

Describing and Reporting Faculty Instructional Activities

**Report of the Task Force on Faculty Instructional Activities
University of California**

July 2003

I. Genesis and Purpose of the Task Force's Work

In Fall 2002, President Richard Atkinson asked the faculty and administration of the University of California to examine the adequacy and equity of instructional responsibilities in the University and to reconsider thoughtfully the way we define faculty instructional activities and describe them both publicly and to our faculty. While this review was immediately occasioned by the findings of an audit conducted by the Bureau of State Audit (BSA), interest in and concern about faculty instructional activity is not new. For many years legislators in Sacramento have been asking whether the University's faculty are giving adequate attention to the teaching mission, particularly with regard to undergraduates, and our faculty themselves have asked how completely their activities are reported and if their responsibilities compare equitably across our campuses and with the practices of other comparable research universities.

This report provides background about the issue and its history, and proposes a comprehensive way to describe and report faculty instructional activities. We believe this approach will more accurately reflect the variety of settings in which teaching occurs, will match the way in which departments and their faculty discuss instructional responsibilities, and will give new emphasis to the instructional experiences that enrich instruction in a research university. We also hope it will communicate clearly to State officials the special benefits to California's students and their employers of instruction in a university that has a joint mission in teaching and research.

The History of Reporting about Faculty Instructional Activities

For at least three decades, State officials have expressed interest in and concern about UC faculty teaching activities. Several different reporting approaches, ranging from extensive data systems, to annual faculty surveys, to descriptions of comparable universities' policies, have been employed over the years with mixed results. The questions from Sacramento have ebbed and flowed but never abated, and concerns expressed by our faculty about the inability of any of these approaches to describe fully what they do have also persisted.

The current approach to public reporting of faculty instructional activities was put in place in the early 1990's when the state experienced serious budget difficulties, resulting in budget cuts to many state-supported institutions and agencies, including UC. The University's annual report to the Legislature, *Undergraduate Instruction and Faculty Teaching Activities*¹, was designed to inform legislators about University activities to improve the undergraduate academic experience and to address concerns about teaching. Part I of that report describes ways the campuses sustain excellence in undergraduate education and presents examples of innovative programs. Part II responds to the 1992 Supplemental Language expressing the Legislature's intent that UC faculty members increase their average instructional responsibilities by one additional class over a three-year period, and asking the University to report annually on the average teaching activity of regular-rank faculty. That section of the report indicates that over time the ratio of primary classes taught per regular-rank faculty member ranged from 4.5 in 1990-91 to a high of 5.0 in 1996-97 through 1998-99. The ratio in 1999-00 was 4.9. Part III of the University's current annual report to the Legislature on *Undergraduate Instruction and Faculty Teaching Activities*

¹ The most recent report submitted to the Legislature can be found at www.ucop.edu/planning/uginstruction01.pdf

responds to the 1985 Supplemental Language asking the University to report annually on its instructional activities policies for full-time tenure track faculty and on the policies at its salary comparison institutions.²

The annual report also responds to the University's commitment in its four-year Partnership Agreement³ with the Governor to continue to maintain the increase in faculty teaching that resulted from the efforts of the early 1990's, that is, maintaining a ratio of at least 4.8 primary classes per regular-rank faculty member.⁴

The 2001-02 BSA Audit and the University's Response

On September 12, 2001 the Joint Legislative Audit Committee authorized the Bureau of State Audits (BSA) to conduct a comprehensive audit of the University's performance under the Partnership Agreement with the Governor. As part of that audit, the BSA was instructed to analyze the University's annual *Undergraduate Instruction and Faculty Teaching Activities* report and present conclusions on any trends that the BSA identified.

The BSA examined data from the academic years 1997-98, 1998-99 and 1999-2000, but focused their detailed analyses on the most recent year: 1999-2000. Because their focus was an audit of the Partnership Agreement, and since the Partnership language focused on an increase in *classes*, the BSA, too, focused on *classes*, not student credit hours or independent study enrollments, which are also included in the University's report.

The BSA concluded that, while the University's classes-to-faculty FTE ratio for the academic year was 4.9, that ratio was affected by the inclusion of classes with very small enrollments. The BSA found that 13 percent of the primary classes taught by regular-rank faculty in 1999-2000 had enrollments of two students or fewer, and an additional 15 percent had enrollments of only three to five students. When they excluded the one-to-two-person classes from the calculation of the primary class-to-faculty ratio, it reduced the ratio from 4.9 to 4.2. The BSA stated that nothing precludes the University from offering very small classes. But they also noted that having a significant number of small-enrollment classes could affect students' abilities to graduate within four years.⁵ In addition, the BSA noted that campuses could not demonstrate that 33 percent of a sample of the one-to-two-student classes had been correctly classified as primary classes. The BSA concluded those 33 percent might more appropriately have been classified as independent studies.

