Report and Addendum (PSOUH Policy)
Submitted to the Assistant Vice President for Human Resources,
University of San Francisco

August 15, 2007

John Kao, PhD
Associate Professor
Mathematics Department
University of San Francisco

General Contents

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VI. Source Document Appendix (for *Report of Discrimination*): 369 pages

August 15, 2007

Martha Peugh-Wade
Assistant Vice President for Human Resources
University of San Francisco, LM 339
2130 Fulton Street
San Francisco, CA 94117-1080

Dear Vice President Peugh-Wade,

On May 15, 2006, I filed a Formal Complaint as provided for by the USF Prevention of Sexual and Other Unlawful Harassment Policy (PSOUHP), effective February 7, 2006; this, in sequel to an Informal Complaint which I filed on January 26, 2006, with Elsie Tamayo, Manager, Professional Development/Affirmative Action, Human Resources. The Formal Complaint took the form of

Report of Race-based Discrimination and Harassment
Submitted to the Associate Vice President for Human Resources,
University of San Francisco

which I will refer to as *Report of Discrimination*. The submission comprised 483 pages: cover letter to the Associate Vice President for Human Resources, Terry Stoner (now retired), 2 pages; body of the report, 112 pages; supporting documents, 369 pages. Since then, the USF Administration and I have been engaged in a process of negotiation prior to investigation of the Formal Complaint. The Administration has been represented by:

- Terry Stoner, Associate Vice President, Human Resources;
- Donna Davis, General Counsel, Office of the General Counsel;
- Jennifer Turpin, Dean, College of Arts and Sciences.

I am represented by

- Christopher W. Katzenbach, Attorney at Law, Katzenbach and Khitikian.

The negotiation process was initiated by the Administration and is not provided for in PSOUHP. I am writing now to submit a supplementary manuscript which I will refer to as *Addendum*. It consists of 165 pages: cover letter (copy of this correspondence), 6 pages; body of the addendum, 41 pages; supporting documents, 118 pages. I request that *Addendum* be reviewed in conjunction with *Report of Discrimination*. If necessary, it can be treated as a second Formal Complaint.

Report of Discrimination concerns two faculty members in the Mathematics Department, Tristan Needham and Stanley Nel, for the time

Fall 1991 - Spring 2006.

Profs. Needham and Nel have held senior executive positions during this period:

Stanley Nel	Dean of College of Arts and Sciences 1990 - Spring 2003
	Vice President of International Relations Fall 2003 - present
Tristan Needham	Associate Dean of Sciences Spring 1999 - Spring 2004.

In the capacity of Associate Dean, Tristan Needham was my direct superior, for which reason the threat of retaliation was too great to pursue action as specified by PSOUHP. Extensive research into their conduct began in August 2005, and was in response to Tristan Needham's return to the Mathematics Department the same month (he was on sabbatical leave academic year 2004-05). My inquiry led to discovery of several matters addressed in the Formal Complaint, although they took place some time prior. Further discrimination and harassment occurred after August 2005. For your reference, I will summarize some of the major aspects of *Report of Discrimination*.

- Deans Needham and Nel created a category of faculty appointment (Full Professorship requiring only one semester per year of teaching duty). The terms of this position explicitly violate the USF Faculty Association *Collective Bargaining Agreement* (contracts effective 1998 - 2012) which states that faculty must be available for service at the University for the entire academic year. Thereafter, Dean Needham hired a close personal acquaintance (John Stillwell) into this position (2001, first semester teaching as a tenured Full Professor–Fall 2002). As the position came *with tenure*, this appointment was *permanent* and was not subject to peer review. In violation of USF affirmative action/equal opportunity policy (as reported to the USF Board of Trustees and also the Western Association of Schools and Colleges), no search was conducted. Moreover, no faculty consultation *of any kind* took place prior to the announcement that the Deans were going to appoint John Stillwell. His curriculum vitae were not provided to mathematics faculty. His qualifications were not discussed. No vote on the matter of was taken by the Mathematics Department. These facts are evinced by the minutes of the Mathematics Department meetings in 2000 and 2001. Prof. Stillwell's appointment involved a substantial financial commitment on the part of USF. His position at USF automatically advances to the highest salary scale attainable to faculty (Full Professor Step 8, corresponding to an annual salary of $121,571.45, plus benefits). He is employed concurrently at USF and

Monash University in Australia. The appointment of Prof. Stillwell was an overt act of nepotism. It violated USF affirmative action policies and due process for faculty hiring.

- Dean Needham engaged in both harassment and discrimination against me, which included defamation of character and libel. This occurred in an official letter of reprimand (printed on USF letterhead) sent to administrators at another institution of higher education (John Loomis, Chair of Architecture, and David Meckel, Dean of Design and Architecture; both at the prestigious art institute, California College of the Arts) as well as to faculty and administrators at USF. Supporting documents attached to his letter *were fabricated by Dean Needham*. A USFFA Grievance was settled in my favor on December 7, 2000.

- As a result of a temporary medical disability with which I was afflicted (allergic reaction to a medication), Dean Needham applied undue and discriminatory pressure on me, which in the context of his prior actions (defamation of character and libel), forced me to take a one semester leave of absence without pay (Spring 2002). His conduct violated the Americans with Disabilities Act and/or the Family and Medical Leave Act.

- In contravention of standard administrative procedure, documents have been selectively deleted from my personnel file maintained in the Deans Office of Arts and Sciences. No consistent policy of retention/deletion can explain the destruction of documents favorable to my academic reputation as compared to other documents preserved in this file. This matter was discovered January 2005.

The above summarizes a part, but not all, of *Report of Discrimination*.

The prompt for *Addendum* is the Administration's attempt to impel me to sign a contract titled, "Release and Arbitration Agreement" (communicated by Ms. Davis to Mr. Katzenbach). Through this agreement, I would be deprived of civil liberties and rights that are guaranteed by U.S. law (and thus these rights are enjoyed by every other employee at USF). The contract would apply not only in relation to matters occurring before my Formal Complaint, but would cover *any dispute between myself and the University, in perpetuity*. I was asked to relinquish *future rights* to any and all, damages, claims, charges, causes of action, grievances, complaints, indemnities and obligations directly or indirectly arising out of, or in any way connected to my relationship with the University of any kind, University employment, including but not limited to:

- age discrimination under the Age Discrimination in Employment Act (29 U.S.C.A. §§ 621-634);

- racial discrimination under the federal Civil Rights Act of 1964;
- disability discrimination under federal Americans with Disabilities Act ("ADA");
- federal and state occupational and safety laws;
- collective bargaining agreements;
- Family and Medical Leave Act ("FMLA");
- California Fair Employment and Housing Act (California "FEHA");
- all other state, local or federal laws, contract, tort, retaliation, constitutional, and/or any employment-related claims, and/or other claims.

Also, the contract would have deprived me of

- due process in a court of law in disputes between myself and the University. It would strictly limit me to conflict resolution with USF through final and binding arbitration, *on any matter, in perpetuity*.

Arbitration differs from litigation in significant ways. For example, in binding arbitration

- decisions cannot be appealed,
- proceedings and awards are typically confidential,
- protocols do not provide for discovery.

This arbitration clause would deprive me of the right to a jury trial which is guaranteed by U.S. law in matters of civil disputes. Moreover, the contract would oblige me to

- confidentiality with respect to the *entire content* of *Report of Discrimination*.

This would substantially restrict my freedom of speech, as *Report of Discrimination* describes events that are matters of public record—facts therein are supported by USF documents to which no confidentiality applies. In addition to being protected by U.S. law, freedom of speech is sacrosanct in academia. The tenure system is designed to protect faculty from reprisals for their public positions on sensitive issues.

While a request to release the University from liability for events that have occurred prior to the Formal Complaint is reasonable, the attempt to impel me to relinquish *future rights* is *unequivocally* an act of discrimination and harassment:

> How can USF claim to be an equal opportunity employer when it asks an ethnic minority professor (tenured and Associate) with a perfect employment record to sign a document which relinquishes virtually all of his legally protected employment rights?

> The preservation of civil liberties and rights is an established principle of social justice. How can USF claim to be promoting civil rights if the Administration asks an ethnic minority employee to relinquish, for example, his future protection from racial discrimination under the federal Civil Rights Act of 1964?

The Administration's conduct calls into question the authenticity of the Formal Complaint process. It casts doubt upon the University's commitment to protecting complainants from retaliation in the event of an investigation. Furthermore, the negotiation was conducted in an intimidating and disingenuous fashion. PSOUHP states:

> Individuals who know of harassment, or believe that they have been harassed, in violation of this policy have access to the complaint procedures described below and are encouraged to utilize these complaint procedures.

Yet the effect of "Release and Arbitration Agreement" is punitive. This contract would deprive me of employment rights that many courageous individuals throughout U.S. history fought for. These rights are, to put it simply, priceless. Of particular importance to me is the right to a jury trial in the event of retaliation for my complaint—I consider this a fundamental legal safeguard.

To ensure that no miscommunication on this matter occurred, Mr. Katzenbach emailed, corresponded, and spoke by telephone, with Ms. Davis on multiple occasions. The last communiqué, a telephone discussion, took place spring 2007.

The ongoing negotiation phase of the Formal Complaint was initiated by the Administration. Its purpose, as stated by Ms. Davis, is to settle the Formal Complaint informally. That is, its purpose is to preempt an investigation. The actions of the Administration during this process serve as a litmus test for discrimination and harassment. It reveals discrimination at USF of an institutional nature.

The manuscript I now submit to the Office of Human Resources consists of the following elements, which have been assembled in the order below:

- Cover Letter for *Addendum* (that is, this letter),
- *Addendum* (body) ,
- Source Document for Addendum Appendix,
- Cover Letter for *Report of Discrimination*,
- *Report of Discrimination* (body),
- Source Document Appendix (for *Report of Discrimination*).

This manuscript will be transmitted to the Office of Human Resources and Office of the

General Counsel in both electronic and hardcopy form.

In preparing *Report of Discrimination* and *Addendum*, I reviewed the USF Mission Statement which includes: "The University will distinguish itself as a diverse, socially responsible learning community of high quality scholarship and academic rigor sustained by a faith that does justice." I conclude that my social responsibility as an academician, and a dedicated employee of USF with sixteen years of service, obliges me to submit these manuscripts to the Office of Human Resources. I do so in the belief they will be of value to the University: contributing to the strength and integrity of our institution.

Thank you for your attention. As noted above, I am represented by

Christopher W. Katzenbach
Attorney at Law
Katzenbach and Khitikian
1714 Stockton Street, Suite 300
San Francisco, CA 94133-2930
Tel. (415) 834-1778

Also, please feel free to contact me if you have any questions or concerns (USF Mathematics Department, office HR 219, telephone ext. 6760, email kao@usfca.edu).

Sincerely,

John Kao
Associate Professor
Mathematics Department

cc: Donna Davis, General Counsel, Office of the General Counsel
Elsie Tamayo, Manager, Professional Development/Affirmative Action, Human Resources
Christopher W. Katzenbach, Katzenbach and Khtikian

Addendum to Report of Discrimination
Submitted to the Assistant Vice President for Human Resources,
University of San Francisco

August 15, 2007

John Kao, PhD
Associate Professor
Mathematics Department
University of San Francisco

Introduction

I will refer to this manuscript as *Addendum*. My objective is to supplement the Formal Complaint of race-based discrimination and harassment filed with the University on May 15, 2006. This document will address subsequent events. The original Formal Complaint was comprised of

Report of Race-based Discrimination and Harassment
Submitted to the Associate Vice President for Human Resources,
University of San Francisco

which I will refer to as *Report of Discrimination*. As investigation of the original complaint has yet to commence, I ask that *Addendum* be reviewed in conjunction with *Report of Discrimination*. It may also be treated as a second Formal Complaint.

Addendum adopts the nomenclature and conventions used in *Report of Discrimination*. Similar to the original report, I have reproduced excerpts from source material (cited in footnotes) and replicated such, in a Source Document for Addendum Appendix (abbreviated SDA). To certify authenticity, I have retained original copies. These were identified by removable tags and labeled duplicates created. These tags take the form

where the number enables page reference to source documents for the *Addendum*. The Investigator can forego careful reading of the SDA Appendix—it is meant for reference and also to verify that quotations have not been taken out of context.

Addendum concerns the following topics each of which corresponds to a separate section herein

- Summary of Events in Sequel to Submission of Formal Complaint
- Dual Degree in Teacher Preparation (DDTP) Program
- Special Appointments in the College of Arts and Sciences
- John Stillwell's Appointment
- Diversity of Faculty in Math/CS
- Forced Leave of Absence Spring 2002
- Notes on *Report of Discrimination*.

Presentation of the above will begin with a narrative description of events (for the period May 15, 2006 - present).

Summary of Events in Sequel to Submission of Formal Complaint

I activated the USF Prevention of Sexual and Other Unlawful Harassment Policy (PSOUHP) on January 10, 2006, by submission of a memorandum to Elsie Tamyo, University Affirmative Action Officer, requesting an Intake Meeting for an Informal Complaint as specified by PSOUHP.[1] This memorandum was copied to Jennifer Turpin, Dean of Arts and Sciences, and Brandon Brown, Associate Dean of Sciences—the memorandum described some of the issues I would include in my complaint. From that time to present, my attorney has been Christopher W. Katzenbach, law firm of Katzenbach and Khitikian.

The Intake Meeting, between me and Ms. Tamayo, was conducted on January 26. I brought documents to substantiate my claims of discrimination and harassment. After review of these, we both agreed that a Formal Complaint was warranted.[2]

I filed *Report of Discrimination* on May 15, 2006. In response, the USF Administration requested a meeting to discuss my Formal Complaint. Such was scheduled for June 20. Present at this meeting and representing the Administration were

- Terry Stoner, Associate Vice President, Human Resources;
- Donna Davis, General Counsel, Office of the General Counsel;
- Jennifer Turpin, Dean, College of Arts and Sciences.

I was represented by Mr. Katzenbach.

The meeting opened with the Administration expressing its desire to settle the Formal Complaint informally—that is, without an investigation. This was the purpose of our meeting. The Administration drew attention to the claim that my professional reputation had been damaged by USF administrators, and as a result, I was politically isolated within the college. To confute this claim, the Administration informed me I had been nominated to a trustee subcommittee.[3] The Administration then asked what evidence I had to support the claim of political isolation. I cited the section of *Report of Discrimination* labeled "Maladministration: DDTP Single Subject Accreditation." The Administration's response was that the accreditation program described therein had been terminated. I was astonished that the decision to end this program was made without my knowledge and without faculty consultation (the DDTP Curriculum Committee did not meet at all Spring 2007). This decision was also contrary to the commitment I received from Dean Brown and Dean Bloch[4] that the University would postpone decision on reaccreditation until Fall semester 2006 (when the matter could be discussed between faculty and the new director of DDTP). This commitment was made to me at a meeting between the three of us, February 13,

[1] Memo from John Kao to Elsie Tamayo, cc'ed to Jennifer Turpin and Brandon Brown, dated January 10, 2006 [SD 352 - SD 353]. Also, Email from John Kao to Elsie Tamayo, cc'ed to Jennifer Turpin and Brandon Brown, dated January 11 [SD 351].
[2] Memo from Elsie Tamayo to John Kao, dated February 27, 2006 [SD 356 - SD 357].
[3] No written notice of such a nomination (nor of any such appointment) has been sent to me, before or since. Needless to say, no appointment was made.
[4] Michael Bloch is Associate Dean of Social Sciences, College of Arts and Sciences.

2006.[5] During the past academic year, Dean Brown and influential members of the Math Department had encouraged me to pursue the continuing single subject accreditation in mathematics.[6] *The Administrations response, itself, supported the claim that I am politically isolated*.

The Administration solicited my opinion as to what could be done to improve USF as an institution. After some discussion I realized that the question was meant to solicit a proposal that could settle the Formal Complaint informally. I suggested that I be granted a dual-appointment in Math/CS. I considered myself well qualified since my doctorate from Princeton University is in Applied and Computational Mathematics. My appointment would result in the CS department having *at least one* ethnic minority faculty member.[7] It would also result in *at least one* ethnic minority among the dual-appointment faculty. After discussion of this proposal, Administration representatives left the room to confer.

When we reconvened, the Administration informed me that such an appointment would be difficult to make. Mr. Katzenbach suggested we meet again in a month so that all parties could reflect. This was agreed upon. At the conclusion of the meeting I asked if the dual-appointment remained a possibility. *The Administration stated clearly that it was a possibility*. Approximately three months passed before the next meeting on September 12. The delay was created by the Administration.[8]

Prior to the follow-up Formal Complaint meeting September 12, I was told (in August) that my elderly mother required a major and unexpected surgery. Her hospital stay was scheduled for the latter part of September. I asked Mr. Katzenbach to request at the complaint meeting that I be granted Paid Family Leave to attend to my mother's care (the nature of my mother's condition was within the scope of USF's Paid Family Leave policy).

Prior to September 12, Mr. Katzenbach was sent a position statement from the University. It consisted of the following.[9]

> This is a brief summary and follow up to our meeting June 20th setting forth briefly what the University heard and possible ideas of how to address these issues.

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[5] Meeting between Michael Bloch, Brandon Brown and John Kao, February 13, 2006. Scheduling email from Brandon Brown to John Kao, dated February 7 [SDA 17].

[6] Email from Brandon Brown to John Kao, dated December 11, 2005 [SDA 13]. Email from Brandon Brown to selected members of Math Department, dated February 10, 2006 [SDA 14]. Emails from Tristan Needham to Math Department, dated November 9, 2005 [SDA 8]; dated November 10 [SDA 9 - SDA 11]; and follow up email also dated November 10 [SDA 12].

[7] The fact (presented in *Report of Discrimination*) that Peter Pacheco, who has a dual-appointment in Math/CS is Non-Hispanic was not challenged, by the Administration, during this or subsequent meetings.

[8] Email from Christopher Katzenbach to John Kao, dated July 17, 2006 [SDA 27]. Email from Christopher Katzenbach to Donna Davis, dated August 4, 2006 [SDA 28]. Email from Christopher Katzenbach to Donna Davis, dated August 11, 2006 [SDA 29]. Email from Christopher Katzenbach to John Kao, dated August 11, 2006 [SDA 30]. Email from Christopher Katzenbach to John Kao, dated August 13, 2006 [SDA 31 - SDA 32]. Email from Christopher Katzenbach to Donna Davis, dated August 25, 2006 [SDA 33]. Email from Christopher Katzenbach to John Kao, dated August 31, 2006 [SDA 37 - SDA 38].

[9] USF Position Statement [SDA 114].

Concerns

- Professor Kao is very concerned about his professional reputation.
- Professor Kao believes he is a victim of discrimination.
- Professor Kao believes he was forced to take unpaid leave for a semester. At that point he feels he was stigmatized. How can the stigma be removed?
- University needs to better display the confidence it has in and respect it has for Professor Kao

Ideas

- Dean Turpin can have Professor Kao assigned to teach in computer science.
- Dean Turpin has already nominated Professor Kao for a trustee subcommittee and will look for other opportunities for him to do service.
- Dean Turpin has appointed a new dual degree program director and will require him to meet regularly with the advisory committee.
- Dean Turpin is willing to add whatever docuements [sic] Professor Kao has that are missing from his personnel file to his file.

Next Steps

- Mr. Katzenbach to respond with his thoughts.
- Parties to meet again to decide on best manner in which to proceed.

On September 12, Ms. Davis opened the Formal Complaint meeting with a reading of this statement. I informed her that I had learned

- the DDTP Curriculum Committee (which is the advisory committee to DDTP) had been dissolved,[10]

which fact contradicted the Administration's own statement. *This incident supported the claim that I am politically isolated.* The Administration then announced that

- no further dual-appointments will be made in the College of Arts and Sciences.

Administration representatives left the room along with Mr. Katzenbach. Mr. Katzenbach returned to inform me that I had been given leave as provided for by USF's Paid Family Leave policy. In addition, the Administration proposed to resolve my Formal Complaint informally as follows. USF would:

- pay me an amount approaching the sum of my salary for Spring 2002 (the semester in which Forced Leave of Absence occurred);

[10] Email from Jeff Buckwalter to John Kao dated August 29, 2006 [SDA 34 - SDA 36].

- provide me with a letter specifying the reason for this payment, in particular, that it was compensation for Spring 2002.

I understood that the Administration expected I would then forgo investigation of the Formal Complaint. I declined this proposal and the meeting ended.

The following morning, September 13, Mr. Katzenbach conveyed (by telephone) to Ms. Davis my counterproposal. USF would:

- pay me the full amount of my salary for Spring 2002;
- admit the document *Report of Discrimination* to my personnel file to be maintained for the duration of my employment at USF;
- provide me with a signed statement to the effect of "USF believes John Kao filed his Formal Complaint in good faith and confirms that the Administration has no basis for disputing the authenticity of the source documents in *Report of Discrimination*."

The latter two items were essential to me since important documents had been deleted from my personnel file.[11] These missing documents were contained in the Source Document Appendix of *Report of Discrimination*. Mr. Katzenbach understood that I was prepared to sign a statement releasing USF from legal liability *for events prior* to my Formal Complaint. On September 19, Mr. Katzenbach informed me the Administration had accepted my counterproposal. I considered the negotiation completed.

My Paid Family Leave was granted for September 13 - September 27. Several email messages were exchanged between me and the Office of Human Resources to activate this leave and provide proper filing of documentation. I was sent forms to be submitted to Sedgwick Claims Management Services Inc. (Sedgwick CMS), which insures USF employees in matters of[12]

- Paid Family Leave,
- Long Term Disability.

My mother's surgery was conducted on September 19. She remained in the hospital until September 22. My leave covered both preoperative and postoperative care. (My mother suffers from bouts of depression and anxiety which makes her care extremely difficult.)

On September 22, I received the following contract titled, "Release and Arbitration Agreement," which the Administration had emailed to Mr. Katzenbach.[13]

[SDA Insert follows: 3 pages]

[11] *Report of Discrimination*, pg. 28-29. Also, *Report of Discrimination*, pg. 86-90.
[12] Email message from Martha Peugh-Wade to John Kao dated September 13, 2006 [SDA 39 - SDA 40]. Email message from Diane Sweeney to John Kao dated September 18, 2006 [SDA 41 - SDA 44].
[13] Release and Arbitration Agreement [SDA 104 - SDA 106].

DRAFT

Release and Arbitration Agreement

This Release and Arbitration Agreement ("Agreement") is made and entered into by and between John Kao ("Professor") on the one hand, and University of San Francisco ("University") on the other hand (together "Parties").

1. Professor is a faculty member of the University, holding the position of Associate Professor with tenure, in the College of Arts and Sciences. Professor hereby irrevocably releases and waives all claims, grievances and evidence/information related thereto, against the University and its officers, agents, students and representatives, as of the date of execution of this Agreement. University hereby agrees to pays Professor the sum of $ 37,365.12, less tax withholdings and FICA, within 20 calendar days of mutual execution.

2. Professor hereby withdraws with prejudice any and all grievances and warrants that he has not filed any lawsuit and/or charges with any court or government agency, against the University and/or any officer, agency or Professor thereof.

3. In consideration of the promises contained in this Agreement, Professor does release, acquit and forever discharge the University and all its past, current and future officers, employees, agents, attorneys, consultants, investigators, agents, representatives, students, contractors, boards, trustees, insurers and all successors and assigns ("Releasees") of and from any and all, damages, claims, charges, causes of action, grievances, complaints, indemnities and obligations directly or indirectly arising out of, or in any way connected to his relationship with the University of any kind, University employment, including but not limited to age discrimination under the Age Discrimination in Employment Act (29 U.S.C.A. §§ 621-634), the federal Civil Rights Act of 1964, federal Americans with Disabilities Act ("ADA"), federal and state occupational and safety laws, collective bargaining agreements, Family and Medical Leave Act ("FMLA"), California Fair Employment and Housing Act (California "FEHA"), all other state, local or federal laws, contract, tort, retaliation, constitutional, and/or any employment-related claims, and/or other claims. This release shall be a complete bar to any claims, grievances and lawsuits asserted in contravention of it, no matter the forum.

Professor acknowledges that he has read Section 1542 of the Civil Code of the State of California which states:

> A general release does not extend to claims which the creditor does not know or suspect to exist in his or her favor at the time of executing the release, which if known by him or her must have materially affected his or her settlement with the debtor.

Professor hereby waives any right or benefit which he has or may have under Section 1542 to the full extent that he may lawfully waive such rights and benefits pertaining to the subject matter of this general release.

SDA Note:
Also Inserted
as pg. 6

SDA 104

4 Professor knowingly and voluntarily agrees to waive any rights or claims arising out of or relating to the federal Age Discrimination in Employment Act ("ADEA") (29 U.S.C.A. § 621 et seq.) and the federal Americans With Disabilities Act ("ADA") (41 U.S.C.A. § 12101 et seq.):

(a) Professor represents and acknowledges that he is waiving any and all rights or claims that he may have arising under the federal ADEA and the federal ADA;

(b) Professor represents and acknowledges that he had the right to be represented by an attorney of his own choosing in connection with this Agreement and has, in fact, done so;

(c) Professor knows and understands that he is not waiving any federal ADEA or federal ADA rights or claims that may first arise after the execution of this Agreement; however, an arbitration clause is agreed on, as set forth in Section 5 of this Agreement, which is a waiver of all rights to jury trial.

(d) Professor knows and understands that in exchange for the waiver of his rights under the federal ADEA and federal ADA, he has received consideration as set forth in Section 1 of this Agreement.

(e) Professor represents and acknowledges that he has waived the right to have twenty-one (21) days to consider this waiver.

5. Any and all disputes, claims, or controversies arising out of or relating in anyway to this Agreement, its performance or breach, including, without limitation, the validity, scope and enforceability of the agreement to arbitrate, or connected in any way with the past or future employment of Professor with University, or any other matter which ever may become disputed between University (including its officers, agents and representatives) and Professor, whether arising under statute or otherwise, shall exclusively be settled by final and binding arbitration. Any award rendered shall be final, binding and conclusive upon the parties and may be entered in any state or federal court having jurisdiction. Professor Kao agrees that any future dispute will not be resolved in any court proceeding but only in arbitration, regardless of the issue or subject matter of the claim or defense to the claim. Professor further agrees that the existence and information, facts, circumstances and events related to the disputes, grievances, claims or complaints of Professor up through the execution of this Agreement, are confidential and may never be offered as evidence by Professor Kao, or relied upon or argued by him in any manner, in any dispute, grievance, claim or complaint by him, whatever the subject or time thereof.

6. [For any issues Professor Kao seeks to cover]

7. Sole Agreement: This Agreement consists of 3 pages and sets forth the parties' entire Agreement. This Agreement may not be altered, amended or modified, nor may a new agreement be reached, except by a further written document signed by Professor and the University. Professor has seven (7) calendar days after execution of this Agreement to revoke it. To revoke this Agreement, Professor must submit a written statement of revocation which must

SDA Note:
Also Inserted
as pg. 7

be received by the general counsel of the University within that period. This Agreement will not become effective until the date on which the revocation period expires.

READ and AGREED:

_____ _____

John Kao Date

_____ _____

University of San Francisco Date

SDA Note:
Also Inserted
as pg. 8

The provisions of this contract would deprive me of civil liberties and rights that are guaranteed by United States law (and thus these rights are enjoyed by every other employee at USF). The contract would apply not only in relation to matters occurring before my Formal Complaint, but would cover *any dispute between myself and the University, in perpetuity.* I was asked to relinquish *future rights* to any and all, damages, claims, charges, causes of action, grievances, complaints, indemnities and obligations directly or indirectly arising out of, or in any way connected to my relationship with the University of any kind, University employment, including but not limited to:

- age discrimination under the Age Discrimination in Employment Act (29 U.S.C.A. §§ 621-634);
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Also, the contract would have deprived me of

- due process in a court of law in disputes between myself and the University. It would strictly limit me to conflict resolution with USF through final and binding arbitration, *on any matter, in perpetuity*.

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- decisions cannot be appealed;
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> How can USF claim to be an equal opportunity employer when it asks an ethnic minority professor (tenured and Associate) with a perfect employment record to sign a document which relinquishes virtually all of his legally protected employment rights?
>
> The preservation of civil liberties and rights is an established principle of social justice. How can USF claim to be promoting civil rights if the Administration asks an ethnic minority employee to relinquish, for example, his protection from racial discrimination under the federal Civil Rights Act of 1964?

The Administration's conduct calls into question the authenticity of the Formal Complaint process, and casts doubt upon the University's commitment to protecting complainants from retaliation in the event of an investigation. Furthermore, the negotiation was conducted in an intimidating and disingenuous fashion. PSOUHP states:[14]

> Individuals who know of harassment, or believe that they have been harassed, in violation of this policy have access to the complaint procedures described below and are encouraged to utilize these complaint procedures.

Yet the effect of "Release and Arbitration Agreement" is punitive. I would receive $37,365.12 which is rightfully mine to begin with. In exchange, I would give up employment rights which many courageous individuals throughout U.S. history fought for. To place a monetary value on these rights is absurd. Of particular importance to me is the right to a jury trial in the event of retaliation for my complaint—I consider this a fundamental legal safeguard. Also consider the clause [15]

> Professor further agrees that the existence and information, facts, circumstances and events related to the disputes, grievances, claims or complaints of Professor up through the execution of this Agreement, are confidential and may never be offered as evidence by Professor Kao, or relied upon or argued by him in any manner, in any dispute, grievance, claim or complaint by him, whatever the subject or time thereof.

This would require confidentiality in the matter of Forced Leave of Absence which took place Spring 2002.

> Why did the Administration propose to provide me with a letter explaining the reason I was awarded $37,365.12 if it expected me to abide by this statement of confidentiality? Of what purpose is such a letter if the content is confidential?

[14] University of San Francisco Prevention of Sexual & Other Unlawful Harassment Policy, Effective February 7, 2006: pg. 1 [SDA 1 - SDA 7].
[15] Release and Arbitration Agreement [SDA 104 - SDA 106].

> The same questions are relevant with respect to my counterproposal in which I requested the Administration provide a signed statement to the effect of "USF believes John Kao filed his Formal Complaint in good faith and confirms that the Administration has no basis for disputing the authenticity of the source documents in *Report of Discrimination*." The Administration first approved this element of my counterproposal and then later rendered it meaningless by adding the above confidentiality clause. Why would the Administration negotiate in this duplicitous fashion?

I note that the negotiation phase of the Formal Complaint process is not provided for by PSOUHP. It was initiated by the Administration.

I was shocked and burdened by these developments which came while I was caring for my mother. I began to feel depressed and consulted Dr. Lenore Terr. She prescribed a medication for depression. I was reluctant to take any antidepressant medication because I had suffered severe adverse reactions to medication of this type in the past.[16] However, the pressures were substantial, and I began taking her prescription on October 2, the day I returned to campus from Paid Family Leave (Deans Brown and Turpin had granted me a brief extension of this leave).[17] The following week I started experiencing a rare and adverse reaction to the medication which, as I learned, is potentially fatal.[18] By the morning of October 13, I was too ill to teach and called in sick. Dr. Terr recommended that (having ceased the medication) I recuperate for two weeks. I telephoned Dean Turpin the afternoon of October 13 and explained my condition. Dean Turpin said she would notify Human Resources and they would contact me on this matter. I then spoke with Mr. Katzenbach who agreed to telephone Ms. Davis to request a two week leave.[19]

Later, I received a call from Martha Peugh-Wade, Director of Human Resources (now Assistant Vice President of Human Resources).[20] I did not give her specifics of my condition, but rather referred her to Ms. Davis. I informed Ms. Peugh-Wade that Mr. Katzenbach would convey all relevant information through the office of Legal Counsel. In addition, I received in the mail, from Human Resources:

- USF policy statements for Medical Leave;
- forms to be submitted to Sedgwick CMS for Long Term Disability claims, should such be necessary.

By October 24, I had fully recovered. I sent email to Dean Turpin notifying her of this.[21] In Dean Turpin's email reply she requested that[22]

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[16] *Report of Discrimination*, pg. 19-26. Also, Report of Discrimination, pg. 69-73.
[17] Email from John Kao to Jennifer Turpin, dated October 1, 2006 [SDA 115 - SDA 116].
[18] This may be confirmed by Dr. Terr. Letter from Lenore Terr to Marth Peugh-Wade [SDA 113].
[19] Mr. Katzenbach was unable to reach Ms. Davis but left a message on her answering machine. He later told me later that Ms. Davis did not return his call.
[20] Email from USFconnect Message to USF community dated June 8, 2007 [SDA 26].
[21] Email from John Kao to Jennifer Turpin dated October 24, 2006 [SDA 45 - SDA 46].
[22] Email from Jennifer Turpin to John Kao dated October 24, 2006 [SDA 47 - SDA 49].

- I not resume teaching, but rather, take on administrative duties for the remainder of the semester (maintaining full employment).

Dean Turpin explained her request: frequent change of instructors is confusing to students, and my classes had three instructors besides myself during my absence. She felt that it was best if my current substitutes finish the semester's teaching. Note that *the University, not I, had staffed my classes during this period*. I was willing and able to continue teaching.[23] However, given the ongoing Formal Complaint negotiation, I was in no position to argue with Dean Turpin—I acceded to her request. I spent the latter part of Fall 2006 conducting: research, course development and departmental service. My specific duties were discussed with Peter Pacheco, Chair of Mathematics. My full-time employment resumed on October 25.

On November 16, I was contacted by Ms. Peugh-Wade who informed me that

- Human Resources required a physician's letter explaining my absence October 13 - October 24.

I inquired if I needed to file for Long Term Disability. Ms. Peugh-Wade replied as follows.

- The University sets a fixed number of days, annually, which a faculty member can use as "sick time." The University would pay full salary up to that limit. Beyond this limit, it is necessary to file for Long Term Disability. Use of this sick time requires a physician's letter.
- The number of days I had been absent could be covered by sick time.

Subsequently, Dr. Terr sent an appropriate letter to Human Resources.[24]

Mr. Katzenbach and I waited until spring to address the contract submitted by the Administration. On January 17, Mr. Katzenbach sent the following letter to Ms. Davis. It conveyed a counterproposal.[25]

[SDA Insert follows: 6 pages]

[23] This may be confirmed by Dr. Terr. See also, letter from Lenore Terr to Marth Peugh-Wade dated November 28, 2006 [SDA 113]
[24] Letter from Lenore Terr to Marth Peugh-Wade dated November 28, 2006 [SDA 113].
[25] Letter from Christopher Katzenbach to Donna Davis dated January 17, 2007 [SDA 107 - SDA 112].

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CHRISTOPHER W. KATZENBACH
W. KENT KHTIKIAN
KIMBERLY A. HANCOCK

January 17, 2007

In Re: Prof. John Kao

Ms. Donna Davis
Office of the General Counsel
University of San Francisco
2130 Fulton Street
San Francisco, CA 94117-1080

Dear Ms. Davis:

Professor Kao and I have discussed the draft settlement document you provided. We have a substantial number of changes, as explained below. Enclosed is a revised document incorporating these changes.

1. As you will note from the change in title, Professor Kao is unwilling to agree to an arbitration agreement. He feels strongly that, in settling matters with USF, he should retain all the rights of every other faculty member. He views a separate arbitration provision in this settlement as changing his rights in a significant way.

   a. In addition, we have eliminated the confidentiality provisions contained in paragraph 5 of USF's draft. We do not desire confidentiality, as this simply creates a situation for potential future disputes between the parties.

   b. We have also (see paragraph 6 of our draft) eliminated the restrictions on the use of information and facts underlying Professor Kao's complaint if there were to be future disputes. The use of the information contained in Professor Kao's Formal Complaint in the event of a future dispute would normally be proper as background evidence to support new charges. See *National Railroad Passenger Corp. v. Morgan* (2002) 536 U.S. 101, 113. Professor Kao is not willing to give up his right in this respect.

2. Paragraph 1 of our draft states the background of the settlement. Professor Kao feels that a statement of the background of the settlement is necessary.

3. Paragraph 2 of our draft contains a statement as to Professor Kao's good faith in filing the Formal Complaint. In addition, this paragraph:

SDA Note:
Also Inserted
as pg. 13

SDA 107

a. Contains USF's acknowledgment of its commitment to non-discrimination.

b. Contains an agreement to appoint a special committee to examine ways to increase diversity in the Departments of Mathematics and Computer Science. Diversity in these departments is an issue about which Professor Kao feels strongly. The appointment of a committee to review this issue is a way of moving this issue forward in a positive and constructive fashion.

4. Paragraph 3 of our draft contains the payment of lost wages for Spring 2002.

5. Paragraph 4 of our draft contains the release. Please note that that we have limited the scope of the release to "claims, charges, causes of action, grievances, complaints, indemnities and obligations that have accrued on or before the date of this Agreement, but not otherwise". While Professor Kao is willing to release past claims, he does not want to release potential future claims.

6. Paragraph 5 of our draft contains OWBPA language. We have added the limitation that the waiver applies to claims "that have accrued on or before the date of this Agreement, but not otherwise" to match the scope of the release as applicable to past claims, not future ones.

7. Paragraph 6 of our draft contains language:

a. Reaffirming that the release covers only past claims.

b. Professor Kao has all the rights that other faculty enjoy.

c. An acknowledgement that any evidence used in support of Professor Kao's Formal Complaint could be used as evidence in support of any future claims to the extent the evidence is relevant to a new claim. As noted previously, this is what current law would normally allow.

8. Paragraph 7 of our draft contains an agreement to place the settlement agreement and Formal Complaint in Professor Kao's personnel file. As you are aware, copies of Professor Kao's prior grievance did not get placed in his personnel file or maintained in any other USF file of which Professor Kao is aware. Since the Formal Complaint and this settlement

SDA Note:
Also Inserted
as pg. 14

SDA 108

are important employment documents, we believe they need to be maintained in the formal files at USF.

9. Paragraph 8 of our draft contains the language USF had in paragraph 7 of its draft.

While we have made substantial changes, we believe that none of our changes affect the basic substance of a reasonable settlement of past disputes. We are simply trying to preserve existing and future rights. Please call me to discuss these matters at your convenience.

Very truly yours,

Christopher W. Katzenbach

Enclosure (1)

SDA Note:
Also Inserted
as pg. 15

SDA 109

DRAFT

Release and Settlement Agreement

This Release and Settlement Agreement ("Agreement") is made and entered into by and between John Kao ("Professor") on the one hand, and University of San Francisco ("University") on the other hand (together "Parties").

1. Professor is a faculty member of the University, holding the position of Associate Professor with tenure, in the College of Arts and Sciences. On May 15, 2006, Professor filed a formal complaint ("Formal Complaint") with the University pursuant to the University's polices against harassment and discrimination. The University and Professor now desire to resolve the issues raised by Professor in the Formal Complaint.

2. University acknowledges that the Formal Complaint was filed by Professor Kao in good faith on the facts and information known to him as set forth in the Formal Complaint. University further acknowledges that it does not question the authenticity of the documents attached to Professor Kao's Formal Complaint. University has reviewed the Formal Complaint and the issues raised therein. University acknowledges that it is committed to non-discrimination in all aspects of its operations, including employment, recruitment, tenure and academic affairs and administration, and reaffirms this commitment herein. As part of this commitment, University agrees to appoint a special committee to examine ways in which the University could increase diversity in the Departments of Mathematics and Computer Science.

3. In consideration of the mutual promises contained in this Agreement, University agrees to pay Professor the sum of $ 37,365.12, less tax withholdings and FICA, within 20 calendar days of mutual execution. The parties acknowledge that this compensation is for Professor's unpaid leave of absence in Spring Semester 2002. Professor hereby agrees to withdraw his Formal Complaint and warrants that he has not filed any other grievance, lawsuit and/or charges with any court or government agency, against the University and/or any officer, agency or Professor thereof arising from or out of the matters asserted in the Formal Complaint.

4. In further consideration of the promises contained in this Agreement, for all claims, charges, causes of action, grievances, complaints, indemnities and obligations that have accrued on or before the date of this Agreement, but not otherwise, Professor does release, acquit and forever discharge the University and all its past, current and future officers, employees, agents, attorneys, consultants, investigators, agents, representatives, students, contractors, boards, trustees, insurers and all successors and assigns ("Releasees") of and from any and all, damages, claims, charges, causes of action, grievances, complaints, indemnities and obligations directly or indirectly arising out of, or in any way connected to his relationship with the University of any kind, University employment, including but not limited to age discrimination under the Age Discrimination in Employment Act (29 U.S.C.A. §§ 621-634), the federal Civil Rights Act of 1964, federal Americans with Disabilities Act ("ADA"), federal and state occupational and safety laws, collective bargaining agreements, Family and Medical Leave Act ("FMLA"), California Fair Employment and Housing Act (California "FEHA"), all other state,

SDA Note:
Also Inserted
as pg. 16

SDA 110

local or federal laws, contract, tort, retaliation, constitutional, and/or any employment-related claims, and/or other claims. This release shall be a complete bar to any claims, grievances and lawsuits asserted in contravention of it, no matter the forum.

Professor acknowledges that he has read Section 1542 of the Civil Code of the State of California which states:

> A general release does not extend to claims which the creditor does not know or suspect to exist in his or her favor at the time of executing the release, which if known by him or her must have materially affected his or her settlement with the debtor.

Professor hereby waives any right or benefit which he has or may have under Section 1542 to the full extent that he may lawfully waive such rights and benefits pertaining to the subject matter of this general release.

5. Professor knowingly and voluntarily agrees to waive any rights or claims arising out of or relating to the federal Age Discrimination in Employment Act ("ADEA") (29 U.S.C.A. § 621 et seq.) and the federal Americans With Disabilities Act ("ADA") (41 U.S.C.A. § 12101 et seq.) that have accrued on or before the date of this Agreement, but not otherwise:

(a) Professor represents and acknowledges that he is waiving rights or claims that he may have arising under the federal ADEA and the federal ADA;

(b) Professor represents and acknowledges that he had the right to be represented by an attorney of his own choosing in connection with this Agreement and has, in fact, done so;

(c) Professor knows and understands that he is not waiving any federal ADEA or federal ADA rights or claims that may first arise after the execution of this Agreement;

(d) Professor knows and understands that in exchange for the waiver of his rights under the federal ADEA and federal ADA, he has received consideration as set forth in Section 3 of this Agreement.

(e) Professor represents and acknowledges that he has waived the right to have twenty-one (21) days to consider this waiver.

6. The University and Professor acknowledge and agree that the releases contained herein are without prejudice to and shall not affect Professor's rights to bring claims, grievances, complaints, lawsuits or other actions as to events arising, occurring or accruing after the date of this Agreement. University and Professor further agree that Professor retains all rights enjoyed by other professors at the University to bring claims, grievances, complaints, lawsuits or other actions as to events arising, occurring or accruing after the date of this Agreement. Notwithstanding the releases given herein, the University acknowledges and agrees that the documents, facts or other information relating to the Formal Complaint filed by Professor, to the extent relevant to any new or future claims, may be used as evidence in connection with any new or future claim by Professor that arises, occurs or accrues after the date of this Agreement.

SDA Note:
Also Inserted
as pg. 17

SDA 111

7. The University agrees that a copy of this Agreement and Professor Kao's Formal Complaint, with attached documents, will be placed and maintained in Professor Kao's personnel file for the duration of Professor's employment at University.

8. Sole Agreement: This Agreement consists of 3 pages and sets forth the parties' entire Agreement. This Agreement may not be altered, amended or modified, nor may a new agreement be reached, except by a further written document signed by Professor and the University. Professor has seven (7) calendar days after execution of this Agreement to revoke it. To revoke this Agreement, Professor must submit a written statement of revocation which must be received by the general counsel of the University within that period. This Agreement will not become effective until the date on which the revocation period expires.

READ and AGREED:

_____ _____

John Kao Date

_____ _____

University of San Francisco Date

SDA Note:
Also Inserted
as pg. 18

SDA 112

March 2007 Mr. Katzenbach contacted Ms. Davis to solicit the Administration's opinion of our counterproposal.[26] *It was summarily rejected on the basis of, as Ms. Davis put it, "not providing closure."* No modifications to the counterproposal were suggested by Ms. Davis. She did not accept even a single clause of my counter proposal. Her response to Mr. Katzenbach's letter verified that no misunderstanding as to the content of the Administration's "Release and Arbitration Agreement" had occurred.

The Administration's contract would deprive me of a broad range of civil liberties and rights guaranteed by U.S. law. The request that I sign such a document is unequivocally discriminatory. The manner in which the request was made (after a three month process initiated by the Administration, and contrary to standard norms of conduct for negotiation) was both intimidating and disingenuous. This act serves as a litmus test for discrimination and harassment. It reveals discrimination at USF of an institutional nature.

The last communication between Mr. Katzenbach and Ms. Davis prompts this *Addendum*. The following sections will elaborate on the implications of events taking place January 10, 2006, to present.

Dual Degree in Teacher Preparation Program

May 2006 I was surprised to learn that Jeff Buckwalter, Associate Professor of Computer Science had been appointed the new Director of DDTP. He succeeded David Galles, Associate Professor of Computer Science. Applications for this position were not solicited by the Administration. Furthermore, the DDTP Curriculum Committee which is supposed to convene monthly had not met at all Spring 2006. I was interested in applying for the Director's position, and I was waiting for some prompt from the Dean's Office of Arts and Sciences. (The year Prof. Galles was appointed Director, the opening was discussed in the DDTP Curriculum Committee meetings.) As the College of Arts and Sciences faculty member with the most experience in DDTP (four years of continuous service on the DDTP Curriculum Committee), I should have had the opportunity to apply. To my knowledge there has never been a CS major enrolled in the DDTP program. In contrast, Mathematics has been one of three accredited single subject programs (the others being English and Social Sciences), and a substantial number of Mathematics majors have graduated from DDTP. Prof. Buckwalter had no experience with DDTP prior to his appointment as Director. In *Breaking the Glass Ceiling Racism & Sexism in Corporate America: The Myths, The Realities, and the Solutions*, Anthony Stith writes[27]

> Discriminatory decisions are made behind closed doors. These decisions prevent minorities from receiving equal opportunities. Let's review how these decisions are made:

[26] Email from Christopher Katzenbach to Donna Davis, dated March 22, 2007 [SDA 18].
[27] Stith, Anthony (1996). *Breaking the Glass Ceiling Racism & Sexism in Corporate America: The Myths, the Realities, and the Solutions*. Bryant and Dillon Publishers, Inc. Orange, New Jersey: pg. 10-11.

- Decisions not to promote minorities and women are made prior to actual interviews. When minorities are involved, decisions are not based on qualifications or abilities to perform the job.
- Decisions not to hire minorities are usually based on race or sex.
- Frequently, opportunities for learning and advancement are available only to selected groups within companies.
- African Americans and other minorities tend to be unaware of promotions or training opportunities until after they are given to others.

> Most companies have a policy of posting available positions. They use company bulletin boards, newsletters, job listings, and networking. Frequently, if African Americans or other minorities apply, they are not given the professional courtesy of an interview. … Often corporations avoid posting and advertising high-level positions. This is done to prevent minority employees from knowing about opportunities.

With respect to the position of Director of DDTP, I would have appreciated the professional courtesy of being able to apply.

Report of Discrimination describes how, in December 2005, I discovered that the DDTP Mathematics Single Subject state accreditation (the so called, waiver program) would expire July 1, 2009. DDTP had been operating on the assumption that expiration would occur December 2005. Since accreditation of single subject programs in English and Social Science were awarded after the accreditation in Mathematics, I assumed that these waiver programs would also expire July 1, 2009, or later. The implications were as follows.

- DDTP Single Subject students of English, Mathematics and Social Sciences, graduating Spring 2007, would not have to take the California Subject Examination Test (CSET); since current waivers applied to this graduating class (contrary to prior DDTP planning).
- More than three years remained within which USF could reaccredit these programs and operate without interruption.

Immediately after this discovery, Dean Brown encouraged me to explore reaccreditation for Mathematics.[28] The two other Math faculty with extensive experience in DDTP, Prof. Needham and Prof. Zeitz, expressed strong support for reaccreditation.[29] On February 13, 2006, at a meeting between myself, Dean Brown and Michael Bloch, Associate Dean of Social Sciences, *I was assured that any decision on reaccreditation would be made Fall 2006* at which time discussions could be held between faculty and the new director of DDTP.[30]

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[28] Email from Brandon Brown to John Kao dated December 11, 2005 [SDA 13].
[29] Email from Brandon Brown to selected members of the Math Department dated February 10, 2006 [SDA 14 - SDA 16].
[30] Meeting between Michael Bloch, Brandon Brown and John Kao, February 13, 2006. Scheduling email from Brandon Brown to John Kao, dated February 7, 2006 [SDA 17].

As previously noted, I learned on June 20 that contrary to this agreement, DDTP accredited programs in all three subjects were terminated. (These programs now operate without state accreditation which means that students must pass the CSET to obtain a single subject teaching credential. Under accreditation, the CSET is not required.) *This decision was made without any faculty consultation* as the DDTP Curriculum Committee had not met at all Spring 2006. By the beginning of Fall 2006, I had further learned that:[31]

- a discovered additional year of accreditation will not be used (DDTP Single Subject students graduating Spring 2009 will *needlessly* take the CSET);
- the DDTP Curriculum Committee (faculty advisory committee) had been dissolved.

The first decision, which is hard to understand, will result in a waste of students' time and money (cost of the examination). With respect to the latter decision, the DDTP Curriculum Committee had overseen the program for six years under two different directors. It was comprised of faculty members from the College of Arts and Sciences (even including at times Brandon Brown and Michael Bloch, prior to their appointments as Associate Deans) as well as faculty from the School of Education. It is difficult to comprehend why faculty consultation is no longer considered beneficial to the program.

It was particularly disturbing that Deans Brown and Bloch failed to honor the commitment made at our meeting of February 13, 2006. Between then and June 20, I lobbied mathematics faculty to support reaccreditation in mathematics. This was a pointless endeavor. I would have appreciated the professional courtesy of faculty consultation prior to a decision being made, and timely announcement of that decision. In *Ethical Decision Making in Everyday Work Situations*, Mary Guy writes:[32]

> A general consensus had developed around ten essential values that are central to relations between people (Barry, 1979; Beauchamp and Bowie, 1979; Josephson, 1988; Solomon and Hanson, 1985). Although they overlap to some degree, they provide a means for judging interpersonal choices and behaviors. By evaluating how these values relate to an issue under consideration, and by analyzing who the stakeholders are in the decision, the ethical implications of an action become clearer. …
>
> *Promise keeping* means keeping one's commitments. When promises have been made, they are supported by the fact that the obligation to keep promises is among the most important of generally accepted obligations. To be worthy of trust, promises must be kept and commitments fulfilled. There are many stakeholders in organizational decisions, including employees, clients, shareholders, dealers, suppliers, unions, local communities, competitors, and customers. Promises and agreements to and among stakeholders create expectations of performance and establish obligations.

[31] Email from Jeff Buckwalter to John Kao dated August 29, 2006 [SDA 34 - SDA 36].
[32] Guy, Mary E. (1990). *Ethical Decision Making in Everyday Work Situations*. Greenwood Press, Inc. Westport, Connecticut: pg. 14 - 15. The italics are the author's.

This standard also applies to the Administration's decision to dissolve the DDTP Curriculum Committee shortly after informing me Summer 2006 that, "Dean Turpin has appointed a new dual degree program director and will require him to meet regularly with the advisory committee."

These events support the claim in *Report of Discrimination* that I am politically isolated within the College of Arts and Sciences.

Special Appointments in the College of Arts and Sciences

The following categories of appointments exist within the College of Arts and Sciences:

- dual-appointments,
- full-time professorship with one semester annual teaching duty.

I will refer to the latter as single semester full-time professorship. I will refer to the above two collectively as special appointments.

Of the eight current dual-appointment faculty *none are ethnic minorities and only one is a female*. These are:

Name	Rank	Department(s)
Jean Audigier	Full Professor	Modern and Classical Languages, with Visual Arts
Allan Cruse	Full Professor	Math, with CS
James Finch	Full Professor	Math, with CS
Deneb Karentz	Full Professor	Biology with Environmental Science
Peter Pacheco	Full Professor	Math, with CS
Kim Summerhays	Full Professor	Chemistry, with CS
Robert F. Toia	Full Professor	Chemistry, with Environmental Science
Benjamin Wells	Full Professor	Math, with CS

Faculty may no longer apply for such a position, however, current dual-appointment faculty retain special privileges which contribute to advancement of their careers. I note that dual-appointments were awarded to select faculty without the possibility of others applying (applications were never publicly solicited). *If the University is truly committed to the principle of equal opportunity, it should either eliminate dual-appointment privileges altogether, or alternatively, provide access to such positions to all faculty (including ethnic minorities and women).*

The position of single semester full-time professor is held by only one faculty member:

Name	Rank	Department
John Stillwell	Full Professor	Math

John Stillwell is a White male. *Draft of Capacity and Preparatory Review Self Study* (to WASC) currently under review by the University states:[33]

> The faculty in the College of Arts and Sciences, the School of Business and Management, the School of Education, the School of Nursing, and librarians are represented by the USF Faculty Association which was certified by the National Labor Relations Board in 1975. Part-time faculty members are represented by the USF Part-time Faculty Association, and in the School of Law, faculty members are represented by the Associated Law Professors of the University of San Francisco. Faculty members in the College of Professional Studies are not unionized.

This verifies that all faculty in the College of Arts and Sciences must belong either to the USFFA or the USF Part-time Faculty Association. Part-time faculty members are not permitted to participate in department meetings. Therefore, John Stillwell must be a USFFA member, and is bound by the *CBA*. However, the terms of his position (single semester full-time professor) explicitly violate the USFFA *CBA*. *If the University is committed to the principles of equal opportunity, either the CBA should be altered to permit single semester full-time professor appointments (with all faculty eligible to apply), or alternatively, John Stillwell's employment should be altered to conform to the CBA.*

Nine faculty at USF hold special appointments to which no other faculty member may apply. Of these special appointments, none are ethnic minority, and only one is female. This composition is in stark contrast to the full-time faculty as a whole. According to the *Draft of Capacity and Preparatory Review Self Study* (to WASC):[34]

> In 2006, USF employed approximately 367 full-time and 517 part-time faculty who taught in all six colleges/schools. These numbers represent increases, compared to AY 2001-2002, of 18.4% for full-time faculty and 43.2% for part-time faculty. Data on gender diversity **[6]** show that the proportion of full-time faculty who are women increased from 40.3% in 2001 to 44.7% in 2006.

also,[35]

> An analysis of the composition of our full-time faculty **[18]** shows that there has been an increase in the ethnic/racial diversity of the full-time faculty in the last 16 years with the percentage of whites changing from 87.9% in 1991 to 75.7% in 2006. Among full-time faculty, the number of faculty of color has increased 175% in the last five years, from 28 in 2001 to 77 in 2006,

[33] *Draft of Capacity and Preparatory Review Self Study* (to WASC): pg. 3 [SDA 95 – SDA 103].
[34] Ibid: pg. 35.
[35] Ibid: pg. 37.

> compared to a 37% increase among white non-Hispanic faculty during the same period.

With respect to affirmative action in hiring faculty, it is written[36]

> USF has made significant efforts at gender diversification of the faculty. As reported in the 2006 AAUP report on gender equity, 42.8% of the full-time faculty at USF are women compared to 39.1% for all colleges and universities included in that report. This level of gender diversity among the faculty is the product of concerted efforts to diversify candidate pools on the part of the deans and Provost.

also,[37]

> The University maintains a strong commitment to affirmative action and to providing equal employment opportunities to all qualified applicants, and we consider this commitment an important component of building an excellent faculty and professional staff. We have developed a number of procedures to guarantee a diverse pool of candidates, and our job announcements specifically state that we look for individuals who "demonstrate a commitment to work in a culturally diverse environment and to contribute to the mission of the University. USF is an Equal Opportunity Employer dedicated to affirmative action and to excellence through diversity."

further,[38]

> Recruitment, retention and promotion of diverse faculty and staff are other areas that we identified as needing further analysis during the *Proposal* preparation stage. This interest is rooted in our *Mission* statement where we distinguish USF as a "diverse, socially responsible learning community," and is predicated on our strategic initiatives, which commit the University to "recruit and retain a diverse faculty of outstanding teachers and scholars and a diverse, highly-qualified, service-oriented staff, all committed to advancing the University's mission and its core values."

finally,[39]

> In order to enhance the diversity of our faculty and professional staff, the Provost's Office has asked deans and vice presidents to implement a number of procedures to assure wide dissemination of information on openings and the diversity of candidate pools. These procedures include advertising in minority as well as general publications; direct mailings to

[36] Ibid: pg. 9.
[37] Ibid: pg. 17.
[38] Ibid: pg. 34.
[39] Ibid: pg. 37.

> doctorate-producing institutions and minority sections of professional associations, and appointment of diverse search committees including members from outside the department/program.

One might also consider the student demographics at USF:[40]

> USF has made great strides in the gender diversification of its student body since 1964 when the first women students were admitted to the traditional undergraduate programs. Indeed, the number of women students at USF has increased by 11% over the last 10 years and in fall 2006, 62.1% of all students were women. **[5]** The corresponding figure among traditional-age undergraduates was 65.9%. Compared to other Jesuit universities, USF is 3rd in terms of the proportion of women enrolled as students in AY 2005-2006. Gender parity is increasing in other areas of the University including the gender distribution of student athletes and faculty and staff appointments.

also,[41]

> USF is one of the most ethnically diverse institutions in the country. We are rated 14th in the ethnic diversity of our students among 248 national universities in the 2007 *U.S. News & World Report* and 16th among 361 institutions of higher learning by the 2006 *Princeton Review.* In addition, we are the second most ethnically diverse university among the 28 Jesuit colleges and universities. In fall 2006, 40.9% of our students were ethnic minority or multiethnic. Overall, Asian Americans represent the largest minority group among all USF students (17.6%) and among undergraduates (21.5%).

Currently there are nine special appointment faculty at USF (out of approximately 370 full-time faculty). Six of nine of these appointments (66.7%) are within Math/CS. Five of nine (55.6%) are within Math. *Stanley Nel was responsible for eight of these nine special appointments* (either during his tenure as Dean of Arts and Sciences, or—in the case of two Science dual-appointments—during his tenure as Associate Dean of Sciences).[42] The only diversity statistics for USF faculty that incorporate *race with gender*, published on www.usfca.edu, are from 1996: 163 of 300 full-time faculty were identified as White, non-Hispanic male.[43] One can calculate

$$\textit{Proportion of diverse full-time faculty at USF} \approx 45.67\%.$$

This is in comparison to,

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[40] Ibid: pg. 9.
[41] Ibid: pg. 8.
[42] USF General Catalogs 1989-2007, which can be obtained from the Circulation Desk, Gleeson Library.
[43] *Vision 2005 Proposal* published on www.usfca.edu/plan/plfinal4.doc [SD 136 - SD 141]. More recently published data addresses faculty statistics for gender, and separately faculty statistics for ethnicity, *but not both together*.

Proportion of diverse faculty with special appointments at USF ≈ 11.11%.

I will apply the statistical methods from *Report of Discrimination*, testing for broad discrimination among special appointments (bias in favor of White non-Hispanic males at the expense of Others). Here, the qualified labor pool is taken to be USF full-time faculty (1996 data). The binomial distribution is applied (using *n* the number of special appointment faculty, *k* the number of special appointment faculty with diversity status and *q* the proportion of diverse full-time faculty at USF). I set the null hypothesis to be: current special appointments comprise an unbiased random sample of size nine. I test this against the alternative hypothesis: the special appointment sample is biased in favor of White non-Hispanic males. Here, the *P*-value is given by

$$P \approx B(\, 9,\, 1,\, .4567\,) \approx .0353.$$

Here, $P < .05$ and the evidence for rejecting the null hypothesis is *statistically significant*.

Similarly, one can test for gender discrimination alone (bias in favor of males at the expense of females). Here, the qualified labor pool is taken to be USF full-time faculty (2007 data). I set the null hypothesis to be: current special appointments comprise an unbiased random sample of size nine. I test this against the alternative hypothesis: the special appointment sample is biased in favor of males. Applying the binomial distribution again (using *n* the number of special appointment faculty, *k* the number of female special appointment faculty and *q* the proportion of female full-time faculty at USF) one obtains the *P*-value:

$$P \approx B(\, 9,\, 1,\, .447\,) \approx .0400.$$

Again, $P < .05$ and the evidence for rejecting the null hypothesis is *statistically significant*.

It is of note that among the twelve full-time faculty in Math, five hold special appointments. Hence, 41.7% of Math faculty have special privileges which contribute to their professional advancement. The remainder, including the only two full-time Math faculty members with diversity status (myself and Stephen Yeung) will never enjoy these privileges. *Hence, special appointment faculty members have a persisting comparative advantage over other Math faculty*. For the sixteen years I have been employed at USF, I was not given the opportunity to apply for a special appointment. *My professional achievements at USF have been in spite of this substantial comparative disadvantage*. In their article, "Making Differences Matter: A New Paradigm for Managing Diversity," David A. Thomas and Robin J. Ely write:[44]

[44] Thomas, D. A., Ely, R. J. (2001). "Making Differences Matter: a New Paradigm for Managing Diversity." *Harvard Business Review on Managing Diversity*. Harvard Business School Publishing Corporation. Boston: pg.38. The italics are the author's.

> Using the discrimination-and-fairness paradigm is perhaps thus far the dominant way of understanding diversity. Leaders who look at diversity through this lens usually focus on equal opportunity, fair treatment, recruitment, and compliance with federal Equal Employment Opportunity requirements. The paradigm's underlying logic can be expressed as follows:
>
> *Prejudice has kept members of certain demographic groups out of organizations such as ours. As a matter of fairness and to comply with federal mandates, we need to work toward restructuring the makeup of our organization to let it more closely reflect that of society. We need managerial processes that ensure that all our employees are treated equally and with respect and that some are not given unfair advantage over others*.

Also, consider the following from *Draft of Capacity and Preparatory Review Self Study* (to WASC) currently under review by the University:[45]

> The University maintains a strong commitment to affirmative action and to providing equal employment opportunities to all qualified applicants, and we consider this commitment an important component of building an excellent faculty and professional staff.

USF publicly espouses a policy of equal opportunity, yet the Administration created and continues to maintain special appointments that only a select few (all white and almost exclusively male) were eligible. The opportunity for ethnic minority and female faculty to obtain a special appointment no longer exists.

John Stillwell's Appointment

As described in *Report of Discrimination*, Deans Needham and Nel created a category of faculty appointment (Full Professorship requiring only one semester per year of teaching duty). The terms of this position explicitly violate the USFFA *CBA* (contracts effective 1998 - 2012) which states that faculty must be available for service at the University for the entire academic year. For instance the current *CBA*, Article 19.1.7 *Faculty Availability* states:[46]

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[45] *Draft of Capacity and Preparatory Review Self Study* (to WASC): pg. 17 [SDA 95 – SDA 103] .

[46] *CBA Effective July 1, 2005 - June 30, 2012*: pg. 34 [SDA 83 - SDA 88]. In this regard, also note Article 1. Recognition which reads: "1.1 Except as provided in 1.2 below, the University recognizes the Association as the exclusive collective bargaining representative of all faculty members who teach six hours or more and have the rank of instructor, assistant professor, associate professor and professor and all non-administrative full-time professional librarians; excluding office clerical employees, lecturers, part-time teaching faculty, all administrators with faculty rank, all faculty with part-time administrative duties, and guards and supervisors as defined in the National Labor Relations Act, for the purpose of collective bargaining with respect to wages, hours and conditions of employment. 1.2 This Agreement shall exclude the College of Professional Studies and the School of Law."

> All full-time faculty members must be available for service at the University throughout the academic year. (The academic year begins one week preceding the day on which undergraduate classes begin in the fall semester and ends with Commencement exercises in the Spring semester).

Thereafter, Dean Needham hired a close personal acquaintance (John Stillwell) into this position (2001, first semester teaching as a tenured Professor–Fall 2002). As the position came *with tenure*, this appointment was *permanent* and was not subject to peer review. In violation of USF affirmative action/equal opportunity policy (as reported to the USF Board of Trustees and also the Western Association of Schools and Colleges), no search was conducted. Moreover, no faculty review/consultation *of any kind* took place prior to the announcement that the Deans were going to appoint John Stillwell.[47] His curriculum vitae were not provided to mathematics faculty. His qualifications were not discussed. The propriety of the terms of his special appointment was not discussed. The propriety of an appointment without a search was not discussed. No vote on the matter was taken on the part of the Math department. The announcement of John Stillwell's appointment was followed by the following statement by Dean Nel: "We are going to do this, does anyone have any objections?" This statement was intimidating and strongly suggested that any objection would be pointless. No reply was forthcoming. Throughout the meeting there was not a single comment from faculty members. I note that apart from administrators appointed with concomitant faculty positions, *I know of no other case at USF in which a faculty appointment was made with tenure*.

Prof. Stillwell's appointment involved a substantial financial commitment on the part of USF. As indicated in *Report of Discriminatio*n, he remains employed concurrently at USF and Monash University in Australia. His position at USF automatically advances to the highest salary scale attainable to faculty (Full Professor Step 8 corresponding to an annual salary of $121,571.45, plus benefits).

John Stillwell and his wife have been given special access to a University owned flat on Chabot Street (directly next to USF campus) every year since 2002.[48] I expect that he will be renting this same flat Fall 2007. *If USF truly believes in equal opportunity, either Prof. Stillwell should not be allowed access to this apartment, or all regular faculty should be able to apply to rent this flat.*

Report of Discrimination describes how Prof. Stillwell's appointment violates *CBA* Faculty Workload requirements: [49]

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[47] This announcement occurred at a Math Department meeting October 10, 2000, at which Dean's Needham and Nel were in attendance. Minutes were not taken as mandated by the USFFA; see *Constitution and By-laws Rev. June 2004*: pg. 24 [SDA 117 - SDA 118].

[48] I attended one Math Department social function held at this flat. Interpersonal communication with members of the USF community leads me to the conclusion the same flat was leased by Prof. Stillwell each semester of his residence in SF since Fall 2002. I indicate to the Investigator that documentary evidence to this effect is not available to me. Also, I do not know the specific terms of this rental agreement.

[49] *CBA Effective July 29,1998 - June 30, 2003*: pg. 48 [SD 124]. Also, *CBA Effective March 18, 2002 - June 30, 2007*: pg. 49 [SD 107]. Also, *CBA Effective July 1, 2005 - June 30, 2012*: pg. 41 [SDA 83 - SDA 88].

> The workload of each faculty member, including teaching assignments and other duties, is based on a work week of forty (40) to forty-five (45) hours during the academic year and is, for purposes of determining teaching assignments, calculated on an equivalent of thirty (30) units per academic year. Of the thirty (30) unit work requirement, six (6) units per academic year are allotted for non-teaching duties (such as student program advising, committee work, administrative duties, or other extra-curricular duties) and twenty-four (24) units per academic year are allotted for teaching and research assignments during the academic year. A minimum of nine (9) units per semester will be taught by all full-time faculty unless the faculty member is formally excused from such workload by the Dean.

In spite of this, Prof. Stillwell has conducted eight units of teaching in six consecutive semesters: Fall 2002, Spring 2003, Spring 2004, Fall 2004, Fall 2005 and Fall 2006. He is currently scheduled to teach eight units in Fall 2007. It is now accepted by the Math Department that his appointment entails a reduced teaching load of eight units per semester in violation of *CBA* Article 22.1.[50] *If USF truly believes in equal opportunity, either Prof. Stillwell should comply with the mandated teaching load, or all regular faculty should teach 8 units per semester.*

Diversity of Faculty in Math/CS

As expressed above, I activated the USF Prevention of Sexual and Other Unlawful Harassment Policy (PSOUHP) on January 10, 2006, by submission of a memorandum to Elsie Tamyo, University Affirmative Action Officer, requesting an Intake Meeting for an Informal Complaint as specified by PSOUHP.[51] This memorandum was copied to Jennifer Turpin, Dean of Arts and Sciences, and Brandon Brown, Associate Dean of Sciences—the memorandum described some of the issues I would include in my complaint. I take the delivery of this memorandum to comprise the commencement of my complaint process (Informal together with Formal). As of January 10, regular faculty of Math were:

Name	Rank	Ph.D. Granting Institution
Allan Cruse	Full Professor	Emory University
Stephen Devlin	Assistant Professor	University of Maryland, College Park
James Finch	Full Professor	University of Illinois, Urbana-Champaign
John Kao	Associate Professor	Princeton University

[50] Email from Robert Wolf to Math Department (full-time faculty), dated May 2, 2007 [SDA 24 - SDA 25].
[51] Memo from John Kao to Elsie Tamayo, cc'ed to Jennifer Turpin and Brandon Brown, dated January 10, 2006 [SD 352 - SD 353]. Also, Email from John Kao to Elsie Tamayo, cc'ed to Jennifer Turpin and Brandon Brown, dated January 11 [SD 351].

Tristan Needham	Full Professor	Oxford University, United Kingdom
Stanley Nel	Full Professor	University of Cape Town, Republic of South Africa
Peter Pacheco	Full Professor	Florida State University
John Stillwell	Full Professor	Massachusetts Institute of Technology
Benjamin Wells	Full Professor	University of California, Berkeley
Robert Wolf	Assistant Professor	University of California, Berkeley
Paul Zeitz	Full Professor	University of California, Berkeley

Regular faculty of CS were:

Name	Rank	Ph.D. Granting Institution
Gregory Benson	Associate Professor	University of California, Davis
Jeff Buckwalter	Associate Professor	Carnegie-Mellon University
Christopher Brooks	Assistant Professor	University of Michigan, Ann Arbor
Allan Cruse	Full Professor	Emory University
James Finch	Full Professor	University of Illinois, Champaign Urbana
David Galles	Associate Professor	University of California, Los Angeles
Peter Pacheco	Full Professor	Florida State University
Terence Parr	Assistant Professor	Purdue University
Kim Summerhays	Full Professor	University of California, Davis
Benjamin Wells	Full Professor	University of California, Berkeley
David Wolber	Full Professor	University of California, Davis

Of the above eighteen faculty, only one (myself) had diversity status. Comparison can be made with *other Math/CS departments in the United States*. For this I will use data from the National Science Foundation: Science and Engineering doctorate holders employed in universities and 4-year colleges, by broad occupation, sex, race/ethnicity, and faculty rank in

2001.[52] Since USF regular faculty appointments are exclusively in the ranks of Professor, Associate Professor and Assistant Professor; I will restrict attention to these below.

Mathematical Scientists

	Professor	Associate Professor	Assistant Professor
White Female	370	580	670
White Male	4,560	2,220	1,440
Asian/Pacific Islander Female	150	160	190
Asian/Pacific Islander Male	440	460	340
Black Female	S	S	S
Black Male	190	100	80
Hispanic Female	S	S	S
Hispanic Male	90	60	50
American Indian/Alaskan Native Female	S	S	S
American Indian/Alaskan Native Male	S	S	S

Computer and Information Scientists

	Professor	Associate Professor	Assistant Professor
White Female	80	370	160
White Male	1,710	1,640	770
Asian/Pacific Islander Female	S	S	50
Asian/Pacific Islander Male	290	500	250
Black Female	S	S	S
Black Male	S	70	S
Hispanic Female	S	S	S
Hispanic Male	70	S	S
American Indian/Alaskan Native Female	S	S	S

[52] This data is taken from National Science Foundation, Division of Science Resources Statistics, *Women, Minorities, and Persons with Disabilities in Science and Engineering: 2004*, NSF 04-417 (Arlington, VA, 2004): pg. 247-248 [SD 224 - SD 233]. "S" indicates suppressed due to count of less than 50 weighted cases.

American Indian/Alaskan Native Male	S	S	S

From this one can calculate

Proportion of (gender and race) diverse professors in U.S. ≈ 31.86%

Proportion of ethnic minority professors in U.S. ≈ 19.55%

Proportion of female professors in U.S. ≈ 15.35%.

I will apply the statistical methods from *Report of Discrimination* to test for discrimination *prior to my complaint*. Testing for broad discrimination (bias in favor of White non-Hispanic males at the expense of Others), I set the null hypothesis to be: Math/CS is an unbiased random sample of size eighteen. I test this against the alternative hypothesis: the Math/CS sample is biased in favor of White non-Hispanic males at the expense of Others. Applying the binomial distribution (using n the size of Math/CS, k the number of Math/CS professors with diversity status and q the national proportion of diverse professors) one obtains the P-value:

$$P \approx B(18, 1, .3186) \approx .0094.$$

As $P<.01$, the evidence for rejecting the null hypothesis is *highly statistically significant*.

Testing for gender discrimination (bias in favor of males at the expense of females), I set the null hypothesis to be: Math/CS is an unbiased random sample of size eighteen. I test this against the alternative hypothesis: the Math/CS sample is biased in favor of males at the expense of females. Applying the binomial distribution (using n the size of Math/CS, k the number of Math/CS female professors and q the national proportion of female professors) one obtains the P-value:

$$P \approx B(18, 0, .1535) \approx .0498.$$

As $P < .05$ and one concludes that the evidence for rejecting the null hypothesis is *statistically significant*.

Furthermore, between Spring 1991 (when I was hired) and January 10, 2006, nine consecutive regular faculty appointments in Math/CS were made all of which were White males:[53]

[53] Here I include the dual-appointment for Kim Summerhays, from Professor of Chemistry, to Professor of Chemistry with CS.

Name	Current Rank	Department(s)	Year of Appointment
Paul Zeitz	Full Professor	Math	1992
Kim Summerhays	Full Professor	CS & Chemistry	1993
David Wolber	Full Professor	CS	1993
David Galles	Associate Professor	CS	1997
Gregory Benson	Associate Professor	CS	1998
Christopher Brooks	Assistant Professor	CS	2002
John Stillwell	Full Professor	Math	2002
Terence Parr	Assistant Professor	CS	2003
Stephen Devlin	Assistant Professor	Math	2004

After initiation of my complaint, two regular faculty appointments in Math/CS have been made, both having diversity status:

Name	Current Rank	Department(s)	Year of Appointment
Steven Yeung[54]	Assistant Professor	Math	2006
Sami Rollins[55]	Assistant Professor	CS	2007

Prof. Yeung is an Asian male and Prof. Rollins is a White female.[56] *Prior to my complaint, nine consecutive appointments were White males, whereas after my complaint two consecutive appointments had diversity status.* Unfortunately, there were irregularities in both of these latter appointments.

For the case of Prof. Yeung, in contravention of the published minimum job requirements, he does not have an earned doctorate in mathematics. For the case of Prof. Rollins, in violation of College of Arts and Sciences hiring protocols, a proper search was not conducted.

On May 2, 2007, I discussed the appointment of Prof. Rollins with Peter Pacheco, Full Professor of Math/CS (and Chair of Mathematics).[57] Prof. Pacheco informed me that Prof. Rollins was originally hired in 2006 as a sabbatical replacement (one-year term position). He indicated that the original appointment was made after a national search to fill a *one-year contract*. Since the advertised position was not tenure-track, it *received far fewer applications* than CS normally receives in the case of a regular faculty opening. Her position was converted to a tenure-track appointment without a second search. *College of Arts and Sciences Chronological Procedures for Hiring Probationary and Term Faculty* states: [58]

[54] Earned doctorate in Theoretical and Applied Mathematics from Cornell University.
[55] Earned doctorate in Computer Science from University of California at Santa Barbara.
[56] Email from Claudine Van Delden to College of Arts and Sciences Full-time Faculty, dated April 25, 2007 [SDA 19 - SDA 23].
[57] Interpersonal communication with Peter Pacheco on May 2, 2007.
[58] *College of Arts and Sciences Chronological Procedures for Hiring Probationary and Term Faculty* [SD 334 - SD 340].

Request to Recruit
In early spring the department submits to the appropriate Associate Dean the request for a full-time faculty position for the following academic year. The request should be accompanied by the following:

- An explanation of why the position is needed: in the case of a replacement position this can be quite brief, but in the case of a new position it should be detailed. Initially this is used to set priorities within the Dean's Office, and ultimately it is presented to the AVP.

- A brief *Position Description*, which can later be incorporated into the job advertisement. This normally includes the following elements:

  Teaching Responsibilities, perhaps including examples of likely courses to be taught.

  Qualifications:

  - ✓ A description of the disciplinary specialization(s) sought.

  - ✓ An indication of any requirements implied by special programs or activities in which the candidate is expected to participate.

  - ✓ The level of educational experience required. Note that except under extraordinary circumstances, all positions are filled at the Assistant Professor level and require a Ph.D. or other terminal degree.

Further, [59]

Job Advertisement
The Department Chair and the appropriate Associate Dean collaborate on the creation of a job advertisement based on the position description. The Dean's Office then places the advertisement both in journals specific to the field, and in publications likely to encourage minority applicants. In addition, the department is strongly encouraged to mail or e-mail copies of the advertisement to other universities that grant a Ph.D. in the discipline. The appropriate Associate Dean can assist in identifying target programs and organizations, and in acquiring mailing labels.

A position description for a one-year term appointment is quite different from that of a tenure-track appointment—a second search should have been conducted. This is what occurred in the case of Terence Parr, Assistant Professor of CS. He was originally appointed to fill a three-year term contract. When that contract expired in 2006, a national search for a

[59] Ibid.

tenure-track position was conducted. This search resulted in Prof. Parr's current tenure-track appointment.

Adherence to established Search Procedures is critical for the effective implementation of affirmative action. In their article, "Making Differences Matter: A New Paradigm for Managing Diversity," David A. Thomas and Robin J. Ely write:[60]

> What are some of the common characteristics of companies that have used the discrimination-and-fairness paradigm successfully to increase their demographic diversity? Our research indicates that they are usually run by leaders who value due process and equal treatment of all employees …

Even though the last appointment for Math/CS resulted in the hire of a female, the lack of a search precluded the possibility of hiring an ethnic minority female. An appointment of an ethnic minority female would have helped in bringing the extraordinarily poor demographics of USF Math/CS closer to the U.S. national standard (as reflected by the mean). This would have been possible if the Administration had adhered to *its own due process* in hiring.

I will apply the notation below for the statistics of comparative departments (Math/CS) in the U.S.:

P_D = *proportion of (gender and race) diverse professors in U.S.* ≈ 31.86%

P_E = *proportion of ethnic minority professors in U.S.* ≈ 19.55%

P_F = *proportion of female professors in U.S.* ≈ 15.35%

n = *current number of regular Math/CS faculty at USF* = 20

μ = *current number of regular ethnic minority Math/CS faculty at USF* = 2

ν = *current number of regular female Math/CS faculty at USF* = 1.

How many additional regular faculty appointments are required to meet the national U.S. standards of broad—ethnic or gender—diversity (as represented by the mean proportion of diverse faculty)? Let

x = *number of new faculty required (approximate).*

To determine x, one solves the equation below

[60] Thomas, D. A., Ely, R. J. (2001). "Making Differences Matter: a New Paradigm for Managing Diversity." *Harvard Business Review on Managing Diversity*. Harvard Business School Publishing Corporation. Boston: pg.39.

$$\frac{x+\mu+\nu}{x+n} = p_D$$

whence

$$x+\mu+\nu = p_D(x+n) = p_D x + p_D n$$

and

$$x(1-p_D) = p_D n - \mu - \nu$$

thus

$$x = \frac{p_D n - \mu - \nu}{1-p_D} \approx \frac{(.3186)(20)-2-1}{1-.3186} \approx 4.949.$$

As of present, five additional regular appointments in Math/CS, *all having diversity status*, must be made to meet national standards for general diversity. This is confirmed by the computation

$$\begin{aligned}\frac{\mu+\nu+5}{n+5} &= \frac{8}{25} \\ &= 0.3200 \\ &> 0.3186 = P_D .\end{aligned}$$

However, at *least one of these five additional appointments must be a ethnic minority female* in order to meet national standards for gender and race concurrently (as contrasted with broad diversity). By this, I mean the following standard.

Proportion of ethnic minority faculty in Math/CS $>$ P_E

Proportion of female faculty in Math/CS $>$ P_F.

To demonstrate my claim, let

α = *number of additional ethnic minority faculty in Math/CS*

β = *number of additional female faculty in Math/CS.*

Assume that there are no ethnic minority females in Math/CS. Then the combinatorial table below applies in the case of five additional faculty.

α	β	Proportion of Ethnic Minority Faculty in Math/CS	Proportion of Female Faculty in Math/CS
0	5	0.0800	0.2400
1	4	0.1200	0.2000
2	3	0.1600	0.1600
3	2	0.2000	0.1200
4	1	0.2400	0.0800
5	0	0.2800	0.0400

Inspection of the above shows that national standards cannot be met with five additional faculty. In fact, one might consider the cases of six or seven additional regular faculty.

Six Additional Faculty

α	β	Proportion of Ethnic Minority Faculty in Math/CS	Proportion of Female Faculty in Math/CS
0	6	0.0769	0.2692
1	5	0.1154	0.2308
2	4	0.1538	0.1923
3	3	0.1923	0.1538
4	2	0.2308	0.1154
5	1	0.2692	0.0769
6	0	0.3077	0.0385

Seven Additional Faculty

α	β	Proportion of Ethnic Minority Faculty in Math/CS	Proportion of Female Faculty in Math/CS
0	7	0.0741	0.2693
1	6	0.1111	0.2593
2	5	0.1481	0.2222
3	4	0.1852	0.1852
4	3	0.2222	0.1481
5	2	0.2593	0.1111
6	1	0.2963	0.0741
7	0	0.3333	0.0370

Neither six nor seven additional faculty suffices to meet national standards. One observes that unless a ethnic minority female can be appointed, eight additional faculty all having diversity status are required. In particular,

$\alpha = 4, \quad \beta = 4$

$$\textit{Proportion of Ethnic Minority Faculty in Math/CS} \approx 0.2143 > P_E$$

$$\textit{Proportion of Female Faculty in Math/CS} \approx 0.1786 > P_F .$$

Since USF claims to be an Affirmative Action Equal Opportunity Employer and emphasizes in its advertising, the diversity of faculty, staff and students; it is of special importance the University adhere to *its own policies and protocols* as applied to hiring.[61]

Finally, I note that currently the CS Department has no tenure/tenure-track ethnic minority faculty, which is highly unusual at USF. The Math Department has no tenure/tenure-track female faculty—it is the only department at USF having not a single female with the rank of Assistant Professor or higher.[62]

Forced Leave of Absence Spring 2002

Events that took place Fall 2006, in the context of the Formal Complaint negotiations, revealed to me USF protocols for employee leaves of absence. This information provides definitive evidence that Spring 2002, I was forced to take leave of absence without pay in violation of the Americans with Disabilities Act and/or the Family and Medical Leave Act. Ironically, the circumstances in 2002 were very similar to those in 2006. Spring 2002:

- my elderly mother was suffering from health problems (later diagnosed as severe depression and anxiety);
- I was under considerable stress providing for her care;
- I felt depressed and was prescribed an antidepressant medication;
- I had a severe adverse reaction to this medication that required a three week recuperation period;
- after three weeks, having ceased the medication, I had recovered and was fully able to work.

Fall 2006:

- my elderly mother underwent major surgery;
- I was under considerable stress providing for her preoperative and postoperative care;
- I was under considerable stress due to Formal Complaint negotiations;
- I felt depressed, and though I was reluctant to take any antidepressant medication, I chose to try a medication rather than compromise my mother's care;
- I had a severe adverse reaction to this medication (rare and potentially fatal) that required a two week recuperation period;
- after two weeks, having ceased the medication, I had recovered and was fully able to work.

[61] *USF News* articles: "Faculty Diversity, Mission Highlighted in Convocation Address," "USF Among Top 20 in Diversity," and "USF Outpaces National Average in Gender Equity" [SDA 89 - SDA 94].
[62] At USF, tenure/tenure track appointments are always ranked Assistant Professor or higher.

The medical facts above can be verified by my physician, Dr. Lenore Terr, who is a colleague of the physician I had in 2002, Dr. Frederick Parris. Both doctors are clinical faculty members at the University of California, San Francisco.[63] Spring 2002, I submitted to USF (Dean's Office of Arts and Sciences) a letter from Dr. Parris covering January 22 - February 7. Fall 2006, I submitted to USF (Office of Human Resources) a letter from Dr. Terr covering October 13 - October 24.

Differences between Spring 2002 and Fall 2006 include the following. Spring 2002, I was not aware of Paid Family Leave (PFL)—which provides for paid leave for elder care. Although I informed USF of my mother's illness, no one apprised me of a PFL policy. It is possible, that none existed at that time. Fall 2006, I applied for and was granted PFL for my mother's care. Initially this leave covered September 13 - September 27; however, Dean Turpin granted me a PFL extension covering September 28 - October 2.[64] Spring 2002, the Office of Human Resources *did not contact me at all*. Fall 2006, the Dean's Office of Arts and Sciences notified the Office of Human Resources in regards to both my PFL in September and my illness in October. *On both occasions*, I received a letter from Sharon Hom, Benefits Specialist, Human Resources, Business & Finance, which was sent to my home. With regards to PFL, the correspondence contained[65]

- instructions for filing a PFL Claim with Sedgwick CMS (1 page),
- PFL Claim forms (5 pages),
- statement of USF Family Care and Medical Leave Policy (3 pages),
- a USF Family and Medical Leave Certification form required by the Office of Human Resources (5 pages).

Similarly, with regards to my October illness, the correspondence contained[66]

- instructions for filing a Disability Claim with Sedgwick CMS (1 page),
- Disability Claim forms (3 pages),
- statement of USF Family Care and Medical Leave Policy (3 pages),
- a USF Family and Medical Leave Certification form required by the Office of Human Resources (5 pages).

The latter was provided in case I needed to file a Disability Claim. It is difficult to believe that USF protocols changed so dramatically that

- Spring 2002, communications between myself and Human Resources were completely unnecessary;
- Fall 2006, it was protocol for Human Resources to send a correspondence with 12 pages of forms and policy statements in response to my illness.

[63] Dr. Terr has since informed me that I have an extreme adverse sensitivity to antidepressant medications.
[64] Email from John Kao to Jennifer Turpin, dated October 1, 2006 [SDA 115 - SDA 116].
[65] First correspondence from Sharon Hom to John Kao [SDA 53 - SDA 67].
[66] Second correspondence from Sharon Hom to John Kao [SDA 68 - SDA 81].

My conclusion is that Spring 2002, *Human Resources was not apprised of my absence until April 18*. On that date, Dean Nel gave me a retroactive special leave of absence for the semester. I had received ordinary paychecks January 22 - April 18. *I was given no warning whatsoever that my salary would be retroactively withdrawn.* By the USFFA *CBA*, a special leave of absence is unpaid—with no exceptions. Having received this leave April 18, I was legally obligated to return my salary for January 22 - April 18. (Likewise, I did not receive the remaining salary for Spring 2002.) *To unexpectedly lose half a year's pay was an extreme financial hardship*.

Furthermore, with regards to PFL Fall 2006, on September 14, I received email from Diane Sweeney, Manager, Benefit, Compensation & Risk, Human Resources, that stated[67]

> Your message has been forwarded to me for response. For the care of your mom you can take Family Medical Leave Act (up to 12 weeks). You can be paid using the Paid Family Leave benefit- PFL (up to 6 weeks). Paid Family Leave will pay you 55% of your weekly earnings up to a maximum of $840/week after a waiting period of seven calendar days.
>
> In your case, if you took PFL beginning September 19, your waiting period would be from 9/19 - 9/25. Since you are caring for a family member you are allowed to use up to 6 days of sick time which can be applied to the waiting period. During that period your [sic] would receive 100% pay from USF. Beginning 9/26 through your anticipated return of 9/29 PFL would pay you 55% of your salary up to the maximum of $840/wk. USF would not pay you.

Further telephone communications took place between me and representatives of Sedgwick CMS. Also, Sedgwick CMS contacted USF Human Resources to coordinate my benefit payments. My pay stubs Fall 2006 reflect that USF paid me full salary for the period September 13 - September 25, and also for the extension period September 28 - October 2. In addition, Sedgwick CMS paid me benefits in the amount of $218.72 (covering September 26 - September 27). Altogether, for my PFL in September, I received from USF full salary for twelve working days of "sick time," and Sedgwick CMS claim pay at 55% salary for two working days.[68]

Furthermore, during Fall 2006, as noted in the Summary of Events in Sequel to Submission of Formal Complaint, for my illness in October, I was paid only by USF. This amounted to full salary for eight working days of sick time.

In total, Fall 2006 I received from USF full salary for twenty working days of sick time. For my illness I was required to submit a letter from my physician and nothing more.[69] It is clear that Spring 2002, I was entitled to at least eleven working days of sick time (the letter from Dr. Parris which I submitted to USF covered January 22 - February 7). However, I did not receive any sick time salary Spring 2002. I would not have qualified for Long Term

[67] Email from Diane Sweeney to John Kao dated September 14, 2006 [SDA 41 - SDA 44].
[68] Check from Sedgwick CMS [SDA 82].
[69] Telephone communication between Martha Peugh-Wade and John Kao on November 16, 2006.

Disability because from April 18 to the end of the semester I was perfectly healthy (as verified by the letter from Dr. Parris).[70]

The above evidence strongly supports the following: Spring 2002, Associate Dean Needham violated USF Human Resources protocols as applied to my illness. This itself would be discriminatory. In turn, the evidence supports my claim that Spring 2002, in violation of the American with Disabilities Act and/or the Family and Medical Leave Act, Dean Needham forced me to take a leave of absence without pay.

Notes on *Report of Discrimination*

The following notes append my original report. Documents that are curiously not found in my personnel file include

- my letters of tenure and promotion to Associate Professor described in footnote 7 (page 6) of *Report of Discrimination*.

The remarks by members of the Search Committee found in quotations on page 101 of *Report of Discrimination* were made during the Second Meeting of the Department and the Search Committee.

[70] Letter from Frederick Parris to Stanley Nel, dated January 31, 2002 [SD 60].

UNIVERSITY OF SAN FRANCISCO
PREVENTION OF SEXUAL & OTHER UNLAWFUL HARASSMENT POLICY
Effective February 7, 2006

A. POLICY STATEMENT

The University of San Francisco ("University") is committed to a workplace and educational environment that is free of sexual and other unlawful harassment. Sexual harassment is unlawful under Title IX of the 1972 Education Amendments, Title VII of the Civil Rights Act of 1964, and the California Fair Employment and Housing Act. As a matter of University policy, sexual or other unlawful harassment occurring in the course of any University activity is prohibited. This policy provides complaint procedures to assist the University in its efforts to implement this policy.

Harassment on the basis of race, religious creed, color, national origin, ancestry, disability, marital status, medical condition (cancer-related or genetic-related), sexual orientation, sex, age, or any other protected status under federal, state or local law, ordinance or regulation applicable to the University, is a violation of this policy

Any such harassment of any individual in the course of any University-administered program, job or activity is prohibited and shall not be tolerated. The University shall take prompt and effective corrective action to address unlawful harassment, including, where appropriate, dismissal or expulsion. The policy explicitly applies to University students, faculty, staff, administrators, independent contractors and all other individuals engaged in University activities. Individuals who know of harassment, or believe that they have been harassed, in violation of this policy have access to the complaint procedures described below and are encouraged to utilize these complaint procedures.

B. STATEMENT OF PROHIBITED CONDUCT

1. Sexual Harassment Violates State and Federal Law:

Conduct in violation of this policy occurs when an individual's behavior involves (1) unwelcome sexual advances; (2) unwelcome requests for sexual favors; (3) other unwelcome verbal, physical, or visual behavior of a sexual nature; or (4) harassment or discrimination based on gender. Such conduct is a violation of this policy and of law when:

- Submission to such behavior is made explicitly or implicitly a term or condition of an individual's education or employment; or
- Submission to, or rejection of, such behavior by an individual is used as a basis for educational or employment decisions; or

SDA 1

- Such behavior otherwise has the purpose or effect of unreasonably interfering with, or otherwise creating an intimidating, hostile, or offensive educational or employment environment.

Title VII and Title IX of the Civil Rights Act of 1964; 29 CFR §1604.11(a)

2. **Prohibited Behavior:**

Harassing behavior may take a variety of forms including, but not limited to, the following:

- Verbal conduct such as epithets, derogatory comments, slurs, or unwelcome sexual advances, invitations, or comments;
- Visual conduct such as derogatory posters, photography, cartoons, drawings, or gestures;
- Physical conduct such as unwanted touching, blocking normal movement, or interfering with work;
- Threats and demands, such as those which seek submission to sexual requests, in order to retain employment or education benefits and/or offers of job or education benefits or conditions in return for sexual favors;
- Retaliation, in the form of adverse employment or educational actions, opposing, reporting or threatening to report harassment or for participating in a good faith investigation proceedings or hearings related to this policy;
- Harassing behavior includes conduct directed towards persons of the same or opposite sex.

3. **Retaliation is Prohibited:**

An individual's good-faith filing of or pursuing a complaint under this policy or otherwise reporting, complaining, assisting or cooperating in good faith with a complaint of harassment shall not be the basis for any adverse University decision regarding the student, employment or other status of any student, faculty member, staff member, administrator, independent contractor or other individual engaged in University activities. Such retaliation is forbidden by this policy.

C. <u>PROCEDURES FOR HARASSMENT COMPLAINTS</u>

The University encourages students, faculty, staff, administrators, independent contractors and all other individuals engaged in University activities who know of harassment, or believe that they have been harassed in violation of this policy to utilize the complaint procedures described below. A complaint should be filed promptly if an instance of harassment has occurred or is expected to occur. Unless good cause exists, complaints must be filed no later than one year after the harassment occurs.

The complaint procedure is as follows:

1. **Reporting Harassment:**

Students, faculty, staff, administrators, independent contractors and all other individuals engaged in University activities are encouraged to report any conduct of which they have direct knowledge and which they in good faith believe constitutes harassment in violation of this policy. Managers have a legal duty to report any conduct of which they have direct knowledge, and which they in good faith believe constitutes harassment in violation of this policy.

2. **Intake Procedure:**

(a) Students, faculty, staff, administrators, independent contractors and all other individuals engaged in University activities who have a harassment complaint are encouraged to contact a University intake officer as soon as possible after the act of harassment has occurred. Delay in initiating a complaint impedes the University's ability to remedy unlawful harassment.

(b) The individual making the complaint ("complainant") may contact one of the following intake offices, each of which has a designated and trained University member to receive such complaints and to initiate actions under this procedure:

- Dean of Students; University Center, Room 405; Felicia Lee, Dean of Students, 415-422-6251. **For faculty and staff only.**

- University Life; University Center, Room 405; Ray Quirolgico, Assistant to the Vice President, 415-422-6251.

- Learning Center; Cowell Hall, Room 227; Charlene Lobo Soriano, Director, 415-422-6841.

- Human Resources; Lone Mountain, Room 339; Elsie Tamayo, University Affirmative Action Officer, 415-422-6707.

Should a complainant choose not to file a complaint using one of the intake options set forth above, she/he may bring the matter to the attention of any appropriate administrator or designee. University officials are empowered and required to address harassing behavior promptly and thoroughly. A complainant may always directly contact her/his department head or supervisor, or the University's Affirmative Action Officer. If the harassing behavior involves the department head or supervisor, a complainant may contact the next level supervisor. As soon as the complainant

contacts the department head or supervisor directly, the department head or supervisor shall immediately notify the University's Affirmative Action Officer.

(c) During intake, complainants shall be informed of both the informal and formal complaint procedure options.

3. **Informal Complaint Procedure:**

- The complainant may initially meet with the appropriate Dean, department head or supervisor, or if the complainant is a student complaining of conduct that is not within an employment context, with the Vice President for University Life. The Vice President shall immediately notify the University Affirmative Action Officer; or
- The complainant may initially meet with the person whose conduct is complained of ("accused"), with the intake officer present to assist in the discussion; or
- The complainant may request that the intake officer initially meet with the accused

Informal options may always be pursued as a first step. The intake officer and/or Affirmative Action Officer shall be available to meet with the individuals involved jointly or separately, and seek to find a resolution that is acceptable, provided the University concludes that such resolution is likely to provide prompt and effective corrective action. Any such proposed resolution at the informal complaint stage must be presented to the Affirmative Action Officer for review. All efforts to resolve complaints informally should be made promptly and within 30 working days of receipt of the complaint.

If an acceptable resolution is not reached, or is not likely to be reached, within 30 working days or otherwise in a manner necessary to promptly and effectively correct harassment, the complainant or the Affirmative Action Officer may determine to resolve the matter through the formal complaint procedure, or the University may take immediate action it deems necessary to ensure prompt and effective corrective action.

4. **Formal Complaint Procedure:**

At the time of intake or thereafter, the complainant may file a written complaint with the Office of the Associate Vice President for Human Resources ("AVP"). The AVP shall promptly provide written notice of the complaint to the applicable Dean, department head and/or supervisor, and the applicable Vice President for the accused. A copy of such written notice shall also be provided to the accused.

The complainant should ordinarily include details of the incident(s), the name(s) of the person(s) alleged to have engaged in the conduct complained of, the names of any witnesses, and all relevant documents.

- **Investigation**

All complaints shall be investigated by the Affirmative Action Officer, other trained University personnel and/or a retained independent investigator. The investigator shall expeditiously investigate the matter in accordance with all applicable state and federal law. The investigator shall interview the complainant, the accused and such other students, faculty, staff, administrators, independent contractors and all other individuals engaged in University activities as necessary to conduct a full and fair investigation. The investigator shall then prepare a written report to the AVP. Where the University has previously reviewed the conduct at issue in another forum, the AVP may elect to consider the prior review before, in conjunction with, or in lieu of a separate investigation under this policy

The written report of investigation shall summarize information relevant to a determination of whether a violation of this policy occurred and/or what, if any, corrective action should be taken by the University. The AVP shall promptly transmit the report to the appropriate University officer, with any recommendations. If the complaint concerned behavior by or affecting student or behavior between or among students, the report shall be forwarded to the Vice President for University Life. The written report of investigation shall be confidential.

- **Confidentiality**

Every reasonable effort shall be made to protect the privacy of the complainant, the accused, and witnesses in the investigation and resolution process, subject to the need to conduct a full and impartial investigation, remedy violations, monitor compliance and administer this policy

- **Determination**

The appropriate University officer, in consultation with the AVP shall promptly make a determination of the complaint. The determination shall be communicated to the complainant, the accused, and the applicable Vice President for the accused.

5. **Independent Action by University:**

To assist the University to determine whether a violation of this policy has occurred and/or to determine what, if any, corrective action should be taken, the AVP or his designee may initiate an investigation with or without a formal complaint being filed.

6. **Corrective Action:**

Corrective action may include disciplinary action toward the person(s) whose conduct is found to violate this policy. Disciplinary action may include, but is not limited to warning, suspension, or termination from employment, the University's residential facilities, or other affiliation with the University. Disciplinary action, including expulsion, and/or any other corrective action shall be implemented in a manner consistent with other University policies and procedures and applicable University collective bargaining agreements.

Other forms of corrective action may be taken to the extent necessary to correct or prevent violations of this policy.

7. **Appeal Procedure:**

A person whose conduct is found to violate this policy may appeal a University determination of discipline of the complaint under the applicable student handbook, collective bargaining agreement, or employee handbook.

D. RESOURCES

Within the University

The Affirmative Action Officer is Elsie Tamayo, 415-422-6707, Campion Hall, Room C-7. Contact the Affirmative Action Officer if you have questions or would like more information about this policy.

Outside the University

Members of the University may file a timely harassment complaint with the federal Equal Employment Opportunity Commission (EEOC), the federal Office of Civil Rights (OCR), and/or the California Department of Fair Employment and Housing (DFEH) at the addresses and phone numbers listed below:

EEOC: 901 Market Street, Suite 50
San Francisco, CA 94103
415-356-5100

OCR: 50 United Nations Plaza, Room 239
San Francisco, CA 94102
1-800-514-0301

DFEH: 455 Golden Gate Avenue, Suite 760
San Francisco, CA 94102-7008

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1-800-884-1684

SDA 7

From Tristan Needham <needham@usfca.edu>
Sent Wednesday, November 9, 2005 10:32 am
To MATH DEPT: ;
Cc
Bcc
Subject [DRAFT] Note of thanks to Brandon

Hi

Here is a DRAFT note of thanks to Brandon. Please can you let me know if you are OK with this wording, or else send me a suggestion for improving it. Rather having Peter send it on behalf of the Department, I think it would mean more to Brandon we all signed it. Therefore, once it's finalized I will print it out on Department letterhead and leave it with Christine for all of us to sign.

Thanks,
Tristan

****

Dear Brandon,

We are writing to offer you our thanks. When you attended our Department Meeting on October 11th, you witnessed understandable unhappiness over the mishandling of the Dual Degree Waiver Proposal by Dave Galles' office. In hindsight, we are concerned that this may have overshadowed our response to your announcement at that same meeting that we would shortly be gaining additional and better space for our Department.

As a result of your and Jenny's efforts, three members of our faculty will shortly be moving from "small, unprofessional, windowless cubicles"---the phrase used by the external Departmental Review team more than a decade ago---into much more appropriate offices that look onto Harney Plaza. We do understand how fiercely contended are the rights to every square foot of this campus, and (without knowing any of the details) it's clear that you must have fought hard to secure the former ITS offices for us. This is the first really significant improvement in our Department's facilities in perhaps 30 years, and we want you to know how very much we appreciate both the space itself, and the determination you demonstrated in securing it for us

Sincerely,

SDA 8

From Tristan Needham <needham@usfca.edu>
Sent Thursday, November 10, 2005 10:12 am
To MATH DEPT: ;
Cc
Bcc
Subject [REVISED DRAFT] Note of thanks to Brandon

Hi

Allan sent me two characteristically thoughtful suggestions for changes [appended] and I have made two changes in response:

1) I think the Dual Degree issue should be included, but in response to Allan's concern I have replaced "mishandled" (which is probably the right word, but may be too strong) with "faulty preparation," which is softer, at least to my ear.

2) I replaced "30 years" with "many years."

Please do let me know if this is OK with you all. Ideally, I would like to print it out and leave it with Christine today so that people can start signing it.

So far, Allan, Bob, and John Stillwell have all said they are happy with it, and nobody has said they are unhappy with it.

Thanks,
Tristan

****
REVISED NOTE:

Dear Brandon,

We are writing to offer you our thanks. When you attended our Department Meeting on October 11th, you witnessed understandable unhappiness over the faulty preparation of the Dual Degree Waiver Proposal by Dave Galles' office. In hindsight, we are concerned that this may have overshadowed our response to your announcement at that same meeting that we would shortly be gaining additional and better space for our Department.

As a result of your and Jenny's efforts, three members of our faculty will shortly be moving from "small, unprofessional, windowless cubicles"---the phrase used by the external Departmental Review team more than a decade ago---into much more appropriate offices that look onto Harney Plaza. We do understand how fiercely contended are the rights to every square foot of this campus, and (without knowing any of the details) it's clear that you must have fought hard to secure the former ITS offices for us. This is the first really significant improvement in our Department's facilities in many years, and we want you to know how very much we appreciate both the space itself, and the determination you demonstrated in securing it for us.

SDA 9

Sincerely,

****

>Date: Wed, 09 Nov 2005 11:55:29 -0800 (PST)
>From: cruse@cs.usfca.edu (Allan B. Cruse)
>Subject: Re: [DRAFT] Note of thanks to Brandon
>To: cruse@cs.usfca.edu, needham@usfca.edu
>Delivered-to: needham@usfca.edu
>Original-recipient: rfc822;needham@sage.usfca.edu
>
>
>Hi Tristan.
>
>Thanks for copying me on your initial draft of the
>letter to Brandon Brown from our department. I DO
>concur with your instincts that a tangible indication
>of our gratitude for Brandon s efforts is warranted
>and I think your proposed letter is excellent.
>
>I raise two very small points by way of feedback (which
>I gather is what you are seeking), though I'd be happy
>to sign this draft exactly as it is.
>
>(1) Do we need to bring up the 'mishandling' of the
>Dual Degree matter? Maybe we do, but it seems to
>set a negative tone in our letter's initial paragraph,
>which is contrary, I think, to our letter's overall
>intent. (A "mixed message" could leave Brandon confused
>as to what our actual agenda is here.)
>
>(2) In the final paragraph I suggest saying 'many years'
>instead of '30 years' because there WAS one significant
>improvement to the Math Department's space arrangements
>that was made by Stanley Nel (before you were hired) as
>soon as he became Dean. Our tiny windowless Department
>Office (for mail and a part-time secretary's desk) was
>replaced by the HRN-208 room (with windows and carpet)
>and with a full-time secretary, plus our own photocopy
>machine! It was accomplished by Stanley's ingenuity in
>"negotiating" a space-swap with ITS: a faculty office
>(HRN-219) was given up for the larger area carved out
>of the ITS allocation. This was roughly 20 years ago,
>and at the time was regarded as a VERY significant
>improvement for the Math Department -- although I doubt
>anyone currently in the Dean's Office would remember it
>(but Stanley would!). :-)
>
>Again, thanks for devoting time to thinking about this
>and for circulating this draft.
>
>Allan

SDA 10

SDA 11

From Tristan Needham <needham@usfca.edu>
Sent Thursday, November 10, 2005 4:54 pm
To MATH DEPT; ;
Cc liuc@usfca.edu
Bcc
Subject Christine has Brandon s letter

Hi

The revised thank you note to Brandon has been printed out on letterhead and Christine has it. Please do stop by and sign it whenever you have a minute.

Thanks!

Tristan

SDA 12

From) > Brandon R Brown <brownb@usfca.edu>
Sent Sunday, December 11, 2005 3:34 pm
To kao@usfca.edu
Cc
Bcc
Subject follow up note

Hi John,

I did get a chance to follow up with Galles on the issue of waiver timing
and the students who just matriculated in Fall 2005. David is taking advice on this issue from Fr. Jeff La Belle in SOE. As I understand it, Fr.
La Belle's reading of state and federal guidelines leads him to believe that
our students must have started by June or July of 2005 to actually enjoy
the existing math waiver. This stems in part from details of congressional
legislation SF2042, (I copied this from a phone conversation, so mea culpa
if I have mistaken that designation), affiliated with "no child left behind."

I mean only to share information on this issue, as I really do understand
your concerns.

The most important issue for me involves the future. If I receive a clear
consensus signal from the Mathematics Department that they would like to
resubmit a waiver application (a proper one, with appropriate departmental
involvement) I will advocate that possibility with David Galles or his successor.

All best wishes for the holiday season,

Brandon

Brandon R. Brown
Associate Dean for Sciences
University of San Francisco
(415) 422-6616
FAX: (415) 422-5700

SDA 13

From Brandon Brown <brownb@usfca.edu>
Sent Friday, February 10, 2006 7:31 am
To ')'>"John S. Kao" <kao@usfca.edu> cruse@cs.usfca.edu
Cc peter@cs.usfca.edu zeitz@usfca.edu needham@usfca.edu
Bcc
Subject Re: Dual-Degree again?

Hi everyone,

Thanks so much for keeping me in this loop. I m glad to see the discussion, and I'm glad you can take it up again as a department in March. I will weigh in before then or if scheduling permits, I will attend if you like.

At this point, I share some of Allan s worries, and I worry about aiming at a moving target that could disappear entirely (as the multiple subject waiver did). However, I am not with the students day to day and I really want to obtain the department's view, as I've said before.

By the way, in the future please do not take a lack of a reply from me as either disagreeing or agreeing with any particular point. A lack of a reply will commonly mean I simply have many competing priorities.

Best wishes,
Brandon

>
> Dear Allan,
>
> Thank you for your message in sequel to our conversation
> about the DDTP Subject Matter Preparation Proposal (Math
> Waiver). I believe careful discussion of this matter
> in our department is warranted. I originally planned
> to present at our February department meeting. However,
> I understand from Peter Pacheco that the primary topic
> of discussion will be this year's search. Consequently,
> there may not be time to discuss DDTP and I plan to
> defer to our March meeting.
>
> At this point, I would like to communicate that
>
> - myself, Paul Zeitz and Tristan Needham
>
> the three members of the Mathematics Department that
> have been most heavily involved with the DDTP Program,
> all
>
> - strongly support USF taking advantage of the
> existence of the 'grace period" within which
> a Math Waiver Proposal might be resubmitted
> to avoid interruption in our currently
> approved Single Subject Program.
>
> To avoid any miscommunication, I am copying both Paul
> and Tristan on this email.

SDA 14

>
> (Paul and Tristan) please reply if I misinterpreted
> our conversations of these past two days.
>
> I will also forward to all recipients of this message,
> the email I received from David Galles confirming the
> "grace period" above.
>
> (Brandon) please reply if the Dean's Office has any
> correction to this.
>
> Thank you for your taking time to consider the Waiver
> issue.
>
> Sincerely.
>
> John Kao
> Associate Professor
> Mathematics
>
>
> ---------- Original Message -----
> From: cruse@cs.usfca.edu (Allan B. Cruse)
> Date: Wednesday, February 8, 2006 11:18 am
> Subject: Dual-Degree again?
>>
>>
>>
>>
>> Hi, John
>>
>> I was pleased by the department's decision last year
>> to forego our Dual-Degree waiver program involvement
>> in view of the arguments that were presented during
>> the discussions (attended by Dean Brandon Brown):
>>
>> 1) The program requires considerable administrative
>> support-services;
>>
>> 2) Only a relatively small number of USF math students
>> have seemed interested in enrolling for it;
>>
>> 3) Their primary incentive was to avoid taking one of
>> the California State math teacher competency exams;
>>
>> 4) Our math majors would not be precluded from careers
>> in teaching in the California schools if they just
>> pass the State's certification exams;
>>
>> 5) Our efforts to meet the State's extensive guidelines
>> are not only time-consuming, but also have the effect
>> of interfering with some of our own curricular goals
>> in order to incorporate material appropriate to the
>> secondary-school curriculum;
>>

SDA 15

>> 6) Our involvement in the program commits us to abide
>> by a contractually agreed syllabus, foreclosing our
>> ability to freely innovate;
>>
>> 7) Our committment to offer the agreed upon set of Dual-
>> Degree courses interferes with our ability to offer
>> courses on other subjects that are more appropriate
>> to a university-level math program, due to limits on
>> our number of faculty and on minimum class-sizes;
>>
>> At the same time, there did not seem to be a compelling
>> argument in favor of our Dual-Degree involvement, other
>> than a vague notion that it would be good if California
>> schools had a larger cadre of well-trained mathematics
>> instructors, and it would be a noble undertaking if we
>> at USF could help make that happen. Of course, nothing
>> stops our math graduates from pursuing teacher-careers
>> except the aforementioned State competency tests, and
>> it seemed likely during our conversations that our math
>> graduates could pass those tests anyway.
>>
>> I recite these considerations in order to explain why
>> the suggestion yesterday of reviving our Dual-Degree
>> effort (to obtain the State's certification and exam-
>> waiver) was not something I felt much inclined to favor.
>>
>> However, in case you and others feel differently, I
>> thought you might like to know what these arguments
>> against it are, to speed up the future discussions.
>>
>> Allan
>>
>>
>>
>

Brandon R. Brown, Associate Dean for Sciences
University of San Francisco
2130 Fulton St. San Francisco, CA 94117
415 422-6616
FAX: 415 422-5700

SDA 16

From Brandon Brown <brownb@usfca.edu>
Sent Tuesday, February 7, 2006 3:05 pm
To kao@usfca.edu
Cc Michael Bloch <blochm@usfca.edu> Heidi Johnson Kil <johnsonkil@usfca.edu>
Bcc
Subject meeting

Hi John,

Heidi just mentioned a possible meeting tomorrow for us concerning dual degree. Since Michael Bloch has such a strong history in the program, I really would like him to be part of the conversation.

He has other appointments tomorrow afternoon, so I m asking Heidi to find a new time where all three of us can meet.

Best wishes,
Brandon

Brandon R. Brown, Associate Dean for Sciences
University of San Francisco
2130 Fulton St. San Francisco, CA 94117
415 422-6616
FAX: 415 422-5700

SDA 17

From Chris Katzenbach <ckatzenbach@kkcounsel.com>
Sent Thursday, March 22, 2007 4:12 pm
To davisdj@usfca.edu
Cc
Bcc
Subject Professor Kao

Ms. Davis: I would like to see if we can get matters resolved regarding Professor Kao. Would you please call me to discuss where we stand

Christopher W. Katzenbach

Katzenbach & Khtikian
1714 Stockton Street, Suite 300
San Francisco, CA 94133-2930
Telephone: (415) 834-1778
Facsimile: (415) 834-1842

NOTICE: The information in this message and contained in documents transmitted with this electronic message is legally privileged and confidential information intended only for the use of the individual or entity to which this message was sent.

SDA 18

From Claudine Van Delden <vandelden@usfca.edu>
Sent Wednesday, April 25, 2007 3:16 pm
To CASFT@usfca.edu
Cc
Bcc
Subject CAS Awards and Significant Achievements
Attachments CAS Awards 06-07.doc 74K

TO: Full-time Faculty

FROM: Jennifer E. Turpin
Dean, College of Arts and Sciences

DATE: April 25, 2007

RE: College of Arts and Sciences Awards and Significant Achievements, 2006-2007

We've been collecting a list of faculty who have won national awards as well as other significant achievements for the 2006-2007 academic year. As you can see from the attached list, what we've compiled so far is quite impressive. If you have a moment, please take a quick look and let us know if there is anything that we've inadvertently overlooked. Please send additions to Claudine (vandelden@usfca.edu) by May 4, 2007.

Thank you.

SDA 19

College of Arts and Sciences
Awards and Significant Achievements
2006-2007

Professional Recognition

Kate Brady, Assistant Professor in the MFA in Writing Program
She was elected President of the Associated Writing Programs.

James Taylor, Associate Professor of Politics
He was elected as President (effective 2007-2008) of National conference of Black Political Scientists.

Faculty Awards

Brandon Brown, Associate Professor of Physics and Associate Dean for Sciences
He received the best essay award in the SEED Magazine Science Policy Essay Contest in 2006

Brian Komei Dempster, Assistant Professor of Communication Studies
His edited book, "From Our Side of the Fence, received the Nisei Voices Award from the National Japanese American Historical Society (NJAHS). This edited volume is a collection of first-person memoirs by Japanese Americans who were interned during World War II. His work also recently received, in conjunction with the award, a Certificate of Special Congressional Recognition. This honor is given "in recognition of outstanding and invaluable service to the community" and signed by Congress Member Tom Lantos

Joshua Gamson, Professor of Sociology
He is the recipient of the American Library Association s 2006 Stonewall Book Award-Israel Fishman Nonfiction Award. Professor Gamson won this award for his book ***The Fabulous Sylvester: The Legend, the Music, the 70s in San Francisco.***

Vamsee Juluri, Associate Professor of Media Studies
His documentary film, ***Understanding India***, which features a group of USF students who accompanied him to India last summer, was accepted for screening at the Riverside International Film Festival, 2006

Fr. Stephen Schloesser, S.J., LoSchiavo Chair in Catholic Social Thought at the Lane Center
He is the recipient of the American Catholic History Association's 2006 John Gilmary Shea Prize for Best Work in Catholic History. Professor Schloesser won this award for his book ***Jazz Age Catholicism: Mystic Modernism in Postwar Paris, 1919-1933.***

Melinda Stone, Assistant Professor of Media Studies
She was chosen as one of three recipients of the biennial James Phelan Film Award - it comes with a purse of $5,000.

Bruce Wydick, Professor of Economics
He won 1st prize in a worldwide contest sponsored by USAID- best anti-poverty program impact evaluation.

SDA 20

Special Recognition

Fr. Thomas Lucas, S.J., Associate Professor of Visual Arts

Fr. Lucas is helping to replace stained-glass windows at a Shanghai cathedral smashed during the Cultural Revolution. His work has been featured in the *L.A Times* and *West Magazine*.

Fulbright Scholars

Jack Lendvay, Associate Professor of Environmental Science

He will be traveling to Brazil to pursue his Fulbright fellowship titled "Watersheds and Water Quality: Assessment and Management."

Horacio Camblong, Professor of Physics

Horacio Camblong received a Fulbright fellowship for a three-month international exchange at the University of La Plata in Argentina to advance his research on black hole thermodynamics

Special Events

USF Screening at LucasFilms/ILM

On September 26, 2006, ILM hosted a screening that highlights the talents of our film studies faculty: Pedro Lange-Churion, Melinda Stone, Sam Green, Kate Haug and Natalija Vekic.

Significant Grants

The College is bringing in a grand total of $1,719,694 for FY06. This includes all new money in FY 2006 ($1,211,205) and continuing money in FY 2006 ($508,489).

John Callaway, Associate Professor of Environmental Science

He received funds from the State of California's Coastal Conservancy for his project, "South Bay Salt Pond Restoration."

Alessandra Cassar, Assistant Professor of Economics

She received a very competitive REU (Research Experience for Undergraduates) grant from the National Science Foundation.

William Karney, Associate Professor of Environmental Sciences and Claire Castro, Professor of Chemistry

Professors Karney and Castro received a grant from the American Chemical Society and over $200,000 from the National Science Foundation for their work on ' Dynamic Processes in Annulenes.'

Jack Lendvay, Associate Professor of Environmental Science

He received funds from the State of California's Coastal Conservancy for his project, "ARC Ecology: Creating a Crissy Field Style Park."

Kimberly Richman, Assistant Professor of Sociology

She received $110,000 from the NSF for her project, "The Giving and Withdrawal of New Rights: A Natural Experiment in Legal Consciousness."

David Wolber, Professor of Computer Science

He received $100,000 from the Wallace Alexander Gerbode Foundation for his "Transparency in Government Project."

Significant Gifts

$5M from the Wayne and Gladys Valley Foundation for the new science building.

New Hires

We just hired an outstanding and diverse new group of faculty to join us in the Fall (including the first woman EVER in Computer Science). Almost all of them had multiple competing offers and chose USF because of its distinct mission. One of our newly hired tenure-track faculty members (winner of the SECA award for emerging artists) turned down an offer at UC Berkeley to come to USF because of our mission.

Student Achievements

Overall, our students have published numerous papers, many co-authored with faculty. Many students have presented their original research at conferences. Our students are getting into top graduate schools, and our students are accepted to medical schools (59%) at a much higher percentage than the national average. Some examples include:

In February 2007, our **Erasmus students** (and Professor David Batstone) were featured in a *Christian Science Monitor* article on modern slavery.

The **Esther Madriz Diversity Scholars Program** was selected as a "Promising Practice in Student Affairs and Academic Affairs Collaboration" by the National Association of Student Personnel Administrators (NASPA). The award will be presented at the national conference in April 2007.

Erika Carlsen, sophomore in Politics, was selected for this years Institute for International Public Policy (IIPP) Fellowship, which carries a value of approximately $70,000 for summer schools, study abroad, language training, and postgraduate study in International Affairs.

Elizabeth Greenwood's (2006 Dean's Medal winner and History major) lengthy book review essay will be published in the *APA Newsletter on Hispanic/Latino Issues in Philosophy*, a peer-reviewed and highly regarded publishing venue in Fall 2006. As a consequence, Ms. Greenwood has been invited onto a panel at the 2007 Meeting of the Pacific Division of the American Philosophical Association. Elizabeth Greenwood was also the recipient of a New York Teaching Fellowship, a highly competitive position that will pay for a year of teaching for students of special needs in New York City.

One of our MFA students, **Abeer Hoque,** was awarded a 2006-2007 Fulbright Scholarship to India and Bangladesh to complete her book of stories.

Vanya Rainova, an MFA graduate student, had her short story, "Trampoline," published in *Best New American Voices* (Fresh Fiction from the Top Writing Programs 2006).

Travis Sharp (History major) was given Honorable Mention for his paper read at the Northern California Phi Alpha Theta Conference. Travis was also just recently named a winner of the 2006 Scoville Peace Fellowship, which will place him in Washington doing research on arms control and nuclear weapons issues during next academic year. This is a very competitive award and position.

SDA 22

Two of our Chemistry graduate students, **Agnes Kulczynska** and **Collen McShane**, were accepted to every Ph.D. program that they applied to. Ms. Kulczynska started at St. Andrews University in Scotland working towards her Ph.D. in Chemistry on full scholarship, and Ms. McShane began at Purdue University with a $26,000 per year stipend.

From Robert Alan Wolf <wolfr@usfca.edu>

Sent Wednesday, May 2, 2007 1:35 pm

To Paul Zeitz <zeitz@usfca.edu>

Cc cruse@usfca.edu , finch@usfca.edu , kao@usfca.edu , peter@usfca.edu , wells@usfca.edu , brunelle@usfca.edu , smdevlin@usfca.edu , stillwell@usfca.edu , needham@usfca.edu , yeung@math.usfca.edu

Bcc

Subject Re: Spring 2008 schedule

Attachments 2008 Spring, preliminary and omits part-time.xls 28K

Hi, Paul.

Thanks for the information.

It seems that you, John K., Steve D., and Steve Y. all might have Spring 2008 as their heavy semester. We number twelve but three of us (Peter, Allan, and Pete) almost never teach more than one course for the Mathematics Department in any given semester, and John S. teaches only two courses a year. Discounting Renée and me, who always teach three courses, that leaves only six of us who generally teach two courses in mathematics each semester and teach three only a quarter of the time. The occasional sabbatical leave probably makes it still easier to avoid bottlenecks. Therefore, we could easily make sure that at most two of those six have their heavy semester in any given semester.

If it turns out to be difficult to find enough courses for four faculty with a heavy semester in Spring 2008, perhaps one of the four could wait until Fall 2008 for his heavy semester and then take on another one only three semesters after that, so that we can begin to spread things out. We really should spread the heavy semesters out, and we may not have thought enough about avoiding the kind of concentration that Spring 2008 now seems to pose.

Anyway, each of you (Paul), John, and the two Steves will want to double up in Spring 2008, rather than have three different preparations. If you keep Math 485 but drop Math 109, you could take a couple of sections of stats (101 or 102) or 106 or maybe the two sections of Math 100 if Steve moves into two sections of Math 101. And we may have a good number of sections of a new Math 103 to teach if Business tells us what it wants. We have possibilities.

I haven't heard anything from Jim.

I have attached my latest scratch work spreadsheet. I emphasize that it's only scratch work. Don't get scared! Plus we're talking only first pass.

I was hoping to give Patricia our first pass on Monday or Tuesday.

--Bob

At 12:33 PM 2007-05-02, you wrote:
>Hi Bob,

SDA 24

>
>Since I have taught 2 courses both semesters this year and will teach 2
>next semester. I suspect that in Spring 2008 I will have to teach 3 courses...
>
>-pz
>--
>
>
>Paul Zeitz
>
>Professor
>Mathematics Department
>University of San Francisco
>2130 Fulton St.
>SF, CA 94117-1080
>
>zeitz@usfca.edu
>
>
>http://artsci.usfca.edu/?zeitz
>
>office: Harney 222B; 415-422-6590
>
>fax: 415-422-5747

SDA 25

From USFconnect Message <pleasedonotreply@usfca.edu>
Sent Friday, June 8, 2007 10:19 am
To undisclosed-recipients: ;
Cc
Bcc
Subject Martha Peugh-Wade, new Asst. VP, Human Resources

USF Community

I am pleased to announce the appointment of Ms. Martha Peugh-Wade as Assistant Vice President of Human Resources, succeeding Terry Stoner. Martha has served the University since 1987, initially in the Budget Office and since 1990 in Human Resources. Martha began her employment in HR as Manager of Compensation, Benefits and Risk and was promoted to Associate Director in 2002 with responsibility for directing the salary and compensation, benefits, employment, retention and risk management functions.

I wish to thank the search committee, Chair Susan Murphy (Financial Aid), Michael Bloch (Arts & Science), David Philpott (Labor Relations), Barbara Thomas (Counseling Center), and Janet Teymourtash (Purchasing) for their hard work in this national search.

USF is fortunate to have an employee with Martha's skill and experience in this complex arena and equally important, her dedication to USF.

Please join me in welcoming Martha to her new role.

Sincerely,

Charlie Cross
Vice President, Business & Finance

SDA 26

From Chris Katzenbach <ckatzenbach@kklaborlaw.com>
Sent Monday, July 17, 2006 6:33 pm
To ')'>"John S. Kao" <kao@usfca.edu>
Cc
Bcc
Subject RE: Meeting schedule: USF

John, I am waiting for USF's counsel to send me a written summary of what USF's position is on the issues we raised. Then we will set a follow up meeting.

Christopher W. Katzenbach

-----Original Message-----
From: John S. Kao [mailto:kao@usfca.edu]
Sent: Monday, July 17, 2006 2:22 PM
To: ckatzenbach@kklaborlaw.com
Subject: Meeting schedule: USF

Dear Chris.

I am writing to finalize our itinerary for conferring with USF Legal Counsel, Human Resources and Dean's Office of Arts and Sciences. We discussed the last week of July as a frame of reference for our next meeting.

Can we schedule an afternoon either next week or the following (which extends to the beginning of August)?

Please let me know how I should proceed.

Sincerely.

John Kao
Mathematics Department
USF

SDA 27

From Chris Katzenbach <ckatzenbach@kklaborlaw.com>
Sent Friday, August 4, 2006 11:59 am
To davisdj@usfca.edu
Cc ')">"John S. Kao" <kao@usfca.edu>
Bcc
Subject Further meetings

Ms. Davis: You were going to give me a written statement of USF s position on Professor Kao's complaint before meeting again. Can you advise me of the status of this? We had hoped to meet before the end of July; Professor Kao and I would still like to meet as soon as practical after receiving USF's statement for a follow-up on our last meeting.

Christopher W. Katzenbach
Katzenbach & Khtikian
1714 Stockton Street, Suite 300
San Francisco, CA 94133-2930
Telephone: (415) 834-1778
Facsimile: (415) 834-1842

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SDA 28

From Chris Katzenbach <ckatzenbach@kkcounsel.com>
Sent Friday, August 11, 2006 3:36 pm
To davisdj@usfca.edu
Cc ')">"John S. Kao" <kao@usfca.edu>
Bcc
Subject Future meetings and USF position on Professor Kao's complaint

Ms. Davis:

Again, can you advise me of the status of this matter. As I noted in my August 4 email, you were going to give me a written statement of USF's position on Professor Kao's complaint before meeting again. I would like to keep this process going.

Christopher W. Katzenbach
Katzenbach & Khtikian
1714 Stockton Street, Suite 300
San Francisco, CA 94133-2930
Telephone: (415) 834-1778
Facsimile: (415) 834-1842
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SDA 29

From Chris Katzenbach <ckatzenbach@kkcounsel.com>
Sent Friday, August 11, 2006 3:41 pm
To ') >"John S. Kao " <kao@usfca.edu>
Cc
Bcc
Subject FW: Out of Office Autoreply for Davis

FYI. Don t know why she is out.

Christopher W. Katzenbach
-----Original Message-----
From: davisdj@usfca edu [mailto:davisdj@usfca.edu]
Sent: Friday, August 11, 2006 3:36 PM
To: ckatzenbach@kkcounsel com
Subject: Out of Office Autoreply

I am out of the office until August 23, 2006 and unable to check messages.
If you need immediate assistance, please call the main office number at
415-422-6822.

Thank you!

SDA 30

From Chris Katzenbach <ckatzenbach@kkcounsel.com>
Sent Sunday, August 13, 2006 8:10 pm
To ')">" John S. Kao'" <kao@usfca.edu>
Cc
Bcc
Subject FW: Future meetings and USF position on Professor Kao's complaint

FYI. I did not get the email she is referring to. Hopefully, USF will send a copy.

Chris

Christopher W. Katzenbach
-----Original Message-----
From: Donna J Davis [mailto:Davisdj@usfca.edu]
Sent: Sunday, August 13, 2006 6:30 AM
To: Chris Katzenbach
Subject: RE: Future meetings and USF position on Professor Kao's complaint

Mr. Katzenbach:

I am away from the office now on vacation - but will follow up. After we last spoke I sent a short email with the status summary we discussed - I am not sure why it did not go through and I apologize. I will try to coordinate with my office to see if it can be located and forwarded. I cannot retrieve my "sent" file remotely. I agree the process needs to move forward and we should meet again soon. -donna

---

From: Chris Katzenbach [mailto:ckatzenbach@kkcounsel.com]
Sent: Fri 8/11/2006 3:36 PM
To: davisdj@usfca.edu
Cc: 'John S. Kao'
Subject: Future meetings and USF position on Professor Kao s complaint

Ms. Davis:

Again, can you advise me of the status of this matter. As I noted in my August 4 email, you were going to give me a written statement of USF's position on Professor Kao's complaint before meeting again. I would like to keep this process going.

Christopher W. Katzenbach

Katzenbach & Khtikian

SDA 31

1714 Stockton Street. Suite 300

San Francisco. CA 94133-2930

Telephone: (415) 834-1778

Facsimile: (415) 834-1842

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SDA 32

From Chris Katzenbach <ckatzenbach@kkcounsel.com>
Sent Friday, August 25, 2006 3:11 pm
To davisdj@usfca.edu
Cc)">" John S. Kao " <kao@usfca.edu>
Bcc
Subject Further meeting

Ms. Davis: Professor Kao and I would like to continue the process as soon as possible. Now that classes have started, Tuesdays and Thursdays would appear the best dates. Please contact me to get this set up so we can keep moving ahead on this matter.

Christopher W. Katzenbach
Katzenbach & Khtikian
1714 Stockton Street, Suite 300
San Francisco, CA 94133-2930
Telephone: (415) 834-1778
Facsimile: (415) 834-1842

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SDA 33

From Jeff Buckwalter <buckwalter@usfca.edu>
Sent Tuesday, August 29, 2006 12:38 pm
To "John S. Kao" <kao@usfca.edu> , Jeff Buckwalter <buckwalter@usfca.edu>
Cc
Bcc
Subject Re: DDTP advising

Right now. Friday is good. best times would be 10-3 or so.
--JEff

At 11:43 AM 8/29/2006, John S. Kao wrote:

>Dear Jeff,
>
>How does Friday next week work for you (same times
>as expressed in my last email)? This works best for
>me.
>
>I may also be able to meet Tuesday or Thursday,
>however, my mother is undergoing surgery soon and
>I am trying to schedule appointments with her
>physicians in the East Bay. If we need to meet
>on a day other than Friday, let me know and I will
>reply by the end of this week. I should have a clear
>schedule set by then.
>
>Sincerely,
>
>John Kao
>Mathematics
>
>----- Original Message -----
>From: Jeff Buckwalter <buckwalter@usfca.edu>
>Date: Monday, August 28, 2006 4:15 pm
>Subject: Re: DDTP advising
> > Hi John.
> >
> > Fri I will be out at LLNL, so that unfortunately won't work. I've
> > been busy with advising too, and prbably still will be this week.
> > Next week?
> >
> > You probably weren't informed about the DDTP Curr. Comm. because I
> > think David had no agenda items and it just stopped meeting, and
> > there was no official announcement about its demise. Officially, I
> > suppose its in limbo.
> >
> > --Jeff
> >
> > At 03:04 PM 8/28/2006, John S. Kao wrote:
> >
> > >Dear Jeff,
> > >
> > >I am happy to meet with you, although, I am quite
> > >surprised by the information concerning the DDTP

SDA 34

> > >Curriculum Committee I had not been informed of
> > >the change.
> > >
> > >I can meet with you
> > >
> > > Friday, September 1, before noon or
> > > after 3:00 pm.
> > >
> > >To be perfectly honest, I have matters pending, and
> > >I am not sure of my schedule on Tuesday and Thursday.
> > >This Wednesday I am in class, or have office hours,
> > >most of the day.
> > >
> > >Please inform me if this Friday works for you,
> > >otherwise, I might be able to arrange something
> > >this Thursday. I may know more of my schedule by the
> > >time you reply.
> > >
> > >Sincerely,
> > >
> > >John Kao
> > >Associate Professor
> > >Mathematics
> > >
> > >
> > >----- Original Message -----
> > >From: Jeff Buckwalter <buckwalter@usfca.edu>
> > >Date: Saturday, August 26, 2006 10:41 pm
> > >Subject: Re: DDTP advising
> > > > Hi John,
> > > >
> > > > Thanks for offering to continue with advising!
> > > >
> > > > Since the DDTP Curriculum committee seems to be defunct, I think
> > > > it would
> > > > make more sense for you and I to meet together to work out how we
> > > > would
> > > > coordinate. Would you be willing to propose a time?
> > > >
> > > > --Jeff
> > > >
> > > > At 07:30 PM 8/26/2006, John S. Kao wrote:
> > > >
> > > > >Dear Jeff,
> > > > >
> > > > >As I mentioned to you, with the exception of last
> > > > >year during my sabbatical, I have been advising
> > > > >DDTP Math majors. I am pleased to do so again this
> > > > >year.
> > > > >
> > > > >This is what I propose. Let us have a DDTP
> > > > >Curriculum committee meeting where we clarify what
> > > > >exactly the DDTP requirements are. We can also
> > > > >determine a specific advising procedure: it was
> > > > >somewhat different under Stephanie Vandrick as

SDA 35

> > > > >compared to David Galles (for example, Stephanie
> > > > >had me double checking student templates including
> > > > >some of the Education requirements). Then, whatever
> > > > >the specific role of the Math DDTP advisor, I am
> > > > >happy to fulfill it.
> > > > > >
> > > > > >Sincerely,
> > > > > >
> > > > > >John Kao
> > > > > >Associate Professor
> > > > > >Mathematics
> > > > > >
> > > > > >---------- Original Message --
> > ---
> > > > > >From: Jeff Buckwalter <buckwalter@usfca.edu>
> > > > > >Date: Saturday, August 26, 2006 4:20 pm
> > > > > >Subject: DDTP advising
> > > > > > > Hi John,
> > > > > > >
> > > > > > > Are you interested in my steering the DDTP math students
> > to you
> > > > > > > for math
> > > > > > > advising? I'd like to make sure that they see a 'real' math
> > > > > > > advisor, at
> > > > > > > least now and then. If not, could you suggest someone?
> > > > > > >
> > > > > > > thanks,
> > > > > > > --Jeff
> > > > > > >
> > > > > > >
> > > > > >
> > > > >
> > > >
> > >
> >

SDA 36

From Chris Katzenbach <ckatzenbach@kkcounsel.com>
Sent Thursday, August 31, 2006 11:43 am
To ')'> "John S. Kao" <kao@usfca.edu>
Cc
Bcc
Subject FW: Meeting Scheduled

I assume this works for you also.

