VP-SAFP, which highlights for the reviewers' consideration issues which have been raised by PROC as noted above. In general, the committee is directed to examine the OPA data and the unit's self-study, which are sent with the charge letter, and the issues highlighted in the charge letter. A copy of the charge letter is provided to the department chair or professional school dean in advance of the site visit.

Once the department chair/professional school dean supplies the names of five to seven campus faculty (not affiliated with the home unit but preferably having some familiarity with it) who might be asked to serve in the role of internal Academic Senate Liaison, the suggested names are sent to the Committee on Committees (COMS). COMS reviews the list and may propose additional names. COMS then supplies a ranked list of at least four potential UCB Senate members who might serve as the liaison to a specific External Review Committee. The VP-SAFP's staff approaches the nominees in ranked order and informs COMS (and the unit) of the finalized appointment. One liaison is appointed to each review.

The Senate Liaison has three principal functions: the first is to provide guidance to the External Review Committee about Berkeley, its particular culture and institutions, and the context in which the unit operates; the second is to act as the Senate's observer of the review, for both its process and its content; and the third is to focus on the general environment in the unit (e.g., faculty-student relations, status of women and ethnic minorities, staff morale, teaching quality and quantity, intra-department faculty relations and collegiality). Although the Liaison's focus is not on curricular or research issues, as a fellow Berkeley faculty member, their observations about the unit's place within the larger intellectual landscape of the campus are valued.

Following the visit of the External Review Committee (described below) the Senate Liaison receives a copy of the External Review Committee's report. (The Senate Liaison does not participate in the writing of the External Review Committee's report.) The Liaison provides a brief written report, which is addressed to the Berkeley Division of the Academic Senate, although it is transmitted through the VP-SAFP's office, stating his/her observations. The Liaison's report is due as soon as possible after receiving the ERC's report, within one to two weeks.

Step 5: External Review Committee Visit to Campus

The schedule for the External Review Committee visit to the department or professional school is designed by the unit under review. Over a two-plus-day visit (or two and a half days in the case of a large department or school), the External Review Committee and Senate Liaison meet with the unit's faculty (including Continuing Lecturers), undergraduate and graduate students, post-docs, and staff, as well as directors or representatives of cognate or embedded units. The VP-SAFP's office also schedules meetings between the external reviewers and campus administrators (for sample template for External Review Committee visit with department or professional school, see Appendix VI). The External Review Committee spends the final day of their visit writing their report summarizing their strategic assessment of the challenges and opportunities confronting the unit and addressing the issues raised in its charge. The final day of the visit also includes a one-hour exit interview with the ERC, the PROC, Academic Senate committee representatives, and cognizant dean (the Vice Provost for the Faculty acts as the cognizant dean for professional school

reviews). The report of the External Review Committee is delivered to the VP-SAFP at the end of their visit. Following their visit, the External Review Committee members are asked informally to comment on the academic program review process.

The department chair (or dean in the case of a professional school) reviews this report for factual accuracy and reports back to the VP-SAFP's staff within two weeks.

The external report, with factual corrections attached, and the Senate Liaison's report are distributed to the unit for *faculty, staff, and graduate and undergraduate student review and response to the substance of the reports*; these responses, including a summary letter from the unit head are due back to the VP-SAFP within six weeks. The unit should address to what degree it thinks the outside reviewers understood the unit and correctly assessed its strengths and shortcomings and the merit of the recommended remedies. At this point, we don't expect a definitive assessment of reviewers' recommendations nor do we expect the unit to immediately address any shortcomings. In fact, we prefer that the unit wait until the reports of DIVCO, the five Senate committees, and the outcome letter are sent to the unit before it tries to fully address the issues raised by the review. These documents remain confidential during the period of the review until the outcome letter is issued (see below).

PROC wishes to highlight the importance of conveying the experience of graduate and undergraduate students, in their own voices. In scheduling the visit of the External Review Committee, for instance, please be certain a cross-section of students – not just honors students, in the case of undergraduates – meet with the reviewers. In gathering input from students for the unit's response to the External Review Committee and Senate Liaison reports, we prefer you submit graduate student responses independently. Any way you can provide input from undergraduates would be valuable; we acknowledge that a separate, independent report is unrealistic.

We ask that you please submit the schedule for the External Review Committee's visit to the office of the VP-SAFP for review before it is finalized.

Step 6: Report Distribution and Responses from Senate Committees

The External Review Committee report, the Senate Liaison's report, and the responses from the unit under review are distributed to the Senate committee representatives and chairs, and the Letters and Science Executive Committee, when appropriate.

The representatives of the five Senate committees, whose chairs serve on the PROC, review the OPA data, the self-study, the External Review Committee's report, the Senate Liaison's report, and the unit's response and prepare written comments. If any of the Senate committees have questions whose answers are critical to preparing their comments, they may submit them to the Berkeley Division chair and the VP-SAFP, who will share them with the unit and facilitate a rapid response. The written comments are then submitted to the Divisional Council within eight weeks of instruction for its consideration. DIVCO prepares its analysis and transmits it and the Senate committee reports to the VP-SAFP within two weeks of instruction. If this timeline is not achieved, the PROC Chair, with the consent of the PROC, reserves the right to move the process forward in the absence of a specific report to ensure a timely review.

Under exceptional circumstances, defined as a major disjuncture between the self-study and the External Review Committee's report and the Senate Liaison's report, the Graduate Council, Undergraduate Council, Committee on Diversity, Equity, and Campus Climate, Committee on Academic Planning and Resource Allocation, or the Committee on Budget and Interdepartmental Relations may elect to convene a single "discussion meeting" with the unit based on the External Review Committee's report, the report by the Academic Senate Liaison, and the responses from the relevant unit, by informing the Division chair and the VP-SAFP. This meeting shall normally take place within eight weeks of instruction from the submission by the relevant unit of its responses to the External Review Committee's report. The attendees and purpose of the meeting are determined by the relevant Academic Senate committees; the VP-SAFP convenes the meeting. At the conclusion of the discussion meeting, reports summarizing their views are submitted by the Senate Committees to DIVCO and the VP-SAFP. These reports and DIVCO's comments are due three instructional weeks after the discussion meeting has been held. If this timeline is not achieved, the PROC Chair, with the consent of the PROC, reserves the right to move the process forward in the absence of a specific report to ensure a timely review.

Step 7: Wrap-Up Meeting

The purpose of this meeting is to make final recommendations to the unit. All review reports, including the DIVCO response, are distributed to all PROC members. The "wrap-up" meeting for the unit review is hosted by the VP-SAFP, as the PROC chair. The meeting brings PROC together with an L&S Executive Committee representative, when appropriate, and the cognizant college dean, for the final review and assessment of all the review documents, drawing on the general institutional knowledge and areas of responsibility of the meeting participants. As mentioned above, the Vice Provost for the Faculty acts as the cognizant dean for professional school reviews.

The result of the wrap-up meeting is a draft of an "outcome" letter addressed to the department chair or professional school dean that summarizes the review findings and recommends actions to address them. The letter includes a required timetable for the unit to take action to address the findings. It also includes follow-up actions to be undertaken by the School or College, and the campus. The letter is composed by the PROC chair and reviewed by the PROC and cognizant dean. Once it is finalized, it is signed by the EVCP and the VP-SAFP.

The outcome letter is formally transmitted to the unit, which concludes the review. Copies are sent to the PROC, Academic Senate Chair, the chairs of UGC, GC, BIR, DECC, CAPRA, the cognizant Dean, and the Executive Director, Office of Planning and Analysis, Vice Chancellors, and the University Librarian. At this point, all review reports and the outcome letter become part of the public record.