² Note: By agreement with the California Postsecondary Education Commission, the University of California uses 4 private and 4 public research universities as its official comparisons for faculty salaries. These same universities are often used in other comparisons. They are Harvard, MIT, Stanford, Yale, Illinois, Michigan, SUNY-Buffalo, and Virginia

³ The Partnership Agreement with Governor Davis is a budgetary framework for planning the University's future. It contains funding principles intended to provide the University with a foundation on which to plan the future as well as accountability principles used to gauge the University's performance on a number of priorities important to the State. One of the accountability principles is the maintenance of an expected level of faculty teaching.

⁴ A primary class is defined as a regularly scheduled, unit-bearing offering of a course, usually known as a lecture or seminar. Secondary or discussion sections of large lecture classes are excluded from this count. Regular-rank faculty FTE includes only those available to teach, that is, not on sabbatical or other leave.

⁵ The University's record in this regard is quite strong. Overall 74% of all students who enter UC graduate, and the average time to degree is 4.2 years for entering freshmen and 2.4 for transfer students.

As a consequence of this analysis, the BSA included the following among its recommendations:⁶

1. Clarify the definitions of *primary classes* and *independent study* in the instructions that UCOP sends to the campuses.
2. Ensure that the campuses consistently interpret the definitions of *primary class* and *independent study* by periodically reviewing the campuses' data for accuracy and consistency.
3. Review more closely the existing classifications of classes and make corrections where appropriate. This review should include, but not be limited to, primary classes with low enrollments.

As part of the audit process, the University had the opportunity to comment on the findings, prior to the public release of the audit report. President Atkinson's response, dated July 15, 2002, is included at the end of the official audit report. In his letter, the President reaffirmed the University's commitment to achieving the goals for instructional activities stated by the Legislature in Supplemental Language and by the Governor in the Partnership Agreement and expressed the importance of doing so in valid ways. He indicated that the University would examine the classes identified as having one to two students, and would remove from the reported count any that should not be defined as classes, categorizing them properly as independent study, if that is what they are. Moreover, he made a commitment that the campuses would add at least 1,000 undergraduate classes taught by regular-rank faculty over the two-year period 2002-03 through 2003-04. In addition, he indicated that the University would include information about the teaching activities of non-ladder-rank faculty in future instructional activities reports.

On September 9, 2002 and October 24, 2002, President Atkinson wrote to the chancellors reiterating the commitment to add at least 1,000 undergraduate classes taught by regular-rank faculty and asking them to take specific actions with regard to faculty instructional activity. His requests included that:

- Each chancellor appoint, in consultation with the Academic Senate, a campuswide Task Force on Undergraduate Education in a Research Context, to define how the campus will improve undergraduate education and increase faculty involvement in undergraduate instruction. Plans are due to Provost King by July 1, 2003.
- Per existing policy, the campus keep on file in the chancellor's office copies of each department's instructional activities policies. A copy of each department's current policy should also be submitted to the Provost and Senior Vice President – Academic Affairs. Each chancellor shall also ensure that the executive vice chancellors review and approve all department policies about instructional responsibilities and any future changes in them, and report those changes to the Provost and Senior Vice President – Academic Affairs.
- Each executive vice chancellor annually review, by department, the instructional activities reported in the Legislative report; review the campus's recent experience with

⁶ A summary of all of the BSA audit's recommendations related to faculty instructional activities is included as Appendix A.

average class size and, if appropriate, take steps to reverse increases in class size; develop or review campus policy with regard to instructional release time, submit the policy to the Provost and Senior Vice President – Academic Affairs for review, and implement it; and require that departments must, to justify each new faculty position, submit for the Deans’ and EVC’s review, an analysis of the value of that position not only for research, but also for meeting instructional needs.

- Each chancellor and UCOP staff monitor outcome measures related to the quality of undergraduate instruction and implement improvements when problems are identified.

Universitywide Task Force on Faculty Instructional Activities

In Fall 2002, in consultation with the Academic Council chair, President Atkinson appointed a Universitywide Task Force on Faculty Instructional Activities, chaired by Provost King. Its membership consists of 14 faculty members, several of whom are also executive vice chancellors, undergraduate or college deans, and members of the key systemwide Academic Senate committees with purview over educational policy and academic personnel.⁷

The Task Force was asked to recommend how distinctions between classes and independent studies should be clarified and sharpened, to develop effective and transparent ways to express and measure faculty instructional efforts that will be understandable to constituencies outside the University and reassure them that faculty efforts are appropriate, and to ensure that reports about instruction also communicate expectations and results clearly to faculty.⁸

The Task Force has met monthly since November 2002, has gathered and analyzed as complete a set of information as possible about faculty instructional activities in the University of California and in other comparable universities, and in this report recommends several approaches intended to provide greater clarity and consistency in the practice and reporting of instruction within UC.

