Office of the President

## TO MEMBERS OF THE COMMITTEES ON LONG RANGE PLANNING AND COMPENSATION:

## DISCUSSION ITEM

For Meeting of January 19, 2011

## BIENNIAL ACCOUNTABILITY SUB-REPORT ON FACULTY COMPETITIVENESS

This presentation by the Office of the President and the Academic Senate Leadership is part of a series of reports that has been established in order to:

- Review accountability sub-reports, each dealing in detail with key areas of the University.
- Discuss some of the strategic choices that need to be made for the University's future in those areas.
- Inform the Board's deliberations about important policy and budget questions.
- Achieve a richer understanding of the nature of the University's federal system.


## EXECUTIVE SUMMARY

Data compiled since the last "Accountability Sub-report on Faculty Competitiveness" (March 2009), reveal continuing faculty achievement alongside increasing challenges to recruiting and retaining quality faculty. Highlights of the report include the following:

- Faculty continue to perform at top levels, marked by career awards for both established and early-career faculty.
- Faculty size and composition remain relatively stable, with the notable exception of increases in the number of non-Senate faculty in the Health Sciences. In 2010, the University experienced a decrease in the number of Professorial General Campus faculty.
- The distribution of faculty by age has shifted, with more faculty members in older age cohorts.
- Salary remains lower than at peer universities, while most intense competition for faculty is with private universities, where salaries have continued to rise.
- Challenges of hiring a diverse faculty vary by discipline. Campus efforts to increase the representation of women and under-represented minorities on the faculty have resulted in limited progress.
- UC's postdoctoral fellows and graduate students are increasingly reluctant to consider faculty careers, an indicator of new challenges for UC to attract the best new faculty.

The Office of the President is working with campuses to meet recruitment and retention challenges by 1) tracking faculty recruitment data to identify opportunities and impediments to diversify the faculty 2 ) sharing best practices in faculty mentoring and professional development, and 3) enhancing effective programs, including family friendly policies and professional development support.

## Part One. A Distinguished UC Faculty

The quality of the University of California is founded on its distinguished faculty. Faculty are the source of innovation and discovery, top quality educational opportunities for students, and service to the state - driving intellectual engagement and discovery, community health, economic vitality, and cultural vibrancy.

As the core of an eminent university, UC faculty combine their roles as classroom teachers and mentors with research and creative activities that bring recognition throughout the nation and the world. The interconnection of these roles is at the heart of a research university, and is fortified through a network of departments, centers, institutes, schools, and colleges. In addition, faculty work both in and around such structures since their focus is increasingly collaborative and interdisciplinary; UC’s unique 10-campus system provides a clear advantage for such work. Currently, 15 percent of UC faculty have formal, budgeted appointments in more than one department/unit and still more conduct their research and develop their pedagogy in teams. These collaborative practices have long been standard in the sciences and are increasingly common in the social sciences, the humanities, and the professions as well. Excellent examples of such cross-disciplinary, multi-campus work include QB3 (California Institute for Quantitative Biosciences), CITRIS (Center for Information Technology Research in the Interest of Society), UCHRI (UC Humanities Research Institute), CNSI (California Nanosystems Institute), CCREC (Center for Collaborative Research for an Equitable California), Calit2 (California Institute for Telecommunications and Information Technology) and IGCC (Institute on Global Conflict and Cooperation).

With recognition of the increasing complexity of faculty roles, this report will assess faculty competitiveness through both external and internal measures.

Faculty commit to UC, in part, because of an excellence built on regular, comprehensive peer review, with a step system and salary scales that regularly reward strong performance. These processes have developed in a strong tradition of shared governance and a systemwide policy manual that serves as a progressive model for public universities. An intangible loyalty among faculty contributes in numerous ways to the University's excellence in teaching, research, and service. Frequent peer review, systemwide standards, and long service have fostered an academic climate in which the highest level of excellence is both expected and achieved. The intellectual climate is creative, rigorous, and adventurous.

Figure 1 offers a selection of honors and awards that have accrued to UC faculty. Such top-flight achievement on the individual level is grounded in the overall quality of the faculty, a key factor in UC’s high rankings in the Fall 2010 NRC assessment of graduate programs as well as in Shanghai Jiao Tong University Rankings, and The Times of London University Rankings among others.

## COMMITTEES ON LONG RANGE

Figure 1: Selected Honors and Awards to Individual Faculty Systemwide

| Awards/Prizes | Cumulative |
| :--- | :---: |
| Nobel Prize | 56 |
| Fields Medal (Mathematics) | 7 |
| National Medal of Science | 60 |
| Pulitzer Prize | 16 |
| MacArthur Fellowship ("Genius Grant") | 71 |
|  | Current |
| Honors/Fellows | Faculty |
| American Academy of Arts \& Sciences | 377 |
| American Assoc. for the Advancement of Science | 650 |
| Institute of Medicine | 125 |
| National Academy of Engineering | 117 |
| National Academy of Sciences | 245 |
| Howard Hughes Medical Institute (HHMI) Faculty | 56 |

Most notable among the newest of these awards are two 2010 National Medal of Science awards to Chancellor Fox and Professor Prusiner, the 2009 Nobel Prize awarded to Professor Blackburn, the 2010 appointment of 30 faculty members to the American Academy of Arts and Sciences, and the naming of 33 new UC Fellows to the National Academies.

Such life-time achievements and overall rankings might be seen as "lagging indicators" of where the university has been. They are accompanied by a series of "leading indicators" that point to the continuing quality of UC faculty. In September 2010, four of 23 MacArthur Fellow "genius" grants were awarded to UC faculty, two of them still assistant professors. Key competitive awards for new faculty from the National Science Foundation (CAREER awards), the National Institutes of Health (Young Investigators Awards) and key foundations (Howard Hughes Medical Institute Early Career Scholars, W. M. Keck Foundation Distinguished Young Scholars, Searles Scholars Program) also affirm the quality of UC’s newest faculty, who typically represent 15-20 percent of the awardees in such competitions. Such high-profile research accomplishments put UC students in direct contact with the world's most accomplished thinkers and creators.

In the next two sections ("Size, Composition, and Trends" and "Recruitment and Retention"), this report will document major trends in faculty make-up and detail successes and challenges in recruitment and retention.

## Part Two. Size, Composition, and Trends

## 2.a. Overall size and composition

In the two years since the last "Faculty Competitiveness" report to the Regents, faculty numbers and composition have been relatively stable. Nearly two-thirds of UC's faculty are Senate members; their service to the University includes a traditional range of activities including classroom teaching, mentoring and advising students, research and creative activity, public service, institutional service, and administration. Academic Senate members exercise their responsibility by shaping the curriculum and through academic decision-making as they share governance of UC through the Academic Senate. In contrast, non-Senate faculty have a narrower set of responsibilities, focusing primarily on classroom or clinical teaching and do not participate in shared governance. The combination of Academic Senate and non-Senate positions allows UC to maintain its high quality by recruiting and retaining faculty with a range of expertise and focus. Figure 2 summarizes current faculty numbers and includes both headcounts and full time equivalencies (FTE). The smaller number of FTE generally represents faculty on sabbatical or appointed part-time due to a split assignment as an administrator (e.g., Provost or Dean) or researcher (e.g., Agronomist or Astronomer). See Appendix A for an explanation of various faculty title series for both Academic Senate and non-Senate faculty.

