Academic Program Reviews
Office of the Vice Provost for Academic Planning
vpap.berkeley.edu

Guide for the Review of Existing Instructional Programs

Revised January 2023

Berkeley
UNIVERSITY OF CALIFORNIA

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Introduction

Academic Program Reviews (APR) are designed to be forward looking and to enhance the mission of the Institution. The APR process is overseen by a joint senate-administration committee, the Program Review Oversight Committee (PROC), and supports campus efforts to sustain excellence in each scholarly discipline, as well as in pedagogy and research, and to build a strong and inclusive academic community, in line with campus priorities. An External Review Committee (ERC) recruited for each review provides the unit an opportunity to consult with respected colleagues from peer institutions. As a result, each APR presents a rare opportunity for the unit and the campus to take a comprehensive look at the unit, informed by recent data trends, and to evaluate its opportunities, challenges, and plans for the future. Units are encouraged to:

- Explore critical areas to maintain and enhance the unit's strength and standing in the field;
- Determine the core and cutting-edge areas in teaching and research for the short- and long-term;
- Examine the curriculum to align with the changing trends in the field;
- Reflect on efforts to improve climate and establish priorities to promote diversity, equity, and inclusion.
- Review and plan faculty workload; and
- Establish clear priorities to guide faculty FTE requests.

The APR process is also used to inform campus administration about unit issues, and to provide input for better decision making at all levels. APRs advance, for instance, the Executive Vice Chancellor and Provost's (EVCP) campus-wide strategic planning efforts. The administration asks units to include the Faculty Strategic Hiring Plan section of their self-study with their response to the annual FTE call to inform the administration's setting of faculty hiring priorities. In addition, the rigor and breadth of the APR process are an essential element in Berkeley's institutional accreditation by the Western Association of Schools and Colleges (WASC).

The centerpiece of the APR process is the unit's self-study, which is described in detail below. The self-study should express the unit's unique culture and provide an opportunity for reflection and critical assessment of the unit's scholarly directions, academic programs, and climate. It should assess the unit's strengths, opportunities, and challenges, then identify plans for (re)allocating resources to build on the opportunities and to meet the challenges that the unit anticipates facing over the next eight to ten years. Within this framework, the unit should identify and examine key areas for in-depth analysis. To support its self-assessment, the unit is provided with a summary of central data and survey results compiled by the OPA, and support from the APR support team.

The Program Review Oversight Committee (PROC) represents a partnership between campus academic administrators and representatives of five Academic Senate committees. It includes:
- Executive Vice Chancellor and Provost (EVCP)
- Vice Provost for Academic Planning (VPAP), who serves as the chair of PROC
- Vice Chancellor for Equity and Inclusion (VCEI)
- Vice Chancellor for Undergraduate Education (VCUE)
- Vice Provost for the Faculty (VPF)
- Associate Vice Provost for the Faculty (AVPF)
- Vice Provost for Graduate Studies and Dean of the Graduate Division (GD)
- Chair of the Graduate Council (GC)
- Chair of the Committee on Budget and Interdepartmental Relations (BIR)
- Chair of the Undergraduate Council (UGC)
- Chair of the Committee on Diversity, Equity, and Campus Climate (DECC)
- Chair of the Committee on Academic Planning and Resource Allocation (CAPRA)
- Executive Director of the Office of Planning and Analysis (OPA)

Each of the five Academic Senate committees on PROC designates a representative to participate in each review, alongside members of the administration. For units in the College of Letters and Science, a representative of the L&S Executive Committee participates in a role analogous to the role of the Senate committee representatives. Each review also includes a Faculty Liaison from the Academic Senate who accompanies the External Review Committee during the site visit to explain UC Berkeley's governance and organizational structure and writes a brief report assessing the site visit and the unit's general climate and relationships with relevant campus programs.

While there are, on occasion, unavoidable circumstances that may lengthen the timeline, PROC's goal is for the review process to take no more than 18 months over two academic years. Figure 1 shows the academic review process timeline. A more detailed narrative is outlined in the sections that follow.

Academic Program Review Timeline

Acronym Key: VPAP = Vice Provost for Academic Planning; ERC = External Review Committee; ASL = Academic Senate Liaison; OPA = Office of Planning & Analysis; PROC = Program Review Oversight Committee.

Action items for unit									
Kick-off meeting with VPAP	Planning meeting with APR staff support team	Submit nominations: ERC, ASL, internal & external unit peers	Unit self-study due	Finalize ERC site visit schedule	ERC site visit	Unit response to ERC & ASL reports due		Unit follow up activities & reporting	Unit mid-cycle check-in

Timeline									
18 months before to site visit			2 months before site visit	1 month before site visit	ERC Site Visit	2 months after site visit	3-9 months after site visit	1-5 years after	5 years after