Step 8: Follow-Up: The Unit Response to the PROC Recommendations

The unit is expected to take actions to address the findings of the program review. The outcome letter designates the timeline for acting on the recommendations. The unit is expected to report on actions it has taken as part of its annual FTE request to the cognizant dean (or in the case of the professional schools, to the VP-F), unless otherwise negotiated at the wrap-up meeting. The cognizant dean is expected to comment on the unit's progress in his/her annual FTE request. When indicated in the outcome letter, the unit head and Equity Advisor are expected to meet mid-way between reviews with DECC to discuss progress toward improvements in equity and inclusion

based on recommendations generated by the prior review. The VP-SAFP is responsible for maintaining a database of initiatives undertaken in response to the recommendations; the annual meeting of the PROC will devote time to reviewing the progress on these recommendations.

Confidentiality Policy Regarding Academic Program Review Reports

It is the policy of the University of California at Berkeley that reports generated during Academic Program Reviews will be considered confidential until a final outcome letter is sent to the chair (or dean) of the department (or School) by the Executive Vice Chancellor and Provost and the Vice Provost for Strategic Academic and Facilities Planning. “Confidential,” means that their circulation is restricted to members of the department (or School) under review (including faculty, staff and students), members and staff of the Program Review Oversight Committee (PROC), and members and staff of the committees of the Academic Senate that are involved in the review. Once the outcome letter has been sent, all reports are considered to be public documents. “Public “ is defined, according to the Office of the General Counsel to the Regents of the University of California, to mean that the documents will be made available upon request, but also that any personal information related to individual employee performance shall be redacted before the request for documents is granted.

APPENDIX I. HISTORICAL BACKGROUND

The earliest documents regarding academic review in the University of California system are from 1966. In October of that year, the Coordinating Committee on Graduate Affairs (CCGA) discussed the idea of program reviews and confirmed the need for five-year reviews in accordance with a resolution passed by the American Council on Education. The first official review on the Berkeley Campus, as we know the process today, concerned the Department of French and was conducted jointly in 1971 by Sanford S. Elberg, Dean of the Graduate Division, and Walter Knight, Dean of the College of Letters and Science. The next review (of the Department of Sociology) was conducted by the Graduate Division alone. This review was the first that specifically called for a response from the Department. The next step was to make such reviews more systematic and part of regular campus review activity.

In January 1981, a special Committee on the Graduate Division, chaired by Professor Martin Trow, reported to the Chancellor. The committee's report commented on the review procedures and recommended that simultaneous rather than separate reviews of graduate and undergraduate programs be conducted. It also recommended a ten-year cycle of departmental program reviews by the Graduate Council in coordination with the College of Letters and Science and the professional schools.

In August 1997, The Executive Vice Chancellor and Provost Carol Christ appointed an Academic Planning Board Working Group to consider changes to the current Instructional Program/Unit Review Process. The working group was chaired by Professor Philip Cowan. Many changes in the program review process were implemented at that time.

In the fall of 2002 an Academic Program Review Working Group (chaired by Associate Dean in the Graduate Division Jeffrey Reimer) was charged with revising the academic program review process and proposing an organizational structure for program reviews that meets criteria that were spelled out in a charge letter from EVCP Paul Gray. This charge was informed by a Program Review Task Force (Professor Zacheus Cande and Reimer, co-chairs, 2001-2002) report provided to Academic Senate Chair David Dowell in 2002. The revised process also incorporated recommendations expressed by the Program Review Task Force (Cande/Reimer, co-chairs, 2001-2002) and the Strategic Academic Planning Committee (Dowall and Vice Provost for Academic Planning and Facilities William Webster, co-chairs, June, 2002). New policies and procedures and new structures were designed. The Academic Program Review Working Group agreed on the following goals of the review process:

- Move oversight for program reviews to a central administrative office, under Vice Provost's purview.
- Make program reviews more timely, and on a more frequent cycle, as expressed by the Academic Senate and the Strategic Academic Plan.
- Maintain a review process that is faculty-driven.
- Develop the potential of the program review process to promote key campus objectives within a decentralized organizational culture.
- Create a structure for departmental self-study that is flexible and responsive to the individual needs of the department.
- Reaffirm the importance of statistical data in developing unit self-studies and provide more centralized support to departments in preparation and interpretation of such data.
- Assure that units address student-learning outcomes in discipline-specific ways.

- Create better integration between external and internal reviews.
- Maintain a program review process that is distinct from professional or specialized accreditation.
- Make the cognizant dean's role in program review more prominent, especially as a means of promoting departmental follow-up and accountability.

The Working Group also agreed to the following recommendations:

- Create a permanent joint Academic Senate/Administration committee, with appropriate staff support, to oversee the academic program review process. (The Program Review Oversight Committee- PROC).
- Identify an institutional home for the academic program review process to be centrally coordinated within a single administrative unit.
- Incorporate the criteria for evaluating departmental efforts in undergraduate education into the criteria for all academic program reviews, including a focus on student learning outcomes.
- Convene a single external review committee with an Academic Senate Liaison.
- Require surveys of undergraduate majors and graduate students for all program reviews.
- Provide sufficient resources to ensure timely periodic reviews of academic units every eight years as recommended by the Berkeley Division of the Academic Senate.
- Streamline the process that occurs after an academic program review has taken place, clarifying who needs to read and comment on the report and in what timeframe.
- Assure that the cognizant deans are involved in follow-up actions as a result of the academic program review report.
- Create a mechanism for regular follow-up that will enable the campus to evaluate progress and outcomes resulting from recommended action

APPENDIX II. AUTHORITY FOR CONDUCTING REVIEWS

The Academic Senate derives its authority for the review of academic programs from the following excerpts from The Regents' Standing Orders, and Bylaws of the Academic Senate and of the Berkeley Division of the Academic Senate:

STANDING ORDER OF THE REGENTS

105.2 Duties, Powers, and Privileges of the Academic Senate

(b) The Academic Senate shall authorize and supervise all courses and curricula offered under the sole or joint jurisdiction of the departments, colleges, schools, graduate divisions, or other University academic agencies approved by the Board, except that the Senate shall have no authority over courses in the Hastings College of the Law, San Francisco Art Institute, in professional schools offering work at the graduate level only, or over non-degree courses in the University Extension. No change in the curriculum of a college or professional school shall be made by the Academic Senate until such change shall have been submitted to the formal consideration of the faculty concerned.

BYLAWS OF THE BERKELEY DIVISION

PART I. BERKELEY DIVISION

1. FUNCTIONS

The Berkeley Division is a committee of the Academic Senate. It

- Organizes, selects its own officers and committees, adopts rules for the conduct of its business;
- Receives and considers reports and recommendations from the Faculties of colleges and schools located wholly or partly on the Berkeley Campus, from its Divisional committees, from local administrative officers, and from other Divisions;

4. DIVISIONAL COUNCIL

C. Duties

The Divisional Council has the following responsibilities and authority:

1. Acts on behalf of the Division on matters other than legislative matters retained by the Division.
2. Receives and distributes to the appropriate agency or agencies reports from Standing and Special Committees of the Division and from academic program and Organized Research Unit review committees.
3. Coordinates activities of Divisional Standing and Special Committees.

16. BUDGET AND INTERDEPARTMENTAL RELATIONS

B. Duties

It represents the Division in all matters relating to appointments and promotions and makes recommendations to the Chancellor on appointments, promotions, salaries, and other matters related to the quality of the faculty.

35. EDUCATIONAL POLICY

B. Duties

Considers and reports upon matters involving questions of educational policy; and makes recommendations to the Chancellor on the establishment and disestablishment of academic programs. [from bylaws]

Represents the Division in all matters relating to educational policy, including significant changes in the allocation of campus resources.

37. GRADUATE COUNCIL

B. Duties

The Council exercises administrative and coordinating functions in the Graduate Division at Berkeley in accordance with Senate Bylaw 330.

