

**The UC Berkeley Strategic Academic Plan:  
Five-Year Review**

A Report to the Chancellor  
by the  
Office of the Vice Provost-Academic Planning & Facilities

August 1, 2008

## Introduction

The *UC Berkeley Strategic Academic Plan* was published in June, 2002, having been developed by the Strategic Planning Committee over the previous 18 months. The plan may be found at: <http://www.berkeley.edu/news/media/releases/2003/05/sap/plan.pdf>. A one-year review was done in 2003. This five-year review provides a comprehensive summary of the impressive progress made in most areas since 2003.

The first section of this report, Principles and Proposals, addresses the ten key aspects of the academic enterprise put forth by the *Strategic Academic Plan*. The second section, The Path to Implementation, starts on page 20 and describes progress on the approach recommended by the Strategic Planning Committee. The 14 actions are incremental steps necessary to institutionalize the plan, structure implementation, and establish responsibility.

## Section 1

### Strategic Academic Plan: Principles and Proposals

#### 1. Placing a Limit on Growth

(Point of Responsibility: EVC&P)

##### *1.1 Limit Enrollment at Berkeley to No More than 33,000 Student FTE by 2010*

Progress:

- In 2007-08 the campus expects to enroll 33,800 FTE, exceeding the 2010-11 target (33,170) by over 600 student FTEs. Current projections indicate that the campus will enroll approximately 34,500 FTE by 2010-11, or 1,275 student FTEs over budget. An additional concern is a decreasing percentage of graduate students.
- In 2007-08, the campus conducted a long-range enrollment planning study which suggested adding approximately 800 additional undergraduates, 800 on-campus state-supported graduate students, and 600 off-campus and/or self-supporting graduate students. To meet new non-resident tuition targets established by the Office of the President, 200 non-residents were added to the freshman class. Over a four-year period, this would add the 800 additional undergraduates referenced above.
- Key drivers for this decision to depart from the 2003 plan are the new non-resident tuition targets set by OP for the campus, and our commitment to diversity among our student population. The decision for relatively modest growth to achieve these ends was considered more critical than constraining the campus to achieve both imposed budget objectives and desired diversity within the original target.
- Demand for graduate education remains strong; it will be a key focus for the system over the next decade, and it is critical that Berkeley continues to play its leading role. The state has indicated needs in health professions, especially public health, and engineering and allied professions such as architecture, all areas of strength at Berkeley.
- We have improved student throughput. Currently, it takes Berkeley students an average of 8.04 semesters to complete an undergraduate degree; thus, campus is providing access to a Berkeley education to a larger number of undergraduates than ever before.

#### 2. Ensuring Excellence

(Point: EVC&P & Senate Chair)

##### *2.1 Conduct Regular External Reviews of All Academic Programs*

Progress:

- As envisioned by the Program Review Working Group, the Program Review Oversight Committee (PROC) has now established a permanent calendar of reviews (with room for flexibility under exceptional circumstances). The virtue of the permanent calendar is that it reassures units that they are not being singled out for review for capricious or punitive reasons. PROC initiates 8-9 reviews annually over an eight-year cycle for its roughly 65 departments. Reviews take significantly more than one year to complete (Strategic Plan). The current standard is 18 months; the average time is closer to 25 months but it is decreasing for reviews started most recently.

- Staffing levels and budgetary constraints have slowed the expansion of program reviews under PROC oversight to undergraduate programs that offer degrees; however, these programs do receive some form of review, as discussed elsewhere in this document.

## *2.2 Establish Clear Criteria for Program Reviews*

Progress:

- This has been accomplished. The ***UC Berkeley Guide for the Review of Existing Instructional Programs*** is available online at <http://opa.berkeley.edu/academicprograms/ReviewIndex.htm> and is also available on the Vice Provost for Academic Planning and Facilities' website ([vpapf.chance.berkeley.edu](http://vpapf.chance.berkeley.edu)). The review process is designed to encompass the review criteria proposed in the Strategic Plan by assisting units in assessing their current resource base and programmatic vision and, most importantly, assisting them in planning strategically for the future.

## *2.3 Integrate both Departmental and Non-Departmental Programs into the Cycles of Program Reviews*

Progress:

- Mechanisms have been established to review non-departmental undergraduate programs, and the effort is beginning in Spring 2008.

## *2.4 Integrate the Graduate Groups into the Cycles of Program Reviews*

Progress:

- The Energy Resources Group and Helen Wills Neuroscience Initiative, which report to the Vice Provost for Academic Affairs, have been integrated. Graduate Groups continue to be reviewed by Graduate Council and Graduate Division.

## *2.5 Extend Program Reviews to Non-Academic Units*

Progress:

- Reviews of non-academic groups have not been established. The working group which considered this proposal could not reach consensus on common criteria and protocols. They recommended that each Vice Chancellor set standards and measure benchmarks within their purview, and in many cases, such efforts are underway. Furthermore, since the Strategic Academic Plan was written, Vice Chancellor Brostrom has unified business services under his oversight.

# **3. Pursuing New Areas of Inquiry:**

**(Point: VP-APF & Senate Chair)**

## *3.1 Solicit Ideas for New Academic Initiatives from the Faculty*

Progress:

- The first phase—the New Interdisciplinary Initiatives-- began in 2003. There were a number of campus forums in the main discipline areas (arts and humanities, social

sciences, physical sciences, engineering, environmental design). From those, 23 original proposals resulted.

- The second phase—the Berkeley Diversity Research Initiative—began in 2006.
- Other interdisciplinary initiatives have been started when contributions, grants, and contracts have made it possible: the Energy Biosciences Institute, the Blum Center for Developing Economies, and the Berkeley Stem Cell Center. Many Berkeley faculty have associated themselves with these initiatives, and collaboration with other organizations and universities is extensive.

### *3.2 Identify Themes of Exceptional Promise*

Progress:

- Ten themes were tagged and proposers were asked to submit more info and take part in an interview with a Blue Ribbon Panel. The panel then communicated its opinions to the internal review committee and EVCP Gray to recommend establishment of five new academic initiatives.
- Through a series of campus forums and discussions, and with the direction of the BDRI Steering Committee, interested groups were formed. Twenty-one groups submitted proposals for the BDRI.
- There is no question that alternative energy, global poverty, and stem cell research not only show exceptional promise, but there are compelling practical and moral reasons to pursue these research themes.

