

## A PROVOST FOR PROFESSIONAL SCHOOLS AND COLLEGES

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### ABSTRACT

From 1972 to 1994, the academic administrative structure of the Berkeley campus of the University of California was unusual, in that it involved two Provosts, one who was also Dean of the College of Letters and Science, and another who was responsible for the remainder of the academic units, which were for the most part professional schools and colleges. The nature of the Provost – Professional Schools and Colleges position is explored, along with some of the issues addressed by the position and the relative advantages and disadvantages of the dual-provost structure. The value of the position stemmed in substantial part from there being common needs and issues among the professional schools, from an ability to give more attention by the campus administration to these schools and to represent their issues within the administration, and from the fact that Berkeley integrates academic planning, program review, and faculty advancement and promotion across all fields, with important roles played by the Academic Senate, which also covers and integrates the entire campus. An analysis is made of the advantages and disadvantages of this structure in comparison with the “each tub on its own bottom” approach that exists more commonly at private institutions.

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### BACKGROUND

For twenty-two years, from 1972 to 1994, the University of California, Berkeley had an unusual academic administrative structure, wherein there were two provosts. One provost doubled as Dean of the College of Letters and Science, while the other had responsibility for the professional schools and colleges. Of the three people who held the latter post – George Maslach, Doris Calloway, and myself – I am the only survivor at this point, and hence I believe it can be useful if I record some of my thoughts on the position, which I do in this paper. I held the position from 1987 to 1994.

In this leadership and management structure there was a senior position entitled The Vice Chancellor reporting to the Chancellor.<sup>1</sup> The position of The Vice Chancellor, occupied by Ira Michael Heyman, then Roderic Park and then John Heilbron during those years, was concerned with overall academic coordination and back-up to the Chancellor, and also had oversight of various other academic functions that did not fall within the colleges, schools and academic departments, such as the library, summer sessions, and University Extension (continuing education). The two provost positions, between them, oversaw all the core instructional units of the campus and dealt with their issues, including budgetary oversight and allocations. The College of Letters and Science was further divided into four jurisdictions with divisional deans – Humanities, Social Sciences, Physical Sciences and Biological Sciences. The Provost – Professional Schools and Colleges had oversight of the four other Colleges (Engineering, Chemistry, Environmental Design, Natural Resources)<sup>2</sup>, the nine professional schools (Law, Business, Public Health, Education, Optometry, Social Welfare, Journalism, Public Policy, and Library and Information Studies – later Information Management and Systems)<sup>3</sup>, an interdisciplinary Augmented Graduate Group (Energy and Resources Group<sup>4</sup>), and the Lawrence Hall of Science<sup>5</sup>.

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<sup>1</sup> Chancellor is the term used for the chief executives of campuses within the University of California. The title President is utilized for the head of the university system. (The University of California is one university.)

<sup>2</sup> Not all of these colleges are professional in the usual sense. The Department of Chemistry would likely be found in the College of Letters and Science except for unusual historical circumstances at Berkeley. There are also elements of the College of Natural Resources that are closer to traditional academic disciplines than professions.

<sup>3</sup> Berkeley has no medical school.

<sup>4</sup> <http://erg.berkeley.edu/>

<sup>5</sup> <http://lawrencehallofscience.org/>

The Provost – Professional Schools and Colleges position was created by Chancellor Albert Bowker to provide more awareness of, and representation for, the professional schools and colleges in the higher administration of the campus, and as well to provide more administrative understanding of, and interaction with, the professional schools and colleges. An oral history of George Maslach describes Chancellor Albert Bowker's aims in creating this position and his underlying concept.<sup>6</sup>

After John Heilbron took retirement and I moved to the Office of the President of the University of California in 1994, the upper academic administration structure of the campus was reorganized. The dual-provost arrangement and the position of The Vice Chancellor were eliminated by then-Chancellor Chang-Lin Tien, and were replaced by the combination of an Executive Vice Chancellor and Provost (EVC-P), and an Associate Provost. All the deans of the core instructional units now reported to the EVC-P. The divisional deanships in the College of Letters and Science were advanced to full Dean status, with one of the four deans being the Executive Dean of Letters and Science on a rotational basis. An undergraduate dean position was also added in the College of Letters and Science. The Associate Provost had responsibility for the other academic activities that had previously reported to The Vice Chancellor, as well as various special projects. The number of Associate Provost positions in that structure subsequently grew to three and has now been reduced back to two.