3. Set policy and standards for. . . (ellipsis is in bylaws document)11. Regulate in other ways the graduate work of the Division with a view to the promotion of research and learning, especially through its regular reviews of current graduate programs for their quality and appropriateness

BYLAWS OF THE GRADUATE COUNCIL

Title II. List of Standing Committees: Their Powers and Duties

6. Administrative: ... shall pass upon graduate program reviews and shall make recommendations to the Council for improvement of all graduate programs following such reviews.

43. STATUS OF WOMEN AND ETHNIC MINORITIES

B. Duties

- To stimulate and aid all departments in strengthening their efforts to foster and achieve equality of opportunity for women and minorities; [15]
- To conduct continuous review of all problems concerning the status of women and ethnic minorities on the Berkeley Campus; and
- To report to the Division annually on the progress of the Campus in achieving equality of opportunity for women and minorities

APPENDIX III. ACADEMIC PROGRAM REVIEW 9-YEAR CYCLE

College/Div	Total Units	2005-06 Year 1	2006-07 Year 2	2007-08 Year 3	2008-09 Year 4	2009-10 Year 5	2010-11 Year 6	2011-12 Year 7	2012-13 Year 8	2013-14 Year 9	2014-15 Year 1 (recycle)
Arts & Humanities	19	Music (92) Art History (93)	Philo (08) German (08)	Scand (08) NES (10) Art Pract (09)	Italian (10) Comp Lit (09) Rhetoric (09)	Film (11) SSEAS (11)	E Asia (12)	Slavic (12) French (12)	English (15) Classics (14)	Theater/Dance (15) Span/Port (15)	Music (07) Art History (08)
Social Sciences	12	African Am (NA) Political Sci (92)	Geog (08) Psych (08)	Anthro (10)	Eth St (10)	Linguist (00)		Econ (13)	History (15) Women (15)	Socio (15) Demogr (01)	African Am (07) Political Sci (07)
Professional Schools	9	Education (94)	Info (07) Journal (07)	Law (08)		Busines (11) Pub Pol (11)	Social Welfare (13)	Optometry (14)		Public Health (05)	Education (07)
Chemistry	2					Chem (00)			Chem & Bio Eng (15)		
Engineering	7	Civil (91)	Bioeng (08)	Mat Sci (09)	EECS (10)		Nuclear (12)	Mechan (13)		Civil & Env Eng (15)	IEOR (05)
Physical Sciences	5	Statistics (90)	Math (08)	Astro (09)	Earth PS (10)			Physics (13)			Statistics (07)
HWNI	2			HWNI (10)							
Biological Sciences	3				PE (NA)		MCB (12)		Integrative Bio (15)		
Natural Resources	4			Agricultural Econ (09)			ESPM (12)		ERG (13) Plant Bio (14)	Nutrition (15)	
Environmental Design	3	City & Reg (93)			Arch (10)		Land Arch (12)				City & Reg (07)
Total Reviews	66	8	8	9	8	6	6	6	8	7	8

APPENDIX IV. SELF-STUDY QUESTIONS

OVERVIEW

A key component of the review process is the self-study by the unit. This self-study focuses on strategic thinking and planning to support the unit's programmatic goals and intellectual and academic endeavors. The deadline for the self-study is dictated by the timing of the arrival of the external visiting committee and is due two months prior to their arrival. The unit is required to provide the Academic Program Review office with 31-35 (depending on the number of external reviewers) double-sided, bound copies of the self-study; one double-sided, unbound copy; and one electronic copy. The cover page of the bound copies should be colored, 65-pound card stock.

The PROC may designate specific areas, such as undergraduate education or departmental diversity, as critical areas for review in each unit's self-study. An important outcome of the study may be the identification of other issues the unit wishes to address and about which they may also wish to seek advice from the external review committee. Issues may also be identified by the dean or chair or L&S Executive Committee, where appropriate, as the review unfolds. Key issues identified by the unit, the PROC, the L&S Executive Committee or dean will be transmitted to the External Review Committee (and the assigned Senate Liaison) in their formal charge letter.

The review document requires that each unit think strategically and present a coherent vision of its short- and long-term plans. The unit should encourage all faculty, students, and staff to participate in generating ideas, analyzing information, creating proposals, and making decisions.

The self-study document should reflect the unit's culture and must include the following elements:

- A. A brief description of the goals and mission of the graduate and undergraduate programs; description of areas of excellence.
- B. A brief description of two to three specific areas for in-depth analysis, established through a critical assessment of the unit's strengths and weaknesses, challenges and opportunities. This assessment should include a review of how this unit sees itself in a national and, if appropriate, international context.
- C. A discussion of new scholarly directions, research plans, curricular or degree program changes, faculty recruiting, and plans for maintaining and enhancing excellence and diversity of faculty and students over the next eight to nine years. The nature of the research, teaching, and scholarly enterprise should be summarized here. Given the persistence of budgetary constraints, the discussion should include ways in which the unit can be strengthened without receiving additional resources.

OUTLINE OF QUESTIONS TO GUIDE THE SELF-STUDY

A. MISSION AND STRATEGIC POSITION: *It is helpful to draft responses to these questions at the beginning of the self-study and then to revisit, revise, and affirm your responses after answering the questions which follow.*

1. What is the unit's intellectual agenda in the context of current trends in its discipline/field? Do changes in the discipline/field suggest the unit should reexamine its mission or program focus?
2. What is the unit's reputation and what makes it distinctive vis a vis its peers nationally and internationally?
3. Where does the unit fit in the ecology of the campus? Describe links with other units on campus, such as joint faculty appointments, cross-listed courses, shared undergraduate and graduate service courses and enrollments. Analyze whether there is any overlap in resources and programmatic goals. Also, note and discuss any links with research units. Analyze how these links might be strengthened.
4. What are the three to four critical challenges and opportunities facing the unit?
5. What are the unit's strategic goals and how are the units' resources allocated to meet its strategic and programmatic objectives?
6. How does the mission of the department align with the campus mission to promote equity and inclusion by:
 - a. Supporting research, teaching and public service that is responsive to the needs of our increasingly diverse state, national and global context;
 - b. Striving to identify and eliminate barriers that have prevented full participation of groups that have been underrepresented in higher education or in the field of study;
 - c. Creating an environment in which any individual or group can feel welcomed, respected and valued.

B. FACULTY

Describe the success of your faculty in meeting the unit's scholarly mission. *Attach an abbreviated, one-page curriculum vitae for all faculty members, including continuing lecturers and adjuncts.*

1. Quality of Instruction:
 - a) What are the methods used by the unit to evaluate the quality of teaching? How is the information gathered by these methods used for feedback to the instructor, evaluation of the individual instructor's performance, and for planning and decision-making?
 - b) In what ways are faculty members actively encouraged to develop and improve the unit's teaching enterprises? In what ways are they actively encouraged and valued for their contributions to equity, outreach, and inclusion in teaching?
 - c) What teaching resources does the unit use to enhance the quality of instruction (e.g., GSI training, web resources, professional practitioners)?
 - d) What efforts are being made to survey recent degree recipients (e.g., exit surveys) and alumni about the quality of the program, and what has been learned from these?
 - e) Describe possible innovations in teaching that are contemplated. What efforts could be made to develop and utilize teaching strategies that are more responsive to the needs of students from groups that are underrepresented in higher education or in the field? How might the campus support these strategies?
2. Faculty teaching and service loads.
 - a) Describe the internal policy for making teaching assignments, including information on the normal teaching load per faculty member in the unit as well as course-release policies. Update the departmental policy provided by the Office of Planning and Analysis, if necessary.
 - b) Drawing upon data provided by OPA, please explain the rationale for the allocation of teaching of lower division and upper division courses among: a) ladder-rank faculty, b) lecturers and c) GSIs.

