



Academic Federation Workgroup Report

Submitted to Provost Hexter
May 28, 2013

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I. THE ACADEMIC FEDERATION WORKGROUP

In May 2010, Michael Johnson, chair of the Academic Federation, gave a presentation at the Chancellor/Federation meeting on the role of the Academic Federation in the university and presented a series of solutions to address problems in the present system. The idea of a chancellor-level task force was discussed as a way of studying the issues further. The Federation recommended that a task force be formed with the charge of advising the Chancellor on how best to address issues the Academic Federation faces in achieving the goals of the *Vision of Excellence*. Discussions in 2011 between the Academic Federation leadership, chaired by Dan Wilson, and Provost Hexter led to the decision to form the Academic Federation Workgroup.

In his letter of June 19, 2011, Provost Hexter gave the following charge to the group:

The specific charge to the working group will be to produce a white paper for review by Chancellor Katehi, with circulation upon her approval to the Senate, the Federation, deans, and department chairs, which considers the following questions:

- *What are the roles of Federation employees in achieving the Vision of Excellence? How are these roles changing today? How can they be expected to change in the future?*
- *What concerted efforts by the campus are necessary to ensure that Federation members are enabled to fully contribute to the Vision of Excellence?*
- *What campus policies, procedures and practices facilitate the contributions of Federation employees?*
- *What campus policies, procedures, and practices are obstacles—or may become obstacles in time? (See Appendix A.)*

This charge guided the work of the Academic Federation Workgroup, and frames the recommendations. We began by considering the *Vision of Excellence* and talking with Provost Hexter about his goals for the workgroup. The workgroup also met with the Academic Federation Executive Council to hear other concerns and get advice.

We reviewed the history of the Academic Federation at UC Davis.¹ The Academic Staff Organization was formed in 1969 at the behest of Chancellor Meyer to give academic appointees a greater role in governance. In 1991 it was renamed Academic Federation. UC Davis is the only campus in the UC system to have an Academic Federation.

¹ Documents and reports concerning the Academic Federation are available on the Academic Federation website.

The Academic Federation Workgroup was designed to have a broadly representative membership. The group consisted of:

- 1) Three staff members with extensive experience with Senate and Federation:
 - Director Barbara Aguirre, Academic Employment and Labor Relations
 - Executive Director Gina Anderson, Academic Senate, Davis Division
 - Director Carina Celesia Moore, Staff Development and Professional Services and WorkLife

- 2) Four members of the Academic Senate:
 - Professor Kent Erickson, Cell Biology and Human Anatomy, School of Medicine
 - Professor Susan Kaiser, Textiles and Clothing/Women and Gender Studies, CAES/HArCS (on leave in 2013-2014)
 - Professor Bruno Nachtergaele, Department of Mathematics, Division of Mathematical and Physical Sciences, and in 2013-14, chair of the Academic Senate
 - Professor-in-Residence Catherine VandeVoort, California National Primate Research Center (with many years of experience as a member and former chair of the Academic Federation; co-chair)

- 3) Two members of the Academic Federation
 - Lecturer John Stenzel, University Writing Program
 - Specialist Yajarayma Tang-Feldman, UCDHS, Division of Infectious Diseases

- 4) Two deans who are members of the Academic Senate
 - Professor emeritus Jim MacDonald (formerly executive associate dean, College of Agricultural and Environmental Sciences)
 - Dean Jessie Ann Owens, Division of Humanities, Arts and Cultural Studies (co-chair).²

We were able to draw on the experience of the workgroup membership to begin to address specific concerns and formulate an approach for our work. Because the Academic Federation consists of a wide range of titles, and because some of the issues were specific to particular titles, members of the Academic Federation Workgroup

² The Academic Federation Workgroup acknowledges with gratitude the excellent staff support provided by Sandi Glithero. Dean Owens was originally designated as chair but during the course of the committee's work it became clear that Professor VandeVoort had taken on a significant leadership role, and deserved to be recognized as co-chair.

conducted focus group discussions with representatives of the major job titles to hear specific concerns, and then prepared a series of reports that summarized the concerns, reviewed the existing policies, and made recommendations for consideration by the entire workgroup. The discussions with the focus groups revealed the considerable frustrations of Academic Federation members and the barriers to participating in the various missions of the university that are essential to the *Vision of Excellence*.³

RECOMMENDATIONS

The report provides concrete instances of problems and concludes with a specific set of recommendations. At the outset, however, we feel it critical to set forth several very high level recommendations that reverberate throughout the report.

1. UC Davis is fortunate to have outstanding employees in the Academic Federation, people who are making great contributions to the life of the campus in every aspect of its mission. In many cases, they are underutilized and underappreciated. It is critical to address the policies that hinder their work, and to create an atmosphere in which their work is more satisfying.
2. Many of the Academic Federation members of the Academic Federation Workgroup and many of the Academic Federation members who participated in the focus groups have the experience of being treated like second class citizens. There would be immediate benefit to remedying local policies and procedures—what we referred to as “the things we do to ourselves.” Addressing the inequities of the imbalance between the Academic Senate and the Academic Federation will require Regental action to revise the Standing Orders, system-wide Senate action, and campus-level action.
3. It is important to value the Academic Federation as an organization and its members as individuals, and to ensure that this group of academic appointees can realize the *Vision of Excellence* both within the university and on the national and international stage.

³ The reports from the focus groups will be available in the Academic Federation office.

II. THE ROLES OF ACADEMIC FEDERATION EMPLOYEES

The charge asks us to consider: “What are the roles of Federation employees in achieving the *Vision of Excellence*? How are these roles changing today? How can they be expected to change in the future?”

This section begins by describing the range of roles, and then provides a snapshot of the numbers of academic appointees in the Academic Senate and the Academic Federation and of the changes that have occurred over the last decade. It concludes with observations about governance at the University of California.

An Overview of the Roles Played by Members of the Academic Federation at UC Davis

Academic Federation members play critical roles in teaching our students, in carrying out research, in delivering health care, in representing the university to external stakeholders, and in administering programs and providing other kinds of service.

The following narratives, taken directly from the various focus groups, illustrate the importance of Academic Federation employees in achieving the *Vision of Excellence*.⁴ (Appendix C has a complete listing of the focus groups.)