⁷ The membership of the Task Force is listed in Appendix B.

⁸ The charge to the Task Force appears in Appendix C.

II. A Comprehensive Approach: “Total Instructional Effort”

Describing faculty instructional activity completely is a challenging task. Our faculty would prefer that explanations of the way they teach incorporate not only the time spent formally, that is, in front of a scheduled class, but also the hours of planning, preparation, advising, grading, and managing teams of teaching assistants and laboratory staff that support their podium hours. The full panoply of activities involved in “teaching” is nearly impossible to capture in a consistent and reliable way. But it should be possible for our reports about faculty instruction to capture and present, in addition to traditional formal classwork, the variety of ways that a research university faculty works with our students in small group settings and individualized ways to provide for-credit opportunities to experience the life of a scholar or scientist and learn first-hand how discoveries happen and knowledge is advanced.

In this spirit, we recommend that all reporting of instructional activities be framed in a comprehensive construct that we refer to as “Total Instructional Effort” (TIE).

The nature of instruction at UC

The most essential “product” of any university is its graduates. Their impact on society is a lasting contribution of the institution. The challenge for any college or university is to find the most productive match between the institution’s own capabilities and the talents and interests of students who wish to attend.

Undergraduates entering the University of California all have excellent preparation for college education, and a majority has career goals that include postgraduate education. Entering graduate students have already distinguished themselves academically and wish to be part of the advanced education and research enterprise of the university or join one of the many professional ranks which contribute to the strength and sustenance of the California workforce. These students want to study at a top-ranked research university because they want inquiry-based experiences that are more intensive than other institutions can offer. Both the content and pedagogy in major research universities are tailored to serve this particular student base, and the education they receive is different in fundamental ways from the kinds offered by institutions that are not research oriented. Graduates of a top-ranked research institution walk out of the door with knowledge, skills and experiences different from those who have received the same degree from non-research institutions. History has shown that graduates trained in this way at the University of California have made a significant and lasting contribution to the vitality and wealth of the State of California and the nation.

How is this accomplished? Teaching in a research university uses many different modalities. Most typical is the structured class with a syllabus carefully designed by faculty and intended to lead students through a particular subject area or transmit specific knowledge and skills. These classes may range in size from small seminars to large lecture classes with associated discussion sections or laboratory sessions, but they share in common the pattern of scheduled meetings in an assigned place, as well as the common purpose of transmitting the knowledge and skills fundamental to an understanding of an academic discipline. This type of teaching activity is one

in which the primary flow of information is from the instructor to the students. It is typical of all institutions, research and non-research universities alike.

Much of an undergraduate's career will be spent in these settings, particularly in the first two years, as will the education of students in professional programs; some, though considerably less, of this formal classwork will occur in doctoral education. Examples of *Faculty-Designed Instruction* include:

- Lecture classes
- Seminars with defined syllabi
- Language and composition classes
- Classes and laboratories designed to teach technical skills
- Classes conducted in full or in part at a field site

But the hallmark of a research university education at any level is the experience offered students to participate with faculty in inquiry-based learning—that is, the ability to put the knowledge and skills learned in the classroom to use through research, scholarship and creative discovery. We here are calling these activities *Faculty-Supervised Group Instruction*. Accomplishing instructional activities in these settings is both a science and an art. Though the tools for research, scholarship and creative discovery can often be taught in a straightforward manner, the thought processes that one uses to address these challenges are ones that cannot be so easily codified. Rather, the needed skills, attitudes and approaches must be developed through mentoring within intense and highly-interactive small-group settings involving faculty and students, often in one-on-one intellectual exchanges.

Clearly, at the doctoral level, much instruction involves faculty guiding and training doctoral students, in very small groups and individually, assisting them in pursuing their own individual research projects and working with them as apprentices, teaching assistants, and research assistants. But at the master's and baccalaureate levels, too, students are offered many opportunities for guided creative experience, chances to explore the intersections between the discipline they are studying and research or professional practice.