### *3.3 Request Proposals for New Programs with the Themes*

Progress:

- Five New Interdisciplinary Initiatives were selected for funding by the EVCP in 2004, four of which also received faculty FTEs: Computational Biology, Environment (no FTEs), Global Metropolitan Studies, Nanosciences and Nanoengineering, and New Media. Each of the New Initiative Centers (NICs) is now established and making excellent progress in developing a program and hiring its target number of faculty FTEs. Links to each NIC can be found on the VPAPF website: [vpapf.chance.berkeley.edu](http://vpapf.chance.berkeley.edu).
- In 2006-07, three BDRI research clusters were given FTEs and support from the EVCP: Diversity and Democracy, Diversity and Health Disparities, and Educational Policy Collaboration Research. None of the clusters hired succeeded in hiring faculty in 06-07, but Educational Policy hired two women to begin July 1 2008, and Diversity and Health Disparities hired one woman to begin at the same time.

## **4. Enhancing Undergraduate Education**

**(Point: VP-UE &  
Committee on Educational Policy)**

### *4.1 Integrate Inquiry-Based Learning into Undergraduate Education*

Progress:

- From 2003 to 2007, 44 distinct Mellon courses across a broad range of disciplines were redesigned to incorporate information competencies, research skills, and the use of the Library's print and digital collections as integral components. Thirty of these courses

were taught more than once during this period. Four were not yet offered as of December 2007. Twenty-nine of the Mellon courses were lower division offerings and 59 had enrollments of over 100 students, reaching some 12,576 distinct undergraduate students. See <http://www.lib.berkeley.edu/mellon/>

- In Spring 2005, the campus held the second Teaching, Learning & Technology Symposium: From Information Overload to Information Rich: Teaching and Critical Thinking in the Point-and-Click Age. The program including presentation of best practice pedagogical models from the Mellon Initiative. See [http://www.berkeley.edu/news/berkeleyan/2005/03/17\\_eberkeley.shtml](http://www.berkeley.edu/news/berkeleyan/2005/03/17_eberkeley.shtml)
- The fifth annual Library Prize for Undergraduate Research award ceremony was held in Spring 2007. Since the program's inception, more than three dozen undergraduates at the lower and upper division have been recognized for outstanding achievement in undergraduate research projects completed in courses across the campus. See <http://www.lib.berkeley.edu/researchprize/>

#### *4.2 Ensure All Undergraduates Become Literate, Numerate and Capable of Creative Thinking in a Broad Range of Disciplines*

Progress:

- The College of Letters & Science launched the L&S Discovery Courses in 2005-06. These courses taught by the most outstanding Berkeley professors are designed to reinvigorate the L&S seven-course breadth requirements by creating innovative courses for non-majors: <http://lsdiscovery.berkeley.edu/>
- See also USLI under 4.4.

#### *4.3 Improve the Availability and Quality of Mentoring, Advising, and Academic Support for both Declared and Undeclared Students*

Progress:

- A joint DUE/L&S Advising Group meets regularly and has made progress in a number of areas including better use of electronic communication and web-based advising tools, cross-departmental training and networking opportunities, and development of a cross-departmental advising mission.

#### *4.4 Regularize the Assessment of Undergraduate Educational at Berkeley*

Progress:

- The guidelines for academic program review have been reworked to include a substantial focus on undergraduate education. Both the departments and the external review teams are asked to address undergraduate education in their self-studies and reports, and central campus data, including undergraduate student survey data, is provided to support a focus on undergraduate education.
- The Undergraduate Student Learning Initiative was launched in Fall 2008 to support departments in establishing educational goals and evaluation procedures for all undergraduate programs by June 2008. The initiative is a joint Academic Senate and administration effort. See <http://education.berkeley.edu/usli>
- The VPUE and the VP-APF are co-sponsoring an ad hoc review of all non-departmental undergraduate interdisciplinary programs in Spring 2008.

#### *4.5 Encourage All Faculty to Contribute to Undergraduate Education*

Progress:

- Undergraduate major programs taught by faculty in the professional schools (Public Health, Social Welfare, Business and Legal Studies) continue to thrive and attract strong student demand, and UGIS majors also engage faculty from across the campus in teaching in our twelve undergraduate interdisciplinary programs.
- Faculty, including faculty in the professional schools and elsewhere who don't normally teach undergraduates, are regularly encouraged to teach Freshman Seminars as an overload with a research stipend incentive.
- Since 2000, the number of undergraduate primary classes has increased 20.6%, and the average class size has dropped from 49.6 students to 43.4 students/class.

#### *4.6 Support and Facilitate Timely Graduation*

Progress:

- The Council of Undergraduate Deans has revised the Change of College policy to ease transfer between colleges and to ensure that students can make timely progress toward the appropriate degree. In addition, individual colleges continue to encourage timely degree progress through internal policies and procedures.
- OPA and OSR continue to monitor time-to-degree and share data with the VP-UE and other senior administrators. Berkeley has achieved an all-time high rate for entering freshmen, with 89% graduating in six years, and 60% graduating in four years. Currently it takes Berkeley students an average of 8.04 semesters to complete the undergraduate degree.

#### *4.7 Encourage and Facilitate International Education*

Progress:

- The number of students participating in Berkeley Programs for Study Abroad increased from 622 in 2002/03 to 787 in 2006/07. Berkeley has not tracked participants in non-UC study abroad; however, in fall 2007 the Office of Undergraduate Admissions and the Registrar began to track UCB students who study abroad independently and request credit transfer. Students enrolled in Summer Travel Study through Summer Sessions numbered 390 in 2004 and 337 in 2007; however, the recent total was affected by the cancellation of all but one program in 2006. Now that Summer Travel Study has been reorganized, the number of enrollees is expected to exceed 390 next summer.
- The VP-UE sent a memo [dated August 29, 2007] to deans and department chairs encouraging students to enroll in Education Abroad Programs, and a new UC EAP faculty e-newsletter was sent to all Berkeley faculty.
- Summer Sessions has expanded its International Institutional Partnership Program to include 45 partners in 18 countries, bringing over 1,400 international students to Berkeley in the summer of 2007. Summer Sessions has also re-launched its travel study program in summer 2007 and has sent over 300 students to summer classes around the world.
- The campus is supporting a systemwide effort to double the number of students participating in education-abroad efforts. This will include enhancements to the student

information system to identify student studying abroad in non-UC education abroad programs.