### ISSUES THAT HAVE SURROUNDED THE PROFESSIONAL SCHOOLS AND COLLEGES AT BERKELEY

Professional schools differ from traditional academic disciplines in that they typically are applications and/or syntheses of disciplines. In addition to the traditional disciplinary focus on discovery and codification of knowledge, professional schools deal with the use of knowledge and bring components of different academic disciplines together for that purpose. These differences can lead to perceptual gaps between faculty in the professions and faculty in the disciplines.

There are three instances over the past fifty years where professional schools at Berkeley have come under intense scrutiny through series of reviews, with threats to their continued existence. In the late 1960s the School of Criminology, which produced law-enforcement professionals, veered heavily toward a new approach known as Radical Criminology, concentrating much more on social issues than on the profession itself. Following a series of reviews and deliberation, the School was closed by Chancellor Albert H. Bowker in 1976.<sup>7</sup> In the late 1970s the School of Education underwent an extensive series of reviews with conclusions being made that scholarship in the school was not sufficiently leading-edge and that the school was not serving the needs of the profession well. In 1980 the issue was passed to the new chancellor, Ira Michael Heyman, who after intense deliberation decided to continue the school but undertake efforts aimed at tying the School much closer to the profession. This series of events and the issues at play are described by Smelser.<sup>8</sup>

During my time as Provost – Professional Schools and Colleges the School of Library and Information Studies came under intense review, with the degree of involvement of the faculty in the professional degree and the future of the profession being among the key issues. The review and deliberation processes are now described on the Berkeley website as a case study of program review at Berkeley<sup>9</sup>. The upshot was formal closure of the School of Library and Information Studies, coupled with creation of a new School of Information Management and Systems (now School of Information) that was designed to serve the needs of the growing world of computerized information technology at the juncture of social and technical issues. The proposal that led to the new school is also available on-line.<sup>10</sup>

In order to understand these situations, it is important to recognize that Berkeley has a strong tradition of integrated governance of the entire academic enterprise, both the academic disciplines and the professional schools. There is a strong role for shared governance between the faculty and the administration as well, as is the case for all University of California campuses. The partner of the administration in shared governance is the Academic Senate, a highly organized faculty body that exercises strong academic standards and takes the lead role on all matters pertaining to academic quality. The Academic Senate is a campus-

<sup>6</sup> Regional Oral History Office, Bancroft Library, University of California, Berkeley, "George J. Maslach, Aeronautical engineer, professor, Dean of the College of Engineering, Provost for Professional Schools and Colleges, Vice Chancellor for Research and Academic Affairs, University of California, Berkeley, 1949 to 1983 / 2000". <http://archive.org/details/aeronoticaleng00maslach>.

<sup>7</sup> Editors, "Editorial: Berkeley's School of Criminology, 1950-1976." *Crime and Social Justice*, vol. 6, pp. 1-3 (1976). <http://www.socialjusticejournal.org/SJEdits/06Edit-1.html>

<sup>8</sup> N. J. Smelser, "Report of the Commission on Education (1981)", Chapter 8 in N. J. Smelser, *Reflections on the University of California: From the Free Speech Movement to the Global University*, University of California Press, Berkeley, 2010.

<sup>9</sup> University of California, Berkeley, Office of the Vice Provost for Teaching, Learning, Academic Planning and Facilities, "Program Review, Case Study: School of Information Management and Systems", [http://vpapf.chance.berkeley.edu/accreditation/pr\\_essays\\_4b.html](http://vpapf.chance.berkeley.edu/accreditation/pr_essays_4b.html)

<sup>10</sup> Information Planning Group, University of California, Berkeley, Proposal for a School of Information Management and Systems, December 6, 1993. <http://www.ischool.berkeley.edu/about/history/1993proposal>

wide organization and thus involves faculty from both the traditional academic disciplines and the professions, working together on subjects such as academic program review and faculty promotion and advancement. The key role for all faculty promotions and advancements is taken by an Academic Senate committee (the Committee on Budget and Interdepartmental Relations, known more commonly as the Budget Committee).<sup>11</sup> That committee is composed of nine faculty members drawn from the full breadth of disciplines and professional schools across the Berkeley campus, typically with somewhat more members from the academic disciplines than from the professional schools and colleges. The strong involvement of disciplinary faculty in the review of faculty and programs from the professional schools and colleges can lead to a tendency on the part of the professional schools and their faculty to select research and scholarship through criteria similar to those used by faculty in the academic disciplines, rather than directing their scholarship to the core aspects of the profession. This tendency can lead in turn to two problems – a sense that the needs of the profession itself are not being served or fulfilled as effectively as could be, and a sense that the scholarship in a professional school is not up to the quality of the core disciplines. Those elements were central in all three of the Berkeley cases of intense review of professional schools described in the previous paragraph.