Christopher W. Katzenbach

-----Original Message-----
From: Paola Deluna Caoile [mailto:delunap@usfca.edu]
Sent: Thursday, August 31, 2006 11:30 AM
To: Chris Katzenbach
Subject: Meeting Scheduled

Good morning,

Your meeting is set for Tuesday, September 12, noon-2 p.m. (location TBA).

Paola

>Afternoon would be best for me.
>
>Christopher W. Katzenbach
>
>-----Original Message-----
>From: Paola Deluna Caoile [mailto:delunap@usfca.edu]
>Sent: Wednesday, August 30, 2006 3:34 PM
>To: Chris Katzenbach
>Subject: RE: Meeting to Schedule
>
>No preference on time?
>
>>Professor Kao and I would be available any Tuesday or Thursday in the next
>>two weeks.
>>
>>Christopher W. Katzenbach
>>
>>-----Original Message-----
>>From: Paola Deluna Caoile [mailto:delunap@usfca.edu]
>>Sent: Friday, August 25, 2006 4:27 PM
>>To: ckatzenbach@kkcounsel.com
>>Subject: Meeting to Schedule
>>
>>Good afternoon.
>>
>>Donna Davis asked me to coordinate your next meeting. I understand
>>Tuesdays and Thursdays work best for you and Professor Kao. Please
>>forward some dates and times both of you are available in the next
>>two weeks. Thank you.
>>
> >Paola

SDA 37

--
Paola De Luna-Caoile
Office of the General Counsel
University of San Francisco

This email and any files transmitted with it are confidential and are intended solely for the use of the individual or entity to whom they are addressed. This communication may contain material protected by a privilege, including but not limited to the attorney-client privilege or the work product doctrine. If you are not the intended recipient, be advised that you have received this email in error and that any use, dissemination, forwarding, printing, copying or relaying the contents of this email is strictly prohibited. If you have received this email in error, please immediately notify the Office of the General Counsel at the University of San Francisco at (415) 422-6822. You will be reimbursed for reasonable costs incurred in notifying us.

SDA 38

From Martha Peugh-Wade <peugh@usfca.edu>
Sent Wednesday, September 13, 2006 5:07 pm
To "John S. Kao" <kao@usfca.edu>
Cc sweeney@usfca.edu
Bcc
Subject Re: Family Medical Leave

>HI John.

Thank you for your email. Terry had told me to expect your call. Diane Sweeney or Sharon Hom, in our Benefits Area, will get in touch with you about the specific information needed.

Take care and good luck with your mother.
Martha

>Dear Ms. Peugh-Wade.
>
>I am writing to inform the Department of Human Resources
>of my plan to take Family Medical Leave for my
>mother's upcoming surgery. This arrangement was made
>yesterday in a meeting including Vice President Terry Stoner,
>Dean Jennifer Turpin, myself and my attorney (Christopher
>Katzenbach). Dean Turpin agreed that after the meeting she
>would make preliminary arrangements with Arts and Sciences
>in reference to this leave. I was instructed to email you
>to make arrangements that I might complete appropriate
>documentation with Human Resources.
>
>Please let me know what steps I need to take.
>
>For your records, my anticipated date of return is
>
> Friday, September 29.
>
>I will inform the University as soon as possible if
>an extension is necessary. My mother s hospitalization is
>
> September 19 - September 23;
>
>longer, depending on the results. Her attending
>physicians are
>
> Dr. Jeffrey Stern, Gynecological Oncologist
> Women's Cancer Center, Berkeley
>and
> Dr. Goldie Gross, Gynecologist
> Alta Bates Summit Hospital, Oakland
>
>My Leave includes time to transition my mother to nursing
>care.
>
>Thank you. I greatly appreciate your understanding in
>this regard.

SDA 39

>
>Sincerely,
>
>John Kao
>Associate Professor
>Mathematics

SDA 40

From Diane Sweeney <sweeney@usfca.edu>
Sent Monday, September 18, 2006 8:00 am
To 'John S. Kao' <kao@usfca.edu>
Cc
Bcc
Subject Re: Fwd: Family Medical Leave-

Thanks and I have just sent the employer s notice to Sedgwick. I wish your mom well with her upcoming surgery.

Please have the other forms that I sent you completed and sent into Sedgwick Let me know if you have any questions.

Take care,

diane

>Dear Diane.
>
>The estimated date of my return was set for
>
> September 29.
>
>My mother's surgery is scheduled for this coming
>week. Her hospitalization and required postoperative care
>is contingent upon the results of the first operation.
>I will let you know as soon as possible, if I need
>to extend Family Medical Leave beyond the above date.
>
>Thank you so much for your understanding in this
>matter.
>
>Sincerely,
>
>John Kao
>Mathematics Department
>
>----- Original Message -----
>From: Diane Sweeney <sweeney@usfca.edu>
>Date: Thursday, September 14, 2006 1:28 pm
>Subject: Re: Fwd: Family Medical Leave-
>> You are very welcome and are you set with dates?
>>
>> diane
>>
>> >Dear Diane,
>> >
>> >Thank you so much for the information. As you instruct,
>> >I am writing to confirm my application for this benefit.
>> >
>> >I greatly appreciate your attention in this matter.
>> >
>> >Sincerely,
>> >

SDA 41

>> >John Kao
>> >Mathematics Department
>> >
>> >----- Original Message -----
>> >From: Diane Sweeney <sweeney@usfca.edu>
>> >Date: Thursday, September 14, 2006 9:28 am
>> >Subject: Fwd: Family Medical Leave-
>> >> John,
>> >>
>> >> Your message has been forwarded to me for response. For the care
>> >> of
>> >> your mom you can take Family Medical Leave Act (up to 12
>> weeks).
>> >> You
>> >> can be paid using the Paid Family Leave benefit- PFL (up to 6
>> >> weeks).
>> >> Paid Family Leave will pay you 55% of your weekly earnings up
>> to a
>> >> maximum of $840/week after a waiting period of seven calendar
>> days.>>
>> >> In your case, if you took PFL beginning September 19, your waiting
>> >> period would be from 9/19 - 9/25. Since you are caring for a
>> >> family
>> >> member you are allowed to use up to 6 days of sick time which can
>> >> be
>> >> applied to the waiting period. During that period your would
>> >> receive
>> >> 100% pay from USF. Beginning 9/26 through your anticipated return
>> >> of
>> >> 9/29 PFL would pay you 55% of your salary up to the maximum of
>> >> $840/wk. USF would not pay you.
>> >>
>> >> Attached are the PFL claim forms that need to be completed to file
>> >> a
>> >> claim and a copy of the University s Family Medical Leave Policy.
>> >> Please confirm with me if you will be applying for this
>> benefit so
>> >> that I can notify Sedgwick CMS, our administrator for PFL and our
>> >> payroll department. Also please contact me or Sharon Horn with any
>> >> questions regarding these benefits.
>> >>
>> >> Thank you,
>> >>
>> >> diane
>> >>
>> >>
>> >> >
>> >> >>Date: Wed, 13 Sep 2006 12:33:26 -0700
>> >> >>From: "John S. Kao" <kao@usfca.edu>
>> >> >>Subject: Family Medical Leave
>> >> >>To: peugh@usfca.edu
>> >> >>X-Accept-Language: en
>> >> >>Priority: normal
>> >> >>Original-recipient: rfc822;peugh@usfca.edu
>> >> >>

SDA 42

>> >> >>
>> >> >>Dear Ms. Peugh-Wade,
>> >> >>
>> >> >>I am writing to inform the Department of Human Resources
>> >> >>of my plan to take Family Medical Leave for my
>> >> >>mother's upcoming surgery. This arrangement was made
>> >> >>yesterday in a meeting including Vice President Terry Stoner,
>> >> >>Dean Jennifer Turpin, myself and my attorney (Christopher
>> >> >>Katzenbach). Dean Turpin agreed that after the meeting she
>> >> >>would make preliminary arrangements with Arts and Sciences
>> >> >>in reference to this leave. I was instructed to email you
>> >> >>to make arrangements that I might complete appropriate
>> >> >>documentation with Human Resources.
>> >> >>
>> >> >>Please let me know what steps I need to take.
>> >> >>
>> >> >>For your records, my anticipated date of return is
>> >> >>
>> >> >> Friday, September 29.
>> >> >>
>> >> >>I will inform the University as soon as possible if
>> >> >>an extension is necessary. My mother's hospitalization is
>> >> >>
>> >> >> September 19 - September 23;
>> >> >>
>> >> >>longer, depending on the results. Her attending
>> >> >>physicians are
>> >> >>
>> >> >> Dr. Jeffrey Stern, Gynecological Oncologist
>> >> >> Women's Cancer Center, Berkeley
>> >> >>and
>> >> >> Dr. Goldie Gross, Gynecologist
>> >> >> Alta Bates Summit Hospital, Oakland
>> >> >>
>> >> >>My Leave includes time to transition my mother to nursing
>> >> >>care.
>> >> >>
>> >> >>Thank you. I greatly appreciate your understanding in
>> >> >>this regard.
>> >> >>
>> >> >>Sincerely,
>> >> >>
>> >> >>John Kao
>> >> >>Associate Professor
>> >> >>Mathematics
>> >>
>> >>
>> >> --
>> >> Diane M. Sweeney
>> >> University of San Francisco
>> >> Manager, Benefits, Compensation & Risk
>> >> Human Resources Department
>> >> email: sweeney@usfca.edu
>> >> voice: (415) 422-2440
>> >> fax: (415) 386-1074

SDA 43

>>
>>
>> --
>> Diane M. Sweeney
>> University of San Francisco
>> Manager, Benefits. Compensation & Risk
>> Human Resources Department
>> email: sweeney@usfca.edu
>> voice: (415) 422-2440
>> fax: (415) 386-1074
>>

--
Diane M. Sweeney
University of San Francisco
Manager, Benefits. Compensation & Risk
Human Resources Department
email: sweeney@usfca.edu
voice: (415) 422-2440
fax: (415) 386-1074

SDA 44

From: John S Kao <kao@usfca.edu>
Sent: Tuesday, October 24, 2006 6:16 pm
To: Jennifer Turpin <turpinj@usfca.edu>
Cc:
Bcc:
Subject: Re: homework/grading records

Dear Jennifer.

Thank you for your message. I am feeling fine now. As expressed to you over the telephone. I had a severe reaction to medication which took some time to recover from.

I would very much like to be involved in the department in some capacity this semester. I most willing to help the new instructors in delivery of Math 104 and Math 101. I will need to come to campus to transmit spreadsheet grades. Some assignments were not properly graded by the student readers. I am prepared to do this work myself.

I am also willing to grade quizzes/exams as necessary

I am not sure how this fits in our conversations this semester, but my physician is not willing to certify Sick Leave beyond this current week. She recommends that I return to work as soon as possible.

Sincerely,

John Kao
Associate Professor
Mathematics

----- Original Message -----
From: Jennifer Turpin <turpinj@usfca.edu>
Date: Monday, October 23, 2006 4:44 pm
Subject: homework/grading records
> Dear John,
>
> I hope that you are feeling better; please do let me know if there
> is
> anything more that I can do to be of support.
>
> I'm writing to ask you for any records you have from the classes
> you

SDA 45

> began teaching this semester, or perhaps for the actual graded
> homework. The part-time faculty members need these to determine
> students' grades to date and they also have to respond to some
> requests for mid-semester progress reports, particularly for
> student
> athletes.
>
> I'd appreciate it if you would let me know whether you might have
> kept a spreadsheet of grades and whether you can send that to me,
> or
> directly to Olivia Mah (for 101) and Dayna Soares (for Math 104).
> Or, if you let me know where the assignments are kept in your
> office,
> I can deliver them to Olivia and Dayna so that they can
> appropriately
> calculate students grades so far.
>
> Please let me know what works best for you and I'll be glad to help
>
> Thank you and best wishes,
>
> Jenny
> --
>
> Jennifer Turpin, Dean and Professor
> College of Arts and Sciences
> University of San Francisco
> 2130 Fulton Street
> San Francisco, CA 94117-1080
> phone: 415-422-6496; fax: 415-422-5700; e-mail: turpinj@usfca.edu
> http://artsci.usfca.edu
>

SDA 46

From Jennifer Turpin <turpinj@usfca.edu>
Sent Tuesday, October 24, 2006 7:52 pm
To 'John S. Kao" <kao@usfca.edu>
Cc
Bcc
Subject Re: homework/grading records

John,

I'm glad to hear that you are feeling good.

I will think about what we can do to involve you in the department this semester and perhaps you can also talk with Peter Pacheco about it. At this point, however, I think we have to give the faculty who have taken over your courses the autonomy to deliver them on their own. We did explain to students that you would be out, that the new faculty would take over for the rest of the term, and that they (students) would not experience any further disruption -- some of them have by now had 4 instructors during the first half of the term. So I would not change course with the students at this point. There may be other ways that we can draw upon you this semester so I will think on that, and you can certainly carry on with your research and service activities.

I would appreciate it if you would provide the two faculty members the homework and grades for the three classes to date as soon as possible so that they can issue mid-semester progress reports. This is especially important for the student athletes. Please let me know if you think it's possible to do that in the next few days. Also, if you would please communicate to the adjunct faculty that you will help in this way asap, that would be great.

Thanks and best wishes.

Jenny

>Dear Jennifer,
>
>Thank you for your message. I am feeling fine now.
>As expressed to you over the telephone. I had
>a severe reaction to medication which took some
>time to recover from.
>
>I would very much like to be involved in the
>department in some capacity this semester.
>I most willing to help the new instructors in
>delivery of Math 104 and Math 101. I will
>need to come to campus to transmit spreadsheet
>grades. Some assignments were not properly
>graded by the student readers. I am prepared
>to do this work myself.
>

SDA 47

>I am also willing to grade quizzes/exams as
>necessary.
>
>I am not sure how this fits in our conversations
>this semester, but my physician is not
>willing to certify Sick Leave beyond this current
>week. She recommends that I return to work as
>soon as possible.
>
>Sincerely.
>
>John Kao
>Associate Professor
>Mathematics
>
>
>
>
>----- Original Message -----
>From: Jennifer Turpin <turpinj@usfca.edu>
>Date: Monday, October 23, 2006 4:44 pm
>Subject: homework/grading records
>> Dear John.
>>
>> I hope that you are feeling better; please do let me know if there
>> is
>> anything more that I can do to be of support.
>>
>> I'm writing to ask you for any records you have from the classes
>> you
>> began teaching this semester, or perhaps for the actual graded
>> homework. The part-time faculty members need these to determine
>> students' grades to date and they also have to respond to some
>> requests for mid-semester progress reports, particularly for
>> student
>> athletes.
>>
>> I'd appreciate it if you would let me know whether you might have
>> kept a spreadsheet of grades and whether you can send that to me,
>> or
>> directly to Olivia Mah (for 101) and Dayna Soares (for Math 104).
>> Or, if you let me know where the assignments are kept in your
>> office,
>> I can deliver them to Olivia and Dayna so that they can
>> appropriately
>> calculate students' grades so far.
>>
>> Please let me know what works best for you and I'll be glad to help.
>>
>> Thank you and best wishes.
>>
>> Jenny
>> --
>>
>> Jennifer Turpin, Dean and Professor

SDA 48

>> College of Arts and Sciences
>> University of San Francisco
>> 2130 Fulton Street
>> San Francisco, CA 94117-1080
>> phone: 415-422-6496; fax: 415-422-5700; e-mail: turpinj@usfca edu
>> http://artsci.usfca.edu
>>

--
Jennifer E. Turpin, Dean and Professor
College of Arts and Sciences
University of San Francisco
2130 Fulton Street
San Francisco, CA 94117-1080
(415) 422-6496
turpinj@usfca.edu

http://artsci.usfca.edu

SDA 49

From John S. Kao <kao@usfca.edu>
Sent Wednesday, October 25, 2006 1:29 pm
To Jennifer Turpin <turpinj@usfca.edu>
Cc
Bcc
Subject Re: homework/grading records

Dear Jennifer,

Thank you very much for your reply. I will be
on campus tomorrow to sort through the papers
from Math 104 and Math 101.

I should be able to complete the necessary grading
by the weekend. I understand your concerns as
to interruption of teaching for these courses.
I do not wish to inconvenience the new instructors.

Sincerely

John Kao
Associate Professor
Mathematics

----- Original Message -----
From: Jennifer Turpin <turpinj@usfca.edu>
Date: Tuesday, October 24, 2006 7:52 pm
Subject: Re: homework/grading records
> John,
>
> I m glad to hear that you are feeling good.
>
> I will think about what we can do to involve you in the department
> this semester and perhaps you can also talk with Peter Pacheco
> about
> it. At this point, however, I think we have to give the faculty
> who
> have taken over your courses the autonomy to deliver them on their
> own. We did explain to students that you would be out, that the
> new
> faculty would take over for the rest of the term, and that they
> (students) would not experience any further disruption -- some of
> them have by now had 4 instructors during the first half of the
> term.
> So I would not change course with the students at this point.
> There
> may be other ways that we can draw upon you this semester so I
> will
> think on that, and you can certainly carry on with your research
> and
> service activities.
>
> I would appreciate it if you would provide the two faculty members

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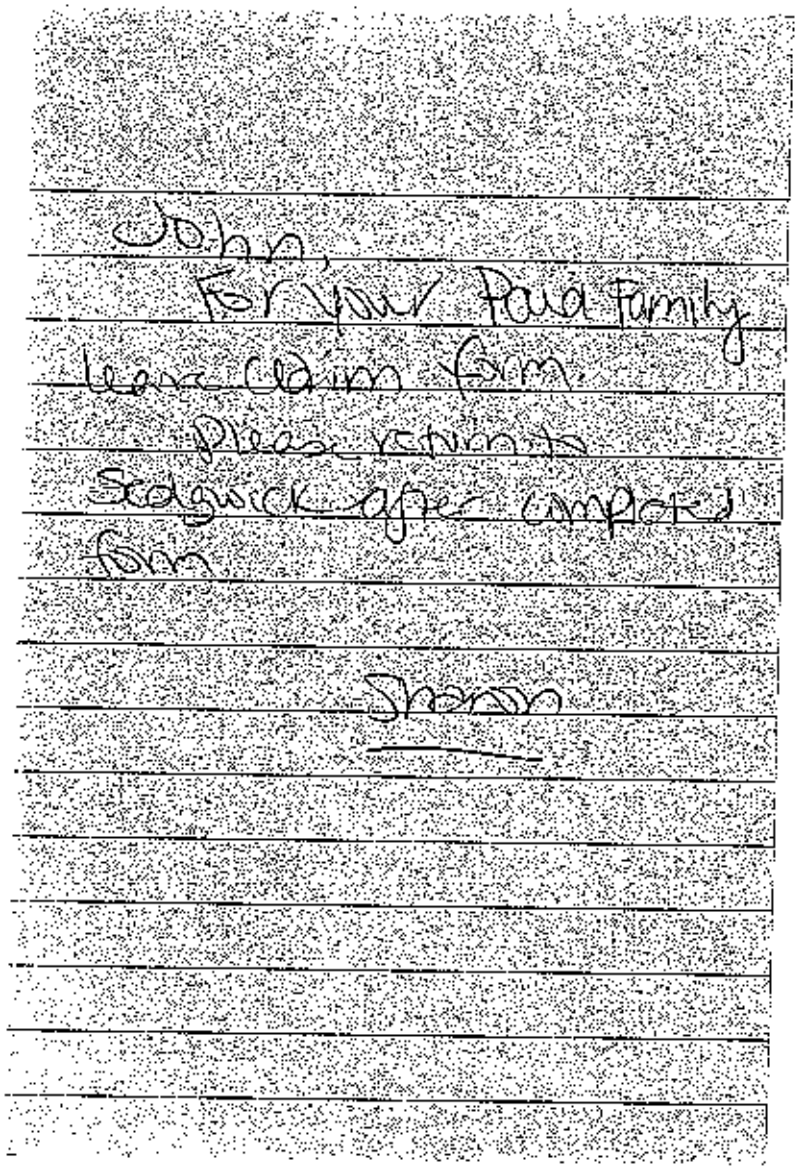
> the homework and grades for the three classes to date as soon as
> possible so that they can issue mid-semester progress reports.
> This
> is especially important for the student athletes. Please let me
> know
> if you think it's possible to do that in the next few days. Also,
> if
> you would please communicate to the adjunct faculty that you will
> help in this way asap. that would be great.
>
> Thanks and best wishes.
>
> Jenny
>
>
>
> >Dear Jennifer,
> >
> >Thank you for your message. I am feeling fine now.
> >As expressed to you over the telephone. I had
> >a severe reaction to medication which took some
> >time to recover from.
> >
> >I would very much like to be involved in the
> >department in some capacity this semester.
> >I most willing to help the new instructors in
> >delivery of Math 104 and Math 101. I will
> >need to come to campus to transmit spreadsheet
> >grades. Some assignments were not properly
> >graded by the student readers. I am prepared
> >to do this work myself.
> >
> >I am also willing to grade quizzes/exams as
> >necessary.
> >
> >I am not sure how this fits in our conversations
> >this semester, but my physician is not
> >willing to certify Sick Leave beyond this current
> >week. She recommends that I return to work as
> >soon as possible.
> >
> >Sincerely,
> >
> >John Kao
> >Associate Professor
> >Mathematics
> >
> >
> >
> >
> >-----Original Message-----
> >From: Jennifer Turpin <turpinj@usfca.edu>
> >Date: Monday, October 23, 2006 4:44 pm
> >Subject: homework/grading records
> >> Dear John,

SDA 51

> >>
> >> I hope that you are feeling better; please do let me know if there
> >> is
> >> anything more that I can do to be of support
> >>
> >> I m writing to ask you for any records you have from the classes
> >> you
> >> began teaching this semester, or perhaps for the actual graded
> >> homework. The part-time faculty members need these to determine
> >> students' grades to date and they also have to respond to some
> >> requests for mid-semester progress reports, particularly for
> >> student
> >> athletes.
> >>
> >> I'd appreciate it if you would let me know whether you might have
> >> kept a spreadsheet of grades and whether you can send that to me,
> >> or
> >> directly to Olivia Mah (for 101) and Dayna Soares (for Math 104).
> >> Or, if you let me know where the assignments are kept in your
> >> office,
> >> I can deliver them to Olivia and Dayna so that they can
> >> appropriately
> >> calculate students grades so far.
> >>
> >> Please let me know what works best for you and I'll be glad to
> help.>>
> >> Thank you and best wishes.
> >>
> >> Jenny
> >> --
> >>
> >> Jennifer Turpin, Dean and Professor
> >> College of Arts and Sciences
> >> University of San Francisco
> >> 2130 Fulton Street
> >> San Francisco, CA 94117-1080
> >> phone: 415-422-6496; fax: 415-422-5700; e-mail: turpinj@usfca.edu
> >> http://artsci.usfca.edu
> >>
>
>
> --
> Jennifer E. Turpin, Dean and Professor
> College of Arts and Sciences
> University of San Francisco
> 2130 Fulton Street
> San Francisco, CA 94117-1080
> (415) 422-6496
> turpinj@usfca.edu
>
> http://artsci.usfca.edu
>

SDA 52


John,
For your Paid Family
Leave claim form.
Please return to
Sedgwick after completed
form.
Shaun

FILING A PAID FAMILY LEAVE (PFL) CLAIM

To file for Paid Family Leave benefits under the *UNIVERSITY OF SAN FRANCISCO* Voluntary Plan, you must provide the following information:

If the claim is for Care of a Family Member follow these steps:

Step One Request Leave from your supervisor.

Step Two Complete **Parts 1, 2, 3 and 5** on the attached forms. This includes the:

- **1. Employee Statement** completed by the employee. (Attach any required documentation)
- **2. Health Care Provider's Statement** completed by the Care Recipient's Health Care Provider.
- (If outside California, attach valid license documentation)
- **3. Care Recipient Statement** completed by the Care Recipient
- **5. Medical Authorization** completed by the Care Recipient. Your Care Recipient must fully complete the Authorization Form for each source of medical treatment. Please fill-in the name of the Health Care Provider(s) or hospital providing medical treatment for the Care Recipient. If you need more than one Authorization form because the Care Recipient has more than one treating source, please photocopy or print additional copies of the form and complete an Authorization for each medical source.

Step Three Have your Care Recipient's Health Care Provider mail the completed packet including the Employee, Health Care Provider and Care Recipient Statements and the Authorization form(s) to Sedgwick CMS. The address is printed below.

If the claim is for Bonding with a New Child follow these steps:

Step One Request Leave from your Supervisor

Step Two Complete **Parts 1 and 4** on the attached forms. This includes the.

- **1. Employee Statement** completed by the employee
- **4. Bonding Certification** completed by the employee. (Attach any required documentation)

Step Three Mail the completed packet including the Employee statement and Bonding Certification and any required documentation asked for on the Certification to Sedgwick CMS at the address printed below

For all initial claims follow this next step:

Step Four Complete the enclosed IRS Form W4 and enclose it with the PFL paperwork. The State has informed us that PFL benefits are taxable. If you do not complete the W4, taxes will be withheld at the rate appropriate for Single/ No Exemptions.

Important Note: Incomplete forms, lack of required documentation, or missing signatures will cause a delay in processing your claim and the form will be returned to you to provide the missing information. If a section of the form does not apply, write "NONE" so that we know you did not overlook the question. This PFL Packet must be completed and mailed to Sedgwick CMS as soon as possible but in no case later than 45 days from the date your leave begins. You are responsible for making sure that all the necessary information is provided. Processing of your Paid Family Leave claim will begin when all completed forms are received by Sedgwick CMS. If you have any questions please contact your Employer's Representative or Sedgwick CMS.

Claims Administered by:
Sedgwick CMS
3280 East Foothill Blvd., Suite 250, Pasadena, CA 91107
(626) 568-1415 • FAX (626) 568-1440
(800) 939-4911

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PAID FAMILY LEAVE CLAIM FORM

PART ONE – EMPLOYEE / CLAIMANT'S STATEMENT

LAST NAME	FIRST NAME	INITIAL	SOCIAL SECURITY	DATE OF BIRTH	SEX	EMPLOYEE #	DEPT/LOCATION
			___-___-___	___/___/___	☐ MALE ☐ FEMALE		

HOME ADDRESS	CITY	STATE	ZIP CODE	HOME PHONE	WORK PHONE

CARE / BONDING RECIPIENT NAME	RELATIONSHIP TO EMPLOYEE	DOCTOR'S NAME	DOCTOR'S PHONE NUMBER

LAST DAY WORKED ___/___/___

BEGIN DATE OF PAID FAMILY LEAVE (PFL) ___/___/___

HAVE YOU RETURNED TO WORK OR WILL YOU RETURN TO WORK? ☐ YES ☐ NO DATE: ___/___/___

HAS A PREVIOUS CLAIM BEEN MADE FOR THIS SAME CARE RECIPIENT? ☐ YES ☐ NO DATE: ___/___/___

ARE THERE ANY OTHER FAMILY MEMBERS WHO ARE ABLE AND AVAILABLE TO PROVIDE CARE FOR THE CARE RECIPIENT INDICATED ABOVE? ☐ YES ☐ NO WHO?

HAVE YOU FILED FOR OR ARE YOU RECEIVING WORKERS' COMPENSATION BENEFITS? ☐ YES ☐ NO WEEKLY AMOUNT $

IS THIS CLAIM A CONTINUATION OF A DISABILITY CLAIM (BONDING)? ☐ YES ☐ NO

PLEASE DESCRIBE

HAVE YOU FILED FOR OR RECEIVED UNEMPLOYMENT INSURANCE BENEFITS? ☐ YES ☐ NO

DATES APPLIED TO 7 DAY WAITING PERIOD:

WILL YOU NEED TO REDUCE YOUR WORK HOURS OR STOP WORKING? WHY?

DID YOU WORK OR WILL YOU CONTINUE TO WORK DURING YOUR PFL? ☐ YES ☐ NO

YOU MAY BE ELIGIBLE FOR A STATE-PLAN BENEFIT ALONG WITH YOUR VOLUNTARY PLAN BENEFIT. HAVE YOU RECEIVED WAGES FROM ANY OTHER EMPLOYER OR COMPANY (INCLUDING SELF-EMPLOYMENT) IN THE LAST 3 MONTHS? ☐ YES ☐ NO

NAME OF OTHER EMPLOYER

ADDRESS

CITY STATE ZIP

ARE YOU STILL EMPLOYED OR ON CALL? ☐ YES ☐ NO

DATE EMPLOYMENT BEGAN ___/___/___

DATE EMPLOYMENT ENDED ___/___/___

WHAT IS YOUR JOB TITLE/USUAL AND CUSTOMARY OCCUPATION?

BRIEF DESCRIPTION OF DUTIES:

AT ANY TIME DURING YOUR PFL LEAVE WERE YOU IN THE CUSTODY OF LAW ENFORCEMENT AUTHORITIES BECAUSE YOU WERE CONVICTED OF VIOLATING A LAW OR ORDINANCE? ☐ YES ☐ NO IF YES, PLEASE DESCRIBE:

AS EVIDENCE OF THE RELATIONSHIP CHECK ONE OF THE FOLLOWING AND ATTACH A COPY OF THE DOCUMENT INDICATED. (Do not send original - it will not be returned)

- ☐ Birth Certificate
- ☐ Marriage License
- ☐ Domestic Partner Registry
- ☐ Tax Returns

DECLARATION AND SIGNATURE: By my signature of this claim statement I (1) claim paid family leave benefits and certify that throughout the period covered by this claim I was providing care for or bonding with the care recipient named above; (2) authorize EDD or Sedgwick CMS to release my personal information as shown on this claim to the care recipient and to the care recipient's treating physician as they are respectively listed in part 2 and 3 of this claim; (3) authorize my employer(s) to disclose to Sedgwick CMS all facts concerning my employment that are within their knowledge. I understand that willfully making a false statement or concealing a material fact in order to obtain payment of benefits is a violation of California law punishable by imprisonment or fine or both. I declare under penalty of perjury that the foregoing statement including any accompanying statements is to the best of my knowledge and belief true, correct and complete. I agree that photocopies of this authorization shall be as valid as the original and I understand that authorizations combined in this claim statement are granted for a period of fifteen years from the date of my signature or the effective date of this claim, whichever is later.

I CERTIFY THAT THE DATES AND STATEMENTS MADE HERE ARE, TO THE BEST OF MY KNOWLEDGE, TRUE, CORRECT, AND COMPLETE. I ALSO UNDERSTATND THAT THE PERIOD COVERED BY THIS PFL CLAIM WILL BE COUNTED TOWARDS ANY FAMILY OR MEDICAL LEAVE ENTITLEMENT THAT I HAVE UNDER ANY APPLICABLE FEDERAL OR STATE LAW.
*If your signature is made by mark (x), it must be witnessed by two witnesses with their addresses

X _____ _____
*SIGNATURE DATE SIGNED

IF YOU ARE SIGNING ON BEHALF OF EMPLOYEE / CLAIMANT, WHAT IS YOUR RELATIONSHIP TO EMPLOYEE? _____

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UNIVERSITY OF CALIFORNIA SAN FRANCISCO

SEDGWICK CMS
3280 E. FOOTHILL BLVD. SUITE 250
PASADENA, CA 91107

TEL NO: (800) 939-4811
FAX NO: (626) 568-1440

PART TWO – HEALTH CARE PROVIDER'S STATEMENT / Please complete all the questions. (NOT FOR BONDING)

PATIENT / CARE RECIPIENT NAME | EMPLOYEE / CARE GIVER NAME | EMPLOYEE SOCIAL SECURITY NUMBER ___-___-___

DIAGNOSIS AND CONCURRENT CONDITIONS | ICD-9 CODE | PATIENT DATE OF BIRTH ___/___/___

IF PREGNANCY PROVIDE ESTIMATED DELIVERY DATE ___/___/___ | ACTUAL DELIVERY DATE ___/___/___

SEVERITY | MEDICATION / TREATMENT PRESCRIBED

DATE PATIENT FIRST CONSULTED YOU FOR THIS CONDITION ___/___/___ | IS PATIENT STILL UNDER YOUR CARE FOR THIS CONDITION? ☐ YES ☐ NO

DATES OF SERVICES:

WAS PATIENT HOSPITAL CONFINED AS AN INPATIENT? (PLEASE INCLUDE ADMISSION AND DISCHARGE SUMMARY) ☐ YES ☐ NO | NAME OF HOSPITAL | ADMITTED ___/___/___ DISCHARGED ___/___/___

WAS PATIENT TREATED IN A HOSPITAL SURGICAL UNIT OR SURGICAL CLINIC? ☐ YES ☐ NO | DATE ___/___/___ | NAME OF UNIT/CLINIC

DO YOUR RECORDS REFLECT THAT THE PATIENT HAS SEEN ANY OTHER DOCTORS FOR THIS OR A RELATED CONDITION? ☐ YES ☐ NO

IF YES PLEASE GIVE NAMES AND ADDRESSES

NAME _____ NAME _____

ADDRESS _____ ADDRESS _____

PHONE _____ PHONE _____

PRESENT CONDITION

(A) OBJECTIVE FINDINGS ON PHYSICAL EXAM: (INCLUDE RESULTS OF CURRENT X-RAYS E.K.G.'S OR ANY OTHER SPECIAL TESTS):

(B) SUBJECTIVE SYMPTOMS:

IS PATIENT ☐ AMBULATORY ☐ BED CONFINED ☐ HOME CONFINED ☐ HOSPITAL CONFINED

CARE / RECOVERY

(A) FIRST DATE CARE NEEDED? ___/___/___

(B) EXPECTED DATE OF RECOVERY? ___/___/___

(C) DATE YOU ESTIMATE PATIENT WILL NO LONGER REQUIRE CARE BY THE CARE PROVIDER? ___/___/___

TYPE OF CARE NEEDED:

☐ MEDICAL CARE
☐ PSYCHOLOGICAL COMFORT
☐ ARRANGE FOR THIRD PARTY CARE

DISCLOSURE OF THIS CERTIFICATE TO YOUR PATIENT WOULD BE MEDICALLY OR PSYCHOLOGICALLY DETRIMENTAL ☐ YES ☐ NO

APPROXIMATELY HOW MANY TOTAL HOURS PER DAY WILL PATIENT REQUIRE CARE BY A CARE PROVIDER?

HOURS _____ COMMENTS _____

I HEREBY CERTIFY THAT BASED ON MY EXAMINATION THESE STATEMENTS TRULY DESCRIBE THE PATIENT'S CONDITION, NEED FOR CARE AND THE ESTIMATED DURATION THEREOF AND THAT I AM LICENSED TO PRACTICE IN THE STATE OR COUNTRY OF _____ LICENSE #_____. IF OUTSIDE OF CALIFORNIA, PLEASE ATTACH VALID LICENSE DOCUMENTATION.

PHYSICIAN'S NAME | DEGREE | SPECIALTY

ADDRESS | CITY | STATE | ZIP

PHONE ( ) - | FAX ( ) - | IRS#

X _____ DATE _____

ORIGINAL SIGNATURE REQUIRED

PLEASE MAIL PROMPTLY
THANK YOU

Under sections 2116 and 2122 of the California Unemployment Insurance Code, it is a violation for any individual who, with intent to defraud, falsely certifies the medical condition of any person in order to obtain disability insurance benefits, whether for the maker or for any other person, and is punishable by imprisonment and/or a fine not exceeding $20,000. Sections 1143 and 3305 require additional administrative penalties.

UNIVERSITY OF CALIFORNIA SAN FRANCISCO

SEDGWICK CMS
3280 E. FOOTHILL BLVD SUITE 259
PASADENA, CA 91107
TEL NO. (800) 939-4911
FAX NO: (626) 568-1440

PATIENT	EMPLOYEE	EMPLOYEE SSN ___-___-___

PART THREE – PATIENT / CARE RECIPIENT STATEMENT

LAST NAME OF CARE RECIPIENT	FIRST NAME OF CARE RECIPIENT	INITIAL	SOCIAL SECURITY	DATE OF BIRTH	SEX
			___-___-___	___/___/___	☐ MALE ☐ FEMALE

HOME ADDRESS	CITY	STATE	ZIP CODE	HOME PHONE	WORK PHONE

RELATIONSHIP TO CARE GIVER / EMPLOYEE	HEALTHCARE PROVIDER'S NAME	HEALTH CARE PROVIDER PHONE NUMBER

PLEASE DESCRIBE SERIOUS HEALTH CONDITION THAT REQUIRES CARE

The Health Insurance Portability and Accountability Act Authorization. I authorize any physician, practitioner, hospital, vocational rehabilitation counselor or workers' compensation insurance carrier to furnish and disclose to my care provider, who is the claimant named and described in part 1 of this claim, and to employees of California Employment Development Department (EDD) all facts concerning my condition that are within their knowledge and to allow inspection of and provide copies of any medical and billing records concerning my condition that are under their control. I understand that EDD may disclose information as authorized by the California Unemployment Insurance Code and that such redisclosed information may no longer be protected by this rule. I agree that photocopies of this authorization shall be as valid as the original. I understand that unless revoked by me in writing, this authorization is valid for fifteen years from the date received by EDD or the effective date of the claim, whichever is later. I understand that I may not revoke this authorization to avoid persecution or to prevent EDD's recovery of monies to which it is legally entitled.

I CERTIFY THAT THE DATES AND STATEMENTS MADE HEREIN ARE, TO THE BEST OF MY KNOWLEDGE, TRUE, CORRECT, AND COMPLETE.
* If your signature is made by mark (x), it must be attested by two witnesses with their addresses

X _____ _____
* SIGNATURE OF CARE RECIPIENT DATE SIGNED

IF YOU ARE SIGNING ON BEHALF OF CARE RECIPIENT, WHAT IS YOUR RELATIONSHIP TO HIM/HER? _____

PART FOUR BONDING CERTIFICATION (TO BE COMPLETED BY PERSON CLAIMING PFL BENEFITS TO BOND WITH A CHILD)

LAST NAME OF CHILD	FIRST NAME OF CHILD	INITIAL	SOCIAL SECURITY	DATE OF BIRTH	SEX
			___-___-___	___/___/___	☐ MALE ☐ FEMALE

HOME ADDRESS	CITY	STATE	ZIP CODE	HOME PHONE

DATE OF FOSTER CARE OR ADOPTION PLACEMENT	CHILD IS MY: ☐BIOLOGICAL CHILD, ☐STEPCHILD, ☐FOSTER CHILD ☐ ADOPTED CHILD ☐OTHER_____

AS EVIDENCE OF THE RELATIONSHIP CHECK ONE OF THE FOLLOWING AND ATTACH A COPY OF THE DOCUMENT INDICATED. (do not send original - it will not be returned)

- ☐ CHILD'S BIRTH CERTIFICATE,
- ☐ HOSPITAL DISCHARGE RECORD,
- ☐ DECLARATION OF PATERNITY, CS809,
- ☐ FOSTER CARE PLACEMENT RECORD, SOC 815,
- ☐ CERTIFICATE OF PLACEMENT, AD 937,
- ☐ CHILD'S PASSPORT SHOWING IMMIGRATION AND NATURALIZATION SERVICE STAMP I-151
- ☐ INDEPENDENT ADOPTION PLACEMENT AGREEMENT, AD 924 OR
- ☐ OTHER

Declaration and Signature. By my signature on this bonding certification, I authorize the medical provider, adoption agency, adoption parties or foster care placement agency to disclose to the EDD and Sedgwick CMS all facts concerning the birth, adoption, or foster care placement of the above-named child. I understand that willfully making a false statement or concealing a material fact in order to obtain payment of benefits is a violation of California law punishable by imprisonment or fine or both. I declare under penalty of perjury that the foregoing statement, including any accompanying statements or documents is to the best of my knowledge and belief true, correct and complete. I agree that photocopies of this authorization shall be as valid as the original and I understand that authorizations contained in this claim statement are granted for a period of fifteen years from the day of my signature or the effective date of the claim, whichever is later.

I CERTIFY THAT THE DATES AND STATEMENTS MADE HEREIN ARE, TO THE BEST OF MY KNOWLEDGE, TRUE, CORRECT, AND COMPLETE.
* If your signature is made by mark (x), it must be attested by two witnesses with their addresses

X _____ _____
* SIGNATURE DATE SIGNED

IF YOU ARE SIGNING ON BEHALF OF EMPLOYEE / CLAIMANT, WHAT IS YOUR RELATIONSHIP TO HIM/HER? _____

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SEDGWICK CMS
3230 E. FOOTHILL BLVD., SUITE 250
PASADENA, CA 91107
TEL NO (800) 939-4911
FAX NO: (626) 568-1440

PATIENT	EMPLOYEE	EMPLOYEE SSN _____-___-_____

PART FIVE - MEDICAL AUTHORIZATION FOR RELEASE OF CARE RECIPIENT'S INFORMATION IN CONNECTION WITH THE CARE PROVIDER'S REQUEST FOR PAID FAMILY LEAVE

I authorize the use or disclosure of my individually identifiable health information, as described below, for purposes of administering a claim or request for leave from work of a care provider on my behalf. I understand that the information I authorize to be used or disclosed possibly may be redisclosed in accordance with the terms of this Authorization by the recipient and may no longer be protected by federal privacy regulations.

I specifically authorize physicians, nurses and hospitals to communicate information by any reasonable means, including written or telephonic communications or by direct interview, whether or not I am present during or notified of such communications, and I hereby authorize Sedgwick CMS to initiate and conduct such communications whether or not I am present or have received notice.

1. **What Information is covered by this Authorization.** This authorization applies to all medical, psychological, and/or psychiatric information, records and reports, including information regarding pre-existing conditions (a) that are in existence while this authorization is valid (see Item 3) and (b) that are related to my medical condition for which a care provider has requested a leave of absence under Paid Family Leave (PFL).

Information to be disclosed may include, but is not limited to, medical history, chart notes, prescriptions, diagnostic test results, x-ray reports, and records received from other health providers. If directly related to my claimed condition, I am authorizing the release of the following information **(Please check "yes" to release the information or "no" to not release it and initial your choice. NOTE: checking "yes" or "no" does NOT mean that you have any of the following conditions or that any of the following types exists):**

HIV test results, HIV or AIDS information.	YES ☐	NO ☐	Initial here _____
Psychiatric information.	YES ☐	NO ☐	Initial here _____
Information related to drug or alcohol abuse.	YES ☐	NO ☐	Initial here _____

2. **Who is covered by this Authorization.**

A. Any person or facility that attends, treats or examines me, including but not limited to _____ (specific name, if needed) is to make this information available to Sedgwick Claims Management Services, Inc. ("Sedgwick CMS") or its representative; and

B. When relevant to a claim or leave of absence, Sedgwick CMS may re-disclose (without further authorization) this information to any of the following, (a) Any person or facility that attends, treats or examines me; (b) Any person or facility that impacts determination of my claim or that coordinates my benefits, including without limitation the employer to the extent permitted by state or federal law; (c) any person acting as my care provider under PFL. Sedgwick CMS may use information obtained pursuant to this authorization in any other claim matter they handle related to me.

3. **How Long this Authorization is Valid**. This authorization is valid during the duration of a claim(s) and any future related claims, unless a different period is required under state law--release in connection with a claim for benefits for health insurance may not remain valid longer than the term of coverage of the policy; or for the duration of the claim for all other insurance claims.

4. **Revocation of this Authorization.** Unless otherwise provided by state law, I understand that I may revoke this authorization at any time by notifying, in writing, Sedgwick CMS at 3280 E. Foothill Blvd., Ste. 250, Pasadena CA 91107. I also understand that the revocation will not have any effect on any actions taken before they received the revocation.

5. **Refusal To Sign**. This Authorization is necessary for the processing of a claim, request for reasonable accommodation or leave of absence. Failure to sign this Authorization may impair or impede the processing of the claim, request for reasonable accommodation or leave of absence. I understand my treatment provider will not condition treatment, payment, enrollment or eligibility on the refusal to sign this authorization.

I understand that I have the right to request and receive a copy of this authorization. I understand that I have the right to inspect the disclosed information at any time. A photocopy of this authorization shall be valid and is to be accepted with the same effect as the original.

Signature of Patient or Patient's Representative	Patient's Address
Printed Name of Patient or Patient's Representative	Patient's Social Security Number
Representative's Relationship to Patient, if applicable	First Day Absent
Date Signed	Name of Care Provider Name of Care Provider's Employer

Copy Received ____ (Initial)

04/12/04

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FAMILY CARE AND MEDICAL LEAVE POLICY

It is the policy of the University of San Francisco to provide family care and medical leave to eligible employees in accordance with the requirements of the California Medical Family Rights Act of 1993 (CFRA) and the federal Family and Medical Leave Act of 1993 (FMLA) in effect at the time leave is granted. Eligible employees requesting leave pursuant to University policy or a collective bargaining agreement which qualifies as family care and medical leave are entitled to 12 work-weeks of unpaid leave within a 12-month period.

1. Eligible Employees. To be eligible for family care and medical leave benefits, an employee must: (a) have worked for a total of at least twelve months; and (b) have worked at least 1,250 hours during the previous 12 months.

2. Reasons for Taking Leave. Eligible employees may request family and medical leave for one or more of the following reasons:

   (a) the birth of the employee's child or the placement of a child with the employee through adoption or foster care, or to care for such child during the first year of life;

   (b) care of the employee's parent, spouse, or child who has a serious health condition; or

   (c) the employee's own serious health condition which causes the employee to be unable to perform his or her job duties.

3. Definitions. For purposes of this policy, the following definitions apply:

   (a) Child means the employee's biological, adopted, or foster son or daughter, the employee's stepson or stepdaughter, a legal ward of the employee, or a child for whom the employee stands *in loco parentis*.

   (b) Parent means the biological, foster or adoptive parent of the employee, a stepparent, or a legal guardian or other person who stood *in loco parentis* to the employee when the employee was a child. Parent does not include parents-in-law.

   (c) Serious health condition means an illness, injury, impairment, or physical or mental condition that involves: (i) any period of incapacity or treatment in connection with or consequent to inpatient care in a hospital, hospice or residential medical care facility; or (ii) any period of incapacity requiring absence from work, school, or other regular daily activities of more than three calendar days that also involves continuing treatment by a health care provider; or (iii) continuing treatment by a health-care provider for a chronic or long term health condition that is incurable, or so serious that, if not treated would likely result in a period of incapacity of more than three calendar days.

4. Length/Calculation of Family Care and Medical Leave Periods. Eligible employees are entitled to 12 weeks of unpaid family care and medical leave during the 12-month period

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commencing on the date the employee s first family care and medical leave begins. The employee's next 12-month period begins on the date leave is taken after completion of any previous 12-month period.

5. Leave Conditions.

(a) Procedure. An employee requesting family care and medical leave must complete an application for leave to Human Resources.

(b) Advance Notice. Thirty (30) days advance notice is required if the need for family care and medical leave is foreseeable (*e.g.*, the birth of a child or a planned medical treatment). If the need for leave is not foreseeable, notice must be provided within a reasonable time after learning of the need for leave.

(c) Failure to Provide Notice. If an employee fails to provide 30 days notice of the need for family care and medical leave, the University may deny leave until 30 days after date the employee provides notice.

(d) Medical Certification. The University may require written certification from a health care provider of either the employee's own serious health condition or the serious health condition of the employee's family member.

(e) Intermittent Leave. Under some circumstances, employees may take family care and medical leave intermittently by taking blocks of time or reducing the normal weekly or daily work schedule. Leave taken intermittently will be deducted from the employee's entitlement to leave in one hour increments.

(f) Substitution of Sick Leave, Vacation Time. Employees may elect to substitute some or all of their accrued sick leave for their own serious health condition and may elect to substitute up to a maximum of 6 days of their accrued sick leave for the birth, placement or care of a child during the first year of the child's life, or for the serious health condition of a parent, spouse, or child. Employees may elect to substitute some or all of their accrued vacation time for any leave under this policy. Employees are not required to substitute accrued sick leave and vacation for any leave under this policy.

(g) Baby Bonding When Both Parents Are Employees. When family care and medical leave is taken for baby bonding, and both parents are employees of the University, the parents' combined total leave is limited to 12 weeks in any 12-month period.

(h) Pregnancy. Pregnant employees may have the right to take a pregnancy disability leave in addition to family care leave Contact Human Resources for more information on pregnancy leave.

(i) University Designated FMLA Leave. The University may designate leave as FMLA leave if the leave meets the requirements set forth in paragraphs 1 through 3 above, even when an employee does not specifically request FMLA or family care and medical leave.

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6. Benefits During Family Care and Medical Leave.

(a) Health Benefits. Coverage under any group health plan (*e.g.*, medical, dental, vision) will be maintained during any family care and medical leave in accordance with the plan document governing the provision of benefits. The employee is responsible for paying his or her portion of any premiums normally deducted from the employee's paycheck, and must pay such amounts at the time they are normally deducted. Failure to pay the employee portion of any plan premium within 30 days of the due date will result in cancellation of the employee's enrollment in that plan.

(b) Vacation/Sick Time. Employees do not earn vacation pay or sick leave while on unpaid family care and medical leave. Employees on an intermittent or reduced schedule leave earn vacation or other leave at the same rate as part-time employees working similar schedules.

(c) Retirement Plans. Retirement contributions to a defined contribution plan or service credits to a defined benefit plan do not accrue during any unpaid family care and medical leave.

7. Return to Work Following Family Care and Medical Leave. Returning to work may be contingent upon a written certification from a health care provider that the employee is fully able to perform all essential duties of the position as described in the job description, in accordance with the Americans with Disabilities Act. An employee who is granted family care and medical leave is guaranteed the same or comparable position upon return to work at no less than the same pay rate, classification, shift, work schedule, without loss of seniority, and without any waiting period for benefits.

8. Failure to return from Leave. The failure of an employee to return to work upon the expiration of family care and medical leave shall be treated as the employee's voluntary resignation from employment at the University. Employees who do not return to work from family care and medical leave are liable for payment of any health plan premiums paid by the University during the leave. Employees covered by collective bargaining agreements are subject to the terms and conditions set forth in those agreements as they relate to failure to return from leave.

9. Additional Information. Contact Human Resources for more information about family care and medical leave and related leaves.

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UNIVERSITY OF SAN FRANCISCO
FAMILY AND MEDICAL LEAVE MEDICAL CERTIFICATION

To be completed by the patient's health care provider:

1. Employee's Name: _____

2. Patient's Name (if other than employee): _____

3. Date medical condition or need for treatment commenced: _____
(Note: The health care provider is not to disclose the underlying diagnosis without the consent of the patient.)

4. Probable duration of medical condition or need for treatment: _____

5. The attached sheet describes what is meant by a "serious health condition" under both the federal Family and Medical Leave Act (FMLA) and the California Family Rights Act (CFRA). Does the patient's condition qualify under any of the categories described?

☐ Yes ☐ No

6. If the certification is for the serious health condition of the employee, please answer the following:

a. Is the employee able to perform work of any kind?

☐ Yes ☐ No

b. Is the employee able to perform the essential functions of the employee's position? Answer after reviewing the employer's job description that includes the essential functions of the employee's position, or if none provided, after discussing with the employee.

☐ Yes ☐ No

7. If the certification is for the care of the employee's family member, please answer the following:

a. The patient does or will require assistance for basic medical, hygiene, nutritional needs, safety or transportation.

☐ Yes ☐ No

b. After review of the employee's signed statement (See item 12, attached) does the condition warrant the participation of the employee? (This participation may include psychological comfort and/or arranging for third-party care for the family member.)

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☐ Yes ☐ No

8. Estimate the period of time care will be needed or during which the employee's presence would be beneficial:

   Estimate: _____

9. Please answer the following question only if the employee is asking for intermittent leave or a reduced work schedule:

   a. Is it medically necessary for the employee to be off work on an intermittent basis or to work less than the employee's normal work schedule in order to deal with the serious health condition of the employee or family member?

      ☐ Yes ☐ No

   b. If the answer to "a" is yes, please indicate the estimated number of doctor's visits, and/or estimated duration of medical treatment, either by the health care practitioner or another provider of health services upon referral from the health care provider.

   Estimate: _____

10. _____ _____
    Signature of Health Care Provider Date

11. _____ _____
    Signature of Employee Date

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To be completed by the employee needing family leave to care for a seriously ill family member. Please provide to the health care provider under separate cover. This information is not to be provided to the employer.

12. When family care leave is needed to care for a seriously ill family member, the employee must state the care he/she will provide and an estimate of the time period during which this care will be provided, including a schedule if leave is to be taken intermittently or on a reduced work schedule:

_____
_____
_____
_____
_____

13. _____ _____
Signature of Employee Date

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Definitions
(Attach to Medical Certification)

A "serious health condition" means an illness, injury, impairment, or physical or mental condition that involves one of the following:

1. Hospital Care

   Inpatient care (i.e., an overnight stay) in a hospital, hospice, or residential medical care facility, including any period of incapacity or subsequent treatment in connection with or consequent to such inpatient care.

2. Absence Plus Treatment

   a. A period of incapacity of more than three consecutive calendar days (including any subsequent treatment or period of incapacity relating to the same condition), that also involves:

      - Treatment two or more times by a health care provider, by a nurse or physician's assistant under direct supervision of a health care provider, or by a provider of health care services (e.g., physical therapist) under orders of, or on referral by, a health care provider; or

      - Treatment by a health care provider on at least one occasion which results in a regimen of continuing treatment under the supervision of the health care provider.

3. Pregnancy

   (Note: An employee's own incapacity due to pregnancy is covered as a serious health condition under FMLA but not under CFRA.)

   A period of incapacity due to pregnancy, or for prenatal care.

4. Chronic Conditions Requiring Treatment

   A chronic condition which:

   a. Requires periodic visits for treatment by a health care provider, or by a nurse or physician's assistant under direct supervision of a health care provider;

   b. Continues over an extended period of time (including recurring episodes of a single underlying condition); and

   c. May cause episodic rather than a continuing period of incapacity (e.g., asthma, diabetes, epilepsy, etc.).

5. Permanent/Long-Term Conditions Requiring Supervision

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A period of incapacity that is permanent or long-term due to a condition for which treatment may not be effective. The employee or family member must be under the continuing supervision of, but need not be receiving active treatment by, a health care provider. Examples include Alzheimer's, a severe stroke, or the terminal stages of a disease.

6. Multiple Treatments (Non-Chronic Conditions)

Any period of absence to receive multiple treatments (including any period of recovery therefrom) by a health care provider or by a provider of health care services under orders of, or on referral by, a health care provider, either for restorative surgery after an accident or other injury, or for a condition that would likely result in a period of incapacity of more than three consecutive calendar days in the absence of medical intervention or treatment, such as cancer (chemotherapy, radiation, etc) severe arthritis (physical therapy), kidney disease (dialysis).

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John,

Please complete form
+ send to appropriate
carrier.

If you have any questions,
please call Martha Peugh
Wade @ (415) 422-2444.

Sharon
X2834

FILING A DISABILITY CLAIM

In order to file for disability benefits under the University of San Francisco Voluntary Disability Plan, four (4) forms must be completed: Employee Claim Form, Physician Statement, the Authorization for Release of Medical Information, and the Employer's Notice of Claim. Incomplete forms will cause a delay in processing your disability claim and will be returned to you to provide the missing information. If a section of the form does not apply, write "NONE" so that we know you did not overlook the question. All forms must be mailed to Sedgwick CMS.

Employee's Responsibility – Employee / Physician / Authorization Forms

1. You must complete ALL items on Part One of the Employee Claim Form.

2. You must also fully complete the Authorization form for each source of medical treatment. Please fill-in the name of the physician(s) or hospital providing medical treatment during your disability. Please remember to complete and to sign the Authorization(s) to release information. If you need more than one Authorization form because you have more than one treating source, please photocopy or print additional copies of the form and complete an Authorization for each medical source.

3. Ask your Doctor to complete ALL of the questions in Part Two (Physician's Statement) so that Sedgwick CMS can evaluate your disability.

4. Have your Doctor mail the completed packet (Employee form, Physician Statement, and Authorization forms) to Sedgwick CMS within 45 days from your date of disability. The address is printed below.

Employer's Responsibility - Employer's Notice of Claim

Your Employer's Representative will complete a separate form and will forward it directly to Sedgwick CMS.

You are responsible for making sure that the Employee / Physician / Authorization Forms are completed and returned to Sedgwick CMS. Processing of your disability claim will begin when all completed forms are received by Sedgwick CMS. If you have any questions please contact your Employer's Representative or Sedgwick CMS.

Claims Administered by:

Sedgwick CMS

3280 East Foothill Blvd., Suite 250, Pasadena, CA 91107
(626) 568-1415 • FAX (626) 568-1440
(800) 939-4911

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USF
UNIVERSITY of SAN FRANCISCO

VOLUNTARY PLAN for STATE DISABILITY BENEFITS
CALIFORNIA EMPLOYEES

PART ONE – EMPLOYEE / CLAIMANT'S STATEMENT

LAST NAME	FIRST NAME	INITIAL	SOCIAL SECURITY	DATE OF BIRTH	SEX ☐ MALE ☐ FEMALE	EMPLOYEE #	DEPT/LOCATION

HOME ADDRESS	CITY	STATE	ZIP CODE	HOME PHONE	WORK PHONE

NATURE OF DISABILITY – MEDICAL CONDITION THAT PREVENTS YOU FROM WORKING	DOCTOR'S NAME	DR'S PHONE NUMBER

WHAT WAS THE FIRST DAY YOU WERE UNABLE TO WORK DUE TO THIS DISABILITY?

DATE OF FIRST TREATMENT

HAVE YOU RETURNED TO WORK? ☐ YES ☐ NO

HAS A PREVIOUS CLAIM BEEN MADE FOR THIS SAME DISABILITY? ☐ YES ☐ NO

ARE ANY OF THE DISABILITIES CONCERNING THIS CLAIM CAUSED BY EMPLOYMENT? ☐ YES ☐ NO

HAVE YOU FILED FOR OR ARE YOU RECEIVING WORKERS' COMPENSATION BENEFITS? ☐ YES ☐ NO WEEKLY AMOUNT $

IS THIS CLAIM BASED ON AN ACCIDENT? ☐ YES ☐ NO DATE OF ACCIDENT ___/___/___

PLEASE DESCRIBE:

HAVE YOU FILED FOR OR RECEIVED UNEMPLOYMENT INSURANCE BENEFITS? ☐ YES ☐ NO

WERE YOU / ARE YOU / WILL YOU BE HOSPITAL CONFINED AS A BED-PATIENT? ☐ YES ☐ NO

NAME OF HOSPITAL

ADDRESS

CITY STATE ZIP

DATE ADMITTED RELEASED

YOU MAY BE ELIGIBLE FOR A STATE-PLAN BENEFIT ALONG WITH YOU VOLUNTARY PLAN BENEFIT. HAVE YOU RECEIVED WAGES FROM ANY OTHER EMPLOYER OR COMPANY (INCLUDING SELF-EMPLOYMENT) IN THE LAST 3 MONTHS? ☐ YES ☐ NO

NAME OF OTHER EMPLOYER

ADDRESS

CITY STATE ZIP

ARE YOU STILL EMPLOYED OR ON CALL? ☐ YES ☐ NO

DATE EMPLOYMENT BEGAN

DATE EMPLOYMENT ENDED

WHAT IS YOUR JOB TITLE/USUAL AND CUSTOMARY OCCUPATION?

BRIEF DESCRIPTION OF DUTIES:

DURING AN AVERAGE WORKDAY, HOW MANY HOURS ARE SPENT PERFORMING THE FOLLOWING FUNCTIONS:

SITTING _____ STANDING _____ WALKING _____ READING _____ WRITING _____ TYPING _____ DRIVING _____

(CHECK APPLICABLE)

REPETITIVE MOTIONS	NEVER	OCCASIONALLY (1-33%)	FREQUENT (34-66%)	CONTINUOUS (67-100%)
BEND				
KNEEL				
CRAWL				
CLIMB STAIRS				
REACH ABOVE SHOULDER				
PUSH/PULL ____ LBS.				
TWIST (NECK)				
TWIST (WAIST)				
SQUAT				

LIFTING/CARRYING	NEVER	OCCASIONALLY (1-33%)	FREQUENT (34-66%)	CONTINUOUS (67-100%)
1-10 LBS.				
11-20 LBS.				
21-50 LBS.				
OVER 50 LBS.				

ARE YOU ABLE TO USE EITHER ARM FOR:

	LEFT Y	LEFT N	RIGHT Y	RIGHT N
SIMPLE GRASPING	☐	☐	☐	☐
FORCEFUL GRIPPING	☐	☐	☐	☐

I CERTIFY THAT THE DATES AND STATEMENTS MADE HEREIN ARE, TO THE BEST OF MY KNOWLEDGE, TRUE, CORRECT, AND COMPLETE.

X _____ _____

SIGNATURE DATE

IF YOU ARE SIGNING ON BEHALF OF EMPLOYEE / CLAIMANT, WHAT IS YOUR RELATIONSHIP TO HIM/HER? _____

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SDA 71

UNIVERSITY OF SAN FRANCISCO VOLUNTARY DISABILITY PLAN

SEDGWICK CMS
3280 E. FOOTHILL BLVD SUITE 250
PASADENA, CA 91107
TEL NO: (800) 930-4311
FAX NO: (626) 568-1440

PART TWO – PHYSICIAN'S STATEMENT / Please complete all the questions.

EMPLOYEE NAME | SOCIAL SECURITY NUMBER

DIAGNOSIS AND CONCURRENT CONDITIONS | ICD-9 CODE

IF PREGNANCY DIAGNOSIS PROVIDE ESTIMATED DELIVERY DATE / / | ACTUAL DELIVERY DATE / / | ☐ VAGINAL ☐ C-SECTION

SEVERITY | MEDICATION / TREATMENT PRESCRIBED

DATE PATIENT FIRST CONSULTED YOU FOR THIS CONDITION / / | IS PATIENT STILL UNDER YOUR CARE FOR THIS CONDITION? ☐ YES ☐ NO

DATES OF SERVICES: | DATES PATIENT WAS CONTINUOUSLY TOTALLY DISABLED (UNABLE TO WORK): FROM / / THROUGH / /

IF STILL DISABLED, WHEN SHOULD PATIENT BE ABLE TO RETURN TO WORK / / (A SPECIFIC DATE IS REQUIRED FOR BENEFIT ELIGIBILITY.)

WAS PATIENT HOSPITAL CONFINED AS AN INPATIENT? (PLEASE INCLUDE ADMISSION AND DISCHARGE SUMMARY) ☐ YES ☐ NO | NAME OF HOSPITAL | ADMITTED / / DISCHARGED / /

WAS PATIENT TREATED IN A HOSPITAL SURGICAL UNIT OR SURGICAL CLINIC? ☐ YES ☐ NO | DATE / / | NAME OF UNIT/CLINIC

IS CONDITION DUE TO INJURY OR SICKNESS ARISING OUT OF PATIENT'S EMPLOYMENT (WORK-RELATED)? ☐ YES ☐ NO | WAS DISABILITY CAUSED BY AN ACCIDENT? ☐ YES ☐ NO

HISTORY

(A) WHEN DO SYMPTOMS FIRST APPEAR OR ACCIDENT HAPPEN? ___/___/___

(B) FIRST DATE YOU DETERMINED PATIENT WAS UNABLE TO WORK ___/___/___

(C) HAS PATIENT EVER HAD SAME OR SIMILAR CONDITION? ☐ YES ☐ NO

IF YES WHEN AND DESCRIBE

(D) DO YOUR RECORDS REFLECT THAT THE PATIENT HAS SEEN ANY OTHER DOCTORS FOR THIS OR A RELATED CONDITION? ☐ YES ☐ NO

IF YES PLEASE GIVE NAMES AND ADDRESSES

NAME | NAME

ADDRESS | ADDRESS

PHONE | PHONE

PRESENT CONDITION

(A) OBJECTIVE FINDINGS ON PHYSICAL EXAM (INCLUDE RESULTS OF CURRENT X-RAYS EKG'S OR ANY OTHER SPECIAL TESTS)

(B) SUBJECTIVE SYMPTOMS

(C) IS PATIENT ☐ AMBULATORY ☐ BED CONFINED ☐ HOME CONFINED ☐ HOSPITAL CONFINED

EXTENT OF DISABILITY FOR REGULAR OCCUPATION

(A) IS PATIENT NOW TOTALLY DISABLED? ☐ YES ☐ NO

(B) IF NO, WHEN WAS PATIENT ABLE TO RETURN TO WORK? ___/___/___

(C) IF YES, WHEN DO YOU THINK PATIENT WILL BE ABLE TO RESUME ANY WORK? APPROXIMATE DATE / /

PHYSICAL IMPAIRMENT (AS DEFINED IN FEDERAL DICTIONARY OF OCCUPATIONAL TITLES)

☐ CLASS 1 NO LIMITATION OF FUNCTIONAL CAPACITY; CAPABLE OF HEAVY WORK; NO RESTRICTION (0-10%)
☐ CLASS 2 MEDIUM MANUAL ACTIVITY. (15-30%)
☐ CLASS 3 SLIGHT LIMITATION OF FUNCTIONAL CAPACITY; CAPABLE OF LIGHT WORK. (35-55%)
☐ CLASS 4 MODERATE LIMITATION OF FUNCTIONAL CAPACITY; CAPABLE OF CLERICAL/ADMINISTRATION (SEDENTARY) ACTIVITY. (60-70%)
☐ CLASS 5 SEVERE LIMITATION OF FUNCTIONAL CAPACITY; INCAPABLE OF MINIMUM (SEDENTARY) ACTIVITY. (75-100%)

REMARKS:

I HEREBY CERTIFY THAT THE ABOVE STATEMENTS IN MY OPINION TRULY DESCRIBE THE PATIENT'S DISABILITY (IF ANY) AND THE ESTIMATED DURATION THEREOF.

PHYSICIAN'S NAME | DEGREE | SPECIALTY | STATE LICENSED TO PRACTICE | STATE LICENSE NUMBER

ADDRESS | CITY | STATE | ZIP

PHONE ( ) - | FAX ( ) - | IRS#

X _____ DATE _____
ORIGINAL SIGNATURE REQUIRED

PLEASE MAIL PROMPTLY
THANK YOU

AUTHORIZATION FOR RELEASE OF INFORMATION

I authorize the use or disclosure of my individually identifiable health information, as described below, for purposes of administering my claim. I understand that the information I authorize to be used or disclosed possibly may be redisclosed in accordance with the terms of this Authorization by the recipient and may no longer be protected by federal privacy regulations. This Authorization is necessary for the processing of your claim or request for reasonable accommodation. Failure to sign this Authorization may impair or impede the processing of your claim or request for reasonable accommodation.

1 **What Information is covered by this Authorization.** This authorization applies to all medical psychological, and/or psychiatric information, records and reports, including information regarding pre-existing conditions (a) that are in existence while this authorization is valid (see Item 3) and (b) that are related to the following **Please check all that apply:**

☐ my claim for disability benefits ☐ my request for FMLA

Information to be disclosed may include, but is not limited to, medical history, chart notes prescriptions, diagnostic test results, x-ray reports, and records received from other health providers. If directly related to my claimed condition, this information may include the following, **Please check yes or no and initial: NOTE: checking these boxes does not mean that you have any of the conditions listed.**

HIV test results HIV or AIDS information	YES ☐	NO ☐	Initial here _____
Psychiatric information.	YES ☐	NO ☐	Initial here _____
Information related to drug or alcohol abuse.	YES ☐	NO ☐	Initial here _____

2. **Who is covered by this Authorization.**

A. Any person or facility that attends, treats or examines me including by not limited to _____ _____ (specific name, if needed) is to make this information available to Sedgwick CMS or its representative; and

B. When relevant to my claim Sedgwick CMS may re-disclose (without further authorization) this information to any of the following, (a) Any person or facility that attends, treats or examines me; (b) Any person or facility that impacts determination of my claim or that coordinates my benefits, including without limitation the employer to the extent permitted by state or federal law; or (c) The Social Security Administration or a social security or vocational rehabilitation vendor.

3 **How Long this Authorization is Valid.** This authorization is valid during the pendency of my claim unless a different period is required under state law

4. **Revocation of this Authorization.** Unless otherwise provided by state law, I understand that I may revoke this authorization at any time by notifying, in writing, Sedgwick CMS at _____. I also understand that the revocation will not have any effect on any actions taken before they received the revocation

I understand that I have the right to request and receive a copy of this authorization. I understand that I have the right to inspect the disclosed information at any time A photocopy of this authorization shall be valid and is to be accepted with the same effect as the original.

Name of Patient	Signature of Patient or Patient's Representative*	Date
Patient's Social Security Number	Patient's Address	First Day Absent
*Please complete if signed by the patient's representative:	Printed name of Patient's Representative	Relationship to Patient

Copy Received_____ (MM/)

Sedgwick CMS – 05/08

SDA 72

FAMILY CARE AND MEDICAL LEAVE POLICY

It is the policy of the University of San Francisco to provide family care and medical leave to eligible employees in accordance with the requirements of the California Medical Family Rights Act of 1993 (CFRA) and the federal Family and Medical Leave Act of 1993 (FMLA) in effect at the time leave is granted. Eligible employees requesting leave pursuant to University policy or a collective bargaining agreement which qualifies as family care and medical leave are entitled to 12 work-weeks of unpaid leave within a 12-month period.

1. Eligible Employees. To be eligible for family care and medical leave benefits, an employee must: (a) have worked for a total of at least twelve months; and (b) have worked at least 1,250 hours during the previous 12 months.

2. Reasons for Taking Leave. Eligible employees may request family and medical leave for one or more of the following reasons:

   (a) the birth of the employee s child or the placement of a child with the employee through adoption or foster care, or to care for such child during the first year of life;

   (b) care of the employee s parent, spouse, or child who has a serious health condition; or

   (c) the employee s own serious health condition which causes the employee to be unable to perform his or her job duties.

3. Definitions. For purposes of this policy, the following definitions apply:

   (a) Child means the employee s biological, adopted, or foster son or daughter, the employee's stepson or stepdaughter, a legal ward of the employee, or a child for whom the employee stands *in loco parentis*.

   (b) Parent means the biological, foster or adoptive parent of the employee, a stepparent, or a legal guardian or other person who stood *in loco parentis* to the employee when the employee was a child. Parent does not include parents-in-law.

   (c) Serious health condition means an illness, injury, impairment, or physical or mental condition that involves: (i) any period of incapacity or treatment in connection with or consequent to inpatient care in a hospital, hospice or residential medical care facility; or (ii) any period of incapacity requiring absence from work, school, or other regular daily activities of more than three calendar days that also involves continuing treatment by a health care provider; or (iii) continuing treatment by a health-care provider for a chronic or long term health condition that is incurable, or so serious that, if not treated would likely result in a period of incapacity of more than three calendar days.

4. Length/Calculation of Family Care and Medical Leave Periods. Eligible employees are entitled to 12 weeks of unpaid family care and medical leave during the 12-month period

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commencing on the date the employee's first family care and medical leave begins. The employee's next 12-month period begins on the date leave is taken after completion of any previous 12-month period.

5. Leave Conditions.

(a) Procedure. An employee requesting family care and medical leave must complete an application for leave to Human Resources.

(b) Advance Notice. Thirty (30) days advance notice is required if the need for family care and medical leave is foreseeable (*e.g.*, the birth of a child or a planned medical treatment). If the need for leave is not foreseeable, notice must be provided within a reasonable time after learning of the need for leave.

(c) Failure to Provide Notice. If an employee fails to provide 30 days notice of the need for family care and medical leave, the University may deny leave until 30 days after date the employee provides notice.

(d) Medical Certification. The University may require written certification from a health care provider of either the employee's own serious health condition or the serious health condition of the employee's family member.

(e) Intermittent Leave. Under some circumstances, employees may take family care and medical leave intermittently by taking blocks of time or reducing the normal weekly or daily work schedule. Leave taken intermittently will be deducted from the employee's entitlement to leave in one hour increments.

(f) Substitution of Sick Leave, Vacation Time. Employees may elect to substitute some or all of their accrued sick leave for their own serious health condition and may elect to substitute up to a maximum of 6 days of their accrued sick leave for the birth, placement or care of a child during the first year of the child's life, or for the serious health condition of a parent, spouse, or child. Employees may elect to substitute some or all of their accrued vacation time for any leave under this policy. Employees are not required to substitute accrued sick leave and vacation for any leave under this policy.

(g) Baby Bonding When Both Parents Are Employees. When family care and medical leave is taken for baby bonding, and both parents are employees of the University, the parents' combined total leave is limited to 12 weeks in any 12-month period.

(h) Pregnancy. Pregnant employees may have the right to take a pregnancy disability leave in addition to family care leave. Contact Human Resources for more information on pregnancy leave.

(i) University Designated FMLA Leave. The University may designate leave as FMLA leave if the leave meets the requirements set forth in paragraphs 1 through 3 above, even when an employee does not specifically request FMLA or family care and medical leave.

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6. Benefits During Family Care and Medical Leave.

(a) Health Benefits. Coverage under any group health plan (*e.g.*, medical, dental, vision) will be maintained during any family care and medical leave in accordance with the plan document governing the provision of benefits. The employee is responsible for paying his or her portion of any premiums normally deducted from the employee's paycheck, and must pay such amounts at the time they are normally deducted. Failure to pay the employee portion of any plan premium within 30 days of the due date will result in cancellation of the employee's enrollment in that plan.

(b) Vacation/Sick Time. Employees do not earn vacation pay or sick leave while on unpaid family care and medical leave. Employees on an intermittent or reduced schedule leave earn vacation or other leave at the same rate as part-time employees working similar schedules.

(c) Retirement Plans. Retirement contributions to a defined contribution plan or service credits to a defined benefit plan do not accrue during any unpaid family care and medical leave.

7. Return to Work Following Family Care and Medical Leave. Returning to work may be contingent upon a written certification from a health care provider that the employee is fully able to perform all essential duties of the position as described in the job description, in accordance with the Americans with Disabilities Act. An employee who is granted family care and medical leave is guaranteed the same or comparable position upon return to work at no less than the same pay rate, classification, shift, work schedule, without loss of seniority, and without any waiting period for benefits.

8. Failure to return from Leave. The failure of an employee to return to work upon the expiration of family care and medical leave shall be treated as the employee's voluntary resignation from employment at the University. Employees who do not return to work from family care and medical leave are liable for payment of any health plan premiums paid by the University during the leave. Employees covered by collective bargaining agreements are subject to the terms and conditions set forth in those agreements as they relate to failure to return from leave.

9. Additional Information. Contact Human Resources for more information about family care and medical leave and related leaves.

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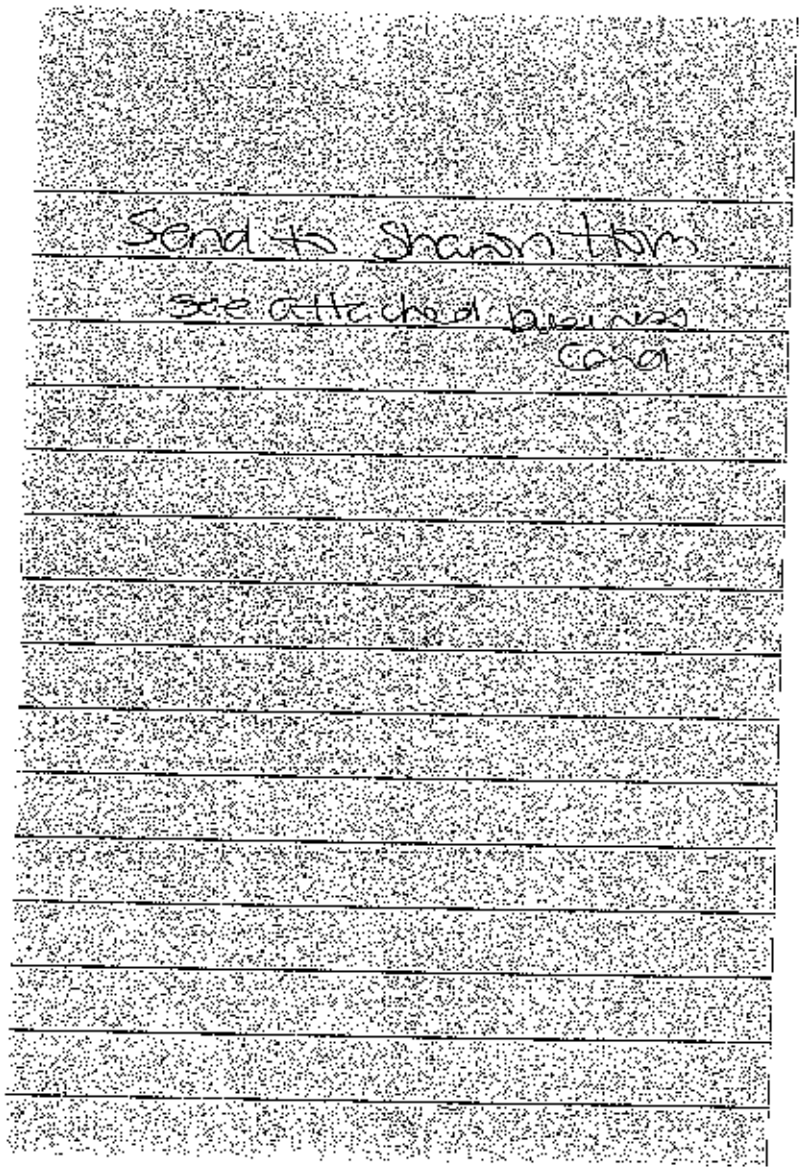
Send to Sharon HDM
See attached business
card

UNIVERSITY OF SAN FRANCISCO
FAMILY AND MEDICAL LEAVE MEDICAL CERTIFICATION

To be completed by the patient's health care provider:

1. Employee's Name: _____

2. Patient's Name (if other than employee): _____

3. Date medical condition or need for treatment commenced: _____
(Note: The health care provider is not to disclose the underlying diagnosis without the consent of the patient.)

4. Probable duration of medical condition or need for treatment: _____

5. The attached sheet describes what is meant by a "serious health condition" under both the federal Family and Medical Leave Act (FMLA) and the California Family Rights Act (CFRA). Does the patient's condition qualify under any of the categories described?

☐ Yes ☐ No

6. If the certification is for the serious health condition of the employee, please answer the following:

   a. Is the employee able to perform work of any kind?

   ☐ Yes ☐ No

   b. Is the employee able to perform the essential functions of the employee's position? Answer after reviewing the employer's job description that includes the essential functions of the employee's position, or if none provided, after discussing with the employee.

   ☐ Yes ☐ No

7. If the certification is for the care of the employee's family member, please answer the following:

   a. The patient does or will require assistance for basic medical, hygiene, nutritional needs, safety or transportation.

   ☐ Yes ☐ No

   b. After review of the employee's signed statement (See item 12, attached) does the condition warrant the participation of the employee? (This participation may include psychological comfort and/or arranging for third-party care for the family member.)

☐ Yes ☐ No

8. Estimate the period of time care will be needed or during which the employee's presence would be beneficial:

   Estimate: _____

9. Please answer the following question only if the employee is asking for intermittent leave or a reduced work schedule:

   a. Is it medically necessary for the employee to be off work on an intermittent basis or to work less than the employee's normal work schedule in order to deal with the serious health condition of the employee or family member?

      ☐ Yes ☐ No

   b. If the answer to "a" is yes, please indicate the estimated number of doctor's visits, and/or estimated duration of medical treatment, either by the health care practitioner or another provider of health services, upon referral from the health care provider.

   Estimate: _____

10. _____ _____
    Signature of Health Care Provider Date

11. _____ _____
    Signature of Employee Date

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To be completed by the employee needing family leave to care for a seriously ill family member. Please provide to the health care provider under separate cover. This information is not to be provided to the employer.

12. When family care leave is needed to care for a seriously ill family member, the employee must state the care he/she will provide and an estimate of the time period during which this care will be provided, including a schedule if leave is to be taken intermittently or on a reduced work schedule:

_____

_____

_____

_____

_____

13. _____ _____

Signature of Employee Date

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Definitions
(Attach to Medical Certification)

A "serious health condition" means an illness, injury, impairment, or physical or mental condition that involves one of the following:

1. Hospital Care

   Inpatient care (i.e., an overnight stay) in a hospital, hospice, or residential medical care facility, including any period of incapacity or subsequent treatment in connection with or consequent to such inpatient care.

2. Absence Plus Treatment

   a. A period of incapacity of more than three consecutive calendar days (including any subsequent treatment or period of incapacity relating to the same condition), that also involves:

      - Treatment two or more times by a health care provider, by a nurse or physician's assistant under direct supervision of a health care provider, or by a provider of health care services (e.g., physical therapist) under orders of, or on referral by, a health care provider; or

      - Treatment by a health care provider on at least one occasion which results in a regimen of continuing treatment under the supervision of the health care provider.

3. Pregnancy

   (Note: An employee's own incapacity due to pregnancy is covered as a serious health condition under FMLA but not under CFRA.)

   A period of incapacity due to pregnancy, or for prenatal care.

4. Chronic Conditions Requiring Treatment

   A chronic condition which:

   a. Requires periodic visits for treatment by a health care provider, or by a nurse or physician's assistant under direct supervision of a health care provider;

   b Continues over an extended period of time (including recurring episodes of a single underlying condition); and

   c. May cause episodic rather than a continuing period of incapacity (e.g., asthma, diabetes, epilepsy, etc.).

5. Permanent/Long-Term Conditions Requiring Supervision

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A period of incapacity that is permanent or long-term due to a condition for which treatment may not be effective. The employee or family member must be under the continuing supervision of, but need not be receiving active treatment by, a health care provider. Examples include Alzheimer's, a severe stroke, or the terminal stages of a disease.

6. Multiple Treatments (Non-Chronic Conditions)

Any period of absence to receive multiple treatments (including any period of recovery therefrom) by a health care provider or by a provider of health care services under orders of, or on referral by, a health care provider, either for restorative surgery after an accident or other injury, or for a condition that would likely result in a period of incapacity of more than three consecutive calendar days in the absence of medical intervention or treatment, such as cancer (chemotherapy, radiation, etc.) severe arthritis (physical therapy), kidney disease (dialysis).

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CO.	FILE	DEPT	CLOCK NUMBER	002
MCI	000159		0000020163	1

Earnings Statement
Explanation of Benefits

ADP

SEDGWICK CMS - PAID FAMILY LEAVE BENEFITS
FOR UNIVERSITY OF SAN FRANCISCO
PO BOX 70189
PASADENA CA 91117

Pay Date: 11/17/2006

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Taxable Marital Status: Single
Exemptions/Allowances:
Federal: 0
CA: 0

JOHN S KAO
827 CORBETT AVENUE APT 202
SAN FRANCISCO CA 94131

Earnings	rate	hours	this period	year to date
Ca Pfl No Fica			240.00	240.00
	Gross Pay		$240.00	240.00
Deductions	**Statutory**			
	Federal Income Tax		21.28	21.28
	Net Pay		$218.72	

Your federal taxable wages this period are $240.00

GROSS BENEFIT	240.00
OFFSETS	**This Period**
Social Security	.00
Estimated Social Security	.00
Workers Compensation	.00
Pension	.00
Estimated Pension	.00
VDI/SDI	.00
STD Salary Continuation	.00
Leave	.00
Overpayment	.00
Holiday Pay	.00
Other	.00
Net Gross	240.00
Date Of Disability	09/19/2006
From Date	09/26/2006
Through Date	09/27/2006
Estimated RTW	09/29/2006
Claim Number	A652608368000101 .000

©2001 Automatic Data Processing, Inc.

TEAR HERE

©2001 ADP, Inc.

VERIFY DOCUMENT AUTHENTICITY - COLORED AREA MUST CHANGE IN TONE GRADUALLY AND EVENLY FROM LIGHT TO DARK FROM TOP TO BOTTOM

SEDGWICK CMS - PAID FAMILY LEAVE BENEFITS
FOR UNIVERSITY OF SAN FRANCISCO
PO BOX 70189
PASADENA CA 91117

Payroll check number: 0000020163
Pay date: 11/17/2006

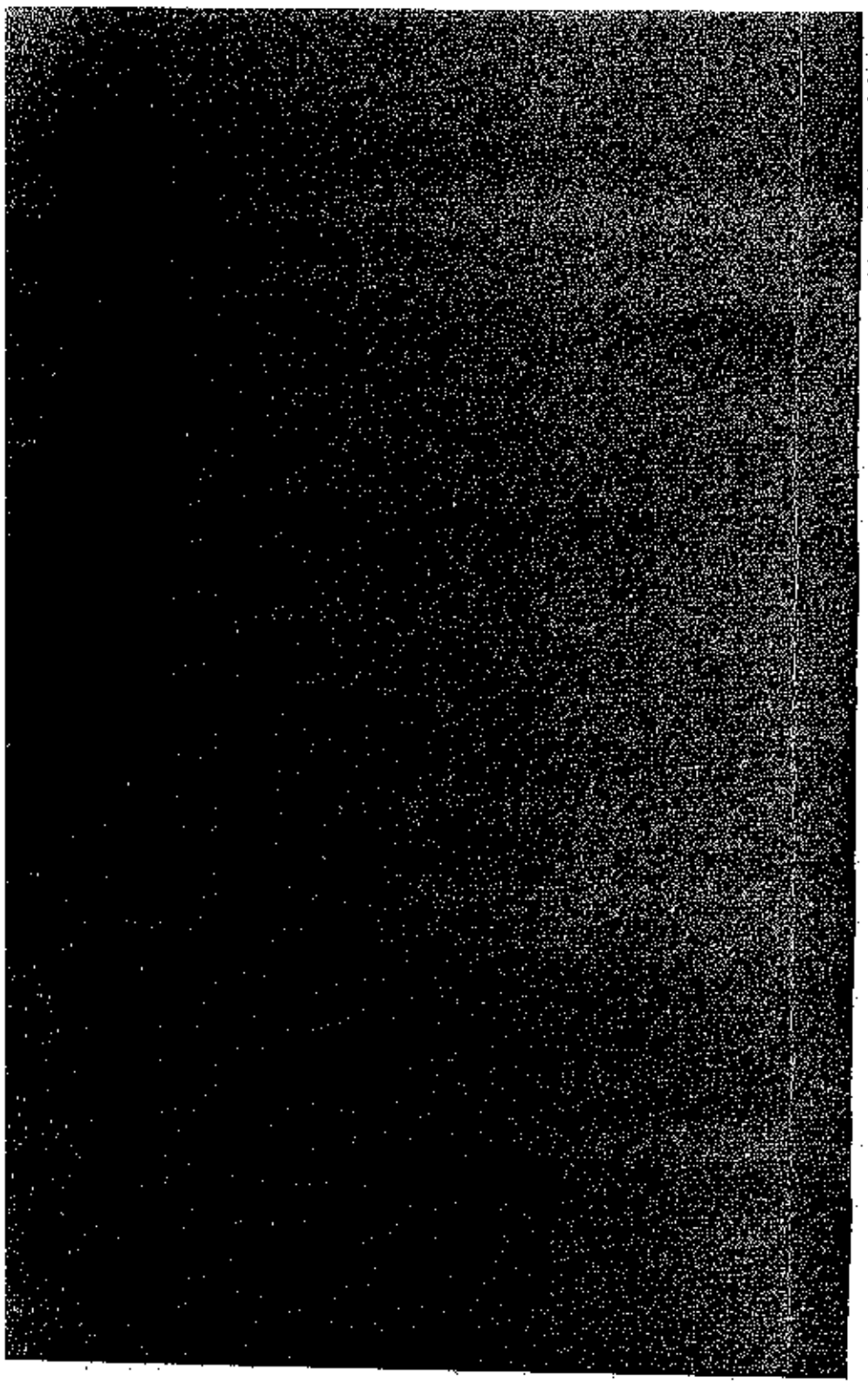
Pay to the order of: JOHN S KAO

This amount: TWO HUNDRED EIGHTEEN AND 72/100 DOLLARS $218.72

VOID AFTER 180 DAYS

BANK OF AMERICA
315 MONTGOMERY ST
SAN FRANCISCO, CA 94104-1866

⑈00020163⑈ ⑆121000358⑆ 14994⑈02146⑈



USF
UNIVERSITY OF
SAN FRANCISCO

COLLECTIVE BARGAINING AGREEMENT

BETWEEN THE
UNIVERSITY OF SAN FRANCISCO
AND
USF FACULTY ASSOCIATION

Effective July 1, 2005 through June 30, 2012
with reopeners pursuant to the "Duration of Agreement" section.

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PREAMBLE

A University is a community of men and women in search of truth. Because this search moves within a universe of beliefs, the University of San Francisco wishes to express its beliefs clearly so that those who come here to teach and to learn may know what manner of community they join.

VISION, MISSION, VALUES STATEMENT

Vision
The University of San Francisco will be internationally recognized as a premier Jesuit Catholic, urban University with a global that educates leaders who will fashion a more humane and just world.

Mission
The core mission of the University is to promote learning in the Jesuit Catholic tradition. The University offers undergraduate, graduate and professional students the knowledge and skills needed to succeed as persons and professionals, and the values and sensitivity necessary to be men and women for others.

The University will distinguish itself as a diverse, socially responsible learning community of high quality scholarship and academic rigor sustained by a faith that does justice. The University will draw from cultural, intellectual and economic resources of the San Francisco Bay Area and its location on the Pacific Rim to enrich and strengthen its educational programs.

Core Values
The University's core values include a belief in and a commitment to advancing:

1) *the Jesuit Catholic tradition that views faith and reason as complementary resources in the search for truth and authentic human development, and that welcomes persons of all faiths or no religious beliefs as fully contributing partners to the University*
2) *the freedom and the responsibility to pursue truth and follow evidence to its conclusion*
3) *learning as a humanizing, social activity rather than a competitive exercise*
4) *a common good that transcends the interests of particular individuals or groups; and reasoned discourse rather than coercion as the norm for decision making*
5) *diversity of perspectives, experiences and traditions as essential components of a quality education in our global context*
6) *excellence as the standard for teaching, scholarship, creative expression and service to the University community*
7) *social responsibility in fulfilling the University's mission to create, communicate and apply knowledge to a world shared by all people and held in trust for future generations*
8) *the moral dimension of every significant human choice: taking seriously how and who we choose to be in the world*
9) *the full, integral development of each person and all persons, with the belief that no individual or group may rightfully prosper at the expense of others*
10) *a culture of service that respects and promotes the dignity of every person.*

Strategic Initiatives
The following initiatives are key to the University's achieving recognition as a premier Jesuit Catholic, urban university:

1) *Recruit and retain a diverse faculty of outstanding teacher-scholars and a diverse, highly qualified, service-oriented staff, all committed to advancing the University's Vision, Mission and Values;*
2) *Enroll, support and graduate a diverse student body, which demonstrates high academic achievement, strong leadership capability, concern for others and a sense of responsibility for the weak and the vulnerable;*
3) *Provide an attractive campus environment and the resources to promote learning throughout the University:*
   - *Learning resources that improve the curriculum and support scholarship*
   - *Facilities to support outstanding educational programs*
   - *Technology solutions to enhance learning and improve service*
4) *Continue to strengthen the University's financial resources to support its educational mission.*

FACULTY/STAFF WORKING RELATIONS

The University and the USFFA agree that clerical and technical employees will be treated with dignity and respect. This clause is meant to stimulate discussion on dignity and respect in our community and, especially, in regard to members of the OPE clerical and technical unit.

The Preamble and the Statement of Mission and Goals as written here shall not be deemed part of the Agreement.

DEFINITIONS

1. "University": The President, Vice Presidents, Deans and such other administrative officers as may be appointed by the Board of Trustees, by the President, or, by delegation of the President by the Vice Presidents.

2. "Association": The USF Faculty Association.

3. "Members of the Bargaining Unit": The full-time faculty and non-administrative full-time professional librarians as set forth more fully in section 1.1 and 1.2 of the Agreement, hereinafter variously referred to as "members."

4. "Association Members": The full-time faculty and non-administrative full-time professional librarians as set forth more fully in section 1.1. and 1.2 of the Agreement, hereinafter variously referred to as "members."

5. "Provost": Vice President for Academic Affairs.

6. "Association Committees": All committees referred to in this document shall be committees of the Association and the latter shall define the functions and appoint the membership for all such committees.

7. "Notification": Where this Agreement specifies that an individual must be notified of an action by a specific date, this shall mean that a good-faith effort must be made to meet the notification deadline; but if the deadline cannot or may not be met, a registered or certified letter of notification must be mailed and postmarked at least one working day prior to the contract notification deadline.

AGREEMENT

This Collective Bargaining Agreement ("Agreement") is entered into by and between the University of San Francisco ("University") and the USF Faculty Association ("Association").

DURATION OF AGREEMENT

This Agreement shall become effective on the date of ratification by the parties and shall continue in full force and effect through June 30, 2012, subject to (A), (B) and (C) below, or other applicable articles or addenda, or either party's request to modify or amend as permitted herein, and shall continue in effect thereafter from year to year unless either party serves written notice of termination on the other, at least sixty (60) days prior to the expiration date hereof or to a subsequent anniversary of the expiration date hereof.

(A) All salary, salary step and benefit provisions as well as other economic terms set forth in this Agreement shall expire June 30, 2008.

(B) At least 60 days prior to July 1, 2008, each party may reopen any three articles or addenda of this Agreement, in addition to those articles described above. Articles that are reopened by either party shall be deemed to expire as of July 1 of that year.

(C) All other articles not reopened by either party shall be extended automatically through the expiration date hereof.

This Agreement shall expire and is subject to renegotiation in its entirety on June 30, 2012, assuming timely written notice of termination is provided.

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receiving information of all changes in class hours and classrooms approved by the Dean, has the responsibility for effecting such changes and informing those concerned. When semester exams are given, they must be administered according to the published schedule. Any exceptions must be obtained in writing beforehand from the Dean.

19.1.6 Cancellation of Classes

(A) Faculty members have an obligation to meet all their scheduled classes and to hold class throughout the whole of the scheduled time. However, it is recognized that exceptions may exist. Any deviation from regularly scheduled class meetings must be reported by the faculty member to his or her Dean. If the Dean objects to the deviation, he or she may ask the faculty member to adhere to normal scheduling.

(B) When a faculty member is forced by illness or other indisposition to cancel class, the students and the Dean should be informed before the class is scheduled to meet, if possible.

(C) A faculty member who, for good reasons other than illness, needs to be absent from class for a short period must request permission from the Dean. If permission to cancel classes is given, the Registrar should be notified.

19.1.7 Faculty Availability

All full-time faculty members must be available for service at the University throughout the academic year. (The academic year begins one week preceding the day on which undergraduate classes begin in the fall semester and ends with Commencement exercises in the Spring semester.)

The University shall retain the student study/review days in both semesters (Spring/Fall).

19.1.8 Office Hours

Each full-time faculty member is expected to keep regular office hours on a schedule to be approved by the Dean and be available to students and advisees without previous appointment. The hours should be distributed so as to be of maximum availability to students. The schedule should be posted and strictly observed. Where non-teaching obligations require additional office hours, these should be provided.

19.1.9 Tutoring One's Own Students

A faculty member may not be recompensed beyond his or her regular salary for tutoring his or her own students.

19.2.0 Curriculum Oversight

It is the responsibility of faculty to play an ongoing and sustained role with colleagues in overseeing and revising the curricula, when necessary, offered in department(s) or program(s).

19.2.1 Conduct in the Classroom

The instructional staff, in the classroom and in conference, should encourage relevant discussion, inquiry, and expression. Student performance in the classroom should be evaluated solely on an academic basis, not on opinions or conduct in matters unrelated to the academic objectives of the University.

19.2.2 Faculty shall have the right to eject, for a specified period of time, a student whose conduct is disorderly, disruptive or obstructive (shouting or making bothersome noises, speaking out of turn repeatedly or otherwise disrupting the orderly classroom process). In such cases, faculty must inform the Dean, in writing, of the reasons why the student was required to leave the class. Such a student shall have the right to appeal this decision to the Dean.

19.2.3 Protection of Freedom of Expression

Students of the University are free to take reasoned exception to the data or views in any course of study and to reserve judgment about matters of opinion. The students are responsible for learning the content of any course of study for which they are enrolled.

19.2.4 Protection Against Improper Academic Evaluation

Students shall have protection through orderly procedures against prejudiced or capricious academic evaluation as specifically provided for in 19.2.5. At the same time, students are responsible for fulfilling standards of academic performance for each course in which they are enrolled.

19.2.5 Without limiting the generality of the foregoing, students of the University shall have the following rights:

(A) The peaceful advocacy of any personal academic opinion, even if it may contradict stated University principles, is consonant with the rights of an individual living in a free society. Students may represent without penalty any academic opinion in or out of class, but may be required to demonstrate knowledge of views contrary to their own in order to fulfill course requirements.

(B) No major tests shall be administered and no major papers shall be assigned during the seven (7) calendar days preceding the final examination week. The only exception will be combination lecture laboratory courses, where the laboratory portion of the course may be scheduled for examination.

ARTICLE 21. Curriculum and Program

21.1 The University recognizes that bargaining unit work includes the faculty's responsibility in formulating and assuring an academically sound curriculum and course content. The Association and the University shall work together to provide the curricula and programs of the institution.

21.2 Major decisions concerning the establishment, maintenance, modification, and elimination of curriculum and academic programs shall be made according to the following procedures.

21.3 The University and the Association shall form a joint curriculum committee in each school/college composed of representatives of the Association and of the school/college administration. The joint curriculum committees shall establish a regular schedule of meetings, the agenda for which shall be mutually agreed upon by the Association and the University co-chairs. Absent an agenda no meeting shall be held. Either party may propose changes in the curricula of the school/college. Deliberations of the joint curriculum committees shall be conducted in open session. The period of discussion shall include at least one regularly scheduled meeting of the joint committee. At the expiration of forty-five (45) days, the administration may reach a final decision on the proposal.

21.4 Curricular matters originating in one school/college, which demonstrably affect at least one other school/college, shall be referred to the Joint University Curriculum Committee. Deliberations shall be conducted in open session. At the expiration of forty-five (45) days, the administration may reach a final decision on the proposal.

21.5 Each party may exercise the option to make an extension of the deadlines referred to above by forty-five (45) days. Further extensions may be arranged by mutual consent of the Parties. Time periods are to be measured from the date on which a proposal was formally presented to the co-chairs of the Joint Curriculum Committee.

21.6 Final authority for all curricular decisions rests with the Provost.

21.7 Any recommendations emanating from the Association or Joint Curriculum Committee shall not be binding in any way on the University's exercising its judgment on curriculum and program. In addition, the above shall not be subject to the grievance and arbitration procedure contained in Articles 37 and 38 of this Agreement.

21.8 If the Association alleges that the University did not consult with the Association or Joint Curriculum Committee on curriculum and program, the specific issue of whether the University consulted with the Association or Committees on such programs shall be subject to the grievance and arbitration procedure contained in Articles 37 and 38.

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ARTICLE 22. Faculty Workload

22.1 The workload of each faculty member, including teaching assignments and all other duties, is based on a work week of forty (40) to forty-five (45) hours during the academic year and is, for purposes of determining teaching assignments, calculated on an equivalent of thirty (30) units per academic year. Of the thirty (30) unit work requirement, six (6) units per academic year are allotted for non-teaching duties (such as student program advising, committee work, administrative duties, or other extra-curricular duties) and twenty-four (24) units per academic year are allotted for teaching and research assignments during the academic year. A minimum of nine (9) units per semester will be taught by all full-time faculty unless the faculty member is formally excused from such workload by the Dean.

22.1.1 The basis for calculating the unit equivalences is an approximate equivalence of three (3) hours of work per week, per unit, per semester, taking into account that the academic schedule provides for substantial periods during the academic year during which classroom teaching is not scheduled.

22.1.2 No grant of teaching units will be made for such parts of the academic credit of a course as are, in fact, assigned to and taught by a teaching assistant nor for directed research or reading unless specifically agreed to by the Dean in writing. Such agreement shall be at the sole discretion of the Dean and not subject to the grievance and arbitration provisions of this Agreement.

22.1.3 The Dean of each school or college shall have the right, at his or her sole discretion, to grant teaching unit credits to some faculty members in exchange for non-teaching assignments or duties beyond those ordinarily expected of a faculty member, or in recognition of any unusual factor affecting the faculty member for the department, school, or college in which the faculty is located. Such factors may include research projects, large classes taught by the faculty member, directed research assignments, experimental classes, the number of student credit hours taught by the department, school or college or any other factor pertinent to curriculum needs, faculty development or financial feasibility. The fact that such credits are granted to one or some faculty members and not to others shall not be subject to the grievance and arbitration procedures of this Agreement.

22.2 All past practices and prior individual arrangements, as of the ratification date of this Agreement, whether written or oral, regarding course load and course equivalency computations for purposes of determining workload shall cease unless specifically continued by the Dean. Exceptions to the above shall be in writing and the discretion to award such exceptions shall not be subject to the grievance procedure.

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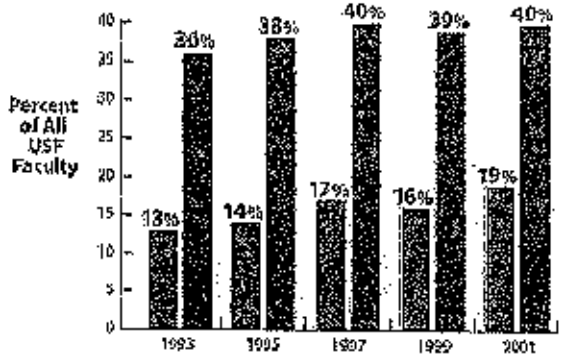
Faculty Diversity, Mission Highlighted in Convocation Address



Both the total percentage of minority faculty (shown in blue) and female faculty (red) at USF has increased over the last decade.

Source: Office of Institutional Research

Reiterating the USF commitment to "developing persons with the brains to make a difference and the hearts to want to do so," President Stephen A. Privett, S.J. urged faculty to open students up to different perspectives during his fall convocation address Nov. 18.

"My hope and the challenge for all of us at USF is that we successfully and effectively translate the rhetoric of our vision, mission, and values into the humanizing education that we offer our students," Fr. Privett said. "But you faculty bear a particular responsibility and have the lion's share of the opportunities for doing so."

The annual convocation address is given on the occasion of awarding tenure to selected faculty. This year, tenure was given to Tom Lucas, S.J. in fine and performing arts, Yoko Arisaka in philosophy, Kevin Chun in psychology, Jeremy Howell in exercise and sports science, Tom MacDonald in environmental science, Patrick Murphy in politics, Bruce Wydick in economics, Lanna Andrews in education, Judith Harr in nursing, Todd Sayre in business, Sylvia Flatt in professional studies, and Alice Kaswan in law. The Sario and Ignatian faculty awards, recognizing service by faculty, were given to Donna Schaeffer, program director of the bachelor's and master's degrees in information systems, and Fr. Lucas for his art work and creation of the university's new visual arts program. (Read the story)

New Faculty Wooed by Value on Teaching

Defying the infamous

While discussing the state of the university, Fr. Privett reaffirmed USF's goal of a more diversified faculty. Of 25 faculty appointments made in the last two years, he said, just under 40 percent were women or people of color. As of last fall, 19 percent of USF's faculty identified as other than white. "We need to have a richer chorus of voices around the table," he said.

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archetype of a professor who hates to teach, new faculty at USF say the value USF places on teaching and service drew them away from bigger, more prestigious schools.

"The appeal was this program was smaller, more grassroots, and interested in educating undergraduates," said Tracy Benning, assistant professor in environmental science who joined USF this fall from UC Berkeley. "At Berkeley, the undergraduates fall through the cracks. Teaching, or good teaching, isn't as valued there."

(more)

Fiscal considerations, on the other hand, could make hiring more difficult. Although the university budget has been stabilized since a budget crises two years ago, the president cautioned that budget demands require a cost/benefit review of "every program and unit in the university" over the next five years.

Fr. Privett also encouraged faculty to consider how USF's Jesuit Catholic tradition can be incorporated more fully across the curriculum and in campus life. "As a historically black college would emphasize the contributions of the African American community to the larger story or a woman's college would have a clear focus on women's issues and roles through history, so this university must come to a clearer understanding of how the Catholic tradition plays out," he said.

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USF Among Top 20 in Diversity

The University of San Francisco placed within the country's top 20 most ethnically diverse colleges and universities in two nationally recognized rankings published in August

The country's most influential list, published by *U.S. News and World Report*, ranks USF 16th in ethnic diversity, with Asian Americans as its largest ethnic minority. Hispanics are the university's second largest minority population. The Princeton Review, an admissions test preparation company, ranked USF No. 15 on its list of the country's most ethnically diverse colleges and universities. It also included USF on its 129 Best in the West list and San Francisco as No. 11 for best college town. USF was also ranked among the top 100 American universities producing minority graduates in advanced-degree programs according to the July 3 issue of the journal *Black Issues in Higher Education*.

Also in this year's *U.S. News'* rankings, USF placed among the country's overall top 100-plus universities according to the magazine's "America's Best Colleges Guidebook." USF also ranked No. 19 in percentage of international students and No. 33 in proportion of classes with 20 or fewer students. The university's high average freshman retention rate (83 percent) also contributed to its overall ranking.

Black Issues in Higher Education ranked USF No. 12 in universities educating the highest number of Asian-Americans in doctoral education programs and No. 19 in the number of Asian-Americans who receive law degrees.

The journal also ranked the university No. 29 in number of Hispanics receiving doctoral degrees, No. 42 in number of Asian-Americans receiving master's degrees in education, No. 51 in number of Asian-Americans receiving master's degrees in all disciplines, No. 76 in number of African-Americans receiving doctoral degrees in education, and No. 77 in number of Hispanics receiving master's degrees in all disciplines.

USF's Valéry Institute Helps Host International Poetry Festival

The University of San Francisco's Valéry Institute for Poetry and Visual Arts, dedicated to the work of French poet Paul Valéry and contemporary art and literature, will help host the "Other Words" international poetry festival Sept. 25-28.

Major poets from around the world, including American devorah major, Irish-born poet James Liddy, and Russian poet Gennady Aygi will read at four city locations. The festival will open at USF's Lone Mountain campus at 7:30 p.m. on Sept. 25. Ireland's Sara Berkeley, Valérie Rouzeau of France, Patrizia Cavalli from Italy, and Germany's Hans-Ulrich Treichel will read.

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"Other Words" is San Francisco's third international poetry festival. It was last held in 2001.

Four Business Students Score High on MBA Exam

The Certified Master's in Business Administration Association, a regulatory agency that invited 300 students to take its new MBA certification test, announced four USF students passed its test, with one student, Holming Lee '02, achieving the 14th highest score. The students' scores put the USF Graduate School of Business among the top 21 MBA programs whose students took the test.

"It's a good indicator our program covers the fundamentals but at the same time, as a Jesuit university, we're interested in educating the whole person," said Salvador Aceves, associate dean of the executive education program.

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USF Outpaces National Average in Gender Equity

The University of San Francisco is considerably above the national average of all higher education institutions when it comes to gender equity among faculty members, according to a report by the American Association of University Professors.

USF outperforms the national av gender equity among faculty.

The recently released report shows that USF scored above that national average in all four of the study's indicators: employment status (full-time or part-time), tenure status, full professor status, and average salary of women as a percentage of men's average salary.

"We are definitely happy about being above the national average," said Gerardo Marin, associate provost. "It is a reflection of the efforts that the deans, the president and the provost have put into diversifying the faculty. We value the contributions that all individuals make toward the educational experience of students."

The report found that during the 2005-06 academic year:

- Nationally, women constituted 39 percent of all full-time professors.
- At USF, women constituted 42.7 percent of full-time professors.

- Nationally, women held 44.8 percent of tenure-track positions
- At USF, women held 57.6 percent of tenure-track positions.

- Nationally, women held 24 percent of full professorships.
- At USF, women held 37.2 percent of full professorships.

- Nationally, female professors across all ranks earned an average of 81 percent of what men e
- At USF, female professors across all ranks earned an average of 89.3 percent of what men ea

"While this is certainly an indication of where we have come from, it does not mean that we don continue to work as an affirmative action employer," said Jim Wiser, provost and vice president, affairs.

He said some of the gap between the university's scores and full gender equity may be explained number of factors, including fewer women receiving doctorates in certain fields, having more me along in their careers because of previous hiring practices, and some male new hires coming in v experience than their female counterparts.

Regardless of the reason, Wiser said, USF will continue to aggressively seek to achieve full gend through its proactive recruiting and hiring practices.

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From USFconnect Message <pleasedonotreply@usfca.edu>
Sent Thursday, May 3, 2007 3:55 pm
To undisclosed-recipients: ;
Cc
Bcc
Subject Draft of WASC Self-Study

The draft of the self-study for the upcoming reaffirmation of accreditation by WASC is available for comment. Please go to www.usfca.edu/wasc and click on "Capacity and Preparatory Review Draft."

This version of the document is the product of many previous drafts and includes the comments and suggestions made by the individuals working on the various WASC Working Groups as well as by other members of the University community. This version does not include appendices and attachments since they will be added at a later date. Comments received in the next few days will be incorporated into the final version of the report which will be sent to WASC together with other required documents.

Please review this draft and submit your comments to Associate Provost Gerardo Marin (marin@usfca.edu) no later than May 23rd, 2007. An open meeting has been scheduled for May 8, 2007 at 12:15 in McLaren 252 for the exchange of comments and ideas.

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CAPACITY AND PREPARATORY REVIEW SELF-STUDY

Presented by
the University of San Francisco to the
Western Association of Schools and Colleges (WASC)

INTRODUCTION

The University of San Francisco s *Vision, Mission and Values* statement proclaims that it will be "internationally recognized as a premier Jesuit Catholic, urban university with a global perspective that educates leaders who will fashion a more humane and just world." Since its founding in 1855, USF has benefited from a 467 year-old tradition of Jesuit education that guides its planning process and informs its actions. Our history as San Francisco's first university, our tradition as a Jesuit Catholic institution, and our *Vision, Mission and Values* statement (referred to as *Mission* in the rest of this document) have been the foundations upon which we built the planning of the WASC reaffirmation of accreditation process

Since early 2004 when we began preparations for our WASC reaffirmation of accreditation, the University community has been engaged in a process of analysis, planning, and change that has moved us closer to realizing our *Mission.* The process (Appendix A) has served as a stimulus to a community already energized by a diverse student body, creative and dedicated faculty and staff, and visionary administrators. These past few years have seen an increase in the number and overall quality of the students we serve, the addition of new academic programs, and the continued hiring of excellent teacher scholars and staff. We have significantly improved our planning process, our ability to budget for mission, and the assessment of student learning. Concurrent with these changes, we have made significant additions and improvements to our physical plant, completed a successful capital campaign, begun to re-envision the nature of co-curricular offerings, and added to a creative and energetic leadership. Nevertheless, we have not completed our tasks and much still needs to be accomplished as we become that university defined by our *Mission*—a university that is enriched by our Jesuit Catholic tradition, that both draws upon and contributes to our city, and educates future leaders with the global perspective required to create a more just world.

As we said in our *Proposal* to WASC, our goal for the Capacity and Preparatory Review (C&PR) is: "to assess our accomplishments, build our knowledge base and direct us in making choices that support our *Mission* rather than simply meet accreditation requirements." Thus we begin this document with a discussion of the Jesuit tradition that guides our institutional values and practices before proceeding to an analysis of how well we meet our goal of being a university that "educates minds and hearts to change the world."

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65 students and the name was changed to Saint Ignatius College. The first Bachelor of Arts degree was conferred in 1863 and the first Master's degree in 1867. In 1927, the University moved to its current location near Golden Gate Park. In 1930, the name was changed to University of San Francisco. In 1964, women were admitted as students in all academic programs although women had enrolled in selected evening programs and in the School of Law as early as 1927 and the School of Nursing since 1954.

Today the University of San Francisco enrolls more than 8,500 students in its six schools and colleges: The College of Arts and Sciences; the School of Business and Management; the School of Education; the School of Law; the School of Nursing; and the College of Professional Studies. Classes are offered at the main 55-acre San Francisco campus, at four Northern California regional campuses, in Southern California, and at select international sites.

Ultimate responsibility for university governance rests with the Board of Trustees. There are presently 13 Jesuits on the 44-member Board of Trustees, including two ex-officio members (the University's President and the Rector of the USF Jesuit community). The Chairman of the Board of Trustees is Dr. Charles M. Geschke, and the Vice Chair is Mr. Claudio M. Chiuchiarelli.

The President of the University, Stephen A. Privett, S.J., is the Chief Executive Officer of the University. The President's Cabinet includes the Provost and Vice President for Academic Affairs; the Associate Provost for Planning, Budget and Review; the vice presidents for Administration, Business and Finance, Information Technology, International Relations, University Advancement, and University Life; and, the General Counsel. The University's Leadership Team includes all of the members of the President's Cabinet plus two additional Associate Provosts; the six deans of the schools and colleges; the Dean of the Gleeson Library; and, the Rector of the Jesuit community. These executive officers meet weekly (Cabinet) or monthly (Leadership Team) and are charged with developing policy and planning and assessing programs and activities [1]

The faculty in the College of Arts and Sciences, the School of Business and Management, the School of Education, the School of Nursing, and librarians are represented by the USF Faculty Association which was certified by the National Labor Relations Board in 1975. Part-time faculty members are represented by the USF Part-Time Faculty Association, and in the School of Law, faculty members are represented by the Associated Law Professors of the University of San Francisco. Faculty members in the College of Professional Studies are not unionized.

In addition to WASC's accreditation, specific programs at USF are accredited by the AACSB International, the American Bar Association, the Association of American Law Schools, the American Chemical Society, the California Board of Registered Nursing, the Commission on Collegiate Nursing Education, the State Bar of California, and the State Commission on Teacher Credentialing.

academic and co-curricular programming and organizational practices. To make the analysis manageable we will concentrate on three aspects of diversity: gender, ethnicity/race and economic diversity. The second section of this C&PR self-study will analyze in greater detail two issues of particular concern to us: retention and on-time graduation of our students and the recruitment, retention and promotion of minority faculty and staff.

Ethnicity/Race

USF is one of the most ethnically diverse institutions in the country. We are rated 14th in the ethnic diversity of our students among 248 national universities in the 2007 *U.S. News & World Report* and 16th among 361 institutions of higher learning by the 2006 *Princeton Review*. In addition, we are the second most ethnically diverse university among the 28 Jesuit colleges and universities. In fall 2006, 40.9% of our students were ethnic minority or multiethnic. Overall Asian Americans represent the largest minority group among all USF students (17.6%) and among undergraduates (21.5%). [4]

The diversity of the student body has been increasing in the last 15 years with the proportion of white students decreasing from 51% of all students in 1991 to 40.3% in 2006. During this 15-year period, we have experienced noticeable increases in the number of African Americans (32.7% increase), Asian Americans (100.8% increase) and Latinos (140.4% increase). These increases in the ethnic composition of our student body reflect not just the increasing diversity of college-bound youth in the western states but also USF's targeted outreach efforts. Between 2000 and 2004, the number of applications received from African Americans increased 83%, 56% for Asian Americans and 68% for Latinos.

Our faculty and staff do not show the same level of ethnic/racial diversity as our student body. Overall, 21.0% of our full-time faculty identify themselves as a member of an ethnic minority group. Of the part-time faculty who report ethnic background, 15.5% self-identify as members of an ethnic minority group. Among full-time staff, 35.6% self-identify as belonging to one of the major ethnic/racial minority groups. Section Two of this C&PR includes an analysis of faculty and staff diversity.

The curriculum also reflects USF's commitment to ethnic/racial diversity Undergraduate students can pursue one of four ethnicity-oriented minors (African American Studies, Asian American Studies, Chicano/Latino Studies or Ethnic Studies). Also, courses in our regional minors (e.g., African Studies, Asian Studies, European Studies, Latin American Studies) often involve discussions and analyses of ethnicity and race. Approximately 24 undergraduate and 11 graduate courses with significant ethnic/racial content have been offered at least once during the last two academic years. Co-curricular activities also reflect our interest in creating an ethnically diverse learning community. For example, our Multicultural Student Services Office supports 23 clubs centered on ethnicity or culture that are open to all students.

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Gender

USF has made great strides in the gender diversification of its student body since 1964 when the first women students were admitted to the traditional undergraduate programs. Indeed, the number of women students at USF has increased by 11% over the last 10 years and in fall 2006, 62.1% of all students were women. [5] The corresponding figure among traditional-age undergraduates was 65.9%. Compared to other Jesuit universities USF is 3rd in terms of the proportion of women enrolled as students in AY 2005-2006. Gender parity is increasing in other areas of the University including the gender distribution of student athletes and faculty and staff appointments. In AY 2004-2005, the proportion of women participating in varsity sports at USF was slightly lower (47.8%) than the proportion of men although approximately 54.3% of athletic scholarships at USF are awarded to women athletes.

USF has made significant efforts at gender diversification of the faculty. As reported in the 2006 AAUP report on gender equity, 42.8% of the full-time faculty at USF are women compared to 39.1% for all colleges and universities included in that report. This level of gender diversity among the faculty is the product of concerted efforts to diversify candidate pools on the part of the deans and Provost. IPEDS data for 2006 showed that 56.5% of full-time staff are women. The largest proportions of women are found among such job categories as clerical and secretarial (71.0%) and support and service professionals (57.2%). [6] Section Two of this C&PR self-study includes a more detailed analysis of gender diversity among faculty and staff.

Our efforts to increase gender diversity are also manifested in the curriculum. USF offers undergraduate students the opportunity to pursue an interdisciplinary minor in Gender and Sexualities Studies. In addition, approximately 25 undergraduate and three graduate courses with a significant level of gender or sexuality content have been offered at least once during the last two academic years

Socio-Economic Diversity

USF supports the education of low-income students and values the contributions of a socio-economically diverse student body. For AY 2004-2005, approximately 13% of the students who applied for financial aid had family incomes of less than $30,000. This percentage is higher than at the other Jesuit universities in California. Approximately 22.5% of USF undergraduate students received Pell grants during AY 2005-2006 a percentage that is again higher than that of the other California Jesuit universities. Indeed, USF is ranked 8th among the 28 Jesuit universities in the proportion of undergraduate students who received a Pell grant in AY 2005-2006. [7]

Effects of Diversity

This diversity in the curriculum and in the composition of our student body, faculty and staff is reflected in students' reactions as seen in a number of surveys. For the past five years, more than 80% of graduating students reported that individual, ethnic,

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Although we are concerned with the ratio of full-time to part-time faculty, we are proud of the quality of our part-time faculty members, many of whom have taught for us over a number of years. In a majority of cases, part-time faculty are hired as a result of local searches that produce well-trained scholars or professionals who are dedicated to student learning and who understand the University's *Mission*. The University supports adjunct faculty in their teaching through dedicated faculty development funds for course or pedagogical improvement, training seminars, workshops on pedagogy, periodic review of their classroom performance, and their involvement in curriculum development. Individual schools and colleges have also put in place processes to support part-time faculty, including class visitations, training in pedagogy and assessment, and periodic meetings with dean's office staff and/or program directors.

The University maintains a strong commitment to affirmative action and to providing equal employment opportunities to all qualified applicants, and we consider this commitment an important component of building an excellent faculty and professional staff. We have developed a number of procedures to guarantee a diverse pool of candidates, and our job announcements specifically state that we look for individuals who "demonstrate a commitment to work in a culturally diverse environment and to contribute to the mission of the University. USF is an Equal Opportunity Employer dedicated to affirmative action and to excellence through diversity." In the last few years, we have made significant strides in diversifying the faculty. For example, in AY 2002-2003, 79.4% of full-time faculty members were white non-Hispanic and 40.3% were women. Four years later, during AY 2006-2007, the proportion of white non-Hispanic faculty had decreased to 75.7% and the proportion of full-time women faculty had increased to 44.7%. Among probationary (tenure-track) full-time faculty, the proportion of white non-Hispanics decreased from 68.7% in AY 2002-2003 to 66.7% in AY 2006-2007, and the proportion of women increased from 44.6% in AY 2002-2003 to 56.4% in AY 2006-2007. Increases in the number women faculty have taken place across disciplines including the physical sciences. These changes over a relatively short period of time are the result of a commitment on the part of the University to diversify its faculty. Nevertheless, further diversification is needed, both overall, and in specific programs and departments, in order to provide our students with the educational benefits of a diverse learning environment and to prepare them for working in a multicultural and diverse society. Unfortunately, a few of our ethnic minority faculty have been recruited away from USF in the recent past by institutions who can offer access to graduate students, locations with lower costs for housing and overall living expenses or are minority-serving institutions. **[6.18]**

Reflecting the increased number of students and the increased mandated demands for reporting and accountability, the number of full-time administrators and staff increased from 647 in the fall of 2002 to 713 in the fall of 2006. Hiring of staff follows established procedures that are coordinated by our Human Resources Office and include open, public searches and the evaluation of qualifications by peers and/or supervisors. Data on staff diversity as reported in the IPEDS protocols show that from 2002 to 2006, the number of female staff members has increased 2.5% and the number of ethnic

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There are additional examples of our efforts to develop better supportive learning experiences to our students. These efforts have resulted in better student services (e.g., the development of the One-Stop Office where one staff person can help students with registrar and bursar functions); improved advising (e.g., the pilot project in the College of Arts and Sciences for students on probation); and, creative and life-changing learning experiences (e.g., service learning opportunities). Evaluation of these efforts is advancing and importantly, results are being used to further improve the learning experiences of our students.

Next Steps

The continued development of our incipient integrated learning environment at USF, requires that we pay attention to

- *Definition of a USF Integrated Learning Environment.* There is a need for the University to clarify what is meant by the use of the term "Integrated Learning Environment" and its implications in program planning and implementation.
- *Identification of Areas where Integrated Learning Experiences can easily be developed.* We need to identify additional areas where academic personnel and staff professionals can collaborate and demonstrate successes at integrating student learning without necessarily changing their roles or imposing excessive demands on their time.
- *Development of Comprehensive Program Assessment.* As strategies or programs are re-imagined or developed, assessment of student learning must be made an integral part of the planning and not an after-thought.

DIVERSE FACULTY AND STAFF

Recruitment, retention and promotion of diverse faculty and staff are other areas that we identified as needing further analysis during the *Proposal* preparation stage. This interest is rooted in our *Mission* statement where we distinguish USF as a "diverse, socially responsible learning community," and is predicated on our strategic initiatives, which commit the University to "recruit and retain a diverse faculty of outstanding teachers and scholars and a diverse, highly-qualified, service-oriented staff, all committed to advancing the University's mission and its core values."

USF is committed to affirmative action and to equal employment opportunities. At USF, we value the contributions that all individuals make to the fulfillment of our *Mission* regardless of factors such as their ancestry, nationality, religion, religious creed, sex, gender identity, race, socio-economic status, physical ability, ethnicity, sexual orientation, marital status, and age. The next few sections of this self-study analyze, as mentioned in the *Proposal*, gender and ethnic diversity of our faculty and staff.

Gender Diversity Among Faculty and Staff

In 2006, USF employed approximately 367 full-time and 517 part-time faculty who taught in all six colleges/schools. These numbers represent increases, compared to AY 2001-2002, of 18.4% for full-time faculty and 43.2% for part-time faculty. Data on gender diversity **[6]** show that the proportion of full-time faculty who are women increased from 40.3% in 2001 to 44.7% in 2006. The proportion of women among part-time faculty also has increased (from 42.7% in 2001 to 55.7% in 2006). Since 2001, the proportion of women within most academic ranks has been increasing with the largest changes occurring among Assistant Professors (47.1% in 2001 versus 53.6% in 2006). USF tenures a large proportion of probationary faculty (74.4% of those hired between 1997 and 2001) and the level of gender diversity at the Assistant Professor level should soon translate into a significant increase at the Associate Professor and Professor levels.

As is true for faculty, the representation of women among our staff has increased noticeably in the last few years. Their contributions to the *Mission* of the University are seen at all job levels including areas where women are often underrepresented such as executive as well as technical positions. Data on gender distribution among staff **[6]** show that there has been an increase in the last four years in the representation of women in executive/administrative positions. In 2001, women made up 31.8% of executive/ administrative staff, and that percentage had increased to 49.3% by 2006. Overall, 2006 data show that women represent a high percentage of clerical/secretarial staff (71.0%) and low percentages of skilled craft staff (25.0%) and service/maintenance staff (18.0%).

The recent AAUP compensation report shows that USF's faculty compares favorably with other institutions in terms of gender representation and salary equity. Data for AY 2005-2006 show that women held 39.1% of full-time faculty positions nationwide, compared to 42.8% at USF. Women held 44.8% of full-time tenure-track positions at the nation's colleges and universities compared to 57.6% at USF. In addition, women's average salary across all faculty ranks nationwide was 80.7% of men's average salary, while at USF, women's average salary across all faculty ranks was 89.3% of men's average salary. Once more women achieve top faculty ranks at USF, the salary differential between men and women should decrease even more. Among the nation's 25 Jesuit universities that participated in the AAUP study, USF was in the top third in its percentages of: full-time women faculty members, women holding tenure-track positions, tenured women faculty members, women at full professor rank, as well as women's attainment of salary equity across all faculty ranks

During AY 2004-2005, USF conducted a survey among its full-time faculty using the questionnaire developed by UCLA's HERI. In general, a large proportion of women (64.4%) felt that promoting gender equity among faculty was a high priority at USF (compared with 54.5% of the men). Women (93.3%) reported in greater proportion than men (82.5%) that their teaching was valued by departmental peers. In general, women tended to report in greater proportions than men that they wanted to instill in students a sense of social responsibility, help students in their emotional development, enhance student appreciation of differences and prepare students for responsible citizenship.

An analysis of the composition of our full-time faculty [18] shows that there has been an increase in the ethnic/racial diversity of the full-time faculty in the last 16 years with the percentage of whites changing from 87.9% in 1991 to 75.7% in 2006. Among full-time faculty, the number of faculty of color has increased 175% in the last five years, from 28 in 2001 to 77 in 2006, compared to a 37% increase among white non-Hispanic faculty during the same period.

IPEDS data [19] show that the diversity of staff at USF (measured by the proportion of white non-Hispanics) has remained fairly stable during the last five years, except for a decrease of 10 percentage points among technical/paraprofessional staff. Overall, the largest percentage of white non-Hispanic staff in 2006 can be found in executive/ administrative positions (78.7%) and non-faculty professionals (63.8%) positions. The percentage of whites is lowest in technical/paraprofessional staff (40.0%) and service/maintenance positions (43.8%).

In order to enhance the diversity of our faculty and professional staff, the Provost's Office has asked deans and vice presidents to implement a number of procedures to assure wide dissemination of information on openings and the diversity of candidate pools. These procedures include advertising in minority as well as general publications; direct mailings to doctorate-producing institutions and minority sections of professional associations, and appointment of diverse search committees including members from outside the department/program. In addition, the University currently supports a dissertation completion fellowship program for ethnic minority scholars who may join the faculty after the completion of their fellowship year.

The University has developed a number of strategies to support ethnic minority faculty in their scholarly endeavors. For the past six years, USF has organized writing retreats for minority faculty that are recognized as important instruments for advancing research and writing. The University has implemented grant writing workshops specifically for minority faculty, appointed mentors for newly hired faculty, and facilitated networking and mentoring meetings. Deans and other administrators play an important role in monitoring faculty workload and have worked with ethnic minority faculty to manage their involvement in service activities on- and off-campus in order to protect the time and energy they need to dedicate to teaching and research.

Next Steps

- *Development of Additional Effective Recruitment Strategies.* The University needs to develop additional strategies to further diversify faculty and staff particularly among job categories and divisions or programs that have low proportions of women or ethnic minorities.
- *Development of Additional Professional Development Support Initiatives.* These strategies need to support and help alleviate the extra, and at times conflicting, demands placed on women and minorities by the "culture and gender tax" imposed on them by demands to provide exemplar service to university and

DRAFT

Release and Arbitration Agreement

This Release and Arbitration Agreement ("Agreement") is made and entered into by and between John Kao ("Professor") on the one hand, and University of San Francisco ("University") on the other hand (together "Parties).

1. Professor is a faculty member of the University, holding the position of Associate Professor with tenure, in the College of Arts and Sciences. Professor hereby irrevocably releases and waives all claims, grievances and evidence/information related thereto, against the University and its officers, agents, students and representatives, as of the date of execution of this Agreement. University hereby agrees to pays Professor the sum of $ 37,365.12, less tax withholdings and FICA, within 20 calendar days of mutual execution.

2. Professor hereby withdraws with prejudice any and all grievances and warrants that he has not filed any lawsuit and/or charges with any court or government agency, against the University and/or any officer, agency or Professor thereof.

3. In consideration of the promises contained in this Agreement, Professor does release, acquit and forever discharge the University and all its past, current and future officers, employees, agents, attorneys, consultants, investigators, agents, representatives, students, contractors, boards, trustees, insurers and all successors and assigns ("Releasees") of and from any and all, damages, claims, charges, causes of action, grievances, complaints, indemnities and obligations directly or indirectly arising out of, or in any way connected to his relationship with the University of any kind, University employment, including but not limited to age discrimination under the Age Discrimination in Employment Act (29 U.S.C.A. §§ 621-634), the federal Civil Rights Act of 1964, federal Americans with Disabilities Act ("ADA"), federal and state occupational and safety laws, collective bargaining agreements, Family and Medical Leave Act ("FMLA"), California Fair Employment and Housing Act (California "FEHA"), all other state, local or federal laws, contract, tort, retaliation, constitutional, and/or any employment-related claims, and/or other claims. This release shall be a complete bar to any claims, grievances and lawsuits asserted in contravention of it, no matter the forum.

Professor acknowledges that he has read Section 1542 of the Civil Code of the State of California which states:

> A general release does not extend to claims which the creditor does not know or suspect to exist in his or her favor at the time of executing the release, which if known by him or her must have materially affected his or her settlement with the debtor.

Professor hereby waives any right or benefit which he has or may have under Section 1542 to the full extent that he may lawfully waive such rights and benefits pertaining to the subject matter of this general release.

4 Professor knowingly and voluntarily agrees to waive any rights or claims arising out of or relating to the federal Age Discrimination in Employment Act ("ADEA") (29 U.S.C.A. § 621 et seq.) and the federal Americans With Disabilities Act ("ADA") (41 U.S.C.A. § 12101 et seq.):

(a) Professor represents and acknowledges that he is waiving any and all rights or claims that he may have arising under the federal ADEA and the federal ADA;

(b) Professor represents and acknowledges that he had the right to be represented by an attorney of his own choosing in connection with this Agreement and has, in fact, done so;

(c) Professor knows and understands that he is not waiving any federal ADEA or federal ADA rights or claims that may first arise after the execution of this Agreement; however, an arbitration clause is agreed on, as set forth in Section 5 of this Agreement, which is a waiver of all rights to jury trial.

(d) Professor knows and understands that in exchange for the waiver of his rights under the federal ADEA and federal ADA, he has received consideration as set forth in Section 1 of this Agreement.

(e) Professor represents and acknowledges that he has waived the right to have twenty-one (21) days to consider this waiver.

5. Any and all disputes, claims, or controversies arising out of or relating in anyway to this Agreement, its performance or breach, including, without limitation, the validity, scope and enforceability of the agreement to arbitrate, or connected in any way with the past or future employment of Professor with University, or any other matter which ever may become disputed between University (including its officers, agents and representatives) and Professor, whether arising under statute or otherwise, shall exclusively be settled by final and binding arbitration. Any award rendered shall be final, binding and conclusive upon the parties and may be entered in any state or federal court having jurisdiction. Professor Kao agrees that any future dispute will not be resolved in any court proceeding but only in arbitration, regardless of the issue or subject matter of the claim or defense to the claim. Professor further agrees that the existence and information, facts, circumstances and events related to the disputes, grievances, claims or complaints of Professor up through the execution of this Agreement, are confidential and may never be offered as evidence by Professor Kao, or relied upon or argued by him in any manner, in any dispute, grievance, claim or complaint by him, whatever the subject or time thereof.

6. [For any issues Professor Kao seeks to cover]

7. Sole Agreement: This Agreement consists of 3 pages and sets forth the parties' entire Agreement. This Agreement may not be altered, amended or modified, nor may a new agreement be reached, except by a further written document signed by Professor and the University. Professor has seven (7) calendar days after execution of this Agreement to revoke it. To revoke this Agreement, Professor must submit a written statement of revocation which must

be received by the general counsel of the University within that period. This Agreement will not become effective until the date on which the revocation period expires.