## **5. Transforming Instruction**

**(Point: VP-T&L & CEP; Graduate Dean & Graduate Council)**

### *5.1 Establish Campus-wide Guidelines for the Roles of Ladder Faculty and Other Instructors*

Progress: none

### *5.2 Establish a Formal System of Instructor Training / Mentoring, Performance Incentives and Assessment*

Progress:

- The Office of Educational Development has instituted a number of new programs including an electronic newsletter for new faculty, separate fellows program for both ladder-rank faculty and lecturers, and a newly revamped website.
- In December 2002, the GSI Training and Mentoring Task Force, in consultation with the Graduate Council, amended the GSI Appointments and Mentoring policies. The policy, revised most recently in 2005, outlines requirements for GSI training and faculty mentorship of GSIs and is available at <http://evcp.chance.berkeley.edu/GSIMentoringPolicy.pdf> (a summary of provisions for GSI training can be found on the GSI Teaching and Resource Center website at <http://gsi.berkeley.edu/faculty/mentoring.html>). Due to the changes arising from the October 2007 UC-UAW labor agreement regarding Academic Student Employees, a committee of the Graduate Division is reviewing this document to present draft revisions for the Graduate Council's consideration in 2008.

#### **Systematization of GSI Training:**

- As stipulated in the Graduate Council's current policy, all first-time GSIs are now required to take part in a day-long Teaching Conference offered by the GSI Teaching and Resource Center ([http://gsi.berkeley.edu/conf\\_wkshop/confs.html](http://gsi.berkeley.edu/conf_wkshop/confs.html)).
- GSIs must also enroll in a semester-long course on teaching offered by the department; there are now over 50 of these 300-level pedagogy courses. Through course development meetings, web-based materials, grants, a listserv, and an annual reception, the GSI Teaching and Resource Center provides support and coordination for 300-level course instructors on campus.
- GSIs must successfully complete the five-module online course, Professional Standards and Ethics in Teaching, created and updated annually by the GSI Teaching and Resource Center. A course overview and objectives can be found at <http://gsi.berkeley.edu/ethics/overview.html>. The modules are: Promoting Learning through Diversity: The Inclusive Classroom; Teaching Students with Disabilities; Creating an Educational Environment Free of Sexual Harassment; Fostering Academic Integrity; GSI Professional Responsibilities and Ethics.

#### **Other mentoring programs and activities:**



- The GSI Teaching and Resource Center offers an annual seminar for faculty on teaching with GSIs. This seminar draws approximately 15 faculty members each year. Recipients of the Faculty Award for Outstanding Mentorship of GSIs are invited as speakers at this seminar.
- In 2003 the Graduate Division established The Summer Institute for Preparing Future Faculty. Now in its sixth year, the program prepares graduate students for faculty careers. Graduate students are introduced to the roles and responsibilities of faculty members at a variety of institutional types; they also received systematic training in preparing a teaching portfolio and in academic editing, writing, and publishing.  
[http://gsi.berkeley.edu/conf\\_wkshop/institutes.html](http://gsi.berkeley.edu/conf_wkshop/institutes.html)
- The GSI Teaching and Resource Center is finalizing plans for a Certificate in Teaching in Higher Education. Current GSI training requirements (teaching conference, online course on professional standards and ethics, and 300-level pedagogy seminar) can be counted toward completion of the certificate. Other requirements for certificate completion will include the development of a teaching portfolio, videotaping and follow-up consultation, faculty observation of teaching, and the development of a course syllabus with learning objectives, assignments, and a course rationale.
- The GSI Teaching and Resource Center collaborates annually with the ASUC on a graduate-undergraduate mentoring program and offers a one-unit course (GSPDP 301) on Mentoring in Higher Education for graduate students who participate in the mentoring program.
- The GSI Teaching and Resource Center was acknowledged by the external reviewers in the University's most recent re-accreditation process (2004) as "a model for GSI development programs everywhere."  
[http://education.berkeley.edu/accreditation/pdf/Ed\\_Eff\\_Review.pdf](http://education.berkeley.edu/accreditation/pdf/Ed_Eff_Review.pdf)
- The Graduate Division is participating in proposals for Graduate/Undergraduate Research Mentorship opportunities through a collaboration with the VC-UE, VC-EI and several deans on campus.

#### **Assessment:**

- All GSIs are evaluated by their students at the end of the semester. GSIs are strongly encouraged to conduct mid-term assessments of their teaching as well. As stipulated in the Graduate Council's Policy on Appointments and Mentoring of GSIs, departments are required to review all end-of-semester evaluations of GSIs and, in the case of GSIs whose performance is deficient, work with the GSI to create an improvement plan. Classroom observation of GSIs, especially of new GSIs, is called for in the Graduate Council's policy.

#### **Mentoring Awards and Incentives:**

- The GSI Teaching and Resource Center, in collaboration with the California Alumni Association, formalized its Faculty Award for Outstanding Mentorship of GSIs in 2004, providing up to three \$1000 stipends each year for faculty who provide outstanding guidance to GSIs in teaching. Statements of awardee's mentoring philosophies are posted at the GSI Teaching and Resource Center's website,  
<http://gsi.berkeley.edu/awards/mentor.html>.

- The Graduate Division, in cooperation with the Graduate Council and through a generous gift from the Sarlo Foundation, has established the Sarlo Distinguished Graduate Student Mentoring Award for UC Berkeley Faculty and the Sarlo Distinguished Graduate Student Mentoring Award for UC Berkeley Junior Faculty. Two awards of \$5000 each are made to recognize faculty who have demonstrated a serious commitment to mentoring graduate students.
- The GSI Teaching and Resource Center sponsors annually the Outstanding Graduate Student Instructor Award. Each year, over 200 GSIs are chosen for their outstanding work in the teaching of undergraduates.

### *5.3 Require Deans' Reviews of Programs in Which Ladder Faculty or Equivalent Teach Less than Half of Upper Division Courses*

Progress:

- These reviews are taking place as part of the Academic Program Review process overseen by the VP-APF, but they have not yet been required of ALL deans.

### *5.4 Ensure Student Access to Ladder Faculty is Comparable in Departmental and Non-Departmental Majors*

Progress:

- This issue will be addressed as part of the upcoming ad hoc review of non-departmental undergraduate interdisciplinary programs that is being co-sponsored by the VP-APF and the VP-UE.