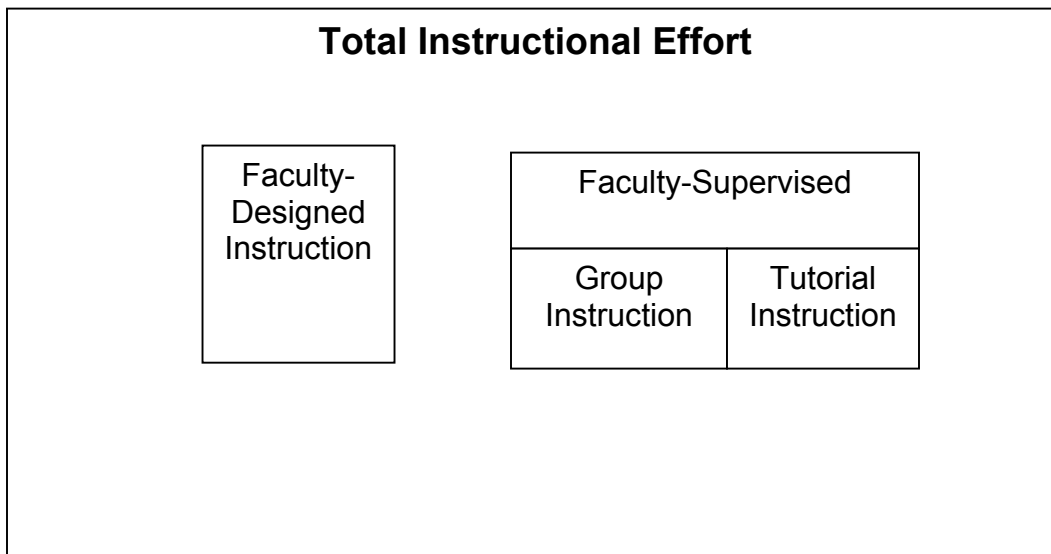
While this exploration may take place in a classroom setting, it frequently occurs in faculty offices, research laboratories, internship settings, studios, galleries, and other specialized facilities, and it is often not consistently scheduled in one, prescribed place. The experience may be defined collaboratively by the faculty member and his or her students and is likely to evolve over the course of the term, depending on the nature of the work and progress of the students. These forms of teaching, like class instruction, carry academic credit and have assignments that faculty evaluate, but their collaborative nature requires substantial time investment from individual faculty and individual students. It is these opportunities that make a research university education distinctive. Many students point to them as their most important learning experiences. Faculty value them highly, too, and they are a traditional educational responsibility for UC faculty, usually taught in addition to the expected number of scheduled classes. Some common examples of *Faculty-Supervised Group Instruction* include:

- Undergraduate honors study
- Topical research seminars with variable content
- Freshman seminars
- Specialized instruction in the arts
- Field study, apprenticeships or research instruction
- Professional internships or clinics with faculty oversight
- Directed group study, typically at the graduate level
- Meetings of student-faculty research teams
- Teaching assistant practica
- Group preparation for Ph.D. qualifying examinations
- Seminars associated with dissertation research

In addition, there are forms of instruction that are individual and student-designed, and while credit-bearing and overseen by faculty, require less routine faculty involvement. This coursework we are calling Faculty-Supervised Tutorial Instruction. It includes, for example:

- Individual study
- Undergraduate honors theses
- Individually mentored preparation for the master's or Ph.D. qualifying exam
- Mentored thesis or dissertation research

A full representation of faculty instructional activity at UC must incorporate and recognize the three forms of faculty instruction: Faculty-Designed Instruction, Faculty-Supervised Group Instruction and Faculty-Supervised Tutorial Instruction. We therefore recommend that all three forms of instruction be reported as the Total Instructional Effort of UC faculty. The diagram below summarizes this set of categories:



A comprehensive way to report UC instructional activities

Measures of Outcomes

In discussions and reports about faculty instructional activities, there is a tendency to emphasize process measures—the number of classes taught or the number of students enrolled. But to be meaningful, any discussion of faculty instructional effort must begin with clear measures of the outcomes of that effort. If the intention is for dollars invested to produce meaningful and valuable results, then evidence of those results should be presented and carefully assessed.

There are a few outcome measures that are clear, readily available, and for which comparisons can be easily drawn, which we recommend be included in the annual report to the Legislature. These are:

- degrees awarded, because it is a reasonable expectation that faculty and student effort involved in instruction should result in progress toward degrees;
- graduation rates, because a large proportion of the students we admit, given their intellectual caliber, should attain their degrees; and
- average time to degree, as an indicator of the effectiveness of the curriculum and the efficiency of its delivery, and because expeditious progress toward a degree is also a reasonable expectation.