- c) Drawing upon data provided by OPA, please explain the rationale for the pattern of distribution of student credit hours among the academic titles.
- d) Within the unit, what would an equitable distribution of faculty teaching assignments be, and what efforts are made to ensure that this distribution is achieved?
- e) What is the unit's internal policy for making service assignments, including information on the normal service load per faculty member and course-release policies?
- f) Within the unit, what would equitable distribution of faculty service assignments be, and what efforts are made to ensure that this distribution is achieved?

3. Faculty Advising and Mentoring of Students

- a) What is the distribution of mentoring and advising responsibilities to faculty as opposed to staff, and what methods are used to evaluate their effectiveness?
- b) What are the procedures for faculty oversight of undergraduate special studies courses (e.g., field studies, group studies including DE-Cal courses, independent research)?
- c) How do ladder faculty oversee curriculum taught by Lecturers, Adjuncts, and other non-ladder instructors? How do ladder faculty mentor non-ladder instructors?
- d) What is the average length of service as graduate, major, and other advisers?
- e) How does the faculty participate in the mentoring of GSIs and their preparation for teaching? What procedures are in place for oversight of GSIs?
- f) How do the faculty provide role models, mentoring, and research opportunities that encourage underrepresented students to become more fully represented in their field? Do the faculty from groups that are underrepresented in the field (e.g., women and ethnic minorities) provide such mentoring disproportionately? If so, how is the rest of their service load adjusted appropriately?
- g) How are faculty actively encouraged and valued for their contributions to mentoring and advising students from groups that are underrepresented in higher education or in the field?

4. Search processes.

- a) What steps has the department taken to increase the diversity of its search pools?
- b) What evidence do you have that these steps have been effective?

5. Career development

- a) Please address your development strategy for Assistant Professors. How are they mentored? How are they included in the intellectual life of the department? Are the expectations for tenure regularly discussed with them?
- b) Please address your support strategies for Associate Professors. How are they mentored? How are they included in the intellectual life of the department? Are the expectations for promotion to Professor regularly discussed with them?
- c) Please address your expectations for full Professors. Do they participate fully in the mentoring strategies of the department? Are they expected to take on increasing leadership within and beyond the department?
- d) Does the department have a written faculty mentoring plan?

6. Scholarly Activity and Interaction:

- a) Highlight achievements by the faculty, successes in external funding, citations, external or internal awards, etc.
- b) Provide information on collaborative efforts within and across department and school (if applicable) lines. Discuss the benefits and drawbacks of any collaborative efforts across department and school lines and analyze any overlap in resources and programmatic goals.

- c) Provide information on the speakers, both internal and external, invited to give talks, lectures, or colloquia in the department. Describe the process of choosing and inviting speakers. What efforts were made to include speakers from underrepresented groups?

7. Departmental Climate

- a) Do the faculty find that the work-life and family-friendly policies of the department and the campus adequately support their professional advancement?
- b) Discuss the academic culture of the department or school and the intellectual interactions that occur. Are there any substantive disciplinary, methodological, or research priority differences that may affect the smooth functioning of the department's programs? If so, please describe them, along with steps that are being or could be taken to mitigate them.
- c) Do all faculty members find the department a supportive and welcoming environment in which to pursue their careers as scholars and teachers? Are faculty from groups that are underrepresented in the field fully included in the intellectual life of the department?
- d) How does the department assess its climate for undergraduates, graduate students, staff, and faculty?

C. RESEARCH PROGRAMS

1. What are the research strengths of the unit?
2. What new areas should the unit develop?
3. What are the sources of research funding and are they increasing or decreasing?
4. How do the research strengths of the faculty support the curriculum?
5. Are there research areas that contribute to our understanding of equity and inclusion or that address the needs of our increasingly diverse state, national and global context? Are there additional such areas that could be explored?

D. UNDERGRADUATE PROGRAM

1. What constitutes "quality" in undergraduate education in your field? What are the unit's undergraduate student learning goals for the major and how do specific courses and program requirements help students to achieve these goals (e.g., a capstone project, portfolio, senior thesis or performance, etc.)? How have the goals of the program changed? How is information about the learning goals communicated to majors and potential majors? How does the unit know how well students in the major are achieving the learning goals? How does the unit use the feedback from assessment efforts to create a more coherent undergraduate program?
2. Within your disciplinary context, how does the major address the following skills that are commonly expected to be mastered as part of an undergraduate education and how does the program examine students' mastery of these skills (or competencies)?
 - Written and oral communication
 - Quantitative reasoning skills
 - Critical thinking
 - Information literacy
3. How is undergraduate research supported in the unit? Are there opportunities for underrepresented students to participate in research and scholarly activities in their field? How are faculty recognized for directing undergraduate research projects? How is the quality of Independent Studies courses and other types of capstone experiences monitored?
4. Explain how the unit's training and assignment of GSIs favorably impacts the undergraduate curriculum?

5. How is the major situated in the context of liberal education? To what extent does the unit contribute to the common-good curriculum, by preparing students for other majors or by providing opportunities for non-majors to explore the field? Does the unit contribute courses specifically designed as breadth courses? What, if any, trade-offs must the unit make in balancing the provision of general education courses and the provision of a sufficient variety of rigorous courses especially designed for majors?
6. What courses does the program offer to fulfill the American Cultures requirement or that include topics related to equity, inclusion and diversity such as race, gender, ethnicity, LGBT, cultural diversity or disability access? Does the program offer opportunities for community-engaged scholarship?
7. To what degree is there an appropriate match between ladder faculty expertise and the undergraduate curriculum for the major, as well as common-good courses for non-majors? If there is a gap, how does the unit address the gap?
8. If the major is impacted (i.e., qualified students wishing to major in the unit are not able to be admitted), what are the admissions criteria? How do you equitably manage course demand if it exceeds available seating?
9. In what departmental committees or activities are your undergraduate majors involved? How are student committee members chosen? To what extent does faculty participate in student-sponsored activities?
10. How are faculty, staff, and (if appropriate) peers involved in academic advising and advising about career and graduate training opportunities after graduation? Are there opportunities for undergraduates to be involved in special advising and mentoring programs? If time to graduation is longer than desired, what actions are being taken to ensure that students graduate in a timely manner?
11. How does the program deal with the special needs of community college and other transfer students? Does the unit have special programs to attract and retain students from groups that are underrepresented in higher education or in your field? What efforts are made to ensure that underrepresented and international students are fully served by advising resources?

E. GRADUATE PROGRAM

1. What constitutes “quality” in graduate education in your field? Has this changed since the unit’s previous review? How does your unit measure and meet this standard? Are your Graduate Program Outcomes (GPOs) up-to-date? Do you have a student handbook that is posted on your website that clearly articulates the program’s requirements and time frame for achieving them? Is it current?
2. Describe the planning process employed by the unit for revising the curriculum in response to changes in the discipline or changes in student preparation for graduate education.
3. What are the admissions procedures for the graduate program(s), and what is the yield rate (both with and without financial aid)?
4. What types of financial support packages are available to entering students and what are the procedures for allocating them?
5. What institutions do you compete with for graduate students? What constitutes “success” for you in this competition? What limits your ability to “succeed” further?
6. Provide the unit’s outreach plan to promote diversity in the graduate program. How is the role of the equity advisor defined in your program?
7. How does the program promote an inclusive climate that supports student diversity? What specific steps does the program take to increase retention and success of underrepresented students who increase diversity in your field? How does the unit provide role models and encourage these students to fully engage in research, extra-curricular activities, and professional development?
8. If your program offers a terminal Master’s degree, what is the capstone requirement and how are students prepared for it? How is it evaluated? For programs that have a Plan II Master’s Project, provide an example or two of what is required of students.