### *5.5 Prepare a New Master Plan for Teaching Infrastructure*

Progress:

- Better coordination of classroom renovation, instructional technology, maintenance and repair has been accomplished over the past two years with the annual appropriation of \$2 million to the VP-UE and the VC-SA to be used in the collaborative Berkeley Classroom Renovation Program In Support of Teaching and Learning. The Office of the Registrar, Educational Technology, and the VP-APF have worked closely together to make the most strategic use of the funds, with the oversight of the Classroom Study Group and the CCCPM. The renovation program has made important progress in the first years of what is envisioned as a 5-year program.

## **6. Supporting Graduate Education:**

**(Point: Graduate Dean & Graduate Council)**

### *6.1 Develop A Comprehensive Strategy to Improve Graduate Financial Support*

Progress:

- In Fall 2007, Graduate Division conducted an analysis of graduate support in all disciplines on campus and presented its results to the EVC&P, VC-UR, and deans in an effort to inform campus goal-setting for the comprehensive campaign for Berkeley. The study compared average net stipends to the student-reported cost of living. It demonstrated that the campus would need to raise significant resources in new graduate

fellowship endowments in order to close the gap between current net stipends and 12-month graduate student budget (the per capita annual gap for doctoral students is \$5,700).

- Two recent UCOP surveys assessed the competitiveness of UC financial offers by collecting data about the UC and non-UC funding offered to the academic doctoral students admitted in 2004 and 2007. It showed that Berkeley's offers are on average \$1,900 less than non-UCB offers. When adjusted for the cost of living, which has been rising more steeply in the Bay Area than elsewhere, Berkeley's offers are \$3,800 less than the financial packages offered by our competitor institutions. Berkeley also makes fewer multi-year, fellowship, and summer support offers. Graduate Division has been working on disseminating these findings on campus and developing a graduate fellowships case for support.
- The Graduate Dean worked with the EVC&P to encourage the campus to adopt the Hewlett Chair payout model for all existing chairs, which could result in additional graduate funding of several millions of dollars per year. The new payout distribution policy was adopted for all centrally held chairs in January 2008.
- From March 2006 to June 2007, Graduate Division created and administered a campus matching program, the *Named Fund Initiative*, which brought in \$3.3M in new graduate support endowments.
- Graduate Division is launching a large graduate fellowships matching program open to non-campus donors. The Graduate Division matches dollar for dollar that portion of the endowment payout used to fund an award, with the balance of endowment payout reinvested in principal to accelerate its growth. After a time, the accelerated growth allows the endowment payout to fund the full award, and the matching funds are no longer encumbered. The program should bring in very significant resources in the form of new graduate support endowments.
- Graduate Division developed a new online tool — Gradlink-on-the-Web (GLOW) — to help departments manage and steward existing graduate support endowments. Information about GLOW was shared with multiple audiences on campus through a publication, the *Graduate Division Development Toolkit*, and several presentations in Fall 2007.
- In 2006-07, Graduate Division restructured multi-year university fellowships by shortening the number of years on fellowship support from 3 to 2 and raising the level of stipends to \$24,000 for humanities and social science students and to \$25,000 for science and engineering students. This change led to a marked increase in yield.
- The Graduate Dean has developed a proposal to study the relative benefits and drawbacks of GSR versus fellowship support in STEM disciplines. The study will help to determine whether greater investment in first-year fellowships for STEM students (i.e., by replacing some multi-year fellowships with one-year fellowships for more students) might increase student satisfaction and degree completion rates. The proposal was submitted to NSF in January 2008.
- Findings from a system-wide survey of graduate student support were published in November, 2007 (available at [http://www.ucop.edu/sas/sfs/docs/gradsurvey\\_2007.pdf](http://www.ucop.edu/sas/sfs/docs/gradsurvey_2007.pdf)).

## *6.2 Normalize Criteria for Distributing Financial Support Amongst Programs*

Progress:

- The Graduate Division is evaluating the current method of making allocations of block grant and fellowship nominations to departments, in light of tightening financial circumstances.
- The Graduate Dean is undertaking a study of the effectiveness of the Dean's Normative Time Fellowship and the eligibility of programs for DNTF awards.
- Increasing the marketability of Berkeley offers: while recipients of multi-year university fellowships receive admission letters from the Graduate Dean with a guarantee of 4 to 5 years of support (combined fellowship and GSR/GSI years), other students' letters come directly from departments. The Graduate Division plans to develop a strategy to increase collaboration with departments and improve the effectiveness of admit letters. A request for information on the make-up of departmental offers and admission letters was sent to all departments in Fall 2007.
- Our main competitors are offering 5-year guaranteed packages of support in the form of fellowships, TAs and RAships.

## *6.3 Redefine and Normalize the Role of Graduate Instructors*

Progress:

- The Graduate Division and the Graduate Council describe the roles and responsibilities of GSIs in two publications, "What you Need to Know to be a GSI, GSR, Reader or Tutor" <http://www.grad.berkeley.edu/policies/pdf/apptknow.pdf>, and the Graduate Council's "Policy on Appointments and Mentoring of GSIs." The latter policy, revised most recently in 2005, is available at <http://evcp.chance.berkeley.edu/GSIMentoringPolicy.pdf> (a summary of provisions for GSI training can be found on the GSI Teaching and Resource Center website at <http://gsi.berkeley.edu/faculty/mentoring.html>). Due to the changes arising from the October 2007 UC-UAW labor agreement regarding Academic Student Employees, a committee of the Graduate Division is reviewing this document to present draft revisions for the Graduate Council's consideration in 2008. A description of the systematization of GSI training, assessment, and performance incentives is provided in Section 5.2 above.
- GSI responsibilities are listed in each letter of appointment.
- The online course, Professional Standards and Ethics in Teaching, addresses the responsibilities of the Instructor of Record vs. those of GSIs.
- According to the Graduate Council Policy on Appointments and Mentoring of GSIs, faculty are responsible for meeting with GSIs at the beginning of the semester to discuss the purpose of the section in relationship to the larger course. They are also required to meet regularly with their GSIs throughout the semester.
- Through the Mellon-funded initiative on incorporating research assignments into undergraduate courses, GSIs in some courses now take on the role of guiding students step-by-step in the research process.