READ and AGREED:

_____ _____

John Kao Date

_____ _____

University of San Francisco Date

KATZENBACH AND KHTIKIAN
ATTORNEYS AT LAW
1714 STOCKTON STREET
SUITE 300
SAN FRANCISCO, CALIFORNIA 94133-2930
TELEPHONE (415) 834-1778
FACSIMILE (415) 834-1842

CHRISTOPHER W. KATZENBACH
W. KENT KHTIKIAN
KIMBERLY A. HANCOCK

January 17, 2007

In Re: Prof. John Kao

Ms. Donna Davis
Office of the General Counsel
University of San Francisco
2130 Fulton Street
San Francisco, CA 94117-1080

Dear Ms. Davis:

Professor Kao and I have discussed the draft settlement document you provided. We have a substantial number of changes, as explained below. Enclosed is a revised document incorporating these changes.

1. As you will note from the change in title, Professor Kao is unwilling to agree to an arbitration agreement. He feels strongly that, in settling matters with USF, he should retain all the rights of every other faculty member. He views a separate arbitration provision in this settlement as changing his rights in a significant way.

   a. In addition, we have eliminated the confidentiality provisions contained in paragraph 5 of USF's draft. We do not desire confidentiality, as this simply creates a situation for potential future disputes between the parties.

   b. We have also (see paragraph 6 of our draft) eliminated the restrictions on the use of information and facts underlying Professor Kao's complaint if there were to be future disputes. The use of the information contained in Professor Kao's Formal Complaint in the event of a future dispute would normally be proper as background evidence to support new charges. See *National Railroad Passenger Corp. v. Morgan* (2002) 536 U.S. 101, 113. Professor Kao is not willing to give up his right in this respect.

2. Paragraph 1 of our draft states the background of the settlement. Professor Kao feels that a statement of the background of the settlement is necessary.

3. Paragraph 2 of our draft contains a statement as to Professor Kao's good faith in filing the Formal Complaint. In addition, this paragraph:

a. Contains USF's acknowledgment of its commitment to non-discrimination.

b. Contains an agreement to appoint a special committee to examine ways to increase diversity in the Departments of Mathematics and Computer Science. Diversity in these departments is an issue about which Professor Kao feels strongly. The appointment of a committee to review this issue is a way of moving this issue forward in a positive and constructive fashion.

4. Paragraph 3 of our draft contains the payment of lost wages for Spring 2002.

5. Paragraph 4 of our draft contains the release. Please note that that we have limited the scope of the release to "claims, charges, causes of action, grievances, complaints, indemnities and obligations that have accrued on or before the date of this Agreement, but not otherwise". While Professor Kao is willing to release past claims, he does not want to release potential future claims.

6. Paragraph 5 of our draft contains OWBPA language. We have added the limitation that the waiver applies to claims "that have accrued on or before the date of this Agreement, but not otherwise" to match the scope of the release as applicable to past claims, not future ones.

7. Paragraph 6 of our draft contains language:

a. Reaffirming that the release covers only past claims.

b. Professor Kao has all the rights that other faculty enjoy.

c. An acknowledgement that any evidence used in support of Professor Kao's Formal Complaint could be used as evidence in support of any future claims to the extent the evidence is relevant to a new claim. As noted previously, this is what current law would normally allow.

8. Paragraph 7 of our draft contains an agreement to place the settlement agreement and Formal Complaint in Professor Kao's personnel file. As you are aware, copies of Professor Kao's prior grievance did not get placed in his personnel file or maintained in any other USF file of which Professor Kao is aware. Since the Formal Complaint and this settlement

are important employment documents, we believe they need to be maintained in the formal files at USF.

9. Paragraph 8 of our draft contains the language USF had in paragraph 7 of its draft.

While we have made substantial changes, we believe that none of our changes affect the basic substance of a reasonable settlement of past disputes. We are simply trying to preserve existing and future rights. Please call me to discuss these matters at your convenience.

Very truly yours,

Christopher W. Katzenbach

Enclosure (1)

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DRAFT

Release and Settlement Agreement

This Release and Settlement Agreement ("Agreement") is made and entered into by and between John Kao ("Professor") on the one hand, and University of San Francisco ("University") on the other hand (together "Parties").

1. Professor is a faculty member of the University, holding the position of Associate Professor with tenure, in the College of Arts and Sciences. On May 15, 2006, Professor filed a formal complaint ("Formal Complaint") with the University pursuant to the University's polices against harassment and discrimination. The University and Professor now desire to resolve the issues raised by Professor in the Formal Complaint.

2. University acknowledges that the Formal Complaint was filed by Professor Kao in good faith on the facts and information known to him as set forth in the Formal Complaint. University further acknowledges that it does not question the authenticity of the documents attached to Professor Kao's Formal Complaint. University has reviewed the Formal Complaint and the issues raised therein. University acknowledges that it is committed to non-discrimination in all aspects of its operations, including employment, recruitment, tenure and academic affairs and administration, and reaffirms this commitment herein. As part of this commitment, University agrees to appoint a special committee to examine ways in which the University could increase diversity in the Departments of Mathematics and Computer Science.

3. In consideration of the mutual promises contained in this Agreement, University agrees to pay Professor the sum of $ 37,365.12, less tax withholdings and FICA, within 20 calendar days of mutual execution. The parties acknowledge that this compensation is for Professor's unpaid leave of absence in Spring Semester 2002. Professor hereby agrees to withdraw his Formal Complaint and warrants that he has not filed any other grievance, lawsuit and/or charges with any court or government agency, against the University and/or any officer, agency or Professor thereof arising from or out of the matters asserted in the Formal Complaint.

4. In further consideration of the promises contained in this Agreement, for all claims, charges, causes of action, grievances, complaints, indemnities and obligations that have accrued on or before the date of this Agreement, but not otherwise, Professor does release, acquit and forever discharge the University and all its past, current and future officers, employees, agents, attorneys, consultants, investigators, agents, representatives, students, contractors, boards, trustees, insurers and all successors and assigns ("Releasees") of and from any and all, damages, claims, charges, causes of action, grievances, complaints, indemnities and obligations directly or indirectly arising out of, or in any way connected to his relationship with the University of any kind, University employment, including but not limited to age discrimination under the Age Discrimination in Employment Act (29 U.S.C.A. §§ 621-634), the federal Civil Rights Act of 1964, federal Americans with Disabilities Act ("ADA"), federal and state occupational and safety laws, collective bargaining agreements, Family and Medical Leave Act ("FMLA"), California Fair Employment and Housing Act (California "FEHA"), all other state,

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local or federal laws, contract, tort, retaliation, constitutional, and/or any employment-related claims, and/or other claims. This release shall be a complete bar to any claims, grievances and lawsuits asserted in contravention of it, no matter the forum.

Professor acknowledges that he has read Section 1542 of the Civil Code of the State of California which states:

> A general release does not extend to claims which the creditor does not know or suspect to exist in his or her favor at the time of executing the release, which if known by him or her must have materially affected his or her settlement with the debtor.

Professor hereby waives any right or benefit which he has or may have under Section 1542 to the full extent that he may lawfully waive such rights and benefits pertaining to the subject matter of this general release.

5. Professor knowingly and voluntarily agrees to waive any rights or claims arising out of or relating to the federal Age Discrimination in Employment Act ("ADEA") (29 U.S.C.A. § 621 et seq.) and the federal Americans With Disabilities Act ("ADA") (41 U.S.C.A. § 12101 et seq.) that have accrued on or before the date of this Agreement, but not otherwise:

(a) Professor represents and acknowledges that he is waiving rights or claims that he may have arising under the federal ADEA and the federal ADA;

(b) Professor represents and acknowledges that he had the right to be represented by an attorney of his own choosing in connection with this Agreement and has, in fact, done so;

(c) Professor knows and understands that he is not waiving any federal ADEA or federal ADA rights or claims that may first arise after the execution of this Agreement;

(d) Professor knows and understands that in exchange for the waiver of his rights under the federal ADEA and federal ADA, he has received consideration as set forth in Section 3 of this Agreement.

(e) Professor represents and acknowledges that he has waived the right to have twenty-one (21) days to consider this waiver.

6. The University and Professor acknowledge and agree that the releases contained herein are without prejudice to and shall not affect Professor's rights to bring claims, grievances, complaints, lawsuits or other actions as to events arising, occurring or accruing after the date of this Agreement. University and Professor further agree that Professor retains all rights enjoyed by other professors at the University to bring claims, grievances, complaints, lawsuits or other actions as to events arising, occurring or accruing after the date of this Agreement. Notwithstanding the releases given herein, the University acknowledges and agrees that the documents, facts or other information relating to the Formal Complaint filed by Professor, to the extent relevant to any new or future claims, may be used as evidence in connection with any new or future claim by Professor that arises, occurs or accrues after the date of this Agreement.

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7. The University agrees that a copy of this Agreement and Professor Kao's Formal Complaint, with attached documents, will be placed and maintained in Professor Kao's personnel file for the duration of Professor's employment at University.

8. Sole Agreement: This Agreement consists of 3 pages and sets forth the parties' entire Agreement. This Agreement may not be altered, amended or modified, nor may a new agreement be reached, except by a further written document signed by Professor and the University. Professor has seven (7) calendar days after execution of this Agreement to revoke it. To revoke this Agreement, Professor must submit a written statement of revocation which must be received by the general counsel of the University within that period. This Agreement will not become effective until the date on which the revocation period expires.

READ and AGREED:

_____ _____

John Kao Date

_____ _____

University of San Francisco Date

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ABBA I. TERR, M.D.
LENORE C. TERR, M.D.
A MEDICAL CORPORATION
450 SUTTER STREET
SAN FRANCISCO 94108

LENORE C. TERR, M.D.

TELEPHONE
(415) 433-7800

November 28, 2006

Attn: Martha Peugh-Wade
Associate Director of Human Resources

Office of Human Resources LM 339
University of San Francisco
2130 Fulton Street
San Francisco, CA 94117-1080

To Whom It May Concern:

John Kao was ill and under my medical care for twelve days (eight working days) in the month of October (from 10/13/2006 through 10/24/2006). The illness began in relation to an illness in his family and it eventually extended to him. From October 25, 2006 to present, he is recovered and fully able to work.

Thank you for your interest and cooperation with this fine professor.

Yours truly,

Lenore C. Terr, M.D.

Lenore C. Terr, MD

cc: Christopher W. Katzenbach Esq

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This is a brief summary and follow up to our meeting June 20th setting forth briefly what the University heard and possible ideas of how to address these issues.

Concerns
-Professor Kao is very concerned about his professional reputation.
-Professor Kao believes he is a victim of discrimination.
-Professor Kao believes he was forced to take unpaid leave for a semester. At that point he feels he was stigmatized. How can the stigma be removed?
-University needs to better display the confidence it has in and respect it has for Professor Kao.

Ideas
-Dean Turpin can have Professor Kao assigned to teach in computer science.
-Dean Turpin has already nominated Professor Kao for a trustee subcommittee and will look for other opportunities for him to do service.
-Dean Turpin has appointed a new dual degree program director and will require him to meet regularly with the advisory committee.
-Dean Turpin is willing to add whatever documemnts Professor Kao has that are missing from his personnel file to his file.

Next Steps
-Mr. Katzenback to respond with his thoughts.
-Parties to meet again to decide on best manner in which to proceed.

From John S. Kao <kao@usfca.edu>
Sent Sunday, October 1, 2006 11:25 am
To Jennifer Turpin <turpinj@usfca.edu>
Cc
Bcc
Subject Re: checking in

Dear Jenny,

Thank you for the message. My mother's surgery went well, but she is still recuperating and has been experiencing a lot of pain.

As to an extension, I fell ill this week, and am still recovering today. If you could give me an extension until Wednesday, I would very much appreciate it. I left a telephone message with Christine Liu, Math Dept Program Assistant, on Friday to this effect

Thank you so much for your understanding.

Sincerely,

John

----- Original Message -----
From: Jennifer Turpin <turpinj@usfca.edu>
Date: Saturday, September 30, 2006 6:37 pm
Subject: checking in
> Dear John,
>
> I'm writing to check in with you. I hope that your mother's
> surgery
> was successful and that she is recovering well Please let me
> know
> if we can do anything to help.
>
> As I recall, you indicated that you'd be back to resume teaching
> on
> last Friday September 29th but that you d let me know if you
> needed
> an extension. Can you let me know if you have indeed returned or
> if
> you need some help to cover your classes for Monday/next week?
>
> Thanks very much,
>
> Jenny
> --
> Jennifer E. Turpin, Dean and Professor
> College of Arts and Sciences
> University of San Francisco
> 2130 Fulton Street

SDA 115

> San Francisco, CA 94117-1080
> (415) 422-6496
> turpinj@usfca.edu
>
> http://artsci.usfca.edu
>

SDA 116

Published on: www.usfca.edu/usffa
→ Constitution and By-Laws

USF FACULTY ASSOCIATION

CONSTITUTION and BY-LAWS

Rev. June, 2004

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(2) Recall Procedures:

(g) Each committee member and officer is expected to carry out the duties of his/her office. This includes regular attendance at meetings, and where appropriate, adequate representation of the views of his/her constituency. Failure to adequately carry out the duties of office is grounds for recall.

(h) The Science Council shall conduct all recall proceedings according to the procedures outlined in the Article.

(i) Upon receiving written permission from not less than twenty-five (25) percent of the constituency, stating the case fro recall, the Council shall immediately issue notice to the entire constituency that this action has been initiated.

(j) After one week, the Science Council shall issue a recall ballot to the constituency. Ballots shall be due one week after their issuance.

(k) The Science Council shall tally the votes cast and notify the constituency of the results. A two-thirds (2/3) majority of votes cast shall be necessary for recall.

(l) In the case that the recall procedure is successful, procedures described in VI. (1.) C. shall be followed.

VII. Meetings

(1) Department Meetings:

(d) Each department shall have regular meetings on a monthly basis during the Fall and Spring semesters.

(e) The elected chairpersons of each department shall normally preside at these meetings.

(f) The recording secretary within each department shall be responsible for preparing the minutes of these meetings. These minutes shall be made available to the Science Council.

(2) Meetings of the Science Council:

(f) The Science Division Council shall normally meet regularly on a monthly basis during the Fall and Spring semesters. Additional meetings may be held as deemed necessary by a majority of the Council members.

(g) The Council shall annually select a chairperson to arrange for, and preside at, these meetings. The chairperson shall not be the Grievance Committee representative. He/She shall serve jointly with the Grievance Committee representative as spokesperson for the Division of Science to the Dean. The Chairperson shall

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Report of Race-based Discrimination and Harassment Submitted to the Associate Vice President for Human Resources, University of San Francisco

May 15, 2006

John Kao, PhD
Associate Professor
Mathematics Department
University of San Francisco

May 15, 2006

Terry Stoner
Associate Vice President for Human Resources
University of San Francisco, LM 339
2130 Fulton Street
San Francisco, CA 94117-1080

Dear Vice President Stoner,

I am writing to file a Formal Complaint as provided for by the USF Prevention of Sexual and Other Unlawful Harassment Policy (PSOUHP), effective February 7, 2006. This is in sequel to the Informal Complaint which I filed on January 26, 2006, with Elsie Tamayo, Manager, Professional Development/Affirmative Action, Human Resources. On February 27, Ms. Tamayo notified me that the University had concluded the scope of my complaint exceeded parameters of the Informal process—a Formal Complaint was warranted. This was also my impression as articulated to Ms. Tamyao, January 26; nonetheless, I found our meeting useful and informative. I am writing in the capacity of Associate Professor of Mathematics. I am an Asian American male that, since my appointment as Assistant Professor in 1991, has been an outspoken advocate for implementation of USF Affirmative Action/Equal Employment Opportunity Policy within the Mathematics Department.

The written complaint accompanying this correspondence takes the form

Report of Race-based Discrimination and Harassment
Submitted to the Associate Vice President for Human Resources,
University of San Francisco.

It contains three parts: Summary, Complaint, and Source Documents. The latter is included in accordance with PSOUHP guidelines: provide copies of all relevant documents. Please note, however, that significant excerpts from source material are reproduced in Summary and Complaint (for critical instances, complete documents have been inserted within these sections). I have also sent by email an electronic version (PDF file) of the Summary and Complaint to Ms. Tamayo.

I have given careful consideration to this administrative matter. The principal subject of my complaint, Tristan Needham, Professor of Mathematics, served as

Associate Dean of Sciences
Spring 1999 - Spring 2004.

In such capacity, he was my direct supervisor. During the above period, the threat of retaliation was too great to pursue action as specified by PSOUHP.

My research into past activities began in earnest August 2005, and was in response to Tristan Needham's return to the Mathematics Department the same month (he was on sabbatical leave academic year 2004-05). This inquiry led to the discovery of several items address in my Formal Complaint, although they took place some time prior. Further discrimination/harassment occured during the current academic year. The most recent is referred to in my report as

- Appointment of Strictly Unqualified Candidate over Two Qualified Candidates both Having Diversity Status, appointment made February 16, 2006; subsequent to filing of Informal Complaint, January 26; discovered March 1.

This concluded a search for a tenure-track position in Mathematics; Prof. Needham was Chair of the Search Committee. It is the official prompt of my Formal Complaint, and is another instance of actions that serve to isolate me politically within my department. It is also a manifest violation of USF Affirmative Action/Equal Employment Opportunity Policy as expressed in the College of Arts and Sciences Search Procedures.

During my Informal Complaint meeting on January 26, Ms. Tamayo indicated that I may be represented by an attorney during the investigative phase (interviews, etc.). I wish to exercise this option; my attorney is Christopher W. Katzenbach (law firm of Katzenbach and Khitikian).

Thank you for your attention in this matter. I hope that the issues presented in my report can be resolved within the Formal Complaint process. Please feel free to contact me if you have any questions or concerns (USF Mathematics Department office HR 219, telephone ext. 6760, email kao@usfca.edu).

Sincerely,

John Kao
Associate Professor
Mathematics Department
USF

cc: Elsie Tamayo, Manager, Professional Development/Affirmative Action, USF

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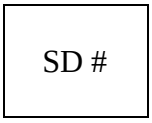
Introduction

I will refer to this document as *Report of Discrimination*. The objectives are

- submit Formal Complaint of race-based discrimination and harassment as provided by the USF Prevention of Sexual and Other Unlawful Harassment Policy, effective February 7, 2006;
- expedite investigation of matters therein.

To such end, this record is as brief as possible while including clear substantiating evidence. I have reproduced excerpts from source material (cited in footnotes) and replicated such, in the Source Document Appendix (abbreviated SD). These sources include letters, email correspondences, and administrative documents (in some instances, only select pages are included in SD Appendix). To certify authenticity, I have retained original copies. These were identified by removable tags and labeled duplicates created. These tags take the form



where the number enables page reference to source documents. In no case does the tag obscure text in the original. Necessarily, I have also cited verbal communications. These are referred to as "interpersonal" when the conversation was face-to-face and "telephone" as appropriate. The Investigator can forego careful reading of the SD Appendix—it is meant for reference and also to verify that quotations have not been taken out of context.

As customary in an academic institution, time periods are articulated by academic term: Fall and Spring (semesters) with Summer as break (full-time faculty at USF are not required to be in residence between semesters).

Report of Discrimination adopts Standard American usage and spelling. For example, "Prof." before a surname abbreviates "Professor." (In some prior communications cited, I used an European abbreviation "Pr." and sometimes British spelling—reflecting close correspondence with my European mathematics colleagues at the time.) The one significant exception is the writing of "Full Professor" in place of the academic rank of "Professor." The former is common in spoken English and is the clearer equivalent of the latter. Academic ranks (as semesters—see above) will be capitalized in this document, although USF convention varies. Note that faculty employment for the College of Arts and Sciences in the ranks of Instructor, Assistant Professor, Associate Professor and Full Professor is governed by the faculty union, USF Faculty Association (USFFA). Employment within the union structure is legally bound by the USFFA *Collective Bargaining Agreement* (*CBA*).[1]

Report of Discrimination concerns activities within the administrative unit

[1] For specific scope of the USFFA, see for instance, *CBA Effective March 18, 2002 - June 30, 2007*: pg. 10 [SD 104].

Mathematics Department and Computer Science Department
College of Arts and Sciences, USF.

I will use the abbreviations Math and CS accordingly, writing Math/CS for both departments collectively.

Discriminatory conduct was classified according to:

- explicit discrimination
- implicit discrimination.

Explicit Discrimination refers to overt action involving both discrimination/harassment and strict violations of USF administrative policy; in some instances, these were also violations of U.S. civil law beyond antidiscrimination legislation as applied to employment (Civil Rights Act of 1964 and Americans with Disabilities Act of 1990). Implicit Discrimination refers to conduct which, though equally damaging to myself and the institutional integrity of USF, did not explicitly violate University procedures.

Acts of discrimination/harassment, along with background information are summarized. Each item (numbered in left margin: 1-10) corresponds to a separate section of *Report of Discrimination* (Complaint) in sequel to Summary. These sections provide substantiating evidence and refer in turn to the SD Appendix. The items addressed are listed in chronological order below.

Action/Incident	Time Frame
Appointment without Search in On-going Violation of Collective Bargaining Agreement	announced Spring 2000, appointment occurring in 2001, *CBA Violation is current*
Libel, Forgery of Evidence and Defamation of Character	Spring 2000
Forced Leave of Absence in Violation of Americans with Disabilities Act	Spring 2002
Appointment with Special Privileges	Fall 2002 - present, *discovered Fall 2005*
Appointment in Violation of Search Procedures	Spring 2004, *discovered Fall 2005*
Maladministration: DDTP Single Subject Accreditation	*Spring 2004 - Spring 2006*
Destruction of Personnel Documents	*discovered Spring 2006*
Appointment of Strictly Unqualified Candidate over Two Qualified Candidates both Having Diversity Status	*Spring 2006*
Implicit Discrimination: Math/CS Demographics	developed Fall 1991 - Spring 2006, *current*
Implicit Discrimination: Dual-appointment Demographics	developed Fall 1991 - Spring 2006, *current*

Italics in the above table highlight items which either apply to the current semester (Spring 2006), or were discovered during the 2005-06 academic year.

The official prompt for *Report of Discrimination* corresponding to a Formal Complaint, USF Prevention of Sexual and Other Unlawful Harassment Policy, is taken as

- Appointment of Strictly Unqualified Candidate over Two Qualified Candidates both Having Diversity Status, appointment made February 16, 2006; subsequent to filing of Informal Complaint, January 26; discovered March 1.

Summary: Background Information

This section summarizes background information for *Report of Discrimination*. Some nomenclature specific to the College of Arts and Sciences, also Math/CS, will be clarified carefully in the Complaint section. (Note to the Investigator: duplication of information between Summary and Complaint sections has been avoided for brevity—please read both.)

Report of Discrimination will demonstrate that two Math faculty, Tristan Needham and Stanley Nel, during the period,

Fall 1991 - Spring 2006,

took actions which created and fostered a "Culture of Discrimination" within a coherent administrative unit at USF: Math/CS. These departments are explicitly connected through a preponderance of dual-appointment faculty (full decision makers in both departments). By Culture of Discrimination, I include specific acts of discrimination/harassment directed at myself, an Asian American male (the only regular faculty in Math/CS belonging to an ethnic minority group during the above time frame). I also include the cultivation of a "good-old-boy network" in the sense documented in the academic literature for politics of race.[2] Profs. Needham and Nel have held senior executive positions during this period:[3]

Stanley Nel	Dean of College of Arts and Sciences 1990 - Spring 2003
	Vice President of International Relations Fall 2003 - present
Tristan Needham	Associate Dean of Sciences Spring 1999 - Spring 2004.

[2] Taylor, B. R. (1991). *Affirmative Action at Work: Law, Politics and Ethics*. University of Pittsburgh Press. Pittburg: pg. 5-6.

[3] In some cases dates taken from source documents are ambiguous. The beginning of Stanley Nel's tenure as Dean is taken from his Biographical Sketch published on www.usfca.edu.

They have concurrently held faculty appointments in Math. USF administrators, who are also faculty, retain the right to return to regular teaching at the end of their administrative tenure. Prof. Needham exercised this right as of Fall 2004. Both men are White and non-Hispanic, and I believe, have profited from the Culture of Discrimination within their home department.

I began employment as an Assistant Professor of Math in Fall 1991. Since that time, I have stood out within Math/CS on account of

- my race,
- my cultural background,
- my political stance relative to these and as pertains to university governance.

With respect to the latter, it has been my consistent position that:

- When USF represents itself as an Affirmative Action/Equal Opportunity Employer to the public including accrediting agencies such as the Western Association of Schools and Colleges (WASC), and has established university policy and has published mission statements to this effect, the Math and CS departments have the obligation to implement these both in letter and in spirit.

Report of Discrimination will prove that the Math and CS departments have done neither during Fall 1991 - Spring 2006. I believe that being consistently outspoken on this issue has made me an explicit target of discrimination/harassment.

To provide context, I will summarize my academic background and describe the professional environment in Math/CS, during my tenure at USF.

I was born to Shih Kung Kao and Yasuko Watanabe Kao in Salt Lake City, Utah, on August 30, 1967. My ethnic background is Chinese and Japanese; both my parents were immigrants, naturalized U.S. Citizens. At the age of 13, my father died unexpectedly, leaving my mother to raise myself and my younger sister entirely on her own and under exceptional financial duress. I was always a strong student, but my father's death raised the stakes on my academic pursuits. At that time, educators in the state of Utah encouraged rapid advancement of grade as a program for "gifted youth." I used this opportunity both to honor my father and, with the availability of financial aid (scholarships), to relieve the financial burden on my mother. This deep felt obligation to support my family, reflected my cultural background. In the monograph, *Being Chinese Voices from the Diaspora*, Wei Djao writes,

> … it is with regard to Chinese values that most narrators structure the cultural dimension of their identity. They perceive themselves to be culturally Chinese because they feel that certain Chinese values still influence their thinking or conduct, or are still meaningful to them. The values mentioned by the narrators are emphasized in other cultures as well, but the Chinese people seem to take them to a much higher level.

> First and foremost is *xiao*. It is a Chinese concept that has no direct translation in English, requiring, therefore, two words to describe it: filial piety or filial devotion. It expresses the love, respect, obedience, solicitude, devotion, care, and utter sense of duty of the children toward the parents, with the implicit understanding that the children will look after the parents in their old age. It is the bond that ties the children to their parents, in return for the care, guidance, and devotion and, above all, life itself that the parents have bestowed on the children.
>
> Xiao seems to be a fundamental value held by the narrators. Yeoh rates it as the essence of Chinese culture.[4]

I enrolled as a full-time student at the University of Utah at the age of 15, graduating magna cum laude as a mathematics major at the age of 17. My tuition was covered by University of Utah President's Scholarship and Honors at Entrance Scholarship. I also was also employed part-time at the university library and physics department.

Spring 1985, I was admitted to the PhD Program in Applied and Computational Mathematics, a division of the Mathematics Department, at Princeton University (ranked the top American mathematics department by the National Research Council between the years 1982 and 1993).[5] My doctoral work was fully supported by a National Science Foundation Graduate Fellowship. At Princeton, I engaged concurrently in scientific achievement and humane endeavor. I served as Graduate Student Representative for the Asian American Student Union and President of the Judo Club. Academic year 1990-91, I held a postdoctoral position at the University of North Carolina, Charlotte, prior to my appointment at USF in 1991. I was 23 years old at the date of my hire as a tenure-track Assistant Professor.

In my early years of employment at USF, Prof. Milliane Lehmann (retired Spring 2004), supported me within Mathematics. As a Jesuit University, USF emphasized teaching over research, and I quickly established an exceptional reputation as a teacher, being recognized as earning the highest teaching evaluations among all probationary faculty in the College of Arts and Sciences (academic year 1991-92) during our ten-year Program Review.[6] However, I noticed my other USF mathematics colleagues treated me differently than similar probationary faculty: not taking my advisement seriously on administrative matters, consulting me on research problems but not supporting me in off-campus professional activities, and attempting to form collaborations on an authoritarian basis (as opposed to genuine professional partnerships).

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[4] Djao, W. (2003). *Being Chinese: Voices from the Diaspora*. The University of Arizona Press. Tuscon: pg. 203.
[5] Rung, D. C. (1983). Newest Ratings of Graduate Programs in Mathematics. *Notices of the American Mathematical Society*. Vol. 30, No. 3, pg. 257-567 [SD 198 - SD 209]. Also, Goldberger, M. L., Maher, B. A. and Flattau, P. E., eds. (1995). *Research-Doctorate Programs in the United States: Continuity and Change.* National Academy Press. Washington, D.C: pg. 332-337 [SD 210 - SD 223].
[6] *University of San Francisco College of Arts and Sciences Department of Mathematics Self-Study and Preliminary Development Plan October 1993* (departmental report in preparation for program review by external panel taking place once every ten years): pg. 3 [SD 162 - SD 165].

I participated in university administration, serving: on the Multicultural Action Plan Committee appointed by President John Schlegel, S.J. (Fall 1991 - Spring 1992), as faculty advisor to the Asian-Pacific Islander Student Union (Fall 1993 - Spring 1995), and on the committee which developed and implemented the Ethnic Studies Certificate Program (Fall 1994 - Spring 1995).

I achieved tenure and promotion to Associate Professor (effective Fall 1997). The University Peer Review Committee voted as follows:[7]

- Research: Superior 12, Adequate 0, Inadequate 0, Abstain 0
- Teaching: Superior 12, Adequate 0, Inadequate 0, Abstain 0
- Service: Superior 11, Adequate 1, Inadequate 0, Abstain 0.

I subsequently spent a sabbatical (academic year 1998-99) conducting research and teaching at the School of Engineering, Princeton University. My teaching was superlative as exhibited in the *Princeton University Student Course Guide* (online document):

> Fundamentals of Engineering Statistics. Doesn't the title of the course just scream "excitement!"
>
> The truth is, I am taking CIV 245 because it is required for my major, and that, I suspect, is why almost everyone takes the course. I heard horror stories about the difficulty and grading of the class before I took it myself, and I have been pleasantly surprised. The professor, John Kao, has been excellent. He makes himself very easily accessible to any student who asks for attention; he clearly knows a great deal about the subject matter; and his teaching style is enjoyable. He uses real world examples to teach the concepts behind the math, and in using these examples, you can almost find yourself learning without even realizing it.
>
> That is not to say you can get away without doing any work. There are weekly problem sets, and although they do not count significantly toward the course grade, they must be done in order to learn the material well enough to score decently on exams. The book, from which all the problems sets are taken, is relatively readable (for a statistics book) and includes plenty of examples. …
>
> While I don't believe I would have taken this class if it were not required, I have found it to be one class that I don't mind attending three days a week. I should also say that I'm not sure if Professor Kao will be teaching the course again, as I believe he is visiting only for the year. All in all, I have been pleasantly surprised.[8]

[7] Letters from Daniel Kendall, S.J. (Chair, University Peer Review Committee), to John Kao, both dated February 4, 1997 [SD 75 - SD 76].
[8] *Princeton University Student Course Guide* (from Fall 1999) published on www. princeton.edu [SD 84 - SD 85].

I remark that this teaching was closely supervised by regular faculty in the Civil Engineering and Operations Research Department: Rene Carmona, also Erhan Çinlar, Chair. The latter personally approved my final examination prior to its administration and the final grades for the above course.

I currently serve as Associate Editor for the journal, *Advances and Applications in Statistics* (Spring 2002 - present). I am listed in *Marquis Who's Who* (*America 2004*, *World 2006*). My research record was acknowledged by external reviewers in Spring 2004 (the cited section is titled "Quality of the Department: Faculty"):

> Faculty have engaged in scholarship encompassing original research, scholarly monographs, software development, and curriculum development. For example, Tristan Needham and Paul Zeitz have received awards for their work, John Kao and Peter Pacheco maintain active research programs, and John Stillwell has been a frequent invited speaker at national and international meetings. The faculty are also creative in seeking approaches to teaching that enhance student learning in both major and service courses: Milliane [*sic*] Lehmann has been a leading light behind the department's introduction of technology into teaching, and with Paul Zeitz has written a text for the Excel-based business mathematics course.[9]

During the period Fall 1991 - Spring 2006, the only regular faculty in Math/CS with diversity status were

- John Kao (Asian male)
- Milliane Lehmann (White non-Hispanic female).

That together, we endeavored to promote multiculturalism and diversity at USF is documented in the following from *Subject Matter Program in Mathematics* (for the Single Subject Teaching Credential) submitted to the California Commission on Teacher Credentialing (approval granted in March 1995). The text addresses, Standard 15: Equity and Diversity in the Program.

> USF has a diverse student population consisting of approximately 30% American minority students, and 12% international students (1993 enrollment statistics). Overall, 60% of the students at USF are women. The composition of mathematics faculty is reflective of the need to serve this diverse student population. Millianne Lehmann, Professor and Chair, has been active in addressing the needs of women students which account for an exceptional 50% of mathematics majors. Of the American minorities at USF the largest group is Asian (approximately 15% of the overall student population) which is reflective both of the high local Asian American population (28% in San Francisco) and of the large, predominantly Catholic, Filipino American

[9] *Report of the Visiting Committee to the Department of Mathematics at the University of San Francisco, May 27, 2004* (program review by external panel taking place once every ten years): pg 2 [SD 157]

community in the Bay Area. John Kao, Assistant Professor, has been actively involved in the Asian American community for a number of years.

Both Professors Lehmann and Kao have been active on campus in addressing the needs of the diverse student population at USF. Millianne Lehmann has recently served as Chair of the university wide Faculty Diversity Committee and has served on committees related to issues of women on campus. John Kao has served on the Multicultural Action Plan committee appointed by the President of the university and is currently serving as faculty advisor to the Asian Pacific Islander Student Union.[10]

During the 1990's, diversity issues were prominent at USF. This was reflective of standards implemented in sequel to the WASC accreditation review which concluded in 1991. The following is from the Fall 1991 (submitted August 15, 1991), USF Report to WASC.

> Since the 1988 visit, WASC has mandated that all visits include a review of two additional areas: diversity and assessment issues. Diversity issues are discussed in this chapter, with Assessment following in Chapter VII. In its letter to Accreditation Liaison Officers dated February 11, 1991, the Commission requested that the content of the University's Institutional Report regarding diversity include its major activities to promote student, faculty and staff diversity (Standards 1.B, 5.B and 5.D) and its appreciation of cultural diversity in the curriculum (Standard 4.B).[11]

Further,

> At the University level, the Strategic Plan has identified a series of activities addressing goals established to promote multiculturalism at USF. These goals relate to ethnic and gender diversity of the faculty and staff and the increased diversity of the student body through recruitment and increased student support services. One strategy to promote multiculturalism is to give the "highest priority to the hiring of qualified ethnic minority faculty and staff in all schools and colleges and divisions of the University."[12]

Also,

> New affirmative-action guidelines have been introduced into the process of recruitment and employment of faculty. Faculty searches now provide for

[10] *Subject Matter Program in Mathematics Submitted By The Department of Mathematics, University of San Franciso*. Approved by CCTC, March 1995: pg. 47 [SD 168].
[11] *Report to the Accrediting Commission for Senior Colleges and Universities Western Association of Schools and Colleges In Support of the Special Visit to the University of San Francisco Fall 1991, Submitted August 15, 1991*. Vol. I: pg. 75 [SD 130].
[12] Ibid: pg. 77 [SD 132].

> special efforts to bring minority candidates into the vacancy pool. New efforts are being made to announce vacancies in publications which are more likely to provide minority candidates; a minority faculty member from USF makes an annual recruitment visit to schools which might provide minority candidates. A special consultant was engaged to help in designing this new recruitment procedure.[13]

Finally,

> Efforts this year, as estimated as of this date, indicate the University anticipates the appointment of six additional minority instructors (3 Black, 1 Hispanic, 2 Asians) to the full-time faculty.[14]

Based on the date of my hire (Spring 1991), I conclude I was one of the two Asians reported above, to WASC in the context of the 1991 Accreditation Review.

Summary: Explicit Discrimination

Prof. Lehmann retired in Spring 2004 and was politically inactive in the years immediately prior. In conjunction, Tristan Needham was appointed Associate Dean of Sciences in Fall 1998; also, I returned from a sabbatical leave at Princeton University (during academic year 1998-99). These circumstances contributed to explicit acts of discrimination and harassment during the period

Fall 2000 - Spring 2006.

These are as follows.

1) In violation of USF affirmative action/equal opportunity policy, Deans Needham and Nel created a category of faculty appointment (Full Professorship requiring only one semester per year of teaching duties) for which no provision exists in the USFFA *CBA*. Thereafter, Dean Needham hired an acquaintance (John Stillwell) into this position *with tenure* (appointment in 2001, first semester teaching—Fall 2002). This appointment automatically advances to the highest salary scale attainable by faculty at USF and is irrevocable. *No search was conducted for this appointment, nor was there any substantive Math faculty consultation*. The decision for appointment was announced as a fait accompli, to our department, by Deans Nel and Needham on October 10, 2000. John Stillwell's curriculum vitae was not provided at that time. I only received a copy of such in the context of our 2004 Math Program Review.

College of Arts and Sciences Chronological Procedures for Hiring Probationary and Term Faculty, in effect since 2000 and comprising current implementation of *Faculty Recruitment Procedures* established in 1991, mandate a formal search for all tenured/tenure-

[13] Ibid: pg. 79 [SD 134].
[14] Ibid: pg. 80 [SD 135].

track positions as well as faculty term positions (contracts longer than one year).[15] John Stillwell's half-year Full Professor salary for academic year 2005-06 is at least $46,890.42 (Step 5)[16] which exceeds the full-year Instructor Step 1 salary of $45,900.49.[17] If his current status is Full Professor Step 8, his half-year salary of $55,663.31 *exceeds the full-year Assistant Professor Step 3 salary* of $55,080.59. Note that his appointment only requires residence at USF one semester per year (effectively, four months). According to his own published statements, Prof. Stillwell continues to be employed at Monash University in Australia.[18] Further note that *CBA* Article 23.17 Faculty Availability states,

> All full-time faculty members must be available for service at the University throughout the academic year. (The academic year begins one week preceding the day on which undergraduate classes begin in the fall [*sic*] semester and ends with Commencement exercises in the Spring semester).[19]

Further note that the USFFA *Constitution and By-laws* states, "This organization shall be known as the USF Faculty Association, Full-time Unit, Local 4269 of the American Federation of Teachers. AFL-CIO."[20] Further it states for the College of Sciences,

> … an individual is considered to be a member of a given academic department if he/she is a member in good standing of the USF Faculty Association and if he/she is paid, in whole or in part, from the budget of that department.[21]

This evinces what I have been told repeatedly during my fifteen years of full-time faculty employment at USF:

- College of Arts and Sciences Departments, proper, are contractually incorporated as divisions of the USFFA.

---

[15] *College of Arts and Sciences Chronological Procedures for Hiring Probationary and Term Faculty* [SD 334 - SD 340]. In an August 30, 2005, interpersonal communication with current Dean of Arts and Sciences, Jennifer Turpin, I was assured that these protocols had been in effect since at least 2000. Also, *Faculty Recruitment Procedures*, approved by John W. Clark, Vice President for Academic Affairs, May 15, 1991 [SD 341 - SD 348]. In a September 7, 2005, interpersonal communication with Gerardo Marín, Associate Provost, Academic Affairs Provost, I inquired whether affirmative action directives initiated by President Schlegel and signed by Vice President Clark in the early 1990's were still in effect (i.e., were never superseded/repealed); he assured me that they were. This statement was further confirmed in a September 8, 2005, interpersonal communication with James Wiser, Provost, Academic Vice President, Academic Affairs.

[16] Note that Full-Professor Steps automatically increase each academic year to the maximum, Step 8. Prof. Stillwell was originally scheduled to teach in Spring 2002, but this teaching was deferred by one semester, after the Class Schedule had been printed—he taught both Fall 2002 and Spring 2003. On this basis, I conclude his 2005-06 employment is least at Full Professor, Step 5.

[17] 2005-2006 Salary Scales communicated in email from the USFFA to full-time faculty, dated September 6, 2005 [SD 330 - SD 331].

[18] Stillwell, J. (2004). Brain Drain. *Australian Mathematical Society Gazette*, Vol. 31, No. 1, pg. 18-20 [SD 93 - SD 97].

[19] *CBA Effective July 29, 1998 - June 30, 2003*: pg. 41 [SD 123]. Also, *CBA Effective March 18, 2002 - June 30, 2007*: pg. 43 [SD 106].

[20] *Constitution and By-laws Rev. June 2004*: pg. 3 [SD 113].

[21] Ibid: pg. 20 [SD 116].

Part-time faculty occasionally attend Department Meetings, but they are not permitted to vote. In order to fully participate in Math department meetings (inclusive of voting privileges) John Stillwell must be a member in good standing of the USFFA and consequently a "full-time faculty." That Prof. Stillwell has exercised this franchise, since Fall 2002, is documented in Minutes of Math Department meetings during every semester he was in residence at USF.

The argument that there would be no other qualified candidates for such a position is unconvincing. Consider Prof. Stillwell's own published statements.

> During the 90s we were cut back to one topology course (in honours) and many other topics disappeared entirely, among them history of mathematics, geometry, logic, set theory, ring theory and computability. All this happened gradually, however, and people experienced low morale but not outright panic. Until 1997, that is. In April 1997 the Dean sacked 10 members of the mathematics department, and it suddenly became prudent to look for a new job. I was lucky because I happened to have a colleague at the University of San Francisco who was interested in adding to the small department there.
>
> By 1999 he had risen to the position of Associate Dean and was able to offer me a job, thanks to a sympathetic Dean who was also a mathematician. I had a trial run at USF in 2000, liked it, and signed on as a tenured professor starting in 2002.
>
> On my return to Monash in 2001, it became clear that I had made the right decision. We had a new Dean of Science, and his first visit to the department set a new benchmark for insensitivity and/or cluelessness. He told us how lucky we were to have astrophysics and meteorology to display in our shop window rather than (his exact words) "that boring old calculus and pure mathematics".
>
> You can imagine with what relish I returned to USF, where I can teach history of mathematics, foundations of geometry, and several other areas of pure mathematics no longer offered at Monash.[22]

I will refer to this matter as "Appointment Without Search in On-going Violation of Collective Bargaining Agreement."

John Stillwell's name first appeared in Math department administrative documents with the announcement, on February 10, 1998, of his expected appointment as a Visiting Professor, during his sabbatical leave from Monash University, in 2000. I ask that the Investigator take special note of the following excerpt from the Minutes of the Math meeting held February 10. Prof. Needham was Chair of Math at the time.

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[22] Stillwell, J. (2004). Brain Drain. *Australian Mathematical Society Gazette*, Vol. 31, No. 1, pg. 18-20 [SD 93 - SD 97].

> Prof. Needham announced that Prof. John Stillwell is planning to take his sabbatical from Monash University starting in January 2000, and he would like to spend it teaching at USF. Before taking any action, Prof. Needham asked for the blessings of the department. The faculty were pleased at the prospect of having Prof. Stillwell teach at USF. Prof. Needham noted that Dean Nel sees this as a great opportunity for USF, and has pledged that he will try hard to obtain a term position for Prof. Stillwell. Prof. Needham also noted that Prof. Stillwell is seriously contemplating moving to the United States permanently, and that due to his positive experiences here, he might be willing to join the USF math department. The reaction of the faculty was very positive, but Prof. Kao did state that he would be opposed to offering a position to someone without a full, open search.[23]

That I was publicly opposed to a tenured faculty appointment being made without a search is documented above. Subsequent to the announcement on October 10, 2000, I was considering protesting this Dean's Office decision. *Any such protest was preempted by the action described in the next section*. It occurred within one month of the October 10 announcement.

2) Dean Needham engaged in both harassment and discrimination against me, which included: libel, forgery of evidence and defamation of character. This occurred in a formal letter of reprimand (printed on USF letterhead, signed by Dean Needham, and with forged evidence attached) which was delivered to administrators at another institution of higher education—John Loomis, Chair of Architecture, and David Meckel, Dean of Design and Architecture; both at the prestigious art institute, California College of Arts and Crafts (CCAC)—as well as to faculty and administrators at USF.[24] The letter concerned my professional activities in connection with CCAC—I delivered a USF Math course, *Precalculus* at the CCAC San Francisco campus (Protrero Hill neighborhood), Spring 2000. The content of this letter was defamatory and libelous; also manifestly directed at myself. For example, in this letter addressed to Paul Zeitz (Chair of Math) and cc'ed to myself, Dean Needham attested:

> Less happily, my real reason for writing is to spell out grave concerns, about which you and I have already spoken in person, regarding the breakdown of both the lines of communication and the chain of command in connection with the delivery of this course by USF for CCAC. Specifically, I was, as you know, very disturbed to discover that as a result of private communications between John Kao and John Loomis at CCAC, it was "decided" that USF would not deliver this course for CCAC in Spring 2001, and that John Loomis would simply have it taught by a CCAC instructor from their Department of Humanities and Sciences.

The correspondence is reproduced on the following pages. I will refer to this letter with attachments as N1.

[SD Insert follows: 5 pages]

[23] Minutes of the Math Department Meeting, February 10, 1998 [SD 358 - SD 359].
[24] Letter from Tristan Needham to Paul Zeitz, dated November 1, 2000 [SD 9 - SD 13].

USF
UNIVERSITY of SAN FRANCISCO

Office of the Associate Dean for Sciences

College of Arts and Sciences
2130 Fulton Street
San Francisco, CA 94117-1080
TEL 415 422-6166
FAX 415 422-5700

November 1, 2000

Professor Paul Zeitz
Chair of Mathematics
Department of Mathematics
College of Arts and Sciences
University of San Francisco

Dear Paul,

This semester I received a copy of a report that John Kao submitted to you regarding his Spring 2000 teaching of Precalculus for Architecture students at CCAC. To save everyone the trouble of looking it up, I'm attaching a copy to this letter. I am also attaching copies of two e-mail messages that you forwarded to me (at my request) after I discovered that important communications were being exchanged with CCAC without Fr. Lucas and myself being consulted or even informed.

Let me begin on a positive note by saying that I very much appreciate the effort John put into developing—at the last minute, and on the fly—a version of this course that was significantly different than the one we have delivered at USF, one that better met the special needs of the CCAC students. The student evaluations attest to the fact that this was a complete success and that John did his usual outstanding job in the classroom.

Less happily, my real reason for writing is to spell out grave concerns, about which you and I have already spoken in person, regarding the breakdown of both the lines of communication and the chain of command in connection with the delivery of this course by USF for CCAC. Specifically, I was, as you know, very disturbed to discover that as a result of private communications between John Kao and John Loomis at CCAC, it was "decided" that USF would not deliver this course for CCAC in Spring 2001, and that John Loomis would simply have it taught by a CCAC instructor from their Department of Humanities and Sciences.

I am less concerned with dwelling on what has gone wrong in the past, and more concerned with repairing the damage for the future. So please note the following points very carefully:

1) Neither John Kao nor you are empowered to negotiate with CCAC on behalf of USF.
2) As a result of accreditation problems with CCAC's own delivery of mathematics courses for its Architecture students, the CCAC Administration negotiated with the USF Administration, and it was agreed that USF would in future deliver a version of Precalculus for CCAC.
3) As Associate Dean for Sciences it falls to me to ensure that this agreement is honored, and I in turn rely on you as Chair of Mathematics to assign an appropriate USF mathematics instructor to teach this course at CCAC each Spring. Please ensure that this is done for Spring 2002.

SD Note:
Also Inserted
as pg. 13

SD 9

4) I have no desire to micromanage, and I am happy to leave to you such details as which USF instructor should deliver the course, what modifications to the syllabus need to be made, as well as the time of day at which the course is taught. However, I do insist that both Fr. Lucas and I be copied on all communications with CCAC regarding this course.

Thanks for your helping in preventing a recurrence of this problem, thereby ensuring that the relationship between USF and CCAC that Fr. Lucas has worked so hard to forge is not eroded any further than it has been already.

Regards,

Tristan

Tristan Needham
Associate Dean for Sciences

cc: Stanley Nel, Dean, College of Arts and Sciences, USF
Fr. Thomas Lucas, S.J., Director of the CCAC Joint BFA/B Arch Programs, USF
John Kao, Associate Professor of Mathematics, USF

David Meckel, Dean of Design and Architecture, CCAC
John Loomis, Chair of Architecture, CCAC

Enc.: 2

SD Note:
Also Inserted
as pg. 14

SD 10

TWO E-MAIL MESSAGES

X-Sender: kao@euclid.math.usfca.edu
Date: Wed, 02 Aug 2000 11:31:57 -0700
To: jloomis@ccac-art.edu
From: John Kao <kao@usfca.edu
Subject: Precalculus 2001
Cc: zeitz@usfca.edu

John,

Nice to see you the other day. My apologies for not speaking longer--I had an appointment with my student, Ms. Naoko Ono, who received an Incomplete grade and would like to fulfill her course requirements this summer.

My colleague, Paul Zeitz, informed me of your discussion regarding Precalculus in Spring 2001. It was gratifying to learn that Architecture was satisfied with this course last semester; I enjoyed performing this service very much. I would like to continue teaching for you; however, having completed my planning for next academic year, I find this assignment is incompatible with my research commitments to USF. In particular, the time required to commute between our two sites and to provide a separate set of office hours for your students will not be available to me Spring 2001. I apologize for any inconvenience. I am certain the Mathematics Department will provide a suitable alternative.

I look forward to working with you in the future; it has been a pleasure to become acquainted with CCAC's SF campus in general, and Architecture in particular.

Sincerely,

John Kao
Mathematics, USF

Date: Thu, 03 Aug 2000 14:02:47 -0700
Subject: Re: Precalculus 2001
To: kao@usfca.edu
Cc: zeitz@usfca.edu
From: jloomis@ccac-art.edu (John Loomis)

John-

Thank you for your kind note. And thank you very much for taking the time to come to CCAC and meet with our student at this point in the summer. That was above and beyond the call of duty, and I really appreciate it. I am sorry we will not be able to continue with you next year. I think we will be trying to cover this course with a new instructor, recently hired by our H&S department.

Thank you for your contribution to CCAC.

With warm regards,
-John Loomis

John A. Loomis AIA, Chair
Architecture Program
California College of Arts and Crafts (CCAC)

SD 11

SD Note:
Also Inserted
as pg. 15

UNIVERSITY of SAN FRANCISCO

College of Arts and Sciences
2130 Fulton Street
San Francisco, CA 94117-1080
TEL 415 422-6747
FAX 415 422-2346

Memorandum

To: Paul Zeitz, Chair, Mathematics Department, USF

CC: Tristan Needham, Associate Dean, College of Sciences, USF

Stanley Nel, Dean, Arts and Sciences, USF

From: John Kao, Associate Professor, Mathematics Department, USF JK

Date: September 18, 2000

Re: Precalculus for CCAC in Spring 2000

This memo is intended as a final communication on my activities at the California College of Arts and Crafts during the spring semester of 2000. As you are aware, I was assigned to deliver a version of our course, Math 108 (Precalculus), tailored so as to serve the needs of undergraduates in Architecture (USF as well as CCAC students). During the semester I worked closely with Kate Simonen, Director of Technology Curriculum in Architecture who gave me specific pedagogical directives. I was also supervised by John Loomis, Chair of Architecture. I am pleased to report that the first delivery of Precalculus was successful in the eyes of administrators at CCAC. As record of this, I enclose the teaching evaluations sent to me as well as a letter of appraisal from John Loomis.

As you know, CCAC specifically requested that I teach Precalculus at their campus again in Spring 2001. I explained to them–as I did to you at the time–that my research obligations to USF would not permit me to undertake this duty for a consecutive academic year. However, I left open the possibility of my involvement in the future.

Thank you for all your support in this endeavor. While there were some difficulties to overcome, I found this teaching assignment, on the whole, gratifying.

SD Note:
Also Inserted
as pg. 16

SD 12

California
College
of
Arts
and
Crafts

7 September, 2000

John Kao, Associate Professor
Department of Mathematics
College of Arts and Sciences
University of San Francisco
2130 Fulton Street
San Francisco, CA 94117-1080

Dear Prof. Kao:

I read with great interest your student evaluations from last semester which were recently forwarded to me. All the evaluations ranged from very positive to enthusiastic. I know that CCAC is a different very different venue from USF, but that in no way affected the success of your teaching.

I want to thank you for the excellent job you did last spring in teaching Precalculus to our architecture students. I regret that the logistics of your schedule do not make it possible for you to continue to teach at CCAC. It is for this reason that we have decided to have this math course delivered by an new instructor from our Humanities and Sciences department. We have great faith and hopes that he will perform up to the standards that you have set. If we are not satisfied, we will most likely look to reopen our relationship with the USF math department. I have communicated this all to Paul Zeitz earlier on, and forgive me for taking so long to communicate it to you.

Sincerely,

John A. Loomis AIA
Chair, Architecture
cc: M. Van Buren

1111 Eighth Street
San Francisco
California
94107
Ph 415 703 9500
Fx 415 621 2396

SD Note:
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as pg. 17

SD 13

Detailed rebuttal to the allegations of Dean Needham were communicated in a letter of protest to Dean Nel.[25] I request the Investigator review this for complete context.

As I was never a participant in the negotiations/planning that took place between CCAC and USF, the only substantive allegation was

- I failed to communicate developments at CCAC in a timely manner to USF administrators (either directly, or via Paul Zeitz, Chair). As a consequence of this miscommunication, Dean Needham was unable to prevent breach of the CCAC/USF Math Architecture arrangement for Spring 2001.

To "prove" this allegation, Dean Needham attached three pages of "evidence" which he describes:

> This semester I received a copy of a report that John Kao submitted to you regarding his Spring 2000 teaching of Precalculus for Architecture students at CCAC. To save everyone the trouble of looking it up, I'm attaching a copy to this letter. I am also attaching copies of two e-mail messages that you forwarded to me (at my request) after I discovered that important communications were being exchanged with CCAC without Fr. Lucas and myself being consulted or even informed.

The "two e-mail messages" carry transmission dates of

- Wed, 02 Aug 2000
- Thu, 03 Aug 2000

while the "report John Kao submitted to you" was dated

- September 18, 2000.

This "documentary evidence" is designed to falsely portray that I knew of problems with the CCAC/USF Math program in early August, but failed to communicate these to Dean Needham until late September, when it was too late for him to act. Evidence presented in the Complaint section of *Report of Discrimination* will prove that he received the e-mail messages in electronic form on

- August 15, 2000.

The email document in Dean Needham's possession must have contained this date of receipt, which he electronically deleted in a word processor (I will demonstrate that other substantial electronic editing was performed). *Such a date would completely absolve me of liability in this matter.* The following definition of forgery is taken from Barron's *Law*

[25] Letter from John Kao to Stanley Nel, dated November 10, 2000 [SD 14 - SD 33].

Dictionary:

> **FORGERY** "**fraudulent** making or altering of a writing with the intent to prejudice the rights of another," … "the false making or [material] altering, with intent to defraud, of any writing which, if genuine, might apparently be of legal efficacy or the foundation of a legal liability."[26]

The documents which Dean Needham fabricated are electronic forgeries.

A USFFA Grievance was settled in my favor on December 7, 2000. The outcome was Dean Nel signing a statement of retraction.

I will refer to this matter as "Libel, Forgery of Evidence and Defamation of Character."

The following incident occurred approximately one year later, *it can be interpreted as retaliation for the Grievance which I successfully pursued*.

3) As a result of a temporary medical disability with which I was afflicted (allergic reaction to a medication), Dean Needham applied undue and discriminatory pressure on me, which in the context of prior actions (especially—Libel, Forgery of Evidence and Defamation of Character), compelled me to take a one semester leave of absence without pay (Spring 2002).

Immediately prior to Spring 2002, in consequence of caring for my aging mother (and also the harassment and discrimination I had experienced at USF), I felt depressed and was prescribed a low dose of the antidepressant, Prozac (technically, fluoxetine a generic of Prozac). I had an allergic reaction to this drug and began experiencing hallucinations. This allergic reaction was diagnosed by my physician, Frederick Parris, MD, on January 21, 2002 (the day prior to the beginning of Spring semester). He assured me I should be able to return to full teaching duties at the end of a two-week recuperation and cessation of the antidepressant. My sister, Stephanie Kao, telephoned the Dean's Office of Arts and Sciences the evening of January 21 (approximately 7:00 pm) and spoke directly to Ms. Nancy Campagna, Assistant to the Dean, explaining the circumstances. On the morning of January 22, I contacted Ms. Campagna by telephone. She assured me that I should be able to return to teaching after completing the period of recuperation and with written certification from my doctor. During a follow up examination later the same day, Dr. Parris confirmed his diagnosis and agreed to provide me a letter of medical assessment.[27]

On January 23, I telephoned from El Cerrito where I was in recuperation (my doctor advised me not to drive and I was staying at my mother's and sister's residence), and I spoke with Paul Zeitz, Chair of Mathematics. He informed me that

[26] Giffs, S. H. (2003). *Law Dictionary*. Fifth Ed. Barron's Educational Series, Inc: pg. 211.
[27] Letter from Frederick Parris, MD, to Stanley Nel, dated January 31, 2002 [SD 60].

- substitutes had already been hired;
- the financial commitment to them for the entire Spring semester had already been made—which commitment was irrevocable;
- consequently, it would be "difficult for me to return to teaching that Spring."

I then spoke directly (by telephone) to Dean Needham for the first time since my condition had manifested. *I explained I would be able to obtain a letter from my doctor explaining my absence for the two-week recuperation period*. He insisted

- I would not be permitted to return to teaching Spring 2002 without first submitting to an interview with him.
- Should I return to teaching, another faculty would have to be present in my classroom throughout the semester to "help me out" in the event I was unable to teach properly.
- The above two conditions were not negotiable.

In view of my past experience with Dean Needham and Dean Nel (Libel, Forgery of Evidence and Defamation of Character, Fall 2000), I understood that

- Dean Needham would have liberty to claim any kind of professional incompetence at the "interview."
- The faculty assigned to "aid my teaching" would have similar liberty during the course of an entire semester
- Any manner of challenge as to my competence to teach could be placed on permanent record in my personnel file.

After several days consideration, I decided I could not return under these conditions: understanding that a USFFA Grievance on such a matter would be impractical, given the time restrictions with the semester already under way, and also feeling deeply my obligation to care for my mother. I refused to sign a request for Sick Leave. Several weeks after the beginning of the semester, I notified the Dean's Office of Arts and Sciences I did not intend on returning to teach Spring 2002. A letter dated April 18 was sent to me informing me of my being granted

- Special Leave of Absence for Spring 2002.

This category of Special Leave, according to the *CBA* is meant for professional purposes only (listing no provision for illness, nor private obligations) and is entirely inappropriate given the context.

Legal analysis of these events has been provided by Dr. Lenore Terr, MD and Clinical Professor of Psychiatry at the University of California San Francisco Medical Center. This is reproduced here for the Investigator. I also reproduce the letter of medical assessment provided by Dr. Frederick Parris, MD, dated January 31, 2002.

[SD Insert follows: 3 pages]

Department of Psychiatry &
Langley Porter Psychiatric Institute
401 Parnassus Avenue
San Francisco, California 94143

University of California, San Francisco . . . A Health Sciences Campus

May 9, 2006

Terry Stoner, Associate Vice President of Human Resources
University of San Francisco, LM 339
2130 Fulton Street
San Francisco, CA 94117-1080

Dear Vice President Stoner,

I am a Clinical Professor of Psychiatry at UCSF and a private practitioner of psychiatry in San Francisco I also serve as a psychiatric expert witness in court and have taught forensic psychiatry throughout my career, both in medical and in law schools, including UC Berkeley Boalt Hall. This letter concerns Professor John Kao, PhD, a mathematics department member at USF, and therefore, one of your full-time faculty.

Dr. Kao consulted me at the beginning of the current academic year because of discrimination he feels he has experienced at USF He wondered if an old medical condition he had gone through in 2002 had been handled properly by USF, particularly in relation to the Americans with Disabilities Act.

In 2002, when I did not know Dr. Kao, he became depressed, primarily as a consequence of caring for his aging mother, but also because of the negative way the University had treated him in 2000 when he worked well and diligently at the USF program at California College of Arts and Crafts In 2002, he consulted with Dr. Fred Parris, a well-respected psychiatrist in the San Francisco community, for his depression. Dr. Parris placed Dr. Kao on fluoxetine (Prozac) at the standard dosage Unfortunately, Dr Kao experienced a serious side effect, visual and auditory hallucinations, which are known as an uncommon, but occasional, occurrence with this drug The "hallucinations" were actually visual illusions (such as halos around objects) and auditory distortions (voices sounded strange). The timeline is as follows: On January 15, 2002, Dr. Parris placed Dr. Kao on the drug. On January 20, the perceptual distortions occurred On January 21, Dr. Parris stopped all medication. On January 22, by the time Dr Parris's impression of the medication side-effects were confirmed, all perceptual distortions had already ceased

The Dean at USF (Tristam Needham, PhD) to whom Dr. Kao reported, learned of the situation from Dr. Kao's sister, who spoke with his assistant (Nancy Campagna) on the evening of January 21. This was meant to inform the University that Dr. Kao needed a few weeks of sick time to recuperate. The next day, when Dr. Kao phoned the Dean's Office, Ms. Campagna told Dr Kao that he could return when he wanted, but he must provide a note from his doctor. (Dr. Parris has since told Dr. Kao that he was never contacted by anyone at USF.)

On January 23, Dr. Kao spoke by phone to the chair of mathematics, Paul Zeitz, who told him that his substitute had been hired for the entire semester. It would be a financial burden for the University to pay for him, as well Then, Dr. Kao spoke on the phone with Dean Needham, who said that he would have to be interviewed by him (T.N.) personally before coming back to work; and, that another faculty member would have to be present in his classroom to "help him out" (over the semester) if he was incapacitated. Dr. Kao said he did not agree, but Dean Needham insisted.

At that point, Dr. Kao was so shocked, mortified, and humiliated by the Dean's—and the University's—behavior that he stopped negotiating with the Dean.

I examined Dr Kao in September, 2005 and found no trace of the depression he had suffered in 2002, or of the illusory phenomena he experienced with Prozac But, he remained humiliated in regard to his treatment at USF in 2002, and he presently feels stigmatized within the mathematics community of the College. He gave me several examples of how the University leaves him isolated culturally and politically—and how they ignore his sound counsel on matters with significant impact on the institution.

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Insofar as my reading of the ADA requirements, I find that Dean Needham's administrative actions violated a number of ADA provisions: (1) Psychiatry is not to be treated differently than other medical categories; (2) A person who formally requests for a few weeks of medical leave should not be dismissed for the semester; (3) Colleagues are not appointed to watch over others who have a temporary or permanent mental disorder or disability; (4) The definition of "help" is ambiguous, as used by the Dean. It would have been "helpful" only if Dr. Kao requested it or Dr. Parris recommended it; (5) The treating physician must be contacted. It is very hard to escape the probability that the University acted with prejudice against Dr. Kao—because of the psychiatric nature of his disability and/or because he belongs to an ethnic minority group.

I have consulted with Dr. Fred Parris by phone about Dr. Kao. I believe that he concurs with me in my opinion. I see nothing that USF is doing (or has done) to make up to Dr. Kao for the painfulness and unfairness with which they have treated him. Though I do not always concur with people for taking actions against those who wound them, I do concur with Dr. Kao's plan to take up his grievances formally with the University.

Yours truly,

Lenore C. Terr, MD

Lenore C. Terr, MD
Clinical Professor of Psychiatry

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as pg. 22

SD 62

Frederick N. Parris, M.D.
Clinical Professor
School of Medicine, UCSF
Psychiatry (private practice)
4333 California St.
San Francisco, CA 94118

January 31, 2002

Reference: John Sterling Kao, Associate Professor, Mathematics, USF

Tristan Needham
Associate Dean of Sciences
University of San Francisco
2130 Fulton St.
San Francisco, CA 94117-1080

Dear Dean Needham,

I am writing in regards to my patient, John Sterling Kao. Dr. Kao first consulted me on January 14, 2002. At that time, he was suffering from depression related to his familial obligation to care for his septuagenarian mother. I recommended that he begin a treatment of psychotherapy including a prescription of the antidepressant, Prozac. On January 23, I met with Dr. Kao (who was accompanied by his sister, Stephanie Kao) for an emergency consultation. Dr. Kao complained of experiencing hallucinations on and off, and he did not feel safe driving. My diagnosis was that these hallucinations were the result of an allergic reaction to Prozac, and I recommended cessation of the antidepressant. Dr. Kao has stated that the hallucinations have stopped altogether. For this reason, Dr. Kao should be able to immediately resume all of his usual activities. At the same time, it takes approximately two weeks for the drug, Prozac, to completely leave a patient's system. I therefore recommend that Dr. Kao be allowed to recuperate until February 7, 2002.

Sincerely,

Frederick Parris

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as pg. 23

SD 60

I emphasize that as of

- January 16, 2006

when I met again with Dr. Parris in preparation of *Report of Discrimination*, USF has never attempted to contact him. Further, only three pages of documentation were filed in connection with my absence for the entirety of Spring 2002:

- Letter from Stanley Nel to John Kao, dated April 18 (award of retroactive Special Leave of Absence covering Spring 2002),
- Letter from John Kao to Stanley Nel, dated May 31 (my response to the above in which I retroactively submitted, to my personnel record, the letter of medical assessment from Dr. Parris, dated January 31).

I will show in a later section that this is far less than the minimum documentation mandated by the *CBA* in connection with Special Leave of Absence. The lack of such is evidence of Dean Needham's and Dean Nel's manipulation of University protocols. This is further corroborated by the fact that *no one representing USF has ever contacted my physician, Dr. Parris*.

The adverse reaction I suffered is a temporary disability and would be covered under the Americans with Disabilities Act (ADA). In consequence, the manner in which Dean Needham handled my circumstance is prejudicial. The following is published on the official web site of the US Equal Employment Opportunity Commission.

> Title I of the Americans with Disabilities Act of 1990, which took effect July 26, 1992, prohibits private employers, state and local governments, employment agencies and labor unions from discriminating against qualified individuals with disabilities in job application procedures, hiring, firing, advancement, compensation, job training, and other terms, conditions and privileges of employment. An individual with a disability is a person who:
>
> - Has a physical or mental impairment that substantially limits one or more major life activities;
> - Has a record of such an impairment; or
> - Is regarded as having such an impairment.[28]

In addition,

> An employer is required to make an accommodation to the known disability of a qualified applicant or employee if it would not impose an "undue hardship" on the operation of the employer's business. Undue hardship is defined as an action requiring significant difficulty or expense when considered in light of factors such as an employer's size, financial resources and the nature and

[28] Published currently on www.eeoc.gov/facts/fs-ada.html.

structure of its operation.[29]

USF class sizes are typically thirty, and upper division courses (one of which I was scheduled to teach Spring 2002) often have enrollments of approximately ten. I would have been in the position of explaining to my students (and also to faculty colleagues) the presence of other faculty in my classrooms during the course of an entire semester. I have never heard of such an arrangement in fifteen years of teaching (other than during my telephone communication with Dean Needham) at USF. I felt grossly humiliated by the requirement and would have felt even more so explaining this to my students.

My expressed wish to return to teaching after two weeks recuperation with no other requisite conditions (substitutes being provided in my absence) is completely appropriate as a "reasonable accommodation" to a temporary disability; in particular with reference to the medical assessment made by Dr. Parris on January 31.

I returned to teaching in Fall 2002 and have taught flawlessly every semester since (as evinced by my Teaching Evaluations in conjunction with Semester Grade Distributions). *I do not feel depressed, nor do I require any form of antidepressant medication (I am fully prepared to take a blood test, if requested)*. Nonetheless, Prof. Needham continues to allude to my forced leave of absence in derogatory fashion. In particular,

- Tristan Needham makes recurring references to "lunatic" and "crazy" mathematicians.

I will not attempt to list these—I only remark that people who suffer from chronic depression (of which I am not one) are fully protected from discrimination/harassment by the ADA.

While my professional record at USF is flawless, my colleagues have treated me in a consistently condescending fashion. I feel stigmatized as an "Asian whiz kid": socially maladjusted in a manner prohibitive of administrative responsibility. This is consonant with prevalent negative racial stereotypes of Asian Americans which focus around the category—social characteristics/skills. In the monograph, *Yellow: Race in America Beyond Black and White*, Frank Wu writes:

> The model minority myth hurts Asian Americans themselves. It is two-faced. Every attractive trait matches up neatly to its repulsive complement, and the aspects are conducive to reversal. If we acquiesced to the myth in its favorable guise, we would be precluded from rejecting its unfavorable interpretations. We would already have accepted the characteristics at issue as inherent.
>
> … To be intelligent is to be calculating and too clever; to be gifted in math and science is to be mechanical and not creative, lacking interpersonal

[29] Ibid.

> skills and leadership potential. To be polite is to be inscrutable and submissive. To be hard working is to be an unfair competitor for regular human beings and not a well-rounded, likable individual. To be family oriented is to be clannish and too ethnic. To be law abiding is to be self-righteous and rigidly rule-bound. To be successfully entrepreneurial is to be deviously aggressive and economically intimidating. To revere elders is to be an ancestor-worshipping pagan, and fidelity to tradition is reactionary ignorance.[30]

Similarly in *The Realities of Affirmative Action in Employment*, Barbara Reskin writes:

> Many Americans subscribe to unfavorable stereotypes of African Americans, Hispanics, and Asians, and of white women, although the content of race, ethnic, and sex stereotypes varies (Sniderman and Piazza 1993; Bobo 1997; Schuman et al. 1997; Sigelman and Tuch 1997). Whites tend to view African Americans as lazy, unintelligent, prone to violence, and insubordinate (Smith 1990; Bobo 1996; Wilson 1996, chap. 5). Latinos are stereotyped as unintelligent, prone to violence, and content to live on welfare, while Asians are stereotyped as hard to get along with (Ramirez 1988, p. 199; Smith 1990; Bobo et al. 1994, p. 117).[31]

Exploitation of the forced, Spring 2002, Special Leave of Absence in connection with the negative stereotypes described above (and applying to the category of collegiality/social skills) is a violation of ADA as well as race-based discrimination.

I will refer to this matter as "Forced Leave of Absence in Violation of Americans with Disabilities Act."

4) The terms of Prof. Stillwell's appointment carry special privileges that are not provided for in the *CBA*. These include the following.

- In violation of *CBA* faculty workload requirements (which mandates an average teaching load of 9 units, of regular coursework, per semester), John Stillwell has been permitted a reduced teaching load. He has carried a teaching load of 8 units, of regular coursework, every semester during the five semesters he has taught as a tenured Full Professor at USF: Fall 2002, Spring 2003, Spring 2004, Fall 2004, Fall 2005 (in addition, the currently scheduled Fall 2006).[32]

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[30] Wu, F. H. (2002). *Yellow: Race in America Beyond Black and White.* Basic Books, A Member of the Perseus Books Group. New York: pg. 67.

[31] Reskin, B. F. (1998). *The Realities of Affirmative Action in Employment.* American Sociological Association: Washington, DC: pg. 29.

[32] USF computer records—SI system, screen 1D5. USF College of Arts and Sciences policy treats "directed study" teaching (involving typically one or two meetings per week with individual students) as Service, and such activity is not credited towards a professor's Teaching load—I have taught directed studies, and have never received credit towards my ordinary classroom teaching load.

- Prof. Stillwell's four-months-per-year residency in San Francisco is facilitated by special access to University housing. He and his wife have rented a University owned flat on Chabot Street next to USF campus every year since his teaching appointment began in Fall 2002.
- Prof. Stillwell is exempt from duties such as counseling students (advising) and service on University committees, which his four-months-per-year residency prohibits. These expected duties are explicitly recorded in *CBA* Article 23 Professional Responsibilities of the Faculty.

I will refer to this matter as "Appointment with Special Privileges."

5) In violation of USF Affirmative Action/Equal Opportunity policy, in conducting a search Spring 2004 under the supervision of Dean Needham, the Search Committee violated the *College of Arts and Sciences Chronological Procedures for Hiring Probationary and Term Faculty*.[33] This violation included failure to conduct the following.

- First Meeting of the Department and the Search Committee: The Search Committee meets with the Department to discuss their top choices. This is required to be held prior to on-campus interviews with Finalists.
- Second Meeting of the Department and the Search Committee: The Search Committee meets with the Department to discuss which candidate(s) should be recommended to the Dean. This is required to be held after on-campus interviews, but prior to the final recommendation being made and presented to the Dean.

These meetings give the Department an opportunity to formulate a corporate opinion and convey this to the Search Committee—though the Committee officially makes the decision. These also create a setting in which sensitive issues such as affirmative action can be discussed openly and without fear of retaliation (unlike written commentary—such as email, which could be easily misinterpreted or manipulated—especially when it involves affirmative action). Not only were these meetings not held during the Spring 2004 search, the procedures were not disclosed to the department. The unusual conduct of this search was noted by external reviewers during the Math Department Program Review conducted later the same semester. The reviewers wrote:

> We also have concerns about the process that was followed in the recent hire, although we have no argument with the excellent result. We feel strongly that the whole department should be able to review files, including letters of recommendation, and discuss and vote on a hire.[34]

Furthermore,

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[33] *College of Arts and Sciences Chronological Procedures for Hiring Probationary and Term Faculty* [SD 334 - SD 340].

[34] *Report of the Visiting Committee to the Department of Mathematics at the University of San Francisco May 27, 2004* (program review by external panel taking place once every ten years): pg 8 [SD 160].

> The review team heard somewhat inconsistent versions of the manner in which the most recent faculty search was conducted and the impact of the collective bargaining agreement on the process. (We should note here that none of us has been on a faculty with such an agreement, which may have added to our confusion.) There is no need to dwell on this piece of the past, because the result was so clearly positive. At the same time we urge the Administration to take steps to ensure that the next time a search is conducted (soon, we hope), every member of the Department has the opportunity to view the applicant files and has a voice in the selection process to the fullest extent possible.[35]

This search resulted in the hiring of Stephen Devlin, Assistant Professor. The College Search Procedures were not disclosed to me until Fall 2005.

I will refer to the conduct of this search as "Appointment in Violation of Search Procedures."

6) In preparation for filing a Complaint of Race-based Discrimination and Harassment at the Informal Step (meeting conducted January 26, 2006), I made arrangements with the Dean's Office of Arts and Sciences to review my personnel file for the first time (at USF, it is not common practice for faculty to inspect their file). The first such review took place on January 10, 2006, under administrative supervision in the lounge area of Harney 240. *Coincidentally, Tristan Needham passed through the room and observed me checking my file*. I discovered that critical documents formally submitted to Dean Nel, in Fall 2000, and which formed the basis of my USFFA Grievance (meeting conducted December 7, 2000) had been removed from my personnel record without my notification.

The documents I submitted in the form of Correspondence to the Dean are listed below—with labels for reference.

- (M1) Memo from John Kao to Paul Zeitz—cc'ed to the Dean's Office—dated February 28. This was a report of CCAC teaching activities while the semester was under way. I reported on the difficult nature of this assignment.
- (M2) Memo from John Kao to Paul Zeitz—cc'ed to the Dean's Office—dated September 18. This was a final report of CCAC teaching activities incorporating formal submission of my CCAC teaching evaluations and a letter of appraisal from John Loomis, Chair of Architecture, CCAC.
- (K1) Letter from John Kao to Stanley Nel, dated November 10. This was a letter protesting Dean Needham's public letter of reprimand directed at myself and presented evidence in my defense. It also included a complete copy of Dean Needham's letter which was dated November 1.

[35] Ibid: pg. 11 [SD 161].

- (Z1) Letter from Paul Zeitz to Tristan Needham, dated November 10—cc'ed to Dean Nel. This was the Math Department Chair's report of events in response to Dean Needham's letter of reprimand. Paul Zeitz, in the Math Department meeting held November 14 and as documented in the Minutes, forbade me from distributing this letter to colleagues. Although the letter definitively absolved me of liability, Paul Zeitz insisted it was a confidential correspondence.[36]
- (K2) Letter from John Kao to Stanley Nel, dated December 22. This was a letter thanking Dean Nel for the Grievance Meeting. It contained a partial copy of Dean Needham's letter of reprimand (attached for reference) as well as email correspondences which directly preceded the Grievance meeting.

Of these documents, *the only ones which have not been deleted from my Personnel Records are M1 and K2*. Documents which were removed included M2—*my CCAC teaching evaluations and a laudatory letter of assessment from John Loomis*. This destruction of documents is manifestly discriminatory. In particular,

- The documents which show Dean Needham forged evidence have been removed.
- The documents which show I conducted a superlative launch of the CCAC/USF Math program have been removed.
- The documents which explain in detail my just cause for filing a Grievance have been removed.
- The documents which definitively absolve me of liability in the matter of interruption (and eventual failure) of the CCAC/USF Math program have been removed.

I emphasize the patent discrimination involved. *No consistent policy of document retention/removal* can explain the retention of documents that might, by themselves, be damaging to my professional reputation; and the removal of those documents which are laudatory; in regards to CCAC.

I will refer to this matter as "Destruction of Personnel Documents."

7) In preparation for filing the Complaint–Informal Step, described above, I notified Dean Jennifer Turpin and Associate Dean Brandon Brown of my intent to file in a memo delivered personally on January 11, 2006.[37] This memo listed the discriminatory actions 1 - 5 (though excluding Destruction of Personnel Documents which was discovered on January 10), especially the two search violations. One purpose of this memo was to influence the on-going search for a Math appointment at the Assistant Professor level.

[36] Minutes of the Math Department Meeting on November 14, 2000 [SD 360 - SD 362].
[37] Memo from John Kao to Elsie Tamayo, cc'ed to Jennifer Turpin and Brandon Brown, dated January 10, 2006 [SD 352 - SD 353]. Also, Email from John Kao to Elsie Tamayo, cc'ed to Jennifer Turpin and Brandon Brown, dated January 11 [SD 351].

The Search Committee was chaired by Prof. Needham. Finalists were chosen by this committee on January 17. The diversity profile of the finalist pool is evidence of the influence of my memo:

- two Asian males
- one White non-Hispanic female.

Compare this to the profile in Spring 2004 (which concluded with the appointment of Stephen Devlin):

- one Hispanic male,
- one White non-Hispanic female
- two White non-Hispanic males.

In this latest search, the following steps of the College Search Procedures were conducted: The First Meeting of the Search Committee and the Department (January 20) and The Second Meeting of the Search Committee with the Department (February 16). During the latter, after on-campus interviews, it was announced that the search Committee had made a preliminary decision: only one candidate was viable (meaning the other two would not be offered the position should this one candidate decline an offer)—Stephen Yeung.[38] The department's opinion on the preliminary decision was solicited. I advocated for the female candidate, Erin McNicholas, as first choice. This position was defeated in a vote of one to six. I further advocated for the viability of all other candidates in the instance Stephen Yeung declined the offer. This position was defeated in a vote of two to five in the case of Erin McNicholas and again one to six in the case of Pisheng Ding. The final decision was transmitted to the Dean's Office. An offer was forwarded to Stephen Yeung, who accepted this appointment.

In reaction to the startling conclusion of the search, I scrutinized the curriculum vitae of Stephen Yeung and conducted research on particular elements therein. Note that according to College Search Procedure*s*, only the Search Committee—I was not a member of this committee due to my current sabbatical leave—has access to candidate files (to which, for this position as advertised, "Candidates should submit a letter of application, curriculum vitae, statement of teaching philosophy and research plans, copies/scans of complete teaching evaluations and recent syllabi, graduate transcripts, and three letters of recommendation.").[39] I have since concluded, definitively, that *Stephen Yeung is not a mathematician (defined as having earned a doctorate in mathematics)*. This is in spite of the job description (as approved by the Math department and subsequently published in the employment advertisement): "The successful candidate should have university teaching experience and an earned doctorate in mathematics by fall 2006."[40] Stephen Yeung's earned doctorate from Cornell University is in "theoretical

[38] Minutes of Math Department Meeting held February 16, 2006 [SD 369].
[39] Classified advertisement. *Notices of the American Mathematical Society.* October 2005: pg. 1095 [SD 238]. Also, USF Math Department internet advertisement published on www.usfca.edu [SD 347 - SD 350].
[40] Ibid.

and applied mechanics." Mechanics, in the American academic system, is considered a branch of physics. This would be consistent with Stephen Yeung's bachelor's degree (major in physics, minor in mathematics). *He has not even earned an undergraduate degree in mathematics*.[41]

Careful examination of his publications during the past seven years (he graduated from Cornell in 1999) reveals that *he has not published a single research article in a mathematics journal*. He has published three research articles in physics journals and two research articles in a multi-subject journal under the subject category, genetics (he was a Research Associate at the Department of Biomedical Engineering and Center for BioDynamics, Boston University, for four years after graduation). I suspect the motive for this appointment is the ease with which he might be denied tenure (on the basis of having misrepresented his credentials to the Math department). *This essential fact (present, but obscured, on his curriculum vitae) was not disclosed to the Math department by the Search Committee at any time*.

All communications I have access to at this time, indicate that no new regular faculty appointments in Math/CS are expected until retirements occur.

I will refer to this matter as "Appointment of Strictly Unqualified Candidate over Two Qualified Candidates both Having Diversity Status."

Summary: Implicit Discrimination

In addition to the above explicit acts of discrimination, I will describe implicit acts of discrimination. They are identified as such because they do not explicitly involve a violation of civil law nor a direct violation of University policy; however, the long term implications to the institution are severe. These are as follows.

8) In Fall 1991, at the beginning of my employment, the Math and CS departments were comprised of fifteen regular faculty. As noted, two possessed diversity status. The diversity statistics of Math/CS at that time were

$$\textit{Proportion of diverse faculty} = 2/15 \approx 13.3\%$$

$$\textit{Proportion of female faculty} = 1/15 \approx 6.7\%.$$

From Fall 1991 - Spring 2006, ten new regular faculty appointments have been made. Incorporating retirements, Math/CS will contain nineteen regular faculty, two of which possess diversity status (myself and Stephen Yeung), none of which are female. If one includes Stephen Yeung, who as noted above is neither a mathematician nor a computer scientist, the diversity statistics in Fall 2006 will be

$$\textit{Proportion of diverse faculty} = 2/19 \approx 10.5\%$$

[41] Stephen Yeung, Curriculum Vitae [SD 280 - SD 283].

Proportion of female faculty = 0%.

In spite of fifteen years of affirmative action, with two Deans appointed from the Math department (one of which is currently a Vice President), the diversity proportion for Math/CS has decreased by 21.1%. The proportion of female faculty has decreased by 100%. As of Fall 2006, *the only two departments at USF with no females among the regular faculty will be Math and CS.*

These statistics may be compared with the available qualified labor force. Such data is published by the National Science Foundation which considers: science and engineering doctorate holders employed in postsecondary education in the U.S. in 2001:[42]

	Mathematical Scientists: Postsecondary Teachers	Computer and Information Scientists: Postsecondary teachers
White Female	1,700	710
White Male	9,160	4,010
Asian/Pacific Islander Female	440	160
Asian/Pacific Islander Male	1,280	1,160
Black Female	80	S
Black Male	210	140
Hispanic Female	80	S
Hispanic Male	390	140
American Indian/Alaskan Native Female	S	S
American Indian/Alaskan Native Male	S	S

From this, pooling the above data, one can calculate

Proportion of (gender and race) diverse faculty in U.S. ≈ 33.01%

Proportion of female faculty in U.S. ≈ 16.12%.

The NSF report states that the racial/ethnic groups were identified according to standards at the time of data collection: "white, non-Hispanic; black, non-Hispanic; Hispanic; Asian or Pacific Islander; and American Indian or Alaskan Native," (with subgroups of the Hispanic population identified where data collection permitted).[43]

[42] This data is taken from National Science Foundation, Division of Science Resources Statistics, *Women, Minorities, and Persons with Disabilities in Science and Engineering: 2004*, NSF 04-417 (Arlington, VA, 2004): pg. 220 [SD 224 - SD 233]. "S" indicates suppressed due to count of less than 50 weighted cases.
[43] Ibid: pg. 1 [SD 226].

USF Math/CS is 68.1% less diverse (broadly), and 100% less gender diverse, than the national qualified labor force. *To meet national standards, Math/CS ought to have at least six diverse faculty from nineteen instead of two. Math/CS ought to have at least three female faculty from nineteen instead of zero*.

To justify the above comparison, I cite *Affirmative Action at Work: Law, Politics and Ethics,* by Bron Taylor.

> By 1968, the Labor Department had developed "utilization analysis," namely, statistical analysis comparing the proportion of minorities and women in an organization to the work force at large. This analysis was designed to determine if employment practices had produced an "underutilization" of or "disparate impact" on women and minorities. These terms refer to situations where women and minorities (or "affected classes," in affirmative action discourse) are not being hired in proportion to their availability in the qualified applicant pool.[44]

To demonstrate mathematically, that the size of departments cannot be used to explain the extreme diversity statistics for Math/CS, one can compare this group with unbiased random samples from the qualified labor force. This technique is well established in the legal context of race-based discrimination.[45]

I will utilize the following nomenclature as presented in the monograph, *Statistics*, by David Freedman, Robert Pisani and Roger Purves.

> At this point, it is natural to ask how small the observed significance level has to be before an investigator should reject the null hypothesis. Many statisticians draw a line at 5% or 1%.
>
> - If *P* is less than 5%, the result is called *statistically significant*.
>
> There is another line at 1%:
>
> - If *P* is less than 1%, the result is called *highly statistically significant*.[46]

The authors continue:

> How small does *P* have to get before you reject the null hypothesis? As reported on p. 444, many statisticians draw a line at 5%. If *P* is less than 5%, the result is "statistically significant," and the "null hypothesis is

[44] Taylor, B. R. (1991). *Affirmative Action at Work: Law, Politics and Ethics*. University of Pittsburgh Press. Pittburg: pg. 21.
[45] Barnes, D. W. (1983). *Statistics as Proof: Fundamentals of Quantitative Evidence*. Little, Brown and Company. Boston and Toronto. This monograph is part of the USF Zief Law Library collection.
[46] Freedman, D., Pisani, R. and Purves, R. (1978). *Statistics*. W. W. Norton and Company. New York and London: pg. 444.

> rejected at the 5% level." However, the question is almost like asking how cold it has to get before you are entitled to say, "It's cold." A temperature of 70ºF is balmy, -20ºF is cold indeed, and there is no sharp dividing line between the two. Logically, it is the same with testing. There is no sharp dividing line between probable and improbable results. A *P*-value of 5.1% means just about the same thing as one of 4.9%—especially if both were computed using the normal approximation, which can easily introduce errors bigger than a tenth of a percent. In fact, however, these two *P*-values would be treated quite differently, because many journals will only publish results which are "statistically significant"—the 5% line. Some of the more prestigious journals will only publish results which are "highly statistically significant"—the 1% line.[47]

The current *Publication Manual of the American Psychological Association* states

> One refers to the a priori probability you have selected as an acceptable level of falsely rejecting a given null hypothesis. This probability, called the "alpha level" (or "significance level"), is the probability of a Type I error in hypothesis testing and is commonly set at .05 or .01.[48]

Similarly, as applied to sociological data, in *Descriptive and Inferential Statistics: An Introduction*, Herman Loether and Donald McTavish write:

> There is nothing sacred about the 5 percent level of significance (Skipper, *et al.*, 1967; Labovitz, 1968). It has merely been defined by convention to be a reasonably rare, chance, occurrence. The more stringent 1 percent level of significance is also used in sociology although it is less frequently used than the 5 percent level.[49]

Testing first for broad discrimination (bias in favor of White non-Hispanic males at the expense of Others), I set the null hypothesis to be: Math/CS is an unbiased random sample of size nineteen. I test this against the alternative hypothesis: the Math/CS sample is biased in favor of White non-Hispanic males. The relevant formula corresponds to the binomial distribution:

$$B(n,k,q) = \sum_{i=0}^{k} \binom{n}{i} q^i (1-q)^{n-i}$$

[47] Ibid: pg. 493.
[48] APA (2001). *Publication Manual of the American Psychological Association*. Fifth Ed., Eighth Printing July 2005. American Psychological Association. Washington, DC: pg 24.
[49] Loether, H. J. and McTavish, D. G. (1980). *Descriptive and Inferential Statistics: An Introduction*. Allyn and Bacon, Inc. Boston: pg 509.

where, for this test, n is the size of Math/CS, k is the number of Math/CS faculty with diversity status and q is the national proportion of diverse faculty. The P-value for this test is then

$$P \approx B(19, 2, .3301) \approx .0257$$

As $P < .05$, one concludes that the evidence for rejecting the null hypothesis is *statistically significant*.

Similarly, one can test for gender discrimination alone (bias in favor of males at the expense of females). I set the null hypothesis to be: Math/CS is an unbiased random sample of size nineteen. I test this against the alternative hypothesis: the Math/CS sample is biased in favor of males. Applying the binomial distribution again (using n the size of Math/CS, k the number of Math/CS female faculty and q the national proportion of female faculty) one obtains the P-value:

$$P \approx B(19, 0, .1612) \approx .0354$$

Again $P < .05$ and the evidence for rejecting the null hypothesis is *statistically significant*.

As indicated, Prof. Yeung, recently appointed Assistant Professor of Math, is Strictly Unqualified (he does not have a degree in mathematics). Excluding Prof. Yeung, Math/CS is comprised of eighteen regular faculty all but one are White non-Hispanic male. On this basis, one can one can test for broad discrimination (bias in favor of White non-Hispanic males at the expense of Others). I set the null hypothesis to be: Math/CS (excluding Prof. Yeung) is an unbiased random sample of size eighteen. I test this against the alternative hypothesis: the Math/CS sample is biased in favor of White non-Hispanic males. Applying the binomial distribution again (using n the size of Math/CS, k the number of Math/CS faculty with diversity status and q the national proportion of diverse faculty) one obtains the P-value:

$$P \approx B(18, 1, .3301) \approx .0073$$

Here $P < .01$ and the evidence for rejecting the null hypothesis is *highly statistically significant*.

Excluding Prof. Yeung, and testing for gender discrimination (bias in favor of males at the expense of females), I set the null hypothesis to be: Math/CS is an unbiased random sample of size eighteen. I test this against the alternative hypothesis: the Math/CS sample is biased in favor of males. The same calculation can be performed excluding Prof. Yeung which yields:

$$P \approx B(18, 0, .1612) \approx .0423$$

As $P<.05$, the evidence for rejecting the null hypothesis is *statistically significant*.

Naturally, questions about such calculations arise. I will demonstrate in the Complaint section that the above statistical impression is robust.

I will refer to this as "Implicit Discrimination: Math/CS Demographics."

9) Currently there are nine dual-appointment faculty total at USF (out of approximately 320 full-time faculty). Of these nine, eight are White non-Hispanic males and one is a White non-Hispanic female. I will document that Stanley Nel was responsible for eight of these appointments (either during his tenure as Dean of Arts and Sciences, or—in the case of two Science dual-appointments—during his tenure as Associate Dean of Sciences).[50] The only diversity statistics for USF faculty that incorporate *both race and gender*, published on www.usfca.edu, are from 1996 (new diversity statistics will likely be published in preface to our up coming accreditation review—the USF Final Report to WASC has a scheduled submission date of Fall 2008): 163 of 300 full-time faculty were identified as White, non-Hispanic male.[51] One can calculate

$$\textit{Proportion of diverse full-time faculty at USF} \approx 45.67\%$$

This is in comparison to,

$$\textit{Proportion of diverse faculty for dual-appointments at USF} \approx 11.11\%.$$

The dual-appointment faculty are approximately 75.7% less diverse than full-time faculty at USF.

I will apply the statistical analysis from item 8), testing for broad discrimination among dual-appointments (bias in favor of White non-Hispanic males at the expense of Others). Here, the qualified labor pool is taken to be USF full-time faculty (1996 data). The binomial distribution is applied (using n the number of dual-appointment faculty, k the number of dual-appointment faculty with diversity status and q the proportion of diverse full-time faculty at USF). I set the null hypothesis to be: current dual-appointments comprise an unbiased random sample of size nine. I test this against the alternative hypothesis: the dual-appointment sample is biased in favor of White non-Hispanic males. Here, the P-value is given by

$$P \approx B(9, 1, .4567) \approx .0353$$

Again $P < .05$ and the evidence for rejecting the null hypothesis is *statistically significant*.[52]

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[50] As noted prior, documentary evidence available to me is ambiguous: in particular, the date of Stanley Nel's appointment to Dean of Arts and Sciences.

[51] *Vision 2005 Proposal* published on www.usfca.edu/plan/plfinal4.doc [SD 136 - SD 141]. More recently published data addresses faculty statistics for gender, and separately faculty statistics for ethnicity, *but not both together*.

[52] This calculation includes James Brown, Professor of Biology with Environmental Science. He announced his retirement late this current semester. Here, I recalculate the P-value, removing him from

Furthermore, in Fall 2003, approximately 22% of USF full-time faculty were ethnic minorities, whereas *not a single dual-appointment faulty is an ethnic minority*.[53]

I will refer to this as, "Implicit Discrimination: Dual-appointment Demographics."

10) Since near the beginning of my employment, I have been involved in a particularly successful academic program. The Dual Degree in Teacher Preparation Program (DDTP) is a five-year combined: undergraduate degree, California Teaching Credential and master's degree (MA in Teaching) program. The Single Subject Mathematics Component (for prospective high school teachers of mathematics) has been approved by the state of California since March 1995. Without this accreditation, students need to pass a state examination (CSET) in order to obtain their credential. As of Spring 2005, three such Approved Programs were in effect at USF (Mathematics, 10-15 students; English, 10-15 students; Social Science, 20-25 students)[54] accounting for between $1,067,200 and $1,467,400 annual tuition revenue (not including housing and food service revenue).[55] The program has proven so successful that it is now overseen by a faculty administrator given the title of Director, DDTP (David Galles, Associate Professor, CS) and a permanent administrative staff of two. A faculty committee plays an advisory role, the DDTP Curriculum Committee of which I am a member.

In Spring 2004, the DDTP Curriculum Committee was informed by Prof. Galles that State Approvals need to be renewed by December 2005. Students would remain covered on the "grandfather clause principle" through and including the graduating (undergraduate degree) class of 2008. A consultant had been contracted to write applications for accreditation (we referred to these as Waiver Proposals, since

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consideration. As it is a late development, I consider it appropriate to apply USF faculty diversity data from 2003. This recent data does not contain diversity statistics incorporating gender with ethnicity—some estimation is required to complete the computation. In 1996, USF full-time faculty was reported as 37.3% female and 13.7% ethnic minority. In 2003, USF full-time faculty was reported as 41.6% female (see current USF Office of Institutional Research web site, www.usfca.edu/oir) and 22% ethnic minority. Between 1996 and 2003, the female proportion increased by over 4 percentage points, and the ethnic minority proportion increased by over 8 percentage points. Allow for an *extremely conservative estimate*: the proportion of diverse faculty (female or ethnic minority) increased by 2 percentage points between 1996 and 2003. This estimated proportion of diverse faculty, in 2003, is then 47.67%. The estimated *P*-value is given by $P \approx B(8, 1, .4767) \approx .0466$. The evidence for rejecting the null hypothesis is *statistically significant*.

[53] *Diversity as Our Strength: A Report to the Academic Affairs Committee of the Board of Trustees March 26, 2004*, submitted by Gerardo Marín, Associate Provost: pg. 14 [SD 152].

[54] These statistics were provided at my request by the Director and Associate Director of DDTP at the DDTP Curriculum Committee Meeting on December 14, 2005. They should roughly represent enrollments during their administrative tenure and can be corroborated by other sources—for one such, I direct the Investigator to the email from Prof. Rebecca Chiyoko King to DDTP Curriculum committee, dated March 4, 2003 [SD 284 - SD 285]. At the December 14 meeting, DDTP Administrators indicated that enrollments had dropped off recently, although no reason for this was given.

[55] This was calculated from the above DDTP enrollment statistics and based on the 2005-06 annual undergraduate tuition rate of $26,680 (from *USF General Catalog 2005-2007*).

accreditation means students are permitted to waive the CSET examination). This consultant was Dallas Davidson who carried the title, DDTP Analyst.

From that time to Spring 2006, maladministration of the DDTP Program occurred, including

- failure to hold DDTP Curriculum Committee meetings on the prescribed monthly basis (an entire calendar year passed during which no meeting took place);
- failure to conduct Math departmental review of Math Waiver Proposal, as agreed by the DDTP Office, prior to submission to CCTC;
- submission of an absurdly inaccurate document (which exposed USF to legal liability on the basis of curricular misrepresentation) leading to withdrawal of the Math Waiver Proposal from CCTC consideration—this decision was made unanimously by the Math department with Prof. Galles, Director of DDTP, and Brandon Brown, Associate Dean of Sciences, present and participating in this decision.[56]

The administrative records from the period Spring 2004 - Fall 2005 show that this occurred as direct consequence of DDTP administrators, especially Prof. Galles, ignoring motions I made and which had received approval by the Math department. For instance, the following is from the Minutes of the Math Department meeting of December 7, 2004 (Prof. Galles and Mr. Davidson attending):

> The faculty discussed with David Galles the first proposal for the waiver for Mathematics, which was submitted to the California Commission on Teacher Credentialing (CCTC) in early August. David Galles, Dallas Davidson, and the faculty went over a document Dallas distributed, which summarized the commission's responses to the proposal. There was discussion on how to address the responses and standards.
>
> John Kao proposed that the latest version of the waiver proposal be put online for course representatives to access and work on over intersession. David Galles and Dallas Davidson left at 1.50pm.[57]

Prof. Galles had agreed that a web site would be created to facilitate Math Department review of the waiver proposal. In particular, Math planned to edit the second submission of this document as it was being drafted by DDTP. The web site was created, but draft copies of the Math Waiver Proposal, 2nd Submission to CCTC, were never posted online. Furthermore, the following motion was approved by Math and communicated to Prof. Galles.

[56] Minutes of the Mathematics Department Meeting held October 11, 2005 (Brandon Brown and David Galles in attendance) [SD 368].
[57] Minutes of the Mathematics Department Meeting held December 7, 2004 (David Galles and Dallas Davidson in attendance) [SD 366].

> Resolved that: With respect to the DDTP Mathematics Subject Matter Preparation Proposal, the Mathematics Department will identify a representative instructor for each major course required by DDTP who will be responsible for
>
> --contributing syllabi and supporting materials for the corresponding course
> --checking the accuracy of information in the Proposal as it relates to this course
>
> Efficient lines of communication between the DDTP Analyst and representative instructors will be established to facilitate prompt revision of the Proposal, as necessary, and to meet the schedule for resubmission established by DDTP.[58]

Specifically,

> In our department retreat of December 9, pursuant to the above resolution, the following Representative Instructors were identified.
>
> | | |
> |---|---|
> | Math 109 Brunelle | Math 301 Zeitz |
> | Math 110 Brunelle | Math 310 Stillwell |
> | Math 130 Cruse | Math 367 Stillwell |
> | Math 211 Devlin | Math 370 Finch |
> | Math 300 Devlin | Math 380 Stillwell |
>
> Please note the following curriculum change
>
> Math 301 (Problem Solving)
>
> replaces
>
> Math 422 (Combinatorics).
>
> In addition,
>
> Mathematica Labs for Math 109 and Math 110 will be discontinued.[59]

I mention that Math 422 had, in early Fall 2004, replaced a lower division requirement, Math 201 (Discrete Mathematics).[60] Compare the above Math Requirements to those listed in the Waiver Proposal, 2nd Submission to CCTC, August 2005:[61]

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[58] Email from John Kao; to David Galles, Kern Trembath and Dallas Davidson, dated December 16, 2004 [SD 294 - SD 296]. Also, Minutes of the Math Department Meeting held December 7, 2004 [SD 366].
[59] Ibid.
[60] Email from Christine Liu, Program Assistant, Math Department; to Dean's Office, dated October 22, 2004 [SD 293].
[61] *Mathematics Subject Matter Preparation Proposal, Response to CCTC*: pg. 2 [SD 177 - SD 197].

Core coursework in mathematics (40 units)

All students complete the following lower-division courses:

- 109 Calculus and Analytic Geometry I (4)
- 10 Calculus and Analytic Geometry II (4) [*sic*]
- 201 Discrete Mathematics (4)
- 130 Elementary Linear Algebra (4)
- 211 Calculus and Analytic Geometry III (4)

All students must complete the following upper-division courses:

- 300 Introduction to Formal Methods (4)
- 310 History of Mathematics (4)
- 370 Probability and Statistics (4)
- 367 Number Theory (4)
- 380 Foundations of Geometry (4)

Even the program requirements submitted to CCTC were inconsistent with Math department decisions made in Fall 2004. Our department concluded that we could not possibly deliver the program as represented in the Waiver Proposal, and we elected to withdraw it from consideration by CCTC. As we were operating under the assumption of a December 2005 program expiration, we understood that our state accreditation would be terminated.

The month following the withdrawal, I wrote CCTC to obtain old documents to complete my records (this was my first contact with CCTC). In doing so I was careful in that I had not been authorized to represent the DDTP Program on behalf of USF (I was writing in the capacity of an ordinary faculty). I did, however, state that our DDTP Mathematics Program Approval was set to expire in December 2005 (as I was informed by Prof. Galles). I received the following response from CCTC: "Your presently approved program does not expire until July 1, 2009."[62] This exhibited to me that

- DDTP had been mistaken in their December 2005 expiration date.
- USF had a "grace period" period of 3.5 additional years to renew accreditation for the Approved Programs: English, Mathematics and Social Science.
- DDTP freshmen entering Fall 2005 (corresponding to the, undergraduate degree, class of 2009) would be covered under our presently approved program, as they would graduate prior to July 1, 2009. This group had been advised to the contrary in Fall 2005.

[62] Email from Helen Kelley-Halley, Consultant, CCTC; to John Kao, dated November 8, 2005 [SD 304 - SD 305].

In spite of my persistent efforts to obtain confirmation of the above items, appropriate communications did not take place for another three months. On Monday, February 13, 2006, I met with Dean Brown and Michael Bloch, Associate Dean of Social Sciences, to discuss the new information. We agreed that it was now apparent that an unexpected 3.5 year grace period and an additional year of state approval for our DDTP single subject students (English, Mathematics and Social Science) existed. We further agreed that decision on taking advantage of this grace period could be safely deferred to Fall 2006.

As the situation currently stands, all three accreditation proposals forwarded to CCTC before the (incorrect) December 2005 deadline are expected to fail (the Math proposal has been officially withdrawn). In my opinion, this could have been prevented by

- directly involving department faculty in the composition of source material targeted to CCTC Standards (which was accomplished for Math);
- allowing careful departmental review of Waiver Proposals before submission to CCTC (which did not take place for Math);
- making the distinction between an "expiration date" and a "safety deadline" and acting accordingly;
- maintaining efficient communication with CCTC representatives.

I consistently advocated for such sound principles from Spring 2004 - Spring 2006, and yet this counsel was either ignored or circumvented.

This illustrates the way in which my political isolation in Math/CS, and administrative reluctance to follow my sound recommendations, has had significant negative (including financial) implications for the University. I believe it is reflective of years of political stigmatization in conjunction with racial stereotyping.

I will refer to this matter as "Maladministration: DDTP Single Subject Accreditation."

USF Administrative Structure, Math/CS and Dual-appointment Faculty

For the time frame, Spring 2000 - present, USF has maintained a staff of approximately 320 full-time faculty.[63] These are administered within the following Schools/Colleges

- College of Arts and Sciences
- College of Professional Studies
- School of Business and Management
- School of Education
- School of Law
- School of Nursing

The College of Professional Studies and the School of Law faculty are not unionized whereas the other four Schools/Colleges retain faculty that are organized into the USF Faculty Association (USFFA). This union also represents university librarians. USFFA employees are strictly administered under a *Collective Bargaining Agreement* (*CBA*), which serves as an employee manual/handbook.

The largest College/School at USF is the

College of Arts and Sciences.

It is unique in that it is subdivided into

- College of Arts
- College of Sciences

which are administered jointly by the

Dean of Arts and Sciences.

The College of Sciences (similarly for Arts), is further articulated into departments. The College of Sciences contains the following departments

- Department of Biology
- Department of Chemistry
- Department of Computer Science
- Department of Environmental Science
- Department of Exercise and Sport Science
- Department of Mathematics

[63] *USF Fifth-year Self-Study Report in Preparation for a Site Visit on November 13-15, 2002*: pg. 24 [SD 145]. Also, *Diversity as Our Strength: A Report to the Academic Affairs Committee of the Board of Trustees March 26, 2004*, submitted by Gerardo Marín, Associate Provost: pg. 14 and 16 [SD 152 and SD 154].

- Department of Physics

The above is administered by the

Associate Dean of Sciences

who reports to the Dean of Arts and Sciences. Each department elects a chair to serve a three-year term. By the *CBA*, department chairs cannot assume any special administrative role, but rather, serve as "shop stewards" for those USFFA faculty within a particular department. As a faculty in Mathematics, I report directly to the Associate Dean of Sciences, who in turn reports to the Dean of Arts and Sciences, who in turn reports to the Provost/Vice President for Academic Affairs (serving directly under the President, USF).

In higher education it is established practice to distinguish tenured/tenure-track faculty from term appointed faculty and part-time faculty. At USF, term faculty (while belonging to USFFA) are hired on the basis of one- to five- year renewable contracts. Part-time faculty are hired on a course-by-course basis and are organized into a separate union. Term faculty (unlike tenured/tenure track) need not possess a doctoral degree to be eligible for appointment. Part-time faculty need not have a master's degree. I will refer to tenured/tenure track faculty as "regular faculty" which is the nomenclature adopted by our department's external review panel in Spring 2004.[64]

At USF, faculty administrative influence (i.e., political influence) is commanded by regular faculty. Part-time faculty have virtually no service (meaning administrative) role. Term faculty may participate in department meetings, but do not have specific research or service obligations beyond teaching. As applied to the Math department, Renée Brunelle, Instructor, is currently a term faculty employed on a one-year contract basis. She has participated in department meetings but serves on no other university committees. She is also exempt from departmental administrative duties such as advising students. She is permitted to vote on departmental decisions; however, she has little latitude to express an independent opinion (as her continued employment is solely at the discretion of the Associate Dean of Sciences). Since she does not possess a doctoral degree, she is ineligible to apply for a regular faculty position. As of Fall 2006, regular faculty of mathematics consists of

Name	Rank	Ph.D. Granting Institution
Allan Cruse	Full Professor	Emory University
Stephen Devlin	Assistant Professor	University of Maryland, College Park
James Finch	Full Professor	University of Illinois, Urbana-Champaign
John Kao	Associate Professor	Princeton University

[64] *Report of the Visiting Committee to the Department of Mathematics at the University of San Francisco, May 27, 2004* (program review by external panel taking place once every ten years): pg 6 [SD 159].

Tristan Needham	Full Professor	Oxford University, United Kingdom
Stanley Nel	Full Professor	University of Cape Town, Republic of South Africa
Peter S. Pacheco	Full Professor	Florida State University
John Stillwell	Full Professor	Massachusetts Institute of Technology
Benjamin Wells	Full Professor	University of California, Berkeley
Robert Wolf	Assistant Professor	University of California, Berkeley
Paul Zeitz	Full Professor	University of California, Berkeley
Stephen Yeung	Assistant Professor	Cornell University

Robert Wolf is a tenured Assistant Professor. All regular faculty in Mathematics are white non-Hispanic males, except myself and Prof. Yeung, both of us are Asian/Pacific Islander male (in *Report of Discrimination*, I adopt the primary categories utilized by the National Science Foundation in 2004).[65] Stephen Yeung, as indicated in the Summary, has not earned a degree in mathematics. I note that Peter Pacheco, while possessing a Spanish surname, is White non-Hispanic male. He has never identified himself as Hispanic at departmental functions, nor has he been noted as such in departmental reports (in the context, for example, of ten-year Program Reviews).[66]

The connection between Math and CS is established by the following: there are four Full Professors that are members, and full participants, in both the Math and CS departments. Regular faculty in CS is comprised of

Name	Rank	Ph.D. Granting Institution
Gregory Benson	Associate Professor	University of California, Davis
Jeff Buckwalter	Associate Professor	Carnegie-Mellon University
Christopher Brooks	Assistant Professor	University of Michigan, Ann Arbor
Allan Cruse	Full Professor	Emory University
James Finch	Full Professor	University of Illinois, Champaign Urbana
David Galles	Associate Professor	University of California, Los Angeles
Peter Pacheco	Full Professor	Florida State University

[65] National Science Foundation, Division of Science Resources Statistics, *Women, Minorities, and Persons with Disabilities in Science and Engineering: 2004*, NSF 04-417 (Arlington, VA, 2004): pg. 1 [SD 226].
[66] It is unavoidable, although blunt, that I further note he has blond hair, blue eyes, and is originally from Washington D.C.

Terence Parr	Assistant Professor	Purdue University
Kim Summerhays	Full Professor	University of California, Davis
Benjamin Wells	Full Professor	University of California, Berkeley
David Wolber	Full Professor	University of California, Davis

All eleven regular faculty of CS are White non-Hispanic males. Faculty holding positions in two departments (at USF) are commonly referred to as "dual-appointment faculty."

The category of dual-appointment faculty exists only within the College of Arts and Sciences (necessarily, as the other Schools/Colleges do not have a departmental structure). Dual-appointment faculty explicitly have greater political influence than other regular faculty as they are full decision makers within two administrative bodies. In addition, on major issues affecting the College of Arts and Sciences they are permitted to vote twice. They have voting power in the election of two chairs, moreover,

- Department Chairs in the College of Arts convene monthly in the Arts Council; similarly, Department Chairs in the College of Sciences convene monthly in the College of Science Executive Council (COSEC). Chairs are expected to vote on the basis of representing departmental opinion (obtained by votes taken in department meetings).
- Department Chairs in the College of Arts together with those from the College of Sciences convene monthly in College Council. Again, chairs are expected to represent departmental opinion (obtained by votes taken in department meetings).[67]

In every meeting of Arts Council/COSEC, likewise College Council, dual-appointment faculty receive double representation—their departmental votes reflected in the opinions of two chairs.

Dual-appointments command great prestige at USF; however, the USFFA *CBA* makes no mention of this category of appointment, nor qualifications for such appointment, nor procedures for application. These seem to be made primarily at the discretion of the Dean of Arts and Sciences. Six such appointments were created since my hire in 1991: Jean Audigier, James Brown, Deneb Karentz, Peter Pacheco, Kim Summerhays and Robert Toia. They are included in the following list of all current (nine) dual-appointment faculty from approximately 320 full-time faculty total.[68]

[67] *Constitution and By-laws Rev. June 2004*: pg. 15-16 and 20-21 [SD 114 - SD 115 and SD 116 - SD 117].
[68] *USF General Catalog 2005-2007*. Also, *USF Telephone Directory 2005-2006*.

Name	Rank	Department(s)
Jean Audigier	Full Professor	Modern and Classical Languages, with Visual Arts
James Brown[69]	Full Professor	Biology, with Environmental Science
Allan Cruse	Full Professor	Math, with CS
James Finch	Full Professor	Math, with CS
Deneb Karentz	Full Professor	Biology, with Environmental Science
Peter Pacheco	Full Professor	Math, with CS
Kim Summerhays	Full Professor	Chemistry, with CS
Robert Toia	Full Professor	Chemistry, with Environmental Science
Benjamin Wells	Full Professor	Math, with CS

All the above are White non-Hispanic males, except Deneb Karentz who is White non-Hispanic female. One observes from this list the preponderance of Math with CS, among dual-appointments. The next highest concentration would be Biology with Environmental Science (two faculty).

In the instance of Peter Pacheco, at the time of my hire he was an Assistant Professor of Mathematics (not with CS). He became a dual-appointment in Fall 1997, as I understand, obtaining approval (only) from the CS Department, Associate Dean, and Dean. This is unlike the explicit procedure for awarding tenure or rank—Associate or Full Professorship, mandated by the USFFA *CBA*, and involving college-wide and university-wide oversight.[70] Again, the category does not appear anywhere within the *CBA*. The only USFFA reference I could find was in the *Constitution and By-Laws* which states:

> For purposes of this Article, an individual is considered to be a member of a given academic department if he/she is a member in good standing of the USF Faculty Association and if he/she is paid, in whole or in part, from the budget of that department. … An individual who is a member of more than one academic department may be a chairperson of no more than one department at a time.[71]

[69] James Brown announced his retirement this academic year, shortly before the preparation of this report. Removing him from this list further highlights the concentration of dual-appointment faculty within Math/CS.

[70] *CBA Effective March 18, 2002 - June 30, 2007*: pg. 29-41 [this section of the *CBA* is not reproduced in SD Appendix].

[71] *Constitution and By-laws Rev. June 2004*: pg. 15 (for College of Arts), pg. 20 (for College of Sciences) [SD 114 and SD 116].

It is not surprising (given their influence and prestige) that all dual-appointments have obtained the rank of Full Professor. In this regard, I remark that the *CBA* does not allow for merit pay, so that once an individual is promoted to Full Professor rank he or she will automatically rise to the maximum possible professors' salary scale at USF (with no possibility of reduction). Accordingly, Full Professors command greater administrative influence. Of the four dual-appointments, Math with CS, three received their promotion to Full Professor since my appointment in 1991 and after they were awarded a dual-appointment: James Finch, Peter Pacheco and Benjamin Wells.

It is relevant to examine the number of dual-appointments created by Stanley Nel during his tenure as Dean of Arts and Sciences, and formerly Associate Dean of Sciences. As will be demonstrated in the last section of *Report of Discrimination*, Dean Nel was responsible for eight of nine dual-appointments currently active at USF. Again, note that there exist

- no published qualifications for a dual-appointment position,
- nor published procedures for application for a dual-appointment position,
- nor *CBA* rights and responsibilities attendant to such a position.

USF Professional Record

The field of mathematics is unique among the sciences in that it is not data driven; hence, not "experimental" as other scientific disciplines are. Mathematical research involves primarily, analytic logic. When evaluating the quality of such, emphasis is placed on

- settling prominent open mathematical questions/conjectures
- formulating new mathematical models/paradigms.

This "culture of mathematics" is articulated by the well-known commentator on mathematics, Paul Halmos:

> One part of doing research that I am no good at, and therefore never liked, is competition. I am not sufficiently quick to win kudos by scooping people. My substitute for trying to be the first was to go off in a direction orthogonal to the mainstream and hope that I could find a small but deep backwater of my own. Loath to waste time trying to prove the outstanding conjecture and then fail, I have tried instead to isolate the missing concept and to formulate the fruitful question. You can't do that often in one lifetime, and if the concept and questions are indeed the "right" ones, they get widely adopted and you're likely to find yourself outdistanced in the development of your own subject by the people with the powerful techniques and the deep insights. Fair enough, I can live with that; it's a fair division of labor. Sure I wish I had proved the subnormal invariant subspace theorem, but at least I did something by introducing the concept and pointing the way.[72]

My research reflects both these criteria. As to the former, I was one of two mathematicians to settle a prominent open conjecture in probability theory. The question considered was the following: Can an unstable mechanical system be stabilized with random vibrations? Structures are said to be "stable" when they naturally return to equilibrium after reasonable disturbances—an ordinary pendulum (mass suspended by a rod, attached to a pivot, in turn attached to the ceiling) is categorized as "stable." Take the same pendulum and invert vertically (so that the pivot is attached to the floor and the mass is balanced precariously at the top of the rod) and it is said to be "unstable." From 1980 to 1994, it was an open conjecture that special varieties of random disturbances could actually improve mechanical stability and transform an unstable structure into a stable one. As a material example, suppose an earthquake shakes the floor supporting the inverted pendulum in a particular statistical way. Is it conceivable that the pendulum remains standing throughout? If so, the earthquake has "stabilized" the physical system. The question arises naturally in the context of the engineering technique known as "vibrational control." It refers to the stabilization of unstable mechanical (physically

[72] Halmos, P. R. (1985). *I Want to be a Mathematician: An Automathography*. Springer-Verlag. New York: pg 322.

realizable) systems by introduction of nonrandom vibrations. The technique has been used, for instance, to stabilize beam trajectories in particle accelerators (alternating-gradient focusing). In 1980, S. M. Meerkov, wrote,

> Is it possible to stabilize the system using not regular but random 'vibrations'? … The answer to this question is not found, although it was discussed in many publications …[73]

John Kao with Volker Wihstutz (1994) were the first to answer this question in the affirmative.[74] Our subsequent paper (2000) provided necessary and sufficient conditions for a broad class of stochastic processes (diffusion noise) to stabilize linear companion form systems (the simplest example being the inverted pendulum).[75] Using these analytical results, scientists at Universität Hannover, Germany, succeeded in mechanically stabilizing an inverted pendulum with random, vertical line, vibration applied to its support.[76]

As to the latter criterion, I refer to my PhD dissertation, *Birth and Death on a Flow: A Study of a Random Particle System and Its Statistical Equilibrium*, Princeton University, 1991 (supervised by Erhan Çinlar), which introduced the Birth and Death on a Flow statistical model. I also cite the letter of recommendation Prof. Çinlar wrote on behalf of my tenure application in 1996:

> His dissertation was on particle systems over stochastic flows. This work amounted to combining the two most important fields of activity in probability theory over the last ten years, the one being stochastic flows and the other measure-valued Markov processes.
>
> Starting with the dissertation and continuing with three papers since then, John has been doing ground-breaking work in reconciling the differing techniques of flows and point processes. His work has served as impetus to at least four dissertations here - Craig Zirbel's work on the mass dispersion by flows, Chris Finger's work on birth-death-branching on flows, and Mine Çaglar's work on mass dispersion by flows generated by Poisson vortices.
>
> Although John's work is still too recent to have much impact, it has already generated uncommon interest: I know of at least 8 papers and 2 dissertations (all from people outside Princeton) that are devoted to

[73] Meerkov, S. M. (1980). Principles of vibrational control: theory and applications. *IEEE Trans. Automat. Control*, Vol. 25, pg. 755-762.
[74] Kao, J. and Wihstutz, V. (1994). Stabilization of companion form systems by mean zero noise. *Stochastics and Stochastics Reports*, Vol. 49, pg. 1-25.
[75] Kao, J. and Wihstutz, V. (2000). Characterization of stochastic processes which stabilize linear companion form systems. *Stochastic Processes and their Applications*, Vol. 89, pg. 49-68.
[76] Popp, K. (1995). Experiments of Stabilizing the Inverse Pendulum. Technical University Hannover. Germany.

> studying various aspects of his model. This is unusual and unusually satisfying.[77]

An illustration of mathematics generated from my original dissertation is provided, for example, by M. J. Phelan (1996), "Asymptotic likelihood estimation from birth and death on a flow," The Annals of Statistics, Vol. 24, No. 3, pg. 1161-1184.

With respect to university service, I refer to the letter Prof. Millianne Lehmann wrote on behalf of my tenure application in 1996—I request the Investigator inspect this in full. For this section, I cite only the last paragraph:

> This testament provides just a sampling of the many, many contributions John has made over the years to the mathematics program. I hope it has given the picture I wish to portray—that of a conscientious, hardworking, imaginative, creative, and effective colleague.[78]

With respect to collegiality, I refer to the letter Prof. Wihstutz, University of North Carolina, Charlotte, wrote on behalf of my tenure application in 1996:

> As a collaborator of John Kao it is a pleasure for me to witness that he is a thorough, thoughtful and enthusiastic mathematician who, never lacking ideas, does not shy away but is attracted by hard problems. As long as our research interest will overlaps, I will continue to work with John Kao and draw from his rich research potential. John's clear and organized thinking combined with his enthusiasm makes him also an excellent teacher and lecturer. At every occasion I heard a talk of John Kao, I enjoyed listening to him, learning a lot.
>
> In addition to this comes that John is a person easy to work with, friendly and considerate, reliable in his commitments and with plenty of humor.[79]

With respect to recent teaching, I refer to my Spring 2005, USF, SUMMA evaluations (this is my latest semester of teaching; I am on sabbatical leave for the 2005-06 academic year). That semester, I completed twelve units of teaching:

> Math 101 Elementary Statistics (1 section)
> Math 107 Precalculus for Education and the Liberal Arts (2 sections).

Below are my cumulative evaluations scores for these three class sections (72 students registered initially, 4 students withdrew, 53 forms returned).[80]

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[77] Letter from Erhan Çinlar to Stanley Nel, dated September 12, 1996 [SD 77 - SD 78].
[78] Letter from Millianne Lehmann to Stanley Nel, dated September 9, 1996 [SD 81 - SD 83].
[79] Letter from Volker Wihstutz to Stanley Nel, dated September 10, 1996 [SD 79 - SD 80].
[80] Spring 2005 SUMMA Evaluation Summary (standard deviations suppressed) [SD 86].

Category of Evaluation	Instructor Mean	Unit (Math) Mean	Institution Mean	National Mean
Factor 1: Instructor Commitment to Student Learning	* 4.55	4.22	4.28	4.31
Factor 2: Instructor Preparation and Organization	** 4.65	4.34	4.42	4.35
Factor 3: Instructor/Student Interaction	4.24	3.92	4.08	4.06
Factor 4: Testing	*** 4.63	4.22	4.18	4.23
Factor 5: Course Objectives	** 4.59	4.27	4.35	4.30
Factor 6: Course Assignments	** 4.53	4.33	4.30	4.21

(Significantly different from the National Mean: * = at .05 level, ** = at .01 level, *** = at .001 level)

At USF, teaching evaluations are ordinarily considered in conjunction with semester grade distributions. Both Math 101 and Math 107 are CORE B1 courses with no Math Placement Exam prerequisite. For Math 107, I was provided with a Supplemental Instructor.[81] For Math 101, I was not provided such. Course Grade Point Averages (not including Withdrawals) were:[82]

Math 101-02

Mean Course GPA (not including Withdrawals)	2.94
A,B,C Rate	83%
D,F,W Rate	17%

Math 107-01

Mean Course GPA (not including Withdrawals)	2.92
A,B,C Rate	70%
D,F,W Rate	30%

Math 107-02

Mean Course GPA (not including Withdrawals)	2.96
A,B,C Rate	85%
D,F,W Rate	12%

[81] Email Brendan Ashe to John Kao, dated January 21, 2005 [SD 292].
[82] Course Grades, Spring 2005 [SD 87 - SD 91]. Math 107-02 enrollment included one student in the P/F category. This individual was excluded from the GPA computation, and contributed to neither ABC nor DFW rates.

This facilitates direct comparison with the USF, Grade Point Average standard as represented to WASC:[83]

> The following table examines selected course performance by students who participated in Supplemental Instruction in Fall 2001. The control groups are students in the same class who did not participate in SI.
>
> Statistics 101

	SI (n=5)	Non-SI (n=71)
Mean Course GPA	3.2	2.93
A,B,C Rate	100%	87%
D,F,W Rate	0%	13%

> Statistics 103

	SI (n=100)	Non-SI (n=220)
Mean Course GPA	3.07	3.09
A,B,C Rate	90%	82%
D,F,W Rate	10%	17%

[83] *USF Fifth-year Self-Study Report in Preparation for a Site Visit on November 13-15, 2002*: pg. 46-47 [SD 147 - SD 148].

Appointment without Search in On-going Violation of Collective Bargaining Agreement

There existed a close prior personal acquaintanceship between Tristan Needham and John Stillwell prior to Prof. Stillwell's USF appointment. This is exhibited in the following text from the Acknowledgements in Prof. Needham's book, *Visual Complex Analysis* (published 1997, four years before John Stillwell was hired, with tenure, by USF).

> Next, I would like to thank Prof. John Stillwell of Monash University. The great value I place on his writings should be clear from the frequency with which I refer to them in the pages that follow. Also, though I lack his gift for conciseness, I have sought to emulate elements of his approach in an attempt to give back *meaning* to mathematical concepts. Finally, my greatest and most concrete debt arises from the fact that he read each draft chapter as it was written, and this despite the fact that we had never even met! The book owes a great deal to his numerous helpful suggestions and corrections.[84]

By the time John Stillwell conducted his sabbatical teaching at USF in Fall 2000, Tristan Needham had been appointed to Associate Dean of Sciences serving under Stanley Nel, Dean of Arts and Sciences. That there existed a close personal acquaintanceship between Dean Nel and Prof. Needham—prior to his appointment to Associate Dean—is illustrated by the following text from the Acknowledgements in Prof. Needham's book, *Visual Complex Analysis* (Tristan Needham became Associate Dean of Sciences in Spring 1999).

> First and foremost I wish to express my indebtedness to Dr. Stanley Nel. He is my friend, my colleague, and my Dean, and in all three of these capacities he has helped me to complete this book. As a friend he offered support when progress was slow and my spirits were low; as a mathematical colleague he read much of the book and offered helpful criticisms; as Dean he granted me a succession of increasingly powerful computers, and when the US Immigration Service sought to have my position filled by an "equally qualified" American, he successfully fought them on my behalf. For all this, and much else besides, I offer him my deep gratitude.[85]

As expressed in the Summary,

[84] Needham, T. (1997). *Visual Complex Analysis*. Oxford University Press. Oxford: pg. xii [SD 234 - SD 235].
[85] Ibid.

- Dean Needham (with the support of Dean Nel) invented a category of faculty appointment (tenured Full Professor with half-year teaching responsibilities). This category does not exist in the CBA, in fact, its terms are contradicted by *CBA* Article 23.17 Faculty Availability. There is no provision for the qualifications, nor for the procedure of application, nor for the concomitant privileges and responsibilities—within the *CBA*. Consequently, *there is no legal basis for such an appointment at USF*.

Further,

- Dean Needham then hired his acquaintance (John Stillwell) from Monash University, Australia, into this contrived position. This hire was made without departmental consultation. It was announced as a fait accompli during a meeting which took place on October 10, 2000, while John Stillwell was a Visiting Professor at USF. No minutes of this meeting were ever approved nor are extant in the Math Department files. This hire was made with no search, in violation of *College of Arts and Sciences Chronological Procedures for Hiring Probationary and Term Faculty*. These college procedures implement university affirmative action/equal opportunity policy published in the *USF General Catalogs* and reported to accrediting agencies such as WASC.[86] Prof. Stillwell's curriculum vitae was not provided to the Math Department any time prior to the beginning of his teaching as a Full Professor (appointment made with tenure) in Fall 2002.
- John Stillwell held the rank of Associate Professor, at Monash University, from 1992 - 2001 (having begun as Lecturer in 1970) and had not attained the highest possible rank of Professor.[87] While the Australian academic ranks do not correspond to American ranks, the current Monash University Mathematical Sciences web site lists six Professors compared with two Readers and four Associate Professors.[88] John Stillwell is listed as Honorary Members–A/Prof John Stillwell. It is uncertain that John Stillwell would have been the most qualified candidate had an open search been conducted (for further evidence, see Summary).

Consider that this was the first regular faculty hire, in Math, since Spring 1992. Further observe that the affirmative action guidelines strongly apply to our institution's current accreditation review. The following is from the USF 2002, Report to WASC.

> A variety of strategies for faculty diversification at USF have been in place during the last 10 years, many of them brought about by the efforts

[86] *College of Arts and Sciences Chronological Procedures for Hiring Probationary and Term Faculty* [SD 334 - SD 340]. Also, *Faculty Recruitment Procedures*, approved by John W. Clark, Vice President for Academic Affairs, May 15, 1991 [SD 341 - SD 348].
[87] Curriculum Vitae provided by John Stillwell in preparation for the ten-year departmental Program Review conducted Spring 2004 [SD 287 - SD 291].
[88] Monash University Mathematical Sciences web site: www.maths.monash.edu.au [SD 98 - SD 100].

> of a former Provost and Academic Vice-President (Fr. John Clark, S.J.) and the continued support of the current Provost and Academic Vice-President (James L. Wiser). As early as 1990, a group of minority faculty circulated to the deans steps and objectives directed at increasing the representation of minority faculty on campus. A number of those plans were subsequently implemented (e.g., targeted special mailings and advertisement placements, and diversification of search committees).[89]

Diversification plans described to WASC in 2002 were also represented to the Board of Trustees in 2004:

> While the University has implemented significant outreach efforts to attract ethnic faculty (including the Provost's requirement of confirmation of the level of diversity of the pool from the deans before an appointment is approved), there are some social situations that make it difficult for us to attract more ethnic faculty.[90]

The "pool" refers to the entire collection of applicants for a faculty position.[91] In the case of Prof. Stillwell, there was no such collection at all.

Prof. Stillwell's appointment comprised a violation of College Search Procedures, published USF policy, as well as *CBA* provisions. That no search was conducted, means that racial minorities and women were not given the opportunity to apply. This violates the ethical principles underlying equal opportunity employment as expressed in U.S civil rights legislation, as well as those principles underlying affirmative action. In *Affirmative Action at Work: Law, Politics and Ethics*, Bron Taylor writes,

> Affirmative action proponents and opponents often rest their arguments on one of Liberalism's central principles, namely, its version of distributive justice: the idea that preferred jobs and rewards ought to be distributed according to talents and qualifications (or *merit*) in a social context characterized by equality of opportunity. (This conception of distributive justice is often referred to by the terms *equal opportunity* or the *merit principle*.)[92]

Similarly, in *The Realities of Affirmative Action in Employment*, Barbara Reskin writes,

> Much of the race and sex discrimination in America's workplaces is built into the ways that firms conduct business. This "structural discrimination"

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[89] *USF Fifth-year Self-Study Report in Preparation for a Site Visit on November 13-15, 2002*: pg. 37 [SD 146].
[90] *Diversity as Our Strength: A Report to the Academic Affairs Committee of the Board of Trustees March 26, 2004*, submitted by Gerardo Marín, Associate Provost: pg. 16 [SD 154].
[91] Interpersonal communication, September 8, 2005, with James Wiser, Provost, Academic Vice President, Academic Affairs.
[92] Taylor, B. R. (1991). *Affirmative Action at Work: Law, Politics and Ethics*. University of Pittsburgh Press. Pittburg: pg. 7.

> includes employment practices that are race- and gender- neutral on the surface, but whose effects are predictably discriminatory. We illustrate this with two common types of structural discrimination: employers' use of informal networks to recruit workers and requiring job credentials that are not necessary to a job.
>
> The methods employers use to recruit workers often limit who learns about job opening and applies for jobs. The most common recruiting method—word-of-mouth recruiting—identifies job candidates through referrals by current employees (Marsden 1994; Miller and Rosenbaum 1997, p. 513). Word-of-mouth recruiting is popular because it is cheap: Current employees know what skills job candidates need, can vouch for candidates, and are more likely to help train workers they know.
>
> However, word-of mouth recruitment maintains the race, ethnic, and sex composition of a firm's workforce (Kasinitz and Rosenberg 1996, p. 188; Newman 1996, p. 22; Reskin and McBrier 1998), largely because people's acquaintances tend to be of their same sex and race. When employers fill jobs through informal networks, minorities and women do not learn about jobs for which they are qualified …[93]

As evinced in the Summary, the argument that there would be no other qualified candidates for such a position is unconvincing. Furthermore, Prof. Stillwell continues to be employed at Monash University:

> My position at USF is one semester per year—my choice, because I want to spend alternate semesters back in Melbourne and get some writing done. It also enables me to keep in touch with the situation here. I have just spent the last semester at Monash and taught the honours topology course.[94]

As his position was not advertised, there is no way to know whether other qualified candidates (inclusive of women and minorities) would have taken the opportunity to apply.

[93] Reskin, B. F. (1998). *The Realities of Affirmative Action in Employment*. American Sociological Association: Washington, DC: pg. 32.
[94] Stillwell, J. (2004). Brain Drain. *Australian Mathematical Society Gazette*, Vol. 31, No. 1, pg. 18-20 [SD 93 - SD 97].

Libel, Forgery of Evidence and Defamation of Character

The events described in this section, refer to an official letter of reprimand written by Dean Tristan Needham, dated November 1, 2000, and addressed to Prof. Paul Zeitz, Chair of Math. This letter concerned my professional activities in connection with California College of Arts and Crafts (CCAC) and was cc'ed to

- Stanley Nel, Dean, College of Arts and Sciences, USF
- Fr. Thomas Lucas, S.J., Director of the CCAC Joint BFA/B.Arch Programs, USF
- John Kao, Associate Professor of Mathematics, USF
- David Meckel, Dean of Design and Architecture, CCAC
- John Loomis, Chair of Architecture, CCAC.

This letter had three pages of attachments:

- copies of "two e-mail messages,"
- copy of a memo from Prof. Kao addressed to Prof. Zeitz, including an attached letter from Prof. Loomis (CCAC) addressed to Prof. Kao.

I will refer to this letter with attachments as N1.[95] Specifically, the N1 letter concerned my activities Summer 2000 in reference to teaching I conducted on behalf of

- CCAC Joint BFA/B.Arch Programs, USF.

I will describe this teaching for context.

Spring 2000, I taught a USF Mathematics Course, *Math 108 Precalculus*, at CCAC (San Francisco Campus, Protrero Hill neighborhood). Enrollment included both CCAC as well as USF students. Delivery of this course involved commuting between USF and CCAC twice weekly. I had agreed to this assignment in response to a special request on the part of Peter Pacheco, Chair of Math, while I was on sabbatical at Princeton University, academic year 1998-99. It was at that time that preliminary negotiations/planning for this course were held. Further such took place Fall 1999. I emphasize that I did not attend any of these meetings.

During this teaching, Spring 2000, I communicated directly with

- Paul Zeitz, Chair of Math, USF
- Kate Simonen, Director of Technology Curriculum, CCAC
- John Loomis, Chair of Architecture, CCAC.

I considered the role of these three individuals "supervisory" in the following senses

[95] Letter from Tristan Needham to Paul Zeitz, dated November 1, 2000 [SD 9 - SD 13].