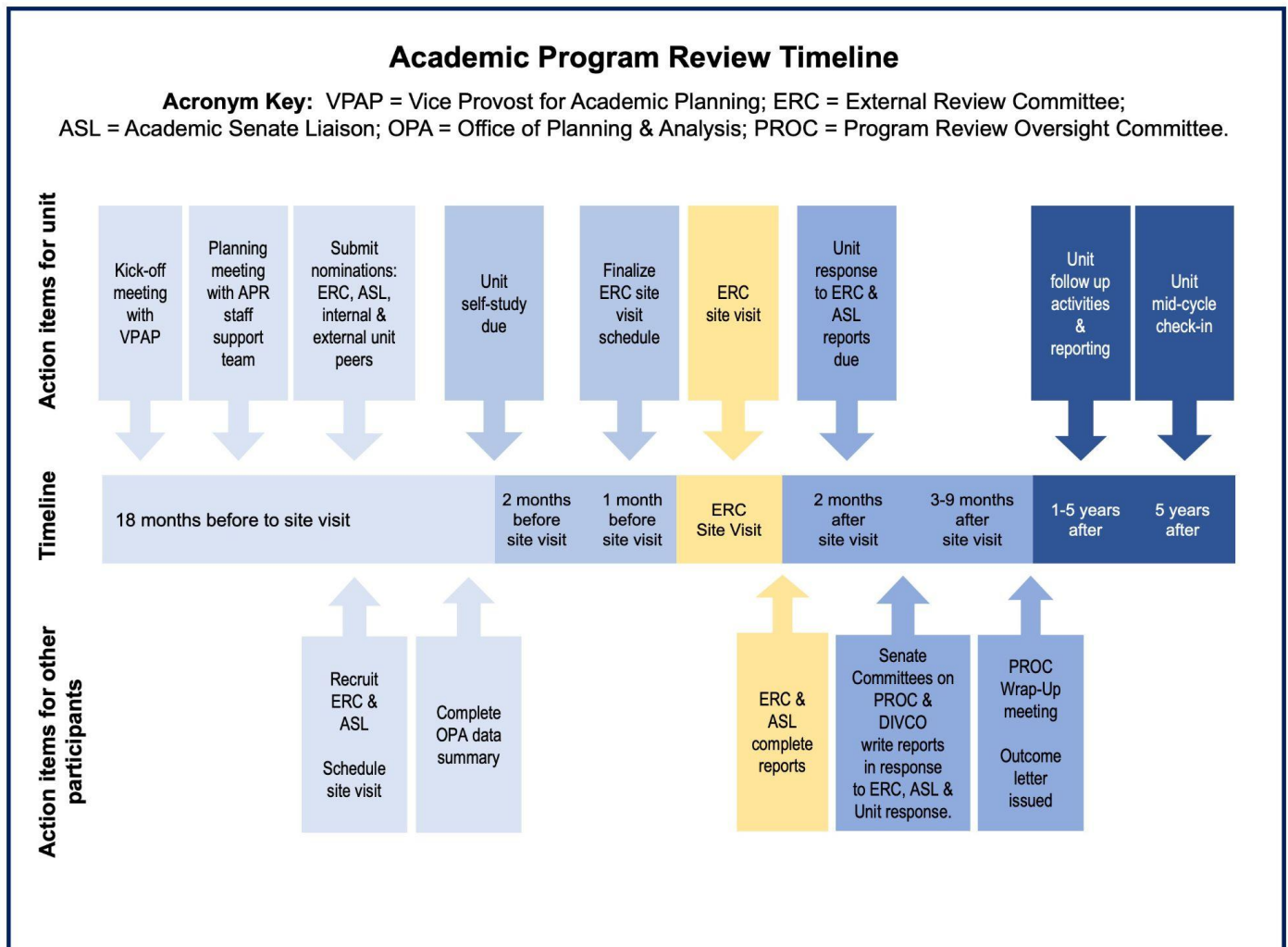| Action items for other participants									
	Recruit ERC & ASL / Schedule site visit	Complete OPA data summary			ERC & ASL complete reports	Senate Committees on PROC & DIVCO write reports in response to ERC, ASL & Unit response.	PROC Wrap-Up meeting / Outcome letter issued		

Figure 1: Graphic representation of the academic review program timeline.

Review of Existing Instructional Programs

Step 1: Selection of Units for Review and Initiating Individual Reviews

PROC, in consultation with the cognizant deans, has established a ten-year cycle for the review of units. The most recent schedule can be viewed at: https://vpap.berkeley.edu/apr-schedule .

The VPAP office notifies chairs and deans of upcoming reviews. The department chair and manager or dean of a professional school and chief administrative officer are invited to a "kick-off meeting" to discuss the review process with the VPAP and the director of APRs. Following the kick-off meeting, the unit leaders meet with the APR support team members (table 1). The unit can invite any additional representatives from their departments/school of their choosing to this team meeting.

Table 1: APR Support Team

Verna Bowie - Director, Academic Program Reviews. Division of Academic Planning program-reviews@berkeley.edu	• Directs the process; answers procedure & policy questions. • Strategizes about options for faculty/student/staff engagement. • Recruits external review committee & academic senate liaison. • Drafts ERC charge and outcome letters. • Monitors follow-up activities.
Malcolm Quon - Institutional Research Analyst, Division of Academic Planning; Office of Planning and Analysis malcolm@berkeley.edu	• Prepares OPA summary of central data, including comparative analysis of peer institutions. • Provides ad hoc institutional data support.
Amy Scharf - Director, Faculty and Departmental Diversity Initiatives, Division of Equity and Inclusion ascharf@berkeley.edu	• Supports self-assessment, strategic planning and implementation for diversity, equity and inclusion. • Consults with departments on issues of diversity, equity, inclusion and belonging.
Tracy Pascua Dea - Academic Climate Program Director. Office of Faculty Equity and Welfare tpd@berkeley.edu	• Supports implementation of strategic plan for climate and diversity, equity, inclusion, belonging, and justice. • Consults on issues for climate and diversity, equity, inclusion, belonging, and justice (for faculty, staff and students). • Designs and implements climate survey with department, including data analysis and data use.
Liat Wexler - Prevention Manager, Faculty and Staff, PATH to Care Center pathtocare@berkeley.edu	• Planning and implementation support for units as they create a proactive plan to prevent sexual harassment within their academic community.
Melissa Ko - Assessment and Curriculum Design Specialist, Center for Teaching and Learning mesako@berkeley.edu **Audrey Thomas -** Institutional Research Analyst, Division of Undergraduate Education; Office of Planning and Analysis audrey@berkeley.edu	• Identifies and maps student learning outcomes • Selects instruments best suited to assessing student achievement of program-level learning outcomes • Designs and implements assessment plan, including data analysis and data use • Consults with departments to identify opportunities for enhanced student learning

Step 2: Determining Focal Issues for the Self-Study

Issues for consideration during the review might arise from:
- the outcome of the unit's previous review;
- an analysis of recent data trends;
- reflection and discussion by the unit's faculty regarding issues critical to its continuing excellence;
- reflection on the effectiveness of teaching programs; and
- reflection on efforts to diversify the unit and improve the sense of community and inclusion in the unit.

Step 3: OPA Data Summary

The OPA prepares a summary of central data designed to provide easy access to a wide range of institutional data. The data elements are sourced primarily from the Cal Answers analytical tool. Additional sources include: Graduate Division, Budget Office, Office for Faculty Equity and Welfare, Sponsored Projects Office, UC survey results, the Integrated Postsecondary Education Data System (IPEDS), and the US News and World Reports.