- The roles of Academic Federation research scientists (Adjunct Professors, Specialists in Cooperative Extension, Professional Researchers, Project Scientists and Specialists) directly advance the *Vision of Excellence* at UC Davis. They work side by side with Academic Senate researchers and play critical roles in advancing the *Vision of Excellence* in education, research and public service. Their role is particularly important in interdisciplinary and translational research. Many Organized Research Units (ORUs) owe much of their success to Academic Federation researchers. As Directors or Associate Directors of research programs in ORUs (Aquatic Health Program, Center for Vector-Borne Diseases Research, California National Primate Research Center), Academic Federation members play a significant role in outreach activities at the state, national and international levels. Academic Federation researchers also play a role in the teaching mission of the university as they are engaged in the day-to-day training and teaching of undergraduate and graduate students and post-docs in the laboratories. Academic Federation researchers represent a sizeable store of creative talent the campus ought to fully engage in order to advance the research mission of the university as projected in the *Vision of Excellence*.
- Similarly, the role of Specialists in CE is to conduct research and make the resulting knowledge accessible to the public. CE Specialists are highly effective in disciplinary and translational research, and play a critical role in engaging the

⁴ <http://vision.ucdavis.edu/>. The goals include: foster a vibrant community of learning and scholarship; drive innovation at the frontiers of knowledge; embrace global issues; nurture a sustainable future and propel economic vitality; and champion health, education, access and opportunity.

university with communities and in building relationships with business. CE Specialists contribute as equals (to members of the Academic Senate) to the academic planning, research accomplishments, mentoring of graduate students, international engagements, faculty meetings, committee service and all other functions of the academic departments in which they are appointed. Specialists in CE are active in international programs and play a significant role in attracting graduate students (domestic and international), providing quality educational and research experience for students and preparing students for professional careers. They play a critical role in development of new technologies and in the transferring of technologies for the economic and environmental betterment of the state.

- Academic Coordinators and Academic Administrators engage in administrative responsibilities that are core to the teaching and research missions of the university. They support student learning and conduct meaningful translational research and outreach.
- Continuing Educators at UC Davis Extension conduct outreach and research and they also teach classes. Many Continuing Educators have dual appointments in campus departments and are integrated into the academic system through their teaching and research. When continuing Educators teach on campus they require special approval.
- Librarians are crucial to achieving the *Vision of Excellence*: they teach and construct the information systems and networks that allow faculty and students to discover, access and interpret information; they provide access to resources and promote international and intercultural understanding; they provide a place where students and scholars can learn, socialize and experiment.
- Health Science Clinical Professors (HSCP) use and incorporate cutting-edge technology in the educational mission of the university and in the treatment of patients. These technologies extend to specialized clinics and outreach clinics in the community to provide care and education to the underserved communities. HSCLPs provide opportunities for undergraduate and graduate students to gain valuable experience in health care delivery at a community based level.
- Lecturers deliver a significant amount of undergraduate instruction, in some areas the majority of lower division coursework. Lecturers often develop new coursework and provide specialized expertise for many departments. Lecturers also provide courses that help integrate academic skills across departments, such as courses in the Writing Program. Lecturers are also responsible for the delivery of many of the “service” courses in departments that are taken by non-majors.

All the focus groups indicated their roles have changed in the past 20 years. For example, there is a greater expectation that extramural funds be secured to cover salary

and research expenses. Many Academic Federation members are engaged in outreach activities and work closely with the private sector, industry, state and national agencies.

A Brief Snapshot of the Academic Workforce (Federation and Senate)

Appendix B provides information about membership in the Academic Federation and Academic Senate over a period of about a decade (data from 2003, 2007, 2011 and 2012).⁵ From this enumeration we see the pervasive influence of Federation members on every aspect of the mission of UC Davis. It is important to realize as well just how large this workforce is.⁶

These have been tumultuous years for the university, and the numbers tell a series of significant stories.

- Academic Federation membership, measured in terms of headcount, is up from 1,048 in 2003 to 1,360 in 2012, an increase of 30%. In response to massive cuts in state funding, the number of Federation members paid on general funds declined from 645 to a low of 487, and now is starting to grow again (534).
- During the same period, the numbers of Academic Federation employees on external funds more than doubled (403 to 826).
- Noteworthy are the growth in the Health Sciences Clinical Professor series and the decrease in Professional Researcher that is paired with an increase in the Project Scientist series (this category did not exist in 2003).
- Academic Senate membership, measured in terms of headcount, is up from 1,744 in 2003 to 1,885 in 2012, an increase of 8%. The number of tenure-track faculty in the professorial series is down significantly, from 239 to 188. During the same period, the number of tenured faculty in the professorial series is up from 1,184 to 1,287.
- Overall, the Academic Federation is a large portion of the total workforce on academic appointments (in 2012 1,360 out of a total of 3,245 or 42%).

⁵ We are grateful to Robert Loessberg-Zahl and the staff of the Office of Budget and Institutional Analysis for providing this information. We thank as well Everett Wilson, Gina Anderson and Sandi Glithero for assistance with data during the course of our work.

⁶ It should be remembered that there are more part-time employees in the Academic Federation than in the Academic Senate; enumeration by headcount reflects the size of the population in terms of the number of individual employees (one head = one person, regardless of percent time appointed), while enumeration by FTE reflects the size of the population in terms of a standard measure of employee resource committed (one employee FTE = one person at 100% time or two or more people all at some fraction of 100% time).

Governance

Despite the wide range of critical roles played by members of the Academic Federation—in teaching, in carrying out research, and in administering programs and providing other kinds of service—and the significant size of the Academic Federation workforce, the *Vision of Excellence* never mentions the Federation. The document has frequent references to the familiar constituencies of a university—students, faculty, staff and alumni—but none of these categories captures the contributions or represents the roles of the Academic Federation. They have academic rather than staff appointments, governed by the Academic Personnel Manual (APM) rather than the Personnel Policies for Staff Members. One of the members of the Academic Federation Workgroup put it simply: “I do not see myself in this document [*Vision of Excellence*].” It is worth asking how a document that establishes the course for an entire university could omit reference to crucial members of the campus community.

The lack of a specific mention in the *Vision of Excellence* reflects the larger issue that lies at the heart of this report. The definition of Academic Federation—“academic non-Senate appointees”—is a negative: its members are not members of the Academic Senate. Members of the Academic Senate, by virtue of the Standing Orders of the Regents (Standing Orders 105.1 and 105.2), are empowered in the system of shared governance between faculty and administration.⁷ The Standing Orders are silent on non-Senate academic appointees, thus creating in effect two classes of appointees, those in Academic Senate titles who have explicitly been given a legal role in the governance of the university, and those in non-Senate titles who participate in governance only at the pleasure of either the Academic Senate or the administration. Many of the frustrations described in this report are directly or indirectly the consequence of this two-tiered system.