Figure 2: Academic Senate and Non-Senate Faculty By Specific Series* Headcount and FTE Fall 2010

|  | Series | Number |  | As a \% of |  |
| :---: | :---: | :---: | :---: | :---: | :---: |
|  |  | Headcount | FTE | Headcount | FTE |
| Senate Faculty |  |  |  |  |  |
|  | Professorial | 9,373 | 8,627 | 50\% | 55\% |
|  | Professor in Residence | 1,093 | 963 | 6\% | 6\% |
|  | Professor of Clinical | 839 | 799 | 4\% | 5\% |
|  | Professorial-Recall | 370 | 89 | <2\% | <1\% |
|  | Lecturer with PSOE and SOE | 156 | 151 | <1\% | <1\% |
|  | Acting Prof., Acting Assoc. | 41 | 38 | <1\% | <1\% |
| Subtotal | Academic Senate Faculty | 11,872 | 10,666 | 63\% | 69\% |
| Non-Senate Faculty |  |  |  |  |  |
|  | Lecturer (Unit 18) | 2,808 | 1,593 | 15\% | 10\% |
|  | Health Science Clinical Profs | 2,564 | 2,198 | 14\% | 14\% |
|  | Adjunct Professor | 1,225 | 920 | 7\% | 6\% |
|  | Visiting Professor | 342 | 235 | <2\% | <2\% |
|  | Other Instructional Assistants (Non-Student) | 76 | 37 | <1\% | <1\% |
|  | Acting Asst. Prof | 9 | 9 | <1\% | <1\% |
| Subtotal | Non-Senate Faculty | 7,024 | 4,993 | 37\% | 31\% |
| All Faculty |  | 18,896 | 15,659 | 100\% | 100\% |

* Each Series is comprised of many titles; titles within a Series share in common unique terms and conditions of employment, which are specified in the Academic Personnel Manual: http://www.ucop.edu/acadadv/acadpers/apm/welcome.html. However, Lecturers (Unit 18) --officially referred to as Non-Senate Instructors-- are exclusively represented and their terms and conditions of employment are specified in a Memorandum of Understanding: http://www.aft1966.org/documents/unit18/unit18-mou 20052010.pdf

Faculty Categories referenced in this report (see Appendix A for a glossary of terms concerning faculty titles):
Prof. \& Equivalent Ranks: Professorial Series, Acting Series, Lecturer PSOE, Lecturer SOE, and Recalls Lecturers: Lecturers (Unit 18)
Other Faculty: Professor in Residence, Professor of Clinical $\qquad$ , Health Science Clinical, Adjunct, Visiting and Instructional Assistants (Non-Student)

Note that the term Senate Faculty is not synonymous with Professorial and Equivalent Ranks. This report focuses primarily on the Professorial Series and Equivalent Ranks (the narrative references this group with the shortened label "Professorial Series"). Faculty in the Professorial Series and Equivalent Ranks are members of the Academic Senate, have a complete range of responsibilities (teaching, research, and service), and are the only faculty to have tenure or the potential for tenure.

As noted in Figure 3, faculty earnings come from a variety of funding sources. These sources are reflective of the various faculty functions, including instruction, research, clinical activities, and service to the State and the profession. The separation of campuses into Primarily NonHealth Science Campuses (Berkeley, Merced, Riverside, Santa Barbara, Santa Cruz) and With Health Science Schools (Davis, Irvine, UCLA, San Diego, San Francisco) demonstrates major differences in the funding and responsibilities of the two groups.

Figure 3: UC Faculty Earnings
By Source of Support for All Functions
Academic Senate and Non-Senate
FY 2009-10
Total Earnings in Faculty Appointments: \$2,356,710,600

Primarily Non-Health Science Campuses
Berkeley, Merced, Riverside, Santa Barbara and Santa Cruz


With Health Science Schools
Davis, Irvine, UCLA, San Diego and San Francisco


[^0]The distribution of various types of faculty and the sources of their salary funding are highly correlated with the presence of health sciences on half of UC campuses, as denoted in Figure 4. Campuses with Health Science Schools have large numbers of non-Senate faculty, due in large part to the Health Science Clinical Professor title, which is restricted to use in the Health Sciences, and, to a lesser extent, due to the significant presence of Adjunct Faculty in the health sciences. On campuses without Health Science Schools, most non-Senate faculty are Lecturers (Unit 18), who focus on teaching responsibilities.

Figure 4: Distribution of UC Faculty FTE
By Campus and Academic Senate/Non-Senate Status Fall 2010

| Senate FTE: | $10,666(68 \%)$ |
| :--- | ---: |
| Non-Senate FTE: | $4,993(32 \%)$ |
| All Faculty: | 15,659 |



Faculty in the Professorial Series and Equivalent Ranks are members of the Academic Senate, have a complete range of responsibilities (teaching, research, and service), and are the only faculty to have tenure or the potential for tenure. Seventy-four percent of Professorial Series appointments are in General Campus non-professional fields (Arts and Humanities, Engineering and Computer Sciences, Life Sciences, Mathematics, Physical Sciences, Social Sciences and Psychology). General Campus professional programs account for nine percent of these faculty (Business/Management, Education, Other General Campus [G.C.] Professions—Architecture, Law, Social Welfare), and Medicine and other Health Sciences fields account for 17 percent of the appointments. Figure 5 offers headcounts for October 2009; the distribution of faculty in these disciplinary groups has remained relatively stable over time.

Figure 5: Distribution of Professorial Series \& Equivalent Rank Faculty Headcounts by Discipline Fall 2009 [Fall 2010 data currently not available]

Total Headcount: 9,647


General campus non-professional General campus professional Health Sciences

Figures 6a, 6b, and 6c provide totals of FTE over time by major faculty category. Figure 6a provides totals for General Campus and Health Science programs combined, while Figure 6b provides totals only for General Campus programs, and 6c provides totals only for the Health Sciences.

Figure 6a demonstrates that the number of Professorial and Equivalent faculty has gone up over the last 20 years (from 7506 in 1990 to 8913 in 2010), but also that the relative number of faculty in non-professorial and equivalent positions has increased significantly over time, representing 33 percent of the total faculty FTE in 1990 and 43 percent in 2010. The use of Lecturers has increased over time, and the number of Other Faculty has continued to grow (a 3.4 percent annual rate of increase between 1990 and 2010), concentrated in the Health Sciences and, in large part, funded by non-State resources.

Figure 6a: Faculty FTE, Combined General Campus and Health Sciences By Faculty Category Fall, 1990 to 2010


FTE

|  | $\mathbf{1 9 9 0}$ | $\mathbf{1 9 9 5}$ | $\mathbf{2 0 0 0}$ | $\mathbf{2 0 0 5}$ | $\mathbf{2 0 1 0}$ |
| :--- | ---: | ---: | ---: | ---: | ---: |
| $\square$ Other Faculty | 2,633 | 3,042 | 3,506 | 4,279 | 5,153 |
| $\square$ Lecturers | 1,072 | 1,046 | 1,379 | 1,564 | 1,593 |
| $\square$ Prof \& Equiv. | 7,506 | 6,830 | 7,457 | 8,551 | 8,913 |
| Total | 11,211 | 10,918 | 12,342 | 14,394 | 15,689 |

Percentage

| 1990 | 1995 | 2000 | $\mathbf{2 0 0 5}$ | 2010 |
| ---: | ---: | ---: | ---: | ---: |
| $23 \%$ | $28 \%$ | $28 \%$ | $30 \%$ | $33 \%$ |
| $10 \%$ | $10 \%$ | $11 \%$ | $11 \%$ | $10 \%$ |
| $67 \%$ | $63 \%$ | $60 \%$ | $59 \%$ | $57 \%$ |
| $100 \%$ | $100 \%$ | $100 \%$ | $100 \%$ | $100 \%$ |

