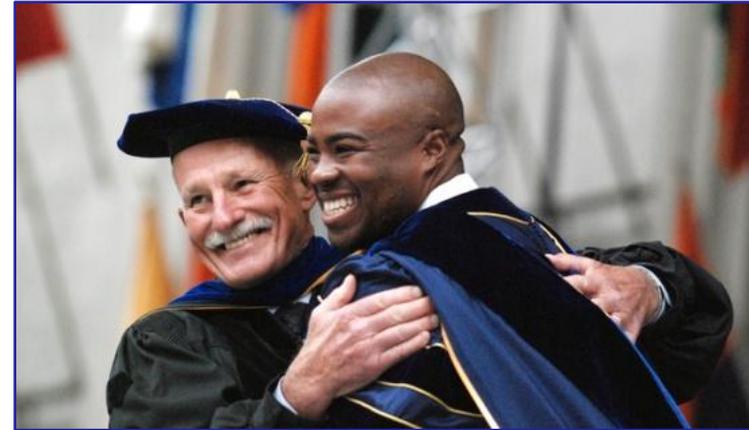


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# The Tenure System at Berkeley - defining, encouraging and rewarding excellence



**Fiona M. Doyle**

*Executive Associate Dean, College of Engineering  
Donald H. McLaughlin Professor of Mineral Engineering  
University of California, Berkeley*

# Outline

- Excellence, academic freedom and tenure
- Tenure track ladder
- Shared governance
- Appointment, promotion and review processes
- Threats to excellence
- Resources for further reading



# Excellence, Academic Freedom and Tenure

## 1940 Statement of Principles on Academic Freedom and Tenure - American Association of University Professors

- Institutions of higher education are conducted for the common good, not to further the interest of the individual teacher or the institution
- The common good depends upon the free search for truth and its free exposition
- Academic freedom is essential to these purposes and applies to both teaching and research

Academic  
freedom

Excellence

- Tenure is a means to certain ends; specifically:
- Freedom of teaching and research and of extramural activities
- A sufficient degree of economic security to make the profession attractive to men and women of ability
- Freedom and economic security, hence, tenure, are indispensable to the success of an institution in fulfilling its obligations to its students and to society.

Tenure

Academic  
freedom

# Privileges and Responsibilities of Tenure

- After the expiration of a probationary period, teachers or investigators should have permanent or continuous tenure
- Their service should be terminated only for adequate cause
- Except in the case of retirement for age, or under extraordinary circumstances because of financial exigencies (1940 Statement of Principles on Academic Freedom and Tenure AAUP)

- As a member of an academic institution, professors seek above all to be effective teachers and scholars
- Although professors observe the stated regulations of the institution, provided the regulations do not contravene academic freedom, they maintain their right to criticize and seek revision
- Professors give due regard to their paramount responsibilities within their institution in determining the amount and character of the work done outside it(AAUP Statement, 1966 & 1987)



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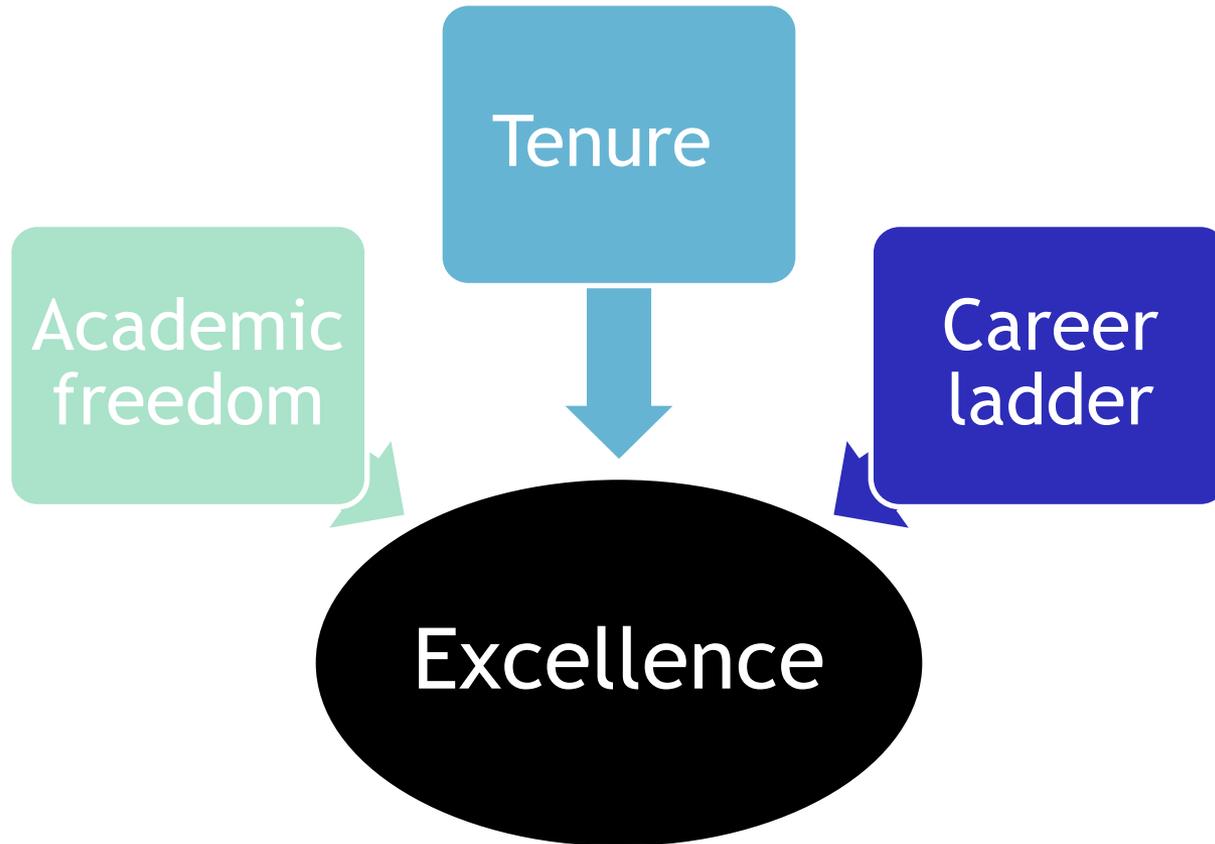
# Tenure and Excellence