⁷ <http://regents.universityofcalifornia.edu/bylaws/so1051.html> and <http://regents.universityofcalifornia.edu/bylaws/so1052.html>

III. FACILITATING THE CONTRIBUTIONS OF THE MEMBERS OF THE ACADEMIC FEDERATION

The charge asks the Academic Federation Workgroup to consider: “What campus policies, procedures and practices facilitate the contributions of Federation employees?”

The very existence of the Academic Federation as a campus organization and institutional structure, which is unique to the Davis campus, is seen by many to be positive, as reported in focus group interviews with members of the Federation.

The Academic Federation website (http://academicfederation.ucdavis.edu/geninfo_objectives.cfm) provides a useful snapshot of the objectives of the Federation: to strengthen the participation of members in formulating university policies, especially those relating to Academic Federation personnel matters; to provide an effective voice for faculty in matters relating to the educational mission of the university; to provide a supportive environment for Federation members whose primary responsibility is research; to provide a campus-wide network for Federation members whose primary responsibility is public service; to establish formal policies supporting professional development and advancement for Federation members; to provide a forum for addressing the concerns of all members of the Federation.

It also makes clear the many accomplishments: provision of a voice for Academic Federation members in campus governance; establishment of Professional Development Leave awards; establishment of Academic Federation Innovative Research awards; establishment of the James H. Meyer Distinguished Achievement Award; establishment of the Academic Federation Award for Teaching and Research Excellence; inauguration of peer review for Federation members (excluding lecturers and adjunct professors); establishment of the Position of Academic Assistant to the Vice Provost Academic Personnel; Representation on Academic Senate Committees and other campus committees and bodies.

The Academic Federation has a very well developed organizational structure, consisting of the leadership (Chair, Vice Chair, Secretary and Past President) and the Executive Council: Officers and 9 Committee Chairs, and all 8 members of the Federation Committee on Committees. The Academic Federation committee structure mirrors in many respects the committee structure employed by the Academic Senate. The Academic Federation receives staff support through the Office of the Academic Senate.

IV. OBSTACLES FACED BY MEMBERS OF THE ACADEMIC FEDERATION

The charge asks us to consider: “What campus policies, procedures, and practices are obstacles—or may become obstacles in time?”

This selection provides a range of examples that are diverse in kind and impact. Some concern matters of policy, others resources. Together they provide useful insights into very real concerns.

1. Academic Federation members frequently do not have explicit and meaningful roles in governance.

The single phrase heard most commonly during the Task Force’s canvassing was “second-class citizenship.” If the university community is truly to advance “inclusion and equity,” it must start from within. Some Federation titles are not accorded a meaningful vote in their own personnel actions, and most are systematically excluded from participating in the governance of the university, even when they bring expertise to the issues or have a stake in the outcome.

Long-time lecturer John Boe (now emeritus), winner of distinguished service and teaching awards, published a Swiftian critique of the “slavery” he experienced as a member of the Academic Federation, and recommended that like enslaved Blacks lecturers receive three-fifths of a vote.⁸ Even the financial benefits he received—the job security of a continuing lecturer appointment, the salary and benefits of a mid-level full professor—did not make up for the fact that he could not vote on personnel matters or the curriculum. He concludes: “Why not work toward a world where we are all equally called “faculty,” where some of us teach more, some of us do more research, some of us make more money, and we all have one vote? Hey, for now I’ll happily settle for three-fifths of a vote.”

2. Academic Federation employees face obstacles in participating in graduate education.

Many Academic Federation research scientists are heavily engaged in teaching, research and service associated with graduate education. However, existing policies and procedures make their participation challenging and frustrating. As a result, their skills and attributes are not optimized because of those practices and policies.

One major challenge they face is obtaining membership in the departmental or group graduate program. The “Policy on Membership in Graduate Programs” (GC1998-02 (rev. 02) defines the requirements for membership as individuals who:

⁸ John Boe, “Don’t Call Me Professor,” *Pedagogy: Critical Approaches to Teaching Literature, Language, Composition, and Culture* 11 (2010), 33-42.

Hold an appropriate academic title as (a) a member of the Academic Senate of the University of California, (b) Adjunct Professor, (c) Lecturer (without Security of Employment) or (d) Lecturer Without Salary. Academic staff with primary appointments as Specialists in Cooperative Extension or in the Professional Research series are not eligible to be members of graduate programs without an appropriate instructional title (normally Lecturer Without Salary). A program may also restrict membership to the Academic Senate titles by modification of their by-laws and approval of Graduate Council.

In addition, Graduate Council requires all programs to approve new faculty to their group and periodically review all the membership for participation and continuance in the group.

Have an active program of research or scholarship commensurate with the expectations of the University of California.

Although the Academic Federation investigator may have extramural, competitive grant funds to support a graduate student and their research, this policy requires highly qualified research scientists to go through the process of obtaining “an appropriate instructional title” (normally Lecturer Without Salary). This involves a formal appointment through the Vice Provost’s office.

Another challenge and serious inconsistency in policy is who may provide service to the graduate program as a member of the qualifying examination committee and the conditions required before performing that service. Members of the qualifying examination committee are governed by Graduate Council policy, (Doctoral Qualifying Examinations GC2005-02 (rev. 06)).

The campus requires that non-professor titles (e.g. Professional Researcher) that are current members of a graduate group submit additional documentation to serve on a qualifying exam committee.

The qualifying committee may include all voting members of the Academic Senate of the University of California - Adjunct Professors, and other members of the adviser’s program faculty who the adviser recommends. Although one member may be from categories that include non-Senate faculty, faculty members from other universities, and scholars from outside academia, lecturers and academic staff members who are engaged in continuous teaching and research activity and may be members of the graduate program need to provide a letter of justification from the graduate adviser, and specific approval from the Dean of Graduate Studies. The proposed member must also provide a curriculum vitae and a letter indicating a willingness to serve.

Many of the continuously funded Academic Federation appointees are nationally and internationally known for their research expertise. Moreover, the Professional Research

series APM further requires that the appointee have the same research qualifications as individuals in the Professorial series. Thus, it is not clear that Graduate Studies would have a more informed opinion based on specific knowledge of the examination committee member than the administration or membership of the graduate program responsible for nominating the committee. The program, not Graduate Studies, is charged by Graduate Council with periodically reviewing the dossier of the program membership.