The situation for the professional schools and colleges at Berkeley can be contrasted with those at many other universities, especially leading private universities, where professional school faculty can be viewed as being different sorts of faculty members, and where the advancement for faculty members in the professional schools is determined largely or completely by the school itself. An extreme case is Harvard where, famously, each college and school is a “tub on its own bottom”, budgetarily and academically<sup>12,13</sup>.

Reviews for advancement and promotion in the University of California consider Teaching, Research and Creative Work, Professional Competence and Activity, and University and Public Service. The Academic Personnel Manual elaborates on the criteria used in these categories.<sup>14</sup> Excellence in all areas is sought. An important need is to recognize what constitutes creative activity for professional school faculty, since that creativity is often appropriately expressed through means other than peer-reviewed publication.

Because of the involvement of the full spectrum of the campus in planning and faculty reviews, it is important at Berkeley that the entire campus and faculty understand the nature, dynamics and needs of the professional schools, and that those in the professional schools appreciate the nature, dynamics and needs of the other academic units on campus. The role of assuring that this happened devolved upon the Provost – Professional Schools and Colleges.

A final issue that differentiates some professional schools from the rest of the campus involves budget and salaries. Professional schools and colleges such as Business, Engineering and Law have abilities to raise very substantial amounts of private money that many of the disciplines and some other professional schools do not have. An example is Executive Education in the Business School. Furthermore, there are market-derived salary pressures that result in faculty salaries for those schools corresponding to the higher-paid professions being larger for a given level of accomplishment than for other professions and disciplines.

The University of California traditionally had a single salary scale, with each rank divided into steps and with advancement from step to step occurring through periodic reviews centered upon the Committee on Academic Personnel or Budget Committee, as described above. Law and Medicine were the first professions to have a special, higher salary scale, and in 1981 special, higher salary scales were created for both Business and Engineering as well. Subsequently, market pressures have led to many faculty salaries being above those associated with the various steps in the salary scales. Such off-scale salaries have been most accentuated in areas such as Business and Economics. This differentiation of salaries is of course contentious among the faculty.

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<sup>11</sup> The University of California has a formal scale of steps and salaries within academic ranks (<http://www.ucop.edu/acadpersonnel/1112/table1.pdf>). Reviews are carried out, typically at two- or three-year intervals and necessarily at no more than five-year intervals, for advancements from step to step, as well as from rank to rank. For a review, the faculty member assembles the record and evaluations of his or her research, teaching, and service since the last advancement. The department chair receives this information, and prepares a substantial letter of evaluation, which is passed through the dean for comment, and then goes to the Academic Senate Committee on Academic Personnel (Budget Committee at Berkeley) for a thorough evaluation which results in a recommendation to the Provost. The Provost makes the decision, now delegating many step-advance decisions to an Associate Provost and with the Chancellor reading and making decisions on tenure cases. These decisions are nearly always made in accord with the advice of the Academic Senate committee. For promotions, external letters of evaluation are sought and a special, confidential ad-hoc committee of campus faculty peers is appointed to review the record and advise the Senate committee. Letters are also sought for advances at certain levels within the Professor title. Note that this process extends throughout the entire career of a faculty member, thereby providing a very effective form of post-tenure review. Many people at the University of California, myself included, believe that this very structured system of continual review of faculty members by peers is paramount among the reasons for the quality and stature attained by the university.

<sup>12</sup> Harvard A to Z (ETOB), Harvard Magazine, May-June 2004. <http://harvardmagazine.com/2004/05/harvard-a-to-z.html>.