We believe UC has a laudable record in all these regards, and we recommend that this record be regularly reported in the context of equivalent data from other comparable research universities. The four charts below are a suggested way to present this information, which will emphasize the facts that:

- UC awards a comparatively large number of degrees, especially bachelors' degrees on a per faculty member basis;
- UC undergraduates on average take only 4 years plus one quarter to finish; and
- UC's graduation rates are strong compared to other similar research universities

Degrees Awarded Per Regular-Rank Faculty FTE 2001

| | Bachelor's Degrees | Masters/ Professional Degrees | Ph.D Degrees | All Degrees |
|--------------------------|-----------------------|-------------------------------------|-----------------|----------------|
| Comparisons | | | | |
| 4 Private Universities* | 1.6 | 2.7 | 0.5 | 4.8 |
| 4 Public Universities* | 3.3 | 1.8 | 0.3 | 5.4 |
| University of California | 4.3 | 1.2** | 0.3 | 5.8 |

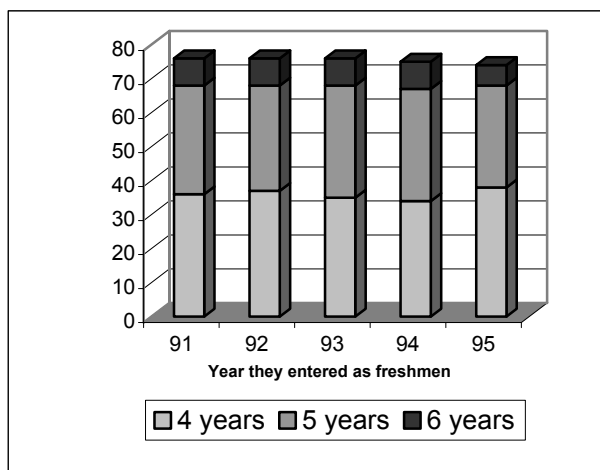
**The relatively small number of masters/professional degrees at UC is due in part to California's tiered system of higher education. Many professional degrees, especially in business and education are given by CSU. In other states the research university has this responsibility.

Average Time-to-Degree for UC Undergraduates

| <u>Freshmen Entering in</u> | <u>Quarters to Graduation</u> |
|-----------------------------|-------------------------------|
| Fall 1991 | 13.0 |
| Fall 1992 | 13.0 |
| Fall 1993 | 13.0 |
| Fall 1994 | 13.0 |
| Fall 1995 | 13.0 |

Berkeley's semesters have been converted to quarters in this calculation.

Percent of UC Undergraduates Graduating Within Six Years



Percent of Undergraduates Graduating from Comparable Universities within Six Years (Entered as freshmen in 1995)

| | |
|----------------------------|-----|
| Comparisons | |
| 29 Public AAU Universities | 69% |
| 4 Public Universities* | 78% |
| University of California | 74% |

*Note: By agreement with the California Postsecondary Education Commission, the University of California uses 4 private and 4 public research universities as its official comparisons for faculty salaries. These same official universities are often used in other comparisons. They are Harvard, MIT, Stanford, Yale, Illinois, Michigan, SUNY-Buffalo, and Virginia

Measures of Total Instructional Effort

We also recommend that UC instructional activities be reported in the following categories:

- *Faculty-Designed Instruction* will include much, but not all, of what was formerly reported as “regularly scheduled primary classes.” It will include all scheduled, credit-bearing undergraduate and graduate classes that are intended as pedagogical experiences in which pre-defined knowledge and skills are transmitted and received. These courses are the ones departments think of as essential offerings in their curricula. Each one will have a syllabus that is reasonably consistent, though updated, from year to year. Enrollment in these classes will range from very small to very large.
- *Faculty-Supervised Group Instruction* will be a new category that will incorporate credit-bearing group instruction, actively led by faculty, but with content and schedule that vary depending on the interests and needs of students and faculty involved. These classes are the ones that make a research university education distinctive by introducing students to and/or giving them experience in the practice of inquiry. Catalog descriptions of these courses often contain the phrase “may be repeated for credit” because it is recognized that course content may change from one term to the next in response to emerging issues, available opportunities, and the skill levels of students involved. Enrollment in these classes will tend to be small.
- *Faculty-Supervised Tutorial Instruction* will be more narrowly defined in this configuration to include credit-bearing work that is student-designed with faculty supervision. Enrollment in tutorial instruction will be very small, often only one student. In many cases, for example where individually mentored student research or doctoral dissertations are involved, it involves quite substantial effort on the part of the faculty.