In addition, Professional Researchers and Specialists in Cooperative Extension are required to obtain a Lecturer Without Salary appointment to serve as Instructor of Record (IOR) for the 299 classes of the students working under their direction. Obtaining funding from federal, state or private organizations is extremely competitive and the qualifications of the Principal Investigator (PI) are a critical part of the review. Obtaining these grants also benefits the campus, both financially and intellectually. Requiring the PI of a competitive grant after external peer review to obtain a Lecturer Without Salary appointment to be a member of a graduate group or to direct the graduate student's research is inconsistent with the treatment of investigators in other appointment series. This campus policy does not encourage Academic Federation members but rather relegates them to second class status.

Although some steps have been proposed that could be taken by Graduate Studies or Academic Affairs, most of those are centered on continued discussion as well as activities already required by Graduate Council, such as review of the membership. That strategy will not lead to any significant change or update of graduate education. Current policies are viewed as restrictive and overly complex. There is also inconsistent implementation at the individual, departmental and program level. These problems may be the result of poor communication among all individuals who may be involved with graduate education.

3. Official criteria for advancement do not always reflect actual job responsibilities.

One issue can be described as a poor fit between stated responsibilities and the actual job. All Academic Federation titles have specific requirements as detailed in the Academic Personnel Manual, and these are used as criteria for advancement in each series at the time of merit and promotion. While all Academic Federation appointees must have a job description, a few of the title series seem to have recurring problems with lack of flexibility or unrealistic expectations based on narrowly defined interpretations of the advancement criteria.

The issue came up in the focus groups of Academic Administrators (AAs) and Academic Coordinators (ACs) because job descriptions have become so narrow that there is no "flexibility" for activities that enhance the Academic Federation member's contributions to the university but are not technically seen as part of his / her job. As an example, an AC holds a 50% appointment as an AC and 50% as a Lecturer (Instructor of Record); this individual's promotion dossier is reviewed by two separate personnel

committees. The teaching part of the package is ignored by the administrative personnel review committee, following APM guidelines, yet the teaching component may be critical to the competency of the AC component. In some cases, when an individual is very successful at his/her job, he/she is given more administrative responsibilities than stated in their job description/series requirements. If the job description does not reflect this added component to the job, the personnel committee, following the APM guidelines, finds this to be a difficult case to review and may not make the appropriate recommendation.

Another example concerns the role of teaching in the Professional Research series. Teaching is not required in the PR series, in part because most people in this title are paid from federal grants, and any regular teaching assignment would be an inappropriate activity to be paid from most research grants. However, some PRs teach occasional lectures in their field of expertise and find it helpful for recruiting students who engage in research projects in their labs. Such a practice benefits the university, but has occasionally become problematic during the review process: because teaching is not required in this series nor is the teaching included in the job description, the review committee (following the APM guidelines) could interpret the individual's devoting time to teaching as taking time away from what this person is supposed to be doing under the strictest interpretation of a narrow job/series description.

4. Academic Federation members in the Professional Research series face challenges with support of research.

Academic Federation titles that have a substantial research component, including Professional Researchers, Adjunct Professors, Specialists in Cooperative Extension and Agronomists may be required to perform research equivalent to a Professor, but do not have access to equivalent support from the university. These titles may be disadvantaged by not receiving start-up funds, not receiving benefits from the indirect cost return to the department, not having a department mentor or not having departmental travel funds for meeting attendance. The most critical aspect of research support that was identified by the focus groups was independent space. Lack of space can have unanticipated long range effects, as illustrated below.

Professional Researchers are required to carry out research programs that are equivalent to those of ladder faculty members at the same rank/step. However, Professional Researchers are not eligible to be assigned space equivalent to that assigned to the ladder faculty they must emulate.⁹

Many academics appointed in the Professional Research Series (APM 310) experience difficulties in advancement, with a significant number ultimately moved into the Project Scientist series (APM 311). The criticism most commonly cited for denied merits or

⁹ Indeed, researchers were not even eligible to be "counted" in university space calculations, according to the 1990 report, *A Capacity for Learning*, of the (now defunct) California Postsecondary Education Council.

promotions is “lack of (or “failure to demonstrate”) an independent research program.” The criticism stems from the expectations placed upon Professional Researchers, as stated in APM 310:

310-4 Definition

- a. The Professional Research series is used for appointees who engage in independent research equivalent to that required for the Professor series*
- b. Appointees can with campus approval be Principal Investigators and have the major responsibility and leadership for their research programs.*

310-10 Criteria

An appointee in this series must demonstrate continuous and effective engagement in independent and creative research activity of high quality and significance, equivalent to that expected of the Professor series. Proposed merit increases and promotions in the Professional Research series shall be reviewed with the same rigor accorded to proposed merits and promotions in the Professor series. See APM - 210-1.

The relatively recent addition of the Project Scientist (PS) title has led to a reduction in the number of Professional Researchers (PR) and an increased use of this new title, which does not exist on other campuses and is effectively a demotion. Instances of PRs being denied advancement and being moved to the PS title have created some concern over the way all research titles are being reviewed by the Joint Personnel Committee (JPC). Comments from the various focus groups for the research titles cited the expectations for “independence” for the Professional Research series commensurate to those of the Professor title. Interestingly, those appointed in the Adjunct Professor title, an Academic Federation series, are reviewed by the Academic Senate’s Committee on Academic Personnel-Oversight (CAP) and did not have similar concerns.

Most distressingly from an equity standpoint, the requirement for independence in research is more strictly interpreted by the JPC than by CAP, especially in view of the fact that many PRs are not assigned independent space. The consequences of having a PR appointment as opposed to being deemed a PS is critical because of differences in salary and PI status for grant applications--another example of UC Davis making its Academic Federation members less competitive in the research funding marketplace. Here as elsewhere, competent scientists who face such hurdles will seek better appointments elsewhere, another unintended consequence of policies which seem on their face to be minor details but which turn out to have far from trivial results.