Prof. \& Equivalent Ranks: Professorial Series, Acting Series, Lecturer PSOE, Lecturer SOE, and Recalls
Lecturers: Exclusively Represented Lecturers
Other Faculty: Professor in Residence, Professor of Clinical __, Health Science Clinical, Adjunct, Visiting and Instructional
Assistants (Non-Student)

As reflected in Figure 6b, the distribution of General Campus faculty by faculty category has remained relatively stable over time. The Professorial and Equivalent Ranks predominate (consistently representing about 80 percent of the total FTE throughout the period 1990 through 2010). In contrast, the relative use of Lecturers increased slightly between 1990 and 2010 (from 14 percent in 1990 to 17 percent in 2010). However, the total Lecturer FTE of 1,532 in 2010 is down from 2008, when the FTE for Lecturers was at an all-time high (1,733 FTE). Rapid growth in enrollments is one factor that may require campuses to hire Lecturers over the near-term to address increased instructional needs, as recruitment of permanent hires into newly created Professorial positions can lag two years or more. Overall, UC relies less on Lecturers than most research universities. (See "American Academic: The State of the Higher Education Workforce 1997-2007, AFT Higher Education, 2009.)

Figure 6b: Faculty FTE, General Campus Only
By Faculty Category
Fall, 1990 to 2010


|  | FTE |  |  |  |  |
| :--- | ---: | ---: | ---: | ---: | ---: |
|  | $\mathbf{1 9 9 0}$ | $\mathbf{1 9 9 5}$ | $\mathbf{2 0 0 0}$ | $\mathbf{2 0 0 5}$ | $\mathbf{2 0 1 0}$ |
| $\square$ Other Faculty | 381 | 360 | 379 | 366 | 350 |
| $\square$ Lecturers | 1,012 | 973 | 1,306 | 1,508 | 1,532 |
| $\square$ Prof \& Equiv. | 5,956 | 5,415 | 6,006 | 6,955 | 7,294 |
| Total | 7,349 | 6,748 | 7,691 | 8,829 | 9,176 |

Percentage

| 1990 | 1995 | $\mathbf{2 0 0 0}$ | $\mathbf{2 0 0 5}$ | 2010 |
| ---: | ---: | ---: | ---: | :---: |
| $5 \%$ | $5 \%$ | $5 \%$ | $4 \%$ | $4 \%$ |
| $14 \%$ | $14 \%$ | $17 \%$ | $17 \%$ | $17 \%$ |
| $81 \%$ | $80 \%$ | $78 \%$ | $79 \%$ | $79 \%$ |
| $100 \%$ | $100 \%$ | $100 \%$ | $100 \%$ | $100 \%$ |

Prof. \& Equivalent Ranks: Professorial Series, Acting Series, Lecturer PSOE, Lecturer SOE, and Recalls
Lecturers: Exclusively Represented Lecturers
Other Faculty: Professor in Residence, Adjunct, Visiting and Instructional Assistants (Non-Student)
General Campus refers to all fields except Medicine, Dentistry, Nursing, Optometry, Pharmacy, Public Health, and Veterinary Medicine.

The most dramatic changes in faculty composition have occurred in the Health Sciences, as reflected in Figure 6c. Faculty with titles of Professor in Residence, Adjunct, Visiting Professor, and Instructional Assistant have predominated in Health Science Schools as far back as 1990 and over time continue to represent an increasing percentage of the faculty in the Health Sciences. In 1990, Other Faculty were 58 percent of the population and 74 percent by 2010. Much of this growth reflects faculty involvement in clinical (not teaching) duties; the number of students in the Health Sciences has been stable. The number of faculty in the Professorial and Equivalent Ranks has remained somewhat flat throughout the period 1990 through 2010 (increasing at a rate of only 0.2 percent per year), and as a result has represented a decreasing percentage of the population. In 1990, Professorial and Equivalent Ranks were 40 percent of the population; by 2010, this category of faculty decreased to 25 percent. These changes reflect UC faculty's success in increasing clinical income and grant support as well as UC's responsiveness to the changing nature of the Health Sciences in a university setting.

Figure 6c: Faculty FTE, Health Sciences Only
By Faculty Category
Fall, 1990 to 2010


|  | FTE |  | Percentage |  |  |  |  |  |  |  |
| :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: |
|  | 1990 | 1995 | 2000 | 2005 | 2010 | 1990 | 1995 | 2000 | 2005 | 2010 |
| $\square$ Other Faculty | 2,252 | 2,682 | 3,127 | 3,913 | 4,803 | 58\% | 64\% | 67\% | 70\% | 74\% |
| $\square$ Lecturers | 60 | 73 | 73 | 56 | 61 | 2\% | 2\% | 2\% | 1\% | 1\% |
| $\square$ Prof \& Equiv. | 1,550 | 1,415 | 1,451 | 1,596 | 1,620 | 40\% | 34\% | 31\% | 29\% | 25\% |
| Total | 3,862 | 4,170 | 4,651 | 5,565 | 6,484 | 100\% | 100\% | 100\% | 100\% | 100\% |

[^1]One of the most significant trends in faculty composition is the shifting age demographic, which reflects both the lack of a mandatory retirement age and the slowing of new faculty hiring. Figure 7 maps the changes between 1990 (the last year before UC implemented a series of voluntary early retirement incentive programs [VERIP]), 2007, and 2009, where new trends are emerging. In 1990, policy mandating retirement at age 70 was still in place, and the faculty age distribution was balanced, with 39 percent at age 45 and under, and 42 percent at age 51 and over. In the intervening years, and with federal law eliminating mandatory retirement, the faculty age distribution has become increasingly more weighted to older age cohorts. In 2009, more than half ( 53 percent) of the faculty were 51 and over, and only 35 percent were 45 or younger. Five percent were over age 70. The aging of the faculty poses both near-term and long-term challenges for faculty renewal.

Figure 7: Age Distribution of Professorial Series \& Equivalent Rank Faculty Fall, 1990 (pre-VERIP), 2007 and 2009 [Fall 2010 data currently not available]


Headcount

|  | $\mathbf{2 6 - 3 0}$ | $\mathbf{3 1 - 3 5}$ | $\mathbf{3 6 - 4 0}$ | $\mathbf{4 1 - 4 5}$ | $\mathbf{4 6 - 5 0}$ | $\mathbf{5 1 - 5 5}$ | $\mathbf{5 6 - 6 0}$ | $\mathbf{6 1 - 6 5}$ | $\mathbf{6 6 - 6 9}$ | $\mathbf{7 0 +}$ | TOTAL |
| :--- | ---: | ---: | ---: | ---: | ---: | ---: | ---: | ---: | ---: | ---: | ---: |
| $\mathbf{1 9 9 0}$ | 168 | 783 | 1,102 | 1,285 | 1,511 | 1,211 | 1,098 | 765 | 445 | 0 | 8,368 |
| $\mathbf{2 0 0 7}$ | 152 | 735 | 1,147 | 1,176 | 1,228 | 1,515 | 1,310 | 1,145 | 547 | 345 | 9,300 |
| $\mathbf{2 0 0 9}$ | 117 | 757 | 1,221 | 1,238 | 1,260 | 1,413 | 1,354 | 1,174 | 660 | 453 | 9,647 |