OPA Data Summary Content:

1. **Summary of recommendations from the previous program review**

2. **Academic rankings** (normally US News and World Report)

3. **Faculty**
   a. Permanent Incumbent Faculty FTE (source: Budget Office)
   b. Stratification by rank and age
   c. Teaching workload metrics (source: Office of Planning and Analysis)

4. **Departmental Resources**
   a. Statement of Revenue, Expenses, and Changes in Net Assets (SRECNA)
   b. Non-Ladder Academic and non-Academic Staff FTE (source: Office of Planning and Analysis)

5. **Research and External Funding Sources** (source: Sponsored Projects Office)
   a. Total prorated sponsored project awards

6. **Faculty and student demographics by gender and ethnicity**

7. **Undergraduate Program**
   a. Headcount by major
   b. Enrollments in undergraduate courses (number of enrollments, student-credit hours, course offerings, average class size, enrollments majors not in the course offering unit)
   c. Results from the UC Undergraduate Experience Survey (UCUES) and the Career Center's First Destination Survey.
   d. Time-to-degree
   e. Minors awarded

8. **Graduate Program** (source: Graduate Division)
   a. Headcount by plan/degree objective
   b. Admissions (number of applicants, admission offers, and new admit yield rates)
   c. Enrollments in graduate courses (number of enrollments, courses offerings, enrollments by majors not in the course offering unit)
   d. Time-to-degree and completion rates
   e. Doctoral placement for graduates
   f. Mean net stipends
   g. Results from the Doctoral Program Review Survey

The summary concludes with "Questions for Consideration in the Self-Study", a list of questions emerging from the data that the unit is asked to consider in its self-study. These questions are not required to be answered. **OPA shares with the unit a draft of the data summary before it is finalized, and the unit has the opportunity to ask questions and suggest clarifications.** Please note, the data analyst cannot revise data reported from a central source. The unit can cite these or any other data in their Self-Study. This data summary is distributed with the self-study to all reviewers. *Please DO NOT reproduce or repeat the OPA data summary with the self-study.*

Climate Data:

The OPA data summary does **not** include departmental climate analysis. Data on the unit's climate may come from sources such as departmental climate surveys, employee morale surveys (administered by HR People and Culture), campus climate surveys such as the MyExperience Survey and the MyVoice Survey, and others. Please note, as the data summary becomes a public (requestable) document after the APR process has concluded, the respective data stewards must approve use. If you use department-level climate data, be sure to take precautions to protect against identifiability (i.e. suppressing small cells, not including free-form written responses, etc).

Step 4: Self-Study

Each unit conducts a self-study as the centerpiece of its APR which should focus on the unit's future directions and plans for achieving them. It should also reflect campus priorities of teaching, learning effectiveness, research, and efforts to promote diversity, equity, and inclusion at UC Berkeley. The self-study should document the outcome of analysis and discussion among the unit's faculty, including an overview of how the unit responded to the outcome of its previous review and how intervening developments supported or challenged its response, and other opportunities and challenges that have arisen; a reflection on/analysis of the current state of the unit, particularly the unit's contributions to the campus ecosystem and comparison to the field in research and pedagogy; development of a forward-looking intellectual agenda; teaching, learning, and advising directions**,** including how people, infrastructure, and finances will be (re)allocated to achieve these plans over the next ten years; reflection on/analysis of unit's climate and any efforts to improve; and development of an equity and inclusion plan for the unit.

It is not expected that the unit will address every issue during the course of the review, but rather will develop plans to do so in a timely fashion following the review. **Sections should highlight questions or issues about which the unit would like to receive input from reviewers during the review process.** Units should feel free to draw on any planning documents it has prepared previously for other purposes.[1]

Furthermore, the "Strategic Plan" and the "Diversity, Equity, and Inclusion (DEI) Plan" should be written as potentially stand-alone documents that can be submitted in response to the FTE call or to campus DEI planning efforts, respectively. It is understood that these two plans are living documents that will be updated as needed to reflect internal and external changes. As part of those plans, it is expected that units identify the steps they are or will be taking to prevent sexual harassment, bullying, and other demeaning or disruptive behaviors. These should be discussed in the self-study, and their implementation reported out in the mid-cycle check-in.

Appendix I of this Guide ("Suggested Questions for Discussion") is a series of questions organized by the self-study sub-sections listed above. These questions represent topics of interest to the constituent members of PROC and are *intended to prompt the unit's thinking about topics it finds salient – they are neither an outline of the self-study nor is there a requirement to answer each one.*

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[1] Examples for in-depth analysis are: undergraduate education and pedagogical innovation, relations with cognate ORUs, departments, or UGIS programs, trends in extramural or private support, climate issues in the department and/or results of climate surveys, matching new research directions and faculty recruitment, graduate student recruitment, or staffing core courses which must continue to be taught but no longer represent cutting-edge areas of research.

Self-Study Suggested Structure:

Section 1 – Executive Summary (1-page)
Section 2 – Reflections on the Current State of the Unit (max. 10 pages)
       a. Brief introduction to unit
       b. Response to previous review
       c. Other opportunities and challenges
Section 3 – Unit's draft strategic plan (max. 15 pages)
       a. Vision and strategic priorities (for the next 5 – 10 years)
       b. Research (Intellectual Focus)
       c. Education (Objectives, Student Learning Goals and Assessment)
       d. Faculty (Strategic Hiring Plan, Teaching and Service Workloads, Mentoring)
       e. Resources (Staff, Governance, Facilities, and Finances)
Section 4 – Diversity, Equity, and Inclusion Plan (max. 5 pages)
Section 5 – Faculty Bios (1-2 pages each) should be an appendix to Self-Study

Self-Study Preparation Instructions:

Section 1 – Executive Summary (1-page)
This section should be considered the "Executive Summary" for the self-study, touching briefly on the components and significant issues and topics in the self-study.

Section 2 – Reflections on the Current State of the Unit (max. 10 pages)
    a. Brief Introduction to Unit

    b. Response to previous review
    Provide an overview of how the unit responded to the outcome of its previous review and how intervening developments supported or challenged its response.

    c. Other opportunities and challenges
    Provide an overview of new opportunities and challenges that have arisen since the previous review.

Section 3 – Unit's draft strategic plan (max. 15 pages; stand alone document)
It is expected that the draft Strategic Plan may contain embedded strategic questions for reviewers, and that it will be revised in response to the outcome of the review.

    a. **Vision and strategic priorities** (for the next 5 – 10 years)
    The primary questions to address in these sections include: "Who are we as a unit?" and "What do we plan to focus on in the future?"

    b. **Research** (Intellectual Focus)
    In this section, the unit answers the question, "Where/how will we make our mark?" When considering the unit's research/creative activities and professional engagements, focus on describing how the unit's current strengths should evolve in the future, with available resources.

    c. **Education** (Objectives, Student Learning Goals and Assessment)
    The Education section answers the questions, "What are the principal educational goals and

activities we are pursuing, or should pursue?" and "How effective is the curriculum in preparing students to achieve degree-level learning goals and how will we improve effectiveness as needed?"