- Most American universities have tenured and tenure-track faculty
  - Considered in the closely-watched US News and World Report rankings
- Quality, however, varies significantly
- Clearly, tenure and academic freedom, while necessary, are insufficient to assure excellence
- A secure job isn't always the best incentive for diligence

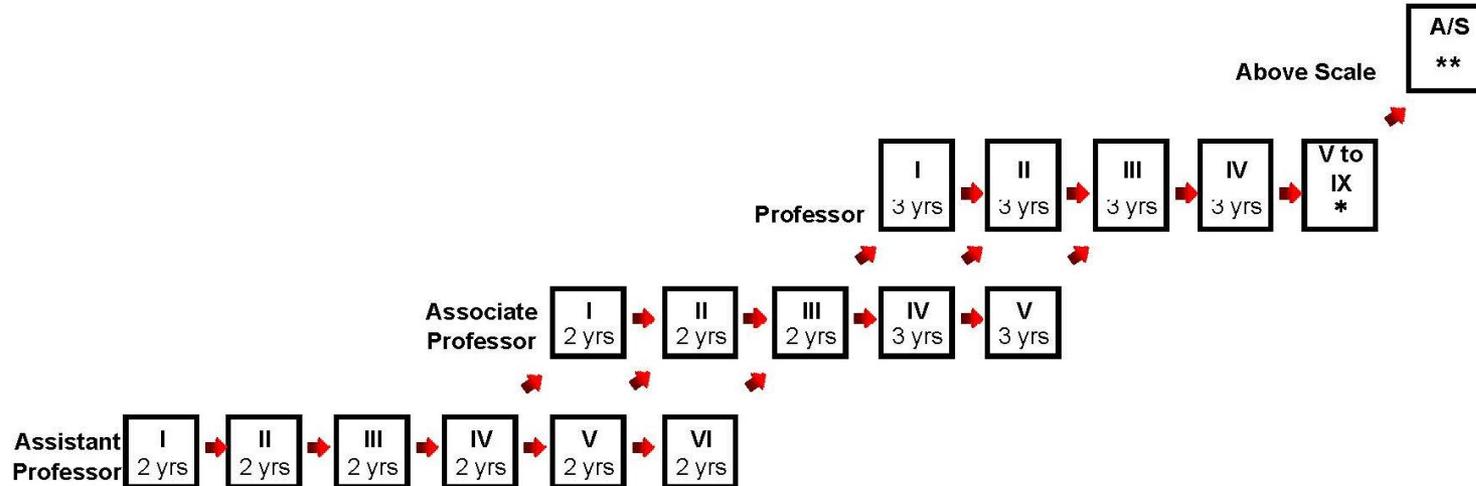


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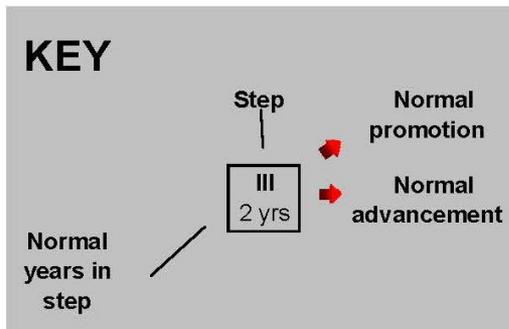
# Encouraging Excellence Through Rewards