Percentages

|  | $\mathbf{2 6 - 3 0}$ | $\mathbf{3 1 - 3 5}$ | $\mathbf{3 6 - 4 0}$ | $\mathbf{4 1 - 4 5}$ | $\mathbf{4 6 - 5 0}$ | $\mathbf{5 1 - 5 5}$ | $\mathbf{5 6 - 6 0}$ | $\mathbf{6 1 - 6 5}$ | $\mathbf{6 6 - 6 9}$ | $\mathbf{7 0 +}$ | TOTAL |
| :--- | ---: | ---: | ---: | ---: | ---: | ---: | ---: | ---: | ---: | ---: | ---: |
|  | $\mathbf{1 9 9 0}$ | $2 \%$ | $9 \%$ | $13 \%$ | $15 \%$ | $18 \%$ | $14 \%$ | $13 \%$ | $9 \%$ | $5 \%$ | $0 \%$ |
| $\mathbf{2 0 0 7}$ | $2 \%$ | $8 \%$ | $12 \%$ | $13 \%$ | $13 \%$ | $16 \%$ | $14 \%$ | $12 \%$ | $6 \%$ | $4 \%$ | $100 \%$ |
| $\mathbf{2 0 0 9}$ | $1 \%$ | $8 \%$ | $13 \%$ | $13 \%$ | $13 \%$ | $15 \%$ | $14 \%$ | $12 \%$ | $7 \%$ | $5 \%$ | $100 \%$ |

## 2.b. Faculty numbers, teaching, and instruction

More complete information on teaching and instruction will be reported to the Regents later this year. As a part of this report, Figure 8 and Figure 9 connect faculty numbers to the growth in student populations. As detailed in Figure 8, over the last ten years, the annual growth rate of combined numbers of General Campus student populations (undergraduate, graduate, and professional) at 2.5 percent, has exceeded the annual growth rate for every General Campus faculty group: Professorial and Equivalent Rank faculty (2.0 percent), Lecturers (1.6 percent), and Other Faculty titles ( -0.8 percent). The annual rate of increase for Total Faculty FTE (1.8 percent) did not keep pace with the rate of increase for students ( 2.5 percent). Not all of this student growth was supported by State funding, making it difficult to hire sufficient additional faculty in Professorial positions.

Figure 8: Student and Faculty Growth - General Campus
Fall 2000 and 2010

|  | $\mathbf{2 0 0 0}$ | $\mathbf{2 0 1 0}$ | Change | Annual <br> Growth <br> Rate |
| :--- | :---: | :---: | :---: | :---: |
| Undergraduate, Graduate and <br> Professional Students - Headcount* | 170,794 | 219,062 | $48,268^{\star *}$ | $2.5 \%$ |
| Professorial and Equiv. Faculty FTE |  |  |  |  |
| Lecturer FTE | 1,006 | 7,294 | 1,288 | $2.0 \%$ |
| Other Faculty FTE | 379 | 1,532 | 226 | $1.6 \%$ |
| Total Faculty FTE | $\mathbf{7 , 6 9 1}$ | $\mathbf{9 , 1 7 6}$ | $\mathbf{1 , 4 8 5}$ | $\mathbf{1 . 8 \%}$ |

Sources: Stat Finder, Corporate Personnel System
Prof. \& Equivalent Ranks: Professorial Series, Acting Series, Lecturer PSOE, Lecturer SOE, and Recalls
Lecturers: Exclusively Represented Lecturers
Other Faculty: Adjunct, Visiting and Instructional Assistants (Non-Student)

* The 2010 student number reported is not the final official number, which was not available at the time this report was generated.
** Student growth has exceeded State funding in recent years. As a result, UC has not received the resources necessary to hire permanent faculty into the Prof. \& Equivalent Ranks at a pace commensurate with increases in enrollment.

Teaching assignments also continue to vary by faculty type. The data indicate that the more complex the subject matter taught, the more apt Academic Senate faculty are to have done the teaching. Academic Senate faculty, who have the greatest expertise, are responsible for a high proportion of the teaching of graduate and professional courses. Academic Senate faculty teach slightly over 50 percent of upper division courses and a lower percentage of lower division courses. Temporary faculty predominate in institution-wide courses required to graduate such as general education, basic writing, and math, but Academic Senate faculty take on a greater proportion of instruction related to courses required for specific majors. Campuses also hire lecturers to fill in instructional course offering gaps during times of rapid growth while campuses recruit permanent faculty. Figure 9 details these numbers as well as the teaching done by Graduate Student Instructors and Teaching Assistants.

Figure 9: Student Credit Hours
By Course Type and Faculty Category General Campus, 2008-09


Source: TIE report campus survey, most recent survey available
Note: Senate Faculty: Professorial Series, Lecturers LSOE and PSOE, In Residence, and Emeriti and other retired faculty in Recall appointments
Lecturers: Exclusively represented Lecturers (Unit 18)
GSIs/TAs: Graduate Student Instructors/Teaching Assistants

## 2.c. Faculty composition by gender, race, and ethnicity

Recruitment of both new and established faculty draws from a national and international pool of talent; the hiring of assistant, associate, and full professors draws from foreign nationals educated abroad as well as from U.S. and international scholars educated in the U.S. Out of these populations, the University remains dedicated to building a more diverse faculty, particularly those from under-represented racial and ethnic populations in the U.S. In the coming decades, a more diverse faculty will be an increasingly important measure of a great university.

National availabilities of potential faculty trained in the U.S. are accessible by gender and also by race/ethnicity; Figure 10 provides information about these availabilities by gender for new assistant professor hires. While gender availability and UC's recruitment success varies by disciplinary area, UC hired women assistant professors at a rate below their availability in all but two disciplinary areas (computer science/mathematics/engineering, and physical sciences). Overall, women accounted for 47.5 percent of the pool of nationwide doctoral degree recipients but only 39.9 percent of UC's new hires.

Figure 10: Hiring of Women Professorial Series \& Equivalent Rank Faculty (Non-tenured -- Assistant Professors) ${ }^{\dagger}$ vs. Availabilities of Women By Discipline, 2004-05 through 2008-09 hires combined U.S. Citizens and Permanent Residents only
 Soc Sci

Total

|  | Availabilities $^{\dagger}$ |  |
| :--- | :---: | :---: |
|  | $\frac{\text { UC Hiring }}{}$ |  |
| Women | $47.5 \%$ |  |
| Men | $52.5 \%$ | $60.1 \%$ |

Notes: Availability is based on the proportion of Ph.D.s awarded to women nationwide from 2003 to 2007. Data does not include Medicine, Dentistry and Optometry.

* Agriculture \& Natural Resources, Biological Sciences, Nursing, Public Health, Pharmacy, and Veterinary Medicine. Professional Fields includes Architecture, Business \& Management, Communications, Law, Library Sciences, Public Administration, and Social Work.
${ }^{\dagger}$ Non-tenured UC Professorial Series \& Equivalent Rank Faculty include primarily Assistant Professors, but also very small numbers of Lecturers with Potential Security of Employment, and Acting Assistant Professors. Total Availabilities are calculated by weighting by discipline the distribution of incumbent non-tenured UC Professorial Series \& Equivalent Rank Faculty.

Figure 11 offers similar availability and hiring data for under-represented minorities (American Indian/Alaskan Native, African American, Chicano/Latino). The University has had some degree of success in hiring from these pools of potential faculty at a rate slightly over availabilities in selected areas (in Arts/Humanities/Social Sciences, in the Life Sciences, and in Education). Overall, under-represented minorities accounted for 11.3 percent of the pool of nationwide doctoral degree recipients and 12.5 percent of UC's new hires.