Each unit is asked to (i) review degree-level learning goals/outcomes and identify any needed changes in the goals/outcomes or in the curriculum, and (ii) develop and/or implement a plan to evaluate the curriculum, *focusing on one or two learning goals per review*. It is expected that assessment will be a collaborative effort owned by the faculty, and that the assessment design is *guided by meaningful curricular questions identified by the faculty.* The Center for Teaching and Learning (CTL) is available to work with units on evaluating curricular effectiveness. For more information on assessment and samples, see: http://teaching.berkeley.edu/academic-programs.

As appropriate, please include a section on the unit's **postdoctoral scholar program**, including advising, mentoring, professional development, etc.

d. **Faculty** (Strategic Hiring Plan, Teaching and Service Workloads, Mentoring)
A key component of this section is a brief five-year **hiring plan** pertaining to academic personnel. What are the areas in which searches are likely to take place in the next five years? Consideration should be given to: campus values of diversity, equity and inclusion; excellence and strength in core programmatic areas; and collaboration and coordination with campus programs and units with similar disciplinary areas pertaining to teaching and research.

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) or list their names. You may, however, list the former faculty members' areas of expertise and date of separation. Also, please do not name individuals who are currently under recruitment.

Another key component is the **mentoring of faculty.** Provide a brief description for junior and mid-career ladder (tenure-) track faculty, including those with joint appointments. Address how non-ladder faculty, including teaching professors and other instructional faculty (e.g., Unit 18 lecturers, adjunct faculty, etc.) are mentored, supported, and integrated into the department. Describe also the department's plan for distribution of **teaching and departmental service** among faculty.

Please also **attach an abbreviated (2-page) resume/biosketch** for all faculty members, continuing lecturers and adjuncts as an appendix to the self-study.

e. **Resources**
This section should provide a brief assessment of resources currently available to the unit, including staff, physical facilities and infrastructure, all sources of income, and the unit's governance and administration and on how current and near-term resources will need to be (re)allocated to meet future goals. The unit may also enumerate plans for enhancing resources in the future.

Section 4 – Diversity, Equity, and Inclusion (DEI) Plan (max. 5 pages; stand alone document)
At UC Berkeley, diversity, equity, and inclusion are integral aspects of institutional excellence. The *UC Berkeley Strategic Plan for Equity, Inclusion, and Diversity* (https://diversity.berkeley.edu/about/strategic-plan) provides a guide and a set of strategies for achieving excellence in diversity by incorporating teaching and scholarship in relation to diverse

populations; expanding access and success for underrepresented populations across all campus demographic groups; and ensuring a campus climate where everyone feels welcome, respected, supported, included, and valued. If a unit has already created a DEI Plan for the Division of Equity and Inclusion, we ask that it be included in the self-study. If one has not been created, we ask that the unit develop one as part of its self-study process for its academic program review.

The Director of Faculty and Departmental Diversity Initiatives is a member of the APR Support Team and is available to work with the unit on developing a DEI strategic plan. Detailed guidelines are available at http://diversity.berkeley.edu/toolkits-and-resources. Units are strongly encouraged to complete the self-assessment (on p 23 of the academic unit toolkit) as part of the self-study. Sample Plans are available at http://diversity.berkeley.edu/departmental-plans.

Units are also encouraged to create a proactive plan to prevent sexual harassment within their academic community. All too often after sexual harassment has been made public, people will say that they wish they had done more to prevent it, but that they were not sure what to do. There are actually many things units can do, to prevent harassment from happening. In developing the DEI plan, units may wish to consult the Preventing Sexual Harassment in Academic Deparments toolkit, created by the Berkeley PATH to Care Center. Units may also continue to work through the toolkit with support from the PATH to Care Center in the years after their review. The toolkit is aimed at preventing sexual violence and sexual harassment (SVSH) in academic departments. The toolkit and additional information are available at https://care.berkeley.edu/prevention-first/department-consultations-toolkits/preventing-svsh-academic-departments/. Units can also contact pathtocare@berkeley.edu for planning and implementation support, and additional information. Please note that this plan is not required to form part of the self-study, however the unit should reference the steps it is taking to proactively prevent SHSV, and units are encouraged to have this implemented by their mid-cycle check-in.

Section 5 –   Faculty Bios Appendix to Self-Study

Provide a 1-2 page biographical sketch for each member of the faculty, including ladder faculty, continuing lecturers, and other non-senate faculty.

Participation

The unit's faculty drives the development of the self-study, and we expect they will provide opportunities for non-ladder faculty, administrative, technical and research staff, postdocs, and graduate and undergraduate students to provide meaningful input to the self-study. They may also choose to consult with the heads of related academic programs, such as ORUs, as well as external advisors. Input may be gathered in a variety of ways, including retreats, town hall meetings, or surveys; key outcomes may be included in the self-study and memos from individuals or groups of these constituents may be attached as appendices.

Timing

The deadline for submitting the self-study is two months prior to the unit's External Review Committee (ERC) visit. To comply, the unit submits 16–20 (depending on number of external reviewers) bound, double-sided copies of the self-study and one electronic copy to the office of the VPAP.   **Please note:** Submission of the self-study two months prior to the ERC site visit is critical in order to provide sufficient time for the VPAP office and PROC to identify questions for the ERC, and then for the ERC to read and reflect on the unit's self-study, the OPA data analysis, and the questions in their charge letter in advance of their visit.

Step 5: External Review Committee and Senate Liaison - Selection and Charge

The inclusion of three to five extramural reviewers, the External Review Committee (ERC), in each review is an opportunity for units to discuss challenges and options for addressing them with knowledgeable, respected, and experienced colleagues. 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 on campus writing its report. 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, comparable departments and institutions;
- scholars reflective of the gender and ethnic diversity in the field; and
- scholars representative of the major subfields within the department and the discipline; and those with broad knowledge of the discipline as a whole.

An Academic Senate Liaison "at large" is appointed for each review. The Senate Liaison has three principal functions:

(1) to provide guidance to the ERC about Berkeley, its particular culture and institutions, and the context in which the unit operates;
(2) to act as the Senate's observer of the review, for both its process and its content; and
(3) to focus on the general environment within the unit (e.g., faculty-student relations, status of women and minorities, the climate within the department and sense of community, staff morale, teaching quality and quantity, intra-department faculty relations and collegiality) and how well the unit interacts with relevant campus units.

Although the Liaison's focus is not on curricular or research issues, as a Berkeley faculty member, their observations about the unit's place within the larger intellectual landscape of the campus are valued. The Senate Liaison's assessment is shared in a brief report.