# University of California Faculty Ladder



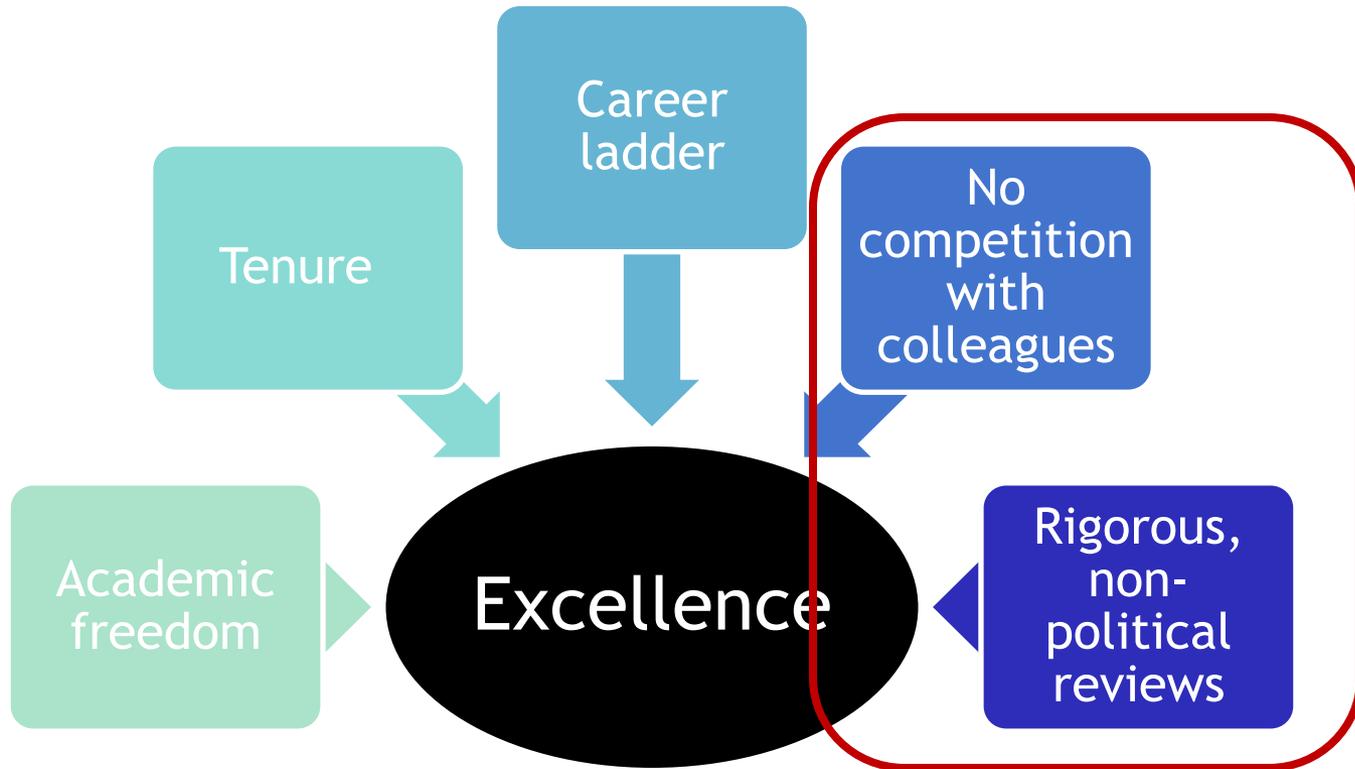
- \* Service in steps V through XIII is of indefinite duration; there are no "normal" years in step, but minimum time at step is 3 years
- \*\* Service at Step IX and within A/S status is of indefinite duration; there are no "normal" years in step, but minimum time at "step" is 4 years