UC reporting for each of these categories should include three types of data (student credit hours, enrollments, and classes), each one should be reported per faculty FTE, and reports should not single out one form of data but rather always present these measures together as a group:

- **Student Credit Hours (SCH):** Course units are the basis on which progress toward degrees is measured for undergraduate students and for those in professional and academic master’s programs, and it is the basis upon which UC receives state funding. The student credit hour measure multiplies the unit credit for a particular class times the number of students in that class and sums those numbers over all classes. This number is an important measure of output and should continue to be reported.⁹
- **Enrollments:** This is the total number of students with whom faculty work, both in classes and individually. This number is important because it represents the human interactions undertaken by faculty, ranging from one-on-one work in thesis guidance, to office hours, to discussions with students in lecture classes.

⁹ Some have suggested that we report actual contact hours instead. Because this would require entire new data collection procedures and systems on each of our campuses, it does not seem feasible at this time.

- Class Sections: in *Faculty-Designed Instruction* and *Faculty-Supervised Group Instruction*, this will simply be a count of all credit-bearing Faculty-Designed classes plus the Faculty-Supervised classes with enrollment greater than 1.¹⁰ For *Faculty-Supervised Tutorial Instruction*, student credit hours awarded will be expressed as class-equivalents by dividing the total Tutorial SCH by the average SCH per class in Group Instruction.

Reporting faculty instructional activities in these three categories (SCH, enrollment, and classes) will allow a more complete depiction of faculty effort and a class count that will resonate better with our faculty's own assessment of its work.

Technical Issues

To implement this approach, several definitional and quantitative issues have to be resolved. The Task Force makes the following recommendations:

All instruction offered in the summer should be included in future reports to the Legislature in order to describe fully the work of our faculty. Summer should be treated as a leading term to the rest of the academic year because the state budget funds it that way, so that, for example, Summer 2003 should be reported as part of the 2003-04 academic year.

The Task Force is persuaded that there are differences in the effort required in teaching for three quarters or two semesters. We could not, however, quantify that difference in any way clearer than the method currently used. Consequently we recommend that the University continue to convert semester measures to quarter measures in its reporting by multiplying by 1.5 since semesters contain 15 weeks and quarters, 10.

A small number of classes are now offered entirely online. Because they are likely to have syllabi defined by the faculty member responsible for the class, they should be counted as Faculty-Designed Instruction. However, it will be important to monitor this subset of classes over time if it grows, to ensure that faculty effort is being appropriately reported.

Data to Emphasize in Future Reports

The report submitted to the Legislature for the past ten years has been constructed in three parts:

- I. A lengthy description of campus developments to sustain excellence in undergraduate education
- II. A chapter presenting data on classes, student credit hours, and independent study enrollment
- III. A chapter describing how the University oversees instructional activities policies and reporting the policies of comparable universities

¹⁰ As in past reports, secondary or discussion sections of large lecture classes will be excluded from this count.

We recommend that Part II be differently constructed to catch the attention of readers with new displays that express visually the outcomes of faculty instructional activities in comparison with other research universities, and present Faculty-Designed Instruction, Faculty-Supervised Group Instruction, and Faculty-Supervised Tutorial Instruction as a cohesive whole.

- Outcome measures to be reported
 - Degrees per regular-rank faculty member for UC compared to the Comparison 8 universities
 - Six-year graduation rates for UC compared to the AAU public universities
 - UC's six-year graduation rates over time
 - Time to degree at UC over time

- Instructional activities measures for regular-rank faculty to be reported
 - Distribution of Faculty-Designed Instruction and Faculty-Supervised Group Instruction by class size
 - Total Instructional Effort—Classes per faculty FTE over time
 - Total Instructional Effort—Student Credit Hours per faculty FTE over time
 - Total Instructional Effort—Enrollment per faculty FTE over time

Part II of the annual report should also include information about the teaching activity of all faculty. While the annual report to the Legislature concentrates on the work of regular-rank general-campus faculty, we believe it is also important to report the additional instructional activity provided by other members of the Academic Senate, notably health sciences faculty teaching general campus classes, recalled emeriti, lecturers with security of employment, and academic administrators. The contributions of Unit 18 lecturers should also be highlighted in that report.

What Actions Are Needed To Implement This Change

It is apparent to this Task Force that the University's current data collection methods do not allow an easy transition to this new set of categories. In order to begin reporting instructional activities in this form, each campus will need to review its courses to ensure that they can be correctly placed in the new categories of Faculty-Designed Instruction, Faculty-Supervised Group Instruction, and Faculty-Supervised Tutorial Instruction. This will occur most effectively if the Chancellors are officially asked for such a review and a systemwide Implementation Task Force is appointed to oversee it.