9. If your program offers a doctoral degree, describe any preliminary examinations or reviews the student undertakes before the Qualifying Examination? How are students advised to prepare for the Qualifying Examination? How much of the examination is devoted to the dissertation topic versus questions related to breadth and depth in the field?
10. How are GSI teaching opportunities distributed and evaluated? What are the opportunities for graduate students to obtain training in instruction? What are your requirements for oversight, division of work activities, and mentoring of GSIs by the professor of record?
11. Describe how graduate students are mentored from entry into the program through dissertation filing. Describe the program's procedure for the annual review of doctoral students.
12. What percentage of your current students has not met normative time benchmarks? To what do you attribute this?
13. Explain what professional development activities are designed for the program's students. How is preparation for careers outside of academic addressed?
14. In what departmental committees or activities are your graduate students involved? How are student committee members chosen? To what extent does faculty participate in departmental graduate student sponsored activities?
15. Show the job placement of your graduate students during the last five years.
16. What major challenges to the program do you foresee in the next seven years and how do you plan to meet them? What new graduate degrees or curricular initiatives are you considering or currently developing?

F. STAFFING, PHYSICAL FACILITIES AND OTHER RESOURCES

1. How well does the unit's current space meet its research and teaching needs? What are the unit's long-term space needs? Does the unit have sufficient funding to maintain the space it controls?
2. How has technology been integrated into the teaching, research, and administrative activities of the unit? Does the unit have sufficient funding to supply and maintain equipment for faculty, students, and staff?
3. How reliant is the unit on temporary academic staff (e.g., lecturers, GSIs)? How do they complement the ladder faculty? Would the unit deploy these resources differently if their TAS budget were larger?
4. In what ways does staff contribute to and support departmental excellence?
5. What are current faculty to staff, and staff to student ratios? How is the level of support measured? Are these adequate?
6. How do staff and faculty interact, collaborate and share responsibility for the unit's administrative functions?
7. Comment on the morale of staff, as indicated by turnover rates, absenteeism, number of grievance procedures, disciplinary proceedings or mediation, medical or "stress" leave?
8. How are staff hired and trained? Are there formal efforts to mentor staff? What efforts are made to ensure equal opportunity in hiring, evaluating and promoting staff?
9. What mechanism does the unit use to establish and nurture outreach and alumni relations?
10. Describe the unit's fund raising and development activities.
11. Do you track alumni as a potential donor base? If not, are there resources you need to enable you to do so? If so, what are they?

G. UNIT GOVERNANCE AND ADMINISTRATION

1. Does the unit have a board of external or internal advisors? How is this group selected? How active is this group in providing strategic guidance and, where appropriate, oversight? How can the board be used to best effect?
2. Describe how faculty members engage in informed collective discussion on all-important unit issues.

3. Describe the role of the chair, vice-chair, and executive committee (if applicable). Provide names of other unit committees.
4. Do non-tenured faculty participate in the unit's governance and, where eligible, academic personnel decisions and in the unit's administration? Is there a junior faculty mentoring program?
5. Are junior faculty mentored, encouraged, and advised on how best to advance at all levels? Is there a written faculty mentoring plan?
6. List all student participation on committees and in other roles in unit's governance.

SUMMARY OF CENTRAL DATA

The Office of Planning and Analysis (OPA) will provide data from central sources with a narrative summary in report form. This analysis will include, where possible, ten years of trend data and comparable information on selected departments and peer institutions (identified by the unit) in addition to college and campus comparisons. OPA will also address specific issues and areas identified by the unit, PROC, cognizant dean, and/or the Vice Provost for Strategic Academic and Facilities Planning. All information provided by OPA for the program reviews will be reviewed by the chair of the PROC before being forwarded to unit chairs. Bound copies of the OPA summary and all data tables and the self-study will be provided to all internal and external reviewers by the Vice Provost's office.

**A. Standard Information to be Provided by the Office of Planning and Analysis in Statistical Summary
(data from Cal Answers unless otherwise noted)**

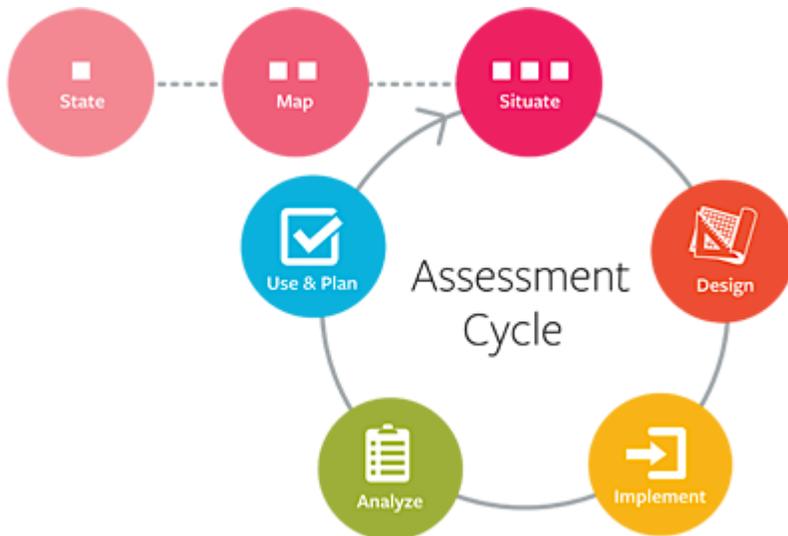
1. Summary of Prior Program Reviews
2. Rankings of the Program (various sources)
3. Faculty
 - a. Faculty FTE Target [Budget Office]
 - b. Actual Faculty FTE [HR]
 - c. Demographic Profile--Gender, Ethnicity, and Age of Faculty [Office of Equity and Inclusion]
 - d. Hire and Separation Data [Budget Office]
4. Departmental Resources
 - a. Expenditures by type and source
 - b. Academic Staff FTE (Actual)
5. Research and External Funding Sources
 - a. Total prorated sponsored project awards and awards per permanent faculty FTE (if relevant).
6. Undergraduate Education
 - a. Headcount of majors by gender and ethnicity b. Single and multiple majors
 - b. Ratio of majors/faculty FTE
 - c. Survey results from the UC Undergraduate Experience Survey (UCUES)
 - d. Placement data if available [Career Center/Career Destinations Survey]
7. Graduate Education
 - a. Number of graduate applications, admissions, and enrollments
 - b. Headcount of majors by gender and ethnicity
 - c. Ratio of graduate majors to permanently budgeted faculty FTE
 - d. Graduate degrees granted
 - e. Normative time-to-degree [Graduate Division]
 - f. Completion rates
 - g. Placement data for graduates [Graduate Division]
 - h. Program Review and/or Doctoral Exit Survey (from GLOW reports)
 - i. Mean Net Stipend
8. Curriculum
 - a. Course enrollment activity:
 - (1) Counts of enrollments arrayed by level (Lower Division, Upper Division, Graduate) and type (e.g., American Cultures, UG research, freshman and sophomore seminars, etc.) for all unit-bearing courses (i.e., regularly scheduled classes and independent studies).
 - (2) Average enrollment for unit-bearing classes.
 - (3) Percent of students enrolled that are majors within the home unit (e.g., Art History majors taking Art History courses), outside the unit (e.g., all other majors taking Art History courses), and undeclared (all undeclared students taking Art History courses).
 - b. Course offerings (history, cross-listed, and team-taught)

9. Faculty Workload Measures
 - a. Student FTE/Faculty FTE ratios
 - b. Number of classes per Faculty FTE

10. Executive Summary

APPENDIX V. EVALUATING AND IMPROVING UNDERGRADUATE CURRICULUM EFFECTIVENESS

Through the Undergraduate Student Learning Initiative (2009-2011), all undergraduate programs at UC Berkeley established learning goals for their undergraduate major (one set of goals for all tracks) and aligned the curriculum to program-level goals (i.e., the two steps that lead to the assessment cycle in the diagram). The goal of the initiative was for faculty and students (a) to have a shared understanding of the meaning of degrees and of what graduating seniors are expected to gain and perform at the end of their course of study, and (b) to clarify vertical and horizontal linkages among courses to create learning continuity throughout the program.