Step 6: External Review Committee Visit to Campus

Over a two- to three-day site visit, depending on the size and complexity of the department or school, the ERC and Senate Liaison meet with the unit's faculty (including Continuing Lecturers and Teaching Professors), undergraduate and graduate students, post-docs, and staff, as well as directors or representatives of cognate or embedded units. The schedule for the ERC visit to the department or professional school is designed by the unit. The VPAP office provides a template for the schedule which will include meetings between the ERC, PROC and the dean before and after the ERC visits the unit (see APPENDIX II, for a sample schedule for ERC visit).

Step 7: Report Distribution and Responses from Senate Committees

The VPAP office is responsible for distributing ERC and Senate Liaison's reports and the unit's response to the Academic Senate; following the Senate's response to these reports, the VPAP's office distributes all materials to the PROC. The VPAP's staff keeps the unit informed about the process and is available to answer questions.

Step 8: Wrap-Up Meeting

Once the Academic Senate has had a chance to prepare its reports, the PROC, Senate Liaison and dean meet to discuss issues highlighted by the review and to suggest final recommendations to the unit. Following the wrap-up meeting, an outcome letter addressed to the department chair or professional school dean is drafted, summarizing the review findings and recommending actions to be undertaken by the unit, or the administration

in support of the unit, to address them according to a timetable. The outcome letter is also shared with the Vice Chancellors who are not members of PROC and the University Librarian. At this point, all review reports and the outcome letter become part of the public record.

Step 9: Follow-Up: The Unit Response to the PROC Recommendations

The unit is expected to take actions to address the findings of the program review, in some instances according to a specific timeline provided in the outcome letter. The unit is also 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 Vice Provost for the Faculty). The cognizant dean is expected to comment on the unit's progress in his/her annual FTE request.

Step 10: Mid-Cycle Check-in

To help ensure that units communicate progress on the review outcome recommendations and that the central administration supports them toward achieving their goals, the PROC has instituted an annual reminder and a mid-cycle check-in. The annual reminder includes the unit's most recent program review outcome letter and a customized academic program review calendar. The mid-cycle check-in form is to be completed by the unit approximately 5 years after the issuance of the outcome letter. When indicated in the outcome letter, the unit head and Equity Advisor are expected to meet mid-way between reviews with a representative of the Committee on Diversity, Equity, and Campus Climate to discuss progress toward improvements in equity and inclusion based on recommendations generated by the prior review. The VPAP office is responsible for maintaining a database of reports of follow-up activities undertaken in response to the recommendations; the annual meeting of PROC will devote time to reviewing the progress on these recommendations.

Confidentiality Policy Regarding Academic Program Review Reports

It is UC Berkeley policy that reports generated during Academic Program Reviews will be considered confidential until the EVCP and the VPAP send the final outcome letter to the chair (or dean) of the department (or school). "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 PROC, and members and staff of the committees of the Academic Senate who 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. Prompts for Discussion in the Self-Study

Overview

The centerpiece of the APR process is the self-study by the unit. Thinking about, discussing, making decisions, and writing of the self-study affords faculty and, as appropriate, students and staff, the opportunity to have conversations about how:

1. they assess the unit's position within the discipline, the effectiveness of its teaching and research programs, and the climate within the unit for faculty, students, and staff; and
2. how they may need to plan strategically to reposition themselves to take advantage of emerging areas of research, redesign teaching programs to update content or better support students in achieving learning goals, and to better integrate all perspectives and all stakeholders.

The self-study is a record of the outcome of these conversations regarding the unit's current state, where it would like to be in the next five to ten years, and how it plans to (re)allocate resources to move from where it is to where it would like to be. **The unit should feel free to focus primarily on issues it would like reviewers to address.**

Questions posed at the conclusion of the OPA Data Summary are designed to contribute to the unit's strategic thinking and planning based on the data available centrally. The unit is also asked to consider ways in which it can align its programs and practices with campus-wide strategic planning initiatives, such as in undergraduate education, as those plans are rolled out.

The questions listed below are *suggestions only*. In other words, what follows are strictly *prompts* for unit discussions, which might be useful in thinking about what to provide for Section 2 (Current State), Section 3 (Strategic Plan), or Section 4 (Diversity, Equity, and Inclusion Plan) of the Self Study.

Self-Study Section 3a – Vision and Strategic Priorities

It may be helpful to draft responses to these questions at the beginning of the self-study and then to revisit, revise, and affirm your responses after considering the questions in subsequent sections.

a) What is the unit's reputation and what makes it distinctive vis a vis its peers nationally and internationally? How would the unit describe its contributions to the field and to society?
b) What are the unit's strategic goals and how are the unit's resources allocated to meet its strategic and programmatic objectives?
c) How does the mission of the unit align with the campus mission to promote equity and inclusion?
d) What are the critical challenges and opportunities facing the unit?
e) What are the unit's prioritized plans for how to address them?
f) What evaluation criteria and metrics would the unit employ to help provide knowledge of success?
g) Are there critical partners for achieving success?

Self-Study Section 3b – Research (Intellectual Focus)

a) 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?
b) What are the research strengths of the unit?
c) What new areas should the unit intend to pursue?
d) Highlight faculty achievements, successes in external funding, citations, external or internal awards, etc.
e) What are the sources of research funding and are they increasing or decreasing?
f) 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.

g) Discuss the academic culture of the unit and the intellectual interactions that occur. Are there any substantive disciplinary, methodological, or research priority differences that may affect the smooth functioning of the unit's programs? Does the unit climate foster productive interactions, or is there evidence of exclusionary behavior? If so, please describe these challenges, along with steps that are being or could be taken to mitigate them.

h) 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?

i) Do all faculty members find the unit 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? What incentives exist for faculty to make positive contributions to diversify the unit and create a positive climate?

j) 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 a gender balance of speakers as well as speakers from underrepresented groups?

k) How do the research strengths of the faculty support the curriculum?

Self-Study Section 3c – Campus Ecosystem

a) Where does the unit fit in the ecology of the campus?

b) Describe existing links with other academic units on campus, such as joint faculty appointments, participation in graduate groups, cross-listed courses, shared undergraduate and graduate service courses and enrollments.

c) Analyze whether there is any overlap or potential overlap in resources and programmatic goals with other units on campus.

d) Note and discuss any current or potential links with research units. Analyze how these links might be strengthened.