The conundrum faced by most Professional Researchers is that they do not have independent research space. To gain access to space, researchers typically affiliate with a faculty member having a common research interest. The faculty member cedes space to the researcher, recognizing that there is benefit to the faculty member’s program that results from collaborative research projects, joint grants, and jointly-mentored graduate students. While it is logical for a faculty member to expect some tangible benefits for giving up laboratory space, such collaborations can have the result

of obscuring the researcher's independent program. It can sometimes be difficult to convince the personnel committees that the researcher is not just an adjunct to a faculty member's program. This is why so many are denied merits or promotions and ultimately downgraded to the Project Scientist series (see APM 311-4: *Project Scientist titles are given to those appointees who make significant and creative contributions to a research or creative project; Appointees in this series may be ongoing members of a research team; Appointees in this series are not required to carry out independent research or develop an independent research reputation*).

While the 2004 report of CPEC affirms the 1990 guidelines, it also states that "California's higher education institutions should not be locked into rigid and impractical space and utilization standards that were developed several decades ago." Clearly the growth in numbers of Professional Researchers was not envisioned when the guidelines were developed. Adoption of more flexible standards, which would allow space assignments (e.g., surge space) to professional researchers, would help to eliminate confusion regarding research independence.

5. Many Academic Federation titles are not recognized outside the University of California.

Many of the title series in the Academic Federation (e.g., Agronomist, Professional Researcher, Project Scientist, and Specialist) seem to be unique to the University of California. As such, they are not well-recognized externally (and sometimes even internally). Many members of the Academic Federation believe that the problem of titles compromises their ability to compete for extramural grants. Since many Federation titles must be funded from extramural awards, this is a matter of great concern to many individuals.

Since the inception of the Academic Federation, there have been several workgroups formed to address issues posed by Federation research titles. There have been repeated recommendations that the campus use the title of Research Professor for the Professional Research titles (e.g. Asst. Research _____) so that it better conforms to the title that is used at most other research universities.

The title of Project Scientist is also one that is rarely encountered at universities, especially for principal investigators on grant applications. The unusual nature of this title may be why it is rarely used at UCLA and UC Berkeley. This large variation among campuses in number of Project Scientist appointees suggests that individual campuses are able to make policy decisions about how to use this title.

6. Some titles lack access to benefits common at other research universities.

Federation members are not eligible for the university's "Mortgage Origination Program" (MOP) that was created by the University of California to offset the negative impact of California housing prices by providing competitive first mortgages. Eligibility for these loans is limited by policy. Regents Policy 5305, section A.1. states:

“The eligible population for the Mortgage Origination Program (MOP) consists of full-time university appointees who:

- Are members of the Academic Senate or hold academic titles equivalent to titles held by such members;*
- Hold the title of Acting Assistant Professor;*
- Are members of the Senior Management Group; or*
- Will be appointed to any of these eligible positions effective no more than 180 days after loan closing.”*

By this policy, Specialists in Cooperative Extension are not eligible for MOP loans, even though they are recruited—through international searches—to fill permanently-budgeted positions and are recruited from applicant pools that are identical to those from which CAES faculty are recruited.

7. Policies associated with term appointments cause dissatisfaction.

Some of the complaints that the Academic Federation Workgroup heard have to do with the precarious nature of many Academic Federation positions. Typically grant-funded in the research titles, these positions are term-limited and require a reappointment process, governed by APM 137, Non-Senate Appointees/Term Appointment. This policy “defines and articulates conditions of employment for non-Senate academic appointees with term appointments, except those covered by an MOU. It also sets forth standards and due process procedures that govern the non-reappointment of this group.”

137-4: *A term appointment is an appointment for a specific period which ends on a specified date. An appointment with an established ending date is self-terminating subject to the notice requirements of APM - 137-32.*

The University has the discretion to appoint and reappoint non-Senate academic appointees with term appointments; reappointment is not automatic. For the purposes of this policy, a non-reappointment is a decision not to reappoint an individual beyond the established ending date.

137-14: *This policy applies to all academic appointees of the University with term appointments who are not members of the Academic Senate. If an appointee also holds a Senate title, this policy applies to the non-Senate title only. For non-Senate academic appointees covered by a Memorandum of Understanding (MOU), this policy applies only to the extent provided for in the MOU.*

137-17: *When a non-Senate academic appointee is offered an appointment or reappointment that is a term appointment, the University should notify the appointee in writing of the following:(1) the title of the position; (2) the salary rate;(3) the name of the department in which the appointment is located;(4) the beginning and ending dates of the appointment;(5) the percentage of time;(6) the*

general responsibilities; and (7) the name of the individual to whom the academic appointee reports.

This policy of term appointments, implemented in 2003, continues to be unpopular among Federation members, not only because they are perceived as “temporary” employees, but also because of the impact/consequences that this policy has on their quality of life and careers.

For example, one Academic Federation member supervises two staff employees. All three of them are paid from the same account and have been working at the same department for eight years. The Academic Federation member has to renew his/her parking permit and library card every year after receiving a letter of re-appointment from the department chair. The two staff employees have had multiyear parking permits since they were hired. The employment verification letter for the Academic Federation member has an ending date of June 30th of every year, while the staff members are hired with “indefinite” ending dates. One of the staff employees bought a house four years ago and easily obtained a mortgage from a financial institution. The Federation member felt compelled to borrow money from a relative to buy a car because at any financial institution, his/her “temporary employment” situation would have been considered “risky” for a loan.

V. RECOMMENDATIONS

A. Recommendations for Campus Administration

1. **Build a stronger campus community where everyone feels valued for their contributions, regardless of title.**

The campus should work to break down those barriers that cause its Academic Federation appointees to feel like second-class citizens. We closely adhere to a vast series of Academic Senate rules and academic personnel policies, yet some campus practices serve to remind Federation members that they are not full citizens of the campus community.

2. **Consult directly with Academic Federation committees as well as with Academic Senate committees.**

The campus should work to enhance the stature, vitality and relevance of the Academic Federation as an organization. While the Academic Federation has a committee structure that resembles that of the Academic Senate, the Federation committees are not consulted on issues by the administration independent of the Senate. One of the functions of the Federation committees is simply to nominate Federation members to serve on the corresponding Senate committees. This means that Federation views on issues are always tempered by and expressed through the Senate committees. The administration can consult with whomever it chooses, and on some issues (e.g., research policy) it should elect to consult directly with Federation committees, as well as the Senate committees. Direct engagement with the Federation, independent of the Senate, could surface additional viewpoints on issues and would greatly raise the stature of the Federation in the eyes of its members.