## 7. Maintaining Research Leadership

(Point: VC-Research & VP-APF)

**Note: VC Burnside recommends that the VC-R not be the point person for Proposal 7 since 7.1 has been accomplished and other responsibilities are the VP-APF's.**

### *7.1 Establish Clear Criteria to Guide Decisions on New Research Initiatives*

Progress:

- The Strategic Planning Committee established review criteria for the campus to use for new research initiatives. The report on their review and selection of new initiatives, and their recommendations for FTE allocation was submitted to the EVC&P on May 13, 2003, and implemented in the selection of the NICs and the BDRI clusters.

### *7.2 Reserve Core Campus Space for Functions that Serve or Directly Involve Students*

Progress:

- Several new facilities with direct benefits for students were constructed or are far along in the planning stages. New Stanley Hall, an interdisciplinary research and teaching building, opened in 2007. The C.V. Starr East Asian Library was completed in late 2007. Construction of the Li Ka-Shing health sciences building will begin in early 2008. A major retrofit of Durant Hall, which will house the Letters and Science Deans Office, is in the final design stage. New Campbell Hall, which will house Astronomy and Physics, is in the final design stage and is scheduled for construction beginning in 2110(?)
- An Assistant Vice Chancellor for Real Estate has been hired to provide leadership and guidance in preparing a real estate initiative for the Berkeley campus that provides the space and infrastructure required to maintain its comprehensive excellence. The Assistant Vice Chancellor for Real Estate is actively reviewing development strategies to build on university-owned properties adjacent to the campus, including strategies to partner with third-party developers.

### *7.3 Explore Developing One or More New Research Centers Adjacent to Campus*

Progress:

- The university has acquired the state Department of Health Services building. A new Community Health Campus is planned for this site, to include the Schools of Public Health and Optometry, portions of the Department of Psychology and portions of the Helen Wills Neuroscience Institute. Preliminary site and program analyses are now underway.
- The university-owned site fronting Oxford from Center to Addison, now occupied by the vacant UC Printing plant and a parking structure, is designated as the site for a new Berkeley Art Museum and Pacific Film Archive. This, in turn, will allow the adaptive re-use of the existing museum facility on Bancroft for other academic programs.
- In collaboration with LBNL, the campus is developing two collaborative research facilities up the hill: Helios/Energy Biosciences Institute, and the CRT. The Helios building will house interdisciplinary energy research; the CRT will house advanced computational research programs.

#### *7.4 Explore Strategies to Make the Richmond Field Station a More Viable Location for Research*

Progress:

- In 2007 the campus purchased the Regatta building, a 380,000 gsf structure located on 33 acres of property across from the Richmond Field Station. In addition to housing a number of functions now located at 6701 San Pablo, which has been sold, plans are in development for a facility that will house portions of the collections of campus museums that cannot be accommodated on campus. Regatta will serve a function for museum collections similar to that of the Northern Regional Library for written materials.
- Work on remediation of hazardous materials at RFS continues.

### **8. Building the Interactive Campus**

**(Point: VP-APF & SACI)**

#### *8.1 Accommodate Future Growth of the Academic Enterprise on the Core Campus and Adjacent Blocks*

Progress:

- Several committees/task forces were established to review the utilization of adjacent and outlying campus properties, and to identify opportunities for both acquisition and development. The Space Management and Capital Improvements committee (SACI), the Committee on Academic Planning and Resource Allocation (CAPRA), the Vice Chancellor's Administrative Council (VCAC) and the Assistant Vice Chancellor for Real Estate review each committee's recommendations. VCAC is the approving committee for real estate transactions.
- Several campus administrative offices, including University Relations, Human Resources, Business and Technology Solutions, and Sponsored Projects, have been relocated from buildings on or adjacent to the Campus Park to more distant locations, and the space they occupied reassigned to academic or other location-critical units.
- UC Printing was relocated to 6701 San Pablo Avenue in south Berkeley. The new Berkeley Art Museum and Pacific Film Archive will be located at the Print Plant's former site at the corner of Oxford and Center Streets, adjacent to the Campus Park.
- The campus acquired the former state Department of Health Services building and site at 2151 Berkeley Way. Site and program analyses are underway to develop a Community Health Campus at that location, on a block adjacent to the campus park. Program concepts for the Community Health Campus include facilities shared by the Schools of Public Health and Optometry, the Department of Psychology, and the Neuroscience Institute.
- The campus acquired the Pursel Paint building and site at the NW corner of University and Oxford. Future development of this site, across the street from both University Hall and the campus park, will provide space for the campus use in the adjacent blocks.

#### *8.2 Reserve Core Campus Space for Functions that Serve or Directly Involve Students*

Progress:

- Initial planning is underway to develop a campus collections facility in the newly acquired Regatta building in Richmond. Probable occupants: Hearst Museum, College of Environmental Design Archives, Natural History museums. The campus park space recaptured by these moves will be reassigned to academic and other location-critical units.
- Relocated non-laboratory programs and the library of the School of Public Health to University Hall. Relocated campus administration offices from University Hall to leased space further from campus in downtown.
- Continued to use Evans Hall and HFA space to house primarily academic programs displaced due to seismic retrofit or renewal projects such as the replacement of Campbell Hall.
- Reviewed space assignments in University Hall, Warren Hall, Barrows Hall, Dwinelle Hall, Valley Life Sciences, Kroeber, McCone, Morgan, Giannini, Sproul, and Donner.
- Both IS&T and the Controller's office were moved into 2195 Hearst from their core campus locations of Evans and University Hall, respectively, thus opening core space for academic programs.

### *8.3 Prioritize Sites on Adjacent Blocks for Research and Service Units that Require Core Campus Proximity*

Progress:

- See actions described in Section 8.1 above.

### *8.4 Collaborate with the City of Berkeley to Encourage the Redevelopment of Privately Owned Sites*

Progress:

- As a part of the 2020 LRDP settlement, the university and the city agreed to collaborate on a plan for the city's downtown. The initial phase--preparation of a draft plan by a citizen's advisory group, with active university participation---was completed in November 2007. The plan identifies goals and policies for the downtown that accommodate university needs through 2020 and provide a framework for more intensive development of privately owned sites in downtown, including the new hotel.
- The university has served as the catalyst to promote construction of a new hotel and conference center in downtown Berkeley, not only by recruiting the developer, but also by facilitating the land transfers required by the project.