- they communicated to me administrations' expectations for *Precalculus*, both from the USF and CCAC perspectives;
- they served as "shop stewards," responsible for communicating on my behalf to administrators higher in the chain of command, both for USF and CCAC.

This is the only appropriate interpretation relative to the USFFA *CBA*, under which this teaching was conducted.

From the beginning, I encountered serious problems with this assignment. These were reported in a memo I wrote to Prof. Zeitz (cc'ed to Dean Needham and Dean Nel) on February 28, 2000. I will refer to this memo as M1.[96] At the end of the semester, I felt that I had successfully dealt the launch of a new CCAC/USF Math joint venture. However, I did not want to teach *Precalculus* at CCAC the following academic year. The USFFA *CBA* stated

> Assignment to courses should be based on the faculty member's scholarly competence to teach the course as described in the official University catalogue. It should also take into account seniority and other relevant criteria (such as prior teaching in course area, etc.) common throughout the academic community. Final decisions regarding faculty assignment rest with the dean or director of the academic unit.[97]

At that time I held seniority over two other full-time faculty in Math. Accordingly I declined teaching at CCAC for the academic year 2000-01. This decision was approved by Prof. Zeitz prior to my communicating it to Prof. Loomis by email on August 2. These events are documented in a letter from Prof. Zeitz to Dean Needham written November 10 (Chair's account of events, in response to letter N1).[98] I will refer to this letter by Prof. Zeitz as Z1. In Z1, Prof. Zeitz writes:

> At roughly the same time, John Kao contacted John Loomis to thank him for the opportunity to work at CCAC but also to inform him that he would not be returning to teach there. This was done with my prior approval.[99]

Prof. Loomis replied to my email on August 3. This correspondence indicated that CCAC would try to cover the course themselves in the 2000-01 academic year. I was alarmed and discussed this matter directly with Prof. Zeitz. I also discussed it jointly with Prof. Zeitz and Dean Needham within a week of August 3 (we three met by chance in the hallway of Harney Science). I considered the matter was settled, and *received no further communications (from Prof. Zeitz, Prof. Loomis, also Dean Needham) until I was delivered letter N1, on November 1*.

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[96] Memo from John Kao to Paul Zeitz, dated February 28, 2000 [SD 1 - SD 6].
[97] *CBA Effective July 29, 1998 - June 30, 2003*: pg. 11 [SD 121].
[98] Letter from Paul Zeitz to Tristan Needham, dated November 10, 2000 [SD 34 - SD 43].
[99] Ibid [SD 37].

As indicated in the Summary, the primary allegation of N1 involved *miscommunication*, especially that

- I failed to communicate developments at CCAC in a timely manner to USF administrators (either directly, or via Paul Zeitz, Chair). As a consequence of this miscommunication, Dean Needham was unable to prevent breach of the CCAC/USF Math Architecture arrangement for Spring 2001.

Dean Needham provided as "evidence":

- "two e-mail messages,"
- "report that John Kao submitted."

The "two e-mail messages" are electronic forgeries. The original email as received by Tristan Needham from Paul Zeitz—as Dean Needham writes, "that you forwarded to me (at my request)"—have been edited by computer before their reproduction in their form on letter N1. I will reproduce, for the Investigator, Dean Needham's "two e-mail messages" on the following page.[100] Compare with the transmission from Prof. Zeitz to Dean Needham as included (as attachment) in letter Z1, reproduced on the subsequent three pages.[101]

[SD Insert follows: 4 pages]

[100] Letter from Tristan Needham to Paul Zeitz, dated November 1, 2000 [SD 9 - SD 13].
[101] Letter from Paul Zeitz to Tristan Needham, dated November 10, 2000 [SD 41 - SD 43].

TWO E-MAIL MESSAGES

X-Sender: kao@euclid.math.usfca.edu
Date: Wed, 02 Aug 2000 11:31:57 -0700
To: jloomis@ccac-art.edu
From: John Kao <kao@usfca.edu
Subject: Precalculus 2001
Cc: zeitz@usfca.edu

John,

Nice to see you the other day. My apologies for not speaking longer--I had an appointment with my student, Ms. Naoko Ono, who received an Incomplete grade and would like to fulfill her course requirements this summer.

My colleague, Paul Zeitz, informed me of your discussion regarding Precalculus in Spring 2001. It was gratifying to learn that Architecture was satisfied with this course last semester; I enjoyed performing this service very much. I would like to continue teaching for you; however, having completed my planning for next academic year, I find this assignment is incompatible with my research commitments to USF. In particular, the time required to commute between our two sites and to provide a separate set of office hours for your students will not be available to me Spring 2001. I apologize for any inconvenience. I am certain the Mathematics Department will provide a suitable alternative.

I look forward to working with you in the future; it has been a pleasure to become acquainted with CCAC's SF campus in general, and Architecture in particular.

Sincerely,

John Kao
Mathematics, USF

Date: Thu, 03 Aug 2000 14:02:47 -0700
Subject: Re: Precalculus 2001
To: kao@usfca.edu
Cc: zeitz@usfca.edu
From: jloomis@ccac-art.edu (John Loomis)

John-

Thank you for your kind note. And thank you very much for taking the time to come to CCAC and meet with our student at this point in the summer. That was above and beyond the call of duty, and I really appreciate it. I am sorry we will not be able to continue with you next year. I think we will be trying to cover this course with a new instructor, recently hired by our H&S department.

Thank you for your contribution to CCAC.

With warm regards,
-John Loomis

John A. Loomis AIA, Chair
Architecture Program
California College of Arts and Crafts (CCAC)

SD Note:
Also Inserted
as pg. 60

SD 11

To: tristan
From: Paul Zeitz <zeitz@usfca.edu>
Subject: Precalculus CCAC
Cc:
Bcc:
X-Attachments:

Hi Tristan,

Here is the first of the two "Dear John" letters---this one from John Kao to John Loomis re my phone conversation with Loomis in which I told him that John would be happy to teach the course at USF, and that we would be happy to staff it with someone other than John if they wanted it taught down at CCAC. The second letter is Loomis's reply, stating that they may staff the course internally.

I'm very sorry that I didn't cc: you; indeed, you should have been more in the loop here and I suppose the story isn't over yet. You may be able to use your powers as dean to change things if you wish. But you being out of town and me being preoccupied with stuff at home made the communication process worse.

The whole CCAC thing really was a fiasco---John put a happy face on when talking to you about it yesterday. I don't know which was worse: John's difficult experiences there, or my having to endure his whining about it. I truly hope that we get the happy ending of eventually teaching a good course for them HERE. If not, I'd be happy sending one of our more experienced part-timers (Stillman, perhaps, who now owes you and I a favor) down there. But CCAC is truly a disfunctional place. The people are individually quite cordial, but I never got a single thing done properly after asking once--I usually had to ask three times. There is no proper chain of command, and the various divisions are actively hostile to one another. I don't remember if I told you, but a friend of mine is an artist who works there, and he is the president of the faculty assn. As part of a search committee for CCAC's new president (I think, maybe a provost), he witnessed CCAC deans fighting IN FRONT of the candidates. Sounds like USF in the 1970's. Scary.

Take care,

Paul

>X-Sender: kao@euclid.math.usfca.edu
>Date: Wed, 02 Aug 2000 11:31:57 -0700
>To: jloomis@ccac-art.edu
>From: John Kao <kao@usfca.edu>
>Subject: Precalculus 2001
>Cc: zeitz@usfca.edu
>Mime-Version: 1.0
>Status:
>
>
>John,
>
>Nice to see you the other day. My apologies for
>not speaking longer--I had an appointment with my
>student, Ms. Naoko Ono, who received an Incomplete
>grade and would like to fulfill her course
>requirements this summer.
>

SD Note:
Also Inserted
as pg. 61

SD 41

>My colleague, Paul Zeitz, informed me of your
>discussion regarding Precalculus in Spring 2001.
>It was gratifying to learn that Architecture was
>satisfied with this course last semester; I enjoyed
>performing this service very much. I would like to
>continue teaching for you; however, having
>completed my planning for next academic year, I
>find this assignment is incompatible with my
>research commitments to USF. In particular,
>the time required to commute between our two
>sites and to provide a separate set of office
>hours for your students will not be available
>to me Spring 2001. I apologize for any
>inconvenience. I am certain the Mathematics
>Department will provide a suitable alternative.
>
>I look forward to working with you in the future;
>it has been a pleasure to become acquainted
>with CCAC's SF campus in general, and Architecture
>in particular.
>
>Sincerely,
>
>John Kao
>Mathematics, USF
>

SD Note:
Also Inserted
as pg. 62

To: needham
From: Paul Zeitz <zeitz@usfca.edu>
Subject: CCAC-second forwarded msg (loomis to Kao/Zeitz)
Cc:
Bcc:
X-Attachments:

Nope, I have no idea what "H & S" is. Perhaps Humanities and Sciences?

>Date: Thu, 03 Aug 2000 14:02:47 -0700
>Subject: Re: Precalculus 2001
>To: kao@usfca.edu
>Cc: zeitz@usfca.edu
>From: jloomis@ccac-art.edu (John Loomis)
>MIME-Version: 1.0
>Status:
>
>John-
>Thank you for your kind note. And thank you very much for taking the time
>to come to CCAC and meet with our student at this point in the summer.
>That was above and beyond the call of duty, and I really appreciate it.
>I am sorry we will not be able to continue with you next year. I think we
>will be trying to cover this course with a new instructor, recently hired
>by our H&S department.
>Thank you for your contribution to CCAC.
>With warm regards,
>-John Loomis
>
>_____
>John A. Loomis AIA, Chair
>Architecture Program
>California College of Arts and Crafts (CCAC)
>1111 Eighth Street
>San Francisco, CA 94107
>415.703.9516
>415.703.9524fax
>jloomis@ccac-art.edu
>

SD Note:
Also Inserted
as pg. 63

The electronic document as possessed by Dean Needham

- must have included a date and time of *his* receipt.

Yet, the "two e-mail messages" in letter N1 does not contain such. The same messages as reproduced by Prof. Zeitz, show a transmission date of

- August 15, 2000.

This date was electronically removed by Dean Needham. Prof. Zeitz confirms this date in the text of his letter Z1:

> Once again, I am at fault for not immediately informing you of these events. I believe that I mentioned them to you informally a few days later, but the first official record of this is not until August 15, 2000, when I sent you email (see enclosure) …[102]

That electronic editing was undertaken by Dean Needham is further demonstrated by the *uniform removal* of characters, ">". In particular, as reproduced in letter N1, the first e-mail message contains the text

From: John Kao <kao@usfca.edu

which syntax could not have been computer generated. The original as transmitted by Prof. Zeitz to Dean Needham is

>From: John Kao <kao@usfca.edu>

whereby the email address is *properly enclosed by brackets*. In addition to this editing, the following text from the originals have been removed:

>Mime-Version: 1.0
>Status:

from the first of "two-email messages" and also:

>MIME-Version: 1.0
>Status:

from the second. The following was also deleted from the second:

>1111 Eighth Street
>San Francisco, CA 94107
>415.703.9516
>415.703.9524fax

[102] Letter from Paul Zeitz to Tristan Needham, dated November 10, 2000 [SD 37].

>jloomis@ccac-art.edu

One observes that the key allegation in Dean Needham's letter N1 relies on the forged evidence for which his own date of receipt was electronically deleted. *With the date included, it would be clear that responsibility for breach of programming would lie entirely with Dean Needham—on the part of USF*.

Subsequent to my letter of protest K1 and Prof. Zeitz's letter Z1, Dean Needham retracted his accusations by email. However, he refused to send a signed retraction on USF letterhead (the same form as his original letter of reprimand). *It is telling that his original reprimand relies on electronic email forgeries*.

I had to file a USFFA Grievance in order to obtain a signed retraction. Such was provided by Dean Stanley Nel on December 7, 2000, at a Step 0 Grievance meeting. With this document in hand, I settled at Step 0, Informal Step. Please note that the following documents (listed and labeled on pg. 28-29 of Summary) had been submitted to my official record by way of Correspondence to the Dean's Office, prior to December 7, and served as the basis of my grievance: K1, M1, M2, Z1.

Minutes (taken by Prof. Toia) of the Step 0 Grievance hearing support the above. Consider the following excerpt.

> **Summary of Step 0 Grievance Meeting (12/7/00) for John Kao (Grievant)**
>
> Present: Dean Stanley Nel (SN), Professor John Kao (JK) (grievant), Professor Robert Toia, Nancy Campagna
>
> At the beginning of the meeting JK thanked SN for his email correspondence, and then outlined his understanding of the history of the CCAC/USF agreement referred to in the letter from Associate Dean Tristan Needham (TN). JK indicated that he was not aware of the details of the "agreement" referred to in the letter.
>
> … JK stated that the letter suggests he was insubordinate and that consequently the Agreement had been broken.
>
> SN asked to re-read the letter (JK brought multiple copies of all documents to the meeting).
>
> JK indicated that the relevant areas were highlighted in yellow in the letter. He restated that he considered the letter libelous and felt legal liability. …
>
> SN the [*sic*] asked "what is the liability?" He then went on to state that there is no legal liability from the USF side and that (subject to

> verification from counsel) that if there was any contract breach that the responsible party is USF. He also stated that USF might discipline its employees but it doesn't hold them liable. He went on to state that the main issue seems to be breakdown in communication and that he doesn't see any clear issue relating to legal liability.[103]

In this meeting, Dean Nel provided official signature to the following statement:

> To the best knowledge of Dean Needham and Dean Nel, Pr. Kao was not at all responsible for the breakdown in lines of communication and chain of command referred to in Dean Needham's November 1 letter to Pr. Zeitz.[104]

It would not have been responsible for Dean Needham to sign such without prior review of documents K1 and Z1 which prove it. Bear in mind that four people were implicitly involved: myself, John Loomis, Tristan Needham and Paul Zeitz. (Dean Nel had no direct involvement—he would have to rely on second hand information, either from interpersonal communication or from documentary evidence.)

I emphasize that the Minutes show I provided second copies of all documents to Dean Nel during the Grievance hearing.

In my letter to Stanley Nel (K2), dated December 22, I thanked Dean Nel for the resolution to my Grievance, and included as attachments sufficient correspondences to remind the reader of the context in which the Grievance occurred. The letter K2 contains references to the following documents: N1, K1, M2 and Z1.[105]

I kept members of my department informed of the above proceedings, providing them with copies of K1 (in turn containing as attachment, N1 and M2) and K2. However, I was not able to publicly discuss the issue of forgery. This was because Prof. Zeitz forbade me from distributing copies of his own letter, Z1. The following is taken from the Minutes of the Math Department Meeting on November 14.[106] While the quote is lengthy, it is illustrative of the political dynamics of our department.

> John's item: got a letter from Tristan Needham cc'd to John about an issue that may come to a grievance. Would like to distribute Tristan's letter and Paul's letter to Tristan. Paul objected to his letter being distributed. John feels he has the right to distribute it. Paul objects, feels should be within Paul, John, Tristan, and Stanley. John feels an official department letter should be made department property. Paul prefers John wait, doesn't consider it departmental business. John says the issue is serious and feels he has no choice but to present evidence that he didn't do what he's

[103] Minutes of Step Zero Grievance Hearing held December 7, 2000 [SD 52 - SD 53].
[104] Ibid.
[105] Letter from John Kao to Stanley Nel, dated December 22, 2000 [SD 44 - SD 51].
[106] Minutes of the Math Department Meeting on November 14, 2000 [SD 360 - SD 362].

accused of. There were glitches in the CCAC precalculus course. Tristan wrote a letter to Paul cc'd to John expressing displeasure with and criticising [*sic*] certain things that were done. Neither addressee liked the letter and chose to write responses back. Paul wrote the letter with the understanding that it was for Tristan, Nel, Father Lucas, and John's eyes, not for distribution in the department meeting. Dislikes the idea, whether it is within John's rights or not. John: Tristan's letter specifically accuses John of certain actions against University policy, unauthorized, against the letter. Although the letter was addressed to both, the accusations were against John, and he doesn't know what the implications are. His reputation is on the line. Paul's letter was cc'd to John, written in the capacity of chair. Paul: it was not written in any capacity and it was confidential. Also, Tristan's letter was dated November 1st; he probably hasn't read the response yet. Tristan should have the chance to read the letter and have time to respond. The issues can be resolved peacefully and smoothly if John doesn't start to play to court of public opinion. John should let the situation calm down and de-escalate. Paul objects strenuously to him distributing confidential correspondence and asks it be retracted and not be circulated. John: nothing in the letter says it's confidential. Paul: would like a vote for everyone to throw away documents until Tristan's response is made. Bob: how about wait a month until next meeting, can read the letter then. John has our support. Tristan will realize that John had a difficult task and maybe it will all go away. John: can't force anyone to pick up the documents. Allan: this is disturbing. As chair, Paul is elected as faculty representative. Why siding with administration? Paul: am not; agrees with John's words, but objects to John circulating Paul's correspondence. Feels can get good resolution, agrees with John's arguments, but thinks it is not a departmental issue now and should wait for response from Tristan and till then these documents should be confidential. John: mad that Tristan's letter with accusations were sent to other 4 administrators at 2 schools without any word to John. No one asked him what happened. Tristan's letter states that he, Tristan, spoke with Paul about these issues but no one contacted John about these issues prior to the letter being sent to all these people. Feels he has the right to present evidence that he didn't do these things that amount to being illegal. Paul: background: CCAC course didn't work out well and blame can be apportioned to 3 parties. CCAC doesn't know what it's doing, is incompetent, lazy, dysfunctional. Secondary: Tristan and Father Lucas didn't know what a mess they were getting into, didn't give the proper direction. Third, Paul was from time to time a little sloppy in cc'ing Tristan. Dealt with CCAC while other people were making different decisions on a higher level. Paul was sloppy, Tristan and Father Lucas didn't oversee it well, and CCAC is messed up. John did a good job. Tristan wants to keep a good relationship with CCAC and didn't place blame on CCAC but placed it on John and wrote a blameful letter to Paul and John. Paul wrote a letter defending both to Tristan, and doesn't wish it

> distributed. Tristan's letters are meant for memoland, not for the real world. Thinks Tristan will write an apology and all will be archived and John will not have cause for grievance. If CCAC needs to think Paul incompetent for Math 108 to continue, Paul doesn't care. Only cares that John's reputation not be damaged. John decided to remove Paul's letter, and stated that removing Paul's letter in no way states that he cannot distribute it in future. Paul: may discuss this again in another department meeting. Allan: Paul envision down the line there will be an apology to John. Paul: what is on the line: both are up for promotion. Letter was an official reprimand to Paul. Personal feeling is that his defense is adequate and official. Worst case scenario, pessimistic view is that Tristan wants John/Paul out. Reality is that it's an ass-covering letter. John is disturbed that this accusatory letter could have gone in his file with no one, for instance his supervisor Paul, being contacted prior to the letter being sent. Paul got just as little warning. Maybe the reason John got it so bad was maybe CCAC thought John was the one in charge. John: CCAC did know he was just a professor. Loomis understood Paul is the liaison. Tristan's letter distributed.

In the above I draw particular attention to the statements: "Paul wrote a letter defending both to Tristan, and doesn't wish it distributed. Tristan's letters are meant for memoland, not for the real world. Thinks Tristan will write an apology and all will be archived and John will not have cause for grievance." These demonstrate

- Prof. Zeitz forbade me to show other faculty his letter.
- Prof. Zeitz assured me the Dean's Office would archive relevant documents; this would provide all the administrative protection I required.

Subsequent to this meeting, the Math department voted on a resolution to alter the style of the Minutes—instead of detailed narratives the department would record "action minutes."

Finally, I remark that the interruption in the CCAC/USF Math program turned out to be permanent, as the relationship with our department was never reinstated.

Forced Leave of Absence in Violation of Americans with Disabilities Act

I refer the Investigator to the chronological narrative of events for this item presented in the Summary of *Report of Discrimination*. In this section, I remark first on the Special Leave of Absence as assigned to me by Dean Needham and Dean Nel. This category of Special Leave, according to the *CBA* is meant for professional purposes only (listing no provision for illness, nor private obligations) and is totally inappropriate given the context. The *CBA* describes this Special Leave as follows:

> "Special Leave" refers to leave taken for purposes which include engaging in public service, formal study, research, or teaching at another institution. Among the factors considered is the likelihood, in the University's judgment, that the leave will make a significant contribution to the professional growth of the faculty member or the librarian. The term of leave is ordinarily one year.[107]

I did not request Special Leave, nor did I file the documents mandated for such by the *CBA*. There is nothing in my file explaining my absence from the beginning of the semester, January 22, until the Special Leave was awarded retroactively, on April 18. This absolute lack of documentation is evidence of Dean's Office discriminatory pressure on me to take the semester off (without pay). In particular, *there exists no written request, from me, for a Special Leave of Absence*. Such a request would ordinarily indicate which professional activities would be undertaken during the course of the leave. In this respect the following provision of the *CBA* is relevant.

> Whether or not special leave is considered as service to the University for purposes of advancement in rank, or as part of the probationary period for tenure, or as counting toward eligibility for sabbatical, must be agreed to in writing by the Dean and the faculty member before the beginning of the leave.[108]

No such written agreement, between the Dean of Arts and Sciences and myself, exists. Also consider,

> A special leave should be applied for as early as possible, so that the University can plan satisfactorily for the absence of the faculty member or librarian on leave. Applications shall be made to the Dean.[109]

The following is the entirety of the documentation in my Personnel file for Spring 2002.

[SD Insert follows: 3 pages]

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[107] *CBA Effective July29, 1998 through June 30, 2003*: pg. 67 [SD 125]. Also, *CBA Effective March 18, 2002 - June 30, 2007*: pg. 79 [SD 108].
[108] *CBA Effective July29, 1998 through June 30, 2003*: pg. 67-68 [SD 125 - SD 126]. Also, *CBA Effective March 18, 2002 - June 30, 2007*: pg. 80 [SD 109].
[109] Ibid.

UNIVERSITY of SAN FRANCISCO

Office of the Dean

College of Arts and Sciences
2130 Fulton Street
San Francisco, CA 94117-1080
TEL 415 422-6172
FAX 415 422-2113

April 18, 2002

John S. Kao
Associate Professor of Mathematics
Harney Science Center, Room 217
University of San Francisco
Campus

Dear John:

In accordance with the stipulations in *Article* 28 of the *Collective Bargaining Agreement*, the special leave of absence you requested for Spring 2002 has been approved by the University. The conditions under *Article* 28.25 apply to this leave.

John, my best wishes accompany you on your leave. If I can be of any special assistance, please let me know.

Yours sincerely,

Stanley D. Nel
Dean, College of Arts and Sciences

Cc: Tristan Needham
Associate Dean for Sciences

SD Note:
Also Inserted
as pg. 70

SD 58

USF
UNIVERSITY of SAN FRANCISCO

Department of Mathematics

College of Arts and Sciences
2130 Fulton Street
San Francisco, CA 94117-1080
TEL 415 422-6747
FAX 415 422-2346

May 31, 2002

Stanley Nel, Dean
College of Arts and Sciences
University of San Francisco

Dear Dean Nel,

Thank you again for awarding me a Special Leave of Absence for the Spring 2002 semester. I understand that I was not responsible for any teaching days therein, however, I would appreciate it if you would place the attached letter in my file for future reference. Thank you for your kind attention.

Sincerely,

John Kao

John Kao
Associate Professor

cc: Tristan Needham, Associate Dean of Sciences, USF
Paul Zeitz, Chair, Department of Mathematics, USF

Enc.: 1

SD Note:
Also Inserted
as pg. 71

SD 59

Frederick N. Parris, M.D.
Clinical Professor
School of Medicine, UCSF
Psychiatry (private practice)
4333 California St.
San Francisco, CA 94118

January 31, 2002

Reference: John Sterling Kao, Associate Professor, Mathematics, USF

Tristan Needham
Associate Dean of Sciences
University of San Francisco
2130 Fulton St.
San Francisco, CA 94117-1080

Dear Dean Needham,

I am writing in regards to my patient, John Sterling Kao. Dr. Kao first consulted me on January 14, 2002. At that time, he was suffering from depression related to his familial obligation to care for his septuagenarian mother. I recommended that he begin a treatment of psychotherapy including a prescription of the antidepressant, Prozac. On January 23, I met with Dr. Kao (who was accompanied by his sister, Stephanie Kao) for an emergency consultation. Dr. Kao complained of experiencing hallucinations on and off, and he did not feel safe driving. My diagnosis was that these hallucinations were the result of an allergic reaction to Prozac, and I recommended cessation of the antidepressant. Dr. Kao has stated that the hallucinations have stopped altogether. For this reason, Dr. Kao should be able to immediately resume all of his usual activities. At the same time, it takes approximately two weeks for the drug, Prozac, to completely leave a patient's system. I therefore recommend that Dr. Kao be allowed to recuperate until February 7, 2002.

Sincerely,

Frederick Parris

SD Note:
Also Inserted
as pg. 72

SD 60

It was a difficult decision for me not to return to teaching in Spring 2002. I felt however, it was a no win proposition. If I acquiesced to Dean Needham's conditions, my professional record would be at the mercy of his manipulation. For example, *CBA*, Article 28.3 Sick Leave, Clause 28.34, states

> If the University believes that a health condition is interfering with the scope or quality of the Association member's professional responsibilities, the faculty member shall be consulted in an attempt to resolve the problem. If no agreement is reached, the Dean may require a faculty member to request an appropriate leave of absence pursuant to this Article, which shall normally be sick leave.[110]

One observes that the *Dean has full discretion to compel a faculty member to request Sick Leave*. No appeal process is mentioned in connection with this Clause.

I suffered terrible humiliation by this Forced Leave of Absence. The treatment from my Mathematics colleagues in sequel added to this. In the Asian culture, one's social reputation or "face" is an essential element in one's spiritual fabric. A primary objective of *Report of Discrimination* is to prevent this kind of gross and illegal mistreatment of a University employee from occurring again.

[110] *CBA Effective July29, 1998 through June 30, 2003*: pg. 68-69 [SD 126 - SD 127]. Also, *CBA Effective March 18, 2002 - June 30, 2007*: pg. 80-81 [SD 109 - SD 110].

Appointment with Special Privileges

The terms of Prof. Stillwell's appointment is highly unusual within American higher education. Some of the privileges discussed in this section illustrate the difficulty of administering such a peculiar arrangement within the USFFA *CBA*. For instance, Article 23.11 states

> A full-time faculty member is expected to perform teaching duties in accord with established requirements of the University and of the particular school or college to which the faculty member is assigned; pursue professional development and enhancement of the public good and of the prestige of the University through research, scholarly publications, interest in professional groups and societies; counsel students, assist at registration and commencement exercises, maintain regular office hours, serve on University committees and perform other institutional tasks characteristic of the academic profession.[111]

Prof. Stillwell has not formally advised students.[112] Major advising is conducted on the basis of continued consultation both semesters of the academic year. He has also been exempt from attendance at commencement (he is often not in residence Spring semester). Most significantly, he has told me he has not served on University committees.[113] These ordinarily meet throughout the academic year.

John Stillwell's yearly term of residence lasts typically four months. It would ordinarily be inconvenient to arrange a four-month apartment lease every year. However, I understand that he and his wife have been given special access to a University owned flat on Chabot Street (directly next to USF campus) every year since 2002.[114]

In addition, *CBA* Article 25.1 states

> The workload of each faculty member, including teaching assignments and other duties, is based on a work week of forty (40) to forty-five (45) hours during the academic year and is, for purposes of determining teaching assignments, calculated on an equivalent of thirty (30) units per academic year. Of the thirty (30) unit work requirement, six (6) units per academic year are allotted for non-teaching duties (such as student program advising, committee work, administrative duties, or other extra-curricular duties) and twenty-four (24) units per academic year are allotted for teaching and research assignments during the academic year. A

[111] *CBA Effective July 29,1998 - June 30, 2003*: pg. 40 [SD 122]. Also, *CBA Effective March 18, 2002 - June 30, 2007*: pg. 41 [SD 105].
[112] Interpersonal communication with John Stillwell on September 7, 2005.
[113] Ibid.
[114] I attended one Math Department social function held at this flat. Interpersonal communication with members of the USF community leads me to the conclusion the same flat was leased by Prof. Stillwell each semester of his residence in SF since Fall 2002. I indicate to the Investigator that documentary evidence to this effect is not available to me. Also, I do not know the specific terms of this rental agreement.

> minimum of nine (9) units per semester will be taught by all full-time faculty unless the faculty member is formally excused from such workload by the Dean.[115]

In spite of this, Prof. Stillwell has conducted eight units of teaching in five consecutive semesters: Fall 2002, Spring 2003, Spring 2004, Fall 2004 and Fall 2005. He is currently scheduled to teach eight units in Fall 2006.[116]

It is apparent that the department is aware of this irregularity, but is prepared to facilitate Prof. Stillwell's reduced teaching load. In an email, dated March 7, 2006, Prof. Wolf (who is responsible for scheduling of teaching) wrote to the Math department,

> Anyway, we'll be thinking about Fall 2006 in a couple of months. I'm not really qualified to determine when anyone should teach a heavy semester. Do you know when you are due to teach a heavy semester? Do you keep track? Does anyone keep track?[117]

The "heavy semester" refers to a twelve-unit teaching load which should occur every fourth semester of a faculty member's teaching (ordinarily once every two years). Under the 4-unit course system in the College of Arts and Sciences, a typical teaching rotation corresponds to 8-8-8-12 units of teaching in adherence to Article 25.1. For Prof. Stillwell such a rotation would have to be implemented on the basis of a four-year rotation. Prof. Needham replied to Prof. Wolf's correspondence. His reply contained the following statement.

> I can assure you that the Dean's Office does indeed keep track![118]

Prof. Zeitz, Chair of Math, replied in turn. His reply contained the following.

> It is my understanding that keeping track of this is the responsibility of the associate dean. Tristan, is that correct?[119]

Prof. Needham responded. His correspondence contained the following.

> Yes, in terms of ultimate responsibility, it was my job (and now Brandon's) to make sure that science departments policed themselves, and then to follow up on the rare occasions where someone forgot. In practical

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[115] *CBA Effective July 29,1998 - June 30, 2003*: pg. 48 [SD 124]. Also, *CBA Effective March 18, 2002 - June 30, 2007*: pg. 49 [SD 107].
[116] Email from Robert Wolf to Math Department, dated March 7, 2006 [SD 332 - SD 333].
[117] Email from Robert Wolf to Math Department (full-time faculty), dated September 28, 2005 [SD 324].
[118] Email from Tristan Needham to Math Department (full-time faculty), dated September 28, 2005 [SD 325].
[119] Email from Paul Zeitz to Math Department (full-time faculty), dated September 29, 2005 [SD 326].

> terms, it was Patricia who used the SI system to keep track, and she then gave me reports when I asked for them.[120]

The logic above is ambiguous. The Dean's Office is ultimately responsible, yet science departments are supposed to "police themselves." The outcome of this set of correspondence was that Math faculty ceased inquiry on the issue of teaching loads, leaving it up to the individual instructor to submit appropriate course loads to the Math Department for scheduling purposes.[121]

[120] Email from Tristan Needham to Math Department (full-time faculty), dated September 30, 2005 [SD 327].
[121] Email from Robert Wolf to Math Department (full-time faculty), dated September 30, 2005 [SD 328].

Appointment in Violation of Search Procedures

During academic year 2003-04, a search was conducted for a regular faculty appointment in Math at the Assistant Professor level. I will refer to this as the "2004 Search," the "2006 Search" will refer to our department's most recent. The 2004 Search Committee consisted of:[122]

Name	Rank	Department(s)
Marcelo Camperi	Associate Professor	Physics
Allan Cruse	Full Professor	Math with CS
Peter Pacheco	Full Professor	Math with CS
Paul Zeitz	Full Professor	Math

Paul Zeitz served as Chair of the Search Committee as well as Chair of the Math Department. The Search Committee reported to Tristan Needham, Associate Dean of Sciences.

The following is from the Minutes of the Math Department meeting held September 9, 2003:

> Paul handed out copies of a draft of an ad for the faculty search. The search is tentatively approved at Dean's Office level, at present. The faculty discussed the wording, timing, and placement of the ad. Paul will look into timing issue.[123]

The advertisement discussed and approved by the Math Department included the following:[124]

> The Mathematics Department at the University of San Francisco invites applications for a tenure-track position at the assistant professor level anticipated to begin in the Fall of 2004. Candidates from all fields of Mathematics are encouraged to apply. The successful candidate should have university teaching experience and an earned doctorate in Mathematics by Fall 2004. She/he will teach throughout the undergraduate mathematics curriculum, from courses for majors to service courses for non-science majors. The position requires a passionate commitment to excellence in teaching within a culturally diverse environment, as well as a strong potential for research and scholarship.
>
> Candidates should submit a letter of application, *curriculum vitae*, graduate transcripts, statement of teaching philosophy and research plans,

[122] Minutes of the Math Department meeting held October 14, 2003 [SD 364].
[123] Minutes of the Math Department meeting held September 9, 2003 [SD 363].
[124] Email from Paul Zeitz to the Math Department (full-time faculty), dated August 13, 2003 [SD 318 - SD 319].

copies of complete teaching evaluations and recent syllabi, and three letters of recommendation to:

Mathematics Search Committee
c/o Professor Paul Zeitz, Chair
Department of Mathematics
University of San Francisco
2130 Fulton St.
San Francisco, CA 94117-1080

Consider further, the following from the Minutes of the Math Department meeting held October 14, 2003:

> Update on faculty search. Allan Cruse, Marcelo Camperi, Peter Pacheco, Paul Zeitz are on the committee. Starting to get official responses. Paper ad will be in Focus, Chronicle of Higher Education, AMS Notices, AMS website, AWM, maybe an electronic one associated with Focus.[125]

Spring 2004, contrary to *College of Arts and Sciences Chronological Procedures for Hiring Probationary and Term Faculty*, the following was not conducted.[126]

- First Meeting of the Department and the Search Committee: The Search Committee meets with the Department to discuss their top choices.

This is required to be held prior to on-campus interviews with Finalists. In consequence, the Math Department was not clearly informed as to

- the search protocols in effect,
- the criteria and method of evaluation of final candidates.

This is corroborated by the Minutes of the Math Department meetings (all meetings held Fall semester prior to candidate interviews in the Spring): September 9, October 14 and November 11. The first communication on the Search, in Spring 2004, was an e-mail announcing final candidates and the itinerary of their visits.[127] This is in sharp contrast to

[125] Minutes of the Math Department meeting held October 14, 2003 [SD 364].
[126] *College of Arts and Sciences Chronological Procedures for Hiring Probationary and Term Faculty* [SD 334 - SD 340]. During the latest 2006 search, at both First/Second meetings of the Search Committee and the Math Department, Prof. Needham stated that these meetings were added to College Search Procedures by Gerardo Marín. Dean Marín was appointed Associate Provost in Spring 2003 and had left the Dean's Office of Arts and Sciences prior to Fall 2003. This corroborates that these procedural elements were in effect at the time of the 2004 search.
[127] Email from Paul Zeitz to Math Department (full-time faculty), dated January 26, 2004 [SD 320 - SD SD 321].

the 2006 search. The First Meeting of the Department and the Search Committee involved:[128]

- detailed briefing of the selection process of final candidates,
- description of professional strengths/characteristics for each finalist,
- discussion of itinerary of visits (when finalist teaching lectures would be held and the content thereof, also specifics for meetings with students).

The list of final candidates in the 2004 Search, with their diversity status, is as follows.[129]

Name	Earned Doctorate	PhD Granting Institution	Diversity Status
Alissa Crans	Mathematics	University of California, Riverside	White non-Hispanic female
Stephen Devlin	Mathematics	University of Maryland, College Park	White non-Hispanic male
Aaron Melman	Applied Mathematics	California Institute of Technology	White non-Hispanic male
Anthony Mendes	Mathematics	University of California, San Diego	Hispanic male

I fully expected that, after finalist visits to USF campus, some meeting with the Search Committee would be conducted in which Math department opinions would be solicited. I had intended on expressing strong support for Prof. Crans, particularly incorporating her diversity status (note that Prof. Millianne Lehmann had announced her retirement prior to the search).[130] However, I did not feel comfortable expressing this opinion in writing for fear of it being misinterpreted or misused by the Search Committee. On Wednesday February 4, two days before the campus visit of the last candidate (Prof. Crans's visit occurred Friday, February 6), the Math Department received an email from Prof. Zeitz which contained the following text.

> The search committee will be meeting by telephone on Saturday morning. You will not have any opportunity for input after Friday night, so PLEASE send me email on Friday. I will read everything, and share it all with the rest of the committee (or you can send email directly to all 4 members of the search committee: zeitz@usfca.edu, cruse@euclid.math.usfca.edu, peter@cs.usfca.edu, camperi@usfca.edu.[131] [*sic*]

[128] Meeting of the Search Committee and the Math Department held January 20, 2006. Minutes of this meeting were not recorded.
[129] Curriculum vitae [SD 265 - SD 274].
[130] Email Michael and Milliann Lehmann to Math Department, dated June 6, 2003 [SD 286].
[131] Email from Paul Zeitz to Math Department (full-time faculty), dated February 4, 2004 [SD 322 - SD 323].

The above demonstrates that the Search Committee failed to conduct the following meeting mandated by College Search Procedures.[132]

- Second Meeting of the Department and the Search Committee: The Search Committee meets with the Department to discuss which candidate(s) should be recommended to the Dean.

This is required to be held after on-campus interviews, but prior to the final recommendation being made and presented to the Dean.

Immediately following the research talk by Prof. Crans the afternoon of February 6, I expressed my support and argument in favor of her appointment with the members of the Search Committee I could reach in person. These were: Marcello Camperi and Allan Cruse. The other two members were not available. *I emphasize that I would not have been comfortable expressing my opinion with specific arguments, in writing*. That such sentiment is shared by other members of the Math Department is evidenced by the terse Minutes recorded for the Second Meeting of the Department and the Search Committee properly conducted for the 2006 Search.[133]

The decision of the Search Committee was announced at the Math Department meeting held February 10 (*only four calendar days after Prof. Crans's visit*). This is recorded in the Minutes:

> Faculty search: might be over. Paul went over the general process the committee went through before making an offer to Steven Devlin. The faculty discussed the candidates and the process of the search.[134]

As Prof. Devlin accepted the offer, the search was over. *It is difficult to understand why this scheduled time slot could not have been used to conduct the Second Meeting as mandated by College Search Procedures*. Had these College Search Procedures been disclosed to me at the time I would have insisted on this meeting being held.

[132] *College of Arts and Sciences Chronological Procedures for Hiring Probationary and Term Faculty* [SD 334 - SD 340].
[133] Minutes of the Math Department meeting held February 16, 2006 [SD 369].
[134] Minutes of the Math Department meeting held February 10, 2004 [SD 365].

Maladministration: DDTP Single Subject Accreditation

I begin by providing background to these actions taking place Fall 2004 - Spring 2006. I have been involved in the USF Math Single Subject Preparation Program from its genesis in the early 1990's. In support of my tenure application, Millianne Lehmann, Chair of Mathematics, wrote:

> In the Spring of 1995 the Commission on Teacher Credentialing approved the Program of Subject Matter Preparation for Single Subject Teaching Credentials in Mathematics submitted by the USF Department of Mathematics. This was a nontrivial exercise resulting in the submission of a 60 page description of our program, written to excruciatingly exacting State standards, to which 80 pages of supporting material was appended. John, along with others in the Department, wrote several sections of this document. Further, he was articulate in his support of this rather daunting endeavor. When doubts were expressed as to whether State approval was really worth the seemingly unending bureaucratic hassle required to obtain it, John encouraged us to complete the project arguing that it was important to the reputation of the Department and that it provided an important career option for our majors. Of course he was right on both counts and, when the Department received approval, we were one of only a very few schools in California to have this distinction.[135]

Without state approval, students need to pass a state examination (CSET) in order to obtain their teaching credential. As of Spring 2005, three such Approved Programs were in effect at USF: English, Mathematics and Social Science. The program has proven so successful that it is now overseen by a faculty administrator given the title of Director, DDTP (David Galles, Associate Professor, CS) and a permanent administrative staff of two. A faculty committee plays an advisory role, the DDTP Curriculum Committee of which I am a member.

In Spring 2004, I was informed that the State Approvals need to be renewed (the specific date for Mathematics was not provided) and that new Proposals would be written by a DDTP administrator (contracted by USF). In Summer 2004, I was contacted by this consultant, Dallas Davidson, who informed me that he would need to write this Mathematics Proposal from scratch before Fall. I was dismayed, as I had not been given specific notice of this itinerary during any DDTP Committee meeting the preceding Spring. It was only by chance that I was available (many faculty, and the mathematics department program assistant, were away on vacation); faculty are not required to be in residence during the Summer. I provided Mr. Davidson with whatever materials were on file, going so far as photocopying pages in textbooks, since the Math program assistant was away. I fully expected to be asked to edit the document prior to it being delivered to the California Commission on Teacher Credentialing (CCTC). However, I was not contacted, and assumed that the timeline for submission had been altered.

[135] Letter from Millianne Lehmann to Stanley Nel, dated September 9, 1996 [SD 81 - SD 83].

In Fall 2004, I was informed that *the document had been delivered to CCTC without any Mathematics Department review.* (I remark that as member of the DDTP Committee, I was not explicitly appointed as a Department representative, and I did not have special oversight over the Mathematics component. In my opinion, the Chair was an equally valid departmental contact.) Upon reading the document, I discovered major errors; *I notified the DDTP Curriculum Committee that the administrative process must be altered prior to the second submission* (in response to CCTC feedback) so that these errors could be corrected; an inaccurate description of our program would open USF to legal liability in the future. In calling question to the administrative procedure for Mathematics, *implicitly I was doing the same for English and Social Science*. This occurred at a meeting held November 16, 2004.[136] Subsequent meetings between David Galles and the Mathematics Department were arranged. In particular, it was agreed that

- The Mathematics Department would identify a representative instructor for each major course required by DDTP who will be responsible for: contributing syllabi and supporting materials for the corresponding course, and checking the accuracy of information in the Proposal as it relates to this course.
- The latest version of the Mathematics Proposal would be put online for course representatives to access and work on over intersession.[137]

It was also clarified to me that the deadline for approval was December 2005.

No revisions of the Mathematics Proposal were ever posted online (in spite of my repeated verbal reminders to David Galles). In addition, the *DDTP Committee meetings which were supposed to occur monthly were canceled for an entire calendar year*. This was contrary to the USF policy reported to CCTC on three separate Waiver Proposals:

> As discussed in response to Standard 9, intensive collaboration with faculty, students, alumni and public school officials is an important part of the DDTP Curriculum Committee's review process. The Committee is in fact the best example of how the Program is run in a cooperative and inclusive fashion. The Committee first and foremost fosters the exchange of ideas among DDTP program stakeholders. It is composed of representatives from the College, the School of Education and the DDTP Program. Communication between these bodies has been excellent, particularly with respect to the recent revision of mathematics subject matter standards and the preparation of this proposal. The curriculum

[136] In a October 25, 2005, email to Kern Trembath, Associate Director of DDTP, I requested the Minutes of this meeting. He replied that they had been lost (no DDTP Curriculum meeting was held between November 16, 2004 and December 14, 2005). Email from Kern Trembath to John Kao, dated November 1, 2005 [SD 300 - SD 303].

[137] Minutes of the Mathematics Department Meeting held December 7, 2004 (David Galles and Dallas Davidson in attendance) [SD 366].

> committee meets monthly to review subject matter curriculum and to discuss Program policies and procedures.[138]

I sent an email reminder to the DDTP administrative staff concerning the Mathematics Proposal on May 31, 2005.[139] Again, there was no response until Fall 2005, when I was informed that *the second submission was delivered to CCTC with no Mathematics Department review*. When I examined this document I discovered that the combined original and second submission had so many errors as to completely misrepresent our program. The document was made available to Mathematics faculty by the Chair, Peter Pacheco. On October 11, the department together with Brandon Brown, Associate Dean of Sciences, and Prof. Galles agreed unanimously to withdraw the Mathematics Proposal from consideration by the state.[140] At this meeting, Prof. Galles stated that both the English and Social Science Proposals were "too impractical for USF to obtain," and that DDTP had decided to run the Programs without state approval. It is of note that *all incoming freshmen enrolled in DDTP had, by then, been advised to prepare for the CSET examination*.[141]

In November, I wrote to CCTC attempting to obtain old documents to complete my records (this was my first contact with CCTC). In doing so I was careful in that I had not been authorized to represent the DDTP Program on behalf of USF (I was writing in the capacity of an ordinary faculty). I did, however indicate that our DDTP Mathematics Program Approval was set to expire in December 2005. I received the following response from CCTC:

> Your presently approved program does not expire until July 1, 2009. I am attaching the Subject Matter Program Handbook. It includes all of the information that you will need to renew your approval. If you have further questions after reading it, I will be happy to talk to you.[142]

I met with Dean Brandon Brown at 4:30 pm, November 11, to discuss this matter. I explained that the above suggested to me USF had a "grace period" of 3.5 years within which the Mathematics Proposal might be resubmitted with no interruption in our Program. I also explained that a similar such period might apply for both English and

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[138] *Mathematics Subject Matter Preparation Proposal Pursuant to: "Mathematics Teacher Preparation in California: Standards for Quality and Effectiveness for Subject Matter Programs" August 2, 2004*: pg. 65 [SD 176]. Similar text is found in *English Subject Matter Preparation Proposal Pursuant to: "English Teacher Preparation in California: Standards for Quality and Effectiveness for Subject Matter Programs" June 1, 2004*, pg. 63. Also, *Social Science Subject Matter Preparation Proposal Pursuant to: "Single Subject Matter Standards of Quality and Effectiveness for Programs in Social Science" November 2, 2004*, pg. 60-61.

[139] Email from John Kao to DDTP Administrators (David Galles, Kern Trembath and Dallas Davidson), dated May 31, 2005 [SD 297].

[140] Minutes of the Mathematics Department Meeting held October 11, 2005 (Brandon Brown and David Galles in attendance) [SD 368].

[141] DDTP 2005-06 Handbook: pg. 6-7 [SD 308 - SD 312]. Also, Email from Peter Pacheco to John Kao, dated November 10, 2005 [SD 306 - SD 307].

[142] Email to John Kao from Helen Kelley-Halley, Consultant, CCTC, dated November 8, 2005 [SD 304 - SD 305].

Social Science as they had been originally approved after Mathematics. He agreed it was worth investigating, and advised that I email David Galles copying him on the correspondence. He would meet with David Galles following this prompt.[143] I also spoke with David Galles at 6:00 pm as he was leaving campus later the same day. He had read my email and we discussed the possible implications. He informed me, that he had been given the deadline of December 2005 from School of Education Administrators. He also seemed reluctant to follow up on the new information.

I received no concrete news, in sequel, until a DDTP Meeting scheduled December 14, 2005 (the last day of Final Exam Week). This was the first such meeting in over a year. The date was so late in the semester, no representatives from the School of Education were available. At this meeting, I inquired as to

- whether anyone at USF had contacted CCTC asking for clarification of the precise meaning of the "July 1, 2009, expiration."

Prof. Galles replied that to date, no one at USF had. At my insistence, he agreed to investigate.

The morning of February 2, 2006, I spoke with Prof. Galles and asked if the inquiry, to which he had agreed, had been made. He indicated that it had not. I insisted once again. Later that same day, I received email from Prof. Galles confirming the information I had uncovered November 10 of the previous year.[144]

On February 13, I met with Dean Brown and Michael Bloch, Associate Dean of Social Sciences, to discuss the new information. We agreed that it was now apparent that an unexpected 3.5 year grace period and an additional year of state approval for our DDTP single subject majors (English, Mathematics and Social Science) existed. We further agreed that decision on taking advantage of this grace period could be safely deferred to Fall 2006.

I feel I have established a track record of good judgment as relates to this project over a period of more than a decade. In spite of this, USF administrators (who are also faculty) seem intent on disregarding my input.

I also include, the following which was reported to CCTC.

> The University placed within the country's top 20 most ethnically diverse colleges and universities in two nationally recognized rankings published in August 2003. The country's most influential list, published by "U.S. News and World Report," ranks USF 16th in ethnic diversity, with Asian Americans as its largest ethnic minority. Hispanics are the University's second largest minority population. USF also ranked No. 19 in the percentage of international students. The Princeton Review, an admissions

[143] Email from Brandon Brown to David Galles (cc'ed to John Kao), dated November 11, 2005 [SD 313].
[144] Email from David Galles to DDTP Curriculum Committee, dated February 2, 2006 [SD 314 - SD 317].

> test preparation company, ranked USF No. 15 on its list of the country's most ethnically diverse colleges and universities.[145]

and also,

> There has been a considerable effort made in the past decade to diversify the faculty to better match the ethnically and culturally diverse student body. Of the faculty currently occupying probationary or tenured positions, 45 have been hired since 2000. Twenty out of 33 (or 61%) are women or ethnic minorities or both.[146]

[145] *Mathematics Subject Matter Preparation Proposal Pursuant to: "Mathematics Teacher Preparation in California: Standards for Quality and Effectiveness for Subject Matter Programs" August 2, 2004*, pg. 16 [SD 174]. The same text is found in *English Subject Matter Preparation Proposal Pursuant to: "English Teacher Preparation in California: Standards for Quality and Effectiveness for Subject Matter Programs" June 1, 2004*, pg. 14. It is also found in *Social Science Subject Matter Preparation Proposal Pursuant to: "Single Subject Matter Standards of Quality and Effectiveness for Programs in Social Science" November 2, 2004*, pg. 20.

[146] Ibid: Mathematics Proposal, pg 17 [SD 175]; English Proposal, pg. 15; The Social Science Proposal text takes a slightly different form, see pg. 20.

Destruction of Personnel Documents

As indicated in the Summary, and also the section Libel, Forgery of Evidence and Defamation of Character, the following documents had been submitted to my personnel file in the form of Correspondence to the Dean as of December 2000:

- (M1) Memo from John Kao to Paul Zeitz—cc'ed to the Dean's Office—dated February 28. This was a report of CCAC teaching activities while the semester was under way. I reported on the difficult nature of this assignment.
- (M2) Memo from John Kao to Paul Zeitz—cc'ed to the Dean's Office—dated September 18. This was a final report of teaching, incorporating formal submission of my CCAC teaching evaluations and a letter of appraisal from John Loomis, Chair of Architecture, CCAC.
- (K1) Letter from John Kao to Stanley Nel, dated November 10. This was a letter protesting Dean Needham's public letter of reprimand directed at myself. It included a complete copy of Dean Needham's letter of reprimand which was dated November 1 (labeled N1), and also a complete copy of M2. It presented evidence in my defense.
- (Z1) Letter from Paul Zeitz to Tristan Needham, dated November 10. This was the Math Department Chair's report of events in response to Dean Needham's letter of reprimand. It contained definitive evidence in my defense. This same evidence showed that Dean Needham engaged in forgery in connection with his act of libel.
- (K2) Letter from John Kao to Stanley Nel, dated December 22. This was a letter thanking Dean Nel for the Grievance Meeting.

The last document contained a partial copy of Dean Needham's letter of reprimand (attached for reference) as well as email correspondence which directly preceded the Grievance meeting. Taken as a whole, K2 contains references to the documents: N1, M2, K1 and Z1. Below is a table listing correspondence, author, addressee, and those who were cc'ed.

Correspondence	Author	Addressed to	Cc'ed to
M1 (Feb 28)	Prof. Kao	Prof. Zeitz, Chair	- Dean Needham - Dean Nel
M2 (Sept 18)	Prof. Kao	Prof. Zeitz, Chair	- Dean Needham - Dean Nel
N1 (Nov 1)	Dean Needham	Prof. Zeitz, Chair	- Prof. Kao - Prof. Lucas - Prof. Loomis - Dean Nel - Dean Meckel

K1 (Nov 10)	Prof. Kao	Dean Nel	- Prof. Zeitz - Prof. Lucas - Prof. Loomis - Dean Needham - Dean Meckel - Vice President Wiser - President Privett
Z1 (Nov 10)	Prof. Zeitz, Chair	Dean Needham	- Prof. Kao - Prof. Lucas - Dean Nel
K2 (Dec 22)	Prof. Kao	Dean Nel	- Prof. Zeitz - Prof. Lucas - Prof. Loomis - Dean Needham - Dean Meckel - Vice President Wiser - President Privett

The relevant individuals, with academic title, are listed below:

- John Kao, Associate Professor, Math Department, USF
- Fr. Thomas Lucas, S.J., Director of the CCAC Joint BFA/B.Arch Programs, USF
- Paul Zeitz, Chair of Math Department, USF
- John Loomis, Chair of Architecture, CCAC
- Tristan Needham, Associate Dean of Sciences, USF
- Stanley Nel, Dean of Arts and Sciences, USF
- David Meckel, Dean of Design and Architecture, CCAC
- James Wiser, Provost and Academic VP, USF
- Fr. Stephen Privett, S.J., President, USF

The letter of protest, K1, succeeded in the following.

1) I reported illegal activity (libel with defamation of character) on the part of Dean Needham and directed at myself. For this reason, it was addressed to Dean Nel (Tristan Needham's direct supervisor).
2) I reported a Dean's Office administrative culture which permitted such illegal activity. For this purpose, it was cc'ed to Vice President Wiser (Stanley Nel's direct supervisor) and also President Privett.

During the Math Department meeting on November 14, 2000, I distributed copies of K1 (which contained copies of N1 and also M2) to the full-time Math faculty.[147] At the conclusion of my Grievance, I also distributed copies of K2 to full-time Math faculty.

[147] Minutes of the Math Department Meeting held November 14, 2000 [SD 360 - SD 362].

As stated in the Summary, in preparation for filing a Complaint of Race-based Discrimination and Harassment at the Informal Step (meeting conducted January 26, 2006), I made arrangements with the Dean's Office of Arts and Sciences to review my personnel file for the first time (at USF, it is not common practice for faculty to inspect their file). The first such review took place the morning of January 10, 2006, under administrative supervision in the lounge area of Harney 240. I was shocked to discover that the following had been deleted from the Personnel Records maintained by the Dean's Office: M2, K1 (containing complete copies of N1 and M2) and Z1. The discriminatory nature of these deletions is patent:

- M2 contains my CCAC teaching evaluations and a laudatory letter of teaching appraisal from John Loomis, Chair of Architecture, CCAC. This demonstrates that I conducted an entirely successful launch of the CCAC/USF Math program.
- K1 demonstrates that Dean Needham committed an act of libel with the delivery of his public letter of reprimand.
- Z1 demonstrates that Dean Needham forged documentary evidence in connection with the above libel. It also reinforces evidence presented in K1.

No consistent policy of document retention/removal can explain the above deletions:

- M1 and M2 were delivered to exactly the same individuals. M1 is a preliminary report of teaching with the semester under way, while M2 is a final report of teaching filed at the end of the semester. Only M1 is retained.
- K1 and K2 were delivered to exactly the same individuals (the list including even the President of USF), yet, only K2 is retained. That the extant record is oddly incomplete is evinced by the fact that *K2 contains references to all missing documents–M2, K1 and Z1*.
- Paul Zeitz, speaking as Chair of Mathematics, at a formal administrative meeting of the Department, assured me that Z1 would be archived.[148] For this reason, according to him, it would not be necessary to distribute Z1 to my Math Department colleagues. *This document has been deleted from my Personnel Records*.

Note that the retained document, K2, contains only a partial copy of N1 (I assumed that all readers of K2 would refer to K1, which contained a complete copy).

A further inconsistency is the following. At the completion of my sabbatical teaching during academic year 1998-99, I had my Princeton University Narrative Teaching Evaluations submitted to my Personnel Record in the form of Correspondence

[148] Ibid.

to the Dean.[149] These are retained—however, my Teaching Evaluations from CCAC, submitted in M2, and which included a Narrative component, were destroyed.

In reaction to this discovery, I inquired of Claudine Van Delden, Assistant to the Dean, College of Arts and Sciences[150]

- whether these documents might have been retained in a separate Dean's Office Grievance file.

Later the same day, she indicated that

- the Dean's Office did have a separate file for Grievances, however there was no record of mine conducted December 7, 2000.

I further inquired as to

- whether this might be due to the Step 0 nature of my Grievance,
- or alternatively, due to the date at which it was conducted (five years prior).

Ms. Van Delden indicated that

- there seemed to be no distinction in the files between Step 0 Grievances and others;
- also, the files contain Grievances from, the calendar year, 2000.

That my Grievance was not included in this file seems highly irregular in consideration of the above.

I then contacted Elliot Neaman, USFFA President, to determine whether the union had retained copies of the documents I had submitted for my Grievance. I was informed that

- Alan Heineman (USFFA President in 2000) had not retained my Grievance documents because it was a Step 0 Grievance.[151]

In Fall 2000, during extensive consultation with Alan Heineman and Robert Toia, my USFFA Grievance Representative, I was never informed that my settling at Step 0 would

[149] Letter of submission of Princeton Evaluations: from Susan Nichols (Administrative Assistant, School of Engineering, Princeton University) to Stanley Nel, dated June 30, 1999 [SD 92].
[150] Interpersonal communication with Claudine Van Delden on January 10, 2006.
[151] Email from Elliot Neaman to John Kao, dated January 19, 2006 [SD 329]. Also, letter from John Kao to Alan Heineman, dated January 26, 2001, in which I submitted Grievance documents to the USFFA [SD 56 - SD 57]. Also, letter from John Kao to Robert Toia, dated November 21, 2000, in which I submitted Grievance documents to the USFFA—this correspondence was cc'ed to Alan Heinemann, USFFA President [SD 54 - SD 55].

make a difference with respect to USFFA file retention. If I had, I would have insisted my Grievance proceed to Step 1. I conjecture that Dean Needham and Dean Nel were aware of this USFFA policy.

I remark that my Personnel File as maintained by the Dean's Office contains folders labeled

- General/Correspondence (1 folder)
- Leaves: Sabbatical Apps/Reports/Request to be Absent (1 folder)
- Scholarly Work & Service (1 folder)
- COMPENSATION: Appointment Papers/PAFS/Outside Employment (1 folder)
- Evaluations (2 folders)
- Academic Career Prospectus (1 folder)
- Curriculum Vitae (1 folder)
- Grades (1 folder)
- Final Exams (1 folder)
- Course Syllabi (1 folder)

Within this file is retained such documents as a Request to be Absent from Class for Friday, October 18, 1991, at which time I was attending a Probability Conference at Northwestern University (I arranged substitutes for my three classes that day).

It is inexplicable why materials that document illegal activities on the part of the Associate Dean of Science would not be deemed worthy of retention.

Appointment of Strictly Unqualified Candidate over Two Qualified Candidates both Having Diversity Status

During the current academic year 2005-06, a search was conducted for a regular faculty appointment in Math at the Assistant Professor level. I will refer to this as the "2006 Search." The 2006 Search Committee consisted of:

Name	Rank	Department(s)
Stephen Devlin	Assistant Professor	Math
Tristan Needham	Full Professor	Math
Stephanie Ohshita	Assistant Professor	Environmental Science
Peter Pacheco	Full Professor	Math with CS
Paul Zeitz	Full Professor	Math

I note that Prof. Ohshita is a White female.[152] For the events described in this section, I am not sure of Prof. Ohshita's role. I speculate that she felt pressure from the other (senior and tenured) members of the Search Committee. The evidence to this effect is:

- she participated in the First Meeting of the Department and the Search Committee—The Search Committee meets with the Department to discuss their top choices;
- she did not attend the Second Meeting of the Department and the Search Committee—The Search Committee meets with the Department to discuss which candidate(s) should be recommended to the Dean.

Prof. Needham served as Chair of the Search Committee. I was not appointed to the Search Committee as a consequence of my current sabbatical leave (academic year 2005-06) and concomitant travel plans.

As noted in the Summary, my Informal Complaint of Discrimination/Harassment (January 26), preceded campus visits of final candidates.[153] Detailed written notification (delivered personally to Human Resources and Dean's Office of Arts and Sciences, on January 11) of this Complaint, containing accusations of prior search violations, preceded the selection of final candidates.[154] During the 2006 Search the following meetings were conducted, in sharp contrast to the 2004 Search:

- First Meeting of the Department and the Search Committee. This was held January 20.
- Second Meeting of the Department and the Search Committee. This was held February 16.

[152] I understand, from interpersonal communication with her, that Ohshita is her married name.
[153] Memo from Elsie Tamayo to John Kao, dated February 27, 2006 [SD 356 - SD 357].
[154] Memo from John Kao to Elsie Tamayo, cc'ed to Jennifer Turpin and Brandon Brown, dated January 10, 2006 [SD 352 - SD 353]. Also, Email from John Kao to Elsie Tamayo, cc'ed to Jennifer Turpin and Brandon Brown, dated January 11 [SD 351].

In Spring of 2005, the department discussed the up coming search in some detail. The Minutes of the Math Department meeting held May 10, 2005, contains the following text.

> Faculty Search. Brandon Brown approved a new position, and the faculty members discussed the composition of the search committee; who shall be the chair of the committee; the timeline for advertising, applications, interviews, and offers; and committee attendance and use of employment center at the national AMS-MAA meetings.
>
> The faculty also discussed electronic submission of application materials, and developing and using a search committee website.
>
> Decisions made: Mathematics members of the search committee shall be Tristan, Steve, Paul, and Peter. The deadline for application shall be Friday, December 16, with the wording "to ensure full consideration" in the advertisement. Peter will contact Computer Science faculty to see who among them is interested and available to serve as the outside member of the Search Committee.[155]

The advertisement approved by the Math Department was essentially the same as that for the 2004 Search, with the electronic submission change alluded to above.

> The Department of Mathematics at the University of San Francisco invites applications for a tenure-track position at the assistant professor level, to begin in fall 2006. Candidates from all fields of mathematics are encouraged to apply. The successful candidate should have university teaching experience and an earned doctorate in mathematics by fall 2006. She/he will teach throughout the undergraduate mathematics curriculum, from courses for majors to service courses for non-science majors. The position requires a passionate commitment to excellence in teaching within a culturally diverse environment, as well as a strong potential for research and scholarship.
>
> Candidates should submit a letter of application, curriculum vitae, statement of teaching philosophy and research plans, copies/scans of complete teaching evaluations and recent syllabi, graduate transcripts, and three letters of recommendation. All of the above elements are required to complete your application.
>
> As many as possible of these elements should be submitted electronically to: email: mathjob@math.usfca.edu.
>
> The Subject Line of your e-mail(s) should begin with your full name: e.g.

[155] Minutes of the Math Department meeting held May 10, 2005 [SD 367].

Subject: Mary L. McEnroe — Teaching Evaluations

Any remaining elements that cannot be submitted electronically should be mailed to:

Mathematics Search Committee
c/o Tristan Needham, Chair
Department of Mathematics
University of San Francisco
2130 Fulton St.
San Francisco, CA 94117-1080

In order to insure full consideration, completed applications must be received (not postmarked) by December 16, 2005. We invite candidates to find out about our department at http://artsci.usfca.edu/math.

The University of San Francisco is a Jesuit Catholic university founded in 1855 to educate leaders who will fashion a more humane and just world. Candidates should demonstrate a commitment to work in a culturally diverse environment and to contribute to the mission of the University.

USF is an Equal Opportunity employer dedicated to affirmative action and to excellence through diversity. The University provides reasonable accommodations to qualified applicants with disabilities upon request.[156]

In connection with this, the following aspect of College Search Procedures is notable.

Request to Recruit
In early spring the department submits to the appropriate Associate Dean the request for a full-time faculty position for the following academic year. The request should be accompanied by the following:

- An explanation of why the position is needed: in the case of a replacement position this can be quite brief, but in the case of a new position it should be detailed. Initially this is used to set priorities within the Dean's Office, and ultimately it is presented to the AVP.

- A brief *Position Description*, which can later be incorporated into the job advertisement. This normally includes the following elements:

  Teaching Responsibilities, perhaps including examples of likely courses to be taught.

[156] Classified advertisement. *Notices of the American Mathematical Society.* October 2005: pg. 1095 [SD 236 - SD 238]. Also USF Math web site advertisement published on www.usfca.edu [SD 347 - SD 350].

Qualifications:

- ✓ A description of the disciplinary specialization(s) sought.
- ✓ An indication of any requirements implied by special programs or activities in which the candidate is expected to participate.
- ✓ The level of educational experience required. Note that except under extraordinary circumstances, all positions are filled at the Assistant Professor level and require a Ph.D. or other terminal degree.[157]

Further,

> **Job Advertisement**
> The Department Chair and the appropriate Associate Dean collaborate on the creation of a job advertisement based on the position description. The Dean's Office then places the advertisement both in journals specific to the field, and in publications likely to encourage minority applicants. In addition, the department is strongly encouraged to mail or e-mail copies of the advertisement to other universities that grant a Ph.D. in the discipline. The appropriate Associate Dean can assist in identifying target programs and organizations, and in acquiring mailing labels.[158]

And also,

> Applications are reviewed in terms of how well the applicant meets the position's requirements as listed in the job description.[159]

A chronological narrative of the 2006 Search is provided in the Summary of *Report of Discrimination*. The conclusion to this process was

- Stephen Yeung, *who does not possess any earned degree in mathematics* (beyond an undergraduate minor) *was appointed Assistant Professor, Math, USF*. His earned doctorate is in Theoretical and Applied *Mechanics* (Cornell University, 1999).
- Pisheng Ding, who has earned a doctorate in Mathematics (New York University, 2003) was ruled *not a viable candidate* by the Search Committee.

[157] *College of Arts and Sciences Chronological Procedures for Hiring Probationary and Term Faculty* [SD 334 - SD 340].
[158] Ibid.
[159] Ibid.

- Erin McNicholas, who will possess an earned doctorate in Applied Mathematics (University of Arizona, expected May 2006) was ruled *not a viable candidate* by the Search Committee.

Observe the job description as published in the 2006 Search Advertisement:

> The successful candidate should have university teaching experience and an earned doctorate in mathematics by fall 2006.

which strictly disqualifies Prof. Yeung and qualifies both Prof. Ding and Prof. McNicholas.

As I was not a member of the Search Committee, it was not my responsibility to screen candidates for fundamental academic credentials. In addition, the lack of an earned doctorate in Mathematics is obscured in Prof. Yeung's curriculum vitae. His academic credentials are listed (among four full pages, single spaced, 10 point font) as:

> Ph.D., Theoretical & Applied Mechanics, Cornell University (1999). Thesis Advisor: Steven Strogatz. Thesis Title: Time Delay in the Kuramoto Model of Coupled Phase Oscillators. Minors in Mathematics and Applied Mathematics.
>
> B. Sc., First Class Honours, Physics, Chinese University of Hong Kong (1994). Minor in Mathematics.[160]

The above makes it appear that "Theoretical & Applied Mechanics" is a division within the Mathematics Department at Cornell University (specifically, the added feature of "Minors in Mathematics and Applied Mathematics").

"Minor" is not an established separate credential at the doctoral level. Careful research shows that this is a special feature of the Cornell system, which refers to "fields of study." The Cornell Graduate Catalog contains the following text.

> A field is a group of graduate faculty members who have come together around common academic interests. They are drawn from different departments and are voted into the field by existing members. In general, a faculty member belongs to one department, but may be associated with many graduate fields.[161]

Further,

> As a master's degree student, you must choose one major and one minor subject. Doctoral candidates choose one major and two minor subjects of

[160] *Curriculum Vitae* for Stephen Yeung [SD 280].
[161] *Guide to Graduate Study*. The Graduate School at Cornell. Published on www.gradschool.cornell.edu: pg 5 [SD 244].

> study, although some fields have permission from the General Committee to require only one major and one minor subject. You pick faculty members from these approved subjects to form a "special committee." The members of the special committee decide what is required for you to attain a Cornell graduate degree.[162]

At the undergraduate level, a minor refers to scholarship conducted *in addition* to that for a major. In contrast, *every Cornell doctorate comes with (automatically) two or one "Minors."* Ordinarily, a PhD candidate who desires to certify scholarship in an alternate discipline, would obtain a master's degree in this alternate subject. At Cornell, *every master's degree comes with (automatically) one "Minor."* It is incorrect to regard Prof. Yeung's Cornell Minors as additional credentials beyond his Cornell Doctorate in Theoretical and Applied Mechanics.

The Cornell system formalizes what takes place in many other graduate schools that do not use the term "Minor." For instance, as I recall, my Ph.D. thesis panel included faculty from

- Program in Applied and Computational Mathematics
- Department of Mathematics
- Program in Statistics and Operations Research.

In the case of the latter, my thesis advisor was appointed to this program and served as an Associated Faculty for the Program in Applied and Computational Mathematics (PACM). However, I had originally applied to the Department of Mathematics, my application was forwarded to and processed by PACM on the basis of research interest. I was accepted and graduated from this program: my earned doctorate is in Applied and Computational Mathematics. At the time of my enrollment, degree requirements were determined by a panel set by PACM and customized to the individual graduate student's research. Again, my panel was comprised of faculty from the three above disciplines.

The current Cornell University Graduate School web page lists the following separately as fields of study:

- Applied Mathematics
- Mathematics
- Theoretical and Applied Mechanics.[163]

The Applied Mathematics Field is described as follows:

> The graduate program in applied mathematics is based on a solid foundation in pure mathematics, which includes the fundamentals of algebra and analysis. It involves a grounding in the methods of applied

[162] Ibid: pg. 5.
[163] Published on www.gradschool.cornell.edu [SD 245 - SD 248].

> mathematics and studies of scientific areas in which significant applications of mathematics are made. The field has a broadly based interdepartmental faculty that can direct student programs in a large number of areas of the mathematical sciences. …
>
> **Application:**
> Applicants must have an undergraduate background that contains a substantial mathematical component. Applicants are required to submit GRE general test scores, and are advised to submit GRE mathematics subject test scores.[164]

The Mathematics Field is described as follows:

> All three major subdivisions of mathematics (algebra, analysis, and geometry) are well represented at Cornell. The department is also very strong in logic, probability, statistics, numerical methods for partial differential equations, and symbolic computations, topology, and Lie theory. …
>
> **Application:**
> Applicants must have completed the work for an undergraduate degree in mathematics. That work should have included a rigorous course in advanced calculus and real variable theory that will serve as an introduction to measure theory. The student should also have some familiarity with applications of advanced calculus and should have had courses in linear algebra and modern abstract algebra at an advanced level. Applicants are required to submit GRE general and mathematics subject test scores; scores need to be reported by January 15. Non-native English speaking applicants must also submit a minimum TOEFL score of 600 (paper-based) or 250 (computer-based). A field brochure is available on request from the graduate field office.[165]

The Theoretical and Applied Mechanics field is described as follows:

> The Field of Theoretical and Applied Mechanics provides a strong background in engineering science and applied mathematics, which prepares students to carry out high-quality analytical or experimental research and to handle a wide variety of modern engineering problems. Course work provides a broad education in the mechanics of rigid and deformable bodies, applied mathematics, and modern experimental techniques. …
>
> **Application:**

[164] Published on www.gradschool.cornell.edu [SD 249].
[165] Published on www.gradschool.cornell.edu [SD 250].

> The field has about forty students from a variety of academic and geographical backgrounds. Students are expected to have a background in physics, mathematics, or any branch of engineering. Applicants must submit GRE general test scores, with a combined analytical/quantitative score of 1400. A minimum TOEFL score of 600 (paper-based) or 237 (computer-based) is required. Applicants interested in a terminal master's degree should apply to the Master of Engineering program.[166]

The above Program Descriptions demonstrate definitively that a PhD in Theoretical and Applied Mechanics at Cornell University is neither

- a PhD in Applied Mathematics,
- nor a PhD in Mathematics.

In particular, *Applied Mathematics and Mathematics have no experimental/engineering component in their program description* (as expected). In contrast, Theoretical and Applied Mechanics, "… prepares students to carry out high-quality analytical or experimental research and to handle a wide variety of modern engineering problems."

I remark that in fifteen years as a full-time faculty of Math at USF, I had never heard of a doctorate in Theoretical and Applied Mechanics. The National Resource Council ranking of Mathematics Doctoral programs was last published in 1995 (ranking applies to 1993) with the preceding study published in 1982.[167] In the SD Appendix, I have reproduced for the Investigator, the ranked list of Research-Doctorate Programs in Mathematics for both studies. In some cases, the same institution carries separate rankings for Applied Mathematics and Mathematics (though not in the case of Princeton nor Cornell). For 1993, the following doctoral program categories were included in the list[168]

- Mathematics
- Program in Applied Mathematics
- Program in Computational and Applied Mathematics
- Program in Mathematical Sciences

No Program in Theoretical and Applied Mechanics is included. In this connection, I cite *Webster's Dictionary*:

> **mechanics** … 1. (*used with a sing. v.*) the branch of physics that deals with the action of forces on bodies and with motion. 2. (*used with a sing. v.*) the theoretical and practical application of mechanics, as to machinery. …[169]

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[166] Published on www.gradschool.cornell.edu [SD 251].
[167] Goldberger, M. L., Maher, B. A. and Flattau, P. E., eds. (1995). *Research-Doctorate Programs in the United States: Continuity and Change*. National Academy Press. Washington, D.C: pg. 1 [SD 213].
[168] Ibid: pg. 337 [SD 223].
[169] *Random House Webster's Dictionary*, (1998). Third Edition. Random House Inc. New York: pg. 446.

This suggests that Theoretical and Applied Mechanics is a type of mechanical engineering degree (which is consistent with the program description).

Careful scrutiny of Prof. Yeug's curriculum vitae reveals that in seven years since graduation (PhD awarded in 1999), he has the following five research publications (I remove from consideration his two book reviews):

- J. Tegnér, M. K. S. Yeung, J. Hasty and J. J. Collins, "Reverse engineering gene networks: Integrating genetic perturbations with dynamical modeling", *Proc. Natl. Acad. Sci. USA* **100**, 5944-5949 (2003).
- M. K. S. Yeung, J. Tegnér and J. J. Collins, "Reverse engineering gene networks using singular value decomposition and robust regression", *Proc. Natl. Acad. Sci. USA* **99**, 6163-6168 (2002).
- M. K. S. Yeung and S. H. Strogatz, "Time delay in the Kuramoto model of coupled oscillators", *Phys. Rev. Lett.* **82**, 648-651 (1999).
- M. K. S. Yeung and S. H. Strogatz, "Nonlinear dynamics of a solid-state laser with injection", *Phys. Rev. E* **58**, 4421-4435 (1998).
- A. E. Duwel, C. P. Heij, J. C. Weisenfeld, M. K. S. Yeung, E. Trías, S. J. K. Várdy, H. S. J. van der Zant, S. H. Strogatz and T. P. Orlando, "Interactions of topological kinks in two coupled rings of nonlinear oscillators", *Phys. Rev. B* **58**, 8749-8754 (1998).

Of these, the last three publications are in *Physical Review Letters*, *Physical Review E and Physical Review B*, all of which are physics journals. The first two publications are in *Proceedings of the National Academy of Science* (*PNAS*) which is a multi-subject journal. The following text is from the *PNAS* website:

> PNAS is one of the world's most-cited multidisciplinary scientific serials. Since its establishment in 1914, it continues to publish cutting-edge research reports, commentaries, reviews, perspectives, colloquium papers, and actions of the Academy. Coverage in PNAS spans the biological, physical, and social sciences.[170]

Further is a list of subject categories. I present these below, but do not include the corresponding Editors (for complete text see SD 255 - SD 257):[171]

- Animal, Nutritional, and Applied Microbial Sciences
- Anthropology
- Applied Mathematical Sciences
- Applied Physical Sciences
- Astronomy
- Biochemistry

[170] Publised on www.pnas.org [SD 252].
[171] Ibid (subject categories only): [SD 255 - SD 257].

- Biophysics and Computational Biology
- Cellular and Developmental Biology
- Cellular and Molecular Neuroscience
- Chemistry
- Computer and Information Sciences
- Economic Sciences
- Engineering Sciences
- Environmental Sciences and Ecology
- Evolutionary Biology
- Genetics
- Geology
- Geophysics
- Human Environmental Sciences and Ecology
- Immunology
- Mathematics
- Medical Genetics, Hematology and Oncology
- Medical Physiology and Metabolism
- Microbial Biology
- Physics
- Physiology and Pharmacology
- Plant Biology
- Plant, Soil and Microbial Sciences
- Psychology
- Social and Political Sciences
- Sustainability Science
- Systems Neuroscience

Prof. Yeung's two PNAS papers are both published under the subject heading Genetics, as opposed to Applied Mathematical Sciences or Mathematics.[172]

I do not wish to challenge Prof. Yeung's scientific contribution. However, I am deeply concerned as to the violation of Search Procedures connected with his appointment. According to Prof. Needham, and stated during the First Meeting of the Department and the Search Committee, there were over 300 applicants for this position (approximately 1/3 were female).[173] If

- the advertisement invited candidates from all disciplines in *science, social science, and engineering*, who have conducted research involving sophisticated mathematical methods;

[172] See SD 258 - SD 264 for cover pages of all of Prof. Yeung's research papers.
[173] Meeting of the Search Committee and the Math Department held January 20, 2006. Minutes of this meeting were not recorded.

- and the position were advertised in the corresponding professional journals;

we might have had several times 300 applicants. It seems likely that we might have hired a faculty that was both a female and an ethnic minority.

I am also deeply concerned about the decision to rule the two qualified candidates unviable. This decision is highly irregular given that a rigorous screening process was meant to reduce consideration from over 300 to 3 individuals. At the Second Meeting of the Department and Search Committee, Prof. Needham stated that the Search Committee felt

- Prof. McNicholas was unviable because of her research;
- Prof. Ding was unviable "primarily on the basis of collegiality" (Prof. Needham also referred to somewhat lower student evaluations of his teaching presentation).

As to the latter, Prof. Devlin went so far as to refer to Prof. Ding as "socially childish."

I articulated clear reasons why Prof. Ding's teaching talk was at least as good as that of Prof. Yeung (citing the fact that Prof. Ding presented students with applications of mathematical theory, while Prof. Yeung did not). Also note that candidates should have submitted to the Search Committee: copies/scans of complete teaching evaluations. In spite of my argument, the final decision was to rule Prof. Ding unviable (the department vote: six to one). Similarly, the final decision was to rule Prof. McNicholas unviable (the department vote: five to two). I supported Prof. McNicholas as first choice, however, Prof. Yeung was selected as first choice (the department vote: six to one). To document these events, I reproduce the Minutes of this meeting. The description is terse—however, the text clearly corroborates my account as presented above.

[SD Insert follows: 1 page]

Math Department Meeting
Minutes 02/16/2006
CO 426/428 12.25pm

Present: Peter Pacheco, Paul Zeitz, Benjamin Wells, Stephen Devlin, John Kao, James Finch, Allan Cruse, Tristan Needham.

Announcements:

Harney public safety presentation deferred to March 23rd.

Phone-a-thon: Allan Feb. 22, Steve Feb. 28; March 9 volunteers? Tristan might be able to do it.

Pi day? 3.14 1:49. Something to tell majors about.

March meeting scheduled during spring break. Oops by Christine. Reschedule for March 7th.

Batey prize: Decide whom, if anyone, we wish to nominate. John raised the related issue of the Science Scholarship Committee. Steve agreed to notify Brandon that he will substitute for John on the Science Scholarship Committee in Spring 2006.

New Business:

The faculty members discussed the faculty search and each of the finalist candidates in depth.

The meeting moved from CO 428 to 426, during which time Jim left the meeting. The faculty voted on each of the finalist candidates.

Erin McNicholas: John Kao's first choice.

Pisheng Ding: No response, except for that John Kao does support P. Ding as a viable alternate.

Stephen Yeung: Allan Cruse, Stephen Devlin, Tristan Needham, Peter Pacheco, Benjamin Wells, Paul Zeitz.

Benjamin Wells supports Erin McNicholas for second choice, as does John Kao (*if* S. Yeung turns down the offer).

SD Note:
Also Inserted
as pg. 102

SD 369

Below is the combined list of current regular Math faculty together with the final candidates from the 2004 and 2006 Searches:

Name	Earned Doctorate	PhD Granting Institution
Alissa Crans	Mathematics	University of California, Riverside
Allan Cruse	Mathematics	Emory University
Stephen Devlin	Mathematics	University of Maryland, College Park
Pisheng Ding	Mathematics	New York University
James Finch	Mathematics	University of Illinois, Urbana-Champaign
John Kao	Applied and Computational Mathematics	Princeton University
Erin McNicholas	Applied Mathematics	University of Arizona
Aaron Melman	Applied Mathematics	California Institute of Technology
Anthony Mendes	Mathematics	University of California, San Diego
Stanley Nel	Applied Mathematics	University of Cape Town, Republic of South Africa
Tristan Needham	Mathematics	Oxford University, United Kingdom
Peter Pacheco	Mathematics	Florida State University
John Stillwell	Mathematics	Massachusetts Institute of Technology
Benjamin Wells	Mathematics	University of California, Berkeley
Robert Wolf	Mathematics	University of California, Berkeley
Stephen Yeung	Theoretical and Applied Mechanics	Cornell University
Paul Zeitz	Mathematics	University of California, Berkeley

Observe that all the above faculty, except Prof. Yeung, has an earned doctorate in Mathematics, Applied Mathematics, or Applied and Computational Mathematics (the National Research Council classifies these programs together under the rubric, "Research-Doctorate Programs in Mathematics."[174] Statistics is a closely allied discipline to Math/Applied Math, yet not a single individual in the above list earned a doctorate in

[174] Rung, D. C. (1983). Newest Ratings of Graduate Programs in Mathematics. *Notices of the American Mathematical Society*. Vol. 30, No. 3, pg. 257-567 [SD 198 - SD 209]. Also, Goldberger, M. L., Maher, B. A. and Flattau, P. E., eds. (1995). *Research-Doctorate Programs in the United States: Continuity and Change*. National Academy Press. Washington, D.C: pg. 332-337 [SD 210 - SD 223].

this subject. The National Research Council classifies Statistics doctoral programs separately from Mathematics.[175] It is apparent that in its hiring practices, the USF Math Department either explicitly removed candidates with doctorates in Statistics from consideration, or such candidates elected not to apply based on the job advertisements. I remark that although my doctoral thesis advisor had a primary faculty appointment in the Program for Statistics and Operations Research, Princeton University, I have never represented myself as having earned a doctorate in Statistics. The exception granted Prof. Yeung in regards to his doctorate in Theoretical and Applied Mechanics is a violation of College Search Procedures. *At the very minimum this discrepancy should have been disclosed to the Math Department (the appropriate venue being the First Meeting of the Department and the Search Committee), which it was not at any time*.

Finally, I remark that Prof. Ding was awarded the National Science Foundation (NSF) Graduate Fellowship and also a NSF/Indiana University Grants for Vertical Integration of Research and Education in the Mathematical Sciences (VIGRE) Postdoctoral Fellowship.[176] On this basis, I dispute the position that Prof. Ding is "not collegial" and "socially childish."

[175] Ibid.
[176] Curriculum Vitae for Pisheng Ding [SD 275].

Implicit Discrimination: Math/CS Demographics

When my appointment as Assistant Professor began in Spring 1991, the Math department consisted of the following regular faculty:[177]

Name	Rank	Department(s)
Allan B. Cruse	Full Professor	Math with CS
James K. Finch	Associate Professor	Math with CS
John S. Kao	Assistant Professor	Math
Millianne Lehmann	Full Professor	Math
Tristan Needham	Assistant Professor	Math
Stanley D. Nel	Associate Professor and Dean of Arts and Sciences	Math
Peter S. Pacheco	Assistant Professor	Math
Benjamin Wells	Associate Professor	Math with CS
Robert A. Wolf	Assistant Professor	Math

All of the above are White non-Hispanic male except myself and Millianne Lehmann. The CS department consisted of the following regular faculty:[178]

Name	Rank	Department(s)
Jeff Buckwalter	Associate Professor	CS
Allan Cruse	Full Professor	Math with CS
James Finch	Associate Professor	Math with CS
John Gillespie	Full Professor	CS
James Haag	Full Professor	CS with Physics
Michel Kudlick	Full Professor	CS
Loren Meissner	Full Professor	Math
Carl Naegele	Full Professor	CS with Physics
Benjamin Wells	Associate Professor	Math with CS

All of the above are White non-Hispanic males. Counting dual-appointments only once, the Math/CS departments were comprised of fifteen regular faculty; of whom, two possessed diversity status.

As of Fall 2006, the Math department will consist of the following regular faculty:

Name	Rank	Department(s)
Allan Cruse	Full Professor	Math with CS
Stephen Devlin	Assistant Professor	Math
James Finch	Full Professor	Math with CS
John Kao	Associate Professor	Math
Tristan Needham	Full Professor	Math

[177] *USF General Catalog 1991-1993*: pg. 97. Applies specifically to the academic year 1991-92.
[178] Ibid: pg 69.

Stanley Nel	Full Professor and Vice President of International Relations	Math
Peter S. Pacheco	Full Professor	Math with CS
John Stillwell	Full Professor	Math
Benjamin Wells	Full Professor	Math with CS
Robert Wolf	Assistant Professor	Math
Paul Zeitz	Full Professor	Math
Stephen Yeung	Assistant Professor	Math

All of the above are White non-Hispanic males, except myself and Stephen Yeung who are both Asian/Pacific Islander males. Likewise, the CS department will consist of the following regular faculty:

Name	Rank	Department(s)
Gregory Benson	Associate Professor	CS
Jeff Buckwalter	Associate Professor	CS
Christopher Brooks	Assistant Professor	CS
Allan Cruse	Full Professor	Math with CS
James Finch	Full Professor	Math withCS
David Galles	Associate Professor	CS
Peter Pacheco	Full Professor	Math with CS
Terence Parr	Assistant Professor	CS
Kim Summerhays	Full Professor	Chemistry with CS
Benjamin Wells	Full Professor	Math with CS
David Wolber	Full Professor	CS

All of the above are White non-Hispanic male. Counting dual-appointments only once, the Math/CS departments will be comprised of nineteen regular faculty; of whom, two possess diversity status. Of these the following nine were hired after my employment began in Fall 1991:[179]

Name	Current Rank	Year of Initial Appointment
Gregory D. Benson	Associate Professor	1998
Christopher Brooks	Assistant Professor	2002
Stephen M. Devlin	Assistant Professor	2004
David J. Galles	Associate Professor	1997
Terence Parr	Assistant Professor	2003
John C. Stillwell	Full Professor	2002
David W. Wolber	Full Professor	1993
Stephen Yeung	Assistant Professor	2006
Paul A. Zeitz	Full Professor	1992

[179] Including the dual-appointment for Kim Summerhays (from Professor of Chemistry, to Professor of Chemistry with CS), there were ten new appointments to Math/CS since Fall 1991.

One observes that Math/CS had many opportunities to increase diversity, yet, from Fall 1991 to Fall 2006:

- broad diversity (proportion of female and/or ethnic minority faculty) declined by 21.1%
- gender diversity (proportion of female faculty) declined by 100%.

At this time, the only two departments at USF having no females among regular faculty are Math and CS. In this respect, I cite the External Panel for our 2004 Math Program Review:

> There was strong support among the students for the idea of hiring a woman candidate. Given the population of mathematics students that USF serves, it seems important to have at least one woman among the regular faculty.[180]

Excluding Prof. Yeung, as he does not possess a degree in mathematics, the broad diversity of Math/CS can be recalculated on the basis of eighteen faculty, one of which has diversity status:

$$\textit{Proportion of diverse faculty} = 1/18 \approx 5.6\%$$

which, has decreased from the Fall 1991 proportion of 13.3%. By this standard, in fifteen years,

- broad diversity (proportion of female and/or ethnic minority faculty) declined by 58.3%

Besides the comparison with the *qualified labor pool* previously made in the Summary, comparison can be made with *other Math/CS departments in the United States*. This alternative calculation is performed to demonstrate that the statistical conclusions remain the same when adjunct (or part-time) faculty, possessing earned science or engineering doctorates, are excluded. For this I will use data from the National Science Foundation: Science and Engineering doctorate holders employed in universities and 4-year colleges, by broad occupation, sex, race/ethnicity, and faculty rank in 2001.[181]

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[180] *Report of the Visiting Committee to the Department of Mathematics at the University of San Francisco May 27, 2004* (program review by external panel taking place once every ten years): pg 6 [SD 159].

[181] This data is taken from National Science Foundation, Division of Science Resources Statistics, *Women, Minorities, and Persons with Disabilities in Science and Engineering: 2004*, NSF 04-417 (Arlington, VA, 2004): pg. 247-248 [SD 224 - SD 233]. "S" indicates suppressed due to count of less than 50 weighted cases.

Since USF regular faculty appointments are exclusively in the ranks of Professor, Associate Professor and Assistant Professor; I will restrict attention to these below.

Mathematical Scientists

	Professor	Associate Professor	Assistant Professor
White Female	370	580	670
White Male	4,560	2,220	1,440
Asian/Pacific Islander Female	150	160	190
Asian/Pacific Islander Male	440	460	340
Black Female	S	S	S
Black Male	190	100	80
Hispanic Female	S	S	S
Hispanic Male	90	60	50
American Indian/Alaskan Native Female	S	S	S
American Indian/Alaskan Native Male	S	S	S

Computer and Information Scientists

	Professor	Associate Professor	Assistant Professor
White Female	80	370	160
White Male	1,710	1,640	770
Asian/Pacific Islander Female	S	S	50
Asian/Pacific Islander Male	290	500	250
Black Female	S	S	S
Black Male	S	70	S
Hispanic Female	S	S	S
Hispanic Male	70	S	S
American Indian/Alaskan Native Female	S	S	S
American Indian/Alaskan Native Male	S	S	S

From this one can calculate

Proportion of (gender and race) diverse professors in U.S. ≈ 31.86%

Proportion of female professors in U.S. ≈ 15.35%.

Including Prof. Yeung and testing for broad discrimination (bias in favor of White non-Hispanic males at the expense of Others), I set the null hypothesis to be: Math/CS is an unbiased random sample of size nineteen. I test this against the alternative hypothesis: the Math/CS sample is biased in favor of White non-Hispanic males. Applying the binomial distribution again (using n the size of Math/CS, k the number of Math/CS professors with diversity status and q the national proportion of diverse professors) one obtains the P-value:

$$P \approx B(19, 2, .3186) \approx .0323$$

As $P < .05$, one concludes that the evidence for rejecting the null hypothesis is *statistically significant*.

Including Prof. Yeung and testing for gender discrimination (bias in favor of males at the expense of females), I set the null hypothesis to be: Math/CS is an unbiased random sample of size nineteen. I test this against the alternative hypothesis: the Math/CS sample is biased in favor of males. Applying the binomial distribution again (using n the size of Math/CS, k the number of Math/CS female professors and q the national proportion of female professors) one obtains the P-value:

$$P \approx B(19, 0, .1535) \approx .0422$$

Again $P < .05$ and one concludes that the evidence for rejecting the null hypothesis is *statistically significant*.

Excluding Prof. Yeung, and testing for broad discrimination (bias in favor of White males at the expense of Others), I set the null hypothesis to be: Math/CS is an unbiased random sample of size eighteen. I test this against the alternative hypothesis: the Math/CS sample is biased in favor of White non-Hispanic males. Applying the binomial distribution again (using n the size of Math/CS, k the number of Math/CS professors having diversity status and q the national proportion of diverse professors) one obtains the P-value

$$P \approx B(18, 1, .3186) \approx .0094$$

As $P<.01$, the evidence for rejecting the null hypothesis is *highly statistically significant*.

Excluding Prof. Yeung, and testing for gender discrimination (bias in favor of White males at the expense of Others), I set the null hypothesis to be: Math/CS is an unbiased random sample of size eighteen. I test this against the alternative hypothesis: the Math/CS sample is biased in favor of males. Applying the binomial distribution again (using n the size of Math/CS, k the number of Math/CS female professors and q the national proportion of female professors) one obtains the P-value:

$$P \approx B(18, 0, .1535) \approx .0498$$

As $P<.05$, the evidence for rejecting the null hypothesis is *statistically significant*.

One sees from this that the statistical conclusions made in the Summary of *Report of Discrimination* are robust.

Implicit Discrimination: Dual-appointment Demographics

In Fall 1989, the dual-appointment faculty at USF were:[182]

Name	Rank	Departments
James Haag	Full Professor	CS with Physics
Carl Naegele	Full Professor and Dean of Arts and Sciences	CS with Physics
Benjamin Wells	Assistant Professor	Math with CS

At that time Stanley Nel was Associate Dean of Sciences, whereas Kim Summerhays was Associate Dean for Graduate Programs for Arts and Sciences.[183] When my appointment began in Fall 1991, Stanley Nel was Dean of Arts and Sciences; and the the dual-appointment faculty at USF were:[184]

Name	Rank	Departments
Allan Cruse	Full Professor	Math with CS
James Finch	Associate Professor	Math with CS
James Haag	Full Professor	CS with Physics
Carl Naegele	Full Professor	CS with Physics
Benjamin Wells	Associate Professor	Math with CS

From this it is clear that Stanley Nel was either Associate Dean of Sciences, or Dean of Arts and Sciences, when the following two Science dual-appointments were made: Allan Cruse and James Finch. Subsequent to Fall 1991, Kim Summerhays was appointed Professor of Chemistry with CS.

For Investigator reference, I reproduce the current USF dual-appointment faculty. These dual-appointments were also in effect Fall 2002, prior to Stanley Nel's appointment to Vice President of International Relations.

Name	Rank	Department(s)
Jean Audigier	Full Professor	Modern and Classical Languages, with Visual Arts
James Brown	Full Professor	Biology, with Environmental Science
Allan Cruse	Full Professor	Math, with CS
James Finch	Full Professor	Math, with CS
Deneb Karentz	Full Professor	Biology with Environmental Science
Peter Pacheco	Full Professor	Math, with CS
Kim Summerhays	Full Professor	Chemistry, with CS
Robert F. Toia	Full Professor	Chemistry, with Environmental Science
Benjamin Wells	Full Professor	Math, with CS

[182] *USF General Catalog 1989-1991*. Applies specifically to academic year 1989-90.
[183] Ibid.
[184] *USF General Catalog 1991-1993*. Applies specifically to academic year 1991-92.

The conclusion here is that Stanley Nel was responsible (either as Associate Dean of Sciences, or Dean of Arts and Sciences) for eight of the nine current dual-appointments at USF.

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Memorandum

To: Paul Zeitz, Chair, Mathematics Department, USF

CC: Tristan Needham, Associate Dean, College of Sciences USF

Stanley Nel, Dean, Arts and Sciences, USF

From: John Kao, Associate Professor, Mathematics Department, USF J.K.

Date: February, 28, 2000

Re: Precalculus for CCAC Architecture

I am writing to apprise you of my progress with the course, Precalculus: Analytical Mathematics for Architecture, which I am currently teaching at CCAC on behalf of the Mathematics Department. This class carries a USF course number 0206-108-02 and the CCAC course number MATH200-01

As you are aware, the agreement reached between myself and Pr Kate Simonen, Coordinator of Technology Curriculum at CCAC, was that MATH200 would be a version of our Precalculus, tailored for their architecture curriculum. At Pr. Simonen's last minute request, it would be at a lower mathematical level than the course we offer at USF. During our meeting of Jan. 13, I asked for any course materials (syllabi, final exams, textbook titles, etc.) available from the prior realizations of this class (formerly CCAC MATH203). Attached are the items faxed to me by Pr. Simonen. The response to my request from the School of Architecture Secretary, Jennifer Hendrickson, was that the School had no such course materials on file. Pr. Simonen further indicated that CCAC's primary concern was that MATH200 be a "college level class" as MATH203 had been criticized by WASC as being closer to the "high school level" during their last accreditation process This is the background against which instruction commenced six weeks ago.

As I reported to you, the first three weeks of teaching were plagued with administrative hassles. The primary issues were the Math Placement Exam and the classroom assignment.

CCAC failed to give the Math Placement Exam to 6 of 13 enrolled students. John Loomis Chair of Architecture, instructed me to administer the exam during the second class meeting. This, together with Pr. Simonen's curricular changes made the placement exam scores unviable as a screen for enrollments. I recommended that the course be open enrollment, but that students with low exam scores be warned they may have difficulty passing the course without preparatory coursework. Attached is the placement exam criteria emailed to me by Pr. Simonen. This criteria was posted for students at CCAC. Note the instructions for scores 1-10. I was not asked by CCAC to prohibit students with such scores from taking the class. In fact, 6 students did not receive scores and this criteria was not posted, until after a full week of class had elapsed

I also indicated to you that the classroom assignment was an ongoing problem during this period In 5 class sessions (this class meets twice per week) I was assigned to 4 different rooms. Obtaining a classroom which would accommodate the 13 enrolled students was an endeavor which required much of my time and energy. When I remarked to David Meckel, Dean of Architectural Studies, that it appeared the School had overbooked the classroom space, he replied that this was the case for this

SD 1

SD Note:
This document is referred to as M1 in *Report of Discrimination*

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particular time slot. Needless to say, the concomitant confusion was disruptive to both my and my student's efforts to create a stable learning environment.

This past week has brought a new development. On Feb. 25, I was informed by Fr. Simonen that as part of CCAC's current accreditation review the School was expected by WASC to document a raised set of standards vis-a-vis MATH200. She instructed me to provide samples of actual student work (homework assignments and exams). I was surprised at being notified of this at such a late date, particularly since, I had returned students' Exam 1 just two days before and would now have to ask for them back. Inconvenience aside, I am concerned at this juncture that the Mathematics Department may be held responsible should problems arise during CCAC's current accreditation review in regard to MATH200. It is alarming that with the semester nearly half over I am suddenly being asked to document an improvement in standards when no written record of the original standards are available. Moreover, if standards were an overriding concern to CCAC at the beginning of the semester, more attention should have been paid to the Math Placement Exam which instrument is crucial to the maintenance of standards at USF. Naturally, any application of standards has to take place within a context of learning, and the establishment of a stable learning environment for my students has been hampered by a series of avoidable administrative hassles: constantly changing room assignments, conflict arising with other classes and instructors because of miscommunication of these room assignments, and irregular requests made to students.

I will continue to inform you of new developments Thank you for your support in my efforts at CCAC.

SD 2

Jesuit Educational Service

CCAC/USF MATH PLACEMENT EXAMINATION INTERPRETATION OF RESULTS.

All students to be enrolled in the mathematics class for Architecture students, 'Pre-calculus', must take the math placement examination. Exam results are available from the Registrar's office.

Exam results are to be interpreted as follows:

Score	
22-32	Potential to waive course
15-22	Performance Acceptable
11-15	Warning: remedial coursework may be advised.
1-10	Remedial coursework necessary.

Remedial coursework should provide the preparation typically available in second year high school algebra. One potential course that is offered by the College of Extended Learning, SF State is Math 70. Call 415.405.7700 and speak to an operator to get more information about registration.

If students need any additional advising assistance, they may contact Kate Simonen at 415.285.9193 or meet her after her regular class hours: Mon/Wed 11am.

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Two Variable Algebra

Common Sense

(1) Find three pairs of numbers that make the following equations true. Put the number for the X first and the number for the Y second.

a) Y = X + 5
(,), (,), (,)

b) Y = 2X
(,), (,), (,)

c) Y = X - 3
(,), (,), (,)

d) Y = 2X - 8
(,), (,), (,)

(2) Did any of the pairs of numbers for the equation in a) above work in equation b) above? If not, see if you can find a pair of numbers that does work in both.

(3) Check the pairs of numbers for each of the equations above to see if there are any other pairs of numbers in common. If not, see if you can find pairs of numbers that are.

Enlightenment

Equations that have two variables take pairs of numbers to make them true. There are a lot of pairs of numbers (infinite, actually) that can make any two-variable equation true. In some cases there is a single pair of numbers that will make two (or more) different two-variable equations true.

Rules of the game

The pairs of numbers that make a two-variable equation true are written in an agreed-upon order. In equations that have the form, some number times Y equals some number times X plus or minus a number, the pairs of numbers that make it true are written with the x-number first and the y-number second.

For any two-variable equation there are an infinite number of pairs of numbers that make it true.

There are many pairs possible. The following are given as examples.
(1) a) (5,10), (3,8), (2,7) b) (2,4), (3,6), (5,10) c) (6,3), (7,4), (8,5) d) (5,2), (6,4), (1, -6)
(2) (5,10) makes both a) and b) true
(3) (5,2) makes both c)and d) true, (-3, -6) makes both b) and c) true, there are no pairs that make any other combinations of equations true

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Practice Makes Perfect

Find the pairs of numbers that will make each of the following sets of two-variable equations true.

1) $Y = X - 6$ and $Y = 3X$

2) $2Y = X - 5$ and $2X = 3Y + 12$

3) $3Y = X + 11$ and $2X = 3Y - 4$

4) $Y - 9 + 2X$ and $X + 2Y = 0$

5) $13 - Y = 3X$ and $Y - 4X = 41$

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Memorandum

To: Paul Zeitz, Chair Mathematics Department, USF

CC: Tristan Needham, Associate Dean, College of Sciences, USF

Stanley Nel, Dean, Arts and Sciences USF

From: John Kao Associate Professor, Mathematics Department USF

Date: September 18 2000

Re: Precalculus for CCAC in Spring 2000

This memo is intended as a final communication on my activities at the California College of Arts and Crafts during the spring semester of 2000. As you are aware, I was assigned to deliver a version of our course, Math 108 (Precalculus), tailored so as to serve the needs of undergraduates in Architecture (USF as well as CCAC students). During the semester I worked closely with Kate Simonen, Director of Technology Curriculum in Architecture who gave me specific pedagogical directives. I was also supervised by John Loomis, Chair of Architecture I am pleased to report that the first delivery of Precalculus was successful in the eyes of administrators at CCAC. As record of this, I enclose the teaching evaluations sent to me as well as a letter of appraisal from John Loomis

As you know, CCAC specifically requested that I teach Precalculus at their campus again in Spring 2001. I explained to them–as I did to you at the time–that my research obligations to USF would not permit me to undertake this duty for a consecutive academic year. However, I left open the possibility of my involvement in the future.

Thank you for all your support in this endeavor. While there were some difficulties to overcome I found this teaching assignment on the whole, gratifying.

SD Note:
This document is referred to as M2 in *Report of Discrimination*. The teaching evaluation attachment is reproduced on SD 23 - SD 32.

California
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of
Arts
and
Crafts

7 September 2000

John Kao, Associate Professor
Department of Mathematics
College of Arts and Sciences
University of San Francisco
2130 Fulton Street
San Francisco, CA 94117-1080

Dear Prof. Kao:

I read with great interest you student evaluations from last semester which were recently forwarded to me. All the evaluations ranged from very positive to enthusiastic. I know that CCAC is a different very different venue from USF, but that in no way affected the success of your teaching.

I want to thank you for the excellent job you did last spring in teaching Precalculus to our architecture students. I regret that the logistics of your schedule do not make it possible for you to continue to teach at CCAC. It is for this reason that we have decided to have this math course delivered by an new instructor from our Humanities and Sciences department. We have great faith and hopes that he will perform up to the standards that you have set. If we are not satisfied, we will most likely look to reopen our relationship with the USF math department. I have communicated this all to Paul Zeitz earlier on, and forgive me for taking so long to communicate it to you

Sincerely,

John A. Loomis AIA
Chair, Architecture
cc: M. Van Buren

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SD 8

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November 1, 2000

Professor Paul Zeitz
Chair of Mathematics
Department of Mathematics
College of Arts and Sciences
University of San Francisco

Dear Paul,

This semester I received a copy of a report that John Kao submitted to you regarding his Spring 2000 teaching of Precalculus for Architecture students at CCAC. To save everyone the trouble of looking it up, I'm attaching a copy to this letter. I am also attaching copies of two e-mail messages that you forwarded to me (at my request) after I discovered that important communications were being exchanged with CCAC without Fr. Lucas and myself being consulted or even informed.

Let me begin on a positive note by saying that I very much appreciate the effort John put into developing—at the last minute, and on the fly—a version of this course that was significantly different than the one we have delivered at USF, one that better met the special needs of the CCAC students. The student evaluations attest to the fact that this was a complete success and that John did his usual outstanding job in the classroom.

Less happily, my real reason for writing is to spell out grave concerns, about which you and I have already spoken in person, regarding the breakdown of both the lines of communication and the chain of command in connection with the delivery of this course by USF for CCAC. Specifically, I was, as you know, very disturbed to discover that as a result of private communications between John Kao and John Loomis at CCAC, it was "decided" that USF would not deliver this course for CCAC in Spring 2001, and that John Loomis would simply have it taught by a CCAC instructor from their Department of Humanities and Sciences.

I am less concerned with dwelling on what has gone wrong in the past, and more concerned with repairing the damage for the future. So please note the following points very carefully:

1) Neither John Kao nor you are empowered to negotiate with CCAC on behalf of USF.
2) As a result of accreditation problems with CCAC's own delivery of mathematics courses for its Architecture students, the CCAC Administration negotiated with the USF Administration, and it was agreed that USF would in future deliver a version of Precalculus for CCAC.
3) As Associate Dean for Sciences it falls to me to ensure that this agreement is honored, and I in turn rely on you as Chair of Mathematics to assign an appropriate USF mathematics instructor to teach this course at CCAC each Spring. Please ensure that this is done for Spring 2002.

SD Note:
This document is referred to as N1 in *Report of Discrimination*

SD 9

4) I have no desire to micromanage, and I am happy to leave to you such details as which USF instructor should deliver the course, what modifications to the syllabus need to be made, as well as the time of day at which the course is taught. However, I do insist that both Fr Lucas and I be copied on all communications with CCAC regarding this course.

Thanks for your helping in preventing a recurrence of this problem, thereby ensuring that the relationship between USF and CCAC that Fr. Lucas has worked so hard to forge is not eroded any further than it has been already.

Regards.

Tristan

Tristan Needham
Associate Dean for Sciences

cc: Stanley Nel, Dean, College of Arts and Sciences, USF
Fr. Thomas Lucas, S.J., Director of the CCAC Joint BFA/B.Arch Programs, USF
John Kao Associate Professor of Mathematics, USF

David Meckel, Dean of Design and Architecture, CCAC
John Loomis, Chair of Architecture, CCAC

Enc.: 2

SD 10

TWO E-MAIL MESSAGES

X-Sender: kao@euclid.math.usfca.edu
Date: Wed, 02 Aug 2000 11:31:57 -0700
To: jloomis@ccac-art.edu
From: John Kao <kao@usfca.edu
Subject: Precalculus 2001
Cc: zeitz@usfca.edu

John.

Nice to see you the other day. My apologies for not speaking longer--I had an appointment with my student, Ms. Nacko Ono. who received an Incomplete grade and would like to fulfill her course requirements this summer.

My colleague, Paul Zeitz, informed me of your discussion regarding Precalculus in Spring 2001. It was gratifying to learn that Architecture was satisfied with this course last semester: I enjoyed performing this service very much. I would like to continue teaching for you; however, having completed my planning for next academic year, I find this assignment is incompatible with my research commitments to USF. In particular, the time required to commute between our two sites and to provide a separate set of office hours for your students will not be available to me Spring 2001. I apologize for any inconvenience. I am certain the Mathematics Department will provide a suitable alternative.

I look forward to working with you in the future: it has been a pleasure to become acquainted with CCAC's SF campus in general, and Architecture in particular.

Sincerely,

John Kao
Mathematics, USF

****

Date: Thu, 03 Aug 2000 14:02:47 -0700
Subject: Re: Precalculus 2001
To: kao@usfca.edu
Cc: zeitz@usfca.edu
From: jloomis@ccac-art.edu (John Loomis)

John-

Thank you for your kind note. And thank you very much for taking the time to come to CCAC and meet with our student at this point in the summer. That was above and beyond the call of duty, and I really appreciate it. I am sorry we will not be able to continue with you next year. I think we will be trying to cover this course with a new instructor, recently hired by our H&S department.

Thank you for your contribution to CCAC.

With warm regards,
-John Loomis

John A. Loomis AIA, Chair
Architecture Program
California College of Arts and Crafts (CCAC)

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Memorandum

To: Paul Zeitz, Chair Mathematics Department USF

CC: Tristan Needham Associate Dean College of Sciences USF

Stanley Nel, Dean Arts and Sciences USF

From: John Kao, Associate Professor Mathematics Department USF

Date: September 18 2000

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As you know, CCAC specifically requested that I teach Precalculus at their campus again in Spring 2001. I explained to them–as I did to you at the time–that my research obligations to USF would not permit me to undertake this duty for a consecutive academic year. However, I left open the possibility of my involvement in the future.

Thank you for all your support in this endeavor. While there were some difficulties to overcome, I found this teaching assignment, on the whole, gratifying.

SD 12

California
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7 September, 2000

John Kao, Associate Professor
Department of Mathematics
College of Arts and Sciences
University of San Francisco
2130 Fulton Street
San Francisco, CA 94117-1080

Dear Prof. Kao:

I read with great interest your student evaluations from last semester which were recently forwarded to me. All the evaluations ranged from very positive to enthusiastic. I know that CCAC is a different very different venue from USF, but that in no way affected the success of your teaching.

I want to thank you for the excellent job you did last spring in teaching Precalculus to our architecture students. I regret that the logistics of your schedule do not make it possible for you to continue to teach at CCAC. It is for this reason that we have decided to have this math course delivered by an new instructor from our Humanities and Sciences department. We have great faith and hopes that he will perform up to the standards that you have set. If we are not satisfied, we will most likely look to reopen our relationship with the USF math department. I have communicated this all to Paul Zeitz earlier on, and forgive me for taking so long to communicate it to you.

Sincerely,

John A. Loomis AIA
Chair, Architecture
cc: M. Van Buren

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SD Note:
This is the last page of N1.

SD 13

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November 10, 2000

Stanley Nel, Dean
College of Arts and Sciences
University of San Francisco

Dear Dean Nel,

I am writing in response to a letter written by Tristan Needham, Associate Dean, College of Sciences and sent to Paul Zeitz, Chair, Mathematics Department, regarding my professional conduct during Summer 2000. In this letter, which was copied to me, Dean Needham suggests that I

- entered into inappropriate and unauthorized negotiations with John Loomis, Chair Architecture Department, CCAC;
- negotiated a deal that violates prior agreements between CCAC and USF;
- defied lines of communication and chain of command at USF.

These allegations are absurd and libellous. During Summer 2000, my *entire communication* with Pr. Loomis consisted of

- one e-mail from me and his reply (August 2 and August 3);
- one short (approximately 5 minutes) telephone conversation (mid-August);
- one letter from me and his reply (August 31 and September 7).

The above written documents are attached (please decide for yourself if any aspect is inappropriate or unauthorized). I initiated this exchange with the prior knowledge and approval of Pr. Zeitz. I reported subsequent developments immediately to Pr. Zeitz who promised me he would inform Dean Needham. I write with the intent of clarifying my role vis-à-vis CCAC and to submit formal objection to Dean Needham's administrative actions.

I was first informed of an arrangement between the Mathematics Department, USF, and the Architecture Department, CCAC, for the teaching of Precalculus for architecture majors during Spring 1999 while I was on sabbatical at Princeton University. Peter Pacheco (then Chair of Mathematics) asked if I would be willing to teach this course in Spring 2000; I agreed. During Fall 1999, after my return to San Francisco, this assignment was reconfirmed by Pr. Zeitz, who had become Chair, my supervisor, and the Mathematics Department liaison with CCAC. The following comprises my complete endeavors at CCAC.

- I taught Precalculus for architecture majors at CCAC campus under direct supervision of Kate Simonen, Director of Technology Curriculum, Architecture.
- I reported all developments to the relevant chairs (Pr. Zeitz and Pr. Loomis) who in turn communicated with their respective deans.

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SD Note:
This document is referred to as K1 in *Report of Discrimination*

- I received outstanding teaching evaluations from CCAC students.
- I received a laudatory written evaluation from Pr. Loomis.
- I received a specific request (through Pr. Zeitz) from CCAC to teach again in Spring 2001.
- I respectfully declined with approval from Pr. Zeitz.

The following summarizes actions I did not perform in the capacity of visiting professor.

- I did not attend a single planning meeting with administrators.
- I was not involved in the decision making process in any way.
- I never committed to teaching at CCAC beyond Spring 2000.
- I never decided or suggested that any but a USF instructor teach Precalculus during Spring 2001.

In brief, I agreed to teach Precalculus at CCAC during Spring 2000. I successfully completed this assignment which entailed implementing policy established prior to my direct participation. I was asked to teach again in Spring 2001, and I declined. This is the sum total of my activities at CCAC. *All developments were reported promptly to Pr. Zeitz, who was responsible for informing those higher in the chain of command at USF.* I was never instructed to forward communications from CCAC to Dean Needham. As a matter of fact, a copy of every e-mail and letter I received from CCAC during and after Summer 2000 was forwarded to Pr. Zeitz, my supervisor. He had the responsibility to forward these to Dean Needham which, as I understand, he did.

In his letter dated November 1 (first attachment), Dean Needham writes that he was

> ... very disturbed to discover that as a result of private conversations between John Kao and John Loomis at CCAC, it was "decided" that USF would not deliver this course for CCAC in Spring 2001.

As verification, he attaches two e-mail messages and a letter. The content therein consists of

- my informing Pr. Loomis I will be unavailable to teach in Spring 2001 (dated August 2);
- Pr. Loomis informing me that *CCAC made the decision* to utilize their own instructor for Precalculus Spring 2001 (dated August 3);
- Pr. Loomis's evaluation letter of my teaching for Spring 2000 (dated September 7).

The e-mail of August 3, which contains the only substantive news from CCAC was copied directly to Pr. Zeitz, who in turn, as I understand, forwarded it to Pr. Needham on August 15. The only other communication that took place between us this past summer was the following:

- a short (approximately 5 minutes) telephone call which I made to ask Pr. Loomis for a written evaluation of my teaching (took place mid-August);

- a subsequent letter reminding Pr. Loomis of this request (dated August 31) (second attachment).

Please note carefully the letter of teaching evaluation dated September 7 (third attachment). Referring to CCAC's decision to utilize their own instructor, Pr. Loomis writes

> I have communicated this all to Pr. Zeitz earlier on, and forgive me for taking so long to communicate this to you.

This clearly indicates that I had no role in planning for Precalculus Spring 2001, and that I was not operating as Mathematics Department or USF liaison to CCAC.

Dean Needham has accused me of failing to follow university policy and procedure in my role as visiting professor at CCAC. In fact, it is Dean Needham who has failed in his administrative responsibilities. *He did not contact me at all* to discuss the alleged misconduct prior to distributing his official letter of reprimand to four administrators at two universities. *No one contacted me* in this regard until my receipt of a copy.

I submit to you my formal complaint of Dean Needham's administrative actions. He has written and distributed a falsely incriminating document. Any individual's professional reputation is a valuable commodity–no less so within the academic community. I officially request that Dean Needham write a letter of retraction in the coming week. If this does not occur, I will proceed with a grievance as a first step.

Sincerely

John Kao

John Kao
Associate Professor

cc: Fr. Stephen A. Privett, S.J., President, USF
James L. Wiser, Provost and Academic VP, USF
Fr. Thomas Lucas, S.J., Director of the CCAC Joint BFA/B.Arch Programs, USF
Tristan Needham, Associate Dean, College of Sciences USF
Paul Zeitz, Chair, Department of Mathematics USF

David Meckel, Dean of Design and Architecture, CCAC
John Loomis, Chair of Architecture, CCAC

Enc.: 3

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November 1, 2000

Professor Paul Zeitz
Chair of Mathematics
Department of Mathematics
College of Arts and Sciences
University of San Francisco

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Regards,

Tristan Needham
Associate Dean for Sciences

cc: Stanley Nel, Dean College of Arts and Sciences, USF
Fr. Thomas Lucas, S.J., Director of the CCAC Joint BFA/B.Arch Programs, USF
John Kao, Associate Professor of Mathematics, USF

David Meckel, Dean of Design and Architecture, CCAC
John Loomis, Chair of Architecture CCAC

Enc.: 2

TWO E-MAIL MESSAGES

X-Sender: kao@euclid.math.usfca.edu
Date: Wed, 02 Aug 2000 11:31:57 -0700
To: jloomis@ccac-art.edu
From: John Kao <kao@usfca.edu
Subject: Precalculus 2001
Cc: zeitz@usfca.edu

John,

Nice to see you the other day. My apologies for not speaking longer--I had an appointment with my student, Ms. Naoko Ono, who received an Incomplete grade and would like to fulfill her course requirements this summer.

My colleague, Paul Zeitz, informed me of your discussion regarding Precalculus in Spring 2001. It was gratifying to learn that Architecture was satisfied with this course last semester; I enjoyed performing this service very much. I would like to continue teaching for you; however, having completed my planning for next academic year, I find this assignment is incompatible with my research commitments to USF. In particular, the time required to commute between our two sites and to provide a separate set of office hours for your students will not be available to me Spring 2001. I apologize for any inconvenience. I am certain the Mathematics Department will provide a suitable alternative.

I look forward to working with you in the future; it has been a pleasure to become acquainted with CCAC s SF campus in general, and Architecture in particular.

Sincerely,

John Kao
Mathematics USF

Date: Thu, 03 Aug 2000 14:02:47 -0700
Subject: Re: Precalculus 2001
To: kao@usfca.edu
Cc: zeitz@usfca.edu
From: jloomis@ccac-art.edu (John Loomis)

John-

Thank you for your kind note. And thank you very much for taking the time to come to CCAC and meet with our student at this point in the summer. That was above and beyond the call of duty, and I really appreciate it. I am sorry we will not be able to continue with you next year. I think we will be trying to cover this course with a new instructor, recently hired by our H&S department.

Thank you for your contribution to CCAC.

With warm regards,
-John Loomis

John A. Loomis AIA, Chair
Architecture Program
California College of Arts and Crafts (CCAC)

UNIVERSITY of SAN FRANCISCO

2130 Fulton Street
San Francisco, CA 94117-1080
TEL 415 422-6747
FAX 415 422-2346

Memorandum

To: Paul Zeitz, Chair. Mathematics Department, USF

CC: Tristan Needham, Associate Dean, College of Sciences, USF

Stanley Nel, Dean. Arts and Sciences. USF

From: John Kao Associate Professor, Mathematics Department, USF

Date: September 18, 2000

Re: Precalculus for CCAC in Spring 2000

This memo is intended as a final communication on my activities at the California College of Arts and Crafts during the spring semester of 2000. As you are aware, I was assigned to deliver a version of our course, Math 108 (Precalculus), tailored so as to serve the needs of undergraduates in Architecture (USF as well as CCAC students). During the semester I worked closely with Kate Simonen, Director of Technology Curriculum in Architecture who gave me specific pedagogical directives. I was also supervised by John Loomis Chair of Architecture I am pleased to report that the first delivery of Precalculus was successful in the eyes of administrators at CCAC. As record of this, I enclose the teaching evaluations sent to me as well as a letter of appraisal from John Loomis.

As you know, CCAC specifically requested that I teach Precalculus at their campus again in Spring 2001. I explained to them–as I did to you at the time–that my research obligations to USF would not permit me to undertake this duty for a consecutive academic year. However, I left open the possibility of my involvement in the future.

Thank you for all your support in this endeavor While there were some difficulties to overcome, I found this teaching assignment, on the whole gratifying

California
College
of
Arts
and
Crafts

7 September, 2000

John Kao, Associate Professor
Department of Mathematics
College of Arts and Sciences
University of San Francisco
2130 Fulton Street
San Francisco, CA 94117-1080

Dear Prof. Kao:

I read with great interest your student evaluations from last semester which were recently forwarded to me. All the evaluations ranged from very positive to enthusiastic. I know that CCAC is a different very different venue from USF, but that in no way affected the success of your teaching.

I want to thank you for the excellent job you did last spring in teaching Precalculus to our architecture students. I regret that the logistics of your schedule do not make it possible for you to continue to teach at CCAC. It is for this reason that we have decided to have this math course delivered by an new instructor from our Humanities and Sciences department. We have great faith and hopes that he will perform up to the standards that you have set. If we are not satisfied, we will most likely look to reopen our relationship with the USF math department. I have communicated this all to Paul Zeitz earlier on, and forgive me for taking so long to communicate it to you.

Sincerely,

John A. Loomis AIA
Chair, Architecture
cc: M. Van Buren

111 Eighth Street
an Francisco
alifornia
4107
h 415 703 9500
x 415 621 2396

SD 21

UNIVERSITY of SAN FRANCISCO

Department of Mathematics

College of Arts and Sciences
2130 Fulton Street
San Francisco, CA 94117-1080
TEL 415 422-6747
FAX 415 422-2346

August 31, 2000

John A Loomis AIA, Chair
Architecture Program
California College of Arts and Crafts (CCAC)
1111 Eighth Street
San Francisco, CA 94107

Dear Professor Loomis:

I am writing to request an evaluation of the teaching which I conducted on behalf of the Architecture Program during Spring 2000. I was gratified that CCAC would specifically request that I teach Precalculus again in Spring 2001, and greatly regretted the fact that my research commitments would not permit me to do so.

I would appreciate it if you could provide me with a letter which

- assesses the teaching which I delivered at CCAC during Spring 2000;
- confirms that CCAC asked that I teach Precalculus again in Spring 2001;
- clarifies CCAC's reasons for eventually choosing not to hire a USF instructor for Precalculus, Spring 2001.

I am enclosing a copy of my teacher evaluation forms (both numerical and narrative) which I received from your Academic Affairs Office. Thank you for your attention in this matter. I very much enjoyed our business together.

Sincerely,

John Kao

John Kao
Associate Professor

encl: 2

2130 Fulton Street

SD 22

PERSURVEY

STUDENT EVALUATION OF INSTRUCTION
(SEI MODULE)

CALIFORNIA COLLEGE OF ARTS AND CRAFTS
STUDENT SURVEY

PART 1

PLEASE BLACK OUT THE NUMBER THAT INDICATES THE EXTENT TO WHICH YOU AGREE OR DISAGREE WITH EACH STATEMENT BELOW. IF THE STATEMENT IS NOT APPLICABLE, LEAVE IT BLANK. EXTRANEOUS MARKS WILL MAKE YOUR RESPONSE INVALID.

USE PENCIL ONLY

1 = strongly disagree — 5 = strongly agree
not applicable = leave blank

	Agree				Disagree
A: 1. I took this class only because it fulfilled a requirement	5	4	3	2	1
2. I fulfilled the class attendance requirements and completed all class assignments on time	5	4	3	2	1
3. I actively participated in studio critiques and/or classroom discussions	5	4	3	2	1
4. I gave this class my full attention and devoted the effort necessary to comprehend the material	5	4	3	2	1
5. I expect to receive a high grade in this class	5	4	3	2	1
B: 6. The facilities and equipment were adequate for this class	5	4	3	2	1
7. Considering the nature of this class, the class size was satisfactory	5	4	3	2	1
8. The library and/or media center provided adequate support material for this class	5	4	3	2	1
9. The advising and registration services were reasonably adequate for this class	5	4	3	2	1
10. The shop or lab tech and/or teaching assistants provided adequate support for this class	5	4	3	2	1
C: 11. The instructor consistently held class and was reasonably on time	5	4	3	2	1
12. Within the structure of the course the instructor was available for individual attention	5	4	3	2	1
13. The instructor made the goals and expectations of the class clear	5	4	3	2	1
14. The assignments and/or info provided challenged & enhanced my understanding of the subject	5	4	3	2	1
15. The instructor evaluated my work in a fair and helpful manner	5	4	3	2	1
16. The instructor kept me informed of my progress	5	4	3	2	1
17. The instructor demonstrated an involvement with the course subject and material	5	4	3	2	1
18. The instructor communicated the subject matter effectively	5	4	3	2	1
19. The instructor encouraged independent thinking and opinion	5	4	3	2	1
20. Considering the subject matter of the course, this instructor was very effective	5	4	3	2	1
D: 21. This course introduced significant material not covered elsewhere in the curriculum	5	4	3	2	1
22. The content of this course contributed to my intellectual growth creative development and/or advanced my skills.	5	4	3	2	1
23	5	4	3	2	1
24	5	4	3	2	1
25	5	4	3	2	1
26	5	4	3	2	1
27	5	4	3	2	1
28	5	4	3	2	1
29	5	4	3	2	1
30	5	4	3	2	1
31	5	4	3	2	1
32	5	4	3	2	1
33	5	4	3	2	1
34	5	4	3	2	1
35	5	4	3	2	1

A = STUDENT SELF-EVALUATION
B = FACILITIES AND SERVICES EVALUATION
C = INSTRUCTOR EVALUATION
D = COURSE EVALUATION

Please do not fold, spindle, or mutilate if you want your responses to count !!!

(OVER)

35 A) 0 1 2 3
0 1 2 3 4 5 6 7 8 9
B) 0 1 2 3
0 1 2 3 4 5 6 7 8 9

37 A) 0 1 2 3
0 1 2 3 4 5 6 7 8 9
B) 0 1 2 3
0 1 2 3 4 5 6 7 8 9

SCANTRON FORM NO. 22938-ERI-L DO NOT WRITE IN THIS AREA. FEED THIS DIRECTION DO NOT WRITE IN THIS AREA. 2887-0812

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CCAC - SPRING 2000 GRADE DISTRIBUTION (expressed as a percentage of the total)

	A	B	C	D	F	E	W	P	Z
COLLEGE	39.5%	37%	8.5%	1%	2%	2%	4%	5%	1%
ARCH	34%	38%	11%	2%	5%	3%	3.5%	3.5%	--
DESIGN	32%	43%	11%	1%	2%	2%	4%	2%	3%
FINE ARTS	53%	36%	3%	.5%	.5%	2%	3%	2%	--
CORE	42%	46%	4%	--	3%	1%	4%	--	--
H&S	38%	37%	13%	1%	3%	2.5%	5%	.5%	--

CCAC - SPRING 1999 GRADE DISTRIBUTION (expressed as a percentage of the total)

	A	B	C	D	F	E	W	P	Z
COLLEGE	42%	36%	9%	1%	2%	2%	5%	2%	1 %
ARCH	30.5%	39.5%	11%	2%	1%	4%	7%	5%	--
DESIGN	33%	42%	11%	1%	2%	2%	4%	1%	4%
FINE ARTS	53%	30%	6%	--	1.5%	1.5%	4%	3%	1%
CORE	50%	37%	4%	1%	3%	1%	4%	--	--
H&S	39%	34%	13%	1%	3%	4%	5%	1%	--

CCAC - SPRING 1998 GRADE DISTRIBUTION (expressed as a percentage of the total)

	A	B	C	D	F	E	W	P	Z
COLLEGE	38%	33%	9%	1%	1.5%	2.5%	4%	10%	1%
ARCH	24%	44.5%	17.5%	1%	2%	2%	5%	3%	1%
DESIGN	34%	44%	10%	1%	1%	1%	3%	1%	5%
FINE ARTS	56%	31%	5%	--	1%	2%	3.5%	1%	.5%
CORE	52%	38%	4%	.5%	2%	.5%	3%	--	--
H&S	36%	36%	14.5%	1%	3%	3.5%	5%	1%	--

CCAC - SPRING 1997 GRADE DISTRIBUTION (expressed as a percentage of the total)

	A	B	C	D	F	E	W	P	Z
COLLEGE	42%	37%	10%	1%	1.5%	3%	3.5%	--	2%
ARCH	30%	44%	14%	1%	1%	3%	2%	2%	3%
DESIGN	35%	46%	8%	1%	1%	2%	2%	1%	4%
FINE ARTS	55%	32%	5%	--	1%	3%	3%	1%	--
CORE	44%	37%	5%	--	1%	1%	4%	--	8%
H&S	33%	36%	15%	2%	3%	4.5%	5.5%	1%	--

Grade Distribution by Instructor

0431 MATH 0200 01 Pre-Calculus Kao, J.

	A	B	C	D	F	I	W/IW	P	NC	Z/NR	TOTAL
Frequency	2	5	2	0	3	1	2	0	0	0	15
Percent	13.3	33.3	13.3	0.0	20.0	6.7	13.3	0.0	0.0	0.0	99.9

TOTAL for Instructor Kao, J.

	A	B	C	D	F	I	W/IW	P	NC	Z/NR	TOTAL
Frequency	2	5	2	0	3	1	2	0	0	0	15
Percent	13.3	33.3	13.3	0.0	20.0	6.7	13.3	0.0	0.0	0.0	99.9

CALIFORNIA COLLEGE OF ARTS AND CRAFTS
STUDENT EVALUATION OF INSTRUCTION - SPRING 2000
TOTALS BY CLASS

Course: 42520001 811 | Year: 00 | Class Enrollment: 15 | School Enroll.: 5830
Course Desc.: Pre-Calculus | Semester: 01 | Class Respondents: 8 | School Resp.: 3454
Instructor: Kop, John | Inst No.: 811

	Question	Course 5 Ml	4 %	3 %	2 %	1 No	Omit #	Resp #	Course Str %	Weak %	Mean	S.D.	%-tile	School Str %	Weak %	Mean	S.D.
1	I took class bec fulfilled a reqmt	50	25	13	0	13	0	8	0	0	4.0	1.4	86	0	0	3.0	1.7
2	I fulfld class attdn & complt assgn	38	38	13	13	0	0	8	0	0	4.0	1.1	16	0	0	4.4	0.8
3	I actvly participtd in studio crits	57	29	0	14	0	1	7	0	0	4.3	1.1	51	0	0	4.2	1.0
4	I gave class full attn & dev effrt	25	50	25	0	0	0	8	0	0	4.0	0.8	11	0	0	4.4	0.8
5	I expect to receive a high grade	25	38	25	13	0	0	8	0	0	3.8	1.0	10	0	0	4.2	0.8
6	Facilities & equipmt were adequate	38	25	25	13	0	0	8	0	0	3.9	1.1	48	0	0	3.9	1.1
7	Cons matr. class size was satisfact	63	13	13	13	0	0	8	0	0	4.3	1.2	51	0	0	4.1	1.1
8	Lib/Media Ctr prov adequate support	29	14	57	0	0	1	7	0	0	3.7	1.0	49	0	0	3.8	1.2
9	Advising/registration svcs adequate	57	14	29	0	0	1	7	0	0	4.3	1.0	75	0	0	3.9	1.2
10	Shop/tech./teach asst prov adeq supp	43	14	43	0	0	1	7	0	0	4.0	1.0	55	0	0	3.9	1.2
11	Instr consist.held cls & reas on.sm	71	14	14	0	0	1	7	0	0	4.6	0.8	80	0	0	4.5	0.6
12	W/in struct instr avail: indiv attem	86	0	14	0	0	1	7	0	0	4.7	0.8	88	0	0	4.4	0.9
13	Instr made goals & expectns clear	75	0	25	0	0	0	8	0	0	4.5	0.9	69	0	0	4.3	1.0
14	Instr prov assgns that chal & enhan	63	13	13	13	0	0	8	0	0	4.3	1.2	38	0	0	4.4	0.9
15	Instr eval work in fair & help manr	63	25	13	0	0	0	8	0	0	4.5	0.8	58	0	0	4.4	1.0
16	Instr kept me info d of my progress	50	13	25	13	0	0	8	0	0	4.0	1.2	53	0	0	3.9	1.2
17	Instr demon involvmt w/subj & ctrl	63	13	25	0	0	0	8	0	0	4.4	0.9	30	0	0	4.6	0.8
18	Instr commun subject matter effect	50	25	13	13	0	0	8	0	0	4.1	1.1	33	0	0	4.4	1.0
19	Instr encour indep thinkg & opinion	50	25	13	13	0	0	8	0	0	4.1	1.1	26	0	0	4.4	0.9
20	Cons subj matr.instr very effective	63	13	13	13	0	0	8	0	0	4.3	1.2	41	0	0	4.4	1.0
21	Crs intro sig ctrl not cov elsewher	63	13	13	13	0	0	8	0	0	4.3	1.2	40	0	0	4.4	1.0
22	Content of crs contrib intel growth	38	25	25	13	0	0	8	0	0	3.9	1.1	24	0	0	4.4	1.0
23		0	0	0	0	0	8	0	0	0	0.0	0.0		0	0	4.5	0.8
24		0	0	0	0	0	8	0	0	0	0.0	0.0		0	0	4.8	0.4
25		0	0	0	0	0	8	0	0	0	0.0	0.0		0	0	4.7	0.7
26		0	0	0	0	0	8	0	0	0	0.0	0.0		0	0	4.9	0.3
27		0	0	0	0	0	8	0	0	0	0.0	0.0		0	0	4.9	0.3
28		0	0	0	0	0	8	0	0	0	0.0	0.0		0	0	4.9	0.3
29		0	0	0	0	0	8	0	0	0	0.0	0.0		0	0	4.9	0.3
30		0	0	0	0	0	8	0	0	0	0.0	0.0		0	0	4.9	0.3
31		0	0	0	0	0	8	0	0	0	0.0	0.0		0	0	4.9	0.3
32		0	0	0	0	0	8	0	0	0	0.0	0.0		0	0	4.9	0.3
33		0	0	0	0	0	8	0	0	0	0.0	0.0		0	0	4.9	0.3
34		0	0	0	0	0	8	0	0	0	0.0	0.0		0	0	4.9	0.3
35		0	0	0	0	0	8	0	0	0	0.0	0.0		0	0	4.9	0.3

STUDENT SURVEY — *PART 2* (WILL BE SHOWN TO THE INSTRUCTOR)

YOUR COMMENTS AND EVALUATIONS IN PART 2 WILL BE REVIEWED BY YOUR INSTRUCTOR, DEAN/DIRECTORS AND THE PROVOST AFTER THE END OF THE SEMESTER. EXPRESS YOUR REACTIONS FREELY, SINCE YOUR ADVICE COULD HELP YOUR INSTRUCTOR IMPROVE THE QUALITY OF INSTRUCTION. IF YOU WISH YOUR COMMENTS TO REMAIN ANONYMOUS, DO NOT SIGN BELOW.