Actions

- a. Administration should consult directly with Academic Federation committees, where available. Examples of this include the AF Committee on Research and Planning and Budget. Many years ago, these activities were handled by the Senate since they represented essentially all of the academic personnel on campus. The reality today is that there are almost as many Academic Federation members as Academic Senate member (2012: 1885 Academic Senate versus 1360 Academic Federation; see Appendix XX). No longer is it the case that the Senate represents or can represent all academic employees involved in research.
- b. Consult Academic Federation committees.
- c. Include Academic Federation members in college/department faculty committees, including executive committees. There should be Academic

Federation members required at Academic Senate meetings and vice versa so that collegiality, communication and teamwork are encouraged.

3. Revise the implementation of APM 137 and consider preferential rehire for Academic Federation appointees.

Currently APM 137 states: “The University has **the discretion** to appoint and reappoint non-Senate academic appointees with term appointments....” It does not state that the university is required to.

Actions

- a. Where possible, eliminate the yearly end of employment date, unless explicitly required by the relevant APM. Academic Federation personnel should be hired using the same policy/practices that apply to staff personnel. The job will end if funding ends anyway.
- b. Give Academic Federation employees on contracts whose terms has ended preferential rehire as is given to staff employees at UC Davis.
- c. Require departments to clearly inform Academic Federation personnel of the nature of their position (i.e. term appointment, preferential rehire practices, etc.)

4. Review and revise merit and promotion criteria for some Academic Federation titles, where past practices have proven to be misinformed or inequitable.

Personnel committees should be given guidelines on the interpretation of requirements for advancement, and credit be given to individuals who are doing their job and taking additional responsibilities, even if these are not stipulated in the APMs. For example, Academic Federation members should not be penalized for teaching, or for publishing, or for writing grants just because these activities are not in the APMs list of requirements for advancement. If the person is doing his/her job and then more, these activities should be rewarded, within the framework of contracts for represented groups.

Revise “strict” criteria for advancement in some of the titles to conform to the present reality, such as, for example, the requirement of an “independent research program” for PRs as a measure of competence. Funding agencies are placing increased emphasis on collaborations and interdisciplinary research. The strict interpretation of criteria for advancement in the PR series has resulted in a rapid reduction in Professional Researchers, many of whom have been demoted to Project Scientists (a considerable step below PRs both in stature and in salary). The Project Scientist title is not inviting to highly qualified researchers. Many Project Scientists leave the university to go to better and more satisfying research positions at other institutions.

Actions

- a. Implement clear guidelines to assist appointees, departments and personnel committees on the expectations/requirements of each title, especially in the research series. Criteria for advancement in this series (PRs) should emphasize communication, collaboration and interdisciplinary research.

5. Improve mentoring and increase awareness of Academic Federation personnel through education of Academic Senate faculty and administration.

Administration should establish a campus wide mentoring program for Academic Federation members which should include the Academic Senate and administration.

Actions

- a. Require each school/college to have an academic personnel staff that is knowledgeable of all issues pertaining to Academic Federation titles, policies, appointments, merit and promotions. This individual will be a resource to Academic Federation employees (at least through the first years of their careers) and to faculty hiring employees in Academic Federation titles.
- b. Establish a database of academic personnel (both Academic Senate and Academic Federation members willing to be mentors) who will serve as mentors in teaching, research and career development to newly appointed Academic Federation employees. This database should be available to the Academic Federation and to every newly appointed Academic Federation employee.
- c. Encourage and reward true mentorship by giving credit for this activity (both to Academic Senate and Academic Federation members) during the merit/promotion review process.

6. Provide equivalent support and space for independent Academic Federation researcher titles that are expected to carry out research programs that are equal in every way to those of Senate faculty.

Equality of research is expected, but equal opportunity for success is not offered. Because Professional researchers often borrow space in some else's lab, they often suffer in the advancement process for failing to demonstrate research independence.

Actions

- a. Require departments hiring Professional Researchers (PRs) and Adjunct Professors to provide adequate independent space and access to

departmental resources (lab and office space, start-up funds), which gives PRs and Adjunct Professors the opportunity to be successful.

- b. Change Professional Researchers title to Research Professor or Professor of Research to increase their potential to obtain extramural awards and in keeping with many other universities in the country.
- c. Allow Professional Researchers to mentor graduate students as major professors (especially those PRs with sustained extramural funding) with full membership in graduate groups.

7. Provide incentives for Federation researchers to engage undergraduate and graduate students in research projects.

Engaging in such activity now is simply considered “service” and hence there is little incentive for Adjunct Professors, Professional Researchers, Project Scientists, or Specialists to bother with students. Providing incentives could open up many new opportunities for students and further engage these researchers in the educational mission of the campus.

Actions

- a. Provide incentive funds (similar to those for faculty who teach freshman seminars) that can be used for supplies or salary.
- b. Modify criteria for merit reviews: such activities are a meaningful way to demonstrate expertise in research.

B. Recommendation for the Academic Senate

Engage lecturers as equals in curriculum planning and development.

As part of a campus commitment to seek out and share expertise wherever it is, regardless of title, the Academic Senate should engage Lecturers as equals in curriculum planning and development, and in the evaluations of those who teach.

C. Recommendations for The Regents of California

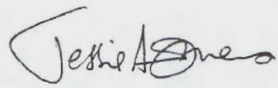
Modernize the Standing Orders to fully enfranchise all Academic Federation titles.

The Regents and highest levels of university administration were content to add thousands of academic appointees and welcomed their intellectual and financial contributions, yet have not enfranchised them in the Academic Senate or made any provision for them in the Standing Orders. After decades of limited state funds, much of the academic growth has occurred in non-Senate academic titles; on some campuses

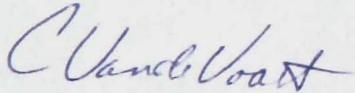
these academic employees now rival the Senate faculty in numbers. Yet, the Regents have not modernized the Standing Orders to incorporate, or even mention, these employees.

In essence, non-senate academic appointees (referred to only on the UC Davis campus as Academic Federation) have been denied a role in governance. There is no evidence that a tiered system was ever intended in the original structure of the University of California; rather, faculty would provide instruction, research and service, while administration would facilitate the business workings of the university, with shared governance including a faculty opportunity and obligation to take part in decisions about policy and personnel. It is clear that the Regents are the body that has the authority to address the issue of a faculty that is artificially divided into the “haves” and “have nots.” Faculty infighting at Berkeley in the 1920s (which led directly to the disenfranchisement of Cooperative Extension appointees) should not forever define which academic appointees have the status of Senate faculty responsible for governance of a world-class academic institution in the 21st century. The University of California is increasingly dependent upon these academic appointees for instruction, research and service, as well as significant financial income through grants, contracts, services and public relations.