Building on programs' earlier efforts, the Academic Program Review (APR) asks programs to evaluate and continuously improve the effectiveness of the undergraduate curriculum in promoting student learning and achievement (i.e., program-level assessment). Program-level assessment is about improving curricular design and delivery, course organization, student learning and support to provide the best possible education for our students.

At the University of California, Berkeley, we believe that assessment should be a locally-defined, discipline-specific, and faculty-driven process that is embedded in the curriculum. Therefore, it is important that the entire process of assessment be a collaborative effort owned by the faculty, and that the assessment design is guided by meaningful curricular questions faculty want to address. To minimize the workload burden, departments are encouraged to focus on the most meaningful questions and gather evidence of student learning to improve the program. Various evidence, including capstone projects, assignments, and papers that students are already expected to perform or produce in signature courses, can provide insights into what is working and what is not working in the program.

1. Determine the current level of your program's engagement with assessment:

First, determine the level of current engagement with assessment...	Then, take the appropriate next steps to move the department to the next level of engagement...
Initial: The unit has determined its learning goals and mapped them to the curriculum, but has not yet begun to develop an assessment plan.	⑦ Use the APR self-study process to engage faculty in developing an assessment plan for one or more learning goals. Review the next section, <i>a quick reference guide on assessment</i> , to develop your plan.

Emerging: The unit has an assessment plan for some or all of its learning goals/outcomes, but has not yet implemented it.	⑦ Use the APR self-study process to implement the assessment plan for one or more learning goals/outcomes. Review the next section, a <i>quick reference guide on assessment</i> , to implement your plan.
Developed: The unit has implemented an assessment plan for one or more of its learning goals/outcomes and has engaged in at least one assessment cycle.	⑦ Use the APR self-study process to report on findings and how the findings have been or will be used.
Highly Developed: The unit is routinely evaluating its program in an iterative cycle and using the assessment results to modify the curriculum to improve student learning.	⑦ Use the APR self-study process to report on findings and how they have been used to improve student learning, as well as to reflect on any planned modifications to the assessment process.

2. Assessment of curricular-/program-level learning goals: A quick reference guide for departments

	Guiding questions <i>Collectively answer the following.</i>	Keeping in mind...
1. Why ?	<p>What do you want to achieve through assessment?</p> <p>⑦ <i>e.g., By gathering evidence on student learning, we intend to...</i></p> <ul style="list-style-type: none"> • <u>understand</u> whether our students are learning what we want them to learn; • <u>inform</u> what the program can improve; • <u>demonstrate</u> the value added by the program. 	<ul style="list-style-type: none"> • Clearly articulate the purpose of assessment from the get-go, so that what is learned from assessment data directly responds to the agreed-upon intended use.
2. What ?	<p>To inform what you specified in #1, what would you like to know about student learning and experience in the program?</p> <p>→ <i>e.g., We are interested in learning...</i></p> <ul style="list-style-type: none"> • <u>why</u> certain student population is resulting in longer time to graduation. • <u>how</u> we can better foster students with strong communication skills • <u>what</u> students expect when entering the program and whether the program fulfilled their needs; • <u>whether</u> increase in student enrollment is affecting students' sense of belonging. <p>These questions are your assessment questions that will guide the design.</p>	<ul style="list-style-type: none"> • Focus on one or two learning goals/outcomes at a time. Don't assess everything. • Set guiding questions for assessment, so the evidence you gather will directly respond to your questions. • Examine program/curricular-level goals and learning, not individual courses or individual students.

<p>3. How?</p>	<p>What evidence will best answer the assessment questions formed in #2?</p> <ul style="list-style-type: none"> • If you are interested in <u>student performance and achievement</u>... <ul style="list-style-type: none"> → <i>How do you know students achieved the learning goals/outcomes under focus? (e.g., curriculum committee evaluation of sampled thesis against a performance criteria determined by the department)</i> → <i>Do you have any specific assignments or exams that are readily in place that will indicate student achievement of the target goals? (e.g., lab reports, comprehensive exam, thesis, capstone performance/project)</i> → <i>How can the evidence be gathered in the most efficient and reliable way? (e.g., archiving student performance in bCourses from key signature courses)</i> • If you are interested in <u>students' program experience and needs</u>... <ul style="list-style-type: none"> → <i>Any existing data you can utilize? (e.g., UCUES, SONS, Career Destination survey)</i> → <i>Who will be the best informant? (e.g., alumni, current students, graduating students, student reps, etc.)</i> → <i>How can the evidence be gathered in the most efficient and reliable way? (e.g., tie student exit survey to commencement ceremony to yield high response rate, etc.)</i> 	<ul style="list-style-type: none"> • Consider embedding assessment tools into the curriculum to efficiently gather evidence. Examples of common course-embedded assessment tools include term papers, case studies, presentations, performances, capstone experiences, lab reports, theses, community projects, portfolios, research reports, exams, problem sets, and essays. • Select specific assignments or aspects of assignments from multiple courses, or consider looking at a single culminating assignment that captures learning for multiple goals. • Evaluate a representative sample of students, not every single student completing the assignment. Establish simple guidelines for determining sample size and for the collection and archiving of samples. Keep in mind that the sampling and assessment of program-level goals is intended to give you a broad view of how your program is doing. • Remember that grades are used to evaluate student performance in a course, while program-level assessment looks at broad samples of student work across your curriculum to determine overall student mastery of learning goals.
<p>4. What now?</p>	<p>What did you learn from the evidence you gathered? What recommendations do you have and what actions can be taken first? What are the resource requirements to take actions?</p> <p>→ <i>e.g., One program conducted a student focus group and learned that half of the students wanted an area specialization. Due to limited resources to create specializations and for philosophical reasons, the program worked with a marketing group to better communicate to future applicants that the program is a generalist degree.</i></p>	<ul style="list-style-type: none"> • Use the assessment findings to refine learning goals, to tweak the linkages between your goals and core curriculum, and to determine if you need to make adjustments in your curriculum or pedagogy. • You can use the assessment results for marketing and fundraising efforts, and for professional accreditation. • Pilot the assessment process and make changes to find a simple, straightforward procedure that works for your program.
<p>5. How often?</p>	<p>What will be the best timing and time span to implement cyclical assessment process?</p> <p>→ <i>e.g., A faculty committee hold an annual half-day assessment meeting to double-rate sampled student portfolios to examine student achievement of program-level goals/outcomes.</i></p> <p>→ <i>e.g., Every three years, a faculty committee reviews input from alumni and current students on the program-level outcomes to update the curriculum.</i></p>	<ul style="list-style-type: none"> • Implement your assessment procedure at a cycle that syncs with either your curriculum development/renewal work or the budget cycle. • At the end of the assessment cycle, discuss what the next assessment cycle should focus on and when will be the best time to implement the plan.

5. With whom?	Who should be engaged in the process? → e.g., a curriculum committee, student representative, alumni, industry partners, etc.	<ul style="list-style-type: none"> • Use your existing curriculum committee, create an assessment subcommittee of your curriculum committee, or establish an assessment group to collaboratively design the assessment process and review samples of student work. • Consider involving undergraduate/graduate student representatives and GSIs.
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How will evidence of student learning be incorporated into the Academic Program Review Process?

- The unit's self-study should reference the following:
 - the unit's program-level learning goals/outcomes;
 - how those goals/outcomes map to the curriculum;

*If you have **developed an assessment plan, then...***

- the unit's assessment design (purpose, questions, and evidence-gathering methods);

*If you have **implemented an assessment plan, then...***

- the results of any assessment efforts already undertaken;
- any steps the unit has taken to use findings to improve student learning in the major;
- and how the unit expects to refine its assessment plan in the future.

Note: If the unit does not yet have an assessment plan in place, it should address how it will proceed to establish one.