23. What do you perceive as the real strengths and/or weaknesses of the facilities and services supporting this class? Can you suggest improvements?

N/A

24. What do you perceive as the real strengths and/or weaknesses of this course? Can you suggest improvements?

STRENGTH WAS THE TEACHER + THE APLICATION TO ARCHICTURE.

25. What do you perceive as the real strengths and/or weaknesses of the instructor? Can you suggest improvements?

THE TEACHER WAS ENTHUSIASTIC INFORMATIVE + VERY HELPFUL. HE WAS GREAT

STUDENT INFORMATION

JOHN KAO
Instructor

SOPH
Student's Class Level (Fr., Soph., Jr., Sr., Other)

PRECALCULUS
Course Title

3.7
Student's Approximate Grade Point Average

SPRING 00
Term

Student's Signature *(optional)*

INTERIOR ARCH
Student's Major

SD 27

OAA:10/92 (AASURV2 & AASURV3)

STUDENT SURVEY — *PART 2* (WILL BE SHOWN TO THE INSTRUCTOR)

YOUR COMMENTS AND EVALUATIONS IN PART 2 WILL BE REVIEWED BY YOUR INSTRUCTOR, DEAN/DIRECTORS AND THE PROVOST AFTER THE END OF THE SEMESTER. EXPRESS YOUR REACTIONS FREELY, SINCE YOUR ADVICE COULD HELP YOUR INSTRUCTOR IMPROVE THE QUALITY OF INSTRUCTION. IF YOU WISH YOUR COMMENTS TO REMAIN ANONYMOUS, DO NOT SIGN BELOW.

23. What do you perceive as the real strengths and/or weaknesses of the facilities and services supporting this class? Can you suggest improvements?

NEED MORE SPACE

24. What do you perceive as the real strengths and/or weaknesses of this course? Can you suggest improvements?

PREPARES US FOR PHYSICS OR STRUCTURES, HOPEFULLY.

25. What do you perceive as the real strengths and/or weaknesses of the instructor? Can you suggest improvements?

INSTRUCTOR WAS ALWAYS THERE TO HELP, AND WAS ALWAYS ON TIME

STUDENT INFORMATION

JOHN KAO
Instructor

Student's Class Level (Fr., Soph., Jr., Sr., Other)

PRECALCULUS
Course Title

Student's Approximate Grade Point Average

SPRING 2000
Term

Student's Signature *(optional)*

Student's Major

SD 28

OAA:10/92 (AASURV2 & AASURV3)

STUDENT SURVEY — PART 2 (WILL BE SHOWN TO THE INSTRUCTOR)

YOUR COMMENTS AND EVALUATIONS IN PART 2 WILL BE REVIEWED BY YOUR INSTRUCTOR, DEAN/DIRECTORS AND THE PROVOST AFTER THE END OF THE SEMESTER. EXPRESS YOUR REACTIONS FREELY, SINCE YOUR ADVICE COULD HELP YOUR INSTRUCTOR IMPROVE THE QUALITY OF INSTRUCTION. IF YOU WISH YOUR COMMENTS TO REMAIN ANONYMOUS, DO NOT SIGN BELOW.

23. What do you perceive as the real strengths and/or weaknesses of the facilities and services supporting this class? Can you suggest improvements?

It's good that they changed the venue of the class to a room instead of the lecture hall.

24. What do you perceive as the real strengths and/or weaknesses of this course? Can you suggest improvements?

I feel some of the lessons are not necessary for architecture + the others are too basic & for high school.

25. What do you perceive as the real strengths and/or weaknesses of the instructor? Can you suggest improvements?

the test is totally different in the topics we discussed and he teaches very fast.

SD 29

STUDENT INFORMATION

JOHN KAO
Instructor

FRESHMAN
Student's Class Level (Fr., Soph., Jr., Sr., Other)

[redacted] PRE-CALCULUS
Course Title

3.1
Student's Approximate Grade Point Average

SPRING 2000
Term

Student's Signature (optional)

ARCHITECTURE
Student's Major

OAA:10/92 (AASURV2 & AASURV3)

STUDENT SURVEY — *PART 2* (WILL BE SHOWN TO THE INSTRUCTOR)

YOUR COMMENTS AND EVALUATIONS IN PART 2 WILL BE REVIEWED BY YOUR INSTRUCTOR, DEAN/DIRECTORS AND THE PROVOST AFTER THE END OF THE SEMESTER. EXPRESS YOUR REACTIONS FREELY, SINCE YOUR ADVICE COULD HELP YOUR INSTRUCTOR IMPROVE THE QUALITY OF INSTRUCTION. IF YOU WISH YOUR COMMENTS TO REMAIN ANONYMOUS, DO NOT SIGN BELOW.

23. What do you perceive as the real strengths and/or weaknesses of the facilities and services supporting this class? Can you suggest improvements?

THE MAIN WEAKNESS WAS THE FACT THAT THE CLASS MOVED TO 5 OR 6 DIFFERENT CLASS ROOMS AT THE FIRST OF THE SEMESTER, THIS PROVED TO BE VERY DISTRACTING.

24. What do you perceive as the real strengths and/or weaknesses of this course? Can you suggest improvements?

25. What do you perceive as the real strengths and/or weaknesses of the instructor? Can you suggest improvements?

THE STRENGTHS OF THIS INSTRUCTOR CAN BE SEEN IN HIS VAST KNOWLEDGE OF THE SUBJECT AND HIS PROFESSIONAL COMMUNICATION SKILLS.

SD 30

STUDENT INFORMATION

JOHN KAO
Instructor

SOPH
Student's Class Level (Fr., Soph., Jr., Sr., Other)

PRE-CALC.
Course Title

3.5
Student's Approximate Grade Point Average

SPRING 2000
Term

Student's Signature *(optional)*

ARCHITECTURE
Student's Major

STUDENT SURVEY — *PART 2* (WILL BE SHOWN TO THE INSTRUCTOR)

YOUR COMMENTS AND EVALUATIONS IN PART 2 WILL BE REVIEWED BY YOUR INSTRUCTOR, DEAN/DIRECTORS AND THE PROVOST AFTER THE END OF THE SEMESTER. EXPRESS YOUR REACTIONS FREELY, SINCE YOUR ADVICE COULD HELP YOUR INSTRUCTOR IMPROVE THE QUALITY OF INSTRUCTION. IF YOU WISH YOUR COMMENTS TO REMAIN ANONYMOUS, DO NOT SIGN BELOW.

23. What do you perceive as the real strengths and/or weaknesses of the facilities and services supporting this class? Can you suggest improvements?

24. What do you perceive as the real strengths and/or weaknesses of this course? Can you suggest improvements?

25. What do you perceive as the real strengths and/or weaknesses of the instructor? Can you suggest improvements?

ROCKS, ENTERTAINING ANECDOTES

SD 31

STUDENT INFORMATION

KAO
Instructor

FR/JR
Student's Class Level (Fr., Soph., Jr., Sr., Other)

PRECALC
Course Title

3.61
Student's Approximate Grade Point Average

00 SP
Term

Student's Signature *(optional)*

ARCH
Student's Major

OAA:10/92 (AASURV2 & AASURV3]

STUDENT SURVEY — *PART 2*: (WILL BE SHOWN TO THE INSTRUCTOR)

YOUR COMMENTS AND EVALUATIONS IN PART 2 WILL BE REVIEWED BY YOUR INSTRUCTOR, DEAN/DIRECTORS AND THE PROVOST AFTER THE END OF THE SEMESTER. EXPRESS YOUR REACTIONS FREELY, SINCE YOUR ADVICE COULD HELP YOUR INSTRUCTOR IMPROVE THE QUALITY OF INSTRUCTION. IF YOU WISH YOUR COMMENTS TO REMAIN ANONYMOUS, DO NOT SIGN BELOW

23. What do you perceive as the real strengths and/or weaknesses of the facilities and services supporting this class? Can you suggest improvements?

great. No improvements

24. What do you perceive as the real strengths and/or weaknesses of this course? Can you suggest improvements?

very well planned. Thorough cont[illegible].

25. What do you perceive as the real strengths and/or weaknesses of the instructor? Can you suggest improvements?

Instructor knows material very helpful.

SD 32

STUDENT INFORMATION

Kao
Instructor

Junior
Student's Class Level (Fr., Soph., Jr., Sr., Other)

Precalculus
Course Title

3.0
Student's Approximate Grade Point Average

Spring
Term

Student's Signature *(optional)*

Architecture
Student's Major

California
College
of
Arts
and
Crafts

7 September, 2000

John Kao, Associate Professor
Department of Mathematics
College of Arts and Sciences
University of San Francisco
2130 Fulton Street
San Francisco, CA 94117-1080

Dear Prof. Kao:

I read with great interest your student evaluations from last semester which were recently forwarded to me. All the evaluations ranged from very positive to enthusiastic. I know that CCAC is a different very different venue from USF, but that in no way affected the success of your teaching.

I want to thank you for the excellent job you did last spring in teaching Precalculus to our architecture students. I regret that the logistics of your schedule do not make it possible for you to continue to teach at CCAC. It is for this reason that we have decided to have this math course delivered by an new instructor from our Humanities and Sciences department. We have great faith and hopes that he will perform up to the standards that you have set. If we are not satisfied, we will most likely look to reopen our relationship with the USF math department. I have communicated this all to Paul Zeitz earlier on, and forgive me for taking so long to communicate it to you.

Sincerely,

John A. Loomis AIA
Chair, Architecture
cc: M. Van Buren

1111 Eighth Street
San Francisco
California
94107
Ph 415 703 9500
Fx 415 621 2396

SD Note:
This is the last page of K1.

SD 33

USF
UNIVERSITY of
SAN FRANCISCO

Department of Mathematics

College of Arts and Sciences
2130 Fulton Street
San Francisco, CA 94117-1080
TEL 415 422-6747
FAX 415 422-2346

November 10, 2000

Tristan Needham
Associate Dean for Sciences
College of Arts and Sciences

Dear Tristan:

I am writing in response to your letter of 1 Nov 2000 regarding the CCAC precalculus course. Since I believe that your letter is in some sense an *official* summation of events, I feel compelled to add my perceptions to the official record of what I believe to be a rather more complex situation.

My main goal is to spread the blame a bit. I think that someone reading your letter without any other background information would conclude that John Kao and I alone were being *officially reprimanded* for messing up a smoothly running operation by stepping outside the chain of command. I certainly deserve some blame for this, but John Kao does not. However, I am afraid that other people and/or institutions must share some responsibility with me.

Your letter of Nov. 1, 2000 stated that you were

> ... very disturbed to discover that as a result of private communications between John Kao and John Loomis at CCAC, it was "decided" that USF would not deliver this course for CCAC in Spring 2001, and that John Loomis would simply have it taught by a CCAC instructor...

I contend that

- These conversations were not private; everything that John Kao said to Loomis was cc'ed to me and cleared by me in advance.
- Loomis never informed me that he had "decided" to teach the course with CCAC staff, but merely told me of his intent.
- Your office was aware of all events, perhaps not as immediately as possible (see below), but with enough advance warning to change events if you had wished.

Furthermore I contend that the responsible parties are

- Myself, for occasionally not communicating with you in proper detail (see below).
- John Loomis of CCAC, and possibly other CCAC administrators, for not understand-

SD Note:
This document is
referred to as Z1 in
Report of Discrimination

SD 34

ing their roles and responsibilities.

- Your office, for not adequately explaining and communicating the above to the CCAC people and to myself.

I emphatically do not accuse anyone of malice, or incompent blundering (including myself). But I do believe that we (the three parties above) all share the blame (and in no particular order of severity) for a situation that was ultimately caused by extreme complexity, miscommunication and plain old bad timing.

In more detail here is a chronology, as I see it:

1. The planning and negotiations to have a precalculus course at or for CCAC students straddled three semesters, during which the math department had three chairs (you, followed by Peter Pacheco, and then me). Since Peter was essentially a caretaker (being occupied also with chairing Computer Science), the complex details of who was responsible for what were not really attended to until I became chair in the Fall of 1999. Preoccupied with learning a new job the CCAC course was placed perhaps unwisely on my backburner.
2. The CCAC-USF relationship is complex and still evolving. Frankly, it was not until a few weeks ago, in a phone conversation with Barbara Jaspersen, that I fully realized that there are essentially 3 different clients involved:
    - CCAC students for whom CCAC has contracted out science courses to USF;
    - USF students who are in a dual-degree program with CCAC, who must take their art classes at CCAC but other classes through USF;
    - Ordinary USF students.
3. I was never invited to, nor was there, to my knowledge, ever a meeting involving all parties (USF dean's office, USF math department, the various CCAC deans and department chairs, Barbara Jaspersen, and Fr. Lucas) to clarify who is responsible for what. I was definitely confused about my responsibilities, and I think I can make an excellent case that I was not alone in this confusion.
4. I asked John Kao to teach the course, because I wanted CCAC to have the best possible professor. John Kao is one of our very best teachers, especially good with lower-level courses, and of course he is extremely hard-working and organized. I fully expected his course (which he delivered at CCAC in Spring 2000) to be successful and run smoothly.
5. The course was successful in that students learned mathematics and gave John good evaluations. But it did not run smoothly. In fact, for most of the semester, John (and me, to a lesser extent) endured a tremendous amount of chaos and had virtually no support at CCAC. It was virtually impossible to get CCAC to give placement exams.

I had to drive down there several times, only to find that the exams had still not been given (after being told by the CCAC secretarial staff that the exam had been given). I never knew who to talk to; no one at CCAC seemed to have any responsibility for the course or its delivery or location, etc. John's room assignment kept changing. Often he was interrupted by CCAC faculty who did not know that his room had been reserved, etc. Furthermore, John's curricular assignment kept changing as well. He was told that his course needed to be changed (made easier) right at the start the semester. You get the picture. At no time was I ever made aware of who precisely at CCAC we were serving, who was in charge of the curriculum, who decided how to balance curricular needs between the "pure CCAC" students and the dual-degree USF students. Indeed, these complex matters are not really my responsibility. But someone has to be responsible. Who?

6. During the course of the semester, John frequently complained to me of his frustrating experiences, most of which I relayed to you, at least in informal conversations during the course of the semester. Indeed, I found John's frustration frustrating, for me: I had to listen to his complaints, with little to do about them. Perhaps unjustly, I was sometimes annoyed with John's level of complaining, but frankly, he had to "vent" with someone, and I was the natural candidate. I am sure that I would have done the same, had I been in his position.

7. During this semester (spring 2000) one of the math departmental issues that I was preoccupied with was our (ongoing) staffing problem. I felt that our department was (is) understaffed, especially considering the large number of service courses that we need to deliver. These matters have been documented, of course, with several productive meetings with you and Stanley Nel, and indeed, I can say today that while our staffing is still not where I would like it to be, our situation is improving and will continue to improve, and I owe you and your office much gratitude for the work that you have done and will do.

8. However, during Spring 2000 I had none of the optimism that I have today, and my overwhelming feeling, after listening to John's complaints about his CCAC experience, was that it was a complete waste of our resources to have such a stellar teacher as John commute downtown into what seemed to be a big, unclear mess. I decided that this situation could not repeat, and vowed to John that this misuse of his talents would not happen again. We did agree, however, that if the course could be moved up to USF, where we could control some of the adminstrative aspects (for example, give placement tests in a timely manner and ensure that the classroom is appropriate, doesn't change, and isn't double-scheduled), that John would be willing, and in fact happy to teach it. Otherwise, we would be happy to staff the course with someone else (most likely one of our best part-time faculty members).

9. After the course was over, in July 2000, I spoke by telephone with John Loomis, the chair of the CCAC architecture program. John Loomis was the person that I tended

to speak to when I wanted to speak to someone 'in charge' at CCAC although it had never been made clear to me, by either John Loomis, anyone else at CCAC, or your office, whether he was in charge and/or empowered to make any decisions. I told him that John was willing to teach the course if it could be held on our campus (a plausible request, since many CCAC students were taking a shuttle bus to USF for a physics course), but that otherwise, I'd be happy to staff the course with someone else. As far as I thought, I was fully within my powers as department chair to suggest alternate staffing for this course; *I was not suggesting, nor negotiating, that the course not take place.* I do agree that I should have consulted with you before talking to Loomis and cc'ed you immediately on all communication with him; this was a mistake on my part for which I take full responsibility.

10. At roughly the same time, John Kao contacted John Loomis to thank him for the opportunity to work at CCAC but also to inform him that he would not be returning to teach there. This was done with my prior approval. It was in no sense a "negotiation" with Loomis but rather a statement of his (Kao's) personal teaching preferences. Again, this was, from my point of view, an internal staffing issue of the math department. We were not intending to not staff the course, but we definitely were not planning to have John Kao teach it.

11. I was quite surprised to receive email from Loomis (actually sent to John Kao, but cc'ed to me) on August 3 2000, stating that Loomis decided to *probably* staff this course internally with CCAC people. When I saw this email, I figured that it was within Loomis's rights and powers to do so. I had no reason to think otherwise, as *no one from your office or CCAC had ever explained to me who was ultimately responsible for delivering this course.*

12. Although I was surprised, I was frankly relieved by Loomis's decision, because it meant to me that I had one less staffing headache. Also, Loomis specifically stated in his email that his action was not definite, just probable. I assumed that he would contact me later with details. *He did not.*

13. Once again I am at fault for not immediately informing you of these events. I believe that I mentioned them to you informally a few days later, but the first official record of this is not until August 15, 2000, when I sent you email (see enclosure) detailing John Kao and John Loomis s decisions, and apologizing for leaving you out of the loop. I must also say, in my defense, that the period of late July to early August 2000 was not a very good time for me to get things done carefully or timely. We bought a house (closing date 7/28/2000) and had a baby (8/4/2000) during this time, and consequently, CCAC matters did not receive the attention that they deserved. Furthermore, you were out of town at approximately this time (a two-week vacation to Chicago, if I remember correctly) which compounded the difficulty of communication.

14. Let me stress that you received my email on August 15. Your letter of Nov. 1

2000 stated that you were 'very disturbed to discover that as a result of private communications between John Kao and John Loomis at CCAc, it was 'decided' that USF would not deliver this course for CCAC in Spring 2001, and that John Loomis would simply have it taught by a CCAC instructor . . . ." This is not how I interpret the events.. My email to you of Aug. 15, 2000 specifically stated that Loomis said that he was intending to staff the course, but that he had not decided absolutely to do so at that point. Furthermore, I specifically invited you at this point to make changes if you wanted to. Quoting from my email to you:

> I'm very sorry that I didn't cc: you; indeed, you should have been more in the loop here and I suppose the story isn't over yet. You may be able to use your powers as dean to change things if you wish. But you being out of town and me being preoccupied with stuff at home made the communication process worse.

15. After this point, I received *no communication at all from Loomis or anyone at CCAC, not even cc's of letters to others*. The letter from Loomis to Kao, dated Sept. 7, 2000, was never sent to me (by Loomis). Please note that this letter contains a mistatement in which Loomis says "I have communicated this all to Paul Zeitz earlier on . . ". This implies that he told me that he was definitely going to staff the course with CCAC people. He did not. His email of Aug. 3 stated an possible intention to do so but nothing more.
16. Nor did I hear anything official from your office until your letter of Nov. 1, 2000. It was not until Oct. 27, 2000 that I found out (from Barbara Jaspersen) to my shock, that Loomis had decided, apparently unilaterally, to not staff the course at all

I think that this record shows clearly the following:

- I was at fault for not cc ing you on all correspondence with Loomis. I also, in retrospect, should not have discussed staffing issues at all with him had I known what I know now. (See next point below.)
- It appears that Loomis did not understand CCAC's obligations to USF regarding who can staff this course. Nor was he aware of the proper communication channels, since most of his primary communciation was with John Kao.
- It also appears that your office and/or higher offices in CCAC did not provide appropriate leadership and oversight of this complex situation. Why didn't Loomis know that he couldn't staff the course internally? Why, when you were made aware, at the latest, on Aug. 15, 2000, of Loomis's intention to do this, did your office not contact him? Why was I never informed until your Nov. 1, 2000 letter, that Fr. Lucas needed to be cc'ed with my communications?

In conclusion, and with all due respect, I think that the problems we have encountered

stemmed from three things:

- My sloppiness in not communicating with you in a timely manner, and not including you in all administrative decisions before they were made, although I must point out that I never thought at any time that I was negotiating anything more important than internal math department staffing;
- A lack of clear directives from your office telling me and the CCAC people just who at CCAC I was supposed to deal with, and just who my clients really were, and what the CCAC responsiblities were;
- Various people at CCAC, including Loomis, who seem not to know who was responsible for what.

But most definitely, John Kao acted absolutely in good faith, and any actions that you may have perceived as overstepping his bounds were done completely with my knowledge and approval.

I do think that now I know what the math department needs to do with regards to CCAC, and I am confident that I can do my part successfully and appropriately. But I am still not sure that the complexity of the CCAC-USF relationship has been worked out properly, and I would feel much more comfortable if a meeting can be arranged with all parties present well before the Spring 2002 semester. I understand that Fr. Lucas is attempting to do this and wish him luck in finding a time when we are all free!

I want to end on a delicate point. While I do not take the criticism of your letter personally—I have a pretty thick skin about these things—the fact is that this was an official letter, cc'ed to numerous people in two different universities, carefully and forcefully reprimanding exactly two people, myself and John Kao. You will note that my response is only for USF eyes. I truly do not care what anyone at CCAC thinks of me. If the future success of this project requires that I be the "fall guy" in their eyes, that is fine. But my reputation at USF is another matter. I believe that John Kao is blameless in this matter. But I do not then conclude that I am the only party responsible. If you agree with this in any way, an *official* response would

be much appreciated.

Sincerely

Paul Zeitz

Paul Zeitz, Ph.D.
Associate Professor and Chair, Mathematics

cc: Stanley Nel, Dean, Arts and Sciences
Fr. Thomas Lucas, S. J., Director of the CCAC Joint BFA/ B. Arch Programs
John Kao, Associate Professor of Mathematics

encl: 2

To: tristan
From: Paul Zeitz <zeitz@usfca.edu>
Subject: Precalculus CCAC
Cc:
Bcc:
X-Attachments:

Hi Tristan,

Here is the first of the two "Dear John"" letters---this one from John Kao to John Loomis re my phone conversation with Loomis in which I told him that John would be happy to teach the course at USF, and that we would be happy to staff it with someone other than John if they wanted it taught down at CCAC. The second letter is Loomis's reply, stating that they may staff the course internally.

I'm very sorry that I didn't cc: you; indeed, you should have been more in the loop here and I suppose the story isn't over yet. You may be able to use your powers as dean to change things if you wish. But you being out of town and me being preoccupied with stuff at home made the communication process worse.

The whole CCAC thing really was a fiasco---John put a happy face on when talking to you about it yesterday. I don't know which was worse: John's difficult experiences there, or my having to endure his whining about it. I truly hope that we get the happy ending of eventually teaching a good course for them HERE. If not, I'd be happy sending one of our more experienced part-timers (Stillman, perhaps, who now owes you and I a favor) down there. But CCAC is truly a disfunctional place. The people are individually quite cordial, but I never got a single thing done properly after asking once--I usually had to ask three times. There is no proper chain of command, and the various divisions are actively hostile to one another. I don't remember if I told you, but a friend of mine is an artist who works there, and he is the president of the faculty assn. As part of a search committee for CCAC's new president (I think, maybe a provost), he witnessed CCAC deans fighting IN FRONT of the candidates. Sounds like USF in the 1970's. Scary.

Take care,

Paul

>X-Sender: kao@euclid.math.usfca.edu
>Date: Wed, 02 Aug 2000 11:31:57 -0700
>To: jloomis@ccac-art.edu
>From: John Kao <kao@usfca.edu>
>Subject: Precalculus 2001
>Cc: zeitz@usfca.edu
>Mime-Version: 1.0
>Status:
>
>
>John,
>
>Nice to see you the other day. My apologies for
>not speaking longer--I had an appointment with my
>student, Ms. Naoko Ono, who received an Incomplete
>grade and would like to fulfill her course
>requirements this summer.
>

>My colleague, Paul Zeitz, informed me of your
>discussion regarding Precalculus in Spring 2001.
>It was gratifying to learn that Architecture was
>satisfied with this course last semester; I enjoyed
>performing this service very much. I would like to
>continue teaching for you; however, having
>completed my planning for next academic year, I
>find this assignment is incompatible with my
>research commitments to USF. In particular,
>the time required to commute between our two
>sites and to provide a separate set of office
>hours for your students will not be available
>to me Spring 2001. I apologize for any
>inconvenience. I am certain the Mathematics
>Department will provide a suitable alternative.
>
>I look forward to working with you in the future;
>it has been a pleasure to become acquainted
>with CCAC's SF campus in general, and Architecture
>in particular.
>
>Sincerely,
>
>John Kao
>Mathematics, USF
>

To: needham
From: Paul Zeitz <zeitz@usfca.edu>
Subject: CCAC-second forwarded msg (loomis to Kao/Zeitz)
Cc:
Bcc:
X-Attachments:

Nope, I have no idea what "'H & S" is. Perhaps Humanities and Sciences?

>Date: Thu, 03 Aug 2000 14:02:47 -0700
>Subject: Re: Precalculus 2001
>To: kao@usfca.edu
>Cc: zeitz@usfca.edu
>From: jloomis@ccac-art.edu (John Loomis)
>MIME-Version: 1.0
>Status:
>
>John-
>Thank you for your kind note. And thank you very much for taking the time
>to come to CCAC and meet with our student at this point in the summer.
>That was above and beyond the call of duty, and I really appreciate it.
>I am sorry we will not be able to continue with you next year. I think we
>will be trying to cover this course with a new instructor, recently hired
>by our H&S department.
>Thank you for your contribution to CCAC.
>With warm regards,
>-John Loomis
>
>_____
>John A. Loomis AIA, Chair
>Architecture Program
>California College of Arts and Crafts (CCAC)
>1111 Eighth Street
>San Francisco, CA 94107
>415.703.9516
>415.703.9524fax
>jloomis@ccac-art.edu
>

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December 22, 2000

Stanley Nel, Dean
College of Arts and Sciences
University of San Francisco

Dear Dean Nel,

Thank you for conducting the Step Zero Grievance Meeting on Thursday, December 7, which addressed my objection to a letter written by Tristan Needham, Associate Dean of Sciences, and sent to Paul Zeitz, Chair of Mathematics. During this meeting you officially confirmed the following statement:

> To the best knowledge of Dean Needham and Dean Nel, *Pr. Kao was not at all responsible for the breakdown in lines of communication and chain of command* referred to in Dean Needham's November 1 letter to Pr. Zeitz.

Thank you also for providing me with an official signature on Dean Needham's e-mail to me dated November 20 (attachment 1). I now feel fully protected from liability in the event that problems in the agreement between CCAC and USF has a negative financial impact on either institution.

Finally, thank you for explaining to me that in the College of Arts and Sciences, e-mail from a Dean is regarded as much a part of the official record as letters printed on USF letterhead (see attachment 2). For your reference, I am attaching the other e-mail I received from Dean Needham and Pr. Zeitz (attachments 3-5) regarding Dean Needham's November 1 letter (attachment 6)

I am pleased that we were able to settle this matter completely at an Informal Step.

Sincerely,

John Kao

John Kao
Associate Professor

cc: Fr. Stephen A. Privett, S.J., President, USF
James L. Wiser, Provost and Academic VP, USF
Fr. Thomas Lucas, S.J., Director of the CCAC Joint BFA/B.Arch Programs USF
Tristan Needham, Associate Dean, College of Sciences, USF
Paul Zeitz, Chair, Department of Mathematics, USF
David Meckel, Dean of Design and Architecture, CCAC
John Loomis, Chair of Architecture, CCAC

Enc.: 6

SD 44

SD Note:
This document is referred to as K2 in *Report of Discrimination*

Resent-Date: Mon, 20 Nov 2000 13:33:20 -0800
Resent-From: kao@Beta.usfca.edu
Resent-To: kao@euclid.math.usfca.edu
From: "Tristan Needham" <needham@usfca.edu>
Organization: University of San Francisco
To: kao@usfca.edu
Date: Mon, 20 Nov 2000 13:31:38 -0800
Subject: Clearing the air
Reply-to: needham@usfca.edu
CC: dmeckel@ccac-art.edu, jloomis@ccac-art.edu, lucast@usfca.edu, nel@usfca.edu, zeitz@usfca.edu
Priority: normal
X-mailer: Pegasus Mail for Win32 (v3.12c)

Hi John

Although you and I have spoken, I am writing to officially clear the air by saying that my letter to Paul Zeitz (dated Nov 1) regarding CCAC was never intended as a official reprimand of your professional conduct, as you clearly have mistaken it to be.

Let me be even more explicit. I believe that:

- You did not engage in inappropriate or unauthorized negotiations with CCAC administrators.

- You reported all developments at CCAC promptly and accurately to Paul Zeitz, Chair of Mathematics.

I apologize for having written my letter to Paul so sloppily as to make it possible for you to take offence, and I hope we can now put this misunderstanding behind us and move on.

Regards,

Tristan

This accurately reflects the College's position.

STANLEY NEL
DEAN
12/7/2000

****
Tristan Needham
Associate Dean for Sciences
University of San Francisco
(415) 422-6616 FAX: (415) 422-5700
http://www.usfca.edu/math/Faculty/Needham/

Resent-Date: Mon, 27 Nov 2000 16:39:40 -0800
Resent-From: kao@Beta.usfca.edu
Resent-To: kao@euclid.math.usfca.edu
X-Sender: nel@delta.usfca.edu
X-Mailer: QUALCOMM Windows Eudora Version 4.3.2
Date: Mon, 27 Nov 2000 16:36:54 -0800
To: kao@usfca.edu
From: Stanley Nel <nel@usfca.edu>
Subject: E-mail vs. hard copy letters
Cc: needham@usfca.edu

Dear John,

In your latest e-mail (appended below) to Tristan and copied to me you state that "An e-mail message is insufficient: please send your text below as a hardcopy letter."

I am writing simply to remind you that it has been College policy for several years now that electronic communications from the Dean's Office are to be considered every bit as official as hard copies, and may therefore *substitute* for hard copies.

Stanley

> Tristan,
>
> Thank you very much for this e-mail. The content is fine.
> I do request--as I have communicated earlier--that you write
> an official letter, copied to all recipients of your Nov. 1 letter to
> Paul Zeitz. An e-mail message is insufficient: please send your text
> below as a hardcopy letter.
>
> I am eager to clarify this matter, particularly with my colleagues at
> CCAC who fall outside our usual lines of communication. For this
> reason, I request that this letter be completed no later than Nov. 30.
> If I have not received your letter by this date, I will assume you
> are unwilling to honor my request; and I will proceed accordingly.
>
> Sincerely,
>
> John Kao
> Mathematics, USF

Resent-Date: Wed, 15 Nov 2000 13:16:44 -0800
Resent-From: kao@Beta.usfca.edu
Resent-To: kao@euclid.math.usfca.edu
From: "Tristan Needham" <needham@usfca.edu>
Organization: University of San Francisco
To: kao@usfca.edu
Date: Wed, 15 Nov 2000 13:15:13 -0800
Subject: CCAC misunderstanding
Reply-to: needham@usfca.edu
CC: zeitz@usfca.edu
Priority: normal
X-mailer: Pegasus Mail for Win32 (v3.12c)

Hi John

Yesterday I received a copy of your strongly worded letter to Stanley, in response to a letter I wrote to Paul about CCAC It's clear that there has been a horrible misunderstanding, and I would like to try and nip this problem in the bud.

For the record, that letter to Paul was not intended as a reprimand of any kind (formal or informal) of your professional conduct: in the very unlikely event that I would ever need to reprimand you for something, I would certainly write to you directly! Returning to the matter at hand, let me be even more explicit: I do not think that you did anything at all inappropriate in connection with CCAC. In fact my main reason for copying you on the letter to Paul was to show you how publicly I was singing your praises for the outstanding job you did teaching at CCAC.

I apologize for having written my letter to Paul so sloppily as to make it possible for you to take offence.

Regards,

Tristan

Resent-Date: Wed, 15 Nov 2000 14:15:04 -0800
Resent-From: kao@Beta.usfca.edu
Resent-To: kao@euclid.math.usfca.edu
From: "Tristan Needham" <needham@usfca.edu>
Organization: University of San Francisco
To: zeitz@usfca.edu
Date: Wed, 15 Nov 2000 14:13:32 -0800
Subject: Your CCAC memo
Reply-to: needham@usfca.edu
CC: nel@usfca.edu, kao@usfca.edu, lucast@usfca.edu
Priority: normal
X-mailer: Pegasus Mail for Win32 (v3.12c)

Hi Paul

Thanks for your detailed Nov 10 memo about CCAC. I'm writing to say that I completely agree with your fundamental point that there is enough blame to go around. Specifically, I should have kept closer tabs on this myself, rather than assuming (as I did) that after the initial fully successful launch of the program by John Kao, everything would automatically go smoothly year after year. Even more importantly, I should have realized that because we had three different Chairs of Mathematics in as many years, you might not be fully up to speed on the history and importance of our commitment to CCAC, and I should have sat down with you and explicitly briefed you on this. I fully accept blame on both these counts, and I apologize for not having acknowledged this in my original letter to you.

Now let's put this behind us and just make sure we all get it right next time!

Best regards,

Tristan

Resent-Date: Mon, 20 Nov 2000 14:35:58 -0800
Resent-From: kao@Beta.usfca.edu
Resent-To: kao@euclid.math.usfca.edu
X-Sender: zeitz@euclid.math.usfca.edu
Date: Mon, 20 Nov 2000 14:36:43 -0800
To: needham@usfca.edu
From: Paul Zeitz <zeitz@usfca.edu>
Subject: Re: Clearing the air
Cc: kao@usfca.edu

Hi Tristan,

Thanks for your recent emails to me and John Kao. I appreciate what you have said, agree with it, and have only one request, which I think will truly put all this behind us:

Could you also put your email statements in hard-copy letterhead form, and place them into our official files?

I request this not because I think that you mean me or John harm, but because institutional memories are effectively infinite even when administrators change. Thus an "official" record would protect John and I from any future conceivable harm that any future conceivable adminstration could conceive of (regarding this issue). By contrast, email inhabits a limbo world, from a legal point of view.

Thanks.

Paul

Paul Zeitz

Associate Professor and Chair
Mathematics Department
University of San Francisco
2130 Fulton St.
SF, CA 94117-1080

zeitz@usfca.edu

http://www.usfca.edu/usf/math/Faculty/Zeitz/index.html

UNIVERSITY of SAN FRANCISCO

Office of the Associate Dean for Sciences

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November 1, 2000

Professor Paul Zeitz
Chair of Mathematics
Department of Mathematics
College of Arts and Sciences
University of San Francisco

Dear Paul,

This semester I received a copy of a report that John Kao submitted to you regarding his Spring 2000 teaching of Precalculus for Architecture students at CCAC. To save everyone the trouble of looking it up, I'm attaching a copy to this letter. I am also attaching copies of two e-mail messages that you forwarded to me (at my request) after I discovered that important communications were being exchanged with CCAC without Fr. Lucas and myself being consulted or even informed.

Let me begin on a positive note by saying that I very much appreciate the effort John put into developing—at the last minute, and on the fly—a version of this course that was significantly different than the one we have delivered at USF, one that better met the special needs of the CCAC students. The student evaluations attest to the fact that this was a complete success and that John did his usual outstanding job in the classroom.

Less happily, my real reason for writing is to spell out grave concerns, about which you and I have already spoken in person, regarding the breakdown of both the lines of communication and the chain of command in connection with the delivery of this course by USF for CCAC. Specifically, I was, as you know, very disturbed to discover that as a result of private communications between John Kao and John Loomis at CCAC, it was "decided" that USF would not deliver this course for CCAC in Spring 2001, and that John Loomis would simply have it taught by a CCAC instructor from their Department of Humanities and Sciences.

I am less concerned with dwelling on what has gone wrong in the past, and more concerned with repairing the damage for the future. So please note the following points very carefully:

1) Neither John Kao nor you are empowered to negotiate with CCAC on behalf of USF.
2) As a result of accreditation problems with CCAC's own delivery of mathematics courses for its Architecture students, the CCAC Administration negotiated with the USF Administration, and it was agreed that USF would in future deliver a version of Precalculus for CCAC.
3) As Associate Dean for Sciences it falls to me to ensure that this agreement is honored, and I in turn rely on you as Chair of Mathematics to assign an appropriate USF mathematics instructor to teach this course at CCAC each Spring. Please ensure that this is done for Spring 2002.

4) I have no desire to micromanage, and I am happy to leave to you such details as which USF instructor should deliver the course, what modifications to the syllabus need to be made, as well as the time of day at which the course is taught. However, I do insist that both Fr. Lucas and I be copied on all communications with CCAC regarding this course.

Thanks for your helping in preventing a recurrence of this problem, thereby ensuring that the relationship between USF and CCAC that Fr. Lucas has worked so hard to forge is not eroded any further than it has been already.

Regards,

Tristan

Tristan Needham
Associate Dean for Sciences

cc: Stanley Nel, Dean, College of Arts and Sciences, USF
Fr. Thomas Lucas, S.J., Director of the CCAC Joint BFA/B.Arch Programs, USF
John Kao, Associate Professor of Mathematics, USF

David Meckel, Dean of Design and Architecture, CCAC
John Loomis, Chair of Architecture, CCAC

Enc.: 2

SD Note:
This is the last page of K2.

SD 51

Summary of Step O Grievance Meeting (12/7/00) for John Kao (Grievant)

Present: Dean Stanley Nel (SN), Professor John Kao (JK) (grievant), Professor Robert Toia, Nancy Campagna

At the beginning of the meeting JK thanked SN for his email correspondence, and then outlined his understanding of the history of the CCAC/USF agreement referred to in the letter from Associate Dean Tristan Needham (TN). JK indicated that he was not aware of the details the "agreement" referred to in the letter.

JK then indicated that he had three specific requests to bring the process to a close.

At this point SN stated that he considered this as Step 0 of the grievance process, with a view to leading to an informal resolution. He then asked JK to reiterate the nature of the grievance in terms of the Collective Bargaining Agreement (CBA).

JK agreed that he viewed this as Step 0. He then referred to the November 1st letter from TN and stated that he considered this libelous and since this is a matter under civil law this falls under Article 18 of the CBA. JK indicated his biggest concern was that the distribution list indicated that this letter was distributed off-campus and that he feels that he could be held legally liable.

SN asked what is the legal liability felt. He stated that JK was NOT a party to the CCAC/USF agreement, therefore what is the legal liability.

JK stated that the letter suggests he was insubordinate and that consequently the Agreement had been broken.

SN asked to re-read the letter (JK brought multiple copies of all documents to the meeting).

JK indicated that the relevant areas were highlighted in yellow in the letter. He restated that he considered the letter libelous and felt legal liability. The exact nature of the latter was hard to articulate since he (JK) doesn't have a copy of the original CCAC/USF agreement.

SN then stated FOR THE RECORD that "neither USF nor CCAC feels that here has been any breach in the agreement".

SN the asked "what is the liability?" He then went on to state that there is no legal liability from the USF side and that (subject to verification from counsel) that if there was any contract breach that the responsible party is USF. He also stated that USF might discipline its employees but it doesn't hold them liable. He went on to state that the main issue seems to be breakdown in communication and that he doesn't see any clear issue relating to legal liability. SN then asked JK to return to the three points he (JK) referred to at the start of the meeting.

JK indicated the three specific requests to bring the process to a close were:

i) Please confirm the following, for the record:

"To the best knowledge of Dean Needham and Dean Nel, Pr. Kao was not at all responsible for the breakdown in lines of communication and chain of command referred to in Dean Needham's November 1 letter to Pr. Zeitz"

ii) That a signature be given on the email of TN dated November 20, 2000

iii) That a reference to the statement that email from administration to staff (as exemplified by TN's email of apology to JK) in the College of Arts and Sciences is University communication.

To conclude the meeting, with regard to the numbered points above:

i) SN then confirmed the statement prepared by JK referred to in i) above.

ii) SN signed the email of TN in ii) above.

iii) SN stated that, FOR THE RECORD, that the statement in iii) above is official University policy and that his position allows him to state this officially. SN also stated that verbal contracts in California are binding and he is legally committing the University to statements being mad by him.

JK indicated that he was satisfied with the outcome of the meeting, and that there was no need to proceed further with the grievance process in this instance.

Notes taken on behalf of JK by Robert F. Toia (USFFA Policy Board Member)

Robert F. Toia
12/20/2000

SD Note:
This document was cc'ed to Alan Heinemann, USFFA President. Grievance documents were attached: K1 (containing complete copies of N1 and M2) and also Z1.

John Kao
Mathematics Department
University of San Francisco

November 21, 2000

Robert Toia, Chair
Environmental Science
University of San Francisco

Dear Pr. Toia,

Thank you again for the consultation on Monday. As I communicated by e-mail, I made an appointment with Dean Nel for a Step Zero grievance meeting as is mandated by the Bargaining Agreement. The date and time of this meeting is

4:00pm Thursday, December 7.

We did not have time to discuss my situation in detail, so I will summarize the events in this letter and enclose all relevant documentation for your files.

During the Spring 2000 semester, I taught a class (Precalculus) for the Architecture Department at the California College of Arts and Crafts (CCAC). This was the first semester of an ongoing program in which the Mathematics Department would deliver a Precalculus course every spring at CCAC's South of Market campus. On August 2, I received a request from CCAC to teach again Spring 2001. After consulting with Paul Zeitz, Chair of Mathematics, I sent e-mail to John Loomis, Chair of Architecture at CCAC, declining the invitation. His response was copied to Pr. Zeitz. My involvement with this program was thus ended on August 3.

On Tuesday, November 7, I received a letter from Tristan Needham, Associate Dean, College of Science, addressed to Paul Zeitz, Chair of Mathematics, and copied to me. This letter dated November 1 alleges that during my tenure as visiting professor at CCAC I

- entered into inappropriate and unauthorized negotiations with John Loomis, Chair, Architecture Department, CCAC;
- negotiated a deal that violates prior agreements between CCAC and USF;
- defied lines of communication and chain of command at USF.

These allegations are absolutely untrue. No one contacted in this regard prior to my receipt of Dean Needham's letter. I have enclosed for your reference

1) my letter to Stanley Nel, Dean, Arts and Sciences, requesting a letter of retraction
2) subsequent e-mail exchanges between myself and Dean Needham.

3) a letter sent to Dean Needham by Pr. Zeitz clarifying the events of this past summer (Pr Zeitz has requested that this letter not be made public).

As of this writing, Dean Needham has not written an official letter of retraction. Should he fail to do so by December 7 I plan to file a grievance to the effect that

> The writing and distribution of a letter sent by Dean Needham to Pr. Zeitz dated November 1 constitutes an act of libel. This, as a violation of civil law is a violation of Article 18 of the Bargaining Agreement.

I would request that Dean Needham write an official letter of retraction, copied to all recipients of his November 1 letter. Dean Needham has agreed over the telephone to write such a letter, and I am hopeful he will do so.

I have no reservations about your discussing this situation with other parties, however, Pr. Zeitz has requested that his letter remain confidential. As it is an official letter, copied to me, I feel entitled to use it as evidence; nevertheless, I have agreed to honor his request for the time being. Please keep this particular document confidential.

Hopefully, this can all be resolved before your return to campus in December. Thank you again for your attention in this matter.

Sincerely,

John Kao

John Kao

cc: Alan Heineman President, USFFA

Enc.: 3

USF
UNIVERSITY of SAN FRANCISCO

Department of Mathematics

College of Arts and Sciences
2130 Fulton Street
San Francisco, CA 94117-1080
TEL 415 422-6747
FAX 415 422-2346

SD Note:
This document was cc'ed to Robert Toia, USFFA Grievance Representative. Grievance documents were attached: Minutes of Grievance meeting on 12/7/00 and K2.

January 26 2001

Alan Heineman, President, USFFA
English Department
University of San Francisco

Dear Pr. Heineman.

This correspondence is meant as a final report on the grievance which I pursued last semester. I have already informed you of its outcome; I also promised to forward relevant documentation to you so that the Faculty Association's files would be complete. This letter will serve to bring the matter to a close.

As you are aware, my grievance concerned a letter, dated November 1, 2000; which was sent by Tristan Needham, Dean of Sciences, to Paul Zeitz, Chair of Mathematics. This letter referred to my professional conduct at the California College of Arts and Crafts (CCAC) where I served as visiting professor during Spring 2000. The basis of my grievance was

> The writing and distribution of the letter sent by Dean Needham to Pr. Zeitz, dated November 1, constitutes an act of libel. This, as a violation of civil law, is a violation of Article 18 (Adherence to Law) of the Collective Bargaining Agreement.

In accordance with University procedure, a Step Zero Grievance meeting was conducted on my behalf on December 7, 2000. In attendance were myself; Stanley Nel, Dean of Arts and Sciences; Robert Toia Chair of Environmental Science; and Nancy Campagna, Assistant to the Dean.

At this meeting, I made the following three requests the honoring of which would end my grievance:

1) That the following statement be officially confirmed:

   > To the best knowledge of Dean Needham and Dean Nel, *Pr. Kao was not at all responsible for the breakdown in lines of communication and chain of command* referred to in Dean Needham's November 1 letter to Pr. Zeitz.

2) That a signature be provided on an e-mail of Dean Needham dated November 20, 2000;

3) That a reference to the College policy on the official nature of e-mail from the Dean's Office by given.

I have attached Pr. Toia s minutes of the meeting. As you see, Dean Nel essentially honored each of my requests. Consequently I concluded my grievance at Step Zero.

To complete your file, I have also attached evidence I presented to Dean Nel to the effect that an ordinary e-mail does not carry the same legal force as a signed written document. My last attachment is a letter sent to Dean Nel with the intent of confirming the proceedings of our Step Zero meeting.

Thank you for your attention in this matter. I am grateful that through the hard work of the USFFA a formal administrative procedure exists whereby a faculty member's rights may be protected.

Respectfully,

John Kao

John Kao

cc: Robert Toia, Chair, Environmental Science

Enc.: 3

UNIVERSITY of SAN FRANCISCO

Office of the Dean

College of Arts and Sciences
2130 Fulton Street
San Francisco, CA 94117-1080
TEL 415 422-6172
FAX 415 422-2163

April 18, 2002

John S. Kao
Associate Professor of Mathematics
Harney Science Center, Room 217
University of San Francisco
Campus

Dear John:

In accordance with the stipulations in *Article* 28 of the *Collective Bargaining Agreement*, the special leave of absence you requested for Spring 2002 has been approved by the University. The conditions under *Article* 28.25 apply to this leave.

John, my best wishes accompany you on your leave. If I can be of any special assistance, please let me know.

Yours sincerely

Stanley D. Nel
Dean, College of Arts and Sciences

Cc: Tristan Needham
Associate Dean for Sciences

UNIVERSITY of SAN FRANCISCO

Department of Mathematics

College of Arts and Sciences
2130 Fulton Street
San Francisco, CA 94117-1080
TEL 415 422-6747
FAX 415 422-2346

May 31, 2002

Stanley Nel, Dean
College of Arts and Sciences
University of San Francisco

Dear Dean Nel,

Thank you again for awarding me a Special Leave of Absence for the Spring 2002 semester. I understand that I was not responsible for any teaching days therein, however, I would appreciate it if you would place the attached letter in my file for future reference. Thank you for your kind attention.

Sincerely,

John Kao

John Kao
Associate Professor

cc: Tristan Needham Associate Dean of Sciences, USF
Paul Zeitz, Chair Department of Mathematics, USF

Enc.: 1

Frederick N. Parris M.D.
Clinical Professor
School of Medicine, UCSF
Psychiatry (private practice)
4333 California St.
San Francisco CA 94118

January 31., 2002

Reference: John Sterling Kao., Associate Professor Mathematics., USF

Tristan Needham
Associate Dean of Sciences
University of San Francisco
2130 Fulton St.
San Francisco., CA 94117-1080

Dear Dean Needham.,

I am writing in regards to my patient, John Sterling Kao. Dr. Kao first consulted me on January 14, 2002. At that time., he was suffering from depression related to his familial obligation to care for his septuagenarian mother. I recommended that he begin a treatment of psychotherapy including a prescription of the antidepressant, Prozac. On January 23, I met with Dr. Kao (who was accompanied by his sister, Stephanie Kao) for an emergency consultation. Dr. Kao complained of experiencing hallucinations on and off, and he did not feel safe driving. My diagnosis was that these hallucinations were the result of an allergic reaction to Prozac, and I recommended cessation of the antidepressant. Dr. Kao has stated that the hallucinations have stopped altogether. For this reason, Dr. Kao should be able to immediately resume all of his usual activities. At the same time, it takes approximately two weeks for the drug, Prozac, to completely leave a patient's system. I therefore recommend that Dr. Kao be allowed to recuperate until February 7., 2002.

Sincerely.,

Frederick Parris

Department of Psychiatry &
Langley Porter Psychiatric Institute
401 Parnassus Avenue
San Francisco, California 94143

May 9, 2006

Terry Stoner, Associate Vice President of Human Resources
University of San Francisco, LM 339
2130 Fulton Street
San Francisco, CA 94117-1080

Dear Vice President Stoner,

I am a Clinical Professor of Psychiatry at UCSF and a private practitioner of psychiatry in San Francisco. I also serve as a psychiatric expert witness in court and have taught forensic psychiatry throughout my career, both in medical and in law schools, including UC Berkeley Boalt Hall. This letter concerns Professor John Kao. PhD a mathematics department member at USF, and therefore one of your full-time faculty

Dr. Kao consulted me at the beginning of the current academic year because of discrimination he feels he has experienced at USF. He wondered if an old medical condition he had gone through in 2002 had been handled properly by USF, particularly in relation to the Americans with Disabilities Act.

In 2002, when I did not know Dr. Kao, he became depressed, primarily as a consequence of caring for his aging mother, but also because of the negative way the University had treated him in 2000 when he worked well and diligently at the USF program at California College of Arts and Crafts. In 2002, he consulted with Dr. Fred Parris, a well-respected psychiatrist in the San Francisco community, for his depression. Dr. Parris placed Dr. Kao on fluoxetine (Prozac) at the standard dosage. Unfortunately, Dr. Kao experienced a serious side effect, visual and auditory hallucinations, which are known as an uncommon, but occasional, occurrence with this drug. The "hallucinations" were actually visual illusions (such as halos around objects) and auditory distortions (voices sounded strange). The timeline is as follows: On January 15, 2002, Dr Parris placed Dr. Kao on the drug. On January 20, the perceptual distortions occurred. On January 21, Dr. Parris stopped all medication. On January 22, by the time Dr. Parris's impression of the medication side-effects were confirmed, all perceptual distortions had already ceased.

The Dean at USF (Tristam Needham, PhD) to whom Dr. Kao reported, learned of the situation from Dr. Kao's sister, who spoke with his assistant (Nancy Campagna) on the evening of January 21. This was meant to inform the University that Dr. Kao needed a few weeks of sick time to recuperate. The next day, when Dr. Kao phoned the Dean's Office, Ms. Campagna told Dr. Kao that he could return when he wanted, but he must provide a note from his doctor. (Dr. Parris has since told Dr. Kao that he was never contacted by anyone at USF.)

On January 23, Dr. Kao spoke by phone to the chair of mathematics Paul Zeitz, who told him that his substitute had been hired for the entire semester. It would be a financial burden for the University to pay for him, as well. Then, Dr. Kao spoke on the phone with Dean Needham, who said that he would have to be interviewed by him (T.N.) personally before coming back to work; and that another faculty member would have to be present in his classroom to "help him out" (over the semester) if he was incapacitated. Dr. Kao said he did not agree, but Dean Needham insisted

At that point, Dr. Kao was so shocked, mortified, and humiliated by the Dean's—and the University's—behavior that he stopped negotiating with the Dean.

I examined Dr. Kao in September, 2005 and found no trace of the depression he had suffered in 2002, or of the illusory phenomena he experienced with Prozac. But, he remained humiliated in regard to his treatment at USF in 2002, and he presently feels stigmatized within the mathematics community of the College. He gave me several examples of how the University leaves him isolated culturally and politically—and how they ignore his sound counsel on matters with significant impact on the institution.

SD 61

Insofar as my reading of the ADA requirements, I find that Dean Needham's administrative actions violated a number of ADA provisions: (1) Psychiatry is not to be treated differently than other medical categories; (2) A person who formally requests for a few weeks of medical leave should not be dismissed for the semester; (3) Colleagues are not appointed to watch over others who have a temporary or permanent mental disorder or disability; (4) The definition of "help" is ambiguous, as used by the Dean. It would have been "helpful" only if Dr Kao requested it or Dr. Parris recommended it; (5) The treating physician must be contacted. It is very hard to escape the probability that the University acted with prejudice against Dr. Kao—because of the psychiatric nature of his disability and/or because he belongs to an ethnic minority group.

I have consulted with Dr. Fred Parris by phone about Dr. Kao. I believe that he concurs with me in my opinion. I see nothing that USF is doing (or has done) to make up to Dr Kao for the painfulness and unfairness with which they have treated him. Though I do not always concur with people for taking actions against those who wound them I do concur with Dr. Kao's plan to take up his grievances formally with the University

Yours truly,

Lenore C. Terr, MD

Lenore C. Terr, MD
Clinical Professor of Psychiatry

CURRICULUM VITAE

Lenore Cagen Terr, M.D.

PERSONAL DATA:

Office: 450 Sutter Street, Suite 2534
San Francisco, California 94108
Phone: (415) 433-7800
Fax:(415) 433-2130

Home Address: 10 Walnut Street
San Francisco, California 94118

Place of Birth: New York, New York

Date of Birth: March 27, 1936

Husband: Abba I. Terr, M.D. (Allergist)

Children: David (Born June 27, 1962)
Julia (Born December 12, 1963)

EDUCATION:

College: Western Reserve University, Cleveland, Ohio
1953-1957, A.B (Magna Cum Laude)

Medical School: University of Michigan, Ann Arbor, Michigan
1957-1961, M.D. (with honors)

Internship: University of Michigan Medical Center (Straight Pediatrics), 1961-1962

Residency: University of Michigan Neuropsychiatric Institute
(General Psychiatry), 1962-1964

Fellowship: University of Michigan Children's Psychiatric Hospital (Child Psychiatry)
1964-1966

ACADEMIC APPOINTMENTS IN MEDICAL SCHOOLS:

Case (CWRU) Medical School, Cleveland, Ohio:
Instructor in Child Psychiatry, 1966-1969
Senior Instructor, 1969-1970

Assistant Professor, 1970-1971

University of California San Francisco:
Assistant Clinical Professor of Psychiatry, 1972-1979
Associate Clinical Professor of Psychiatry, 1979-1984
Clinical Professor of Psychiatry, 1984-

ACADEMIC APPOINTMENTS IN LAW SCHOOLS:

Case Western Reserve University Law School:
Lecturer in Law and Psychiatry, 1966-1983

University of California Law School, Berkeley:
Lecturer in Law and Psychiatry, 1971-1990

University of California Davis Law School:
Lecturer in Law and Psychiatry, 1974-1990

MEDICAL LICENSURE:

Diplomate, National Board of Medical Examiners, 1962
Michigan, 1962
Ohio, 1966
California, 1970-

SPECIALTY BOARD CERTIFICATIONS AND SERVICE:

American Board of Psychiatry and Neurology (General Psychiatry), October 1968

American Board of Psychiatry and Neurology (Child Psychiatry), September 1969

Service for American Board of Psychiatry and Neurology as an Examiner, Part II (General Psychiatry), 1970-1988

Child Psychiatry Written Examination Committee, 1982-1988

Director, American Board of Psychiatry and Neurology (American Psychiatric Association Nomination), 1988-1992 ; Second Term, 1992-1996;
Secretary, 1993-1994;
Vice President, 1995-1996;
Chairman, Psychiatry Council, 1995-1996

HOSPITAL AFFILIATIONS:

Assistant Physician, University Hospitals, Cleveland, Ohio, 1966-1970

Attending Physician, University of California San Francisco, Langley Porter Neuropsychiatric Institute 1971-present

JOURNALS

Journal of the American Academy of Child and Adolescent Psychiatry, Special Series Editor, Debates, 1988-1999

SOCIETY MEMBERSHIPS:

American Psychiatric Association, 1966; Fellow, 1972-
Chairman, McGavin Award Selection Board, 1985-1988
Consultant to APA's Task Force on Treatments of Psychiatric Disorders, 1989
American Academy of Child and Adolescent Psychiatry; Fellow, 1970-;
Councilor, 1984-1987
American Association for Academic Psychiatry, Charter and Founding Member, 1972-
California Medical Association, 1971-
San Francisco Medical Society, 1971-
American Medical Association, 1971-1999
ROCAP (Regional Organization for Child and Adolescent Psychiatry) (Charter Member), 1975-
American College of Psychiatrists 1974; Fellow, 1981-;
Program Chairman, 1991 and 1992
GAP (Group for the Advancement of Psychiatry) Committee on Child Psychiatry, 1981-98;
Board of Directors, 1986-1988
Academic Psychiatry Consortium, Center for Advanced Study in Behavioral Sciences, Stanford, 1995-1997
Foundations Fund for Research in Psychiatry, Center for Advanced Study in Behavioral Sciences; Advisory Committee, 1997-1998

HONORS:

Phi Beta Kappa, 1956 (Junior)
Alpha Omega Alpha, 1961
The Senior Award, University of Michigan Medical School, 1961
U.S. Public Health (N.I.M.H.) Career Teacher Award in Psychiatry, 1967-1969
Rockefeller Foundation Scholar in Residence, Bellagio, Lake Como, Italy, 1981
American Psychiatric Association Blanche F. Ittleson Research Award, 1984 (For the published results of research over the past five years that has led, or strongly promises to lead to significant advance in promoting the mental health of children.)
American Psychiatric Association Samuel G. Hibbs Award, 1987 (For work in clinical practice or research that has resulted in a scholarly and innovative contribution to the

diagnosis, treatment, or prevention of mental disorder.)
Rockefeller Foundation Scholar in Residence, Bellagio, Lake Como, Italy, 1988
Northern California Psychiatric Society Outstanding Achievement Award, 1992
Rosenberry Award, Children's Hospital, Denver, Colorado, 1992 and 1993 (only person given this award twice)
American College of Psychiatrists Bowis Award (For service to The College), 1993
Nathaniel William Winkelman Award, Belmont Center for Comprehensive Treatment, Philadelphia, Pennsylvania, November 10, 1993
Child Advocacy Award, American Psychological Association, 1994
Named a "hero of medicine" in the U.S. battle against violence – speech to the AMA by Donna Shalala, Secretary of Health & Human Services, Washington, D.C., March 27, 1995
Listed in: The Best Doctors in America
Who's Who in America
Castle Connolly Medical Ltd. America's Top Doctors
New York Times "notable book" of 1994 for Unchained Memories.
American Psychiatric Association Judd Marmor Award, 2002 (For biopsychosocial contributions to psychiatry.)

GRANTS:

Rosenberg Foundation: Children of Chowchilla, 1977
Rosenberg Foundation: Four Year Follow-up, Children of Chowchilla, 1980-1981
William T. Grant Foundation: Officer's Discretionary Fund Grant. Normal Children's Responses to the Challenger Space Shuttle Disaster, 1986
William T. Grant Foundation: Normal Children's Responses to the Challenger Space Shuttle Disaster – One Year Follow-Up, 1987-1988
Lowenstein Foundation: Mechanisms of Healing in Adolescents After 9-11, 2001

HONORARY AND MEMORIAL LECTURESHIPS:

Phi Beta Kappa Lecture, Case Western Reserve University, 1970
Plenary Speaker in honor of the International Year of the Child, American Academy of Child Psychiatry, 1979
Louis Lourie Memorial Lecture, University of Cincinnati Medical School, March 24, 1982
Rudolf Kraebling Memorial Lecture, Ohio State University, Columbus, October 6, 1982
Tabaroff Memorial Lecture, University of Utah, Salt Lake City, April 24, 1984
Lee Macht Memorial Symposium, Cambridge Hospital, Harvard Medical School, November 30, 1984
Inez Foster Lecture, Brown Schools, Austin, Texas, September 27, 1985
Richard S. Ward Child and Adolescent Psychiatric Symposium, Parkwood Hospital and Emory University, Atlanta, October 23-24, 1986
Sarah Dubo-Ralph Rabinovitch Lecture, Hawthorne Center, Northville, Michigan, November 17, 1986

Samuel G. Hibbs Memorial Lecture, American Psychiatric Association Annual Meeting, Chicago, May 11, 1987
Karl A. Menninger Lecture, Illinois Masonic Medical Center, Chicago, April 20, 1988
Doris Perry Memorial Symposium, Maine Medical Center, Portland, Maine, July 8, 1988
William T. Grant Foundation Lecture, American Psychosomatic Society Annual Meeting, San Francisco, California, March 10, 1989
Virginia Tarlow Memorial Lecture, Northwestern University Medical School, Department of Psychiatry & Behavioral Sciences, Evanston, Illinois, June 22, 1989
Invited Speaker, Woodrow Wilson Center, Smithsonian Institution, Washington, D.C., September 21, 1989
Clarence Jones Honorary Lectureship, University of Nevada, Reno, November 16, 1989
Lauretta Bender Lecture, Queens Children's Psychiatric Center, New York, December 5, 1989
Linda M. Weissman Memorial Lecture, Hall-Mercer Hospital, Institute of Pennsylvania Hospitals, Philadelphia, December 7, 1989
Carrie Hope Jacobs Memorial Lecture, Hillside Hospital, Long Island, January 10, 1990
Thomas H. Holmes Lecture, University of Washington School of Medicine, Seattle, March 8, 1990
Julian and Jessie Harrison Distinguished Visiting Professor Lecture, University of Tennessee at Memphis, May 4, 1990
Morton Levitt Memorial Lectureship, University of California Davis, School of Medicine, March 13, 1991
Frank and Milbrey Luton Lecture in Psychiatry, Vanderbilt University, Nashville, Tennessee, May 2, 1991
Raphell Sims Lakowitz Memorial Conference, North Shore University Hospital, Cornell University Medical College, Manhasset, New York, May 3, 1991
Alfred H. Stanton Lecture Harvard University (McLean Hospital), Belmont, Massachusetts, November 1, 1991
Joseph S. Skobba Lecture, Emory University School of Medicine, Department of Psychiatry, Atlanta, March 25, 1992
Walter S. Rosenberry III Conference Honoree and Recipient, The Children s Hospital, Denver, Colorado, April 10-11, 1992
Herbert Woodcock Lecture, Portland, Oregon, April 25, 1992
Presidential Symposium, American Psychiatric Association Annual Meeting, Washington D.C., May 5, 1992.
Scholastic Inc., Most Distinguished Speaker, New York, New York, November 5, 1992.
D. Hugh MacNamee Memorial Lecture, Dartmouth Medical School, Hanover, New Hampshire, April 7, 1993.
Walter S. Rosenberry III Award Lecture, The Children's Hospital, Denver, Colorado, April 9, 1993.
Saul O. Sidore Lecture, Plymouth State College, Plymouth, New Hampshire, October 4, 1993
Nathaniel William Winkelman Memorial Lecture, Belmont Center for Comprehensive Treatment, Philadelphia, Pennsylvania, November 10, 1993

L. Lee Hasenbush Lecture, Harvard Medical School (and Massachusetts Mental Health Center), Boston, Massachusetts, February 23, 1994

Hugh Missildine Lecture, Psychiatric Society of Central Ohio, Columbus, Ohio, March 17 1994

Roger W. Sherman Memorial Education Symposium, Laurelwood Hospital, Cleveland, Ohio, May 20, 1994

Child Advocacy Award Lecture American Psychological Association Annual Meeting Los Angeles, August 14, 1994

Psi Chi Society (honorary psychology) Lecture, Dominican College, San Rafael, California March 24, 1995

Maurice Levine Lecture, University of Cincinnati and the Cincinnati Psychoanalytic Institute Cincinnati, Ohio, April 12, 1995

Rena Schulman Memorial Keynote Address, Fordham University, New York, New York, June 12, 1996

Jerome M. Goldsmith Annual Lecture, American Association of Psychiatric Services for Children, 48th Annual Meeting, New Orleans, Louisiana, March 24, 1997

Gertrude Rogers Greenblatt and Milton Greenblatt Lecture, UCLA Los Angeles, California, April 8, 1997

Albert M. Biele, M.D., Memorial Lecture, Thomas Jefferson University Department of Psychiatry, Philadelphia, Pennsylvania, Wednesday, April 30, 1997

John Ice, M.D Memorial Lecture, Department of Psychiatry, Medical School, University of Louisville, Louisville, Kentucky, October 8, 1998

26th Annual Zetland-Littner Lecture, Association of Child Psychotherapists, The Standard Club, Chicago, IL, April 23, 1999

American Psychiatric Association Special Lecture, Washington DC, May 15, 1999

Willard D. Boaz Annual Lecture, Case Western Reserve University, Cleveland Ohio, April 5 2000

Samuel and Audrey Lang Memorial Lectureship, William Beaumont Hospital, Royal Oak, Michigan, November 2, 2001

Robert L. Smith Memorial Lecture, The Hospital for Sick Children (University of Toronto), Canada, January 17, 2002

Judd Marmor Lecture, American Psychiatric Association, Philadelphia PA, May 15, 2002

Noshpitz Memorial History Lecture, American Academy of Child and Adolescent Psychiatry San Francisco, California October 26, 2002

Distinguished Psychiatrist Seminar UCLA, November 6, 2004

BIBLIOGRAPHY

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February 4, 1997

Dr. John Kao
Mathematics Department
HRN #208

Dear John,

In accordance with article 21 of the Collective Bargaining Agreement between the University of San Francisco and the University of San Francisco Faculty Association the University Peer Review Committee has reviewed your application for Tenure. The results of the voting were:

- Research

Superior	12
Adequate	0
Inadequate	0
Abstain	0

- Teaching

Superior	12
Adequate	0
Inadequate	0
Abstain	0

- Service

Superior	11
Adequate	1
Inadequate	0
Abstain	0

I would like to take this opportunity to thank you for your contributions to USF and to wish you success in the future

Sincerely,

(Rev.) Daniel Kendall, S.J
Chair, University Peer Review Committee

cc. Dr. Stanley Nel, *Dean*
Dr. John Cobley, Chair, Peer Review Committee, *College of Science*

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February 4, 1997

Dr. John Kao
Mathematics Department
HRN #208

Dear John,

In accordance with article 21 of the Collective Bargaining Agreement between the University of San Francisco and the University of San Francisco Faculty Association the University Peer Review Committee has reviewed your application for promotion to the rank of Associate Professor. The results of the voting were:

- Research

Superior	12
Adequate	0
Inadequate	0
Abstain	0

- Teaching

Superior	12
Adequate	0
Inadequate	0
Abstain	0

- Service

Superior	11
Adequate	1
Inadequate	0
Abstain	0

I would like to take this opportunity to thank you for your contributions to USF and to wish you success in the future.

Sincerely,

(Rev.) Daniel Kendall, S.J
Chair, University Peer Review Committee

cc Dr. Stanley Nel, *Dean*
Dr. John Cobley, Chair, Peer Review Committee, *College of Science*

STATISTICS AND OPERATIONS RESEARCH PROGRAM
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September 12, 1996

Dean Stanley Nel
College of Arts and Sciences
University of San Francisco
2130 Fulton St.
San Francisco, CA 94117-1080

Dear Dean Nel,

This is to recommend Dr. John Kao most highly for tenure at your university.

I have known John ever since his arrival at Princeton. I was also his Ph.D. advisor. His dissertation was on particle systems over stochastic flows. This work amounted to combining the two most important fields of activity in probability theory over the last ten years, the one being stochastic flows and the other measure-valued Markov processes.

Starting with the dissertation and continuing with three papers since then, John has been doing ground-breaking work in reconciling the differing techniques of flows and point processes. His work has served as impetus to at least four dissertations here - Craig Zirbel's work on the mass dispersion by flows, Chris Finger's work on birth-death-branching on flows, and Mine Çaglar's work on mass dispersion by flows generated by Poisson vortices.

Although John's work is still too recent to have much impact, it has already generated uncommon interest: I know of at least 8 papers and 2 dissertations (all from people outside Princeton) that are devoted to studying various aspects of his model. This is unusual and unusually satisfying.

His papers appeared in good journals and, by invitation, in highly prestigious collections. In particular, his last paper (Kao & Çinlar) is sure to appear in *Stochastic Processes and Their Applications*, which is the premier research journal in the world for such papers.

SD Note:
For SD 77 - SD 83, the page number in the lower right corners reflect the annotations for my Tenure Application manuscript.

E. Çinlar, ACE 41-E-Quad, Princeton University, Princeton N.J. 08544
Tel (609) 258-5995 Fax (609) 258-1270 E-Mail cinlar@soil.princeton.edu

All in all, I am most impressed with his work. In addition, he is extremely bright, hard working, and conscientious. Since his Ph.D., he has acquired wider knowledge of mathematics in general, and I believe he will continue to grow and become more productive.

I recommend him for tenure most highly.

Sincerely yours,

Erhan Çinlar
Norman Sollenberger
Professor of Engineering

SD 78

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Department of Mathematics
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Letter of Recommendation for John Kao

It is a great pleasure for me to write a letter of recommendation for John Kao with whom I had a very pleasant and fruitful collaboration.

I came to know John during a Conference on Stochastic Flows which was held in Spring 1990 at the University of North Carolina at Charlotte (UNCC). Together with Erhan Cinlar he contributed the paper "Birth and Death on a Flow" for the volume II (Stochastic Flows) of "Diffusion Processes and Related Problems in Analysis", edited by Mark Pinsky (Northwestern University, Evanston, IL) and myself. We accepted only papers which (a) could have been published in one of the leading journals in probability and (b) treated an important aspect of "Stochastic Flows". To assure these standards, each paper was referred independently by two experts. John Kao's paper was highly recommended for publication.

Having become interested in my work and methods of treating dynamically systems under random influence, John Kao visited UNCC in 1990/91 as postdoctoral fellow, where he worked his way into a field which was very new to him when we started our collaboration.

The research problem, in terms of a simple example, was to decide whether an inverted pendulum can be made standing safely upright (i.e can be stabilized) by randomly shaking its supporting point up and down. With help of John Kao's fresh and creative contribution, the question for the inverted pendulum as well as more complex systems could be answered in the positive. Random impact can stabilize a system; in particular, the inverted pendulum can be stabilized by random oscillations. This striking counter-intuitive result was published 1994 in Stochastic and Stochastic Reports, one of the leading journals in the field of probability theory and stochastic processes.

When published, the result did not only fascinate mathematicians, but also biologists and engineers. It is a long standing belief among biologists that the smoothness and preciseness of our motion as well as the human posture is due to randomness in the forces of the muscles. (Human posture models use an inverted triple pendulum: foot to knee, knee to hip, hip to head.) Engineers, on the other hand, were doubtful; but so much intrigued that they built (at the Technical University of Hanover, Germany) a shaker with help of which one can randomly oscillate the footpoint of a pendulum. Their physical experiments complied fully with the mathematically predicted behavior of the pendulum

SD 79

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However, the theory also predicts that this method of stabilization must fail under certain circumstances. So the obvious, but challenging question was to give both an exact and easy to check description of the situation were stabilization by random vibration can be achieved. Recently, John Kao, in collaboration with me, was able to give a simple (necessary and sufficient) criterion for deciding whether or not a given type of random vibration will have the desired stabilizing effect. The paper has been submitted to The Annals of Probability, a top journal in the realm of probability.

As a collaborator of John Kao it is a pleasure for me to witness that he is a thorough, thoughtful and enthusiastic mathematician who, never lacking ideas, does not shy away but is attracted by hard problems. As long as our research interest will overlaps, I will continue to work with John Kao and draw from his rich research potential. John's clear and organized thinking combined with his enthusiasm makes him also an excellent teacher and lecturer. At every occasion I heard a talk of John Kao, I enjoyed listening to him, learning a lot.

In addition to this comes that John is a person easy to work with, friendly and considerate, reliable in his commitments and with plenty of humor.

Summarizing, I full heartedly recommend to promote John Kao and award him a tenured position at your institution.

Volker Wihstutz
Professor of Mathematics
University of North Carolina at Charlotte
September 10, 1996

SD 80

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September 9, 1996

Dean Stanley Nel
H240
Campus

Dear Stanley:

I am delighted to write in support of Professor John Kao's application for tenure and promotion. Pleased as I am with all of John's work since he arrived at USF, in this letter I will restrict my comments to his service activities with special emphasis on service to the Mathematics Department. John's considerable achievements in the remaining areas of interest, teaching and research, are already, I am sure, amply supported by other evidence including IDEA evaluations and the reports of the the external reviewers. I can add very little to this documentation that would be worth the reader's time; however, as Mathematics Chair during John's first five years at USF, I was in the perfect position to observe his service and so can contribute a fleshed-out tale of his departmental accomplishments.

John threw himself wholeheartedly into the activities of the department from the beginning. His energy and commitment put many of us "old-timers" to shame. For example, the math faculty had for years vaguely discussed the idea of having more informal contact with our majors and minors. We tried a few things, but nothing much was done until John took on the responsibility for organizing and hosting what we have come to call our "Wednesday afternoon teas," a gathering of math students for refreshments, conversation, games of chess and go, logic puzzles and math talk. His devotion to this event, which is always animated by his conversation and infectious laughter, has made it a departmental institution. We are all grateful to John for turning an unrealised wish into an actuality. I am especially impressed at John's willingness to do the dirty-work required—buy the refreshments, rearrange the furniture in the math office into party mode, search out interesting games and puzzles, and then, after the last student was gone, clean up and put everything back so the office is again in business mode. As someone who has organized a few events in the course of my career I know how hard it is to be "up" for this sort of activity week after week.

In the Spring of 1995 the Commission on Teacher Credentialing approved the Program of Subject Matter Preparation for Single Subject Teaching Credentials in Mathematics submitted by the USF Department of Mathematics. This was a nontrivial exercise resulting in the submission of a 60 page description of our program, written to excruciatingly exacting State standards to which 80

pages of supporting material was appended. John, along with others in the Department, wrote several sections of this document. Further, he was articulate in his support of this rather daunting endeavor. When doubts were expressed as to whether State approval was really worth the seemingly unending bureaucratic hassle required to obtain it. John encouraged us to complete the project arguing that it was important to the reputation of the Department and that it provided an important career option for our majors. Of course he was right on both counts and, when the Department received approval, we were one of only a very few schools in California to have this distinction.

John has done an excellent job with the GEC Statistical Reasoning course. He was in on it from the first as a member of the University-wide committee which created the course, outlined its goals and drafted its first syllabus. I chaired this committee so I can attest to the fact that John was full of good ideas and suggestions. He was especially helpful in addressing the task of incorporating issues of diversity and equity into the course as required by the GEC goals. He has continued his commitment to this course as one of its instructors, and his student evaluations have been very, very high. Under a department mandate, he piloted an Excel practicum as a method for evaluating the course's computer component.

John has served the department as informal liasion to the newest department in the College of Science, Environmental Science. In this capacity he developed a service course, Mathematics for the Life Sciences, designed for Environmental Science majors. He wrote a detailed course syllabus in consultation with the Chair of Environmental Science and shepherded it through the College Curriculum Committee. He teaches the course and continues to revise and fine-tune the program. John also does statistical consulting for the Environmental Science Department, advising its graduate students on their thesis research. The Mathematics Department prides itself on maintaining close ties with the departments it services, and so we are thankful to John for taking on this ground-breaking work with USF's newest science program.

The Mathematics Department has made a great effort to incorporate technology, computers and calculators, into mathematics instruction in all appropriate areas of the curriculum. Here too John has been of great service. His very first year on the faculty he plunged into our *Mathematica*-based calculus sequence no small undertaking for a fledgling mathematics professor. He made several innovations to this course, adding to our library of computer activities especially in the area of the integral calculus. Integral calculus is conceptually tricky, a real trial to students, so John's work here has been very useful to us. He has also developed *Mathematica*-based activities for Mathematics for the Life Sciences. These activities assist students in concept development and in tackling real-life problems and contribute as well to their general computer literacy. Most recently John taught Precalculus using the graphing calculator.

John has not restricted his curriculum development work to the lower division.

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In response to a suggestion made by our program reviewers that our major program develop an applied mathematics component, John proposed a course in Mathematical Modeling to the College Curriculum Commitee which was approved and has been successfully offered by him ever since.

The transition from lower division mathematics with its emphasis on calculation and text book problem solving to the much more theoretical senior level courses is a taumatic leap for all but the best of our majors. John proposed a bridge course, Formal Methods in Mathematics, designed to help students cross this divide. John, with his characteristic energy and imagination, put together a course which goes a long way toward easing this transition. Majors speak highly, even delightedly, of this course which features such intriguing problems as a mathemtical solution of the Rubik's Cube. This cube is made up of layers which rotate around a central shaft. The trick is to rotate these layers until the faces of the cube display a certain pattern. The methods of group theory, a branch of abstract algebra, can be applied to solve this problem. I always know when John has reached this point in his course because the click-click-click of rotating cubes can be heard all over the west wing of second floor Harney!

This testament provides just a sampling of the many, many contributions John has made over the years to the mathematics program. I hope it has given the picture I wish to portray—that of a conscientious, hardworking, imaginative, creative, and effective colleague. I recommend John highly for tenure and for promotion to Associate Professor.

Best regards

Millianne Lehmann
Professor of Mathematics

SD 83

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This is an old review from Fall 1999. Information here may not be accurate.

State and Local Finance
H Chernick

Spring 1999 Statistics (taught by RA Carmona, IS Kao)
Lectures: 4.6
Precepts/Classes: 3.2
Readings: 4.1
Papers/Exams: 4.3
Overall: 4.4
Enrollment: 70

Fundamentals of Engineering Statistics. Doesn't the title of the course just scream "excitement!"

The truth is, I am taking CIV 245 because it is required for my major, and that, I suspect, is why almost everyone takes the course. I heard horror stories about the difficulty and grading of the class before I took it myself, and I have been pleasantly surprised. The professor, John Kao, has been excellent. He makes himself very easily accessible to any student who asks for attention; he clearly knows a great deal about the subject matter; and his teaching style is enjoyable. He uses real world examples to teach the concepts behind the math, and in using these examples, you can almost find yourself learning without even realizing it.

That is not to say you can get away without doing any work. There are weekly problem sets, and although they do not count significantly toward the course grade, they must be done in order to learn the material well enough to score decently on exams. The book, from which all the problem sets are taken, is relatively readable (for a statistics book) and includes plenty of examples. There is a weekly precept, but most students do not attend. It is basically a time to ask questions about the problem sets.

Students are allowed to bring a "cheat sheet" into the exams, which means that this is NOT a course in memorization. In order to succeed, I recommend doing the problem sets thoroughly enough to know when to use what method. Professor Kao will gladly clarify any questions you might have, so ask them if you have them.

While I don't believe I would have taken this class if it were not required, I have found it to be one class that I don't mind attending three days a week. I should also say that I'm not sure if Professor Kao will be teaching the course again, as I believe he is visiting only for the year. All in all, I have been pleasantly surprised.

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SD 86

USF/COLLEGE OF SCIENCES SP'05

INSTRUCTOR'S NAME: [redacted]

COURSE TITLE: INSTRUCTOR SUMMARY OF UNIT CLASSES

COURSE NUMBER	UNIT	INSTITUTIONAL CODE
	0206	USF2609.S

REGISTERED STUDENTS	FORMS RETURNED	PERCENT PARTICIPATION
71	53	74.6%

This report summarizes results from the Survey of Student Opinion of Instruction. The first page contains identification items, percent of student participation, and responses from the Instructor's Questionnaire.

The second and third pages summarize the distribution of student responses to each questionnaire item using a scale from five to one where five means "Strongly Agree" and one means "Strongly Disagree." In each line, the distribution of responses is a **percent** distribution based upon the total number of responses to each item. Means are based upon the appropriate **total responses** for each identified category.

FACTOR MEANS [redacted] (AND STANDARD DEVIATIONS) FOR INSTRUCTOR, UNIT, INSTITUTION AND NATIONAL SAMPLE.

THIS PAGE OF THE INSTRUCTOR SUMMARY CONTAINS MEANS AND STANDARD DEVIATIONS FOR EACH OF SIX FACTORS IDENTIFIED BY FACTOR ANALYSIS OF THE FIRST 21 QUESTIONS. THE QUESTIONS COMPRISING EACH FACTOR ARE INDICATED IN ORDER OF FACTOR LOADING. MEANS ARE BASED UPON THE TOTAL RESPONSES WITHIN EACH OF THE INDICATED SUMMARY LEVELS. THE NATIONAL SAMPLE IS COMPRISED OF MORE THAN ONE MILLION (SURVEY OF STUDENT OPINION OF INSTRUCTION TM) QUESTIONNAIRES ADMINISTERED OVER THE PREVIOUS FOUR YEARS.

	INSTRUCTOR MEAN (SD)	UNIT MEAN (SD)	INSTITUTION MEAN (SD)	NATIONAL MEAN (SD)
FACTOR 1 INSTRUCTOR COMMITMENT TO STUDENT LEARNING				
QUESTIONS: 10 , 7 , 20 , 17 , 16 , 8 , 1 , 21	* 4.55 (0.729)	4.22 (1.049)	4.26 (0.595)	4.31 (0.942)
FACTOR 2 INSTRUCTOR PREPARATION AND ORGANIZATION				
QUESTIONS: 9 , 11 , 3	** 4.65 (0.711)	4.34 (0.992)	4.42 (0.865)	4.35 (0.907)
FACTOR 3 INSTRUCTOR/STUDENT INTERACTION				
QUESTIONS: 4 , 13 , 18 , 14	4.24 (0.876)	3.92 (1.168)	4.08 (1.076)	4.06 (1.093)
FACTOR 4 TESTING				
QUESTIONS: 6 , 5	*** 4.63 (0.784)	4.22 (1.088)	4.18 (1.028)	4.23 (0.962)
FACTOR 5 COURSE OBJECTIVES				
QUESTIONS: 15 , 12	** 4.59 (0.700)	4.27 (0.995)	4.35 (0.848)	4.30 (0.895)
FACTOR 6 COURSE ASSIGNMENTS				
QUESTIONS: 2 , 19	** 4.53 (0.818)	4.33 (0.953)	4.30 (0.907)	4.21 (0.962)

SIGNIFICANTLY DIFFERENT FROM THE NATIONAL MEAN ..... * = AT .05 LEVEL / ** = AT .01 LEVEL / *** = AT .001 LEVEL

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SITE MAP

Grade Courses

Courses are listed with their grading options: **M** (Midterm) **F** (Final) **M/F** (Midterm and Final) or *** (View only)

2005 Spring Semester

*** 0206-101-02 Elementary Statistics ***

Select Another Course

36 of 36 grades have been posted

Records: 1-25 26-36

Record	Name	Final Grade on Record	Grade Type	Credits	Program	Class Level	Message
1	Ainslie, Charlie	D-	Normal	4.0	LA BA COMS	Freshman	
2	Alangan Sarina	A--	Normal	4.0	NS BSN NURS	Sophomore	
3	Baires, Janelle	A--	Normal	4.0	NS BSN NURS	Sophomore	
4	Bartels, Heather	A	Normal	4.0	NS BSN NURS	Sophomore	
5	Basa, Marjorie M.	A-	Normal	4.0	NS BSN NURS	Sophomore	
6	Bautista Clarissa Anne	B-	Normal	4.0	LA BA UNLA	Sophomore	
7	Bautista Stephanie N	B+	Normal	4.0	LA BA HIST	Sophomore	
8	Berrios Jesus	W	Normal	4.0	LA BA SOC	Freshman	
9	Burg, Eric A	A-	Normal	4.0	LA BA ENGL	Sophomore	
10	Chamberlin, Timothy D	C--	Normal	4.0	NS BSN NURS	Sophomore	
11	Co, Melbin Emerson S	A--	Normal	4.0	NS BSN NURS	Freshman	
12	Conrad Karin E	A--	Normal	4.0	NS BSN NURS	Sophomore	
13	Delacruz, Rachel D	A-	Normal	4.0	NS BSN NURS	Sophomore	
14	Dixon, Sharri L.	C--	Normal	4.0	LA BA SOC	Sophomore	
15	Doherty Andrew	B	Normal	4.0	LA BA UNLA	Freshman	
16	Dunbar-Simcox, Miles	D	Normal	4.0	LA BA MS	Freshman	
17	Hoover Emily E	D--	Normal	4.0	LA BA MS	Sophomore	
18	Huynh, Felix	A	Normal	4.0	NS BSN NURS	Sophomore	
19	Kear, Whitney	F	Normal	4.0	LA BA COMS	Sophomore	
20	Kuhn, Shannon A.	B--	Normal	4.0	NS BSN NURS	Sophomore	
21	Kusaka Brittney E	B-	Normal	4.0	NS BSN NURS	Sophomore	
22	Lopez, Jessica L	B-	Normal	4.0	LA BA MS	Sophomore	
23	Mita, Mari	A	Normal	4.0	LA BA ECON	Junior	
24	Motta, Angel A.	A	Normal	4.0	LA BA SOC	Sophomore	
25	Nesbitt Katherine Emily	W	Normal	4.0	LA BA SOC	Freshman	

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Grade Courses

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2005 Spring Semester

*** 0206-101-02 Elementary Statistics ***

Select Another Course

36 of 36 grades have been posted

Records: 1-25 26-36

Record	Name	Final Grade on Record	Grade Type	Credits	Program	Class Level	Message
26	Olsen, Kirsten	A	Normal	4.0	NS BSN NURS	Sophomore	
27	Patterson, Sophie A.	B	Normal	4.0	NS BSN NURS	Sophomore	
28	Peabody, Kathleen A.	A	Normal	4.0	LA BA FINE	Freshman	
29	Rosen, Mario	C-	Normal	4.0	LA BA UNLA	Freshman	
30	Schultze, Jaclyn	A-	Normal	4.0	LA BA UNLA	Freshman	
31	Soriano, Jordan J	A-	Normal	4.0	NS BSN NURS	Sophomore	
32	Vaux, Jenelle K	C+	Normal	4.0	NS BSN NURS	Sophomore	
33	Wilg, Evan M	B-	Normal	4.0	LA BA ENGL	Sophomore	
34	Wiley, Stephanie L.	C	Normal	4.0	LA BA POLS	Sophomore	
35	Williams, Jacqueline	C+	Normal	4.0	LA BA SOC	Senior	
36	Zabala, Courtney A	C-	Normal	4.0	LA BA POLS	Sophomore	

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Grade Courses

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2005 Spring Semester

"" 0206-107-01 Precalculus for Educ & Lib Arts ""

Select Another Course

10 of 10 grades have been posted

Records: 1-10

Record	Name	Final Grade on Record	Grade Type	Credits	Program	Class Level	Message
1	Anderson, Christopher G	F	Normal	4.0	LA BA POLS	Junior	
2	De Mendonca, Erisa A	A	Normal	4.0	SN BBA BNTL	Sophomore	
3	Gomes, Celina	W	Normal	4.0	LA BA SOC	Sophomore	
4	Homchick, Whitney	B	Normal	4.0	LA BA PSYC	Sophomore	
5	Kilroy, Mark	A-	Normal	4.0	LA BA ARCD	Freshman	
6	McCarter, Caely C	B-	Normal	4.0	LA BA BAIS	Freshman	
7	Panagotacos Alexandra S.	D	Normal	4.0	LA BA ARED	Senior	
8	Perrill, Eve K	B+	Normal	4.0	LA BA HIST	Sophomore	
9	Robello, Nicole	A+	Normal	4.0	LA BA PSYC	Freshman	
10	Wright Leanna R	A-	Normal	4.0	LA BA FINE	Junior	

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RELEASE: 1.20

Grade Courses

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2005 Spring Semester

"" 0206-107-02 Precalculus for Educ & Lib Arts ""

Select Another Course

26 of 26 grades have been posted

Records: 1-25 26-26

Record	Name	Final Grade on Record	Grade Type	Credits	Program	Class Level	Message
1	Abuyaghi, Tony	B+	Normal	4.0	LA BA ARCD	Sophomore	
2	Aguilar, Michael	W	Normal	4.0	LA BA POLS	Freshman	
3	Baptiste, Erica M	C	Normal	4.0	LA BA ARCD	Freshman	
4	Blackwood, Emmanuel R	A	Normal	4.0	LA BA ARCD	Sophomore	
5	Chinchilla, Jonathan	A	Normal	4.0	LA BA ARCD	Freshman	
6	Chorn, Lindsey	A-	Normal	4.0	LA BA COMS	Sophomore	
7	Cimmarusti, Loretta Ann	B	Normal	4.0	LA BA ARCD	Sophomore	
8	Ehrlich, Julie	A-	Normal	4.0	LA BA ARCD	Sophomore	
9	Griley, Laura M.	B	Normal	4.0	LA BA PSYC	Sophomore	
10	Herrera, Maria J.	D	Normal	4.0	LA BA SOC	Junior	
11	Hurley, Kevin T.	A	Normal	4.0	LA BA ENGL	Sophomore	
12	Jones, Dijon M	B	Normal	4.0	LA BA UNLA	Sophomore	
13	Kohler, Christa	B	Normal	4.0	LA BA PSYC	Sophomore	
14	Laubner, Jeannine	A	Normal	4.0	LA BA PSYC	Sophomore	
15	Lawing, Gloria K	C	Normal	4.0	LA BA LAS	Junior	
16	Lin, Matthew	A	Normal	4.0	LA BA ARCD	Freshman	
17	Mallari, Justin O.	C-	Normal	4.0	LA BA ARCD	Sophomore	
18	Morales, Patricia	A	Normal	4.0	LA BA ARCD	Senior	
19	Robertson, Sean	C-	Normal	4.0	LA BA ARCD	Junior	
20	Sbregiazoricic, Charles J	P	Pass or Fail	4.0	LA BA ARCD	Junior	
21	Schmitz, Sarah	C	Normal	4.0	LA BA ARCD	Freshman	
22	Ussg, Anthony J	F	Normal	4.0	LA BA ARCD	Sophomore	
23	Waterson, Haley	A	Normal	4.0	LA BA ARCD	Sophomore	
24	Wells, Benjamin L	A-	Normal	4.0	LA BA ARCD	Freshman	
25	White, Shane C	C-	Normal	4.0	LA BA ARCD	Sophomore	

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Grade Courses

Courses are listed with their grading options: M (Midterm) F (Final) M/F (Midterm and Final) or "" (View only)

2005 Spring Semester

"" 0206-107-02 Precalculus for Educ & Lib Arts ""

Select Another Course

⚠ **26 of 26 grades have been posted**

Records: 1-25 26-26

Record	Name	Final Grade on Record	Grade Type	Credits	Program	Class Level	Message
26	Zecchetto Sebastiano	B+	Normal	4.0	LA BA ARCD	Freshman	

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DEPARTMENT OF CIVIL ENGINEERING AND OPERATIONS RESEARCH
SCHOOL OF ENGINEERING/APPLIED SCIENCE
PRINCETON UNIVERSITY PRINCETON NEW JERSEY 08544

June 30, 1999

Stanley D. Nel, Dean
College of Arts and Sciences
University of San Francisco
2130 Fulton St.
San Francisco, CA 94117-1080

Dear Dean Nel:

Prof. Kao taught CIV 245 Fundamentals of Engineering Statistics in Spring 1999. Enclosed is a transcription of the Narrative Course Evaluations for that course. I have compared the transcibed version to the orignial forms and verify that it is complete and accurrate.

Sincerely yours.

Susan G. Nichols
Dept. Admin. Asst

Encl.

cc: J. Kao

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The Australian Mathematical Society

Gazette

Volume 31 Number 1, March 2004

Available are the complete issue (2.6Mb) and individual articles

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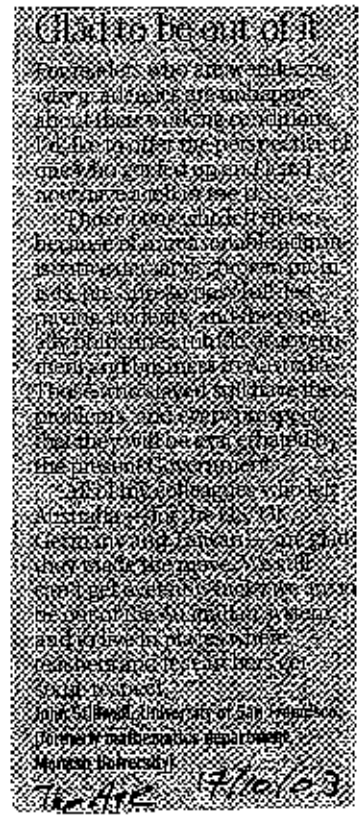
Brain drain

There is growing concern about Australia's brain drain. The Gazette will be running a series of personal essays by mathematicians who went overseas. John Stillwell from the University of San Francisco voiced his opinion in The Age last year. He will be the first author in this series.

One story from the mathematical brain drain

John Stillwell

The origins of the "brain drain" in Australian mathematics are a long way back, perhaps in 1989, when the mergers of universities with institutes of technology and teacher's colleges started to erode the traditional disciplines, from classics to pure mathematics. This is what happened when Monash University merged with the Caulfield Institute of Technology and the Frankston Teachers' College. In the late 80s, it was possible to do a full 3rd year of Science at Monash in pure mathematics, and we had three different topology courses, at 2nd, 3rd and 4th year levels. During the 90s we were cut back to one topology course (in honours) and many other topics disappeared entirely, among them history of mathematics geometry, logic, set theory, ring theory and computability. All this happened gradually, however, and people experienced low morale but not outright panic. Until 1997, that is. In April 1997 the Dean sacked 10 members of the mathematics department, and it suddenly became prudent to look for a new job. I was lucky because I happened to have a colleague at the University of San Francisco who was interested in adding to the small department there.


Glad to be out of it

By 1999 he had risen to the position of Associate Dean and was able to offer me a job, thanks to a sympathetic Dean who

was also a mathematician. I had a trial run at USF in 2000, liked it, and signed on as a tenured professor starting in 2002.

On my return to Monash in 2001, it became clear that I had made the right decision. We had a new Dean of Science, and his first visit to the department set a new benchmark for insensitivity and/or cluelessness. He told us how lucky we were to have astrophysics and meteorology to display in our shop window rather than (his exact words) "that boring old calculus and pure mathematics".

You can imagine with what relish I returned to USF, where I can teach history of mathematics, foundations of geometry and several other areas of pure mathematics no longer offered at Monash. USF is a small university with small classes (no more than 30 students, often less than 20), a friendly atmosphere and very little administration by Australian standards. It is true that my position would not suit everybody. USF does not have a graduate school in mathematics and the teaching load is eight hours per week. However, with the small classes and light administration it feels less than six hours at Monash. And the opportunity to attend seminars at Berkeley and Stanford more than compensates for the lower priority of research at USF.

Outside purely mathematical concerns, USF is more academic-friendly than any Australian university I know of. They seem to think it's their job to keep academics happy—what a concept! Rather than nagging about occupational health and safety for example, they give all staff (and their families) free use of the sports centre. Family members can also do USF courses for free. Each month, USF gives me a $20 'commuter check' for *not* using a university parking space. This goes a long way towards paying for public transport, which costs $35 a month for unlimited travel in San Francisco. Finally I guess I need hardly mention that San Francisco is one of the most beautiful and courteous cities in the world.

What else do I notice that is different about America, mathematically speaking? What amazes me most is the support that mathematics gets from business tycoons. The Clay Mathematics Institute, with its seven million dollar prize problems, gets its money from Boston businessman Landon T. Clay. The Californian founder of the Fry Electronics chain, John Fry, funds the American Institute of Mathematics, which is currently building a kind of palace for mathematicians, modelled on the Alhambra. A slightly different example is the Dibner Institute at MIT, endowed from the estate of engineer Bern Dibner. This institute supports about 20 historians of science per year, usually including a couple of mathematicians (and, for some reason, one or two of the historians are usually from Australia). Another millionaire I've heard about is funding a kind of mathematical genius-spotting project. He pays a professorial-level salary to a mathematician who travels around the country visiting child mathematical prodigies. Even the much-maligned Bill Gates has given hundreds of millions of dollars to universities.

My position at USF is one semester per year—my choice, because I want to spend alternate semesters back in Melbourne and get some writing done. It also enables me to keep in touch with the situation here. I have just spent the last semester at Monash and taught the honours topology course. The class was unusually large and the students were very good, but in other ways Monash has become even less attractive. In another act of insensitivity and/or cluelessness, the administration has started charging departments rent for the office space they occupy. I was reminded several times that my office costs the department $1500 per year, and I was offered considerably less than the going rate for honours teaching.

Now I feel that I've already paid next year's rent.

As for the bigger picture, Australia doesn't seem any more friendly to science and mathematics than before. I recently visited the State Library of Victoria to see the refurbished reading room. This was one of my favourite haunts when I was at school, my window on the vast world of knowledge. It used to be full of books on every conceivable subject.

Today, the reading room no longer looks out on the world, but on a small backyard. All the books are Australian. There are 11 shelves of books on sport, about half a shelf on the physical sciences, and *none* on mathematics.

Are they trying to tell us that mathematics is unAustralian?

Department of Mathematics University of San Francisco, San Francisco CA 94117-1080 USA
Department of Mathematics & Statistics, Monash University, VIC 3800
E-mail: stillwell@usfca.edu

MathMedia

The Age 1/4/2004

Maths experts do their sums — and head overseas

See also http://www.theage.com.au/articles/2004/01/31/1075340889251.html

Mathematical Sciences

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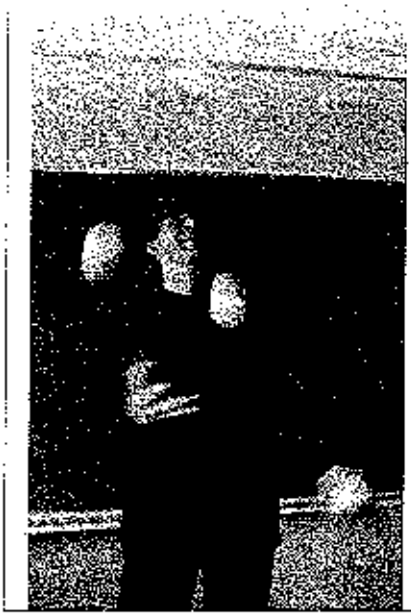

Our strengths

Astrophysics
Mathematics used together with ultra fast computers to solve the equations that rule the cosmos.

Atmospheric science
The science of weather forecasting and climate phenomena.

Pure mathematics
The heart and soul of mathematics, dealing first and foremost with the ideal, the beauty of perfection.

Statistics
The science of unlocking the truth in the data and making informed decisions in the face of uncertainty.

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- Richard Wardle

Assistant Lecturers

- Simon Teague

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USF
UNIVERSITY of SAN FRANCISCO

COLLECTIVE BARGAINING AGREEMENT

BETWEEN THE
UNIVERSITY OF SAN FRANCISCO
AND
USF FACULTY ASSOCIATION

Effective March 18, 2002 through June 30, 2007
with reopeners pursuant to the "Duration" article, page 6.

SD 101

SD Note:
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Section 1: WORKING RELATIONSHIPS

ARTICLE 1. Recognition

1.1 The University of San Francisco hereby recognizes the Association as the exclusive collective bargaining representative of all full-time faculty members and all non-administrative full-time professional librarians in the unit described below, for the purpose of collective bargaining with respect to wages, hours and conditions of employment.

1.2 The unit covered by the Agreement, as defined in the "Certification of Representative" issued by the National Labor Relations Board on October 2 1975, in Case No. 20-RC-12732 consists of:

"All non-law teaching faculty who teach six hours or more with the rank of instructor, assistant professor, associate professor and professor and all non-administrative full-time professional librarians; excluding office clerical employees, lecturers, part-time teaching faculty, all administrators with faculty rank, all faculty with part-time administrative duties, guards and supervisors as defined in the Act."

1.3 This Agreement shall exclude the College of Professional Studies.

ARTICLE 2. Academic Freedom

2.1 Academic Freedom and the Faculty and Librarians

2.11 The University of San Francisco affirms and is committed to the full academic freedom of all faculty members and librarians. At the same time, the University, as a Catholic institution of higher learning, has a significant interest in encouraging a Christian outlook and fostering perspectives which promote and inculcate meaningful Christian values. Accordingly, the University declares its freedom to enunciate principles and policies relating to such values and to implement its interests through academically sound hiring practices and curriculum structure. The University recognizes and believes that its freedom and that of its faculty members and librarians can be exercised so as to promote and enhance one another.

2.12 Faculty members and librarians are entitled to full freedom in the pursuit of their academic functions, which include: the advancement of human knowledge, insight and understanding; the education of the students and the presentation to them of various divergent views and opinions which are intellectually within the content of the course being offered; and the responsibility to serve the community by lending intellectual abilities to the solution of current problems.

2.13 University teachers and librarians are citizens, members of a learned profession, and members of an educational institution. When speaking or writing as citizens, they should be free from institutional

Superiority

Consistent, current and active service program, with a significant number of major service contributions of high quality as validated by evidence submitted with the application, for example, letters from departmental or program colleagues, chairs or directors.

For promotion to Full Professor, superiority in this category shall require outstanding service to and leadership in the University, the profession or the community.

Appeal Criteria and Procedural Guidelines
See Articles 42 and 43

ARTICLE 22. Peer Review Elections

College -Wide Elections
Peer Review Committees

Deans will discuss the college-wide election procedures with the USFFA Executive Council in each college. The Executive Council and Dean will discuss and agree on election procedures. The Executive Council will run the election provided that:

(1) all full-time faculty will be given an opportunity to vote;

(2) ballots will be secret and in writing.

The University has the right to challenge committee members based on the criterion of "distinguished."

ARTICLE 23. Professional Responsibilities of the Faculty

23.1 Effectiveness of teaching, professional growth as reflected by creative work, willing acceptance of responsibilities other than teaching, worthy representation of the University in public affairs, participation in the programs of professional societies, and successful maintenance of sound personal and ethical relations with one's colleagues and the Community—these are among the professional responsibilities of the faculty. To these should be added the following specifics:

23.11 Full -Time Service

A full-time faculty member is expected to perform teaching duties in accord with established requirements of the University and of the particular school or college to which the faculty member is assigned; pursue professional development and enhancement of the public good and of the prestige of the University through research, scholarly publications, interest in professional groups and societies; counsel students, assist at registration and commencement exercises, maintain regular office hours, serve on University committees and perform other institutional tasks characteristic of the academic profession.

cancel class, the students and the Dean should be informed before the class is scheduled to meet, if possible.

(C) A faculty member who, for good reasons other than illness, needs to be absent from class for a short period must request permission from the Dean. If permission to cancel classes is given, the Registrar should be notified.

23.17 Faculty Availability

All full-time faculty members must be available for service at the University throughout the academic year. (The academic year begins one week preceding the day on which undergraduate classes begin in the fall semester and ends with Commencement exercises in the Spring semester).

The University agrees to retain the student study/review days in both semesters (Spring/Fall).

23.18 Office Hours

Each full-time faculty member is expected to keep regular office hours on a schedule to be approved by the Dean and be available to students and advisees without previous appointment. The hours should be distributed so as to be of maximum availability to students. The schedule should be posted and strictly observed. Where non-teaching obligations require additional office hours, these should be provided.

23.19 Tutoring One's Own Students

A faculty member may not be recompensed beyond his or her regular salary for tutoring his or her own students.

23.20 Curriculum Oversight

It is the responsibility of faculty to play an ongoing and sustained role with colleagues in overseeing and revising the curricula, when necessary, offered in department(s) or program(s).

23.21 Conduct in the Classroom

The instructional staff, in the classroom and in conference, should encourage relevant discussion, inquiry, and expression. Student performance in the classroom should be evaluated solely on an academic basis, not on opinions or conduct in matters unrelated to the academic objectives of the University of San Francisco.

23.22 Faculty shall have the right to eject, for a specified period of time, a student whose conduct is disorderly, disruptive or obstructive (shouting or making bothersome noises, speaking out of turn

the University co-chairs. Absent an agenda no meeting shall be held. Either party may propose changes in the curricula of the school/college. Deliberations of the joint curriculum committees shall be conducted in open session. The period of discussion shall include at least one regularly scheduled meeting of the joint committee. At the expiration of forty-five (45) days, the administration may reach a final decision on the proposal.

25.4 Curricular matters originating in one school/college, which demonstrably affect at least one other school/college, shall be referred to the Joint University Curriculum Committee. Deliberations shall be conducted in open session. At the expiration of forty-five (45) days, the administration may reach a final decision on the proposal.

25.5 Each party may exercise the option to make an extension of the deadlines referred to above by forty-five (45) days. Further extensions may be arranged by mutual consent of the Parties. Time periods are to be measured from the date on which a proposal was formally presented to the co-chairs of the Joint Curriculum Committee.

25.6 Final authority for all curricular decisions rests with the Vice President for Academic Affairs.

25.7 Any recommendations emanating from the Association or Joint Curriculum Committee shall not be binding in any way on the University's exercising its judgment on curriculum and program. In addition, it is clearly understood that the above shall not be subject to the grievance and arbitration procedure outlined in Articles 41 and 42 of the Agreement.

25.8 However, if the Association alleges that the University did not consult with the Association or Joint Curriculum Committee on curriculum and program, the specific issue of whether or not the University did in fact consult with the Association or Committees on such programs shall be subject to the grievance and arbitration procedure contained in Articles 41 and 42 of the Agreement.

ARTICLE 26. Faculty Workload

26.1 The workload of each faculty member, including teaching assignments and all other duties, is based on a work week of forty (40) to forty-five (45) hours during the academic year and is, for purposes of determining teaching assignments, calculated on an equivalent of thirty (30) units per academic year. Of the thirty (30) unit work requirement, six (6) units per academic year are allotted for non-teaching duties (such as student program advising, committee work, administrative duties, or other extra-curricular duties) and twenty-four (24) units per academic year are allotted for teaching and research assignments during the academic year. A minimum of nine (9) units per semester will be taught by all full-time faculty unless the faculty member is formally excused from such workload by the Dean.

26.11 The basis for calculating the unit equivalencies is an approximate

preceding the University fiscal year in which the leave is to begin

30.14 *Conditions*

(A) The applicant is expected to sign a statement that she or he will return to the University for at least one (1) academic year following the sabbatical leave.

(B) A report of the results of the sabbatical leave must be filed with the Dean within ninety (90) days after the beginning of the semester immediately following the end of the sabbatical leave.

(C) An individual on sabbatical leave shall not give, for compensation, personal service that will adversely affect the sabbatical leave project. Any service for compensation shall be reported to and must be approved in advance by the Dean.

(D) Formal study for an advanced degree is not normally acceptable as a sabbatical leave project. Exceptions to this regulation require the written approval of the Dean of the candidate's school or college prior to filing of the application

(E) Faculty who fail to substantially complete all requirements for a sabbatical leave shall not be eligible to begin accumulating time for a subsequent sabbatical until such requirements are completed.

30.15 Final approval or disapproval will be given in writing by the Dean on or before February 15th

30.16 A denial of sabbatical leave shall be subject to the grievance and arbitration procedure contained in Articles 41 and 42 of the Agreement.

30.17 It is understood that the provision of sabbatical leaves at three-quarters (75%) of salary for two semesters (30.12 (c)) will not continue automatically and must be renegotiated subsequent to July 1, 2005.

30.2 Special Leave

30.21 "Special leave" refers to leave taken for purposes which include engaging in public service, formal study, research, or teaching at another institution. Among the factors considered is the likelihood, in the University's judgment, that the leave will make a significant contribution to the professional growth of the faculty member or the librarian. The term of leave is ordinarily one year. It may be renewed only with permission of the Dean or Library Dean.

30.22 For a probationary faculty member, scholarly leave of absence for one year or less will count as part of the probationary period for tenure as if it

were prior service at another institution unless the faculty member and the Dean agree in writing to an exception to this provision at the time the leave is granted. Whether or not special leave is considered as service to the University for purposes of advancement in rank, or as part of the probationary period for tenure, or as counting towards eligibility for sabbatical, must be agreed to in writing by the Dean and the faculty member before the beginning of the leave.

30.23 A special leave is a leave without pay or compensation, but it shall be possible for the faculty member or librarian to make arrangements with the Personnel Office to assume financial responsibility for payments in order to keep medical or other insurance in force during the period of leave, if so permitted by the suppliers of such insurance.

30.24 A special leave should be applied for as early as possible, so that the University can plan satisfactorily for the absence of the faculty member or librarian on leave. Applications shall be made to the Dean.

30.25 A tenured faculty member granted special leave does not lose tenure rights unless he or she does not return to the University within three (3) years. The faculty member or librarian shall return to the same step on the salary scale which she or he would have enjoyed without the leave, unless other arrangements, agreed upon in writing before the leave, have been made, provided she or he returns in one (1) year.

30.3 Sick Leave

30.31 Sick leave for an extended period may be applied for through the Dean. Upon submission of a physician's certification of illness, or other proof of illness as required by the University, the University will pay up to three months' compensation for probationary or tenured faculty members or librarians, only for the period of time which he or she is scheduled to work.

30.32 After eight (8) days of disability, Voluntary Disability Insurance will pay up to $448 per week and the University contribution will be reduced by this amount. An informative brochure and further information are available in the Personnel Office. In order that voluntary insurance may be applied for, it is the responsibility of the faculty member or librarian to notify the Personnel Office as soon as possible but no later than three (3) weeks after the beginning of sick leave.

30.33 Faculty members or librarians are provided long-term disability insurance for illness which lasts longer than six (6) months.

30.34 If the University believes that a health condition is interfering with the

scope or quality of the Association member's professional responsibilities, the faculty member shall be consulted in an attempt to resolve the problem. If no agreement is reached, the Dean may require a faculty member to request an appropriate leave of absence pursuant to this Article, which shall normally be sick leave.

30.4 Jury Duty

Leave of absence for jury duty shall be granted to a faculty member or librarian by the Dean. In such cases, the faculty member or librarian will receive his or her salary less the amount given for jury duty.

30.5 Military Leave

The University shall make provision for short leaves with pay [up to fifteen (15) days] for military training, and extended leaves without pay for military service or defense work.

30.6 Maternity Leave

A full-time faculty member or librarian shall be granted maternity leave for a period of up to one (1) year for each pregnancy. Faculty on maternity leave for mothers of biological children shall, upon request, receive sick leave and disability leave pay for four (4) weeks prior to the expected delivery date of the infant and for six (6) weeks after the birth date. To receive consideration for pay for longer or alternative periods of time (in return for a non-teaching assignment), the faculty member can consult with the Dean. The decision of the Dean in this matter shall be final.

Maternity leave benefits as outlined above shall not be abridged by the end or beginning of the semester before or after the birth of the child. Whether or not maternity leave is counted as length of service for purposes of advancement in rank and salary, or as part of the probationary period for tenure, or as counting towards eligibilty for sabbatical leave, must be agreed to in writing by the Dean or Library Dean and the faculty member or librarian before the beginning of the leave.

30.7 Funeral Leave

The University shall grant paid funeral leave for up to three (3) working days in the event of a death in the immediate family (spouse, child, stepchild, stepfather, stepmother, parent, brother, sister, father-in-law, mother-in-law or grandparents). It is the intention of this provision that persons that take such leave shall actually be attending the funeral of the member of the immediate family and/or have to attend to pre- or post-burial matters.

ARTICLE 31. Outside Employment

31.1 It is recognized that many of the activities in which faculty members engage, e.g., consultation, lecturing, research, or teaching, contribute to their professional growth and material well-being. However, the University is the

USF FACULTY ASSOCIATION

CONSTITUTION and BY-LAWS

Rev. June, 2004

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This document is currently published on www.usfca.edu.

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I. The Constitution of the USF Faculty Association

I. Name

This organization shall be known as the USF Faculty Association, Full-time Unit Local 4269 of the American Federation of Teachers, AFL-CIO.

II. Objectives

The objectives of the USF faculty Association shall be:

(1) To represent the members of the Association for the purposes of collective bargaining

(2) To secure the economic and material well-being of the faculty.

(3) To promote and protect the academic freedom of the faculty

(4) To exercise a substantial voice in the allocation of the University resources.

(5) To promote the educational and professional excellence of the University and its faculty.

(6) To foster and protect the rights of the individual under the contract.

(7) To advance the Jesuit educational tradition as embodied in the University's statement of Mission and Goals.

(8) To do all things necessary for the advancement of these and any other objectives which may be deemed appropriate.

III. Membership

(1) All non-law and non-CPS teaching faculty, except those conscientious objector status, who teach 6 hours or more with the rank of instructor, assistant professor, associate professor, and professor and all non-administrative full-time professional librarians, excluding office clerical employees, lecturers, part-time teaching faculty, all administrators with faculty rank, all faculty with part-time administrative duties, guards and supervisors as defined in the Act.

(2) Members on leave of absence and sabbatical leave retain their membership during such leave.

(3) Emeritus and retired faculty shall be permitted full membership status.

(4) Faculty members who have been laid off shall retain full membership rights for as long as their recall rights obtain.

III. Membership

All faculty of the Division of Arts who are members in good standing of the USF Faculty Association.

IV. Officers

(1) For purposes of this Article, an individual is considered to be a member of a given academic department if he/she is a member in good standing of the USF Faculty Association and if he/she is paid, in whole or in part, from the budget of that department.

(2) Department Chairpersons:

(a) The members of each academic department shall elect one of their number to serve as department chairperson.

(b) The normal term of office for the department chairperson shall be three (3) years.

(c) An individual who is a member of more than one academic department may be a chairperson of no more than one department at a time.

(d) The department chairperson shall:

- Administer a departmental budget throughout the academic year.
- Prepare a proposed schedule of classes for approval by the Dean.
- Prepare proposed curriculum changes for approval by the Dean
- Initiate faculty personnel requisitions and, after approval by management, supervise the selection process.
- Arrange for and supervise the advising of students with majors in the chairperson's department.
- Serve as chairperson for department meetings.
- Serve as liaison with the Dean on departmental matters.
- Supervise changes pertinent to the department in the University Catalogue.
- Approve directed reading courses.
- Co-ordinate the departmental staff.
- Represent the department at the Arts and College Councils.

(3) Policy Board Representatives:

(a) The Arts Division shall elect, from its members, representatives to the USF Faculty Association Policy Board. The number and term of office of such representatives shall be in accordance with the Constitution of the USF Faculty Association..

(b) Policy Board representatives shall be members of the Arts Council and the College Council.

(4) Grievance Committee Representatives:

(a) The College shall elect, as necessary, from the representatives to the Policy Board, a representative to the USF Faculty Association Grievance Committee in accordance with the Constitution of the USF Faculty Association and the by-laws of the said Committee.

(b) The Grievance Committee representative, jointly with the chairman of the Arts Council, shall serve as spokesperson for the Division of Arts to the Dean.

(5) Appeals Board Representatives:

The College shall elect, from its members, a representative to the USF Faculty Association Appeals Board in accordance with the Constitution of the USF Faculty Association and the by-laws of the said Board.

V. Committees

(1) For purposes of this Article, an individual is considered to be a member of a given academic department if the criteria specified in IV. (1) above are fulfilled.

(2) Arts Council:

(a) The duly elected chairpersons of the academic departments and the Policy Board representatives in the Division of Arts shall constitute the Arts Council.

(b) The Arts Council shall:

- Conduct elections within the College of Arts.
- Conduct and co-ordinate the business of the Faculty Association as it relates to the Division of Arts.
- Co-ordinate class schedules and other matters of mutual concern.
- Request and receive at its discretion, periodic reports from the Division of Arts representatives to the University-wide boards and committees.
- Establish as hoc committees as deemed necessary for specified tasks.
- Make recommendations to the University-wide Committee on Committees.

(1) Minor issues of division policy shall be determined by the Executive Council.
(2) Major issues of division policy shall be drawn up by the Executive Council for division membership approval.
(3) Any proposed action of the College of Arts which would affect members in another division shall be forwarded to the Policy Board for approval.
(4) The Policy Board may submit agenda for action by the Executive Council or members of the division.

III. 2 By-Laws of the Science Division of the College of Arts & Sciences

I. Name

This organization shall be known as the Science Division of the College of Arts and Sciences of the USF Faculty Association.

II. Objectives

(1) To function as an educational unit within the framework of the University
(2) To provide the structure necessary to proper functioning of the Science Division in accord with the Agreement between the University of San Francisco and the USF Faculty Association.

III. Membership

All faculty of the Division of Science who are members in good standing of the USF Faculty Association.

IV. Officers

(1) For purposes of this Article, an individual is considered to be a member of a given academic department if he/she is a member in good standing of the USF Faculty Association and if he/she is paid, in whole or in part from the budget of that department.

(2) Department Chairpersons:

(e) The members of each academic department shall elect one of their number to serve as department chairperson.
(f) The normal term of office for the department chairperson shall be three (3) years.
(g) An individual who is a member of more than one academic department may be a chairperson of no more than one department at a time.
(h) The department chairperson shall:

- Administer a departmental budget throughout the academic year.
- Prepare a proposed schedule of classes for approval by the Dean.
- Prepare proposed curriculum changes for approval by the Dean
- Initiate faculty personnel requisitions and, after approval by management, supervise the selection process.
- Arrange for and supervise the advising of students with majors in the chairperson's department.
- Serve as chairperson for department meetings.
- Serve as liaison with the Dean on departmental matters.
- Co-ordinate changes pertinent to the department in the University Catalogue.
- Approve directed reading courses.
- Co-ordinate the departmental staff.
- Represent the department at the Arts and College Councils.

(3) Policy Board Representatives:

a) The Science Division shall elect, from its members, representatives to the USF Faculty Association Policy Board. The number and term of office of such representatives shall be in accordance with the Constitution of the USF Faculty Association. No two Policy Board representatives shall be elected from the same department.
b) Policy Board representatives shall be members of the Science Council and the College Council.

(4) Grievance Committee Representatives:

a) The College shall elect as necessary, from the representatives to the Policy Board, a representative to the USF Faculty Association Grievance Committee in accordance with the Constitution of the USF

USF
UNIVERSITY of SAN FRANCISCO

AFT Local 4269
Calif Fed. of Teachers
AFL CIO
[redacted]

COLLECTIVE BARGAINING AGREEMENT

BETWEEN THE

UNIVERSITY OF SAN FRANCISCO

AND

USF FACULTY ASSOCIATION

Effective July 29, 1998 through June 30, 2003
with reopeners pursuant to the "Duration" article, page 6.

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SD Note:
This document is contains my personal annotations since 1998.

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2.13 University teachers and librarians are citizens, members of a learned profession, and members of an educational institution. When speaking or writing as citizens, they should be free from institutional censorship or discipline but their special position in the community imposes special obligations. As persons of learning and educators, they should remember that the public may judge the teaching profession and its institutions by their utterances. Hence, they should at all times be accurate, should exercise appropriate restraint, should show respect for the opinions of others, and should not indicate that they are speaking for the institution when in fact they are not. (This shall not be construed to prohibit faculty members and librarians, in the course of their pursuit of community affairs, from identifying themselves and stating the position they hold at the University.)

2.14 The academic functions of faculty members and librarians shall not be abridged, either before or after the fact, directly or indirectly by any segment of the University. The academic freedom of the faculty member and librarian shall not be construed to permit him or her to use the student audience to gratuitously, deliberately, and persistently express views which misrepresent or impugn the authoritative teachings of the Catholic Church.

2.15 Assignment to courses should be based on the faculty member's scholarly competence to teach the course as described in the official University catalogue. It should also take into account seniority and other relevant criteria (such as prior teaching in course area, etc.) common throughout the academic community. Final decisions regarding faculty assignment rest with the dean or director of the academic unit.

2.16 The application of the above provisions is subject to the grievance and arbitration procedure set forth herein.

2.2 Academic Freedom and the University Libraries

2.21 The libraries of the University of San Francisco are central and vital to the processes of free inquiry on the University campus. Through their collections and services the libraries provide a wide range and representation of published and manuscript information to serve the purposes of this institution of higher education. Unrestricted access to this information in libraries stimulates learning and the growth of knowledge and understanding, without which the individual and society would be materially and culturally impoverished. Without the freedom to develop their resources and to remain open sanctuaries for individual inquiry, the University libraries would be unable to fulfill their essential role in learning and research.

(2) ballots will be secret and in writing.

The University has the right to challenge committee members based on the criterion of "distinguished."

ARTICLE 23. Professional Responsibilities of the Faculty

23.1 Effectiveness of teaching, professional growth as reflected by creative work, willing acceptance of responsibilities other than teaching, worthy representation of the University in public affairs, participation in the programs of professional societies, and successful maintenance of sound personal and ethical relations with one's colleagues and the Community—these are among the professional responsibilities of the faculty. To these should be added the following specifics:

23.11 Full-Time Service

A full-time faculty member is expected to perform teaching duties in accord with established requirements of the University and of the particular school or college to which the faculty member is assigned; pursue professional development and enhancement of the public good and of the prestige of the University through research, scholarly publications interest in professional groups and societies; counsel students, assist at registration and commencement exercises, maintain regular office hours, serve on University committees and perform other institutional tasks characteristic of the academic profession.

23.12 Evaluation of Instruction

(A) Every member of the faculty shall allow to be distributed and tabulated for each course in each semester a student descriptionnaire. The instrument used shall be the IDEA Form unless another standardized instrument mutually agreeable to the faculty member and the University is substituted. Deans shall distribute, collect and tabulate the descriptionnaire, and provide the results to the faculty member.

(B) Joint Committee: to Review IDEA Form (Article 23.12) (See side letter M, page 144)

23.13 Intent to Stay

If, upon timely request by the University, no notice is received from the individual faculty member by July 1st indicating his or her intent to remain with the University the University shall consider the faculty member to be terminated.

23.14 Commencement Exercises

All Association members are required to attend the annual Commencement exercises, in cap and gown. Permission to be absent from these exercises may be given by the Association member's Dean. 23.15

23.15 Changes of Class Hours or Classrooms or Examination Times

Faculty members are not authorized to change hours of classes or rooms assigned without the written approval of the appropriate Dean. Nor should the faculty member announce such changes to the students prior to receiving approval from the proper authorities. The Registrar, after receiving information of all changes in class hours and classrooms approved by the Dean, has the responsibility for effecting such changes and informing those concerned. When semester exams are given, they must be administered according to the published schedule. Any exceptions must be obtained in writing beforehand from the Dean.

23.16 Cancellation of Classes

(A) Faculty members have an obligation to meet all their scheduled classes and to hold class throughout the whole of the scheduled time. However, it is recognized that exceptions may exist. Any deviation from regularly scheduled class meetings must be reported by the faculty member to his or her Dean. If the Dean objects to the deviation, he or she may ask the faculty member to adhere to normal scheduling.

(B) When a faculty member is forced by illness or other indisposition to cancel class, the students and the Dean should be informed before the class is scheduled to meet, if possible.

(C) A faculty member who, for good reasons other than illness, needs to be absent from class for a short period must request permission from the Dean. If permission to cancel classes is given, the Registrar should be notified.

23.17 Faculty Availability

All full-time faculty members must be available for service at the University throughout the academic year. (The academic year begins one week preceding the day on which undergraduate classes begin in the fall semester and ends with Commencement exercises in the Spring semester).

The University agrees to retain the student study/review days in both semesters (Spring/Fall).

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Each full-time faculty member is expected to keep regular office hours on a schedule to be approved by the Dean and be available to students and advisees without previous appointment. The hours should be

24.6 Final authority for all curricular decisions rests with the Vice President for Academic Affairs.

24.7 Any recommendations emanating from the Association or Joint Curriculum Committee shall not be binding in any way on the University's exercising its judgment on curriculum and program. In addition, it is clearly understood that the above shall not be subject to the grievance and arbitration procedure outlined in Articles 39 and 40 of the Agreement.

24.8 However, if the Association alleges that the University did not consult with the Association or Joint Curriculum Committee on curriculum and program, the specific issue of whether or not the University did in fact consult with the Association or Committees on such programs shall be subject to the grievance and arbitration procedure contained in Articles 39 and 40 of the Agreement.

ARTICLE 25. Faculty Workload

25.1 The workload of each faculty member, including teaching assignments and all other duties, is based on a work week of forty (40) to forty-five (45) hours during the academic year and is, for purposes of determining teaching assignments, calculated on an equivalent of thirty (30) units per academic year. Of the thirty (30) unit work requirement, six (6) units per academic year are allotted for non-teaching duties (such as student program advising, committee work, administrative duties, or other extra-curricular duties) and twenty-four (24) units per academic year are allotted for teaching and research assignments during the academic year. A minimum of nine (9) units per semester will be taught by all full-time faculty unless the faculty member is formally excused from such workload by the Dean.

25.11 The basis for calculating the unit equivalencies is an approximate equivalence of three (3) hours of work per week, per unit, per semester, taking into account that the academic schedule provides for substantial periods during the academic year during which classroom teaching is not scheduled

25.12 No grant of teaching units will be made for such parts of the academic credit of a course as are, in fact, assigned to and taught by a teaching assistant nor for directed research or reading unless specifically agreed to by the Dean in writing. Such agreement shall be at the sole discretion of the Dean and not subject to the grievance and arbitration provisions of this Agreement.

25.13 The Dean of each school or college shall have the right, at his or her sole discretion, to grant teaching unit credits to some faculty members in exchange for non-teaching assignments or duties beyond those ordinarily expected of a faculty member, or in recognition of any unusual factor affecting the faculty member for the department, school, or college in which the faculty is located.

(B) A report of the results of the sabbatical leave must be filed with the Dean within ninety (90) days after the beginning of the semester immediately following the end of the sabbatical leave.

(C) An individual on sabbatical leave shall not give, for compensation, personal service that will adversely affect the sabbatical leave project. Any service for compensation shall be reported to and must be approved in advance by the Dean.

(D) Formal study for an advanced degree is not normally acceptable as a sabbatical leave project. Exceptions to this regulation require the written approval of the Dean of the candidate's school or college prior to filing of the application.

(E) Faculty who fail to substantially complete all requirements for a sabbatical leave shall not be eligible to begin accumulating time for a subsequent sabbatical until such requirements are completed.

28.15 Final approval or disapproval will be given in writing by the Dean on or before February 15th.

28.16 A denial of sabbatical leave shall be subject to the grievance and arbitration procedure contained in Articles 39 and 40 of the Agreement.

28.17 It is understood that the provision of sabbatical leaves at three-quarters (75%) of salary for two semesters (28.12 (c)) will not continue automatically and must be renegotiated subsequent to July 1, 2001.

28.2 Special Leave

28.21 "Special leave" refers to leave taken for purposes which include engaging in public service, formal study, research, or teaching at another institution. Among the factors considered is the likelihood, in the University's judgment, that the leave will make a significant contribution to the professional growth of the faculty member or the librarian. The term of leave is ordinarily one year. It may be renewed only with permission of the Dean or Library Dean.

28.22 For a probationary faculty member, scholarly leave of absence for one year or less will count as part of the probationary period for tenure as if it were prior service at another institution unless the faculty member and the Dean agree in writing to an exception to this provision at the time the leave is granted. Whether or not

special leave is considered as service to the University for purposes of advancement in rank, or as part of the probationary period for tenure, or as counting towards eligibility for sabbatical, must be agreed to in writing by the Dean and the faculty member before the beginning of the leave.

28.23 A special leave is a leave without pay or compensation, but it shall be possible for the faculty member or librarian to make arrangements with the Personnel Office to assume financial responsibility for payments in order to keep medical or other insurance in force during the period of leave, if so permitted by the suppliers of such insurance.

28.24 A special leave should be applied for as early as possible, so that the University can plan satisfactorily for the absence of the faculty member or librarian on leave. Applications shall be made to the Dean.

28.25 A tenured faculty member granted special leave does not lose tenure rights unless he or she does not return to the University within three (3) years. The faculty member or librarian shall return to the same step on the salary scale which she or he would have enjoyed without the leave, unless other arrangements, agreed upon in writing before the leave, have been made, provided she or he returns in one (1) year.

28.3 Sick Leave

28.31 Sick leave for an extended period may be applied for through the Dean. Upon submission of a physician's certification of illness, or other proof of illness as required by the University, the University will pay up to three months' compensation for probationary or tenured faculty members or librarians, only for the period of time which he or she is scheduled to work.

28.32 After eight (8) days of disability, Voluntary Disability Insurance will pay up to $448 per week and the University contribution will be reduced by this amount. An informative brochure and further information are available in the Personnel Office. In order that voluntary insurance may be applied for, it is the responsibility of the faculty member or librarian to notify the Personnel Office as soon as possible, but no later than three (3) weeks after the beginning of sick leave.

28.33 Faculty members or librarians are provided long-term disability insurance for illness which lasts longer than six (6) months.

28.34 If the University believes that a health condition is interfering with

the scope or quality of the Association member's professional responsibilities, the faculty member shall be consulted in an attempt to resolve the problem. If no agreement is reached, the Dean may require a faculty member to request an appropriate leave of absence pursuant to this Article, which shall normally be sick leave.

28.4 Jury Duty

Leave of absence for jury duty shall be granted to a faculty member or librarian by the Dean. In such cases, the faculty member or librarian will receive his or her salary less the amount given for jury duty.

28.5 Military Leave

The University shall make provision for short leaves with pay [up to fifteen (15) days] for military training, and extended leaves without pay for military service or defense work.

28.6 Maternity Leave

A full-time faculty member or librarian shall be granted maternity leave for a period of up to one (1) year for each pregnancy. Faculty on maternity leave for mothers of biological children shall, upon request, receive sick leave and disability leave pay for four (4) weeks prior to the expected delivery date of the infant and for six (6) weeks after the birth date. To receive consideration for pay for longer or alternative periods of time (in return for a non-teaching assignment), the faculty member can consult with the Dean. The decision of the Dean in this matter shall be final.

Maternity leave benefits as outlined above shall not be abridged by the end or beginning of the semester before or after the birth of the child. Whether or not maternity leave is counted as length of service for purposes of advancement in rank and salary, or as part of the probationary period for tenure, or as counting towards eligibilty for sabbatical leave, must be agreed to in writing by the Dean or Library Dean and the faculty member or librarian before the beginning of the leave.

28.7 Funeral Leave

The University shall grant paid funeral leave for up to three (3) working days in the event of a death in the immediate family (spouse, child, stepchild, stepfather stepmother, parent, brother, sister, father-in-law, mother-in-law or grandparents). It is the intention of this provision that persons that take such leave shall actually be attending the funeral of the member of the immediate family and/or have to attend to pre- or post-burial matters.

REPORT TO THE

Accrediting Commission for Senior Colleges and Universities

Western Association of Schools and Colleges

In Support of the

SPECIAL VISIT

to the

University of San Francisco

Fall 1991

Submitted August 15, 1991

VOLUME I

Office of the President
University Center 423
2405 Golden Gate Avenue
San Francisco, California 94117-1080

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VI. RESPONSE TO THE COMMISSION RE: DIVERSITY ISSUES

Since the 1988 visit, WASC has mandated that all visits include a review of two additional areas: diversity and assessment issues. Diversity issues are discussed in this chapter, with Assessment following in Chapter VII. In its letter to Accreditation Liaison Officers dated February 11, 1991, the Commission requested that the content of the University's Institutional Report regarding diversity include its major activities to promote student, faculty and staff diversity (Standards 1.B, 5.B and 5.D) and its appreciation of cultural diversity in the curriculum (Standard 4.B).

A. Comments from the Visiting Team Report

While the Team Report did not directly address the issue by name, it contained several references to diversity at USF. Specifically, the Report included the following observations regarding WASC standards:

> "The University makes a conscious effort to follow a non-discrimination policy and actively recruit minority students. The effectiveness of the University's recruiting efforts and especially support services for students is not clear. The University recognizes the need for increased diversity in the faculty, but minority students still find few minority faculty members with whom to relate". (Team Report, p.11) (Standard One)

> "The number of minority faculty is relatively small, and the institution needs to do more in order to achieve diversity in the faculty population. While it is true that some efforts in this area are being undertaken, it is not clear that a policy exists to define not only the need for diversity (as a function of affirmative action), but also a rationale and a justification for the specific kinds of diversity that may be attempted". (Team Report, p.33) (Standard 5)

"The Office of Personnel Services is managed in a highly professional manner, and its programs represent an agenda of significant initiatives in respect to staff. The recognition and strengthening of the importance of the Affirmative Action Program is an example of a recent improvement. The University of San Francisco is strongly committed to the spirit of and belief in equal employment opportunities for all groups of employees; it is cognizant of the legal requirements and is scrupulous in their observance. While the institution is to be commended for its efforts, there remains continuing need for greater diversity in the campus population' (Team Report, p.35) (Standard 2).

B. The Commitment to Diversity

The University Mission Statement at the time of the visit spoke in terms of admission standards "without regard to ethnic background;" to promote an "awareness....of the diverse cultures of the San Francisco Bay Area and of the world" in all University students; and of the commitment to provide "distinguished faculty and staff" for its educational programs. The commitments towards services for students were expressed in terms of enhancing student achievement of 'academic, personal, and professional excellence'. Mission Statements related to the needs of society were general and expressed as a reflection of the Catholic and Jesuit traditions of higher education and promotion of social justice among all people.