**NOTE:** Mid-Career Appraisals are conducted in the 7th Semester

Final Appraisals are conducted in the 11th Semester

# Two more important things



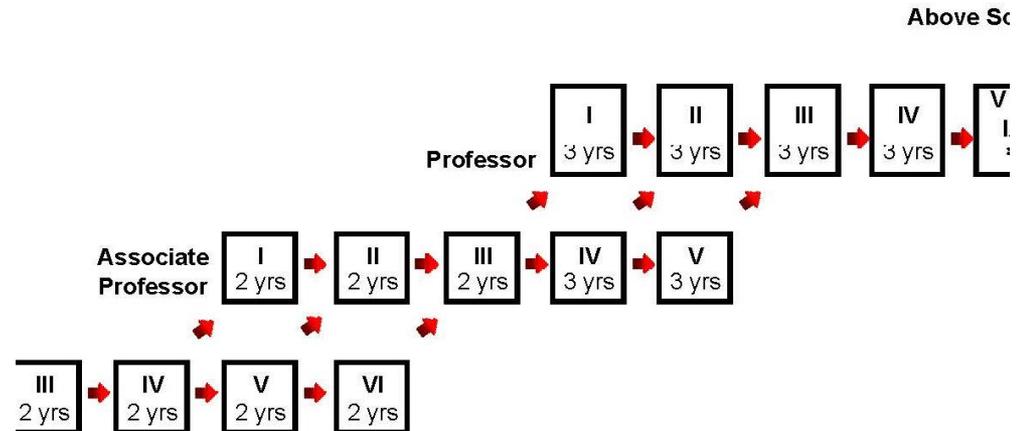
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# Shared Governance

- The University of California has a strong tradition of shared governance through Academic Senate
- All tenured and tenure-track faculty are Senate members
- Faculty control admissions criteria, courses, degree requirements
- Faculty are advisory in other capacities
  - Campus has many joint Senate-administrative committees
  - Administration “picks brains” of faculty on numerous issues
- Academic Senate is extremely influential in academic personnel matters

# Appointment, Promotion and Review Processes

- Every 2-4 years, as specified in faculty ladder, each faculty member reviewed
  - Teaching, research, service
- May follow the normal progression, or be accelerated (or decelerated)
- Each step brings a higher salary - powerful incentive to work hard



- Evaluation is holistic - no formulae on numbers of publications, h-index, impact factors of journals
- There are no quotas on how many faculty can be accelerated or otherwise rewarded
  - No incentive for faculty to compete AGAINST each other
  - Every incentive for faculty to work together to leverage their efforts

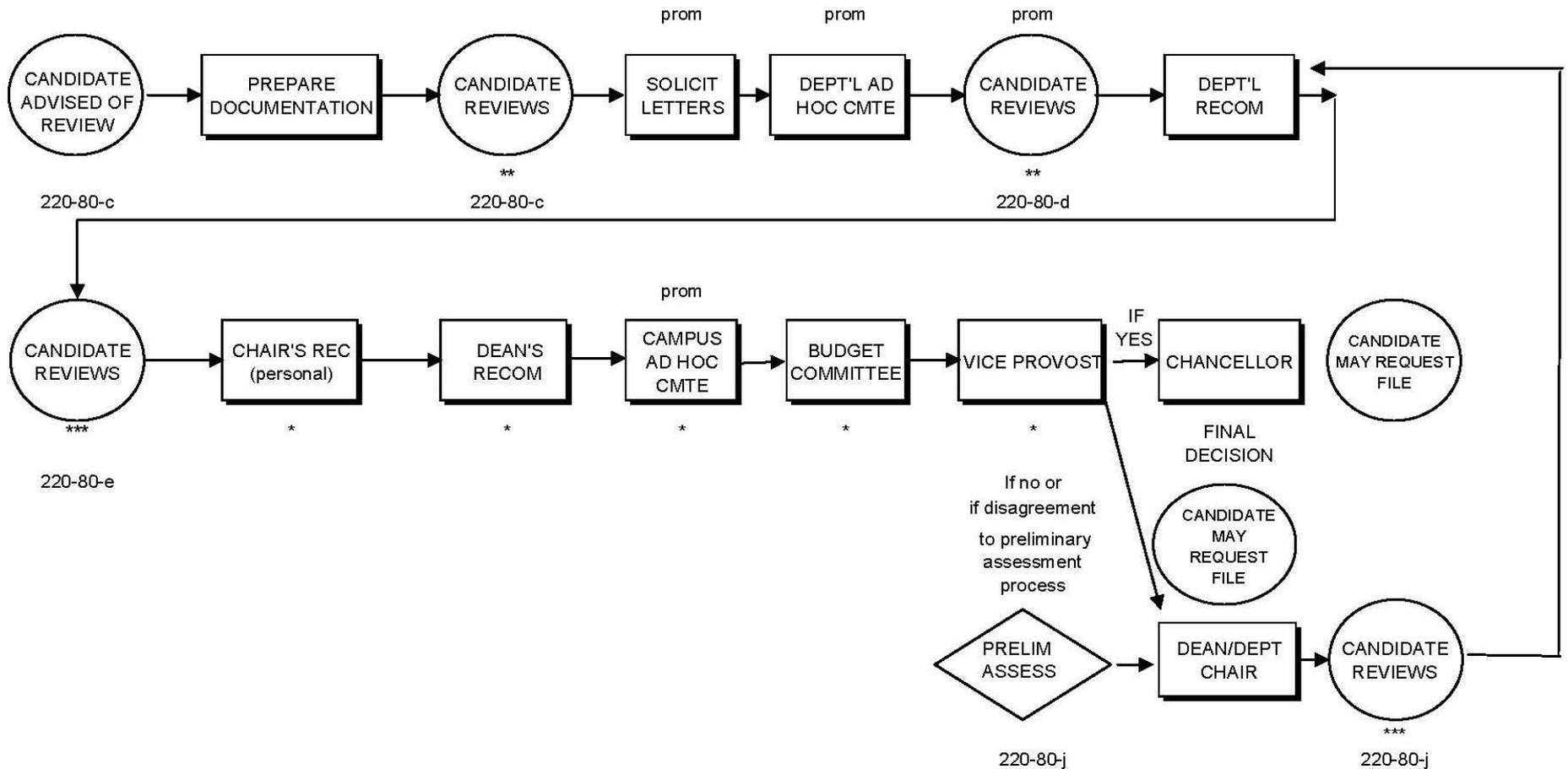
# Ensuring fair reviews, and common standards across the University