Figure 11: Hiring of Under-represented Minority Professorial Series \& Equivalent
Rank Rank Faculty (Non-tenured -- Assistant Professors Only) ${ }^{\dagger}$ vs. Availabilities of Under-represented Minorities By Discipline, 2004-05 through 2008-09 hires combined U.S. Citizens and Permanent Residents only


[^2]Figures 12a and 12b offer additional information on issues of gender in the hiring and composition of Professorial Series Faculty at all ranks (assistant, associate, full). As reflected in Figure 12a, over the last ten years, women have accounted for an average of 35 percent of UC's Professorial Series new appointments. There is slight progress over the ten year period, although availability of women in all disciplines has increased. At a time when the nation's pool of doctoral degree recipients is showing increasing numbers and percentages of women, outreach and recruitment efforts are not resulting in faculty hires that reflect the changes in national availability pools.

Figure 12a: Hiring of Professorial Series \& Equivalent Rank Faculty (All Ranks) by Gender 2000-01 to 2009-10


|  | 2000-01 | 2001-02 | 2002-03 | 2003-04 | 2004-05 | 2005-06 | 2006-07 | 2007-08 | 2008-09 | 2009-10 | $\begin{gathered} \text { ALL } \\ \text { YEARS } \end{gathered}$ |
| :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: |
| Women | 140 | 154 | 189 | 215 | 191 | 156 | 182 | 205 | 243 | 142 | 1,817 |
| Men | 320 | 338 | 330 | 376 | 350 | 285 | 366 | 376 | 364 | 237 | 3,342 |
| Total | 460 | 492 | 519 | 591 | 541 | 441 | 548 | 581 | 607 | 379 | 5,159 |


|  | 2000-01 | 2001-02 | 2002-03 | 2003-04 | 2004-05 | 2005-06 | 2006-07 | 2007-08 | 2008-09 | 2009-10 | $\begin{aligned} & \text { ALL } \\ & \text { YEARS } \end{aligned}$ |
| :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: |
| Women | 30\% | 31\% | 36\% | 36\% | 35\% | 35\% | 33\% | 35\% | 40\% | 37\% | 35\% |
| Men | 70\% | 69\% | 64\% | 64\% | 65\% | 65\% | 67\% | 65\% | 60\% | 63\% | 65\% |
| Total | 100\% | 100\% | 100\% | 100\% | 100\% | 100\% | 100\% | 100\% | 100\% | 100\% | 100\% |

Figure 12b offers a summary of current Professorial Series Faculty by gender, showing dramatic differences in the presence of women by discipline. In 2009, 30 percent of UC's Professorial Series Faculty were women, with the highest percentage in Education (52 percent) and the lowest percentages in Engineering/Computer Sciences (13 percent), and Mathematics (14 percent). Women continue to be represented at low levels in STEM (science, technology, engineering and mathematics) fields.

Figure 12b: Professorial Series \& Equivalent Rank Faculty (All Ranks) by Gender and Discipline
Fall 2009 [Fall 2010 data currently not available]
All Fields Combined:
Total Headcount 9,647
Female: $\quad 2,865$ (30\%)
Male: $\quad 6,782$ (70\%)


Figures 13a and 13b offer similar information on the racial and ethnic make-up of the faculty in the hiring and composition of Professorial Series Faculty at all ranks (assistant, associate, full). Figure 13a displays hiring of new Professorial Series Faculty at all levels (assistant, associate, full) over the last decade. During that time, under-represented minorities have accounted for an average of nine percent and Asian Americans 17 percent of UC’s Professorial Series new appointments.

Figure 13a: Hiring of Professorial Series \& Equivalent Rank Faculty (All Ranks) by Race/Ethnicity ${ }^{\dagger}$ 2000-01 to 2009-10


|  |  |  |  |  |  |  |  |  |  |  |  |
| :--- | ---: | ---: | ---: | ---: | ---: | ---: | ---: | ---: | ---: | ---: | ---: |
|  | $2000-01$ | $2001-02$ | $2002-03$ | $2003-04$ | $2004-05$ | $2005-06$ | $2006-07$ | $2007-08$ | $2008-09$ | $2009-10$ | YEARL |

[^3]Figure 13b displays summary data on faculty composition of all Professorial Series Faculty by race/ethnicity and discipline. In 2009, eight percent of UC’s Professorial Series Faculty were under-represented minorities and 15 percent were Asian Americans. Clearly the distribution of these groups is varied across fields.

Figure 13b: Professorial Series \& Equivalent Rank Faculty (All Ranks) by Race/Ethnicity ${ }^{\dagger}$ and Discipline
Fall 2009 [Fall 2010 data currently not available]
All Fields Combined:
Total Headcount: $\quad 9,647$
URM: 797
Asian American: 1,403 (15\%)
White/Other: $\quad 7,447$ (77\%)

*URM: Under-represented Minority; includes American Indian/Alaskan Native, African American and Chicano/Latino.
${ }^{\dagger}$ Note that only U.S. Citizens and Permanent Residents are classified by race/ethnicity; International/Non-U.S. Residents are included In "White/Other"; approximately one percent of the total are International/Non-U.S. residents.

These summary data of Professorial Series and Equivalent Rank Faculty by gender and by race/ethnicity demonstrate the slow pace of demographic change; U.S. availability pools show that UC has room for improvement and campuses are putting together innovative efforts to increase the diversity of the faculty. For example, in the STEM disciplines, several campuses have received competitive funding from the NSF ADVANCE program to support efforts to increase the number of women and women of color in STEM faculty positions. UC Irvine and UC Merced (both with individual awards), and the five southern campuses (with a collaborative award) have used this funding to develop innovations in recruitment and retention of a more diverse faculty; in particular they have trained faculty and administrators about implicit bias in evaluation and recruitment and are developing new databases to collect and analyze data about diversity during faculty searches. UC Berkeley's Haas Diversity Research Center (located in the Office of Equity, Inclusion, and Diversity) promotes research on diversity as part of a multi-pronged approach to supporting a more diverse faculty and creating a more inclusive campus climate.

## Part Three. Recruitment and Retention

These fairly static demographics provide the context for present challenges in the recruitment and retention of UC faculty. UC has a set of policies and practices that encourages long faculty commitments to the University; for example, over the last six years, three-quarters of faculty who retired had 30 or more years of service, with the mode at 36 years. Such stability is a hallmark of the University and a contributor to its quality. At a time of reduced State support, growing enrollments, and a steady stream of faculty separating from the university, however, campuses are increasingly concerned about maintaining faculty quality.

## 3.a. Recruitment

In the last five years, UC has hired 2,556 Professorial Series Faculty or approximately 26 percent of the current number. During 2009-2010, the number of new hires dropped dramatically, however, from 607 the preceding year to 379, the lowest number of hires in a decade. This contributed to the first downturn in the number of Professorial Series and Equivalent Rank Faculty in general campus fields in many years; FTE for this group of faculty decreased by 75, from 7,369 in 2009 to 7,294 in 2010. Campuses continue to hire selectively, using open lines to recruit new faculty who will lead disciplinary research and innovation and deliver top-flight education to UC students. As shown in Figure 14, over the ten-year period, about 65 percent of the hires have been junior (Assistant Professor, i.e., non-tenured) positions.