Notwithstanding the generality of the Mission Statement at that time, the University did articulate strategies for staff training programs; retention activities for undergraduate students in general, and minority students in particular; new approaches to orientation of new students; and advising for students at risk.

Simultaneous with the increased emphasis placed by WASC on diversity issues, the University began its review of the Mission Statement which culminated in the new document

approved in January 1991 by the Board of Trustees. This document clearly expresses the University commitment to "prepare men and women to shape a multicultural world"....a commitment which will be articulated in the sections C and D which follow, including the development of specific multicultural support services and academic responses in programs and staffing, and staff training.

At the University level, the Strategic Plan has identified a series of activities addressing goals established to promote multiculturalism at USF. These goals relate to ethnic and gender diversity of the faculty and staff and the increased diversity of the student body through recruitment and increased student support services. One strategy to promote multiculturalism is to give the "highest priority to the hiring of qualified ethnic minority faculty and staff in all schools and colleges and divisions of the University." In terms of students, a representative strategy is to "target academically qualified ethnic minorities in student recruitment efforts so as to reflect the demographics of California." (6)

A deepening of commitment is also expressed through the development of strategic planning and budget priorities in the Academic Plan. In the Academic Plan, a strategy important to the commitment to diversity (and to planning and budgeting) is to "increase [the number of] underrepresented minority students and increase financial aid, as well as.... increase in minority faculty members." (5)

In Spring 1989, the Division of Academic Affairs reviewed and adopted a restatement of existing strategic goals defined as the Academic Goals Statement (9) which recognized the cultural diversity of the University, its environs, and its student body. This document expressed a continuing commitment

o "educate the less-advantaged student," and to involve them in "decisions regarding their educational program" at USF; and a commitment to recognize members of the University community with "diverse ethnic and cultural backgrounds as a source of enrichment in the University," and as "full participants in community life."

This initial plan for Academic Affairs was expanded to a fuller, five-year document in 1991. This plan describes a vision which reflects student, faculty, and program development within the context of several parameters. The planning parameters for the next five years reflect (among others) social justice, principles of diversity, the culture of the University, and enrollment goals related to the quality and diversity of the student body. (5)

The commitment to diversity thus has been deepened and clarified since the last Team Visit. This commitment is expressed in detail through the Academic Plan and provides 1) a rationale for diversity at USF; and 2) a basis for continuing program and staff development.

C. Implementing the Commitment: The Present State of Diversity at USF

1. Presidential Leadership--To emphasize the importance of diversity on campus, USF's new President, in his first weeks in office, announced, 'This (Diversity) is an area in which I will be addressing personal leadership and for which I will be held accountable.' He also announced the appointment of a Director of Diversity reporting directly to the President. A $200,000 fund was created to support diversity objectives over the next four years. These funds will be used for curriculum development, lectures, workshops, and projects enhancing multicultural awareness among students. (Exhibit J)

2. Academic Programs--During the last several years the University has been fortunate to receive considerable impetus in developing diversity programs through a substantial grant from the Irvine Foundation. The purpose of the grant was to assist faculty in developing awareness of diversity issues and to develop a campus atmosphere of openness and support of ethnic diversity. The grant provided the University with a significant increase in moral commitment to diversity through program design and the introduction of a number of new activities on campus. Although the funding for the grant was discontinued after the support of the 1990-1991 programs, those programs planned and initiated under grant auspices have set a direction within the University, a direction which we believe will have a long-term impact on making the University a supportive environment for ethnically diverse students, faculty and staff. In particular, the following areas have been influenced by the grants.

• Faculty Recruitment. Presently women represent 28 % of the full-time faculty. Minority represent 9% of faculty. As documented in the 1989-90 EEOC report (Exhibit I), they are distributed among the ethnic groups in the following pattern:

Black Females	4	Black Males	4
Asian Females	3	Asian Males	6
Hispanic Females	1	Hispanic Males	3

New affirmative-action guidelines have been introduced into the process of recruitment and employment of faculty. Faculty searches now provide for special efforts to bring minority candidates into the vacancy pool. New efforts are being made to announce vacancies in publications which are more likely to provide minority candidates; a minority faculty member from USF makes an annual recruitment visit to schools which might provide minority candidates. A special

consultant was engaged to help in designing this new recruitment procedure. This consultant also provided the institution with a number of names of minority faculty who could become candidate for vacancies. Special efforts were made to give minority candidates the opportunity to meet with minority members of the faculty. Further, before a search is judged ready for the on-campus interview stage, the Dean must certify that the applicant pool or the recruitment process reflects University goals in this area. Efforts this year, as estimated as of this date, indicate the University anticipates the appointment of six additional minority instructors (3 Blacks, 1 Hispanic, 2 Asians) to the full-time faculty. (Exhibit M)

- Curriculum Changes. Diversity priorities are reflected in the curriculum. Special funds were provided to several faculty members during the summer of 1990 to redesign courses in order to add a multicultural dimension to the curriculum. More importantly, the General Education core, proposed for introduction in the Fall 1992 contains two new courses specifically addressing ethnic diversity and international culture. A special lecture was sponsored by the College of Arts and Sciences (Department of Theology and Religious Studies) addressing the approaches to learning by various ethnic groups. A course on "Race and Ethnicity in American Politics" will be offered in Spring 1992.

- Academic Outreach Programs.

USF also addresses its commitment to diversity through academic outreach programs. These programs not only assist those in need in the Bay Area but also provide USF students with a "hands on" opportunity to assist those in need. This commitment to community outreach is illustrated through the following examples.

University of San Francisco
Plan 2005

Building a Bold Tomorrow: The Vision

- *Strategic Plan Approved 6/96*
- *University of San Francisco Mission Statement*

Plan 2005 draft report and recommendation

- *Learning Community Committee*
- *The Catholic and Jesuit Identity*
- *Pluralism*
- *The University Community*
- *The Broader Community*
- *Human, Physical and Financial Resources*

About Accreditation

- *The Purpose of Accreditation (WASC)*
- *The role of accreditation in the assessment of student learning and teaching effectiveness (WASC)*
- *Integrative questions for learning assessment and evaluation of teaching (WASC)*
- *WASC Revised Standard 4.B.-Undergraduate programs*
- *WASC Statement on Diversity*

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10/20/98- **Susan Prion** *skp*

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PLURALISM

The most eloquent introduction to the Plan 2005 section about pluralism is contained in the preface for the "Pluralism" section of the Vision 2005 statements.

> *The University of San Francisco welcomes students, faculty and staff of different religions, gender, age, race, national origin, orientation, abilities and disabilities, and economic and social background. It is precisely in its diversity that USF provides a rich educational opportunity for individuals to grow in understanding and respect for others. At the same time, within this environment individuals may deepen and grow in the understanding of their own values and cultures. USF demonstrates its Catholic and Ignatian values of peace and social justice through leadership and commitment to affirmative action, equality and access*

The Mission Statement of the University also proclaims that we strive to:

> *Create a campus-wide environment which values each individual, heightens ethical standards, instills a passion for justice, and integrates faith with life...To prepare men and women to shape a multicultural world with creativity, generosity and compassion.*

We wish to create an environment in which conversations of respect[1] flourish, activities promoting diversity are celebrated, and the importance of multiple types of knowledge/perspectives[2] in the pursuit of truth openly recognized. Given these important goals, pluralism becomes an integral part of our strategic planning for the future.

---

[1] Patrick J. Hill "Multiculturalism: The Crucial Philosophical and Organizational Issues." Change [July/August 1991]. pp. 38-47).

[2] James A. Banks, "The Canon Debate, Knowledge Construction, and Multicultural Education." Educational Researcher [June-July 1993]. pp. 4-14).

Vision 2005 Goal: *Identify skills and processes to help students, faculty and staff in attaining a pluralistic perspective and knowledge base.*

Vision 2005 Goal: *Provide experiences which bring diverse groups together to achieve interactive pluralism.*

■ *Current Status*

Opportunities to help students, faculty, and staff to attain a pluralistic perspective and knowledge base are plentiful at USF. Programs have been developed in the following areas:

1. Academics/Curriculum
   - Davies Forum: a funded program of classes and public lectures designed to "examine the turbulent state of American society in the last half of the 20th Century from a variety of perspectives.' The continuing theme is "The Search for Values in Contemporary America." More information is available in the *USF Factbook* and the WASC Team Resource Room.
   - Community-based/Service learning programs -School of Nursing, Arts and Sciences, Business, Education, Law
   - Ethnic Studies Certificate
   - Peace Studies Certificate
   - Women's Studies Certificate
   - GEC Area "D", Cultural Perspective
   - History courses and virtually all non-English language literature courses afford insight into other world views and cultures
   - *Hispanics: Cultural Locations*- an interdisciplinary conference scheduled for USF on October 10-12, 1997 that is drawing registration from academics and students throughout the world

2. Student Life
   - ASUSF (Associate Students of University of San Francisco)
   - Various student clubs/organizations
   - ORL (Office of Residence Life)
   - MODEL (Multicultural Opportunities for Developing Excellence in Leadership)
   - Disability Related Services
   - Counseling Center
   - Foreword (Summer Bridge) Program

- •School of Nursing Multicultural Group
- •School of Education, Department of Counseling Psychology
- •Multicultural Action Committee

3. USF community at large
   - •President's Multicultural Action Plan (MAP) Advisory Board
   - •Creating Community Committee
   - •President's Advisory Committee on the Status of Women
   - • Committee 2005
   - •America Reads Program
   - •ARETE Professional development programs
   - •Campus Ministry
   - •Upward Bound

The list of activities is impressive in its depth and breadth, but some examples of activities are included here in more detail to give an idea of the scope.

Multicultural Action Plan

In September 1991, President John P. Schlegel, S.J. announced the initiation of the Multicultural Action Plan (MAP).The purpose of the MAP program is to move USF from "discussions to action: to start building bridges, developing programs and providing models to celebrate our pluralism." In addition to setting goals for faculty students and staff recruitment. retention and development, the President initally appropriated $200,000 in University funds for lectures, seminars and faculty workshops on issues related to race and cultural diversity, a faculty competitive grants program for course development or multicultural curriculum enhancement, and competitive grants for student groups for projects enhancing the multicultural awareness of students.

In 1993, the James Irvine Foundation awarded USF a $500,000 grant to fund additional MAP programs. In 1996, this grant was renewed for an additional 3 years (1/97 through 12/99) for $650,000. Programs funded by Irvine include the Irvine Scholars Program, which assists USF in hiring faculty of color, primarily in the arts and Sciences; a curriculum development program for the GEC; the Forword Summer Bridge Program; and general multicultural programming funded by monies allocated at the President's discretion.

One very important function of the MAP grant has been to encourage the creation of new or revised curricula, faculty development, lectures and seminars, workshops, group projects, and special events, and to lay the foundation for a campus community which is more aware and responsive to the needs of all of its members. Funding is provided under two general

Table 1: Ethnicity of USF students (undergraduate and graduate, all schools) Spring 1996

Ethnicity	total number	% of total
Asian	1182	16.2%
African-American	387	5.3%
Hispanic	587	8.1%
Native American	34	0.5%
Multi-ethnic	184	2.5%
Other	137	1.9%
International	717	9.8%
Unspecified	811	11.1%
White	3252	44.6%
TOTAL	7291	100.0%

This compares very favorably with other Jesuit institutions for a similar time period.

Table 2: Ethnicity of students (undergraduate and graduate, all schools) at similar Jesuit institutions Fall 1996

University	African American	Native American	Asian	Hispanic
Gonzaga	1%	2%	5%	3%
John Carroll	5%	0%	2%	1%
Loyola Marymount	7%	1%	15%	18%
Santa Clara	3%	0%	21%	10%
Seattle	4%	1%	14%	3%
USF	5%	0.5%	16%	8%

USF has increased its percentage of minority students from 22.8% in Fall 1991 to 30.1% in Fall 1996.

In addition, the initial MAP grant helped develop hiring procedures for the attraction and appointment of faculty of color, and set up a recruitment committee for faculty of color. New affirmative-action guidelines have been introduced into the process of recruitment and employment of faculty. Faculty searches now provide for special efforts to bring candidates of color into the vacancy pool. New efforts are being made to announce vacancies in publications which are more likely to provide candidates of color. A faculty member of color from USF makes an annual recruitment visit to schools which might provide candidates of color. Before a search is judged ready for the on-campus interview stage, the Dean must certify that the applicant pool or the recruitment process reflects University goals in this area. Table 3 shows the ethnic and gender diversity of our full-time faculty as of Fall 1996.

Table 3: Distribution of full-time faculty by ethnicity and gender (1996)

Ethnicity	male	female	total	% total
White,non Hispanic	163	96	259	86%
African-American	5	4	9	3%
Hispanic	10	3	13	4%
Asian	10	8	18	6%
Native American	0	1	1	0%
TOTAL	188	112	300	100%

Since the last WASC visit in 1991, the number of women faculty has increased from 74 to 112 (1996) and the number of faculty of color has increased from 24 to 40 during the same time period.

The size of the University's administrative staff has decreased since the last WASC site visit in 1991. Despite this downsizing, the percentages of minority and women staff members have remained at about 25% (1991 numbers) of the total workforce. Table 4 shows the ethnic and gender diversity of our full-time staff as of Fall 1995.

Table 4: Distribution of full-time staff by ethnicity and gender (1995)

Ethnicity	male	female	% total
White	393	291	83
African-American	28	31	7
Hispanic	24	24	6
Asian	37	62	12
Native American	1	0	0%
TOTAL	415	410	100

■ *Analysis and evaluation*

This strategic goal identified recruitment, but retention should be addressed as both are equally important in creating a representative community. USF had done admirable work towards a more diverse university (see Current Status data earlier in this report), but must continue to analyze and improve its efforts.

Programs such as the University Scholars, Phelan Hall Multicultural Community, Gillson Hall Leadership Community, Foreword Summer Bridge, and P.E.A.C.E. Partners and Advocates, all contribute to the retention of students at USF. Our Minority Hiring Program encourages qualified faculty applications. More focus is needed on the retention of both minority students and faculty.

There has been a great deal of improvement made at USF in terms of increasing numbers of ethnic minority staff on campus. For example, within the Student Affairs Division, the demographics of exempt staff members have improved significantly. In 1992, 70% of the staff was Caucasian and the remaining 30%

University

of

San Francisco

San Francisco, CA 94117

Fifth year self-study report in

preparation for a site visit on

November 13-15, 2002

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I. Statement on report preparation

The self-study report for the University of San Francisco was a collaborative effort. The initial draft was prepared by the Provost's Office with contributions from various offices of the University. That draft and subsequent drafts were reviewed and revised by the President's Leadership Team and other interested faculty, staff members, and students.

Preparation for this special visit and the accompanying self-study report began immediately after the December 1997 WASC comprehensive team visit with the decision to collect information about assessment and evaluation activities at the institution on a regular basis. Examples of this annual reporting can be found in the team resource room.

The report preparation began with the convocation of the WASC Assessment Committee in November 2001. That committee, composed of faculty, staff and administrators, oversaw the collection of the information necessary to prepare the relevant sections of this self-study report. The final report has been shared with that committee for their comments. The committee included a representative from each school and college, the University Life division, Institutional Research Office, Academic Services, and the Provost's Office.

IV. Institutional summary data form

University of San Francisco
President Stephen Privett, S.J. 13 September 2002

1. Year founded: 1855 2. Calendar plan: semesters plus intersession

3. Degree level offered: Baccalaureate, Masters, Ed.D.

4. Sponsorship and control: Independent

5. Current enrollment (spring 2002)	headcount	% minority	FTE
A. undergraduate	4165	44.9%[1]	4283.8
B. Graduate (including Law)	3009	27.7%[2]	2701.0
C. non-degree	210	25.2%	114.0
TOTAL	7384	36.9%	7098.8

6. Current faculty (fall 2001):		
	fulltime: 322	% minority: 21.78%
	parttime: 361[3]	% minority: 9.14%[4]

7. Finances
   A. annual tuition rate: undergraduate - $20,190 graduate - $645-800 per unit[5]
   B. Total annual operating budget: $151,306,000
   C. % from tuition and fees: 82.6%
   D. Operating deficit(s) for past 3 years: $0 for each year
   E. Current accumulated deficit: $ 0

8. Governing board:
   A. size: 43 members
   B. Meetings a year: 4

9. Off-campus locations:
   A. number: 12
   B. total enrollment: 1543 (spring 2002 census)

10. Library:
   A. number of volumes: 656,529 books (as of May 31, 2002 inventory)
   B. Number of periodical subscriptions: 3710 (as of May 31, 2002 inventory)

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[1] Does not include those students who self-selected *other, international*, or *unspecified*
[2] Does not include those students who self-selected *other, international*, or *unspecified*
[3] Source: Fall 2001 IPEDS report
[4] Ibid., *note-142 respondents or 39.33% are "unknown" category*
[5] Please see attachment 2 of the 2002 WASC Annual report for a full description of graduate tuitions

The extension literature on college student retention reveals a multitude of successful freshman retention strategies, all of which are employed to varying degrees at USF. These retention strategies include the creation of a sense of belonging and community among freshmen, the development of learning communities for first-year students, the promotion of student involvement in active learning, enrollment in freshman seminars, academic skill development, and high-quality developmental advising and mentoring.

The relatively high retention rate among African-American freshmen during this past year deserves special attention. We believe that this high rate is most likely attributable to the academic, social, and personal support provided to this group of students by the Senior Associate Director, Minority Student Recruitment and Retention in the Admissions Office. National research indicates that various personalized strategies can have a significant impact on attrition rates. We believe that personal attention, often referred to as mentoring in educational literature, should increasingly be extended to other categories of USF students by administrators and faculty. Giving personal attention to students is the *cura personalis* of the Jesuit approach to education, and was a basic principle of education in the *Constitutions* of Saint Ignatius of Loyola. Although various institutional strategies can have a positive impact on retention rates, personalized strategies need to be tried and tested to help our students persist in achieving their educational objectives.

A variety of strategies for faculty diversification at USF have been in place during the last 10 years, many of them brought about by the efforts of a former Provost and Academic Vice-President (Fr. John Clark, S.J.) and the continued support of the current Provost and Academic Vice-President (James L. Wiser). As early as 1990, a group of minority faculty circulated to the deans steps and objectives directed at increasing the representation of minority faculty on campus. A number of those plans were subsequently implemented (e.g., targeted special mailings and advertisement placements, and diversification of search committees).

Before Fr. Clark's arrival at USF and since the closing of the original Ethnic Studies program in the 70s, there were a few ethnic minority faculty hired but not as the result of specific efforts at faculty diversification. The 1989 Higher Education Staff Information (EEO-6) report indicated that 91% of the full-time faculty were non-Hispanic Whites. By 1991, when the Irvine Minority Scholars program was proposed to the James Irvine Foundation, 88% of the full-time

The supplemental instruction is provided by specially selected and trained student tutors. These students must have already taken the course and been successful, so almost all of them are identified by the faculty members and referred to the Learning Center. These tutors go through a special tutor training program (which includes learning styles and teaching methods) provided by the Learning Center, then they attend the course again so they know what the faculty member actually covered for the week. They meet regularly with the faculty member teaching the course to plan the supplemental instruction content and they hold the actual supplemental instruction sessions for the students in the course at least once a week and sometimes more, depending on the course. For some courses they will offer special sessions during mid-terms and finals.

Student participants self-select for SI, but if a student is having difficulty, faculty will strongly encourage them to participate in the additional assistance program. The Learning Center budget pays for the tutors' training and program delivery time. The institution has found that we actually save monies with SI because fewer individual tutors are needed. This is one of the ways we have not had to add significantly to the tutor budget even though the demand has grown significantly. It is a proactive support service for students to help them maximize their learning outcomes achievement; especially in classes that we know are difficult for students. The College of Arts and Sciences faculty and deans have collaborated effectively with the Learning Center on this program and USF hopes to be able to expand this instruction to more courses identified through an analysis of student feedback and course grades.

The following table examines selected course performance by students who participated in Supplemental Instruction in Fall 2001. The control groups are students in the same class who did not participate in SI.

Statistics 101

	SI (n=5)	Non-SI (n=71)
Mean Course GPA	3.2	2.93
A,B,C Rate	100%	87%
D,F,W Rate	0%	13%

Statistics 103

	SI (n=100)	Non-SI (n=220)
Mean Course GPA	3.07	3.09
A,B,C Rate	90%	82%

D,F,W Rate	10%	17%

Chemistry 111

	SI (n=60)	Non-SI (n=86)
Mean Course GPA	2.44	2.25
A,B,C Rate	80%	66%
D,F,W	20%	34%

Astronomy

	SI (n=15)	Non-SI (n=35)
Mean Course GPA	3.36	3.10
A,B,C Rate	93%	83%
D,F,W	7%	17%

- In every course in which Supplemental Instruction was utilized, students had lower D, F, and W rates.
- Slight increases in course GPA were visible in all but one course.
- Anecdotal evidence suggests that students who participated in Supplemental Instruction enjoyed their study sessions and felt their tutors were good support for the class.

DIVERSITY AS OUR STRENGTH

A Report to the Academic Affairs Committee of the Board of Trustees

Gerardo Marín
Associate Provost

26 March 2004

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SD Note:
This document is currently published on www.usfca.edu.

DIVERSITY AS OUR STRENGTH

> *This is a University community where students, faculty, and staff learn from each other; where diversity is not a political agenda, but the necessary ingredient of a quality education in the 21st century.* (Stephen A. Privett, S.J., USF's President)

USF began the new century with a renewed spirit of inquiry and collaboration directed at "Educating Heart and Minds to Change the World." Central to this goal is the emphasis we place on diversity in our campus community. A diversity that covers not just ethnicity or race, but also gender, ancestry and national origin, religion, age, socio-economic status, sexual orientation, and disability. This diversity is a sign of our richness and our strength as an institution and as a community. This report covers primarily aspects of ethnic/racial diversity as a reflection of the common perception of the word "diversity" as well as a way of making this presentation manageable in scope.

History and Tradition

Ethnic diversity efforts at the University of San Francisco (USF) reflect the history of the institution as well as its roots in Catholic and Jesuit education. Since its foundation, USF has played an important role in educating those in need of educational and professional training (e.g., early Italian and Irish immigrants, World War II veterans, first-generation college students) and in serving the city that is its home. Reflecting its nature as a Catholic and Jesuit institution, USF has strived to train "the whole person," individuals who "are for and with others," leaders who as the Mission statement reads, will "...fashion a more humane and just world" who are part of a University that is "...a diverse, socially responsible learning community." As a Jesuit university supporting "the service of faith and the promotion of justice" as proclaimed in 1975 by the 32nd General Congregation of the Society of Jesus, we must not only expose our students to ethnic and cultural diversity but guarantee that *all* members live the respect for ethnic diversity that is inherent in "the promotion of justice" and in finding God in all people.

In the last 10 years, we have witnessed an increasing diversification of the curriculum, a noticeable increase in the number of faculty of color, the creation of special academic programs, a commitment to gender and ethnic diversity in recruitment and in hiring, and an increased awareness and willingness to discuss ethnic and cultural differences. As Fr. Privett said during his inauguration

> The University of San Francisco first served Irish and Italian immigrants who otherwise had no access to quality education. The original roster of student names has expanded over the years from Cleary, O'Brien, Pinasco, and Vanzinni, to include Nguyen, Aquino, Takashi, Gonzales, and Chang. We are proud that after 145 years, 25 percent of our undergraduates are first generation college students. Providing a quality education to immigrants and the sons and daughters of immigrants will forever be a heart-felt concern of the Jesuit University of San Francisco.

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In 1993, USF received the first of three grants from the Irvine Foundation designed to support student, faculty and curriculum diversity. Those grants served as catalysts that supported the institutions' efforts to diversify. Furthermore, our new Vision, Mission and Core Values statement (approved in 2001) emphasizes the diverse nature of our institution and the importance of diversity in the type of education we wish to impart to our students. As a matter of fact, that document supports the recruitment and support of a diverse faculty, staff, and student body as one of our strategic priorities.

It is against this background that this Report reviews our recent achievements and current status in terms of ethnic and cultural diversification at USF in three specific areas: (a) Students; (b) Faculty; and, (c) University Community. Within each area we review statistics for the last decade and provide examples of activities or strategies currently in place to support the diversification of the University.

In analyzing our diversity we consider two sets of data as baseline or comparison criteria. One is the results of the Decennial Census of 2000 in terms of the ethnic diversity of the City of San Francisco and of the State of California. Those results are summarized in Table 1 where non-Hispanic Whites represented less than half the population of the state (49.9%) and of the city (37.3%). Furthermore, the decennial census showed that close to one in three Californians was a Hispanic. In the City of San Francisco, close to 37% of the population was Asian American

Table 1
Proportion of Ethnic Minority Groups in San Francisco and in California

	San Francisco	California
African Americans	10.7%	7.5%
American Indians	0.5%	0.9%
Asian Americans	36.6%	12.2%
Hispanics/Latinos	16.9%	31.6%
Non-Hispanic Whites	37.3%	49.9%

SOURCE: Bureau of the Census, 2000.

A second set of data that we can use as comparison in our diversification efforts is the level of diversity and educational effectiveness (in terms of retention and graduation rates) of our sister Jesuit universities. Table 2 below shows that USF is the second most ethnically diverse Jesuit university in the country after St. Peter's (based on AY 2001-2002 data reported to the AJCU). In terms of gender diversity, USF places fourth in the nation behind Loyola University Chicago, Loyola University New Orleans, and Spring Hill College. Data on the presence of international students show that we are third in the nation behind Georgetown and Seattle University from among the other Jesuit universities. Table 2 also shows one-year attrition rates and 6-year graduation rates for the various Jesuit universities, and we refer to those data later on in the report.

FACULTY DIVERSIFICATION

"Their impact in the curriculum has been synergistic; their role modeling has energized the student body; their innovative and nationally recognized scholarship meets and in some cases even surpasses that of their other peers at USF; their presence in university-wide and college-specific committees is in cases double and triple that of their peers..."
(A faculty member reflecting on minority faculty at USF)

Among the main arguments for faculty diversification are first, to participate in the development and support of a diversified curriculum (Milem & Hakuta, 2000). Equally important are functions such as providing role models (to ethnic students as well as to white students); mentoring ethnic minority students (improving their chances of graduating); supporting and mentoring newly-hired ethnic minority faculty; serving the scholarly community in a culturally appropriate fashion; participating in development efforts within ethnic communities; and, supporting outreach efforts to the community at large.

Our Progress in Faculty Diversification

A variety of strategies for faculty diversification at USF have been in place during the last 10 years and they have produced marked changes in the ethnic composition of the faculty. The 1989 Higher Education Staff Information (EEO-6) report indicated that 91% of the full-time faculty was non-Hispanic Whites. By 1991, 88% of the full-time faculty at USF was white and that number has decreased to 78% by Fall 2003 (Table 12). Despite our increase in full-time faculty diversity in the last decade, the faculty does not properly represent the ethnic variety of our students or of the population of the State of California.

Table 12
Diversity of USF Faculty in 1991 and 2002 and 2003 Compared to State Diversity

	California 2000	Full-time Faculty 1991	Full-time Faculty 2002	Full-time Faculty 2003
African Americans	7.5%	N=10 (4%)	N=13 (4%)	N=15 (5%)
Asian Americans	12.2%	N=11 (5%)	N=27 (8%)	N=24 (7%)
Latinos	31.6%	N=7 (3%)	N=17 (5%)	N=19 (6%)
Native Americans	0.9%	N=0	N=0	N=0
Non-Hispanic Whites	49.9%	N=203 (88%)	N=265 (82%)	N=260 (78%)
Unspecified *			N=3 (1%)	N=12 (4%)
Total		231	337	330

SOURCES: November 8, 1991 and November 8, 2000 Human Resources database; November 22, 2002 report from Office of Institutional Research.
* In 1991, individuals who did not specify ethnicity were considered "Non-Hispanic Whites"

Table 13 shows the ethnic breakdown of full-time faculty by school or college in Fall 2002 and in Fall 2003. The data show that three of the schools and colleges (Arts and Sciences, Law and Education) had a similar level of faculty diversity (around 80% of

the faculty being white) during AY 2002-2003. While Nursing showed no ethnic diversity among its full-time faculty during AY 2002-2003. Hirings for the current academic year showed an increase in African Americans in Arts and Sciences and in Nursing as well as for Latinos in Arts and Sciences and Law. Nevertheless, overall we lost four ethnic minority faculty between AY 2002-2003 and 2003-2004.

Table 13
Ethnic Representation of Full-time Faculty by College/School Fall 2002 and Fall 2003

	African American	Asian American	Latinos	Native American	White
Arts & Sciences					
2002	8 (4.5%)	18 (10.1%)	10 (5.6%)	0	141 (79.2%)
2003	10 (5.4%)	16 (8.6%)	11 (5.9%)	0	140 (75.3%)
Business & Management					
2002	0	5 (10.9%)	1 (2.2%)	0	40 (86.9%)
2003	0	5 (10.9%)	1 (2.2%)	0	40 (86.9%)
Nursing					
2002	0	0	0	0	19 (100%)
2003	1 (5.0%)	0	0	0	17 (85.0%)
Education					
2002	3 (8.6%)	3 (8.6%)	3 (8.6%)	0	28 (80.0%)
2003	2 (6.1%)	3 (9.1%)	3 (9.1%)	0	25 (75.8%)
Professional Studies					
2002	0	0	0	0	17 (89.5%)
2003	0	0	0	0	16 (80.0%)
Law					
2002	2 (7.1%)	1 (3.6%)	3 (10.7%)	0	22 (78.6%)
2003	2 (7.1%)	0	4 (14.0%)	0	22 (78.6%)

SOURCE: Office of Institutional Research reports
NOTE: Proportions may not add to 100 because of other ethnic categories not included here (e.g., "Multicultural") as well as because some individuals don't report ethnic background.

An analysis of the last two IPEDS reports (2002 and 2004) show that overall (Table 14), the ethnic diversity of the full-time faculty has not changed (considering the proportion of faculty who consider themselves white) despite the increase of 35 new individuals. Specifically, there has been a slight level of diversification among the tenured faculty (from 84.1% white in 2002 to 81.9% in 2004) and an actual decrease in the diversity of the probationary faculty. Of particular note is the fact that the faculty with term appointments has become increasingly *less* diverse in the last two years (from 78.9% white in 2002 to 87.3% in 2004).

Table 14
Proportion of Faculty who Self-identify as White by Appointment Status

	2002	2004
Probationary	68.7%	69.8%
Term	78.9%	87.3%
Tenured	84.1%	81.9%
TOTAL	79.4%	79.7%

Table 15 shows the ethnic diversity of our part-time faculty as reported in the last two IPEDS reports Unfortunately, substantial numbers of part-time faculty did not report their ethnic background (e.g., 40.7% of the Fall 2001 faculty) and this makes it difficult to estimate the ethnic diversity of our part-time faculty. Nevertheless, the data would suggest that our part-time faculty is even less diverse than the full-time faculty.

Table 15
Ethnic Distribution of Part-Time Faculty

Part-Time Faculty	African American	Asian American	Latino	White
2001				
TOTAL	*1.7%*	*4.7%*	*2.8%*	*49.3%*
2003				
TOTAL	*3.1%*	*8.3%*	*2.8%*	*47.4%*

SOURCE: IPEDS Report dated January 2004 (Data are for 1 November HRS files)

Table 16 shows faculty diversity for selected Jesuit universities for AY 2001-2002. Those data show that we are one of the top five Jesuit universities in terms of the ethnic diversity of our faculty. Nevertheless, three of the other four West Coast Jesuit universities have a faculty that is more diverse than ours according to the data reported to the AJCU.

Table 16
Diversity of Full-Time Faculty at Selected Jesuit Colleges and Universities (AY 2001-2002)

University	Faculty Total	Minority Faculty	Percent Minority
Georgetown	639	195	30.5%
Loyola Marymount	375	88	23.5%
Seattle University	331	63	19.0%
Santa Clara	411	74	18.0%
USF	**326**	**56**	**17.2%**
Creighton	622	107	17.2%
Detroit Mercy	265	40	15.1%
Holy Cross	226	33	14.6%
LeMoyne	139	20	14.4%
Saint Louis	572	74	12.9%

NOTE: Loyola University Chicago did not report ethnicity of faculty.
SOURCE: AJCU Survey, April 30 2003

While the University has implemented significant outreach efforts to attract ethnic faculty (including the Provost's requirement of confirmation of the level of diversity of the pool from the deans before an appointment is approved), there are some social situations that make it difficult for us to attract more ethnic faculty. Probably of particular significance is the high cost of housing and of living in the San Francisco Bay Area, factors that dissuade some candidates from applying and/or accepting an appointment at USF. Other factors include the lack of graduate programs in some

departments. Also important is the relatively limited number of minority doctoral students or recipients of doctoral degrees who are interested in a career in education (the "pipeline" problem). Data from the most recent ACE report on *Minorities in Higher Education 2002-2003* showed that ethnic minorities have shown a decrease in the number of doctoral degrees in the last two years although there had been significant increases in the last decade. As a matter of fact, the ACE report showed dramatic changes in the proportion of doctoral degrees awarded to ethnic individuals between 1980-1981 and 2000-2001 in all areas including Humanities (95.5%), Life Sciences (119.5%), the Social Sciences (66%) and the Physical Sciences (49.1%). Nevertheless, the ACE report still finds that Latinos are poorly represented in most areas of doctoral work (2002 doctoral recipients data) while African Americans tend to have higher representation in Education and professional fields and Asian Americans in Engineering.

With support from the Irvine Foundation, USF has been able to increase the number of ethnic minority faculty through a pre-dissertation fellowship program (see box below). The quality of these individuals has further supported the efforts of deans and the Provost to diversify the faculty. In addition, recently, the Provost Office has compiled a large number of suggestions for deans on how to properly diversify the candidate pool which is one of the most important steps in increasing the number of ethnic minority faculty.

Sample of Strategies to Diversify Faculty

Irvine Minority Scholars. The program is advertised nationally in areas where openings are anticipated. Each Irvine Minority Scholar receives a monthly stipend and financial support to partially cover moving and research expenses. While at USF, each Irvine Minority Scholar teaches one class per semester and completes work for the dissertation as well as serves as a resource person to ethnic minority students. A mentor from among the full-time faculty is assigned to each Irvine Scholar, and in the last years of the program, an additional former Irvine Scholar was also assigned as a mentor to new scholars. In addition, Irvine Minority Scholars participate in monthly mentoring workshops/discussion groups with faculty and administrators from throughout the university. Sometime between the Fall and Spring semesters, host departments are asked to indicate if they would like to recommend hiring the Irvine Scholar as a tenure-track appointment. Out of 13 Irvine Minority Scholars, only three were not considered for tenure-track positions at USF.

The success and impact of the Irvine Minority Scholars program goes beyond numbers. We have been able to hire top quality scholars (e.g., one Irvine Scholar produced 11 books during his stay at USF); excellent teachers whose teaching evaluations are among the highest in the University; innovative faculty who have developed a number of new and creative courses in their department's curricula; and dedicated community members who have been instrumental in developing and implementing new programs and who have distinguished themselves in serving students and the University.

John Kao
Math Dept HR 208
USF

Report of the Visiting Committee to the Department of Mathematics at the University of San Francisco

May 27, 2004

In preparation for our visit to USF, we received the Department's Self-Study, information from faculty web pages, registration statistics, and information about the University. The review team first met with USF administrators and the Mathematics Department chair on the afternoon of Wednesday, April 28. Over the next two days we met with individual faculty members, the department as a whole, a group of students, and chairs of other departments, and administrators. We had access to teaching evaluations and faculty curriculum vitae.

The members of the review team were:
Priscilla Bremser, Professor of Mathematics, Middlebury College;
Erica Flapan, Professor of Mathematics, Pomona College;
William McCallum, Professor of Mathematics, University of Arizona.

We wish to thank the USF Department of Mathematics, Dean Turpin, Associate Dean Needham, and Liza Locsin for making our visit a pleasant and productive one.

1 The Department's Contribution to the Mission of the University

The Department supports the Mission of the University through the formation and continued cultivation of a socially responsible learning community of productive scholars devoted to providing students with the mathematical skills and understanding they need to succeed both personally and professionally.

The body of this report provides detailed evidence, gleaned from an extensive review of supporting documents and from two days of interviews with students, faculty, administrators, and heads of other programs, that six of the University's core values are particularly well supported by the Department's work:

- *The freedom and the responsibility to pursue truth and follow evidence to its conclusion.* This is indeed the very essence of Mathematics, and is well exemplified by the diverse and rigorous scholarship of the Department.

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SD Note:
A clean copy of this document is available in the Dean's Office of Arts and Sciences, HR 240.

- *Learning as a humanizing, social activity rather than a competitive exercise.* Our discussions with math majors made the department's commitment to this core value clear.
- *A common good that transcends the interests of particular individuals or groups; and reasoned discourse rather than coercion as the norm for decision making.* The department's collegial atmosphere and remarkable cooperation with other departments exemplifies this core value.
- *Diversity of perspectives, experiences and traditions as essential components of a quality education in our global context.* The Department's work on curriculum development and pedagogy exemplifies this well.
- *Excellence as the standard for teaching, scholarship, creative expression and service to the University community.* This core value is exemplified by the Department's deep and sustained attention to the quality of its service courses, its creative work on developing new courses for math majors, and the fine research scholarship of some of the mathematics faculty
- *Social responsibility in fulfilling the University's mission to create, communicate and apply knowledge to a world shared by all people and held in trust for future generations.* The Department's work on the Bay Area problem solving competitions exemplifies this core value.

The structure of this report is as follows. First we describe the overall quality of the Department. Next, we describe the opportunities for growth and development that we see flowing from the Department's many strengths. Then we define challenges, both external and internal, that might hinder the realization of these opportunities. Finally, we provide recommendations, in line with the University's Strategic Initiatives, for dealing with these challenges.

2 Quality of the Department

2.1 Faculty

Faculty have engaged in scholarship encompassing original research, scholarly monographs, software development, and curriculum development. For example, Tristan Needham and Paul Zeitz have received awards for their work, John Kao and Peter Pacheco maintain active research programs, and John Stillwell has been a frequent invited speaker at national and international meetings. The faculty are also creative in seeking approaches to teaching that enhance student learning in both major and service courses: Milliane Lehmann has been a leading light behind the department's introduction of technology into teaching, and with Paul Zeitz has written a text for the Excel-based business mathematics course.

The teaching evaluations we reviewed and the enthusiastic comments of the 10 or so undergraduate majors that we interviewed (in particular, their eagerness to attend the weekly department teas) provide evidence that the Department has

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many excellent teachers who create a warm and welcoming environment. The students told us of certain faculty members who have played crucial roles in recruiting students and in encouraging them to pursue mathematics and believe in their own abilities, and praised others for challenging them to perform at the best of their abilities. There were some complaints that expectations varied too much from one professor to the next and isolated criticisms of the teaching styles of a few faculty members. Overall, the students consider themselves lucky among their peers to have such dedicated and accessible faculty in their major department

The Department s strength in scholarship and teaching has enabled it to attract two outstanding recent hires. Still well and Devlin

2.2 Curriculum

Given that 85% of the teaching is devoted to service courses the Department has done well in developing a major that serves students well while minimizing the impact of the drain from the service load. The courses for the major cover all the broad areas of mathematics, both pure and applied, and prepare students for a wide range of careers. The department has handled well the impact of the shift to 4 unit courses on its major. The Department continues to generate new ideas for further areas in which they can expand their curriculum. One concern expressed by the majors was the inconsistency from one course to the next in the level of knowledge expect of the students.

The Department has been trying to increase the number of majors and has had some modest success. In particular, the problem-solving course and problem-solving activities have been an excellent means of attracting students to the major and getting them excited about working hard on mathematics.

The Department does a tremendous service to the university with its courses for the School of Business and Management and the Departments of Computer Science, Biology, Physics, and Nursing. We met with the heads of these units and they are generally pleased with the curriculum, the responsiveness and flexibility of the department, its willingness to accommodate the needs of their students, and, in most cases, the excellent teaching. They also all mentioned their impression of the Department as a very friendly and collegial working group, and their pleasure at working with them.

We would like to remark how unusual it is for a Department of Mathematics to devote 85% of its work to service teaching, let alone to do so so creatively and cheerfully. The Department should be recognized for this tremendous service that they provide. The creativity of the faculty is also reflected in their ability to write the necessary materials for the courses that they have built to serve these needs.

2.3 Department Administration

The Department is well served by an energetic and enthusiastic chair who devotes long hours to the needs of the faculty, the College, and the students. In

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There was strong support among the students for the idea of hiring a woman candidate. Given the population of mathematics students that USF serves, it seems important to have at least one woman among the regular mathematics faculty.

3.3 Speaker Series

Given the University's attractive location and the rich mathematical environment of the Bay Area, the department could, with the right resources, broaden the experience of its students with a series of outside speakers to present mathematical research and discuss their careers in mathematical sciences. Such a colloquium program could draw on recent alumni as well as experts from local universities and industries. It could also give USF Mathematics faculty a chance to share their own research with each other and the students, to present interesting mathematical topics that do not fit neatly into specific courses to give glimpses into upcoming courses, and to learn about the many career options that a mathematics major could lead to

4 Challenges

The Department has some pressing needs and cannot be expected to take advantage of the opportunities described in the previous section, or to act on the recommendations to follow, until these needs are met.

4.1 External Challenges

4.1.1 Space

The current facilities are abysmal. In particular, many faculty offices are so small that faculty cannot work effectively with students in their offices during office hours. The size of the offices makes it impossible to work with more than one student at a time, a circumstance at odds with the mission of the University in general and the Department's well-developed ethos of group work in working through the challenges of a mathematics curriculum.

The space crunch is further exacerbated by the fact that there is no overflow space other than the department office, in which there is no table and the Department's administrative assistant is trying to work. Despite this unconscionable lack of space, the Department, remarkably, has managed to host the well-attended weekly teas. In fact, so many students attend these teas that they overflow into the hallway.

Furthermore, while the Department feels that working in groups is an important component to learning, particularly in the problem solving course, there is no space where students can coalesce in evenings. This puts up a barrier to students' continuing their interactions outside the classroom.

We were delighted to hear of plans for a new building including facilities for mathematics. At a minimum, offices in this new building should be large enough

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of such a procedure is a joint responsibility of both the leadership and the rank-and-file: decision-makers must make efforts to make sure all voices are listened to, and faculty must make efforts to become knowledgeable about issues and formulate evidence-based arguments. There needs to be a comfortable ongoing forum for discussing issues and grievances. However, such a forum cannot exist under conditions where the department is in survival mode.

We also have concerns about the process that was followed in the recent hire, although we have no argument with the excellent result. We feel strongly that the whole department should be able to review files including letters of recommendation and discuss and vote on a hire.

5 Recommendations

The core recommendations are

1. That the University provide both a short-term and a long-term solution to the Department's space problems
2. That the University provide two new faculty positions
3. That the Department take advantage of the opportunities for interdisciplinary programs diversity, and a colloquium series outlined previously in this document
4. That the Department undertake a review of its decision-making procedures.

These last two recommendations are, however, contingent on the first two; the department cannot be expected to implement them under the current stressful conditions. Here is a more detailed description of the rationale for these recommendations, along with some other suggestions.

5.1 For the Department

The Department has done an excellent job of incorporating appropriate technology throughout its curriculum in spite of extremely limited resources. Now is a good time to reevaluate the use of technology in the classroom, in particular the use of Mathematica in Calculus. The use of technology in Calculus varies widely among colleges, and we make no prescription here. However, what is important is that the Department, its client disciplines, and its students be convinced that the use of technology in Calculus is worthwhile. In order to have an informed discussion, we urge first that members of the Department familiarize themselves with the current use of technology in Calculus I, II, and III, and second that the Department solicit views from faculty in other departments that require Calculus and from its own students about the effectiveness of the current use of technology.

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partment a chance to improve the diversity of the Mathematics Faculty. Finally it would bring new voices into Department decisions.

The review team heard somewhat inconsistent versions of the manner in which the most recent faculty search was conducted and the impact of the collective bargaining agreement on the process. (We should note here that none of us has been on a faculty with such an agreement, which may have added to our confusion.) There is no need to dwell on this piece of the past, because the result was so clearly positive. At the same time we urge the Administration to take steps to ensure that the next time a search is conducted (soon, we hope), every member of the Department has the opportunity to view the applicant files and has a voice in the selection process to the fullest extent possible.

In our final conversation with Dean Turpin, we were disappointed to learn that the Irvine Foundation is discontinuing its program funding predoctoral fellowships for members of minorities. We hope that the Administration will aggressively search for funding from other sources for similar programs. USF students would be well served by having a minority pre-doctoral fellow in Mathematics. Furthermore, the members of the Department of Mathematics, with their commitment to strong teaching and community service, would be excellent mentors to someone at that career stage.

We have suggested that the Department discuss its courses for the major and how they fit together. We hope that as a result of such discussions the Department will experiment with new or reconfigured courses or with different staffing arrangements. This is risky for a working group that feels it is in survival mode. We recommend that the Administration give the Department some breathing room by allowing courses to run even when enrollments are small.

We have also suggested that the Department consider new offerings at the entry level for particularly promising students and we recommend that the Administration support the Department should it decide to offer, for example, Honors Calculus or Honors Linear Algebra or a specially designed first-year seminar for potential majors.

As noted earlier, the Department makes extensive use of technology in teaching its lower-level courses. Because students are using Excel and Mathematica themselves, and not just watching a show during lecture, these courses should have priority in the scheduling of smart classrooms. The course instructor needs to be able to integrate the students' computer laboratory experiences into the regular class sessions. We hope that with the addition of new smart classrooms in the fall all of the sections of Mathematics courses in which students use specialized software will be held in those rooms.

We have suggested ways in which a colloquium series might enhance the Mathematics program. Of course the Department will want to determine the specific form of such a series; we urge the Administration to provide sufficient funding. This is a relatively inexpensive way to support Mathematics students and faculty.

Should the Department decide to have a retreat, we would suggest that the Administration provide support in the form of a comfortable place to meet and

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University of San Francisco

College of Arts and Sciences

Department of Mathematics

Self–Study
and
Preliminary Development Plan

October 1993

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Self-Study and Preliminary Development Plan

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1 About the Department: A Recent History

The Mathematics Department generates approximately $1,700,000 in revenue annually, with faculty and operating expenses of approximately $600,000 (see Appendix 1, Department Budget). It offers a major and minor in Mathematics as well as a single subject credential waiver program. The Department also gives a number of service courses that are required for students in Biology, Business, Chemistry, Computer Science, Economics, Environmental Science, Information Systems Management, Organizational Behavior, and Physics. In addition, it offers an *Excel*-based statistics course (Mathematics 101/103, Statistical Reasoning) for the General Education Curriculum. This course is required of all undergraduate students. The Department has no graduate program in mathematics, although it does collaborate with the School of Education in offering a Master of Arts in Teaching Mathematics and Science.

During the academic years 1988-1992, the Department hired four tenure-track faculty members at the assistant professor rank. Both the major programs and the service courses offered by the Department have benefited from this increase in permanent personnel. The Department now has ten full-time tenured or probationary faculty members (one currently on administrative leave), one full-time term appointment, and three long-time part-time faculty. Additional part-time faculty are added as the need arises. Currently 75% of Mathematics courses are staffed by full-time faculty. This is a marked improvement over past years, when as few as 40% of courses were given by full-time personnel.

One of the distinguishing characteristics of the Mathematics program is its emphasis on good and innovative teaching, and the new faculty have greatly strengthened the Department's teaching record. Every course offered at USF is evaluated each semester by the students enrolled, and in recent semesters Mathematics faculty have consistently ranked above the average for science faculty in all response categories. In fact, one of the Department's new assistant professors, John Kao, received the highest ratings of all probationary faculty in the College of Arts and Sciences for the academic year 1991-1992.

The new faculty have provided the manpower for curricular innovation and experimentation that would have been impossible without them. Five years ago the Department established a new upper-division course, the Applied Mathematics Research Laboratory (Applied Math Lab), in which students work as a team under the supervision of faculty on research projects often sponsored by local companies and government agencies. Communication skills are stressed: students write a substantial final report and give formal presentations to the faculty and the project sponsors. Probationary faculty have been involved in the teaching of this course from the beginning.

Although the Applied Math Lab is not being offered this year, its success in past years helped the Department acquire an equipment grant from the National Science Foundation. The hardware and software purchased with these funds has opened the way for an increased use of technology in mathematics instruction, not only in the Applied Math Lab but in other courses as well. For example, the calculus sequence has become a *Mathematica*-based laboratory course, and the material developed by USF faculty for this program became the basis for a book published by Addison-Wesley entitled *Exploring Calculus with Mathematica* (Finch & Lehmann, 1992).

The use of *Mathematica* has gradually spread to other Mathematics courses and to offerings in other departments. *Mathematica* is being used this semester, for the first time, by a recently-appointed faculty member, Paul Zeitz, in the upper-division differential equations course. The Computer Science Department's numerical analysis course is also *Mathematica*-based, and the undergraduate physics program now includes *Mathematica* projects. Last year the Chemistry Department installed *Mathematica* in its computer laboratory. The Economics Department intends to do the same as soon as its machines are sufficiently upgraded.

Subject Matter Program in Mathematics

submitted by

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The University of San Francisco's Proposed Subject Matter Program in Mathematics

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Standard 15: Equity and Diversity in the Program

In its mission statement the University of San Francisco declares that one of its primary goals as an institution of higher learning is to, "Prepare men and women to shape a multicultural world with creativity, generosity, and compassion." The Department of Mathematics reflects this statement of purpose within the composition of its faculty and student body, its curriculum, and its system for student advising. The program addresses issues of diversity and multiculturalism in the following ways.

A centerpiece of the mathematics curriculum at USF is the emphasis on the use of computer technology. This emphasis is best illustrated by the publication by two of our faculty members, *Exploring Calculus with Mathematica*, by Finch and Lehmann. This book is meant as a companion text to any standard first year calculus course and demonstrates how the computer is used to analyze problems and explore mathematical concepts. In the freshman calculus course at USF, Calculus I and II, this text is used to guide a weekly two hour computer lab session in which students break into small groups and work through computer exercises under the supervision of a teaching assistant. These computer labs serve a variety of purposes. Recent studies have suggested (reference from 1992 I.C.I.M. conference) that small group work can serve to better engage students who are less comfortable participating in larger classroom discussions. We hope this strategy will particularly target women and minority students who may feel the undue pressure of representing a group historically underrepresented in the subject. This use of small group instruction in the freshman year is continued in upper division coursework in a variety of ways that depend on the specific goals of the course and the instructor.

USF has a diverse student population consisting of approximately 30% American minority students, and 12% international students (1993 enrollment statistics). Overall, 60% of the students at USF are women. The composition of the mathematics faculty is reflective of the need to serve this diverse student population. Millianne Lehmann, Professor and Chair, has been active in addressing the needs of women students which account for an exceptional 50% of mathematics majors. Of the American minorities at USF the largest group is Asian (approximately 15% of the overall student population) which is reflective both of the high local Asian American population (28% in San Francisco) and of the large, predominantly Catholic, Filipino American community in the Bay Area. John Kao, Assistant Professor, has been actively involved in the Asian American community for a number of years.

Both Professors Lehmann and Kao have been active on campus in addressing the needs of the diverse student population at USF. Millianne Lehmann has recently served as Chair of the university wide Faculty Diversity Committee and has served on committees related to issues of women on campus. John Kao has served on the Multicultural Action Plan committee appointed by the President of the university and is currently serving as faculty advisor to the Asian Pacific Islander Student Union.

The composition of mathematics majors at USF is more or less reflective of the diversity of the overall student population. It is notable that we have been able to attract a large number of women students (approximately 50% of math majors) who

as a group have traditionally been discouraged from pursuing mathematics as a career. The department has actively fostered the formation of support groups among our majors by assigning group projects in upper division coursework, organizing weekly social events, and holding formal department wide meetings to facilitate dialog between students and faculty. (The Department's end of the semester parties look like meetings of the United Nations!) These efforts seem to have been successful in creating a tight knit mathematics community in which women majors are particularly enthusiastic and active participants.

Equity and Diversity in the Curriculum

Two courses (6 units) of the student's General Education Curriculum focuses specifically on cultural perspectives. The first is called World Cultures and it examines the culture and politics of one or more of the following world regions: Asia, the Middle East, Latin America, Africa. The second is selected from a list of courses treating world and minority literature. Courses on the list treat literature and theater from non-western or minority cultures addressing ethnic, racial and gender issues.

In Statistics Reasoning Honors and Mathematical Statistics, both required by the Subject Matter Program, the politics of race and gender provide an ideal context in which to explore both the use and the misuse of statistics. For example, data on capital crimes, race, and execution rates by race can be plumbed for some surprising and revealing results such as the fact that although blacks are executed in numbers which far exceed their proportion of the total population, a black convicted of a capital crime is less likely to be executed than a white convicted of a capital crime. Seeking an explanation in the data for this apparent paradox always generates a lively discussion.

In the History of Mathematics course and particularly in the study of polynomial equations, students learn of the contributions of Arabian culture, of the Indian mathematician Brahmagupta, and of the ancient Babylonians. They read of the Chinese discovery during the Han dynasty of a method for solving any number of linear equations and of the work of Zhu Shijie in the fourteenth century on the simultaneous solution of polynomial equations in two or more variables.

Cultural Interactions

USF is unique in that the rich diversity of its student population includes a significant number of international students as well as American minorities and women. The diversity of the mathematics majors is more or less reflective of the university as a whole which means students must learn to work closely with individuals from very different backgrounds, and math majors cannot isolate themselves from this diversity. Group work is required in many courses and encouraged in all courses. The course in Number Theory has a group take home examination. Laboratory work in the calculus sequence is collaborative. Groups projects are frequently undertaken in Mathematical Statistics. Students in the History of Mathematics form study groups with the encouragement and assistance of the instructor. Along with collaborative work, the mathematics department emphasizes communication skills by requiring students to give presentations as part of class work in many courses. For example, in Introduction

to Formal Methods students must present formal proofs orally during class meetings, and oral reports are given in History of Mathematics and in Mathematical Statistics. Both collaborative work and oral presentations are featured in Differential Equations, courses which most student elect to take. These activities implicitly force students to come to grips with issues of communication across culture and gender lines.

Advising

As a small private institution, USF prides itself on fostering close relationships between faculty and students. The mathematics department in particular has made student advising a priority, and faculty have gone to great lengths to provide support for our majors both as they begin their studies and as they look ahead toward their future careers. We feel we have been successful in creating an environment in which students can rely on faculty and peers for guidance and encouragement. These efforts have gone a long way towards attracting underrepresented groups to the study of mathematics at USF and they will be continued.

Each of our students receives a copy of two publications which help him or her to see that career opportunities in mathematics are open to all regardless of gender or race. The first is *Careers that Count: Opportunities in the Mathematical Sciences* which is put out by the Association for Women in Mathematics. It features the stories of fifteen women who are currently pursuing successful careers in mathematics. The second is the MAA publication *Mathematical Sciences at Work* which describes the nature of mathematical work and illustrates its points with the careers of a diverse group of mathematically trained professionals.

Since half of our majors are women, the question of opportunities for women in mathematics arises with some regularity. For some reason, discussion of this issue is more likely to surface at a department social occasion than during a formal advising session, but it does come up and is always treated with utmost seriousness by the faculty and by any alumni present. Our women students are especially reassured by the success of female alums.

Field Experiences

Field experience of students will feature work in San Francisco public schools. This is another situation in which gender and ethnic diversity could not be avoided even if one tried. The population of these school is richly diverse as anyone with the least acquaintance with San Francisco knows perfectly well. Capitalizing on this fact, the field program in clinical observation and tutoring which each student will complete, under the auspices of the School of Education, has as one of its stated objectives a study of "...the rich diversity of culture, ethnicity, language, learning style, and ability among students." In this program students are provided with many opportunities to discuss, reflect upon, and write about these matters.

Standard 16: Delivery of Instruction in the Program

At USF, we value excellent instruction for its own sake. However, since "teachers teach much as they were taught," (*Everybody Counts*, p.11) we regard the delivery of instruction to prospective teachers as especially important. We insist that our students

1. understand both underlying mathematical ideas and their application;
2. learn to use computers both for routine calculations and as tools to explore problems through both calculation and visualization;
3. learn to work as part of a group;
4. earn to write carefully reasoned mathematical arguments;
5. learn to give oral presentations;
6. teach other students.

This part of the report discusses various aspects of our program which provide evidence of the importance of these concerns.

Class Size is Small

The small classes at USF (a maximum of 35 in lower division courses and an average of 10 in upper division courses) make it possible for us to stress student participation in the classroom. In a typical class meeting, the instructor will begin by posing a problem. Then he or she will encourage the students to develop a solution by guiding classroom discussion. Of course, many problems will require several meetings before a solution is completed

Computer Based Instruction

In most of our classes the students employ computers to explore various problems. In Statistical Reasoning, students use computer-generated random numbers and macros in *Excel* to study problems in probability. All of the Calculus classes have a lab component in which the students use *Mathematica* both for routine calculation, and for the exploration of graphical ideas far too complex for traditional lecture/blackboard approaches. In Differential Equations, students use *Mathematica* to study integral curves, mechanical vibrations, and the phase plane. In Topology, the students use *Mathematica* to gain a deeper understanding of non-orientable surfaces. In Number Theory *Mathematica* helps students to explore computationally difficult questions such as prime number distribution or the asymptotic behavior of the Euler phi function. The Mathematical Statistics classes use a variety of sophisticated computer packages to study complex data sets. In Complex Variables students study the geometry of analytic functions with the package *f(z)*. The Applied Mathematics Research Laboratory devotes an entire year to the development of a sophisticated software package. Finally, it should be mentioned that many classes outside the mathematics department make extensive use of mathematical software: e.g., various economics, physics, and biology classes.

The computer automatically creates a non-traditional learning environment. The setting is informal in the sense that there is no one at the head of the room. Students

Mathematics Subject Matter Preparation Proposal

Pursuant to: "Mathematics Teacher Preparation in California: Standards for Quality and Effectiveness for Subject Matter Programs"

August 2, 2004

Dual Degree in Teacher Preparation Program

University of San Francisco

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preparatory groups and programs; preferential packaging of financial aid for minority students; and hiring of special staff persons in the Admission Office to work with minority recruitment (particularly with African Americans and Latinos). Unfortunately, in many cases these efforts have not corresponded to an articulated or integrated approach or have not been in place long enough to allow us to assess their effectiveness.

The most recent example of efforts to diversify the student body is the "Off To College" program. This two-day on-campus session is for high school juniors who are ethnic minority students. The program allows prospective students to experience campus life by living and eating on campus, attending mini-classes, and learning about USF s support services. Students are assigned a mentor/host, a current USF student, and meet staff in Admissions and University Life. Questions about advising and the admission process are answered. The first "Off To College" program was held in February 2004 and we received 84 applications for 60 openings. Feedback has been quite positive and some of the visitors have remained in contact with their USF host.

The DDTP Program draws its mathematics subject matter candidates from one of the most diverse student bodies in the nation. The University placed within the country s top 20 most ethnically diverse colleges and universities in two nationally recognized rankings published in August 2003. The country s most influential list, published by "U.S. News and World Report," ranks USF 16th in ethnic diversity, with Asian Americans as its largest ethnic minority. Hispanics are the University s second largest minority population. USF also ranked No. 19 in the percentage of international students. The Princeton Review an admissions test preparation company, ranked USF No. 15 on its list of the country s most ethnically diverse colleges and universities. USF was also ranked among the top 100 American universities producing minority graduates in advanced degree programs according to the July 3 issue of the journal "Black Issues in Higher Education."

The composition of the mathematics major at USF is more or less reflective of the diversity of the overall student population. It is notable that the department has been able to attract a large number of women students (approximately 50% of math majors) who as a group have traditionally been discouraged from pursuing mathematics as a career. The department has actively fostered the formation of support groups among our majors by assigning group projects in upper division coursework, organizing weekly social events, and holding formal department wide meetings to facilitate dialog between students and faculty. These efforts seem to have been successful in creating a tight-knit mathematics community in which women majors are particularly enthusiastic and active participants.

2.3

The curriculum in the Subject Matter Program reflects the perspectives and contributions of diverse groups from a variety of cultures to the disciplines of study.

It is the shared aim of the University, the DDTP Program and the Math Department to infuse diverse perspectives across the Core Curriculum and mathematics subject matter sequence to the greatest extent possible. This is an ongoing endeavor, and at present, many of the required Core and subject matter preparation courses in addition to 0117-381 Cultural Immersion include a significant cultural diversity component.

There has been a considerable effort made in the past decade to diversify the faculty to better match the ethnically and culturally diverse student body. Of the faculty currently occupying probationary or tenured positions, 45 have been hired since 2000. Twenty out of 33 (or 61%) are women or ethnic minorities or both. Naturally a diverse faculty contributes to the development and support of a diversified curriculum. An ethnically diverse faculty serves many valuable functions such as providing role models (to ethnic students as well as to white students); mentoring ethnic minority students (improving their chances of graduating); supporting and mentoring newly-hired ethnic minority faculty; serving the scholarly community in a culturally appropriate fashion; participating in development efforts within ethnic communities; and, supporting outreach efforts to the community at large.

10.2

The program coordinator provides opportunities for collaboration by faculty, students, and appropriate public school personnel in the design and development of and revisions to the program, and communicates program goals to the campus community. other academic partners school districts and the public.

As discussed in the response to Standard 9, intensive collaboration with faculty, students, alumni and public school officials is an important part of the DDTP Curriculum Committee's review process. The Committee is in fact the best example of how the Program is run in a cooperative and inclusive fashion. The Committee first and foremost fosters the exchange of ideas among DDTP program stakeholders. It is composed of representatives from the College, the School of Education and the DDTP Program. Communication between these bodies has been excellent, particularly with respect to the recent revision of mathematics subject matter standards and the preparation of this proposal. The curriculum committee meets monthly to review subject matter curriculum and to discuss Program policies and procedures.

The DDTP Program's administrators collaborate with a liaison from each vested academic department in the College and the School of Education. The Program also maintains a homepage on the university's website via which news items the Program's objectives and mission, and contact information are made available to the community at large.

10.3

The institution allocates sufficient time and resources for faculty coordination and staff support for development, implementation and revision of all aspects of the program.

The University has fully supported the DDTP Program since its inception. This support is all the more necessary, and valued as the Program has nearly quadrupled in size during recent years, from about 40 students in 1999 to approximately 175 at the time that this report was prepared. In terms of enrollment, the DDTP Program is one of the largest departments on campus.

The Program is generously funded and supported by the College of Arts and Sciences and the School of Education and is pleased to have the full use of the university s formidable

Mathematics Subject Matter Preparation Proposal

Pursuant to: "Mathematics Teacher Preparation in California: Standards for Quality and Effectiveness for Subject Matter Programs"

Response to CCTC Panel 528 Review dated 11/09/04

Dual Degree in Teacher Preparation Program

University of San Francisco

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Educating Minds and Hearts to Change the World

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DDTP Mathematics Subject Matter Preparation Sequence

Required Courses Pursuant to Preconditions for Approval

1. **Core coursework in mathematics (40 units)**

   All students complete the following lower-division courses:

   - 109 Calculus and Analytic Geometry I (4)
   - 10 Calculus and Analytic Geometry II (4)
   - 201 Discrete Mathematics (4)
   - 130 Elementary Linear Algebra (4)
   - 211 Calculus and Analytic Geometry III (4)

   All students must complete the following upper-division courses:

   - 300 Introduction to Formal Methods (4)
   - 310 History of Mathematics (4)
   - 370 Probability and Statistics (4)
   - 367 Number Theory (4)
   - 380 Foundations of Geometry (4)

2. **Courses that supplement the essential core of the program (10 units)**

   All students must complete the following courses:

   - 0117-381 DDTP Cultural Immersion (3)
   - DDTP Field Experience (1)
   - 0203-110 Introduction to Computer Science I (4)
   - 0708-600 Teaching Learning and Technology (2)

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Introductory Note: The Dual Degree in Teacher Preparation Program (DDTP) has thoroughly reviewed the CCTC Mathematics Subject Matter Panel's comments and has worked to institute the required changes. We have collaborated closely with USF's mathematics faculty and the DDTP Curriculum Committee to revise subject matter coursework and teaching practices to better meet the CCTC's rigorous standards. While the narrative response below aims to answer the concerns cited in the 11/09/04 proposal review, recent revisions and upgrades to the Subject Matter Preparation Program (SMPP) are most thoroughly evident in the attached mathematics syllabi and supporting course materials. Please review these documents, attached below, in conjunction with the following narrative explanation.

Category I: Standards Common to All Single Subject Matter Preparation Programs

Standard 1: Program Philosophy and Purpose

Elements 1.1-1.6 - Approved

Standard 2: Diversity and Equity

Elements 2.1-2.3 - Approved

2.4
In the subject matter program, classroom practices and instructional materials are designed to provide equitable access to the academic content of the program to prospective teachers from all backgrounds

CCTC Comment: Please show how SMPP practices provide equitable access to the academic content.

DDTP Response: The mathematics SMPP promotes equitable access to academic content by offering students a substantial amount of personal attention in and out of the classroom. The faculty-to-student ratio for the 2004-2005 academic stands at 14:1 and most courses in the mathematics department rarely exceed an enrollment of 16 students. Professors maintain regular office hours and are available to provide individual assistance to students with special needs.

The university's Academic Support Services (ASS) department provides students with help resolving academic-related problems and assistance with study skills and learning strategies. Programs administered by ASS that foster equitable access include New Student Orientation, Student Disability Services, the Learning and Writing Center, the Freshman Resource Center, and the Pre-Professional Advising Program. Students enrolled in the SMPP program have had much success working with tutors provided by the Learning Center. Students may request a tutor free-of-charge for any mathematics course in the program. The assigned tutor, typically a graduate or upper class mathematics student, will attend class sessions and meet with the student outside the classroom for supplemental instruction and tutoring.

2.5

The subject matter program incorporates a wide variety of pedagogical and instructional approaches to academic learning suitable to a diverse population of prospective teachers. Instructional practices and materials used in the program support equitable access for all prospective teachers and take into account current knowledge of cognition and human learning theory.

CCTC Comment: Please provide evidence to show how SMPP's pedagogical and instructional approaches support equitable access.

DDTP Response: Across the mathematics SMPP, students are exposed to an array of teaching styles and techniques including interactive direct instruction, collaborative learning activities, media-enhanced instruction, collaborative fieldwork, original research studies, oral projects and examinations, performance experiences and journaling. Please review the attached course syllabi for detailed descriptions of assignments and in-class activities.

Standard 3: Technology

Element 3.3 – Approved

CCTC Comment to 3.1 & 3.2: Please provide documentation on how prospective teachers access the technology resources and demonstrate their competency. Need to

demonstrate how the technology requirements have a "focus on those used in K-12 schools"

3.1
The institution provides prospective teachers in the subject matter program access to a wide array of current technology resources. The program faculty selects these technologies on the basis of their effective and appropriate uses in the disciplines of the subject matter program.

3.2
Prospective teachers demonstrate information processing competency, including but not limited to the use of appropriate technologies and tools for research, problem solving, data acquisition and analysis, communications, and presentation

DDIP Response to 3.1 & 3.2: Technology plays an important role throughout the program. At minimum, students must have a solid mastery of technologies used in K-12 schools such as web-based research, word and data processing software such as Excel, and computational and presentation applications. The Mathematics department makes every effort for each calculus course to be taught in a smart classroom so that the use of *Mathematica* can be integrated into the lecture. Most SMPP courses include a web-based educational component via the use of Blackboard. This software allows for content management, information sharing between the instructor and students, online assessments, student tracking, assignment and portfolio management, and virtual collaboration. Also, please review the attached syllabus for the Mathematics Curriculum and Instruction course for a detailed description of the SMPP's K-12 focus.

Prospective mathematics teachers will experience technology-based instruction at every turn and will be taught by a faculty that is actively engaged in developing cutting-edge computer and calculator based teaching tools. Instructors require that all students have a scientific calculator available at all times and freely assign problems and design questions which require such a calculator. Students of the technology-based curriculum have demonstrated a better conceptual understanding of derivatives and integrals. For example, a typical quiz question that has been used in first-year calculus over the years, before and after the introduction of technology, asks the students to sketch graphs of the derivative and the anti-derivative given the graph of a function. Such a problem is now a routine test

question, where as in past years, before students had access to a graphing utility, only the ablest students successfully handled it.

With all this emphasis on technology, do students learn to calculate derivatives and integrals as well as they once did? Absolutely. Students are still required to learn all the standard techniques for calculating derivatives and integrals by hand; the difference is that students have the *Mathematica* program at their disposal to verify their answers when first learning the standard techniques, and then later they can utilize the program to solve much more difficult problems that would be needlessly tedious to solve by hand

Standard 4: Literacy

The program of subject matter preparation for prospective Single Subject teachers develops skills in literacy and academic discourse in the academic disciplines of study Coursework and field experiences in the program include reflective and analytic instructional activities that specifically address the use of language, content and discourse to extend meaning and knowledge about ideas and experiences in the fields or discipline of the subject matter

Element 4.3 - Approved

4.1
The program develops prospective teachers' abilities to use academic language, content, and disciplinary thinking in purposeful ways to analyze, synthesize and evaluate experiences and enhance understanding in the discipline

CCTC Comment: Please provide evidence to show how program develop teachers' ability to analyze, synthesize and evaluate in the discipline.

DDTF Response: Please review the syllabi for the following required SMPP courses for examples of assignments that cultivate students' mathematical literacy: Mathematics 300 - Introduction to Formal Methods; Mathematics 367 - Number Theory; and Mathematics 380 - Foundations of Geometry

4.2
The program prepares prospective teachers to understand and use appropriately academic and technical terminology and the research conventions of the disciplines of the subject matter

CCTC Comment: Please provide documentation on how SMPP prepares candidates to use math research conventions

DDTP Response: Mathematics 300 - Introduction to Formal Methods teaches students to write a coherent and rigorous proof Mathematical proofs serve as both a research tool as well as a medium of communication of new mathematical results Students are required to write proofs as part of homework problems and exam questions This is a skill that takes a long time to perfect Students get lots of practice, and lots of criticism Proofs are reinforced in Mathematics 367 -Number Theory and Mathematics 380 - Foundations of Geometry By the end of these courses a student should be able to write rigorous mathematics clearly, elegantly and correctly. Please review the referenced syllabi for detailed descriptions of assignments and course content

Standard 5: Varied Teaching Strategies

In the program, prospective Single Subject teachers participate in a variety of learning experiences that model effective curriculum practices, instructional strategies and assessments that prospective teachers will be expected to use in their own classrooms

Elements 5 1 5 2, 5 4 - Approved

CCTC Comment for 5.1, 5.2 & 5.4 – Please provide documentation for these elements Consider revising the written response to 5 1 to ensure it addresses the element directly

5.1
Program faculty include in their instruction a variety of curriculum design, classroom organizational strategies, activities, materials and field experiences incorporating observing, recording, analyzing and interpreting content as appropriate to the discipline.

DDTP Response: Most professors in the mathematics department use a variety of learning techniques in the classroom. In addition to standard lecturing, they often assign class work to be done sometimes individually and sometimes in small groups When

teaching in a smart classroom, the computer is used show the class visual interpretations of mathematical concepts and to simplify calculations For example, the computer can be used to show and animation of how a Taylor series converges to a known function.

SMPP course instructors do deliver traditional lectures and demonstrations, but they often serve as facilitators of interactive class discussions Instructors pose topics and questions in to excite dialogue and critical thinking on the part of the student This type of student-centered instruction ensures that students actively hone their verbal and written communication and critical thinking skills. Students in the SMPP are called upon to challenge attitudes, concepts and ideas read and discussed across the sequence. Class discussion promotes learning and proficiency, as students must continually provide feedback, analyze and rethink ideas and articulate their thoughts about numerous mathematical topics

5.2
Program faculty employ a variety of interactive, engaging teaching styles that develop and reinforce skills and concepts through open-ended activities such as direct instruction, discourse, demonstrations, individual and cooperative learning explorations, peer instruction and student-centered discussion

DDIP Response: All courses in the sequence incorporate active learning and direct instruction to some degree, in that students solve problems, answer questions, formulate questions of their own, discuss, explain, debate and brainstorm during class Cooperative learning is also a hallmark of the sequence, as students must often work in teams on problems, projects, performances and presentations

5.4
Program faculty use varied and innovative teaching strategies, which provide opportunities for prospective teachers to learn how content is conceived and organized for instruction in a way that fosters conceptual understanding as well as procedural knowledge

DDIP Response: Mathematics 301 - Problem-Solving requires students to present solutions to problems to the rest of the class. Please review the attached syllabus and the project description in Mathematics 211 – Calculus and Analytic Geometry.

Students in the SMPP enjoy a great deal of personal interaction with faculty thanks in part to small class sizes and an institutional emphasis on individual student attention Prospective mathematics teachers are encouraged to speak with their instructors regularly about pedagogy and the application of innovative teaching strategies The specifics of how content is conceived and organized for instruction will be addressed during upcoming DDTP "mini-seminars," as described in the original response to Standard 8

Standard 6: Early Field Experiences

The program provides prospective Single Subject teachers with planned, structured field experiences in departmentalized classrooms beginning as early as possible in the subject matter program These classroom experiences are linked to program coursework and give a breadth of experiences across grade levels and with diverse populations. The early field experience program is planned collaboratively by subject matter faculty teacher education faculty and representatives from school districts The institution cooperates with school districts in selecting schools and classrooms for introductory classroom experiences. The program includes a clear process for documenting each prospective teacher s observations and experiences

Elements 6.1, 6 4, 6.5 - Approved

6.2
Prospective teachers' early field experiences are substantively linked to the content of coursework in the program.

CTCC Comment: Please provide evidence as to how early field experience is linked mathematics content

DDTP Response: Please review the syllabus for the Mathematics Curriculum and Instruction course The Field Placement coordinator ensures that they are placed in exemplary secondary mathematics programs for their fieldwork

6.3
Fieldwork experiences for all prospective teachers include significant interactions with K-12 students from diverse populations represented in California public schools and cooperation with at least one carefully selected teacher certificated in the discipline of study.

CTCC Comment: Please provide evidence as to how early field experience is linked to

the K-12 content standards.

DDTP Response: Please review the attached syllabus for the Mathematics Curriculum and Instruction course

Standard 7: Assessment of Subject Matter Competence

The program uses formative and summative multiple measures to assess the subject matter competence of each candidate. The scope and content of each candidate's assessment is consistent with the content of the subject matter requirements of the program and with institutional standards for program completion

CCTC Comment for Elements 7.1-7.6: Please provide more details on this standard including supporting evidence

DDTP Response: Formative assessments take place throughout the SMPP program on a continual basis and are administered primarily by the course instructors Please review the attached syllabi for a complete accounting of homework assignments projects, extracurricular activities and exams that are required of prospective mathematics teachers as they travel through the SMPP program.

The summative assessment takes place during a student's eighth semester in the program. This review of subject matter competence involves an intensive analysis of a student's coursework portfolio and field-experience journals. The template for the student portfolio is attached below.

Standard 8: Advisement and Support

The subject matter program includes a system for identifying, advising and retaining prospective Single Subject teachers This system will comprehensively address the distinct needs and interests of a range of prospective teachers, including resident prospective students, early deciders entering blended programs, groups underrepresented among current teachers, prospective teachers who transfer to the institution, and prospective teachers in career transition

Elements 8 1 8 2, and 8 4 - Approved

8.3
The subject matter program facilitates the transfer of prospective teachers between post-secondary institutions, including community colleges, through effective outreach and advising and the articulation of courses and requirements. The program sponsor works cooperatively with community colleges to ensure that subject matter coursework at feeder campuses is aligned with the relevant portions of the state-adopted academic Content Standards for California Public Schools K-12

CCTC Comment: How is the feeder campus content aligned to the CA K-12 content standards? Please provide evidence (articulation agreements) that discussion has taken place with institutions that provide transfer students

DDTP Response: The SMPP is dedicated to meeting the personal and academic needs of transfer students DDTP staff and the Office of Admissions work together to offer a full range of academic support services to ease the transition of transfer students The University has articulation agreements in place with over 40 area community colleges. The details of these agreements are available to the public on the Office of Admission's website (See link below) The university will award academic transfer credit to students at the time of admission as appropriate. Transfer Students must normally have a cumulative GPA of 2 5 to be competitive for admission At the very least a transfer student must have a minimum cumulative GPA of 2.0 on all transferable coursework and must be in good academic standing at the last institution attended All transfer students must satisfy the University's Core requirements

All articulation agreements are available for review on our website at the following link: http://www.usfca.edu/acadserv/admission/transfer/articulation.html

Standard 9: Program Review and Evaluation

Elements 9 1-9 4 - Approved

Standard 10: Coordination

One or more faculty responsible for program planning, implementation and review coordinate the Single Subject Matter Preparation Program. The program sponsor allocates resources to support effective coordination and implementation of all aspects of the program. The coordinator(s) fosters and facilitates ongoing collaboration among academic program faculty, local school personnel, local community colleges and the professional education faculty

Elements 10 3-10 5 - Approved

10.1
A program coordinator will be designated from among the academic program faculty

CCIC Comment: Math faculty must participate substantively in the coordination to the SMPP

DDTP Response: Both Directors maintain constant contact with faculty members in the Mathematics Department and elsewhere who teach subject matter courses

10.2
The program coordinator provides opportunities for collaboration by faculty, students, and appropriate public school personnel in the design and development of and revisions to the program, and communicates program goals to the campus community, other academic partners, school districts and the public.

CCIC Comment: The document is unclear as to how school districts and public collaborate in the program Evidence of articulation with transferring institutions is required.

DDTP Response: USF's Admissions Department is responsible for oversight of all articulation agreements The university has agreements in effect with more than 40 regional community colleges These agreements cover courses in the mathematics department and the SMPP requirements

All articulation agreements are available for review on our website at the following link: http://www.usfca.edu/acadserv/admission/transfer/articulation.html

Category II: Mathematics Subject Matter Program Standards

Standard 11: Required Subjects of Study

In the program, each prospective teacher studies and learns advanced mathematics that incorporates the Mathematics Content Standards for California Public Schools, Kindergarten Through Grade Twelve (1997) and the Mathematics Framework for California Public Schools: Kindergarten Through Grade Twelve (1999). The curriculum of the program addresses the Subject Matter Requirements and standards of program quality as set forth in this document

Elements 11.1 11.4 and 11.5 - Approved

11.1
Required coursework includes the following major subject areas of study algebra, geometry, number theory, calculus, history of mathematics, and statistics and probability This coursework also incorporates the content of the student academic content standards from an advanced viewpoint (see Attachment to Standard 11: Required Subjects of Study page 18) Furthermore, infused in required coursework are connections to the middle school and high school curriculum.

CCIC Comment: Reviewers need evidence to show that SMPP encompasses the content of the K-12 Standards

DDTP Response: The required coursework in the mathematics sequence includes rigorous and comprehensive study in all of the core subject areas These courses address connections to middle and high school mathematics curriculum where possible and appropriate, the goal being to foster a mature understanding of the mathematics taught in California s secondary schools.

11.4
The institution that sponsors the program determines, establishes and implements a standard of minimum scholarship for coursework in the program

CCIC Comment: Please provide the catalog page to evidence this claim.

DDTP Response: Students must have at least a 3 0 high school GPA to qualify to enroll in the DDTP program and must maintain at least a 2 75 GPA in their mathematics coursework The University s General Catalog also states, 'Students are expected to attend classroom and laboratory exercises Absences may affect the final grade or

eligibility to sit for the final examination ' And, "students are expected to take all examinations for courses in which they are enrolled."

University grading regulations can be reviewed on our website at the following link: http://www.usfca.edu/acadserv/catalog/academic_regulations_general.html

11.5

Required coursework includes work in computer science and/or related mathematics such as: 1) discrete structures (sets, logic, relations and functions) and their application in the design of data structures and programming; 2) design and analysis of algorithms including the use of recursion and combinations; and, 3) use of the computer applications and other technologies to solve problems

CCIC Comment: Please provide additional evidence A course-alignment matrix, also noted in the Pre-Conditions is needed.

DDTP Response: As of the Fall 2004 semester, students enrolled in the Program will be required to complete 0203-110 Introduction to Computer Science I. The DDTP Curriculum Committee has determined that prospective teachers will profit from learning the theoretical and mathematical foundations of computing and computer programming This class makes use of a state-of-the-art computer laboratory, a multimedia classroom and involves a great deal of hands-on computing and troubleshooting The following is a description of the topics covered in the course:

0203-110 Introduction to Computer Science I -

> Students will master the use of procedures, parameter passing, block structures data types, arrays, abstract data structures, conditional control, iterative and recursive processes, and input/output in programming solutions to a variety of problems Other topics discussed include top-down and bottom-up design and functional decomposition to aid in the development of programs

Math 201 Discrete Mathematics also introduces students to ideas that all computer scientists must know The course focuses on topics such as combinatorics, algorithms and complexity, and graph theory Please see the syllabus and course description attached below

Standard 12: Problem Solving

In the program, prospective teachers of mathematics develop effective strategies for solving problems both within the discipline of mathematics and in applied settings that include non-routine situations. Problem-solving challenges occur throughout the program of subject matter preparation in mathematics. Through coursework in the program, prospective teachers develop a sense of inquiry and perseverance in solving problems.

Element 12.1 - Approved

12.2
Solve mathematical problems in more than one way when possible.

CTCC Comment: Reviewers require evidence to show that students are taught how to solve the same problem in a variety of ways

DDTP Response: Please note that the Mathematics 109 Calculus project #1 attached below requires two completely different solutions to the same problem

12.3
Generalize mathematical problems in more than one way when possible.

CCTC Comment: Please provide additional documentation.

DDTP Response: Throughout the three-course calculus sequence, general techniques of problem solving are used again and again in different contexts For example, the technique of fitting a curve to data using computer plots is employed not just in the problem above, but in a number of different applications including fitting a probability density function to the histogrammed outcomes of a random variable Please review the course syllabi and attached project examples for full detail.

12.4
Use appropriate technologies to conduct investigations and solve problems

CTCC Comment: Please provide evidence of CalcLabs. The original narrative addresses the converse of the element regarding solving problems in a variety of ways.

DDIP Response: A centerpiece of the mathematics curriculum at USF is the emphasis on the use of computer technology From their very first mathematics course our majors are required to explore the power and limitations of computers in solving mathematical problems We feel this emphasis enables us to take a more modern approach to problem solving than would be possible without the computer. In particular, students are able to meaningfully treat problems very close to real world examples at an early stage in the curriculum

The emphasis on computer technology at USF is best illustrated by the frequent use of *Mathematica*, which is first introduced in 109 Calculus and Analytic Geometry I and further explored in 110 Calculus and Analytic Geometry II First, through *Mathematica* demonstrations in class, students in these introductory courses learn of the usefulness of software in analyzing problems and exploring mathematical concepts After several class demonstrations students are required to complete assignments that allow them to discover first-hand how computer software can assist them in solving problems (see Applied Max/Min lab Optimization lab) By the second semester, they are ready to complete a project that requires the synthesis of traditional written calculations with computer-generated graphs to illustrate their work Since all students are introduced to *Mathematica* in the introductory required courses, faculty teaching upper-division courses have the freedom to require that students use the program for assignments and projects throughout the curriculum

Standard 13: Mathematics as Communication

In the program, prospective teachers learn to communicate their thinking clearly and coherently to others using appropriate language, symbols and technologies Prospective teachers develop communication skills in conjunction with mathematical literacy in each major component of a subject matter program

Element 13 1 - Approved

In the program, each prospective teacher learns and demonstrates the ability to

13.1
Articulate mathematical ideas verbally and in writing, using appropriate terminology

CTCC Comment for 13.2-13.6 – Please provide additional evidence on this standard. For every claim, documentation must be provided.

DDTP Response: The "The Deft Fly," "Modeling Epidemics," "Kepler's Laws" and "Portfolio Theory" projects attached below as part of the Calculus supporting materials serve to satisfy this element.

13.2
Where appropriate present mathematical explanations suitable to a variety of grade levels

DDTP Response: The second required solution to the Mathematics 110 Project #1 attached below: "Now solve this problem using a completely different argument that a twelve-year-old could understand" satisfies this requirement.

13.3
Present mathematical information in various forms, including but not limited to models, charts, graphs tables, figures, and equations

DDTP Response: The attached "Modeling Epidemics" project provides proof that this element is met.

13.4
Analyze and evaluate the mathematical thinking and strategies of others

DDTP Response:

In a number of courses, students are encouraged or even required, to do some of their work communally. These group activities help students to clearly communicate their ideas to one another, and help them to hone their self-critical skills away from perhaps intimidating eye of the instructor.

In Number Theory as well as in Formal Methods students are on occasion formed into groups and asked to work on problems the solutions to which will be presented to the class at the next class meeting. The presenter for each group is chosen at random from the group membership immediately before the presentation is made. The presenter is graded

and all members of the group get that grade for my project. This means, of course, that the group must not only solve the problem but also make sure that every member understands the solution and can present it coherently. This is a fiendishly clever and effective teaching device

13.5
Use clarifying and extending questions to learn and to communicate mathematical ideas

DDTP Response: In a typical class meeting the instructor will begin by posing a problem Then he or she will encourage the students to develop a solution by guiding classroom discussion. Students are expected to ask questions and talk openly as they work toward a solution Class participation is a graded formative assessment in most courses

13.6
Use appropriate technologies to present mathematical ideas and concepts

DDTP Response: In many courses students are required to give oral presentations, using a combination of blackboard, overhead projector, and/or computer presentation Students are graded on both the quality of their mathematics and the quality of their presentation

Standard 14: Reasoning

In the program prospective teachers of mathematics learn to understand that reasoning is fundamental to knowing and doing mathematics Reasoning and proof accompany all mathematical activities in the program

CCTC Comment: for Elements 14 1, 14.2 – Please show how the SMPP relates to each domain of SMR

14.1
Formulate and test conjectures using inductive reasoning, construct counterexamples, make valid deductive arguments, and judge the validity of mathematical arguments in each content domain of the subject matter requirements.

DDTP Response: Instead of simply stating formulas in calculus classes and then showing examples the professor prefers to solve several similar problems first and then

ask the class if they recognize a pattern In this way, the students feel like they are discovering the formula instead of having it given to them Examples: Math 109 Discovery Project: Area Functions – in this class work assignment, students are guided towards deducing the Fundamental Theorem of Calculus on their own and then proving it for a specific example. Math 110 Patterns in Integrals lab – in this Mathematica-based assignment students have the computer calculate several similar integrals and then the students must recognize the pattern to develop a general formula

14.2
Present informal and formal proofs in oral and written formats in each content domain of the subject matter requirements

DDTP Response: In the above Math 109 example, after proving the Fundamental Theorem of Calculus for a specific example, the students are then asked to generalize the proof (informally, because students are not taught formal proof-writing techniques until Math 300) In Math 110, students learn (again informally) how to show that a function can be represented by a power series.

Standard 15: Mathematical Connections

In the program, prospective teachers of mathematics develop a view of mathematics as an integrated whole, seeing connections across different mathematical content areas Relationships among mathematical subjects and applications are a consistent theme of the subject matter program's curriculum 2

Elements 15.2, 15.4, 15 5 – Approved

CCTC Comment for Elements 15.2, 15.2 and 15.5 – Please provide additional evidence to meet these elements

15.2
Investigate ways mathematical topics are inter-related

DDTP Response: Math 310 History of Mathematics is specifically designed to emphasize the connectedness of mathematical topics Students develop an understanding of the connections between different branches of mathematics; for example how algebra and geometry influence each other and how calculus depends on both.

15.3
Apply mathematical thinking and modeling to solve problems that arise in other disciplines

DDIP Response: Please refer to Calculus II "Modeling Epidemics" project as evidence.

15.4
Recognize how a given mathematical model can represent a variety of situations

DDIP Response: Please refer to the Mathematics 110 syllabus. When first learning about differential equations, students discover that the simple equation dy/dx = ky, where k is a constant can represent population growth rate, radioactive decay rate the rate of cooling of an object, and the rate of increase of a continuously compounded investment just to name a few

15.5
Create a variety of models to represent a single situation

DDIP Response: Please refer to the Mathematics 110 syllabus The epidemics project is perfect for this The spread of an epidemic is modeled in two different ways: first by use of an exponential model and then by the (more suitable) logistic model

Standard 16: Delivery of Instruction

In the program, faculty use multiple instructional strategies, activities and materials that are appropriate for effective mathematics instruction

Elements 16.2, 16.3, 16.4, 16.5 - Approved

16.1
Is taught in a way that fosters conceptual understanding as well as procedural knowledge.

CCIC Comment: Please show how teaching fosters conceptual understanding and procedural knowledge.

DDIP Response: With respect to Mathematics 109, much time is spent leading up to the introduction of the derivative by studying the relationship between secant lines and

tangent lines By recognizing that slopes of tangent lines can be determined by taking the limit of slopes of secant lines, students learn the concept of a derivative before the derivative is formally defined. In this way, students understand the concept of a derivative instead of simply memorizing formulas

16.6
Includes approaches that are appropriate for use at a variety of grade levels

CCTC Comment: Please provide evidence to show that the SMPP uses a variety of grade level approaches There is a general lack of evidence that the delivery of instruction varies or that the students are asked to respond in a variety of ways.

DDTP Response: In Calculus I (and sometimes II) we have students of very different calculus backgrounds from having taken AP Calculus in high school to having never seen calculus before. As a result, the instructor must often approach topics from multiple directions with various levels of mathematical maturity in order to reach each student of his/her level. For example, the 'Patterns in Integrals' lab in Calculus II has students use the computer to identify repeated patterns in order to develop a formula for a general type of integral This is a very elementary approach

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Newest Ratings of Graduate Programs in Mathematics

by Donald C. Rung

Between September 1982 and January 1983 the Conference Board of Associated Research Councils published a five-volume assessment of various graduate programs including mathematics. Volume 1, published in October 1982, assessed the mathematical and physical sciences. The Conference Board includes representatives of the American Council of Learned Societies, American Council on Education, Social Science Research Council, and the National Research Council.

This survey is the fourth such survey since 1957 when Hayward Kennison of the University of Pennsylvania evaluated graduate programs. The second survey was done in 1964 by Allan Cartter, then Vice-President of the American Council on Education. A summary of these reports for mathematics graduate programs was published in the December 1966 issue of the *Notices*. The third survey, by Kenneth D. Roose and Charles J. Andersen of the American Council on Education, was published in 1970 and the mathematics ratings were summarized in the February 1971 issue of the *Notices*.

The 1982 survey is a somewhat more elaborate assessment than previous surveys. It rates over 2,600 programs in 31 fields in the physical and mathematical sciences, engineering, life sciences, social sciences and humanities (about the same breadth as in the 1970 Roose-Andersen survey). It reports sixteen different measures to assess each program as opposed to three measures reported in the 1970 survey. The measures are grouped into six categories: program size, characteristics of graduate program, university library, research support, published articles, and survey results. All but the last are factual measures. The survey measures, sometimes called reputational measures, are mean ratings of (1) scholarly quality of program faculty, (2) effectiveness of the program in educating research scholars or scientists, (3) improvement in program quality in the last five years), and (4) the evaluator's familiarity with the work of the program faculty. (The reputational survey was conducted in the Spring of 1981.) In this article the first three reputational measures are reproduced in Tables A, B and C. These were the same measures used in the 1970 and 1964 surveys. Furthermore, the ratings scale and nomenclature have remained the same for the first two program measures (Tables A and B).

For quality of graduate faculty (Table A) the scale was

5 ... distinguished
4 ... strong
3 ... good
2 ... adequate
1 ... marginal
0 ... not sufficient for doctoral training
X ... don't know well enough to evaluate

The scale for rating the effectiveness of doctoral programs (Table B) was

3 ... extremely effective
2 ... reasonably effective
1 ... minimally effective
0 ... not effective
X ... don't know well enough to evaluate

(the nomenclature but not the scale used in the 1970 report for this second parameter was slightly different).

The 1982 report contains an evaluation of the improvement of the program quality (Table C) based on the following scale:

2 ... better than 5 years ago
1 ... little or no change in last 5 years
0 ... poorer than 5 years ago
X ... don't know well enough to evaluate

The 1970 report had a similar rating separated, however, into two components: improvement of faculty and improvement in effectiveness of educating research scholars.

To be nominated for inclusion in the 1982 survey a mathematics program needed either (1) a minimum of seven doctoral graduates in the period 1976–1978 or at least three doctoral graduates in 1979, or (2) an average of at least 2.0 in the 1970 Roose-Andersen assessment of quality of program faculty. The 1982 study included assessments for 115 mathematics programs. They accounted for 92% of the doctoral degrees in mathematics awarded during the period 1976–1979. Only 102 programs were assessed in the 1970 survey.

Of the 348 faculty members asked to participate in the reputational part of the recent assessment, 223 (64%) responded. Each evaluator was asked to rate no more than fifty randomly selected programs and was supplied with a list of faculty members in each program as well as the number of doctorates awarded in the period 1976–1980.

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It should be noted that the program faculty was limited to those who participate significantly in the doctoral education program. (In some instances, therefore the faculty size reported in this study is smaller than that given in the Annual AMS Survey reports.) The 1970 assessment survey was based on responses from 240 evaluators.

In addition to the raw scores, the 1982 assessment also reported a normalized score (mean 50, standard deviation 10) in most of the sixteen categories. The normalized scores were computed from *exact values* of the measures and not from the rounded raw values given in the published report. Thus programs with the same rounded raw score may have different normalized scores or those with different reported raw scores may have been reported as having the same normalized score, since the latter was also rounded.

The 1982 assessment also contained evaluations of 64 programs in statistics/biostatistics and 58 programs in computer science. The three reputational measures reproduced for mathematics are also given for those programs in corresponding tables following those for mathematics. [See Editor's Note, below.]

Copies of the complete report *An assessment of research-doctorate programs in the United States*, are available for $10.50 per volume from the National Academy Press, 2101 Constitution Avenue N.W., Washington, DC 20036.

EDITOR'S NOTE. In addition to the tables on the three following pages giving the ratings on mathematics programs discussed above by Professor Rung, we reproduce corresponding tables for Statistics/Biostatistics and Computer Science.

The criteria for inclusion differ somewhat for the latter two, since the cut-off level was set for each discipline so that those departments which had granted ninety percent of the doctoral degrees during the academic years 1976-1977 to 1977-1978 qualified: for mathematics the cut-off was seven or more doctorates in that period; for both statistics/biostatistics and computer science, it was five. In addition, a qualifying department was required to have granted during 1978-1979 more than one-third of the number of the degrees specified in the previous sentence.

Several departments which met the criteria for inclusion in the study did not participate. Three programs which met the criteria for the mathematics study but were not included are those at Idaho State University, Lehigh University and the University of Northern Colorado. Programs which qualified for inclusion in the statistics/biostatistics study but did not participate are those at Dartmouth College, University of Illinois (Chicago), New York University, University of Northern Colorado and the University of South Carolina. Programs in computer science which were omitted are those at the University of Chicago, George Washington University, Harvard University, Northeastern University, Purdue University, University of Southwest Louisiana and the University of Texas (Health Science Center, Dallas). Several departments were included in both the mathematics and the statistics/biostatistics studies.

In the mathematics study, two departments at Brown University (Mathematics, Applied Mathematics) were grouped together, as were Mathematics and Biomathematics at UCLA, but both Mathematics and Applied Mathematics at the University of Maryland (College Park) were included separately.

Tables A, B, and C for Statistics/Biostatistics (pages 262, 263, 264) and for Computer Science (pages 265, 266, 267) follow those for Mathematics (pages 259, 260, 261).

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Graduate Programs in Mathematics

Table A. Ranked by Scholarly Quality of Program Faculty

Princeton University	4.9	Pittsburgh, University of	2.5
California, University of (Berkeley)	4.9	SUNY at Albany	2.4
Massachusetts Institute of Technology	4.9	Florida State University	2.4
Chicago, University of	4.8	Oregon State University	2.4
Harvard University	4.8	Temple University	2.4
Stanford University	4.6	California, University of (Riverside)	2.3
New York University	4.5	Claremont Graduate School	2.3
Yale University	4.5	Syracuse University	2.3
Columbia University	4.4	Virginia Polytechnic Institute & State University	2.3
Wisconsin, University of (Madison)	4.2	California, University of (Davis)	2.3
Brown University	4.1	Florida, University of	2.3
Michigan, University of	4.1	Georgia, University of	2.3
Cornell University	4.0	Kansas, University of	2.3
California, University of (Los Angeles)	4.0	Iowa, University of	2.2
Illinois, University of	4.0	Delaware, University of	2.2
Minnesota, University of	3.9	Georgia Institute of Technology	2.2
California Institute of Technology	3.8	Wayne State University	2.2
Brandeis University	3.8	Iowa State University	2.1
SUNY at Stony Brook	3.7	New Mexico, University of	2.1
Pennsylvania, University of	3.7	North Carolina State University	2.1
Rutgers University	3.6	Polytechnic Institute of New York	2.1
Washington, University of	3.6	Tennessee, University of	2.1
CUNY Graduate School	3.5	Oklahoma, University of	2.0
Indiana University	3.5	Vanderbilt University	2.0
Maryland, University of (Applied Math.)	3.5	Connecticut, University of	2.0
Maryland, University of (Mathematics)	3.5	Auburn University	1.9
Northwestern University	3.5	Cincinnati, University of	1.9
Purdue University	3.4	Colorado State University	1.9
California, University of (San Diego)	3.4	Houston, University of	1.9
Johns Hopkins University	3.4	Wesleyan University	1.9
Rice University	3.4	Nebraska, University of	1.8
Texas, University of (Austin)	3.3	Kent State University	1.8
Utah, University of	3.2	South Carolina, University of	1.8
Washington University	3.1	Missouri, University of (Columbia)	1.7
Illinois, University of (Chicago)	3.0	SUNY at Binghamton	1.7
Carnegie-Mellon University	3.0	Boston University	1.7
North Carolina, University of	3.0	Clemson University	1.7
Ohio State University	3.0	Oklahoma State University	1.7
Pennsylvania State University	3.0	Texas Tech University	1.7
Virginia, University of	3.0	Texas, University of (Arlington)	1.7
Oregon, University of	2.9	Wisconsin, University of (Milwaukee)	1.6
Colorado, University of	2.9	Clarkson College of Technology	1.5
Duke University	2.8	Southern Illinois University	1.5
Kentucky, University of	2.8	Emory University	1.5
Southern California, University of	2.8	South Florida, University of	1.5
Notre Dame, University of	2.7	Bowling Green State University	1.3
Rensselaer Polytechnic Institute	2.7	Denver, University of	1.3
Rochester, University of	2.7	Ohio University	1.3
SUNY at Buffalo	2.7	Montana, University of	1.2
California, University of (Santa Barbara)	2.7	Stevens Institute of Technology	1.2
Louisiana State University	2.7	Missouri, University of (Rolla)	1.1
Massachusetts University of (Amherst)	2.7	Western Michigan University	1.1
Michigan State University	2.7	Alabama, University of	1.1
Tulane University	2.7	Illinois Institute of Technology	1.1
Arizona, University of	2.6	Adelphi University	0.9
Case Western Reserve University	2.6	Saint Louis University	0.7
Dartmouth College	2.6	New Mexico State University	NA
Northeastern University	2.5		

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Graduate Programs in Mathematics

Table B Ranked by Effectiveness in Educating Research Scholars

Princeton University	2.8	California, University of (Riverside)	1.6
California, University of (Berkeley)	2.7	Duke University	1.5
Harvard University	2.7	Florida State University	1.5
Massachusetts Institute of Technology	2.7	Iowa, University of	1.5
Chicago, University of	2.7	Northeastern University	1.4
Stanford University	2.6	Oregon State University	1.5
New York University	2.6	California, University of (Davis)	1.4
Yale University	2.5	Claremont Graduate School	1.4
Wisconsin, University of (Madison)	2.4	Syracuse University	1.4
Michigan, University of	2.4	Virginia Polytechnic Institute & State University	1.4
Brown University	2.4		
Cornell University	2.3	Florida, University of	1.4
California, University of (Los Angeles)	2.3	Tennessee, University of	1.4
Columbia University	2.3	Georgia, University of	1.3
Illinois, University of	2.3	Kansas, University of	1.3
Minnesota, University of	2.2	Delaware, University of	1.3
California Institute of Technology	2.2	Georgia Institute of Technology	1.3
Brandeis University	2.1	Temple University	1.3
SUNY at Stony Brook	2.0	New Mexico University of	1.3
Pennsylvania, University of	2.1	Wayne State University	1.2
Rutgers University	2.0	Iowa State University	1.2
Washington, University of	2.0	North Carolina State University	1.2
Purdue University	2.1	Polytechnic Institute of New York	1.2
Rice University	2.0	Oklahoma University of	1.2
Indiana University	2.0	Vanderbilt University	1.2
Maryland, University of (Mathematics)	2.0	Cincinnati, University of	1.2
California, University of (San Diego)	2.0	Houston, University of	1.2
Northwestern University	2.0	Wesleyan University	1.1
Carnegie-Mellon University	1.9	Clamson University	1.1
CUNY Graduate School	1.9	Auburn University	1.1
Maryland, University of (Applied Math.)	1.9	Kent State University	1.1
Texas, University of (Austin)	1.8	Connecticut, University of	1.0
Washington University	1.8	Nebraska, University of	1.0
Ohio State University	1.8	SUNY at Binghamton	1.1
Pennsylvania State University	1.8	Oklahoma State University	1.0
Virginia, University of	1.8	Wisconsin, University of (Milwaukee)	1.0
Kentucky, University of	1.8	Colorado State University	1.0
Oregon, University of	1.8	Texas Tech University	1.0
Colorado, University of	1.8	South Carolina, University of	0.9
Johns Hopkins University	1.7	Missouri, University of (Columbia)	0.9
Utah, University of	1.7	Texas, University of (Arlington)	0.9
North Carolina, University of	1.7	Emory University	0.9
Notre Dame, University of	1.7	South Florida, University of	0.9
Rochester, University of	1.7	Clarkson College of Technology	0.9
Tulane University	1.7	Stevens Institute of Technology	0.8
Illinois, University of (Chicago)	1.7	Missouri, University of (Rolla)	0.9
Rensselaer Polytechnic Institute	1.7	Boston University	0.8
SUNY at Buffalo	1.7	Southern Illinois University	0.8
California, University of (Santa Barbara)	1.7	Denver, University of	0.7
Massachusetts, University of (Amherst)	1.7	Adelphi University	0.7
Michigan State University	1.7	Bowling Green State University	0.6
Pittsburgh, University of	1.7	Montana, University of	0.6
Southern California, University of	1.6	Ohio University	0.6
Louisiana State University	1.6	Western Michigan University	0.6
Arizona, University of	1.6	Illinois Institute of Technology	0.5
Case Western Reserve University	1.5	Saint Louis University	0.5
Dartmouth College	1.6	Alabama, University of	0.4
SUNY at Albany	1.5	New Mexico State University	NA

Graduate Programs in Mathematics

Table C. Ranked by Improvement in Quality in Last Five Years

Utah, University of	1.7	Purdue University	1.1
Texas, University of (Austin)	1.6	Case Western Reserve University	1.1
Kentucky, University of	1.6	Rice University	1.1
Illinois, University of (Chicago)	1.5	Oregon, University of	1.1
Delaware, University of	1.5	Rensselaer Polytechnic Institute	1.1
California, University of (San Diego)	1.4	Nebraska, University of	1.1
Texas, University of (Arlington)	1.4	Montana, University of	1.1
Rutgers University	1.4	Cornell University	1.1
Pennsylvania State University	1.4	Illinois, University of	1.1
Northeastern University	1.4	Auburn University	1.1
Virginia Polytechnic Institute & State University	1.4	SUNY at Binghamton	1.1
Texas Tech University	1.4	Clarkson College of Technology	1.1
South Carolina, University of	1.4	Western Michigan University	1.1
Maryland, University of (Mathematics)	1.3	California Institute of Technology	1.1
Tennessee, University of	1.3	Southern California, University of	1.1
California, University of (Los Angeles)	1.3	SUNY at Buffalo	1.1
SUNY at Stony Brook	1.3	Princeton University	1.1
Washington, University of	1.3	Columbia University	1.1
Georgia, University of	1.3	Wisconsin, University of (Madison)	1.1
Massachusetts, University of (Amherst)	1.3	Washington University	1.1
Arizona, University of	1.3	Rochester, University of	1.1
Georgia Institute of Technology	1.3	Louisiana State University	1.1
North Carolina State University	1.3	Tulane University	1.1
Cincinnati, University of	1.3	California, University of (Davis)	1.1
Brown University	1.3	Ohio University	1.1
Clemson University	1.3	Alabama, University of	1.1
South Florida, University of	1.3	Stanford University	1.0
North Carolina, University of	1.3	Carnegie-Mellon University	1.0
Colorado, University of	1.2	California, University of (Santa Barbara)	1.0
Wayne State University	1.2	California, University of (Riverside)	1.0
Colorado State University	1.2	Chicago, University of	1.0
Minnesota, University of	1.2	Harvard University	1.0
Oregon State University	1.2	Notre Dame, University of	1.0
Houston, University of	1.2	Wisconsin, University of (Milwaukee)	1.0
Ohio State University	1.2	Claremont Graduate School	1.0
Duke University	1.2	New Mexico, University of	1.0
Temple University	1.2	Missouri, University of (Columbia)	1.0
Maryland, University of (Applied Math)	1.2	Pennsylvania, University of	0.9
Pittsburgh, University of	1.2	Dartmouth College	0.9
Oklahoma, University of	1.2	Kansas, University of	0.9
Connecticut, University of	1.2	Iowa State University	1.0
Kent State University	1.2	CUNY Graduate School	0.9
Boston University	1.2	Missouri, University of (Rolla)	0.9
Indiana University	1.2	Denver, University of	0.9
Northwestern University	1.2	New York University	0.9
Michigan State University	1.2	Syracuse University	0.9
SUNY at Albany	1.2	Florida State University	0.8
Florida, University of	1.2	Brandeis University	0.8
California, University of (Berkeley)	1.2	Virginia, University of	0.8
Massachusetts Institute of Technology	1.1	Johns Hopkins University	0.8
Michigan, University of	1.2	Emory University	0.6
Iowa, University of	1.1	Polytechnic Institute of New York	NA
Vanderbilt University	1.1	Bowling Green State University	NA
Wesleyan University	1.1	Stevens Institute of Technology	NA
Oklahoma State University	1.2	Illinois Institute of Technology	NA
Southern Illinois University	1.2	Adelphi University	NA
Yale University	1.1	Saint Louis University	NA
		New Mexico State University	NA

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Graduate Programs in Statistics/Biostatistics

Table A. Ranked by Scholarly Quality of Program Faculty

California, University of (Berkeley) *Statistics*	4.9
Stanford University *Statistics*	4.9
Chicago, University of, *Statistics*	4.7
Wisconsin, University of (Madison) *Statistics*	4.3
North Carolina, University of *Statistics*	4.0
Cornell University, *Statistics*	4.0
Harvard University, *Statistics*	4.0
Iowa State University, *Statistics*	4.0
Princeton University, *Statistics*	4.0
Columbia University *Mathematical Statistics*	3.8
Florida State University *Statistics*	3.8
Purdue University, *Statistics*	3.9
Washington, University of *Biomathematics & Biostatistics*	3.8
Minnesota, University of *Statistics*	3.7
North Carolina, University of *Biostatistics*	3.7
Yale University, *Statistics*	3.7
California, University of (Los Angeles) *Public Health & Mathematics*	3.7
Carnegie-Mellon University *Statistics*	3.5
Illinois, University of (Urbana) *Mathematics*	3.4
Colorado State University *Statistics*	3.2
Rutgers University, *Statistics*	3.2
Michigan State University *Statistics & Probability*	3.1
Michigan, University of *Statistics*	3.1
North Carolina State University *Statistics*	3.1
Pittsburgh, University of *Mathematics and Statistics*	3.1
Texas A&M University *Statistics*	3.1
Iowa, University of, *Statistics*	3.0
Rochester, University of *Statistics*	3.0
Virginia Polytechnic Institute *Statistics & Statistical Laboratory*	2.9
Johns Hopkins University *Biostatistics*	2.8
Oregon State University *Statistics*	2.8
Pennsylvania State University *Statistics*	2.7
George Washington University *Statistics*	2.6
Kentucky, University of *Statistics*	2.6
Southern Methodist University *Statistics*	2.6
Ohio State University *Statistics & Biostatistics*	2.5
Pennsylvania, University of *Statistics*	2.6
California, University of (Riverside) *Statistics*	2.4
Texas, University of (Houston) *Biomathematics (Anderson Hospital)*	2.4
Florida, University of, *Statistics*	2.4
North Carolina State University *Biomathematics*	2.4
Missouri, University of (Columbia) *Statistics*	2.3
SUNY at Stony Brook *Applied Mathematics & Statistics*	2.2
Connecticut, University of *Statistics*	2.1
Minnesota, University of *Biometry*	2.2
New Mexico, University of *Mathematics and Statistics*	2.1
Yale University *Epidemiology & Public Health*	2.0
South Florida, University of *Mathematics*	2.0
Kansas State University *Statistics*	1.8
Pittsburgh, University of *Biostatistics (Public Health)*	1.9
SUNY at Buffalo, *Statistics*	1.9
Wyoming, University of *Statistics*	1.9
Delaware, University of *Applied Sciences*	1.8
Georgia, University of *Statistics & Computer Science*	1.7
Indiana University, *Mathematics*	1.7
Oklahoma State University *Statistics*	1.7
Temple University, *Statistics*	1.8
Case Western Reserve University *Biometry*	1.6
Maryland, University of (College Park) *Mathematics*	1.6
Missouri, University of (Rolla) *Statistics*	1.5
Boston University, *Mathematics*	1.4
Virginia Commonwealth University *Biostatistics (Medical College)*	1.1
American University *Mathematics, Statistics & Computer Science*	0.9
Michigan, University of *Biostatistics (Public Health)*	NA

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Graduate Programs in Statistics/Biostatistics

Table B. Ranked by Effectiveness in Educating Research Scholars

Stanford University, *Statistics*	2.8
California, University of (Berkeley) *Statistics*	2.6
Wisconsin, University of (Madison) *Statistics*	2.4
Chicago, University of *Statistics*	2.3
Iowa State University, *Statistics*	2.3
Cornell University, *Statistics*	2.2
Florida State University *Statistics*	2.2
North Carolina, University of *Biostatistics*	2.2
North Carolina, University of *Statistics*	2.2
Washington, University of *Biomathematics & Biostatistics*	2.2
Minnesota, University of *Statistics*	2.1
Purdue University, *Statistics*	2.1
California, University of (Los Angeles) *Public Health & Mathematics*	2.0
Carnegie-Mellon University *Statistics*	2.0
Columbia University *Mathematical Statistics*	2.0
North Carolina State University *Statistics*	1.9
Yale University *Statistics*	2.0
Colorado State University *Statistics*	1.9
Harvard University, *Statistics*	1.9
Princeton University, *Statistics*	1.9
Iowa, University of, *Statistics*	1.8
Michigan, University of *Statistics*	1.8
Texas A&M University *Statistics*	1.8
Michigan State University *Statistics & Probability*	1.8
Rutgers University, *Statistics*	1.8
Virginia Polytechnic Institute *Statistics & Statistical Laboratory*	1.8
Johns Hopkins University *Biostatistics*	1.7
Oregon State University *Statistics*	1.7
Rochester, University of *Statistics*	1.7
Pennsylvania State University *Statistics*	1.6
Southern Methodist University *Statistics*	1.6
Illinois, University of (Urbana) *Mathematics*	1.6
Ohio State University *Statistics & Biostatistics*	1.6
Pennsylvania, University of *Statistics*	1.4
Florida, University of *Statistics*	1.4
Kentucky, University of *Statistics*	1.4
North Carolina State University *Biomathematics*	1.4
Yale University *Epidemiology & Public Health*	1.4
California, University of (Riverside) *Statistics*	1.3
George Washington University *Statistics*	1.3
Missouri, University of (Columbia) *Statistics*	1.4
Oklahoma State University *Statistics*	1.3
New Mexico, University of *Mathematics and Statistics*	1.3
Pittsburgh, University of *Mathematics and Statistics*	1.3
Texas, University of (Houston) *Biomathematics (Anderson Hospital)*	1.3
Minnesota, University of *Biometry*	1.2
Kansas State University *Statistics*	1.2
Connecticut, University of *Statistics*	1.1
SUNY at Buffalo, *Statistics*	1.1
SUNY at Stony Brook *Applied Mathematics & Statistics*	1.1
Temple University, *Statistics*	1.1
Wyoming, University of *Statistics*	1.1
Georgia, University of *Statistics & Computer Science*	1.0
Pittsburgh, University of *Biostatistics (Public Health)*	1.0
Boston University, *Mathematics*	0.8
Case Western Reserve University *Biometry*	0.9
Indiana University, *Mathematics*	0.8
Virginia Commonwealth University *Biostatistics (Medical College)*	0.8
Delaware, University of *Applied Sciences*	0.7
Maryland, University of (College Park) *Mathematics*	0.7
Missouri, University of (Rolla) *Statistics*	0.7
South Florida, University of *Mathematics*	0.6
American University *Mathematics, Statistics & Computer Science*	0.4
Michigan, University of *Biostatistics (Public Health)*	NA

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Graduate Programs in Statistics/Biostatistics

Table C Ranked by Improvement in Quality in Last Five Years

Pittsburgh, University of *Mathematics and Statistics*	1.8
Washington, University of *Biomathematics & Biostatistics*	1.8
Carnegie-Mellon University *Statistics*	1.6
California, University of (Riverside) *Statistics*	1.6
SUNY at Stony Brook *Applied Mathematics & Statistics*	1.5
Texas A&M University *Statistics*	1.4
California, University of (Berkeley) *Statistics*	1.3
South Florida, University of *Mathematics*	1.3
Delaware, University of *Applied Sciences*	1.3
Texas, University of (Houston) *Biomathematics (Anderson Hospital)*	1.2
Chicago, University of, *Statistics*	1.2
Purdue University, *Statistics*	1.2
Virginia Polytechnic Institute *Statistics & Statistical Laboratory*	1.2
Stanford University, *Statistics*	1.2
Pennsylvania, University of *Statistics*	1.2
Wisconsin, University of (Madison) *Statistics*	1.2
Florida, University of, *Statistics*	1.1
Illinois, University of (Urbana) *Mathematics*	1.2
Iowa State University *Statistics*	1.2
California, University of (Los Angeles) *Public Health & Mathematics*	1.1
Colorado State University *Statistics*	1.1
Georgia, University of *Statistics & Computer Science*	1.1
Maryland, University of (College Park) *Mathematics*	1.1
North Carolina, University of *Biostatistics*	1.1
Pennsylvania State University *Statistics*	1.1
Iowa, University of, *Statistics*	1.1
Minnesota, University of *Statistics*	1.1
Ohio State University *Statistics & Biostatistics*	1.1
Yale University *Epidemiology & Public Health*	1.1
Rochester, University of *Statistics*	1.1
Connecticut, University of *Statistics*	1.0
Harvard University, *Statistics*	1.0
Kansas State University *Statistics*	1.0
Kentucky, University of *Statistics*	1.0
Oregon State University *Statistics*	1.0
Boston University, *Mathematics*	1.0
Columbia University *Mathematical Statistics*	1.0
Cornell University, *Statistics*	1.0
Florida State University *Statistics*	1.0
Michigan, University of *Statistics*	1.0
Southern Methodist University *Statistics*	1.0
Temple University, *Statistics*	1.0
Wyoming, University of *Statistics*	1.0
Minnesota, University of *Biometry*	1.0
Missouri, University of (Rolla) *Statistics*	1.0
Pittsburgh, University of *Biostatistics (Public Health)*	1.0
Yale University, *Statistics*	1.0
American University *Mathematics, Statistics & Computer Science*	0.9
New Mexico, University of *Mathematics and Statistics*	0.9
North Carolina State University *Statistics*	0.9
Oklahoma State University *Statistics*	0.9
Johns Hopkins University *Biostatistics*	0.9
Michigan State University *Statistics & Probability*	0.9
Missouri, University of (Columbia) *Statistics*	0.9
Rutgers University, *Statistics*	0.9
North Carolina, University of *Statistics*	0.9
Princeton University, *Statistics*	0.9
Virginia Commonwealth University *Biostatistics (Medical College)*	0.8
North Carolina State University *Biomathematics*	0.7
Case Western Reserve University *Biometry*	0.6
Indiana University, *Mathematics*	0.6
George Washington University *Statistics*	0.4
SUNY at Buffalo, *Statistics*	0.1
Michigan, University of *Biostatistics (Public Health)*	NA

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Graduate Programs in Computer Science

Table A. Ranked by Scholarly Quality of Program Faculty

Stanford University, *Computer Science*	5.0
Massachusetts Institute of Technology *Electrical Engineering & Computer Science*	4.3
Carnegie-Mellon University *Computer Science*	4.3
California, University of (Berkeley) *Electrical Engineering & Computer Sciences*	4.5
Cornell University, *Computer Science*	4.3
California, University of (Los Angeles) *Computer Science*	3.8
Illinois, University of (Urbana) *Computer Science*	3.8
Yale University, *Computer Science*	3.5
Washington, University of *Computer Sciences*	3.4
Southern California, University of *Computer Science*	3.2
Texas, University of (Austin) *Computer Sciences*	3.2
Wisconsin, University of (Madison) *Computer Sciences*	3.2
Maryland, University of (College Park) *Computer Science*	3.1
Princeton University *Electrical Engineering & Computer Science*	3.0
Brown University, *Computer Science*	2.9
Massachusetts, University of *Computer & Information Sciences*	2.8
New York University, *Computer Science*	2.8
Utah, University of, *Computer Science*	2.8
Georgia Institute of Technology *Information & Computer Science*	2.7
Minnesota, University of *Computer Science*	2.7
North Carolina, University of *Computer Science*	2.7
Pennsylvania, University of *Computer & Information Science*	2.7
Rochester, University of *Computer Science*	2.7
SUNY at Stony Brook *Computer Science*	2.7
California, University of (San Diego) *Electrical Engineering & Computer Science*	2.6
California Institute of Technology *Computer Science*	2.5
Columbia University, *Computer Science*	2.5
California, University of (Irvine) *Information & Computer Science*	2.4
Duke University, *Computer Science*	2.4
Northwestern University *Electrical Engineering & Computer Sciences*	2.4
Ohio State University *Computer & Information Science*	2.4
Rice University, *Mathematical Sciences*	2.4
Rutgers University, *Computer Science*	2.4
Syracuse University *Computer Sciences*	2.4
Arizona, University of *Computer Sciences*	2.4
Indiana University, *Computer Science*	2.3
SUNY at Buffalo, *Computer Science*	2.3
California, University of (Santa Barbara) *Electrical & Computer Engineering*	2.1
Pennsylvania State University *Computer Sciences*	2.1
Kansas, University of *Computer Science*	1.9
Pittsburgh, University of *Computer Science*	1.9
Vanderbilt University *Computer Science*	1.8
Iowa State University *Computer Science*	1.7
Virginia, University of *Applied Mathematics & Computer Science*	1.7
Connecticut, University of *Electrical Engineering & Computer Science*	1.7
Iowa, University of, *Computer Science*	1.7
Southern Methodist University *Computer Science & Engineering*	1.6
Washington State University *Computer Science*	1.5
Michigan State University *Computer Science*	1.5
Washington University *Computer Science*	1.4
Case Western Reserve University *Computer Engineering, Computing & Information Science*	1.3
Missouri, University of (Rolla) *Computer Science*	1.2
Polytechnic Institute of New York *Electrical Engineering & Computer Science*	1.2
Stevens Institute of Technology *Electrical Engineering & Computer Science*	1.2
Texas A&M University *Industrial Engineering*	1.1
Kansas State University *Computer Science*	0.9
Oklahoma, University of *Electrical Engineering & Computer Science*	0.8
Michigan, University of *Computer & Communication Sciences*	NA

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Graduate Programs in Computer Science

Table B. Ranked by Effectiveness in Educating Research Scholars

Stanford University, *Computer Science*	2.8
Massachusetts Institute of Technology *Electrical Engineering & Computer Science*	2.8
Carnegie-Mellon University *Computer Science*	2.7
California, University of (Berkeley) *Electrical Engineering & Computer Sciences*	2.6
Cornell University *Computer Science*	2.5
Illinois, University of (Urbana) *Computer Science*	2.3
California, University of (Los Angeles) *Computer Science*	2.2
Yale University, *Computer Science*	2.1
Texas, University of (Austin) *Computer Sciences*	2.1
Washington, University of *Computer Sciences*	2.0
Maryland, University of (College Park) *Computer Science*	1.9
Wisconsin, University of (Madison) *Computer Sciences*	1.9
Princeton University *Electrical Engineering & Computer Science*	1.9
Utah, University of, *Computer Science*	1.9
SUNY at Stony Brook *Computer Science*	1.8
Southern California, University of *Computer Science*	1.8
North Carolina, University of *Computer Science*	1.7
Pennsylvania, University of *Computer & Information Science*	1.8
Rochester, University of *Computer Science*	1.7
Brown University, *Computer Science*	1.7
New York University, *Computer Science*	1.7
Massachusetts University of *Computer & Information Sciences*	1.7
Minnesota, University of *Computer Science*	1.6
Georgia Institute of Technology *Information & Computer Science*	1.6
Ohio State University *Computer & Information Science*	1.6
Rice University, *Mathematical Sciences*	1.6
California Institute of Technology *Computer Science*	1.5
Duke University, *Computer Science*	1.5
Northwestern University *Electrical Engineering & Computer Sciences*	1.5
SUNY at Buffalo, *Computer Science*	1.4
Arizona, University of *Computer Sciences*	1.4
Syracuse University, *Computer Sciences*	1.4
California, University of (Irvine) *Information & Computer Science*	1.4
Rutgers University, *Computer Science*	1.4
Indiana University, *Computer Science*	1.3
Pennsylvania State University *Computer Sciences*	1.3
California, University of (San Diego) *Electrical Engineering & Computer Science*	1.2
Columbia University, *Computer Science*	1.2
Iowa State University *Computer Science*	1.2
Pittsburgh, University of *Computer Science*	1.2
Virginia, University of *Applied Mathematics & Computer Science*	1.2
California, University of (Santa Barbara) *Electrical & Computer Engineering*	1.2
Iowa, University of, *Computer Science*	1.1
Kansas, University of *Computer Science*	1.1
Vanderbilt University *Computer Science*	1.1
Connecticut, University of *Electrical Engineering & Computer Science*	1.0
Washington University *Computer Science*	1.0
Southern Methodist University *Computer Science & Engineering*	1.0
Washington State University *Computer Science*	1.0
Michigan State University *Computer Science*	0.9
Polytechnic Institute of New York *Electrical Engineering & Computer Science*	0.9
Stevens Institute of Technology *Electrical Engineering & Computer Science*	0.9
Missouri, University of (Rolla) *Computer Science*	0.8
Case Western Reserve University *Computer Engineering, Computing & Information Science*	0.8
Texas A&M University *Industrial Engineering*	0.7
Kansas State University *Computer Science*	0.6
Oklahoma, University of *Electrical Engineering & Computer Science*	0.3
Michigan, University of *Computer & Communication Sciences*	NA

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Graduate Programs in Computer Science

Table C. Ranked by Improvement in Quality in Last Five Years

Georgia Institute of Technology *Information & Computer Science*	1.8
Rochester, University of *Computer Science*	1.7
Washington, University of *Computer Sciences*	1.7
Columbia University, *Computer Science*	1.6
Indiana University, *Computer Science*	1.6
Vanderbilt University *Computer Science*	1.5
Brown University, *Computer Science*	1.5
Rutgers University, *Computer Science*	1.4
Arizona, University of *Computer Sciences*	1.3
California, University of (Berkeley) *Electrical Engineering & Computer Sciences*	1.3
California, University of (Los Angeles) *Computer Science*	1.3
Southern California, University of *Computer Science*	1.3
Duke University, *Computer Science*	1.3
Wisconsin, University of (Madison) *Computer Sciences*	1.3
Massachusetts, University of *Computer & Information Sciences*	1.3
Texas, University of (Austin) *Computer Sciences*	1.3
Virginia, University of *Applied Mathematics & Computer Science*	1.3
Connecticut, University of *Electrical Engineering & Computer Science*	1.2
Maryland, University of (College Park) *Computer Science*	1.2
Minnesota, University of *Computer Science*	1.2
SUNY at Stony Brook *Computer Science*	1.2
Washington State University *Computer Science*	1.2
Iowa State University *Computer Science*	1.2
California, University of (Santa Barbara) *Electrical & Computer Engineering*	1.1
Carnegie-Mellon University *Computer Science*	1.1
Massachusetts Institute of Technology *Electrical Engineering & Computer Science*	1.1
Missouri, University of (Rolla) *Computer Science*	1.1
Northwestern University *Electrical Engineering & Computer Sciences*	1.1
Rice University, *Mathematical Sciences*	1.1
Syracuse University, *Computer Sciences*	1.1
California, University of (San Diego) *Electrical Engineering & Computer Science*	1.1
Cornell University, *Computer Science*	1.1
North Carolina, University of *Computer Science*	1.1
Ohio State University *Computer & Information Science*	1.1
Pennsylvania, University of *Computer & Information Science*	1.1
Yale University, *Computer Science*	1.1
Stanford University, *Computer Science*	1.1
Illinois, University of (Urbana) *Computer Science*	1.0
New York University, *Computer Science*	1.0
Stevens Institute of Technology *Electrical Engineering & Computer Science*	1.0
Utah, University of, *Computer Science*	1.0
Washington University *Computer Science*	1.0
Iowa, University of, *Computer Science*	1.0
Texas A&M University *Industrial Engineering*	1.0
SUNY at Buffalo, *Computer Science*	0.9
California, University of (Irvine) *Information & Computer Science*	0.9
Michigan State University *Computer Science*	0.9
Kansas State University *Computer Science*	0.9
Pittsburgh, University of *Computer Science*	0.9
California Institute of Technology *Computer Science*	0.8
Kansas, University of *Computer Science*	0.8
Southern Methodist University *Computer Science & Engineering*	0.8
Polytechnic Institute of New York *Electrical Engineering & Computer Science*	0.7
Princeton University *Electrical Engineering & Computer Science*	0.7
Case Western Reserve University *Computer Engineering, Computing & Information Science*	0.4
Pennsylvania State University *Computer Sciences*	0.4
Michigan, University of *Computer & Communication Sciences*	NA
Oklahoma, University of *Electrical Engineering & Computer Science*	NA

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Research-Doctorate Programs in the United States

Continuity and Change

MARVIN L. GOLDBERGER, BRENDAN A. MAHER, AND PAMELA EBERT FLATTAU, *Editors*

Committee for the Study of Research-Doctorate
Programs in the United States

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EXECUTIVE SUMMARY

Many changes have taken place in size and structure of the research-doctorate enterprise in this country since 1982, when the National Research Council (NRC) issued its first report on the status of research-doctorate programs in the Sciences (including the broad fields of Biological Sciences, Physical Sciences and Mathematics, and Social and Behavioral Sciences), Engineering, and Arts and Humanities in the United States (Jones, Lindzey, and Coggeshall, 1982). From 1980 to 1992, for example, the number of institutions awarding a Ph.D. grew from 325 to 364, an increase of more than ten percent. In 1993, the number of doctoral degree recipients in all fields in the United States reached an all-time high of 39,754. Aware of these changes and of the academic community s interest in the earlier assessment of research-doctorate programs, the Conference Board of Associated Research Councils in 1990 asked the NRC, as a member of the board, to update the 1982 study.

After a planning phase in 1991, the NRC appointed the Committee for the Study of Research-Doctorate Programs in the United States and asked that they undertake a four-year study, taking the 1982 assessment as their starting point. This report represents an effort to build upon and update the information collected for the 1982 study, to collect new information, to analyze key components of the new data base, and to make that data base available to interested researchers and scholars for further analysis. It focuses on "research training programs" although we recognized that doctoral education has a range of purposes, and graduates follow a variety of career paths in academia, industry, and government. The study examines programs in the following 41 fields:

Arts and Humanities: Art History, Classics, Comparative Literature, English Language and Literature, French Language and Literature, German Language and Literature Linguistics Music, Philosophy, Religion, Spanish and Portuguese Language and Literature.

Biological Sciences: Biochemistry and Molecular Biology; Cell and Developmental Biology; Ecology, Evolution, and Behavior; Molecular and General Genetics; Neurosciences; Pharmacology; Physiology.

Engineering: Aerospace Engineering, Biomedical Engineering, Chemical Engineering, Civil Engineering, Electrical Engineering, Industrial Engineering, Materials Science, Mechanical Engineering.

Physical Sciences and Mathematics: Astrophysics and Astronomy, Chemistry, Computer Sciences, Geosciences, Mathematics Oceanography, Physics, Statistics and Biostatistics.

Social and Behavioral Sciences: Anthropology, Economics, Geography, History, Political Science, Psychology, Sociology

STUDY DESIGN

A critical step in designing a study of research-doctorate programs in the U.S. is to define the target population both to establish the boundaries of the analysis and to assure that a cost-effective procedure can be developed for collecting information about the programs included in the study. The concentration of available resources on a limited num-

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ber of disciplines seemed to the committee both practical and necessary, although inevitably resulting in the exclusion of some important areas of graduate study.

Field Coverage

The committee selected fields to include in the 1993 study based on a combination of three factors:

- The number of Ph.D.s produced nationally;
- The number of programs training Ph.D.s within a particular field; and
- The average number of Ph.D.s produced per program.

Fields included in the study also have met a criterion of "robustness," that is, they have awarded a minimum of about 500 degrees in about 50 programs for the years 1986 to 1990.

The 41 fields covered in this report consist of:

- All fields in the 1982 report, although the Biological Sciences are represented differently;
- Eight new fields: Comparative Literature, Religion, Aerospace Engineering, Biomedical Engineering, Industrial Engineering, Materials Sciences Astronomy and Astrophysics, and Oceanography; and
- Some new fields in the broad area of Biological Sciences.

Eligibility Criteria

Based on the analysis of degree production patterns and on reports from "Institutional Coordinators" (ICs) who compiled and submitted information about programs at their institutions, the committee identified 3,634 research-doctorate programs at 274 U.S. universities—105 private and 169 public institutions—which met the criteria and are included in the study. This sample represents about 35 percent more programs than the number included in the 1982 study. Taken together, these programs involved about 78,000 faculty members and trained about 90 percent of the total number of Ph.D.s produced in these fields between 1986 and 1992. Of the 228 institutions in the 1982 study, 214 participated in this one and many added more programs for review.

Data Collection Strategies

The committee used diverse strategies for collecting the two primary types of data contained in this report.

To generate reputational measures—faculty opinion of program quality—the committee conducted the National Survey of Graduate Faculty in Spring 1993. The survey instrument was a questionnaire designed to elicit ratings on the scholarly quality of the program faculty, the effectiveness of each program in educating research scholars and scientists, and the relative change in program quality over the years. The questionnaire replicated key questions appearing on the 1982 survey form thus permitting the calculation of "change" measures for the 1,916 programs appearing in both studies.

To collect data on the characteristics of the 3,634 programs included in this study the committee decided to update some statistics from the 1982 study (such as number of faculty and number of graduates) and include, exclude or improve upon other 1982 data depending on whether the data sets were still available and/or relevant. In many cases, a careful matching of faculty lists with various sources of information occurred. In other cases data were drawn from the Doctorate Records File (DRF) on a program by program basis. Among the new data included in this report are statistics related to the participation of women in research-doctorate education. Appendix G describes the chief data sets used in generating the descriptive statistics found in this report.

SELECTED FINDINGS

Educators and policymakers agree that certain distinctive features of the doctoral training environment facilitate the preparation of research scholars and scientists. These include a blend of well-prepared graduate students, talented faculty, and sufficient institutional resources to permit the independent exploration of promising new research directions.

The National Survey of Graduate Faculty

Survey forms were sent to a sample of faculty raters chosen from lists provided by ICs in all 41 fields included in the study. Each rater received a questionnaire with approximately 50 programs in their field selected at random from the roster of participating programs. For each institution they were asked to rate, raters were given a faculty roster provided by the ICs. The committee set as its goal a total of at least 100 ratings per program. Raters were asked to comment on two dimensions of program quality: (1) "scholarly quality of program faculty," and (2) "effectiveness in educating research scholars/scientists." Ratings for "scholarly quality of program faculty" were pooled and an average rating calculated using a five-point scale ranging from 0 to 5, with 0 signifying "not sufficient for doctoral education" and 5 signifying "distinguished." Of the 3,634 program included in the study, about 62 percent were rated as "distinguished," "strong," or "good," although this varied by field:

APPENDIX L

Selected Characteristics of Research-Doctorate Programs in the Physical Sciences and Mathematics

In the tables that follow, information from the National Survey of Graduate Faculty is linked to a variety of statistics depicting participating doctoral programs. The tables have been designed to present information about each program in a field in rank order by the average rating of the scholarly quality of program faculty (93Q), with the top-rated institutions appearing at the beginning of the list. A key to the variables in the table is presented below.

Institution

Institution: U.S. universities participating in the 1993 NRC Study, ranked in descending order based on the scholarly rating of the program faculty (93Q).