- Units will be encouraged to give external review committees the opportunity to review samples of undergraduate/graduate student work during the site visit to showcase evidence of student learning and faculty teaching. This type of direct evidence of student learning will complement UCUES student survey data and face-to-face meetings with undergraduates/graduate students that are already part of the APR process.

Additional Resources:

- For additional information and tools about how to incorporate assessment into your program, please visit <http://teaching.berkeley.edu/academic-programs>

- If you need to consult on your assessment plan, contact Yukiko Watanabe (yukikow@berkeley.edu, 510-666-3724), a senior consultant at the [Center for Teaching and Learning](#).

- If you need graduate student assessment support, consider submitting a request to the Graduate Student Assessment Fellows Program. Once a year in spring, the Center for Teaching and Learning will solicit assessment proposals for in-training graduate students to assist with your project 3hrs/week for two semesters. See details here: <http://teaching.berkeley.edu/assessment-support-request-proposal>

APPENDIX VI: SAMPLE TEMPLATE FOR EXTERNAL REVIEW COMMITTEE VISIT

Department of Scandinavian, University of California, Berkeley External Review Committee Schedule for one-day dept. visit March 5 - 7, 2008

Wednesday, March 5, 2008.....

- Up to 4pm **External Review Committee (ERC) Arrival & Check-in at the Bancroft Hotel, 2680 Bancroft Way, Berkeley 94704**
Phone: 510-549-1000
- 4:15pm **Anya Grant meets ERC in hotel lobby to escort to California Hall**
- 4:30pm **Welcome by Cathy Koshland, Vice Provost for Academic Planning & Facilities: 223 California Hall**
Dean Janet Broughton, College of Letters & Science Associate Dean Susan Schweik, Arts & Humanities Barbara Spackman, Academic Senate Liaison
External Review Committee Members:
Thomas Dubois, University of Wisconsin
Roberta Frank, Yale University
Mary Kay Norseng, University of California Los Angeles
- 5:45pm **Dean Broughton escorts the ERC to Adagia Restaurant**
- 6 pm **Dinner Meeting: Adagia, 2700 Bancroft Avenue, 647-2300**
Reservations are under: Chair Karin Sanders
Thomas Dubois, Roberta Frank, Mary Kay Norseng,
External Review Committee
Janet Broughton, Dean, College of Letters & Science
Karin Sanders, Chair, Department of Scandinavian
Associate Dean Susan Schweik, Arts & Humanities
Barbara Spackman, Professor and Senate Liaison

Thursday, March 6, 2008.....

- 7:30am Meet Anya Grant in the hotel lobby, Walk to Faculty Club
- 7:45-8:45am Breakfast at The Faculty Club, O'Neill DR
Cathy Koshland, Vice Provost, Academic Planning & Facilities; **Susan Muller**, Assoc. Dean, Graduate Division; **Dennis Hengstler**, Assistant Vice Chancellor, Office of Planning & Analysis; **Barbara Spackman**, Professor and Senate Liaison; **Susan Rasky**, Representative, Graduate Council; **Catherine Gallagher**, Representative, Budget Committee; **Niklaus Largier**, Representative, Committee for Educational Policy; **Meg Conkey**, Representative, Committee on the Status of Women & Ethnic Minorities; **Celeste Langan**, Representative, Committee on Academic Planning & Resource Allocation; and the **External Review Committee**
- 8:45am Meet Chair Sanders at the Faculty Club
- 9- 9:15am Department and Department Library Tour
- 9:15-10am Meeting with Chair Sanders, 6407 Dwinelle
- 10-11am Meeting with Graduate Students, 6415 Dwinelle: Benjamin Mier Cruz, Monica Hidalgo, Dean Krouk, Carl Olson, Simon Helton
- 11-11:45am Meeting with Undergraduate Students, 6415 Dwinelle: Jessica McMahan, Erin McWilliams, Briana VanEpps, Sarah Eriksen, Jeanette Kalchik, Justin Farwell
- 11:45-12:15pm Meeting with Department Staff, 6415 Dwinelle: Laurie Holland, Kathi Brosnan, Sandy Jones, Debra Downey, Elizabeth La Vargas-Baptista, Moriah Van Vleet
- 12:15-2pm Lunch Break
- Meetings with Scandinavian Department Faculty
- 2:10-2:30 Visit to Distance Learning Language Class with Karen Moller. 33 Dwinelle
- 2:30-2:50 Carol Clover (Old Norse; Film) 6415 Dwinelle
- 2:50-3:10 John Lindow (Old Norse, Folklore, Finnish) 6415 Dwinelle
- 3:10-3:30 Mark Sandberg (Film and Norwegian) 6415 Dwinelle
- 3:30-3:50 Linda Rugg (Graduate & Undergraduate Adviser. Swedish) 6415 Dwinelle
- 3:50-4:10 Karen Moller (Language Coordination) 6415 Dwinelle
- 4:10-4:45 Entire Faculty, followed by refreshments
- 6:30 Dinner with Department Faculty at "Downtown" restaurant

Friday, March 7, 2008.....

- 7:30-8:40am Breakfast at your discretion, **The Hotel Durant**
- 8:40am Anya Grant will meet ERC at the hotel and escort them to California Hall
- 9:10-10:45am Begin Writing ERC Report, 108 California Hall
- Noon-1 pm Lunch, 108 California Hall
- 1:45pm Anya Grant escorts ERC to Exit Interview
- 2-3:00 Exit Interview, 200 California Hall, Chancellor's Conference Room

Attendees:

Catherine Koshland, Vice Provost, Academic Planning & Facilities;
Christina Maslach, Vice Provost, Undergraduate Education; **Susan Muller**,
Assoc. Dean, Graduate Division; **Dennis Hengstler**, Assistant Vice
Chancellor, Office of Planning & Analysis; **Janet Broughton**, Dean, College
of Letters & Science; **Barbara Spackman**, Liaison, Academic Senate;
Susan Rasky, Representative, Graduate Council; **Catherine Gallagher**,
Representative, Budget Committee; **Niklaus Largier**, Representative,
Committee for Educational Policy; **Meg Conkey**, Representative, Committee
on the Status of Women & Ethnic Minorities; **Celeste Langan**,
Representative, Committee on Academic Planning & Resource Allocation;
Anya Grant, Coordinator, Academic Program Reviews

External Review Committee Members

Thomas Dubois, University of Wisconsin; **Roberta Frank**, Yale University;
Mary Kay Norseng, UCLA

- 3-4pm Finish Writing ERC Report, 108 California Hall

Conclusion of External Review Committee Site Visit

APPENDIX VII: STRATEGIC PLAN FOR EQUITY, INCLUSION AND DIVERSITY – SUGGESTED OUTLINE

I. Introduction

Provide a brief overview of the plan, framing the importance of diversity, equity and inclusion to the department, and describing the process for developing the strategic plan.

II. Assessment of Current Strengths, Gaps and Needs

This section includes a set of reflections on the department's current strengths, gaps, and needs in relation to equity, inclusion and diversity issues. For each of the issues below, review relevant demographic data and/or departmental materials. Analyze areas of strength and weakness, and identify priority concerns and needs. NOTE: If this analysis was already done for other parts of the current self-study, please provide a brief summary here.

- a. Leadership and Vision on Equity and Inclusion
- b. Departmental Diversity
 - Faculty
 - Graduate Students
 - Undergraduate Students
 - Staff
- c. Curriculum, Teaching and Research in Relation to Diversity and Equity Issues
- d. Departmental Climate
- e. Mentoring and Support for Underrepresented Groups

III. Goals, Strategies and Metrics

This section should summarize and list the department's strategic goals and strategies related to equity, inclusion and diversity for the next 3-5 years. These should reflect what was learned in the self-assessment process, and should be accompanied by concrete metrics or indicators for measuring progress. Departments should expect to review progress toward their equity, inclusion and diversity goals at the midpoint of the APR cycle.