Figure 14: Professorial Series \& Equivalent Rank Faculty New Appointments By Tenure Status 2000-01 to 2009-10


|  |  |  |  |  |  |  |  |  |  |  |  |
| :--- | ---: | ---: | ---: | ---: | ---: | ---: | ---: | ---: | ---: | ---: | ---: |
| Non- | $2000-01$ | $2001-02$ | $2002-03$ | $2003-04$ | $2004-05$ | $2005-06$ | $2006-07$ | $2007-08$ | $2008-09$ | $2009-10$ | YEARS <br> NoAR |
| Tenured | 278 | 309 | 356 | 391 | 351 | 292 | 369 | 379 | 392 | 240 | 3,357 |
| Tenured | 182 | 183 | 163 | 200 | 190 | 149 | 179 | 202 | 215 | 139 | 1,802 |
| Total | 460 | 492 | 519 | 591 | 541 | 441 | 548 | 581 | 607 | 379 | 5,159 |


|  |  |  |  |  |  |  |  |  |  |  |  |
| :--- | ---: | ---: | ---: | ---: | ---: | ---: | ---: | ---: | ---: | ---: | ---: |
| Non- | $2000-01$ | $2001-02$ | $2002-03$ | $2003-04$ | $2004-05$ | $2005-06$ | $2006-07$ | $2007-08$ | $2008-09$ | $2009-10$ | YEARS |
|  |  | $60 \%$ | $63 \%$ | $69 \%$ | $66 \%$ | $65 \%$ | $66 \%$ | $67 \%$ | $65 \%$ | $65 \%$ | $63 \%$ |
| Tenured | $40 \%$ | $37 \%$ | $31 \%$ | $34 \%$ | $35 \%$ | $34 \%$ | $33 \%$ | $35 \%$ | $35 \%$ | $37 \%$ | $35 \%$ |
| Tenured | $100 \%$ | $100 \%$ | $100 \%$ | $100 \%$ | $100 \%$ | $100 \%$ | $100 \%$ | $100 \%$ | $100 \%$ | $100 \%$ | $100 \%$ |

UC recruits this new faculty from a prestigious and short list of institutions, which demonstrates selectivity but also is indicative of the competitive environment in which UC competes for new
faculty. In addition, nearly one-quarter of new faculty have terminal degrees from UC; such cross-fertilization among campuses often allows UC to keep the best faculty recruits within the system. As noted in Figure 15, twenty top institutions plus UC account for the degrees of 64 percent of new hires.

Figure 15: Competition for Recruitment
Source of UC's Professorial Series \& Equivalent Rank Faculty New Appointments - Institution of Highest Degree 2000-01 through 2009-10 combined

|  | New UC <br> Hires | New <br> New <br> Hires |
| :--- | ---: | :---: |
| Degree Institution | 320 | $6 \%$ |
| Harvard | 266 | $5 \%$ |
| MIT | 167 | $3 \%$ |
| Yale | 165 | $3 \%$ |
| U of Chicago | 128 | $2 \%$ |
| Princeton | 113 | $2 \%$ |
| U of Michigan | 111 | $2 \%$ |
| Columbia | 89 | $2 \%$ |
| Cornell | 88 | $2 \%$ |
| Cal Tech | 80 | $2 \%$ |
| NYU | 72 | $1 \%$ |
| U of Pennsylvania | 68 | $1 \%$ |
| U of Wisconsin | 65 | $1 \%$ |
| Duke | 55 | $1 \%$ |
| Johns Hopkins | 55 | $1 \%$ |
| U of Washington | 55 | $1 \%$ |
| U of Southern Cal | 54 | $1 \%$ |
| Northwestern | 54 | $1 \%$ |
| U of Texas | 48 | $1 \%$ |
| U of Minnesota | 48 | $1 \%$ |
| TOP 20 | $\mathbf{2 , 1 0 1}$ | $\mathbf{4 1 \%}$ |
| UC |  |  |
| All Others | $\mathbf{1 , 2 0 9}$ | $\mathbf{2 3 \%}$ |
| Total New Hires | $\mathbf{3 6 \%}$ | $\mathbf{1 0 0 \%}$ |

To recruit the best new faculty, campuses have developed practices and programs that keep UC competitive. Start-up packages support the establishment of research laboratories and collaborations and also address personal transitions. For example, new faculty request help with partner accommodations, housing support, and childcare on or near campus. They also respond positively to the kind of flexibility in appointments that UC policies currently allow. Since housing costs are a particular challenge, the Mortgage Origination Program (MOP) Loans have been an important recruitment tool, with over 1257 MOP loans secured by new faculty over the last five years ( 49 percent of new hires received loans). Campuses maintain web pages to inform new and potential faculty of their special programs to enhance faculty productivity and transitions. To attract new professors, UC awards starting salaries that are competitive, but this means nearly all of these recruits begin off-scale. This attempt to meet market salaries solves individual recruitment situations but exposes the low salaries of most continuing faculty. Faculty with extended UC service have seen their salaries eroded over time and new recruits often make more than these existing faculty at the same (or even higher) rank. Many refer to this as the "loyalty penalty."

## 3. b. Retention

Indeed, campuses report that they face persistent retention issues for faculty at all stages in their UC careers and that salary is their biggest challenge. Figure 16 shows average faculty salaries compared to those of our eight comparison institutions (The Comp 8: Stanford, Yale, Harvard, MIT, Virginia, Michigan, Illinois, and SUNY-Buffalo). UC faculty are typically recruited by private institutions (including all four in the Comp 8) that have continued to raise faculty salaries, even in the last three years.

Figure 16: Average Professorial Series Faculty Salaries (Assistant,Associate,Full)* General Campus Only UC and Comparison 8
5-Year intervals to 1999-00, and each year 1999-00 through 2009-10 (Adjusted for Inflation in 2009 Dollars)


[^4]In general campus fields, UC's faculty salaries in the aggregate are currently 11.2 percent below the average of those of our peer institutions (this is the difference between the red and blue lines in Figure 16). Matching the red line is the current goal for UC faculty salaries. In addition, our current salary scales are significantly under-funded, with the result that more than 65 percent of faculty in general campus fields are off-scale ("off-scale" faculty salaries are above the published salary scales for each rank and step) and another 11 percent are "above scale". The merit review system was designed to motivate faculty to perform at the highest level by linking peer review to incremental steps and their salary scales. When merit-determined steps are divorced from the actual salary (through off-scale and above-scale salaries), the merit system is less effective, eroding one of the unique strengths of UC.

The competitive status of UC's total remuneration (salary, benefits, retirement) was studied by independent consultants. A summary, broken down by rank, is shown in Figure 17. UC's total remuneration at all ranks was shown to trail that of the market. The lag was shown to be 4 percent at the full professor rank, 7 percent at the associate professor rank, and 4 percent for assistant professors. Lagging salaries by far contribute most to the uncompetitive total remuneration. These lags reflect conditions at the time of the study. Current lags are very likely higher because some of the comparators have continued annual pay increases. In addition, beginning April 2010, UC employees had a portion of their salary redirected into the UC Retirement Program (UCRP), and beginning July 2011 and again in July 2012 increasing percentages of salary will be redirected to UCRP . A second scenario in the Total Remuneration Study assumed a redirect of 5 percent of employee pay to UCRP. This scenario yielded lags of 6 percent for Full Professors, 9 percent for Associate Professors, and 7 percent for Assistant Professors.

Figure 17: Professorial Series Faculty Total Remuneration* General Campus Only UC and Comparison 8 2008-09 Data


Source: 2009 Update of Total Remuneration Study for Campus \& UCOP and Medical Centers (the Mercer-Hewitt Study Update): www.universityofcalifornia.edu/news/compensation/comparisons.html. Data excludes Health Sciences and Law School faculty, and non-Professorial Series titles. The comparison 8 institutions consist of four privates (Harvard, MIT, Stanford, Yale) and four publics (Illinois-Urbana/Champaign, Michigan-Ann Arbor, State University of New York-Buffalo, Virginia-Charlottesville).