### *8.5 Complete the Intracampus Communication System*

Progress:

- Steady progress continues to be made on this project. Since the end of 2003, four more steps have been completed (Capital Projects 912163, 912123, 917558, 917517) and another has been funded and started (912304). Four major sections remain to complete the cabling loop in the central campus, the most important of which is the Wurster Zone. Work on this and other sections is proceeding.

### *8.6 Integrate Intrabuilding Information System Upgrades into New Capital Investments*

Progress:

- Great progress has been made since 2003, including retrofitting University and Etcheverry Halls. There remain only a few more major buildings to retrofit: Doe Library, Kroeber Hall, Giannini Hall, Minor Hall, Tolman Hall (West), Wheeler Hall, Stephens Hall, and the Cesar Chavez building.

#### *8.7 Make Spaces Conducive to Creative Interaction a Priority in New Capital Investment*

Progress:

- The campus committees (SACI, CAPRA, DRC, ECPC) and appointees with the responsibility to oversee campus space utilization work constantly to integrate informal interactive physical spaces, where students can meet with professors, mentors, and other students to enhance the Berkeley learning experience.
- Recently completed projects, for example, new Stanley Hall and the LeConte renovation, include spaces specifically designed to foster informal interactions among faculty and students. New buildings under construction or in design such as CITRIS, Li Ka Shing and Campbell Hall include flexible gathering spaces conducive to impromptu instruction, tutorials or collaboration.
- The Free Speech Movement Café in Moffitt Library expands to 24 hour service during mid-term and final exam periods. Heller Lounge in the MLK Student Union is open from 9 am to 9 pm during finals, and Eshleman Library is open 24 hours during finals.

#### *8.8 Create Places of Interaction at Key Nodes of Campus Activity near major pedestrian intersections and/or framed by buildings housing a variety of programs with potential synergy.*

Progress:

- Hearst Mining Circle is being restored. When complete, this open space will once again tie together the buildings that surround it, providing a focus for the Physical Sciences & Engineering precinct.
- A new entry plaza on the west side of Durant Hall will connect Dwinelle Plaza to the lawns between California Hall and LSA. The plaza will provide a place for students to meet and gather.

#### *8.9 Enhance the role of the Library as Intellectual Commons*

Progress:

- The monumental newspaper displays outside Moffitt Library (funded by the Chancellor and the Library) post sixteen front pages from around the world every day of classes. This has become an agora for impromptu conversations about how different nations see events. Later this year, the new corridor into Doe, facing the Campanile, will offer a daily reminder of more than a century of discovery at Berkeley (treasures of invertebrate biology will be the first exhibit.) The Bancroft's new Exhibition Gallery for its collections will also serve the community at this entrance.
- Lunch Poems (now ten years old) continues to pack Morrison Library. The library has partnered again with Professor Robert Hass for a new Story Hour in different library venues, hosting major prose authors. Because of capital investments since 2003, the libraries of Environmental Design, Public Health, and Music have become vital centers of



student life and, in Wurster Hall and the Hargrove Library, a preferred venue for professional gatherings.

- The Business & Economics Library is being recast to provide more group and individual study space, more computing services, longer hours, and a café environment. This strategic plan has been funded by Dean Tom Campbell, drawing on a Haas team as well as librarians who are part of a New Directions forum. Donor funds have been found to expand group study opportunities, seminar space, and collaborative instruction with new digital resources in two consolidated libraries: Biosciences & Natural Resources, and the new East Asian Library.
- Moffitt Library continues to be a center of undergraduate engagement (in this sense, the compelling FSM Café is emblematic). Moffitt's targeted collection of 150,000 volumes are the most heavily used books in the Berkeley libraries. The Moffitt Microcomputer Facility, run by campus IS&T services, is the busiest general purpose computing facility on campus. Last year, the Moffitt reference staff assisted students in more than 11,000 enquiries; 13,500 items circulated from course reserves; 29,000 video holdings brought students together in the viewing room and in classes.
- The Library is now consulting broadly across campus for ideas about redesigning Moffitt to foster learning through informal interaction and intellectual exchange beyond the classroom. The revitalized facility will serve as a powerful demonstration of the university's commitment to the quality of the undergraduate experience.

#### *8.10 Design Both Interior and External Communal Spaces to Help Create a Safe and Active 24-hour Campus*

Progress:

- In Fall 2007, the new café "Common Grounds" was opened in Dwinelle Hall 370, managed by Cal Dining (part of Residential and Student Service Programs).
- The College of Engineering and Cal Dining are planning a new café in the CITRIS building.
- Yali's Café will provide service in the restaurant space in New Stanley.

### **9. Investing in Housing**

**(Point: VC-UA,  
Grad Dean, VC-FS)**

#### *9.1 Provide Two Years of University Housing to Entering Freshman Who Desire It, and One Year to Entering Transfers Who Desire It*

Progress:

- The Channing/Bowditch apartments, completed and opened in Fall 2004, provide housing for 226 transfer and continuing (primarily Sophomore) students.
- The two "infill" buildings constructed at Unit 2 were completed and opened for Spring semester 2005, while the two "infill" buildings at Unit 1 were completed and opened for the Fall 2005 semester. As roughly 95% of all incoming Frosh already live in the residence halls, the entire 865 new bed spaces were constructed with continuing and

transfer students in mind. Three of the buildings were constructed with mini-suites, and one building contains apartments

- As a result of the above construction, Residential and Student Service programs (RSSP) is now offering a two-year housing guarantee to all Fall freshman admits. The number of continuing students living in university-provided housing has increased from 737 in Fall 2002 to 1,489 in Fall 2007. Also, roughly 29% of all entering transfers lived in university housing in Fall 2007.

#### *9.2 Provide One Year of University Housing to Entering Graduate Students Who Desire It.*

Progress:

- The Ida Jackson apartment complex, at College and Durant, opened in Fall 2002 with a 50/50 mixture of graduate and undergraduate students. As planned, beginning in Fall 2004, the apartment began housing *only* graduate students. In Fall 2007, there were 117 graduate students living in the Ida B. Jackson Graduate House in apartments ranging from 2- to 6-bedroom.
- The Manville apartments, at the corner of Shattuck and Channing downtown, continue to serve graduate students, with 131 “efficiency” apartments.
- Plans are underway to provide additional financial support to graduate students, especially those with families, who need special housing subsidies.