A review will require clear operational definitions of the three categories, which should be developed under the auspices of the Implementation Task Force, by Office of the President staff in consultation with campus Institutional Research directors, Undergraduate and Graduate Deans, and the systemwide Academic Council. While course numbering systems may be of some assistance in this, the review may also engender a reassessment of numbers assigned to some courses, particularly in sharpening the distinction between Faculty-Supervised Group Instruction and Faculty-Supervised Tutorial Instruction. It would be very helpful if the Academic Senate provided a systemwide definition for Tutorial Instruction which campuses

could consistently number and use, so that students doing individual study are not inappropriately aggregated into a course number that then appears to be a class. Additional clarity would also be helpful with regard to teaching assistant practica and research team meetings, to ensure that they are instructional activities and not simply organizational meetings. We are particularly concerned about implementing an approach toward graduate courses that more accurately reflects what doctoral students are doing and are expected to do, and the faculty effort involved in that. While students in professional programs follow patterns of study that are fairly well defined, doctoral students typically spend a considerable amount of time in apprentice relationships with faculty working collaboratively on research projects. Current practices do not, in our minds, make an adequate distinction between group and individual activities at the doctoral level, and the Implementation Task Force will need to recommend definitions and course categorizations that make that distinction clearer. In addition, the Implementation Task Force should recommend a consistent systemwide course numbering system for graduate theses, dissertations, qualifying exam preparation, teaching assistant practica, and research team meetings¹¹. Anything that is to be renumbered will, of course, require review by campus committees on courses, and each Senate Division must assist the faculty with clear communication about these changes and distinctions, in order to ensure that faculty accurately advise students to enroll in courses that correctly reflect the nature of their work.

Registrars and Institutional Research offices will have to produce lists of courses for this review and modify the course databases to incorporate new information provided by the review, such as changing course numbers or flagging classes in the new Faculty-Supervised Group Instruction category.

There are still a number of technical issues about how to count faculty instructional activities in the summer, particularly in defining faculty FTE for those teaching summer classes for pay beyond their nine-month responsibilities. The Implementation Task Force should be asked to resolve these as well.

Because UC must undertake this change in a manner that ensures our accountability to the State, it must be possible to translate from the old reporting system to the new one. This will require that data for 1999-00 be recategorized into the new approach which can then be implemented for each year from 2002-03 onward. Reporting 2000-01 and 2001-02 data in the new categories would be helpful if possible, but may not be feasible because of constrained budgets.

It will also be important for the systemwide Implementation Task Force, in concert with campus review teams, to do an internal academic audit of the results to make sure that this new approach better represents what faculty do and students experience, and that it will improve campuses' abilities to assess departmental instructional activities.

In addition, once this new model is implemented, the Office of the President should periodically monitor campus compliance with agreed-upon data definitions to ensure that they are being correctly used and to resolve any issues that emerge.

¹¹ Obviously, it is not possible or desirable to number courses consistently across the university system; variety in coursework should be encouraged. However, for the generic types of graduate work cited here and for the general category of individual Tutorial Instruction, it would be extremely helpful to have consistent numbering.

Summary

We believe that it is UC's obligation to present faculty instructional activities in a manner that exhibits full and open accountability, presents a comprehensive picture of efforts and outputs, and will have meaning to legislators and UC faculty alike. Using the approach recommended in this report, which builds on past efforts but describes total instructional effort more clearly, should assist the University in reporting and explaining faculty teaching activities to all those concerned and interested.

Appendix A
**Summary of the Bureau of State Audit’s Recommendations
on Faculty Instructional Activities**

The BSA recommendations were as follows¹²:

1. Clarify the definitions of *primary courses* and *independent study courses* in the instructions that UCOP sends to the campuses.
2. Ensure that the campuses consistently interpret the definitions of *primary course* and *independent study course* by periodically reviewing the campuses’ data for accuracy and consistency.
3. Review more closely the existing classifications of courses and make corrections where appropriate. This review should include, but not be limited to, primary courses with low enrollments.
4. To ensure that the Legislature and the Governor have a complete understanding of the factors influencing the primary course-to-faculty ratio included in the instruction report, the University should disclose that Berkeley’s faculty teach more primary courses on a quarter basis than the faculty of other campuses and should communicate the impact that Berkeley’s semester data has on the Universitywide ratio.
5. To ensure that the Legislature and the Governor have a more accurate picture of actual primary course-to-faculty ratios so they can evaluate and address issues of concern – such as whether the University is providing sufficient courses to allow students to graduate in four years or less – the University should propose expanding future Partnership Agreements to include objectives and measurable targets that address workload ratios and course enrollment levels for all regular- and non-regular-rank faculty and miscellaneous instructors. Additionally, the University should disclose in its instructional report the course-to-faculty ratio for non-regular-rank faculty and the workload ratio for miscellaneous instructors. It should also disclose all faculty and miscellaneous instructor workloads by the number of students enrolled in courses.
6. To enable it to calculate and report the workload for miscellaneous instructors, the University should develop a method to capture the FTE data related to these instructors.