* Note: To provide direct comparisons, equivalent ranks were excluded from this table.

Another measure of retention success is the percentage of faculty who are granted tenure and remain at the university at the 8-year mark, the mandatory time for a tenure decision. Figure 18 provides a comparative view of 8-year retention rates for the cohort of assistant professors who began between 1993 and 1997 combined, and for those who began on a year-by-year basis between 1997 and 2001. The percentage of those who remain tenured at UC after eight years has shown a small decrease from 74 percent to 70 percent. The decreasing percentages over time underline persistent retention challenges. The number who receive tenure and then leave is of particular concern because these are high quality faculty in whom UC has made a substantial investment. Assistant Professors still at UC after eight years are those who have had extensions of the tenure-clock for family issues.

Figure 18: Professorial Series Faculty (Assistant Professors Only) Tenure Status and Location 8 Years After Hire


| Status 8 Years Later | YEAR OF HIRE |  |  |  |  |
| :---: | :---: | :---: | :---: | :---: | :---: |
|  | 1993-97 <br> Combined | 1997-98 | 1998-99 | 1999-00 | 2000-01 |
| Left UC did not have tenure | 193 | 39 | 47 | 52 | 51 |
| Left UC with tenure | 38 | 19 | 19 | 19 | 28 |
| Assistant Prof at UC | 4 | 0 | 2 | 2 | 3 |
| Tenured at UC | 665 | 167 | 146 | 141 | 195 |
| TOTAL | 900 | 225 | 214 | 214 | 277 |
| Left UC did not have tenure | 21\% | 17\% | 22\% | 24\% | 18\% |
| Left UC with Tenure | 4\% | 8\% | 9\% | 9\% | 10\% |
| Assistant Prof at UC | 0\% | 0\% | 1\% | 1\% | 1\% |
| Tenured at UC | 74\% | 74\% | 68\% | 66\% | 70\% |
| TOTAL | 100\% | 100\% | 100\% | 100\% | 100\% |

At all levels, the University faces competition for its high quality faculty. Over the last ten years, a large percentage of tenured faculty who voluntarily left (40 percent) accepted positions at 20 excellent Universities, listed in Figure 19. These 20 institutions and UC intercampus relocations accounted for 60 percent of 642 tenured faculty resignations. (These figures include only those with employment at other institutions and exclude those leaving to pursue private practice, governmental service, or business/management.) Fourteen of these 20 institutions are private universities and are consistently able to offer substantially higher salaries than UC.

Figure 19: Competition for Retention of Tenured Professorial Series \& Equivalent Rank Faculty
(Full \& Associate Professors and Lecturers LSOE who Voluntarily Resigned) 2000-01 through 2009-10 combined

| Future Institution | UC Tenured Faculty <br> Resignations | $\%$ |
| :--- | ---: | ---: |
| Stanford | 25 | $4 \%$ |
| NYU | 25 | $4 \%$ |
| U of Southern Cal | 23 | $4 \%$ |
| Columbia | 22 | $3 \%$ |
| U of Michigan | 17 | $3 \%$ |
| Harvard | 15 | $2 \%$ |
| U of Chicago | 13 | $2 \%$ |
| U of Illinois | 12 | $2 \%$ |
| U of Pennsylvania | 11 | $2 \%$ |
| Princeton | 11 | $2 \%$ |
| U of Minnesota | 10 | $2 \%$ |
| Cornell | 10 | $2 \%$ |
| U of Texas | 9 | $1 \%$ |
| Duke | 9 | $1 \%$ |
| Northwestern | 8 | $1 \%$ |
| Yale | 8 | $1 \%$ |
| Arizona State | 7 | $1 \%$ |
| MIT | 7 | $1 \%$ |
| Johns Hopkins | 7 | $1 \%$ |
| U of Washington | 6 | $1 \%$ |
| TOP 20 | $\mathbf{2 5 5}$ | $\mathbf{4 0 \%}$ |
|  |  |  |
| UC | $\mathbf{1 2 7}$ | $\mathbf{2 0} \%$ |
| All Others | $40 \%$ |  |
| Total | $100 \%$ |  |

Figures 20, 21, 22, and 23 offer further data on faculty separations; separations include both resignations and retirements since those who retire from UC sometimes go on to faculty positions at other institutions.

Data in Figure 20 show that resignations and retirements under age 60 have gone down slightly over the last few years but remain relatively stable. The number of retirements of faculty over age 60 has grown during that same period. ${ }^{1}$

Figure 20: Professorial Series \& Equivalent Rank Faculty Separations By Reason
1994-95 through 2009-10


Figure 21 offers a long view of Professorial Series faculty separations ranging over the last twenty-five years. Numbers have increased in recent years, likely due to the aging of UC's faculty and increasing challenges to retain faculty as disparities in compensation with UC's competitors increase.

[^5]Figure 21: Professorial Series \& Equivalent Rank Faculty Separations
By Tenure Status
1984-85 to 2009-10


Data on separations with detail on gender and on race/ethnicity complete the picture of retention challenges. Figure 22 shows systemwide separation data by gender where, over the last ten years, women accounted for 24 percent of Professorial Series Faculty separating from UC. This is less than the percentage of women on the faculty and far less than the 35 percent of women among Professorial Series faculty new hires. This difference reflects varying populations making up separations and new hires: the majority of separations occur at the most senior level (full and associate, where women are poorly represented), and the majority of new appointments are at the junior level (assistant), where women are better represented. As the university continues to hire, and with the number of new appointments exceeding the number of separations, opportunities will continue to exist for further diversifying UC's faculty population by gender.

Figure 22: Professorial Series \& Equivalent Rank Faculty Separations By Gender
2000-01 to 2009-10


As the data in Figure 23 details, opportunities for increasing the percentage of under-represented minorities on the faculty are less abundant. Over the last ten years, under-represented minorities accounted for eight percent of Professorial Series Faculty separating from UC, and during this same period accounted for nine percent of Professorial Series Faculty new hires. Asians Americans accounted for 11 percent of separations and 17 percent of new hires. As of 2009, under-represented minorities accounted for eight percent and Asian American 15 percent of the Professorial Series population. Thus, even with future turnover in the number of faculty, the lack of differences between under-represented minority new appointments and separations suggests that if current rates and patterns of hiring do not change, it will take many years before under-represented minorities are significantly better represented within UC's faculty population. In contrast, Asian Americans are increasing their presence within UC's faculty population.