#### *9.3 Maintain the Current Number of University Housing Units Suitable for Students with Children*

Progress:

- The second phase of West Village (a.k.a. Step 2) at University Village in Albany will be complete and opened to students with children in the summer of 2008. Once the phase is completed, University Village will have 972 (compared to 755 in 2002) new apartments. There are also 74 apartments for students with families at Smyth/Fernwald, which is scheduled to close in 2010.

#### *9.4 Partner with Private and Not-for-Profit Developers to Continue to Expand and Improve the Rental Housing Stock Available to Students*

Progress:

- Plans are proceeding for the addition of 587 apartments with 1,036 beds in the San Pablo Redevelopment Project at University Village in Albany. This construction is being coordinated with an outside developer. It is anticipated that this complex will serve single upper classmen and graduate students.
- Real Estate Services and RSSP continue to review sites which might be appropriate for additional housing and to discuss all models of construction, including partnerships with developers.

#### *9.5 Provide up to Three Years of University Housing to New Untenured Ladder Faculty Who Desire It.*

Progress:

- RSSP manages 27 apartments for faculty and staff at the Clark Kerr campus, and continues to look for possible sites for additional housing for faculty and staff.

## **10. Aligning Resources and Initiatives**

**(Points: All indicated above)**

### *10.1 Ensure the Inclusion and Active Participation of Staff, Faculty and Students in the Preparation of Each Action Plan*

Progress:

- The EVC&P office continues to appoint graduate and undergraduate students and staff to committees where appropriate. Meetings are held among the VP-APF, VP-UE, Grad Dean, and the presidents of the Graduate Assembly and the Associated Students of UC to notify newly elected officials of the importance of including students on university committees.

### *10.2 Assess the Impacts of Each Action Plan on Staff Resources, and Identify Specific Measures to Address Them*

Progress:

- The campus has developed a new Activity Based Budget Approach (ABBA) for resource allocation; it is being phased in. In addition, the campus is developing a long-range financial model to assist in the funding and approval of new initiatives. For staff, the Office of Human Resources has developed and is implementing new career compass and performance management systems.

## Section 2

### The Strategic Academic Plan: Action Items

The 14 action items listed called out in the 2002 Strategic Academic Plan are listed below. Each set of action items is annotated with the progress made on these items during the past five years.

#### The Path to Implementation

##### Action A.1 - State of the Campus.

*The Chancellor should give an annual “State of the Campus” address to the campus community, which should include a review of our progress on the proposals outlined in the Strategic Academic Plan.*

*The State of the Campus address should be followed by a leadership retreat to prioritize the campus’ strategic objectives for the coming year. This retreat should be chaired by the Chancellor and should include representatives from the executive, faculty, staff, and graduate and undergraduate student leadership.*

Progress:

- The Chancellor gives twice-yearly addresses to the Senate, yearly addresses to the Staff Assembly, and numerous updates to the ASUC, the GA, and other student groups.
- The Chancellor has regular standing meetings with Senate leadership and with student government leadership.
- Every August the Chancellor leads a Cabinet retreat to identify priorities for the coming year. Over the winter break, there is a mid-year retreat to assess progress. In May there is a one-day budget retreat to review the linking of budget decision making to strategic planning. The broad categories of the Chancellor’s goals and priorities are consistent with the Strategic Academic Plan.

##### Action A.2 - Committee Alignment.

*The Executive and Senate leaderships should undertake reviews of their respective committee structures, to examine how the scope of each committee aligns with elements of the Strategic Academic Plan, and determine how the potential for collaboration on plan proposals might be enhanced.*

Progress:

- Following the model of Strategic Academic Plan Committee, most administrative committees have Senate representation and vice versa.
- Undergraduate and Graduate student bodies work directly with the EVC&P and VP-APF offices to send representatives to key committees.
- The Berkeley Division of the Academic Senate reviews its committee structure in variety of ways. Annually, the Committee on Committees (COMS), through its assigned liaison,

reviews the charge of each of the Division's standing committees. COMS also works in concert with the division leadership to identify and resolve issues related to the charge and functioning of divisional committees, including liaison with other committees.

- Periodically, the division undertakes a self-study of its standing committees, in which committees are asked to review and analyze various aspects of their charge, functioning, and relationship to other Senate and administrative committees. Divisional Council uses the self-study findings to make strategic decisions about the organization and effectiveness of the Division. Each standing committee is asked to evaluate and comment upon the following: committee charge; committee leadership and membership; administrative relationships, including liaison with administrative committees; and committee effectiveness
- The Committee on Academic Planning and Resource Allocation continues to be the key advisory committee of the Division on resource allocation, with the exception of FTE allocation, which continues to be the purview of the Committee on Budget and Interdepartmental Relations.

### **Action A.3 - Strategic Oversight.**

*The Chancellor should designate the Vice Provost for Academic Planning and Facilities as the office responsible for monitoring progress on the Strategic Academic Plan, and also for ensuring its integration with other major strategic programs on campus, such as the workforce initiatives being developed by the Staff Infrastructure Steering Committee.*

*To facilitate collaboration with the Senate, the SPC recommends the Vice Provost be invited to attend the Committee on Academic Planning and Resource Allocation. CAPRA and the Divisional Council should be designated as primary sources of Senate input to the chancellor on all matters of resource allocation except those related to faculty FTE resources, which should remain the purview of the Committee on Budget and Interdepartmental Relations.*

Progress:

- The VP-APF continues to coordinate efforts across campus to ensure active engagement on SAP topics.
- The Academic Senate and administration, along with students and staff, continue to partner to make progress on the implementation actions put forth in the SAP.
- During the 2002-03 AY, VP-APF was added as an *ex officio* member of CAPRA.
- CAPRA and the Divisional Council have been designated as primary sources of Senate input to the Chancellor on all resource allocation matters except for faculty FTE.

## **Academic Program Reviews**

### **Action A.4 - Program Review Support.**

*The EVC/Provost should establish an organizational structure and budget to support ten departmental external program reviews, based on the principles presented in Appendix A of the SAP for departmental reviews, and on the guidelines now in use by the Graduate Council for graduate groups.*

Progress:

- The VP-APF and the PROC have developed criteria and procedures for departmental and non-departmental reviews of undergraduate and graduate programs.
- A program review guide can be seen at [opa.berkeley.edu/academicprograms/GUIDE](http://opa.berkeley.edu/academicprograms/GUIDE).
- Currently, the budget is adequate to support the eight to nine program reviews initiated each year. Once the undergraduate interdisciplinary teaching programs are added to the review cycle, there will be about ten reviews initiated annually, with a corresponding need to adjust the budget, depending on the cost of the process adopted.