- Department Chairs rotate, typically every 3-6 years
  - Incentivizes fairness - any given colleague may be a future chair
- Career equity reviews can be requested if an individual appears to have fallen behind the curve of where they should be

- Even routine reviews are considered at numerous levels
  - Department chair
  - Dean
  - Vice Provost
  - Senate “Budget” committee
  - (Chancellor)

- Appointments and promotions ALSO have
  - Departmental ad hoc committee
  - Departmental level vote
  - Campus ad hoc committee
  - Chancellor

# Academic Review Flowsheet



\* IF ANY ADDITIONAL INFORMATION REQUESTED OR ADDED AT ANY POINT IN REVIEW, DEPARTMENT AND CANDIDATE REVIEW (APM 220-80-H)

\*\* THE CANDIDATE HAS THE OPPORTUNITY TO MAKE A WRITTEN COMMENT

\*\*\* THE CANDIDATE HAS THE OPPORTUNITY TO MAKE A WRITTEN COMMENT WITHIN A TIME LIMIT PRESCRIBED BY THE CHANCELLOR - NORMALLY 5 DAYS

# Threats to Excellence

- Berkeley's academic peers are elite private universities with large endowments and high tuition
- Berkeley is a public university
  - Much of the flexible funding comes from the State of California, and student tuition
  - University governed by political appointees on a Board of Regents
  - Regents determine salary scale, and tuition rates
- Berkeley is oldest campus of a 10-campus university
  - Significant differences in the age, prestige and comprehensiveness of the different campuses
- The university-wide salary scale for faculty is not competitive with salaries at prestigious private peers
- Cost of living in San Francisco Bay Area is very high
- Vulnerable to “poaching” of top faculty

- Tenure is a means to certain ends; specifically:
- Freedom of teaching and research and of extramural activities
- A sufficient degree of economic security to make the profession attractive to men and women of ability
- Freedom and economic security, hence, tenure, are indispensable to the success of an institution in fulfilling its obligations to its students and to society.

- Berkeley is often successful in retaining top faculty holding outside offers
  - Does so with “decoupled increments” on top of basic salary to narrow the gap
- But this leads to inequity, poor morale, gender inequality (men more likely to pursue other opportunities)
  - Addressing this is a work in progress
- However, Berkeley faculty are excited to work with very competitive students, and deeply committed to our mission

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# Summary

- Tenure assures academic freedom, which is necessary for excellence
- However, excellence really flourishes when there is regular, rigorous, fair review
- Berkeley's long tradition of shared governance helps assure rigor and fairness of reviews
- Probably the biggest threat to Berkeley's excellence is competition for top faculty from well-funded private peer universities

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# Resources for further reading

- American Association of University Professors statements on academic freedom and tenure:  
<http://www.aaup.org/issues/tenure>
- US News and World report rankings of various types of higher education programs:  
<http://www.usnews.com/rankings>
- University of California Academic Personnel Manual:  
<http://www.ucop.edu/academic-personnel/academic-personnel-policy/general-university-policy-regarding-academic-appointees/index.html>
- Univ California policy on appointment and promotion:  
<http://www.ucop.edu/academic-personnel/academic-personnel-policy/appointment-and-promotion/index.html>