<sup>13</sup> Interview with Albert Carnesale, Harvard Gazette, May 16, 1996. <http://news.harvard.edu/gazette/1996/05.16/HowHarvardHandl.html>

<sup>14</sup> University of California, Academic Personnel Manual, Section 210-1-d. <http://www.ucop.edu/acadpersonnel/apm/apm-210.pdf>

## THE ROLE OF THE PROVOST – PROFESSIONAL SCHOOLS AND COLLEGES

The roles of the Provost – Professional Schools and Colleges (PS&C) included reviewing and acting upon all academic appointments, promotions and step advancements for the PS&C and overseeing searches and reviews (done every five years) for deans. For everything but tenure-track faculty salaries, an overall budget was given to the Provost, who then apportioned it among the units. The budget for tenure-track faculty was determined by the annual process for allocating faculty recruitments (see below) and by the advancement system described above and in Footnote 11, with monetary increases for salaries following the advancements.

Important planning activities focused on the Provost as well. In addition to periodic campus-wide academic plans<sup>15</sup>, the Berkeley campus has an annual process whereby departments, schools and colleges analyze their current academic situation and needs and thereby provide supporting rationale for whatever authorizations for faculty recruitment they may desire. The Budget Committee of the Academic Senate reviews these plans and provides advice to the Provost, who makes the decisions and allocations. Any faculty position vacated by death or resignation reverts to the chancellor's office and can be reassigned only through this process.<sup>16</sup> This annual activity was the primary mechanism for determining the components of academic expertise on the campus and the growth or reduction of the various colleges, schools and departments.

On occasion, a singular planning issue can become larger and more involved. During my time, as already mentioned, there was a set of reviews of the School of Library and Information Studies that led to the fundamental issues of whether the school should continue and/or what roles were needed or appropriate for Berkeley in the relatively new and burgeoning field of information management. As Provost, I oversaw these reviews and chaired the ultimate special committee that was charged with determining what to do and which provided the proposal for the new School of Information Management and Systems.

Another major role was to chair what became a succession of eleven different committees over seven years overseeing specific facilities projects. These projects included new buildings, building additions, overall facilities planning for sections of the campus, major building renovations, and decommissioning of the campus research nuclear reactor. My role was to chair these committees, which also had on them program representatives from the pertinent academic unit, campus physical planning personnel, the head of campus facilities programs or a representative, and the project architects and project manager. The purpose was to guide the project as it went along and in particular to identify, mediate, and resolve issues that could lead to cost over-runs or cost savings. Overseeing and keeping control over these projects were important for overall campus finances, and sometimes came into conflict with evolving program needs of the academic units concerned. The most informed decisions could be made by bringing these people of different backgrounds and interests together in a single working group.

The Provost – Professional Schools and Colleges represented the university in the accreditation processes carried out by the various professional societies. I found the natures and depths of the accreditation processes to be highly variable, ranging from the very detailed processes carried out by ABET for engineering to processes in some other areas that were much less intense and/or even seemed in some cases to be direct advocacy for particular desires of the academic unit.

I would meet with each dean about once per month and more often when needed. This afforded an opportunity for discussing not only the needs and issues of the schools and colleges, but also campus-wide issues that might affect the schools and colleges, as well as ways in which their issues and campus issues might intersect positively or negatively.

## REFLECTIVE THOUGHTS

The advantages of having a provost position specific to the professional schools and colleges relate for the most part to the existence of common program issues and needs for these schools and colleges and to the value of giving special administrative attention to, and gaining administrative awareness of, these schools. As already noted, some of the advantages also relate to the academic natures of Berkeley and the University of California, where academic planning and reviews as well as faculty advancement involve the entire campus, both the disciplines and the professions.

Perhaps the greatest of these advantages was associated with the fact that the provost would review and act upon every faculty promotion and advancement case in the Profession Schools and Colleges. The most common knotty and debatable issues in faculty advancement involved the matter of what constitutes creative activity in the professions and how it is measured. It should

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<sup>15</sup> See, e. g., <http://berkeley.edu/news/media/releases/2003/05/sap/plan.pdf>

<sup>16</sup> An exception is made for vacated Assistant Professor positions so as to remove from the tenure-evaluation process the question of whether or not the department will retain the position. There is also no issue of obtaining a position for promotion of an Assistant Professor to Associate Professor, which is concomitant with promotion to tenure. To achieve tenure a junior faculty member needs to meet the desired standard, without there being any additional issue of whether a tenure-level position can be allocated.

be possible to express one's creativity through many different means, for example architectural and engineering design, journalistic reporting and analysis, and the creation of innovative and successful policies. These accomplishments are not necessarily conveyed through the traditional routes of peer-reviewed publication and presentation at conferences, and they are something different than discovery and codification of knowledge. However, they can be, and are, peer-reviewed in other ways, and they are certainly creative accomplishments. It is helpful to have a principal in the review processes for academic programs and for faculty promotions and advancement for the professions who is aware of the dimensions of creativity in the professions and is able to compare and contrast the situations among the different professions.