1993 Ratings

93Q: 1993 trimmed mean for scholarly quality of program faculty. The trimmed mean is obtained by dropping the two highest and two lowest scores on the survey before computing the average. For purposes of analysis, scores were converted to a scale of 0 to 5, with 0 denoting "Not sufficient for doctoral education" and 5 denoting "Distinguished." Source: NRC National Survey of Graduate Faculty.

93E: 1993 trimmed mean for program effectiveness in educating research scholars and scientists. The trimmed mean is obtained by dropping the two highest and two lowest scores on the survey before computing the average. For purposes of analysis, scores were converted to a scale of 0 to 5 with 0 denoting "Not Effective" and 5 denoting "Extremely Effective." Source: NRC National Survey of Graduate Faculty.

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93C: 1993 trimmed mean for change in program quality in the last five years. The trimmed mean is obtained by dropping the two highest and two lowest scores on the survey before computing the average. For purposes of analysis, scores were converted to a scale of –1 to 1 with –1 denoting "Poorer than 5 years ago" and 1 denoting "Better than 5 years ago.". Source: NRC National Survey of Graduate Faculty.

Faculty

Tot Fac: Total number of faculty participating in the program. Source: Institutional Coordinators.

%Full: Percentage of full professors participating in the program. Source: Institutional Coordinators.

%Supp Percentage of program faculty (Tot Fac) with research support (1986-1992). Source: Federal Agencies.

%Pub: Percentage of program faculty (Tot Fac) publishing in the period 1988 to 1992. Source: Institute of Scientific Information.

Pub/Fac: The ratio of the total number of program publications in the period 1988-1992 to the number of program faculty (Tot Fac). Source: Institute of Scientific Information.

Gini Pub: Gini coefficient for program publications, 1988-1992. The Gini coefficient is an indicator of the concentration of publications on a small number of the program faculty during the period 1988-1992. The largest possible value, or maximum concentration, is 100 (only one individual in the program registered a positive count); the smallest value, or minimum concentration, is 100/Fac (All the faculty (Tot Fac) in the program contribute equally). Source: Institute of Scientific Information.

Cite/Fac: The ratio of the total number of program citations in the period 1988-1992 to the number of program faculty (Tot Fac) Source: Institute of Scientific Information.

Gini Cite: Gini coefficient for program citations, 1988-1992. The Gini coefficient is an indicator of the concentration of citations on a small number of the program faculty during the period 1988-1992. The largest possible value, or maximum concentration, is 100 (only one individual in the program registered a positive count); the smallest value, or minimum concentration, is 100/Fac (All the faculty (Tot Fac) in the program contribute equally). Source: Institute of Scientific Information.

Students

Tot Stu: The number of full and part time graduate students enrolled in the Fall of 1992. Source: Institutional Coordinators.

%Fem: The percentage of full and part time female graduate students enrolled in the Fall of 1992. Source: Institutional Coordinators.

Rpt PhDs: The number of Ph.D.s produced by that program for the period academic year 1987-1988 to 1991-1992. Source: Institutional Coordinators.

Doctoral Recipients

%Fem: The percentage of Ph.D.s awarded to women during the period July 1986-June 1992. Source: Doctorate Records File.

%Min: The percentage of Ph.D.s known to be awarded to underrepresented minorities (only U.S. Citizens or Permanent Residents) during the period July 1986-June 1992. Source: Doctorate Records File.

%US: The percentage of Ph.D.s known to be awarded to U.S. Citizens and Permanent Residents during the period July 1986-June 1992. Source: Doctorate Records File.

%RA: The percentage of Ph.D.s having research assistantships who reported their primary form of support. Source: Doctorate Records File.

%TA: The percentage of Ph.D.s having teaching assistantships who reported their primary form of support. Source: Doctorate Records File.

MYD: Median time lapse from entering graduate school to receipt of Ph.D. in years. This is a distributed median with multiple degrees awarded in the median year proportioned over the year. Source: Doctorate Records File.

NOTICE: **n/a** denotes a case where information was not provided by the Institutional Coordinators or was not available from the Doctorate Records File.

Appendix Table L - 5 Selected Characteristics of Research-Doctorate Programs in Mathematics

Institution	1993 Ratings[1]			Faculty								Students[4]			Doctorate Recipients[5]					
	93Q	93R	93C	Tot Fac[6]	% Full[6]	% Supp[3]	% Pub[3]	Pub/ Fac[3]	Gini Pub[3]	Cite/ Fac[3]	Gini Cite[3]	Tot Stu	% Fem	Rpt PhDs	% Fem	% Min	% US	% RA	% TA	MYD
University of California-Berkeley	4.94	4.37	0.19	58	91	74	78	4.2	2.9	10.5	4.9	241	15	159	11	6	57	8	58	7.1
Princeton University	4.94	4.69	0.06	37	65	57	81	4.4	6.3	24.5	19.3	67	15	54	10	0	57	27	25	5.2
Massachusetts Inst of Technology	4.92	4.57	0.26	46	76	76	87	5.0	3.7	15.0	8.4	117	15	126	13	6	52	17	52	6.3
Harvard University	4.90	4.58	0.11	27	56	70	78	4.6	7.8	21.3	16.4	54	17	45	4	2	64	45	11	6.4
University of Chicago	4.69	4.64	-0.02	58	57	47	55	2.9	5.9	10.7	22.5	96	16	52	13	3	66	8	52	6.9
Stanford University	[illegible]																			
Yale University	[illegible]																			
New York University	[illegible]																			
University of Michigan	[illegible]																			
Columbia University	[illegible]																			
California Institute Technology	4.19	3.90	0.07	13	92	77	54	5.8	24.6	11.8	37.4	30	17	23	14	0	53	9	64	6.2
Univ of California-Los Angeles	4.14	3.91	0.33	84	75	61	86	5.5	2.3	16.0	4.2	203	28	76	11	7	51	21	54	7.0
University of Wisconsin-Madison	4.10	3.82	-0.04	70	84	56	71	4.3	3.0	8.5	4.6	199	22	92	9	2	61	3	83	7.8
University of Minnesota	4.08	3.65	0.21	52	88	56	81	5.2	6.0	9.8	16.9	84	15	82	14	4	32	2	88	7.3
Cornell University	4.05	3.96	0.14	44	84	77	89	5.9	4.8	25.2	8.4	62	16	46	21	0	60	23	56	7.0
Brown University	[illegible]																			
Univ of California-San Diego	[illegible]																			
University of Maryland-College Park	[illegible]																			
Rutgers State Univ-New Brunswick	[illegible]																			
State U of New York-Stony Brook	[illegible]																			
U of Illinois at Urbana-Champaign	3.93	3.63	-0.07	94	81	49	66	2.6	2.9	2.9	9.7	195	24	59	12	0	55	7	77	8.1
University of Pennsylvania	3.87	3.52	0.16	29	79	69	83	3.3	6.2	7.7	26.9	40	28	24	15	0	50	3	72	6.4
University of Texas at Austin	3.85	3.46	0.65	72	71	47	68	3.9	3.9	18.0	16.3	87	15	58	22	3	64	4	80	7.9
Purdue University	3.82	3.54	0.22	54	85	81	91	5.6	3.2	10.4	6.1	87	20	59	11	0	32	4	84	8.3
Rice University[2]	3.82	3.84	0.20	12	93	83	100	5.3	14.1	7.1	23.2	47	49	17	23*	8*	60*	45*	15*	7.5*
University of Washington	[illegible]																			
Brown University	[illegible]																			
Northwestern University	[illegible]																			
Ohio State University	[illegible]																			
Johns Hopkins University	[illegible]																			

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Institution	1993 Ratings[1]			Faculty								Students[6]			Doctorate Recipients[7]					
	93Q	93E	93C	Tot Fac[2]	% Full[4]	% Supp[4]	% Pub[3]	Pub/ Fac[2]	Gini Pub[3]	Cite/ Fac[2]	Gini Cite[5]	Tot Stu	% Fem	Rpt PhDs	% Fem	% Min	% US	% RA	% TA	MYD
CUNY - Grad Sch & Univ Center	3.65	3.08	-0.03	20	95	60	60	2.1	11.4	1.0	24.5	90	23	23	18	7	58	13	33	8.5
Brandeis University	3.64	3.50	-0.12	19	84	58	84	3.3	9.2	4.4	9.7	52	15	24	14	0	34	6	42	7.9
University of Illinois at Chicago	3.58	3.29	0.39	52	77	77	87	4.6	3.2	6.4	5.3	70	30	48	16	7	44	8	71	9.7
Mean Values for the Top Quarter	**4.11**	**3.81**	**0.13**	**45.88**	**76.21**	**63.42**	**76.97**	**4.51**	**6.92**	**11.90**	**15.59**	**92.73**	**21.39**	**53.09**	**14.82**	**3.88**	**53.09**	**14.42**	**56.85**	**7.20**
[illegible]															23*	8*	60*	45*	15*	7.5*
Washington University	3.42	3.49	0.04	26	62	54	81	3.9	9.1	12.3	28.3	49	29	28	13	8	30	7	69	6.9
Carnegie Mellon University	3.41	3.48	0.39	26	73	77	96	6.1	6.5	9.9	10.1	42	17	34	29	10	53	25	75	6.5
University of Washington	3.39	3.24	0.31	10	70	60	80	6.7	28.7	32.9	45.9	44	36	17	11*	2*	66*	24*	57*	7.5*
U of North Carolina-Chapel Hill	3.24	3.01	0.10	34	79	50	71	3.1	5.7	5.4	11.8	51	37	14	17	16	67	19	46	7.4
University of Southern California	3.23	3.07	0.24	42	64	62	71	4.7	4.9	11.3	10.2	38	24	19	20	0	46	0	92	6.4
[illegible]																				
Univ of California-Santa Barbara	3.04	2.85	0.40	35	83	49	77	3.7	5.9	3.8	9.5	11	36	25	14	8	46	16	60	6.9
Johns Hopkins University	3.04	2.98	-0.25	9	67	56	78	4.2	22.5	8.0	40.9	26	35	16	18*	0*	49*	7*	70*	6.8*
Boston University	3.03	2.93	0.54	27	44	52	70	4.0	16.4	15.2	45.3	34	71	27	21	0	74	6	47	9.3
Rensselaer Polytechnic Inst	3.02	3.07	-0.20	26	58	73	73	4.3	7.7	7.3	13.1	88	22	24	15	3	67	27	27	7.6
Dartmouth College	2.97	3.09	0.03	22	73	23	45	1.5	14.7	1.4	22.6	24	33	11	38	0	77	0	33	5.8
[illegible]																				

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Appendix Table L - 5 Mathematics (Continued)

Institution	1993 Ratings[1]			Faculty								Students[4]			Doctorate Recipients[5]					
	93Q	93E	93C	Tot Fac[2]	% Full[2]	% Supp[2]	% Pub[2]	Pub/ Fac[2]	Gini Pub[2]	Cite/ Fac[3]	Gini Cite[3]	Tot Stu	% Fem	Rpt PhDs	% Fem	% Min	% US	% RA	% TA	MYD
North Carolina State University	2.90	2.78	0.14	59	71	47	57	2.7	6.7	4.0	13.6	60	31	9	18	0	89	0	100	9.2
University of Georgia	2.90	2.38	0.54	35	49	66	69	2.1	6.7	1.7	12.0	47	36	7	18	0	45	0	100	10.1
University of Rochester	2.90	2.76	0.28	25	64	60	80	2.2	8.3	5.9	27.6	40	28	23	18	0	43	0	27	7.7
University of Pittsburgh	2.88	2.58	0.17	36	44	31	72	3.8	5.9	10.9	29.5	40	20	17	25	0	35	13	75	9.9
University of Iowa	2.85	2.71	0.13	48	65	48	81	4.9	4.4	6.8	7.1	71	25	40	24	4	44	2	81	9.3
University of California-Irvine	2.84	2.78	0.56	25	64	40	68	3.4	8.1	6.8	13.8	55	31	16	7	7	93	0	80	7.5
Texas A&M University	2.81	2.59	0.30	64	55	30	91	4.1	5.0	6.5	9.1	88	30	15	15	0	75	11	75	9.1
University of Utah	2.81	2.80	0.10	27	70	56	85	3.4	6.7	9.4	12.4	55	33	11	33	0	67	0	67	7.1
State Univ of New York-Buffalo	2.79	2.35	0.43	40	60	30	65	2.4	6.1	4.0	11.1	55	20	10	14	0	100	0	86	7.4
Virginia Polytechnic Inst & State U	2.79	2.80	0.27	51	69	45	80	3.0	6.7	4.3	8.3	88	27	23	17	0	78	0	83	8.3
University of Houston	2.78	2.61	0.17	41	63	15	61	2.1	6.1	2.9	20.2	44	30	9	22	0	89	0	78	8.1
Mean Values for the 2nd Quarter	**3.09**	**2.96**	**0.24**	**33.74**	**64.97**	**53.69**	**74.71**	**3.66**	**8.67**	**7.07**	**17.65**	**51.40**	**28.30**	**23.14**	**18.91**	**3.97**	**53.66**	**10.11**	**66.80**	**7.82**
State Univ of New York-Binghamton	2.74	2.56	0.17	23	52	35	57	2.1	9.7	1.1	14.8	48	10	12	20	0	100	0	100	7.4
Louisiana State U & A&M College	2.74	2.69	0.22	48	46	35	71	2.4	5.3	1.7	9.8	61	21	23	42	19	67	5	65	8.8
University of Kentucky	2.72	2.47	0.09	43	63	53	63	2.8	5.5	4.4	11.2	47	26	20	24	0	70	25	67	8.9
Temple University	2.67	2.58	0.18	44	56	26	56	1.3	7.8	1.0	23.5	44	20	15	29	0	55	0	50	6.3
Syracuse University	2.62	2.76	0.12	34	59	32	74	2.6	5.5	1.6	12.9	42	31	18	17	8	59	10	86	9.0
Clarkson University	2.61	2.64	0.03	5	60	20	40	1.0	12.0	0.2	0.0	18	50	2	22	0	50	0	50	6.6
University of South Carolina	2.60	2.60	0.00	50	54	47	87	3.9	6.2	4.2	7.8	58	29	15	27	0	73	0	91	8.3
Tulane University	2.59	2.09	0.50	22	100	55	50	1.4	7.0	3.4	9.3	46	0	11	44	0	100	0	100	7.4
University of Tennessee-Knoxville	2.59	2.59	0.00	46	85	41	100	4.0	5.0	4.0	5.8	48	19	11	10	0	90	0	60	7.2
Iowa State University	2.59	2.82	0.23	54	63	41	91	3.2	5.6	11.5	18.6	41	29	17	0	0	100	0	71	8.1
Univ of California-Riverside	2.55	2.50	0.40	28	64	46	79	3.8	8.0	4.0	15.5	43	42	8	17	0	75	0	45	6.8
University of Delaware	2.54	2.29	0.19	28	61	57	86	5.6	6.7	10.9	12.8	38	29	21	21	0	50	0	88	7.9
Northeastern University	2.52	2.80	0.23	17	47	41	88	4.2	10.0	12.9	51.6	33	6	17	39	0	39	0	65	8.9
Florida State University	2.49	2.41	0.24	35	49	34	74	4.1	6.3	5.5	11.8	51	25	11	14	33	43	11	56	8.6
University of California-Davis	2.48	2.17	0.33	22	64	45	77	3.8	8.0	4.8	14.0	21	14	16	21	5	65	5	73	7.6
State Univ of New York-Albany	2.47	2.47	0.00	30	70	33	83	2.3	6.3	3.1	9.1	46	26	13	29	0	71	0	71	6.8

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Institution	1993 Ratings[1]			Faculty								Students[4]			Doctorate Recipients[5]					
	93Q	93S	93C	Tot Fac[2]	% Full[2]	% Supp[2]	% Pub[3]	Pub/ Fac[3]	Cites/ Pub[3]	Cite/ Fac[3]	Cites/ Cite[3]	Tot Stu	% Fem	Rat PhDs	% Fem	% Min	% US	% RA	% TA	MYD
Utah State University	2.41	2.46	0.06	31	58	81	90	3.2	10.1	3.2	10.1	18	11	11	17	0	94	6	11	8.5
Colorado State University	2.41	2.40	-0.01	75	92	29	90	3.3	10.0	3.3	10.0	40	18	11	40	0	100	15	42	9.7
University of Nebraska-Lincoln	2.40	2.42	0.01	54	89	44	87	3.2	10.1	3.2	10.1	18	11	11	17	0	94	6	11	8.5
Vanderbilt University	2.40	2.46	0.06	32	94	59	74	3.2	10.1	3.2	10.1	18	11	11	17	0	94	6	11	8.5
Case Western Reserve Univ	2.38	1.95	-0.19	18	50	56	83	3.4	13.0	3.5	11.4	2	100	0	0	0	33	23	8	8.5
Oregon State University	2.37	2.26	-0.06	16	44	63	75	3.3	11.5	3.1	18.4	24	25	11	35	0	71	15	46	9.7
Kansas State University	2.35	2.29	0.19	30	37	33	50	2.3	32.8	7.1	72.8	36	11	14	14	0	38	11	67	9.8
Clemson University	2.34	2.59	0.24	40	63	25	68	1.8	5.4	0.7	13.2	54	35	20	25	0	96	10	71	6.4
Auburn University	2.31	2.25	0.32	55	49	18	85	4.4	3.1	3.1	5.0	41	29	19	13	0	83	0	88	7.6
Wayne State University	2.30	2.07	-0.14	30	60	20	50	1.3	19.1	4.2	59.2	29	14	16	6	27	83	0	20	13.0
University of Missouri-Columbia	2.30	2.44	0.18	10	90	10	90	4.4	6.5	4.4	9.9	53	34	23	24	0	24	0	89	8.6
Colorado State University	2.27	2.46	0.06	75	92	29	90	3.3	10.0	3.3	10.0	40	18	11	40	0	100	15	42	9.7
Lehigh University	2.24	1.90	-0.15	21	90	10	90	4.4	6.5	4.4	9.9	53	34	23	24	0	24	0	89	8.6
University of Maryland-College Park	2.23	2.43	0.01	54	89	44	87	3.2	10.1	3.2	10.1	18	11	11	17	0	94	6	11	8.5
Polytechnic University	2.18	2.50	0.18	14	64	36	50	1.3	19.1	4.2	59.2	29	14	16	6	27	83	0	20	13.0
University of Oklahoma	2.18	2.12	0.19	31	39	55	74	3.1	6.8	4.0	15.6	54	31	10	22	0	44	14	71	11.5
University of Connecticut	2.16	2.19	0.00	28	71	43	86	4.4	6.5	4.4	9.9	53	34	23	24	0	24	0	89	8.6
University of Miami	2.12	2.39	0.27	24	50	38	67	2.9	10.3	3.0	20.1	16	31	4	13	0	13	0	29	9.1
Wesleyan University	2.12	2.67	0.08	17	53	29	53	1.8	19.2	0.9	27.3	24	38	12	25	13	67	0	90	6.7
Washington State University	2.11	2.46	0.07	54	70	44	87	3.2	10.1	3.2	10.1	18	11	11	17	0	94	6	11	8.5
Mean Values for the 3rd Quarter	**2.42**	**2.44**	**0.17**	**28.89**	**56.75**	**39.06**	**70.97**	**3.09**	**10.12**	**4.21**	**21.79**	**37.17**	**27.53**	**14.78**	**19.33**	**3.31**	**54.33**	**4.56**	**67.64**	**8.27**
University of North Texas	2.06	1.99	0.32	28	39	14	54	1.8	11.5	0.9	34.0	33	27	19	32	0	73	0	75	7.8
University of Cincinnati	2.06	1.96	0.15	30	83	33	73	2.9	6.7	7.4	44.9	31	35	12	29	50	17	0	60	9.4
Texas Tech University	2.03	2.26	0.15	41	46	24	68	3.4	7.3	6.5	60.9	47	29	17	23	0	15	9	82	7.2
University of Texas at Arlington	2.02	1.97	0.21	22	45	14	68	3.5	13.2	1.3	29.8	38	26	32	21	0	42	0	74	9.2
Southern Illinois University	1.98	1.58	0.25	33	64	27	76	2.8	6.7	2.0	12.0	8	38	18	14	0	14	0	95	8.9

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Appendix Table L - 5 Mathematics (Continued)

Institution	1993 Ratings[1]			Faculty								Students[2]		Doctorate Recipients[3]						
	93O	93E	93C	Tot Fac[4]	% Full[4]	% Supp[4]	% Pub[5]	Pub/ Fac[5]	Gini Pub[5]	Cite/ Fac[6]	Gini Cite[6]	Tot Stu	% Fem	Rpt PhDs	% Fem	% Min	% US	% RA	% TA	MYD
[illegible]																				
University of Wisconsin-Milwaukee	1.84	1.54	0.00	32	22	6	78	3.0	6.9	2.2	10.4	45	20	12	17	0	61	0	88	8.3
Southern Methodist University	1.83	2.11	0.25	7	71	43	100	5.4	25.4	8.1	24.2	13	46	9	22	20	56	14	57	5.8
Howard University	1.82	1.25	0.10	16	69	50	69	2.5	20.3	2.1	32.0	33	36	5	17	100	100	0	50	11.0
Northern Illinois University	1.72	1.31	0.29	49	35	16	76	3.2	4.4	2.8	9.7	39	28	8	20	0	80	0	100	7.7
U of Maryland Baltimore County	1.69	1.92	0.50	17	76	35	88	4.2	10.3	5.1	19.9	44	20	9	0	0	0	12	63	8.6
[illegible]																				
Clarkson University	1.64	1.58	0.50	11	82	27	91	3.1	8.9	3.0	18.5	1	1							
[illegible]																				
New Mexico State University	1.61	1.58	0.00	61	77	7	84	1.6	16.8	1.0	24.4	17	24	7	14	0	57	0	71	7.8
University of Rhode Island	1.57	1.25	0.17	12	92	17	92	1.9	24.2	1.9	31.1	7	29	3	33	0	67	0	67	7.7
[illegible]																				
University of Wyoming	1.53	1.59	-0.50	13	46	8	54	2.9	19.6	5.9	25.4	13	31	14	8	0	58	20	80	8.4
University of Alabama	1.47	1.28	0.09	32	41	16	84	2.8	5.7	2.3	17.5	24	17	7	27	0	18	0	60	11.7
Illinois Institute of Technology	1.45	1.67	0.00	13	31	0	54	1.4	17.9	1.6	32.4	7	29	7	27	10	91	22	56	10.7
Old Dominion University	1.39	1.54	0.25	24	33	17	67	4.4	7.7	4.6	14.9	28	32	19	19	14	88	33	33	7.8
University of Missouri-Rolla	1.33	0.94	-0.11	20	40	0	60	1.2	11.1	0.6	23.6	15	53	6	33	0	83	0	100	7.7
[illegible]																				
George Washington University	1.13	0.72	0.00	20	70	40	100	1.3	11.9	0.3	29.3	1	0							
Colorado School of Mines	1.12	0.94	0.00	11	91	18	100	1.3	11.9	0.3	29.3	1	0							
[illegible]																				
Florida Institute of Technology	1.09	0.72	0.25	9	44	11	78	2.8	25.7	0.2	50.0	14	43	3	50	0	25	0	33	7.6
University of Mississippi	0.97	0.56	0.13	14	57	21	29	1.1	31.5	0.5	55.1	7	29	3	17	33	50	0	40	8.5
University of Texas at Dallas	0.76	0.48	0.00	6	67	33	100	2.5	24.4	0.8	36.0	20	5	10	27	22	82	0	75	9.7

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Institution	1993 Ratings[1]			Faculty								Students[4]			Doctorate Recipients[2]					
	93Q	93E	93C	Tot Fac[1]	% Full[1]	% Supp[4]	% Pub[5]	Pub/ Fac[5]	Gini Pub[5]	Cite/ Fac[5]	Gini Cite[5]	Tot Stu	% Fem	Rpt PhDs	% Fem	% Min	% US	% RA	% TA	MYD
Idaho State University	0.69	0.42	0.00	15	13	20	53	1.8	19.3	2.7	35.3	14	14	4	33	14	88	0	20	11.0
Illinois State University	0.40	0.40	0.00	5	80	100	20	0.4	100.0	0.6	100.0	10	80	0	60	0	80	0	56	17.0
Mean Values for the 4th Quarter	**1.54**	**1.42**	**0.08**	**20.03**	**50.37**	**25.00**	**65.14**	**2.73**	**17.90**	**3.89**	**33.91**	**22.03**	**32.63**	**10.40**	**26.03**	**9.34**	**58.97**	**5.51**	**58.80**	**9.24**
Mean Values for All Programs	**2.77**	**2.64**	**0.16**	**31.91**	**61.83**	**44.99**	**71.87**	**3.48**	**10.95**	**6.67**	**22.32**	**50.13**	**27.55**	**24.68**	**19.84**	**5.17**	**55.04**	**8.54**	**62.64**	**8.14**

Sources: 1. National Survey of Graduate Faculty
2. Institutional Coordinator Response Data
3. Doctorate Records File
4. Federal Agencies
5. Institute for Scientific Information

Notes: a. Program in Applied Mathematics
b. Program in Computational and Applied Mathematics
c. Program in Mathematical Sciences

* The Doctorate Recipient information cannot be separated for two programs at the same institution in the same field and therefore the total for the combined programs is given.

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2004 Women, Minorities, and Persons with Disabilities in Science and Engineering

National Science Foundation

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National Science Foundation
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May 2004

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About This Report

Women, Minorities, and Persons with Disabilities in Science and Engineering is moving toward a new concept to provide the most current information available. Rather than being a static report, the new format is a dynamic Web-based information source with data updated as they become available. This site is a starting point for finding information about the participation of women, minorities, and persons with disabilities in science and engineering education and employment. Its primary purpose is to serve as an information source; it offers no endorsement of or recommendations about policies or programs. National Science Foundation reporting on this topic is mandated by the Science and Engineering Equal Opportunities Act (Public Law 96-516).

This site contains data tables organized by topic (e.g., undergraduate enrollment, graduate degrees, employment) and also by group (e.g., Hispanics, minority women, persons with disabilities). Presentation slides, which are charts in PowerPoint, graphic, and spreadsheet formats, are provided for easy downloading. Furthermore, links to additional data sources (e.g., National Center for Education Statistics, American Council on Education) and reports on these topics are provided. Data on this website are updated as they become available. A complete update of the report is issued every 2 years.

Racial/ethnic information

In October 1997, the U.S. Office of Management and Budget announced new government-wide standards for the collection of data on race and ethnicity (published as U.S. OMB 1999) effective January 1, 2003. Previously, racial/ethnic groups were identified as white, non-Hispanic; black, non-Hispanic; Hispanic; Asian or Pacific Islander; and American Indian or Alaskan Native. Because the old standards were in effect when the data for this report were collected, the racial/ethnic groups described here are designated by the old standards. Where data collection permits, subgroups of the Hispanic population are identified (e.g., Mexican, Puerto Rican).

Many of the groups of particular interest are quite small, so that it is difficult to measure them accurately without surveys of the entire population. In some instances, sample surveys may not have been of sufficient scope to permit calculation of reliable racial/ethnic population estimates; consequently, results are not shown for all groups. The Bureau of the Census's Current Population Survey, for example, cannot provide data on American Indians. Data on this population are available only from the decennial census. Another issue related to race/ethnicity is that it is easy to overlook or minimize heterogeneity within subgroups when only a single statistic is reported for an entire racial/ethnic group.

Data on race/ethnicity are often based on self-identification. These data are less reliable for certain racial/ethnic groups than for others. For example, data collected at two points in time indicate that self-identification of American Indians is much less reliable than self-identification of other racial/ethnic groups.[1]

Information about people with disabilities

Data on people in science and engineering who have disabilities are seriously limited for several reasons. First, the operational definitions of *disability* vary, include a wide range of physical and mental conditions, and thus are not totally comparable. The Americans With Disabilities Act of 1990 (ADA) encouraged progress toward standard definitions. Under ADA, an individual is considered to have a disability if he or she has a physical or mental impairment that substantially limits one or more of his or her major life activities, has a record of such impairment, or is regarded as having such an impairment. ADA also contains definitions of specific disabilities. See http://www.usdoj.gov/crt/ada/pubs/ada.txt.

Second, data on disabilities frequently are not included in comprehensive institutional records (e.g., in registrars' records in institutions of higher education). If included at all, such information is likely to be kept only in confidential files at an office responsible for providing special services to students. Institutions of higher education are unlikely to have information regarding any students with disabilities who have not requested special services. In elementary and secondary school programs receiving funds to provide special education, however, statistics on all students identified as having special needs are centrally available.

[1] U.S. Bureau of Labor Statistics, *A Test of Methods for Collecting Racial and Ethnic Information* (Washington, DC: U.S. Department of Labor, 1995).

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Third, information about people with disabilities that is gathered from surveys is often obtained from self-reported responses. Typically, respondents are asked whether they have a disability and to specify what kind of disability it is. Resulting data therefore reflect individual perceptions rather than objective measures.

The attempt to provide estimates of the proportion of the undergraduate student population with disabilities is an example of how these factors coalesce. Self-reported data on the undergraduate student population, collected through a survey to ascertain patterns of student financial aid, suggest that about 10 percent of this population have a disability. Estimates from population surveys of higher education institutions, in contrast, place the estimate much lower, between 1 and 5 percent. Whether this discrepancy is the result of self-perception, incomplete reporting, nonevident disabilities, or differing definitions is difficult to ascertain.

In the final analysis, although considerable information is available about the number of individuals with disabilities in the education system and in the science and engineering workforce, it is often impossible to compare statistics from different sources.

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TABLE H-8. Employed S&E doctorate holders, by occupation, race/ethnicity and sex: 2001

Occupation	All races/ethnicities			White			Asian/Pacific Islander			Black			Hispanic			American Indian/ Alaskan Native		
	Total	Female	Male	Total	Female	Male	Total	Female	Male	Total	Female	Male	Total	Female	Male	Total	Female	Male
	Number of doctorate holders																	
All occupations	574,890	147,110	427,770	454,940	117,240	337,710	87,770	18,600	69,170	15,050	5,730	9,320	15,020	4,940	10,080	1,940	500	1,330
S&E occupations	427,740	105,400	322,330	334,210	83,060	251,160	70,010	14,730	55,280	9,980	3,420	6,560	11,920	3,790	8,130	1,390	340	1,040
Scientists	352,320	99,320	252,990	283,850	79,110	204,760	48,130	12,990	35,140	8,780	3,280	5,490	10,140	3,560	6,580	1,220	S	900
Computer and information scientists	34,660	4,720	29,950	21,950	2,780	19,170	11,340	1,790	9,560	600	80	530	710	80	640	S	S	S
Computer/information	28,300	3,810	24,500	17,220	2,070	15,160	10,020	1,630	8,400	430	S	390	570	70	500	S	S	S
Postsecondary teachers	6,360	910	5,450	4,720	710	4,010	1,320	160	1,160	170	S	140	140	S	140	S	S	S
Life and related scientists	107,850	32,210	75,640	85,150	24,340	60,810	17,240	5,930	11,310	2,150	770	1,390	3,000	1,060	1,940	280	80	200
Agricultural and food	8,780	1,430	7,350	6,930	1,040	5,890	1,160	220	930	250	S	220	400	130	280	50	S	S
Biological and medical	61,980	21,030	40,950	45,740	14,860	30,880	13,150	5,050	8,110	1,060	410	660	1,730	640	1,090	180	60	120
Environmental life	1,120	210	910	1,060	190	870	S	S	S	S	S	S	S	S	S	S	S	S
Postsecondary teachers	36,070	9,540	26,530	31,430	8,260	23,170	2,920	660	2,270	840	320	510	840	290	550	S	S	S
Mathematical scientists	21,900	4,460	17,450	16,880	3,050	13,840	3,810	1,090	2,710	550	200	350	610	110	510	50	S	S
Mathematicians	8,520	2,150	6,370	6,020	1,350	4,680	2,000	550	1,430	250	110	130	140	S	120	S	S	S
Postsecondary teachers	13,390	2,310	11,080	10,860	1,700	9,160	1,730	440	1,280	300	90	210	470	80	390	S	S	S
Physical and related scientists	73,840	10,280	63,560	59,870	7,600	52,270	10,660	2,200	8,460	1,190	180	1,010	1,840	270	1,570	240	S	220
Chemists (excluding biochemists)	24,220	3,860	20,360	17,820	2,410	15,410	5,380	1,290	4,090	450	70	390	540	90	460	S	S	S
Earth scientists, geologists, and oceanographers	8,910	980	7,940	7,580	820	6,770	1,010	140	870	80	S	60	230	S	220	S	S	S
Physicists and astronomers	13,950	1,080	12,870	11,610	720	10,890	1,940	310	1,630	90	S	80	270	S	240	S	S	S
Postsecondary teachers	25,620	4,190	21,430	21,860	3,530	18,330	2,220	430	1,790	580	80	500	780	130	650	150	S	140
Other	1,140	170	970	1,000	130	870	120	S	90	S	S	S	S	S	S	S	S	S
Psychologists	66,660	33,280	33,590	60,450	29,300	31,150	1,480	920	510	2,200	1,410	870	2,360	1,430	940	370	170	200
Postsecondary teachers	17,020	7,320	9,700	15,010	6,190	8,820	480	270	210	790	500	290	640	340	290	80	S	60
Psychologists	49,640	25,960	23,690	45,440	23,110	22,330	1,000	700	300	1,490	910	580	1,630	1,080	550	290	150	130
Social scientists	47,200	14,380	32,820	39,560	12,030	27,530	3,610	990	2,540	2,010	660	1,360	1,710	630	1,090	250	S	220
Economists	7,520	1,720	5,800	5,970	1,390	4,590	1,050	260	790	140	S	120	350	50	300	S	S	S
Political	1,430	330	1,100	1,170	250	920	70	S	S	50	S	S	100	S	60	50	S	50
Postsecondary teachers	32,100	9,290	22,800	26,970	7,740	19,240	2,240	570	1,670	1,540	470	1,080	1,100	470	630	190	S	170
Sociologists and anthropologists	3,800	1,890	1,900	3,370	1,630	1,740	100	60	S	130	120	70	140	60	70	S	S	S
Other	2,360	1,140	1,220	2,080	1,020	1,060	150	80	80	90	S	60	S	S	S	S	S	S
Engineers	75,420	6,080	69,340	50,360	3,950	46,400	21,880	1,740	20,140	1,200	140	1,070	1,780	280	1,550	170	S	140
Aerospace and related	4,290	250	4,030	3,270	170	3,100	880	S	840	S	S	S	90	S	80	S	S	S

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TABLE H-8. Employed S&E doctorate holders, by occupation, race/ethnicity and sex: 2001

Occupation	All races/ethnicities			White			Asian/Pacific Islander			Black			Hispanic			American Indian/ Alaskan Native		
	Total	Female	Male	Total	Female	Male	Total	Female	Male	Total	Female	Male	Total	Female	Male	Total	Female	Male
	Number of doctorate holders																	
Chemical	7,980	850	7,130	4,930	540	4,390	2,750	290	2,460	110	S	100	160	S	160	S	S	S
Civil	4,000	220	3,780	2,660	200	2,460	1,080	S	1,070	100	S	100	150	S	150	S	S	S
Electrical and related	16,110	1,060	15,060	9,520	460	9,060	6,060	540	5,520	210	S	190	290	S	250	S	S	S
Industrial	1,380	250	1,080	850	140	710	440	80	350	S	S	S	S	S	S	S	S	S
Mechanical	8,320	370	7,950	5,110	210	4,900	3,010	150	2,860	100	S	90	80	S	90	S	S	S
Postsecondary teachers	16,870	1,230	15,640	12,500	1,000	11,500	3,250	140	3,110	490	S	440	550	S	510	60	S	60
Other	16,530	1,870	14,660	11,530	1,240	10,290	4,410	480	3,930	140	S	90	410	90	310	S	S	S
Non-S&E occupations	147,150	41,710	105,440	120,730	34,180	86,550	17,760	3,870	13,890	5,070	2,310	2,760	3,100	1,150	1,950	450	160	290
Arts, humanities, and related	4,950	2,340	2,610	4,530	2,060	2,480	230	200	S	90	S	70	90	70	S	S	S	S
Health related	17,260	6,150	11,100	13,930	4,950	8,980	2,370	770	1,610	580	280	300	300	130	170	80	S	S
Managers and administrators	76,100	15,520	60,570	62,480	12,670	49,810	9,480	1,360	8,130	2,530	1,050	1,470	1,490	380	1,110	200	60	140
Postsecondary teachers	18,900	9,660	8,940	16,010	8,270	7,750	1,160	570	610	860	590	290	650	370	280	60	60	S
Precollege teachers	4,540	1,850	2,690	3,800	1,590	2,210	230	110	120	330	80	250	140	60	80	S	S	S
Sales and marketing	6,600	1,420	5,190	5,250	1,120	4,140	1,030	170	870	150	50	100	140	50	80	S	S	S
Social services and related	2,700	1,160	1,540	2,230	1,010	1,290	140	S	110	220	90	120	S	S	S	S	S	S
Technologists and technicians	7,030	890	6,140	4,660	420	4,240	2,230	470	1,760	60	S	60	80	S	80	S	S	S
Other	9,090	2,520	6,570	7,770	2,100	5,660	860	200	660	230	130	100	160	70	110	60	S	S
	Percent distribution																	
All occupations	100.0	25.6	74.4	100.0	25.8	74.2	100.0	21.2	78.8	100.0	38.1	61.9	100.0	32.9	67.1	100.0	27.2	72.3
S&E occupations	100.0	18.3	75.4	100.0	18.3	75.2	100.0	18.8	79.0	100.0	22.7	65.7	100.0	25.2	68.2	100.0	18.5	74.8
Scientists	100.0	23.2	71.8	100.0	23.7	72.1	100.0	18.6	73.0	100.0	32.9	62.5	100.0	29.9	64.9	100.0	S	S
Computer and information scientists	100.0	13.6	86.4	100.0	12.7	87.3	100.0	15.8	84.3	100.0	18.3	88.3	100.0	11.3	90.1	100.0	S	S
Computer/information	100.0	13.5	86.6	100.0	12.0	88.0	100.0	16.3	83.8	100.0	S	90.7	100.0	12.3	87.7	100.0	S	S
Postsecondary teachers	100.0	14.3	85.7	100.0	15.0	85.0	100.0	12.1	87.9	100.0	S	82.4	100.0	S	100.0	100.0	S	S
Life and related scientists	100.0	29.9	70.1	100.0	28.6	71.4	100.0	34.4	65.6	100.0	35.8	64.7	100.0	35.3	64.7	100.0	28.6	71.4
Agricultural and food	100.0	16.3	83.7	100.0	15.0	85.0	100.0	19.0	80.2	100.0	S	88.0	100.0	32.5	65.0	100.0	S	S
Biological and medical	100.0	34.0	66.0	100.0	32.5	67.5	100.0	38.4	61.7	100.0	38.7	62.3	100.0	37.0	63.0	100.0	33.3	66.7
Environmental life	100.0	18.8	81.3	100.0	17.9	82.1	100.0	S	S	100.0	S	S	S	S	S	100.0	S	S
Postsecondary teachers	100.0	26.4	73.6	100.0	26.3	73.7	100.0	22.6	77.7	100.0	38.1	60.7	100.0	34.5	65.5	100.0	S	S
Mathematical scientists	100.0	20.4	79.7	100.0	18.1	82.0	100.0	28.6	71.1	100.0	36.4	63.6	100.0	18.0	88.6	100.0	S	S
Mathematicians	100.0	25.2	74.8	100.0	22.4	77.7	100.0	31.3	68.8	100.0	44.0	52.0	100.0	S	85.7	100.0	S	S
Postsecondary teachers	100.0	17.3	82.7	100.0	15.7	84.3	100.0	25.4	74.0	100.0	26.7	70.0	100.0	17.0	83.0	100.0	S	S
Physical and related scientists	100.0	13.9	86.1	100.0	12.7	87.3	100.0	20.6	79.4	100.0	15.1	84.9	100.0	14.7	85.3	100.0	S	91.7
Chemists (excluding biochemists)	100.0	15.9	84.1	100.0	13.5	86.5	100.0	24.0	76.0	100.0	15.6	84.4	100.0	16.7	85.2	100.0	S	S

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TABLE H-8. Employed S&E doctorate holders, by occupation, race/ethnicity and sex: 2001

Occupation	All races/ethnicities			White			Asian/Pacific Islander			Black			Hispanic			American Indian/ Alaskan Native		
	Total	Female	Male	Total	Female	Male	Total	Female	Male	Total	Female	Male	Total	Female	Male	Total	Female	Male
	Percent distribution																	
Earth scientists, geologists, and oceanographers	100.0	11.0	89.1	100.0	10.8	89.3	100.0	13.9	86.1	100.0	S	100.0	100.0	S	95.7	100.0	S	S
Physicists and astronomers	100.0	7.7	92.2	100.0	6.2	93.6	100.0	16.0	84.0	100.0	S	88.9	100.0	S	88.9	100.0	S	S
Postsecondary teachers	100.0	16.4	83.6	100.0	16.1	83.9	100.0	19.4	80.6	100.0	13.8	86.2	100.0	16.7	83.3	100.0	S	93.3
Other	100.0	14.9	85.1	100.0	13.0	87.0	100.0	S	75.0	100.0	S	S	S	S	S	100.0	S	S
Psychologists	100.0	49.8	50.2	100.0	48.5	51.5	100.0	62.2	34.5	100.0	61.8	38.2	100.0	63.3	37.2	100.0	45.9	54.1
Postsecondary teachers	100.0	43.0	57.0	100.0	41.2	58.8	100.0	56.3	43.8	100.0	63.3	36.7	100.0	53.1	45.3	100.0	S	75.0
Psychologists	100.0	52.1	47.9	100.0	50.9	49.1	100.0	70.0	30.0	100.0	61.1	38.9	100.0	66.3	33.7	100.0	51.7	44.8
Social scientists	100.0	30.5	69.5	100.0	30.4	69.6	100.0	27.4	70.4	100.0	32.6	67.7	100.0	36.8	63.7	100.0	S	88.0
Economists	100.0	22.9	77.1	100.0	23.3	76.9	100.0	24.8	75.2	100.0	S	85.7	100.0	14.3	85.7	100.0	S	S
Political	100.0	23.1	76.9	100.0	21.4	78.6	100.0	S	S	100.0	S	S	100.0	S	60.0	100.0	S	100.0
Postsecondary teachers	100.0	28.9	71.0	100.0	28.7	71.3	100.0	25.4	74.6	100.0	30.5	70.1	100.0	42.7	57.3	100.0	S	89.5
Sociologists and anthropologists	100.0	49.7	50.0	100.0	48.4	51.6	100.0	60.0	S	100.0	63.2	36.8	100.0	42.9	60.0	100.0	S	S
Other	100.0	46.3	51.7	100.0	49.0	51.0	100.0	53.3	53.3	100.0	S	66.7	100.0	S	S	100.0	S	S
Engineers	100.0	8.1	91.9	100.0	7.8	92.1	100.0	8.0	92.0	100.0	11.7	89.2	100.0	12.9	87.1	100.0	S	82.4
Aerospace and related	100.0	5.8	94.2	100.0	5.2	94.8	100.0	S	95.5	100.0	S	S	100.0	S	88.7	100.0	S	S
Chemical	100.0	10.7	89.3	100.0	11.0	89.0	100.0	10.5	89.5	100.0	S	90.9	100.0	S	100.0	100.0	S	S
Civil	100.0	5.5	94.8	100.0	7.5	92.5	100.0	S	99.1	100.0	S	100.0	100.0	S	100.0	100.0	S	S
Electrical and related	100.0	6.6	93.5	100.0	4.8	95.2	100.0	8.9	91.1	100.0	S	90.5	100.0	S	86.2	100.0	S	S
Industrial	100.0	18.8	81.2	100.0	16.5	83.5	100.0	18.2	79.5	100.0	S	S	100.0	S	S	100.0	S	S
Mechanical	100.0	4.4	95.6	100.0	4.1	95.9	100.0	5.0	95.0	100.0	S	90.0	100.0	S	100.0	100.0	S	S
Postsecondary teachers	100.0	7.8	92.7	100.0	8.0	92.0	100.0	4.8	95.7	100.0	S	89.8	100.0	S	92.7	100.0	S	100.0
Other	100.0	11.3	88.7	100.0	10.8	89.2	100.0	10.9	89.1	100.0	S	84.3	100.0	22.0	75.6	100.0	S	S
Non-S&E occupations	100.0	28.3	71.7	100.0	28.3	71.7	100.0	21.8	78.2	100.0	45.6	54.4	100.0	37.1	62.9	100.0	35.6	64.4
Arts, humanities, and related	100.0	47.3	52.7	100.0	45.5	54.7	100.0	67.0	S	100.0	S	77.8	100.0	77.8	S	100.0	S	S
Health related	100.0	35.6	64.3	100.0	35.5	64.5	100.0	32.5	67.9	100.0	48.3	51.7	100.0	43.3	56.7	100.0	S	S
Managers and administrators	100.0	20.4	79.6	100.0	20.3	79.7	100.0	14.3	85.8	100.0	41.5	58.1	100.0	25.5	74.5	100.0	30.0	70.0
Postsecondary teachers	100.0	52.4	47.6	100.0	51.7	48.4	100.0	48.3	51.7	100.0	67.0	33.0	100.0	56.9	43.1	100.0	75.0	S
Precollege teachers	100.0	40.7	59.3	100.0	41.8	58.2	100.0	47.8	52.2	100.0	24.2	75.8	100.0	42.9	57.1	100.0	S	S
Sales and marketing	100.0	21.5	78.6	100.0	21.3	78.9	100.0	16.5	84.5	100.0	40.0	60.7	100.0	35.7	57.1	100.0	S	S
Social services and related	100.0	43.0	57.0	100.0	44.1	56.3	100.0	S	78.8	100.0	40.9	54.5	100.0	S	S	100.0	S	S
Technologists and technicians	100.0	12.7	87.3	100.0	9.0	91.0	100.0	21.1	78.9	100.0	S	100.0	100.0	S	100.0	100.0	S	S
Other	100.0	27.7	72.3	100.0	27.0	72.8	100.0	23.3	76.7	100.0	56.5	43.5	100.0	38.9	61.1	100.0	S	S

S suppressed because fewer than 50 weighted cases.

NOTES: Table limited to those who earned a doctorate in an S&E field from a U.S. institution. Numbers are rounded to nearest 10. Details may not add to total because of rounding. Total includes "other race/ethnicity" not shown separately.

SOURCE: National Science Foundation, Division of Science Resources Statistics, Survey of Doctorate Recipients, 2001.

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TABLE H-23. S&E doctorate holders employed in universities and 4-year colleges, by broad occupation, sex, race/ethnicity, and faculty rank: 2001

Occupation, sex, and race/ethnicity	Total	Professor	Associate professor	Assistant professor	Other faculty	Not applicable
All occupations	245,050	86,400	52,920	47,790	14,620	43,340
Female	69,520	13,360	15,660	18,580	6,180	15,730
White	55,960	11,820	13,340	14,530	4,830	11,450
Asian/Pacific Islander	7,440	640	990	2,070	790	2,940
Black	3,220	470	750	1,050	170	780
Hispanic	2,660	430	510	850	360	500
American Indian/Alaskan Native	190	S	60	70	S	S
Male	175,530	73,020	37,260	29,210	8,440	27,610
White	144,540	63,360	30,280	22,550	7,140	21,200
Asian/Pacific Islander	20,290	6,150	4,170	4,440	840	4,680
Black	4,950	1,420	1,460	1,110	240	720
Hispanic	5,010	1,770	1,200	910	190	930
American Indian/Alaskan Native	650	290	140	130	S	70
S&E occupations	228,110	82,510	48,880	43,680	13,460	39,580
Female	55,600	9,870	12,190	15,340	5,280	12,920
White	54,870	11,760	13,130	14,140	4,700	10,930
Asian/Pacific Islander	6,290	480	750	1,790	700	2,600
Black	2,730	350	670	860	120	720
Hispanic	2,560	410	470	830	360	490
American Indian/Alaskan Native	190	S	60	70	S	40
Male	151,670	61,860	33,220	26,930	7,390	22,260
White	142,400	62,650	30,070	22,140	7,050	20,490
Asian/Pacific Islander	19,380	5,830	3,950	4,250	820	4,490
Black	4,130	1,080	1,340	1,020	200	550
Hispanic	4,960	1,770	1,200	900	190	900
American Indian/Alaskan Native	650	290	140	130	S	70
Scientists	206,180	75,290	43,760	39,680	12,540	36,900
Female	53,880	9,610	11,710	14,780	5,150	12,630
White	53,370	11,550	12,740	13,700	4,610	10,760
Asian/Pacific Islander	6,010	420	700	1,730	680	2,500
Black	2,670	350	650	840	110	710
Hispanic	2,500	410	460	800	360	470
American Indian/Alaskan Native	190	S	60	70	S	S
Male	131,450	52,900	28,570	23,490	6,620	19,870
White	127,080	56,040	26,600	19,600	6,390	18,450
Asian/Pacific Islander	15,640	3,930	3,120	3,860	710	4,220
Black	3,710	930	1,120	930	200	540
Hispanic	4,350	1,500	1,060	770	190	830
American Indian/Alaskan Native	580	250	140	110	S	50
Computer and information scientists						
Female	1,030	130	430	230	60	180
White	810	80	370	160	50	140
Asian/Pacific Islander	170	S	S	50	S	S
Black	S	S	S	S	S	S
Hispanic	S	S	S	S	S	S
American Indian/Alaskan Native	S	S	S	S	S	S
Male	7,060	2,110	2,260	1,040	230	1,420
White	5,370	1,710	1,640	770	160	1,100

TABLE H-23. S&E doctorate holders employed in universities and 4-year colleges by broad occupation, sex, race/ethnicity, and faculty rank: 2001

Occupation, sex, and race/ethnicity	Total	Professor	Associate professor	Assistant professor	Other faculty	Not applicable
Asian/Pacific Islander	1 380	290	500	250	S	290
Black	150	S	70	S	S	S
Hispanic	160	70	S	S	S	S
American Indian/Alaskan Native	S	S	S	S	S	S
Life and related scientists						
Female	20,080	3,110	3 750	4,510	1,600	7 110
White	15,560	2,790	3 280	3,500	1,110	4,870
Asian/Pacific Islander	3 270	180	250	690	370	1,790
Black	450	80	90	120	S	150
Hispanic	780	60	130	190	100	300
American Indian/Alaskan Native	S	S	S	S	S	S
Male	45,320	16,560	9 330	8,570	1,930	8 940
White	35,210	14,840	7,800	6,150	1,580	5,840
Asian/Pacific Islander	6 810	1,210	1,000	1 850	300	2 450
Black	960	180	230	280	S	270
Hispanic	1 260	320	280	250	S	370
American Indian/Alaskan Native	80	S	S	S	S	S
Mathematical scientists						
Female	2,750	530	780	940	290	210
White	1,940	370	580	670	190	130
Asian/Pacific Islander	620	100	160	130	60	50
Black	100	S	S	S	S	S
Hispanic	80	S	S	S	S	S
American Indian/Alaskan Native	S	S	S	S	S	S
Male	11,660	5,300	2 850	1,920	940	650
White	9,570	4 560	2 220	1,440	780	560
Asian/Pacific Islander	1,400	440	460	340	130	S
Black	400	190	100	80	S	S
Hispanic	250	90	60	50	S	S
American Indian/Alaskan Native	S	S	S	S	S	S
Physical and related scientists						
Female	5,110	980	1 080	1 550	500	1 000
White	4,130	830	980	1,200	400	720
Asian/Pacific Islander	710	90	60	220	80	260
Black	90	S	S	S	S	S
Hispanic	160	60	S	70	S	S
American Indian/Alaskan Native	S	S	S	S	S	S
Male	27,090	10,880	5,130	4 130	1,380	5 510
White	22,830	9,600	4 050	3 580	1,210	4,390
Asian/Pacific Islander	2 730	800	590	330	120	890
Black	530	90	160	110	S	90
Hispanic	810	280	270	90	S	170
American Indian/Alaskan Native	140	60	S	S	S	S
Psychologists						
Female	11,490	1,980	2 320	3,460	1,300	2 420
White	9,680	1,810	1 920	2,820	1,110	2 020
Asian/Pacific Islander	430	S	60	140	S	180
Black	790	100	220	340	S	120
Hispanic	570	80	100	150	140	100
American Indian/Alaskan Native	S	S	S	S	S	S

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TABLE H-23. S&E doctorate holders employed in universities and 4-year colleges, by broad occupation, sex, race/ethnicity, and faculty rank: 2001

Occupation, sex, and race/ethnicity	Total	Professor	Associate professor	Assistant professor	Other faculty	Not applicable
Male	12,020	5,220	2,520	2,430	690	1,170
White	10,640	4,960	2,180	2,180	520	990
Asian/Pacific Islander	270	60	60	70	S	S
Black	410	S	200	S	60	90
Hispanic	400	100	80	130	60	S
American Indian/Alaskan Native	70	50	S	S	S	S
Social scientists						
Female	10,410	2,500	2,790	3,220	1,140	760
White	8,620	2,220	2,340	2,500	970	590
Asian/Pacific Islander	660	90	140	330	70	S
Black	560	90	130	190	S	110
Hispanic	510	100	170	180	S	S
American Indian/Alaskan Native	S	S	S	S	S	S
Male	24,460	11,450	5,930	4,690	1,300	1,080
White	20,630	9,920	4,880	3,610	1,200	930
Asian/Pacific Islander	1,820	740	500	510	S	70
Black	1,110	400	250	360	60	S
Hispanic	760	310	210	150	S	50
American Indian/Alaskan Native	210	80	90	S	S	S
Engineers						
Female	1,710	250	480	560	140	290
White	1,300	210	360	440	90	170
Asian/Pacific Islander	280	S	60	60	S	90
Black	60	S	S	S	S	S
Hispanic	60	S	S	S	S	S
American Indian/Alaskan Native	S	S	S	S	S	S
Male	20,220	8,960	4,640	3,450	770	2,390
White	15,310	6,600	3,470	2,540	660	2,040
Asian/Pacific Islander	3,740	1,900	830	640	110	270
Black	470	150	210	100	S	S
Hispanic	610	270	130	140	S	70
American Indian/Alaskan Native	70	S	S	S	S	S
Non-S&E occupations						
Female	16,950	3,890	4,030	4,110	1,160	3,750
White	13,930	3,510	3,470	3,240	890	2,810
Asian/Pacific Islander	1,290	60	240	380	130	520
Black	1,140	190	240	280	90	350
Hispanic	490	110	80	180	50	60
American Indian/Alaskan Native	90	S	S	S	S	S
Male	27,720	12,550	4,590	2,940	1,200	6,440
White	23,870	11,160	4,040	2,280	1,040	5,340
Asian/Pacific Islander	2,140	720	210	410	90	710
Black	910	320	220	150	S	190
Hispanic	760	340	120	90	S	170
American Indian/Alaskan Native	S	S	S	S	S	S

S Suppressed because fewer than 50 weighted cases

NOTES. Table limited to those who earned a doctorate in an S&E field from a U.S. institution. Numbers are rounded to nearest 10. Details may not add to total because of rounding. Total includes "other race/ethnicity" not shown separately.

SOURCE: National Science Foundation, Division of Science Resources Statistics, 2001 Survey of Doctorate Recipients.

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Visual Complex Analysis

Tristan Needham
Department of Mathematics
University of San Francisco

CLARENDON PRESS • OXFORD
1997

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Acknowledgements

First and foremost I wish to express my indebtedness to Dr. Stanley Nel. He is my friend, my colleague, and my Dean, and in all three of these capacities he has helped me to complete this book. As a friend he offered support when progress was slow and my spirits were low; as a mathematical colleague he read much of the book and offered helpful criticisms; as Dean he granted me a succession of increasingly powerful computers, and when the US Immigration Service sought to have my position filled by an "equally qualified" American, he successfully fought them on my behalf. For all this, and much else besides, I offer him my deep gratitude.

Next I would like to thank Prof. John Stillwell of Monash University. The great value I place on his writings should be clear from the frequency with which I refer to them in the pages that follow. Also, though I lack his gift for conciseness, I have sought to emulate elements of his approach in an attempt to give back *meaning* to mathematical concepts. Finally, my greatest and most concrete debt arises from the fact that he read each draft chapter as it was written, and this despite the fact that we had never even met! The book owes a great deal to his numerous helpful suggestions and corrections.

I consider myself very fortunate that the mathematics department here at the University of San Francisco is completely free of political intrigue, rivalry, and other assorted academic blights. I am grateful to *all* my colleagues for creating such a friendly and supportive atmosphere in which to work. In particular, however, I should like to single out the following people for thanks:

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As an Oxford man I am delighted to have this book published by OUP, and I would particularly like to thank Dr. Martin Gilchrist, the former Senior Mathematics Editor, for his enthusiastic encouragement when I first approached him with the idea of the book.

When I first arrived at USF from England in 1989 I had barely seen a computer. The fact that OUP printed this book directly from my Internet-transmitted PostScript® files is an indication of how far I have come since then. I owe all this to James Kabage. A mere graduate student at the time we met, Jim quickly rose through the ranks to become Director of Network Services. Despite this fact, he never hesitated to spend *hours* with me in my office resolving my latest hardware or software crisis. As he wrestled with each new problem, he would patiently and clearly explain to me the reasoning leading to his solution, and in this way I became his student.

I also thank Dr. Benjamin Baab, the Executive Director of Information Technology Services at USF. Despite his lofty position, he too was always willing to roll up his sleeves in order to help me resolve my latest Microsoft® conundrum.

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As a student of Roger Penrose I had the privilege of watching him think out loud by means of his beautiful blackboard drawings. In the process, I became convinced that if only one tried hard enough—or were clever enough!—every mathematical mystery could be resolved through geometric reasoning. George Burnett-Stuart and I became firm friends while students of Penrose. In the course of our endless discussions of music, physics, and mathematics, George helped me to refine both my conception of the nature of mathematics, and of what constitutes an acceptable explanation within that subject. My dedication of this book to these two friends scarcely repays the great debt I owe them.

The care of several friends helped me to cope with depression following the death of my beloved mother Claudia. In addition to my brother Guy and my father Rodney, I wish to express my appreciation to Peter and Ginny Pacheco, and to Amy Miller. I don't know what I would have done without their healing affection.

Lastly, I thank my dearest wife Mary. During the writing of this book she allowed me to pretend that science was the most important thing in life; now that the book is over, she is my daily proof that there is something even more important.

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October 2005

of the American Mathematical Society

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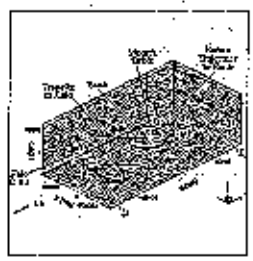

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of the American Mathematical Society

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well as the ocean, mountains and deserts of Southern California.

Applicants should send a curriculum vitae, a synopsis of their current research program, a teaching portfolio including a description of their teaching philosophy and experience and a graduate transcript, and arrange to have three letters of recommendation sent to:

Professor Andrew J. Bernoff
Search Committee Chair
Department of Mathematics
Harvey Mudd College
Claremont, CA 91711-5990

Further information about the college and department may be found at http://www.math.hmc.edu/. Preference will be given to applications completed by December 2, 2005.

Harvey Mudd College is an Equal Opportunity Employer and is committed to the development of a diverse faculty and workplace.

000083

MILLS COLLEGE
Assistant, Associate or Full Professor of Mathematics

Mills College invites applications for a full-time tenure-track position as an Assistant, Associate, or Full Professor of Mathematics starting Fall 2006. Required: Ph.D. in mathematics and a broad background in mathematics. Applicants must submit evidence of superior teaching and research abilities. Teaching load: equivalent of five courses per year. Applicants at the Associate and Full Professor level must have extensive teaching experience and demonstrate truly exceptional teaching ability. Duties: teach a variety of courses in mathematics; contribute to an environment that excites women about mathematics and prepares them for careers that use mathematics; help build a strong program in mathematics that is attractive to students with diverse backgrounds and interests.

Located in the San Francisco Bay Area Mills College is a selective liberal arts college for women with co-educational graduate programs (see http://www.mills.edu). Mills offers 39 undergraduate majors and 23 graduate degree and certificate programs, including a master's program in interdisciplinary computer science, and a B.A./M.A. program in mathematics. The faculty/student ratio is 1:10.

Please send a vita, at least three letters of recommendation, and statements of teaching philosophy and research agenda to: Chair of the Mathematics Search Committee, Mills College, 5000 MacArthur Blvd., Oakland, CA 94613 (email address: mathsearch@mills.edu). The deadline for receiving this material is December 1, 2005. Persons of color and those committed to working in a multicultural environment are encouraged to apply. AA/EOE.

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UNIVERSITY OF SAN FRANCISCO
Department of Mathematics

The Department of Mathematics at the University of San Francisco invites applications for a tenure-track position at the assistant professor level, to begin in fall 2006. Candidates from all fields of mathematics are encouraged to apply. The successful candidate should have university teaching experience and an earned doctorate in mathematics by fall 2006. She/he will teach throughout the undergraduate mathematics curriculum, from courses for majors to service courses for non-science majors. The position requires a passionate commitment to excellence in teaching within a culturally diverse environment, as well as a strong potential for research and scholarship.

Candidates should submit a letter of application, curriculum vitae, statement of teaching philosophy and research plans, copies/scans of complete teaching evaluations and recent syllabi graduate transcripts, and three letters of recommendation. All of the above elements are required to complete your application.

As many as possible of these elements should be submitted electronically to: email: mathjob@math.usfca.edu.

The Subject Line of your e-mail(s) should begin with your full name: e.g.

Subject: Mary L. McEnroe—Teaching Evaluations

Any remaining elements that cannot be submitted electronically should be mailed to:

Mathematics Search Committee
c/o Tristan Needham, Chair
Department of Mathematics
University of San Francisco
2130 Fulton St.
San Francisco, CA 94117-1080

In order to insure full consideration, completed applications must be received (not postmarked) by December 16, 2005. We invite candidates to find out about our department at http://artsci.usfca.edu/math.

The University of San Francisco is a Jesuit Catholic university founded in 1855 to educate leaders who will fashion a more humane and just world. Candidates should demonstrate a commitment to work in a culturally diverse environment and to contribute to the mission of the University.

USF is an Equal Opportunity Employer dedicated to affirmative action and to excellence through diversity. The University provides reasonable accommodations to qualified applicants with disabilities upon request.

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ILLINOIS

NORTHWESTERN UNIVERSITY
Department of Mathematics
2033 Sheridan Road
Evanston, Illinois 60208-2730
Boas Assistant Professor

Applications are solicited for up to three Ralph Boas assistant professorships of three years each starting September 2006. These are non-tenure-track positions with a teaching load of four quarter courses per year. We invite applications from qualified mathematicians in all fields.

Applications should be made electronically at MathJobs.org: www.mathjobs.org and should include (1) the American Mathematical Society Cover Sheet for Academic Employment, (2) a curriculum vitae, (3) a research statement, and (4) three letters of recommendation, one of which discusses the candidate's teaching qualifications. Inquiries may be sent to: email: boas@math.northwestern.edu.

Applications are welcomed at any time, but the review process starts December 1, 2004. Northwestern University is an Affirmative Action, Equal Opportunity Employer committed to fostering a diverse faculty. Women and minority candidates are especially encouraged to apply.

000072

NORTHWESTERN UNIVERSITY
Department of Mathematics
2033 Sheridan Road
Evanston, Illinois 60208-2730

Applications are invited for an anticipated tenure-track position starting September 2006. Priority will be given to exceptionally promising research mathematicians. We invite applications from qualified mathematicians in all fields.

Application material should be sent to Personnel Committee, at the department address and include: (1) the American Mathematical Society's Application Cover Sheet for Academic Employment, (2) a curriculum vitae, and (3) at least four letters of recommendation including one which discusses in some detail the candidate's teaching qualifications. Applications may also be made electronically at MathJobs.org. www.mathjobs.org. Inquiries may be sent via e-mail to: email: hiring@math.northwestern.edu.

Applications are welcome at any time, but the review process starts in November 2005. Northwestern University is an affirmative action, equal opportunity employer committed to fostering a diverse faculty; women and minority candidates are especially encouraged to apply.

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GUIDE to GRADUATE STUDY

The Graduate School at Cornell University

CORNELL

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INTRODUCTION

The *Guide to Graduate Study* provides graduate students with a description of the policies, requirements, and organization of the Graduate School. The rules governing graduate education are established by Cornell University's graduate faculty and published in the *Code of Legislation of the Graduate Faculty*, a separate publication. The *Code* contains specific details about graduate study and should be consulted whenever you have questions. To help you, sections of the *Code* are referenced in the text of various topics throughout this guide. Printed copies of the *Code* are available at the Graduate School, or you can read it online at www.gradschool.cornell.edu.

The resources listed on pages 45–46 of this booklet contain general requirements pertaining to all Cornell University graduate students. However, many graduate fields have additional guidelines. You should refer to individual fields for more information or visit the Graduate School's online fields catalog at catalog.gradschool.cornell.edu.

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www.gradschool.cornell.edu

welcome!

A LETTER FROM THE DEAN

The Cornell Graduate School is here to support your study and your research. We are dedicated to helping you succeed in your graduate program.

We created this *Guide to Graduate Study* handbook to explain the academic requirements for an advanced Graduate School degree. It should answer many of your questions, so we encourage you to keep it available as a reference. If you need more help, please do not hesitate to call on us at the Graduate School. We are here to facilitate your education.

Cornell University offers graduate students a lot of flexibility, freedom, and independence in their academic programs. With few exceptions (generally limited to certain professional degree programs) you will find minimal requirements for either total credit hours or required courses. Instead, you will take an active role in defining your degree program under the guidance of a faculty committee, called your special committee. You may choose your committee members from more than 1,600 faculty in nearly 100 fields of study. Such flexibility ensures that you can take advantage of the breadth of resources available at Cornell to meet your academic goals.

We appreciate that there is life beyond the classroom, lab, or library, and we strongly encourage you to take part in extracurricular activities. The Graduate School produces a booklet titled *Life at Cornell*, which describes the many sports, social, and cultural activities that take place on campus and in the Ithaca area. It's also a resource for Cornell University and Ithaca-area services, including housing and shopping. Copies are available at the Graduate School offices in 143 Caldwell Hall.

Graduate students enhance the intellectual life at Cornell University through their scholarship, research, and participation in campus activities. We are pleased you have joined us.

Alison G. Power
Dean of the Cornell Graduate School

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Fields of Study *(Code, III.D.1.)*

What is a field?
What are my major and minor subject requirements?
Who are my GFA and my DGS, and why are they important?

Fields of Study, Subjects, and Concentrations
www.gradschool.cornell.edu/pubs_and_forms/pubsTextbulletin.pdf

Fields of Study
swing.gradschool.cornell.edu

What is a field?

A field is a group of graduate faculty members who have come together around common academic interests. They are drawn from different departments and are voted into the field by existing members. In general, a faculty member belongs to one department, but may be associated with many graduate fields. You will select major and minor subjects from within these fields.

Each year, the Graduate School publishes a list of major and minor fields, the degrees offered, and the subjects and concentrations within each field. You can find this list in the Student Services Office of the Graduate School and on the Graduate School Web site:

What are my major and minor subject requirements?

As a master's degree student, you must choose one major and one minor subject. Doctoral candidates choose one major and two minor subjects of study, although some fields have permission from the General Committee to require only one major and one minor subject. You pick faculty members from these approved subjects to form a "special committee." The members of the special committee decide what is required for you to attain a Cornell graduate degree. You should consult your graduate field assistant (GFA) or your director of graduate studies (DGS) to learn more about special committees, and major and minor subject requirements.

Who are my GFA and my DGS, and why are they important? *(Code, III.E.1.)*

The faculty members in each field appoint a director of graduate studies (DGS) to represent them to the Graduate School and coordinate activities of the field. The DGS is the primary liaison between the field and the Graduate School. He or she helps establish academic priorities and allocate resources for graduate students. The DGS strives to enhance the quality of graduate education and general student welfare. These individuals also oversee the admissions process and so may be the most familiar with you when you arrive. You will need to have your DGS sign any documents required by the Graduate School.

The graduate field assistant (GFA) helps students, faculty, and the DGS in many ways. The GFAs serve as liaisons between students and faculty. They are familiar with campus resources and can answer many questions about the degree process. The GFA also can help you with paperwork and clarify your student status.

Fields of Study Catalog
143 Caldwell Hall
607-255-5820

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This page lists the fields of study available at the Cornell University Graduate School. Each link below will connect you to a field narrative that provides information on faculty members and their research, degrees offered, specific application requirements, and contact information. Links to specific field Web sites are also provided.

Fields of Study -- Admission deadlines

A B C D E F G H I L M N O P R S T U W Z

A

Aerospace Engineering -- Fall, Jan. 1 (for M.S./Ph.D.); April 1 (for M.Eng.); spring, Nov. 1*
*Only in unusual cases are M.S./Ph.D. students admitted in the spring.
African and African-American Studies -- Fall, Jan. 30
Agricultural and Biological Engineering -- Fall, Jan. 15 (without aid, open); spring, Oct. 1
American Indian Studies (minor field)
American Studies (minor field)
Animal Breeding -- Fall, Apr. 1; spring, Sept. 1
Animal Science -- Fall, March 1 (without aid, May 15); spring, Nov. 1
Anthropology -- Fall, Jan. 1; no spring admission
Applied Economics and Management -- Fall, Jan. 15 (without aid, March 1)
Applied Mathematics -- Fall, Jan. 15; no spring admission
Applied Physics -- Jan. 15
Archaeology -- Fall, Jan. 15
Architecture -- Fall, Jan. 15 (without aid, March 20); no spring admission
Art -- Fall, Jan. 15; no spring admission
Asian Religions -- Fall, Jan. 15
Asian Studies -- Fall, open; spring, open
Astronomy and Space Sciences -- Fall, Jan. 15; no spring admission
Atmospheric Science -- Fall, Feb. 1; spring, Aug. 1; without aid, open

B

Biochemistry, Molecular & Cell Biology -- Fall, Jan. 5; no spring admission
Biomedical Engineering -- Fall, Jan. 15 (without aid, May 1)
Biometry -- Jan. 15; no spring admission
Biophysics -- Fall, Jan. 15; no spring admission

C

Chemical Engineering -- Fall, Jan. 15 (without aid, March 1); spring, open with aid
Chemistry and Chemical Biology -- Fall, Jan. 10; no spring admission
City and Regional Planning -- Fall, Jan. 10; no spring admission
Civil and Environmental Engineering -- Fall, M.S., Ph.D., Jan. 15 (without aid, April 1); M.Eng., Feb. 1 (without aid, April 1); spring, Oct. 15
Classics -- Fall, Jan. 15; no spring admission
Cognitive Studies (minor field)
Communication -- Fall, Jan. 15; no spring admission
Community and Rural Development -- Fall, May 1 (after admission with funds); no spring admission
Comparative Biomedical Sciences -- Dec. 15

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Comparative Literature -- Fall, Jan. 10; no spring admission
Computational Biology -- Jan. 3
Computational Science and Engineering (minor field)
Computer Science -- Fall, Ph.D. Dec. 1, M.Eng.: Feb. 1; spring, check with field
Conservation and Sustainable Development (minor field)

D

Design and Environmental Analysis -- Fall, Feb. 1 (without aid: April 15)
Development Sociology -- Fall Jan. 15 (without aid: March 1); no spring admission

E

East Asian Literature -- Fall, Jan. 10 (without aid: April 1); spring, check with field
Ecology and Evolutionary Biology -- Fall, Dec. 1; no spring admission
Economics -- Fall Jan. 15 (without aid: Feb. 1); no spring admission
Education -- Fall, Jan. 15; spring, check with field
Electrical and Computer Engineering -- Fall M.S., Ph.D.: Jan. 15, M.Eng.: Jan. 15; no Spring admission.
English Language and Literature -- Fall, Dec. 15
Entomology -- Fall, Dec. 8; no spring admission
Environmental Quality (minor field)
Environmental Toxicology -- Fall Jan. 1; spring check with field
Epidemiology (minor field)

F

Feminist, Gender, & Sexuality Studies (minor field)
Film and Video Studies (minor field)
Food Science and Technology -- Fall Jan. 15; Spring August 15

G

Genetics and Development -- Fall Jan. 5; no Spring admission
Genomics (minor field)
Geological Sciences -- Fall, Jan. 15 (without aid: open); spring check with field
Germanic Studies -- Fall, Jan. 15; no spring admission
Government -- Fall Jan. 1, no spring admission

H

History -- Fall, Jan. 15; no spring admission
History of Art and Archaeology -- Fall Jan. 15; no spring admission
Horticulture -- Fall, Jan. 15; spring, Aug. 15
Hotel Administration -- M.S./Ph.D.: Feb. 1; fall admission only
M.M.H.: Rolling decisions. Priority deadline Nov. 15. Final deadline Feb. 15
Human Development -- Fall, Jan. 1; no spring admission

I

Immunology -- Dec. 15
Industrial and Labor Relations -- Fall 2007: Jan. 1, 2007; Spring 2007: Oct. 15, 2006; M.P.S. ILR NYC: June 15
Information Science -- Fall admission - Jan. 1; no spring admission
International Agriculture and Rural Development -- Open
International Development -- Open

L

Landscape Architecture -- Fall, Feb. 15 (spring if space available)
Latin American Studies (minor field)
Latino Studies (minor field)

SD 246

Law -- Fall, May 1; spring: check with field
Lesbian, Bisexual, and Gay Studies (minor field)
Linguistics -- Fall: Jan. 15; no spring admission

M

Management -- Dec. 3
Materials Science and Engineering -- Fall: Jan. 15 (without aid: April 1)
Mathematics -- Fall, Jan. 4; no spring admission
Mechanical Engineering -- Fall, Jan. 1 (for M.S./Ph.D.); April 1 (for M.Eng.); spring: Nov. 1*
*Only in unusual cases are M.S./Ph.D. students admitted in the spring.
Medieval Studies -- Fall: Jan. 15; no spring admission
Microbiology -- Fall: Dec. 15; no spring admission; applications received after the deadline may be reviewed for admission, but cannot be considered for financial assistantships.
Molecular and Integrative Physiology -- Dec. 15
Music -- Fall: Jan. 15; no spring admission

N

Natural Resources -- Fall, open; spring: Oct. 30
Near Eastern Studies -- Fall: Feb. 1; spring: check with field
Neurobiology and Behavior -- Fall: Dec. 1; no spring admission
Nuclear Science and Engineering -- Fall: Jan. 15 (without aid: March 1); spring: check with field
Nutrition -- Fall: Jan. 10; Spring: Oct. 1

O

Operations Research -- Fall: Ph.D.: Jan. 15; M.Eng.: Feb. 1; spring: M.Eng. only: Sept. 15

P

Peace Studies and Peace Science (minor field)
Pharmacology -- Dec. 15
Philosophy -- Fall, Jan. 15; no spring admission
Physics -- Fall: Dec. 15; no spring admission
Plant Biology -- Fall, Jan. 15 (without aid: Feb. 15); no spring admission
Plant Breeding -- Fall, Jan. 15 (without aid: April 1); spring: check with field
Plant Pathology -- Fall: Jan. 10 (without aid: open); spring: check with field
Plant Protection -- Fall: April 1
Policy Analysis and Management -- Fall: Ph.D.: Jan. 15; M.P.A.: April 15; no spring admission
Psychology -- Fall, Dec. 15
Public Affairs -- Rolling admission

R

Real Estate -- Fall: Jan. 15 to be considered for financial aid; March 1 for all deadline; June 1 w/ late deadline; no spring admission
Regional Science -- Fall, Jan. 15; no spring admission
Risk Analysis, Communication and Policy (minor field)
Romance Studies -- Fall: Jan. 15; no spring admission

S

Science and Technology Studies -- Fall: Jan. 10; no spring admission
Sociology -- Fall, Jan. 15
Soil and Crop Sciences -- Fall: Feb. 1 (without aid: open)
Statistics -- M.S. and Ph.D.: Fall, Jan. 15; no spring admission
M.P.S.: Fall: no deadline; no spring admission
Systems Engineering -- Fall, Feb. 1 for fin. aid consideration; without aid: April 1 for international students; July 1 for others

T

Textiles -- Fall, March 1; spring, Oct. 1

Theatre Arts -- Fall, Jan. 15; no spring admission

Theoretical and Applied Mechanics -- Fall, Jan. 15; spring, check with field

U

Urban Studies (minor field)

W

Water Resources (minor field)

Z

Zoology -- Fall, Feb. 1

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Applied Mathematics

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614 Frank H. T. Rhodes Hall
Cornell University
Ithaca, NY 14853-3801
607 255-4756

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The graduate program in applied mathematics is based on a solid foundation in pure mathematics, which includes the fundamentals of algebra and analysis. It involves a grounding in the methods of applied mathematics and studies of scientific areas in which significant applications of mathematics are made. The field has a broadly based interdepartmental faculty that can direct student programs in a large number of areas of the mathematical sciences.

Many specialized or interdisciplinary programs can be designed for individual students, including, for example, a variety of possibilities in biomathematics.

The dissertation is normally a mathematical contribution toward the solution of a problem arising outside mathematics.

Students who are interested in this field may also want to investigate the related fields listed under Mathematical Sciences in "Opportunities for Study," pages 7-8

Application:
Applicants must have an undergraduate background that contains a substantial mathematical component. Applicants are required to submit GRE general test scores, and are advised to submit GRE mathematics subject test scores.

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Mathematics

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607 255-6757

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All three major subdivisions of mathematics (algebra, analysis, and geometry) are well represented at Cornell. The department is also very strong in logic, probability, statistics, numerical methods for partial differential equations, and symbolic computations, topology, and Lie theory.

Candidates are expected to obtain a broad acquaintance with the basic subjects of present-day mathematics and to be able to do research in one or more branches of mathematics. A reading knowledge of French, German or Russian must be demonstrated. Candidates must obtain some teaching experience.

Students seeking a minor in mathematics should contact the Director of Graduate Studies. A course work master's degree in computer science is available to students in the Ph.D. program in mathematics. Details are available from the graduate field office.

Application:
Applicants must have completed the work for an undergraduate degree in mathematics. That work should have included a rigorous course in advanced calculus and real variable theory that will serve as an introduction to measure theory. The student should also have some familiarity with applications of advanced calculus and should have had courses in linear algebra and modern abstract algebra at an advanced level. Applicants are required to submit GRE general and mathematics subject test scores; scores need to be reported by January 15. Non-native English speaking applicants must also submit a minimum TOEFL score of 600 (paper-based) or 250 (computer-based). A field brochure is available on request from the graduate field office.

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Theoretical and Applied Mechanics

Web site
E-mail
210 Kimball Hall
Cornell University
Ithaca, NY 14853-1503
607 255-5062

Apply online to Cornell Graduate School

The Field of Theoretical and Applied Mechanics provides a strong background in engineering science and applied mathematics, which prepares students to carry out high-quality analytical or experimental research and to handle a wide variety of modern engineering problems. Course work provides a broad education in the mechanics of rigid and deformable bodies, applied mathematics, and modern experimental techniques.

Current research topics include solid mechanics (modeling of manufacturing processes, quantitative ultrasonic and acoustic emission techniques, fracture mechanics, composite materials, mechanics of human-powered vehicles, nonlinear elasticity); fluid mechanics (granular materials, strongly swirling flows); dynamics and space mechanics (evolution of the solar system, planetary rings and rotation of celestial bodies, qualitative analysis of dynamic problems in nonlinear mechanics, bifurcations chaos); and biomechanics and biomathematics (respiration of plants, how fishes swim).

All students are required to minor in at least one other field. Frequently selected minors are aerospace engineering, applied mathematics, applied physics, astronomy, electrical and computer engineering, geophysics, materials science, mathematics mechanical engineering, physics, and structural engineering. Students usually take four years to earn the Ph.D. degree. The M.Eng. degree usually takes one year.

Ph.D. students take a qualifying examination. For incoming students with a Bachelor s degree, the examination is usually held after they have completed two semesters of graduate studies at Cornell. For incoming students with a Master's degree, the examination is held after they have completed one semester of graduate studies at Cornell. They must also demonstrate proficiency in English and one of the following languages: French, German Russian, Chinese or Japanese. Teaching experience is required.

Application:
The field has about forty students from a variety of academic and geographical backgrounds. Students are expected to have a background in physics, mathematics, or any branch of engineering. Applicants must submit GRE general test scores, with a minimum combined analytical/quantitative score of 1400. A minimum TOEFL score of 600 (paper-based) or 237 (computer-based) is required. Applicants interested in a terminal master's degree should apply to the Master of Engineering program.

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Genetics

Reverse engineering gene networks: Integrating genetic perturbations with dynamical modeling

Jesper Tegnér[*,†,‡,§], M. K. Stephen Yeung[*], Jeff Hasty[*,¶], and James J. Collins[*]

[*] Center for BioDynamics and Department of Biomedical Engineering, Boston University, Boston, MA 02215; [†] Division of Computational Biology, Department of Physics, Linköping University, S-581 83 Linköping, Sweden; [‡] Stockholm Bioinformatic Center, Stockholm Center for Physics, Astronomy and Biotechnology, S-106 91 Stockholm, Sweden; and [¶] Department of Bioengineering, University of California at San Diego, La Jolla, CA 92093-0412

Edited by Charles S. Peskin, New York University, New York, NY, and approved March 6, 2003 (received for review June 6, 2002)

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Abstract

While the fundamental building blocks of biology are being tabulated by the various genome projects, microarray technology is setting the stage for

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the task of deducing the connectivity of large-scale gene networks. We show how the perturbation of carefully chosen genes in a microarray experiment can be used in conjunction with a reverse engineering algorithm to reveal the architecture of an underlying gene regulatory network. Our iterative scheme identifies the network topology by analyzing the steady-state changes in gene expression resulting from the systematic perturbation of a particular node in the network. We highlight the validity of our reverse engineering approach through the successful deduction of the topology of a linear *in numero* gene network and a recently reported model for the segmentation polarity network in *Drosophila melanogaster*. Our method may prove useful in identifying and validating specific drug targets and in deconvolving the effects of chemical compounds.

▾ Methods
▾ *In Numero* Experiments and...
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Introduction

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The genome projects are rapidly generating extensive lists of the genes and proteins that govern cellular behavior, and the analysis of these lists is providing a wealth of clinically relevant information. Simultaneously, there has been impressive progress made toward the description of the regulatory mechanisms in many cellular systems (1). Transcriptional regulation, used by cells to control gene expression (2, 3), occurs when a regulatory protein increases or decreases the transcription rate through biochemical reactions that enhance or block polymerase binding at the promoter region. Because many genes code for regulatory proteins that can activate or repress other genes, the emerging picture is that of a complex web, or circuit, of interacting genes and proteins. The elucidation of how subcellular processes at the genetic level are manifest in macroscopic phenomena at the phenotypic level will be a major goal of postgenomic research.

Many cellular processes are described at the genetic level by diagrams that resemble complex electrical circuits (4), and there has been recent interest in two broad avenues of research relating to such genomic circuitry. At one end of the spectrum is the task of quantifying the fundamental laws of gene regulation. Within the context of the electrical circuit analogy, this question involves the deduction of a set of mesoscopic equations that faithfully quantify the information contained in the genetic circuit. A natural plan of attack is to use a *forward engineering* approach, whereby relatively simple circuits are designed and tested with respect to a set of equations generated from the underlying biochemistry. Recent work in this area has entailed the successful coupling of dynamical systems analysis with the construction of relatively simple genetic circuits, such as autoregulatory single-gene networks (ref. 5; F. Isaacs, J.H., C. R. Cantor, and J.J.C., unpublished work), genetic toggle switches (6), and genetic oscillators (7).

At the other end of the spectrum is the project of deducing the connectivity of the genes in a naturally occurring large-scale network. This work is being driven by recent technological advances that permit the simultaneous measurement of expression levels from thousands of genes. Such microarray technology, which rapidly produces vast catalogs of patterns of gene activity, highlights the need for systematic tools to identify

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PNAS | April 30, 2002 | vol. 99 | no. 9 | 6163-6168

Genetics

Reverse engineering gene networks using singular value decomposition and robust regression

M. K. Stephen Yeung, Jesper Tegnér †, and James J. Collins ‡

Center for BioDynamics and Department of Biomedical Engineering, Boston University, Boston, MA 02215

Edited by Charles S. Peskin, New York University, Hartsdale, NY, and approved March 13, 2002 (received for review October 29, 2001)

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Abstract

We propose a scheme to reverse-engineer gene networks on a genome-wide scale using a relatively small amount of gene expression data from microarray experiments. Our method is based on the empirical observation that such networks are typically large and sparse. It uses singular value decomposition to construct a family of candidate solutions and then uses robust regression to identify the solution with the smallest number of connections as

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the most likely solution. Our algorithm has $O(\log N)$ sampling complexity and $O(N^4)$ computational complexity. We test and validate our approach in a series of *in numero* experiments on model gene networks.

Introduction

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With recent advances in cDNA and oligonucleotide microarray technologies (1), it has become possible to measure mRNA expression levels on a genome-wide scale. Data thus collected provide valuable descriptions of gene activities under various biochemical (2) and physiological (3) circumstances and allow one to reverse-engineer the gene networks, i.e., to infer the underlying network structures from experimental measurements. However, naturally occurring gene regulatory networks are embedded in genomes that typically consist of thousands of genes. To extract the topology of such networks and hence isolate the functional subnetworks represents a computationally daunting task; it also requires a very large amount of experimental data, which are expensive to obtain.

To circumvent this problem of data deficiency, many current research efforts have focused on clustering, i.e., grouping genes into hierarchical functional units based on correlations in expression patterns (3-8). This hierarchical approach has been fruitful in identifying coregulated genes in certain functional units (3-6). It has also been generalized to self-organizing maps (7) and supervised learning schemes (8) to cope with the sensitivity to noise and other deficiencies intrinsic to hierarchical clustering (9), at the cost of increasing computational cost. However, a fundamental shortcoming of such clustering schemes is that they are based on the assumptions that: (*i*) gene regulatory networks are hierarchical in structure (3-6), and (*ii*) genes performing related biological functions exhibit similar expression patterns (and vice versa). These assumptions may not always be valid. At a structural level, there are data suggesting that gene regulatory networks are not strictly hierarchical in nature; rather, they are interwoven like a web (10), as in the cases of metabolic (11) and protein networks (12), with multiple pathways for similar functions to provide redundancy to protect against mutations and other deleterious effects (13). At a dynamical level, mRNA and protein expression levels for certain genes may not be correlated (14), suggesting a similar lack of strict correlation between gene expression and function. Therefore, although clustering is useful on a local scale to identify isolated coexpressing units, it is not suitable for large-scale reverse engineering.

Recently, there have been attempts to reconstruct models for gene regulatory networks on a global genome-wide scale using ideas from system identification (15), such as genetic algorithms (16), neural networks (17), and Bayesian models (18). Although useful in specific contexts, these approaches are of restricted scope, as they typically require a large amount of data and computation to generate connectivity maps for large networks, such as those of genomic scales. To overcome these problems of data shortage and computational inefficiency, several researchers (19-22) have adopted a linear model and have used singular value decomposition (SVD) (23) to reverse-engineer the network architecture. As we will explain in greater detail below, although SVD provides a useful and condensed description of the data, it alone may not correctly identify the connectivity matrix and therefore may not accurately predict the behavior of the gene

Time Delay in the Kuramoto Model of Coupled Oscillators

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We generalize the Kuramoto model of coupled oscillators to allow time-delayed interactions. New phenomena include bistability between synchronized and incoherent states, and unsteady solutions with time-dependent order parameters. We derive exact formulas for the stability boundaries of the incoherent and synchronized states, as a function of the delay, in the special case where the oscillators are identical. The experimental implications of the model are discussed for populations of chirping crickets, where the finite speed of sound causes communication delays, and for physical systems such as coupled phase-locked loops or lasers. [S0031-9007(98)08184-8]

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The Kuramoto model was originally developed as a tractable mean-field model of coupled biological oscillators [1], such as groups of chorusing crickets [2], flashing fireflies [3], and cardiac pacemaker cells [4]. In a beautiful analysis, Kuramoto showed that the model exhibits a spontaneous transition from incoherence to collective synchronization, as the coupling strength is increased past a certain threshold [5]. The model has since been analyzed more deeply and extended in various ways [6–10]. It has also been linked to several physical problems, including Landau damping in plasmas [8], the dynamics of Josephson junction arrays [11], bubbly fluids [12], and coupled Brownian ratchets [13].

Here we explore the effects of time delay on the dynamics of the Kuramoto model. In the past, delay has often been neglected in models of coupled oscillators. In many cases this approximation is physically justified, and in all cases it simplifies the mathematics. But recently several authors have begun to investigate oscillator systems where delays are not negligible [14,15], motivated by neural networks where synaptic, dendritic, and propagation delays can be significant. Other authors have considered delays in systems of limit-cycle oscillators [16], with applications to arrays of lasers and microwave oscillators.

Intuitively, the problem is similar to that faced by the fans sitting in an enormous football stadium, all of whom (we suppose) are trying to clap in unison. Even if everyone were successfully clapping in perfect synchrony, it would not sound that way to the fans themselves, as the applause coming from far across the field would be significantly delayed, because of the finite speed of sound.

Nevertheless, we show that perfect synchrony is possible in the Kuramoto model with time delay, if all oscillators are identical. In fact, there can be several different synchronized states, and they can coexist with a stable incoherent state where the oscillators are completely disorganized. These multistabilities are qualitatively new: they do not occur in the original Kuramoto model.

We consider a system of phase oscillators with noisy, randomly distributed intrinsic frequencies, and with delayed mean-field coupling:

$$\dot{\theta}_i(t) = \omega_i + \xi_i(t) + \frac{K}{N}\sum_{j=1}^{N}\sin[\theta_j(t-\tau) - \theta_i(t) - \alpha]. \quad (1)$$

for $i = 1, \ldots, N$. Here $\theta_i(t)$ is the phase of the ith oscillator at time t, and ω_i is its intrinsic frequency, randomly drawn from a probability density $g(\omega)$ with mean ω_0. The white noise $\xi_i(t)$ represents frequency fluctuations at an effective temperature $D \geq 0$, and is defined by the ensemble averages $\langle \xi_i(t) \rangle = 0$, $\langle \xi_i(s)\xi_j(t) \rangle = 2D\delta_{ij}\delta(s - t)$. In the global coupling term, $K \geq 0$ is the coupling strength, $\tau > 0$ is the delay, and α is a phase frustration parameter. This model reduces to the Kuramoto model [5] if $\tau = 0$, $\alpha = 0$, and $D = 0$, and to the mean-field XY model if $\tau = 0$, $\alpha = 0$, and the oscillators are identical, i.e., $g(\omega) = \delta(\omega - \omega_0)$. For $\tau = 0$, the separate effects of frustration α and noise D have been studied by Sakaguchi and Kuramoto [6].

As the one-parameter family of rotating-frame transformations $\theta_i(t) \to \theta_i(t) - \Omega t$, $\omega_i \to \omega_i - \Omega$, $\alpha \to \alpha + \Omega\tau$ leave Eq. (1) invariant for any Ω, we may assume $\alpha = 0$ without loss of generality—except if $\tau = 0$, which we forbid. (This restriction is merely for convenience. All of our results are well-behaved as $\tau \to 0$ and converge to those obtained by setting $\tau = 0$ from the start.) Moreover, since Eq. (1) is invariant under the reflection $\omega_i \to -\omega_i$, $\theta_i \to -\theta_i$, $\alpha \to -\alpha$, it suffices to consider $\omega_0 \geq 0$.

It is often helpful to describe the macroscopic state of the system in terms of the complex order parameter $R(t)e^{i\psi(t)} = \frac{1}{N}\sum_{j=1}^{N} e^{i\theta_j(t)}$ introduced by Kuramoto [5]. Here $R(t)$ measures the system's phase coherence. In particular, $R = 1$ if all of the oscillators are in phase, whereas $R = 0$ if the oscillators are scattered around the unit circle with their centroid at the origin.

Our first analytical result concerns the stability of the incoherent state for the infinite-N limit of Eq. (1). We rewrite the model as a Fokker-Planck equation for the density $\rho(\theta, \omega, t)$ of oscillators currently at phase θ, with

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Interactions of topological kinks in two coupled rings of nonlinear oscillators

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Two discrete rings of nonlinear oscillators with topologically trapped kinks exhibit features due to coupling interactions between the rings. These interaction effects include phase locking between kinks in different rings, precession of the kink/antikink collision region, excitation of kink/antikink pairs, and time-dependent switching. We study these phenomena in simulations of two coupled discrete sine-Gordon equations, and in experiments on two inductively coupled rings of niobium Josephson junctions. [S0163-1829(98)06237-7]

I. INTRODUCTION

Discrete rings of coupled nonlinear oscillators have long served as model systems in studies of spatiotemporal pattern formation. Turing's pioneering analysis of morphogenesis[1] was largely concerned with instabilities and spatial patterns in a discrete ring of N cells, each governed by nonlinear chemical kinetics and coupled together by diffusion. Rings of nonlinear oscillators have also been used to model arrays of physical systems composed of phase-locked loops,[2–4] lasers,[5] Josephson junctions,[6,7] pendula,[8] chemical oscillators,[9] and chaotic circuits.[10]

Certain kinds of rings have an interesting topological property: they can trap an integer number of kinks. To be concrete, consider an open-ended chain of pendula coupled to their nearest neighbors by torsional springs. Twist the chain a few times and then form a ring by connecting the first and last pendula by another torsional spring. Assuming that the springs remain intact, the net number of twists always remains constant, no matter how the system evolves. Winfree[11] calls this principle "the conservation of winding number." It holds whether the twists spread out or form localized kinks and antikinks. More generally, trapped kinks can occur in any ring of elements satisfying the following conditions: the state of each element involves a circular phase variable, and the state's amplitude does not vanish anywhere along the ring. Trapped kinks have been studied in model rings of biological and chemical oscillators with strongly attracting limit cycles,[11,12] and in long annular Josephson junctions.[13–17]

The dynamics are particularly rich if the oscillators are underdamped and the ring is discrete. Then, for small forcing, the twists remain localized. As these kinks propagate, they excite small-amplitude linear waves in their wake.[18,19] When driven at certain speeds, a rotating kink can phase lock with its own radiation, leading to novel resonances that have recently been predicted[6] and observed experimentally in discrete Josephson rings.[20] Because of the discreteness, it is also possible for kinks and antikinks to travel at different speeds in a single system, giving rise to quasiperiodic resonances with more complicated spatiotemporal patterns.[7,21]

In this article, we explore a system of *two* discrete rings of underdamped oscillators, using inductively coupled Josephson junctions as an experimental realization. The nonlinear dynamics of two coupled discrete rings are almost uncharted. However the continuous counterpart, a stacked long Josephson junction ring system, has been studied experimentally,[22,23] numerically,[24] and analytically.[25] An interesting feature is the phase locking between kinks and antikinks in the two rings. Such a phase-locking has been observed in continuous ring-systems.[22,26] Together with the literature describing symmetries shared by (open-ended) continuous and discrete coupled systems,[26,27] we approach the discrete coupled ring system with a certain intuition as to

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Nonlinear dynamics of a solid-state laser with injection

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We analyze the dynamics of a solid-state laser driven by an injected sinusoidal field. For this type of laser, the cavity round-trip time is much shorter than its fluorescence time, yielding a dimensionless ratio of time scales $\sigma \ll 1$. Analytical criteria are derived for the existence, stability, and bifurcations of phase-locked states. We find three distinct unlocking mechanisms. First, if the dimensionless detuning Δ and injection strength k are small in the sense that $k = O(\Delta) \ll \sigma^{1/2}$, unlocking occurs by a saddle-node infinite-period bifurcation. This is the classic unlocking mechanism governed by the Adler equation: after unlocking occurs, the phases of the drive and the laser drift apart monotonically. The second mechanism occurs if the detuning and the drive strength are large: $k = O(\Delta) \gg \sigma^{1/2}$. In this regime, unlocking is caused instead by a supercritical Hopf bifurcation, leading first to phase trapping and only then to phase drift as the drive is decreased. The third and most interesting mechanism occurs in the distinguished intermediate regime k, $\Delta = O(\sigma^{1/2})$. Here the system exhibits complicated, but nonchaotic, behavior. Furthermore, as the drive decreases below the unlocking threshold, numerical simulations predict a self-similar sequence of bifurcations, the details of which are not yet understood. [S1063-651X(98)05510-X]

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I. INTRODUCTION

The Adler equation

$$\frac{d\Phi}{dt} = \Delta - k \sin \Phi \tag{1}$$

provides the simplest model of phase locking between a nonlinear oscillator and an external periodic drive. Here $\Phi(t)$ is the phase difference between the oscillator and the drive, Δ is the frequency detuning, and k is the coupling strength. This equation first arose in connection with the phase locking of microwave oscillators [1], and has since found application in many other settings, including the depinning of charge-density waves [2], the entrainment of biological oscillators [3,4], and the onset of resistance in superconducting Josephson junctions [5,6].

A system governed by the Adler equation can display only two types of long-term behavior [6]. If $|\Delta/k| \leq 1$, all solutions tend to a phase-locked state, where the response oscillator maintains a constant phase difference relative to the driver. On the other hand, if $|\Delta/k| > 1$, all solutions exhibit phase drift, where the phase difference grows monotonically with one oscillator periodically overtaking the other.

The main limitation of the Adler equation is that it treats the response oscillator as a system with only one degree of freedom, namely, its phase. Possible variations in its amplitude (and any other degrees of freedom) are ignored. This approximation is reasonable in the limit of weak driving; in that case, the amplitude of the response oscillator typically equilibrates much more rapidly than its phase, and can therefore be treated as a constant in the subsequent analysis. But if the driving is not weak (in some appropriate dimensionless sense), the dynamics can become complicated. In this paper we revisit a classic problem—the mathematical analysis of a solid-state laser with external injection [7–11]—and explore it in regimes where amplitude effects become important and the Adler approximation breaks down.

Our work was inspired by recent theoretical and experimental studies of amplitude effects in two mutually coupled solid-state Nd:YAG lasers [12,13]. In those studies, the lasers were equally coupled and identical, except for a slight relative detuning of their frequencies from some common cavity mode. For coupling strengths well above or below the locking threshold, the lasers were found to exhibit the simple behavior expected from the Adler approximation. However, as the coupling approached the locking threshold from below, the lasers showed a series of amplitude instabilities, culminating in a period-doubling route to chaos. These instabilities could not be explained by the Adler approximation. Instead the authors proposed the following mechanism. Below the locking threshold, the lasers exhibit phase drift. If the time required for one full cycle of phase slip happens to be an integer multiple of the lasers' relaxation period, the resulting subharmonic resonance might account for the observed instabilities. For the highly symmetrical case where the two lasers are assumed to have identical intensities and gains, this argument was proven to be correct by reducing the governing equations to those for a single, periodically modulated laser, where the subharmonic resonance mechanism was already known to occur [14,15].

We wondered whether similar amplitude instabilities and chaos would occur in two coupled Nd:YAG lasers with *unidirectional* coupling (or equivalently, in a single Nd:YAG laser with external injection). On the one hand, the qualitative argument about subharmonic resonances should still work. On the other hand, the equally coupled case enjoys special symmetries that are not present in the unidirectional

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EDUCATION

- Ph.D. in Mathematics, University of California, Riverside, expected June 2004

  Dissertation Advisor: John C. Baez
  Dissertation Topic: *Lie 2-algebras*

- M.S. in Mathematics, University of California, Riverside, June 2000
- B.S. in Mathematics, Summa cum Laude, University of Redlands, May 1999

TEACHING EXPERIENCE

- Graduate Teaching Assistant, University of California, Riverside
  Fall 2000 – Spring 2002 and Fall 2003 – present
- Teaching Associate in Mathematics, University of California, Riverside,
  Summer 2001, 2002, and 2003
- Lecturer in Mathematics, Pomona College, Spring 2002
- Adjunct Instructor, University of California, Riverside, Fall 2000 and Fall 2001

PUBLICATIONS

- Crans, A.; Fallat, S.; and Johnson, C. "The Hadamard core of the totally nonnegative matrices." *Linear Algebra and its Applications* 328 (2001): 203 – 222.
- Crans, A.; Weinhold, R. "What to Do on Your Summer Vacation." *Math Horizons* February 2001: 23 – 26

MANUSCRIPT

- Baez, J.; Crans, A.: "Higher Dimensional Algebra VI: Lie 2-algebras."
  Available at http://arxiv.org/math.QA/0307263

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LECTURES AND PRESENTATIONS

- "Quandles, Braids, and Tangles, oh my!" Bowdoin College, November 2003
- "Lie 2-algebras and the Zamolodchikov Tetrahedron Equation." Union College Mathematics Conference, November 2003
- "Lie 2-algebras and 2-braids." University of California Riverside Topology Seminar October 2003
- "Quandles, Tangles and Braids. Oh My!." University of Redlands, September 2003
- "Patterns in Pascal's Triangle." Pepperdine University. September 2003
- "Quandles: illustrating the relationship between algebra and topology." Summer Mathematics Program for undergraduate women, Carleton College. July 2003
- "Lie 2-algebras and 2-braids." University of California Riverside Quantum Gravity Seminar, June 2003
- "Quandles." University of California, Riverside Quantum Gravity Seminar April 2003

SERVICE

- Instructor of MATH 302: Apprentice Teaching, University of California, Riverside, Fall 2003
- Organizer of a teaching assistant mentor program University of California Riverside. Summer 2003 – present
- Mentor in EDGE (Enhancing Diversity in Graduate Education) program for women. Pomona College, June 2003
- Mathematics Instructor in the FASISTARI program for Biomedical Science students University of California, Riverside, August 2001
- Teaching Assistant for Summer Mathematics Program for undergraduate women Carleton College, July 2000 and July 1999

COURSES TAUGHT

- MATH 3: College Algebra, University of California, Riverside Fall 2000 and Fall 2001
- MATH 9A: First Year Calculus. University of California Riverside. Summer 2001 and Summer 2003
- MATH 30: Calculus I. Pomona College, Spring 2002
- MATH 9B: First Year Calculus, University of California Riverside Summer 2002
- MATH 31. Calculus II, Pomona College Spring 2002

COURSES ASSISTED

- MATH 5. College Algebra, University of California, Riverside, Fall 2000
- MATH 9A: First Year Calculus University of California Riverside Spring 2001
- MATH 9B: First Year Calculus. University of California. Riverside. Winter 2001
- MATH 9C: First Year Calculus, University of California Riverside, Fall 2003
- MATH 10A: Multivariable Calculus, University of California, Riverside Fall 2001 and Winter 2002
- MATH 10B: Multivariable Calculus, University of California, Riverside, Winter 2001
- MATH 113: Applied Linear Algebra, University of California, Riverside, Spring 2001
- MATH 151A: Advanced Calculus, University of California, Riverside, Fall 2003
- MATH 153: History of Mathematics University of California Riverside. Spring 2002

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HONORS

- Chancellor s Distinguished Fellowship, University of California, Riverside 1999 – present
- Outstanding Teaching Assistant, University of California, Riverside, 2002
- ATHENA of the Inland Valleys Award (for university-public school collaboration in improving mathematics education), May 2000
- Elected to Phi Beta Kappa, May 1999
- Departmental Honors in Mathematics, University of Redlands, May 1999
- Invited Participant in the National Science Foundation Research Experience for Undergraduates (REU), College of William and Mary Summer 1998
  Advisor: Shaun Fallat
  Topic: The Hadamard Core of the totally nonnegative matrices
- Invited Participant in the National Science Foundation Summer Mathematics Program for undergraduate women Carleton College July 1997

PROFESSIONAL AFFILIATIONS

- American Mathematical Society
- Association for Women in Mathematics
- Mathematical Association of America

CONFERENCES

- MAA Southern California Section Meeting California Polytechnic University, Pomona October 2003
- MAA Southern California Section Meeting, Harvey Mudd College, March 2003
- MAA Southern California Section Meeting, California Institute of Technology March 2002
- Joint Mathematics Meetings San Diego, California January 2002
- Mathfest 2000, University of California, Los Angeles, August 2000
- MAA Southern California Section Meeting UCLA, Spring 2000
- Joint Mathematics Meetings Washington, D C , January 2000

UNDERGRADUATE RESEARCH AND PRESENTATIONS

- Senior Honors Thesis, 'Musical Groups , University of Redlands, Spring 1999
- "Musical Groups,' Senior Honors Presentation University of Redlands, May 1999
- 'The Hadamard core of the totally nonnegative matrices,' University of California San Diego MAA Southern California Section Meeting. Poster Presentation, March 1999
- "The Hadamard core of the totally nonnegative matrices,' University of Nebraska Lincoln, Nebraska Conference for Undergraduate Women in Mathematics, February 1999
- Instructor for MATH 115: Mathematics through Its History University of Redlands January 1999
- Peer Advisor for MATH 121, Calculus I First Year Seminar University of Redlands Fall 1999 and Fall 1998
- "The Hadamard core of the totally nonnegative matrices,' University of Redlands, Hentschke Hall Seminar Fall 1998
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EDUCATION

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  University of Maryland, College Park, MD
  Thesis: *Whittaker Models for Metaplectic Groups*
  Advisor: Professor Jeffrey Adams

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  Major: Mathematics, Minors: Computer Science, Religious Studies

ACADEMIC POSITIONS

- C.L.E. Moore Instructor
  Massachusetts Institute of Technology, 2001-2003
  Department of Mathematics, Cambridge, MA

- Graduate Assistant
  University of Maryland, College Park, 1995-2001
  Department of Mathematics, College Park MD

HONORS AND AWARDS

- MATHEMATICS
  - *Dissertation Fellowship*, Department of Mathematics, University of Maryland, 2000-2001.
  - *Outstanding Presentation Award* Spotlight on Graduate Research, University of Maryland, 2000.
  - *Selected Participant, Institute for Advanced Study, Graduate Student Summer Program in Representation Theory of Lie Groups* Park City, Utah, 1997.
  - *Mathematics Medal*, Manhattan College, 1995.
  - *Sigma Xi Medal for Outstanding Research in the Sciences*, Manhattan College, 1995.
- OTHER AWARDS
  - *Phi Beta Kappa* Elected to the Manhattan College Chapter, 1995.
  - *Elected to the Pen and Sword Society, Manhattan College Chapter, 1994.*
  - *Finalist*, Script Magazine Screenwriting Contest, sponsored by Splendid Pictures, 2003 (Top ten out of 750 entries).
  - *Finalist*, Scriptapalooza Screenwriting Contest, 2003 (Top thirty out of 3000 entries).

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TEACHING EXPERIENCE

- **M.I.T.** (2001-2004)
  - Taught courses across the undergraduate curricula, including:
    - ◊ Introduction to Analysis (for mathematics majors)
    - ◊ Linear Algebra
    - ◊ Calculus I and II
  - Selected by the Mathematics Department to lead the *Undergraduate Seminar in Analysis*. Spring, 2004. This is a seminar style course in which students are responsible for presenting much of the material.
  - Graduate Teaching
    - ◊ Representation Theory of Lie Groups
- **University of Maryland** (1995-2001)
  - Courses Taught as the Primary Instructor:
    - ◊ Multivariable Calculus
    - ◊ Linear Algebra
    - ◊ Finite Mathematics
    - ◊ Pre-Calculus
  - Courses Taught as a Graduate Assistant:
    - ◊ Calculus I
    - ◊ Calculus II
    - ◊ Close Contact Calculus (Group oriented approach to calculus emphasizing student-teacher interaction and communication)

PUBLICATIONS

- *Waldspurger's Involution and Lifting of Characters*., with J. Schultz, submitted for publication.
- *Uniqueness of Whittaker Models for Supercuspidal Representations of an n-Fold Metaplectic Cover of SL(n)*, submitted for publication.
- *A Construction of Supercuspidal Representations for Nonlinear Groups*, in preparation.
- *Whittaker Models for Metaplectic Groups*, Ph.D. Thesis, University of Maryland, 2001.
- *Visualizing Linear Transformations Using MAPLE*, Proceedings of the Seventh International Conference on Technology in Collegiate Mathematics 1994.

INVITED LECTURES AND PRESENTATIONS

- Manhattan College Lecture Series, *An Introduction to Voting Theory (or How I Learned to Stop Worrying and Love Arnold Schwarzenegger)*.
- Centre International de Recontres Mathématiques, Langlands Functoriality; Recent Progress, Luminy, France, *Whittaker Models, Types, and Supercuspidal Representations of Metaplectic Covers of Some p-adic Groups*, 2002.
- M.I.T., Independent Activities Period Lecture Series; *All Triangles are Isosceles: An Introduction to p-adic Numbers*, 2001.
- Lie Groups Seminar, M.I.T., 2001.
- International Centre for Theoretical Physics, School on Automorphic Forms on GL(n) Trieste, Italy, 2000.

- Representation Theory Seminar, University of Maryland 2000, 2001.
- Spotlight on Graduate Research, University of Maryland, 2000.
- International Conference on Technology in Collegiate Mathematics. *Visualizing Linear Transformations Using* MAPLE, Orlando, Florida. 1994.

SERVICE

- M.I.T. Teaching Mentor
  - Selected by the Mathematics Department to observe, assist and advise new graduate students to help them become better, more effective teachers.
- Co-organized and participated in the M.I.T. Independent Activities Period Lecture Series, January, 2002.
- University of Maryland Dean's Committee
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AFFILIATIONS AND INTERESTS

- Scholarly
  - American Mathematical Society.
  - Mathematical Association of America.
  - Phi Beta Kappa.
  - Sigma Xi.
- Athletic
  - Finisher in the 2002 Houston marathon.
  - Finisher in the 2000 Vermont City Marathon
  - (Hopefully a Finisher in the) 2003 Tucson marathon, December 7, 2003.
  - Member of the Manhattan College Division I Track and Field Team (Pole Vault), 1991-1994.
- Writing
  - Wrote a feature length screenplay, *Second Wind,* which was a finalist in several international writing contests and is currently represented by Colin O'Reilly of the Content Literary Agency, Los Angeles.
  - Member of the Harvard Square Scriptwriters, 2002-present.
  - Interest in writing about Mathematics for a general audience

COMPUTER SKILLS

- Windows and UNIX operating systems. HTML, MS Word, Excel, ACCESS, SQL, Mathematica, Maple, Matlab, LaTex

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Education

PhD in Applied Mathematics: 1987- 1992: California Institute of Technology. One year interruption of studies for Israeli military service. *Advisors* : H.B. Keller (Caltech) and R. Polyak (IBM).
Thesis title : Complexity analysis of a new constrained optimization algorithm.
Recipient of full Caltech scholarship.

MSc in Applied Mathematics: 1983 - 1986: Technion - Israel Institute of Technology. *Advisor* : A. Ben-Tal.
Thesis title : A new curve search algorithm for unconstrained optimization.
Recipient of the Mendelssohn scholarship (full scholarship).

BSc in Mathematics and Physics: 1978 - 1983: University of Louvain (Belgium).

Employment History

Jul 01-Present Associate Professor at St Mary's College (Moraga, CA) in the Mathematics department.
Teaching: undergraduate precalculus, calculus, differential equations, numerical analysis, programming.
Current research: spectral properties of Toeplitz matrices, and structured systems.

Jul 00-Jul 01. Visiting Associate Professor at St Mary's College (Moraga, CA) in the Mathematics department

Sep 98-Jul 00: Assistant Professor at the University of San Francisco in the Mathematics department.
Teaching: undergraduate statistics, calculus, and differential equations.

Oct 97-Sep 98: Visiting Scholar at Stanford University in the Computer Science department (SCCM program).

Apr 98-Sep98: Senior Lecturer at Ben-Gurion University (Israel) in the Industrial Engineering department (on leave).

Mar 93-Mar 98 Lecturer at Ben-Gurion University (Israel) in the Industrial Engineering department.
Courses taught:
- Mathematical Programming (graduate),
- Software Applications in Optimization (graduate),
- Operations Research in Management (graduate),
- Operations Research I (undergraduate)
- Calculus (undergraduate).

Mar 92-Mar 93. Postdoctoral Research Fellow at the Technion-Israel Institute of Technology in the Faculty of Industrial Engineering. *Research* in interior point methods for nonlinear optimization.

1987 - Mar 92: Teaching assistant at Caltech in "Methods of Applied Math" (undergrad course) and "Matrix Theory" (grad course).

Jul-Aug 1990 Research at IBM T.J. Watson Research Center (Yorktown Heights, NY). *Project*: Implementation of a nonlinear optimization method for linear programming as part of the Optimization Subroutine Library (OSL). The coding was done in Fortran, the debugging in APL.

1986 - 1987. Instructor at the University of Michigan in undergraduate calculus.

1983 - 1986 Teaching assistant at Technion in "Numerical Analysis" (undergrad), "Optimization for Engineers" (undergrad), "Introduction to Operations Research" (grad) and "Convex Analysis and Optimization Theory" (grad).

Programming skills

Programming has accompanied my carrier from my undergraduate studies on. My experience was mainly with Fortran, C, APL, MATLAB and Unix, Windows and DOS

Languages

Fluent in English, Hebrew, French and Dutch. Good understanding of Russian and German.

Awards

The 1993 and 1996 Oded Levin Prize of the Operations Research Society of Israel.

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Research interests

Linear Algebra, Numerical Analysis, Scientific Computing, Optimization, Parallel Computation, Software applications.

Membership in professional organizations

American Mathematical Society
Society for Industrial and Applied Mathematics

Professional service

Reviewer of books and papers on Mathematics for Mathematical Reviews (American Mathematical Society).

Publications

[1] A.Ben-Tal, A.Melman and F.Zowe (1990): "Curved search methods for unconstrained optimization". *Optimization*, 21, No.5, pp. 669-695.

[2] A.Melman (1994): "A new linesearch method for quadratically constrained convex programming". *Operations Research Letters*, 16, pp. 67-77.

[3] A.Melman (1995): "Numerical Solution of a Secular Equation." *Numerische Mathematik*, 69, pp. 483-493.

[4] A.Melman and R.Polyak (1996): "The Newton modified barrier method for QP problems". *Annals of Operations Research*, 62, pp. 465-519.

[5] A.Melman (1996): "A linesearch procedure in barrier methods for some convex programming problems". *SIAM J. of Optimization*, Vol. 6, No. 2, pp. 283-298.

[6] A.Melman (1997): "A unifying convergence analysis of second-order methods for secular equations". *Mathematics of Computation*, Vol. 66, No. 217, pp. 333-344.

[7] A.Melman (1997): "Geometry and convergence for Euler's and Halley's methods". *SIAM Review*, 39, No. 4, pp. 728-735.

[8] A.Melman (1997): "Analysis of higher-order methods for secular equations". *Mathematics of Computation*, Vol. 67, No. 221, pp. 271-286.

[9] A.Melman (1997): "A numerical comparison of methods for solving secular equations". *Journal of Computational and Applied Mathematics*, 86, pp. 237-249.

[10] A.Melman (1998): "Spectral functions for real symmetric Toeplitz matrices". *Journal of Computational and Applied Mathematics*, 98, pp. 233-243.

[11] A.Melman (1999): "Bounds on the extreme eigenvalues of real symmetric Toeplitz matrices". *SIAM J. on Matrix Analysis and Applications*, 21, No. 2, pp. 362-378.

[12] A.Melman (1999): "A symmetric algorithm for Toeplitz systems". *Linear Algebra and its Applications*, 301, pp. 145-152.

[13] A.Melman and G. Rabinowitz (2000): "Efficient methods for a class of continuous nonlinear knapsack problems". *SIAM Review*, Vol. 42, No. 3, pp. 440-448.

[14] A.Melman (2000): "A recurrence relation for real symmetric Toeplitz matrices". *IEEE Transactions on Signal Processing*, Vol. 48, No. 6, pp. 1829-1831.

[15] A.Melman (2000): "Symmetric centrosymmetric matrix-vector multiplication". *Linear Algebra and its Applications*, 320, pp. 193-198.

[16] A.Melman (2001): "Extreme eigenvalues of symmetric positive definite Toeplitz matrices". *Mathematics of Computation*, 70, pp. 649-669.

[17] A.Melman (2001): "The even-odd split Levinson algorithm for Toeplitz systems". *SIAM J. on Matrix Analysis and Applications*, 23, No. 1, pp. 256-270.

[18] A.Melman (2001): "A two-step even-odd split Levinson algorithm for Toeplitz systems". *Linear Algebra and its Applications*, 338, pp. 219-237.

[19] Accepted for publication (2003): A. Melman: "Computation of the smallest even and odd eigenvalues of symmetric positive-definite Toeplitz matrix" *SIAM J. on Matrix Analysis and Applications*

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Conference presentations

- A. Melman and A. Ben-Tal - 1986 - A new curve-search algorithm
  Operations Research Society of Israel Meeting. Nahariya,Israel.
- A. Melman and R. Polyak - 1992 - The Newton MBF method for QP
  SIAM Optimization Meeting. Chicago, IL, USA.
- A. Melman - 1993 - Linesearches in IP methods.
  Operations Research Society of Israel Meeting, Nahariya Israel.
- A. Melman and R. Polyak - 1993 - The "hot start" phenomenon for the Newton MBF method for QP problems.
  16th IFIP Conference on System Modelling and Optimization, Compiegne,France. Abstracts. Vol. 2., pp. 829–832.
- A. Melman - 1994 - Perturbed eigenvalues and linesearches in IP methods.
  8th Conference on Industrial Eng. and Mngmt., Beer-Sheva Israel. Proceedings. pp. 4.1.4 1–10.
- A. Melman - 1994 - Numerical method for a secular equation
  SIAM Annual Meeting, San Diego, CA USA.
- A. Melman - 1994 - Linesearches in IP methods and perturbed eigenvalues.
  15th International Symposium on Mathematical Programming. Ann Arbor, MI, USA. Abstracts, p. 140.
- A. Melman - 1995 - Numerical methods for secular equations.
  Joint AMS-IMU meeting, Jerusalem, Israel. Abstracts of papers presented to the AMS, Vol. 16, No.3, p. 502.
- A. Melman - 1995 - Solving quasivariational inequalities in sandpile growth, river networks and superconductivity
  14th European Conference of Operations Research, Jerusalem,Israel.
- A. Melman - 1996 - A method for solving relaxed nonlinear knapsack problems.
  Annual Conference of the Operations Research Society of Israel, Tel-Aviv, Israel.
- A. Melman - 1997 - A unified convergence analysis for secular equations
  SIAM Annual Meeting, Stanford, CA,USA.
- A. Melman - 1998 - Spectral functions for real symmetric Toeplitz matrices.
  South California Matrix Meeting, San Jose,CA, USA.
- A. Melman - 1999 – Recent results in Toeplitz matrix problems, invited lecture.
  International Symposium on Numerical Analysis. Computer Science and its Applications. Plovdiv, Bulgaria
- A. Melman - 2000 – An improved fast algorithm for Toeplitz systems.
  The 7th SIAM Conference on Applied Linear Algebra, Raleigh, NC, USA.
- A. Melman - 2002 – A survey of Levinson-type algorithms for Toeplitz systems.
  Bay Area Scientific Computing Day, Pleasanton, CA USA

Seminars at universities and institutions

- 1992 - Industrial Eng. and Mngmt., Technion, Israel.
- 1992 - Mathematical Sciences, IBM, Yorktown Heights, NY.
- 1992 - Industrial Eng. and Mngmt., Ben-Gurion Univ., Israel
- 1993 - Industrial Eng. and Mngmt., Ben-Gurion Univ., Israel
- 1994 - Mathematics Dept., Univ. of Maryland, MD.
- 1994 - Operations Research Dept., George Mason University, VA.
- 1995 - Computer Science Dept., Stanford University, CA.
- 1995 - Computer Science Dept., Univ. of California, Berkeley CA.
- 1995 - Mathematics Dept., Univ. of Copenhagen, Denmark.
- 1995 - Mathematics Dept., Technical University, Denmark.
- 1995 - Center for Operations Research, Rutgers University, NJ.
- 1995 - Mathematics Dept., Naval Postgrad. School, Monterey, CA.
- 1996 - Operations Research Dept., George Mason University, VA.
- 1996 - Mathematics Dept., Naval Postgrad. School, Monterey, CA.
- 1996 - Computer Science Dept., Stanford University, CA.
- 1998 - Mathematics Dept., Naval Postgrad. School, Monterey, CA.
- 1998 - Computer Science Dept., Stanford University, CA.
- 2000 - Mathematics and Comp. Sc. Dept., St Mary's College, Moraga CA.
- 2000 - Mathematics and Comp. Sc. Dept., Santa Clara University, CA.
- 2002 – Mathematics Dept., Sacramento State University, CA.

Anthony A. Mendes

Curriculum Vitae

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(858)455-9621

UCSD Mathematics Dept.
9500 Gilman Drive
La Jolla, CA 92093-0112

EDUCATION

University of California, San Diego
Ph.D. in Mathematics, expected Spring 2004
M.A. in Mathematics, Fall 2001

University of California, Irvine
B.S. in Mathematics, Spring 2000 *Magna Cum Laude*

RESEARCH

Algebraic and enumerative combinatorics: symmetric functions, permutation enumeration, representation theory, rook theory, plethysm

AMS subject classifications: 05A15 05E05 05E10 05E15 20C30

APPOINTMENTS

Instructor, Miramar College *2001–present*
Full responsibility instructor for courses in trigonometry and university level calculus

Teaching assistant University of California, San Diego *2000–present*
lower division: entire calculus sequences, differential equations, discrete mathematics
upper division: algorithm design, linear algebra, partial differential equations, probability, real analysis, statistics

Research assistant, University of California, San Diego *Summer 2001*
Designed, authored, and tested Mathematica packages for use in computing with non-commuting algebras and noncommuting Gröbner bases.

Junior Specialist, University of California, Irvine *Spring 2000*
Presented five lectures introducing research mathematics to high school students

PUBLICATIONS

A λ-ring Frobenius characteristic for GLS_n, with J. Remmel and J. Wagner, submitted to *The Electronic Journal of Combinatorics*

Symmetric functions and permutation enumeration, to appear June 2004 (doctoral dissertation)

Rook theory and a formula of Frobenius for the Weyl groups of type B and D, in preparation

Untitled memoir stemming from topics in my doctoral dissertation, with J. Remmel, in preparation (over 100 pages written)

PRESENTATIONS

Permutation enumeration via symmetric functions II
University of California, San Diego. October 2003

Permutation enumeration via symmetric functions I
University of California, San Diego. September 2003

The representation theory of wreath product groups
University of California, San Diego. December 2002

AWARDS

Outstanding mathematics student at the University of California, Irvine
University of California, Irvine Fellowship recipient

REFERENCES

Professor Jeff Remmel : remmel@math.ucsd.edu (thesis advisor)
Professor Adriano Garsia : garsia@math.ucsd.edu
Professor Fan Chung Graham : fan@math.ucsd.edu
Professor Dan Wulbert, Revelle College Provost : dwulbert@math.ucsd.edu (teaching)

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Curriculum Vitae

(Updated Dec. 12th, 2005)

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Indiana University
831 E 3rd St
Bloomington, IN 47405-7106

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Telephone: 812-360-4922 (Mobile)
812-856-5179 (Office)

Citizenship Status

- U.S. Citizen

Education

- **Courant Institute, New York University**
  Ph.D., Mathematics, May 2003
  Dissertation: *Topological Obstructions to Certain Group Actions on Manifolds* (Supervised by Sylvain Cappell)
- **City College of New York, CUNY**
  M.A., Mathematics, June 1997
  B.A., Mathematics (with Minor in Physics), *Salutatorian*, June 1996

Academic Positions Held

- **VIGRE Postdoctoral Fellow**, Indiana University, 2003-06
- **Instructor**, New York University, 2001-03
- **Instructor**, City College of New York, Fall 2002
- **Junior Research Scientist**, Courant Institute, Summer 2002
- **Special Instructor** (for a student with autistic disorder), Empire State College, 2002
- **Instructor**, City College of New York, 1996-1997

Publications & Preprints

- **Topological Obstructions to Certain Lie Group Actions on Manifolds**, to appear in *Transactions of AMS*
- **Extremal Points, Critical Points, and Saddle Points of Analytic Functions** (with Joseph Bak & Donald J. Newman), to appear in *American Mathematical Monthly*
- **Mod-2 Equivalence of the K-theory Thom and Signature Classes** (with James F. Davis), preprint
- **The Algebra of Geometric Constructions in Euclidean Geometry** (with Richard Pollack) in conception.

Invited Address

- **Obstructions to Certain Lie Group Actions on Manifolds**, May 1st 2004, Midwest Topology Conference

Courses Taught

- **Topology I** (Graduate Level), Indiana University, Fall 2004
- **Algebra II: Galois Theory**, New York University Spring 2001
- **Linear Algebra**, Indiana University, Spring & Fall 2005; New York University, Spring 2002
- **Probability & Statistics**, Indiana University, Summer 2005
- **Ordinary Differential Equations**, Indiana University, Spring 2006; City College of New York, Fall 2002
- **Calculus I**, Indiana University, Spring & Summer 2004; City College of New York, Fall 1996
- **Calculus II**, New York University Summer 2002; City College of New York, Spring & Summer 1997

Academic Honors & Awards

- **W. Magnus Prize for Significant Contributions to the Mathematical Sciences**, Courant Institute 2004
- **National Science Foundation Graduate Research Fellowship**, 1997-2000
- **Salutatorian** of City College of New York Class of 1996
- **Emil L. Post Mathematics Award**, City College of New York, 1996
- **Robert E. Marshak Science Award**, City College of New York 1996
- **Sperling Prize in Philosophy**, City College of New York, 1996
- **Golden Key Honor Society Scholarship**, 1996
- **Physics Tutoring Prize**, City College of New York, 1996

References

- Sylvain Cappell & Richard Pollack, New York University; James Davis, Indiana University

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Erin Mari McNicholas

CONTACT INFORMATION

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P.O. Box 210089
Tucson, Arizona 85721-0089
USA

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Phone: (520)603-9401
E-mail: emcnicho@email.arizona.edu
WWW: www.math.arizona.edu/~emcnicho

CITIZENSHIP

United States

RESEARCH INTERESTS

- Random Matrix Theory
- Universal distributions and Graph Theory
- Cryptography

EDUCATION

University of Arizona, Tucson, Arizona USA

Ph.D. Candidate. Program in Applied Mathematics (expected graduation date: May 2006)

- GPA: **3.83**
- Advisor: Prof. Hermann Flaschka
- Oral exam passed May 2004
- Qualifying exam passed January 2002

M.S., Applied Mathematics, May 2002

- Graduate Courses Taken Include:

Special Topics in Number Theory: Elliptic Curves	Algebraic Geometry
Algebraic Topology	Algebraic Coding Theory
Artificial Intelligence	Numerical Analysis
Computer Graphics and Geometric Modeling	Theory of Graphs and Networks
Random Matrices	Algebra

Willamette University, Salem, Oregon USA

B.A., Mathematics and Physics, May 1997

- Minor: Studio Art
- GPA: **4.00**
- Graduated Summa Cum Laude
- Senior Theses/Projects
  - *Archimedes and the Advent of Calculus*
  - *Pigment Color Bias: A spectrographic study of reflected light*

TEACHING AWARDS

Outstanding Graduate Teaching Assistant Award
College of Science, University of Arizona, Spring 2004

Eller Business and Public Administration Student Council Award for teaching
University of Arizona, Fall 2002

HONORS AND AWARDS

Junior Oberwolfach Fellow
National Science Foundation VIGRE Grant (3 semesters)
Applied Mathematics Fellowship, University of Arizona
Robert L. Purbrick (Physics) Scholarship
Chester F. Luther (Mathematics) Scholarship
WU Endowed Scholarship
National Merit Letter of Commendation
WU Departmental Honors (Mathematics)
Alumni Honors Scholarship
Mary L. Collins Scholarship
R.S. Hall (Mathematics) Scholarship
Alpha Lambda Delta Book Award
WU Commended Student Scholar
1993 Oregon Scholar

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COMPUTER COMPETENCIES

Operating Systems:
Linux
Windows

Programming Languages and Software Programs:

C++ and C	Matlab	HTML
Minitab	Excel	OpenGL
PowerPoint	MS FrontPage	Adobe Photoshop 4.0

EMPLOYMENT/ PROFESSIONAL EXPERIENCE

Teaching Assistant. August 2000 to present
University of Arizona, Dept of Mathematics and the Interdisciplinary College

- Primary instructor for:
  one section of Math in Modern Society (MATH 105)
  one section of College Algebra (MATH 110)
  two sections of Trigonometry (MATH 111)
  three sections of Business Mathematics I (MATH 115A)
  one section of Business Mathematics II (MATH 115B)
  and one section of Understanding Elementary Mathematics (MATH 302A)
- Primary teaching responsibilities include preparing and presenting all course lectures writing course exams, and assigning student grades.
- Member of the Teaching Team for the general education course, Introduction to Global Change
- Curriculum Development Teaching Assistant. Worked with Dr. Hirschboeck to improve the curriculum of NATS 101: Introduction to Global Climate Change.
- Lead recitation sections for the graduate core analysis course, Principles of Analysis, and assisted Dr. Kim in the teaching of Math 263: Biostatistics

Contractor. March 2005 to August 2005
Sandia National Laboratory

- Developed entry level cryptography training modules

Metrologist, and Member of the National Metrology Subcommittee on ISO17025 Compliance.
August 1998 to May 2000
National Institute of Standards and Technology, and the Oregon Department of Agriculture, Measurement Standards Division

- Worked with Metrologists from across the country to identify the impact of new ISO standards on state laboratories. Presented Committee findings at the Western Regional Measurement Assurance Program annual meeting.
- Performed precision calibrations of government and industry standards. Coordinated internal laboratory audits. Maintained analyzed and updated statistical data and control charts Directed, developed and analyzed the State's Price Verification Study.
- Developed and maintained the Division's website. Composed and delivered presentations to organizations and industrial associations on Measurement Standards related issues.

Writer/Lobbyist. June 1998 to August 1998
The American Physical Society Internship Program, Public Relations DC Office

- Wrote articles for the APS newsletter *What's New* under the direction of Bob Park
- Researched science related congressional bills and compiled supplemental information for lobbyists

Various other jobs include: Graduate Teaching Assistant (University of Rochester, Dept. of Physics), Illustrator, and Coordinator of events for Crimean exchange students and professors (Willamette University)

GRANTS AND RESEARCH EXPERIENCE

Sandia Summer Internship Program, Summer 2002 2003 and 2004
Sandia National Laboratory, Albuquerque, NM

- Under the direction of Dr Cheryl Beaver, studied secure mobile coding and elliptic curve factorization. Wrote C code to implement an elliptic curve factorization scheme and a weak key attack on the Blowfish cipher
- Studied Public Key Cryptography and presented results at the SIF August 2002 Symposium

Research Tutorial Group, Spring 2001
Dept. of Mathematics, University of Arizona.

- Under the direction of Dr. Minhyong Kim, studied group representations of compact Lie Groups and their application to the symmetries of the Hydrogen atom

Particle Physics Research Assistant, Summer 1997
CLEO Collaboration, University of Rochester,
Wilson Synchrotron Laboratory, Cornell University, Ithaca, NY

- Studied the production of pi-mesons, writing FORTRAN code which searched synchrotron data for events with evidence of pi-meson production and analyzed various aspects of these events
- Gained general familiarity with the theory and instrumentation behind the synchrotron's operation

Murdock Grant Recipient, Summer 1996
Willamette University, Physics Department, Salem, Oregon.

- Conducted research on $YBa_2Cu_3O_{7-\delta}$ thin film superconductors determining the type and degree of crystal alignment using an x-ray diffractometer
- Presented results in poster form at the 1996 Murdock Conference

Carleton/St. Olaf Summer Mathematics Program, Summer 1995
The National Science Foundation and the National Security Agency

- Studied Dynamical Systems and Knot Theory

DEPARTMENT INVOLVEMENT

University of Arizona, Department of Mathematics

- Entry Level Committee, Graduate Teaching Assistant Representative 2005-2006 Academic Year
- Algebra ConcepTests Working Group Fall 2005
- First Year TA Mentoring, Fall 2005
- Freshman Placement Advising Summer 2001

COMMUNITY OUTREACH

High School SETI Workshop Coordinator, Spring 2005
Univ. of Arizona Dept of Mathematics

High School Cryptography Workshop Coordinator. Spring 2003 and 2004
Univ. of Arizona Dept. of Mathematics

High School Calculus Visits. Spring 2004
Univ. of Arizona, Dept. of Mathematics

CONFERENCES ATTENDED

AMS/MAA Joint Meetings January 2006
San Antonio, Texas

Los Alamos Days Conference, January 2005
University of Arizona

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Oberwolfach Seminar on Arithmetic Geometry and Public Key Cryptography November 2004
Organizers: Tanja Lange and Gerhard Frey
Mathematisches Forschungsinstitut Oberwolfach, Germany

Student Internship Program Symposium, August 2002
Sandia National Laboratory, New Mexico

TALKS GIVEN

Analysis and Its Applications Seminar, University of Arizona
- *Eigenvalue Statistics of Random One-Face Maps*, April 2005

Los Alamos Days Conference
- *The Universality of the Eigenvalue Distributions of Random Matrices* January 2005

Crypto Meeting, Sandia National Laboratory
- *Ramanujan Graphs: Random Matrix Models*, July 2004
- *Counting MDS Codes*, July 2003

Applied Graduate Colloquium, Dept. of Mathematics, Univ. of Arizona
- *The Many Representations of a Genus Zero Map Having One-Face* October 2005
- *Ramanujan Graphs and the Cayley Construction* April 2004

Graduate Colloquium, Dept. of Mathematics, Univ. of Arizona
- *Elliptic Curve and Hyperelliptic Curve Cryptography*, Fall 2004
- *Elliptic Curves: for the Pure and Impure at Heart* Fall 2003

Student Internship Program Symposium, Sandia National Laboratory
- *Cryptography Goes Public: An introduction to Public Key Cryptography* August 2002

Applied Research Tutorial Group Colloquium, Dept. of Mathematics, Univ. of Arizona.
- *Group Representations and the Symmetries of the Hydrogen Atom*, Spring 2001

MEMBERSHIPS IN PROFESSIONAL SOCIETIES

American Mathematical Society
Mathematical Association of America
Society for Industrial and Applied Mathematics

M. K. Stephen Yeung

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1703 E 1030 N
Logan, UT 84341
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Office Address
Please address all correspondence to home address.
Phone: (435) 797-2821
Email: yeung@cc.usu.edu

Education

Ph.D., Theoretical & Applied Mechanics, Cornell University (1999). Thesis Advisor: Steven Strogatz. Thesis Title: Time Delay in the Kuramoto Model of Coupled Phase Oscillators. Minors in Mathematics and Applied Mathematics.