#### **Action A.5 - Reviews of Interdisciplinary Programs.**

*The VP Undergraduate Education (VP-UE) and CEP to design guidelines for the review of interdisciplinary undergraduate programs. Once these guidelines are in place, these programs should then be incorporated into regular cycle of reviews.*

Progress:

- A memorandum dated October 9, 2007 from Stowsky and Schrager to Koshland and Maslach outlined an implementation plan for undergraduate programs. That memo lays out the process we are following as we move forward.
- The Graduate Council's review of interdisciplinary graduate programs has benefited by two initiatives from the Graduate Division. The Graduate Dean has appointed an Associate Dean to review incoming self-reviews from the graduate groups to be evaluated to ensure completeness of response. To further assist the Graduate Council on behalf of the Dean, the Associate Dean will monitor and review graduate group responses to recommendations resulting from Graduate Council reviews and provide an executive assessment of her findings to the Graduate Council for its deliberations.
- In addition, the Graduate Division is devising a survey for students within a graduate group under review to ensure more depth and frankness of response than the present system of requesting a student-authored self-review, often coordinated by the graduate group's faculty or administration if no student association exists.

#### **Action A.6 - Three-Year Pilot Plan.**

*The next set of departments scheduled for review be reviewed under the revised procedures, under a 3-year pilot plan. Progress should be assessed at the end of each year, to evaluate both the quality of reviews and adequacy of resources and timeframes.*

Progress:

- The academic program review guide and process are no longer in the pilot stage and are well established. As revisions to the process or Guide appear necessary, they are vetted by staff and/or PROC as appropriate and the changes are instituted.

**Action A.7 - Reviews of Non-Academic Units.**

*The Chancellor should establish a working group to recommend criteria and protocols for these reviews, building upon the work of the Near-Term Planning Committee.*

Progress:

- Reviews of non-academic groups have not been established. The working group which considered this proposal could not reach consensus on common criteria and protocols. They recommended that each Vice Chancellor set standards and measure benchmarks within their purview. Furthermore, since the Strategic Academic Plan was written, Vice Chancellor Brostrom has unified business services under his oversight.

**New Academic Themes****Action A.8 - Call for Initiatives.**

*In Fall 2002, a call should be issued to faculty interested in any of the ten themes to attend an organizational workshop for that theme. During this and subsequent workshops, the interested participants would develop a comprehensive proposal for a new academic program to address the theme. Proposed initiatives would be due at the end of the fall semester 2002, in order for selection to be made in spring 2003.*

Progress:

- For the call that went out to the campus in August 2002, 11 proposals were received. Both external and internal review committees reviewed them, and five themes were invited to submit final proposals: computational biology, environment, global metropolitan studies, nanoscience and nanoengineering, and new media.

**Action A.9 - Selection of Initiatives.**

*From this initial round of proposed initiatives in 2002-03, two to three should be selected for funding. It is envisioned the selection process would be repeated once or twice more during this decade, resulting in 5-8 new programs. Initiatives not selected in a given round would be eligible for reconsideration in the next round, along with any new ideas that emerge from future solicitations.*

Progress:

- Five initiatives were selected and all are making progress on hiring their allotted FTEs, but no additional new programs are envisioned until the five can be evaluated for success—five years after the hiring of each one's last FTE.

**Action A.10, Initiative Process Support.**

*The EVC&P should establish an organizational structure and budget to support submittal preparation, evaluation and selection. The budget should include provisions for logistical and clerical support to participants developing proposals within their respective theme areas.*

Progress:

- For five years, the EVCP has contributed \$125,000 in matching funds to each new initiative for its program, with an additional 7.5% of that going to its partnering ORU for administration.

## **Strategic Capital Investment**

### **Action A.11 –Real Estate.**

*Establish an Office of Real Estate to identify and pursue strategic land acquisition, explore joint ventures with private developers to create new campus facilities, and partner with other public and private organizations to create new facilities that benefit the campus. Once established, it should prepare a five-year work plan of real estate actions required to support the SAP proposals, including analysis of alternative funding models to be presented to the EVC&P for review.*

Progress:

- The campus has appointed an Assistant Vice Chancellor—Real Estate who is charged with developing the real estate strategy for the campus and formulating projects for effective use of campus-owned space outside of the central campus.

### **Action A.12 -Asset Stewardship.**

*Given the age and condition of the campus facility inventory, the land and resources available for new construction, and the potential environmental and fiscal impacts, SACI should have a broader, strategic charge. This charge should include setting guidelines for location priorities, space utilization, ongoing space audits, and comprehensive reviews of campus instructional and research space. SACI should prepare a five-year work plan and budget to incorporate this broader mandate.*

Progress:

- An overview of a ten-year strategic capital plan for the Berkeley campus was presented to the Regents in July 2006. The overview included both an update of the campus' progress on seismic upgrades, and a program of future capital investments that incorporates strategic academic initiatives as well as the life safety imperative.
- A new position within SMCP has been created to finalize and then manage a long-term strategic capital plan for the campus, one which integrates all of the various sources of capital funds and prioritizes capital investments based on academic, life safety, and other campus objectives.

## **Establishing Responsibility**

### **Action A.13 -Annual Updates.**

*The SPC recommends each individual with primary responsibility for an element of the Plan be required to submit a brief update and action plan to the Vice Provost for Academic*



*Planning and Facilities prior to the annual State of the Campus address. The reports would inform both the address itself and the subsequent Leadership Retreat.*

Progress:

- Progress made in the past five years is detailed in this report.

**Action A.14 - Points of Responsibility.**

*The SPC recommends specific points of responsibility for the ten Strategic Academic Plan elements. For each, the primary point of responsibility is an executive office, but for most elements an Academic Senate committee, or an executive committee with Senate participation, is also designated, with which the executive office is expected to collaborate.*

Progress:

- Responsible units have been identified under each item in this report.
- In 2003, it was recommended that the EVCP become point for Section 5 because the recommendations cut across several VPs and the Grad Dean. The VP-UE still thinks this is a good idea!