Self-Study Section 3d – Education (Objectives, Learning Goals and Assessment)

Undergraduate Program:
Ideal size; goals, impact on student learning; curriculum and advising demand; resources

a) What constitutes "quality" in undergraduate education in your field? What are the unit's undergraduate student learning goals/outcomes for the major and how do specific courses and program requirements (e.g., a capstone project, portfolio, senior thesis or performance, etc.) help students to achieve these goals or outcomes? How have the goals of the program changed in recent years and on what were the changes based? How is information about the learning goals communicated to majors and potential majors?
   ○ Do the demographics of students participating in your major reflect the student pool demographics?
   ○ Do capstone projects reflect the demographics of the undergraduate student pool in your department? If not, what efforts have you made to be a welcoming place for groups that are particularly underrepresented in your department?

b) How does the unit know how well students in the major are achieving the learning goals/outcomes? What indicators of student learning does your unit gather and review? Who is engaged in the curricular improvement process? What have you learned and what changes have you or will you make in the short- and long-term?

c) How do the major/minor curricula address Berkeley's undergraduate competencies (literate, numerate, creative, investigative) and dispositions (open-minded, worldly, engaged, disciplined)? See curriculum improvement cycle below (figure 2).
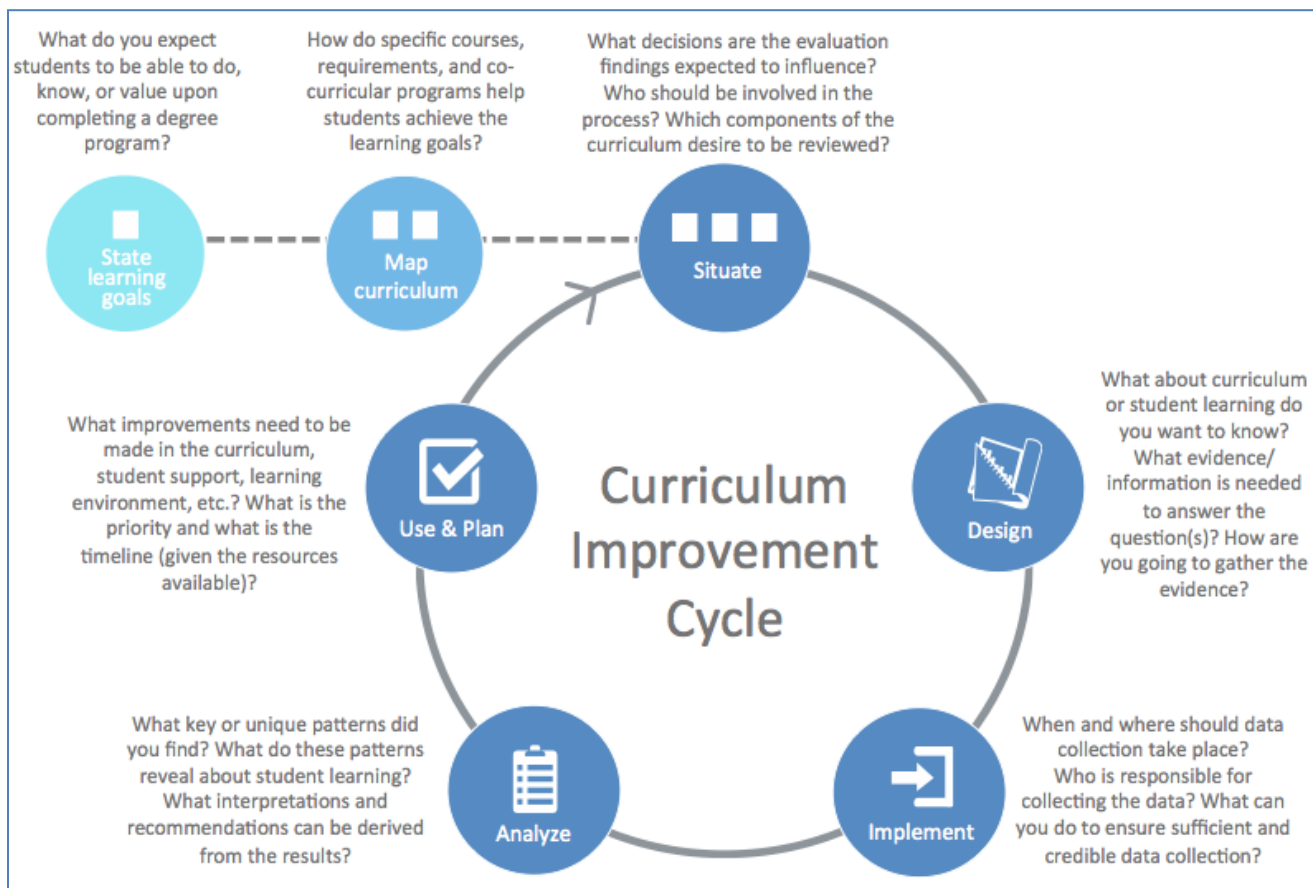
Figure 2: Curriculum improvement cycle

d) 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? What outreach efforts exist to advance underrepresented student research and mentorship?

e) 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?

f) 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, LGBTQ, cultural diversity, or disability access? Does the program offer opportunities for community-engaged scholarship?

g) How do you ensure that instructors are prepared to teach a heterogeneous population, made up of students with a diversity of backgrounds, experiences, and academic preparedness?

h) 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?

i) Explain how the unit's training and assignment of GSIs favorably impacts the undergraduate curriculum?

j) If the major is capped (i.e., more students would like to declare the major than the unit considers sustainable and it sets a GPA requirement higher than the L&S-wide minimum of 2.0 and/or the unit sets an enrollment cap), what are the admissions criteria? Is the cap and the criteria reviewed periodically? What are the benefits to students, the unit and the university? Does the cap adversely affect gender

balance, URM students, and transfer students? How do you equitably manage course demand if it exceeds available seating?

k) If time to graduation is longer than desired, what actions are being taken to ensure that students graduate in a timely manner? Is the average time to graduation of underrepresented students similar to other students?

l) 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?

m) How does the program deal with the special needs of community college and other transfer students?

n) Does the unit have programs to attract and retain students from groups that are underrepresented in higher education or in your field (including gender imbalances)?

o) Are there new degrees or other curricular initiatives you are considering or currently developing?