B. Sc., First Class Honours, Physics, Chinese University of Hong Kong (1994). Minor in Mathematics.

Employment

Jul. 2003 – present: Assistant Professor, Dept. of Mathematics & Statistics, Utah State University.

Jun. 1999 – Jun. 2003: Research Associate, Dept. of Biomedical Engineering and Center for BioDynamics, Boston University.

May – Aug. 1994: Research Assistant, Dept. of Physics, Chinese University of Hong Kong.

Research Interests

Dynamical systems and network structures, and their applications in physics, engineering, and biology. Applied probability and game theory, and their applications in social sciences.

Research Projects

Applied probability and game theory

- Characterized an anomaly in the probability distribution governing the sum of random variables.
- Constructed a non-traditional game without an equilibrium point.
- Studied their implications in sports and elections.

Reverse engineering gene networks

- Developed efficient algorithms to reconstruct gene networks from microarray data.
- Reduced sampling complexity to $O(\log N)$.
- Reduced computational complexity to $O(N^4)$.

Delta-sigma data converters

- Developed robust high-bandwidth noise-shaping A/D and D/A data converters in digital audio and multimedia systems.
- Reduced complexity from $O(N \log N)$ to $O(N)$, lowering power consumption and chip area.
- Modified network to allow number of elements to be arbitrary integer, not necessarily of the form $N = 2^k$ as in earlier designs, resulting in greater flexibility in design to meet specifications.

Kuramoto model with time delay

- Studied networks of coupled oscillators with global, time-delayed coupling.
- Generalized a theorem due to Hayes (1950), which governs the distribution of zeros of exponential polynomials and the stability of delay differential equations.
- Stated conditions for synchronization and incoherence for oscillators interacting with time delay.

Coupled arrays of Josephson junctions

- Studied interactions of two inductively coupled discrete Josephson rings.

Lasers with injection

- Analyzed dynamics of a solid-state laser driven by injected sinusoidal field.
- Discovered a novel global codimension-2 bifurcation underlying the unlocking mechanism.
- Established conditions for stable phase-locking of injection lasers.

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Publications

M. K. S. Yeung, "A two-player multi-game match without optimal strategies", manuscript in preparation (2005)

M. K. S. Yeung, "Reverse engineering gene networks using perturbations with unknown effects", manuscript in preparation (2005).

M. K. S. Yeung, "Inferring local structures of gene networks", manuscript in preparation (2005).

M. K. S. Yeung, "Some anomalies in the probabilities of various outcomes in a sequence of paired comparisons", manuscript in preparation (2005).

M. K. S. Yeung, "Winning the battles but losing the war", submitted for publication (2005).

J. J. Collins, D. di Bernardo, T. S. Gardner, J. Tegnér and M. K. S. Yeung, "Systems and Methods for Reverse Engineering Models of Biological Networks", U.S. Patent Application Serial No. 10/506,734 (filed in 2004).

R. W. Adams, D. J. Mar and M. K. S. Yeung, "Efficient data-directed scrambler for noise-shaping mixed-signal converters with an arbitrary number of discretization levels with arbitrary weights", U.S. Patent Application No. 20030197633 (filed in 2003).

M. K. S. Yeung, Book review of "*When Least is Best*" by P. J. Nahin, *UMAP J.*, 25(4): 439–440 (2004).

R. W. Adams, D. J. Mar and M. K. S. Yeung, "Data-directed scrambler for noise-shaping mixed-signal converters with an arbitrary number of discretization levels" U.S. Patent No. 6,614,377 (2003). Cited 5 times.

M. K. S. Yeung, Book review of "*An Introduction to Mathematical Modeling in Physiology Cell Biology, and Immunology*", edited by J. Sneyd, *SIAM Review*, 45(3): 621–624 (2003).

J. Tegnér, M. K. S. Yeung, J. Hasty and J. J. Collins, "Reverse engineering gene networks: Integrating genetic perturbations with dynamical modeling", *Proc. Natl. Acad. Sci. USA* **100**, 5944–5949 (2003). Cited 30 times.

M. K. S. Yeung, J. Tegnér and J. J. Collins, "Reverse engineering gene networks using singular value decomposition and robust regression", *Proc. Natl. Acad. Sci. USA* **99**, 6163–6168 (2002). Cited 57 times.

M. K. S. Yeung and S. H. Strogatz, "Time delay in the Kuramoto model of coupled oscillators", *Phys. Rev. Lett.* **82**, 648–651 (1999). Cited 56 times.

M. K. S. Yeung and S. H. Strogatz, "Nonlinear dynamics of a solid-state laser with injection", *Phys. Rev. E* **58**, 4421–4435 (1998); with erratum, *Phys. Rev. E* **61**, 2154 (2000). Cited 18 times.

A. E. Duwel, C. F. Heij, J. C. Weisenfeld, M. K. S. Yeung, E. Trías, S. J. K. Várdy, H. S. J. van der Zant, S. H. Strogatz and T. P. Orlando, "Interactions of topological kinks in two coupled rings of nonlinear oscillators", *Phys. Rev. B* **58**, 8749–8754 (1998). Cited 1 time.

Conference Presentations

On gene networks:

- Poster, Gordon Research Conference on Theoretical Biology & Biomathematics, Tilton School, NH (2002).
- Poster, First SIAM Conference on the Life Sciences, Boston, MA (2002).

On data converters:

- Sixth SIAM Conference on Applications of Dynamical Systems, Snowbird, UT (2001)
- APS March Meeting, Seattle, WA (2001).
- APS March Meeting, Minneapolis MN (2000)

On the Kuramoto Model:

- Fifth SIAM Conference on Applications of Dynamical Systems, Snowbird, UT (1999).

On dynamics of laser:

- Poster, Gordon Research Conference on Nonlinear Science, South Hadley MA (2001).

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Invited Lectures

On applied probability:

- MIT Sloan School of Management (2005).

On gene networks:

- Third Annual Intermountain/Southwest Conference on Industrial and Interdisciplinary Mathematics Arizona State University (2004).
- Department of Mathematics, University of Arizona (2003).
- Department of Mathematics and Statistics Utah State University (2003).
- Department of Mathematics University of Massachusetts, Boston (2003).
- Department of Mathematics, University of Georgia, Athens (2003).
- Center for Bioinformatics, University of Pennsylvania (2003).
- Department of Mathematics, University of California, Davis (2003).
- Department of Applied Mathematics, University of Washington (2002).
- SIAM 50th Anniversary and 2002 Annual Meeting, Philadelphia, PA (2002).

On data converters:

- Industrial and Interdisciplinary Math Colloquium, Utah State University (2003).
- Center for BioDynamics, Boston University (2001).

On the Kuramoto Model:

- Center for BioDynamics, Boston University (2000).
- Neurogroup, Boston University (2000).
- Centre for Nonlinear Dynamics in Physiology and Medicine, McGill University (1998).

On dynamics of laser:

- Department of Physics, Utah State University (2003).
- International Conference on Dynamics of Continuous, Discrete and Impulsive Systems, London, Ontario, Canada (2001).
- Department of Mathematics, Boston University (1999).

Teaching and Other Pedagogical Experience

Instructor, Utah State University Fall 2003 – present. Courses taught:

Course	Semester	Evaluation†
Math 1210: Calculus I	Fall 05	—
Math 2250: Linear Algebra & Differential Equations	Fall 05	—
Math 5460: Theory & Application of Nonlinear Dynamical Systems	Spring 05	6.0/6.0
Math 2250H: Linear Algebra & Differential Equations (Honors)	Fall 04	5.5/6.0
Math 5610: Computational Linear Algebra & Solution of Equations	Fall 04	5.4/6.0
Math 2250: Linear Algebra & Differential Equations (2 sections)	Spring 04	5.6 & 5.1/6.0
Math 5910: Directed Reading: Mathematical Biology	Spring 04	—
Math 5610: Computational Linear Algebra & Solution of Equations	Fall 03	5.2/6.0
Phyx 5810: Physics Colloquium, as guest lecturer	Fall 03	—

†: Department average: 4.8/6.0 (Fall 03), 4.9/6.0 (Spring 04), 5.0/6.0 (Fall 04, Spring 05).
College average: 4.8/6.0 (Fall 03) 4.9/6.0 (Spring 04, Fall 04 Spring 05).

Major advisor of Marty Garlick; minor advisor of 8 students: Piya Chootinan, Alia Criddle, Justin Heavilin, Agnieszka Jach, Inga Maslova (M. Sc., 2005), Kady Schneiter (Ph.D., 2004) Laura Watkins (Ph.D., 2005), Brian Yurk.

Co-facilitator, Graduate Teaching Development Workshops, Center for Learning and Teaching Cornell University, Spring 1999.

Member, Organizing Committee, Office of Instructional Support Cornell University Spring & Fall 1996, Spring 1997.

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Professional Services

Referee for

- manuscripts for 17 journals: *Am. J. Phys., Biophys. J., Discret. Contin. Dyn. S. B, Dynam. Syst., IEEE Trans. Circuits Syst. II, J. Opt. B, J. Phys. A: Math. Gen., J. Phys.: Cond. Matt., J. Theor. Biol., Nature Genet., Nonlinearity, Physica D, Phys. Lett. A, Phys. Rev. B, Phys. Rev. E, Phys. Rev. Lett.*, and *Proc. Natl. Acad. Sci. USA;*
- one book chapter in *Springer Applied Mathematical Sciences Series, Celebratory Volume for the Occasion of the 70th birthday of Larry Sirovich*, edited by E. Kaplan, J. Marsden, and K. R. Sreenivasan;
- one book proposal for SIAM, on modeling gene regulatory networks; and
- two grant proposals for NSF, on modeling gene regulatory networks.

Participant and contributor to final report, Workshop on Mathematics for the Genomes-to-Life Program Department of Energy, Gaithersburg, MD (2002).

Chair, Session on Bifurcations and Normal Forms, International Conference on Dynamics of Continuous, Discrete and Impulsive Systems London, Ontario, Canada (2001).

Organizer, Seminar Series, Center for BioDynamics, Boston University (2000 – 2001)

System Administrator (2000 – 2003) and Webmaster (2000 – 2001), Center for BioDynamics Boston University.

Chair, Session CP27: Coupled Oscillators II, Fifth SIAM Conference on Applications of Dynamical Systems, Snowbird, UT (1999).

Member, Society for Industrial and Applied Mathematics, American Physical Society, and Society for Mathematical Biology.

Departmental Committee Services

Chair, Math 2250 Textbook Committee (2004 – present).

Member, Applied Mathematics Degree Program Creation Committee (2004 – present).

Member, Colloquium Committee (2004 – present).

Member, Industrial Mathematics Masters Degree Exam Committee (2004 – present).

Member, Interdisciplinary Faculty Search Committee (2003 – 2004).

Member, Undergraduate Studies Committee (2003 – present).

Grants

PI, "Reverse engineering gene networks for efficient drug development". Submitted to NSF, $542,113 (2005 – 2010). Not funded.

PI, "Reverse engineering gene networks", Utah State University, $14,948 (2004 – 2005).

Co-PI, "A Vertically Integrated Applied and Industrial Mathematics Educational Program at Utah State University", Submitted to NSF, $1,504,863 (2003 – 2008). Not funded.

Co-PI, "Adaptation in mixed signal processing systems", Analog Devices Inc., $99,427 (2001).

References

Prof. Richard Rand, Department of Theoretical and Applied Mechanics, 212 Kimball Hall, Cornell University, Ithaca, NY 14853; Phone: (607) 255-7145, Email: rhr2@cornell.edu

Prof. Steven Strogatz, Department of Theoretical and Applied Mechanics, 212 Kimball Hall, Cornell University, Ithaca, NY 14853, Phone: (607) 255-5999, Email: shs7@cornell.edu

Prof. Kurt Wiesenfeld, School of Physics, Georgia Institute of Technology Atlanta GA 30332-0430, Phone: (404) 894-2429, Email: kw2@mail.gatech.edu

Date: Tue, 04 Mar 2003 13:59:17 -0800
From: Rebecca Chiyoko King <king@usfca.edu>
Subject: draft of letter to Deans for tomorrow
X-Sender: king@lucas.usfca.edu
To: blochm@usfca.edu, galangr@usfca.edu, jonsonk@usfca.edu, kao@usfca.edu
king@usfca.edu, parkerg@usfca.edu, vandricks@usfca.edu, yancey@usfca.edu
X-Mailer: QUALCOMM Windows Eudora Version 5.1

Hey all.

I have pasted and attached here a very rough draft. Feel free to make comments in the editor in Word or just here in e-mail.

I will send it tomorrow.

Thanks.
Becky

March 5, 2003

Dear Stanley, Gerardo, Tristan and Jenny

We, the Dual Degree Curriculum Committee, write to you with great concern about the future of the Dual Degree Teacher Credential Program (DDP). As you know, the DD program has been able to fulfill the Jesuit mission of USF through preparing teachers for important service as well trained future educators with particular skills in urban and multicultural education. The efficiency and marketability of DDP is now at risk and we stand to lose students, tuition dollars and will have to alter our promise in terms of time for completion. There is no possible way we will be able to honor our commitment to undergraduate teacher training if we do not act to radically alter the structure of the program.

As it stands now, with our new 4 unit curriculum and recent changes in requirements for teacher credentialing, it is impossible for most students to complete the program in 5 years. Even when they take 19 units per semester and some summer/intersession classes, they still cannot complete the program in the time promised. Basically, the program is now threatened and will have to be shut down if we do not change the curricular (including an interdisciplinary major for students preparing to be elementary school teachers) and the administrative structures of the program.

In the past, the interdisciplinary major, liberal studies, was frowned upon because it was it was thought to be 'less rigorous' than other, single discipline based majors. Now that we have thriving interdisciplinary majors in Arts and Science such as the Latin American Studies Major and the like, we feel it is an opportune time to introduce a 'liberal studies' major for DD but also other, interested students. This would streamline the course load for DD students, but it would also forward the mission by allowing more time to integrate service learning and cultural immersion experiences while remaining pedagogically sound. We also suggest that DD

students would be required to minor (24 units) in a 'discipline in addition to their liberal studies major. This would allow them to have a disciplinary base to make them stronger teachers but also that departments would not lose contact hours to the DD program.

Dual Degree students represent close to four million dollars in tuition and yet we have 1.4 FTE administrating and advising them, well below state requirements. The DD program desperately needs a full time administrator, someone to write the subject matter waivers and more program coordinators. We know that one position has been approved at your level. but the director still hasn't heard from above and the need increases each day. In addition, Stephanie Vandrick who has served graciously as Director of the program for the last 2 years, is resigning soon and it is an important time to make a decision about honoring our commitment to students by having a full time administrator dedicated to them.

We the committee. urge you to take this opportunity to adopt our suggested restructuring of the program and curriculum. If you need further information to support you in making this decision, please feel free to contact us in care of the director Stephanie Vandrick.

Best.
Michael Bloch Association Professor and Chair Psychology
Rosita Galang, Professor, Education
Kathleen Jonson, Associate Professor. Education
John Kao, Associate Professor, Mathematics
Rebecca King-O'Riain, Assistant Professor and Chair, Sociology
Stephanie Vandrick Associate Professor English as a Second Language and Director Dual Degree Program
Patty Yancey Director Arts and Education Collaborative Education

Rebecca Chiyoko King O'Riain
Assistant Professor
Department of Sociology
University of San Francisco
2130 Fulton Street, San Francisco California 94117-1080
phone: (415) 422-5861
fax: (415) 422-5671
e-mail: king@usfca.edu

deans letter.doc

Date: Fri, 06 Jun 2003 11:37:15 -0700
From: Michael Lehmann <lehmannm@usfca.edu>
Subject: Retirement
X-Sender: lehmannm@sage.usfca.edu
To: lehmannm@usfca.edu
X-Mailer: QUALCOMM Windows Eudora Version 5.1

Dear friends and colleagues

We will retire from USF on May 31, 2004.

It's been a wonderful 37 (Mike) or 38 (Millie) years, but when it's time to go it's time to go.

We look forward to saying good bye to everyone in person over the next academic year.

Best regards.

Yours truly,

Mike & Millie Lehmann

Date: Fri, 24 Oct 2003 09:57:26 +1000
From: stillwell@usfca.edu
Subject: CV in pdf
To: John Kao <kao@usfca.edu>
X-Mailer: iPlanet Messenger Express 5.2 HotFix 1.05 (built Nov 6 2002)
X-Accept-Language: en
Priority: normal
Original-recipient: rfc822;kao@usfca.edu

Hi John,

Here is my CV as a pdf file. Hope it works this time.

John

CV.pdf

CURRICULUM VITAE

Personal

Name: John Colin Stillwell
Date of birth: 12 August 1942

Education

B.Sc. (Hons), University of Melbourne, 1964 (Wyselaskie scholarship)
M.Sc. University of Melbourne, 1965 (Thesis: *Recursively Enumerable Sets*)
Ph.D., MIT, 1970 (Thesis: *Reducibility in Generalized Recursion Theory*)

Appointments

2002- Professor of Mathematics, University of San Francisco
1992-2001 Associate Professor in Mathematics, Monash University
1982-1992 Senior Lecturer in Mathematics, Monash University
1970-1982 Lecturer in Mathematics, Monash University
1966-1970 Teaching Assistant in Mathematics, MIT
1964-1965 Tutor in Mathematics, University of Melbourne

Visiting Appointments

1974 Visiting Scholar, Mathematics Department, MIT
Mathematics Department University of Malaya Kuala Lumpur

1979 Visiting Scholar, Mathematics Department MIT
Mathematics Department, Ruhr Universität Bochum

1983 Fellow Commoner, Churchill College Cambridge University

1987 Visiting Scholar, Department of Pure Mathematics and Mathematical Statistics, Cambridge University

2000 Resident Fellow Dibner Institute for the History of Science MIT

2000 Visiting Professor, University of San Francisco

Invited Lectures

Congrès International Henri-Poincaré Nancy, France May 1994

International Congress of Mathematicians Zürich, Switzerland August 1991

New Zealand Mathematics Colloquium, July 1996

Joint Meetings of AMS and MAA Baltimore USA January 1998

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Public Lecture, Joint Meeting of the AMS and the Australian Mathematical Society, Melbourne Australia, July 11–16 1999

Kolloquium Max Dehn, Johann Wolfgang Goethe-Universität Frankfurt am Main Germany July 2002

Publications

BOOKS

Written

Elements of Number Theory, Springer-Verlag, 2003
Numbers and Geometry, Springer-Verlag, 1998
Elements of Algebra: Geometry, Numbers, Equations Springer-Verlag 1994
Geometry of Surfaces, Springer-Verlag, 1992
Mathematics and Its History, Springer-Verlag, 1989
Second enlarged edition 2002
Classical Topology and Combinatorial Group Theory, Springer-Verlag 1980
Chinese edition, Beijing 1988, Second, enlarged edition 1993
What is Mathematical Logic? (with J.N.Crossley et al) Oxford University Press 1972 (Translated into Italian Japanese, Bulgarian and Spanish. Reprinted by Dover. 1990)

Edited

Mathematical Evolutions (with Abe Shenitzer) Math. Assoc. Amer., 2002

Illustrated

Journey Into Geometries (by Marta Sved). Math. Assoc Amer., 1991

Translations, with additional sections written by the translator

Translation of *Lectures on Number Theory*, by P. G. L. Dirichlet
plus an introduction, American Mathematical Society 1999
Sources of Hyperbolic Geometry,
American Mathematical Society, 1996
Translation of *Theory of Algebraic Integers* by R. Dedekind
plus an introduction, Cambridge University Press, 1996
Translation of *Papers on Group Theory and Topology* by M. Dehn,
plus introductions to the papers and an appendix, Springer-Verlag 1987
Translation of *Papers on Fuchsian Functions*, by H. Poincaré
plus an introduction, Springer-Verlag, 1985
Translation of *Surfaces and Planar Discontinuous Groups*.
by Zieschang, Vogt & Coldewey. with some sections written by the translator
Springer-Verlag 1980

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Translations

Translation of *Introduction to Classical Mathematics* I by H Koch Kluwer 1991
Translation of *Spontaneous Phenomena* by F. Topsøe, Academic Press 1990
Translation of *Collected Works of Jakob Nielsen*, (2 vols.), Birkhäuser, 1986
Translation of *Plane Algebraic Curves* by Brieskorn & Knörrer. Birkhäuser, 1986
Translation of *Trees* by J-P. Serre, Springer-Verlag 1980

PAPERS

Emil Post and His Anticipation of Gödel and Turing,
Mathematics Magazine **77** (2004), 3–14
Max Dehn and Geometry,
Mathematische Semesterbericht **49**, (2002) 145–152
Review of *The Honors Class* by Ben Yandell
SIAM Review 44, (2002) 699–703
The Continuum Problem,
Amer. Math. Monthly **109**, (2002), 286–297
Modular Miracles,
Amer. Math. Monthly **108** (2001) 70–76
The Story of the 120-cell,
Notices Amer. Math. Soc. **48** (2001), 17–24
Max Dehn,
In *History of Topology*, ed. I. M. James, Elsevier 1999 965–978
Exceptional Objects,
Amer. Math. Monthly **105**, (1998) 850-858
Review of *In Search of Infinity* by N. Ya. Vilenkin,
Amer. Math. Monthly **103**, (1996), 705-707
Poincaré, Geometry and Topology,
Henri Poincaré, Science and Philosophy
Akademie Verlag, (1996), 231-240
Number theory as a core mathematical discipline,
Proceedings of the International Congress of Mathematicians 1994 vol.2
Birkhäuser, (1995) 1559-1567
Elliptic curves,
Amer. Math. Monthly **102**, (1995) 831-837
Eisenstein's footnote,
Math. Intelligencer **17**, (1995), 58-62
What are algebraic integers and what are they for?
Amer. Math. Monthly **101**, (1994), 266-270
Galois theory for beginners,
Amer. Math. Monthly **101**, (1994), 22-27
Logic and the philosophy of mathematics in the 19th century,
Routledge History of Philosophy, volume 7 Routledge 1994 242-271

SD 290

On the complexity and combinatorics of covering finite complexes.
Australas. J. Combin. **4**, (1991), 103-112 (with J. Abello & M.R. Fellows)
Review of *Geometries and Groups* by Nikulin & Shafarevich.
Math. Intelligencer **11**, No. 4, (1989), 63-67
The occurrence problem for mapping class groups.
Proc. Amer. Math. Soc. **101**, (1987), 411-416
An algorithmically unsolvable problem in analysis,
Proc. Amer. Math. Soc. **88**, (1983), 129-130 (with A. Lenard)
Efficient computation in groups and simplicial complexes,
Trans. Amer. Math. Soc. **276**, (1983), 715-727
The word problem and the isomorphism problem for groups
Bull. Amer. Math. Soc. **6**, (1982), 33-56
Unsolvability of the knot problem for surface complexes,
Bull. Austral. Math. Soc. **20**, (1979), 131-138
Isotopy in surface complexes from the computational viewpoint
Bull. Austral. Math. Soc. **20**, (1979), 1-6
The compound crossing number of a knot,
Gazette Austral. Math. Soc. **6**, (1979), 1-10
Concise survey of mathematical logic
J. Austral. Math. Soc. **24**, (1977), 139-161
Decidability of the 'almost all' theory of degrees.
J. Symb. Logic **37**, (1972) 501-506

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Date: Fri, 21 Jan 2005 18:11:49 -0800
From: "Brendan J. Ashe" <ashe@usfca.edu>
Subject: Pre Calc for Educ. - Supplemental instruction
To: kao@usfca.edu
X-Mailer: iPlanet Messenger Express 5.2 HotFix 2.02 (built Oct 21 2004)
X-Accept-Language: en
Priority: normal

Hello Prof. Sullivan

Good talking with you the other day. We met briefly with Ashley, whom you recommended. We will interview her on Monday. We also, might be interested in setting up an SI for Elementary Stats in addition to Pre Calc for Education. Please let me know if this is a possibility. Also I need a written reccomendation for Ashley, for our records.

Finally, in order to be successful, we wish to introduce an SI tutor the first week of the semester, so the class can familiarize themselves with the tutor. Please let me know a day and time when this is possible.

If you have a question or need clarifications, please feel free to call me at x6714 or send me an email.

Thank you,

Brendan J Ashe

Date: Fri, 22 Oct 2004 10:59:55 -0700
From: Christine Liu <liuc@usfca.edu>
Subject: Catalog question
X-Sender: liuc@ace.usfca.edu
To: moser@usfca.edu
Cc: zeitz@usfca.edu, kao@usfca.edu, wolfr@usfca.edu
X-Mailer: QUALCOMM Windows Eudora Version 5.1.1

Good morning Sr. Moser,

I understand catalog questions are to be referred to you. At the time the 2003-2005 general catalog was printed, the requirement for the Mathematics/ Calif. Single Subject Teaching Credential consisted of

0206-201 Discrete Mathematics
0206-310 History of Mathematics
0206-367 Number Theory
0206-370 Probability and Statistics
0206-380 Foundations of Geometry
and field work in mathematics education.

In the meantime, the department has determined that a new course (0206-422: Combinatorics) be required and that 0206-201: Discrete Mathematics no longer be a requirement.

What is the procedure for updating the online catalog and the future print catalog, if any, with this amended requirement?

Thank you for your help;

Christine Liu
Mathematics Department Program Assistant (Secretary)
University of San Francisco
Harney 208 // tel: 415-422-6747
liuc@usfca.edu

==========
Communities that make few or no demands on their members cannot command allegiance. All else being equal members who feel most needed have the strongest allegiance.

---from "The Originist" by Orson Scott Card.

Date: Tue, 08 Feb 2005 19:04:01 -0800
From: "John S. Kao" <kao@usfca.edu>
Subject: copy of email to Dallas Davidson, Re: DDTP Waiver Proposal
To: liuc@usfca.edu, brunelle@usfca.edu, cruse@usfca.edu, finch@usfca.edu, kao@usfca.edu, peter@usfca.edu, stillwell@usfca.edu, wells@usfca.edu, wolfe@usfca.edu, zeitz@usfca.edu, smdevlin@usfca.edu, needham@usfca.edu
X-Mailer: iPlanet Messenger Express 5.2 HotFix 2.02 (built Oct 21 2004)
X-Accept-Language: en
Priority: normal

Dear Mathematics Department,

As agreed this afternoon in our department meeting, I am forwarding my email sent to Dallas Davidson, DDTP Analyst, with copies to relevant administrators and to Paul Zeitz (for confirmation of its accuracy).

I hope this information will be helpful.

Sincerely

John Kao
Associate Professor
Mathematics

Received: from [172.16.209.53] by sage.usfca.edu (mshttpd); Thu, 16 Dec 2004 16:16:43 -0800
Date: Thu, 16 Dec 2004 16:16:43 -0800
From: "John S. Kao" <kao@usfca.edu>
Subject: DDTP Math Proposal
To: galles@usfca.edu,kattenbath@mac.com,djdavidson@usfca.edu
Cc: zeitz@usfca.edu
Message-id: <11be5f411bfe5b.11bfe5b11be5f4@usfca.edu>
MIME-version: 1.0
X-Mailer: iPlanet Messenger Express 5.2 HotFix 1.21 (built Sep 8 2003)

Priority: normal

Dear David Kerr and Dallas:

I am writing to apprise you of decisions made by the Mathematics Department last week pertaining to the

DDTP Mathematics Subject Matter Preparation Proposal

currently under review by the California Commission on Teacher Credentialing. Originally I planned to convey this information in person, however, Final Exam duties were prohibitive. At this date I consider it prudent to write with the intent of clarifying details by meeting next week if possible.

In our department meeting of Tuesday, December 7, we passed the following motion made by myself to the Mathematics Department.

SD Note:
This correspondence was submitted to the Math Department files as an attachment to the Minutes of the meeting held 2/8/05.

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Resolved that:

With respect to the DDTF Mathematics Subject Matter Preparation Proposal, the Mathematics Department will identify a representative instructor for each major course required by DDTP who will be responsible for

- contributing syllabi and supporting materials for the corresponding course
- checking the accuracy of information in the Proposal as it relates to this course.

Efficient lines of communication between the DDTF Analyst and representative instructors will be established to facilitate prompt revision of the Proposal, as necessary, and to meet the schedule for re-submission established by DDTF.

In our department retreat of December 9, pursuant to the above resolution, the following Representative Instructors were identified.

Math 109 Brunelle	Math 301 Zeitz
Math 110 Brunelle	Math 310 Stillwell
Math 130 Cruse	Math 367 Stillwell
Math 211 Devlin	Math 370 Finch
Math 300 Devlin	Math 380 Stillwell

Please note the following curriculum change

Math 301 (Problem Solving)

replaces

Math 422 (Combinatorics)

In addition,

Mathematica Labs for Math 109 and Math 110 will be discontinued.

As of next academic year, the technology component of Calc I and Calc II will be minimal—Calc III will contain a Mathematica component, but not in the form of a required, zero-unit, computer lab. In compensation, a technology component will be added to Math 301 (Problem Solving). The proposed two-unit Technology In Mathematics course was not in the end, adopted

The department agreed that Representative Instructors would

- provide source materials for the DDTF Proposal
- check accuracy of information pertaining to their course within the DDTP Proposal
- incorporate CCTC Subject Matter Requirements into course Learning Outcomes.

In principle, every CCTC Subject Matter Requirement will appear as a Learning Outcome for some DDTP Math Single Subject required course. Representative Instructors agreed it would be

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efficient to communicate directly with the DDTP Analyst during the revision process. I agreed to answer general questions posed by DDTP Administrators and to advise where appropriate

The department understood that

- latest versions of the DDTP Proposal would be accessible on-line to facilitate timely revision.

With respect to Summative Assessment, the department concluded

- the next version of the DDTP Proposal should not contain a summative exam (neither written, nor oral)
- the department proposes to perform summative evaluation of student portfolios in their eighth semester. This assessment would be conducted by a panel of Mathematics faculty with the view of ensuring CCTC Subject Matter Requirements are met within the context of DDTP required courses.

In regards to the latter, the department may consider the establishment of an eighth semester summative written examination should it be absolutely necessary for acceptance of the DDTP Proposal. At this juncture, however, we ask that DDTP Administrators inquire of CCTC how this particular Standard may be met in the most efficient manner (given that the portfolio approach has been firmly established at USF across disciplines).

The above represents my best recollection of the numerous decisions made by Mathematics last week during over one full day of meetings. Unfortunately, the minutes are not available in our department office at this time. I am copying Paul Zeitz, Chair of Mathematics, on this correspondence so that he might clarify or correct the information herein if necessary

Hopefully some of us can meet next week to discuss in detail curriculum changes and their impact on the DDTP Proposal. I have given some thought to this and consider that, for the most part, the department has greatly enhanced the strength of our Program in relation to CCTC Standards

I am available almost anytime next week. Please let me know what you think.

Sincerely

John Kao
Associate Professor
Mathematics

SD 296

From: "John S. Kao" <kao@usfca.edu>
To: galles@usfca.edu,krtrembath@mac.com,djdavidson@usfca.edu
Cc: zeitz@usfca.edu,peter@usfca.edu
Date: Tue, 31 May 2005 13:52:15 -0700
X-Mailer: iPlanet Messenger Express 5.2 HotFix 2.05 (built Mar 3 2005)
Subject: DDTP Waiver Proposal
X-Accept-Language: en
Priority: normal

Dear David, Kem and Dallas

I am writing to inform you of the commencement of my sabbatical leave on June 1, 2005 with intent to return to full University service June 1, 2006. Accordingly, I will not be in attendance of DDTP Curriculum Committee meetings, nor will I be available to advise DDTP Mathematics Majors, during Fall 05 and Spring 06.

As David and I discussed in person, this leave also limits my involvement in the Mathematics Subject Matter Preparation Proposal (Math Waiver Proposal) currently under review by CCTC. I raised this matter in our last Mathematics Department meeting (May 10). It was agreed I would

- read the next available revision of the Math Waiver Proposal drafted by DDTP

- provide preliminary recommendations to DDTP including a list of sections for which, in my opinion, careful review by Representative Instructors in Mathematics is warranted.

Our new Mathematics Chair, Peter Pacheco, agreed to follow up hereupon as necessary.

Thank you for your consideration--it has been a great pleasure serving DDTP.

Sincerely,

John Kao
Associate Professor
Mathematics

From John S. Kao" <kao@usfca.edu>
Sent Thursday, August 25, 2005 12:38 pm
To galles@usfca.edu
Cc peter@cs.usfca.edu , trembath@mac.com
Bcc
Subject Second Submission of Math Waiver Proposal

Dear David.

Thank you for meeting me this past Wednesday to discuss

Mathematics Subject Matter Preparation Proposal (Math Waiver Proposal)

currently under review by the California Commission on Teacher Credentialing (CCTC).

As we understood, the First Submission of the Math Waiver Proposal was made in August 2004 by the Dual Degree in Teacher Preparation Program (DDTP). Wednesday you notified me that due to administrative error on the part of the DDTP Office

- the Mathematics Department was not contacted during Summer 05 (in particular, neither myself nor Peter Pacheco, Chair, were contacted) prior to the Second Submission which was delivered to CCTC in July.

We agreed this was contrary to Mathematics planning which entailed Departmental review of the Second Submission document.

In addition, you recommended that, instead of attempting a retroactive review of the Second Submission,

- Mathematics should await response from CCTC and corresponding instructions from DDTP before proceeding further with respect to the Math Waiver Proposal.

I anticipate Mathematics will agree to your recommendation--I will convey it to the Department at our meeting on September 13.

Thank you again for seeing me and clarifying this matter.

Sincerely.

John Kao
Associate Professor
Mathematics Department

SD Note:
This correspondence was submitted to the Math Department files as an attachment to the Minutes of the meeting held 9/13/05.

Date: Tue, 01 Nov 2005 12:00:37 -0800
From: Kem Trembath <krtrembath@mac.com>
Subject: Re: DDTP Curriculum Committee meetings: 05/06 academic year
To: "John S. Kao" <kao@usfca.edu>
Cc: David Galles <galles@usfca.edu>
X-Mailer: Apple Mail (2.734)
Original-recipient: rfc822;kao@sage.usfca.edu

Dear John:

Thanks for your email. Professor Brunelle emailed me and let me know that it wouldn't be a problem for one DDTP student to be in the class.

David and I looked through our folders and neither of us seems to have notes on the 16 Nov 04 meeting. I'll continue to look in my office; hopefully they will show up in another place. In the event that I don't find any, though, I apologize. I'll let you know if I do find them.

Thank you, John. I hope that your sabbatical is going well.

-- Kem

On Oct 25 2005, at 5:40 PM, John S. Kao wrote:

> Dear Kem,
>
> Thank you for the email message. I don't believe one student will be a problem (provided Ms. Wortham is reasonably strong in mathematics to begin with, and understands that Prof. Brunelle is not obliged to deliver CSET test preparation).
>
> One correction: checking my notes I see that the last DDTP Curriculum Committee meeting was
>
> Tuesday, November 16, 2004
> (we had to move the meeting
> to the Fifth Floor of Harney)
>
> rather than October 19, 2004. I would appreciate it if either you or David would send me the minutes to the November 16 meeting at which we discussed the DDTP Single Subject Mathematics Waiver Proposal; this, so that my records on the matter are complete.

Sincerely

John Kao
Associate Professor
Mathematics

---------- Original Message -----
From: Kern Trembath <krtrembath@mac.com>
Date: Tuesday, October 25, 2005 3:40 pm
Subject: Re: DDTP Curriculum Committee meetings: 05/06 academic year

Dear John:

Thanks for this email. I was planning to email you today anyway because of an advising situation that arose this morning immediately prior to the Major/Minor fair. A multiple subject student who joined the program late needs to take Precalc for Ed/Lib Arts in S06. There's really no other way that she can finish on time, and she much prefers to take this course than any other Math Core. I told her that she would not receive any 'help' in the class for CSET, etc.. so she fully understands this. I didn't want you to think that I was just ignoring our earlier agreement.

I'm cc ing this to Renee so that she ll know the background in the event that the student identifies herself as a DDTP student. Her name is Jennifer Wortham.

Thanks, John. I don't believe that this should happen with any other MS students.

-- Kern

On Oct 25, 2005, at 3:27 PM, John S. Kao wrote:

Dear David

Thank you for talking to me on the telephone yesterday. I was happy to confirm for you that

- I will not be advising DDTP students Fall 05 (Peter Pacheco, Chair of Mathematics, has agreed to arrange for a substitute advisor).

Thank you in turn for confirming that

- DDTP students will not be enrolling in

  Math 107 Precalculus for Ed & Lib Arts.
  Spring 06;

this, in compliance with the agreement made 3/08/05 in the Math. Dept. meeting (which you and Kern Trembath, Associate Director of DDTP, attended). The instructor Renee Brunelle understands that she will not need to explicitly prepare students for the CSET Examination during Spring 06. She intends to focus on our department's commitment to the Architecture and Community Design Program which constitutes our other client population for Math 107.

Thank you also for agreeing to

- inform me of any DDTP Curriculum Committee meetings scheduled during the 05/06 academic year.

Given the outcome of our last Math. Dept. meeting on 10/11/05 which you attended with Brandon Brown, Associate Dean of Sciences, and at which the DDTP Single Subject Mathematics Program comprised a major item of business; I feel strongly that the Math. Dept. should be represented at the next DDTP Curriculum Committee meeting. Should I be out of town on that date, I will arrange for some other mathematics faculty member to be present.

Finally, please send me the minutes for the last DDTP Curriculum Committee meeting which was held on

October 19, 2004

I recall discussing Single Subject Mathematics at length on this occasion.

Sincerely,

John Kao
Associate Professor

Mathematics

Date: Tue, 08 Nov 2005 15:56:54 -0800
From: "Hawley, Helen" <HHawley@ctc.ca.gov>
Subject: RE: University of San Francisco: Request for information
To: "John S. Kao" <kao@usfca.edu>
Thread-topic: University of San Francisco: Request for information
Thread-index: AcXj3cG7mu14yRxDRgiQzohA0zL3nQA4oo0g
X-MS-Has-Attach: yes
X-MS-TNEF-Correlator:
Original-recipient: rfc822;kao@sage.usfca.edu

Hello John,
Your presently approved program does not expire until July 1, 2009. I am attaching the Subject Matter Program Handbook. It includes all of the information that you will need to renew your approval. If you have further questions after reading it I will be happy to talk with you.

Regards,
Helen Kelley-Hawley
Consultant
1900 Capitol Avenue
Sacramento, CA 95814
916-445-8778
916-324-8927 (fax)
hhawley@ctc.ca.gov

----Original Message----
From: John S. Kao [mailto:kao@usfca.edu]
Sent: Monday, November 07, 2005 12:55 PM
To: Hawley, Helen
Subject: University of San Francisco: Request for information

Dear Ms. Hawley,

I am writing on behalf of the Mathematics Department at the University of San Francisco (USF); in particular, I am an Associate Professor of Mathematics serving on our

> Dual Degree in Teacher Preparation
> Curriculum Committee

which provides administrative oversight for USF's five-year Baccalaureate-California Teaching Credential-Master's in Teaching Program (DDTP Program). The Single Subject Mathematics component has been operating under a CTC

> Subject Matter Program in Mathematics
> approved March 1995.

The above will expire at the end of 2005. On that

basis, my department is considering major curricular revisions with the support of our Dean of Arts and Sciences. Unfortunately, the administrative records are incomplete: we do not have copies of

1995 Subject Matter Program in Mathematics application documents (inclusive of CTC Program Review and corresponding USF Response).

I was hoping you can provide information as to how I might obtain these for our university

I received your email and telephone number from

Dr. Kem Trembath, Associate Director
DDTP Program USF

He informed me you had been in contact with

Mr. Dallas Davidson, Analyst
DDTP Program, USF

in connection with our Single Subject Mathematics Waiver. Mr. Davidson is no longer employed by USF, so I elected to correspond with you directly.

I would greatly appreciate your assistance in this matter. Thank you for your attention.

Sincerely,

John Kao
Associate Professor
Mathematics Department (HR 208)
University of San Francisco
2130 Fulton Street
San Francisco, CA 94117-1080
Tel.: (415) 422-6760
Email: kao@usfca.edu

Math Handbook-Final copy.DOC

Date: Thu, 10 Nov 2005 11:51:10 -0800
From: Peter Pacheco <peter@cs.usfca.edu>
Subject: Re: DDTP Math Advising
To: "John S. Kao" <kao@usfca.edu>
Delivered-to: kao@usfca.edu
User-Agent: Mutt/1.4.2.1i
X-Spam-Checker-Version: SpamAssassin 3.0.4 (2005-06-05) on nexus.cs.usfca.edu
X-Spam-Level:
X-Spam-Status: No, score=-0.8 required=5.0 tests=AWL,BAYES_00,
RCVD_IN_SORBS_DUL autolearn=no version=3.0.4
Original-recipient: rfc822;kao@sage.usfca.edu

Hi John.

Your notes agree with my recollection of the October meeting. However, I don't know whether the following statement is true.

> - Math department advisors of DDTP Single
> Subject majors have provided consistent
> counsel to said students this Fall 05.

I haven't advised any DDTP students this fall. So the statement is true for me, but I don't know what other math faculty may have said regarding the CSET this fall. On the other hand, I do recall that David Galles said that incoming freshmen DDTP students were advised that they would need to take CSET.

Best wishes,
Peter

On Wed, Nov 09, 2005 at 06:23:52PM -0800, John S. Kao wrote:
>
> Dear Peter,
>
> I am writing in sequel to our department meeting yesterday.
> Upon careful review of the minutes we approved for the
> October 11 Math department meeting, I noticed several
> details from David Galles' presentation were omitted. It
> is my recollection that according to David,
>
> - the current Math Single Subject Matter
> Program (Math Waiver) is set to expire
> December 2005.
>
> On that basis,
>
> - DDTP Math Single Subject majors who
> hold freshman status Fall 05 have been
> advised not to expect their CSET
> Examination to be waived by the state.
>

> That is, these freshmen have been advised in Fall 05 to
> expect to take the CSET after their senior year and prior
> to their admission in the graduate program at USF's
> School of Education.
>
> Could you please confirm the following?
>
> - The above agrees with your understanding
> of our meeting on October 11.
>
> - Math department advisors of DDTP Single
> Subject majors have provided consistent
> counsel to said students this Fall 05.
>
> Thank you for your attention in this matter--while on
> sabbatical I wish to stay apprised of latest developments.
>
> Sincerely,
>
> John Kao
> Associate Professor
> Mathematics

University of San Francisco
College of Arts and Sciences
Dual Degree Program in Teacher Preparation

Welcome
Program Description
Cultural Immersion
Field Experience
Application
Contact Information
Resources

Resources

This resource page is created exclusively for current DDTP students. If you have additional links to valuable resources for our fellow students, please e-mail them to Jeff Ng, jyng@usfca.edu

On-Line Access

Student Templates/ Advising Sign-Ups/ Seminars Registration

(click here for DIRECTIONS to our new office)

Handbook

DDTP Handbook

MA Options

information about the 3 Master's options available to DDTP students

Exams

MS	SS waiver	SS (without waiver)
CBEST	CBEST	CBEST
CBEST Prep Course	CBEST Prep Course	CBEST Prep Course
US Constitution Exam	US Constitution Exam	US Constitution Exam
US Constitution Prep	US Constitution Prep	US Constitution Prep
CSET		CSET
CSET Practice Test		CSET Practice Test
CSET Prep Courses		CSET Prep Courses
RICA		
RICA Prep Course		

Dual Degree in Teacher Preparation Program
2005-06 Handbook

Contents:

- Program Overview
- Contact Information
- Program Requirements
  - General Administrative Requirements
  - State of California Requirements
    - Certificate of Clearance
    - TB Test
    - CBEST
  - Dual Degree Program Requirements
    - New Student Retreat
    - Cultural Immersion
    - Field Experience
    - Future Student Seminars
    - Meetings
  - Subject Matter Competence
  - School of Education Classes
  - University Requirements
- DDTP Timeline

SD 310

4. Subject Matter Competence

All students entering the Dual Degree program after June 2005 **must take the CSET** to ensure subject matter competence. Plan on spending a large portion of time in the summer between your Junior and Senior year studying for this exam! Additional resource information for the CSET, including study guides and sample tests, can be found at http://www.cset.nesinc.com/

Multiple Subject

All Multiple Subject students **must take the CSET** to ensure subject matter competence. The CSET is typically taken in the fall of senior year. Note that students **will not be allowed to enter the School of Education** until they have passed the CSET. The following coursework is specifically designed to prepare students for the CSET. These courses must be taken by multiple subject DDTP students, unless other prior arrangements have been made with the DDTP staff. Note that some of these courses also count for CORE requirements as noted below.

Course	Units	Core
Written & Oral Communication I	4	Core A1
Written & Oral Communication II	4	Core A2
Precalculus for Liberal Arts & Education	4	Core B1
Getting a Grip on Science	4	Core B2
Environmental Science 110	4	Core B2
Biology 100	4	Core B2
Literature , Cultural Diversity	4	Core C1
Europe/United States *(except history majors)*	4	Core C2
Philosophy of Education	4	Core D1
Theology: Any Core (as advised)	4	Core D2
Ethics: Any Core (as advised)	4	Core D3
Bilingual Education (Education Class)	3	Core E
Intro Visual & Performing Arts	4	Core F
DDTP Cultural Immersion	2	Core CD
DDTP Field Experience	2	Core SL
CA History	2	
Elementary PE Curriculum (lab)	2	
Lifespan Development *(except psychology majors)*	4	

Single Subject English

All single subject English students who entered the DDTP after June 2005 must take the CSET. We are pursuing a waiver option for English, but all students who entered the program after June 2005 should plan on taking the test. Work with your DDTP advisor on selecting courses that will help prepare you for the test.

Single Subject Mathematics

All single subject Mathematics students who entered the DDTP after June 2005 must take the CSET. We are pursuing a waiver option for Mathematics, but all students who entered the program after June 2005 should plan on taking the test. The following courses will help you prepare for the CSET.

Math 109 Calculus and Analytic Geometry I
Math 110 Calculus and Analytic Geometry II
Math 211 Calculus and Analytic Geometry III
Math 130 Elementary Linear Algebra
Math 300 Introduction to Formal Methods
Math 301 Problem Solving
Math 310 History of Mathematics
Math 370 Probability and Statistics
Math 367 Number Theory
Math 380 Foundations of Geometry
Computer Science 110 Introduction to Computer Science I

Single Subject Science

All single subject Science students must take the CSET. Students seeking a science credential should pick their courses in conjunction with both their major advisor and their DDTP advisor to properly prepare them for taking the CSET in their science discipline. Science students who have at least a 3.0 average in their major have historically not had a problem passing the CSET. Sample tests study guides, and preparation materials for the CSET are available at http://www.teachinginterchange.org/cset_preparation.html

Single Subject Social Science

All single subject Social Science students must take the CSET. Students should pick their courses in conjunction with both their major advisor and their DDTP advisor to properly prepare them for taking the CSET in Social Science. Students are encouraged to examine the Social Science standards starting in their **freshman** year, to make sure they have the requisite subject matter knowledge

Date: Fri, 11 Nov 2005 08:38:22 -0800
From: Brandon Brown <brownb@usfca.edu>
Subject: Re: DDTP Math Waiver Proposal
To: galles@usfca.edu
Cc: krtrembath@mac.com, "John S. Kao" <kao@usfca.edu>
Delivered-to: kao@usfca.edu
User-Agent: Microsoft-Entourage/10.1.4.030702.0
Original-recipient: rfc822;kao@sage.usfca.edu

Hi David.

Let's touch base on this issue next week if possible.

Best.
Brandon

>
> Dear David
>
> I am forwarding a message I received from Helen
> Kelley-Hawley, Consultant, CCTC. I contacted her
> on recommendation from Kern Trembath to verify
> that the Math Proposal document set, submitted
> to CCTC in 1995 by Millianne Lehmann, which I
> have in my possession is complete.
>
> Her reply may have implications to DDTP Program
> activities this academic year. Please read it
> and let me know what you think.
>
> Sincerely,
>
> John Kao
> Associate Professor
> Mathematics Department
>

Brandon R. Brown, Associate Dean for Sciences
University of San Francisco
2130 Fulton St San Francisco, CA 94117
415 422-6616
FAX: 415 422-5700

Date: Thu, 02 Feb 2006 17:01:22 -0800
From: David Galles <galles@usfca.edu>
Subject: Waiver expiration dates.
To: galles@usfca.edu, trembath@mac.com, Rosita Galang <galangr@usfca.edu>,
John Kao <kao@usfca.edu>, Kathleen Jonson <jonsonk@usfca.edu>,
Brandon Brown <brownb@usfca.edu>, Tonya Miller <miller@usfca.edu>,
Caryl Hodges <hodges@usfca.edu>, Jeff Ng <jyng@usfca.edu>,
Stephanie Vandrick <vandricks@usfca.edu>, Alan Heineman <heinemana@usfca.edu>
baumgardner@usfca.edu
Reply-to: galles@usfca.edu
Organization: University of San Francisco
X-Accept-Language: en-us, en
Delivered-to: kao@usfca.edu
User-Agent: Mozilla Thunderbird 1.0 (Macintosh/20041206)
X-Spam-Checker-Version: SpamAssassin 3.0.4 (2005-06-05) on nexus.cs.usfca.edu
X-Spam-Level:
X-Spam-Status: No, score=-5.9 required=5.0 tests=ALL_TRUSTED AWL,BAYES_00
autolearn=ham version=3.0.4
Original-recipient: rfc822;kao@sage.usfca.edu

My conversation with Helen in Sacramento FYI. regarding
when our waivers expire.

------- Original Message -------
From: - Thu Feb 2 16:53:36 2006
X-Mozilla-Status: 0001
X-Mozilla-Status2: 00000000
Return-Path: <HHawley@ctc.ca.gov>
X-Original-To: galles@cs.usfca.edu
Delivered-To: galles@cs.usfca.edu
Received: by nexus.cs.usfca.edu (Postfix, from userid 8) id CB02428C1AB; Thu, 2 Feb 2006 16:53:08 -0800 (PST)
Received: from sabe.usfca.edu (sabe.usfca.edu [138.202.192.16]) by nexus.cs.usfca.edu (Postfix) with ESMTP id 348A628C1A7 for <galles@cs.usfca.edu>; Thu, 2 Feb 2006 16:53:08 -0800 (PST)
Received: from sabe.usfca.edu (localhost [127.0.0.1]) by localhost (Postfix) with SMTP id 1F86C2EE for <galles@cs.usfca.edu>; Thu, 2 Feb 2006 16:53:09 -0800 (PST)
Received: from yaddle.usfca.edu (yaddle.usfca.edu [138.202.192.15]) by sabe.usfca.edu (Postfix) with ESMTP id 0A6BFAFE for <galles@cs.usfca.edu>; Thu, 2 Feb 2006 16:52:40 -0800 (PST)
Received: from hqcom002.ctc.ca.gov (mail1.ctc.ca.gov [134.186.81.14]) by yaddle.usfca.edu with ESMTP id k130qcwv012839 for <galles@usfca.edu>; Thu, 2 Feb 2006 16:52:38 -0800 (PST)
Content-class: urn:content-classes:message
MIME-Version: 1.0
Content-Type: text/plain; charset="us-ascii"
Content-Transfer-Encoding: quoted-printable
X-MimeOLE: Produced By Microsoft Exchange V6.5
Subject: RE: Subject Matter Certification Program: University of San Francisco
Date: Thu, 2 Feb 2006 16:54:44 -0800
Message-ID: <EE323D9FE2B1974D9B740CB40B79042FAADC67@hqcom002.ctc.ca.gov>

X-MS-Has-Attach:
X-MS-TNEF-Correlator:
Thread-Topic: Subject Matter Certification Program: University of San Francisco
Thread-Index: AcYoW+klvsVYf+7lQ0iiOFgPw8bsBAAAEatA
From: Hawley, Helen <HHawley@ctc.ca.gov>
To: <galles@usfca.edu>
X-Spam-Checker-Version: SpamAssassin 3.0.4 (2005-06-05) on nexus.cs.usfca.edu
X-Spam-Level:
X-Spam-Status: No score=-2.6 required=5.0 tests=BAYES_00 autolearn=ham
version=3.0.4
Status: O
X-UID: 946
Content-Length: 3060
X-Keywords:

Yes, to your first question; no, to your second. However, I would say that you must advise students that they are entering an expiring program and give them the dates and their alternatives if they don't complete by then. Thanks for the data.

-----Original Message-----
From: David Galles [mailto:galles@usfca.edu]
Sent: Thursday, February 02, 2006 4:49 PM
To: Hawley, Helen
Subject: Re: Subject Matter Certification Program: University of San Francisco

Helen --

Thanks for your prompt response! I assume that if the program expires on June 30th 2009 any student who graduates by that date (who completed all of the waiver requirements, of course) can get the waiver, regardless of when they entered the program? (Someone in our SoE though that students also need to enter the program on or before Spring 2005 -- I assume that is *not* true?)

In answer to your questions:

USF has no Science waiver sadly.

The following are our most current numbers
(these can change as people add or drop the program of course!)

Graduating (undergraduate degree) in S06:
Math 1
English 1
Social Science 11

Graduating in S07:

Math 4
English 2
Social Science 2

Graduating in S08:
Math 1
English 3
Social Science 3

Graduating in S09:
Math 1
English 3
Social Science 5

In addition, we have a 1-2 science people every year (no waiver, though), and 10-20 multiple subject students every year (no waivers there obviously with NCLB)

Again thanks for your prompt response!

- David

Hawley, Helen wrote:

> Hi David,
> All of those programs expire on June 30, 2009, so you have a little while to renew. By the way, I am collecting data statewide on subject matter candidates. Can you find out for me what the sizes of those programs are at USF (regarding how many students are participating in the programs)? Also for science if you have an approved program for that
> subject, too. Thanks.
> Helen
> -----Original Message-----
> From: David Galles [mailto:galles@usfca.edu] Sent: Thursday, February 02, 2006 12:12 PM
> To: Hawley, Helen
> Subject: Subject Matter Certification Program: University of San Francisco
> Helen Hawley --
>
> I'm the director of the Dual Degree in Teacher Education program at the University of San Francisco. We currently have Single Subject waivers in Mathematics (granted 3/95) Social Science (granted 4/98), and English (granted 11/97). If we do not renew any of these waivers, when do they expire? If at all possible, I'd like as specific an answer as possible, since we certainly don't want to mistakenly certify someone who has not met the state requirements, but we also want to offer waivers to as many of our students as possible.

(We thought this would not be an issue, since we were going to renew all of our waivers, but it looks like our program may not meet the new standards, so the exact date of expiration has become important).

Thanks for your time – I know it's crazy at the CCTC these days!

- David

Date: Wed, 13 Aug 2003 10:23:21 -0700
From: Paul Zeitz <zeitz@usfca.edu>
Subject: faculty search ad
X-Sender: zeitzp@ace.usfca.edu (Unverified)
To: cruse@usfca.edu, cruse@euclid.math.usfca.edu, wells@usfca.edu,
wolfr@usfca.edu, peter@usfca.edu, lehmann@usfca.edu, finch@usfca.edu,
zeitz@usfca.edu, brunelle@usfca.edu, john.stillwell@monash.edu.au
kao@usfca.edu, peter@cs.usfca.edu wells@euclid.math.usfca.edu
Cc: liuc@usfca.edu

Hi Everyone

I am attaching a proposed ad for the new faculty position. Please send me your comments.

Thanks
Paul

math_ad_2003.doc

Mathematics

The Mathematics Department at the University of San Francisco invites applications for a tenure-track position at the assistant professor level anticipated to begin in the Fall of 2004. Candidates from all fields of Mathematics are encouraged to apply. The successful candidate should have university teaching experience and an earned doctorate in Mathematics by Fall 2004. She/he will teach throughout the undergraduate mathematics curriculum, from courses for majors to service courses for non-science majors. The position requires a passionate commitment to excellence in teaching within a culturally diverse environment, as well as a strong potential for research and scholarship.

Candidates should submit a letter of application, *curriculum vitae*, graduate transcripts, statement of teaching philosophy and research plans, copies of complete teaching evaluations and recent syllabi, and three letters of recommendation to:

Mathematics Search Committee
c/o Professor Paul Zeitz, Chair
Department of Mathematics
University of San Francisco
2130 Fulton St.
San Francisco, CA 94117-1080

Applications must be received by **???? 2003** in order to ensure full consideration. We invite candidates to find out about our department at
http://artsci.usfca.edu/servlet/DeptWelcome?deptID=13

The University of San Francisco is a private, Catholic and Jesuit institution and particularly welcomes candidates who will positively contribute to such an environment. USF is an Equal Opportunity and Affirmative Action employer, and will provide reasonable accommodations to individuals with disabilities upon request. We particularly encourage women and minority applicants for all positions.

SD 319

Date: Mon, 26 Jan 2004 15:28:54 -0800
From: Paul Zeitz <zeitz@usfca.edu>
Subject: Job Candidates' Schedules
X-Sender: zeitzp@ace.usfca.edu (Unverified)
To: cruse@usfca.edu, cruse@euclid.math.usfca.edu, wells@usfca.edu,
wolfr@usfca.edu, peter@usfca.edu, lehmann@usfca.edu, stillwell@usfca.edu
finch@usfca.edu, zeitz@usfca.edu, brunelle@usfca.edu, kao@usfca.edu,
peter@cs.usfca.edu, wells@euclid.math.usfca.edu
Cc: liuc@usfca.edu, needham@usfca.edu

Hi Everyone

Here are the relevant events. I'd like to thank Millie for her generous donation of her Calculus II class!

Please try to see as much of the candidates as possible. If you can attend the calculus lecture (all candidates will teach the Mean Value Theorem), please do so. **And really try to come to the colloquium talks; it is important that they not be too sparsely attended, especially on Fridays!**

Christine will make copies of the candidates CVs; please ask her if you want one.
Thanks.

Paul

%%%%%%%%%%%%%%%%%%%%
Melman, W 1/28:
9 AM: Meet w/me for orientation

930-1030: Mean Value Theorem in Harney 512

11-12: Tristan

12-1:15 Lunch with the Search Committee (and anyone else who would like to join us) in Faculty Dining Room

230-3:45 Colloquium room TBA

4-5: Jenny

%%%%%%%%%%%%%%%%%%%%
Devlin, F 1/30
9 AM: Meet w/me for orientation

930-1030: Tristan

11-12: Mean Value Theorem in Harney 512

12-1:15 Lunch with the Search Committee (and anyone else who would like to join us) in Faculty Dining Room

3-4 Jenny

4:15-530: Colloquium room TBA

%%%%%%%%%%%%%%%%%%%%%
Mendes, W 2/4
9 AM: Meet w/me for orientation

930-1030: Mean Value Theorem in Harney 512

11-12: Tristan

12-1:15 Lunch with the Search Committee (and anyone else who would like to join us) in Faculty Dining Room

130-2:30 Jenny

330-445: Colloquium, room TBA

%%%%%%%%%%%%%%%%%%%%%
Crans, F 2/6
9 AM: Meet w/me for orientation

930-1030: Tristan

11-12: Mean Value Theorem in Harney 512

12-1:15 Lunch with the Search Committee (and anyone else who would like to join us) in Faculty Dining Room

3-4 Jenny

4:15-530: Colloquium, room TBA

Date: Wed, 04 Feb 2004 18:20:03 -0800
From: Paul Zeitz <zeitz@usfca.edu>
Subject: One more candidate visit
X-Sender: zeitzp@ace.usfca.edu (Unverified)
To: cruse@usfca.edu, cruse@euclid.math.usfca.edu, wells@usfca.edu,
wolfr@usfca.edu, peter@usfca.edu, lehmann@usfca.edu, stillwell@usfca.edu,
finch@usfca.edu, zeitz@usfca.edu, brunelle@usfca.edu, kao@usfca.edu,
peter@cs.usfca.edu, wells@euclid.math.usfca.edu, afan@usfca.edu,
ccfazioli@usfca.edu, ffortenbaugh@usfca.edu, ackeel@usfca.edu,
awong@usfca.edu, gzicarelli@usfca.edu, nikkibough@hotmail.com, liuc@usfca.edu,
camperi@usfca.edu, bbrown@usfca.edu, camblong@usfca.edu, gailes@usfca.edu

Hi Everyone,

I'd like to thank you for your help so far in the process of selecting a new faculty member. We have just one more visitor, **Alissa Crans** (UC Riverside) who will be teaching Calculus II from 11-12 and giving a research talk from 415-515, both in Harney 512. Please try to attend!

Also, please fill out your evaluation forms as soon as possible; if you do not give them to me Friday afternoon, then send me email Friday night. I'd appreciate very much any summary evaluations comparing all 4 finalists. **I will not be able to process evaluation forms placed in my mailbox after 515PM on Friday.**

The search committee will be meeting by telephone on Saturday morning. You will not have any opportunity for input after Friday night so PLEASE send me email on Friday. I will read everything, and share it all with the rest of the committee (or you can send email directly to all 4 members of the search committee: zeitz@usfca.edu, cruse@euclid.math.usfca.edu, peter@cs.usfca.edu, camperi@usfca.edu.

Thanks!

-Paul

--

Paul Zeitz

Professor and Chair
Mathematics Department
University of San Francisco
2130 Fulton St.
SF, CA 94117-1080

zeitz@usfca.edu

http://artsci.usfca.edu/?zeitz

office: 415-422-6590

fax: 415-422-5747

Date: Wed, 28 Sep 2005 15:39:47 -0700
From: Robert Alan Wolf <wolfr@usfca.edu>
Subject: heavy semester of teaching?
X-Sender: wolfr@nexus.cs.usfca.edu (Unverified)
To: cruse@usfca.edu, finch@usfca.edu, peter@usfca.edu, wells@usfca.edu, smdevlin@usfca.edu, kao@usfca.edu, needham@usfca.edu, zeitz@usfca.edu
X-Mailer: QUALCOMM Windows Eudora Version 6.1.2.0
Delivered-to: kao@usfca.edu
Original-recipient: rfc822;kao@sage.usfca.edu

Hi, all

My records show that, among those math faculty who generally get a course reduction the following have had, or will have had, heavy semesters:

Spring 2004: Jim F.
Spring 2005: John K.
Fall 2005: Peter P.
Spring 2006: Steve D.
Spring 2006: Jim F.

I believe that the Dean grants an extra 1-unit of teaching credit when a faculty member teaches a course in the Kudlick Classroom and that Allan is therefore not soon due to teach any "heavy" semesters.

Pete's situation is always complicated because he runs the CS Lecture Series.

Anyway, we'll be thinking about Fall 2006 in a couple of months. I'm not really qualified to determine when anyone should teach a heavy semester. Do you know when you are due to teach a heavy semester? Do you keep track? Does anyone keep track?

Thanks.

--Bob

Date: Wed, 28 Sep 2005 15:57:10 -0700
From: Tristan Needham <needham@usfca.edu>
Subject: Re: heavy semester of teaching?
To: Robert Alan Wolf <wolfr@usfca.edu>, cruse@usfca.edu, finch@usfca.edu
peter@usfca.edu wells@usfca.edu smdevlin@usfca.edu, kao@usfca.edu,
zeitz@usfca.edu
X-Mailer: QUALCOMM Windows Eudora Version 6.2.3.4
Delivered-to: kao@usfca.edu
Original-recipient: rfc822;kao@sage.usfca.edu

Hi Bob

At 03:39 PM 9/28/2005, Robert Alan Wolf wrote:
> I'm not really qualified to determine when anyone should teach a heavy semester. Do you know when you are due to teach a heavy semester?

I need to teach a heavy semester next year, but I don't mind which semester it is. As I mentioned to you, I will be glad to do it whenever it is most helpful to the Department; please just let me know as the schedule starts to take shape. Thanks.

> Does anyone keep track?

I can assure you that the Dean's Office does indeed keep track!

Tristan

Date: Thu, 29 Sep 2005 21:44:01 -0700
From: Paul Zeitz <zeitz@usfca.edu>
Subject: Re: heavy semester of teaching?
X-Sender: zeitzp@ace.usfca.edu (Unverified)
To: Robert Alan Wolf <wolfr@usfca.edu>, cruse@usfca.edu, finch@usfca.edu
peter@usfca.edu wells@usfca.edu, smdevlin@usfca.edu kao@usfca.edu
needham@usfca.edu, zeitz@usfca.edu

It is my understanding that keeping track of this is the responsibility of the associate dean.
Tristan, is that correct?

-pz
--

Paul Zeitz

Professor
Mathematics Department
University of San Francisco
2130 Fulton St
SF. CA 94117-1080

zeitz@usfca.edu

http://artsci.usfca.edu/?zeitz

office: 415-422-6590
cellphone (useful since I am on sabbatical 2005-06): 415-305-7376

fax: 415-422-5747

Date: Fri, 30 Sep 2005 15:18:02 -0700
From: Tristan Needham <needham@usfca edu>
Subject: Re: heavy semester of teaching?
To: Paul Zeitz <zeitz@usfca.edu>, Robert Alan Wolf <wolfr@usfca.edu>,
cruse@usfca.edu, finch@usfca.edu, peter@usfca.edu, wells@usfca.edu
smdevlin@usfca.edu, kao@usfca.edu, zeitz@usfca.edu
X-Mailer: QUALCOMM Windows Eudora Version 6.2.3.4
Delivered-to: kao@usfca.edu
X-Spam-Checker-Version: SpamAssassin 3.0.4 (2005-06-05) on nexus.cs.usfca.edu
X-Spam-Level:
X-Spam-Status: No, score=-2.6 required=5.0 tests=AWL,BAYES_00 autolearn=ham
version=3.0.4
Original-recipient: rfc822;kao@sage.usfca.edu

At 09:44 PM 9/29/2005, Paul Zeitz wrote:

> It is my understanding that keeping track of this is the responsibility of the associate dean.
> Tristan, is that correct?
>
> -pz
> --

Hi

Yes, in terms of ultimate responsibility, it was my job (and now Brandon's) to make sure that science departments policed themselves, and then to follow up on the rare occasions where someone forgot. In practical terms, it was Patricia who used the SI system to keep track, and she then gave me reports when I asked for them.

Hope this helps.

Tristan

Date: Fri, 30 Sep 2005 13:10:38 -0700
From: Robert Alan Wolf <wolfr@usfca.edu>
Subject: heavy semesters
X-Sender: wolfr@nexus.cs.usfca.edu (Unverified)
To: cruse@usfca.edu, finch@usfca.edu, peter@usfca.edu, wells@usfca.edu, smdevlin@usfca.edu, kao@usfca.edu, needham@usfca.edu, zeitz@usfca.edu
X-Mailer: QUALCOMM Windows Eudora Version 6.1.2.0
Delivered-to: kao@usfca.edu
Original-recipient: rfc822;kao@sage.usfca.edu

Hi all

I erred in attributing to Allan a statement that was incorrect.

Also, I now realize that there is no need for me to keep track of when any of us is to teach a heavy semester since the Administration keeps each of us informed about that. When we work on any given semester's class schedule, it is simply the duty of each faculty member to tell me if the semester in question is to be a heavy one for him or her.

Thanks.

--Bob

Date: Thu, 19 Jan 2006 16:12:29 -0800
From: Elliot Neaman <neamane@usfca.edu>
Subject: grievance
To: kao@usfca.edu
X-Mailer: Apple Mail (2.623)
Delivered-to: kao@usfca.edu
Original-recipient: rfc822;kao@sage.usfca.edu

Hi John,
Alan does not have a record of your grievance I m afraid. He assumes that because it was settled at step 0, he was not sent a copy. I have asked Rob to check his files and will get back to you as soon as I hear

all the best

Elliot

Date: Tue, 06 Sep 2005 12:11:13 -0700
From: niles@usfca.edu
Subject: 2005-2008 Salary Scale
Sender: owner-usffa-ft@usfca.edu
To: usffa-ft@usfca.edu
X-Authentication-warning: blacksun.usfca.edu: majordomo set sender to owner-usffa-ft@blacksun.usfca.edu using -f

September 6 2005

Dear Colleague:

Below is the 2005-2008 salary scale based on the tentative agreement between the USFFA and the University. It will take effect upon ratification by the Faculty Association. The salary scale can also be downloaded at http://www.usfca.edu/usffa/

Yours,
Elliot Neaman
President USFFA

Full time USFFA Faculty Salary Scale

Instructor			
Step	2005-2006	2006-2007	2007-2008
1	$45,900.49	$47,966.01	$50,124.48
2	$48,195.52	$50,364.31	$52,630.71
3	$50,490.55	$52,762.62	$55,136.94
4	$52,785.57	$55,160.93	$57,643.17
5	$55,080.59	$57,559.22	$60,149.38
6	$57,654.14	$60,248.57	$62,959.76
Assistant Professor			
Step			
1	$50,490.55	$52,762.62	$55,136.94
2	$52,785.57	$55,160.93	$57,643.17
3	$55,080.59	$57,559.22	$60,149.38
4	$57,654.13	$60,248.57	$62,959.75
5	$60,435.65	$63,155.25	$65,997.24
6	$63,495.67	$66,352.97	$69,338.85
7	$66,555.73	$69,550.74	$72,680.52
8	$69,953.68	$73,101.60	$76,391.17
Associate Professor			
Step			
1	$63,495.67	$66,352.97	$69,338.85
2	$66,555.73	$69,550.74	$72,680.52
3	$69,953.68	$73,101.60	$76,391.17
4	$72,675.78	$75,946.19	$79,363.77
5	$75,735.80	$79,143.91	$82,705.39
6	$78,795.85	$82,341.66	$86,047.04
7	$81,855.87	$85,539.38	$89,388.65
8	$86,585.77	$90,482.13	$94,553.82
Full Professor			

Step			
1	$78 795.85	$82 341.66	$86,047.04
2	$81,855.87	$85,539.38	$89 388.65
3	$86,585.77	$90,482.13	$94,553.82
4	$89,684.99	$93,720.81	$97,938.25
5	$93,780.83	$98,000.97	$102,411.01
6	$98,335.68	$102,760.78	$107,385.02
7	$102.882.89	$107,512.62	$112 350.69
8	$111,326.62	$116 336.32	$121 571.45

Librarian Salary Scale

Assistant Librarian

Step	2005-2006	2006-2007	2007-2008
1	$39,780.61	$41.570.74	$43,441.42
2	$42,075.51	$43.968.91	$45,947.51
3	$44,370.41	$46.367.07	$48,453.59
4	$46,665.80	$48.765.76	$50 960.22
5	$48 960.68	$51, 163.91	$53.466.29
6	$51,504.53	$53.822.23	$56.244.23
7	$53 550.62	$55,960.40	$58 478.62
8	$55,845.69	$58 358.74	$60 984.89

Associate Librarian

Step			
1	$51,504.53	$53.822.23	$56 244.23
2	$53,550.62	$55.960.40	$58;478.62
3	$55,845.69	$58.358.74	$60 984.89
4	$58,140.57	$60,756.90	$63.490.96
5	$60.729.18	$63,462.00	$66,317.79
6	$63,495.54	$66 352.84	$69.338.72
7	$66,555.93	$69,550.95	$72,680.74
8	$69,615.84	$72 748.55	$76,022.24

Librarian

Step			
1	$63,495.54	$66,352.84	$69,338.72
2	$66 555.93	$69 550.95	$72,680.74
3	$69,615.84	$72,748.55	$76,022.24
4	$72 675.76	$75,946.17	$79,363.75
5	$74,661.69	$78,021.47	$81 532.44
6	$78,133.38	$81 649.38	$85,323.60
7	$81,759.49	$85,438.66	$89,283.40
8	$88,660.13	$92,649.83	$96 819.07

Date: Tue, 07 Mar 2006 14:06:09 -0800
From: Robert Alan Wolf <wolfr@usfca.edu>
Subject: Fall 2006
X-Sender: wolfr@nexus.cs.usfca.edu (Unverified)
To: Peter Pacheco <peter@cs.usfca.edu>, kao@usfca.edu
X-Mailer: QUALCOMM Windows Eudora Version 6.1.2.0
Delivered-to: kao@usfca.edu
Original-recipient: rfc822;kao@sage.usfca.edu

Hi Peter and John,

To the present message I have an updated spreadsheet which reflects the easy changes that I just requested of Patricia. The names of part-time faculty that appear in the spreadsheet are still rather conjectural

--Bob

2006 04.xls

Mathematics Fall 2006

revised 2006 Mar 7

	HR 509	HR 510	HR 512	HR 514	CO 326	other	other	Kudlick
8:15-9:20 am **MWF**	106-01 Wolf	101-01						
9:40-10:45 am **MWF**	106-02 Wolf	101-02 Kao	109-01 Needham	211 Devlin				CS 112 9:40-11:25
11:35-12:40 **MWF**	106-03 Wolf	101-03 Tran	109-02 Needham	422 Devlin				CS 220 Pacheco
1:30-2:35 pm **MWF**	110 Cruse	101-04 Tran	130 Needham	201 Pacheco				CS 110 1:30-3:15
3:30-4:35 pm **MWF**								CS 245
5:30-6:35 pm **MWF**								
7:30-8:35 pm **MWF**								
7:45-9:30 am **MW**								
9:40-11:25 am **MW**								
11:35-1:20 **MW**					104-01 to 12:25, Kao			
1:30-3:15 pm **MW**					104-02 to 2:20, Kao	CS 315 CO 426		
3:30-5:15 pm **MW**			106-04 Stillman					CS 601 Parr
5:30-7:15 pm **MW**			106-05 Stillman					CS 684
7:30-9:15 pm **MW**								CS 171
8:30-10:15 am **TR**		310 Stillwell		101-05		106-06 CO 427, Sidaoui		
10:30-12:15 **TR**	340 Yeung	195-01 Stillwell	CS 490	101-06 Zeitz		106-07 CO 427, Sidaoui		CS 107 Brooks
								CS 385 Wells TR 12:20-1:20
1:30-3:15 pm **TR**	108 Yeung	301 Zeitz	195-02 lec Wells	104-03 to 2:20		CS 336 CO 426		CS 625 Benson
3:30-5:15 pm **TR**		106-08 Harrington	CS 690 Buckwalter			195-11, Wells CO 226, T only, to 5:20		CS 333
5:30-7:15 pm **TR**			106-09 Rinker					CS 662 Brooks
7:30-9:15 pm **TR**			106-10 Rinker					CS 630 Cruse

2-unit courses (Math 100 and 104) reside within standard MWF, MW, or TR slots.

Watch for room and time conflicts between courses in the MWF and MW blocks above!!! Darkened timeslots in these blocks are forbidden because of such conflicts.

SD 333

Date: Fri, 26 Aug 2005 15:46:47 -0700
From: Liza Locsin <locsin@usfca.edu>
Subject: Search procedures and forms
To: kao@usfca.edu
Delivered-to: kao@usfca.edu
Original-recipient: rfc822;kao@sage.usfca.edu

—
Liza Locsin
Assistant to the Dean
Arts and Sciences, USF
TEL#: (415) 422-2348
FAX#: (415) 422-2113
http://artsci.usfca.edu

Annotated_Log 1.xls

C.Chron_Log_of_Appl_Form 1.xls

Search_Comm_Chair_Report 1.doc

Search_Proc_for_Chairs_S04.doc

Search_Proc_for_Assts_S04.doc

College of Arts and Sciences
Chronological Procedures for
Hiring Probationary and Term Faculty

PHASE 1: ***PREPARING FOR THE SEARCH***

Request to Recruit
In early spring the department submits to the appropriate Associate Dean the request for a full-time faculty position for the following academic year. The request should be accompanied by the following:

- An explanation of why the position is needed: in the case of a replacement position this can be quite brief, but in the case of a new position it should be detailed. Initially this is used to set priorities within the Dean's Office, and ultimately it is presented to the AVP.

- A brief *Position Description*, which can later be incorporated into the job advertisement. This normally includes the following elements:

  Teaching Responsibilities: perhaps including examples of likely courses to be taught.

  Qualifications:

  - ✓ A description of the disciplinary specialization(s) sought.
  - ✓ An indication of any requirements implied by special programs or activities in which the candidate is expected to participate.
  - ✓ The level of educational experience required. Note that except under extraordinary circumstances, all positions are filled at the Assistant Professor level and require a Ph.D. or other terminal degree.

Authorization to Recruit
In late spring or early fall, the Dean requests permission from the AVP to recruit. The AVP approves an "anticipated vacancy" search for select positions. This authorizes the Dean to search, but does not guarantee additional budget support or authorize appointment.

Job Advertisement
The Department Chair and the appropriate Associate Dean collaborate on the creation of a job advertisement based on the position description. The Dean's Office then places the advertisement both in journals specific to the field, and in publications likely to encourage minority applicants. In addition, the department is strongly encouraged to mail or e-mail copies of the advertisement to other universities that grant a Ph.D. in the discipline. The appropriate Associate Dean can assist in identifying target programs and organizations and in acquiring mailing labels.

Appointment of the Search Committee
The Department Chair recommends a Search Committee to the appropriate Associate Dean, and the Dean's Office then appoints the Committee. The Committee should include at least one person from outside the department, and (where feasible) should represent ethnic and gender diversity. It is recommended that the Committee consist of at least four people.

The Committee Chair serves as coordinator of the search process and ensures the integrity of the search. The Chair is also responsible for all record keeping and for forwarding all appropriate materials to the Dean s Office upon conclusion of the search process.

Affirmative Action and Equal Employment Opportunity Guidelines
Before reviewing applications, members of the Search Committee meet with the appropriate Associate Dean to review the recruitment process and procedures, including Affirmative Action and Equal Employment Opportunity Guidelines, and to plan an appropriate affirmative action recruitment strategy.

PHASE 2: ***CONDUCTING THE SEARCH***

Attendance at National Meetings of Professional Organizations
Should the national meeting of the appropriate professional organization be held during the recruitment phase of the search period, Search Committees are encouraged to seek permission from the appropriate Associate Dean for one or more Committee members to attend.

Conversations with candidates at national meetings are for purposes of information giving and gathering only, and are not to be construed as preliminary or screening interviews by the Search Committee or the candidates, unless the particulars of such arrangements have been approved in advance by the Dean's Office.

Please note that attendance at a national meeting cannot be made a requirement for candidate consideration. Therefore, attendance or non-attendance *per se* at a national meeting cannot prejudice the Search Committee's judgment positively or negatively toward the candidate.

Receipt and Acknowledgement of Applications
Applications are submitted to the Department Office. The Department Program Assistant logs in applications and prepares the *Chronological Log of Applicants Form*, enabling Search Committee members to prepare the *Annotated Log of Applicants Form* [see attached]. The Search Committee Chair acknowledges receipt of each application and sends each candidate the Affirmative Action Identification Card.

Initial Search Committee Review of Candidate Qualifications
The Search Committee screens and culls the applications as soon as possible (usually within two weeks) after the announced date for priority consideration of applications.

In conducting the review, the following rules apply:

- In order for an application to be reviewed it must be substantially complete, meaning that it includes a letter of application, a CV, evidence of teaching effectiveness, and at least one letter of recommendation. Missing material may be solicited, but if this is done in the case of one incomplete application then it must be done for all incomplete applications. A candidate's application must be complete before they can be brought to campus.

- All members of the Search Committee must review all applications, unless the Dean's Office explicitly gives permission to do otherwise.

- Applications are reviewed in terms of how well the applicant meets the position s requirements as listed in the job description.

- All members of the Search Committee must be present for the entirety of the discussions of the Committee. Quorum ends whenever one member is absent (with or without excuse).

- Search Committee members may only discuss the candidates with each other (at Committee meetings), with the Deans, and with their department (at two scheduled meetings described below).

- Internal candidates (those who have taught at USF in any capacity) must be treated in the same way as those candidates who have not taught at USF.

- If someone wishing to comment on a candidate contacts a Search Committee member individually, the Committee member should refrain from discussing the candidate and should instead encourage the caller to submit the information to the Chair of the Search Committee in writing so that all members of the Committee may benefit from it.

After all members of the Committee have examined all the applications, the Committee will meet and produce a list of 3–5 finalists ("first cut") who best seem to meet the job description's requirements. Those applications in the "first cut" pool are then discussed and rank ordered, the ranking being done by either consensus or by vote (averaging individual rankings).

Group Telephone Interviews
Search Committees are encouraged to make use of group telephone interviews with a preliminary pool of top candidates, to assist in determination of those to be recommended for on-campus interviews.

Group telephone interviews at this stage in the process are analogous to on-campus interviews, in the sense that all equal employment action guidelines and standards of fairness and equity must be strictly adhered to in the conduct of such interviews.

The appropriate Associate Dean can help secure conference-call-capable telephones.

PHASE 3: *CONCLUDING THE SEARCH*

First Meeting of the Department and the Search Committee
The Search Committee meets with the Department to discuss their top choices.

Selection of Finalists
The Search Committee meets with the Deans to discuss the Search Committee s evaluation of the top 3-5 candidates and to decide on the top three candidates to be brought to campus for interviews.

At least two working days prior to this meeting, the Search Committee Chair must forward the following to the appropriate Associate Dean:

- ✓ The *original files* (plus one copy in the case of a tenure-track search) of the top 3-5 candidates.
- ✓ Completed *Chronological Log of Applicants Form.* [Department program assistants maintain this log]
- ✓ Completed *Annotated Log of Applicants Form [see attached]*
- ✓ Completed *Search Committee Chair Initial Report Form [see attached]*

Issuing Invitations to Finalists
Before issuing any invitations to finalists, the Search Committee Chair must consult with the Executive Director of Business Affairs, John Pinelli, x6278, to discuss anticipated recruitment expenses.

The Search Committee Chair invites each candidate to be interviewed to spend one full day on campus, and is responsible for establishing the itinerary, logistical arrangements, and dissemination of information about the visit to all appropriate parties. All applicants must be provided similar experiences when they visit USF. Normally, candidates do not visit campus during Intersession or summer.

The Deans' calendars must be consulted in advance of any candidate invitations, to ensure that the Deans will be available to interview the candidates.

Finalist's On-Campus Interviews
The campus visit must include meetings with the Search Committee, the Department (if all Department members are not already included in Search Committee membership), and hour-long meetings with the Dean(s): a one-hour meeting with the Associate Dean in the case of a term appointment; a one-hour meeting with the Associate Dean and a one-hour meeting with the Dean in the case of tenure-track appointments.

In addition, the Chair of the Search Committee should make every effort to involve students in the process of assessing the candidate. Possibilities include informal small-group breakfasts, lunches, student-led candidate tours of the campus, and attendance at candidate seminars or lectures.

Neither the Search Committee nor its Chair can negotiate salary issues with candidates.

Signing of the Consent Form
In order for us to check the candidate's references, the law now requires that we ask them to sign a *Consent for Release of Information to Employer Form* [see attachment] while on campus.

Finalist's Academic Presentations while on Campus
Campus visits by candidates must include an opportunity for candidates to demonstrate their proficiency in teaching. Departments arrange one or more academic presentations (faculty research seminar, class etc.) by the candidate to include an audience of Search Committee members, departmental faculty and students, and others. Departments may choose to have candidates substitute for instructors in a regularly scheduled session of a currently offered course, or to arrange an *ad hoc* meeting of interested students. Evaluations [see attachment] by students of a candidate's presentation are required.

Second Meeting of the Department and the Search Committee
The Search Committee meets with the Department to discuss which candidate(s) should be recommended to the Dean.

Recommendation of Final Candidates to the Dean
After all the finalists have been interviewed, the Search Committee presents its evaluation of them at a meeting with the Deans to discuss the recommendation. Candidates' evaluations must be submitted to the Deans prior to this meeting.

Reference Checks
The Dean may request that the appropriate Associate Dean or Chair of the Search Committee make reference checks of acceptable final candidates before accepting or rejecting the Search Committee's recommendation.

Recommendation of Appointment of Selected Candidate
The Dean informs the Search Committee Chair of his intent to recommend a particular candidate for appointment to the AVP. Appointment of a new faculty member is neither complete nor official until the AVP forwards an *Appointment Agreement* to the person selected and the *Agreement* is signed and returned by the candidate. Once a candidate has been offered a faculty position and has accepted the offer, the Dean will so inform the Search Committee Chair.

Rejection of All Other Candidates
Upon formal acceptance of the offered position by the selected candidate, all other candidates not offered appointment are so informed by a letter sent by the Search Committee Chair. Should no candidate be offered an appointment, no offer be accepted, or the search be closed or canceled all candidates are so informed by a letter sent by the Search Committee Chair.

Documentation Submitted to the Dean's Office
Upon completion of the search process described above, all candidate applications and all other search materials are placed in labeled boxes and delivered by the Search Committee Chair (or the Department Program Assistant) to the Dean's Office. Members of the Search Committee must provide the Dean's Office with a copy of their notes after the search is completed. The Dean's Office can arrange for off-campus storage if needed.

Approved by: John W. Clark S.J.
Vice President for Academic Affairs
May 15, 1991

FACULTY RECRUITMENT PROCEDURES

APPROVAL TO RECRUIT

1. By October 1 of each year the Dean, after appropriate consultation, sends to the VPAA a Request to Recruit form (Attachment 1) for each full-time faculty vacancy anticipated for the following Fall. For faculty hires outside of the normal time frame, the Request to Recruit form is sent as soon as the vacancy is anticipated.

2. By October 15, the VPAA will approve an "anticipated vacancy" search for the positions. This authorizes the Dean to search, but does not guarantee additional budget support.

THE RECRUITMENT PROCESS

1. Upon receipt of the VPAA approval to recruit, the Dean forms a search committee, and where feasible, the committee will have minority and female members represented.

2. The Dean, the Affirmative Action Officer and the Search Committee Chair will meet to discuss and plan appropriate affirmative action recruiting strategy.

3. Advertisements and the appropriate placements of the advertisements will be approved by the Dean and the Search Committee in conjunction with the Affirmative Action Officer. Advertisements will be placed in approved journals, newsletters, etc. by Personnel Services.

4. Candidates will submit their curriculum vitae or resumes and other relevant material to the search committee or the Dean's Office as decided upon by the Dean and the Chair of the Search Committee.

   The description of faculty qualifications in advertisements must include a

phrase indicating a commitment to the Mission and Goals of the University by adding the following: *and an understanding of and commitment to support the mission of the University.*

COMMUNICATION AND RECORD KEEPING

1. The Dean's Office will be responsible for all record keeping and forwarding of appropriate materials upon conclusion of the search process to Personnel Services.

2. The Dean's Office will coordinate acknowledgements to candidates of receipt of the application and supporting materials.

3. A log of all candidates will be kept by the Dean's Office (Attachment 2).

4. The Dean s Office will send the Affirmative Action Identification Card (provided by Personnel Services) to all candidates, to be returned to Personnel Services and maintained in a confidential file.

5. Inquiries from candidates regarding the status of the search will be handled by the Dean's Office.

THE SELECTION PROCESS

1. The Dean and the Affirmative Action Officer will meet with the Search Committee to discuss the interview process and procedures including Affirmative Action Guidelines, hiring goals and utilization analysis. The recruitment process will be reviewed to determine whether appropriate efforts have been made to attract qualified minority and female candidates. The Dean will decide after the review if additional recruitment is necessary.

2. When the recruitment process is determined appropriate by the Dean, the Search Committee may proceed with scheduling interviews.

3. The Search Committee should conduct the interview process in accordance with prescribed procedures to be recorded in forms of Attachment 2.

4. Reference checking and evaluations are coordinated by the Search Committee.

5. The Search Committee submits the list of top candidates to the Dean with written support. The Dean reviews the list of top candidates with the Search Committee and the Affirmative Action Officer prior to making a final selection. The Dean forwards a ranked list of the three top candidates to the VPAA for approval. [Attachment 3 for top candidate only.]

6. Generally the following guidelines govern the VPAA approval.

   a. Appointments are normally made at the Assistant Professor level, Step I. Exceptions are made on a basis of University or market needs.
   b. Only term appointments are offered to replace faculty on temporary absences [e.g., sabbaticals, leaves of absence, sick leaves, etc.]
   c. Subject to the above norms, faculty may be given credit in rank and tenure status for prior full-time faculty service at another institution. The University reserves the right to make individual decisions in this matter, based on budget, department and college needs.
   d. Generally, a new faculty member serves a minimum of three years at USF before being eligible to be considered for tenure.
   e. At the time of first appointment, the Dean recommends the amount of time the University grants for prior teaching experience. This is discussed with the VPAA before a commitment is made to a candidate.
   f. Terms of appointment as described above are made at the time of first appointment, and are not subject to revision at a later date.

7. The VPAA approves the appointment and terms of contract and sends to the Dean and to Personnel Services copies of the approval.

8. The VPAA prepares and sends an offer letter to the new faculty member. A copy of the appointment letter is sent to the Dean. Upon receipt, the VPAA will forward to the Dean a copy of the letter of appointment signed by the new faculty member.

9. At least two weeks before the faculty member begins his or her appointment, the Dean will forward to the VPAA a Personnel Action Form [PAF] for budgeting and payroll purposes.

tvc
December 1992
FACRECR

Contents ◂ Prev Next ▸

USF | **Employment**

Human Resources | Campion Hall C7 | 415.422.6707

FACULTY RECRUITMENT PROCEDURES

(Approved May 15, 1991)

I. APPROVAL TO RECRUIT

1. By October 1 of each year, the Dean, after appropriate consultation, sends to the VPAA a Request to Recruit form (attachment 1) for each full-time faculty vacancy anticipated for the following Fall. For faculty hires outside of the normal time frame, the Request to Recruit form is sent as soon as the vacancy is anticipated.
2. By October 15, the VPAA will approve an "anticipated vacancy" search for the positions. This authorizes the Dean to search, but does not guarantee additional budget support.

II. RECRUITMENT PROCESS

1. Upon receipt of the VPAA approval to recruit, the Dean forms a Search Committee, and where feasible, the Committee will have minority and female members represented.
2. The Dean, the Affirmative Action Officer and the Search Committee Chair will meet to discuss and plan appropriate affirmative action recruiting strategy.
3. Advertisements and the appropriate placements of the advertisements will be approved by the Dean and the Search Committee in conjunction with the Affirmative Action officer. Advertisements will be placed in approved journals, newsletters, etc., by Human Resources in coordination with the hiring department.
4. Candidates will submit their curriculum vitae or resumes and other relevant material to the Search Committee or the Dean's Office as decided upon by the Dean and the Chair of the Search Committee.

III. COMMUNICATION AND RECORD KEEPING

1. i. The Dean's office will be responsible for all record keeping and for

SD 344

forwarding of appropriate materials upon conclusion of the Search process to Human Resources.

2. The Dean's office will coordinate acknowledgements to candidates of receipt of the application and supporting materials.
3. A log of all candidates will be kept by the Dean's office (Attachment 2).
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2. When the recruitment process is determined appropriate by the Dean the Search Committee may proceed with scheduling interviews.
3. The Search Committee should conduct the interview process in accordance with prescribed procedures to be recorded in forms of Attachment 2.
4. Reference checking and evaluations are coordinated by the Search Committee.
5. The Search Committee submits the list of top candidates to the Dean with written support. The Den review the list of top candidates with the Search Committee and the Affirmative Action Officer prior to making a final selection. The Dean forwards a ranked list of the three top candidates to the VPAA for approval (Attachment 3 for top candidate only.)
6. Generally, the following guidelines govern the VPAA approval.
    a. Appointments are normally made at the Assistant Professor level, step 1. Exceptions are made on a basis of University or market needs.
    b. Only term appointments are offered to replace faculty on temporary absences (e.g., sabbaticals, leaves of absence, sick leaves, etc.).
    c. Subject o the above norms, faculty may be given credit in rank and tenure status for prior full-time faculty service at another institution. The University reserves the right to make individual decision in this mater, based on budget, department and college needs.
    d. Generally, a new faculty member serves a minimum of three years at USF before being eligible to be considered for tenure.
    e. At the time of first appointment, the Dean recommends the amount

of time the University grants for prior teaching experience. This is discussed with the VPAA before a commitment is made to a candidate.

f. Terms of appointment as described above are made at the time of first appointment, and are not subject to revision at a later date.

7. The VPAA approves the appointment and terms of contract and sends to the Dean and to Human Resources copies of the approval.
8. The VPAA prepares and sends an offer letter to the new faculty member. A copy of the appointment letter is sent to the Dean. Upon receipt, the VPAA will forward to the Dean a copy of the letter of appointment signed by the new faculty member.
9. At last two weeks before the faculty member begins his or her appointment, the Dean will forward to the VPAA a Personnel Action From (PAF) for budgeting and payroll purposes.

Mathematics

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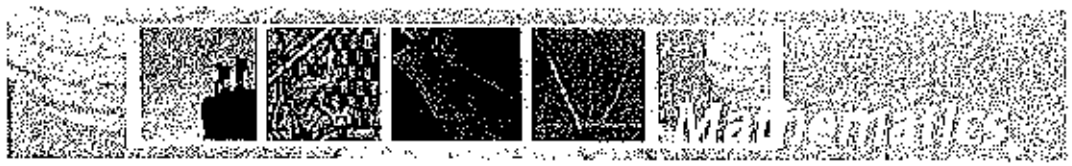

JOB ANNOUNCEMENT: The Department of Mathematics at the University of San Francisco invites applications for a **tenure-track position at the assistant professor level, to begin in fall 2006.** Please click here for details.

When it comes to education, sometimes smaller is better. With a student-to-faculty ratio of only 5-to-1, our upper-division classes are **intimate** in size, usually averaging 10 students. Like any department at any college, we have a certain number of required courses, but our program is designed to be customized to the individual interests of the student. Each student designs an individualized course of study in consultation with his or her advisor. Many of our students minor in other subjects or pursue double majors. Some of our successful double majors have been math/physics, math/chemistry, math/computer science, math/economics, and even math/communication.

Several of our courses are **unlike** anything you'd find elsewhere: 1) John Stillwell, a world- renowned scholar and historian of mathematics, teaches our History of Mathematics course, based on one of his acclaimed books; 2) Our Complex Analysis course is taught by Tristan Needham, using the innovative geometric approach that he pioneered in his prize-winning book, *Visual Complex Analysis*; 3) Our Applied Mathematics Research Laboratory is a yearlong course in which a small, select group of math, physics, and computer science students work intensively on corporate-sponsored projects; 4) We offer a unique, Problem-Solving Seminar, taught by **Paul** Zeitz, one of the three coaches of the most successful US team in the 35-year history of the International Mathematical Olympiad.

Announcements

- Mathematician Honored with Chauvenet Prize (09/20/2005)

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Last Updated May 10, 2006

Mathematics

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Employment Opportunity

The Department of Mathematics at the University of San Francisco invites applications for a tenure-track position at the assistant professor level, to begin in fall 2006. Candidates from all fields of mathematics are encouraged to apply. The successful candidate should have university teaching experience and an earned doctorate in mathematics by fall 2006. She/he will teach throughout the undergraduate mathematics curriculum, from courses for majors to service courses for non-science majors. The position requires a passionate commitment to excellence in teaching within a culturally diverse environment, as well as a strong potential for research and scholarship.

Candidates should submit a letter of application, curriculum vitae, statement of teaching philosophy, statement of research plans, copies/scans of complete teaching evaluations and recent syllabi, graduate transcripts, and three letters of recommendation. All of the above elements are required to complete your application.

As many as possible of these elements should be **submitted electronically** to:

mathjob@math.usfca.edu

The **Subject Line** of your e-mail(s) should begin with your full name: e.g.,

Subject: Mary L. McEnroe -- Teaching Evaluations

Any remaining elements that cannot be submitted electronically should be mailed to:

Mathematics Search Committee
c/o Tristan Needham, Chair
Department of Mathematics
University of San Francisco
2130 Fulton St.
San Francisco, CA 94117-1080

In order to insure full consideration, completed applications must be **received** (not postmarked) by **December 16, 2005**. We invite candidates to find out about our department at

http://artsci.usfca.edu/math

The University of San Francisco is a private, Catholic and Jesuit institution and particularly welcomes candidates who will positively contribute to such an environment. USF is an Affirmative Action Equal Opportunity employer, and will provide reasonable accommodations to individuals with disabilities upon request. We particularly encourage women and minority applicants for all positions.

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Last Updated July 06, 2005

From: 'John S. Kao' <kao@usfca.edu>
To: tamayo@usfca.edu
Cc: brownb@usfca.edu,turpinj@usfca.edu
Date: Wed, 11 Jan 2006 14:06:30 -0800
X-Mailer: iPlanet Messenger Express 5.2 HotFix 2.05 (built Mar 3 2005)
Subject: Initiation of Complaint: Discrimination and Harassment
X-Accept-Language: en
Priority: normal

Dear Elsie

As I indicated to you last week, I have considered carefully the initiation of a

Complaint of Discrimination and Harassment

in accordance with the

University of San Francisco Prevention of Sexual and Other Unlawful Harassment Policy.

I have just hand delivered to your office a memo which begins this process. In this matter I request your service as Intake Officer.

I have attached a PDF version of this memo as duplicate.

Sincerely,

John Kao
Associate Professor
Mathematics, USF

Memo_to_E_Tamayo.pdf

USF
UNIVERSITY of SAN FRANCISCO

Department of Mathematics

College of Arts and Sciences
2130 Fulton Street
San Francisco, CA 94117-1080
TEL 415 422-6747
FAX 415 422-5747
EMAIL mathematics@usfca.edu

Memorandum

To: Elsie Tamayo, University Affirmative Action Officer, Human Resources, USF

CC: Brandon Brown, Associate Dean of Sciences, USF

Jennifer Turpin, Dean of Arts and Sciences, USF

From: John Kao, Associate Professor, Mathematics Department, USF John Kao

Date: January 10, 2006

Re: Request for meeting in accordance with "Informal Complaint Procedure" as specified in the *University of San Francisco Prevention of Sexual & Other Unlawful Harassment Policy*

Thank you for meeting briefly with me on Wednesday, January 4, 2006, at 2:00pm. I greatly appreciated the clarification of university policy which you provided. I am writing to request a meeting with you, for the purpose of

- Intake Procedure–Informal Complaint Procedure

as disclosed in the *University of San Francisco Prevention of Sexual & Other Unlawful Harassment Policy* and published on http://www.usfca.edu/hr/aaeeo. Thank you for indicating that the policy document I obtained from www.usfca.edu in August 2005 is now, out of date, and that the current policy statement was published online towards the end of Fall semester. Thank you, also, for explaining that there exists no separate Procedure for discrimination, but rather

- the scope of the above *Policy* and corresponding Complaint Procedures is inclusive of acts of discrimination.

I hope you will be able to schedule such a meeting with me within the next two weeks

At this meeting, I intend to present allegations of both harassment and discrimination, both in general and directed at myself, which I will outline below. Of particular relevance will be the actions of two Mathematics professors who have served as Administrators (while retaining faculty appointment):

- Tristan Needham, Associate Dean of Sciences (Spring 1999 - Spring 2004)
- Stanley Nel, Dean of Arts and Sciences (Fall 1990 - Spring 2003)

My complaint involves the following matters in particular:

- In violation of USF affirmative action/equal opportunity policy, Deans Needham and Nel created a category of faculty appointment (Full Professorship requiring only one semester per year of teaching duties) for which no provision exists in the USFFA *Collective Bargaining Agreement (CBA)*. Thereafter, Dean Needham hired an acquaintance (John Stillwell) into this position (2001, first semester teaching as a tenured Professor–Fall 2002) This appointment carries the highest salary scales

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attainable by faculty at USF and is irrevocable. No search was conducted for this appointment. In violation of *CBA* faculty workload requirements (which mandates an average teaching load of 9 units, of regular coursework per semester), John Stillwell has been permitted a reduced teaching load as part of his special appointment (he has carried a teaching load of 8 units, of regular coursework, every semester during the five semesters he has taught as a tenured Professor at USF: Fall 2002, Spring 2003, Spring 2004, Fall 2004 and Fall 2005).

- In violation of USF affirmative action/equal opportunity policy, in conducting a search under the supervision of Dean Needham, the search committee violated the *College of Arts and Sciences Chronological Procedures for Hiring Probationary and Term Faculty*. These procedures implement USF's affirmative action/equal opportunity policy as reported to external and accrediting agencies. This violation included failure to conduct a "Second Meeting of the Department and the Search Committee–The Search Committee meets with the Department to discuss which candidate(s) should be recommended to the Dean." This is supposed to be held after on-campus interviews with visiting candidates, but prior to the final recommendation being made and presented to the Dean. The unusual conduct of this search was noted by external reviewers within the Mathematics Program Review: *Report of the Visiting Committee to the Department of Mathematics at the University of San Francisco May 27, 2004*. This search resulted in the hiring of Stephen Devlin in Spring 2004. I remark that the above *Procedures* were not fully disclosed to me until Fall 2005.
- Dean Needham engaged in both harassment and discrimination against me, which included defamation of character and libel. This occurred in an administrative letter (printed on USF letterhead and signed) which was delivered to administrators at another institution of higher education (John Loomis, Chair of Architecture, and David Meckel, Dean of Design and Architecture; both at the prestigious art institute, California College of Arts and Crafts) as well as to faculty and administrators at USF. No other faculty member has been treated in this way. A USFFA Grievance was settled in my favor on December 7, 2000.
- As a result of a temporary medical condition with which I was afflicted (allergic reaction to a medication), Dean Needham applied undue and discriminatory pressure on me, which in the context of prior actions (defamation of character and libel), compelled me to take a one semester leave of absence without pay (Spring 2002) Again, no other faculty member has been treated in this way.

In addition to the foregoing, I believe that the hiring practices of the Mathematics Department and the Computer Science Department at USF have resulted in faculties that are predominantly white male. These departments are closely connected due to four faculty holding the rank of Professor and appointed to both Mathematics and Computer Science, concurrently. These dual-appointment faculty of Math and CS are full decision makers in both departments.

- In nine appointments of tenured/tenure-track faculty within these two departments, from Fall 1991 – present, the university has hired only white males. The result is a collection of 18 regular teaching faculty (tenured/tenure-track) all of which are white, non-Hispanic males, except myself. I note that I am an Asian/Pacific Islander male. There are no female faculty, tenured/tenure-track, within Math or CS. As noted above, the last two appointments in Mathematics have been made in violation of USF College of Arts and Sciences search *Procedures* and USF's affirmative action policies.

In this matter, I am represented by Mr. Christopher W. Katzenbach, of the San Francisco law firm, Katzenbach & Khitikian. I look forward to your reply to this request. Please feel free to email me at: kao@usfca.edu.

Date: Mon, 27 Feb 2006 14:42:28 -0800
From: "Elsie S. Tamayo" <tamayo@usfca.edu>
Subject: Meeting on Jan 26,2006
X-Sender: tamayo@ace.usfca.edu (Unverified)
To: kao@usfca.edu
Cc: stoner@usfca.edu, turpinj@usfca.edu tamayo@usfca.edu
Delivered-to: kao@usfca.edu
Original-recipient: rfc822;kao@sage.usfca.edu

CONFIDENTIAL

To: John Kao, Associate Professor, Math Department
From: Elsie Tamayo, Manager, Professional Development/Affirmative Action
Re: Meeting on January 26, 2006
Date: February 27, 2006
Cc: Terry Stoner, Associate Vice President; Jennifer Turpin, Dean Arts & Sciences

I am writing to follow up on (i) your informal complaint under the University Prevention of Sexual and Other Unlawful Harassment (PSOUH)Policy filed January 10; and (ii)your January 26 intention to file a formal complaint with my office.

When we met on January 26, you said you were not ready to file a formal complaint at that time I discussed the formal complaint process with you and explained how to initiate a complaint. You indicated that you would likely file a formal complaint with Associate Vice President (AVP) Stoner within a month.

I have since consulted with AVP Stoner.

Section C.3 of the PSOUH (Informal Complaint Procedure") states:

If an acceptable resolution is not reached, or is not likely to be reached, within 30 working days or otherwise in a manner to promptly and effectively correct harassment, the complainant or the Affirmative Action Officer may determine to resolve the matter through the formal complaint procedureŠ."

Section C.5 of the PSOUH also states:

To assist the University to determine whether a violation of Policy has occurred and/or to determine what, if any, corrective action should be taken, the AVP or his designee may initiate an investigation with or without a formal complaint being filed.'

After consultation with AVP Stoner, I advise you that he has decided to conduct a formal investigation of your complaint. In doing so, I note the following:

A formal investigation provides a full review of your charges including what appeared to me to be a large personal file of information. Once the investigation is completed, a report is given to your Dean. Generally, when this report is prepared it may contain information of value to your Dean for considering administrative improvements regardless of whether the investigation shows a violation of the PSOUH policy.

Given the scope of issues that you described would be part of your formal complaint, the informal process (as distinguished from the formal process) would not sufficiently cover the full assessment that is required by the nature of the allegations in your January 10, 2006 letter. Especially if we are to achieve a resolution.

Hence, please send me copies of all the documents that relate to your complaint. Please include those which you had with you and referred to in our January 26, 2006 meeting. Meanwhile, I will begin gathering information the University may have relevant to the issues raised in your January 10 letter. When you send me your documents, feel free to supplement the issues and information you stated in your January 10 letter. I would appreciate your providing these documents and any additional information within the next ten (10) days.

As you know from reading the PSOUH Policy, the AVP may ask me, someone else at the University, or an external investigator to do the factfinding. AVP Stoner will write you soon regarding that issue.

Please note that if you and the Dean of the College wish to meet before or during the investigation to explore options for a mutually agreeable resolution, nothing in the formal procedure prevents you from doing so.

Finally, feel free to give a copy of this memo to your attorney. Should he choose to seek consultation with University counsel on this matter, he may contact Ms. Donna Davis, General Counsel, at telephone (415) 422-2902. Thank you.

--

Elsie Tamayo

Manager, Professional Development
and Affirmative Action

University of San Francisco
2130 Fulton Street
San Francisco, CA 94117

415-422-2833

USF
UNIVERSITY of SAN FRANCISCO

Human Resources
2130 Fulton Street
San Francisco, CA 94117-1080
tel 415 422-6707

CONFIDENTIAL

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Please note that if you and the Dean of the College wish to meet before or during the investigation to explore options for a mutually agreeable resolution, nothing in the formal procedure prevents you from doing so.

Finally, feel free to give a copy of this memo to your attorney. Should he choose to seek consultation with University counsel on this matter, he may contact Ms. Donna Davis, General Counsel, at telephone (415) 422-2902. Thank you.

MINUTES

Mathematics Department Monthly Meeting
February 10, 1998
UC 421 12:30-1:30

Present: Professors Renee Brunelle, Allan Cruse, John Kao, Millie Lehmann, Peter Pacheco, Robert Wolf, Paul Zeitz, with Tristan Needham presiding
Late: Professor Pete Wells. Absent: Professor Jim Finch.

I. Minutes

1. The minutes of the last meeting (12/09/97) were approved.

II. Announcements

1. Prof. Needham asked the faculty to look over the Math Brochure and to inform him of any necessary corrections. The deadline to submit corrections to the Dean's Office is March 2nd.

2. Sr. Moser requires that the final catalog copy state in which semester(s) each of the courses will be offered. It is therefore essential that the rotation of courses be agreed upon today.

3. Prof. Needham announced that he had met with Dean Jordan and Nina Patterson to discuss the status of Supplemental Instruction for Statistical Reasoning. At the meeting Prof. Needham noted (both verbally and in a written report) that although there had been a number of problems originating in the Learning Center, the program had nevertheless been a success. It was agreed at the meeting that SI for MATH 101 would again be offered this semester.

4. USF is currently in negotiation with the Technical University of Munich (TUM) for a one-year exchange program. Prof. Needham has had meetings with a member of the TUM mathematics department. A letter describing the details of program will be circulated in the future. Although initially intended for students, faculty exchanges may be possible in the future

III. New Business

1. Prof. Needham announced that Prof. John Stillwell is planning to take his sabbatical from Monash University starting in January 2000, and he would like to spend it teaching at USF. Before taking any action, Prof. Needham asked for the blessings of the department. The faculty were pleased at the prospect of having Prof. Stillwell teach at USF. Prof. Needham noted that Dean Nel sees this as a great opportunity for USF, and has pledged that he will try hard to obtain a term position for Prof. Stillwell. Prof. Needham also noted that Prof. Stillwell is seriously contemplating moving to the United States permanently, and that due to his positive experiences here, he might be willing to join the USF math department. The reaction of the faculty was very positive, but Prof. Kao did state that he would be opposed to offering a position to someone without a full open search

2. Prof. Wolf handed out "Latest Scheme of Rotation for Upper-Division Courses in Mathematics." The department approved the rotation scheme. Prof. Wolf announced that Prof. Paul Lorton has requested to teach Math 101 in the Fall semester. Prof. Needham was not sure how to respond to this request. Prof. Cruse suggested that Prof. Lorton be informed that in order to teach this course he must agree to comply with the department's grading practices. Prof. Lehmann proposed that the department let the Dean's Office put this to him. Prof. Needham agreed that this was the best approach, and he thanked the department

3. Prof. Zeitz noted that *Problem-Solving Seminar* should be listed under the choices for classical mathematics in the catalog.

(Over, please)

4. Prof. Lehmann proposed that new calculators be purchased for Math 104 and 108. The department's supply of calculators had been slowly depleted due to loss and breakage. Prof. Lehmann would like to acquire 60 TI-83 model calculators because this model is most used by past students of Math 104 and 108. The other model for consideration is Casio 9850G. The benefits of this model are a color display, free overhead projection device with each order of 30 calculators, and it is lower priced than the TI-83. More information is needed before a decision can be made

5. Prof. Zeitz announced that BAMM (Bay Area Math Meet) will be on Saturday, April 25, 1998 and he still needs help and volunteers for the event.

6. Prof. Needham announced that the discussion of the topic "Future role of department chairs" from the College Retreat was brought up at the College Council. Dean Nel is interested in obtaining faculty reaction to the idea of his delegating much more power, responsibility, and fiscal control to department chairs. The faculty discussed the issues but no consensus was reached

Meeting adjourned 1:41 p.m.
Submitted by: Wing Ng and Tristan Needham

Math Department Meeting
Minutes 11/14/2000
UC 417

IN ATTENDANCE: Paul Zeitz, Robert Wolf, John Kao, Renee Brunelle, Pete Wells, Allan Cruse, John Stillwell Jim Finch.

APPROVAL OF THE MINUTES: Amend to: Paul and John will discuss Math 107/120 with the economics department.

ANNOUNCEMENTS:
Jim: the science open house is tomorrow. Anyone who has a project they would like to put on display, should do it now soon.

NEW BUSINESS:
John and Paul met with economics around October 24th. Perception was that economics people thought, when 107 was created, it was John Veitch's idea and not the Economics department's idea. Math time wasted = Economics department didn't really like some things in the course like linear programming. They wanted but didn't care much about a light calculus course similar to Math 120. We can get rid of it, can advise students to take 120 this semester. Paul: why not just put 107 out of its misery earlier? Economics will probably send a few students to 120, not expecting big changes. Ken Harrington will probably try to include some economics content in 120. John and Bruce Wydick will work together on a Math 120 course for the year after to focus for economics/environmental science. Paul: Should try for as generic as possible a 120. John will supervise and consult with Environment Science. Bob Wolf is happy with this.

Faculty association wants a discussion of contract reopeners. Paul had a discussion with Cosec a few weeks ago. Cosec wants discussion within departments. Consensus at Cosec was 2 things: the economic issue of housing for new faculty: there is a strong desire that the union create a subsidy program or subsidised housing; the problem is especially bad for newcomers. There are problems recruiting new faculty and keeping existing faculty. Another issue: Need to change the early retirement program. USF could change the retirement program; discussion is invited, will be relayed to Heineman. Allan: any discussion on parking? Paul: not much, just that it's bad. Allan's suggestion: whoever sets policies should not include anyone who does not park on campus. Bill Nutting should be put on same basis as any one else who has to look for parking, or someone else should be put in his place. Paul: we can open 3 articles in the next negotiation. Economic stuff is automatic, not one of the 3. John Stillwell's suggestion: housing subsidy

GEC: Paul got an email from Sister Moser asking for formal departmental responses to GEC proposals, requesting feedback by November 30th. To Allan: if no more opinions come into committee, what will happen? Allan: hard to predict. Just got change in chairman. There have been 6 or 7 open hearings held in 6 weeks, poorly attended although with decent faculty turnout and ASUSF at at least one. Seems to be support from students for idea 2: innovative ideas. Since the hearings, there haven't been meetings where there was a chance to talk about feedback. Don't know what the deans feel. Paul: impression is option 1 is objectively better for math dept. Given no strong objection to plan 2, given students like it, maybe they can be melded into one plan? Allan: decision might be based on how much counselling students might need for being on track in terms of GEC requirements. Can't say when a vote might be scheduled because there are changes and the committee hasn't heard a lot of input. Any stong opinion anyone has should be made known before November 30th. Pete: committee shouldn't make a decision until the 4 unit thing is decided. Paul says it would be great if both could wait on the other. Allan: there has been a suggestion to fix the current GEC. Paul feels strongly against plan 2 as it seems plan 2 will steal positions from A&S, not just from math. Not saying math department should try to hang on to Math 101, but instead might lose any math presence in the GEC. Might lead to complete decentralization of GEC education. Plan 2 is more complicated than anything else, might lead to more work and less jobs. Paul will write something personally about this, not in the department's name unless there is a department consensus. Allan: it useful for committee to know that opinion.

Bob: it makes sense to suspend the GEC discussion until the 4 unit proposal is settled. John: doesn't make sense to suspend discussions because they affect each other, recommends vote take place after the 4 unit thing settled. Paul: attempt to make a decision is disturbing because we don't know the implications. Pete: Need people to propose what they'll do given 4 unit thing. Bob: it is important to voice any objection to option 2. Paul: informal vote: for or against plan 2: no response.

Proposal: Paul will draft a letter outlining arguments against option 2, including a statement that unless the committee can get their act together vis a vis the 4 unit proposal, there is no use in proceeding with departmental GEC discussion. Will show the letter to the math department, can make it a math department letter or a personal letter.
Bob: any sense GEC will be pared down? Allan: philosophy and theology content will remain proportional. They don't want to diminish the Catholic character of the GEC. Bob: what is the current unhappiness with the GEC? Students don't like being told what kinds of courses to take? Allan: the mickey mouse nature of it, based on PT faculty teaching to lowest common denominator to get better evaluation scores, angers the brighter students. There is no feeling for No GEC at all, but one way it

can be fixed is that regular courses can be chosen for GEC but no classes that fulltimers don't want to teach. Biology would like to teach their own writing course because they are unhappy with the way it is currently being taught. Proposal wasn't allowed to come to vote because would have been passed. In the regular committee, indepth discussion was not possible because of large numbers of people; those who speak have to get their point across quickly to allow all their fair share of time. The GEC that lasted longest was when 3 people chosen by the faculty association drew up a proposal in short order, was discussed at 4 or 5 full meetings and voted on, 11 to 1 in favor. It was in effect for 14 yrs, overturned only by Lo Schiavo who didn't like it. Paul: any proposal to bring it back? Allan: in Harnett's time, it used to be a negative selling job to get students to take GECs. Harnett made a video which made the GEC more inspiring. Bob: any negative comments on this GEC? Allan: whatever the pure ideas were when it was established within a few years, teachers let more courses be accepted as GEC. The GEC needs to be kept pure.

John's item: got a letter from Tristan Needham cc'd to John about an issue that may come to a grievance. Would like to distribute Tristan's letter and Paul's letter to Tristan. Paul objected to his letter being distributed. John feels he has the right to distribute it. Paul objects, feels should be within Paul, John, Tristan, and Stanley. John feels an official department letter should be made department property. Paul prefers John wait, doesn't consider it departmental business. John says the issue is serious and feels he has no choice but to present evidence that he didn't do what he's accused of.

There were glitches in the CCAC precalculus course. Tristan wrote a letter to Paul cc'd to John expressing displeasure with and criticising certain things that were done. Neither addressee liked the letter and chose to write responses back. Paul wrote the letter with the understanding that it was for Tristan, Nel, Father Lucas, and John's eyes, not for distribution in the department meeting. Dislikes the idea, whether it is within John's rights or not. John: Tristan's letter specifically accuses John of certain actions against University policy, unauthorized, against the letter. Although the letter was addressed to both, the accusations were against John, and he doesn't know what the implications are. His reputation is on the line. Paul's letter was cc'd to John, written in the capacity of chair. Paul: it was not written in any capacity and it was confidential. Also, Tristan's letter was dated November 1st; he probably hasn't read the response yet. Tristan should have the chance to read the letter and have time to respond. The issues can be resolved peacefully and smoothly if John doesn't start to play to court of public opinion. John should let the situation calm down and de-escalate. Paul objects strenuously to him distributing confidential correspondence and asks it be retracted and not be circulated. John: nothing in the letter says it's confidential. Paul: would like a vote for everyone to throw away documents until Tristan's response is made. Bob: how about wait a month until next meeting, can read the letter then. John has our support. Tristan will realize that John had a difficult task and maybe it will all go away. John: can't force anyone to pick up the documents. Allan: this is disturbing. As chair, Paul is elected as faculty representative. Why siding with administration? Paul: am not; agrees with John's words, but objects to John circulating Paul's correspondence. Feels can get good resolution, agrees with John's arguments, but thinks it is not a departmental issue now and should wait for response from Tristan and till then these documents should be confidential. John: mad that Tristan's letter with accusations were sent to other 4 administrators at 2 schools without any word to John. No one asked him what happened. Tristan's letter states that he, Tristan, spoke with Paul about these issues but no one contacted John about these issues prior to the letter being sent to all these people. Feels he has the right to present evidence that he didn't do these things that amount to being illegal. Paul: background: CCAC course didn't work out well and blame can be apportioned to 3 parties. CCAC doesn't know what it's doing, is incompetent, lazy, dysfunctional. Secondary: Tristan and Father Lucas didn't know what a mess they were getting into, didn't give the proper direction. Third, Paul was from time to time a little sloppy in cc'ing Tristan. Dealt with CCAC while other people were making different decisions on a higher level. Paul was sloppy, Tristan and Father Lucas didn't oversee it well, and CCAC is messed up. John did a good job. Tristan wants to keep a good relationship with CCAC and didn't place blame on CCAC but placed it on John and wrote a blameful letter to Paul and John. Paul wrote a letter defending both to Tristan, and doesn't wish it distributed. Tristan's letters are meant for memoland, not for the real world. Thinks Tristan will write an apology and all will be archived and John will not have cause for grievance. If CCAC needs to think Paul incompetent for Math 108 to continue, Paul doesn't care. Only cares that John's reputation not be damaged. John decided to remove Paul's letter, and stated that removing Paul's letter in no way states that he cannot distribute it in future. Paul: may discuss this again in another department meeting. Allan: Paul envision down the line there will be an apology to John. Paul: what is on the line: both are up for promotion. Letter was an official reprimand to Paul. Personal feeling is that his defense is adequate and official. Worst case scenario, pessimistic view is that Tristan wants John/Paul out. Reality is that it's an ass-covering letter. John is disturbed that this accusatory letter could have gone in his file with no one, for instance his supervisor Paul, being contacted prior to the letter being sent. Paul got just as little warning. Maybe the reason John got it so bad was maybe CCAC thought John was the one in charge. John: CCAC did know he was just a professor. Loomis understood Paul is the liaison. Tristan's letter distributed

Party: Paul would like to try to get together with another department like Computer Science or Physics. Allan: Computer Science is having a pizza night at the Front Room, that could be an idea. Agrees physics would be good. Paul: party at Millie's is probably more fun than the Front Room, so if there are any house parties with Computer Sciences or Physics, maybe we can merge with them. John thought Christmas parties were cancelled. Paul spoke with John Pinelli: less photocopying, lower

student employees would help but parties are still in our budget. We could decide not to have a party, to support the university's budget work. John thinks alcohol is a big expense. If it's byo, we could save a lot of money. Paul moves not to decide until Millie has a chance to say Tradition is last day of classes. Shoot for Dec. 6 for a possible day? Pending checking with Millie, ask physics

Math Department Meeting
Minutes 09/09/2003
CA C9

Approval of minutes: All in favor of approving May 13 2003 minutes

Present: Renee Brunelle, Paul Zeitz, Millianne Lehmann, James Finch, Peter Pacheco, Robert Wolf, Benjamin Wells, Allan Cruse

New Business:

Meeting day/times: Pete is going to be free on second Tuesday 12-1pm, so change back to original meeting times.

Paul handed out copies of a draft of an ad for the faculty search. The search is tentatively approved at Dean's Office level, at present. The faculty discussed the wording timing and placement of the ad Paul will look into timing issues.

The faculty review has been moved to spring Paul thinks to do nothing until the status of the new faculty search is solidified. No disagreement arose.

Upper division discrete math: Paul distributed a list of possible topics for an upper-division discrete math course. The faculty discussed the list of core topics and the list of optional topics, which would be at the instructor's discretion. Faculty would communicate with Paul further upon reflection on adding or approving optional topics meanwhile decided to propose course as Math 422.

Peter and Jim brought up the topic of a new MatLab license. The faculty discussed costs, put off decision pending Jim's report on exact fees.

Bob Wolf brought up the topic of the 5th floor Harney classrooms, and their distribution with regard to future class scheduling. Paul said he would do what he could to address the issue

Math Department Meeting
Minutes 10/14/2003
UC 417

Present: Robert Wolf, Benjamin Wells, Renee Brunelle Peter Pacheco, Jim Finch, Paul Zeitz, Allan Cruse

Approval of the minutes: September 2003 minutes approved unanimously.

Announcements:

Paul shared an update on Millie, who suffered a mishap the day before the meeting. Millie would like someone to cover her classes on Wednesday October 15th. Paul will cover 11am section, Jim will cover 9.30am section.

Update on faculty search. Allan Cruse, Marcelo Camperi, Peter Pacheco, Paul Zeitz are on the committee. Starting to get official responses. Paper ad will be in Focus, Chronicle of Higher Education, AMS Notices, AMS website, AWM, maybe an electronic one associated with Focus. One more thing with the search: people will be scrutinizing our website. Department members may want to update website or make changes to make the department look attractive.

Renee: Major-Minor Fair is October 30th, a Thursday.

Pete mentioned the women in science meeting occuring on HR 3rd floor during the time of the faculty meeting.

New business:

Program review: Paul mentioned that Liza would like the FDF in her hands soon, and the faculty discussed section writing apportionment for review at the next faculty meeting on November 11th. Paul will try to have a draft ready by around the 10th; have department faculty read it that night and discuss it at the meeting on the 11th, and perhaps make modifications. Paul will have questions which he will send out via email and asked that people read and respond.

Department committee census: Paul would like to get from everybody a list of all the committees they are on, what position held, and who else is on them; if committee is a union, administration, or joint committee; if math faculty member is an electee or administrative appointee to the committee; length of term, and when it ends. Please send this info to Paul A.S.A.P. for his spreadsheet.

Bob Wolf withdrew 3rd item from agenda.

Bob's latest info on HR 5th floor: We had asked for HR 512 for IR for MA 106 next semester, and though originally it had been "given" to Business, we now have it back. The faculty discussed smart-room locations, and ways to ensure getting smart-rooms for Math classes in future.

Math Department Meeting
Minutes 02/10/2004
LM 103

Present: Millie Lehmann, John Stillwell, Bob Wolf, Paul Zeitz, John Kao, Renee Brunelle, Allan Cruse, Pete Wells, Peter Pacheco, James Finch.

Approval of November 2003 minutes (December meeting cancelled): Millie moved to approve. Peter seconded. All approved.

Announcements: Paul said Father Togni asked that the Batey Award recipient be decided upon by early April. Paul will put this item on the agenda for the next meeting; everyone please start thinking about top math majors.

Paul announced upcoming phone-a-thon dates: Thursday 02/12, 02/19, Tuesday 02/24.

Paul also announced BAMM coming up on April 24.

New business:

Program review: The faculty discussed the self study document and the review committee.

ARCS nominees: John K. asked faculty to think of any standout, non-senior math major candidates to nominate for the ARCS scholarship. The faculty briefly discussed the ARCS scholarship selection process.

Faculty search: might be over. Paul went over the general process the committee went through before making an offer to Steven Devlin. The faculty discussed the candidates and the process of the search.

MATH DEPARTMENT MEETING
Minutes 12/07/2004
UC 400 12.25pm

Present: John Kao, Renee Brunelle, David Galles, James Finch, Dallas Davidson, Steve Devlin Robert Wolf, John Stillwell, Paul Zeitz, Allan Cruse.

New Business:

The faculty discussed with David Galles the first proposal for the waiver for Mathematics, which was submitted to the California Commission on Teacher Credentialing (CCTC) in early August. David Galles, Dallas Davidson, and the faculty went over a document Dallas distributed, which summarized the commission's responses to the proposal. There was discussion on how to address the responses and standards.

John Kao proposed that the latest version of the waiver proposal be put online for course representatives to access and work on over intersession. David Galles and Dallas Davidson left at 1.50pm.

John K. distributed the following proposal:

Resolved that: With respect to the DDTP Mathematics Subject Matter Preparation Proposal, the Mathematics Department will identify a representative instructor for each major course required by DDTP who will be responsible for

--contributing syllabi and supporting materials for the corresponding course
--checking the accuracy of information in the Proposal as it relates to this course

Efficient lines of communication between the DDTP Analyst and representative instructors will be established to facilitate prompt revision of the Proposal, as necessary, and to meet the schedule for resubmission established by DDTP.

All in favor.

Math Department Meeting
Minutes 05/10/2005
LM 103 12.25pm

Present: Peter Pacheco, Robert Wolf, John Kao, Stephen Devlin, James Finch, Renee Brunelle, Paul Zeitz, Allan Cruse

Approval of the minutes: Paul moved to approve the April meeting minutes. All approved save for Jim, who abstained.

Announcement: End of Semester Party at Pizza Orgasmica on Thursday. Alex Wong will be announced then as Batey Prize winner.

New Business.

Item 1: Faculty Search. Brandon Brown approved a new position, and the faculty members discussed the composition of the search committee; who shall be the chair of the committee; the timeline for advertising, applications, interviews, and offers; and committee attendance and use of employment center at the national AMS-MAA meetings.

The faculty also discussed electronic submission of application materials, and developing and using a search committee website.

Decisions made: Mathematics members of the search committee shall be Tristan, Steve, Paul, and Peter. The deadline for application shall be Friday, December 16, with the wording "to ensure full consideration" in the advertisement. Peter will contact Computer Science faculty to see who among them is interested and available to serve as the outside member of the search committee.

Item 2: Learning Outcomes. The department needs to submit what Mathematics intends to do for learning outcomes. Paul said Brandon would like something concrete today. Paul moved to ask David Galles to share what he did for Computer Science. Peter suggested using text from the catalog.

Item 3: Departmental committees. Paul proposed a statement on the part of the department that part time faculty are not to serve and particularly not to vote on committees— in particular, the committee for the MA 101 book. Paul thought it should be clarified that composition be constrained to FT faculty. It may be that a union rule covers this. Part time faculty can serve in advisory capacity but can't vote, etc. Formally, anything substantive would be presented to entire dept who would make formal decision. No binding decisions will be made by any subcommittee that has any part time faculty.

Item 4: DDTF proposal. John K. will be going on sabbatical, and wanted to discuss responsibilities regarding the proposal and the Dual Degree committee, and also Dual Degree/Mathematics student advising. Paul suggested that David Galles take over as much as possible with Peter as backup Peter will follow up as necessary. (See attached email).

A last item: library journals. Deadline had been May 1st. The idea had been to lie low. If pressed, dump *Linear Algebra and its Applications*.

SD 367

Math Department Meeting
Minutes 10/11/2005
UC 419 12.25pm

Present: Peter Pacheco, Allan Cruse, Renee Brunelle, John Kao. Robert Wolf, Benjamin Wells,, Stephen Devlin John Stillwell, James Finch, Brandon Brown, David Galles.

Department space: Brandon handed out second-floor plans, current and proposed. The faculty discussed possible moves, allocation, configuration, and timelines. Brandon will clarify proper procedure of allocation of specific offices. The department will gather a response for Brandon on space allocation.

DDTP: David Galles gave a précis of the situation regarding the USF Mathematics Dual Degree waiver. The faculty discussed the CSET, the content of the waiver Proposal submission, and what to do upon hearing back from the CCTC. David indicated that: the Math department's Response (2nd Submission Document) to CCTC was delivered in Summer 2005 without Math department review (due to administrative error on the part of Dallas Davidson, DDTP Analyst); the English department's Response to CCTC was submitted Summer 2005; and the Social Sciences' Response to CCTC will be submitted Fall 2005. In his opinion, it is highly unlikely either English or the Social Sciences Programs will be accepted by the state, due to rigorous new standards–Mathematics is different in this respect. John K. stated that both the original Math Proposal to CCTC and the Math Response are replete with errors: he noted 12 of 20 pages (or 60%) in the Math Response contained major factual inaccuracies and this statistic does not even incorporate uncorrected mistakes in the original Math Proposal. In particular, the combined Proposal/Response conveys the clear impression that: Mathematica Labs are conducted throughout 12 units of Calculus curricula, and that the Math department administers a fourth year summative assessment exam to ensure that California subject matter requirements are met by Single Subject candidates. This completely misrepresents our current Program. There was unanimous agreement (including Brandon) to decline to implement the waiver Proposal, and to decline to offer the waiver program to students, even if it is approved.

David Galles and Brandon Brown left at 1.20pm

Approval of the minutes: the September meeting minutes were approved unanimously.

Announcements

We still have no department budget; Peter has contacted John Finelli and hasn't heard back. Large expenditures still can t be approved.

Peter got an announcement about excellence in undergraduate mathematics.

Peter got an announcement from college council that A&S may move from two days of advising to four days of advising since two days of testing may be obviated by SAT testing.

The library will not be cancelling *Linear Algebra and its Applications*, or *Symbolic Logic*

Lab software: Jim's issues were the principal ones and have been temporarily resolved.

Math 101: Brandon is not opposed to introducing a prerequisite for MA 101. There is precedent for such: there are 200-level Writing CORE courses that many students can't handle without a prerequisite course. Peter contacted Nursing about MA 101 but only one person got back to him; she has since left. She didn't mention software such as Excel. In light of the fact that we haven't received much information from nursing, a software decision on MA 101 should be deferred; regarding a prerequisite, we should wait to hear back from Brandon.

MA 106 enrollment: The faculty discussed enrollment caps, computer lab capacity, and the Microsoft *Excel* component of the course vis-à-vis SOBAM. John K moved that the cap be strictly maintained at 30. Jim seconded. All were in favor save for Bob,, who was opposed.

Math Club: John K reported that the students decided on a Math club instead of a Go and Chess Club. Go and Chess will be a component; it will be open to all majors. Request to use Math office Friday afternoons 4.30-5pm No objections all around.

Adjourned at 1 41pm.

SD 368

Math Department Meeting
Minutes 02/16/2006
CO 426/428 12.25pm

Present: Peter Pacheco, Paul Zeitz, Benjamin Wells. Stephen Devlin, John Kao, James Finch, Allan Cruse Tristan Needham.

Announcements:

Harney public safety presentation deferred to March 23rd.

Phone-a-thon: Allan Feb. 22, Steve Feb. 28; March 9 volunteers? Tristan might be able to do it.

Pi day? 3.14 1:49. Something to tell majors about.

March meeting scheduled during spring break Oops by Christine. Reschedule for March 7th.

Batey prize: Decide whom, if anyone, we wish to nominate. John raised the related issue of the Science Scholarship Committee. Steve agreed to notify Brandon that he will substitute for John on the Science Scholarship Committee in Spring 2006.

New Business:

The faculty members discussed the faculty search and each of the finalist candidates in depth.

The meeting moved from CO 428 to 426, during which time Jim left the meeting. The faculty voted on each of the finalist candidates.

Erin McNicholas: John Kao's first choice.

Pisheng Ding: No response, except for that John Kao does support P. Ding as a viable alternate.

Stephen Yeung: Allan Cruse Stephen Devlin, Tristan Needham, Peter Pacheco, Benjamin Wells, Paul Zeitz.

Benjamin Wells supports Erin McNicholas for second choice, as does John Kao (*if* S. Yeung turns down the offer).