¹² Bureau of State Audits, “University of California: Its Partnership Agreement Could Be Improved to Increase Its Accountability for State Funding”, July 2002, pp. 72-73

Appendix B
Systemwide Task Force on Faculty Instructional Activities
Membership

Lisa Alvarez-Cohen, Vice Chair, UCEP, Professor, Civil/Environmental Engineering, Berkeley

Mark Appelbaum, Associate Vice Chancellor, Undergraduate Education, Professor of Psychology, San Diego

Peter Berck, Chair, UC Merced Task Force, Professor, Agricultural and Resource Economics and Policy, Berkeley

David Brant, Professor of Chemistry, Irvine

J. T. Gerig, Member, UCAP, Professor of Chemistry and Biochemistry, Santa Barbara

Andrew Grosovsky, Chair, UCEP, Professor of Cell Biology and Toxicology, Riverside

C. Judson King (Chair), Provost and Senior Vice President, Academic Affairs, UCOP, Professor of Chemical Engineering, Berkeley

Charles Li, Dean, Graduate Division, Professor of Linguistics, Santa Barbara

Daniel Neuman, Executive Vice Chancellor, Professor of Ethnomusicology, Los Angeles

Patricia O'Brien, Dean, College of Humanities, Arts, Social Sciences, Professor of History, Riverside

Michael Parrish, Member, UCPB, Professor of History, San Diego

John Simpson, Campus Provost and Executive Vice Chancellor, Professor of Psychology, Santa Cruz

Patricia Turner, Vice-Provost Undergraduate Studies, Professor, American Studies/African American/African Studies, Davis

William Webster, Vice Provost, Academic Planning & Facilities, Professor, Civil/Environmental Engineering, Berkeley

Staff:

Linda Guerra, Director of Policy Analysis, UCOP

Dennis Hengstler, Executive Director, Planning and Analysis, Berkeley

John Keilch, Principal Policy Analyst, Planning and Analysis, UCOP

Paula Lutomirski, Associate Vice Chancellor, Los Angeles

Anne Machung, Principal Policy Analyst, Planning and Analysis, UCOP

Meredith Michaels, Vice Chancellor, Planning and Budget, Santa Cruz

Myron Okada, Director, Academic Personnel, UCOP

Sandra Smith, Assistant Vice President, Planning and Analysis, UCOP

Ellen Switkes, Assistant Vice President, Academic Advancement, UCOP

Other advisers:

Larry Hershman, Vice President, Budget, UCOP

Jerry Kissler, Assistant Vice President, Budgetary Planning and Fiscal Analysis, UCOP

Richard Santee, Coordinator, Budget Office, UCOP

Appendix C
Charge to the Universitywide Task Force on Faculty Instructional Activities

In July 2002, the Bureau of State Audit issued a report that, in part, examined the University of California's annual reports to the Legislature on Undergraduate Instruction and Faculty Teaching Activities. Their findings, particularly with regard to the vagueness of our distinctions between independent study and small primary classes, necessitate a thoughtful reconsideration of the way in which we define faculty instructional activities and describe them both publicly and to our faculty. In addition, concerns have been expressed in various quarters, including state government, about the adequacy and equity of instructional responsibilities among campuses and within disciplines. Thus those issues need to be addressed as well, and can be assisted by a better understanding of the practices of our comparison institutions and competitors in relation to those of our own campuses.

Therefore, I am requesting that this Task Force, by July 1, 2003:

- examine the guidelines for distinctions between classes and independent studies, and recommend how they should be clarified and sharpened
- develop effective and transparent ways to express and measure faculty instructional efforts that will be understandable to constituencies outside the University and reassure them that faculty instructional efforts are appropriate. As well, these statements should communicate expectations and results clearly to faculty
- consider the effects of technology-assisted instruction on these measures
- determine the facts about the instructional activities policies and practices, by discipline, of UC's eight comparison research universities
- compare campus instructional activities policies and practices with those of our comparison universities
- recommend what systemwide instructional activities guidelines by disciplinary area might be appropriate
- consider the value of re-instituting or affirming minimum course enrollment guidelines
- identify and examine any other issues the task force believes are important

We shall seek comments on a draft version of this report, working through the Executive/Academic Vice Chancellors and Academic Council, and will ask that the Task Force consider these before filing its final report. Substantial staff support will be provided by Office of the President as well as campus staff.