Undergraduate Student Services and Advising

a) **Mission and Activities:** What is the advising unit's mission? Is the advising unit's mission in line with the Advising Council's Vision and Principles and the CAS Standards? What does the program expect students to gain from staff advising activities and resources (i.e., advising student learning outcomes) and how are advising activities and resources helping students to reach the outcomes?

b) **Policy and Procedures:** How are advising policy and procedures formulated and communicated to students and staff?

c) **Inclusion, Diversity, and Equity:** What efforts are made to ensure that underrepresented and international students are fully served by advising resources? Are advising programs and/or activities, sponsored by the program, designed to engage a range of student populations?

d) **Organization and Management:** How are the advising services structured (reporting line, stated policies and procedures, clear performance expectations, etc.) in collaboration with faculty advisors, to support student success? 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? Is the advisor-to-student ratio appropriate?

e) **Advisor Development and Training:** Are advising staff encouraged to participate in campus training and support programs? How are performance standards set and utilized?

f) **Evaluation and Strategic Planning:** What mechanism do you have to monitor and ensure that the advising program is effective? What improvements and adjustments have you recently made on the basis of your evaluation of your advising program? How has the evaluation findings informed the advising unit's or program's strategic planning? What major challenges do you foresee in the next review period and how do you plan to meet them?

Graduate Program
Education, Mentoring, and Professional Development

a) 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 (https://grad.berkeley.edu/programs/graduate-program-outcomes/) 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?

b) 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.

c) Does your unit house or participate significantly in any graduate groups? How does the graduate group align intellectually with the department's graduate program? What interactions are there between students in the graduate group and those in the department?

d) Does your unit house or participate significantly in any self-supporting graduate professional degree programs (SSGPDP)? See https://grad.berkeley.edu/program-proposals/self-supported/. What is the impact of the program(s) on other graduate student education (state-assisted or self-supported) in your unit?

e) What are the admissions procedures for the graduate program(s), and what is the yield rate (both with and without financial aid)?

f) What types of financial support packages are offered to entering students and what are the procedures for allocating them? If there are differing levels of support among the graduate students, does this create a sense of competition or favoritism, and what steps have you taken to address this?

g) What institutions do you compete with for graduate students? What constitutes "success" for you in this competition? What limits your ability to "succeed" further?

h) Provide the unit's outreach plan to promote diversity in the graduate program.

i) How does the program promote an inclusive, respectful, and welcoming environment 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?

j) 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.

k) If your program offers a doctoral degree, describe any preliminary examinations or reviews the student undertakes before the Qualifying Examination. What is the format used for the Qualifying Exam? How are Qualifying Exam members chosen? 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?

l) How are GSI teaching opportunities distributed and evaluated? What steps have you taken to ensure that graduate students understand the process and find it transparent and equitable? 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?

m) 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.

n) What percentage of your current students have not met normative time benchmarks? To what do you attribute this? Do you observe any demographic skewing within this set of students, and if so, how are you addressing it?

o) Explain what professional development activities are designed for the program's students. How is preparation for careers outside of academia addressed?

p) In what departmental committees or activities are your graduate students involved? How are student committee members chosen? To what extent do faculty participate in departmental graduate student sponsored activities?

q) Discuss (with data) the job placement of your graduate students during the last five years.

r) What have you recently learned from student data, including student progress/performance data across cohorts or from survey data? Were there any improvements made in the curriculum, student support, learning environment, or measures to promote a healthy department climate/culture, based on what you learned? What new graduate degrees or curricular initiatives are you considering or currently developing, and what are your motivations for pursuing them? What major challenges to these programs do you foresee in the next review period and how do you plan to meet them?

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 recognized 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, pedagogy consultants, etc.)?

d) What efforts are being made to survey recent degree recipients (e.g., exit surveys) and alumni about the quality of teaching, and what has been learned from these?

e) Describe possible innovations in teaching that are contemplated and why they are under consideration. What steps are being undertaken to innovate and how might the campus support these efforts?

For a detailed set of questions regarding GSI mentoring and professional development, please see these two links on the Graduate Council website:

● https://academic-senate.berkeley.edu/sites/default/files/assessing_dept_efforts_to_mentor_gsis_12.02.19.pdf
● https://academic-senate.berkeley.edu/sites/default/files/prof_devt_qs_for_apr_12.02.19.pdf

Faculty Advising and Mentoring of Students and Postdocs

a) What are the procedures for faculty oversight of undergraduate special studies courses (e.g., field studies, group studies including DE-Cal courses, independent research)?

b) How do ladder faculty oversee curriculum taught by Lecturers, Adjuncts, and other non-ladder instructors? How do ladder faculty mentor non-ladder instructors?

c) What is the average length of service as graduate, major, and other advisers?

d) How does the faculty participate in the mentoring of GSIs and their preparation for teaching? What procedures are in place for oversight of GSIs?

e) 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?

f) How are faculty actively encouraged and valued for their contributions to mentoring and advising students and postdocs from groups that are underrepresented in higher education or in the field? In what ways are they actively encouraged and recognized for their contributions to equity, outreach, and inclusion in mentoring? *In alignment with APM 210-1-d, contributions to diversity and equal opportunity in mentoring and teaching should be recognized and rewarded.*

Self-Study Section 3e – Faculty

Strategic Hiring Plan

a) What are the areas in which searches are likely to take place in the next five years? Consideration should be given to: campus values of diversity, equity and inclusion; excellence and strength in core programmatic areas; and collaboration and coordination with campus programs and units with similar disciplinary areas pertaining to teaching and research.

b) What is the right mix of faculty across ladder (tenure-) track faculty, teaching professors (formerly lecturers with security of employment or potential for security of employment), and other instructional faculty (e.g., Unit 18 lecturers, adjunct faculty, etc.)?

c) To what extent are these searches motivated by covering key areas of the curriculum?

d) Do proposed searches provide research breadth or depth and/or academic value beyond the requesting unit?

e) Are there specific research or curricular areas or declining demand or vibrancy that could be deemphasized to permit growth in other areas? Is there emerging demand in some areas or new areas of research that represent new and pressing priorities?

f) To what extent are hiring priorities coordinated with other campus units?

Faculty Mentoring

a) Please address the development strategy for **Assistant Professors**. Does the department have a written faculty mentoring plan established with faculty buy-in? How are they mentored? How are they included in

the intellectual life of the department? Are the expectations for tenure explicit and their progress toward tenure regularly discussed with them?

b) What are the 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) What are the 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) Address how non-ladder faculty, including teaching professors and other instructional faculty (e.g., Unit 18 lecturers, adjunct faculty, etc.) are mentored, supported, and integrated into the department.

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 OPA, 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, c) teaching professors, d) adjuncts, and e) 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 and appropriate distribution of faculty service assignments be, and what efforts are made to ensure that this distribution is achieved?