Figure 23: Professorial Series \& Equivalent Rank Faculty Separations By Race/Ethnicity ${ }^{\dagger}$ 2000-01 to 2009-10


|  | 2000-01 | 2001-02 | 2002-03 | 2003-04 | 2004-05 | 2005-06 | 2006-07 | 2007-08 | 2008-09 | 2009-10 | $\begin{gathered} \text { ALL } \\ \text { YEARS } \end{gathered}$ |
| :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: |
| URM* | 19 | 29 | 27 | 19 | 26 | 29 | 29 | 26 | 29 | 22 | 255 |
| Asian Amer | 30 | 22 | 30 | 24 | 41 | 52 | 40 | 30 | 41 | 34 | 344 |
| White/Other | 198 | 194 | 205 | 265 | 283 | 306 | 273 | 301 | 259 | 286 | 2,570 |
| Total | 247 | 245 | 262 | 308 | 350 | 387 | 342 | 357 | 329 | 342 | 3,169 |


|  | 2000-01 | 2001-02 | 2002-03 | 2003-04 | 2004-05 | 2005-06 | 2006-07 | 2007-08 | 2008-09 | 2009-10 | $\begin{gathered} \text { ALL } \\ \text { YEARS } \\ \hline \end{gathered}$ |
| :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: |
| URM* | 8\% | 12\% | 10\% | 6\% | 7\% | 7\% | 8\% | 7\% | 9\% | 6\% | 8\% |
| Asian Amer | 12\% | 9\% | 11\% | 8\% | 12\% | 13\% | 12\% | 8\% | 12\% | 10\% | 11\% |
| White/Other | 80\% | 79\% | 78\% | 86\% | 81\% | 79\% | 80\% | 84\% | 79\% | 84\% | 81\% |
| Total | 100\% | 100\% | 100\% | 100\% | 100\% | 100\% | 100\% | 100\% | 100\% | 100\% | 100\% |

*URM: Under-represented Minority; includes American Indian/Alaskan Native, African American and Chicano/Latino.

[^6]
## 3.c. Efforts to meet the challenge of recruitment and retention

Both the Academic Senate and campus administrators have contributed to ongoing efforts to create the right environment for successful recruitment and retention. The Academic Senate, and, in particular, the University Committee on Faculty Welfare (UCFW), the University Committee on Academic Personnel (UCAP), and the University Committee on Planning and Budget (UCPB) have studied issues of salary, total remuneration, and personnel review practices. They have prioritized faculty salaries and the maintenance of strong benefits to aid in retention. Campus administrators have managed the day-to-day challenges of recruitment and retention, putting together individual retention packages both in response to written outside offers and on a pre-emptive basis. Executive Vice Chancellors report persistent challenges to keep faculty who receive formal offers from other campuses.

To remain leaders in faculty recruitment and retention, UC will need to enhance salary and continue innovative approaches to designing faculty careers for the future. There are clear warning signs that the University must be nimble in this work. In a 2006 survey of UC Ph.D. students and post-doctoral scholars, both groups indicated their increasing reluctance to consider faculty careers. While 45 percent of men in Ph.D. programs began with the goal of seeking a faculty career, at the time of the survey, only 34 percent were still considering this career path. For women, the drop was greater, from 38 percent to 25 percent. Similar drops in the attractiveness of faculty careers occurred among the post-doctoral scholars surveyed. The clear message from potential faculty is that the job is increasingly undesirable, both because of its perceived incompatibility with raising children and its reward system. ("Staying Competitive: Patching America’s Leaky Pipeline in the Sciences," Goulden, Frasch, Mason, 2009. http://www.law.berkeley.edu/files/Women_Sciences_Final_Copy.pdf )

The University should plan to address both the needs of its long-serving, productive faculty and the expectations of its future faculty. There are budgetary implications for improving faculty salaries and benefits, and for hiring new faculty at a rate that keeps pace with past and future enrollment growth and increasing faculty retirements, but these must be weighed against the costs of losing current faculty and of not being competitive for top recruits.

## APPENDIX A

## Glossary of Terms

Faculty - An academic appointee engaged in instruction and research with independent responsibility for conducting approved, regular University courses. Certain faculty title series, but not all title series, confer Academic Senate membership.

Academic Senate Faculty - Subset of faculty appointees with voting privileges as members of the faculty governance body. The Academic Senate shares governance of UC with the Regents, the President, and the Chancellors. Includes the following series: Professorial Series, Professor in Residence, Professor of Clinical __ Lecturers with Security of Employment (SOE), Lecturers with Potential Security of Employment (PSOE), Acting Professors, and Acting Associate Professors.

Non-Senate Faculty - Subset of faculty appointees who are not members of the Academic Senate, and therefore have no voting privileges. Includes the following series: Lecturer (Unit 18 - exclusively represented by the American Federation of Teachers), Health Science Clinical Professors, Adjunct Professors, Visiting Professors, Instructional Assistants (non-student), and Acting Assistant Professors.

Rank - A level of appointment within a title series. Includes Assistant, Associate, and Full Professor. The Lecturer series, both Senate and Non-Senate, include levels of Lecturer and Senior Lecturer.

Tenure - Positions that are continuous until ended voluntarily by retirement or resignation, or involuntarily by demotion or dismissal.

Professorial Series \& Equivalent Ranks - These are the tenured or tenure-eligible titles. Often also referred to as the Ladder-Rank Faculty; a subset of all Faculty titles that includes the following Senate and Non-Senate members: Professorial Series, Acting Series (all ranks), Lecturer PSOE, and Lecturer SOE. Recalled Faculty are included as well, but because of their temporary and part-time status are generally not counted in summaries of incumbents, new appointments, and separations. [Lecturers PSOE and LSOE, as well as Acting Professors (Full, Associate and Assistant) are not considered to hold or be eligible for tenure, but have equivalent status.]


[^0]:    Notes:
    ${ }^{1}$ Core Funds: State and UC General Funds and Tuition \& Fees
    ${ }^{2}$ Other Sources: Includes Endowment Income, Gifts, UNEX \& Evening/Executive MBA fees.
    Includes all earnings for faculty appointments only. Does not include pay for part-time Professional Research series, administrative, or other appointments that may be held by faculty members.

[^1]:    Prof. \& Equivalent Ranks: Professorial Series, Acting Series, Lecturer PSOE, Lecturer SOE, and Recalls Lecturers: Exclusively Represented Lecturers
    Other Faculty: Professor in Residence, Professor of Clinical $\qquad$ , Health Science Clinical, Adjunct, Visiting and Instructional Assistants (Non-Student)

[^2]:    Notes: URM (Under-represented Minorities) include American Indian/Alaskan Natives, African Americans, and Chicanos/Latinos.
    Availability is based on the proportion of Ph.D.s awarded to Under-represented Minorities nationwide from 2003 to 2007.

    Data does not include Medicine, Dentistry and Optometry.
    *Agriculture \& Natural Resources, Biological Sciences, Nursing, Public Health, Pharmacy, and Veterinary Medicine. Professional Fields includes Architecture, Business \& Management, Communications, Law, Library Sciences, Public Administration, and Social Work.
    ${ }^{\dagger}$ Non-tenured UC Professorial Series \& Equivalent Rank Faculty include primarily Assistant Professors, but also very small numbers of Lecturers with Potential Security of Employment, and Acting Assistant Professors. Total Availabilities is calculated by weighting by discipline the distribution of incumbent non-tenured UC Professorial Series \& Equivalent Rank Faculty.

[^3]:    * URM: Under-represented Minority; includes American Indian/Alaskan Native, African American and Chicano/Latino.
    ${ }^{\dagger}$ Note that only U.S. Citizens and Permanent Residents are classified by race/ethnicity; International/Non-U.S. Residents are included i In "White/Other"; approximately six percent of all hires were International/Non-U.S. residents.

[^4]:    * Note: To provide direct comparisons, equivalent ranks are excluded from this table.

[^5]:    ${ }^{1}$ Given the large participation rate by faculty in the VERIP programs of 1990-91, 1992-93, and 1993-94, retirement numbers were artificially depressed in the years immediately following. Annual retirement rates did not fully return to pre VERIP levels until almost a decade later.

[^6]:    ${ }^{\dagger}$ Note that only U.S. Citizens and Permanent Residents are classified by race/ethnicity; International/Non-U.S. Residents are included in "White/Other"; less than one percent of the total were international/non-U.S. residents.