IV. Implementation Plan

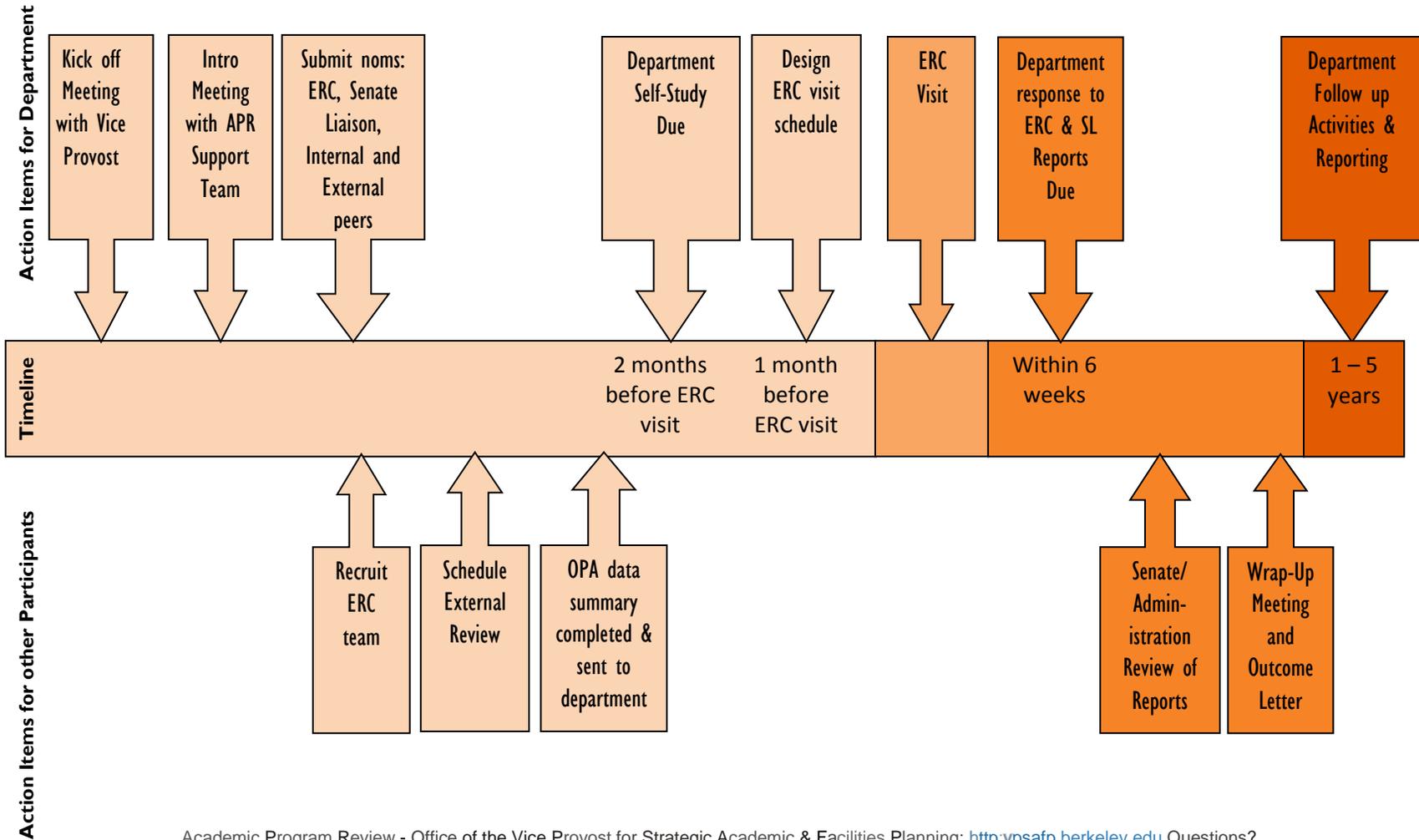
Along with departmental goals, please include a brief workplan describing concrete steps, responsibilities, and timelines for putting the department's goals and strategies into practice. The implementation plan may be developed after the program review has been completed, if desired.

For additional information about strategic planning for equity, inclusion and diversity, please contact the Office of Equity & Inclusion at 510.642.8844 or equity_diversity@berkeley.edu.

Figure 1

Academic Program Review Timeline

Acronym Key: ERC = External Review Committee; SL= Senate Liaison; OPA = Office of Planning & Analysis



Academic Program Review - Office of the Vice Provost for Strategic Academic & Facilities Planning; <http://vpsafp.berkeley.edu> Questions?
Email: anyag@berkeley.edu

Figure 2

Department Checklist for Academic Program Review

- Coordinate with Rebecca Ulrich (vpsafp@berkeley.edu) to schedule kick-off meeting with VP Szeri and for introductory meeting with APR support team, and provide meeting location.
- Provide Anya Grant (anyag@berkeley.edu) with annotated list of nominees for external review committee (ERC) and for Senate Liaison.
- Provide Noam Manor (nmanor@berkeley.edu) with 3 - 4 internal peer programs and 3 - 4 external peer programs.
- Provide feedback to Noam Manor on OPA Data Summary draft.
- Deliver self-study to Anya Grant's office (229 California Hall), 2 months prior to ERC visit (31 - 35 two-sided, bound copies with colored, 65-lb stock cover page; one unbound hard copy; one electronic copy).
- Prepare schedule for ERC visit and send to Anya three weeks prior to visit.
- Ensure that a departmental representative meets ERC members and walks them to department on first or second day of visit, depending on ERC schedule.
- Return signed and completed host forms for first and second nights of visit to Anya Grant (VP-SAFP, 200 California Hall, MC 1500). Itemized receipts for dinners must include proof of payment (last 4 digits of credit card). If cost is over amount allowed by VP-SAFP's office, include departmental chartstring.
- Check ERC report for factual errors and return error addendum to Anya within two weeks of receipt of report.
- Prepare response to ERC and Senate Liaison reports (due 6 weeks following Anya's request).
- Comply with follow-up activities recommended by PROC in outcome letter.

Figure 3

Academic Program Review Support Team			
Name	Title	Contact Info	Area of Support
Anya Grant	Academic Program Review Policy Analyst and Manager, Strategic Academic & Facilities Planning (SAFP)	anyag@berkeley.edu 642-9018	<ul style="list-style-type: none"> • Manages academic program review process • Answers or routes questions regarding procedures and policies • Drafts ERC charge and outcome letters • Monitors follow-up activities
Katherine Mitchell	UC Organization Development Consultant, Learning and Organizational Development (L+OD)	kam@berkeley.edu 643-8406	<ul style="list-style-type: none"> • Provides strategic and action planning support, including design and facilitation • Strategizes about options for faculty/student/staff engagement
Amy Scharf	Planning and Policy Analyst, Equity & Inclusion	ascharf@berkeley.edu 642-8844	<ul style="list-style-type: none"> • Supports self-assessment and strategic planning for diversity
Yukiko Watanabe	Senior Consultant, Education al Development	yukikow@berkeley.edu 666-3724	<ul style="list-style-type: none"> • Setting and mapping student learning outcomes • Selecting instruments best suited to evaluating student achievement of program-level learning outcomes • Planning for data analysis and data use
Noam Manor	Institutional Research Analyst, Office of Planning and Analysis	noam@berkeley.edu 643-8578	<ul style="list-style-type: none"> • Prepares OPA summary of central data, including comparative analysis of peer institutions
John Scroggs	Chief of Staff, VPSAFP	scroggs@berkeley.edu 664-7211	<ul style="list-style-type: none"> • Recruits External Review Committee members
Rebecca Ulrich	Executive Assistant, VPSAFP	vpsafp@berkeley.edu 664-7213	<ul style="list-style-type: none"> • Schedules APR meetings

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Questions? Email: anyag@berkeley.edu