Another element common to the professions in universities is the use of the practicum, the portion of the curriculum or extra-curricular activities that is designed to give students familiarity with the actual practice of the profession. The extent and nature of the practicum varies greatly from one professional field to another and from institution to institution. Some of the forms that the practicum has taken at Berkeley are a free legal clinic, an engineering coop program, field work for journalism students through localized media, summer internships in Sacramento for public policy students, and capstone design courses. Identification of good practices and ways of organizing, supervising, and financing the practicum are subjects that can and should be considered across the professions, and they are important in program review. The Provost – Professional Schools and Colleges was well positioned to convey ideas for good practices from one profession to another.

Designating a provost position to cover the professional schools and colleges does also carry a message that the importance of professional education and research to the university is recognized and valued. It provides a mechanism for much more knowledgeable oversight and enablement of the professional schools, and it provides a way of reflecting their needs and issues at the top level of campus administration. The existence of the Provost – Professional Schools and Colleges position was generally received very favorably by the deans of those schools and colleges. One might think that they would prefer to be left on their own, but the advantages of having a knowledgeable friend in court seemed to outweigh any feelings of that sort, especially given the involvement of faculty from all parts of the campus in program reviews and faculty promotion and advancement.

A two-provost system obviously requires an effective and synergistic relationship between the two provosts concerned. My Letters and Science counterparts and I found that this really meant that overall academic planning and leadership should best become a joint effort. Were there to be less than total synergy between the two provosts in this sort of structure, academic leadership would suffer. In the Berkeley structure, The Vice Chancellor could have refereed and mediated when needed.

To my knowledge, structures in which a single senior position focuses in the professional schools and colleges have not been used at other major universities, at least not in the United States. Why has this approach not been tried or used elsewhere? Smaller or less comprehensive universities will probably not have enough different professional schools and colleges to make a separate provost for them an efficient approach. Yet there are many universities with large numbers of professional schools and colleges. A count obtained by viewing web sites shows that Harvard, Cornell, UCLA, and the Universities of Texas - Austin, Florida, Minnesota, Michigan, Wisconsin, Ohio State and Southern California have numbers of professional schools and colleges ranging from 10 to 19. Perhaps the reason that the Provost – Professional Schools and Colleges structure has not been taken up by them is that these institutions opt instead for a condition of independence and "tubs on their own bottoms" rather than for integral academic oversight, planning and advancement/promotion processes that cover both the academic disciplines and the professions.

This then leads to a final fundamental question as to whether it is more desirable to integrate the professional schools into academic planning, personnel, and administrative functions or to leave them largely on their own to define their own goals and pilot themselves towards them. In the former case, all academic units bear responsibility for maintaining the academic quality and stature of the entire campus, and a substantial number of persons in the various academic units have some knowledge of the activities and values of many other units, both academic and professional. In the latter case, professional schools will pilot their ways through their own mechanisms, leadership and criteria, with fewer complications and with less involvement of faculty and administrators from other units. They will operate largely on their own and will fare in academic effectiveness and stature in ways that depend on their own nature, composition and leadership.

But there is another need that has to be taken into account, namely the need for gaining multidisciplinary approaches toward the many complex issues in the world as it has evolved<sup>17</sup>. Schools and departments operating in isolation from one another are less likely to generate multidisciplinary research and teaching. When planning and administrative functions are integrated across the academic disciplines and the professions, and when faculty members are well aware of faculty in other academic units, multidisciplinary undertakings are facilitated. Also, as already noted, professional schools themselves have important multidisciplinary features, and they thereby can catalyze multidisciplinary activities across a campus. As needs for multidisciplinary understanding and approaches continue to grow, bringing professional schools fully into the academic milieu of a campus becomes all the more desirable.

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<sup>17</sup> C. J. King, "The Multidisciplinary Imperative in Higher Education", presented at the Beijing Forum, Beijing, China, November 2010. Research and Occasional Papers Series, 11-10, Center For Studies in higher Education, University of California, Berkeley, <http://cshe.berkeley.edu/publications/docs/ROPS.%20King.Multidisciplinary.9.13.10.pdf>