Self-Study Section 3f – Resources and Governance

Staffing, Physical Facilities, and Other Resources

a) Does the unit's current space meet its research and teaching needs? Does the unit have plans that might affect the unit's long-term space needs? Does the unit have funding to assist with the upkeep of space currently assigned to the unit? Does the unit have any fundraising plans that might assist with growth and/or change and refurbishment of existing space?

b) 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?

c) 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?

d) In what ways do staff contribute to and support departmental excellence?

e) What are current faculty-to-staff and staff-to-student ratios? How is the level of support measured? Are these adequate?

f) How do staff and faculty interact, collaborate, and share responsibility for the unit's administrative functions?

g) How are expectations about respectful collaborations and interactions communicated?

h) Comment on the morale of staff, as indicated by turnover rates, absenteeism, number of grievance procedures, disciplinary proceedings or mediation, medical or "stress" leave? Do you regularly check in with department staff about whether they feel respected and valued in the department?

i) 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?

j) What mechanism does the unit use to establish and nurture outreach and alumni relations?

Unit Governance and Administration

a) 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?

b) Describe how faculty members engage in informed collective discussion on important unit issues.

c) Does the unit have by-laws for academic recruitment?

d) Describe the role of the chair, vice-chair, and executive committee (if applicable). Provide names of other unit committees.

e) Do non-tenured faculty participate in the unit's governance and, where eligible, academic personnel decisions and in the unit's administration?

f) How is the role of the equity advisor defined in your program?

g) What barriers exist that restrict easy access by qualified students, staff, and faculty to do their work e.g., do they have the necessary resources and equipment, office space, ADA accessibility, etc.? What is the plan to address such barriers?

h) List all student participation on committees and in other roles in the unit's governance.

Appendix II. External Review Committee Sample Schedule

Wednesday, xx

Up to 10:00 a.m.	**External Review Committee Arrival & Check-in** at the Hotel.
10:40 – 11:00 a.m.	**External Review Committee** meets **Verna Bowie** at Hotel and is escorted to The Faculty Club
11:00 – Noon	**Welcome Meeting**: Hosted by Vice Provost Academic Planning, The Faculty Club
	Attendees: Dean, Academic Senate Liaison; External Review Committee.
Noon – 1:30pm	**Welcome Lunch -** Hosted by Vice Provost Academic Planning, The Faculty Club
	Attendees: External Review Committee, Senate Liaison, and PROC
1:30 – 1:45 p.m.	Chair escorts ERC and Senate Liaison from The Faculty Club to Department.
1:45 – 2:15 p.m.	Welcome, Overview of Department and Tour hosted by Chair
2:15 – 3:00 p.m.	Assistant Professors
3:00 – 3:45 p.m.	Associate Professors
3:45 – 4:30 p.m.	Committee on Diversity, Equity, and Inclusion
4:30 – 5:30 p.m.	All Faculty
6:00 p.m.	**Dinner:** Reservation in name of Chair. [Department makes reservation; VPAP pays]
	Attendees: Department Chair; Dean, Senate Liaison; and the External Review Committee

Thursday, xx

Up to 8:45 a.m.	Breakfast at external reviewers' discretion
8:45 – 9:00 a.m.	Faculty member escorts the **External Review Committee** from the hotel lobby to the **Department.**
9:00 – 9:45 a.m.	Administrative and Technical Staff
9:45 – 10:15 a.m.	Undergraduate Program Meeting
	Attendees: Department Chair, Director of Undergraduate Studies, Undergraduate advisers, and MSO
10:15 – 10:30 a.m.	Break
10:30 – 11:30 a.m.	Undergraduate Students. *Coffee, juice and breakfast pastries will be served.*
11:30 – 12:00 a.m.	Graduate Program Meeting
	Attendees: Department Chair, Director of Graduate Studies, Graduate advisers, and MSO
12:00 – 1:00 p.m.	Lunch Session 1: Graduate Students
1:00 – 1:15 p.m.	Break
1:15 – 2:00 p.m.	Postdocs and/or Researchers
2:00 – 2:45 p.m.	Teaching and/or Adjunct Faculty
2:45 – 3:30 p.m.	Instructional Faculty
3:30 – 3:45 p.m.	Break
3:45 – 4:30 p.m.	Female Faculty
4:30 – 5:00 p.m.	Wrap-up meeting with Chair
6:00 p.m.	**Dinner:** Reservation in name of Department Chair. [Department makes reservation; VPAP pays]
	Attendees: Chair, Senate Liaison; External Review Committee; and faculty of department's choice.

Friday, xx

Up to 8:40 a.m.	Breakfast at External Review Committee's discretion
8:40 – 9:00 a.m.	**Verna Bowie** meets **External Review Committee** at hotel and accompanies ERC to California Hall
9:00 – 5:00	**ERC** Report writing, **35 California Hall**
Noon	Lunch, provided by staff in **35 California Hall**
1:45 p.m.	**Verna Bowie** escorts **ERC** to Exit Interview
2:00 – 3:00 p.m.	**Exit Interview:** Hosted by Vice Provost Academic Planning, Chancellor's Conference Room
	Attendees: PROC, External Review Committee, Senate Liaison.
3:00 – 5:00 p.m.	Finish Writing ERC Report, **35 California Hall**
	Conclusion of Site Visit

Appendix III. Department Checklist

☐ VPAP will schedule the kick-off meeting and APR support team meeting.

☐ Provide Verna Bowie (program-reviews@berkeley.edu) with an annotated list of nominees for the ERC and for Senate Liaison.

☐ Provide Malcolm Quon (malcolm@berkeley.edu) with 2 to 3 internal peer programs and 2 to 3 external peer programs.

☐ Provide feedback to Malcolm Quon on OPA Data Summary draft.

☐ Deliver self-study to Verna Bowie (244 California Hall), 2 months prior to ERC visit (20 to 23 two-sided, bound copies; electronic copy).

☐ Prepare a schedule for ERC visit and send it to Verna two weeks prior to visit.

☐ Ensure that a departmental representative meets ERC members and walks them to the department on the first and second day of visit, depending on ERC schedule.

☐ Return signed and completed host forms for first and second site visit night dinners to Verna Bowie (VPAP, 200 California Hall, MC 1500). Itemized receipts for dinners must include proof of payment (last 4 digits of credit card). If cost is over the amount allowed by VPAP's office, include departmental chartstring.

☐ Check ERC report for factual errors and return error addendum to Verna within 2 weeks of receipt of report.

☐ Prepare response to ERC and Senate Liaison reports (due 6 weeks following Verna's request).

☐ Comply with follow-up activities recommended by PROC in the outcome letter.

☐ Submit mid-cycle check-in (5 years after the outcome letter is issued).