This report concludes with the hope that a goal of the Vision of Excellence may be achieved: “Promote a community characterized by respect, integrity, openness and responsiveness, and by consultation and collaboration...”



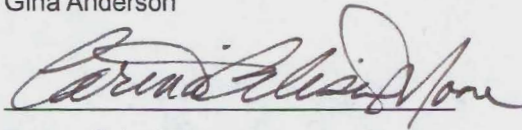
Jessie Ann Owens (co-chair)



Catherine VandeVoort (co-chair)

Barbara Aguirre

Gina Anderson



Carina Celesia Moore

APPROVED

Kent Erickson

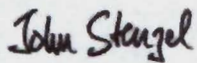
APPROVED BY EMAIL

Susan Kaiser (on leave in 2013-2014)

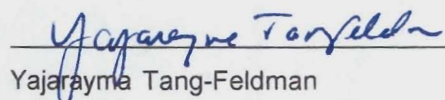
Bruno Nachtergaele



Jim MacDonald



John Stenzel



Yajarayma Tang-Feldman

APPENDIX A: Charge letter from Provost Hexter to the Committee (June 2011)

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June 9, 2011

Director Barbara Aguirre, Academic Employment and Labor Relations
Executive Director Gina Anderson, Academic Senate, Davis Division
Professor Kent Erickson, Cell Biology and Human Anatomy
Professor Susan Kaiser, Textiles and Clothing/Women and Gender Studies
Executive Associate Dean Jim MacDonald, College of Agricultural and Environmental Sciences
Director Carina Celesia Moore, Staff Development and Professional Services
Professor Bruno Nachtergaele, Department of Mathematics
Dean Jessie Ann Owens, Division of Humanities, Arts and Cultural Studies (chair)
Director Binnie Singh, Academic Affairs
Lecturer John Stenzel, University Writing Program
Specialist Yajarayma Tang-Feldman, UCDHS, Division of Infectious Diseases
Professor Catherine Vandevoort, California National Primate Research Center

RE: Provost's Working Group on the Role of the Academic Federation in Achieving the Vision of Excellence

Dear Colleagues:

The University of California, Davis, is justifiably proud to have recognized in chartering the Academic Federation, the rich and crucial ways in which the non-Senate academic community contributes to the University's mission. As research scientists, adjunct faculty, lecturers, librarians, program coordinators, specialists, clinicians, and in many other roles, the large and varied group of Federation employees are key to our efforts to achieve excellence in every aspect of research, teaching, and service. Federation members are truly important to the classroom, the research laboratory, and the extension of knowledge created here in public service to our state, the nation, and the world.

As such, Federation employees are essential to our efforts to attain the goals articulated in *UC Davis: A Vision of Excellence*. We expect much of Federation members, who are respected partners in dialog, as we work together to advance the goals of the campus. It is thus important to consider whether our campus policies, processes, and practices are aligned with the roles we expect the Federation to play in our drive toward excellence.

I am writing to invite your participation in a Working Group on the Role of the Academic Federation in Achieving the Vision of Excellence. The group will comprise both Senate and Federation members, as well as representatives of the Vice Provost—Academic Affairs and the

Role of the Academic Federation in Achieving the Vision of Excellence

June 9, 2011

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Associate Vice Chancellor—Human Resources, whose participation will bring to the table in-depth understanding of the academic personnel processes that apply to Federation employees, and ensure that we do not stray into matters that should be addressed in collective bargaining.

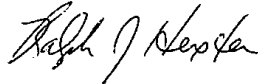
The specific charge to the working group will be to produce a white paper for review by Chancellor Katehi, with circulation upon her approval to the Senate, the Federation, deans, and department chairs, which considers the following questions:

- What are the roles of Federation employees in achieving the Vision of Excellence? How are these roles changing today? How can they be expected to change in the future?
- What concerted efforts by the campus are necessary to ensure that Federation members are enabled to fully contribute to the Vision of Excellence?
- What campus policies, procedures and practices facilitate the contributions of Federation employees?
- What campus policies, procedures, and practices are obstacles—or may become obstacles in time?

We are hoping to call one organizational meeting over the summer, but the primary work of the committee will begin in September. Staff will contact you shortly to schedule the committee's first meeting. You need not respond to this letter unless you are unable to serve.

I very much appreciate your participation in this important working group, which seeks to reaffirm the Federation's role with renewed clarity and vigor vis-à-vis the campus-wide goals stated in *A Vision of Excellence*.

Sincerely,



Ralph J. Hexter
Provost and Executive Vice Chancellor

/mbm

c: Chancellor Katehi
Academic Senate Chair Powell
Academic Federation Chair Wilson

APPENDIX B Workforce Analysis: Academic Senate and Academic Federation

Unduplicated Head Count of Academic Senate and Academic Federation Employees

Comparison of October Snapshot of Corporate Payroll System

Outline of Title Codes	General Fund, Tuition and Fees				Other Funds				Total			
	2003	2007	2011	2012	2003	2007	2011	2012	2003	2007	2011	2012
Senate												
010 - PROFESSORIAL - TENURE	1,182	1,215	1,255	1,271	2	2	5	7	1,184	1,217	1,260	1,278
011 - PROFESSORIAL - NON-TENURE	239	274	201	187	-	1	1	1	239	275	202	188
012 - PROFESSORIAL - RECALL	2	7	12	20	14	21	25	24	16	28	37	44
114 - ACTING PROFESSOR - SENATE	11	9	4	2	-	-	-	-	11	9	4	2
210 - LECTURER - SECURITY OF EMPLOYMENT	21	16	19	16	-	-	-	-	21	16	19	16
311 - PROFESSOR IN RESIDENCE	12	10	12	12	40	53	55	50	52	63	67	62
317 - PROFESSOR OF CLINICAL	24	39	42	41	171	201	209	225	195	240	251	266
928 - MISCELLANEOUS TITLES - SINGLE TITLES	-	2	-	-	-	-	2	-	-	2	2	-
M05 - EXECUTIVE PROGRAM	23	23	9	6	-	-	1	3	23	23	10	9
M10 - MANAGERS	1	1	-	-	-	-	-	-	1	1	-	-
S21 - DEAN	2	3	13	12	-	-	1	2	2	3	14	14
S24 - ACTING DEAN AND ACTIVE PROVOST	-	-	-	1	-	-	-	-	-	-	-	1
S27 - ACADEMIC ADMINISTRATOR	-	-	3	3	-	-	1	1	-	-	4	4
S34 - ACTING DIRECTOR	-	-	-	-	-	-	-	1	-	-	-	1
Total	1,517	1,599	1,570	1,571	227	278	300	314	1,744	1,877	1,870	1,885
Emeriti w/o Salary											788	808
Federation												
- ACADEMIC COORDINATOR	2	-	-	-	-	-	-	-	2	-	-	-
- CONTINUING EDUCATION SPECIALIST - UN EX	14	-	-	-	2	-	-	-	16	-	-	-
040 - SUPERVISOR OF P.E. - TENURE	8	7	2	2	-	-	-	-	8	7	2	2
225 - LECTURER	340	335	283	319	8	8	4	5	348	343	287	324
335 - ADJUNCT PROFESSOR	12	24	18	18	55	62	62	62	67	86	80	80
341 - CLINICAL PROFESSOR	3	8	8	7	130	169	209	236	133	177	217	243
357 - INSTRUCTIONAL ASSISTANT	7	3	6	6	-	-	-	-	7	3	6	6
530 - AGRONOMIST - TENURE	25	23	19	19	-	-	1	-	25	23	20	19
531 - AGRONOMIST - NON TENURE	3	-	-	-	-	-	-	-	3	-	-	-
541 - PROFESSIONAL RESEARCH - REGULAR	34	18	15	18	163	106	107	107	197	124	122	125
551 - SPECIALIST	5	12	14	9	19	30	60	71	24	42	74	80
557 - SPECIALIST IN AG EXPERIMENTAL STATION	3	3	-	-	5	6	3	2	8	9	3	2
581 - PROJECT SERIES	-	22	18	21	-	135	230	238	-	157	248	259
621 - LIBRARIAN	53	51	42	45	3	2	-	-	56	53	42	45
627 - ASSOC AND ASSISTANT UNIVERSITY LIBRARIAN	4	4	4	4	-	-	-	-	4	4	4	4
729 - COOPERATIVE EXTENSION AGRONOMIST	75	61	-	1	2	5	52	48	77	66	52	49
825 - CONTINUING EDUCATOR - UN EX	-	14	15	14	-	-	1	1	-	14	16	15
828 - UNIVERSITY EXTENSION OTHER	7	12	11	13	-	2	6	7	7	14	17	20

NOTE: This report provides an unduplicated headcount of specified academic employees. These headcount numbers cannot be compared to Full-Time Equivalent (FTE) employee counts more characteristically reported by Institutional Analysis.

1. Employees counted in this report:

- a. have academic title codes that map to membership in either the Academic Senate or the Academic Federation,
- b. had an active employment status in the month of October of the stated year, and
- c. were compensated in the form of base pay in the month of October of the stated year.

2. Employees are counted in the Academic Senate or Academic Federation based on title code. This report uses the title code mapping provided by the Academic Senate, which maps more title codes to the Academic Senate than does the Office of Academic Affairs. In particular, the Senate mapping includes more titles in the lecturer series, recall and emeritus faculty, and certain executive titles.

3. Fund sources for compensation are rolled up into two categories: (1) general funds, tuition and fees and (2) all other funds. The distinction is based on Office of the President fund group code.

4. Many employees hold more than one appointment at the same time, each with a distinct title code and/or fund. To avoid counting an employee more than once because of multiple title codes or fund sources, this report follows three rules:

- a. Employees with a Senate title and a Federation title are counted as Senate members. This rule affects mostly academic employees who have titles simultaneously in the professorial series (010 or 011) and the agronomist series (530 or 531).
- b. If an employee has more than one Senate title code, the employee's headcount is assigned to the title code with the lowest numerical value. This rule affects mostly faculty members who have a professorial title code (010) while serving academic administrative positions such as deans (S21). The rule is also applied to employees with more than one Federation title code.
- c. If an employee has appointments in both funding categories, the employee's headcount is assigned to the General funds, tuition and fees category. This rule affects many Federation members who are paid by both general fund and grants.

5. The counting methodology described above differs from the methodology of the previous report in several ways. The previous report:

- a. included only Federation members.
- b. relied on the definition of Federation membership provided by Office of Academic Affairs.
- c. used "primary title code" to avoid duplicate counting of an employee in the case of multiple title codes, but double counted employees paid on both general funds and other funds.

6. The total headcount of Federation employees in this report is lower than in the previous report for three reasons (in order of numerical significance):

- a. Academic employees with appointments in both the professorial series (010 or 011) and agronomist series (530 or 531) were previously counted as Federation members, because their "primary title code" in the payroll system was the Federation title.
- b. Academic employees with Federation titles who were paid from more than one fund source were counted more than once.
- c. Academic employees in the Federation "other faculty" and professional research titles were overcounted.

7. The Director of Undergraduate Admissions has a MSP title code that is not mapped to either Senate or Federation membership.

8. The foregoing methodology does not count academic employees with emeritus status who are not paid. To count Federation and Senate emeriti without salary, IA took data from a different source--PPS monthly snapshots for October 2011 and October 2012. The numbers of Federation and Senate emeriti identified by this source are included in two rows added at the end of the Senate and Federation tables. If possible, these numbers should be validated by comparison with other sources. This PPS snapshot was not available prior to 2011.

APPENDIX C List of Focus Groups

Focus Group	Lead	# of participants
Adjunct Professors	Bruno Nachtergaele, Professor, Mathematics	7
Academic Administrators / Academic Coordinators	Susan Kaiser, Professor, Division of Textiles and Clothing, Women and Gender Studies	3 Academic Administrators 2 Academic Coordinators
Health Sciences Clinical Professor	Kent Erickson, Professor, Department of Cell Biology & Human Anatomy	2
Continuing Educators	Carina Celesia-Moore, Director, Staff Development and Professional Services and WorkLife	7
Specialists in Cooperative Extension <i>and</i> _____ in the Agricultural Experiment Station	Jim MacDonald, Executive Associate Dean, College of Agricultural and Environmental Sciences	7
Lecturers and Librarians	Barbara Aguirre, Director, Academic Employment and Labor Relations	3 lecturers 5 librarians
Project Scientist and Specialist series	Cathy Vandervoort, Professor-in-Residence, California National Primate Research Center and Department of Obstetrics and Gynecology	8
Professional Researchers	Yaya Tang-Feldman, Research Specialist, Internal Medicine-Infectious Diseases	7